#### Attachment A-1: Minimum Qualifications

***Representations made by the Offeror in this Proposal become contractual obligations that must be met during the contract term.***

**Instructions:** The minimum qualifications of this RFP are mandatory. Please check the applicable box to signify compliance or non-compliance with each minimum qualification. If you do comply, describe exactly how you achieve each minimum qualification. The determination that you have achieved all the minimum qualifications is made from this document.

| Minimum Qualification | Complies | If you comply, describe briefly how you meet the minimum qualification. |
| --- | --- | --- |
| The Offeror must be a North American incorporated organization. | Yes  No |  |
| The Offeror must have been in the Pension Administration System solution delivery business for the past five years. | Yes  No |  |
| The Offeror must have three references of completed implementations of the equivalent Pension Administration System solution being proposed to NMERB. “Equivalent solution” is defined as either the same version of the application or one major version earlier and for funds with a pension plan and total membership size of at least 50,000 members. These references must be for North American pension administration clients that are no older than five years. | Yes  No |  |

**Attachment A-2: Organization Information**

***Representations made by the Offeror in this Proposal become contractual obligations that must be met during the contract term.***

**Instructions:** Please complete the following tables with the requested information.

1. **GENERAL OFFEROR INFORMATION**

|  |  |
| --- | --- |
| **Information** | **Response** |
| Offeror’s Legal Name |  |
| Address |  |
| City |  |
| State |  |
| Zip |  |
| Web Address |  |
| Date Founded |  |
| Corporate Tax Status |  |
| Federal Employer Identification Number |  |
| Ownership/Controlling Interest |  |

1. **CONTACT INFORMATION**

Please identify both the Primary Contact, who can answer questions related to this RFP, and the Account Manager, who will have overall responsibility for planning, supervising and performing the services described in this RFP.

| **Primary Contact** | **Response** |
| --- | --- |
| Name |  |
| Title |  |
| Address |  |
| City |  |
| State |  |
| Zip |  |
| Telephone # |  |
| Fax # |  |
| Cell Phone # |  |
| E-mail Address |  |

|  |  |
| --- | --- |
| **Account Manager** | **Response** |
| Name |  |
| Title |  |
| Address |  |
| City |  |
| State |  |
| Zip |  |
| Telephone # |  |
| Fax # |  |
| Cell Phone # |  |
| E-mail Address |  |

1. **ORGANIZATIONAL REFERENCES**

The Offeror must provide a list of a minimum of three (3) external customer references from similar projects/programs performed for private, state or large local government clients within the last five (5) years.

Offeror is required to submit RFP APPENDIX F, Organizational Reference Questionnaire (“Questionnaire”), to the business references it lists. **The business references must submit the Questionnaire directly to the designee identified in APPENDIX F. The business references must not return the completed Questionnaire to the Offeror.** It is the Offeror’s responsibility to ensure the completed forms are submitted on or before the date indicated in Section II.A, Sequence of Events,for inclusion in the evaluation process.

Organizational Customer References that are not received or are not complete in this format, may adversely affect the Offeror’s score in the evaluation process. Offerors are encouraged to specifically request that their Organizational References provide detailed comments.

**Attachment A-3: Administrative Requirements**

***Representations made by the Offeror in this Proposal become contractual obligations that must be met during the contract term.***

**Instructions**

Please indicate that you agree with each of the following administrative user stories and requirements. Failure to do so may result in disqualification of the Proposal. All responses for which the Offeror selects "Disagree" (i.e., where “Compliant?” = No) must be addressed in **"Attachment A-7: Deviations & Clarifications"**.

1. **User Stories & Functional Requirements**

**The tables below list NMERB’s functional user stories & requirements for the Pension Administration System.** User stories and requirements have been broken into three Flexibility Types based upon degree of flexibility NMERB has: 1) Mandatory, 2) Desired and 3) Optional.Offerors must confirm that they meet all mandatory functional user stories & requirements as identified below.

The tables in the following sections reference different flexibility levels. The table below describes NMERB’s definitions of these priorities and the specific implementation rules. The Offeror must include in their fixed price bid all user stories & requirements denoted with a Flexibility Rating of 1 or 2. The Offeror must provide line item optional pricing for each requirement or user story denoted with a Flexibility Rating of 3.

| **Flexibility Rating** | **Flexibility Type** | **Comments** |
| --- | --- | --- |
| **1** | **Mandatory** | NMERB must have this requirement. An Offeror's failure to meet these requirements will cause their proposal to be considered non-responsive and rejected. |
| **2** | **Desired** | NMERB highly desires this requirement. An Offeror will be evaluated on their ability to satisfy these requirements. |
| **3** | **Optional** | NMERB considers this requirement to be a “nice to have.” An Offeror will be evaluated on their ability to satisfy these requirements. |

**Complete this section by checking either “Yes” or “No” below.** Offerors who select “No” will be deemed non-responsive and rejected.

| **Do you agree your firm can meet all Mandatory Functional Requirements listed below (Ratings 1)?** | **Meets All Requirements?** |
| --- | --- |
| Yes  No |

**Instructions**

Please indicate if the proposed solution is compliant with each of the following administrative user stories and requirements. All responses for which the proposed solution is not complaint (e.g., “Compliant?” = No) must be addressed in **"Attachment A-7: Deviations & Clarifications"**. If your response should vary based on a User Story having multiple “Acceptance Criteria” bullet points, please provide the clarification in **"Attachment A-7: Deviations & Clarifications"**.

For all user stories and requirements, indicate the “degree of customization required” in the applicable field. A “degree of customization” response must be provided for every user story and every requirement. If your response should vary based on a User Story having multiple “Acceptance Criteria” bullet points, please provide the clarification in **"Attachment A-7: Deviations & Clarifications"**. General Functional requirements are subdivided into sub-process and are delineated by a role of “Proposed solution”; each General Functional requirement is expected to have a unique Degree of Customization response.

1. **Configuration**. Existing system functionality will be configured to deliver the requirement or user story. This includes setting of parameter values, updates to factor and value tables, updating rules engines, and selection from any available configuration options within the existing software release. Configuration changes would not be expected to have any impact on future software updates.
2. **Minor Customization**. To meet the user story or requirement, existing functionality will be modified to incorporate unique NMERB customizations not within the existing software release. This includes customization within well-defined exit/entry points within the system, interface file format definitions, custom formulas, custom SQL or SQR code for queries or reports, and addition/modification of data fields. Minor Customizations would not be expected to have an impact on future software updates.
3. **Major Customization**. Existing functionality to meet the user story or requirement does not currently exist within an existing module, feature, or system component. This includes NMERB-specific extensions/enhancements/customizations to existing functionality, NMERB-specific APIs, protocols, or standards, and back-porting features from another version of the system. These are customizations that would not normally be reviewed or tested by the Contractor as part of their general System release testing and validation. Special care would be required to ensure compatibility with future software updates.
4. **Proposed Configuration.** The existing functionality for this user story or requirement does not exist and will require an update to the system. The new component, module, or feature would be part of a future configurable design. The proposed configuration will not have any impact on future software updates.
5. **Other** (describe in Attachment A-7, deviations & clarifications). Existing functionality to meet the user story or requirement does not currently exist and would require either a new functionality be added to the System, e.g., a new module, feature, or system component, the use of third-party technology specifically to meet NMERB’s user story or requirement, or the requirement will be met outside of the System either manually or with a standalone tool.

**User Stories:** The numbering convention for ReqID in the table below is: [process number from table in Business Processes].[sequence number]

*Each process category is identified by a number and a name. There is nothing to be implied from the identification numbers other than simple identification. The individual user stories and requirements listed are numbered as an extension to the category number. Please do not alter the functional requirement ID numbers. There is nothing to be implied from the functional requirement ID numbers other than simple identification.*

The table below is the high-level summary of each business process at NMERB. Typically, the user stories will span the entire process while the general functional requirements have been subdivided further into sub-process to help provide additional clarity.

| Process Number | Process Name | Objective |
| --- | --- | --- |
| 1 | Pre-Retirement Beneficiary Designation | To accurately and efficiently process and manage beneficiary designation applications. |
| 2 | New Hire/Rehire | To enroll new employees reported by NMERB employers in the plan and identify prospective purchases of service. |
| 3 | Employer Reporting | To accurately, timely, and efficiently record reconciled contributions and service for members from employers for use in benefit calculations, benefit estimates, production of annual statements, and other downstream processes. |
| 4 | Annual COLA | To determine a member’s eligibility for a Cost-of-Living Adjustment (COLA), accurately calculate the COLA due to each member, and adjust the member’s monthly benefit prospectively to reflect the COLA amount. |
| 5 | Termination | To receive and process employer data related to terminated employees and apply a default termination date for members that have not had wages for 3 months. |
| 6 | Refunds | To verify refund eligibility, process refund requests with the appropriate elections, and issue payments with the required journaling. |
| 7 | Retirement | To determine eligibility for retirement (normal, early, reciprocal, disability) based on the member’s age, total vesting and credited service (and any reciprocity), and to calculate the member’s retirement benefit and disburse the member’s benefit based on the retirement option elected. |
| 8 | Retiree Payroll | To accurately set-up and pay monthly benefit for all NMERB payees (along with reconciling and validating the payment transactions). |
| 9 | Non-Payroll (Special Payment) Payment Processing | To process one-time, off-cycle monthly payments for all NMERB benefit recipients and vendors. |
| 10 | Final Average Salary Calculation | To accurately and efficiently compute the value of the final average salary. |
| 11 | Payroll Deduction Processing | To validate and verify any changes, additions, or deletions monthly to the list of deductions to be withheld from recurring monthly benefit payments. |
| 12 | Retiree Death | To identify and confirm death notifications in a timely manner and once confirmed, stop payments for the deceased, and determine eligibility and process the applicable benefits for the survivor(s). |
| 13 | Active Death | To identify and confirm death notifications in a timely manner and, once confirmed, determine eligibility and process the applicable benefits to the survivor(s). |
| 14 | Reciprocity | To establish a connection between PERA and ERB retirement systems for a member that has accumulated service in more than one reciprocal system. |
| 15 | Qualified Excess Benefit Arrangement (QEBA) | To accurately identify the population of members who are subject to benefit capping due to Internal Revenue Code Section 415(b), track the benefits payable from the QEBA, and process QEBA transactions. |
| 16 | Domestic Relations Order (DRO) Processing | To properly apportion pension benefits in the event of legal separation or the dissolution of marriage or state registered domestic partnership. New Mexico is a community property state, which means that assets and property acquired during a marriage are considered to be jointly owned by both spouses. In the event of divorce, this applies to retirement benefits under the Educational Retirement Act (ERA). |
| 17 | Benefit Estimate | To generate accurate, audited retirement benefit estimates for members based on their age, service credit, wage history, and beneficiary information. |
| 18 | Interest Posting | To calculate and apply interest applicable based on the plan rules and Board Interest Crediting Policy. |
| 19 | Tax Tables | To update federal and state tax rate tables in the system at the beginning of each calendar year to be applied to benefit payments. |
| 20 | Service Credit Purchase | To allow eligible members to purchase qualified ERB service time through either direct pay, rollover, or combination. |
| 21 | Cash Remediation and General Ledger Extract | To record financial transactions of the Fund in the General Ledger, e.g., contribution deposits, benefit payments, service purchase fund transfers. |
| 22 | Defined Contribution Plan | To determine eligibility for the Alternate Retirement Plan (ARP). |
| 23 | Actuarial Extract | To produce a data extract from the system for active, inactive, deferred, and retired members, and beneficiaries to facilitate NMERB annual actuarial valuation. |
| 24 | Member Annual Statement | To provide members with a statement outlining their enrollment and current beneficiary information and fiscal year-end plan information for their salary, service credit contribution and interest. |
| 25 | Annual Financial Report and Audit | To ensure that NMERB is in compliance with the various regulations under which it operates and has internal and external financial and other controls as part of their fiduciary obligation. |
| 26 | Inactive Member Account Management | To provide inactive members with a statement outlining their current benefit entitlement and payment options. |
| 27 | 1099R Issuance | To generate and send accurate Form 1099Rs to NMERB benefit recipients before the IRS deadline each year and to fulfill federal tax reporting requirements. |
| 28 | Web Portal/Self Service | To offer a secure web portal that can be used for members and employers to view, transact, and receive/send information. |
| 29 | Member Counseling | To provide information to members to make informed decisions on their retirement and to generate an accurate benefit estimate (based on the member’s data in the system at that point in time). |
| 30 | Call Center | To assist members, survivors, alternate payees, and employers as the first point-of-contact for providing plan and process information, forms, and documents, as well as coordinating with other departments at ERB and other external parties to resolve issues and support members. |

| ReqID | Process | Feature | Role | Story | Acceptance Criteria | Flexibility Rating | Compliant? | Customization Required |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1.001 | Pre-Retirement Beneficiary Designation | Member data | Member Relations Associate | I want to locate the member using their name or other unique identifier such as Pension File # (PFN)  So I can update or add their beneficiary on file. | I will be satisfied when:   * I can use the system search function to locate the member or beneficiary using name, SSN or PFN if they already exist on the database | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 1.002 | Pre-Retirement Beneficiary Designation | Beneficiary data | Member Relations Associate | I want to see all of the active designations on file  So I can determine what action is needed for existing beneficiaries before any updates are made. | I will be satisfied when:   * All of the active designations are summarized in a single screen * I can easily navigate to a particular beneficiary from the summary screen to see their details * I can send a notification to another unit/staff member to do a further review and approve the form, if needed | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 1.003 | Pre-Retirement Beneficiary Designation | Supporting documents | Member Relations Associate | I want to indicate which supporting documents have been received and whether the form has been accepted  For reference, tracking and recordkeeping/audit purposes. | I will be satisfied when:   * I can choose which documents have been received and enter the receipt date * I can select an accept/reject indicator and enter the reason why the form has been rejected   Business Rules:   1. Rule 2.82.5.13.F. NMAC Beneficiaries are named on the NMERB beneficiary designation form or form 42 2. New Mexico is a community state and if the member is married and designating someone other than their spouse, the spouse must consent to waive their entitlement. The waiver must be signed by the spouse and notarized. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 1.004 | Pre-Retirement Beneficiary Designation | Beneficiary data | Member Relations Associate | I want to add a new beneficiary  So the member’s designations are up-to-date. | I will be satisfied when:   * I can enter a designation effective date * I can select the plan that the designation applies to such as NMERB Pension * I can enter the percentage for each beneficiary if the default percentage of equal share does not apply * I can enter demographic and contact information * I can enter the relationship to the member * The system performs data validations and generates error/warning messages. Examples of validations include: * Valid date of birth * Valid SSN or TIN * Multiple active spouses on file * For multiple beneficiaries, that the % allocations total to 100% | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 1.005 | Pre-Retirement Beneficiary Designation | Beneficiary data | Member Relations Associate | I want to update a beneficiary account if the beneficiary is no longer an active designation  So the members’ designations are up to date. | I will be satisfied when:   * I can enter the effective date that the beneficiary is no longer eligible | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 1.006 | Pre-Retirement Beneficiary Designation | Reports, letters & forms | Member Relations Associate | I want to send a follow-up letter if the designation has been rejected  So that the member can submit a new request. | I will be satisfied when:   * I can select the corresponding system-generated letter to send to the member * I can choose the reasons why the form has been rejected * The letter pre-populates with data to minimize information that I have to manually enter * I can edit the system-generated letter, if needed * I can submit the letter for printing either individually or as a batch job | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 1.007 | Pre-Retirement Beneficiary Designation | Imaging | Member Relations Associate | I want the related paperwork and documentation to be scanned into the member’s account  For reference, tracking and recordkeeping/audit purposes. | I will be satisfied when:   * I can submit documents to be scanned and uploaded into the system, categorized by type and date * I can search and view scanned documents by type and date * I can see the status as released or queued for printing | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 1.008 | Pre-Retirement Beneficiary Designation | Beneficiary data | Proposed solution |  | The system will allow internal users to enter beneficiary information and associate the beneficiary with the member. If the beneficiary is another member, the system will allow this association as well. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 1.009 | Pre-Retirement Beneficiary Designation | Beneficiary data | Proposed solution |  | The system will allow internal users the ability to modify beneficiaries if the system is not showing the most current information. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 1.010 | Pre-Retirement Beneficiary Designation | Reports, letters & forms | Proposed solution |  | The system will allow internal users to generate follow-up and confirmation letters that are editable. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 1.011 | Pre-Retirement Beneficiary Designation | Supporting documents | Proposed solution |  | The system will have the capability for the user to complete review of the member record to ensure all required forms and documents have been received. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 1.012 | Pre-Retirement Beneficiary Designation | Beneficiary data | Proposed solution |  | The system will have the capability to record and maintain a record of more than one beneficiary including but not limited to:  Beneficiary Information:   * Name #1, 2, 3, etc. * Date of Birth * Relationship * Marital Status * Percentage * Address * Documents received and accepted | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 1.013 | Pre-Retirement Beneficiary Designation | Beneficiary data | Proposed solution |  | The system will retain a record of previously established beneficiaries that may or may not be active currently. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 1.014 | Pre-Retirement Beneficiary Designation | Member portal | Proposed solution |  | The system will allow members to submit beneficiary designation changes on-line. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.001 | New Hire/Rehire | Member data | Employer Reporting analyst | I want to create or update a member account  So that the member account data is current. | I will be satisfied when:   * I can search the database using a variety of key data points to determine if the employee has been/is a plan member * If the employee is a new hire, a new account is created via the M-1 and/or W-1 files * If the employee is a rehire, I can update existing information, as needed, and add new employment information provided on the EDF * I can indicate which enrollment documents have been received and accepted/rejected * The system performs data validations and produces warnings/errors that I can send to the employer for resolution. Data with errors are placed in a pending status until they are resolved. * The system will retain a history of data changes * The system will treat each membership period separately for rehires, based on business rules defined by NMERB   Business Rules:   1. Rule 2.82.2.13.A(1) NMAC Members are required to complete a new employment form each time that they are hired or rehired by a local administrative unit and to provide the board with contact information, including their mailing address and e-mail address. 2. Rule 2.82.2.13.A(2) NMAC Active members and retirees are responsible for providing the board notice in writing of any change of their mailing address or e-mail address on forms made available for this purpose by the director. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.002 | New Hire/Rehire | Member data | Employer Reporting analyst | I want a shell member account to be created if data is reported on the M-1 or W-1 before the EDF is processed  So that I do not have to enter M-1/W-1 manually. | I will be satisfied when:   * A new account is created if data is reported on the M-1 or W-1 before the EDF is processed * Certain fields are defaulted if they are not provided through the M-1/W-1 | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.003 | New Hire/Rehire | Reports, letters & forms | Employer Reporting analyst | I want to run reports to identify new hire/rehire volumes and accounts with data issues  So that I can manage resources and follow up with the member or employer. | I will be satisfied when I can run reports such as:   * Transaction volumes * Exception reports for data warnings/errors to be resolved by the member or employer * New members that have not been formally reported by employers, but contributions have been received | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.004 | New Hire/Rehire | Return-to-Work processing | Benefit analyst | I want to process a Return to Work (RTW) application  So that the member and employer know whether they can proceed with hiring the member. | I’ll be satisfied when:   * I can indicate which RTW documents have been received and accepted/rejected * I can indicate which RTW option the member has applied or is approved for * I can view the member’s account data to determine if they’ve met the RTW requirements or not * I can update the member’s plan status/job category, as applicable * The system keeps a history of RTW applications if the member switches between options or is submitting a new RTW application   Business Rules:   1. Rule 2.82.5.15A NMAC In order to qualify to return to employment (hereinafter “return to work”) as provided for in NMSA subsections 22-11-25.1 A and E, a retired member must have a period of at least 12 consecutive months in which they have not been employed as an employee or independent contractor by a local administrative unit (hereinafter, a “break in service”).    1. To satisfy the requirements of a “break in service,” the retired member must not have rendered service of any nature whatsoever to a local administrative unit for the 12 consecutive month period. “Service” shall be defined to include, without limitation, all employment whether full time, part-time including service allowed under Rule 2.82.2.11.B NMAC, substitute teaching, performing duties as a volunteer, which would otherwise be, or in the past have been, performed for the local administrative unit by a paid employee or independent contractor, or services rendered as an independent contractor, an employee of an independent contractor, or any other employment as described in Rule 2.82.2.11 A – D NMAC. A “local administrative unit” shall include any entity controlled by or subject to the control of a local administrative unit, including without limitation, a corporation or other entity regardless of legal form and of whether such corporation or entity is created for profit or non-profit purposes.    2. The break in service must have commenced after the effective date of retirement and been completed prior to the first day of re-employment, but need not have been the 12 consecutive months immediately prior to the first day of such re-employment (i.e., the break in service could have occurred at any time during the period after the effective date of retirement and before the first day of re-employment but must have been at least 12 consecutive months within that period). 2. Rule 2.82.5.15.B NMAC In addition to a break in service of at least 12 consecutive months, in order to satisfy NMSA 22-11-25.1.E, a member who retired on or before January 1, 2001, and who subsequently removed him or herself from retirement (also referred to as “suspending retirement”) pursuant to NMSA 22-11-25, and thereafter re-retired, must complete an additional period of at least 90 days after the re-retirement, during which the retired member has not been employed as an employee or an independent contractor by a local administrative unit. During the 90-day period, the retired member must satisfy the same requirements regarding employment by a local administrative unit as must be satisfied for a 12 consecutive month break in service. The 90-day period shall not include any portion of the period used to satisfy the 12 consecutive month break in service. In addition, the 90-day period shall not include any scheduled breaks, vacations, paid administrative or sick leave, or holidays consisting of more than two business days. 3. Rule 2.82.5.15.D NMAC No retired member is eligible for the return-to-work program until the member submits a completed, signed and notarized return to work form as supplied by NMERB, (the “return to work application”), verifying their eligibility for the return-to-work program. 4. Rule 2.82.5.16.A NMAC A retired member may return to employment (includes “substitution”) at a level of .25 FTE or less without affecting the retired member’s retirement benefit provided the retired member submits a return-to-work application and is approved by NMERB prior to commencing employment. 5. Rule 2.82.5.17.A NMAC A retired member may return to employment (includes “substitution”) pursuant to NMSA 22-11-25.1.H without affecting the retired member’s retirement benefit provided that:    1. the retired member has not rendered service to a local administrative unit (LAU) for at least 90 consecutive days after the date of retirement;    2. prior to the date of retirement or within 90 days after the date of retirement, the retired member did not enter into a formal or informal agreement with a LAU or a contractor providing services to a LAU to return to employment;    3. the retired member earns less than $15,000 per fiscal year; and    4. The retired member submits a return-to-work application and is approved by NMERB prior to commencing employment.   *Note: an amendment to NMSA 22-11-25.1 comes into effect May 18, 2022*  End date of the RTW program extended until Jan 1, 2024.   1. A retired member may return to employment with a local administrative unit without a suspension of the member’s retirement benefits; provided that:    1. the retired member has not rendered service to a local administrative unit for at least 90 days after the date of retirement; and    2. the retired member returns to employment for a period of no more than 36 consecutive or nonconsecutive months pursuant to this subsection. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.005 | New Hire/Rehire | Reports, letters & forms | Employer Reporting analyst | I want to notify Member Services if there are discrepancies between job categories reported by the employer and the system  So that retirees are provided an opportunity to submit a RTW application before their pension is suspended. | I will be satisfied when:   * The system generates an exception report that includes differences between job categories reported by the employer and the system that are not expected | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.006 | New Hire/Rehire | Reports, letters & forms | Member Relations associate | I want to send correspondence to the member  So that they are informed on their application status. | I’ll be satisfied when:   * I can create a system-generated application approval/rejection letter * I can create a system-generated RTW action required letter * System-generated letters are editable | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.007 | New Hire/Rehire | Reports, letters & forms | Benefit analyst | I want the system to generate correspondence to the member when they are close to hitting limits under their applicable RTW program  So I don’t have to manually monitor accounts and generate communications. | I will be satisfied when:   * I can run a report that lists RTW retirees who are approaching the respective RTW limits * I can create a system-generated RTW action required letter * System-generated letters are editable | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.008 | New Hire/Rehire | Payment maintenance | Benefit analyst | I want to suspend a retiree’s pension if they do not have a current approved RTW application  So that the plan rules are followed. | I will be satisfied when:   * I can run a report that lists retirees who do not meet the RTW requirements * I can initiate the process to suspend the retiree’s pension, including any overpayments due * I can create a system-generated RTW pension suspended letter. Members will be given 2 weeks to submit a RTW application if they have not submitted one prior to being rehired. * The system will calculate the overpayment and interest once the pension is suspended * System-generated letters are editable I can enter notes in the member’s account   Business Rule   1. Rule 2.82.5.15.F NMAC Any retired member who is participating in the return to work program who has violated the provisions of the program, failed to submit the required return to work application, or is discovered to have been ineligible to participate in the program shall have their retirement immediately suspended and shall pay the educational retirement fund a sum equal to all retirement payments that they have received while ineligible under the provisions of the return to work program plus interest at a rate to be set by the board. Before his or her monthly retirement benefits can resume, the suspended retired member must certify to the NMERB that they have terminated any and all employment that would disqualify them from retirement under the Educational Retirement Act. To re-qualify for the return-to-work program, the retired member must complete the minimum break in service as described in Rule 2.82.5.15.A NMAC, calculated from the date of reinstatement of retirement. 2. Rule 2.82.5.16.B NMAC In the event that a retired member enters into an agreement which provides for employment at a level greater than .25 FTE or actually works greater than .25 FTE and has not met the requirement in subsections NMSA 22-11-25.1 A or F, the retired member’s retirement benefit will be suspended for the duration of the employment, and the retired member will be returned to an active status effective the first day of the month following the month in which the retired member’s employment exceeded .25 FTE. The retired member shall pay the educational retirement fund a sum equal to all retirement payments the retired member received while ineligible plus interest at a rate to be set by the board. 3. Rule 2.82.5.17.B NMAC If a retired member earns $15,000 or more per fiscal year, the retired member’s retirement benefit shall be suspended for the duration of the employment and the retired member shall be returned to active status effective the first day of the month following the month in which the retired member has earnings in excess of the above limit. The retired member shall pay the educational retirement fund a sum equal to all retirement payments the retired member received while ineligible plus interest at a rate set by the board | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.009 | New Hire/Rehire | Data validation | Proposed solution |  | The system will collect certain demographic data to validate members during the processing of employer reports. In the case of mismatches, error messages will be generated and correction by the employer will be required before the data can be posted to the member account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.010 | New Hire/Rehire | System configuration update | Proposed solution |  | The system will allow NMERB users to create new statuses for members without the need for programming updates. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.011 | New Hire/Rehire | System configuration update | Proposed solution |  | The system will allow NMERB user to update membership eligibility requirements without the need for programming updates. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.012 | New Hire/Rehire | Data validation | Proposed solution |  | The system will prevent updates to committing to the system when errors exist. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.013 | New Hire/Rehire | Data validation | Proposed solution |  | The system will provide the capability to evaluate multiple data points (e.g., Last Name and Date of Birth (DOB)) for new and re-hired members to identify possible profiles that exist in the system already. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.014 | New Hire/Rehire | Data validation | Proposed solution |  | The system will contain as part of the member web portal a new EDF that can be filled out and submitted electronically by new hires, re-hires, and transfers. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.015 | New Hire/Rehire | Member portal | Proposed solution |  | The EDF form on the member web portal will contain verifications to ensure that the form is fully completed and correctly formatted before being submitted. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.016 | New Hire/Rehire | Workflow management | Proposed solution |  | The system will track the status of the EDF. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.017 | New Hire/Rehire | Reports, letters & forms | Proposed solution |  | The system will generate a Welcome package for new members. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 2.018 | New Hire/Rehire | Return-to-Work processing | Proposed solution |  | The system will track the RTW thresholds for members. If a retiree is working for multiple employers, running totals are based on cumulative values. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.001 | Employer Reporting | Employer portal | Employer | I want to complete my member detail (M-1) and work report (W-1) files  So that I can submit them securely online at any time. | I’ll be satisfied when:   * I can log into the secure employer portal * I can upload files at any time * I receive confirmation that my files have been submitted successfully   Business Rules:   1. Rule 2.82.9.8.B. NMAC Employer reports shall encompass all local administrative unit employees including those employees whom the local administrative unit has identified as excluded from coverage. 2. Rule 2.82.2.13.B. NMAC For the purposes of providing members information regarding the board and the members’ accounts, local administrative units are required to provide the educational retirement board the e-mail addresses assigned to members by a local administrative unit upon the board’s request. 3. Rule 2.82.9.8.C(1) NMAC Employer reports and contributions shall be electronically transmitted or postmarked no later than the 15th of the following month. 4. Rule 2.82.9.8.C(2) NMAC When the 15th of the month falls on a weekend or holiday, the report and contributions are due on the next workday. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.002 | Employer Reporting | Interfaces | Employer reporting analyst | I want to process files that have been submitted by the employer  So that member data is loaded into the system. | I will be satisfied when:   * I can choose the file that I want to process * The system will produce warning/error messages if there are issues with the file format * The system will produce data exception reports once the file has been processed. Data exceptions are to be defined by NMERB. * I can print an exception report * I can make data corrections to member accounts, if necessary * The system will produce a summary report detailing information such as: * wages, member, and employer contributions by job category * whether the data is current or a prior period adjustment * number of records processed * I can cancel/void a file import before it is released to the system | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.003 | Employer Reporting | Contribution data | Employer reporting analyst | I want to enter account adjustments provided by the employer through the period contribution adjustment report  So that member and employer account data is up to date. | I’ll be satisfied when:   * I can create an adjustment transaction * I can specify the adjustment type from a pre-defined list and description * I can enter the adjustment effective date(s), code(s), and amount(s) * The system applies the adjustment to the member or employer account, as appropriate * The adjustment transaction is visible on the account activity | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.004 | Employer Reporting | Employer data | Employer reporting analyst | I want to record a payment to the employer’s account  So that there is a credit on the account. | I’ll be satisfied when:   * I can create a payment transaction for the employer that contains information such as: * Posting date * Deposit date * Fund type * Payment type * Payment amount * Submitting bank information via E-Bill Treasurer receipt # * Payment due date * I can see the history of payments made by the employer with the corresponding status (e.g., funds have been used or not)   Business Rules:   1. Rule 2.82.9.8.C(1) NMAC Employer reports and contributions shall be electronically transmitted or postmarked no later than the 15th of the following month. 2. Rule 2.82.9.8.C(2) NMAC When the 15th of the month falls on a weekend or holiday, the report and contributions are due on the next workday | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.005 | Employer Reporting | Employer data | Employer reporting analyst | I want to apply a payment to an employer’s amounts owing  So that I can determine their current account balance. | I’ll be satisfied when:   * I can select the payment to process * I can select specific transactions to debit the payment * I can apply a credit to each transaction * The system will auto-populate with the full amount, but I can override the amount as needed * Once the amount has been debited, the system will calculate the remaining balance on the payment * I can enter notes in each transaction * Partial payments are allowed * Residual credits can be used for other statements/transactions * Multiple credits can be applied to a single transaction * The system links payments to transactions * I can cancel/reverse a payment, if necessary * The system automatically calculates the account balance, including any penalties and other administrative charges * The system automatically generates an invoice to be sent to the employer, including supporting transaction details * The system generates corresponding GL entries to be transmitted to SHARE | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.006 | Employer Reporting | Employer data | Employer reporting analyst | I want to transfer a payment from one employer’s account to another employer’s account  So that each employer account balance is correct. | I’ll be satisfied when:   * I can transfer all or part of one employer’s payment to another employer’s account * The system will automatically calculate the available credit on each employer’s account | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.007 | Employer Reporting | New employer set up | Employer reporting analyst | I want to set up a new employer account  So that they can submit data and contributions. | I’ll be satisfied when:   * IT can create a new employer account * The employer representatives are given access to ESS * The system will produce an error message if member data is reported for this employer before the new account is created | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.008 | Employer Reporting | Employer account maintenance | Employer reporting analyst | I want to close an employer account  So that their account status is up to date. | I’ll be satisfied when:   * IT can close an employer account * The employer representatives’ access to ESS is revoked * The system will produce an error message if member data is reported after the account is closed | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.009 | Employer Reporting | Employer portal | Proposed solution |  | The system will allow employers to log on to the portal and submit employee data, view a dashboard employer report status (ex. not submitted, rejected, submitted with mismatches, complete, etc.) as well as count of employees and number of contributions by report status. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.010 | Employer Reporting | Member data | Proposed solution |  | The system will capture member demographic data changes (ex. name, date of birth, date of death, address, marital status, etc.) through the employer reporting process and trigger workflow for review. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.011 | Employer Reporting | Employer account maintenance | Proposed solution |  | The system will allow NMERB users to manage/maintain employer accounts, including storing employer demographic data, employer user access to the self-service portal. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.012 | Employer Reporting | Reports, letters & forms | Proposed solution |  | The system will generate a detailed reporting on those records that have not passed validation, as defined by NMERB and have been written to the exceptions table. Examples of information to be included:   * Pay period / Transmittal number * Employee or other ID number * Validation rule violation description * Contribution imbalance amount (if applicable) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.013 | Employer Reporting | System configuration update | Proposed solution |  | The system will allow NMERB users to create new statuses for members without the need for programming updates. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.014 | Employer Reporting | System configuration update | Proposed solution |  | The system will allow NMERB users to update membership eligibility requirements without the need for programming updates. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.015 | Employer Reporting | Data validation | Proposed solution |  | The system will prevent updates from committing to the system when errors exist. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.016 | Employer Reporting | Member data | Proposed solution |  | The system will allow NMERB users to select an exception and post it to the member record once corrective action has been taken. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.017 | Employer Reporting | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to view employer report progress and produce reports about which employer reports have been received, late, delinquent, and view what patterns in reporting exist, etc. Employers will be automatically notified of late reports and non-compliant employers will be flagged per NMERB business rules. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.018 | Employer Reporting | Employer data | Proposed solution |  | The system will allow NMERB users to create an employer deposit with supporting accounting details. The deposit will create a credit on the employer account that can be applied to one or more transactions. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.019 | Employer Reporting | Employer data | Proposed solution |  | The system will allow NMERB users to select a specific employer deposit to apply to one or more transactions. The system will link deposits to the fully or partially paid transactions. NMERB users will be able to enter notes in each transaction. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.020 | Employer Reporting | Employer data | Proposed solution |  | When selecting a transaction to apply a credit, the system will auto-populate with payment with the full amount. NMERB users can override the amount as needed. Once the credit has been applied, the system will automatically calculate the remaining credit balance. Partial payments are allowed, and residual credits can be used for other statements/transactions. Multiple credits can be applied to a single transaction. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.021 | Employer Reporting | Employer data | Proposed solution |  | The system will allow NMERB users to cancel/reverse an employer deposit/credit. The reversal will create a debit on the related transactions, if the deposit has been applied. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.022 | Employer Reporting | Employer invoice | Proposed solution |  | The system calculates the employer account balance, including any penalties and other administrative charges and generates an invoice to be sent to the employer, including supporting transaction details. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.023 | Employer Reporting | General ledger | Proposed solution |  | Upon acceptance and posting, the system will automatically create appropriate general ledger transactions associated with employer remittances including employer account billing statements for delinquent payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.024 | Employer Reporting | Workflow management | Proposed solution |  | The system will trigger workflow from member data changes for review, as defined by NMERB. Changes requiring verifying documentation will not be committed to the system until documentation is received. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.025 | Employer Reporting | Data validation | Proposed solution |  | The system will provide the capability to evaluate multiple data points (e.g., Last Name and DOB) for new and re-hired members to identify possible profiles that exist in the system already. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.026 | Employer Reporting | Data validation | Proposed solution |  | The system will collect certain demographic data to validate members during the processing of employer reports. In the case of mismatches, error messages will be generated and correction by the employer will be required before the data can be posted to the member account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.027 | Employer Reporting | Data validation | Proposed solution |  | The system will notify the employer that a member is not included in the employer's payroll report if NMERB data indicates that an employee status is active for a particular employer. The employer will be responsible for providing these corrections through the employer portal. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.028 | Employer Reporting | Employer portal | Proposed solution |  | The system will give employers access to historical data and reports or individual employee records and use them as a base when submitting current cycle payroll reports. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.029 | Employer Reporting | Data validation | Proposed solution |  | The system will validate data based on NMERB business rules and defined report tolerances prior to accepting a submitted file (valid pay period, file layout, file format, balanced dollar totals, balanced member count totals, blank fields, and duplicate member records) and generate error messages to the employer through the employer portal to investigate, correct, and resubmit transactions as needed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.030 | Employer Reporting | Employer portal | Proposed solution |  | The system will display all transmittal exceptions on a user interface screen with the ability to update the transaction data prior to final submission of the report. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.031 | Employer Reporting | Reports, letters & forms | Proposed solution |  | The system will give employers the ability to run pre-defined reports for their reporting population via the employer portal, such as variance reports (% or $), exception reports, contribution file posting reports, member historical contribution transaction reports and an employer account history. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.032 | Employer Reporting | Workflow management | Proposed solution |  | The system will trigger workflow to the appropriate internal NMERB users prior to report posting based on criteria such as severity of the error or time lapse for the employer to successfully submit a report. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.033 | Employer Reporting | Member data | Proposed solution |  | The system will store/archive historical employer reporting exception errors (messages) for reporting purposes, even after the exception has been “cleared” and “posted” to the member’s record. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.034 | Employer Reporting | Employer report processing | Proposed solution |  | The system will process partial reports, allowing for the processing of acceptable records and suspending other transactions for correction by the employer, and to hold approved reports in a pending status until payment is received from the employer. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.035 | Employer Reporting | Member data | Proposed solution |  | The system will allow authorized NMERB internal users to flag members as “auto-exception” for employer reporting purposes if they have known issues that will prompt continual messages or exceptions on future reports. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.036 | Employer Reporting | Invoicing | Proposed solution |  | The system will create an employer account billing statements that contain an itemization of transactions, including member-level adjustments reported by the employer. Currently, inserting member-level details on the invoice are a manual process. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.037 | Employer Reporting | Employer payment | Proposed solution |  | The system will load a deposit file from the fiscal agent to create a payment/credit transaction on each corresponding employer’s account. Currently, this is a manual process. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 3.038 | Employer Reporting | Invoicing | Proposed solution |  | The system will generate an employer statement of account that can be sent to the employer. The statement will include details of account transactions, statement balances, and the type of deposit being applied. Currently, this is a manual process. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.001 | Annual COLA | Benefit eligibility | Payroll Analyst | I want the system to determine which retirees and survivors are eligible for the current year COLA  So that I don’t have to determine the eligible population manually. | I’ll be satisfied when:   * The system reflects the current year’s COLA eligibility criteria. * I can run a query in the system that lists retirees and survivors who are eligible for the current year COLA for me to validate * I can mark special exception accounts that should be included or excluded from the COLA adjustment   Business Rules:   1. ERA 22-11-31.B. For Tier 1 & 2, when the member reaches age 65 and for Tier 3 & 4, when the member reaches age 67 with COLA commencing on July 1 of the year following the anniversary of their retirement date. 2. ERA 22-11-31.G. For disability retirements, on the July 1 of third anniversary in which the member was approved by the board for disability COLA or disability retirement 3. PERA 10-11-118.B. A qualified pension recipient is eligible for a cost-of-living pension adjustment. A qualified pension recipient is: A normal retired member who has been retired for at least two full calendar years from the effective date of the latest retirement prior to July 1 of the year in which the pension is being adjusted;  * A normal retired member who has attained the age of sixty-five years and has been retired for at least one full calendar year from the effective date of the member’s latest retirement prior to July 1 of the year in which the pension is being adjusted; * A survivor beneficiary who has received a survivor pension for at least two full calendar years; or * A survivor beneficiary of a deceased retired member who otherwise would have been retired at least two full calendar years from the effective date of the latest retirement prior to July 1 of the year in which the pension is being adjusted. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.002 | Annual COLA | Benefit calculation | Payroll Analyst | I want the system to calculate the correct COLA adjustment for NMERB populations  So that I don’t have to do this manually. | I’ll be satisfied when:   * The system reflects the current year’s COLA formula. * The system stores the original pension, and each annual COLA amounts separately   Business Rules:   1. ERA 22-11-31.C. When the Educational Retirement Fund is fully funded (i.e., the funded ratio is 100%)    * If the increase in the CPI is less than 2%, the COLA will be the same amount as the increase in the CPI    * If the increase in the CPI is 2% or greater, the COLA will be one-half of the CPI increase, except that it will not exceed 4% or be less than 2%. 2. When the funded ratio is greater than 90% but is less than 100%, the COLA is adjusted based on the median annual retirement benefit which is recalculated after June 30 each year.    * If an annuitant has 25 or more years of service credit at retirement and their annuity is at or below the median adjusted annuity, their COLA will be reduced by 5% (95% of full COLA).    * Otherwise, their COLA will be reduced by 10% (90% of full COLA). 3. When the funded ratio is 90% or less, the COLA is adjusted as follows:  * If an annuitant 25 or more years of service credit at retirement and their annuity is at or below the median, their COLA will be reduced by 10% (90% of full COLA). * If an annuitant less than 25 years of service credit at retirement or their annuity is more than the median, their COLA will be reduced by 20% (80% of full COLA). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.003 | Annual COLA | Benefit calculation | Payroll Analyst | I want the system to calculate the correct COLA adjustment for PERA populations  So that I don’t have to do this manually. | I’ll be satisfied when:   * The system reflects the current year’s COLA formula. * The system stores the original pension, and each annual COLA amounts separately   Business Rule:   1. 2.82.10.8. I. NMAC A member retired according to the provisions of the Public Employees Retirement Reciprocity Act shall receive the same cost-of-living adjustments provided by each state system under which the retired member acquired eligible reciprocal service credit. Each state system shall pay the cost-of-living adjustment due under the provisions of that state system for the portion of the total pension attributable to service credit acquired under that state system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.004 | Annual COLA | Reports, letters & forms | Payroll Analyst | I need to review the changes that are being applied to member payment amounts  So I can ensure the correct payment amount changes are applied. | I’ll be satisfied when:   * I can access a report containing the data elements related to the COLA process for review and validation: * CPI * Median Annuity * Funded Ratio * Member and non-member indicative data * Pension type (normal, disability, etc.) * Retirement Date * Prior Payment Amount * Applicable COLA * Years of Service * New Payment Amount * Age | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.005 | Annual COLA | Benefit calculation | Payroll Analyst | I need to manually update specific Member’s and Non-members’ accounts for COLA changes  So I can apply the correct legal payment amount changes that currently do not follow the standard rules. | I’ll be satisfied when:   * I can manually override the COLA application to meet legal requirements. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.006 | Annual COLA | Payment maintenance | Proposed solution |  | The system will allow NMERB to setup and track increases to payment amounts due to COLA applications. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.007 | Annual COLA | Payment maintenance | Proposed solution |  | The system will store and maintain all the historical COLA values. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.008 | Annual COLA | Payment maintenance | Proposed solution |  | The system will store and maintain the effective CPI for each yearly application. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.009 | Annual COLA | Payment maintenance | Proposed solution |  | The system will store and maintain all historical COLA amounts that have been applied to member payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.010 | Annual COLA | Reports, letters & forms | Proposed solution |  | The system will create reports that contain member specific data for each payment amount prior to the COLA being applied, the applicable COLA increase, and the post application of COLA amount and additional member information necessary to perform the calculation. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.011 | Annual COLA | Payment maintenance | Proposed solution |  | The system will allow NMERB users to manually override the applicable COLA and payment adjustment as they determine appropriate. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.012 | Annual COLA | Benefit calculation | Proposed solution |  | The system will provide capabilities to automate the calculation and application of COLA on payees’ retirement benefits, as approved by the Board. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.013 | Annual COLA | Benefit calculation | Proposed solution |  | The system will allow an authorized administrator to change the allowable annual COLA percentage to another percentage if the legal limit is changed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.014 | Annual COLA | Reports, letters & forms | Proposed solution |  | At the close of the COLA process, all members that had modifications to their benefits for this process will have a letter generated to communicate the changes to their benefits. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.015 | Annual COLA | Workflow management | Proposed solution |  | The system will notify the appropriate department if there are Alternate Payees with a DRO, to adjust the benefit amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.016 | Annual COLA | Workflow management | Proposed solution |  | The system will notify the appropriate department if an error is produced while running the batch. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.017 | Annual COLA | Workflow management | Proposed solution |  | The system will notify departments, as needed, when a COLA has been applied the previous year, but not posted for the current year. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.018 | Annual COLA | Workflow management | Proposed solution |  | The system will notify departments, as needed, when COLA processing has taken place for members. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.019 | Annual COLA | Data validation | Proposed solution |  | The system will allow NMERB users to perform full and complete review, validation, reconciliation, and quality assurance checks to ensure the COLA is applied correctly to the member account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.020 | Annual COLA | Benefit calculation | Proposed solution |  | The system will handle when there is a 0% COLA increase. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.021 | Annual COLA | Data validation | Proposed solution |  | The system will alert a user with an error message if a user attempts to manually apply an annual COLA increase to a member that is not eligible for the COLA increase. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.022 | Annual COLA | Reports, letters & forms | Proposed solution |  | The system will retain and make available to view and print a history of each year’s applied COLA by plan, by member, and globally. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.023 | Annual COLA | Data validation | Proposed solution |  | The system will have the functionality to add scenarios in the form of a script and run tests that will provide a report of the discrepancies that didn't fall into the parameters or errored out. Currently, this is a manual process at NMERB. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 4.024 | Annual COLA | Benefit calculation | Proposed solution |  | For eligible members, the system will add the COLA amount to their monthly benefit amount to get the full payment amount due to the member. Currently, these calculations must be done manually at NMERB. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.001 | Termination | Batch process | Employer Reporting Analyst | I want the system to load a default termination date for member records that have not received any wage information within 4 months  So we can keep member records up to date based on the best information we have available. | I’ll be satisfied when:   * The process can be scheduled to run automatically. * The process can be configured based on business rules on timing and population selection. * Possible to identify records that were loaded as defaults. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.002 | Termination | Workflow management | Refund Analyst | I want to stop any service purchase requests that are currently open and replace with a refund process for any partial payments received  So we can reverse the service purchase for members that are terminating prior to completing their service purchase. | I’ll be satisfied when:   * Modifications to the open workflow for Service Purchase can be automatically made when a termination date is added. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.003 | Termination | Workflow management | Refund Analyst | I want to track the incoming refund requests from members  So I can review and track additional work to be completed to fulfill those requests. | I’ll be satisfied when:   * The system can track and manage the workflow necessary to complete the refund requests.   Business Rule:   1. NMSA 22-11-51 B. B. Upon termination of employment with a qualifying state educational institution, a participant may transfer or roll over the account balance to another eligible retirement plan or may withdraw the balance as permitted for a plan qualified under Section 401(a) of the Internal Revenue Code of 1986. 2. Rule 2.82.3.11 A. Member contributions which have been withdrawn from the fund by a member who has terminated employment may be returned to the fund, together with interest at the rate set by the board, without the member being required to return to employment if the termination was under one of the following circumstances: 3. the member terminated employment for reasons other than by retirement, disability or death; 4. the member exempted himself or herself from the Educational Retirement Act; or 5. the member has not been reemployed following a period of disability during which the member received disability benefits. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.004 | Termination | Member data | Employer Reporting analyst | I want the ability to manually add termination information as received from employers  So we can keep up member records up to date. | I’ll be satisfied when:   * I can access and modify the termination date information for members. * I can access and modify the wages for members to add in the final certified pay. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.005 | Termination | Member data | Employer Reporting analyst | I want the ability to mark compensation for a member as complete to block further updates  So we can maintain our administrative practice of blocking additional pay after receiving confirmed final pay from the employer. | I’ll be satisfied when:   * I can set a flag that will block further updates to a member’s wages in the system. * I don’t have to manually remove the wages. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.006 | Termination | Reports, letters & forms | Employer Reporting analyst | I want to send the member a letter acknowledging the termination of employment  So the member is informed of the termination. | I will be satisfied when:   * The system will generate an acknowledgement letter based on the termination date in the system * The system will generate an acknowledgement letter one year from the term date in the system * I can print the letter and send it to the member | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.007 | Termination | Member data | Proposed solution |  | The system will receive and standardize termination notifications and key data elements from multiple sources and automatically initiate appropriate workflow process based on member status. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.008 | Termination | Member data | Proposed solution |  | The system will mark accounts with different status codes based on a member’s election (or due to non-response). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.009 | Termination | Workflow management | Proposed solution |  | The system will track workflow and case management processing for Service Purchases request that are in process for members who are terminating. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.010 | Termination | Workflow management | Proposed solution |  | The system will track the receipt of and process of refund and rollover requests for terminated members. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.011 | Termination | Workflow management | Proposed solution |  | The system will start a workflow for members that do not make a termination election and are vested and/or eligible for retirement. | 1 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.012 | Termination | Member data | Proposed solution |  | The system will allow NMERB users to make manual updates of the termination information for members. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.013 | Termination | Member data | Proposed solution |  | The system will block additional updates to wage information on a member’s account after pay has been certified by employer. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.014 | Termination | Batch process | Proposed solution |  | The system will allow for a batch process to automatically assume a termination date for members that meet business rule criteria. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.015 | Termination | Member data | Proposed solution |  | The system will change the contract status of the member to termination status when the Work Report is received. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.016 | Termination | Member data | Proposed solution |  | The system will change the member status to Terminated for member who have taken a refund. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.017 | Termination | Member data | Proposed solution |  | The system will change the member status to Inactive for members with contributions and service credit on file is reported as terminated. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.018 | Termination | Member portal | Proposed solution |  | The system will allow for the member portal to accept refund requests to not require a form to be printed, filled out, and mailed in. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.019 | Termination | Workflow management | Proposed solution |  | The system will automatically generate workflow for recent terminations to facilitate communication with participants about their benefits. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.020 | Termination | Reports, letters & forms | Proposed solution |  | The system will create calculations and forms for participants giving them the option to request the refund of contributions, retiree, or defer their benefits. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 5.021 | Termination | Workflow management | Proposed solution |  | When member information is required from the employer, the system will create a workflow to the employer to provide requested updates. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.001 | Refunds | Benefit eligibility | Refunds Analyst | I want the system to validate if a member or beneficiary is eligible to receive a refund based on the plan rules and the member’s account data,  So I do not have to validate this manually. | I will be satisfied when:   * The system has validations to allow or prevent a refund from being initiated based on the plan rules and the member’s account data * If a refund cannot be initiated, the system produces a explanatory message.   Business Rules:   1. NMSA 22-11-15.A. After filing written demand with the director, a member is entitled to a refund of the total amount of the member’s contributions plus interest at a rate set by the board, reduced by the sum of any disability benefits previously received by the member, if:    1. the member terminates employment for reasons other than by retirement, disability, or death.    2. the member has exempted himself from the Educational Retirement Act; or    3. the member was not reemployed following a period of disability during which he received disability benefits. 2. NMSA 22-11-15.B. The director may, at the request of a member, make payment on behalf of the member for any or all of the refund to an individual retirement account or a qualified retirement plan that accepts rollovers. 3. Rule 2.82.3.9.A. In the event that a member should terminate employment for reasons other than retirement, disability, or death, the member shall be entitled to a refund of the member’s contributions, plus interest calculated at the refund rate, reduced by the sum of any disability benefits which that member might have previously received. Contributions made by an employer on behalf of an employee (also referred to as a “member”) pursuant to NMSA 22-11-21.A are “employee contributions” and are subject to refund. A member is not entitled to a refund of any “employer contributions” (also referred to as “local administrative unit contributions”) made pursuant to NMSA 22-11-21.B. Interest paid by a member to reinstate withdrawn service credit is nonrefundable. 4. Rule 2.82.3.9.B. Any employee who was retired pursuant to the Public Employees Retirement Act (NMSA 11-10) and who had made contributions to the fund prior to July 1, 2003, shall be entitled to a refund of such contributions, with interest calculated at the refund rate upon a bona fide termination of employment with the local administrative unit. 5. Rule 2.82.3.9.C. In order to obtain a refund of contributions, the eligible member must file a written request with the director on forms provided by the board. 6. Rule 2.82.3.9.D. A refund of a terminated member’s contributions shall be made as soon as practical after receipt of a fully executed refund request form in the office of the board. If the member’s record has been inactive for a full calendar quarter, the refund may be processed without further certification of termination by the last employer or the final monthly report upon which the member appears. If the member requesting a refund has an active record (i.e., a record reflecting contributions made in the preceding completed calendar quarter), the refund request shall not be processed without the last employer’s certification of termination and the final monthly report upon which the refunding member will appear. No refund shall be processed until the board has received all required contributions. The board shall not accept contributions subsequent to the submission of the final monthly report, as certified by the employer. If a refunding member returns to employment with any local administrative unit before the refund process is complete, the refund request shall be denied. For purposes of this rule, “termination” means a complete severance of the employment relationship with no contract for, promise of, or expectation of future employment with any local administrative unit. 7. Rule 2.82.3.10.A. In the event of the death of an active member who is not vested, member contributions together with interest calculated at the refund rate shall be refunded to the member’s beneficiary or to the member’s estate upon completion of the proper refund forms as provided for herein. 8. Rule 2.82.3.10.B. In the event of the death of a vested member who did not select Option B benefits prior to the effective date of retirement, the deceased member’s beneficiary shall be have the option of electing to receive a refund of the member’s contributions or receiving benefits in the form of Option B as provided in NMSA 22-11-29. Refunds, together with interest calculated at the refund rate and reduced by the sum of any disability benefits which that member previously received, shall be paid to the member’s surviving beneficiary, surviving spouse or domestic partner if no beneficiary had been named, or if there is no named surviving beneficiary, surviving spouse or domestic partner, to the member’s estate. If a beneficiary defers payment after the member dies as described in NMSA 22-11-29 and requests a lump sum payment in lieu of benefit under Option B, interest shall be calculated at the refund rate though the end of the calendar quarter prior to the date on which the completed refund request is received by the NMERB. Under the provisions of Options B and C, if both the member and the designated beneficiary die before the total of the retirement benefits received by the member and the beneficiary equal the total contributions made by the member, the difference, less any disability benefits previously paid to the member, shall be paid to the member’s or the beneficiary’s estate. 9. Rule 2.82.3.10.C. In order to obtain a refund of contributions after the death of a member, the member’s beneficiary must notify the director of the member’s death and furnish a copy of the death certificate or other proof of death acceptable to the director, whereupon the director shall furnish the beneficiary the proper forms to request a refund. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.002 | Refunds | Benefit calculation | Refunds Analyst | I want the system to calculate which member contributions are refundable and when interest should apply,  So the member/beneficiary receives the correct benefit amount. | I will be satisfied when:   * The system differentiates between refundable and non-refundable employee contributions * The system calculates interest based on the correct interest rates in effect each plan year and the plan refund rules * The system generates a message if any benefit recipient’s amount is less than $0 so that I can research and adjust the amounts if needed   Business Rules:   1. NMSA 22-11-15.D. Interest will apply only to contributions paid to the fund after July l, 1971 and on deposit in the fund for a period of at least one fiscal year; provided that no such interest shall be allowed on refunds of contributions that were paid into the fund prior to July 1, 1971. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.003 | Refunds | Workflow management | Refunds Analyst | I want a red alert if there is a legal hold on a member’s account (e.g., DRO on file) before issuing a distribution of funds  So that the account is reviewed and issues resolved before any payments are made. | I will be satisfied when the system:   * Generates a message if there is a legal hold on the account * Allows NMERB staff to update/remove the legal hold so that the payment can be made | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.004 | Refunds | Workflow management | Refunds Analyst | I want the system to restrict distribution or rollover of funds if the member has a DRO on file that has not been approved by the Legal department  So a workflow can be routed to the Legal department. | I will be satisfied when the system:   * Checks if there is a legal hold on the account (DRO indicator) and whether the Legal department has approved the DRO * Produces a message explaining why a payment transaction cannot be initiated or completed * Has logic that will prevent a payment from being made until Legal provided their approval | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.005 | Refunds | Payment set up | Refunds Analyst | I want the system to process payments appropriately for members who have one or more DRO’s on file, where multiple payments to multiple payees may be necessary  So I do not have to generate these payments manually. | I will be satisfied when:   * Legal correctly calculates the payment amount due to each benefit recipient based on the respective DRO instructions set up on the system. Amounts are rounded to the nearest penny and total equals the member’s refundable contribution balance. * The system allows me to enter the payment instructions for each benefit recipient * The system generates the correct 1099R for each benefit recipient and payment type | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.006 | Refunds | Payment set up | Refunds Analyst | I want the system to be able to produce multiple payments for a member in one transaction, based on the member’s election  So I do not have to generate these payments manually. | I will be satisfied when:   * I can enter the member’s election that specifies how the contribution balance is to be paid, which may result in one or multiple cash or rollover payments. Amounts are rounded to the nearest penny and total equals the member’s refundable contribution balance. * The system produces one or multiple payments based on the payment instructions * The system generates the correct 1099R based on the non-tax-deferred payment amount | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.007 | Refunds | Payment set up | Refunds Analyst | I want the system to process payments appropriately for members who have one or more beneficiaries on file, where multiple payments to multiple payees may be necessary  So I do not have to generate these payments manually. | I will be satisfied when the system:   * Accurately calculates the payment amount due to each benefit recipient based on the respective allocation set up on the system. Amounts are rounded to the nearest penny and total equals the member’s refundable contribution balance. * Generates a message if any benefit recipient’s amount is less than $0 so that I can research and adjust the amounts if needed * Allows me to enter the payment instructions for each benefit recipient * Spouses are eligible to rollover their benefit while non-spouse payees must receive cash   + Generates the correct 1099Rfor each benefit recipient and payment type | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.008 | Refunds | Tax withholding | Refunds Analyst | I want the system to calculate the correct federal and state withhold taxes for refund and rollover payments  So the payment is compliant with the tax legislation. | I will be satisfied when the system:   * Differentiates between taxable and tax-deferred payment types * For rollover payments, withholds 0% federal and state tax * For refund payments, withholds 20% federal tax * For refund payments, withholds an additional 10% for the early distribution penalty using the member’s date of birth to determine if the penalty applies * For post-retirement death lump sums, withholds 20% federal tax * • Allows me to override system-calculated values for exception cases | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.009 | Refunds | 1099R | Refunds Analyst | I want the system to generate individual 1099Rs for each type of payment with a unique distribution code  So that NMERB is compliant with tax reporting requirements. | I will be satisfied when the system:   * Generates individual 1099Rs for each type of payment with a unique distribution code. * • Generates only one 1099R if a distribution code is the same for multiple payments | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.010 | Refunds | Payment reconciliation | Refunds Analyst or GL Accountant | I want the system to perform a full and complete review, validation, reconciliation, and quality assurance checks to ensure the payments issued are correct regardless of the purpose or method of payment  So I do not have to do this manually. | I will be satisfied when the system:   * Perform a full and complete review, validation, reconciliation, and quality assurance checks * Generate and save various reconciliation reports generated during each refund process | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.011 | Refunds | Reports. Letters & forms | Refunds Analyst or GL Accountant | I want the system to display, save, and allow me to print the various reconciliation reports generated during the refund process  So I can complete an audit. | I will be satisfied when the system:   * Displays, saves, and allows me to print the various reconciliation reports | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.012 | Refunds | General ledger | GL Accountant | I want to audit the SHARE export files  So amounts are confirmed before transmitting to DFA. | I’ll be satisfied when:   * The detail and summary reports contain the breakdown of deposits and disbursement by GL account numbers (e.g., principle, interest) * The system will extract GL data and records data based on business rules defined by NMERB * I can request the GL extract to be rerun if I find issues and data is updated on the system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.013 | Refunds | Reports, letters & forms | Refunds Analyst | I want the system to create an Explanation of Benefit (EOB) that will go to the member/survivor  So I do not have to do this manually. | I will be satisfied when the system:   * Generates an EOB addressed to the member/survivor * Allows me to edit the letter as needed * Allows me to select to print the letter on demand or as part of a batch print job | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.014 | Refunds | Payment processing | Refunds Analyst | I want to process a payment withdrawal for a deferred or inactive member/survivor who has elected a refund in lieu of pension payments  So that they receive their benefit entitlement. | I will be satisfied when:   * The system validates that the member or survivor is entitled to a withdrawal (e.g., pension is not set up on payroll) * I can process a refund for any member or survivor with a deferred pension in lieu of a monthly pension * The member’s benefit entitlement status changes from deferred to paid out (no further benefit payable) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.015 | Refunds | Payment processing | Refunds Analyst | I want the system to process full and partial rollovers  So members can have some flexibility on how to receive their pension benefit. | I will be satisfied when the system:   * Differentiates between refundable contributions that are rollover eligible and ineligible * Allows any portion of their rollover eligible refundable contributions to be directed to a rollover account * Allows the portion that is not directed to a rollover account to be paid as cash that is subject to tax withholding rules * Differentiates between payee types that are eligible for rollover (member and spouse) or not (non-spouse beneficiaries) and restricts the payment type accordingly   Business Rules:   1. NMSA 22-11-15.B. The director may, at the request of a member, make payment on behalf of the member for any or all of the refund to an individual retirement account or a qualified retirement plan that accepts rollovers. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.016 | Refunds | Payment processing | Refunds Analyst | I want the system to store financial institution data if the member selects a full or partial rollover  So the payment arrives at the correct destination. | I will be satisfied when the system:   * Allows me to enter the rollover account information manually * Performs front-end data validation for routing so that the payment does not reject | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.017 | Refunds | Reports, letters & forms | Refunds Analyst | I want the system to create a rollover payment letter that will go to the financial institution  So I do not have to do this manually. | I will be satisfied when the system:   * Generates a letter addressed to the financial institution containing selectable demographic information about the member, as well as financial institution information * Allows me to edit the letter, as needed * Allows me to select to print the letter on demand or as part of a batch print job | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.018 | Refunds | Member data | Proposed solution |  | The system will keep a record of a withdrawing member’s final account balance of member taxed and/or tax deferred contributions, interest, and service prior to it being reduced to zero by the refund for use should the member be eligible to redeposit funds in the future. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.019 | Refunds | Member data | Proposed solution |  | The system will keep the original payment number (currently received from the write-back file) and date after the member takes the distribution. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.020 | Refunds | Member data | Proposed solution |  | The system will maintain payment history with updated check numbers for all distributions. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.021 | Refunds | Member data | Proposed solution |  | The system will automatically reduce the member’s account balance of member taxed and/or tax deferred contributions, interest, and service down to zero when withdrawal payments are posted in the system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.022 | Refunds | Member data | Proposed solution |  | The system will display paid status of distribution in payment history for the member. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.023 | Refunds | General ledger | Proposed solution |  | The system will allow NMERB to assign different general ledger account numbers for active versus deceased benefit recipients. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.024 | Refunds | Workflow management | Proposed solution |  | The system will put a member account into a “pending” type of status prior to receiving all necessary information for actual processing. This will help to track distributions even prior to their setup | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.025 | Refunds | Workflow management | Proposed solution |  | The system will allow NMERB users to review all “pending” member accounts in a single screen, and to be able to initiate the payment(s) from this screen. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.026 | Refunds | General ledger | Proposed solution |  | The system will generate individual payment journals for posting to DFA’s financial system and generate actual checks. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.027 | Refunds | Workflow management | Proposed solution |  | The system will prevent refund processing for a member who has applied for service retirement or disability and who has not been denied (DR only) or has not withdrawn the application. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.028 | Refunds | Payment maintenance | Proposed solution |  | The system will automatically generate a new payment based on the prior selection once payment has been posted (rollover or withdrawal check), within a time period specified by the system, and an adjustment posts additional funds from the employer. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.029 | Refunds | Workflow management | Proposed solution |  | The system will flag accounts for terminated members that have filed for an appeal of their termination. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.030 | Refunds | Workflow management | Proposed solution |  | The system will prevent processing a refund within 6 months of termination when an account has been flagged as going through appeal. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.031 | Refunds | Benefit calculation | Proposed solution |  | The system will prevent NMERB from issuing more than 100% of the benefits payable on an account. | 1 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.032 | Refunds | Workflow management | Proposed solution |  | The system will notify NMERB staff when a payment has been requested but has not been issued within an NMERB specified period. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.033 | Refunds | Payment set up | Proposed solution |  | The system will to support the distribution of benefits to multiple beneficiaries in the case of death of a member recipient. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.034 | Refunds | Withholding taxes | Proposed solution |  | The system will accurately calculate the taxes on payments associated with distributions to multiple beneficiaries. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.035 | Refunds | Payment set up | Proposed solution |  | The system will accurately divide benefits amongst multiple beneficiaries so that the sum of allocations equal 100% (e.g. 3 beneficiaries would be splits into 33.33%, 33.33%, 33.34%). Each benefit is rounded to the nearest penny and the total must equal the total of the member’s refundable contribution balance. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.036 | Refunds | Reports, letters & forms | Proposed solution |  | The system will generate an Explanation of Benefits letter without the need for extensive manual intervention by NMERB staff. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.037 | Refunds | Payment set up | Proposed solution |  | The system will allow payments to be directed to trusts, charities, estates, and other non-human entities. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.038 | Refunds | Payment set up | Proposed solution |  | The system will allow NMERB users to enter rollover institutions on a one-time basis without the need to lookup previously used institution data. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.039 | Refunds | Payment maintenance | Proposed solution |  | The system will allow NMERB users to process reissues for rejected/returned payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.040 | Refunds | 1099R | Proposed solution |  | The system will generate 1099Rs that take re-issued payments into account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.041 | Refunds | Payment set up | Proposed solution |  | The system will allow NMERB to issue one-time payments via direct deposit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.042 | Refunds | Payment maintenance | Proposed solution |  | The system will automatically generate a payment when additional funds post after a refund check has already been issued and posted to the system based on the claimant’s prior distribution election (i.e. rollover, direct payment, etc.) and notify NMERB staff to review and release the payment. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.043 | Refunds | Payment maintenance | Proposed solution |  | If a member’s refund has not been submitted to Payroll or cashed, the system will suspend processing the refund if the member returns to an NMERB participating position, regardless of the length of time from the termination. A list of suspended refunds will be generated for NMERB to review. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.044 | Refunds | Payment maintenance | Proposed solution |  | The system will allow a payment to be adjusted or recalculated and a check reissued in the adjusted amount only if the payment has not been posted. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.045 | Refunds | Payment maintenance | Proposed solution |  | The system will allow NMERB users to change the payment distribution type from a rollover to a withdrawal check to the member, and vice versa, without having to recalculate, terminate, or cancel the payment record or benefit setup. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.046 | Refunds | General ledger | Proposed solution |  | The system will create general ledger financial transactions only upon generation of the payments, not at the time the setup of the distribution is done (i.e., during the running of a termination payroll batch process). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.047 | Refunds | Payment maintenance | Proposed solution |  | The system will allow 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 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.048 | Refunds | Payee data | Proposed solution |  | The system will allow changes to Member/Claimant Beneficiary information such as Member/Claimant Beneficiary address or name without having to void the original payment, prior to the payment being posted. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.049 | Refunds | Workflow management | Proposed solution |  | The system will create an alert or warning when address or Member/Claimant Beneficiary name is altered. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.050 | Refunds | General ledger | Proposed solution |  | The system will generate journal entries for both regular and re-issued payments for the SHARE general ledger. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.051 | Refunds | Workflow management | Proposed solution |  | The system will provide a workflow that will facilitate the processing of all one-time payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.052 | Refunds | Workflow management | Proposed solution |  | The system will allow NMERB users to select defined rejection reasons for refund applications, instead of requiring manual entry of a reason in all situations. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.053 | Refunds | Withholding tax | Proposed solution |  | The system will withhold 10% from a refund payment for an early distribution penalty using the member’s date of birth to determine the amount of the penalty so NMERB is compliant with the tax legislation. Currently, NMERB does not enforce this penalty within the system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.054 | Refunds | Reports, letters & forms | Proposed solution |  | The system will create a report that contains accounting tables used for reconciliation of refund batches for refund analysts to review prior to queueing disbursements. Currently, this does not exist. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.055 | Refunds | Payment set up | Proposed solution |  | The system will not include the interest paid by a member to reinstate withdrawn service credit. This interest amount is nonrefundable. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.056 | Refunds | Data validation | Payroll analyst | I want to review member’s accounts of payments  So I can determine if an overpayment was made. | I will be satisfied when:   * I can review and validate all payments made to a participant. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.057 | Refunds | Member data | Payroll analyst | I want to make updates to member accounts for notes concerning payment modification and updates  So that the documentation of member payment data is kept up to date. | I will be satisfied when:   * I can add free form text notes and attach supplemental documentation to the member account * I can review all current notes and attachments on member accounts. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.058 | Refunds | Reports, letters & forms | Payroll analyst | I want to be able to create a letter to send to the member’s bank alerting them to an overpayment  So I can facilitate the reclamation of those payments. | I will be satisfied when:   * I can generate a letter to the recipient financial institution that was paid the overpayment and request for its return. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.059 | Refunds | Reports, letters & forms | Payroll analyst | I want to be able to create a letter to send to the NMERB’s financial institution alerting them to an overpayment  So I can facilitate the reclamation of those payments. | I will be satisfied when:   * I can generate a letter to the NMERB’s financial institution that disbursed the overpayment and request for its return. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.060 | Refunds | Reports, letters & forms | Payroll analyst | I want to be able to create a letter to send to the member’s estate alerting them to an overpayment  So I can facilitate the reclamation of those payments. | I will be satisfied when:   * I can generate a letter to the member’s estate that received the overpayment and request for its return. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.061 | Refunds | Reports, letters & forms | Payroll or Refund analyst | I want to generate a notification for each failed ACH deposit for the check writing entity,  So a paper check can be sent in its replacement to pay members. | I will be satisfied when:  • that the system supports notifications of each individual failed ACH transaction so that DFA can create a replacement paper check. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.062 | Refunds | Reports, letters & forms | Payroll or Refund Analyst Supervisor | I want to review and approve letters generated that request a replacement paper check for a failed ACH  So I can ensure no fraudulent activities are occurring. | I will be satisfied when:   * I can review all letters that are queued for replacement check requests. * I can review all accounts and payment data associated to requests for printed replacement checks. * I can indicate the letters have been reviewed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.063 | Refunds | Reports, letters & forms | Payroll or Refund analyst | I want to generate a letter for each failed ACH deposit for the member’s consumption  So I can inform them why they are receiving a paper check for a particular month’s disbursement. | I will be satisfied when:   * I can generate a letter that can be sent to the participant explaining the reason and details for a paper check. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.064 | Refunds | Member data | Payroll or Refund analyst | I want to make updates to member accounts for notes concerning payment modification and updates  So that the documentation of member payment data is kept up to date. | I will be satisfied when:   * I can add free form text notes and attach supplemental documentation to the member account * I can review all current notes and attachments on member accounts. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.065 | Refunds | Payment maintenance | Payroll or Refund analyst | I want to cancel an annuitant, beneficiary, or estate payment  So that it will not be issued. | I will be satisfied when:   * I can select the payment that I want to suspend * I can verify the person(s) that the payment is being/was issued to * The disbursement status of the payment is updated: * For a pending payment (not yet submitted to Wells Fargo or DFA for processing), I can select ‘Suspended’ for the payment status. * Once a payment is cancelled: * The selected payment is suspended * Previous plan status is reinstated, if appropriate * For lump sums, contribution balance and service credits are restored. * Withholding taxes cannot be reversed if the taxes have been remitted to the government. When the benefit is reissued, the withholding tax on the reissued payment must be adjusted for tax previously remitted.   + For pensions, payment amounts are reversed (net and deductions). Withholding taxes cannot be reversed if the taxes have been remitted to the government.   + The YTD balances for gross, deductions, and net payment amounts are recalculated based on the cancelled payment   + The corresponding 1099R will take the cancelled payment into account. This may result in no 1099R being generated ($0 paid). * I can override system-generated values for exception cases * The system calculates the overpayment amount, if applicable * I can add notes to the member’s account * I can run reports that lists cancelled payments so that I can inform other interested parties such as PERA and NMRHCA | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.066 | Refunds | Payment maintenance | Payroll or Refund analyst | I want to void an annuitant, beneficiary, or estate payment  So that it will not be paid. | I will be satisfied when:   * I can select the payment that I want to void * I can verify the person(s) that the payment is being/was issued to * The disbursement status of the payment is updated to voided. * Once a payment is Voided: * Previous plan status is reinstated, if appropriate * For lump sums, contribution balance and service credits are restored. * Withholding taxes cannot be reversed if the taxes have been remitted to the government. When the benefit is reissued, the withholding tax on the reissued payment must be adjusted for tax previously remitted. * For pensions, payment amounts are reversed (net and deductions). Withholding taxes cannot be reversed if the taxes have been remitted to the government. * The YTD balances for gross, deductions, and net payment amounts are recalculated based on the cancelled payment * The corresponding 1099R will take the cancelled payment into account. This may result in no 1099R being generated ($0 paid). * I can override system-generated values for exception cases * I can add notes to the member’s account * I can run reports that lists cancelled payments so that I can inform other interested parties such as PERA and NMRHCA | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.067 | Refunds | Reports, letters & forms | Payroll Analyst | I want to be able to send the member’s estate the DFA affidavit  So the check that was sent to the member can be voided. | I will be satisfied when:   * The system generates the letter to be sent to the members estate | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.068 | Refunds | General ledger | GL accountant | I want reverse journal entries created for voided payments  So that I can reconcile with SHARE and the agency bank account. | I will be satisfied when:   * The system generates reversing GL transactions, if appropriate, that map to the correct GL accounts | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.069 | Refunds | Supporting documents | Payroll or Refund analyst | I want to specify which documents have been received or sent  So that the auditor can verify the supporting information. | I will be satisfied when:   * I can record whether an affidavit has been received and accepted for lost checks * I can enter when the affidavit has been sent to DFA so that NMERB can follow up if DFA response is not timely | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.070 | Refunds | Payment maintenance | Payroll or Refund analyst | I want to resume a suspended pension  So that the benefit recipient receives their payment. | I will be satisfied when:   * I can change the suspended payment status so that the payment can resume * I can specify the effective date that the payment resumes   + The system will calculate any retroactive amounts due or additional interest, if applicable * I can transfer a deceased retiree’s uncashed payments to their survivor | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.071 | Refunds | Payment maintenance | Payroll or Refund analyst | I want to add payment information for payments generated outside the system (reissued checks)  So that the benefit recipient’s account is accurate and up-to-date. | I will be satisfied when:   * I can add payment information for the reissued check to the benefit recipient account without generating a new payment request and new GL transactions * Once payment information is added: * The YTD balances for gross, deductions, and net payment amounts are recalculated based on the added payment information * The corresponding 1099R will be redetermined with the new payment information incorporated. * I can override system-generated values for exception cases. * The system recalculates the under or overpayment amount, if applicable * I can add notes to the member’s account * I can run reports that lists reissued payments so that I can inform other interested parties such as PERA and NMRHCA | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.072 | Refunds | Data validation | Payroll or Refund analyst | I want the system to perform validation, reconciliation, and quality assurance checks to ensure the payments issued are correct regardless of the purpose or method of payment  So I do not have to do this manually. | I will be satisfied when the system:   * Perform validation, reconciliation, and quality assurance checks * Generate and save various reconciliation reports generated during each refund and payroll process | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.073 | Refunds | 1099R | Payroll or Refund analyst | I want the system to generate individual 1099Rs for each type of payment with a unique distribution code  So that NMERB is compliant with tax reporting requirements. | I will be satisfied when the system:   * Generates individual 1099Rs for each type of payment with a unique distribution code * Generates only one 1099R if a distribution code is the same for multiple payments | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.074 | Refunds | Payment maintenance | Payroll or Refund analyst | I want to be able to save and maintain financial institution data for partial or full rollover payments  So that I don’t have to re-enter the account information to reissue the payment. | I will be satisfied when the system:   * Allows me to change the member’s existing rollover account information * Performs front-end data validation for routing so that the payment does not reject | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.075 | Refunds | Payment maintenance | Proposed solution |  | The system will allow NMERB users to stop check requests after a payroll run but before a certain deadline set out by NMERB/DFA (e.g., submitted but not issued). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.076 | Refunds | Payment maintenance | Proposed solution |  | The system will allow NMERB users to cancel, revoke, suspend or void a payment if required. The system will have corresponding payment status descriptions. The system will also calculate any overpayment amounts, if applicable. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.077 | Refunds | Payment maintenance | Proposed solution |  | For lump sum payments that are cancelled, the system will restore the member’s contribution balance and service credits and reinstate the member’s prior plan status, if applicable. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.078 | Refunds | Benefit calculation | Proposed solution |  | The system will recalculate a member’s YTD balances for gross, deductions, and net payment amounts for a cancelled payment. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.079 | Refunds | 1099R | Proposed solution |  | The system will redetermine the 1099R for cancelled payments. Cancelled payments may result in no 1099R being generated ($0 paid). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.080 | Refunds | Payment maintenance | Proposed solution |  | The system will allow NMERB users to resume a suspended benefit, if required. The system will calculate any retroactive amounts due or additional interest, if applicable. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.081 | Refunds | Payment maintenance | Proposed solution |  | The system will save and maintain financial institution data for cancelled partial or full rollover payments and allow NMERB users to use this information or change the rollover account information for reissued payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.082 | Refunds | Payment maintenance | Proposed solution |  | The system will allow NMERB users to add payment information for reissued payments without triggering a new payment request and new GL transactions. The system will recalculate a member’s YTD balances for gross, deductions, and net payment amounts for the reissued payment. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.083 | Refunds | Usability | Proposed solution |  | The system will allow NMERB users to override system-generated values for exception cases. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.084 | Refunds | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to run reports that list cancelled and reissued payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.085 | Refunds | Payment maintenance | Proposed solution |  | The system will allow NMERB users to reissue or replace checks. Currently, reissued/replacement checks are processed outside the system, causing issues with tax slip reporting and financial reconciliation. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.086 | Refunds | General ledger | Proposed solution |  | The system will allow NMERB users to create DFA voucher file extract entries for reissued checks. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.087 | Refunds | General ledger | Proposed solution |  | The system will generate journal entries for reissued checks will be used to update SHARE. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.088 | Refunds | 1099R | Proposed solution |  | The system will generate correct 1099s based on the non-tax-deferred payment amount when a payment is reissued. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.089 | Refunds | Tax withholding | Proposed solution |  | The system will apply the correct tax withholding to reissued payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.090 | Refunds | Workflow management | Proposed solution |  | The system will trigger a workflow once a payment status has been updated due to EFT rejection from the bank. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.091 | Refunds | Workflow management | Proposed solution |  | The system will allow NMERB users to initiate a workflow to reissue a check based on the response from a benefit recipient regarding an uncashed check. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.092 | Refunds | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to generate an editable letter to the member when a payment/check has not cleared or become stale-dated after a certain period, as defined by NMERB. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.093 | Refunds | Payment maintenance | Proposed solution |  | The system will allow NMERB users to automatically change the payment status to ‘void’ when a check has not cleared after a number of days specified by NMERB (e.g., stale-dated). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.094 | Refunds | Workflow management | Proposed solution |  | The system will trigger a workflow process to investigate when a warrant is returned. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.095 | Refunds | Payment maintenance | Proposed solution |  | The system will automatically suspend the associated benefit when a void is placed on any returned checks or ACH rejects. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.096 | Refunds | Workflow management | Proposed solution |  | The system will allow NMERB users to flag a payee as “undeliverable” when it is known the payee does not have a valid address (i.e., in the case of a required member deduction that is automatically issued to an alternate payee). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.097 | Refunds | Payment processing | Proposed solution |  | The system prevent payment for a payee flagged as “undeliverable” and track the balance owed for the payee within the proposed solution. This feature will reduce the number of payments that need to be cancelled and reissued. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.098 | Refunds | Reports, letters & forms | Proposed solution |  | The system will generate notifications to be sent to member’s financial institution to request the refund of overpayments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.099 | Refunds | Reports, letters & forms | Proposed solution |  | The system will generate notifications to be sent to NMERB’s financial institution to facilitate the return of disbursed funds that are part of an overpayment. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.100 | Refunds | Reports, letters & forms | Proposed solution |  | The system will generate notification to be sent to the member’s estate to request the refund of overpayments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.101 | Refunds | Reports, letters & forms | Proposed solution |  | The system will generate a letter that can be processed by DFA to create a replacement paper check. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.102 | Refunds | Workflow management | Proposed solution |  | The system will track the review and processing for replacement printed checks | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 6.103 | Refunds | Reports, letters & forms | Proposed solution |  | The system will generate a letter that can be sent to the participant explaining the reason and details for a paper check. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.001 | Retirement | Supporting documents | Benefit analyst | I want to record when documents have been received and whether they have been approved/rejected  So that the status of a member’s application is up-to-date. | I’ll be satisfied when:   * The system generates a list of required documents that correspond to the transaction/process (e.g., conditional list of documents) * I can indicate which documents have been received, the date received, and whether the document has been approved or rejected * I can produce system-generated letters that are editable (e.g., application receipt confirmation letter, approval/rejection letters, follow-up letters) * Some transactions will display warning/error messages depending on whether certain documents are received, as defined by NMERB   Business Rules:   1. Rule 2.82.5.9.C. NMAC Retirement applications must be received by NMERB before the desired retirement date. Unless the delay is not caused by the member (e.g., employer), the retirement application is cancelled, and the member must start the application process over again. Applications must be signed by the member. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.002 | Retirement | Benefit eligibility | Benefit analyst | I want the system to display whether the member is retirement eligible based on the data on file and the desired effective date of retirement  So that I don’t have to do this validation manually. | I’ll be satisfied when:   * The system calculates and displays the member’s earliest retirement date in real time * I can select the retirement type (e.g., normal, NMERB reciprocity, PERA reciprocity)   Business Rules:   1. Rule 2.82.5.8.A. NMAC A member shall not be considered eligible to retire unless the member has 5 years of contributory employment, even though the member may be otherwise eligible by reason of age, service and for tender of payment via contributions. 2. Rule 2.82.5.11 NMAC If the employment period for a member is less than 218 days, then the member falls under the 9-month contract rule, which means that their retirement date can be the 1st of the month following the month in which they terminate, unless the member terminates in May or June in which case the member is eligible to retire July 1st. if the employment period is greater than 218 days, the member falls under the 12-month rule and their retirement date can be the 1st of the month following the month in which they terminate. 3. Rule 2.82.5.8.B. NMAC A school bus driver is not eligible to retire unless the owner-driver terminates the contract with the schools. 4. 4. Rule 2.82.5.10.B. NMAC For retiring members who complete academic or fiscal year prior to July 1, the member shall not be entitled to retirement benefits for the months of July or August if the member returns to employment at the start of the next academic or fiscal year. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.003 | Retirement | Member data | Benefit analyst | I want to enter additional wage and contribution data  So that it is included in the benefit calculation. | I’ll be satisfied when:   * I can add data from the employer and/or PERA * I can adjust historical data, if necessary * The member’s retirement eligibility will be redetermined with the data on file * The benefit calculation will use the data on file according to the plan rules   Business Rules:   1. Rule 2.82.5.10.A(1) NMAC If the retiring member’s employment terminated at least 90 days prior to the effective date of retirement, benefits will begin at the end of the month following the effective date of retirement. 2. Rule 2.82.5.10.A(2) NMAC If the retiring member’s employment terminated within 90 days prior to the effective date of retirement, the benefit may be estimated and begin at the end of the month following the effective date of retirement. 3. Active Members should have a work history up to the quarter preceding their Effective Date of Retirement or a retirement cannot be processed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.004 | Retirement | Member data | Benefit analyst | I want to enter additional wage and contribution data  So that it is included in the benefit calculation. | I’ll be satisfied when:   * I can add data from the employer and/or PERA * I can adjust historical data, if necessary * The member’s retirement eligibility will be redetermined with the data on file * The benefit calculation will use the data on file according to the plan rules   Business Rules:   1. Rule 2.82.5.10.A(1) NMAC If the retiring member’s employment terminated at least 90 days prior to the effective date of retirement, benefits will begin at the end of the month following the effective date of retirement. 2. Rule 2.82.5.10.A(2) NMAC If the retiring member’s employment terminated within 90 days prior to the effective date of retirement, the benefit may be estimated and begin at the end of the month following the effective date of retirement. 3. Active Members should have a work history up to the quarter preceding their Effective Date of Retirement or a retirement cannot be processed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.005 | Retirement | Reports, letters & forms | Benefit analyst | I want the system to generate a letter to the member or employer requesting additional information upon review of the member’s application materials  So that I don’t have to create this letter manually. | I’ll be satisfied when:   * I can select which letter I want to generate * The letter includes a customizable checklist that I can select to include in the letter * I can add custom text, as needed * I can submit this to print as an on demand or batch print job   Business Rule:   1. Copies of acceptable proof of age for the member and beneficiaries need to be included with the application: birth certificate, delayed birth certificate, baptismal certificate, valid passport, valid driver’s license, or certificate of Degree of Indian or Alaskan Blood (CDIB). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.006 | Retirement | Reports, letters & forms | Member Relations Associate | I want to send the member their summary of computations for review  So that they can verify their service credits. | I will be satisfied when:   * The system generates a summary of computations for review that I can mail to the member * I can see the summary of computations for review on the member’s account and when it was mailed so that I know when the 90 days expires   Business Rules:   1. Rule 2.82.5.10.C. NMAC The retiring member shall be furnished with copies of all computations including a listing of the member’s service credit, and the member shall have 90 days after receipt of same in which to file notice of correction with the director, after which time the computations and service may not be corrected by the member. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.007 | Retirement | Reports, letters & forms | Benefit analyst | I want the system to generate a final retirement estimate based upon review of the member’s application materials  So that I don’t have to create this letter manually. | I’ll be satisfied when:   * The system calculates the estimated pension amount correctly * The system displays the options that the member is eligible for * The system produces an election form outlining the different options that the member is eligible for * The letter includes a customizable checklist that I can select to include in the cover letter * I can add custom text to the cover letter, as needed * I can submit documents to print on demand or in batch print job   Business Rules:   1. Rule 2.82.5.10.H(1) NMAC Re-retirement will be calculated in the same way as the member’s last benefit and will be based on the last five-year average or highest consecutive five-year average, whichever is greater for which contributions were made, and the member’s total service at re-retirement. The retirement benefit formula will be the same as at the last retirement unless the member returns to employment for at least 4 quarters after the effective date of change in the formula, in which case the benefit computation will be based on the benefit formula in effect at time of re-retirement. 2. Rule 2.82.5.10.H(2)I NMAC In no case can the member’s re-retirement benefit be less than the member was receiving when the member returned to employment. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.008 | Retirement | Retirement processing | Member Relations Associate | I want to close a retirement application  So that this application is removed from the work queue. | I will be satisfied when:   * I can cancel/revoke all pending activities associated with the retirement application. * A retirement application is closed after 90 days from the Retirement Effective Date and no response. NMERB has the authority to waive or extend the 90 day deadline if the delay is outside of the member’s control. * Retirements are cancelled/revoked if the member decides to purchase service after they have submitted a retirement application (process starts over) * No retroactive pension payments are made, except in exception cases * Once a retirement is in the payroll queue, it cannot be revoked. The system considers the payment to have been made. * I can add notes to the member’s account | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.009 | Retirement | DRO calculation | Paralegal | I want to enter the DRO information  So that the member and ex-spouse receive their correct entitlement. | I will be satisfied when:   * I can enter how the member’s benefit is to be split with the ex-spouse as directed by DRO and interpreted by general counsel. A member may have multiple DRO benefit splits. * The system will calculate the member and ex-spouse’s respective entitlement based on the DRO information entered * The system will keep the member and ex-spouse benefit entitlement and tax slip reporting separate | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.010 | Retirement | Retirement processing | Member Relations Associate | I want to enter a member’s retirement election  So that the member’s election is set up on payroll. | I will be satisfied when:   * I can indicate which documents have been received, the date received, and whether the document has been approved or rejected * I can enter the member’s option election and other information such as bank account and tax withholding * If the member is re-retiring, the original option stays in effect unless the Option B/C beneficiary has passed away * The system validates that all mandatory information has been entered before submitting the payment to payroll * I can add notes to the member’s account   Business Rules:   1. NMSA 22-11-25.B. At the time of retirement following a period of reemployment, the member’s retirement benefits shall be paid in accordance with the terms of the option selected at the time of the first retirement. 2. Rule 2.82.10.8.J. NMAC A member retiring according to the provisions of the Public Employees Retirement Reciprocity Act shall only elect a form of payment option with the payor system. Each state system shall calculate benefits according to the same form of payment, except in the case of a member who retires under PERA and elects form of payment D, in which case the ERA component of the pension shall be calculated according to form of payment A. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.011 | Retirement | Benefit eligibility | Benefit analyst | I want to determine if a member is eligible for a disability retirement  So that I know whether to send them additional forms and information. | I’ll be satisfied when:   * I can see their service and employment information * I can generate a disability retirement estimate to mail to the member * I can generate a disability retirement cover letter * I can add custom text to the cover letter, as needed * I can submit documents to print on demand or in batch print job   Business Rules:   1. NMSA 22-11-35.A. A member shall be eligible for disability benefits if the member has acquired ten years or more of earned service credit and if the board certifies the member to be totally disabled to continue the member's employment and unable to obtain and retain other gainful employment commensurate with the member's background, education and experience. 2. NMSA 22-11-35.B. Prior to any certification of disability by the board, the board shall require each applicant for disability benefits to submit medical records as required by the board in support of the applicant's disability claim. 3. NMSA 22-11-38 A member receiving disability benefits upon attaining age 60 shall be considered as retiring pursuant to the ERA at the rate of benefits received for the disability. 4. Rule 2.82.6.9.A. An application for benefits may be filed prior to, and in anticipation of a member's termination by reason of disability, or within a reasonable time following the date of termination.  * If a member has terminated and more than a year has lapsed in their employment, they are ineligible for a disability retirement. Similarly, if they have applied and haven’t terminated employment more than a year later, their disability application will be closed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.012 | Retirement | Supporting documents | Benefit analyst | I want to record when documents have been received and whether they have been approved/rejected  So that the status of a member’s application is up-to-date. | I’ll be satisfied when:   * The system generates a list of required documents that correspond to the transaction/process (e.g., conditional list of documents) * I can indicate which documents have been received, the date received and whether the document has been approved or rejected * I can produce system-generated letters that are editable (e.g., approval/rejection letters, follow-up letters) * Some transactions will display warning/error messages depending on whether certain documents are received, as defined by NMERB | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.013 | Retirement | Reports, letters & forms | Benefit analyst | I want to send the member an estimate or an actual benefit calculation  So that the member is informed of their disability benefit. | I will be satisfied when:   * I can select the retirement type (e.g., normal, NMERB reciprocity, PERA reciprocity) * The system will generate an estimate or an actual benefit calculation based on the plan rules * I can print the calculation to send to the member * I can view the calculation that was generated   Business Rules:   1. NMSA 22-11-38.A. The annual disability benefit shall be equal to two percent of the member's average annual salary multiplied by the number of years of the member's total service-credit if the result is greater than one-third of the member's average annual salary. If the result of that formula is less than one-third of the member's average annual salary, the annual disability benefit shall be equal to the lesser of the following amounts: 2. two percent of the member's average annual salary multiplied by the sum of the member's total service-credit plus the number of years, calculated to the nearest completed quarter, from the effective date of the member's disability to the member's sixtieth birthday; or 3. one-third of the member's average annual salary. 4. NMSA 22-11-38.B. A member's average annual salary for the purpose of computing disability benefits shall be the average salary for the last five years of employment or for any other consecutive five-year period for which contribution was made by the member, whichever is higher. 5. NMSA 22-11-38.C. The annual disability benefit shall be paid in equal monthly installments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.014 | Retirement | Supporting documents | Benefit analyst | I want to set up the disability benefit on payroll  So that the member can begin receiving their disability pension. | I will be satisfied when:   * I can indicate which documents have been received, the date received and whether the document has been approved or rejected * I can enter the member’s option election * The system validates that all mandatory information has been entered before submitting the payment to payroll * I can add notes to the member’s account   Business Rules:   1. Rule 2.82.6.10.A. NMAC The effective date of disability benefits shall be the first day of the month following the member's termination of employment, or the first day of the month following receipt of the member's application, whichever is later. 2. Rule 2.82.6.10.B. NMAC The applicant for disability benefits shall not be considered to have terminated employment until all accumulated sick leave granted by the employer shall have been used. If the employer pays the member's accumulated sick leave in a lump-sum, the member's termination date shall be the date on which the last day would have been paid had payment been made in due course, rather than in a lump-sum. 3. Rule 2.82.6.10.C. NMAC In the absence of any other formal declaration of termination of employment, the member's application for disability benefits shall serve as declaration as of the date indicated thereon by employer. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.015 | Retirement | Payment set up | Payroll analyst | I want to set up the disability benefit on payroll  So that the member can begin receiving their disability pension. | I will be satisfied when:   * I can enter the member’s information such as bank account and tax withholding * I can add notes to the member’s account | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.016 | Retirement | Retirement processing | Proposed solution |  | The system will allow NMERB to select which type of retirement process to initiate. The system will have some validations and warning/error messages if certain mandatory documents have not been received and approved. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.017 | Retirement | Workflow management | Proposed solution |  | The system will have the ability for NMERB users to edit or remove any retirement notification. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.018 | Retirement | Member data | Proposed solution |  | The system will change the member’s employment status as retired. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.019 | Retirement | Member data | Proposed solution |  | The system will store the retirement date for the member. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.020 | Retirement | Beneficiary data | Proposed solution |  | When a new retiree benefit is being established, the system will automatically populate or associate alternate payee information from existing DRO and beneficiary information associated with the member’s account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.021 | Retirement | Beneficiary data | Proposed solution |  | The system will allow NMERB users to manually adjust any alternate payee information drawn from DRO and beneficiary information associated with the member’s account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.022 | Retirement | Member data | Proposed solution |  | The system will allow NMERB users to manually adjust any service credits and salary on the member’s account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.023 | Retirement | Reports, letters & forms | Proposed solution |  | The system will produce a retirement application confirmation letter for the retiring member. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.024 | Retirement | Reports, letters & forms | Proposed solution |  | The system will produce a benefit calculation summary report for the retiring member. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.025 | Retirement | Reports, letters & forms | Proposed solution |  | The system will generate reports to reciprocal agencies with which a member may have established reciprocity using data from the system to populate the content of the report (e.g., Certification of Service). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.026 | Retirement | Retirement processing | Proposed solution |  | The system will allow NMERB users to designate a specific Benefit Estimate prepared for the retiring member as final. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.027 | Retirement | Member data | Proposed solution |  | The system will automatically identify any reciprocity that is in effect for the retiring benefit recipient. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.028 | Retirement | Supporting documents | Proposed solution |  | The system will determine from the retiree’s history and electronic documents on file whether the retiree may need to produce further documents such as copies of Marital Dissolution papers, certified Marriage Certificate, certified Death Certificate of spouse, certified Birth Certificates, etc. and will alert the NMERB user. That is, the system will have a checklist of documents that can be used to alert staff that required documents are missing prior to processing a benefit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.029 | Retirement | Benefit eligibility | Proposed solution |  | The system will determine the Retirement Benefit Options available to the retiree. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.030 | Retirement | Benefit eligibility | Proposed solution |  | The system will generate only those Retirement Options that are appropriate to the retiree. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.031 | Retirement | Member data | Proposed solution |  | The system will store the Option the retiree has chosen. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.032 | Retirement | Member data | Proposed solution |  | The system will prevent changing the Option once the first benefit check has been issued, except in circumstances stated under NMSA 22-11-29 (i.e., death, one-time irrevocable option change. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.033 | Retirement | Member data | Proposed solution |  | The system will allow NMERB users to override the Option selected, to accommodate special circumstances. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.034 | Retirement | Member data | Proposed solution |  | The system will store the final retirement benefit amount based on the Retirement Option that the retiree selected. The calculation of the benefit for the various Options is specified in the Estimates process. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.035 | Retirement | Reports, letters & forms | Proposed solution |  | The system will generate a confirmation letter that a member’s retirement application has been accepted or rejected and is editable. It will be prepopulated with the member data and the letters can be printed ad hoc, or submitted as a batch print job. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.036 | Retirement | Workflow management | Proposed solution |  | The system will receive and standardize retirement notifications and key data elements from multiple sources and automatically initiate appropriate workflow process based on member status. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.037 | Retirement | Batch processing | Proposed solution |  | The system will allow NMERB users to submit active and deferred retirements as a batch job once their accounts have been validated. Currently retirements are produced and printed one at a time. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.038 | Retirement | Batch processing | Proposed solution |  | The system will include PERA data changes in the adjustment batch process. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.039 | Retirement | Workflow management | Proposed solution |  | The system will allow an NMERB user to submit a workflow to the Disability Adjudicator to track the disability application status and correspond with the Adjudicator. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.040 | Retirement | Workflow management | Proposed solution |  | The system will start a workflow for members that do not make a termination election and are vested and/or eligible for retirement. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.041 | Retirement | Workflow management | Proposed solution |  | The system will mark accounts with different status codes based on a member’s election (or due to non-response). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.042 | Retirement | Workflow management | Proposed solution |  | The system will issue a reminder for a waiver when the spouse is not the beneficiary, but the member is married. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.043 | Retirement | Member portal | Proposed solution |  | The system will provide a web portal (self-service) for members and other benefit recipients to submit copies of documents related to the New Retiree Benefit Setup Process. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.044 | Retirement | Workflow management | Proposed solution |  | The system will generate calendar reminders for the benefit recipient and Retirement Benefits Specialist to track appointments, due dates, follow-up, and other events in the new retiree benefit set-up process. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 7.045 | Retirement | Workflow management | Proposed solution |  | The system will alert the NMERB user that is working on a New Retiree Benefit Set-up if any of the following conditions apply to the member’s account:   * Existing DRO(s) * Pending DRO(s) * Pending disability retirement application * Pending withdrawals * Incomplete buyback contract * Wage garnishments/liens * Reciprocal service (incoming or outgoing) * Calculation comes within a certain % (defined by NMERB) of the 415(b) limit | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.001 | Retiree Payroll |  | Benefit analyst | I want to submit an IT ticket to load the RHC file into the system a few days before payroll processing begins  So that the health care deductions are up-to-date for the current payroll cycle. | I’ll be satisfied when:   * IT has confirmed that the file has been successfully loaded   Business Rule   1. After July 2017, retirees will set up their RHC premium payments through their bank vs through NMERB pension | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.002 | Retiree Payroll | Reports, letters & forms | Payroll analyst | I want to review the RHC exception report  So that I can identify deduction data issues. | I’ll be satisfied when:   * I can identify accounts with: * no deductions that should have deductions * unnecessary changes * deductions more than the gross pension amount * individuals with multiple disbursements * deductions on file for post-2017 retirees * deductions on file for pre-2017 reciprocity retirees * issues with start/stop deduction dates (missing and/or unexpected dates) * missing third party payee information | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.003 | Retiree Payroll | Payment maintenance | Payroll analyst | I want to fix the deductions or enter notes for exception cases on accounts with issues  So that deductions are correct for the current payroll cycle. | I’ll be satisfied when:   * I can remove the deductions if a pension is not sufficient to cover the deductions and accounts with reciprocity * I can remove duplicate deductions if a retiree has multiple disbursements (e.g., regular pension and one-time retroactive payments for retiree and beneficiary) * I can manually update the deduction amounts or recoupment remaining balances as needed * I can enter notes on the member’s account for reference and auditing purposes | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.004 | Retiree Payroll | Payment maintenance | Payroll analyst | I want to manually enter other third party amounts or enter notes for exception cases  So that amounts are correct for the current payroll run. | I’ll be satisfied when:   * I can manually update one-time and recurring deductions such as: * Child support (CSED or out-of-state) Out-of-state orders that must be reviewed by Legal * NMAER dues * NEA dues * Liens, levies, and recoupments * I can add, delete, cancel, suspend or stop a deduction * I can enter notes on the member’s account for reference and auditing purposes | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.005 | Retiree Payroll | Payment maintenance | Payroll analyst | I want to review various payroll data exception reports  So that I can resolve disbursement issues to finalize the current month’s payroll. | I’ll be satisfied when:   * I can identify accounts with: * unexpected effective retirement dates (must be less than 2 months prior the current month) * missing state and zip code information * multiple active disbursements * recurring adjustments (overpayment recovery) due to NMERB * retroactive payments due to retiree * retroactive NMAER and NEA deductions | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.006 | Retiree Payroll | Payment maintenance | Payroll analyst | I want to adjust payroll amounts and enter notes for exception cases on accounts with issues  So that amounts are correct for the current payroll run. | I’ll be satisfied when:   * I can manually update one-time and recurring recoupments, retroactive payment amounts, and withholding information * I can enter a new third-party payee without requiring a system change * I can add, delete, cancel, suspend or stop a payment or adjustment * I can enter notes on the member’s account for reference and auditing purposes | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.007 | Retiree Payroll | Payment processing | Payroll analyst | I want to run the current month payroll trial balance  So that it can be sent for audit before finalizing. | I’ll be satisfied when:   * I can specify the pay cycle date – must be first of the month * I can run the payroll in trial balance mode * I can select the type and sequencing of pensions in each batch run: * Disability * NMERB reciprocity * PERA * DRO * Normal pension * I can select to include retroactive payments or not | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.008 | Retiree Payroll | Reports, letters & forms | Payroll analyst | I want to run the current month annuity statement  So that certain retirees receive a statement. | I’ll be satisfied when:   * The system generates statements for: * New retirees * Payee accounts with adjustments due to: * Normal adjustment from true-up (final different than estimated gross pension) * Overpayment * The system does not generate statements for: * Retirees with PERA reciprocity when PERA pension has commenced, but NMERB pension is deferred * I can cancel or suspend the batch job from running or printing * I will be able to see the status of the batch job | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.009 | Retiree Payroll | Payment processing | Payroll supervisor | I want to audit the payroll  So I can approve and submit the current payroll run to process. | I’ll be satisfied when:   * I can view and print various reports for the current payroll cycle * I can cancel individual payments without having to cancel the entire payroll run * I can send reports and files to Accounting to reconcile, process and upload files for DFA | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.010 | Retiree Payroll | Payment processing | Payroll supervisor | I want to submit the current month payroll to process  So payment instructions are created. | I’ll be satisfied when:   * Accounts cannot be updated while the payroll batch job is running. * I can submit the pending payroll to run. The transaction date should default to the last working day of the month. * I can select the type and sequencing of pensions in each batch run: * Disability * NMERB reciprocity * PERA * DRO * Normal pension * Once payroll has processed: * New retirees are issued physical checks or receive their payments via direct deposit based on the election made on their paperwork * The direct deposit file is generated and transmitted to Wells Fargo * I can view accounts to verify if the current month has been updated * I can retrieve various detail, summary, and error reports including: * Payroll * PERA * IRS levy * Child support * RTW overpayment * Deduction overpayment * I can identify accounts that did not process successfully that require special handling | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.011 | Retiree Payroll | Interfaces | Accountant | I want to run the voucher build exports  So I can reconcile amounts and transmit files to DFA. | I’ll be satisfied when:   * I can view or print various reports for the current payroll cycle * I can submit the voucher build files through SFTP to DFA for upload into SHARE | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.012 | Retiree Payroll | Reports, letters & forms | Payroll Analyst | I want to run the monthly pension (MP) and general ledger (GL) reports  So I can review and reconcile amounts. | I’ll be satisfied when:   * I can run listings for third parties (e.g., RHCA, PERA, IRS, child support) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.013 | Retiree Payroll | Payment maintenance | Accountant or Payroll analyst | I want to update the status of a payment to rejected or stale-dated  So that Payroll knows that a special payment is required. | I’ll be satisfied when:   * I can update the status of a payment to reflect that it has: * Been rejected/returned by the bank/postal mail (report from Wells Fargo or returned mail) * Become stale-dated (report from DFA or request from payee) * Been declared lost (affidavit for lost check) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.014 | Retiree Payroll | Member data | Proposed solution |  | The system will maintain a record of the benefit recipient’s original benefit option annuity and pension amounts applicable to their account when a new retiree benefit set-up occurs. | 1 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.015 | Retiree Payroll | Member data | Proposed solution |  | The system will accommodate multiple direct deposits. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.016 | Retiree Payroll | Payment set up | Proposed solution |  | The system will allow NMERB users to specify multiple types of deductions and amounts to be withheld or deducted from the new benefit recipient’s monthly benefit. These may include, but are not limited to, the following.   * State tax withholding * Federal tax withholding * Wage garnishments, liens, levies * Healthcare premiums * Association dues * New Mexico child support | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.017 | Retiree Payroll | Payment maintenance | Proposed solution |  | The system will allow NMERB users to change the benefit recipient’s direct deposit banking information at any time subsequent to a new retiree benefit set-up. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.018 | Retiree Payroll | Payment maintenance | Proposed solution |  | The system will maintain a viewable and printable history (audit trail) for changes to a benefit recipient’s tax withholding elections, beneficiaries, membership, etc. that impact the recipient’s monthly benefit amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.019 | Retiree Payroll | Payment maintenance | Proposed solution |  | The system will allow NMERB users to define payroll adjustments. Adjustments may be defined at the individual payee level in the member record or defined globally for populations of payees. Adjustments may be positive or negative and must be effective dated. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.020 | Retiree Payroll | Payment set up | Proposed solution |  | The system will allow NMERB users to update benefit recipient demographic or benefit information that is incomplete or incorrect as part of the new retiree benefit set-up process workflow. | 1 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.021 | Retiree Payroll | Payment processing | Proposed solution |  | The system will allow NMERB users to recreate a payroll file if errors were found and corrected prior to NMERB authorizing payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.022 | Retiree Payroll | Payment processing | Proposed solution |  | The system will allow NMERB users to change an individual record in payroll file without rerunning the entire batch. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.023 | Retiree Payroll | Payment set up | Proposed solution |  | The system will allow NMERB users to set up each benefit payment with an effective start date and (if applicable) a payment end date. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.024 | Retiree Payroll | Payment processing | Proposed solution |  | The system will automatically determine which payments are effective for a given check run based on the start date and end date of each benefit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.025 | Retiree Payroll | Payment set up | Proposed solution |  | The system will allow NMERB users to include an unlimited number of voluntary deductions to the member’s gross payment amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.026 | Retiree Payroll | Payment set up | Proposed solution |  | The system will allow NMERB users to include an unlimited number of mandatory deductions to the member’s gross payment amount, as ordered by Court or other authoritative body. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.027 | Retiree Payroll | Payment processing | Proposed solution |  | The system will send third party payments (e.g. child support, alimony) to the appropriate parties. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.028 | Retiree Payroll | Payment processing | Proposed solution |  | The system will track the total amount of each deduction that has been deducted over all payments and stopping the deduction when a specified limit has been reached (including overpayment / recoup deductions). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.029 | Retiree Payroll | Payment set up | Proposed solution |  | The system will process deductions as set dollar amounts or percentages of the overall benefit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.030 | Retiree Payroll | Withholding tax | Proposed solution |  | The system will compute proper tax withholding based on applicable tax tables. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.031 | Retiree Payroll | Withholding tax | Proposed solution |  | The system will allow NMERB users to adjust the amount of tax withholding for the current payment and future payments separately. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.032 | Retiree Payroll | Payment set up | Proposed solution |  | The system will allow NMERB users to include an unlimited number of adjustments to the member’s gross benefit amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.033 | Retiree Payroll | Payment maintenance | Proposed solution |  | The system will calculate any refunds/amounts owing for an incorrect benefit amount that is corrected once already in pay. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.034 | Retiree Payroll | Payment maintenance | Proposed solution |  | The system will store a history of all scheduled or manual benefit payments made to each payee (e.g., disbursement register). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.035 | Retiree Payroll | Payment processing | Proposed solution |  | The system will accommodate off-cycle payment requests. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.036 | Retiree Payroll | Payment maintenance | Proposed solution |  | The system will allow NMERB users to post a negative adjustment to a member’s monthly payroll amount and will maintain record of the adjustment. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.037 | Retiree Payroll | Payment maintenance | Proposed solution |  | The system will maintain yearly gross check amount, taxable amount, basis recovery amount, deductions, excludable amounts, ratios, and recovered amounts for 1099-R reporting. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.038 | Retiree Payroll | Reports, letters & forms | Proposed solution |  | The system will generate a variety of reconciliation reports of NMERB’s design during the payroll process. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.039 | Retiree Payroll | Reports, letters & forms | Proposed solution |  | The system will generate required Federal and State quarterly and annual reports in the required format. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.040 | Retiree Payroll | Payment processing | Proposed solution |  | The system will allow NMERB users to enter a payroll calendar so that certain payroll processes will run automatically based on that schedule | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.041 | Retiree Payroll | Payment processing | Proposed solution |  | The system will automatically notify NMERB users to exit the system and log them off based on the payroll calendar. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.042 | Retiree Payroll | Interfaces | Proposed solution |  | The system will import datafiles from the fiscal agent or DFA that contain rejected or stale-dated payments and update the status of the corresponding payment (e.g., update from “issued” to “rejected”). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.043 | Retiree Payroll | Reports, letters & forms | Proposed solution |  | The system will provide a reliable RHC exception report to review any deductible data issues. Currently, the report isn’t reliable and produces bad data. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.044 | Retiree Payroll | Reports, letters & forms | Proposed solution |  | The system will send NMRHCA a list of accounts where deduction adjustments have been made. Currently, NMERB processes the necessary adjustment with no communication to NMRHCA. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.045 | Retiree Payroll | Reports, letters & forms | Proposed solution |  | The system will correctly process adjustment letters through the batch processor and calculate COLA retroactively. Currently they are not reflective of any COLA adjustment. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.046 | Retiree Payroll | Reports, letters & forms | Proposed solution |  | The system will allow users to view various payroll data summary and exception reports as well as a trial balance run report as one report. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.047 | Retiree Payroll | Payment processing | Proposed solution |  | The system will allow warrant payments to be reissued. Currently, it is being issued outside of the system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 8.048 | Retiree Payroll | Payment processing | Proposed solution |  | The system will allow special payments to be processed as EFTs. Currently, the payments are processed as physical checks. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.001 | Non-Payroll (Special Payment) Payment Processing | Payment set up | Payroll analyst | I want to set up a special payment (manual disbursement by paper check)  So that the retiree/survivor receives their benefit entitlement. | I’ll be satisfied when:   * I can set up a special payment for: * Rush payments (missed regular payroll cutoff) * Post-retirement death benefit refunds or residual payments * Reissues of lost or stale-dated checks | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.002 | Non-Payroll (Special Payment) Payment Processing | Payment set up | General Ledger Accountant | I want to set up a manual special payment  So that the retiree/survivor receives their benefit entitlement. | I’ll be satisfied when:   * I can set up a special payment for: * Reissues of lost or stale-dated checks * Rejected EFTs from current or prior pay cycles (e.g., closed accounts, rejected direct deposit, etc.) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.003 | Non-Payroll (Special Payment) Payment Processing | Member data | Payroll analyst | I want to view the retiree’s account and payment history  So I can verify whether a special payment is necessary. | I’ll be satisfied when:   * I can verify data such as date of death, payment status (e.g., issued, rejected, stale), affidavit for lost check | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.004 | Non-Payroll (Special Payment) Payment Processing | Payment set up | Payroll analyst | I want to set up a manual disbursement  So that the benefit recipient receives their money. | I’ll be satisfied when:   * I can specify: * Payee name * Tax recipient type (for member à personal rep, for beneficiary à payee) * Taxpayer ID * Benefit type (normal, disability, etc.) * Pay cycle date * For rushed payments, the pay cycle dates that were just missed * For all others, the current date except cannot be end of month reserved for regular monthly payroll * Gross amount * Taxable gross amount (if the original amount has already been taxed, taxable gross is $0. Otherwise, taxable gross is the same as the gross amount so that the system will calculate the applicable taxes) * Explanation for the special payment | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.005 | Non-Payroll (Special Payment) Payment Processing | Payment set up | Payroll analyst | I want to submit the special payment to the disbursement queue  So they can be processed by the system. | I’ll be satisfied when:   * I can see which special payments are ready to create * I can select which special payments to submit * I can review control totals for auditing purposes * I can submit the job once audit is complete * I can view whether the request was processed successfully * I can print off reports for Accounting and recordkeeping | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.006 | Non-Payroll (Special Payment) Payment Processing | Payment maintenance | Proposed solution |  | The system will maintain a record of the benefit recipient’s original benefit option annuity and pension amounts applicable to their account when a new retiree benefit set-up occurred. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.007 | Non-Payroll (Special Payment) Payment Processing | Payment maintenance | Proposed solution |  | The system will allow NMERB users to change the benefit recipient’s direct deposit banking information at any time after a new retiree benefit set-up. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.008 | Non-Payroll (Special Payment) Payment Processing | Payment maintenance | Proposed solution |  | The system will maintain a viewable and printable history (audit trail) for changes to a benefit recipient’s tax withholding elections, beneficiaries, membership, etc. that impact the recipient’s monthly benefit amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.009 | Non-Payroll (Special Payment) Payment Processing | Payment maintenance | Proposed solution |  | The system will allow NMERB users to define payroll adjustments. Adjustments may be defined at the individual payee level in the member record, or defined globally for populations of payees. Adjustments may be positive or negative and must be effective dated. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.010 | Non-Payroll (Special Payment) Payment Processing | Payment maintenance | Proposed solution |  | The system will track the total amount of each deduction that has been deducted over all payments and stopping the deduction when a specified limit has been reached (including overpayment / recoup deductions). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.011 | Non-Payroll (Special Payment) Payment Processing | Payment maintenance | Proposed solution |  | The system will allow NMERB users to adjust the amount of tax withholding for the current payment and future payments separately. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.012 | Non-Payroll (Special Payment) Payment Processing | Payment maintenance | Proposed solution |  | The system will allow NMERB users to apply manual benefit payroll credits or debits to a benefit recipient’s payroll. These credits or debits must be assigned to specific vendors and/or agencies, defined by effective date start and end dates and amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.013 | Non-Payroll (Special Payment) Payment Processing | Payment maintenance | Proposed solution |  | The system will allow NMERB users to manually override a deduction amount as they determine appropriate. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.014 | Non-Payroll (Special Payment) Payment Processing | Payment maintenance | Proposed solution |  | The system will allow NMERB users to withhold multiple deductions in a single period to accommodate different retirement dates. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.015 | Non-Payroll (Special Payment) Payment Processing | Payment maintenance | Proposed solution |  | The system will store a history of all scheduled or manual benefit payments made to each payee (e.g., disbursement register). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.016 | Non-Payroll (Special Payment) Payment Processing | Payment maintenance | Proposed solution |  | The system will accommodate off-cycle payment requests. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.017 | Non-Payroll (Special Payment) Payment Processing | Payment maintenance | Proposed solution |  | The system will allow NMERB users to post a negative adjustment to a member’s monthly payroll amount and will maintain record of the adjustment. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.018 | Non-Payroll (Special Payment) Payment Processing | Payment maintenance | Proposed solution |  | The system will maintain yearly gross check amount, taxable amount, basis recovery amount, deductions, excludable amounts, ratios, and recovered amounts for 1099-R reporting. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.019 | Non-Payroll (Special Payment) Payment Processing | Reports, letters & forms | Proposed solution |  | The system will generate a variety of reconciliation reports of NMERB’s design during the payroll process. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.020 | Non-Payroll (Special Payment) Payment Processing | 1099R | Proposed solution |  | The system will automatically adjust the taxable gross for 1099R reporting if special payments are processed, for the original and new recipient, and whether special payment is based on gross or net amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.021 | Non-Payroll (Special Payment) Payment Processing | Payment set up | Proposed solution |  | The system will apply certain defaults defined by NMERB if data is not manually entered (e.g., default settings for federal and state withholding, recoupment percentage or amount). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 9.022 | Non-Payroll (Special Payment) Payment Processing | Reports, letters & forms | Proposed solution |  | The system will generate a cover letter for special payments, including retirees with rushed payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.001 | Final Average Salary Calculation | Member data | Benefits Analyst | I want to view a member’s complete contribution and wage history by quarter  So I can identify data that needs to be sent to the LAU to verify/confirm. | I will be satisfied when:   * The member’s contribution and wage history are displayed in a logical and consolidated summary view where all the quarters are verified as valid * I can navigate to the underlying data and back to the summary easily * I can print off/export the member’s contribution and wage history | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.002 | Final Average Salary Calculation | Member data | Benefits Analyst | I want to submit an IT ticket (copy to Accounting) to add or remove historical service credits and/or wages  So the underlying Final Average Salary (FAS) data is correct. | I will be satisfied when:   * IT updates the historical data * Accounting notifies LAU of adjustments to be made to member’s account, as needed * I can add/delete historical service credit and/or wages for estimates only | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.003 | Final Average Salary Calculation | Member data | Benefits Analyst | I want to add service credits and/or wages  So the underlying FAS data is correct. | I will be satisfied when:   * I can add service credit and/or wages provided by the LAU for periods after the last employer reporting (e.g., estimated wages for last 2 quarters) * I can add service credit and/or wages provided by PERA that is stored in separate data fields from NMERB data | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.004 | Final Average Salary Calculation | Benefit calculation | Benefits Analyst | I want the system to calculate the FAS correctly with or without PERA data  So I don’t have to calculate FAS manually. | I will be satisfied when:   * The system is configured to include or exclude salary in the FAS calculation based on the plan rules (e.g., exclude salary during RTW) * The system calculates a reciprocity FAS using NMERB and PERA salary data on file and calculation rules defined by NMERB and use the reciprocity FAS for the NMERB benefit calculation * I can see the details of the FAS calculations   Business Rules:   1. Rule 2.82.5.10.D. A member’s average annual salary shall be average annual earnings of the member in the last 20 calendar quarters in which there were earnings preceding retirement of the average annual earnings of any 20 consecutive calendar quarters in which there were earnings, whichever is greater. Salary earned by a retiree who has returned to employment under the Return to Work program shall not be used in determining a member’s average annual salary. 2. Rule 2.82.5.10.E. To determine the last 5-year average annual salary (last 20 quarters) reported earnings on which contributions have been made by the member during the 20 quarters of employment immediately preceding the member’s date of termination, except that if a member’s last employment at least one month prior to close of the calendar quarter (or academic year if such ends in May), the member’s last 5 years’ earnings a shall be reported earnings upon which contributions have been made by the member during the 5 years of employment preceding the end of the month in which termination occurs. Any earnings in a calendar quarter shall be considered as earnings for the full quarter, except for the first quarter and the last quarter of the last 5 years employment. 3. PERRA 10-13A-4B the member's entire salary history under PERA and NMERB is used to determine the final average salary and annual average salary under each state system if the member has eligible reciprocal service credit under both state systems. 4. Memo from Legal Jun 2021:    1. Apply NMERB rules and procedures to determine NMERB’s FAS even if all of the earnings used were earned under PERA. For quarters to count as consecutive, they must all be within the same system.    2. If the member does not have 20 consecutive quarters under either NMERB or PERA, the FAS will be based on the last 20 quarters.    3. If there is overlapping service, use only the salary from the system in which the member earned service credit. (See 10-13A-4(B)(1)) | 1 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.005 | Final Average Salary Calculation | Benefit calculation | Benefits Analyst | I want the system to calculate the anti-spiking FAS  So I do not have to calculate the member’s benefit manually. | I will be satisfied when:   * Each year’s anti-spiking salary threshold amount is saved in the system * The system knows which members that the anti-spiking rules apply * The system calculates an anti-spiking FAS that is used in the benefit calculation * The system displays the correct FAS so that I can audit the calculation   Business Rules   1. NMSA 22-11-30.L. On and after July 1, 2019, if the member's average annual salary is greater than $60,000: 2. the salary in a first 12-month interval that occurs beginning July 1, 2019 or thereafter of the 5-year period used to determine the average annual salary shall be adjusted to exclude any increase in salary in excess of 30% of the salary in the 12 consecutive months of service credit preceding the 5-year period; and 3. the salary in each of the 4 succeeding 12-month intervals that occur beginning July 1, 2019 or thereafter of the 5-year period, as adjusted to exclude any increase in salary in the 12 months preceding each such succeeding 12-month interval that is in excess of the 30% limit, shall be used to determine if the salary in that succeeding 12-month interval exceeds the 30% limit and to adjust the salary to exclude any increase in excess of that limit in determining the average annual salary. 4. NMSA 22-11-30.M. On July 1, 2020 and on each July 1 thereafter, the salary threshold for applying the 30% limit described in NMSA 22-11-30.L shall be adjusted by the increase in the consumer price index (CPI) between the next preceding calendar year and the preceding calendar year, if any. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.006 | Final Average Salary Calculation | Benefit calculation | Benefits Analyst | I want the system to calculate the FAS with IRC 401(a)17 limits  So I do not have to calculate the member’s qualified benefit manually. | I will be satisfied when:   * Each year’s IRC 401(a)17 amount is saved in the system * The system calculates a 401(a)17 FAS that is used in the benefit calculation * The system displays both the regular and 401(a)17 FAS so that I can audit the calculation | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.007 | Final Average Salary Calculation | Benefit calculation | Benefits Analyst | I want to be able to override the system-calculated FAS  So I can accommodate special cases. | I will be satisfied when:   * I can enter the FAS provided by PERA in a dedicated data field that is used in the benefit calculation | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.008 | Final Average Salary Calculation | Benefit calculation | Proposed solution |  | The system will calculate Final Average Salary reliably and accurately based on the plan rules and data in the system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.009 | Final Average Salary Calculation | Benefit calculation | Proposed solution |  | The system will display the FAS result and underlying details for a calculation for validation and auditing purposes. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.010 | Final Average Salary Calculation | Benefit calculation | Proposed solution |  | The system will provide NMERB staff the ability to override automated Final Average Salary calculations to accommodate special cases. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.011 | Final Average Salary Calculation | Benefit calculation | Proposed solution |  | The system will have the flexibility to store multiple earnings types to be used in the FAS calculation. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.012 | Final Average Salary Calculation | Batch processing | Proposed solution |  | The system will run FAS calculations in batch for the purposes of valuations, annual statements, or estimates. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.013 | Final Average Salary Calculation | Reports, letters & forms | Proposed solution |  | The system will generate a report for NMERB to verify any variances that may cause the wages to be overestimated or underestimated for calculation purposes. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.014 | Final Average Salary Calculation | Member data | Proposed solution |  | The system will allow NMERB staff with appropriate security to make historical data changes, as needed, to effectively calculate the FAS. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.015 | Final Average Salary Calculation | Member data | Proposed solution |  | The system will allow NMERB users to collect and enter monthly PERA data as reported into the corresponding quarter. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.016 | Final Average Salary Calculation | Member data | Proposed solution |  | The system will replicate the functionality that allows NMERB LAUs to report monthly wages into fiscal quarters. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.017 | Final Average Salary Calculation | Data validation | Proposed solution |  | The system will identify errors and generate warnings for the FAS calculation based on business rules defined by NMERB. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.018 | Final Average Salary Calculation | Benefit calculation | Proposed solution |  | The system will apply any legislative rules such as IRC and anti-spiking that apply to salary or FAS for reciprocity calculations. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.019 | Final Average Salary Calculation | Member data | Proposed solution |  | The system will allow NMERB users to enter estimated data in separate fields/table from actual data. This will eliminate the need for NMERB users to delete data once an estimate is run. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.020 | Final Average Salary Calculation | Benefit calculation | Proposed solution |  | The system will calculate the FAS correctly with or without PERA data. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 10.021 | Final Average Salary Calculation | Benefit calculation | Proposed solution |  | The system will calculate the FAS with the IRC 401(a)17 limits. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.001 | Payroll Deduction Processing | Payment maintenance | Payroll analyst | I want to view all of the deductions on a retiree’s account  So I can confirm if any changes are needed. | I will be satisfied when:   * I can view all the deductions that are set up for a payment, including: * Deduction type and third-party payee * Deduction start/end date(s) * Deduction amount * Frequency (e.g., recurring or one-time) * Additional field settings required for withholding tax (e.g., filing status, exemptions, etc.) * Recoupment remaining balance * Payment method (e.g., bank name, routing number, etc.) * I can print the retiree’s payment detail for auditing purposes | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.002 | Payroll Deduction Processing | Payment maintenance | Payroll analyst | I want to fix the deductions or enter notes for exception cases on accounts with issues  So that deductions are correct for the current payroll cycle. | I’ll be satisfied when:   * I can remove the deduction if a pension is not sufficient to cover the deduction, I can remove duplicate deductions if a retiree has multiple disbursements (e.g., regular pension and one time retro or retiree and beneficiary) * I can manually update the deduction amount or recoupment remaining balance as needed * I can enter notes on the member’s account for reference and auditing purposes | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.003 | Payroll Deduction Processing | Payment maintenance | Payroll analyst | I want to manually enter other third-party amounts or enter notes for exception cases  So that amounts are correct for the current payroll run. | I’ll be satisfied when:   * I can manually update one-time and recurring deductions such as: * Child support (CSED or out-of-state). Out-of-state orders must be reviewed by Legal. * NMAER dues * NEA dues * Liens, levies, and recoupments * I can add, delete, cancel, suspend, or stop a deduction * I can enter notes on the member’s account for reference and auditing purposes | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.004 | Payroll Deduction Processing | Reports, letters & forms | Payroll analyst | I want to review various payroll data exception reports  So that I can resolve disbursement issues to finalize the current month’s payroll. | I’ll be satisfied when:   * I can identify accounts with: * unexpected effective retirement dates (must be less than 2 months prior the current month) * missing state and zip code information * multiple active disbursements * recurring adjustments (overpayment recovery) due to NMERB * retroactive payments due to retiree * retroactive NMAER and NEA deductions | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.005 | Payroll Deduction Processing | Payment maintenance | Payroll analyst | I want to adjust payroll amounts or enter notes for exception cases on accounts with issues  So that amounts are correct for the current payroll run. | I’ll be satisfied when:   * I can manually update one-time and recurring recoupments, retroactive payment amounts, and withholding information * I can select from common third-party payees/deductions and the system prepopulates certain fields depending on the deduction chosen, such as: * Federal and NM state tax * NMRHCA insurance, NMEAR, or NEA dues * NM child support (CSED) * Lien, levy, recoupment * I can enter a new third party payee without requiring a system change * I can add, delete, cancel, suspend, or stop a payment or adjustment * I can specify if the deduction is an amount or percentage of gross pay * I can specify the priority in which deductions are taken from a retiree’s payment * I can enter notes on the member’s account for reference and auditing purposes | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.006 | Payroll Deduction Processing | Reports, letters & forms | Payroll analyst or supervisor | I want to audit the deductions  So that amounts are correct for the current payroll run. | I’ll be satisfied when:   * I will be able to view or print various deduction reports for the current or a previous payroll cycle * I can send reports and files to Accounting to reconcile before files are sent to DFA | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.007 | Payroll Deduction Processing | Reports, letters & forms | Payroll analyst | I want to run the current monthly adjustment letter  So that retirees receive a statement if their deductions have changed. | I’ll be satisfied when:   * The system generates statements for payees with any changes to their deductions in the current payroll cycle * I can cancel or suspend the batch job from running or printing * I will be able to see the status of the batch job | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.008 | Payroll Deduction Processing | Payment set up | Proposed solution |  | The system will allow NMERB users to set up health insurance deductions and track these deductions for each benefit recipient that is enrolled in the state-sponsored health plan. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.009 | Payroll Deduction Processing | Payment maintenance | Proposed solution |  | The system will store and maintain healthcare plan code and associated data. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.010 | Payroll Deduction Processing | Payment maintenance | Proposed solution |  | The system will store and maintain premium rates (deductions) for benefit recipients and associated non-members. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.011 | Payroll Deduction Processing | Reports, letters & forms | Proposed solution |  | The system will produce individual reports files containing premium and member information to distribution to external agents. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.012 | Payroll Deduction Processing | Interfaces | Proposed solution |  | The system will allow NMERB users to import interface files from external agents that contain the benefit recipient’s health premium deductions. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.013 | Payroll Deduction Processing | Payment maintenance | Proposed solution |  | The system will allow NMERB users to update individual deductions for benefit recipients. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.014 | Payroll Deduction Processing | Payment maintenance | Proposed solution |  | The system will allow NMERB users to apply manual benefit payroll credits or debits to a benefit recipient’s payroll. These credits or debits must be assigned to specific vendors and/or agencies, defined by effective date start and end dates and amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.015 | Payroll Deduction Processing | Payment maintenance | Proposed solution |  | The system will allow NMERB users to manually override a deduction amount as they determine appropriate. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.016 | Payroll Deduction Processing | Payment maintenance | Proposed solution |  | The system will allow NMERB users to withhold multiple deductions in a single period to accommodate different retirement dates. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.017 | Payroll Deduction Processing | Payment maintenance | Proposed solution |  | The system will apply appropriate benefit payroll deductions and credits including automatically calculated retroactive adjustments beginning with the first benefit payment issued after the coverage effective date. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.018 | Payroll Deduction Processing | Payment maintenance | Proposed solution |  | The system will automatically calculate premium credits/debits because of retroactive benefit payments and/or health care enrollments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.019 | Payroll Deduction Processing | Payment set up | Proposed solution |  | The system will apply a hierarchy for applying multiple deductions, as defined by NMERB. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.020 | Payroll Deduction Processing | 1099R | Proposed solution |  | The system will automatically adjust the taxable gross for 1099R reporting if an overpayment is repaid by check instead of payroll deduction. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.021 | Payroll Deduction Processing | Payment maintenance | Proposed solution |  | The system will validate, in real time, whether the net pension is greater than zero when deductions are updated on an account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.022 | Payroll Deduction Processing | Payment maintenance | Proposed solution |  | The system will validate in real time whether there are any missing required fields for a third-party payee (e.g., address). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.023 | Payroll Deduction Processing | Payment maintenance | Proposed solution |  | The system will apply certain default settings defined by NMERB if data is not manually entered (e.g., default settings for federal and state withholding, recoupment percentage or amount, etc.). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.024 | Payroll Deduction Processing | Payment maintenance | Proposed solution |  | The system will calculate one-time adjustments and ongoing pension amounts based on data changes (e.g., recalculation of pension after date of death has been entered). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 11.025 | Payroll Deduction Processing | Payment maintenance | Proposed solution |  | The system will not deduct third-party amounts (e.g., NEA, NMAER, Child support, IRS Liens/Levies) from one-time disbursements or retroactive disbursements. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.001 | Retiree Death | Member data | Payroll Analyst or Member Relations Associate | I want to enter death related information for a member or survivor  So that the post-retirement death process is initiated. | I will be satisfied when:   * I can use the system search function to locate the member or beneficiary using name, SSN or Pension File # (PFN) * If I search for the deceased member or beneficiary, the system will display all occurrences of the individual on file (e.g., exists as a member and a survivor) * I can confirm the deceased member’s current plan status * I can enter the date of death for the individual * I can indicate which supporting documents have been received and accepted (e.g., death certificate) * I can enter account notes for reference and record keeping purposes | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.002 | Retiree Death | Reports, letters & forms | Payroll Analyst | I want to send the deceased’s representative a letter requesting supporting documentation  So I can verify the reported death. | I will be satisfied when:   * I can run the system-generated letters (general death cover letter, residual death benefit claim form) * I can edit the letter * I can set a follow-up reminder (30 or 60 days) if documents not received | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.003 | Retiree Death | Payment maintenance | Payroll Analyst | I want to suspend the pension payment  So that no further payments are made while post-retirement benefits are being determined. | I will be satisfied when:   * I can suspend the benefit while waiting for documentation * I can enter a stop date on the benefit once the date of death has been confirmed | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.004 | Retiree Death | Payment maintenance | Payroll Analyst | I want to view the retiree’s option elected  So I can determine what death benefits are available and to audit the results. | I will be satisfied when:   * I can view the retiree’s benefit election (Option A, B or C) * I can view the retirement beneficiary on file * I can add the retirement beneficiary if the last valid designation is not on the system (e.g., microfiche) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.005 | Retiree Death | Benefit eligibility | Payroll Analyst | I want the system to automatically generate beneficiary options and amounts, if any, when a retiree or survivor’s death is entered  So I don’t have to process this manually. | I will be satisfied when:   * The retiree’s lifetime pension stops once the month of death has been paid if the retiree chose Option A. * The retiree’s lifetime pension is suspended after the monthly amount has already been paid and the retiree deceases within that month. Once the pension is suspended, a survivor lifetime pension begins the following month and is calculated based on the survivor percentage and the retiree’s current pension amount under Option B or C election. * The survivor’s lifetime pension stops after the monthly amount has already been paid and the survivor deceases within that month if the retiree elected Option B or C. When the survivor passes away, the survivor’s beneficiary is entitled to any residual contribution balance remaining. * The alternate payee’s pension is adjusted in accordance with the DRO. * The system calculates the overpayment amount to be recovered if there is a late notification of death. If there is a survivor benefit payable, the default option is for the overpayment balance to be paid through a reduction of the benefit payable to the spouse, beneficiary, or estate. A check repayment option is acceptable. * The system calculates the suspended or missed payment amount originally payable to the retiree to be paid to beneficiaries, if any. * The system calculates the residual contribution balance to be paid to beneficiaries, if any, based on the retiree’s pension option and beneficiary designations. * I can view the option factors used to calculate the Option B or C survivor benefit to determine if they need to be overridden for pre-2007 retirements (different factors) * I can override the option factors used to calculate the Option B or C survivor benefit for pre-2007 retirements if necessary   Business Rules:   1. NMSA 22-11-29.H. for death of a retired member who did not elect either Option B or C and before the benefits paid to the member have equaled the sum of the member's accumulated contributions plus accumulated interest, the balance shall be paid to the designated beneficiary or, if no beneficiary was designated, to the eligible surviving spouse or surviving domestic partner of the member or, if there is no eligible surviving spouse or domestic partner of the member, to the estate of the member. 2. NMSA 22-11-26.A. if the member did not elect Option B or C at the time of first retirement, the member's beneficiary or estate shall receive an amount equal to the sum of the member's contributions, including contributions made by the member during the period of last reemployment, plus accumulated interest at the rate set by the board, less the total benefits received prior to the last reemployment; or 3. NMSA 22-11-26.B. if the member elected Option B or Option C prior to reemployment, the reemployed member shall be considered as retiring on the day preceding the date of death, and the benefits due the surviving beneficiary, computed as of that date, will commence effective on the date of death based on the retiree’s option elected. 4. Model Order – post-retirement death (Section 8)    1. Alternative 4: At retirement, the member elected a form of payment under Option B or C and designated the ex-spouse as survivor pension beneficiary. The selection of beneficiary is to remain the same.    2. Alternative 5: At retirement, the member elected a form of payment under Option B or C and designated the ex-spouse as survivor pension beneficiary. This selection of beneficiary is to remain the same; however, the survivor pension benefit is to be divided between the co-payee and the member’s estate.    3. Alternative 6: At retirement, the member elected a form of payment under Option B or C and designated the ex-spouse as survivor pension beneficiary. The ex-spouse is to be removed as the survivor pension beneficiary and the form of payment is to be changed to Option A. The member may name anyone as the Option A refund beneficiary.    4. Alternative 7: At retirement, the member elected a form of payment under Option B or C and designated the ex-spouse as survivor pension beneficiary. The ex-spouse is to be removed as the survivor pension beneficiary and the form of payment is to be changed to Option A. The member must name the co-payee as the Option A refund beneficiary. 5. Model Order – post-retirement death (Section 9) 6. Alternative 1: If the co-payee predeceases the member and/or the member’s survivor pension beneficiary, the co-payee’s interest in the retirement benefit shall cease. 7. Alternative 2: If the co-payee predeceases the member and/or the member’s survivor pension beneficiary, the co-payee’s interest in the retirement benefit shall be paid to the co-payee’s estate. In all cases, payments made to the co-payee or any person designated by the co-payee to receive payments shall cease when benefits to the member or their survivor beneficiary cease. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.006 | Retiree Death | Reports, letters & forms | Payroll Analyst | I want to send the survivor or beneficiary an option package  So that their benefit can be set up for payment. | I will be satisfied when:   * I can run the system-generated letters (death benefit cover letter) * I can edit the letter * I can set a follow-up reminder (30 or 60 days) if election paperwork not received | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.007 | Retiree Death | Payment set up | Payroll Analyst | I want to set up the benefit payment (pension or lump sum)  So that the survivor or beneficiary receive their entitlement. | I will be satisfied when:   * I can indicate which required documents have been received and accepted (e.g., direct deposit or refund/rollover) * I can enter account notes for reference and recordkeeping purposes * I can set up the payment, including any deductions or adjustments * I can submit the payment for the next available disbursement queue | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.008 | Retiree Death | Workflow management | Payroll Analyst | I want the system to flag accounts that have pending benefits a year after the member’s date of death  So NMERB can determine a replacement beneficiary. | I will be satisfied when:   * I can run a report to identify deceased member accounts with funds on deposit based on criteria defined by NMERB * I can enter account notes for reference and recordkeeping purposes   Business Rules:   1. NMSA 22-11-15.C. If the amount of a deceased member's contribution or residual contribution is less than $1,000 and no written claim is made to the board for it within one year of the member's death, by his surviving beneficiary or the member's estate, payment can be made to the named beneficiary or, if none is named, to the person the board determines to be entitled to the contribution under the laws of New Mexico. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.009 | Retiree Death | Tax withholding | Payroll Analyst | I want the system to calculate the tax applicable to the recipient’s benefit  So that I do not have to calculate this manually. | I will be satisfied when:   * The system calculates the taxable and non-taxable portions of benefits properly for payment of death benefits * The system will calculate a secondary taxation rate for a portion of a benefit | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.010 | Retiree Death | Member data | Payroll Analyst | I want the retiree’s plan status to be updated once the death benefits have been processed  So that their account is closed. | I will be satisfied when:   * I can “close” the account once the survivor pension and/or refunds have been processed. * If any of these transactions is incomplete, the system will not allow me to close the account and display a warning message. * Refunds should result in a $0 contribution balance (there is a defect in the current system that generates a negative balance) * The retiree’s plan status changed to Terminated. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.011 | Retiree Death | Beneficiary data | Payroll Analyst or Member Relations Associate | I want to enter death related information for a beneficiary  So the retiree pension is adjusted for the pop-up. | I will be satisfied when:   * I search for the deceased, the system will display all occurrences of the individual on file (e.g., exists as a member and a beneficiary) * I can enter the date of death for the individual * I can indicate which supporting documents have been received and accepted (e.g., death certificate) * I can enter account notes for reference and recordkeeping purposes | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.012 | Retiree Death | Reports, letters & forms | Payroll Analyst | I want to send the deceased’s representative a letter requesting supporting documentation  So I can verify the reported death. | I will be satisfied when:   * I can run the system-generated letters (general death cover letter) * I can edit the letter * I can set a follow-up reminder (30 or 60 days) if documents not received | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.013 | Retiree Death | Payment maintenance | Payroll Analyst | I want the system to automatically process a pop-up when applicable if a retiree’s beneficiary death is entered  So I don’t have to process this manually. | I will be satisfied when:   * I can view the option factors used to calculate the Option B or C pop-up benefit to determine if they need to be overridden for pre-2007 retirements (different factors) * I can override the option factors used to calculate the Option B or C pop-up benefit for pre-2007 retirements if necessary * The system will calculate the retroactive pop-up amount, if any, effective to the first of month following date of death. Pop-up is not paid until NMERB receives all necessary paperwork.   Business Rules:   1. NMSA 22-11-29.C. If the named beneficiary of a retired member who elected Option B or C predeceases the retired member, the annuity of the retired member shall be adjusted by removing the actuarial reduction for Option B or C (pop-up): 2. At beginning on the first month following the month the named beneficiary passed away, for retirements after June 30, 1987; or 3. At beginning on July 1, 1987 to an annuity received by a retiree who retired prior to July 1, 1987. No adjustment shall be made retroactively. 4. NMSA 22-11-29.D. A retired member who is being paid a pop-up annuity because of the death of the named beneficiary may exercise a one-time irrevocable option to designate another individual as the beneficiary and may select either Option B or C provided that: 5. the amount of the annuity under the option selected shall be recalculated and have the same actuarial present value, computed on the effective date of the designation, as the annuity being paid to the retired member prior to the designation; 6. the designation and the amount of the annuity shall be subject to a court order approved by NMERB; and 7. the retired member pays $100 to the board to defray the cost of determining the new annuity amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.014 | Retiree Death | Payment maintenance | Benefit Analyst | I want the system to calculate the new payment amount for a new beneficiary if elected by the member  So I don’t have to process this manually. | I will be satisfied when:   * When the retiree exercises the one-time option to designate a new beneficiary for Option B or C, the system will calculate a new lifetime pension amount using the new beneficiary data.   Business Rules:   1. NMSA 22-11-29.D. A retired member who is being paid a pop-up annuity because of the death of the named beneficiary may exercise a one-time irrevocable option to designate another individual as the beneficiary and may select either Option B or C provided that: 2. the amount of the annuity under the option selected shall be recalculated and have the same actuarial present value, computed on the effective date of the designation, as the annuity being paid to the retired member prior to the designation. 3. the designation and the amount of the annuity shall be subject to a court order approved by NMERB; and   The retired member pays $100 to the board to defray the cost of determining the new annuity amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.015 | Retiree Death | Member data | Proposed solution |  | The system will allow the NMERB user to locate each instance of a deceased individual in the database. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.016 | Retiree Death | Beneficiary data | Proposed solution |  | The system will allow the NMERB user to enter beneficiary information and associate the beneficiary with the member. If the beneficiary is another member, the system will allow this association as well. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.017 | Retiree Death | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to generate letters to beneficiaries, spouses, and estate managers, as needed, to communicate regarding death of persons affiliated with NMERB membership. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.018 | Retiree Death | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to modify, as needed, death related letters generated in the system without need for reprogramming. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.019 | Retiree Death | Tax withholding | Proposed solution |  | The system will calculate taxable and non-taxable portions of benefits properly for payment of death benefits and will be able to calculate a secondary taxation rate for a portion of a benefit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.020 | Retiree Death | Payment processing | Proposed solution |  | The system will calculate and apply an adjustment to a refund of deceased member contributions and interest by the total amount of an overpayment made to a payee as a result of untimely death notification. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.021 | Retiree Death | Payment maintenance | Proposed solution |  | The system will track overpayments made to benefit recipients because of untimely death notification. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.022 | Retiree Death | Payment maintenance | Proposed solution |  | The system will allow manual overrides to the calculated payment amounts to survivor/beneficiaries, along with other values, to accommodate special situations. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.023 | Retiree Death | Payment processing | Proposed solution |  | The system will process a benefit that is paid to/split between multiple beneficiaries. Penny rounding issues for each amount paid to equal the total benefit and need for manual workarounds to set up multiple payees should not exist. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.024 | Retiree Death | 1099R | Proposed solution |  | The system will generate a 1099R record for each distribution paid to the recipient. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.025 | Retiree Death | 1099R | Proposed solution |  | The system will have the ability to generate a corrected 1099R for a deceased member when NMERB deems it necessary. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.026 | Retiree Death | Payment processing | Proposed solution |  | The system will determine whether to pay the pension for the month of death to the retiree or the survivor/beneficiary. Currently, the system does not process the pension for the month of death if a date of death is entered à date of death is entered after the corresponding monthly payroll is processed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.027 | Retiree Death | Payment processing | Proposed solution |  | The system will calculate process a credit if a death of death is entered. Currently the system does not process a credit if a date of death is entered à date of death is removed, credit is processed, and date of death re-entered. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.028 | Retiree Death | Death processing | Proposed solution |  | The system will complete the death transaction without requiring a dummy beneficiary for Option A. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.029 | Retiree Death | Reports, letters & forms | Proposed solution |  | The system will populate the residual death benefit claim form populated with the beneficiary date of birth. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.030 | Retiree Death | Reports, letters & forms | Proposed solution |  | The system will generate an Option B and Option C Notice to be sent to the member’s beneficiary. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.031 | Retiree Death | Payment maintenance | Proposed solution |  | The system will calculate the retroactive pop-up amount for COLA benefits, if any, effective to the first of month following date of death. Pop-up is not paid until NMERB receives all necessary paperwork. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.032 | Retiree Death | 1099R | Proposed solution |  | The system will update the YTD totals for 1099R purposes for payments that were processed after the death of a benefit recipient. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.033 | Retiree Death | Member portal | Proposed solution |  | The system will allow a beneficiary receiving a survivor pension to have an account and access to features on the member self-service site. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 12.034 | Retiree Death | Reports, letters & forms | Proposed solution |  | The system will automatically generate the ‘Notice to Beneficiary’ letter. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.001 | Active Death | Benefit eligibility | Benefit Analyst or Member Relations Associate | I want to enter death related information for a member or survivor  So that the pre-retirement death process is initiated. | I will be satisfied when:   * I can use the system search function to locate the member or beneficiary using name, SSN or Pension File # (PFN) * I search for the deceased, the system will display all occurrences of the individual on file (e.g., exists as a member and a beneficiary) * I can confirm their current plan status * I can enter the date of death for the individual * I can indicate which supporting documents have been received and accepted (e.g., death certificate) * I can enter account notes for reference and recordkeeping purposes | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.002 | Active Death | Member data | Benefit Analyst | I want to verify that final wages have been posted  So the death benefit can be calculated. | I will be satisfied when:   * I can view the most recent wage and contribution data that has been posted * Final wage and contribution data is loaded through employer reporting or manually entered | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.003 | Active Death | Reports, letters & forms | Benefit Analyst | I want to send the deceased’s representative a letter requesting supporting documentation  So I can verify the reported death. | I will be satisfied when:   * I can run the system-generated letters (general death cover letter) * I can edit the letter * I can set a follow-up reminder (30 or 60 days) if documents not received | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.004 | Active Death | Benefit eligibility | Benefit Analyst | I want the system to determine what death benefits are available to the survivor/beneficiary  So I do not have to determine this manually. | I will be satisfied when:   * The system determines whether survivor/beneficiary is eligible for a pension or refund based on the plan rules * If eligible for a survivor pension, whether the survivor pension is payable immediately or deferred to the member’s 55th or 60th birthday * When the survivor passes away, the survivor’s beneficiary is entitled to the residual contribution balance, if any * Benefits due to any alternate payee   Business Rule(s):   1. NMSA 22-11-29.F. If the member dies and has not retired and has completed at least five years' earned service credit, the member is considered to retire on the first day of the month following the date of death, and the benefits due the surviving beneficiary, computed as of that date, shall, except as provided in NMSA 22-11-29.J, commence effective on the first day of such month under Option B. In lieu Option B, the surviving beneficiary may elect to receive payment of all the contributions made by the member, plus interest reduced by the sum of any disability benefits previously received by the member, or the surviving beneficiary may choose to defer receipt of the survivor's benefit to whatever age the beneficiary chooses up to the time the member would have attained age 60. If the benefit is deferred, it shall be calculated as though the member had retired on the first day of the month in which the beneficiary elects to receive the benefit. In the event of the death of the beneficiary after the death of the member and prior to the date on which the beneficiary has elected to receive the beneficiary's benefit, the estate of the beneficiary shall be entitled to a refund of the member's contributions plus interest, reduced by the sum of any disability benefits previously received by the member. 2. NMSA 22-11-29.G. If a member dies and has not retired and has completed at least five years' earned service credit, and does not have a designated beneficiary, the eligible surviving spouse or surviving domestic partner shall be the surviving beneficiary eligible for benefits described in NMSA 22-11-29.F. 3. NMSA 22-11-29.J. If a member dies with less than five years' earned service credit or death of a member who has filed with the director a notice rejecting benefits under NMSA 22-11-29.F, which notice shall be revocable by the member at any time prior to retirement, the member's contributions to the fund plus interest shall be paid to the designated beneficiary or, if no beneficiary was designated, to the eligible surviving spouse or surviving domestic partner of the member or, if there is no eligible surviving spouse or domestic partner of the member, to the estate of the member. 4. Model order – pre-retirement death (Section 8)    1. Alternative 2: The member shall elect form of payment at the time he/she retires and may designate anyone as refund beneficiary in the event of member’s death before the accumulated contributions are paid out.    2. Alternative 3: The member shall elect Option B or C at the time he/she retires and name the co-payee as survivor pension beneficiary.    3. Alternative 4: The member shall elect Option B or C at the time he/she retires and may designate anyone as survivor pension beneficiary. If the member chooses a beneficiary other than the co-payee, the co-payee’s benefit shall cease upon the death of the member.    4. Alternative 5: The member shall elect Option B or C at the time he/she retires and may designate anyone as survivor pension beneficiary. If the member predeceases the co-payee and has named a beneficiary other than the co-payee, the survivor benefit is to be divided between the named Option B or C beneficiary and the co-payee or co-payee’s estate until all benefits cease.    5. Alternative 6: The member shall elect Option B or C at the time he/she retires and name the co-payee as survivor pension beneficiary. In the event that the member predeceases the co-payee, the survivor benefit shall be divided between the member’s estate and the co-payee.    6. Alternative 7: The member may choose any form of payment at the time he/she retires and name any person as the refund or survivor pension beneficiary.    7. Alternative 8: The member may choose any form of payment at the time he/she retires and name the co-payee as the refund or survivor pension beneficiary. 5. Model order – pre-retirement death (Section 9)    1. Alternative 1: If the co-payee predeceases the member and/or the member’s survivor pension beneficiary, the co-payee’s interest in the retirement benefit shall cease. 6. Alternative 2: If the co-payee predeceases the member and/or the member’s survivor pension beneficiary, the co-payee’s interest in the retirement benefit shall be paid to the co-payee’s estate. In all cases, payments made to the co-payee or any person designated by the co-payee to receive payments shall cease when benefits to the member or their survivor beneficiary cease. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.005 | Active Death | Benefit calculation | Benefit Analyst | I want the system to automatically generate beneficiary options and amounts  So I don’t have to process this manually. | I will be satisfied when:   * The system determines which options are available to the beneficiary based on the plan rules and calculates the benefits amounts applicable to the corresponding option | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.006 | Active Death | Reports, letters & forms | Benefit Analyst | I want to send the survivor or beneficiary an option package  So that their benefit can be set up for payment. | I will be satisfied when:   * I can run the system-generated letters (death benefit cover letter) * I can edit the letter * I can set a follow-up reminder (30 or 60 days) if election paperwork not received | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.007 | Active Death | Payment set up | Payroll or Refund Analyst | I want to set up the benefit payment (pension or lump sum)  So that the survivor or beneficiary receive their entitlement. | I will be satisfied when:   * I can indicate which required documents have been received and accepted (e.g., direct deposit or refund/rollover) * I can enter account notes for reference and recordkeeping purposes * I can set up the payment, including any deductions or adjustments * I can split a member’s benefit if it is payable to multiple beneficiaries or survivors. No manual intervention is required, such as rounding issues for benefit splits. * I can set up payments for non-person beneficiaries such as trust, charities, estates, etc. * I can submit the payment for the next available disbursement queue | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.008 | Active Death | Reports, letters & forms | Payroll Analyst | I want to be able to query accounts that have pending benefits a year after the member’s date of death  So NMERB can determine a replacement beneficiary. | I will be satisfied when:   * I can run a report to identify deceased member accounts with funds on deposit based on criteria defined by NMERB * I can enter account notes for reference and recordkeeping purposes   Business Rules:   1. NMSA 22-11-15.C. If the amount of a deceased member's contribution or residual contribution is less than $1,000 and no written claim is made to the board for it within one year of the member's death, by his surviving beneficiary or the member's estate, payment can be made to the named beneficiary or, if none is named, to the person the board determines to be entitled to the contribution under the laws of New Mexico. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.009 | Active Death | Tax withholding | Payroll Analyst | I want the system to calculate the tax applicable to the recipient’s benefit  So that I do not have to calculate this manually. | I will be satisfied when:   * The system calculates the taxable and non-taxable portions of benefits properly for payment of death benefits * The system will calculate a secondary taxation rate for a portion of a benefit | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.010 | Active Death | Member data | Refund Analyst | I want the retiree’s plan status to be updated once the death benefits have been processed  So that their account is closed. | I will be satisfied when:   * I can “close” the account once the survivor pension and/or refunds have been processed. * If any of these transactions are incomplete, the system will not allow me to close the account and display a warning message * Refunds should result in a $0 contribution balance (there is a defect in the current system that generates a negative balance) * The member’s plan status has changed to “Terminated” * The system generates a confirmation letter to the beneficiary or survivor notifying those benefits have been paid | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.011 | Active Death | Beneficiary information | Proposed solution |  | The system will allow NMERB users to enter beneficiary information and associate the beneficiary with the member. If the beneficiary is another member, the system will allow this association as well. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.012 | Active Death | Benefit eligibility | Proposed solution |  | The system will determine the death benefit options that the survivor qualifies for based on requirements for each of the option. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.013 | Active Death | Benefit eligibility | Proposed solution |  | The system will allow NMERB users to view all potential benefit options available to a survivor based upon eligibility. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.014 | Active Death | Benefit calculation | Proposed solution |  | The system will calculate the amounts payable to the beneficiary by option type (refund of contributions and interest or survivor pension). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.015 | Active Death | Benefit calculation | Proposed solution |  | The system will allow NMERB users to manually override the calculated payment amounts to survivor/beneficiaries, along with other values, to accommodate special situations. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.016 | Active Death | Benefit calculation | Proposed solution |  | The system will calculate taxable and non-taxable portions of benefits properly for payment of death benefits and will be able to calculate a secondary taxation rate for a portion of a benefit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.017 | Active Death | Payment processing | Proposed solution |  | The system will process a benefit that is paid to/split between multiple beneficiaries. Penny rounding issues for each amount paid to equal the total benefit and need for manual workarounds to set up multiple payees should not exist. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.018 | Active Death | 1099R | Proposed solution |  | The system will generate a 1099R record for each distribution paid to the recipient. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.019 | Active Death | Payment maintenance | Proposed solution |  | The system will update the YTD totals for 1099R purposes for payments that were processed after the death of a benefit recipient. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.020 | Active Death | 1099R | Proposed solution |  | The system will have functionality for NMERB users to generate a corrected 1099R for a deceased member when NMERB deems it necessary. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.021 | Active Death | Reports, letters & forms | Proposed solution |  | The system will automatically generate a reminder letter for beneficiaries with deferred options at least two months in advance of their elected effective retirement date. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.022 | Active Death | Interfaces | Proposed solution |  | The system will load death information into member accounts from files provided by third parties (e.g., Dept of Health). The death information should not stop annuity payments for the current month based on payroll processing. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.023 | Active Death | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to generate letters from the system to beneficiaries, spouses, and estate managers, as needed, to communicate regarding death of persons affiliated with NMERB membership. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.024 | Active Death | Reports, letters & forms | Proposed solution |  | The system will have functionality for NMERB users to modify, as needed, death related letters generated in the system without need for reprogramming. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 13.025 | Active Death | Workflow management | Proposed solution |  | The system will be able to flag accounts that have pending benefits a year after the member’s date of death. Currently, NMERB users are only able to use a query for these accounts. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.001 | Reciprocity | Reports, letters & forms | Benefit analyst | I want to audit the member’s NMERB service credit  So I can verify if the NMERB service credit is correct. | I will be satisfied when:   * I can run a summary report displaying the member’s entire NMERB history, including transactions (like refunds, purchases, etc.), wages, contributions, and service credit | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.002 | Reciprocity | Member data | Benefit analyst | I want to enter PERA information such as service credit and wages  So that the member’s NMERB and PERA retirement eligibility and final average salary is included in data received from PERA. | I will be satisfied when:   * I can indicate whether the member is an NMERB or PERA employee * I can indicate which supporting PERA documents have been received and accepted, such as: * Verification of PERA Service (Certification of Service) * PERA History (History Tabulation Report) * Retirement Application * Employer Certification of Termination * The member’s PERA service credits and wages are entered and stored separately from NMERB service credit and wages * I can see both NMERB and PERA service credit and wage data by fiscal quarter * I have the option to save or discard the PERA data that I have entered for estimate calculations * I can delete PERA data from a member’s account and the system will recalculate the net NMERB service credit, if necessary | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.003 | Reciprocity | Member data | Benefit analyst | I want to identify and correct overlapping service periods  So the member’s NMERB service and benefit is not overstated. | I’ll be satisfied when:   * I enter PERA service credit and the system calculates the net NMERB service credit so that the member cannot earn more than 0.25 years of service credit per fiscal quarter * An error message appears if any net NMERB service credit is less than 0 * I can override the system generated net NMERB service credit and save this change, if necessary * The system uses the net NMERB service credit to calculate the NMERB retirement benefit * The system uses the combined NMERB and PERA service credit to determine eligibility for normal retirement benefits and options   Business Rules:   1. Rule 2.82.10.8.F. NMAC If a member retires with service credit under more than one state system for an overlapping period, the member shall be granted service credit for this overlapping period as follows: 2. PERA shall grant service credit earned for the months the member was employed by an employer covered under PERA in accordance with all applicable PERA statutes and rules. 3. ERA shall grant service credit for the quarters of ERA service credited to the member in accordance with all applicable ERA statutes and rules less the amount of service credit granted by PERA in subsection 8.6.a (now Paragraph (1) of Subsection F of 2.82.10.8 NMAC) above. 4. In no case shall a member be credited with more than one month of service credit for all service in any calendar month. 5. Rule 2.82.10.8.G. NMAC Free or purchased military service credit under any state system may only be considered eligible reciprocal service credit under one state system for reciprocity retirement purposes. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.004 | Reciprocity | Benefit calculation | Benefit analyst | I want the system to calculate NMERB normal retirement eligibility based on the respective plan rules  So I do not have to determine retirement eligibility and dates manually. | I’ll be satisfied when the system:   * Processes the combined total of NMERB and PERA service credit to determine normal retirement eligibility in each plan. Each plan currently has the same vesting service requirement, but different normal retirement eligibility rules * Calculates the deferred retirement date when the member would be eligible to retire under both plans if the member is currently not eligible to retire under both plans   Business Rules:   1. PERRA 10-13A-4A a member's total eligible reciprocal service credit under all state systems shall be used in satisfying the service credit requirements for normal retirement under the state system from which the member retires | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.005 | Reciprocity | Benefit calculation | Benefit analyst | I want the system to calculate the reciprocity FAS correctly  So I do not have to calculate this manually. | I will be satisfied when:   * The system calculates a reciprocity FAS using NMERB and PERA salary data on file and calculation rules defined by NMERB and use the reciprocity FAS for the NMERB benefit calculation. * The system displays the reciprocity FAS result and details so that I can audit the calculation. * I can override the system generated reciprocity FAS to be used in the benefit calculation. There are exception cases where the reciprocity FAS is manually calculated.   Business Rules   * + - 1. PERRA 10-13A-4B the member's entire salary history under PERA and NMERB is used to determine the final average salary and annual average salary under each state system if the member has eligible reciprocal service credit under both state systems       2. Memo from Legal Jun 2021:   1. Apply NMERB rules and procedures to determine NMERB’s FAS even if all of the earnings used were earned under PERA. For quarters to count as consecutive, they must all be within the same system.   2. If the member does not have 20 consecutive quarters under either NMERB or PERA, the FAS will be based on the last 20 quarters.   3. If there is overlapping service, use only the salary from the system in which the member earned service credit. (See 10-13A-4(B)(1))      + 1. Rule 2.82.10.8.E. NMAC If a member has service credit for the same period of time for employment by public employers covered under different state systems, service credit may only be acquired under one state system for the period of overlapping service credit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.006 | Reciprocity | Benefit calculation | Benefit analyst | I want the system to calculate the NMERB pension  So this amount can be sent to the member. | I’ll be satisfied when:   * The system calculates the NMERB normal and optional form pension amounts based on calculation rules defined by NMERB. It is a PERA responsibility to calculate the PERA normal and optional form pension amounts. * The system displays the NMERB results and PERA years of service credit details so that I can audit the calculation.   Business Rules:   1. PERRA 10-13A-4C the pension attributable to each state system is calculated based on the member's service credit acquired in that state system and the pension calculation formula applicable under that state system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.007 | Reciprocity | Reports, letters & forms | Benefit analyst | I want the system to generate calculation detail report  So this data can be sent to PERA | I’ll be satisfied when:   * I can print NMERB member information to send to PERA, such as: * Certification of Service * This report shows the member’s total NMERB service credit, less any overlapping PERA service. * Member Contribution History * Benefit Estimate Calculation, if requested * I can edit these documents before sending to PERA   Business Rules:   1. Rule 2.82.10.8.H. NMAC When a member retires according to the provisions of the Public Employees Retirement Reciprocity Act, each state system under which the member has acquired eligible reciprocal service credit shall furnish the payor system with a certified statement of the member's service credit, and other pertinent data necessary to compute the member's pension. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.008 | Reciprocity | Member data | Benefits analyst | I want the system to store the NMERB and PERA amounts, option factors, and elections separately  So that this information can be used for benefit payment, as necessary. | I’ll be satisfied when:   * The system stores: * PERA effective retirement date * PERA FAS received from PERA and verified by NMERB * PERA total service * PERA option elected   Business Rule:   1. PERRA 10-13A-4.B.4 the member shall file an application for retirement under the state system under which the member was last employed, in accordance with the requirements of that state system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.009 | Reciprocity | Workflow management | Benefit analyst | I want to be able to select which type of reciprocity request to process  So that the correct retirement workflow is initiated. | I’ll be satisfied when:   * I can select the type of reciprocity retirement. This will populate the pension type (e.g., NMERB reciprocity). * The list of Proofs and Certifications will include PERA documents, such as: * Verification of PERA Service * PERA History (History Tabulation Report) * The system will not allow the process to continue until certain PERA documents are marked as received and accepted, as defined by NMERB, for estimates generated at retirement * A custom tab to enter PERA data will be enabled, such as: * PERA employee indicator * PERA effective date * PERA total service   Business Rule(s):   1. PERRA 10-13A-4.B.4 the member shall file an application for retirement under the state system under which the member was last employed, in accordance with the requirements of that state system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.010 | Reciprocity | Benefit calculation | Benefit analyst | I want the retirement estimate and Final Selection of Benefit Form to include PERA information  So that the member has the information they need to make an election. | I’ll be satisfied when:   * The system generates a reciprocity retirement estimate or Final Selection of Benefit Form that is populated with NMERB data * I can edit the estimate or Final Selection of Benefit Form, if necessary | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.011 | Reciprocity | Benefit eligibility | Benefit analyst | I want the same pension option to apply to both NMERB and PERA pensions  So that NMERB complies with the Reciprocity Act. | I’ll be satisfied when:   * I enter the NMERB pension option elected by the member, the system will apply same pension option to the PERA pension * I can send the member’s pension election information to PERA once the Final Selection of Benefit Form has been received | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.012 | Reciprocity | Payment set up | Benefit analyst | I want the system to know whether NMERB pays the PERA portion or not based on plan rules  So that the member receives the correct amount from NMERB. | I’ll be satisfied when:   * I complete the retirement process and the member is added to payroll, that only the NMERB pension amount is set up * The pension type is “ERB reciprocity” * The PERA amount does not appear on any interfaces or exports to Wells Fargo or DFA   Business Rules:   1. PERRA 10-13A-4F for members who retire on or after July 1, 2017, each state system shall pay the amount of the component of the pension attributable to service credit accrued under that state system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.013 | Reciprocity | Reports, letters & forms | Payroll analyst | I want to send PERA a list of reciprocity retiree data changes each month  So that NMERB and PERA can validate and reconcile additions/deletions/changes to the monthly pay cycle. | I will be satisfied when:   * I can run a report that lists all changes to NMERB reciprocity retirements that occurred since the last time this report has been run * I can send this report to PERA and internal staff   Business Rule:   1. Rule 2.82.10.8.H. NMAC When a member retires according to the provisions of the Public Employees Retirement Reciprocity Act, each state system under which the member has acquired eligible reciprocal service credit shall furnish the payor system with a certified statement of the member's service credit, and other pertinent data necessary to compute the member's pension. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.014 | Reciprocity | Batch processing | Benefits analyst | I want the retro adjustment batch process to include reciprocity retirements  So that the retiree receives the correct final pension amount. | I will be satisfied when:   * The retro adjustment batch process will include reciprocity retirements * I receive a report where I can identify adjustments for reciprocity retirements * I can edit this report, as needed, before sending to PERA if necessary | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.015 | Reciprocity | Workflow management | Benefits analyst | I want to be able to select which type of reciprocity request to process  So that the correct retirement workflow is initiated. | I’ll be satisfied when:   * I can select the type of reciprocity retirement. This will populate the pension type (e.g., PERA). * The list of Proofs and Certifications will include PERA documents, such as: * Verification of PERA Service * PERA History (History Tabulation Report) * PERA Information Sheet * The system will not allow the process to continue until certain PERA documents are marked as received and accepted, as defined by NMERB (currently applied to the Santa Fe location) * A custom tab to enter PERA data will be enabled, such as: * PERA employee indicator * PERA effective date * PERA total service   Business Rule:   1. PERRA 10-13A-4.B.4 the member shall file an application for retirement under the state system under which the member was last employed, in accordance with the requirements of that state system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.016 | Reciprocity | Retirement processing | Benefits analyst | I want the same pension option to apply to both NMERB and PERA pensions  So that NMERB complies with the Reciprocity Act. | I’ll be satisfied when:   * I can enter an initial NMERB pension option while waiting to receive confirmation from PERA on the final pension option. * I can change the NMERB pension option to the PERA pension option elected. Changes in NMERB optional forms will be included in the retroactive adjustment batch process. * If the PERA member has elected PERA Option D, then I enter NMERB Option A.   Business Rule:   1. Rule 2.82.10.8.J. NMAC A member retiring according to the provisions of the Public Employees Retirement Reciprocity Act shall only elect a form of payment option with the payor system. Each state system shall calculate benefits according to the same form of payment, except in the case of a member who retires under PERA and elects form of payment D, in which case the ERA component of the pension shall be calculated according to form of payment A. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.017 | Reciprocity | Payment set up | Benefits analyst | I want the system to know NMERB does not pay the PERA portion based on plan rules  So that the member receives the correct amount from NMERB. | I’ll be satisfied when:   * I complete the retirement process and the member is added to payroll. Only the NMERB pension amount is set up. * The pension type is “ERB Reciprocity-PERA employee” * The PERA amount does not appear on any interfaces or exports to Wells Fargo or DFA   Business Rule:   1. PERRA 10-13A-4F for members who retire on or after July 1, 2017, each state system shall pay the amount of the component of the pension attributable to service credit accrued under that state system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.018 | Reciprocity | Reports, letters & forms | Payroll analyst | I want to send PERA a list of reciprocity retiree data changes each month  So that NMERB and PERA can validate and reconcile additions/deletions/changes to the monthly pay cycle. | I will be satisfied when:   * I can run a report that lists all changes to PERA reciprocity retirements that occurred since the last time this report has been run * I can send this report to PERA and internal staff   Business Rule:   1. Rule 2.82.10.8.H. NMAC When a member retires according to the provisions of the Public Employees Retirement Reciprocity Act, each state system under which the member has acquired eligible reciprocal service credit shall furnish the payor system with a certified statement of the member's service credit, and other pertinent data necessary to compute the member's pension. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.019 | Reciprocity | Batch processing | Information Technology analyst | I want the retro adjustment batch process to include reciprocity retirements  So that the retiree receives the correct final pension amount. | I will be satisfied when:   * The retro adjustment batch process will include reciprocity retirements * I receive a report where I can identify adjustments for reciprocity retirements * I can edit this report, as needed, before sending to PERA if necessary | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.020 | Reciprocity | Member data | Proposed solution |  | The system will store and track pertinent information from the reciprocal retirement system as input by the user. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.021 | Reciprocity | Member data | Proposed solution |  | The system will allow the NMERB user to input information from the reciprocal retirement system such as:   * Salary, service, contributions, and final average salary * Termination date with the reciprocal retirement system * Membership date with the reciprocal retirement system * Years of service with the reciprocal retirement system * Periods of overlap between the reciprocal retirement system and NMERB service * Additional data may be required as reciprocity requirements evolve. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.022 | Reciprocity | Member data | Proposed solution |  | The system will store and display reciprocal data such as salary and service in the member record. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.023 | Reciprocity | Member data | Proposed solution |  | The system will allow authorized users to manually override data associated with reciprocity to allow for exceptions. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.024 | Reciprocity | Member data | Proposed solution |  | The system will capture and store multiple reciprocity records for a member, both incoming and outgoing, including reciprocal retirement system name, date ranges for reciprocal memberships, member classification, and total reciprocal service time. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.025 | Reciprocity | Benefit eligibility | Proposed solution |  | The system will determine eligibility for benefit based on the reciprocity rules in effect. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.026 | Reciprocity | Benefit calculation | Proposed solution |  | The system will calculate the pension amount attributable to each retirement system on the reciprocity rules in effect. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.027 | Reciprocity | Reports, letters & forms | Proposed solution |  | The system will produce reports on reciprocity – e.g. a list of members who have outgoing reciprocity and the respective reciprocal retirement systems, list of members who have incoming reciprocity and the corresponding reciprocal retirement systems, summary reports with counts, etc. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.028 | Reciprocity | Reports, letters & forms | Proposed solution |  | The system will generate information on outgoing reciprocity for a member, including:   * Service credit history with NMERB * Salary history with NMERB * Membership end date with NMERB * Membership date with reciprocal retirement system   Additional data may be required as reciprocity requirements evolve. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.029 | Reciprocity | Member data | Proposed solution |  | The system will store the date(s) correspondence to other retirement systems was sent out. It is sometimes necessary to send multiple follow-up requests to reciprocal retirement systems before the needed documentation is received. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.030 | Reciprocity | Member data | Proposed solution |  | The system will flag an active member as a reciprocal member, if applicable. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.031 | Reciprocity | Reports, letters & forms | Proposed solution |  | The system will produce an automated reciprocity data extract that is populated with the member’s specific information for both incoming reciprocity and outgoing reciprocity requests. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.032 | Reciprocity | Reports, letters & forms | Proposed solution |  | The system will allow users to edit system generated letters before sending them to the member (e.g., reciprocity confirmation letter, denial letter). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.033 | Reciprocity | Benefit calculation | Proposed solution |  | The system will apply any legislative rules, such as IRC and anti-spiking, that apply to salary or FAS for reciprocity calculations. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 14.034 | Reciprocity | Benefit calculation | Proposed solution |  | The system will calculate the retroactive adjustment attributable to changes in the NMERB pension option (from PERA reciprocity) or PERA salary data. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.001 | QEBA | Reports, letters & forms | Payroll Analyst | I want to report on individuals that are approaching the 415(b) limit  So we can appropriately cap benefits and pay individuals who are part of the QEBA their additional benefits. | I’ll be satisfied when:   * I can generate a report that identifies members that have payments that are approaching the limit. * The report contains all the required data elements for the actuary to perform the calculation to determine the exact limit for the member. * Date of Hire * Retirement Date * Date of Birth * Single Life Annuity (SLA) Benefit amount * Contribution amounts * I can request a new version of the report when issues are found. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.002 | QEBA | Payment set up | Payroll Analyst | I want to setup QEBA payments for members who are eligible for QEBA benefits  So we can maintain the payment data for these members within the system. | I’ll be satisfied when:   * I can store payment records for the QEBA benefits, separately from the non-QEBA benefits. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.003 | QEBA | Payment set up | Accountant | I want to be able to review the payment information and setup for QEBA benefits So I can setup the payment with the trust account and audit my peers. | I’ll be satisfied when:   * I can review the payment records that were setup for the QEBA benefits. * I can setup payments to be paid from the QEBA trust account. * I can alert and request changes to the payment information when issues are found. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.004 | QEBA | Reports, letters & forms | Accountant | I want to be able to send the member a letter alerting them to the start of QEBA benefits or modifications to their QEBA payments  So the member stays informed about their QEBA benefits. | I’ll be satisfied when:   * I can create a letter describing the changes that have occurred to the member’s QEBA payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.005 | QEBA | Tax slips | Payroll Analyst | I want the system to produce the correct tax slip for benefit recipients  So that they can report their retirement income. | I will be satisfied when:   * QEBA benefits paid to retired members are reported on a Form W-2 and the income tax withheld is reported on Form 941 to be compliant with IRS regulations. * QEBA benefits paid to a survivor/beneficiary should be reported on a Form 1099-MISC. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.006 | QEBA | Reports, letters & forms | Accounting Analyst | I need to be able to report on the funding that is required monthly to cover the payments paid from the QEBA fund  So we can request the correct funding from the employers to cover the liabilities. | I’ll be satisfied when:   * I can generate a report that provides the total liabilities for the month’s payments from the QEBA plan.   Business Rule:   1. NMSA 22-11-30.1 The educational retirement board, by rule, may establish and maintain a qualified excess benefit arrangement under Section 415(m) of the United States Internal Revenue Code of 1986 for employees hired before July 1, 1999. The amount of annual benefit that would be payable but for the limitation imposed by Section 415 of the United States Internal Revenue Code of 1986 to an employee hired before July 1, 1999 shall be paid from a qualified excess benefit arrangement established and maintained pursuant to this section. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.007 | QEBA | Reports, letters & forms | Proposed solution |  | The system will allow for the query of participant data to support the QEBA identification based on but not limited:   * Date of Hire * Benefit Payment Amounts * Retirement Date * Contribution values | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.008 | QEBA | Payment maintenance | Proposed solution |  | The system will allow for the tracking of benefits payments for the QEBA Benefit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.009 | QEBA | Workflow management | Proposed solution |  | The system will allow for tracking of the work to complete the required QEBA processes. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.010 | QEBA | Data validation | Proposed solution |  | The system will allow for the validation of the payment data that has been input. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.011 | QEBA | Benefit calculation | Proposed solution |  | The system will perform the calculation applicable to the 415(b) limits to properly cap the benefits as well as provide the overage amount for members going into payment and retirees already in payment as the limits are adjusted annually and COLA adjustments are applied. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.012 | QEBA | Reports, letters & forms | Proposed solution |  | The system will create a report at request to provide the required information for participants near the 415(b) limits. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.013 | QEBA | Payment maintenance | Proposed solution |  | The system will allow for payments to be attributed to different funds to split the payroll process correctly. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.014 | QEBA | Tax slips | Proposed solution |  | The system will allow for the creation, correction, and re-issue of W2 tax documents for QEBA benefits. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 15.015 | QEBA | Reports, letters & forms | Proposed solution |  | The system will automatically generate a letter alerting members of the start of QEBA benefits or modifications to their QEBA payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.001 | DRO Processing | Member data | Paralegal | I want to be able to view membership information on a member’s account  So I can determine if any or all of the member’s benefit qualifies as community property. | I will be satisfied when:   * I can use the system search function to locate the member or beneficiary using name, SSN or PFN if they already exist on the database * The system displays whether the member and beneficiaries have one or more relationships within the plan (ex. both a member and a beneficiary) * I can view a member’s work history so I can confirm whether a community property period is within a membership period | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.002 | DRO Processing | Member data | Paralegal | I want to add notes to the member’s account  So I can keep a record of processing the member’s DRO. | I will be satisfied when:   * I can add notes to a member’s account with information relevant to processing their DRO | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.003 | DRO Processing | Member data | Paralegal | I want to be able to store a DRO on a member’s account for future processing  So I don’t have to reject the DRO because it contains future-dated elections. | I will be satisfied when:   * I can save a final DRO on a member’s account to use for future processing * The effective date of the DRO can be in the future and will not take effect until that date occurs | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.004 | DRO Processing | Reports, letters & forms | Paralegal | I want to be able to generate memos for payroll staff that indicate how a benefit needs to be split  So I don’t have to create memos manually. | I will be satisfied when:   * The system provides a template that I can modify as needed * I can save the memo in the system to be viewed by payroll staff | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.005 | DRO Processing | Payment set up | Paralegal or Payroll/Refund Analyst | I want to be able to enter information on how a member’s benefit is to be split  So I don’t have to manually adjust the member’s benefit. | I will be satisfied when:   * I can enter dollar or percentage split amount and verify that the system has split the benefit correctly * I can allow/disallow benefit enhancements such as COLA * I can designate the member to receive the COLA on their benefit based on the full amount * I can enter payment information for the ex-spouse such as banking information and deductions * I can override system-generated values, if necessary   Business Rules:   1. Rule 22.11.42.B NMAC A court of competent jurisdiction, solely for the purposes of effecting a division of community property, may provide by appropriate order for a determination and division of a community interest in the pensions or other benefits provided for in the ERA. In so doing, the court shall fix the manner in which the warrants shall be issued, may order direct payments by the board to a person with a community interest in the pensions or benefits and may restrain the refund of member or participant contributions. 2. Pre-retirement Model Order Section 8    1. Alternative 1: The member shall elect Option A at the time they retiree and shall name the co-payee as the refund beneficiary.    2. Alternative 2: The member shall elect form of payment at the time he/she retires and may designate anyone as refund beneficiary in the event of member’s death before the accumulated contributions are paid out.    3. Alternative 3: The member shall elect Option B or C at the time they retire and shall name the co-payee as survivor pension beneficiary.    4. Alternative 4: The member shall elect Option B or C at the time they retire and may designate anyone as survivor pension beneficiary. If the member chooses a beneficiary other than the co-payee, the co-payee’s benefit shall cease upon the death of the member.    5. Alternative 5: The member shall elect Option B or C at the time they retire and may designate anyone as survivor pension beneficiary. If the member predeceases the co-payee and has named a beneficiary other than the co-payee, the survivor benefit is to be divided between the named Option B or C beneficiary and the co-payee or co-payee’s estate until all benefits cease.    6. Alternative 6: The member shall elect Option B or C at the time they retire and shall name the co-payee as survivor pension beneficiary. In the event that the member predeceases the co-payee, the survivor benefit shall be divided between the member’s estate and the co-payee.    7. Alternative 7: The member may choose any form of payment at the time they retire and may name any person as the refund or survivor pension beneficiary.    8. Alternative 8: The member may choose any form of payment at the time they retire and shall name the co-payee as the refund or survivor pension beneficiary. 3. Pre-retirement Model Order Section 9    1. Alternative 1: If the co-payee predeceases the member and/or the member’s survivor pension beneficiary, the co-payee’s interest in the retirement benefit shall cease.    2. Alternative 2: If the co-payee predeceases the member and/or the member’s survivor pension beneficiary, the co-payee’s interest in the retirement benefit shall be paid to the co-payee’s estate. In all cases, payments made to the co-payee or any person designated by the co-payee to receive payments shall cease when benefits to the member or their survivor beneficiary cease. 4. Post-retirement Model Order Section 8    1. Alternative 1: At retirement, the member chose Option A (the straight life option) and named the ex-spouse as beneficiary. The selection is to remain the same.    2. Alternative 2: At retirement, the member elected a death refund. If any is to be divided between the co-payee and the member’s new beneficiary.    3. Alternative 3: The member is allowed to choose someone other than the co-payee as the refund beneficiary.    4. Alternative 4: At retirement, the member elected Option B or C and designated the ex-spouse as survivor pension beneficiary. The selection of beneficiary is to remain the same.    5. Alternative 5: At retirement, the member elected Option B or C and designated the ex-spouse as survivor pension beneficiary. This selection of beneficiary is to remain the same, however the survivor pension benefit is to be divided between the co-payee and the member’s estate.    6. Alternative 6: At retirement, the member elected Option B or C and designated the ex-spouse as survivor pension beneficiary. The ex-spouse is to be removed as the survivor pension beneficiary and the form of payment is to be changed to Option A. The member may name anyone as the Option A refund beneficiary.    7. Alternative 7: At retirement, the member elected Option B or C and designated the ex-spouse as survivor pension beneficiary. The ex-spouse is to be removed as the survivor pension beneficiary and the form of payment is to be changed to Option A. The member must name the co-payee as the Option A refund beneficiary. 5. Post-retirement Model Order Section 9    1. Alternative 1: If the co-payee predeceases the member and/or the member’s survivor pension beneficiary, the co-payee’s interest in the retirement benefit shall cease. 6. If the co-payee predeceases the member and/or the member’s survivor pension beneficiary, the co-payee’s interest in the retirement benefit shall be paid to the co-payee’s estate. In all cases, payments made to the co-payee or any person designated by the co-payee to receive payments shall cease when benefits to the member or their survivor beneficiary cease. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.006 | DRO Processing | Payment maintenance | Refund or Payroll Analyst | I want to be able to save and maintain financial institution data for each payee  So that each person receives their benefit entitlement. | I will be satisfied when the system:   * Allows me to add the ex-spouse’s banking/financial institution information for their benefit entitlement * Performs front-end data validation for routing so that the payment does not reject | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.007 | DRO Processing | Payment set up | Refund or Payroll Analyst | I want to be able to enter deductions for third-party recipients for payments such as child support  So I don’t have to manually adjust a benefit when payroll runs. | I will be satisfied when:   * I can enter deductions for third-party recipients for items such as child support for either the member or ex-spouse   Business Rules:   1. Rule 22.11.42.C NMAC A court of competent jurisdiction, solely for the purposes of enforcing current or delinquent child support obligations, may provide by appropriate order for withholding amounts due in satisfaction of current or delinquent child support obligations from the pensions or other benefits provided for in the ERA and for payment of such amounts to third parties. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.008 | DRO Processing | Payment maintenance | Payroll Analyst | I want the DRO Beneficiary benefit to be automatically suspended/resumed when I suspend/resume a retiree’s benefit  So I don’t have to do this manually. | I will be satisfied when:   * I can suspend the retiree’s benefit and the system in turn suspends the DRO Beneficiary benefit * I can resume the retiree’s benefit and the system in turn resumes the DRO Beneficiary benefit | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.009 | DRO Processing | 1099R | Refund or Payroll Analyst | I want the system to generate individual 1099Rs for each payee and type of payment with a unique distribution code  So that NMERB is compliant with tax reporting requirements. | I will be satisfied when the system:   * Generates individual 1099Rs for each payee and type of payment with a unique distribution code * Generates only one 1099R if a distribution code is the same for multiple payments | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.010 | DRO Processing | Benefit calculation | Proposed solution |  | The system will automatically adjust member’s benefit based on the DRO percentage/flat dollar amount inputs. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.011 | DRO Processing | Benefit calculation | Proposed solution |  | The system will automatically adjust DRO Beneficiary’s benefit based on the DRO percentage/flat dollar amount inputs. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.012 | DRO Processing | Tax withholding | Proposed solution |  | The system will withhold the proper amount of tax (federal and, if applicable, state) from monthly benefit payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.013 | DRO Processing | Payment set up | Proposed solution |  | The system will be able to include any retroactive payment amounts for the member in the member’s first retirement benefit payment. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.014 | DRO Processing | Payment set up | Proposed solution |  | The system will be able to include any retroactive payment amounts for the DRO Beneficiary in the DRO Beneficiary’s first retirement benefit payment. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.015 | DRO Processing | Member data | Proposed solution |  | The system will allow NMERB users to select DRO division type as a percentage and input a percentage amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.016 | DRO Processing | Member data | Proposed solution |  | The system will allow NMERB users to select DRO division type as a flat dollar amount and input a flat dollar amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.017 | DRO Processing | Member data | Proposed solution |  | The system will allow NMERB users to override default tax withholding percentages and amounts for a DRO, if needed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.018 | DRO Processing | Payment set up | Proposed solution |  | The system will allow payments for the DRO to be issued either as direct deposit or paper check. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.019 | DRO Processing | Payment maintenance | Proposed solution |  | The system will be able to assign and store the check numbers and direct deposit statement numbers for the DRO payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.020 | DRO Processing | Payment set up | Proposed solution |  | The system will be able to process the DRO Beneficiary’s distributions using the DRO Beneficiary’s tax information regardless of the tax information for the member’s benefit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.021 | DRO Processing | Payment maintenance | Proposed solution |  | The system will display a history of payments, after the DRO has been applied to both the member and the DRO Beneficiary accounts. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.022 | DRO Processing | Payment maintenance | Proposed solution |  | The system will use the payment history to accurately deduct and report all federal and state tax withholdings for the member and ex-spouse. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.023 | DRO Processing | 1099R | Proposed solution |  | The system will provide the capability to use the payment history to accurately create the annual IRS tax reporting form 1099R for the member and DRO Beneficiary. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.024 | DRO Processing | 1099R | Proposed solution |  | The system will provide the capability to link the year end 1099R form, for both the member and the DRO Beneficiary, to the payment history. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.025 | DRO Processing | Member data | Proposed solution |  | The system will be able to establish individual accounts for both the member and the DRO Beneficiary. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.026 | DRO Processing | Payment set up | Proposed solution |  | The system will allow NMERB users to define the hierarchy of court orders and other withholdings, especially for multiple DRO and CSEA orders, and to correctly process amended DROs. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.027 | DRO Processing | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to generate a letter informing the member or DRO Beneficiary that the DRO has been applied to the member’s account and the benefit amount has changed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.028 | DRO Processing | Reports, letters & forms | Proposed solution |  | The system will provide queries for information regarding the DRO for both the member and the DRO Beneficiary. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.029 | DRO Processing | Data validation | Proposed solution |  | The system will provide functionality to allow NMERB users to perform full and complete review, validation, reconciliation, and quality assurance checks to ensure the DRO is applied correctly to the member and DRO Beneficiary accounts. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.030 | DRO Processing | Payment maintenance | Proposed solution |  | The system will have a viewable and printable history (audit trail) for changes to a member’s tax withholding elections, beneficiaries, DRO percentage, etc. that impact the member’s monthly benefit amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.031 | DRO Processing | Workflow management | Proposed solution |  | The system will be able to notify the appropriate department to adjust a benefit amount if there are DRO beneficiaries with a DRO. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.032 | DRO Processing | Data validation | Proposed solution |  | The system will be able to notify the user if an error is produced while processing the division of property order. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.033 | DRO Processing | Workflow management | Proposed solution |  | The system will notify the appropriate department if an error is produced while running the batch. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.034 | DRO Processing | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to modify letter templates, as needed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.035 | DRO Processing | Benefit calculation | Proposed solution |  | The system will calculate a benefit split per input from a DRO without the need for manual calculations. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.036 | DRO Processing | Benefit calculation | Proposed solution |  | The system will allow NMERB users to enter a date range for the community property period, along with other essential information, and have the system calculate the appropriate split of benefits. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.037 | DRO Processing | Benefit calculation | Proposed solution |  | The system will be able to calculate retroactive payments related to DRO benefit splits that take into benefit enhancements such as COLA, when applicable. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.038 | DRO Processing | Payment set up | Proposed solution |  | The system will, in the instance of the death of a co-payee, be able to divide the continuing benefit to multiple heirs with separate tax preferences and liabilities, if applicable. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.039 | DRO Processing | Member portal | Proposed solution |  | The system will allow DRO Beneficiaries to log on to a self-service portal to change address information for the DRO, unless the DRO Beneficiary is also an active member. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.040 | DRO Processing | Member portal | Proposed solution |  | The system will allow DRO Beneficiaries to log on to a self-service portal to change payment information such as direct deposit and tax withholding information for the DRO. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.041 | DRO Processing | Member data | Proposed solution |  | The system will allow NMERB users to apply, cancel, and remove the DRO from the member account for both the member and the DRO Beneficiary, as needed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.042 | DRO Processing | Payment maintenance | Proposed solution |  | The system will allow the effective date to be recognized even if it is in the past for post-retirement DROs and will not place a lien on the member’s account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.043 | DRO Processing | Benefit calculation | Proposed solution |  | The system will allow for post-retirement DROs to use the current disbursement amount for the split versus the original benefit amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.044 | DRO Processing | Benefit calculation | Proposed solution |  | The system will split the non-taxable portion for member’s who were married and making pre-1983 contributions to plan. The non-taxable portion should be split between the member and the co-payee. Currently, this is not being done at NMERB. Also, if a service purchase is processed with post tax dollars, that would qualify as non-taxable funds and would also require a split between the member and co-payee. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 16.045 | DRO Processing | Benefit processing | Proposed solution |  | The system will allow for future dated DRO information to be entered and automatically processed at the effective date. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.001 | Benefit Estimate | Benefit eligibility | Benefits Analyst | I want to determine the member’s eligibility for a benefit estimate  So I know whether to accept or reject the request. | I will be satisfied when:   * I can view when the last estimate was generated * The system displays the member’s earliest projected retirement date without having to run any manual calculation | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.002 | Benefit Estimate | Member data | Benefits Analyst | I want to audit the member’s account  So the estimate calculation is accurate. | I will be satisfied when:   * I can review data such as: * Marital status * Beneficiary designation * Job start dates * Job codes * Contributions, wages, and service history * Supporting documentation (imaged and paper) * Term dates * Job titles | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.003 | Benefit Estimate | Data validation | Benefits Analyst | I want to audit the wages for the fiscal year  So that I can confirm anti-spiking does not exist. | I will be satisfied when:   * The reported wages meet the anti-spiking rules * The final average salary is calculated correctly | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.004 | Benefit Estimate | Benefit calculation | Benefits Analyst | I want the estimate to project service credits and salary if final data is not on file  So that I can run the estimate. | I will be satisfied when:   * I have the option to enter service credits and salary to be used in the estimate, otherwise, the estimate will project service credits and salary to the calculation date, if appropriate * I want the estimate to generate calculation details so I can audit the estimate | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.005 | Benefit Estimate | Reports, letters & forms | Benefits Analyst | I want to generate a formal benefit estimate  So that I can mail the estimate to the member. | I will be satisfied when:   * I can view the following system-generated documents: * Estimate of Retirement Benefit * I can edit documents, if necessary * I can manually create the Cover Letter * I can add notes to the member’s account | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.006 | Benefit Estimate | Benefit eligibility | Benefits Analyst | I want to determine the member’s eligibility for a benefit estimate  So I know whether to accept or reject the request. | I will be satisfied when:   * I can view when the last estimate was generated * he system displays the member’s earliest projected retirement date without having to run any manual calculation | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.007 | Benefit Estimate | Member data | Benefits Analyst | I want to audit the member’s account  So the estimate calculation is accurate. | I will be satisfied when:   * I can review data such as: * Marital status * Beneficiary designation * Job start dates * Job codes * Contributions, wages, and service history * Supporting documentation (imaged and paper) * Job titles * Term dates | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.008 | Benefit Estimate | Workflow management | Benefits Analyst | I want to confirm a DRO has been received  So that I can process an estimate request. | I will be satisfied when:   * Legal can indicate that the DRO has been received * Legal can indicate that the DRO has been approved * Legal can enter how the pension should be split according to the DRO * I can view notes in the system from legal on whether the DRO was accepted or rejected * I can view the approved DRO to verify the beneficiary’s DOB and the applicable pension options that should be used for the estimate | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.009 | Benefit Estimate | Reports, letters & forms | Benefits Analyst | I want to generate a formal benefit estimate  So that I can mail the estimate to the member. | I’ll be satisfied when:   * I can view the following system-generated documents: * Estimate of Retirement Benefit * I can make edits to the documents, if necessary * Legal sends a letter requesting proper documentation if the DRO has not been approved * Legal sends the Cover Letter to the member * I can add notes to the member’s account | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.010 | Benefit Estimate | Benefit eligibility | Benefits Analyst | I want to determine the member’s eligibility for a benefit estimate  So I know whether to accept or reject the request. | I will be satisfied when:   * I can view when the last estimate was generated * The system displays the member’s earliest projected retirement date without having to run any manual calculation | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.011 | Benefit Estimate | Member data | Benefits Analyst | I want to audit the member’s account  So the estimate calculation is accurate. | I will be satisfied when:   * I can review data such as: * Marital status * Beneficiary designation * Job start dates * Job codes * Contributions, wages, and service history * Supporting documentation (imaged and paper) * Job titles * Term dates | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.012 | Benefit Estimate | Member data | Benefits Analyst | I want to enter PERA information such as service credits and wages  So that I can run an estimate. | I will be satisfied when:   * I can enter PERA service and wage data * I can review the credits and wages for both NMERB and PERA * I can adjust NMERB and PERA data for overlapping service * The estimate uses PERA service for eligibility rules only * The estimate uses the highest five consecutive fiscal years of wages between the two agencies for the FAS calculation | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.013 | Benefit Estimate | Reports, letters & forms | Benefits Analyst | I want to generate a formal benefit estimate  So that I can mail the estimate to the member. | I will be satisfied when:   * I can view the following system-generated documents: * Estimate of Retirement Benefit * I can print the Certification of NMERB Service Credit to send to PERA * I can edit documents, if necessary * I can manually create the Cover Letter * I can add notes to the member’s account | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.014 | Benefit Estimate | Member data | Benefits Analyst | I want to remove PERA projected estimate data once the estimate is complete  So that the member’s account does not have unconfirmed PERA data. | I will be satisfied when:   * I can remove PERA projected estimate data | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.015 | Benefit Estimate | Benefit eligibility | Benefits Analyst | I want to determine the member’s eligibility for a benefit estimate  So I know whether to accept or reject the request. | I will be satisfied when:   * I can view when the last estimate was generated * The system displays the member’s earliest projected retirement date without having to run any manual calculation | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.016 | Benefit Estimate | Member data | Benefits Analyst | I want to audit the member’s account  So the estimate calculation is accurate. | I will be satisfied when:   * I can review data such as: * Marital status * Beneficiary designation * Job start dates * Job codes * Contributions, wages, and service history * Supporting documentation (imaged and paper) * Job titles * Term dates | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.017 | Benefit Estimate | Member data | Benefits Analyst | I want to calculate a benefit estimate  So that I can give the calculation to the Deputy Director to calculate the QEBA amount. | I will be satisfied when:   * The payroll department has the information necessary to calculate the QEBA amount and create the corresponding QEBA letter | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.018 | Benefit Estimate | Reports, letters & forms | Benefits Analyst | I want to generate a formal benefit estimate  So that I can mail the estimate to the member. | I will be satisfied when:   * I can view the following system-generated documents: * Estimate of Retirement Benefit * I can edit documents, if necessary * I can manually create the Cover Letter * The payroll department manually creates and sends the member the QEBA letter * I can add notes to the member’s account | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.019 | Benefit Estimate | Benefit calculation | Proposed solution |  | The system will calculate a benefit estimate based on NMERB business and calculation rules for all estimate types including age/service retirement. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.020 | Benefit Estimate | Benefit calculation | Proposed solution |  | For the purposes of calculating service credit, the system will use the retirement date and service credits entered in the system on the member’s account and in the member’s work history. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.021 | Benefit Estimate | Member portal | Proposed solution |  | The system will allow member to generate benefit estimates that utilize real-time system data through member self-service. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.022 | Benefit Estimate | Benefit calculation | Proposed solution |  | The system will use the same calculations and member data and obtain the same results for different benefit estimate channels (Ex. Member Self-Service and internal NMERB calculation). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.023 | Benefit Estimate | Benefit calculation | Proposed solution |  | The system will save benefit estimates together with their assumptions and the date of the estimates as historical references. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.024 | Benefit Estimate | Benefit calculation | Proposed solution |  | The system will produce a benefit estimate at any time without impacting a member’s permanent data in the system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.025 | Benefit Estimate | Workflow management | Proposed solution |  | The system will use a configurable workflow that includes audit steps to generate a benefit estimate and includes all benefit options requested by the member. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.026 | Benefit Estimate | Benefit eligibility | Proposed solution |  | The system does not produce benefit estimate options that the member is not eligible for. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.027 | Benefit Estimate | Benefit calculation | Proposed solution |  | The system will allow DROs to be included in the benefit estimate calculation. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.028 | Benefit Estimate | Benefit calculation | Proposed solution |  | The system will account for breaks in service when calculating a benefit estimate. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.029 | Benefit Estimate | Data validation | Proposed solution |  | The system will allow wages to be verified 6 to 9 months after a member has retired to avoid the member’s benefit payment being overstated or understated. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.030 | Benefit Estimate | Benefit calculation | Proposed solution |  | The system should have the flexibility to use data on file or project an estimate using current wages and service credits. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.031 | Benefit Estimate | Benefit calculation | Proposed solution |  | The system will allow users to override or enter manual values for purchased service when creating an estimate, without affecting the member’s permanent data. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.032 | Benefit Estimate | Benefit calculation | Proposed solution |  | The system will account for the contract period (i.e., 9 months, 12-month, etc.) when calculating a benefit estimate. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.033 | Benefit Estimate | Reports, letters & forms | Proposed solution |  | The system will generate an Estimate Letter and a Cover Letter for the member that can be printed and saved to the member’s account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.034 | Benefit Estimate | Benefit calculation | Proposed solution |  | The system will project a member’s earliest retirement date even if they have received a refund. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.035 | Benefit Estimate | Benefit calculation | Proposed solution |  | The system will perform projections for the FAS and service credits. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.036 | Benefit Estimate | Workflow management | Proposed solution |  | The system will display the status of a benefit estimate on the Member Self-Service portal and internally to designated NMERB staff such as Customer Service. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 17.037 | Benefit Estimate | Usability | Proposed solution |  | The system will allow NMERB users to delete an estimate, if necessary. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.001 | Interest Posting | Benefit calculation | Member Services Director | I want to update the refund interest rate,  So the PAS generates accurate payments. | I will be satisfied when:   * The refund interest rate is maintained in the PAS by effective date * The PAS uses the appropriate interest rate in refund calculations, based on effective date   Business Rule:   1. Board resolution dated June 4, 2010:    1. Effective July 1, 2010, interest for all Refunds shall be calculated using the 5-year Treasury Note Rate, adjusted to a constant maturity, as published on March 31 of each year as the interest rate for all Refunds to be made in the fiscal year beginning the following July 1. 2. Compounding is quarterly for refunds | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.002 | Interest Posting | Benefit calculation | Payroll Supervisor | I want the system to calculate and apply interest to member contribution balances at year-end  So member accounts are updated and the actuarial extract can be produced. | I will be satisfied when:   * The system uses the correct interest rate and formula as defined by NMERB * Results will be rounded to the nearest penny * Principal and interest will be stored separately. Additionally, interest be stored by fiscal year. * Interest is posted only to member accounts and contributions that are eligible for interest * I can override system-calculated interest   Business Rule:   1. NMSA 22-11-15.D. The interest shall apply only to contributions paid to the fund after July l, 1971 and on deposit in the fund for a period of at least one fiscal year; provided that no such interest shall be allowed on refunds of contributions that were paid into the fund prior to July 1, 1971. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.003 | Interest Posting | Benefit calculation | Refund /Payroll Manager | I want the system to calculate a member contribution balance for a refund  So that the benefit recipient is paid to the correct amount. | I will be satisfied when:   * The system uses the correct interest rate and formula as defined by NMERB   1. Results will be rounded to the nearest penny   2. Principal and interest will be stored separately. Additionally, interest be stored by fiscal year. * Interest is posted only to member accounts and contributions that are eligible for interest * I can override system-calculated interest   Business Rules:   1. NMSA 22-11-15.A. After filing written demand with the director, a member is entitled to a refund of the total amount of the member's contributions plus interest at a rate set by the board, reduced by the sum of any disability benefits previously received by the member, if: 2. the member terminates employment for reasons other than by retirement, disability or death; 3. the member has exempted himself from the Educational Retirement Act; or 4. the member was not reemployed following a period of disability during which he received disability benefits. 5. NMSA 22-11-15.D. The interest provided for in NMSA 22-11-15.A shall apply only to contributions paid to the fund after July l, 1971 and on deposit in the fund for a period of at least one fiscal year; provided that no such interest shall be allowed on refunds of contributions that were paid into the fund prior to July 1, 1971. 6. NMSA 22-11-26.A. if the member did not elect to exercise Option B or C at the time of first retirement, the member's beneficiary or estate shall receive an amount equal to the sum of the member's contributions, including contributions made by the member during the period of last reemployment, plus accumulated interest at the rate set by the board, less the total benefits received prior to the last reemployment 7. NMSA 22-1-29.F. In the event of the death of the member who has not retired and who has completed at least 5 years' earned service credit, the member shall be considered as retiring on the first day of the month following the date of death, and the benefits due the surviving beneficiary, computed as of that date, shall, except as provided in NMSA 22-1-29.J, be commenced effective on the first day of such month in accordance with the terms of Option B. In lieu of the provisions of Option B, the surviving beneficiary may elect to receive payment of all the contributions made by the member, plus interest at the rate set by the board reduced by the sum of any disability benefits previously received by the member, or the surviving beneficiary may choose to defer receipt of the survivor's benefit to whatever age the beneficiary chooses up to the time the member would have attained age 60. If the benefit is thus deferred, it shall be calculated as though the member had retired on the first day of the month in which the beneficiary elects to receive the benefit. In the event of the death of the beneficiary after the death of the member and prior to the date on which the beneficiary has elected to receive the beneficiary's benefit, the estate of the beneficiary shall be entitled to a refund of the member's contributions plus interest at the rate earned by the fund during the preceding fiscal year, reduced by the sum of any disability benefits previously received by the member. 8. NMSA 22-1-29.H. In the case of death of a retired member who did not elect either Option B or C and before the benefits paid to the member have equaled the sum of the member's accumulated contributions to the fund plus accumulated interest at the rate set by the board, the balance shall be paid to the beneficiary designated in writing to the director by the member or, if no beneficiary was designated, to the eligible surviving spouse or surviving domestic partner of the member or, if there is no eligible surviving spouse or domestic partner of the member, to the estate of the member. 9. NMSA 22-1-29.J. In the case of death of a member with less than five years' earned service credit or death of a member who has filed with the director a notice rejecting the provisions of NMSA 22-1-29.F, which notice shall be revocable by the member at any time prior to retirement, the member's contributions to the fund plus interest at the rate set by the board shall be paid to the beneficiary designated in writing to the director by the member or, if no beneficiary was designated, to the eligible surviving spouse or surviving domestic partner of the member or, if there is no eligible surviving spouse or domestic partner of the member, to the estate of the member. 10. Rule 2.82.3.7 NMAC “Refund rate” means the rates at which interest is calculated for refunds to a member, or to the beneficiary or estate of a member for refunds. The refund rate shall be calculated based upon the process adopted by the board in its resolution entitled “the educational retirement board of trustees’ adoption of a revised process for calculating and credit interest for refunds”, June 4, 2010, or by a superseding resolution. 11. NMAC 2.82.3.9.A. In the event that a member should terminate employment for reasons other than retirement, disability, or death, the member shall be entitled to a refund of the member’s contributions, plus interest calculated at the refund rate, reduced by the sum of any disability benefits which that member might have previously received. Contributions made by an employer on behalf of an employee (also referred to as a “member”) pursuant to NMSA 22-11-21.A. are “employee contributions” and are subject to refund. A member is not entitled to a refund of any “employer contributions” (also referred to as “local administrative unit contributions”) made pursuant to NMSA 22-11-21.B. Interest paid by a member to reinstate withdrawn service credit is nonrefundable. 12. NMAC 2.82.3.9.B. Any employee who was retired pursuant to the Public Employees Retirement Act (Chapter 10, Article 11 NMSA 1978) and who had made contributions to the fund prior to July 1, 2003, shall be entitled to a refund of such contributions, with interest calculated at the refund rate upon a bona fide termination of employment with the local administrative unit. 13. NMAC 2.82.3.9.I. Member contributions which have been withheld and paid to the educational retirement fund in error for a member who is not eligible to receive service credit for the time covered by the withholding, shall be returned to the employer, without interest, upon the member’s written request or upon the board learning that the member was not eligible to receive service credit for the time covered. The employer shall be responsible for returning such contributions to the member. 14. Rule 2.82.3.10.A. NMAC. In the event of the death of an active member who is not vested, member contributions together with interest calculated at the refund rate shall be refunded to the member’s beneficiary or to the member’s estate upon completion of the proper refund forms as provided for herein. 15. Rule 2.82.3.10.B. NMAC. In the event of the death of a vested member who did not select Option B benefits prior to the effective date of retirement, the deceased member’s beneficiary shall be have the option of electing to receive a refund of the member’s contributions or receiving benefits in the form of Option B as provided in NMSA 22-11-29. Refunds, together with interest calculated at the refund rate and reduced by the sum of any disability benefits which that member might have previously received, shall be paid to the member’s surviving beneficiary or estate. If a beneficiary defers payment after the member dies as described in NMSA 22-11-29 and requests a lump sum payment in lieu of benefit under Option B, interest shall be calculated at the refund rate though the end of the calendar quarter prior to the date on which the completed refund request is received by the NMERB. Under the provisions of Options B and C, if both the member and the designated beneficiary die before the total of the retirement benefits received by the member and the beneficiary equal the total contributions made by the member, the difference, less any disability benefits previously paid to the member, shall be paid to the member’s or the beneficiary’s estate. 16. 13. Rule 2.82.3.13 NMAC At the time of refund of a member's contributory balance, interest shall be paid at the refund rate through the end of the calendar quarter preceding the date of the refund; except that no interest shall be paid on contributions credited to a member's account for any period prior to July 1, 1971, nor shall interest be paid on contributions on deposit for less than one year. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.004 | Interest Posting | General ledger | GL accountant | I want the system to report principal and interest on a refund separately  So that financial reporting is accurate. | I will be satisfied when:   * Principal and interest paid are mapped to the correct GL account numbers | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.005 | Interest Posting | Benefit calculation | Benefits Analyst | I want the system to calculate the cost of purchasing service  So that the member can decide whether they wish to proceed with the purchase. | I will be satisfied when:   * Interest is calculated for certain purchases, according to the plan rules:   1. Withdrawn service   2. Non-reported service   3. Prior employment military service * The system uses the correct interest rate, formula and ‘as at’ date as defined by NMERB   1. Results will be rounded to the nearest penny   2. Principal and interest will be stored separately * Certain interest components are denoted as non-refundable, as specified by the plan rules * I can override system-calculated interest   Business Rules:   1. NMSA 22-11-19.2 Any person employed by a regional education cooperative and qualified to be a regular or provisional member shall have the right to acquire earned service credit for periods of employment with the regional education cooperative when the member was neither covered nor retired under the ERA, under the following conditions: 2. both the member and the administrative unit contributions, at the rates in effect during the periods of employment and applied to earnings of the member during such periods, are paid to the fund, together with interest, at a rate equal to the board's actuarial earnings assumption rate at the time of purchase; 3. both member and administrative unit contributions, together with interest, are paid by the member; or 4. the member tender's payment of his contributions, together with interest and the local administrative unit by which he was employed may, but shall not be obligated to, pay the administrative unit contributions, together with interest. 5. NMSA 22-11-24.B. A member desiring to retire before having completed 5 years of contributory employment shall be limited to the maximum benefit he would have been entitled to receive under any statute repealed by the ERA. A member may acquire 5 years or less of contributory employment by contributing to the fund, for each year of contributory employment desired, a sum equal to the prevailing combined contributions of the member and the LAU in effect at the time the contributory employment is acquired. This contribution shall be computed on the member's average annual salary for the last 5 years of employment plus an additional sum as interest from the effective date of the ERA as fixed by the board, but not to exceed 3% a year. 6. NMSA 22-11-33.C. Earned service credit shall be certified for periods of employment interrupted for some cause other than retirement or disability. This shall be done if a member withdrawing contributions from the fund for this period returns to the fund, for each year of earned service credit desired, a sum equal to the member's contribution to the fund during this period and an additional sum as interest compounded annually from the date the contributions were withdrawn to the date of payment of the amount of returned contributions at the rate of interest set by the board. 7. NMAC 2.82.3.9. In the event that a member should terminate employment for reasons other than retirement, disability, or death, the member shall be entitled to a refund of the member’s contributions, plus interest calculated at the refund rate, reduced by the sum of any disability benefits which that member might have previously received. Contributions made by an employer on behalf of an employee (also referred to as a “member”) pursuant to Subsection A of NMSA 22-11-21 are “employee contributions” and are subject to refund. A member is not entitled to a refund of any “employer contributions” (also referred to as “local administrative unit contributions”) made pursuant to NMSA 22-11-21.B. Interest paid by a member to reinstate withdrawn service credit is nonrefundable. 8. NMAC 2.82.3.12A. Non-reported service must be purchased at the time it is discovered. Payment for non-reported service shall be at the contribution rate in effect at the time the non-reported service is discovered. The full fiscal year salary for the position for which the member was hired shall determine whether a member pays the contribution rate applicable to members who earn $24,000 or less per year in accordance with Section NMSA 22-11-21. 9. NMAC 2.82.3.12B. If the LAU fails to deduct the applicable contribution from the salary paid to a member for each payroll period, the LAU shall be responsible to remit to the fund the total amount due for both the member and the LAU plus interest at a rate set by the board. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.006 | Interest Posting | Benefit calculation | Benefit analyst | I want the system to calculate the interest due on pension overpayments  So that I don’t have to do this manually. | I will be satisfied when:   * The system uses the correct interest rate, formula and ‘as at’ date as defined by NMERB   1. Results will be rounded to the nearest penny   2. Principal and interest will be stored separately * I can override system-calculated interest   Business Rules:   1. NMSA 22-11-53.B. A member or the beneficiary of a member who is paid more than the amount he is owed because he provided fraudulent information on his application for retirement shall be liable for the repayment of that amount to the fund, interest on that amount at the rate set by the board and costs of collection, including attorney fees. Recovery of overpayments shall extend back to the date of the first payment that was made based on fraudulent information. 2. Rule 2.82.5.15.F. NMAC Any retired member who is participating in the return to work program who has violated the provisions of the program, failed to submit the required return to work application, or is discovered to have been ineligible to participate in the program shall have their retirement immediately suspended and shall pay the fund a sum equal to all retirement payments that they have received while ineligible under the provisions of the return to work program plus interest at a rate to be set by the board. Before his or her monthly retirement benefits can resume, the suspended retired member must certify to NMERB that they have terminated any and all employment that would disqualify them from retirement under the Educational Retirement Act and must reapply for retirement. To re-qualify for the return to work program, the retired member must complete the minimum break in service as described in Rule 2.82.5.15.A NMAC, calculated from the date of reinstatement of retirement 3. Rule 2.82.5.16.B NMAC In the event that a retired member enters into an agreement which provides for employment at a level greater than .25 FTE or actually works greater than .25 FTE and has not met the requirement in subsections NMSA 22-11-25.1 A or F, the retired member’s retirement benefit will be suspended for the duration of the employment, and the retired member will be returned to an active status effective the first day of the month following the month in which the retired member’s employment exceeded .25 FTE. The retired member shall pay the educational retirement fund a sum equal to all retirement payments the retired member received while ineligible plus interest at a rate to be set by the board. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.007 | Interest Posting | General ledger | GL accountant | I want the system to report principal and interest on a recoupment separately  So that financial reporting is accurate. | I will be satisfied when:   * I can apply the payment between principal and interest * Principal and interest received are mapped to the correct GL account numbers | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.008 | Interest Posting | Penalty calculation | Employer reporting analyst | I want the system to calculate the late contribution remittance penalty  So that it is included on their monthly invoice. | I will be satisfied when:   * The system uses the correct interest rate, formula and ‘as at’ date as defined by NMERB * Results will be rounded to the nearest penny * Principal and interest will be stored separately * I can override system-calculated interest   Business Rule(s):   1. NMSA 22-11-22.B. Contributions of local administrative units shall be derived from revenue available to the local administrative unit and shall be forwarded monthly to the director for deposit in the fund. The board may assess an interest charge and a penalty charge on any remittance not made by its due date. 2. • Rule 2.82.9.C(3) Local administrative units shall be assessed late charges for not submitting reports or contributions no later than the 15th of the following month following the month for which contributions are withheld. A charge of $50 per day shall be assessed for untimely reports. Upon a written showing of good cause, the director may waive charges to the local administrative unit for untimely reports. No such waiver of charges is available for late contributions. The charges for late contributions will be at a rate prescribed by the board and applied daily and cumulatively from the 15th to the postmark date. The late charge is a minimum of $10. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.009 | Interest Posting | General ledger | GL accountant | I want the system to report principal and interest on a payment separately  So that financial reporting is accurate. | I will be satisfied when:   * I can apply the payment between principal and interest * Principal and interest received are mapped to the correct GL account numbers | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.010 | Interest Posting | Benefit calculation | Proposed solution |  | The system will have an automated capability to calculate and post interest to member and employer accounts according to NMERB’s rules and administrative policies. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.011 | Interest Posting | Benefit calculation | Proposed solution |  | The system will round the calculated interest dollar amount to the nearest whole cent ($.01). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.012 | Interest Posting | Batch processing | Proposed solution |  | The system will have the ability to run an automated job to post and finalize the calculated interest to the member and/or employer accounts once the trial balance is approved. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.013 | Interest Posting | Data validation | Proposed solution |  | The system will maintain an audit trail of the interest calculation and posting process that, at a minimum, logs and timestamps the start, warnings, errors, and the completion of the calculations and posting. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.014 | Interest Posting | Accounting | Proposed solution |  | The system will post interest amounts in the interest period that it was calculated. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.015 | Interest Posting | Accounting | Proposed solution |  | The system will clearly identify interest transactions as interest. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.016 | Interest Posting | Benefit calculation | Proposed solution |  | The system will allow NMERB users to calculate and post interest manually for accounts and groups of accounts that have special circumstances. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.017 | Interest Posting | Accounting | Proposed solution |  | The system will have the ability to specify whether to exclude accounts that have had manual interest calculation/posting from automated interest calculation/posting. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.018 | Interest Posting | Benefit eligibility | Proposed solution |  | The system will allow NMERB users to flag individual member accounts as being ineligible to receive interest regardless of having an account balance and a non-retired status. The system will not post interest to these accounts in the batch process. This might occur, for example, if at the time of annual interest posting, a member’s retirement is pending and will be retroactive to a date prior to the interest posting date. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.019 | Interest Posting | Usability | Proposed solution |  | The system will calculate interest, run trial balances, and post interest without impact to other system operations. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.020 | Interest Posting | Benefit calculation | Proposed solution |  | The system will have the ability to recalculate and apply the correct interest amounts when adjustments are made to contributions or amounts due in prior periods. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.021 | Interest Posting | Benefit calculation | Proposed solution |  | The system will have the ability to calculate and post the necessary adjustments to interest, by interest posting date, at any time in the case of interest errors and maintain an audit trail of such adjustment transactions. Adjustments can be negative amounts with a warning to the user that negative amounts are about to be posted. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.022 | Interest Posting | Benefit calculation | Proposed solution |  | The system will have interest calculation and posting functionality that are entirely independent of importing current pay period payroll transactions. (Interest is calculated based on the contribution balance calculation “as of” date, not the current contribution balance). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.023 | Interest Posting | Reports, letters & forms | Proposed solution |  | The system will have reports to validate member or employer account balances as of a user-specified date prior to calculating interest on the account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.024 | Interest Posting | Reports, letters & forms | Proposed solution |  | The system will have the ability to view data elements of the trial interest posting data grouped and subtotaled by various dimensions to aid in the validation of the totals. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.025 | Interest Posting | Reports, letters & forms | Proposed solution |  | The system will have a trial interest posting report that includes, at a minimum, the following data elements for viewing, saving, and printing, for each member account:   * Prior starting balance * Total contributions to date ($) * Total member interest * Total interest to date ($) * Member ID on the account * First name on account * Last name on account * Plan status (Active, Retired, Inactive, Deferred, etc.) * Interest amount to be added ($) to the account New balance on account after interest is added ($). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.026 | Interest Posting | Reports, letters & forms | Proposed solution |  | The system will have the ability to generate reports and letters detailing corrections to erroneous interest postings. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.027 | Interest Posting | Reports, letters & forms | Proposed solution |  | The system will have the ability to report on exceptions discovered during interest posting (e.g., there was a balance in a prior interest crediting period, but the member is no longer active/eligible for crediting). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.028 | Interest Posting | Benefit calculation | Proposed solution |  | The system will allow an NMERB user with administrative permissions to override interest calculations and post the amount manually, for extenuating circumstances. An adjustment can be made in a negative amount accompanied with a warning to the user that negative amounts are about to be posted. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.029 | Interest Posting | Data validation | Proposed solution |  | The system will have the ability to mark posted interest transactions as “Pending” while the posting is being verified and reconciled. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.030 | Interest Posting | Data validation | Proposed solution |  | The system will have the ability to mark all “Pending” interest transactions as “Reconciled” once the interest posting has been verified. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.031 | Interest Posting | Data validation | Proposed solution |  | The system will have the ability to mark an interest transaction as “Reconciled”. Such a transaction cannot be altered, except by a user with administrative permissions. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.032 | Interest Posting | General ledger | Proposed solution |  | The system will include interest records in the G/L extract. Interest records include both the batched records and all subsequent adjustments, if any. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.033 | Interest Posting | Benefit calculation | Proposed solution |  | For contributions that an employer pays on behalf of an employee, the system will provide the capability to apply the employee interest rate of those contributions, instead of the employer rate. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.034 | Interest Posting | Member data | Proposed solution |  | The system will have the ability to separate and store contributions and interest for the following:   * Member paid contributions – Interest credited at the member rate. * Member contributions paid by the employer – Interest credited at the member rate. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.035 | Interest Posting | Member data | Proposed solution |  | The system will have the ability to consider contributions and the accrued interest that was paid by an employer for an employee, as non-refundable to the employee. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.036 | Interest Posting | Workflow management | Proposed solution |  | The system will contain a workflow to guide the Interest Posting process and provide automation in the form of checklists, calendars, calculations, and other tools to support the tracking of documents and events involved in posting interest to contributions. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.037 | Interest Posting | Benefit calculation | Proposed solution |  | The system will have the ability to not refund any interest paid by a member to reinstate withdrawn service credit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.038 | Interest Posting | Benefit calculation | Proposed solution |  | The system will calculate interest on pension overpayments and late employer contribution remittance. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.039 | Interest Posting | Benefit calculation | Proposed solution |  | The system will not calculate or apply interest on nonrefundable amounts. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.040 | Interest Posting | Reports, letters & forms | Proposed solution |  | The system will provide a report that will allow NMERB users to audit the interest rate on an annual basis. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.041 | Interest Posting | Benefit calculation | Proposed solution |  | The system will calculate interest on any amount overpaid to a member. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.042 | Interest Posting | Reports, letters & forms | Proposed solution |  | The system will default to the last closing quarter as the effective date for statements of accounts. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 18.043 | Interest Posting | Data validation | Proposed solution |  | The system will have the ability to create a trial interest posting prior to applying the annual interest to the members’ accounts for purposes of testing. The trial interest posting will compute all interest amounts using the same rules and algorithms the actual interest posting uses. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 19.001 | Tax Tables | System set up | Payroll supervisor | I want to maintain the annual federal and state tax rates  So that the agency is compliant with federal and state tax regulations prior to the January payroll. | I will be satisfied when:   * Tax table updates are made through system configuration (basic updates such as rate changes) or new software versions (complex updates such as rule changes) * IT has confirmed that the rates have been successfully updated | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 19.002 | Tax Tables | Benefit calculation | IT database administrator | I want to update the tax tables with the new rates  So that the PAS calculates accurate payments and deductions. | I will be satisfied when:   * I can insert a new row in the tax table to enter the new tax rates, by effective date * I can add other rules, if necessary, such as: * Other state or non-resident rates * By payment type (pension vs lump sum) * By taxable (cash) vs tax exempt (rollover) status * By beneficiary type (member/spouse vs non-member/spouse) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 19.003 | Tax Tables | Data validation | Payroll analyst | I want to peer review the rate changes  So that the correct withholding taxes are applied to benefit payments. | I will be satisfied when:   * I can run a payroll cycle in test to validate the results before the tax rates changes are promoted into Production * I can provide the test results to the CFO for approval to update the system * I can validate the results once the rate changes have been promoted into Production | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 19.004 | Tax Tables | System set up | Proposed solution |  | The system will allow tax table updates to be made through system configuration (basic updates such as rate changes) or new software versions (complex updates such as rule changes) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 19.005 | Tax Tables | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to generate letters to inform members that tax rates have changed. Statements should contain conditional text depending on which benefits the member is entitled to and will be editable. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.001 | Service Credit Purchase | Reports, letters & forms | Benefit analyst | I want to audit the member’s NMERB service credit  So I can verify if the service is eligible for purchase. | I will be satisfied when:   * I can run a summary report displaying the member’s entire NMERB history, including transactions (like refunds, purchases, etc.), wages, contributions, and credits * If the member indicates that they have PERA service, NMERB will request confirmation from PERA and a PERA tabulation sheet, if applicable * I can view any prior service purchase requests (actual or estimates) to see if a purchase for the same period is in progress * I will contact the employer regarding any questionable quarters for active and withdrawn service credit | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.002 | Service Credit Purchase | Member data | Benefit analyst | I want to add or adjust historical benefit data  So I can calculate the cost of the purchase. | I will be satisfied when:   * If the data for the service credit period is not in the system but stored in the data warehouse, I can submit an IT request to have that period rebuilt so the member’s account has accurate contribution history * If there is any residual refund, the refund data is moved from the quarter that it was paid to the prior quarter. An IT request is required for this data change * I can add PERA data to the account, if applicable | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.003 | Service Credit Purchase | Benefit calculation | Benefit analyst | I want to choose the service purchase type  So that the purchase cost and service type is correct. | I will be satisfied when:   * I can select the purchased service is “earned” * I can select the service purchase type and period which will determine cost * For withdrawn service, cost is calculated in sequence from oldest to most recent withdrawn service. Interest charges apply. * PERA service is excluded in the cost * The system selects the lump sum payment option * The purchase deadline and purchase agreement number are system generated. * The purchase deadline default is 90 days from when the purchase agreement was created. The deadline can be manually overridden. . * The total cost shows: * Member contribution amount only * Corresponding interest paid out * Corresponding elapsed time and interest charged to reinstate * The purchase is saved as an estimate until the member returns the paperwork and payment or the purchase expires.   Business Rules:   1. NMSA 22-11-33.C. Earned service credit shall be certified for periods of employment interrupted for some cause other than retirement or disability. This shall be done if a member withdrawing contributions from the fund for this period returns to the fund, for each year of earned service credit desired, a sum equal to the member's contribution to the fund during this period and an additional sum as interest compounded annually from the date the contributions were withdrawn to the date of payment of the amount of returned contributions at the rate of interest set by the board. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.004 | Service Credit Purchase | Reports, letters & forms | Benefit analyst | I want to print service purchase documents from the system  So I can mail the service purchase package to the member. | I will be satisfied when:   * The system generates the following documents for the member package that I can print on demand or through a batch job: * Cover letter * Computation for purchase of withdrawn service * Payment transmittal document * The system-generated documents are saved so that NMERB staff can view the documents and reprint if needed * I can add the purchase insert and a blank rollover form to the package | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.005 | Service Credit Purchase | Service purchase processing | Accountant | I want to activate the purchase agreement if the paperwork and payment has been received  So the member’s payment can be applied to the purchase and service reinstated. | I will be satisfied when:   * I can locate the purchase agreement to create the corresponding payment schedule and invoice * I can enter payment details, such as: * Payment method (paid by the member) * Payment type (Check) * Check details * Payment receipt and deposit dates * Pre- and post-tax amounts * Select post-tax or tax deferred payment based on the election by the member * I can generate a receipt to be sent to the member to confirm that the payment has been received * Once Treasury has confirmed that the payment has cleared, I can apply a credit to the agreement invoice * The purchase status will be updated, depending on the payment status: * Paid in full ($0 outstanding balance) * If the difference between the purchase cost and payment is greater than $1, then the purchase agreement must be cancelled and a new one created * Delinquent (partial outstanding balance) * Cancel (suspend purchase or refund partial purchase) * The system will display which fiscal quarters have been purchased and the corresponding purchase agreement * Interest paid by a member to reinstate withdrawn service credit is nonrefundable. [This is a known system defect to be implemented with the upgrade] * I can notify Member Services that payment has been received and resulting status of the service purchase * The purchase creates the corresponding GL entries in SHARE * I can close the purchase agreement, if appropriate, and check the member’s account to ensure the service credit and contributions were posted properly   Business Rule:   1. NMAC 2.82.3.9. In the event that a member should terminate employment for reasons other than retirement, disability, or death, the member shall be entitled to a refund of the member’s contributions, plus interest calculated at the refund rate, reduced by the sum of any disability benefits which that member might have previously received. Contributions made by an employer on behalf of an employee (also referred to as a “member”) pursuant to Subsection A of NMSA 22-11-21 are “employee contributions” and are subject to refund. A member is not entitled to a refund of any “employer contributions” (also referred to as “local administrative unit contributions”) made pursuant to NMSA 22-11-21.B. Interest paid by a member to reinstate withdrawn service credit is nonrefundable. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.006 | Service Credit Purchase | Reports, letters & forms | Benefit analyst | I want to run a purchase status report  So I can verify which purchases are incomplete or expired. | I will be satisfied when:   * I can run a report listing information about service purchases. Input parameters include: * Purchase type * Query start and end dates * Purchase status type | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.007 | Service Credit Purchase | Reports, letters & forms | Benefit analyst | I want to audit the member’s NMERB service credit  So I can verify if the service is eligible for purchase. | I will be satisfied when:   * I can run a summary report displaying the member’s entire NMERB history, including transactions (like refunds, purchases, etc.), wages, contributions, and credits * I can view any prior service purchase requests (actual or estimates) to see if a purchase for the same period is in progress * I can contact the employer regarding any questionable quarters for the member’s active service credit   Business Rules:   1. NMSA 22-11-34.1.A. Beginning on July 1, 2020, a member who has acquired the minimum number of years of contributory employment to be eligible for retirement benefits under the Act may pay to have unused sick leave, earned from the member's contributory employment and for which the member has otherwise not received payment, converted to earned service credit, up to a maximum of:    * 1. 6 days of unused sick leave per year of contributory employment; and      2. 4 calendar quarters of earned service credit 2. Rule 2.82.4.11.L. A retired member who has not suspended their benefit and who has returned to employment with an LAU is not eligible to purchase sick leave service credit. Sick leave earned by a retired member who has not suspended their benefit and who has returned to employment with an LAU shall not be eligible for conversion to sick leave service credit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.008 | Service Credit Purchase | Benefit calculation | Benefit analyst | I want to choose the service purchase type  So that the purchase cost and service type is correct. | I will be satisfied when:   * I can select the purchased service is “earned” * I can select the service purchase type and period which will determine eligibility and cost * For unused service * The member must have at least 5 years of service credit and is currently employed by an NMERB employer * Cost is calculated as the actuarial present value * The system selects the lump sum payment option The purchase deadline and purchase agreement number are system generated. * The purchase deadline default is 90 days from when the purchase agreement was created. The purchase is saved as an estimate until the member returns the paperwork and payment or the purchase expires. * I can enter the unused sick leave hours   Business Rules:   1. NMSA 22-11-34.1.B. Conversion of unused sick leave to earned service credit:    * 1. 8 hours of sick leave = 1 day of sick leave      2. 38 - 82 days of sick leave = 1 quarter of earned service credit      3. 83 - 127 days of sick leave = 2 quarters of earned service credit      4. 128 - 172 days of sick leave = 3 quarters of earned service credit      5. 173 or more days of sick leave = 4 quarters of service credit 2. NMSA 22-11-34.1.D. The cost to a member of converting unused sick leave to earned service credit is the actuarial present value. 3. Rule 2.82.4.11.F. The LAU employing the member shall certify to NMERB: 4. the number of days of unused sick leave the member has available for conversion, and 5. the number of days of unused sick leave the member wishes to convert to sick leave service credit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.009 | Service Credit Purchase | Reports, letters & forms | Benefit analyst | I want to print service purchase documents from the system  So I can mail the service purchase package to the member. | I will be satisfied when:   * The system generates the following documents for the member package that I can print on demand or through a batch job: * Cover letter * Computation for purchase of unused sick leave * Payment transmittal document * The system-generated documents are saved so that NMERB staff can view the documents and reprint if needed * I can add the purchase insert and a blank rollover form to the package | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.010 | Service Credit Purchase | Service purchase processing | Accountant | I want to activate the purchase agreement if the paperwork and payment has been received  So the member’s payment can be applied to the purchase and service added to the account. | I will be satisfied when:   * I can locate the purchase agreement to create the corresponding payment schedule and invoice * I can enter payment details, such as: * Payment method (paid by the member) * Payment type (Check) * Check details * Payment receipt and deposit dates * Pre- and post-tax amounts * Select post-tax or tax deferred payment based on the election by the member * I can generate a receipt to be sent to the member to confirm that the payment has been received * I can notify the employer that the unused sick leave data is added to the member’s service credit * Once Treasury has confirmed that the payment has cleared, I can apply a credit to the agreement invoice * The purchase status will be updated, depending on the payment status: * Paid in full ($0 outstanding balance) * If the difference between the purchase cost and payment is greater than $1, then the purchase agreement must be cancelled and a new one created * Delinquent (partial outstanding balance) * Cancel (suspend purchase or refund partial purchase) * The system will display which fiscal quarters have been purchased and the corresponding purchase agreement * I can notify Member Services that the payment has been received and the resulting status of the service purchase * The purchase creates the corresponding GL entries in SHARE * I can close the purchase agreement, if appropriate   Business Rules:   1. Rule 2.82.4.11.B The member shall make full payment in a single lump sum within 90 calendar days of the date that the member is informed of the amount of the payment. 2. Rule 2.82.4.11.C(2) The payments shall contain only tax-deferred contributions and earnings on the contributions. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.011 | Service Credit Purchase | Reports, letters & forms | Benefit analyst | I want to run a purchase status report  So I can verify which purchases are incomplete or expired. | I will be satisfied when:   * I can run a report listing information about service purchases. Input parameters include: * Purchase type * Query start and end dates * Purchase status type | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.012 | Service Credit Purchase | Reports, letters & forms | Benefit analyst | I want to audit the member’s NMERB service credit  So I can verify if the service is eligible for purchase. | I will be satisfied when:   * I can run a summary report displaying the member’s entire NMERB history, including transactions (like refunds, purchases, etc.), wages, contributions, and credits * I can view any prior service purchase requests (actual or estimates) to see if a purchase for the same period is in progress * I can contact the employer regarding any questionable quarters for the member’s active service credit   Business Rules:   1. NMSA 22-11-34.A(2) A member shall have acquired allowed service credit for periods of time when the member was: 2. employed prior to July 1, 1967 in a federal educational program within New Mexico, including US Indian schools and civilian conservation corps camps. This service credit shall be allowed without contribution. 3. engaged in military service that interrupted the member's employment in New Mexico if the member returned to employment within 18 months following honorable discharge. This service credit shall be allowed without contribution. 4. engaged in US military service or the commissioned corps of the public health service from which the member was honorably discharged, provided that: 5. the member has at least 5 years of contributory employment to be eligible to purchase allowed service credit 6. the member shall contribute to the fund, for each year of service credit the member elects to purchase, a sum equal to the member's average annual actual salary for the 5 years preceding the date of the contribution multiplied by the sum of the member contribution rate and the employer contribution rate in effect at the time of the member's written election to purchase 7. full payment shall be made in a single lump sum within 60 days of the date that the member is informed of the amount of the payment, and 8. the portion of the purchase cost derived from the employer's contribution rate is credited to the fund and, if the member requests a refund of contributions, the member is not entitled the employer paid amount. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.013 | Service Credit Purchase | Member data | Benefit analyst | I want to enter military service information  So that the purchase process can be initiated. | I will be satisfied when:   * I can indicate which supporting documents have been received and accepted (e.g., DD214, prior employment certification) * I can add employment/purchase information | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.014 | Service Credit Purchase | Service purchase processing | Benefit analyst | I want to choose the service purchase type  So that the purchase cost and service type is correct. | I will be satisfied when:   * I can select the purchased service is “allowed” * I can select the service purchase type and period which will determine eligibility and cost * For military service * The member must have at least 5 years of earned service credit. Military service with a current LAU is “free” if the member was called to active-duty military service while employed by an NMERB employer and returned to the employer within 18 months of an honorable discharge from the military * Cost of military service from a previous employer is based on salary and sum of member and employer contribution rates with a maximum of 5 years eligible for purchase. * The system will calculate the average salary and combined member and employer contribution rates to determine the purchase cost, as needed * The system selects the lump sum payment option * The purchase deadline and purchase agreement number are system generated. * The purchase deadline default is 60 days from when the purchase agreement was created. The total cost shows: * Member portion of the purchase * Employer portion of the purchase * The purchase is saved as an estimate until the member returns the paperwork and payment, if required, or the purchase expires. * I can add the military service periods   Business Rules:   1. NMSA 22-11-34.C. No member shall be certified to have acquired allowed service credit: 2. under any single or combination of allowed service purchases in excess of 5 years; or 3. in excess of 10 years for any other combination of allowed service purchases. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.015 | Service Credit Purchase | Reports, letters & forms | Benefit analyst | I want to print service purchase documents from the system  So I can mail the service purchase package to the member. | I will be satisfied when:   * The system generates the following documents for the member package that I can print on demand or through a batch job: * Cover letter * Computation for purchase of military service * Payment transmittal document * The system-generated documents are saved so that NMERB staff can view the documents and reprint if needed * I can add the purchase insert and a blank rollover form to the package | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.016 | Service Credit Purchase |  | Benefit analyst | I want to audit the member’s NMERB service credit  So I can verify if the service is eligible for purchase. | I will be satisfied when:   * I can run a summary report displaying the member’s entire NMERB history, including transactions (like refunds, purchases, etc.), wages, contributions, and credits * I can view any prior service purchase requests (actual or estimates) to see if a purchase for the same period is in progress * I can contact the employer regarding any questionable quarters for the member’s active service credit | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.017 | Service Credit Purchase | Service purchase processing | Benefit analyst | I want to choose the service purchase type  So that the purchase cost and service type is correct. | I will be satisfied when:   * I can select the purchased service is “earned” * I can select the service purchase type and period which will determine eligibility and cost * For non-reported service * Cost is based on salary and sum of member and employer contribution rates in effect during the non-reported quarters actual time periods plus interest from when the wages should have been reported to present * The cost shows: * Member and employer principal amount * Interest charges on each respective principal amount * The system selects the lump sum payment option * The purchase deadline and purchase agreement number are system generated. * The purchase deadline default is the end of the current fiscal year-end. * The purchase is saved as an estimate until the employer remits payment or the purchase expires. * I can add the non-reported periods   Business Rules:   1. NMAC 2.82.3.12A. Non-reported service must be purchased at the time it is discovered. Payment for non-reported service shall be at the contribution rate in effect at the time the non-reported service is discovered. The full fiscal year salary for the position for which the member was hired shall determine whether a member pays the contribution rate applicable to members who earn $24,000 or less per year in accordance with Section NMSA 22-11-21. 2. NMAC 2.82.3.12B. If the LAU fails to deduct the applicable contribution from the salary paid to a member for each payroll period, the LAU shall be responsible to remit to the fund the total amount due for both the member and the LAU plus interest at a rate set by the board. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.018 | Service Credit Purchase | Reports, letters & forms | Benefit analyst | I want to print service purchase documents from the system  So I can mail the service purchase package to the employer. | I will be satisfied when:   * The system generates the following documents for the employer package that I can print on demand or through a batch job: * Computation for purchase of non-reported Contributory Service * Payment transmittal document * The system-generated documents are saved so that NMERB staff can view the documents and reprint if needed * I can manually create the Cover Letter | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.019 | Service Credit Purchase | Service purchase processing | Accountant | I want to activate the purchase agreement if the paperwork and payment has been received  So the employer’s payment can be applied to the purchase and service added to the account. | I will be satisfied when:   * I can locate the purchase agreement to create the corresponding payment schedule and invoice * I can enter payment details, such as: * Payment method (paid by the member) * Payment type (Check) * Check details * Payment receipt and deposit dates * Pre- and post-tax amounts * Select post-tax or tax deferred payment based on the election by the member * I can generate a receipt to be sent to the member to confirm that the payment has been received * Once Treasury has confirmed that the payment has cleared, I can apply a credit to the agreement invoice * The purchase status will be updated, depending on the payment status: * Paid in full ($0 outstanding balance) * If the difference between the purchase cost and payment is greater than $1, then the purchase agreement must be cancelled and a new one created * Delinquent (partial outstanding balance) * Cancel (suspend purchase or refund partial purchase) * The system will display which fiscal quarters have been purchased and the corresponding purchase agreement * I can notify Member Services that payment has been received and resulting status of the service purchase * The purchase creates the corresponding GL entries in SHARE * I can close the purchase agreement, if appropriate   Business Rules:   1. Rule 2.82.4.11.B (sick leave) The member shall make full payment in a single lump sum within 90 calendar days of the date that the member is informed of the amount of the payment. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.020 | Service Credit Purchase | Reports, letters & forms | Benefit analyst | I want to audit the member’s NMERB service credit  So I can verify if the service is eligible for purchase. | I will be satisfied when:   * I can run a summary report displaying the member’s entire NMERB history, including transactions (like refunds, purchases, etc.), wages, contributions, and credits * I can view any prior service purchase requests (actual or estimates) to see if a purchase for the same period is in progress * I can contact the employer regarding any questionable quarters for the member’s active service credit   Business Rules:   1. NMSA 22-11-34.A(4) A member shall have acquired allowed service credit for periods of time when the member was employed: 2. in a public school or public institution of higher learning in another state, territory or possession of the US 3. in a US military dependents' school operated by a branch of the US armed forces 4. employed after July 1, 1967 in a federal educational program within New Mexico, including United States Indian schools and civilian conservation corps camps. This service credit shall be allowed without contribution 5. in a private school or institution of higher learning in New Mexico whose education program is accredited or approved by the department at the time of employment. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.021 | Service Credit Purchase | Supporting documents | Benefit analyst | I want to enter non-ERB service information  So that the purchase process can be initiated. | I will be satisfied when:   * I can indicate which supporting documents have been received and accepted (e.g., prior employment certification) * I can add employment/purchase information * I can contact the current employer for a completed Certification of Wages   Business Rules:   1. Rule 2.82.4.9.D For the purpose of granting allowed service credit, pursuant to Paragraph (4) of Subsection A of Section 22-11-34 NMSA 1978, a “public school or public institution of higher learning” in another state, territory, or possession of the United States shall be taken to mean one that is open to the public without regard to race, creed, or color, and such school or institution need not be tax supported. The out-of-state public school shall be accredited by the state in which it is located or another accrediting organization which is recognized by the state. Service credit purchasable pursuant to Subparagraph (a) of Paragraph (4) of Subsection A of Section 22-11-34 NMSA 1978 shall not include employment as a graduate assistant, teaching assistant, or teaching fellow or in any position of a similar nature while the member was enrolled as a student in that institution. 2. Rule 2.82.4.9.E. Prior to the purchase of allowed service credit NMSA 22-11-34.A(4)(d), a member must provide satisfactory evidence that the private school was accredited by the state board of education at the time of the member's employment. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.022 | Service Credit Purchase | Service purchase processing | Benefit analyst | I want to choose the service purchase type  So that the purchase cost and service type is correct. | I will be satisfied when:   * I can select the purchased service is “allowed” * I can select the service purchase type and period which will determine eligibility and cost * For non-ERB service * The member is currently employed by an NMERB employer * Cost is calculated as the actuarial present value * The system selects the lump sum payment option * The purchase deadline and purchase agreement number are system generated. * The purchase deadline default is the end of the current fiscal year-end. The total cost shows: * The actuarial cost for the amount of years the member wants to purchase * Years to purchase * The purchase is saved as an estimate until the member returns the paperwork and payment, if required, or the purchase expires. * I can add the non-ERB service periods   Business Rules:   1. NMSA 22-11-34.B. Effective July 1, 2001, the member or employer shall contribute for each year of allowed service credit desired an amount equal to the actuarial value of the service purchased as defined by the board. No allowed service credit shall be eligible for purchase unless the member is currently employed by an LAU. 2. NMSA 22-11-34.C. No member shall be certified to have acquired allowed service credit: 3. under any single or combination of allowed service purchases in excess of 5 years; or 4. in excess of 10 years for any other combination of allowed service purchases. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.023 | Service Credit Purchase | Reports, letters & forms | Benefit analyst | I want to print service purchase documents from the system  So I can mail the service purchase package to the member. | I will be satisfied when:   * The system generates the following documents for the member package that I can print on demand or through a batch job: * Cover letter * Computation for purchase of allowed service * Payment transmittal document * The system-generated documents are saved so that NMERB staff can view the documents and reprint if needed * • I can add the purchase insert and a blank rollover form to the package | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.024 | Service Credit Purchase | Service purchase processing | Proposed solution |  | The system will allow NMERB users to calculate and set up purchases of service for members. At a general level, users must be able to:   * Have the ability to create and send the member a professional communication that contains an easily understood summary of the options * Provide the member the ability to select an option for purchase and communicate this back to staff * Provide the member a web-based tool to perform their own estimates of purchase | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.025 | Service Credit Purchase | Reports, letters & forms | Proposed solution |  | The system will generate a purchase of service credit agreement and other supporting documents based on the data that exists within the system using the parameters selected by the user. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.026 | Service Credit Purchase | Member data | Proposed solution |  | The system will allow an authorized user to override or add previous membership information with appropriate security. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.027 | Service Credit Purchase | Service purchase processing | Proposed solution |  | The system will allow a member to make payment for service credit purchase by selecting one of the following options:   * Member payment taxed * Rollover/IRA | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.028 | Service Credit Purchase | Member data | Proposed solution |  | The system will record and maintain financial institution data if the member selects rollover/IRA or member payment taxed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.029 | Service Credit Purchase | Benefit calculation | Proposed solution |  | The system will set up validation rules for purchase and granting of service credit that vary by service purchase type, such as:   * Length of purchase or granting of service credit cannot exceed the specific leave period being purchased * If the data is present, the system must pull actual salary data from the system to derive actual contribution data * Table to maintain contribution rates that are applicable during the date of membership * Key dates to calculate the appropriate interest | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.030 | Service Credit Purchase | Service purchase processing | Proposed solution |  | The system will track service purchase payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.031 | Service Credit Purchase | Member data | Proposed solution |  | The system will identify service types attributed to a service purchase. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.032 | Service Credit Purchase | Service purchase processing | Proposed solution |  | The system will track and link payments and service with a particular purchase agreement. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.033 | Service Credit Purchase | Service purchase processing | Proposed solution |  | The system will validate that the new purchase agreement number is not identical to one that is already in the system when modifying an agreement. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.034 | Service Credit Purchase | Member data | Proposed solution |  | The system will prompt the NMERB user to provide a reason for the service purchase change as a failsafe to ensure the change is desired. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.035 | Service Credit Purchase | Benefit calculation | Proposed solution |  | The system will apply an interest factor to a service credit purchase, according to NMERB business rules. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.036 | Service Credit Purchase | System set up | Proposed solution |  | The system will adjust the interest factor without the need for programming changes. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.037 | Service Credit Purchase | Benefit eligibility | Proposed solution |  | The system will generate a warning to staff if the member would not be eligible to purchase service credit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.038 | Service Credit Purchase | Benefit eligibility | Proposed solution |  | The system will maintain eligibility parameters and business rules for calculating each type of service purchase without the need for programming changes. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.039 | Service Credit Purchase | Benefit eligibility | Proposed solution |  | The system will determine a member’s eligibility to purchase or be granted service time by comparing the member’s record against the eligibility parameters for the type of service purchase selected. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.040 | Service Credit Purchase | Member data | Proposed solution |  | The system will record and maintain records of service purchase agreements in the member record, including, but not limited to the following information:   * Number sequence for the purchase (if more than one and the order in which the member must purchase) * Service purchase type * User ID of the person who processed the respective service purchase * Service period purchase * Effective date * Status [Active, Paid, Cancelled] * Status date * Payment option (lump sum) * Total service purchased * Total purchase cost * Total payment received pre-tax * Total payment received post-tax * Balance due * Balance due effective date | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.041 | Service Credit Purchase | Benefit calculation | Proposed solution |  | The system will credit the full-service amount purchased at the end of the agreement, without rounding issues resulting in fractional differences as payment is made. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.042 | Service Credit Purchase | Member data | Proposed solution |  | The system will allow NMERB users to manually post service purchase payments to a member’s record. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.043 | Service Credit Purchase | Service purchase processing | Proposed solution |  | The system will generate a reimbursement of overpayment on a purchase agreement, or in the event of cancellation of a purchase agreement. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.044 | Service Credit Purchase | Member data | Proposed solution |  | The system will allow NMERB users to overwrite payment amounts, or the number of payment installments on service purchase worksheets. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.045 | Service Credit Purchase | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to view and print service purchase reports, including:   * Detailed report for an individual member. * Detailed report of all active (outstanding) service purchase agreements. * Detailed report of members with a remaining balance due. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.046 | Service Credit Purchase | Member portal | Proposed solution |  | The system will have the ability to provide a service purchase calculator through member self-service that will compute a service purchase estimate, based on the member record and specific data entered by the user. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.047 | Service Credit Purchase | General ledger | Proposed solution |  | The system will map the components of a purchase to corresponding GL account numbers for reporting purposes. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.048 | Service Credit Purchase | Workflow management | Proposed solution |  | The system will have intuitive workflow-driven processes to allow NMERB users to calculate and set up purchases of service for members. At a general level, users must be able to do as follows:   * Be able to identify eligible periods of time for purchase. * Use a guided process to calculate the amount of service being purchased and the associated cost for the purchase. * Sequence multiple transactions that have dependencies, according to NMERB requirements. For example, if a member is requesting a service purchase and retirement, the service purchase must complete before the retirement process can begin. * Provide the member a web-based tool to transmit their preferred option to staff for further action. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.049 | Service Credit Purchase | Member data | Proposed solution |  | The system will allow NMERB users to classify the interest paid by a member to reinstate withdrawn service credit as nonrefundable. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.050 | Service Credit Purchase | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users edit purchase letters prior to sending to member. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.051 | Service Credit Purchase | Benefit eligibility | Proposed solution |  | The system will have the ability to define rules for qualified prior service. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.052 | Service Credit Purchase | Benefit calculation | Proposed solution |  | The system will have the ability to define the calculation rules for all aspects of service purchase. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.053 | Service Credit Purchase | Member data | Proposed solution |  | The system will have the ability to maintain member’s original entry date regardless of prior service purchases. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.054 | Service Credit Purchase | Service purchase processing | Proposed solution |  | The system will have the ability to define payment plans. Payment plans will include the payment amounts, number of payments, interest factor and projected interest for interest posting periods. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.055 | Service Credit Purchase | Benefit calculation | Proposed solution |  | The system will 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 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 20.056 | Service Credit Purchase | Reports, letters & forms | Proposed solution |  | The system will generate a denial letter if the member is not eligible to make the requested purchase of service. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.001 | Cash Remediation and General Ledger Extract | Employer data | Accountant | I want to update an employer’s account with their contribution deposit and other payments  So I can produce the monthly employer invoice. | I’ll be satisfied when:   * I can enter an employer deposit into the system, broken into categories such as: * Regular contributions * Service Credit Purchases * Penalties * Adjustments * I can enter positive or negative amounts * I can indicate whether a charge has been waived * I can run listings for audit and reconciliation purposes, such as: * Reconciliation report for employer payments * Employer penalty assessment report | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.002 | Cash Remediation and General Ledger Extract | Member data | Accountant | I want to update a member’s account with their contribution and other payments  So the member’s account balance is up-to-date. | I’ll be satisfied when:   * I can enter a member deposit into the system, broken into categories such as: * Regular contributions * Service Credit Purchases   + Taxable   + Non-taxable   + Interest * I can enter positive or negative amounts * I can indicate whether a charge has been waived * I can run listings for audit and reconciliation purposes such as:   + Purchase reconciliation report | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.003 | Cash Remediation and General Ledger Extract | Reports, letters & forms | Accountant | I want to run the monthly pension (MP), GL, and voucher build exports  So I can reconcile amounts and transmit files to DFA. | I’ll be satisfied when:   * I can view or print various reports for the current payroll cycle * I can run listings for third parties to accompany checks (e.g., RHCA, PERA, IRS, child support)   + I can submit the voucher build files through FTP to DFA for upload into SHARE | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.004 | Cash Remediation and General Ledger Extract | Payment maintenance | Accountant | I want to update the status of a payment to cancelled, rejected or stale-dated  So that Payroll knows that a special payment may be required. | I’ll be satisfied when:   * I can update the status of a payment to reflect that it has: * Been rejected/returned by the bank/postal mail (report from Wells Fargo or returned mail) * Become stale-dated (report from DFA) * Been cancelled/declared lost (affidavit for lost check) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.005 | Cash Remediation and General Ledger Extract | Interfaces | Accountant | I want to run the monthly pension (MP), GL, and voucher build exports  So I can audit amounts and transmit files to DFA. | I’ll be satisfied when:   * I can submit a batch job for a specific GL extract to run * I can specify the reporting period for the GL extract query * I can specify the extract filename and location where the output will be saved * I can see the status of the batch job * The batch job produces detail and summary reports that I can use to audit the extract * I can view the extract results through the system or the location where the extract was saved * I can submit the voucher build files through FTP to DFA for upload into SHARE | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.006 | Cash Remediation and General Ledger Extract | Reports, letters & forms | Accountant | I want to audit the export files  So amounts are confirmed before transmitting to DFA. | I’ll be satisfied when:   * The detail and summary reports contain the breakdown of deposits and disbursement by GL account numbers (e.g., principle, interest, penalty charges) * The system will extract GL data and records data based on business rules defined by NMERB * I can request the GL extract to be rerun if I find issues and data is updated on the system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.007 | Cash Remediation and General Ledger Extract | Interfaces | Proposed solution |  | The system will create a General Ledger extract file of member and vendor transaction data occurring in the system. Dollar amounts will be to the penny and match the corresponding payment instructions – there is a known defect where rounding issues cause GL and payment amounts to differ by pennies. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.008 | Cash Remediation and General Ledger Extract | General ledger | Proposed solution |  | The system will have general ledger transactions that correspond to all the various financial transactions defined by NMERB and SHARE. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.009 | Cash Remediation and General Ledger Extract | General ledger | Proposed solution |  | The system will be able to use posting date rather than activity effective date when creating the GL interface file. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.010 | Cash Remediation and General Ledger Extract | General ledger | Proposed solution |  | The system will post all financial transactions that occur in the system at the detail level as GL transactions | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.011 | Cash Remediation and General Ledger Extract | General ledger | Proposed solution |  | The system must provide the ability to add, update, and account numbers based upon changes that may occur in NMERB’s chart of GL accounts. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.012 | Cash Remediation and General Ledger Extract | Reports, letters & forms | Proposed solution |  | The system will generate a variety of reconciliation reports of NMERB’s design during the payroll process. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.013 | Cash Remediation and General Ledger Extract | Interfaces | Proposed solution |  | The system will be able to use posting date rather than activity effective date when creating the GL interface file. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.014 | Cash Remediation and General Ledger Extract | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to view individual deposit and disbursement amounts from both an aggregated and detailed level. For example, accountants can see a refund broken down into principal and interest while a refund analyst only sees the total. The refund analyst should also be able to see the amount listed as principal and interest. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.015 | Cash Remediation and General Ledger Extract | Reports, letters & forms | Proposed solution |  | Where specified by NMERB, the system will generate reports that do not contain Personally Identifiable Information (PII). Sensitive data will be masked. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.016 | Cash Remediation and General Ledger Extract | Interfaces | Proposed solution |  | The system will import the SHARE write-back file containing the status of payments issued (e.g., cashed, rejected, stale-dated, stop, reissue, etc.) and update the corresponding payment status and YTD amounts. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.017 | Cash Remediation and General Ledger Extract | Interfaces |  |  | ERB treats all payments including ACH and check payments disbursed from the system as being paid, so the system will generate a GL extract that provides all the individual transactions that post against NMERB’s cash account. The SHARE write-back file will be imported to update the status of check payments from “outstanding” to “cleared”, but these will not generate new GL transactions because NMERB already considers them as paid. Checks that become stale-dated are already considered paid. Therefore, the system does not generate new GL transactions. When these stale-dated items are voided and reissued, the system will generate individual GL transactions that represent this activity. Additionally, stale-dated items that are only voided will generate individual GL transactions that represent this activity. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.018 | Cash Remediation and General Ledger Extract | Reports, letters & forms | Proposed solution |  | The system will generate a detail and summary report of the payments modified after the SHARE write-back file has been processed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.019 | Cash Remediation and General Ledger Extract | Interfaces | Proposed solution |  | The system will include the following transactions in the GL extract:   * Reissues * QEBA * Warrant cancellation * Late death notification special payments * Funding of PERA benefit paid by NMERB * Payment of NMERB benefit paid by PERA (pre-2017) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 21.020 | Cash Remediation and General Ledger Extract | General ledger | Proposed solution |  | The system will have the ability for Member Services to cancel and re-issue refund or payroll payments and appropriately and accurately update the General Ledger. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 22.001 | Defined Contribution Plan | Benefit eligibility | Employer Reporting Analyst | I want to confirm the member’s eligibility for the ARP Plan  So that I can accept or reject their application. | I’ll be satisfied when:   * I can view their educational institution * I can view their date of hire with the employer * I can approve or deny their application   Business Rule:   1. NMSA 22-11-47.A. Beginning October 1, 1991, any employee of the university of New Mexico, New Mexico state university, New Mexico institute of mining and technology, New Mexico highlands university, eastern New Mexico university or western New Mexico university who is eligible to become a participant may make within 90 days of that date an election to participate in the alternative retirement plan. Beginning October 1, 1999, an employee of central New Mexico community college, Clovis community college, Luna community college, Mesalands community college, New Mexico junior college, northern New Mexico college, San Juan college or Santa Fe community college who is eligible to become a participant may make an election to participate in the alternative retirement plan within 90 days of the initial date. Thereafter, any employee who is eligible to become a participant may make within the first 90 days of employment with a qualifying state educational institution an election to participate in the alternative retirement plan. Any employee who makes the election shall become a participant the first day of the first pay period following the election. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 22.002 | Defined Contribution Plan | Member data | Employer | I want to submit the Work Report (W-1) to NMERB  So that the member appears as an ARP participant. | I’ll be satisfied when:   * The member’s job category is reported as ‘AP’ * The employer contribution rate is set at 4.25%   Business Rule:   1. NMSA 22-11-49.B. A qualifying state educational institution shall contribute on behalf of each participant an amount of the participant's salary equal to the contribution that would be required of the employer if the participant were, instead, a regular member. Of that contribution, a sum equal to 3.25% of the annual salary of each participant shall be paid to the fund, and the remainder of the contribution shall be paid to the alternative retirement plan as provided by the board; provided, however, that on July 1 following any report by the actuary to the board that concludes that less than 3.25% is required to satisfy the unfunded actuarial liability attributable to the participation of the participants in the alternative retirement plan, then the percentage the actuary determines is the minimum required to satisfy that liability. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 22.003 | Defined Contribution Plan | Member data | Employer Reporting Analyst | I want to update the member’s plan status  So that the member is enrolled in the ARP. | I’ll be satisfied when:   * I can change the plan status from Defined Benefit (DB) to ARP   Business Rules:   1. NMSA 22-11-47.B. Until the time an employee who is eligible to become a participant elects to participate in the alternative retirement plan, that employee shall be a regular member. 2. NMSA 22-11-47.D. On July 1, 2009, any participant who has made contributions to the alternative retirement plan for a cumulative total of seven years or more shall have a one-time option of electing to become a regular member. Thereafter, once a participant has made contributions to the alternative retirement plan for a cumulative total of 7 years, a participant shall have a one-time option of electing to become a regular member. Participants electing to become regular members shall exercise that option within 120 days of the date of becoming eligible to elect to become a regular member. Any amounts on deposit in an employee's alternative retirement plan account when a participant becomes a regular member shall remain on deposit with the contractor or carrier subject to that plan's provisions, unless otherwise provided by law. An employee who elects to become a regular member under this subsection shall use the date on which the employee was first employed with a qualifying state educational institution for purposes of determining any retirement eligibility requirement, provided that the employee: 3. May not purchase service credit for periods of employment during which the employee participated in the alternative retirement plan; and 4. Shall require not less than five years of contributory employment as a regular member as provided for in NMSA 22-11-24 to be eligible for retirement benefits. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 22.004 | Defined Contribution Plan | Member data | Employer Reporting Analyst | I want to reverse/remove unnecessary DB related plan information  So that the member does not receive DB benefits while an ARP participant. | I’ll be satisfied when:   * I can adjust ‘R’ and ‘AP’ member wages and contributions as reported on the Form 9 submitted by the employer * I can adjust any DB service credits, if necessary * ARP participation service is included for purposes of vesting   Business Rule:   1. NMSA 22-11-47.C. When an employee elects to become a participant, any employer and employee contributions made as a regular member shall be withdrawn from the fund and applied instead toward the alternative retirement plan as if the participant had been participating in the alternative retirement plan from the commencement of employment with the qualifying state educational institution. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 22.005 | Defined Contribution Plan | Member data | Employer Reporting Analyst | I want to adjust the employer account  So that the DB Plan amounts can be reversed and applied to the ARP. | I’ll be satisfied when:   * I can adjust ‘R’ and ‘AP’ employer contributions as reported on the Form 9 submitted by the employer * I can request that the DB funds be applied to the ARP accounts * The next available monthly Form 100 and work reports contain these adjustments | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 22.006 | Defined Contribution Plan | Member data | Proposed solution |  | The system will allow NMERB users to view submitted forms and verify the employees have the correct job category on the employer reports. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 22.007 | Defined Contribution Plan | System set up | Proposed solution |  | The system will have the capability to delineate between two separate plans: ARP (Alternative Retirement Plan) and the DB Plan. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 22.008 | Defined Contribution Plan | Benefit eligibility | Proposed solution |  | The system will be able to use data attributable to the DB and ARP to determine plan eligibility, as necessary. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 22.009 | Defined Contribution Plan | Benefit calculation | Proposed solution |  | The system will be able to use data attributable to the DB and ARP to determine the corresponding plan benefits, as necessary. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 22.010 | Defined Contribution Plan | Reports, letters & forms | Proposed solution |  | The system will send a notification to the member advising that they are or are not a participant in the ARP plan and provide a reason for not being eligible to participate in the plan | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.001 | Actuarial Extract | Interfaces | IT Business Analyst | I want to run the actuarial export for a fiscal year  So Member and Financial Services can audit the file. | I will be satisfied when:   * I can select which population(s) to run:   + Active member   + Active retirees   + Deceased retirees   + Deceased active members   + July 1 retirees   + Inactive members   + Terminated members * I can specify the date range to use in the query * I can view the status of the batch job in real time including number of records exported * The resulting datafile has the correct file layout, type (.txt), and field-level type * The resulting datafile is saved on the system * I can delete an export that has been run * I can rerun an export with the same input parameters. This will create a separate instance of the export * I can save the resulting datafile to an external location * I can query on the history of exports created, by type, date, status, and view/access the resulting datafile for any given export. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.002 | Actuarial Extract | Data validation | Member Services Director and Chief Financial Officer | I want to validate the results of the actuarial export  So that the Actuary receives correct valuation data. | I’ll be satisfied when:   * I can validate that the export contains the correct accounts and data according to the defined selection criteria (no missing or dropped records) * I can validate that fields with calculated values are correct using rules defined by NMERB (as requested by the Actuary) * I can update member data, as necessary, and request that the export be rerun using the most current data on file | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.003 | Actuarial Extract | Interfaces | Proposed solution |  | The system will allow NMERB users to define and produce extract files and reports in various file formats to satisfy the requirements from the Actuary and reconciliation of data by NMERB staff. | 1 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.004 | Actuarial Extract | Interfaces | Proposed solution |  | The system will allow NMERB users to produce data extract files in .txt format for the Actuary. | 1 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.005 | Actuarial Extract | Member data | Proposed solution |  | The system will allow NMERB users to query any data field that exists in the system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.006 | Actuarial Extract | Batch processing | Proposed solution |  | The system will allow NMERB users to create actuarial reports at any time and as of any effective date. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.007 | Actuarial Extract | Member data | Proposed solution |  | The system will maintain separation of member statuses that a member can have when producing the actuarial extract files. For example, an active member can receive a distribution as a beneficiary. The data related to each member statuses must be reported in the corresponding actuarial extract file. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.008 | Actuarial Extract | Member data | Proposed solution |  | The system will properly maintain separation of an individual’s member statuses in the system during the actuarial extract process. For example, a retired member can be receiving payments as a retiree as well as a beneficiary for a deceased member or as an Alternate Payee. Each member status must be reported separately in the corresponding actuarial extract file. | 1 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.009 | Actuarial Extract | Interfaces | Proposed solution |  | The system will allow the user to select the transaction / status effective from and through dates (user-specified date range) that the system will use to determine which records will be included in the actuarial extract. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.010 | Actuarial Extract | Interfaces | Proposed solution |  | The system will generate one actuarial valuation export containing anyone who has a record associated with a liability during the valuation period (active, deferred, contributions on file, retired, etc.). Example of selection criteria:   * Has a liability at the beginning and end of the valuation period * Has a liability at the beginning of the valuation period, but no liability at the end of the period (e.g., refunded or died) * Has no liability at the beginning of the valuation period, but has a liability at end of the valuation period (e.g., new member) * Has separate rows if an individual has multiple member statuses (e.g., is a member and a survivor) * Has a plan status change has an effective date on or before the valuation end date that is pending or in process at the time that the extract is run   File layout and selection criteria to be defined by NMERB and the Actuary. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.011 | Actuarial Extract | Data validation | Proposed solution |  | The system will allow NMERB users to preview a “trial run” of the actuarial extract datafile. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.012 | Actuarial Extract | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to view, print, and save the actuarial extract data file in report format. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.013 | Actuarial Extract | System set up | Proposed solution |  | The system will allow NMERB users to alter the criteria used to extract data for the Actuary without engaging the system vendor. e.g., ability to extract and or map new plans, member status, etc. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.014 | Actuarial Extract | System set up | Proposed solution |  | The system will allow an authorized user to quickly and easily revise the data elements, selection parameters, and output format of the actuarial extract file. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.015 | Actuarial Extract | System set up | Proposed solution |  | The system will allow NMERB users to add, change, or remove the data fields that will be included in the actuarial extract. | 1 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 23.016 | Actuarial Extract | Data validation | Proposed solution |  | The system will compare prior year data to current year data and provide a report with the differences for research. The report will use the status as of the specified data range. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.001 | Member Annual Statement | Reports, letters & forms | Member Services Director | I want to edit the current year's annual statement template  So that the current year's template is up to date. | I will be satisfied when:   * I can retrieve the prior year’s template * I can make changes in the editable sections in the current year’s template * I can save the current year’s template and not lose prior year templates | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.002 | Member Annual Statement | Batch processing | IT Business Analyst | I want to submit the batch job to run the retiree statements  So that statements are generated. | I will be satisfied when:   * I can select which batch job to execute * I can see in real-time the batch job processing status, including statistics on how many records have been processed * I can select which records to process (e.g., break the batch jobs into smaller populations by last name or process the entire retiree population) * The batch job completes in a reasonable time and does not cause a significant drain on system resources (aka should take a couple hours and no days to process the entire population and does not cause the overall system response time to drop noticeably) * I can pause, cancel, and restart the batch process on demand | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.003 | Member Annual Statement | Data validation | Payroll Analyst | I want to peer review the retiree annual statements  So that each retiree eligible for a statement receives one. | I will be satisfied when:   * I can view statements on-line or print individual statements to verify data accuracy and all of the needed data elements are properly merged * I can verify that statements * have been generated for individuals who should receive a statement * have not been generated for individuals who should not receive a statement (e.g., deceased) * I can edit statements, as needed * I can flag statements to be cancelled/discarded * I can save the statements in an external location (e.g., network drive) and the statements are compatible with common document software programs (e.g., MSOffice, Adobe) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.004 | Member Annual Statement | Reports, letters & forms | Member Relations Associate | I want to be able to view the statement on-line  So that I can assist members when they call with inquiries. | I will be satisfied when:   * I can view the retiree’s statement through the system once I have accessed their account * I can view previous versions of their annual statement * I can print a statement on demand if the caller is requesting it to be mailed | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.005 | Member Annual Statement | Member portal | Member Services Director | I want the member’s statement to be posted on their self-service account  So they can access it anywhere/anytime. | I will be satisfied when:   * The member’s annual statement has been correctly uploaded into their online self-service account * The member can print the statement for their own records * If the member requests copies of any previous statements, Member relations associates can access and print them | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.006 | Member Annual Statement | Interfaces | IT Business Analyst | I want to run the inactive annual statement query for a fiscal year  So the Data cleansing analyst can audit the file. | I will be satisfied when:   * I can select the extract to run * I can specify the date range to use in the query * I can view the status of the batch job in real time, including number of records exported * The resulting datafile has the correct file layout and type (.txt) and field-level type * The resulting datafile is saved on the system * I can delete an export that has been run * I can rerun an export with the same input parameters. This will create a separate instance of the export. * I can save the resulting datafile to an external location * I can query the history of exports created, by type, date, status and view/access the resulting datafile for any given export. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.007 | Member Annual Statement | Data validation | Data cleansing analyst | I want to validate the results of the annual statement export  So that the statements are correct. | I’ll be satisfied when:   * I can validate that the export contains the correct accounts and data according to the defined selection criteria (no missing or dropped records) * I can validate that fields with calculated values are correct * I can update member data, as necessary, and request that the export be rerun using the most current data on file | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.008 | Member Annual Statement | Reports, letters & forms | Data cleansing analyst | I want to upload the statements into the system  So Member Services staff have access to them. | I’ll be satisfied when:   * The statement is uploaded into the member’s account by Records. Statement is categorized with the corresponding document type * Member Services staff can retrieve and view the statements | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.009 | Member Annual Statement | Reports, letters & forms | Member Relations Associate | I want to be able to view the statement on-line  So that I can assist members when they call with inquiries. | I will be satisfied when:   * I can view the member’s statement through the system once I have accessed their account * I can view previous versions of their annual statement * I can print a statement on demand if the caller is requesting it to be mailed | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.010 | Member Annual Statement | Member portal | Member Services Director | I want the member’s statement to be posted on their self-service account  So they can access it anywhere/anytime. | I will be satisfied when:   * The member’s retiree annual statement has been correctly uploaded into their online self-service account * The member can print the statement for their own records * If the member requests copies of any previous statements, Member relations associates can access and print them | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.011 | Member Annual Statement | Batch processing | Proposed solution |  | The system will allow NMERB users to select the effective date of the member statement period. The system will report all applicable member data as of that date inclusive. | 1 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.012 | Member Annual Statement | Reports, letters & forms | Proposed solution |  | The system will generate statements for retired members receiving a benefit from NMERB as of the statement date. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.013 | Member Annual Statement | Interfaces | Proposed solution |  | The system will generate a file to be used in a document merger for inactive members who have contributions on account as of the statement date. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.014 | Member Annual Statement | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to issue an individual benefit statement and/or multiple statements by groups, batches, or the entire membership if needed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.015 | Member Annual Statement | Interfaces | Proposed solution |  | The system will populate the statement or export file as defined by NMERB, such as, but not limited to:   * Member name * Current mailing address * Soc. Sec. Number (last 4 digits) * Date of birth * Date of membership * Beneficiary(s) * Years of credited service * Contribution and interest information * Previous year’s pension amount * Cost-of-Living Adjustment (COLA) amount * Pension deductions | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.016 | Member Annual Statement | Reports, letters & forms | Proposed solution |  | The system will allow NMERB to generate statements for both print generation and for display of electronic copy through the web portal. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.017 | Member Annual Statement | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to recall, display, and print a previously generated statement at any time. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.018 | Member Annual Statement | Member portal | Proposed solution |  | The system will allow members to access prior member statements through their web portal accounts. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.019 | Member Annual Statement | Reports, letters & forms | Proposed solution |  | The system will provide a customizable benefit statement template that will allow NMERB to change the format, content, and layout of the annual statements at any time. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.020 | Member Annual Statement | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users the ability to customize informational messages to be printed on statements for each statement run. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.021 | Member Annual Statement | Batch processing | Proposed solution |  | The system will record and store statement effective date and other selection criteria associated with a statement production run. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.022 | Member Annual Statement | Reports, letters & forms | Proposed solution |  | The system will produce statement detail reports for use in verification and validation. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.023 | Member Annual Statement | Reports, letters & forms | Proposed solution |  | The system will produce statement summary reports for use in verification and validation. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.024 | Member Annual Statement | Interfaces | Proposed solution |  | The system will allow NMERB users to edit statement data prior to printing. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.025 | Member Annual Statement | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to re-print or view a specific benefit statement. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.026 | Member Annual Statement | Batch processing | Proposed solution |  | The system will allow NMERB users to initiate the Member Statement process at any time. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.027 | Member Annual Statement | Data validation | Proposed solution |  | The system will allow NMERB users 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 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.028 | Member Annual Statement | Batch processing | Proposed solution |  | The system will provide capability to post or cancel a statement trial run. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.029 | Member Annual Statement | Batch processing | Proposed solution |  | The system will allow NMERB users to produce statement reports against a trial run. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.030 | Member Annual Statement | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to generate inactive annual statements. Statements must contain conditional text depending on which benefits the member is entitled to and is editable. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 24.031 | Member Annual Statement | Member portal | Proposed solution |  | The system will allow all statements, active and inactive, to be posted to the member self-service portal. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 25.001 | Annual Financial Report and Audit | Reports, letters & forms | GL accountant | I want to be able to identify account receivable and payable transactions for each month and fiscal year  So that amounts reported on the financial report are correct. | I will be satisfied when:   * The system stores data for employer and member transactions that allow me to determine which fiscal year they should be attributed to, such as: * Event date * Event status (e.g., complete, pending, etc.) * Amount due * Amount paid, paid date and GL account # * I can generate a report that lists transactions so that I can perform a reconciliation against the GL system * I can reconcile and verify all account numbers at a minimum monthly and more frequently as needed | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 25.002 | Annual Financial Report and Audit | Reports, letters & forms | GL accountant | I want to be able to retrieve exports, reports, letters, and other artifacts from the system for the auditors  So that the auditors can complete their internal control review. | I will be satisfied when:   * I can retrieve system-generated supporting information that the auditors request on their Provided by Client (PBC) list * I can retrieve imaged information received from employers or members that the auditors request on their PBC list * The system stores data for employer and member transactions that allows the auditor to determine if there are sufficient internal controls such as: * Event date * Receipt/post date * NMERB user/processor and access rights * Other audit trail information | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 25.003 | Annual Financial Report and Audit | Reports, letters & forms | GL accountant | I want to be able to run queries to retrieve information for the auditors  So that the auditors can complete their review of the financial report. | I will be satisfied when:   * I can query and report on financial information by the employer or member to include all appropriate financial data (ex. amounts paid, amounts outstanding, interest adjustments, etc.) * I can run a year-end membership statistic report for PAFR and/or GASB reporting | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 25.004 | Annual Financial Report and Audit | General ledger | GL accountant | I want to be able to enter corrections or adjustments to financial transactions in SHARE  So that account information in SHARE is accurate. | I will be satisfied when:   * NMERB users can enter adjusting financial transactions to employer and member accounts, as required * The transaction date may be in the past | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 25.005 | Annual Financial Report and Audit | General ledger | Payroll Analyst | I want to be able to enter corrections or adjustments to financial transactions on the system  So that account information on the system is accurate. | I will be satisfied when:   * NMERB users can enter adjusting financial transactions to employer and member accounts, as required * The transaction date may be in the past * The system automatically recalculates the corresponding balances * The system creates corresponding GL transaction for the corrections/adjustments | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 25.006 | Annual Financial Report and Audit | Audit | Proposed solution |  | The system stores audit trail information such as NMERB user/processor and access rights, system date/time stamp for processed transactions, change history, etc. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 25.007 | Annual Financial Report and Audit | General ledger | Proposed solution |  | The system will automatically create debit/credit transactions to the general ledger for corrections in reported data with appropriate audit trail. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 25.008 | Annual Financial Report and Audit | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to query and report on financial information by employer or member to include all appropriate financial data (ex. amounts paid, amounts outstanding, interest adjustments, etc.). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 25.009 | Annual Financial Report and Audit | Reports, letters & forms | Proposed solution |  | The system will produce annual statements for NMERB and for employers (ex. finances, NMERB membership information, etc.) for PAFR and/or GASB reporting. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 25.010 | Annual Financial Report and Audit | Interfaces | Proposed solution |  | The system will have an interface to load employer and member deposit information provided by the agency’s bank. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 25.011 | Annual Financial Report and Audit | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to run monthly and year-end audit queries on demand or through a batch process. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 25.012 | Annual Financial Report and Audit | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to create custom queries and reports without the need for IT tickets or change orders without PII being visible. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.001 | Inactive Member Account Management | Reports, letters & forms | IT Business Analyst | I want to run an inactive member query  So the Data cleansing analyst can audit the file. | I will be satisfied when:   * I can select the extract to run * I can specify the date range to use in the query * I can view the status of the batch job in real time, including number of records exported * The resulting datafile has the correct file layout and type (.txt) and field-level type * The resulting datafile is saved on the system * I can delete an export that has been run * I can rerun an export with the same input parameters. This will create a separate instance of the export. * I can save the resulting datafile to an external location * I can query on the history of exports created, by type, date, status and view/access the resulting datafile for any given export. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.002 | Inactive Member Account Management | Data validation | Inactive Data Unit Project Manager | I want to validate the results of the inactive member export  So I have an inactive member listing to generate the respective mailers. | I’ll be satisfied when:   * I can validate that the export contains the correct accounts and data according to the defined selection criteria (e.g., no missing or dropped records) * I can send the export to the third-party location service provider to confirm addresses and whether still living * I can update member data, as necessary, and request that the export be rerun using the most current data on file | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.003 | Inactive Member Account Management | Member data | Data cleansing analyst | I want to update a member’s account information  So that their information is up to date. | I’ll be satisfied when:   * I can update member account information based on file reviews and data from external sources * I can add notes to the member’s account * I can mail the Inactive Mailer to the member | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.004 | Inactive Member Account Management | Data validation | Data cleansing analyst | I want to review the benefit election packet  So that I can confirm the benefit amount is correct before sending to the benefit recipient. | I’ll be satisfied when:   * I can validate that the benefit payment options available for each account is correct (e.g., refund and/or pension eligible) * I can validate that fields with calculated values are correct | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.005 | Inactive Member Account Management | Supporting documents | Data cleansing analyst | I want to confirm the returned benefit election is complete  So that I can process the recipient’s benefit election. | I’ll be satisfied when:   * I can send a rejection letter if the packet is completed incorrectly or missing additional documentation * I can process the member’s requested benefit election (refund or monthly pension) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.006 | Inactive Member Account Management | Imaging | Data cleansing analyst | I want to upload the statements into the system  So Member Services staff have access to them. | I’ll be satisfied when:   * The statement is uploaded into the member’s account by Records. Statement is categorized with the corresponding document type. * Member Services staff can retrieve and view the statements. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.007 | Inactive Member Account Management | Reports, letters & forms | Member Relations Associate | I want to be able to view the statement on-line  So that I can assist members when they call with inquiries. | I will be satisfied when:   * I can view the member’s statement through the system once I have accessed their account * I can view previous versions of their statement, if applicable * I can print a statement on demand if the caller is requesting it to be mailed | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.008 | Inactive Member Account Management | Member portal | Member Services Director | I want the member’s statement to be posted on their self-service account  So they can access it anywhere/anytime. | I will be satisfied when:   * The member’s statement has been correctly uploaded into their online self-service account * The member is able to print the statement for their own records | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.009 | Inactive Member Account Management | Reports, letters & forms | IT Business Analyst | I want to run an inactive member query  So the Data cleansing analyst can audit the file. | I will be satisfied when:   * I can select the extract to run * I can specify the date range to use in the query * I can view the status of the batch job in real time, including number of records exported * The resulting datafile has the correct file layout, type (.txt), and field-level type * The resulting datafile is saved on the system * I can delete an export that has been run * I can rerun an export with the same input parameters. This will create a separate instance of the export. * I can save the resulting datafile to an external location * I can query on the history of exports created, by type, date, status and view/access the resulting datafile for any given export. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.010 | Inactive Member Account Management | Reports, letters & forms | Inactive Data Unit Project Manager | I want to validate the results of the deceased inactive member export  So I have a deceased inactive member listing to generate respective mailers for the survivor/beneficiary. | I’ll be satisfied when:   * I can validate that the export contains the correct accounts and data according to the defined selection criteria (e.g., no missing or dropped records) * I can send export to third party location service provider to confirm addresses and whether still living * I can update the deceased member data, as necessary, and request that the export be rerun using the most current data on file * I can create the survivor/beneficiary record | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.011 | Inactive Member Account Management | Member data | Data cleansing analyst | I want to update a deceased member’s account information  So that their information is up-to-date. | I’ll be satisfied when:   * I can update the deceased member account information based on data from external sources * I can update the survivor/beneficiary record based on data from external sources and returned forms * I can verify benefit election forms have been received less than four years after the death of the member or requestors are not next-of-kin/executors (greater than four years and next-of-kin/executors require Legal review) * I can add notes to the survivor/beneficiary account * I can mail the Inactive Mailer to the survivor/beneficiary | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.012 | Inactive Member Account Management | Data validation | Data cleansing analyst | I want to review the benefit election packet  So that I can confirm the survivor/beneficiary benefit amount is correct. | I’ll be satisfied when:   * I can validate that the death benefit payment options calculated for each account is correct (e.g., refund and/or pension eligible) * I can validate that fields with calculated values are correct * I can validate the partial rollover is only for spouse beneficiaries/survivors   Business Rule:   1. Rule 2.82.5.20 Rollover Distributions for Non-Spouse Beneficiaries. The Educational Retirement Act shall allow direct rollovers to non-spouse beneficiaries for lump sum distributions only, and such distributions must be requested before the end of the year after the year of the member’s death. No partial rollovers shall be permitted. A direct rollover by a non-spouse beneficiary must be made into a traditional or Roth IRA established on behalf of the designated beneficiary and that will be treated as an inherited individual retirement account (IRA) pursuant to the provisions of Section 401(c)(11) of the Internal Revenue Code. The distribution must also otherwise satisfy the definition of an “eligible rollover distribution” under Section 401(a)(31) of the Internal Revenue Code. All other current rules applicable to rollover distributions under the Educational Retirement Act, or adopted by the board pursuant to the Educational Retirement Act, must be followed. The non-spouse beneficiary shall be notified that he or she is responsible for following the applicable minimum required distribution rules under Section 401(a)(9) of the Internal Revenue Code. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.013 | Inactive Member Account Management | Supporting documents | Data cleansing analyst | I want to confirm the returned benefit election packet is complete  So that I can process the survivor/beneficiary benefit election. | I’ll be satisfied when:   * I can send a rejection letter if the packet is completed incorrectly or missing additional documentation (i.e. death certificate) * I can process the survivor/beneficiary’s requested benefit election (refund or monthly pension) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.014 | Inactive Member Account Management | Imaging | Member Relations Associate | I want to be able to view the benefit election forms  So that I can assist survivors/beneficiaries when they call with inquiries. | I will be satisfied when:   * I can view the survivor/beneficiary benefit election forms through the system once I have accessed their account * I can view previous contact letters and notes on the account * I can print the benefit election forms if the caller is requesting it to be mailed | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.015 | Inactive Member Account Management | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to select the date range for the query. The system will report all applicable member data as of that date inclusive. | 1 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.016 | Inactive Member Account Management | Interfaces | Proposed solution |  | The system will generate a file to be used in a document merge for inactive members who have contributions on account as of the statement date. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.017 | Inactive Member Account Management | Interfaces | Proposed solution |  | The system will populate the statement or export file as defined by NMERB, such as, but not limited to:   * Member name * Current mailing address * Soc. Sec. Number (last 4 digits) * Date of birth and age * Termination date * Earliest retirement date * Beneficiary(s) * Vested status and tier data * Years of credited service * Contribution and interest information | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.018 | Inactive Member Account Management | Reports, letters & forms | Proposed solution |  | The system will generate reports to identify members who are approaching key dates (retirement or RMD). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.019 | Inactive Member Account Management | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to generate inactive statements for all inactive members. Statements must contain conditional text depending on which benefits the member is entitled to and is editable within the system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.020 | Inactive Member Account Management | Data validation | Proposed solution |  | The system will allow NMERB users to produce a trial statement run, holding statements in a staging area, but not generating a print file or posting to the member’s record until the user executes the post option to keep the statements permanently. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.021 | Inactive Member Account Management | Batch processing | Proposed solution |  | The system will provide capability to post or cancel a statement trial run. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.022 | Inactive Member Account Management | Batch processing | Proposed solution |  | The system will allow NMERB users to produce statement reports against a trial run. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.023 | Inactive Member Account Management | Reports, letters & forms | Proposed solution |  | The system will automatically generate reminder notifications or letters for inactive members who are approaching the IRS Required Minimum Distribution age within a timeframe defined by NMERB. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 26.024 | Inactive Member Account Management | Member data | Proposed solution |  | The system will enter notes into members accounts automatically once the mailers are sent to the members. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.001 | 1099R Issuance | Reports, letters & forms | Payroll Supervisor or GL accountant | I want to review a listing of 1099R amounts  So that I can perform an audit or reconciliation. | I will be satisfied when:   * I can specify the tax year to be run * The system will calculate the correct amounts to be reported on each tax slip * The system will generate a 1099R listing that I can audit * The reports will display individual details and control totals * I can rerun the listing as many times as I need to and select which runs I want to purge * I can request the full population or based on specific criteria such as plan status, Distribution Code, etc. * The resulting tax slip values are viewable on the system by tax year * I can view the history of tax slip values by tax year | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.002 | 1099R Issuance | Member data | Payroll Supervisor | I want to be able to adjust accounts as needed  So that the information being reported on their tax slip is correct. | I will be satisfied when:   * I can select the tax year to be adjusted * I can update a benefit recipient’s account to reflect payment transactions that have occurred outside of the system such as uncashed payments or manual checks * The system will recalculate the amounts to be reported on the recipient’s tax slip * I can override system-generated values, as necessary | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.003 | 1099R Issuance | Interfaces | IT Analyst | I want the system to generate the tax report export file  So that I can send the secure file to the third-party printer to print and mail copies to the benefit recipient and IRS. | I’ll be satisfied when:   * I can have the export layout updated as required by the IRS and third-party printer * I can specify the tax year to be generated * The system exports the data according to the layout specifications * I can rerun the export as many times as I need to and indicate which exports I want to purge * I can request the full population or based on specific criteria such as plan status, Distribution Code, etc. * Out-of-country recipients are pulled from the mailing batch and send to NMERB. NMERB will mail these tax slips. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.004 | 1099R Issuance | Interfaces | IT Analyst | I want the system to generate the IRS 945 tax export file  So that I can upload the 945 tax file into FIRE (the IRS system). | I’ll be satisfied when:   * I can have the export layout updated as required by the IRS * I can specify the tax year to be generated * The system exports the data according to the layout specifications * I can rerun the export as many times as I need to and indicate which exports I want to purge | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.005 | 1099R Issuance |  | Payroll Supervisor | I want an image of the tax slip uploaded to the recipient’s account So that Member Relations Associates can assist callers with inquiries and reprint requests. | I will be satisfied when:   * Member Relations Associates can search and view a specific tax slip and generate reprints upon a recipient’s request | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.006 | 1099R Issuance | 1099R | Payroll or Refund analyst | I want to review the 1099R generated with the EOB  So that I can perform an audit or reconciliation. | I will be satisfied when:   * The system will calculate correct amounts to be reported on the tax slip * If the payment is a 100% rollover, a Rollover Memorandum is also generated * The resulting tax slip values are viewable on the system, by tax year * Special payroll and refunds are reported to the IRS manually through the IRS portal the next business day from payment issue date | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.007 | 1099R Issuance | Member data | Payroll Supervisor | I want to be able to adjust accounts as needed  So that the information being reported on their tax slip is correct. | I will be satisfied when:   * I can select the tax slip to be adjusted * I can update a benefit recipient’s account to reflect payment transactions that have occurred outside of the system such as uncashed payments or manual checks * The system will recalculate the amounts to be reported on the recipient’s tax slip * I can override system-generated values, as necessary | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.008 | 1099R Issuance | Data validation | GL accountant, | I want to review the 1099R generated with the EOB  So that I can perform an audit or reconciliation. | I will be satisfied when:   * I can confirm the amounts submitted to the IRS are reconciled * I can research discrepancies, if necessary * I can view the SHARE schedule of all check cancellations processed outside of the system for refund and payroll type payments | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.009 | 1099R Issuance | 1099R | Payroll Supervisor | I want tax slip details to appear in the recipient’s account  So that Member Relations Associates can assist callers with inquiries and reprint requests. | I will be satisfied when:   * The tax slip detail is added to the recipient’s account * Member Relations Associates can search and view a specific tax slip and generate reprints upon a recipient’s request | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.010 | 1099R Issuance |  | Payroll Supervisor | I want the system to produce the correct tax slip for benefit recipients  So that they can report their retirement income. | I will be satisfied when:   * QEBA benefits paid to retired members are reported on a Form W-2 and the income tax withheld is reported on Form 941 to be compliant with IRS regulations. * QEBA benefits paid to a survivor/beneficiary should be reported on a Form 1099-MISC. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.011 | 1099R Issuance | Reports, letters & forms | Proposed solution |  | The system will produce the 1099R forms to the specifications required by the IRS for all refund (one-time payment) and benefit payment recipients and allow NMERB to outsource the production and mailing or to produce the forms in-house. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.012 | 1099R Issuance | Interfaces | Proposed solution |  | The system will be able to produce a raw text data file compatible with 1099R printing service providers. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.013 | 1099R Issuance | Reports, letters & forms | Proposed solution |  | The system will allow NMERB to adjust the format, content, and/or layout of the information to be printed on the 1099R forms to accommodate changes to the forms made by the IRS. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.014 | 1099R Issuance | 1099R | Proposed solution |  | The system will be able to issue separate 1099Rs to a single payee receiving multiple benefit streams of the same payment type and Distribution Code. For example, a retiree receiving his/her own monthly retirement benefit and receiving a survivor monthly retirement benefit from a deceased spouse must receive separate 1099Rs for each benefit stream although both are the same payment type and Distribution Code. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.015 | 1099R Issuance | 1099R | Proposed solution |  | The system will be able to generate separate 1099Rs for each type of payment to the same payee, even if they both have the same Distribution Code. For example, a survivor pension and a refund of residual unused contributions are different payment types, but both use distribution Code 4, and thus must have different 1099Rs. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.016 | 1099R Issuance | 1099R | Proposed solution |  | The system will be able to issue a single 1099R for multiple payments of the same type and benefit stream to a single payee. For example, a retired member receiving a monthly retirement benefit will receive a single 1099R for all twelve of the monthly benefit payments made in a full tax year. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.017 | 1099R Issuance | Payment maintenance | Proposed solution |  | The system will be able to track non-payroll payments and withholding, i.e., refunds and death benefits. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.018 | 1099R Issuance | Payment maintenance | Proposed solution |  | The system will summarize federal tax withholding for each payroll, refund, and death benefit batch processed during the calendar year in question for federal tax reporting purposes. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.019 | 1099R Issuance | Reports, letters & forms | Proposed solution |  | The system will produce IRS forms 945 and 945A to the specifications of the IRS. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.020 | 1099R Issuance | Interfaces | Proposed solution |  | The system will produce data files or an electronic version of forms 945 and 945A to the specifications of the IRS for upload, if available. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.021 | 1099R Issuance | Reports, letters & forms | Proposed solution |  | The system will allow NMERB to modify the format or content of forms or data files generated by the system for IRS forms 945 and 945A to accommodate changing IRS requirements. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.022 | 1099R Issuance | 1099R | Proposed solution |  | The system will be able to exclude repayments from gross distributions and taxable amount when calculating totals for 1099R reconciliation. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.023 | 1099R Issuance | Data validation | Proposed solution |  | The system will generate a “trial run” of 1099Rs and associated Summary Reports prior to committing the batch run to member records so that NMERB can review the 1099Rs and perform reconciliation prior to posting the batch. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.024 | 1099R Issuance | 1099R | Proposed solution |  | The system will be able to properly calculate and adjust 1099R data in situations where a current quarterly period adjustment has occurred on a member’s account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.025 | 1099R Issuance | Data validation | Proposed solution |  | The system will be able to identify special cases to support verification of 1099R-related data. The special cases are:   * New Retirees * Disability retirement conversions to normal retirement * Normal retirement conversions to disability * Corrections and changes of distribution codes. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.026 | 1099R Issuance | Payment maintenance | Proposed solution |  | The system will track and maintain record of refunds and deceased overpayments and death benefits made to payees and providing 1099Rs for such payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.027 | 1099R Issuance | 1099R | Proposed solution |  | The system will be able to differentiate taxable payments from non-taxable payments and calculate the respective totals. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.028 | 1099R Issuance | Member data | Proposed solution |  | The system will allow NMERB users to update member information on non-finalized 1099Rs dynamically as changes are made to member records in the system. For example, if a member’s name or address are changed or an additional distribution is made in the member record, that individual member’s 1099R can be regenerated with revised information prior to final posting of the batch. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.029 | 1099R Issuance | Data validation | Proposed solution |  | The system will generate “trial run” 1099R Summary Reports containing summary data for the pending 1099R batch for reconciliation against NMERB’s general ledger. Data summarizing retiree benefit data (recurring payments) and data summarizing refunds and death benefits (one-time payments) will be reported both separately and in total. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.030 | 1099R Issuance | Batch processing | Proposed solution |  | The system will provide the capability to re-run “trial run” 1099R Summary Reports an indefinite number of times to reflect manual corrections made after initial reconciliation with the general ledger. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.031 | 1099R Issuance | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to view, print, and save 1099R Summary Reports for future reference. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.032 | 1099R Issuance | Reports, letters & forms | Proposed solution |  | The system will generate Final 1099R Summary Reports containing summary data for the posted 1099R batch for reconciliation and record maintenance purposes. Data summarizing retiree benefit data (recurring payments) and data summarizing refunds and death benefits (one-time payments) will be reported both separately and in total. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.033 | 1099R Issuance | Audit | Proposed solution |  | The system will have functionality to reconcile annual payment totals for members based on the actual payment transactions with 1099R totals generated by the system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.034 | 1099R Issuance | Reports, letters & forms | Proposed solution |  | The system will be able to use all standard boxes on the 1099R form but will allow boxes not used by NMERB to be left blank. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.035 | 1099R Issuance | Reports, letters & forms | Proposed solution |  | The system will allow Form 1099R documents (Original, Corrected, Reissued, and Duplicate) to be archived within a benefit recipient’s account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.036 | 1099R Issuance | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to retrieve and print on demand Form 1099R and Form 1042S documents (Original, Corrected, Reissued, Duplicate) that have been archived, both individually and in batch. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.037 | 1099R Issuance | Member data | Proposed solution |  | The system will allow NMERB users with privileged access to override any value in a member’s account in the system to correct information supporting 1099R documents. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.038 | 1099R Issuance | Member data | Proposed solution |  | The system will allow NMERB users with privileged access to manually correct current tax year 1099R amounts in a member’s account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.039 | 1099R Issuance | Member data | Proposed solution |  | The system will allow NMERB users with privileged access to manually correct prior tax years 1099R and issue a Corrected 1099R. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.040 | 1099R Issuance | 1099R | Proposed solution |  | The system will allow NMERB to change the frequency that they report state and federal taxes to a monthly, quarterly, semi-annual, or yearly basis. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.041 | 1099R Issuance | Reports, letters & forms | Proposed solution |  | The system will provide the capability to produce the 1042S forms to the specifications required by the IRS for all refund (one-time payment) and benefit payment recipients and allow NMERB to produce the forms in-house. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.042 | 1099R Issuance | Reports, letters & forms | Proposed solution |  | The system will provide the capability to produce Form 1099R and Form 1042S (Original, Corrected, Reissued, and Duplicate) documents entirely in-house, both electronically and in paper form. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.043 | 1099R Issuance | Interfaces | Proposed solution |  | The system will produce data files compatible with IRS electronic filing requirements for 1099R. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.044 | 1099R Issuance | Interfaces | Proposed solution |  | The system will allow NMERB to modify the format and content of the data files generated by the system for IRS electronic filing requirements for 1099R to accommodate changing IRS requirements. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.045 | 1099R Issuance | Member data | Proposed solution |  | The system will allow an NMERB user with privileged access to change distribution codes in the system for the member’s payments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.046 | 1099R Issuance | 1099R | Proposed solution |  | The system will allow NMERB users to combine payments under the same distribution code on a 1099R as they see fit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.047 | 1099R Issuance | Workflow management | Proposed solution |  | The system will allow NMERB users to flag the account of payees that are pending confirmation of citizenship or resident alien status. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.048 | 1099R Issuance | Member data | Proposed solution |  | The system will provide the capability for a user to query the system for, access, and display member accounts of non-citizens that will be receiving 1042S forms. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.049 | 1099R Issuance | Workflow management | Proposed solution |  | The system will allow a user to remove the proof of citizenship for foreign payee pending flag from a member’s account when proof has been received. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.050 | 1099R Issuance | Workflow management | Proposed solution |  | The system will provide tools and functionality to assist NMERB with compliance related to Form 1042S issuance and tracking. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.051 | 1099R Issuance | Workflow management | Proposed solution |  | The system will issue an alert to a user when a returned proof of citizenship has been received in the member’s electronic file. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.052 | 1099R Issuance | Audit | Proposed solution |  | The system will be able to reconcile control totals on the IRS and State of New Mexico electronic files against the posted batch 1099R Summary Reports and identify any exceptions. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.053 | 1099R Issuance | 1099R | Proposed solution |  | The system will provide the capability to apply an account conversion (disability to normal retirement) effective for the entire tax year, regardless of when the conversion actually occurred. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.054 | 1099R Issuance | 1099R | Proposed solution |  | The system will provide the capability to apply an account conversion (service retirement to disability) effective for a partial tax year, if required, and issue two 1099Rs for that year (one for the portion of the year of service retirement and one for the portion of the year converted to disability retirement) based on the effective date of the disability retirement. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.055 | 1099R Issuance | Reports, letters & forms | Proposed solution |  | The system will allow Form 1099S documents (Original, Corrected, Reissued, and Duplicate) to be archived within a benefit recipient’s account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.056 | 1099R Issuance | Member portal | Proposed solution |  | The system will allow recipients to receive their Form 1099 through the self-service portal. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.057 | 1099R Issuance | Member portal | Proposed solution |  | The system will allow recipients to specify their Form 1099 delivery preference through postal mail or electronically. The recipient can change their delivery preference at any time. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.058 | 1099R Issuance | Reports, letters & forms | Proposed solution |  | The system will provide the capability to produce the W-2 forms to the specifications required by the IRS for retirees who received QEBA benefit payment and allow NMERB to produce the forms in-house. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.059 | 1099R Issuance | Reports, letters & forms | Proposed solution |  | The system will provide the capability to produce the 1099-MISC forms to the specifications required by the IRS for survivors/beneficiaries who received QEBA benefit payment and allow NMERB to produce the forms in-house. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.060 | 1099R Issuance | Member portal | Proposed solution |  | The system will allow NMERB users to scan an image of each recipient’s tax slip(s) into their account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.061 | 1099R Issuance | Audit | Proposed solution |  | The system will provide an audit trail for any manual changes and require a supervisor approval for the change to take place. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 27.062 | 1099R Issuance | Member data | Proposed solution |  | The system will capture the address correctly for out of country 1099R’s to be processed by a third-party vendor. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.001 | Web Portal/Self Service | Member portal | Member | I want to login to the Member Self Service (MSS) portal  So that I can view my account details. | I will be satisfied when:   * I can view my personal file number * I can view password change alerts * I can view news on projects sponsored by NMERB * I can view NMERB plan information and updates through embedded links * I can view my address and contact information * I can view the Member Help page * I can view my designated beneficiaries | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.002 | Web Portal/Self Service | Employer portal | Employer | I want to login to the ESS  So that I can complete the monthly reporting. | I will be satisfied when:   * I can view my work address and contact information * I can update my work contact information * I can add or delete employer users, if I have sufficient access rights * I can upload the member and work files | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.003 | Web Portal/Self Service | Portal access | Member Relations Associate and Employer Accounting Analyst | I want to monitor web portal access  So that I can determine which employers and individuals have access to the portal. | I will be satisfied when:   * I can grant or revoke access to an active member * I can grant or revoke access to a retired member * I can grant or revoke access to a disability member * I can grant or revoke access to an inactive member * Survivors and co-payees do not have access * I can grant or revoke access to an employer or employer representative * Site functionality is conditional on the user access profile | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.004 | Web Portal/Self Service | Call center security | Member Relations Associate | I want to validate a caller’s identity and confirm if they have an open MSS account,  So I can maintain Self Service credentials for a caller. | I will be satisfied when:   * I can view their username * I have view-only remote access to their current open session so that I can help navigate them through the site * I can reset a member’s password * I can unlock a locked account | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.005 | Web Portal/Self Service | Knowledge base | Agency | I want to load documents and links on the site  So members and employers can obtain information from the self-service site. | I will be satisfied when:   * Individual member statements can be loaded into the respective MSS accounts * Links can be posted on the MSS or ESS site to direct members and employers to external websites | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.006 | Web Portal/Self Service | Secure messaging | Member or Employer | I want to submit a secure message for NMERB through the portal  So that confidential data is not compromised. | I will be satisfied when:   * The message is secure * The message allows a sufficient number of characters | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.007 | Web Portal/Self Service | Portal access | Active Member | I want to login to the MSS  So that I can view my account details. | I will be satisfied when:   * I can log into a secure site * I can view my personal and demographic data * I can view my dependents * I can reset my password * I can update security questions * I can update my email address | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.008 | Web Portal/Self Service | Benefit calculation | Active Member | I want to run estimates online  So that I don’t have to submit an estimate request to NMERB. | I will be satisfied when:   * I can run as many estimates as I want * I can view my estimated annual gross retirement benefit online at my earliest retirement date * I can view my estimated monthly gross retirement benefit online at my earliest retirement date * I can view my retirement benefit options online based on tier eligibility at my earliest retirement date * I can view my beneficiary’s benefit amount, if applicable * I can select any retirement date in the future and project time up to the date I have entered | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.009 | Web Portal/Self Service | Member data | Active Member | I want to view my work history  So that I can verify that my pension data is accurate. | I will be satisfied when:   * I can view work history record details such as: * Job start dates * Location * Job Status * Job Category * o Contract Agreement | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.010 | Web Portal/Self Service | Member data | Active Member | I want to view my Member Contribution History Report  So that I can verify that my pension data is accurate. | I will be satisfied when:   * I can view my total wages * I can view my total service credits * I can view my total contributions * I can view my earned date * I can view my employer * I can view my YTD salary * I can view my refunded service | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.011 | Web Portal/Self Service | Benefit calculation | Active Member | I want to calculate a service credit purchase estimate online  So that I don’t have to submit an estimate request to NMERB. | I will be satisfied when:   * I can run as many estimates as I want * I can run the service credit purchase estimator * I can view the cost to buy a specified number of service credits | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.012 | Web Portal/Self Service | Member data | Active Member | I want to view my Statement of Account  So that I can see how much money I have on deposit. | I will be satisfied when:   * I can view my total credits * I can view my total tax deferred member contributions * I can view my total interest on contributions * I can view my total refund amount | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.013 | Web Portal/Self Service | Knowledge base | Active Member | I want to find information on how to initiate pension transactions online  So that I don’t have to call NMERB Help Desk. | I will be satisfied when:   * I can be directed to the NMERB website from MSS | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.014 | Web Portal/Self Service | Portal access | Retired or Disability Member | I want to login to MyNMERB portal  So that I can view my payment history. | I will be satisfied when:   * I can log into a secure site * I can view my personal and demographic data * I can view my gross benefit amount * I can view my net benefit amount * I can view my YTD total for benefit payments prior to 2006, if applicable | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.015 | Web Portal/Self Service | Member data | Retired or Disability Member | I want to view my payment details  So that I can see how my net pension was calculated and deposited. | I will be satisfied when:   * I can view my deductions * I can view my banking account information | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.016 | Web Portal/Self Service | Knowledge base | Retired or Disability Member | I want to select a help feature  So that I can receive information on various topics. | I will be satisfied when:  • I can view a help feature on COLA  • I can view a help feature on Return to Work  • I can view a help feature on changing my password. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.017 | Web Portal/Self Service | Member data | Retired or Disability Member | I want to view my Retiree Annual Statement  So that I can see what my new pension amount is. | I will be satisfied when:  • I can view any COLA adjustments  • I can view my benefit amount prior to adjustments becoming effective  • I can view my benefit amount after adjustments have been applied | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.018 | Web Portal/Self Service | Knowledge base | Retired or Disability Member | I want to find information on how to apply for the Return-to-Work program  So that I don’t have to call NMERB Help Desk. | I will be satisfied when:  • I can review information on working after retirement  • I can be directed to the NMERB website from MSS | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.019 | Web Portal/Self Service | Member data | Inactive Member | I want to view my work history  So that I can verify that my pension data is accurate. | I will be satisfied when:   * I can log into a secure site * I can view my personal and demographic data * I can view work history record details such as: * Job start dates * Location * Job Status * Job Category * Contract Agreement * I can reset my password * I can update security questions * I can update my email address | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.020 | Web Portal/Self Service | Member data | Inactive Member | I want to view my Member Contribution History Report  So that I can verify that my pension data is accurate. | I will be satisfied when:   * I can view my total wages * I can view my total service credits * I can view my total contributions * I can view my refunds * I can view my earned date * I can view my employer * I can view my YTD salary * I can view my refunded service | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.021 | Web Portal/Self Service | Benefit calculation | Inactive Member | I want to calculate a service credit purchase estimate  So that I don’t have to submit an estimate request to NMERB. | I will be satisfied when:   * I can run as many estimates as I want * I can run the service credit purchase estimator * I can view the cost to buy a specified number of service credits if I have two months or more of prior active work * I can select any retirement date in the future and project time up to the date I have entered (if applicable) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.022 | Web Portal/Self Service | Benefit calculation | Inactive Member | I want to run estimates online  So that I don’t have to submit an estimate request to NMERB. | I will be satisfied when:   * I can run as many estimates as I want * I can view my estimated annual gross retirement benefit online at my earliest retirement date * I can view my estimated monthly gross retirement benefit online at my earliest retirement date * I can view my retirement benefit options online based on tier eligibility at my earliest retirement date * I can view my beneficiary’s benefit amount, if applicable | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.023 | Web Portal/Self Service | Portal access | Employer | I want to view my account details  So that I can verify that my account data is up to date. | I will be satisfied when:   * I can log into a secure site * I can view the institution’s address * I can view the institution’s contact information * I can view the institution’s official employer contact | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.024 | Web Portal/Self Service | Member data | Employer | I want to view submitted work reports  So that I can confirm what data has been provided to NMERB. | I will be satisfied when:   * I can view a history submitted work reports * I can open (view only) each work report up to 5 years prior | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.025 | Web Portal/Self Service | Interfaces | Employer | I want to submit data files online  So that I can complete the monthly reporting. | I will be satisfied when:   * I can choose the file type to upload * I can upload the report * I can provide the code of the uploaded report (i.e., M-1, W-1) * I can provide the month and year of the uploaded report * The system validates that the filename that I entered in the Description matches the name of the file to upload | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.027 | Web Portal/Self Service | Benefit calculation | Proposed solution |  | The system will provide members with a benefit estimate tool on the MSS. The benefit estimator will use the member’s information available from the system that is appropriate to the calculation, including aggregating multiple plan benefits together. The benefit estimate will allow members to do ‘what if’ calculations. The benefit estimator will accept manual inputs for final compensation, years of service, and age at retirement, and then produce an estimated benefit amount. The benefit estimator will be able to provide one estimate using the most recent information for members with multiple plans. Using old data is a current system defect. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.028 | Web Portal/Self Service | Benefit calculation | Proposed solution |  | The system will keep a record of the factors used to perform estimates for a NMERB specified number of times and will make the factors available to NMERB staff. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.029 | Web Portal/Self Service | Reports, letters & forms | Proposed solution |  | The system will allow a member to print the estimate results from the MSS. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.030 | Web Portal/Self Service | Reports, letters & forms | Proposed solution |  | The system will allow members to access reprints for 1099R forms for any year on file, if available, from the MSS. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.031 | Web Portal/Self Service | Reports, letters & forms | Proposed solution |  | The system will send change confirmation notification to the user by either e-mail, text, or paper mail, when certain data changes are made by users on the MSS and ESS. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.032 | Web Portal/Self Service | Access security | Proposed solution |  | The system will display the date and time of last login by the user on the MSS and ESS. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.033 | Web Portal/Self Service | Access security | Proposed solution |  | The system will display the date and time of the last unsuccessful login attempt logged for their username, if any, on the MSS and ESS. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.034 | Web Portal/Self Service | Access security | Proposed solution |  | The system will provide NMERB system administration personnel with role-based capabilities to maintain the MSS and ESS. Such privileged tasks include locking members out of the portal, resetting passwords for members and employer representatives, creating username/password on behalf of a member or employer representative, and other tasks normally delegated to system administrators and help desk roles. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.035 | Web Portal/Self Service | Access security | Proposed solution |  | The system will allow NMERB users to authenticate a user who has called NMERB for technical support. The support personnel may need to have access to the member’s authentication tools (security questions, image keys, etc.) within the MSS or ESS to authenticate a caller. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.036 | Web Portal/Self Service | Access security | Proposed solution |  | The system will place a block on a member or benefit recipient’s access to the MSS when a date of death is entered for that individual as a security measure. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.037 | Web Portal/Self Service | Data privacy | Proposed solution |  | The system will mask any Social Security Numbers used on the MSS at all times. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.038 | Web Portal/Self Service | Knowledge base | Proposed solution |  | The system will advise the member to contact NMERB if information is incorrect on the MSS. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.039 | Web Portal/Self Service | Usability | Proposed solution |  | The system will use vocabulary on the MSS that is member-friendly where possible. However, vocabulary used on the portal must abide by IRS wording, where applicable. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.040 | Web Portal/Self Service | Member data | Proposed solution |  | The system will allow all benefit recipients to view their own payment data, current as of the last refresh, on the MSS. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.041 | Web Portal/Self Service | Interfaces | Proposed solution |  | The system will display Account, File Type, Browse, Description, Upload fields in ESS to allow employer to enter Work Report (W-1) and Member Detail (M-1) reports. The system will also validate that the filename in the Description matches the name of the file being uploaded. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.042 | Web Portal/Self Service | Secure messaging | Proposed solution |  | The system will allow members/employers to upload files. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.043 | Web Portal/Self Service | Knowledge base | Proposed solution |  | The system will allow NMERB users to create and manage news articles and alerts to be posted on the MSS and ESS. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.044 | Web Portal/Self Service | Benefit calculation | Proposed solution |  | The system will automate the estimate calculation for service credit purchase. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.045 | Web Portal/Self Service | Member data | Proposed solution |  | The system will provide the member with the opportunity to view and print previous Member Statements. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.046 | Web Portal/Self Service | Knowledge base | Proposed solution |  | The system will have consistent embedded links or links directed to the NMERB website. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.047 | Web Portal/Self Service | Secure messaging | Proposed solution |  | The system will be able to send email notifications to members with up-to-date email addresses verified by NMERB. Currently, there are emails sent only for password changes. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.048 | Web Portal/Self Service | Benefit calculation | Proposed solution |  | The system 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 system that is appropriate to the calculation and provide the option to include a service credit purchase in the calculation. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.049 | Web Portal/Self Service | Member data | Proposed solution |  | The system will allow all benefit recipients to change their tax withholding status through the MSS, if NMERB chooses to use this functionality. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.050 | Web Portal/Self Service | Employer data | Proposed solution |  | The system will allow employers to log on to ESS and view a dashboard employer report status (i.e., not submitted, rejected, submitted with mismatches, complete, etc.) as well as count of employees and number of contributions by report status. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.051 | Web Portal/Self Service |  | Proposed solution |  | The system will allow the employer to replicate the functionality of the Form 100 through the Employer Self Service (ESS) portal. Form 100 provides summaries of data reported in the Work Report and the amount of deposit. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.052 | Web Portal/Self Service | Interfaces | Proposed solution |  | The system will allow the employer to replicate the functionality of the Form 9 through the ESS. Form 9 details changes to data for specific members submitted in prior Work Reports. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.053 | Web Portal/Self Service | Data validation | Proposed solution |  | The system will validate Member Detail and Work Report data through the ESS so that warnings and errors are generated before the file is submitted. Employers will be required to resolve data issues, especially errors, in order to submit the file. The file submission will be in a pending status until errors are resolved. The employer will have the option to cancel/revoke a file submission before NMERB has accepted the file. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.054 | Web Portal/Self Service | Interfaces | Proposed solution |  | The system will allow employers to submit partial Member Detail and Work Report data through the ESS, as needed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.055 | Web Portal/Self Service | Member data | Proposed solution |  | The system will allow members to access their 1099R form via the MSS portal. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 28.056 | Web Portal/Self Service | Member data | Proposed solution |  | The system will allow retired and inactive members to update their address on the MSS portal. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.001 | Member Counseling | Member data | Member Relations Associate or Retirement Specialist II | I want to access the member’s account  So that I can be able to answer the caller’s question. | I will be satisfied when:   * I can search for the member’s account using multiple methods, such as: * Full or partial name search * SSN or Pension File # * The system displays a person’s relationship(s) in the plan such as whether they are a member, beneficiary or dependent (a person can have one or more relationships) * I can easily navigate to the data that corresponds to a person’s plan relationship, especially if that person is a member and a beneficiary/survivor (e.g., scroll down to see their survivor information instead of their member information) * The system displays a summary of the member’s account such as: * Demographic information * Plan status * Service credits * Latest employer * Retirement dates, if applicable * I can view images of documents sent or received from the member, by topic/category * I can reprint documents and statements to send to the requestor * I can view and add notes on the member’s account * I can update demographic data, if needed | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.002 | Member Counseling | Portal access | Member Relations Associate | I want to be able to troubleshoot a member’s MSS access  So that I can assist members with MSS issues. | I will be satisfied when:   * I can view their username * I can reset their password or unlock their account * I have view-only remote access to their current open session so that I can help navigate them through the site | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.003 | Member Counseling | Workflow management | Member Relations Associate or Retirement Specialist II | I want to indicate when a submitted document has been received and approved/rejected  So that the status of a member’s application is up-to-date. | I will be satisfied when:   * The system generates a list of required documents that correspond to the corresponding application (e.g., conditional list of documents) * I can indicate which documents have been received, the date received and whether the document has been approved or rejected * I can produce system-generated letters that are editable (e.g., approval/rejection letters, follow-up letters) * Some transactions will display warning/error messages depending on whether certain documents are received, as defined by NMERB | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.004 | Member Counseling | Reports, letters & forms | Communications Director | I want to receive mailing and email address lists  So that I can conduct outreach campaigns. | I will be satisfied when:   * I can receive mailing or emailing address lists based on certain combinations of search criteria such as: * By population: actives, inactives, retirees, survivors * By employer * By mailing address (e.g., local vs out-of-state vs out-of-country) | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.005 | Member Counseling | Member data | Proposed solution |  | The system will allow NMERB users to enter file notes for topics that were discussed in the counseling session, and then to access the notes from the system in the context of the member’s account. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.006 | Member Counseling | Member data | Proposed solution |  | The system will provide NMERB user with information summary screens that can be easily shared with and understood by a member being counseled. Such summary screen(s) may include the following:   * Member demographic information * Service credit * Vested status * Final average salary * Years in the retirement system * Reciprocity status, if any * Earliest eligible retirement date * Benefit Estimate results * Gaps in service (buyback opportunities) * Buyback contract payments and outstanding balances * Employee paid contributions and interest on account * Beneficiaries * DRO status, if any (incomplete/complete) * Available death benefits * Available disability benefits | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.007 | Member Counseling | Access security | Proposed solution |  | The system will provide authentication techniques to ensure the member requesting sign-on credentials on the MSS portal is in fact a NMERB member and will allow the member to reset passwords. Authentication techniques can include member ID, a series of security questions, image keys, account numbers, or combinations of these techniques. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.008 | Member Counseling | Workflow management | Proposed solution |  | The system will provide a counseling module or workflow for use in conducting counseling meetings. The counseling workflow functionality will also include a status navigation bar allowing the NMERB user to quickly change from one information summary screen to another or to quickly access functionality such as benefit estimate tools, refund estimators, and buyback cost calculators for the purpose of quickly providing information to a member in an active counseling meeting. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.009 | Member Counseling | Secure messaging | Proposed solution |  | The system will allow automatic email and text reminders to be sent for upcoming sessions. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.010 | Member Counseling | Workflow management | Proposed solution |  | The system will allow NMERB to identify, on an ongoing basis, members that may require counseling due to achievement of milestones in the retirement system for the purpose of proactively contacting these members. For example, such members may include those achieving unreduced retirement or RMD eligibility. The system will provide tools such as reports with flexible inputs, automatic reminders, or other alerting mechanisms to identify these members. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.011 | Member Counseling | Workflow management | Proposed solution |  | The system will have an integrated and customizable scheduling calendar for all benefits staff whose role involves counseling. The scheduling calendar will be accessible by any staff role permitted to schedule Counseling sessions. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.012 | Member Counseling | Workflow management | Proposed solution |  | The system will provide tools, reports, scheduling, and other capabilities to assist NMERB in preparing for counseling sessions and to assist members in retirement decisions. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.013 | Member Counseling | Benefit calculation | Proposed solution |  | The system will suggest retirement dates and other strategies, at the NMERB user’s request, to maximize the member’s retirement benefit, given all the information that the system knows about the member. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.014 | Member Counseling | Benefit calculation | Proposed solution |  | The system will identify possible service gaps in the member’s service history and infer whether a service purchase would be a strategy for the member to maximize retirement benefit. If appropriate, the system will present the purchase strategies and their associated costs. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.015 | Member Counseling | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to report on performance metrics such as appointment schedules, volumes by topic, aging reports, etc. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 29.016 | Member Counseling | Reports, letters & forms | Proposed solution |  | The system will allow NMERB users to generate a follow-up correspondence letter to restate any important points that were discussed in the session. Currently, a follow-up letter is not sent to an NMERB member. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.001 | Call Center | Access security | Member Relations Associate | I want to receive inbound calls and verify the caller’s identity with personal information provided in the system,  So that I can protect the identity of the member. | I will be satisfied when:   * I can verify the caller’s identity by requesting they provide me with a combination of unique identifiers that are displayed to me, such as: * Member’s name * Date of birth * Two other forms of sensitive data (i.e., current employer) * Address * Phone number | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.002 | Call Center | Knowledge base | Member Relations Associate | I want to be the first point of contact for members, survivors, alternate payees, and employers  So that I can assist them with their inquiries and/or requests. | I will be satisfied when I can:   * Provide requested basic account information to the member (i.e., award letters, 1099R forms, etc.) * Provide general information about NMERB * Provide updates on the status of processes already initiated by the caller * Trigger creation of a work item that will be processed by another team * Execute warm transfer of calls & interaction notes to other departments * Identify interactions as requiring escalation * Easily reprint correspondences * Mail requested documents (including attachments) to the member, survivor, beneficiary, employer, or other constituents | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.003 | Call Center | Access security | Member Relations Associate | I want to view the Customer Service tab in the system,  So that I can confirm if the call has an active Self Service (Portal) account. | I will be satisfied when:   * I can view their username * I have view-only remote access to their current open session so that I can help navigate them through the site * I can assist the member with unlocking their account after three unsuccessful attempts * I can assist the member with technical/connectivity issues by using the MSS Troubleshooting FAQ * I can reset their password * I can send an email to the member help email address Member.Help@state.nm.us * I can assist a member with opening a Member Self Service account if the member doesn’t already have one | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.004 | Call Center | Workflow management | Member Relations Associate | I want to escalate high-priority interactions to my manager for further review and special handling,  So that the escalation can be tracked until resolution. | I will be satisfied when I can:   * Appropriately classify the interaction as requiring Escalation * Complete a warm transfer to my manager * Confirm the call has been logged for any future occurrences | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.005 | Call Center | Workflow management | Retirement Specialist Supervisor | I want to receive escalated high-priority interactions from my staff,  So that I can resolve the escalation. | I will be satisfied when I can:   * Track all escalated calls and complaints on a complaint log, including details such as: * Participant name & unique identifier * Escalation creation date * Escalation priority * View notes added by the call center agent on the member’s account * Follow up with the member, if needed * Listen to live calls for training opportunities | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.006 | Call Center | Call center metrics | Member Relations Associate | I want to add the call type code and notes on the member’s account after the call ends  So that the interaction is tracked in the system once the call is resolved. | I will be satisfied when I can:   * Add a call type code that aligns with the call type * Add notes about the interaction into Case Management for other departments to easily review * Note t the reason for the call and the resolution | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.007 | Call Center | Workflow management | Member Relations Associate | I want to review inquiries received  So that I can return the phone call to the caller (e.g. member, survivor, alternate payee, or employer) | I will be satisfied when:   * I can review the member’s account * I can review the notes detailing the member’s inquiry * I can listen to the member’s message * I can return the member’s call with answers to their inquiries * I can return the call within a reasonable timeframe * I can mail requested documents (including attachments) to the member, survivor, beneficiary, employer, or other constituent | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.008 | Call Center | Workflow management | Member Relations Associate | I want to verify callers who opted to use the callback feature  So that I can return the phone call to the caller (e.g., member, survivor, alternate payee, or employer). | I will be satisfied when:   * I can determine the caller who opted to use the callback feature * I can return their call * I can assist with their inquiry * I can record notes in the system if the member’s account is accessed | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.009 | Call Center | Workflow management | Member Relations Associate | I want to confirm research has been completed on an inquiry with another staff member  So that I can place an outbound call to the member. | I will be satisfied when:   * I can identify individuals requiring an outbound call after work was completed by another staff member * I can easily access Resolution details that were added to the member’s account * I can place an outbound call to the member * I can provide information to the member regarding their inquiry * I can add notes and a ‘call type code’ in the system | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.010 | Call Center | Workflow management | Member Relations Associate | I want to track my outbound calls  So that I can manage their status. | I will be satisfied when:   * I can view notes on the member’s account * I can confirm if the member spoke to another representative * I can coordinate with other NMERB teams to assist the member * I can record notes in the system | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.011 | Call Center | Call center metrics | Member Relations Associate | I want to add the call type code and notes on the member’s account after the call ends  So that the interaction is tracked in the system once the call is resolved. | I will be satisfied when:   * I can add a call type code into the system that aligns with the call type within the 30 second allotted time frame * Add notes about the interaction into the system for other departments to easily review * I can add a note to the member’s account providing the reason for the call and the resolution * I can go into a production status if more time is needed to add notes to the member’s account | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.012 | Call Center | Knowledge base | Member Relations Associate Supervisor | I want tools to train new employees on operational and system procedures  So new call center staff are properly trained, and inquiries are resolved consistently. | I will be satisfied when:   * The system provides documented procedures and call scripts for call center staff | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.013 | Call Center | Workflow management | Retirement Specialist Supervisor | I want to review the complaint log  So that I can evaluate complaints from callers. | I will be satisfied when I can:   * View the details of the complaint including: * Date * Time * First and Last Name * Member account the complaint is logged * The reason for the complaint * Verify customer service aligns with agency objectives and expectations * Identify potential performance issues | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.014 | Call Center | Member data | Proposed solution |  | The system will have the functionality for an NMERB user to create additional notes on a contact’s record if a modification is needed to an existing note by the creator of the note or a user with higher level of access such as an administrator. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.015 | Call Center | Usability | Proposed solution |  | The system will perform a spell check on free form notes fields. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.016 | Call Center | Call center metrics | Proposed solution |  | The system will track and display a caller’s history including details of the call such:   * Date/time * Call type * Reason for the call | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.017 | Call Center | Call center metrics | Proposed solution |  | The system will display, based on a user’s security role or privilege, key information of a contact such as:   * Contact’s demographic information * Incoming and outgoing documents * Interactions (phone, in-person, web) * Benefit summary information * Associated cases and their statuses | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.018 | Call Center | Call center metrics | Proposed solution |  | The system will display, based on a user’s security role or privilege, key information of a non-person contact (i.e. an organization or employer) including a list of authorized points of contact and the relationship to other non-person contacts (employer groups, bargaining agreements, etc.). User security roles or privileges will be defined by NMERB during system design. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.019 | Call Center | Usability | Proposed solution |  | The system will provide densely packed customer service screens (inquiry only) that contain as much summary information as possible for given functional areas (death, refund, pension payroll, disability, beneficiary, etc.) along with the ability to drill-down for detailed information or updates if so desired by the user. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.020 | Call Center | Workflow management | Proposed solution |  | The system will track, on the participant level, when a mass mailing is sent. For example, when annual benefit statements or 1099Rs are mailed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.021 | Call Center | Access security | Proposed solution |  | The system will allow an NMERB customer service representative to assist member with access to the member portal. The customer service representative will have access to the customer’s online registration status, locked account status, data elements used as registration security credentials, and the ability to reset features such as challenge questions and resetting lock-out restrictions, etc. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.022 | Call Center | Benefit calculation | Proposed solution |  | The system will automate the estimate calculation for service credit purchase. Currently, the member must manually enter identifiers for the estimate to be calculated. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.023 | Call Center | Reports, letters & forms | Proposed solution |  | The system will provide the member the opportunity to view and print previous and current Member Statements. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.024 | Call Center | Workflow management | Proposed solution |  | The system will have the functionality to create a complaint log that document details pertinent to tracking the lifecycle of complaints/escalations, such as the date a complaint occurred, the issue, and the date and description of the associated resolution. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.025 | Call Center | Workflow management | Proposed solution |  | The system will support integrated Case Management functionality and a Person Summary Overview screen. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.026 | Call Center | Member data | Proposed solution |  | The system will provide an easily accessible summary of key data elements and process status details | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.027 | Call Center |  | Proposed solution |  | The system will support integration with the Telephony system that allows a screen-pop providing an opportunity for the representative to verify the member based on information from the caller, such as their phone number and/or other unique identifier(s). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.028 | Call Center |  | Proposed solution |  | The system will support call center representative’s ability to make updates and log details of all calls in real time within Case Management. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.029 | Call Center | Knowledge base | Proposed solution |  | The system will provide a knowledgebase repository that supports quick access to operations reference materials, such as policies and procedures and updated operational processes support materials for the analysts to review. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.030 | Call Center | IVR | Proposed solution |  | The system will allow NMERB to make IVR script updates regarding items such as 1099R forms and COLA adjustments. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.031 | Call Center | Secure messaging | Proposed solution |  | The system will be able to send email notifications to members with an up-to-date email address determined by NMERB. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.032 | Call Center | System set up | Proposed solution |  | The system will support online configuration of call type codes that accurately align with the phone call type. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.033 | Call Center | Reports, letters & forms | Proposed solution |  | The system will be able to provide reports with SLAs to determine how the call center representatives are performing. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.034 | Call Center | Member data | Proposed solution |  | The system will identify information about the caller before the customer service representative answers the call such as:   * Caller’s name * Phone number * Caller’s relation to the member (participant, beneficiary, employer contact, etc.) based on a look-up of matching phone numbers in the system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.035 | Call Center | Workflow management | Proposed solution |  | The system will create a resulting workflow and automatically assign the follow-up and resolution to a call, email, or fax inquiry based on business rules defined by the category of the call, email, or fax. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.036 | Call Center | Supporting documents | Proposed solution |  | The system will receive a fax, capture, and record the sender information as well as the contents of the fax in the form of an electronic document (e.g. PDF). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.037 | Call Center | Call center metrics | Proposed solution |  | The system will have functionality for a member to complete a customer service survey at the end of the call and capture the responses electronically. | 3 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.038 | Call Center | Member data | Proposed solution |  | The system will have functionality for an NMERB user to create a contact record in the system, associate the contact to an existing individual/organization, and specify the nature of the relationship (i.e., Power of Attorney) contact to be associated with the participant, or a point of contact at an employer, local, or other third party. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.039 | Call Center | Member data | Proposed solution |  | The system will capture, at the individual member level, the preferred means of communication (e.g., mail, telephone, electronic communication, etc.). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.040 | Call Center | Reports, letters & forms | Proposed solution |  | The system will have functionality for NMERB users to produce forms and correspondence online, consolidate multiple documents for the same person, and print the documents in a single batch. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.041 | Call Center | Usability | Proposed solution |  | The system will allow NMERB users to “cross-reference” another member’s account (e.g., spouse also within the PAS) and alert users when a DRO is being processed or is in place. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.042 | Call Center | Workflow management | Proposed solution |  | The system will track and manage e-mail messages and faxes as electronic correspondences. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.043 | Call Center | Workflow management | Proposed solution |  | The system will identify information contained in a barcode to identify the participant or employer, the type of communication received, and related business processes. The system will also identify existing workflows or tasks and be able to start new cases and/or workflows based on the referenced information contained in the barcode. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.044 | Call Center | System set up | Proposed solution |  | The system will allow items to be added to and removed from the list of call ID codes without the need to reconfigure the system. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.045 | Call Center | Workflow management | Proposed solution |  | The system will send a reminder to customer service representatives to follow up on inquiries that are in pending status for a designated number of days as determined by NMERB. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.046 | Call Center | Workflow management | Proposed solution |  | The system will allow an NMERB customer service representative to initiate workflows for other NMERB departments that are routed to a centralized queue from which they can be processed. | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |
| 30.047 | Call Center | Call center metrics | Proposed solution |  | The system will log all caller types including members, persons associated with members (Ex. DROs and beneficiaries) and non-member callers (Ex. Financial planners). | 2 | Yes  No | Configuration  Minor Customization  Major Customization  Proposed configuration  Other |

1. **Technical Requirements**

**The tables below list NMERB’s technical requirements for the Pension Administration System.** Requirements have been broken into three Flexibility Types based upon degree of flexibility NMERB has: 1) Mandatory, 2) Desired and 3) Optional.Offerors must confirm that they meet all mandatory technical requirements as identified below.

The tables in the following sections reference different flexibility levels. The table below describes NMERB’s definitions of these priorities and the specific implementation rules. The Offeror must include in their fixed-price bid all requirements denoted with a Flexibility Rating of 1 or 2. The Offeror must provide line item optional pricing for each requirement denoted with a Flexibility Rating of 3.

|  |  |  |
| --- | --- | --- |
| **Flexibility Rating** | **Flexibility Type** | **Comments** |
| **1** | **Mandatory** | NMERB must have this requirement. An Offeror's failure to meet these requirements will cause their proposal to be considered non-responsive and rejected. |
| **2** | **Desired** | NMERB highly desires this requirement. An Offeror will be evaluated on their ability to satisfy these requirements. |
| **3** | **Optional** | NMERB considers this requirement to be a “nice to have.” An Offeror will be evaluated on their ability to satisfy these requirements. |

Each technical requirement category is identified by a number and name. There is nothing to be implied from the category identification numbers other than simple identification. The individual requirements listed are numbered as an extension to the category number. Please do not alter the technical requirement ID numbers. There is nothing to be implied from the technical requirement ID numbers other than simple identification.

**Complete this section by checking either “Yes” or “No” below.** Offerors who select “No” will be deemed non-responsive and rejected.

| **Do you agree your firm can meet all Mandatory Technical Requirements listed below (Ratings 1)?** | **Meets All Requirements?** |
| --- | --- |
| Yes  No |

## T-01 Infrastructure

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| T01.01 | Hosting | The Offeror’s System must be provisioned in the form of a Cloud Services delivery model. Acceptable Cloud Service delivery models include Community, Public, Private or Hybrid models. | 2 | Agree  Disagree |
| T01.01a | Hosting | The Offeror must ensure that the Cloud Services delivery model is ISO-27018 certified | 1 | Agree  Disagree |
| T01.01b | Hosting | The Offeror must ensure that the Cloud Services delivery model is FedRAMP certified at the Moderate level | 2 | Agree  Disagree |
| T01.02 | Hosting | The Offeror must ensure that all data, including data stored in all databases, environments, and data backups, must be stored onshore within the United States of America | 1 | Agree  Disagree |
| T01.03 | Environment | The Offeror must provision the following application and database environments; 1) PRODUCTION, 2) PRE-PRODUCTION, 3) PRODUCTION DR INSTANCE, 4) UAT, 5) TRAINING, 6) TEST, and 7) DEVELOPMENT. | 2 | Agree  Disagree |
| T01.04 | Environment | The Offeror must provision a database environment suitable for legacy data profiling, conversion and staging. | 2 | Agree  Disagree |
| T01.05 | Environment | The System must provide multi-tiered, redundant environments that are physically or logically isolated and distinct from each other. | 1 | Agree  Disagree |
| T01.06 | Environment | The Offeror must implement separate application and database environments in order to fulfill all of the requirements of this RFP. The Offeror must be responsible for replicating the application and data base in all environments. | 2 | Agree  Disagree |
| T01.07 | Environment | The System must allow developers to work independently from the rest of their project team, enabling them to make and validate changes without having to worry about adversely affecting the rest of their project team. These environments must need to have their own databases to enable regression testing. | 2 | Agree  Disagree |
| T01.08 | Environment | The Offeror must propose a methodology and tools for maintaining the multiple environments (including data refresh and migration capabilities) on an ongoing basis after project completion. | 2 | Agree  Disagree |
| T01.09 | Environment | The Offeror must size all environments according to their anticipated usage. | 2 | Agree  Disagree |
| T01.10 | Environment | The Offeror must use data masking/scrambling process on production data in a TEST or DEVELOPMENT environment. | 1 | Agree  Disagree |
| T01.11 | Disaster Recovery | The System must provide full backups that must have the ability to be encrypted. The System must securely protect the backup data so that it cannot be accidentally or inappropriately accessed. | 1 | Agree  Disagree |
| T01.12 | Disaster Recovery | The Offeror's Cloud Services must use multiple geographically distinct regions for disaster recovery and business continuity. | 2 | Agree  Disagree |
| T01.13 | Disaster Recovery | The Offeror's Cloud Services must use multiple data sites and/or availability zones for System fault tolerance. | 2 | Agree  Disagree |
| T01.14 | Disaster Recovery | The Offeror must provide content for inclusion in NMERB's comprehensive Disaster Recovery/Business Continuity plan. | 2 | Agree  Disagree |
| T01.15 | Disaster Recovery | The Offeror must perform an annual recovery test in conjunction with NMERB to ensure the NMERB Disaster Recovery plan is viable (the first such test will take place during the warranty period following System Acceptance). | 1 | Agree  Disagree |
| T01.16 | Hours of Operation | All system, services, or networks must reflect the Mountain Time Zone. | 2 | Agree  Disagree |
| T01.17 | Hours of Operation | The System must be available for use by NMERB staff, members and employers a minimum of 164 hours per week. | 1 | Agree  Disagree |
| T01.18 | Hours of Operation | The System must be available for use by NMERB staff, members and employers during 7:00am to 6:00pm MST/MDT, Monday through Friday. | 1 | Agree  Disagree |
| T01.19 | Workload scheduling | Batch jobs must be able to be started, restarted, and terminated using a batch scheduling/management tool. | 2 | Agree  Disagree |
| T01.20 | Workload scheduling | The System must clearly indicate to the batch scheduling software tool the status of all batch jobs. | 2 | Agree  Disagree |
| T01.21 | Workload scheduling | The System must include tools capable of automatically initiating jobs based on time of day, the day of the week, calendar day, and/or successful completion of preceding events. | 2 | Agree  Disagree |
| T01.22 | Workload scheduling | Any required batch jobs must provide for the ability to be scheduled and run to completion without any user intervention. | 2 | Agree  Disagree |
| T01.23 | Workload scheduling | The System must be capable of executing some batch processes during normal business operations without affecting operations. | 2 | Agree  Disagree |
| T01.24 | Workload scheduling | The System must provide for the ability to limit the running of batch jobs during predetermined hours of the day. | 2 | Agree  Disagree |
| T01.25 | Workload scheduling | The System must provide for the capability to roll-back or restart from the abort point of partially completed or aborted batch jobs. | 2 | Agree  Disagree |
| T01.26 | Workload scheduling | All batch jobs must have a finite run-time of no more than four (4) hours, except as otherwise approved by NMERB. | 2 | Agree  Disagree |
| T01.27 | Output management | The System must allow for print jobs to be limited by page size. | 2 | Agree  Disagree |
| T01.28 | Output management | The System must allow for print output to be viewed online. | 2 | Agree  Disagree |
| T01.29 | Output management | Output destinations for the print job must be configurable by end users and by NMERB operations staff using Windows Desktop Print Services. | 2 | Agree  Disagree |
| T01.30 | Output management | The System must allow for Magnetic Ink Character Recognition (MICR) check writing capability. | 2 | Agree  Disagree |
| T01.31 | Sizing | The System design, sizing, configuration, and implementation must support all workloads, including special daily, weekly, quarterly, and annual processing, and be able to support 10% per annum growth with no performance impact for five (5) years post warranty end at no added financial burden to NMERB. | 2 | Agree  Disagree |
| T01.32 | Sizing | The System must at a minimum be capable of supporting one hundred fifty (150) Line of Business user accounts. | 1 | Agree  Disagree |
| T01.33 | Sizing | The System must at a minimum be capable of supporting one thousand (1,000) employer user accounts. | 1 | Agree  Disagree |
| T01.34 | Sizing | The System must at a minimum be capable of supporting one hundred seventy-five thousand (175,000) member user accounts and be able to support 10% per annum growth with no performance impact for five (5) years post warranty end at no added financial burden to NMERB. | 1 | Agree  Disagree |
| T01.35 | Sizing | The System must at a minimum be capable of supporting one hundred fifty (150) third-party user accounts. | 2 | Agree  Disagree |
| T01.36 | Sizing | The System must be capable of supporting a 10% growth per annum in user accounts and concurrent user sessions with no performance impact for five (5) years post warranty end at no added financial burden to NMERB. | 2 | Agree  Disagree |
| T01.37 | Sizing | The System must at a minimum be capable of supporting one hundred fifty (150) concurrent Line of Business user session. | 1 | Agree  Disagree |
| T01.38 | Sizing | The System must at a minimum be capable of supporting five hundred (500) concurrent employer user accounts. | 2 | Agree  Disagree |
| T01.39 | Sizing | The System must at a minimum be capable of supporting seven thousand five hundred (7,500) concurrent member user accounts. | 2 | Agree  Disagree |
| T01.40 | Sizing | The System must at a minimum be capable of supporting twenty-five (25) concurrent third-party user accounts. | 2 | Agree  Disagree |
| T01.41 | Performance | The System must provide a Percentage uptime guarantee of 99.95%. The intervals measured shall be every 15 minutes during guaranteed periods. The time periods used for measuring uptime shall be monthly, starting each first of month at 12:01am Mountain Time Zone. | 2 | Agree  Disagree |
| T01.42 | Performance | The System must provide a Maximum response time for query and update functions of 98% of covered transactions within 2 seconds. The intervals measured shall be every 60 minutes during guaranteed periods. The time periods used for measuring system response time shall be monthly, starting each first of month at 12:01am Mountain Time Zone. | 2 | Agree  Disagree |
| T01.43 | Performance | The System must provide capability to import and process transmittal files live in production, without affecting access to other system functionality. | 2 | Agree  Disagree |
| T01.44 | Performance | Response time requirements (including the Self Service Portal) must be met independent of how many users are online, how many web-based users are online, and independent of what processes or scripts are being run, such as wage and contribution edits, wage and contribution posting, interest posting, payroll, etc. | 2 | Agree  Disagree |
| T01.45 | Performance | The System must provide full functionality without concurrent processing impeding any aspect of the enterprise’s operations of the day-to-day business. | 2 | Agree  Disagree |
| T01.46 | Technical Support | The Offeror’s live Technical Support must be available for use by NMERB staff during 7:00am to 6:00pm MST/MDT, Monday through Friday. | 2 | Agree  Disagree |
| T01.47 | Technical Support | Any Offeror Technical Support who has a need to access NMERB data must be located within the United States of America. | 1 | Agree  Disagree |
| T01.48 | Technical Support | The Offeror must track problems from the time reported or discovered to closure using an automated tracking tool. | 2 | Agree  Disagree |
| T01.49 | Technical Support | The Offeror must make available to NMERB the automated tracking tool such that NMERB may enter, update, track, and report on technical support tickets relating to the System. | 2 | Agree  Disagree |
| T01.50 | Technical Support | Technical support tickets shall be classified, prioritized, assessed for impact & urgency and tracked per ITIL v3 Incident Management guidelines. | 2 | Agree  Disagree |
| T01.51 | Technical Support | The Start Time on Technical support tickets shall be upon the reporting of an incident to the Offeror or upon entry of the incident into the automated tracking tool. The Finish Time on Technical support tickets shall be upon NMERB’s acknowledgement that the support ticket has been satisfactorily resolved. | 2 | Agree  Disagree |
| T01.52 | Technical Support | Technical support tickets shall have the following Maximum Time Length for Initial Callback of; 15 minutes for Critical priority support tickets, 30 minutes for High priority support tickets, 60 minutes for Medium priority support tickets, and 1 Business Day for Low & Very Low priority support tickets. | 2 | Agree  Disagree |
| T01.53 | Technical Support | Technical support tickets shall have the following Expected Time to Resolution of; 60 minutes for Critical priority support tickets, 4 hours for High priority support tickets, 2 Days for Medium priority support tickets, 1 Week for Low priority support tickets, and no Expected Time to Resolution for Very-Low priority support tickets. | 2 | Agree  Disagree |
| T01.54 | Technical Support | The Offeror shall provide, at a minimum, monthly Support Hours utilization reports. | 2 | Agree  Disagree |
| T01.55 | Technical Support | The Offeror shall provide, at a minimum, monthly Service Requests reports. | 2 | Agree  Disagree |
| T01.56 | Technical Support | The Offeror will establish operational critical success factors and key performance indicators, subject to NMERB approval. | 2 | Agree  Disagree |
| T01.57 | Technical Support | The Offeror shall provide, at a minimum, monthly Technical Support tickets reports. | 2 | Agree  Disagree |
| T01.58 | Technical Support | The Offeror shall make available all underlying data used to determine system availability, utilization, and performance. | 2 | Agree  Disagree |
| T01.59 | Technical Support | The Offeror shall provide and make available for NMERB’s use, a Real-time Availability Monitoring tool. | 2 | Agree  Disagree |
| T01.60 | Technical Support | The Offeror shall provide, at a minimum, monthly Availability reports. | 2 | Agree  Disagree |
| T01.61 | Technical Support | The Offeror shall develop process, subject to NMERB’s approval, to scheduled and approve Proposed Solution downtime. | 2 | Agree  Disagree |
| T01.62 | Technical Support | NMERB shall have the right to declare a ‘high availability period’ during critical processing periods, such that no scheduled downtime maybe permitted. | 2 | Agree  Disagree |
| T01.63 | Technical Support | The Offeror shall provide and make available for NMERB’s use, a Real-time Capacity and Performance Monitoring tool. | 2 | Agree  Disagree |
| T01.64 | Technical Support | The Offeror shall provide, at a minimum, monthly Capacity and Performance reports. | 2 | Agree  Disagree |
| T01.65 | Technical Support | The Offeror will provide a list of all Supported desktop hardware/software | 2 | Agree  Disagree |
| T01.66 | Technical Support | The Offeror shall provide Notice of changes to the Supported desktop hardware/software list with a minimum notice period for (90) days  The Offeror shall provide a Minimum notice of change to unsupported status (180) days | 2 | Agree  Disagree |

## T-02 Architectural

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| T02.01 | Architecture | The proposed System architecture must be web-based. | 2 | Agree  Disagree |
| T02.02 | Architecture | The System must operate in a virtualized environment. | 2 | Agree  Disagree |
| T02.03 | Data | Data must be viewable and extractable based upon NMERB specified "as is" dates. At a minimum the System must be capable of producing a "snapshot" as of the end of each plan year. | 2 | Agree  Disagree |
| T02.04 | Data | The System must support the categorization of information per NMERB categorization of information policies. | 2 | Agree  Disagree |
| T02.05 | Data | The System must provide the capability to move all historical, expired and/or unnecessary data to offline storage according to a set of business rules and schedule to be defined by NMERB. | 2 | Agree  Disagree |
| T02.06 | Database | The database must be based on a Relational Database Management System (RDBMS). | 2 | Agree  Disagree |
| T02.08 | Design | Validations in the System must be both at the field level and at the database level. | 2 | Agree  Disagree |
| T02.09 | Design | Dates must be consistently formatted throughout the System. Dates in the System must allow for unambiguous selection of values that are completely visible in lists. | 2 | Agree  Disagree |
| T02.10 | Design | Drop-down selection lists must have a logical ordering that makes the selection quick and easy. For example, dates must be listed in “date” order, not “alphabetical” order, where applicable. | 2 | Agree  Disagree |
| T02.11 | Design | The System must provide the ability to modify help text. | 2 | Agree  Disagree |
| T02.12 | Integration | The System must provide real-time integration (Application Program Interfaces - APIs), such as web services, in order to facilitate the integration with other internal and external Systems. | 2 | Agree  Disagree |
| T02.13 | Integration | The System must support file exchange via Extensible Markup Language (XML), Comma Separated Value (CSV) files, fixed format, and JavaScript Object Notation (JSON) file formats. NMERB will be able to specify which language or file format should be used for each data exchange. | 2 | Agree  Disagree |
| T02.14 | Portal | Every externally facing, browser-based component of the System must be Web Content Accessibility Guidelines (WCAG) 2.1 or higher compliant. | 2 | Agree  Disagree |
| T02.15 | Portal | Self Service Portal access via mobile devices must also be supported. The Self Service Portal must be mobile-friendly and employ the principals of Responsive Web Design (RWD). | 2 | Agree  Disagree |
| T02.16 | Search | The System must have the ability to perform searches by key data elements. The System must have centralized searching capability including the ability to search by name, ID, SSN, employer, status, and other relevant criteria, as defined by NMERB. Any combination of criteria must be selectable and used to perform the search from a single screen. | 2 | Agree  Disagree |
| T02.17 | Standards | Every externally facing, browser-based component of the solution must be Section 508 compliant. | 2 | Agree  Disagree |
| T02.18 | Standards | The System must support the latest stable release and supported versions of Microsoft Windows for all system desktop components. | 2 | Agree  Disagree |
| T02.19 | UI | The System must have the ability to modify menu descriptions, fields, labels, and text. | 2 | Agree  Disagree |
| T02.20 | UI | The System must support, for internally facing, browser-based components, one of the following browsers; Microsoft Edge, Chrome (preferred) or Firefox. For each supported browser, the System must support all major versions released within 24 months of go-live and the most recent two major versions as a minimum. | 2 | Agree  Disagree |
| T02.21 | Design | The System must provide for the key parameters to be driven by effective dates and specific ranges of time. These time-sensitive variances must be used within and apply to all functionality, as well. For example, the date-driven variances must allow a calculation or value to be correct for the date range to which it applies. | 2 | Agree  Disagree |
| T02.22 | Design | The System must provide the capability to add a new plan to the System and to modify an existing plan, from the System. | 2 | Agree  Disagree |
| T02.23 | Design | The System must allow administrators to clone exiting plans to set up new plans. Rules for the new plan can then be added, deleted, or modified as required. | 3 | Agree  Disagree |
| T02.24 | Design | The System must provide the capability to maintain pre-defined values, such as employer codes. The System should be table driven to the maximum extent possible. The tables are to be maintained by a single common application. | 2 | Agree  Disagree |
| T02.25 | Rules | The System must provide NMERB maintained, effective-date-driven values used in rules with configurable parameters. The System must include tools that are intuitive and easy to use for NMERB to modify these values and rules. Such rules cannot be dependent on hard-coded values. | 2 | Agree  Disagree |
| T02.26 | Rules | The System must be configurable to handle plan changes, adjustment types, rate changes, rule changes, etc. | 2 | Agree  Disagree |
| T02.27 | Documentation | The Offeror must develop a Business User Manual that features clear organization of content, easy to understand language, useful graphic presentations, and a thorough index and glossary. The Business User Manual will be used by the NMERB Acceptance Test team to mirror the production environment and verify manual content. | 2 | Agree  Disagree |
| T02.28 | Documentation | In conjunction with the Business User Manual, a Quick Reference Business User Document must be produced by the Offeror that will be an immediate aid to the user and quickly describe operations. | 2 | Agree  Disagree |
| T02.29 | Documentation | The Offeror must develop a Business Procedure Manual which features clear organization of content, easy to understand language, useful graphic presentations, and a thorough index and glossary. The Business Procedure Manual will document instructions for manual operations and tasks that are performed in direct conjunction with the automated system. It will address each task performed in a step-by-step procedure that identifies the action (task to be performed) and the individual with responsibility to complete the action. | 1 | Agree  Disagree |
| T02.30 | Testing | The Offeror must use an automated software testing tool. This tool will be easily integrated and allow for traceability throughout the execution of all program logic to the requirements. | 1 | Agree  Disagree |
| T02.31 | Testing | The Offeror must make available to NMERB the automated testing tool such that NMERB may enter, update, track, and report on system testing specifically User Acceptance Testing. | 1 | Agree  Disagree |

## T-03 Ancillary Systems

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| T03.01 | Imaging | The System must provide for customizable dashboards for specific user roles to monitor work and work-in-progress. | 2 | Agree  Disagree |
| T03.02 | Imaging | The System must provide an ability to use electronic rubberstamps. | 2 | Agree  Disagree |
| T03.03 | Imaging | The System must provide the ability to add unlimited annotations to documents. | 2 | Agree  Disagree |
| T03.04 | Imaging | The System must ensure all image format text-based documents are converted to OCR and are Encrypted | 2 | Agree  Disagree |
| T03.05 | Imaging | The System must ensure all image format text-based documents are converted to OCR compatible format | 2 | Agree  Disagree |
| T03.06 | Imaging | The system must provide the capability to identify documents that have an encoded document identifier such as a barcode printed on the document. | 2 | Agree  Disagree |
| T03.07 | Imaging | The system must provide the capability to read and interpret a barcode located anywhere on a document. | 2 | Agree  Disagree |
| T03.08 | Imaging | The system must provide the capability to read and interpret a barcode forward, backwards and/or upside down. | 2 | Agree  Disagree |
| T03.09 | Imaging | The system must provide the capability to read and interpret barcodes of varying sizes on documents. | 2 | Agree  Disagree |
| T03.10 | Imaging | The system must provide the capability to interpret a barcode on documents and automatically index the document based on the values encoded in the barcode. | 2 | Agree  Disagree |
| T03.11 | Imaging | The system must 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 | Agree  Disagree |
| T03.12 | Imaging | The system must provide the capability to retrieve documents from the repository using document attributes and/or combinations of attributes as search criteria. | 2 | Agree  Disagree |
| T03.13 | Imaging | The system must provide the capability for users to search on annotations, comments and redactions that are associated with a document, folder, or group of documents. | 2 | Agree  Disagree |
| T03.14 | Imaging | The system must provide the capability for users to browse the stored documents based on their user access permissions. | 2 | Agree  Disagree |
| T03.15 | Imaging | The system must provide the capability to search using any combination of record and/or folder metadata elements utilizing full text search. | 2 | Agree  Disagree |
| T03.16 | Imaging | The system must provide the capability to specify partial matches and will allow designation of "wild card" fields or characters | 2 | Agree  Disagree |
| T03.17 | Imaging | The system must open documents in the repository as view-only as the default. | 2 | Agree  Disagree |
| T03.18 | Imaging | The system must provide the capability for the user to edit documents in the repository. | 2 | Agree  Disagree |
| T03.19 | Imaging | The system must provide the capability for the user to save an edited document as a new version of the document. | 2 | Agree  Disagree |
| T03.20 | Imaging | The system must allow for documents to be marked as “viewable” by the member or employer in the self-service applications. | 2 | Agree  Disagree |
| T03.21 | Integration | The System must include an integrated electronic workflow System for NMERB defined business processes. | 2 | Agree  Disagree |
| T03.22 | Imaging | The System must provide the capability to define configurable rules for routing documents scanned into Enterprise Content Management (ECM) to appropriate users by document type. | 2 | Agree  Disagree |
| T03.23 | Integration | The System must include scanning/imaging/ICR(OCR) capabilities that interact with the workflow System to trigger workflows and utilize proposed Imaging System repository of images. | 2 | Agree  Disagree |
| T03.24 | Integration | The System must provide a means to trigger and process work outside of the proposed workflow System. | 2 | Agree  Disagree |
| T03.25 | Integration | The System must seamlessly integrate with the existing 3rd party imaging capture tool or a solution proposed by the Offeror. | 2 | Agree  Disagree |
| T03.26 | Integration | The System must provide the ability to pull up member's documents from within the member's record. | 2 | Agree  Disagree |
| T03.27 | Integration | The System must provide the ability to have the fax, scan, or member's web submission of a document trigger a workflow in the System. | 2 | Agree  Disagree |
| T03.28 | Integration | The System must provide the ability to image documents and information from whatever source they initiate. For example, when a faxed document comes in, it should go directly to Imaging, based on parameters, so that it does not have to be printed and then imaged. | 2 | Agree  Disagree |
| T03.29 | Integration | The System must provide the ability to provide an interface between the Self Service Portal and Imaging to allow documents submitted by a user to be validated and then stored within the ECM solution. | 2 | Agree  Disagree |
| T03.30 | Integration | The System must provide the ability for NMERB to control which documents stored in Imaging are to be displayed to a user through the Self Service Portal. | 2 | Agree  Disagree |
| T03.31 | Integration | The System must provide the ability to push System-generated letters or reports into ECM solution for storage. | 2 | Agree  Disagree |
| T03.32 | Integration | The System must provide the ability to store a permanent record of System-generated communications and documents including index values and metadata in the ECM solution. | 2 | Agree  Disagree |
| T03.33 | Integration | The System must provide the capability to have a workflow process triggered by scanning a document. | 2 | Agree  Disagree |
| T03.34 | Integration | The System must provide the ability to initiate workflow processes both automatically (via the imaging of documents) and manually based on the receipt of a phone-call, walk-in, fax, e-mail, etc. The System must provide the ability to configure for any chosen document type. | 2 | Agree  Disagree |
| T03.35 | Workflow | The System must provide for a workflow activity log of all activity of tasks through the workflow, to include at a minimum: task id, task name, user assigned, date assigned, and date completed. The workflow activity log must be accessible through the System to let users view the history and review the activities on any given workflow. | 2 | Agree  Disagree |
| T03.36 | Workflow | The workflow activity log must record which documents are used or processed at each workflow step. | 2 | Agree  Disagree |
| T03.37 | Workflow | The workflow activity log must track the length of time tasks have been in the work queues. | 2 | Agree  Disagree |
| T03.38 | Workflow | The System must provide deadline monitoring capabilities to trigger the start of a workflow task or the next step in a workflow. | 2 | Agree  Disagree |
| T03.39 | Workflow | The System must provide the capability to define configurable rules to prioritize workflow tasks based on the type of document and/or other attributes of the task. | 2 | Agree  Disagree |
| T03.40 | Workflow | The System must provide the capability to establish thresholds for review or approval. For example, approving refunds over a given level may require special approvals whereas amounts less than the threshold would not. | 2 | Agree  Disagree |
| T03.41 | Workflow | The workflow queues must be unlimited in size. | 2 | Agree  Disagree |
| T03.42 | Workflow | The System must provide the capability to configure workflow step status attributes (e.g. review, pending, complete, approve etc.). | 2 | Agree  Disagree |
| T03.43 | Workflow | The System must provide the capability to start a workflow process manually. | 2 | Agree  Disagree |
| T03.44 | Workflow | The System must provide the capability for a supervisor to reassign a workflow task. | 2 | Agree  Disagree |
| T03.45 | Workflow | The System must 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 | Agree  Disagree |
| T03.46 | Workflow | The System must provide the capability to establish a timeline for each workflow including tasks such as when items are due, when reminders need to be sent, the frequency and number of additional reminders, and when internal escalations are required. | 2 | Agree  Disagree |
| T03.47 | Workflow | The System must provide the capability to alert or notify NMERB users (through email, dashboard, or other means) of upcoming due dates and past due dates for both internal tasks and tasks to be completed by external parties. | 2 | Agree  Disagree |
| T03.48 | Workflow | The System must provide the ability for users to link electronic documents (images, spreadsheets, etc.) to any workflow or contact record. | 2 | Agree  Disagree |
| T03.49 | Workflow | The System must provide the ability to display the status (not-started, in-process, pending, completed, etc.) of all workflow processes. | 2 | Agree  Disagree |
| T03.50 | Workflow | The System must provide the capability to send e-mail notifications to recipients other than System users, as well as recipients outside of NMERB. | 2 | Agree  Disagree |
| T03.51 | Workflow | The System must provide the capability for communication to be triggered by business events, user requests, or scheduled times. | 2 | Agree  Disagree |
| T03.52 | Workflow | The System must provide the capability to set up and maintain workflows and their associated sub-tasks based on the business processes defined by NMERB. | 2 | Agree  Disagree |
| T03.53 | Query & Reports | The System must provide two basic types of reports: pre-developed (canned) reports and an ad hoc querying/reporting tool for end users. | 2 | Agree  Disagree |
| T03.54 | Query & Reports | The System must provide the ability for NMERB to create, save, and re-use queries and reports. | 2 | Agree  Disagree |
| T03.55 | Query & Reports | The System must be able to produce output in PDF format. | 2 | Agree  Disagree |
| T03.56 | Query & Reports | The System must provide the capability to perform ad-hoc reporting and query functionality, including the ability for NMERB to define roles and security levels for the ad-hoc reporting such that only data the user is allowed to access can be accessed. | 2 | Agree  Disagree |
| T03.57 | Query & Reports | The System must provide the capability to perform ad-hoc reporting and query functionality, including the ability to save queries as personal or public (available to other users within defined roles). | 2 | Agree  Disagree |
| T03.58 | Query & Reports | The System must provide the capability to perform ad-hoc reporting and query functionality, including the ability for NMERB to set validations or limits on queries such that System performance is not affected. | 2 | Agree  Disagree |
| T03.59 | Query & Reports | The System must provide the capability to perform ad-hoc reporting and query functionality, including the ability export into other documentation formats (e.g., CSV, PDF, XLS, DOC and XML). | 2 | Agree  Disagree |
| T03.60 | Query & Reports | The System must provide the capability to perform ad-hoc reporting and query functionality, including the ability to easily extract reports and queries to MS Excel. | 2 | Agree  Disagree |
| T03.61 | Query & Reports | Reports must be of professional appearance: they must be paginated, with a header, footer, report title, a brief narrative of the report reason, total counts, UserID, date, and time. | 2 | Agree  Disagree |
| T03.62 | Query & Reports | All reports must contain data classification metadata such as Confidential, Internal, External, Public etc. The data classification must be printed on the report. | 2 | Agree  Disagree |
| T03.63 | Query & Reports | The data classification metadata must be includable in reports, forms, letters, and e-communications. | 2 | Agree  Disagree |
| T03.64 | Query & Reports | The data classification metadata must be capable of being queried. | 2 | Agree  Disagree |
| T03.65 | Query & Reports | Reports must not contain a person’s full SSN unless otherwise approved by NMERB. | 2 | Agree  Disagree |
| T03.66 | Query & Reports | The reporting tool must provide for the ability to mask fields, such as SSN. | 2 | Agree  Disagree |
| T03.67 | Integration | The System must allow users the ability to push reports to the ECM solution for archival. | 2 | Agree  Disagree |

## T-04 Interfaces/Integration

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| T04.01 | Compliance | The System must comply with NACHA requirements for electronic payments when appropriate. | 2 | Agree  Disagree |
| T04.02 | Configuration | The System must make use of the existing interfaces without modification to either the interface or the interfaced System. The exception is those interfaces which are finalized during a design session, based on mutual agreement by NMERB and Offeror. | 2 | Agree  Disagree |
| T04.03 | Configuration | The System must include an easily configurable mechanism for adding new input/output file formats and transmission channels. | 2 | Agree  Disagree |
| T04.04 | Integration | The System must integrate with a NMERB approved 3rd party address validation provider. | 2 | Agree  Disagree |
| T04.05 | Integration | The System must integrate with a NMERB approved 3rd party death notification/validation provider. | 2 | Agree  Disagree |
| T04.06 | Integration | The System must integrate with DocuSign. | 2 | Agree  Disagree |
| T04.07 | Integration | The System must integrate with a NMERB approved 3rd party e-notary provider. | 2 | Agree  Disagree |
| T04.08 | Integration | The System must integrate with a service provider as chosen by NMERB to accept online E-Check/credit card payments. | 2 | Agree  Disagree |
| T04.09 | Integration | The System must integrate with MS Query using ODBC (or a bridgeable configuration such as JDBC, OLE DB, .NET) for data analysis. | 2 | Agree  Disagree |
| T04.10 | Integration | The System must integrate with a secure e-mail system. | 2 | Agree  Disagree |
| T04.11 | Integration | The System must, for the Self Service Portal, provide the capability to re-direct to a NMERB approved 3rd party payment gateway. | 2 | Agree  Disagree |
| T04.12 | Interfaces | The System must accept and create interface files in proprietary file layouts | 2 | Agree  Disagree |
| T04.13 | Interfaces | The System must accept and create interface files in txt, CSV and Excel file formats | 2 | Agree  Disagree |
| T04.14 | Interfaces | The System must accept and create interface files as full files and as changes only files. | 2 | Agree  Disagree |
| T04.15 | Interfaces | The System must create a file of all tax withholdings to be transmitted to the federal IRS and State Taxation and Revenue Department (TRD). | 2 | Agree  Disagree |
| T04.16 | Interfaces | The System must create a file or files in a format to be approved by NMERB in order to back bridge data during any interphase period during the implementation. | 2 | Agree  Disagree |
| T04.17 | Interfaces | The System must provide for the capability to roll-back or restart from the abort point of partially completed or aborted interface load/extract. | 2 | Agree  Disagree |
| T04.18 | Portal | The System must provide remote access to Imaging for NMERB approved 3rd parties. | 2 | Agree  Disagree |
| T04.19 | Portal | The system must provide the ability for employers to upload their transmittal files directly to the NMERB system via an Employer Web Portal. | 2 | Agree  Disagree |
| T04.20 | Portal | The system must provide the ability for employers to manually input transmittal information directly into the NMERB system through an Employer Web Portal. | 2 | Agree  Disagree |

## T-05 Self Service

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| T05.01 | Design | The System must provide a Self-Service capability to members, employers, Third Party Administrators, and other stakeholders as defined in the functional requirements. | 1 | Agree  Disagree |
| T05.02 | Documentation | The System must provide the ability for users to submit supporting documentation through the portal as different formats. | 2 | Agree  Disagree |
| T05.03 | Integration | The System must provide the capability to integrate with the PAS. The System must integrate Self Service Portal functionality seamlessly with the other components of the System, including ECM. | 2 | Agree  Disagree |
| T05.04 | Integration | The System must be capable of integrating with ECM such that documents uploaded through the Portal by members are properly indexed and placed in the member's file in ECM. | 2 | Agree  Disagree |
| T05.05 | Integration | The System must permit the user to securely message NMERB directly through the Self Service Portal. | 2 | Agree  Disagree |
| T05.06 | Integration | The System must provide the capability of the Self Service Portal to link to NMERB's existing public website. | 2 | Agree  Disagree |
| T05.07 | Integration | The System must integrate with the Self Service Portal so that all information and services presented on the Self Service Portal are consistent with the information and services in the PAS. | 2 | Agree  Disagree |
| T05.08 | Knowledge Management | The System must provide the capability to include and manage changes to a Knowledge Management Repository (e.g. frequently asked questions, standard problems, responses, and a glossary of terminology used by NMERB). | 2 | Agree  Disagree |
| T05.09 | Policy | The System must require that a new user agrees to the terms of an End User Agreement before the user can create a username/password to the Portal. | 2 | Agree  Disagree |
| T05.10 | Policy | The System must provide the capability for NMERB to require periodic and/or forced re-acceptance of the End User Agreement. | 2 | Agree  Disagree |
| T05.11 | Support | The System must provide capabilities to authenticate a user who has called NMERB for technical support. The support personnel may need to have access to the member's authentication tools (e.g., security questions, image keys) within the Portal in order to authenticate a caller. | 2 | Agree  Disagree |
| T05.12 | Support | The System must provide the capability for the contact center to view the status of the member's self-service account, such as date account was created, date account was last accessed, and whether the account is locked out. | 2 | Agree  Disagree |
| T05.13 | UI | All functionality exposed to members through the Self Service Portal must have a consistent look and feel and must conform to the NMERB style standards and branding. | 2 | Agree  Disagree |
| T05.14 | UI | The System must encode HTML pages in HTML 5. | 2 | Agree  Disagree |
| T05.15 | UI | The Self Service Portal must not require the use of add-ons, plugins, or 3rd party tools. | 2 | Agree  Disagree |
| T05.16 | UI | The portal links must be uniquely labeled, such that any two links with the same label should take the user to the same web page. | 2 | Agree  Disagree |
| T05.17 | UI | The System must provide the capability to perform validations and provide an on-screen context-sensitive error, warning, and help messages where applicable. | 2 | Agree  Disagree |
| T05.18 | UI | The System must provide the capability to navigate through screens based on standard browser based navigation. | 2 | Agree  Disagree |
| T05.19 | UI | The Self Service Web Portal must support the top five browsers (IE, Edge, Chrome, Safari, and Firefox). For each browser, the System must support all major versions released within 24 months of go-live and the most recent two major versions as a minimum. | 2 | Agree  Disagree |
| T05.20 | Workflow | The System must, for changes made by users of the Self Service Web Portal, have the capability to send change confirmation notification to the user based on a member’s communication preferences (electronic or paper mail) at NMERB's option. | 2 | Agree  Disagree |

1. **Cybersecurity Requirements**

**The tables below list NMERB’s cybersecurity requirements for the Pension Administration System.** Requirements have been broken into three Flexibility Types based upon degree of flexibility NMERB has: 1) Mandatory, 2) Desired and 3) Optional.Offerors must confirm that they meet all mandatory technical requirements as identified below.

The tables in the following sections reference different flexibility levels. The table below describes NMERB’s definitions of these priorities and the specific implementation rules. The Offeror must include in their fixed-price bid all requirements denoted with a Flexibility Rating of 1 or 2. The Offeror must provide line item optional pricing for each requirement denoted with a Flexibility Rating of 3.

| **Flexibility Rating** | **Flexibility Type** | **Comments** |
| --- | --- | --- |
| **1** | **Mandatory** | NMERB must have this requirement. An Offeror's failure to meet these requirements will cause their proposal to be considered non-responsive and rejected. |
| **2** | **Desired** | NMERB highly desires this requirement. An Offeror will be evaluated on their ability to satisfy these requirements. |
| **3** | **Optional** | NMERB considers this requirement to be a “nice to have.” An Offeror will be evaluated on their ability to satisfy these requirements. |

Each cybersecurity requirement category is identified by a number and name. There is nothing to be implied from the category identification numbers other than simple identification. The individual requirements listed are numbered as an extension to the category number. Please do not alter the cybersecurity requirement ID numbers. There is nothing to be implied from the cybersecurity requirement ID numbers other than simple identification.

The cybersecurity requirements presented in this document seeks to maintain the confidentiality, integrity, and availability NMERB’s member information. It is NMERB’s expectation that security controls should be configurable as much as possible to accommodate the evolution of compromises and the security standards that seek to protect privileged information. Offerors are encouraged to propose compensating controls that meet the spirit of a cybersecurity requirement if the requirement is not met directly by the proposed solution.

**Complete this section by checking either “Yes” or “No” below.** Offerors who select “No” will be deemed non-responsive and rejected.

| **Do you agree your firm can meet all Mandatory Cybersecurity Requirements listed below (Ratings 1)?** | **Meets All Requirements?** |
| --- | --- |
| Yes  No |

## C-01 Access Control

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| C01.01 | Policy and Procedures | The Offeror shall provide their access control policy to NMERB annually or upon request to determine if the expected security has been appropriately implemented in the Proposed Solution’s hosted environment.  This requirement ensures compliance with NIST 800-53 control AC-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.02 | Account Management | The Offeror and NMERB and the Proposed Solution shall have the ability to establish and manage user accounts, relying upon operating system or other software controls to ensure that only access privileges necessary for each user’s assigned roles are provisioned.  This requirement ensures compliance with NIST 800-53 control AC-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.03 | Account Management | The Proposed Solution shall have the ability to manage individual accounts and uniquely identify privileged users.  Types of individual accounts include:   * User * Auditor * Business Analyst * System Administrator   This requirement ensures compliance with NIST 800-53 control AC-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.04 | Account Management | System and service level accounts, only those generated by the operating system and necessary for system operation are permitted, shall be managed.  This requirement ensures compliance with NIST 800-53 control AC-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.05 | Account Management | All Offeror personnel changes shall result in a notification within three (3) days to ensure the timely realignment of privileges commensurate with the duties and responsibilities of the new role. Changes resulting in reduced privilege requirements shall be processed promptly.  This requirement ensures compliance with NIST 800-53 control AC-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.06 | Account Enforcement | The Offeror and the Proposed Solution shall have the ability to only grant access to system information for which they have a need to know, using predefined roles and privileges.  This requirement ensures compliance with NIST 800-53 control AC-3 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.07 | Information Flow Enforcement | Systems that have interconnections with the Proposed Solution hosted environment shall have agreements for that interconnectivity, including security controls that specify the maintenance of the privacy of the information exchanged. NMERB System owners shall approve all interconnected systems.  This requirement ensures compliance with NIST 800-53 control AC-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.08 | Separation of Duties | Oversight and management shall be performed over system administrators to ensure that those involved in making any privileged changes to the Proposed Solution are reviewed and monitored.  This requirement ensures compliance with NIST 800-53 control AC-5 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.09 | Separation of Duties | The Proposed Solution shall exhibit the capability to highlight defined functional and/or administration separation of duties. All irregularities shall be included in the reporting requirements contained herein.  This requirement ensures compliance with NIST 800-53 control AC-5 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.10 | Least Privilege | The Proposed Solution shall predefine roles for server logins that provide only the access required to perform required maintenance functions.  This requirement ensures compliance with NIST 800-53 control AC-6 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.11 | Least Privilege | Assigned user privileges are defined with the least amount of rights/privileges that will enable the user to perform the tasks they are required to perform.  This requirement ensures compliance with NIST 800-53 control AC-6 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.12 | Unsuccessful Login Attempts | The Proposed Solution shall ensure that server configurations include the configurable settings for password attempts and temporary account locking.  This requirement ensures compliance with NIST 800-53 control AC-7 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.13 | Unsuccessful Login Attempts | Networking devices and servers are configurable to enforce account locking capability.  This requirement ensures compliance with NIST 800-53 control AC-7 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.14 | Unsuccessful Login Attempts | Ability to configure parameters to lock and unlock accounts due to invalid login attempts. (I.e. number of attempts within a period of time locks account for certain duration. to be defined by NMERB.  This requirement ensures compliance with NIST 800-53 control AC-7 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.15 | System Use Notification | The Proposed Solution shall display NMERB required system use notification message before processing user credentials and granting access. This message shall be configurable and editable.  This requirement ensures compliance with NIST 800-53 control AC-8 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.16 | Session Lock | The Proposed Solution shall allow configuration of maximum duration of idle time for which session is disconnected.  This requirement ensures compliance with NIST 800-53 control AC-11 and any of its sub-controls. | 2 | Agree  Disagree |
| C01.17 | Session Lock | Ability to configure user inactivity controls.  This requirement ensures compliance with NIST 800-53 control AC-11 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.18 | Session Lock | The session is terminated by the server and the user must initiate a new session to resume activity after the session termination requirement stated herein.  This requirement ensures compliance with NIST 800-53 control AC-11 and any of its sub-controls. | 2 | Agree  Disagree |
| C01.19 | Session Lock | The Proposed Solution shall allow for external applications (e.g. the Employer Portal) to have an alternative idle time setting which will be configurable.  This requirement ensures compliance with NIST 800-53 control AC-11 and any of its sub-controls. | 1 | Agree  Disagree |
| C01.20 | Session Termination | The Proposed Solution shall allow configuration of all servers to terminate the session, after idle time. The user is prompted to (re)authenticate in order to continue system use prior to session termination.  This requirement ensures compliance with NIST 800-53 control AC-12 and any of its sub-controls. | 2 | Agree  Disagree |
| C01.21 | Session Termination | After the session has been terminated, users will need to reauthenticate and reinitiate processing.  This requirement ensures compliance with NIST 800-53 control AC-12 and any of its sub-controls. | 2 | Agree  Disagree |

## C-02 Awareness and Training

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| C02.01 | Security Awareness and Training Policy and Procedures | The Offeror shall perform and include NMERB in formal annual security awareness and training in support of NMERB hosted environment. The proposed training shall include, at a minimum:   * Handling of Personally Identifiable Information (PII) * Health Information Portability and Accountability Act (HIPAA) Training * Phishing Awareness Training, and * General Security Training (To include the requirements contained herein)   This requirement ensures compliance with NIST 800-53 control AT-1 and any of its sub-controls. | 1 | Agree  Disagree |

## C-03 Audit and Accountability

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| C03.01 | Audit and Accountability Policy and Procedures | The Offeror shall provide a copy of their audit and accountability policy to NMERB annually to determine if the expected security has been appropriately implemented in the Proposed Solution’s hosted environment.  This requirement ensures compliance with NIST 800-53 control AU-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C03.02 | Audit Events | The Proposed Solution shall ensure all capturable events are subject to inclusion in audit logs to support near-real-time and after-the-fact reviews of system activity.  This requirement ensures compliance with NIST 800-53 control AU-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C03.03 | Response to Audit Processing Failures | The Proposed Solution shall be capable of triggering an alert if log recording fails to operate normally.  This requirement ensures compliance with NIST 800-53 control AU-5 and any of its sub-controls. | 1 | Agree  Disagree |
| C03.04 | Audit Review, Analysis, and Reporting | The Offeror and the Proposed Solution shall have the capability to perform periodic review and analysis of audit records for indications of inappropriate or unusual activity and report any findings and associated data of said activity immediately to NMERB for review.  This requirement ensures compliance with NIST 800-53 control AU-6 and any of its sub-controls. | 1 | Agree  Disagree |
| C03.05 | Time Stamps | The Proposed Solution shall synchronize timestamps using internal system clocks to corroborate entries across diverse servers using the NIST Network Time Protocol (NTP) to generate time stamps for audit records that are stored internally in UTC-compatible format.  This requirement ensures compliance with NIST 800-53 control AU-8 and any of its sub-controls. | 1 | Agree  Disagree |
| C03.06 | Protection of Audit Information | The Offeror and the Proposed Solution shall restrict access to audit logs and audit tools only to authorized personnel and make said logs and tools available to NMERB  This requirement ensures compliance with NIST 800-53 control AU-9 and any of its sub-controls. | 1 | Agree  Disagree |
| C03.07 | Audit Record Retention | Audit logs shall be retained in conformance with NMERB’s Records, Retention, and Major Systems Storage Retention Policy.  This requirement ensures compliance with NIST 800-53 control AU-11 and any of its sub-controls. | 1 | Agree  Disagree |
| C03.08 | Audit Record Retention | The Proposed Solutions’ record retention capability shall be configurable to ensure flexibility in meeting legislative requirements.  This requirement ensures compliance with NIST 800-53 control AU-11 and any of its sub-controls. | 1 | Agree  Disagree |
| C03.09 | Certification, Authorization, Security Assessment Policies and Procedures | The Offeror shall provide their security assessment and authorization policy to NMERB annually to determine if the expected security has been appropriately implemented in the Proposed Solution’s hosted environment.  This requirement ensures compliance with NIST 800-53 control CA-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C03.10 | Security Assessments | The Offeror shall perform formal security assessments upon all information systems and provide SOC2 results to NMERB for review. The security assessment shall include all subcontractors.  This requirement ensures compliance with NIST 800-53 control CA-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C03.11 | Plan of Action and Milestones | The Offeror shall develop a Plan of Action and Milestones (POAM) post-assessment to address how high priority risks are to be resolved.  This requirement ensures compliance with NIST 800-53 control CA-5 and any of its sub-controls. | 2 | Agree  Disagree |
| C03.12 | Continuous Monitoring | The Proposed Solution shall ensure continuous monitoring of the hosted environment in alignment with industry best practices and during 7:00am to 6:00pm MST/MDT, Monday through Friday.  This requirement ensures compliance with NIST 800-53 control CA-7 and any of its sub-controls. | 2 | Agree  Disagree |
| C03.13 | Penetration Testing | The Offeror shall allow ERB to perform on an annual basis an independent Penetration Test | 2 | Agree  Disagree |

## C-04 Configuration Management

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| C04.01 | Configuration Management Policies and Procedures | The Offeror and the Proposed Solution shall demonstrate that it has a formal security configuration management process that aligns to ITIL Best Practices and addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities and compliance applied to all organizational entities with access to the Proposed Solution. The policy shall be provided to NMERB for review.  This requirement ensures compliance with NIST 800-53 control CM-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C04.02 | Baseline Configuration | The Offeror and the Proposed Solution shall demonstrate that its Information Security Policy and associated Procedures discusses configuration management.  This requirement ensures compliance with NIST 800-53 control CM-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C04.03 | Baseline Configuration | The Offeror shall develop, document and maintain baseline configuration documentation to support the system implementation and ensure it conforms to the baseline.  This requirement ensures compliance with NIST 800-53 control CM-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C04.04 | Configuration Change Control | The Offeror’s Information Security Policy and associated Procedures shall discuss how changes to the Proposed Solution hosted environment would be approved by authorized NMERB personnel.  This requirement ensures compliance with NIST 800-53 control CM-3 and any of its sub-controls. | 1 | Agree  Disagree |
| C04.05 | Configuration Change Control | Controls are implemented to assure changes shall not be promulgated to the Proposed Solution unless approved by NMERB as part of the configuration management policy.  This requirement ensures compliance with NIST 800-53 control CM-3 and any of its sub-controls. | 1 | Agree  Disagree |
| C04.06 | Access Restrictions for Change | The Offeror’s Information Security Policy and associated Procedures shall have controls to ensure that only authorized system administrators can make approved changes to the Proposed Solution systems, either on-site or remotely via VPN.  This requirement ensures compliance with NIST 800-53 control CM-5 and any of its sub-controls. | 1 | Agree  Disagree |
| C04.07 | Configuration Settings | The Offeror’s Information Security Policy and associated Procedures shall ensure Center for Internet Security or industry best practice guidelines are followed to harden the operating system and network components to the most restrictive settings consistent with Moderate Risk while permitting system operation.  This requirement ensures compliance with NIST 800-53 control CM-6 and any of its sub-controls. | 1 | Agree  Disagree |
| C04.08 | Configuration Settings | For all enabled functionality the Proposed Solution shall maintain a reportable inventory of all systems settings and configurations.  This requirement ensures compliance with NIST 800-53 control CM-6 and any of its sub-controls. | 1 | Agree  Disagree |
| C04.09 | Configuration Settings | These settings and configurations shall not be adjusted without following the approved change management process.  This requirement ensures compliance with NIST 800-53 control CM-6 and any of its sub-controls. | 1 | Agree  Disagree |
| C04.10 | Least Functionality | The Offeror’s Information Security Policy and associated Procedures shall ensure that all ports, protocols and/or services are prohibited by default.  This requirement ensures compliance with NIST 800-53 control CM-7 and any of its sub-controls. | 1 | Agree  Disagree |
| C04.11 | Least Functionality | The Offeror shall provide all functions, ports, protocols and/or services required to be allowed-by-exception for system operability for approval by NMERB.  This requirement ensures compliance with NIST 800-53 control CM-7 and any of its sub-controls. | 1 | Agree  Disagree |
| C04.12 | Least Functionality | Under all conditions the following must be restricted:   * Telnet * FTP * SSH version 1 * Terminal Services * Port * 1433 for SQL Server * Adobe Flash * SMB v1 * RDP   This requirement ensures compliance with NIST 800-53 control CM-7 and any of its sub-controls. | 1 | Agree  Disagree |

## C-05 Contingency Planning

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| C05.01 | Contingency Planning Policy and Planning | The Offeror and the Proposed Solution shall ensure backup and recovery procedures address Proposed Solution formal contingency plan processes.  This requirement ensures compliance with NIST 800-53 control CP-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C05.02 | Contingency Planning Policy and Planning | The formal documented contingency plan, policy and procedures addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities and compliance applied to all organizational entities with access to the Proposed Solution.  This requirement ensures compliance with NIST 800-53 control CP-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C05.03 | Contingency Plan | The disaster recovery plan should accomplish the following:   1. Identifies essential missions and business functions with associated contingency requirements to continue delivering NMERB retirement plan member services. 2. Defines Recovery Time Objective (RTO) and Recovery Point Objective (RPO) objectives, priorities and metrics for the Proposed Solution as identified herein. 3. Defines roles, specific responsibilities and assigned individuals supporting the successful implementation of the Contingency Plan including contact methods and communication protocols. 4. Discusses the methods for maintaining essential business missions and functions during system disruption, compromise or failure including the method to determine whether to maintain operations-in-place or transfer operations to an alternate datacenter. 5. Includes ultimate restoration to normal operations within the original security framework and internal recertification procedures. 6. Provides for annual review, update, approval and testing to ensure effectiveness.   This requirement ensures compliance with NIST 800-53 control CP-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C05.04 | Contingency Plan Testing | An annual test of the Contingency Plan shall be conducted to ensure that the plan, assigned personnel and resources are prepared and capable to perform required tasks to continue or restore services and system functionality.  This requirement ensures compliance with NIST 800-53 control CP-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C05.05 | Contingency Plan Testing | The plan shall test leveraging controlled failover events in conjunction with NMERB approval and participation.  This requirement ensures compliance with NIST 800-53 control CP-4 and any of its sub-controls. | 2 | Agree  Disagree |
| C05.06 | Alternate Storage Site | The disaster recovery procedures shall have backup processes that replicate content to alternate processing sites for use in restoring the system.  This requirement ensures compliance with NIST 800-53 control CP-6 and any of its sub-controls. | 1 | Agree  Disagree |
| C05.07 | Alternate Processing Site | NMERB has identified the Proposed Solution as a Critical Application and requires an RTO 24 hours or less and RPO of 15 minutes or less.  This requirement ensures compliance with NIST 800-53 control CP-7 and any of its sub-controls. | 1 | Agree  Disagree |
| C05.08 | Telecommunications Services | The disaster recovery procedures shall ensure the Recovery Datacenter provides internet access from the NMERB main office governed by the necessary agreements to permit resumption of information system operations for the Proposed Solution within the RTO and RPO defined in the contingency plan.  This requirement ensures compliance with NIST 800-53 control CP-8 and any of its sub-controls. | 1 | Agree  Disagree |

## C-06 Identification and Authentication

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| C06.01 | Identification and Authentication Policy and Procedures | The Offeror’s security policy shall define and address how users are credentialed and are granted access to the Proposed Solution.  This requirement ensures compliance with NIST 800-53 control IA-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C06.02 | Identification and Authentication Policy and Procedures | The formal documented identification and authentication policy and procedures shall address purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities and compliance applied to all organizational entities with access to the Proposed Solution.  This requirement ensures compliance with NIST 800-53 control IA-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C06.03 | User Identification and Authentication | The Offeror’s security policy and associated Procedures shall address formal identification and authentication processes for the Proposed Solution. All local accounts require authentication using the same password complexity as network accounts.  This requirement ensures compliance with NIST 800-53 control IA-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C06.04 | User Identification and Authentication | The technique for identification and authentication includes user IDs and passwords, tokens for VPN, Multi-Factor Authentication or any combination of methods that the system can trust to always work effectively.  This requirement ensures compliance with NIST 800-53 control IA-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C06.05 | User Identification and Authentication | The Proposed Solution shall have the capability to enforce multi-factor authentication for all accounts independent of location.  This requirement ensures compliance with NIST 800-53 control IA-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C06.06 | User Identification and Authentication | Each privileged user is required to have, at minimum, a unique user ID and password to access any system to enforce the user’s unique identity.  This requirement ensures compliance with NIST 800-53 control IA-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C06.07 | User Identification and Authentication | The Offeror’s security policy and associated Procedures shall ensure all access to the Proposed Solution from remote sites requires multi-factor authentication to establish VPN connectivity to the Proposed Solution. NMERB requires multi-factor authentication inside the trusted NMERB Local Area Network (LAN) to connect to Proposed Solution components.  This requirement ensures compliance with NIST 800-53 control IA-2(1) and any of its sub-controls. | 1 | Agree  Disagree |
| C06.08 | User Identification and Authentication | NMERB does require multi-factor authentication from trusted NMERB LAN.  This requirement ensures compliance with NIST 800-53 control IA-2(11) and any of its sub-controls. | 1 | Agree  Disagree |
| C06.09 | User Identification and Authentication | Privileged users would have to log in with their regular (non-privileged) user account to establish VPN connection and then log in separately with their privileged user account credentials to perform administrative functions.  This requirement ensures compliance with NIST 800-53 control IA-2(11) and any of its sub-controls. | 1 | Agree  Disagree |
| C06.10 | Identifier Management | Users are uniquely identified by user ID. Disabled accounts are retained for a minimum of two years before re-use is permitted.  This requirement ensures compliance with NIST 800-53 control IA-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C06.11 | Identifier Management | User identifiers are automatically disabled after ninety (90) days of inactivity. The Offeror must provide notice of this event.  This requirement ensures compliance with NIST 800-53 control IA-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C06.12 | Authenticator Management | The Offeror’s security policy and associated Procedures shall define and address formal identification and authentication processes for the Proposed Solution.  This requirement ensures compliance with NIST 800-53 control IA-5 and any of its sub-controls. | 1 | Agree  Disagree |
| C06.13 | Authenticator Management | Authenticators must be configurable to satisfying the following criteria:   * Password must not match the prior number of passwords * Password must be a minimum length; minimum length if MFA is enabled * Password cannot contain all or a substantial part of the user ID * Password are required to contain a combination of characters from all the following categories:   + Upper case characters (A-Z)   + Lower case characters (a-z)   + Base 10 digits (0-9)   + Non-alphanumeric characters (e.g., !&$%)   This requirement ensures compliance with NIST 800-53 control IA-5 and any of its sub-controls. | 1 | Agree  Disagree |
| C06.14 | Authenticator Management | Password requirements shall be configurable to control a minimum life and a maximum life duration.  This requirement ensures compliance with NIST 800-53 control IA-5 and any of its sub-controls. | 1 | Agree  Disagree |
| C06.15 | Authenticator Management | The Proposed Solution shall be configurable so that passwords, when initially established and at every change, passwords meet length, duration and complexity requirements.  This requirement ensures compliance with NIST 800-53 control IA-5(1) and any of its sub-controls. | 1 | Agree  Disagree |
| C06.16 | Authenticator Management | Passwords must be encrypted both in storage and during transmission. Non-public transmissions across public networks are always encrypted using FIPS 140-2 compliant encryption methods in encrypted files or via VPN. Network devices, Windows Server and Red Hat operating systems are configured to automatically encrypt passwords within reserved storage areas unavailable for general use.  This requirement ensures compliance with NIST 800-53 control IA-5(1) and any of its sub-controls. | 1 | Agree  Disagree |
| C06.17 | Authenticator Management | A password change must be configurable to last a selected duration and passwords expire after a certain duration.  This requirement ensures compliance with NIST 800-53 control IA-5(1) and any of its sub-controls. | 1 | Agree  Disagree |
| C06.18 | Authenticator Management | Password reuse is configurable. The value defining the number of password generations is embedded into the server’s operating system parameter settings which are reviewed and revised as part of the hardening process for system setup.  This requirement ensures compliance with NIST 800-53 control IA-5(1) and any of its sub-controls. | 1 | Agree  Disagree |
| C06.19 | Authenticator Management | Temporary, single-use passwords are assigned when establishing new accounts or resetting the password on existing accounts. The temporary password is provided to the user via private means and should be sufficiently randomized.  This requirement ensures compliance with NIST 800-53 control IA-5(1) and any of its sub-controls. | 1 | Agree  Disagree |
| C06.20 | Authenticator Feedback | The Proposed Solution shall ensure user account information is protected within the operating system through encryption and obfuscation on display.  This requirement ensures compliance with NIST 800-53 control IA-6 and any of its sub-controls. | 2 | Agree  Disagree |
| C06.21 | Authenticator Feedback | When typing in user-defined or one-time passwords, the screen display should provide sufficient masking (in the form of asterisks or bullets) to avoid the password being read by an individual watching the user's screen.  This requirement ensures compliance with NIST 800-53 control IA-6 and any of its sub-controls. | 1 | Agree  Disagree |
| C06.22 | Identification and Authentication (Non-Organization User) | The Proposed Solution shall ensure all users are issued individual approved identification and authentication credentials based on the user registration process referenced in NMERB Computer Account Guidelines Policy.  This requirement ensures compliance with NIST 800-53 control IA-8 and any of its sub-controls. | 1 | Agree  Disagree |

## C-07 Incident Response

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| C07.01 | Incident Response Policy and Procedures | The Offeror’s formal documented incident response plan shall document and address purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities and compliance applied to all organizational entities with access to the Proposed Solution.  This requirement ensures compliance with NIST 800-53 control IR-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C07.02 | Incident Training Response | The Offeror shall ensure all vendor and 3rd party support personnel receive security incident response training specific to their incident response role as part of their employee orientation and on an annual basis thereafter.  This requirement ensures compliance with NIST 800-53 control IR-2 and any of its sub-controls. | 2 | Agree  Disagree |
| C07.03 | Incident Response Testing | The Offeror shall test its incident response capability annually.  This requirement ensures compliance with NIST 800-53 control IR-3 and any of its sub-controls. | 2 | Agree  Disagree |
| C07.04 | Incident Response Testing | Incident response testing incorporates the following steps:   * Develop test plan for incident response * Perform test * Analyze test results and obtain lessons learned * Incorporate lessons learned into incident response procedures and training * Distribute updated incident response documentation   This requirement ensures compliance with NIST 800-53 control IR-3 and any of its sub-controls. | 2 | Agree  Disagree |
| C07.05 | Incident Handling | The Offeror shall ensure that all vendor and 3rd party support personnel are properly trained and supplied with the tools necessary to respond correctly and promptly in response to a security incident.  This requirement ensures compliance with NIST 800-53 control IR-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C07.06 | Incident Handling | Upon notification of an incident, an investigation is initiated to verify and confirm the incident.  This requirement ensures compliance with NIST 800-53 control IR-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C07.07 | Incident Handling | Once confirmed, notice is provided for further corrective action and the measures defined in the Incident Response policy and procedures are followed.  This requirement ensures compliance with NIST 800-53 control IR-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C07.08 | Incident Monitoring | Each documented incident should contain details about the detection, analysis, containment, and resolution of the incident.  This requirement ensures compliance with NIST 800-53 control IR-5 and any of its sub-controls. | 1 | Agree  Disagree |
| C07.09 | Incident Reporting | The Offeror shall ensure all vendor and 3rd party support personnel will be provided with Incident Response training that, at minimum, provides instruction in how to report a suspected incident through NMERB and Offeror management.  This requirement ensures compliance with NIST 800-53 control IR-6 and any of its sub-controls. | 1 | Agree  Disagree |
| C07.10 | Incident Reporting | All incident reports are treated as sensitive with limited distribution from the time of initial reporting until final resolution, at which time the results are managed appropriately to the sensitivity of the incident.  This requirement ensures compliance with NIST 800-53 control IR-6 and any of its sub-controls. | 1 | Agree  Disagree |
| C07-11 | Incident Response Plan | The Offeror shall develop a formal documented Incident Response Plan to ensure that all incidents are properly:   * Recognized, * Identified, * Addressed, and * Resolved according to prepared methods and procedures.   This requirement ensures compliance with NIST 800-53 control IR-8 and any of its sub-controls. | 1 | Agree  Disagree |

## C-08 Maintenance

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| C08.01 | System Maintenance Policy and Procedures | The Offeror shall document a maintenance policy including procedures that address purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities and compliance applied to all organizational entities with access to the Proposed Solution.  This requirement ensures compliance with NIST 800-53 control MA-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C08.02 | Controlled Maintenance | The Proposed Solution shall align with ITIL best practices and NIST guidance, ensuring all maintenance activities must be preauthorized, preapproved, monitored, and exercise all appropriate sanitization activities to ensure that no NMERB-held information is permitted to leave approved facilities.  This requirement ensures compliance with NIST 800-53 control MA-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C08.03 | Remote Maintenance | The Proposed Solution shall ensure NMERB Administrator or designee shall authorize or pre-authorize Offeror maintenance on hardware and systems. Offeror monitors, logs and maintains maximum possible monitoring and control during maintenance and diagnostic activities. NMERB be allowed access to all associated logs and diagnostic tools.  This requirement ensures compliance with NIST 800-53 control MA-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C08.04 | Remote Maintenance | Network engineers monitor activity and traffic volumes during the maintenance window  This requirement ensures compliance with NIST 800-53 control MA-4 and any of its sub-controls. | 2 | Agree  Disagree |
| C08.05 | Remote Maintenance | Access records for diagnostic and maintenance access must be retained, audited, and reviewed following established procedures applied to all remote maintenance access. These activities must be recorded within an automated system.  This requirement ensures compliance with NIST 800-53 control MA-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C08.06 | Maintenance Personnel | The Offeror shall limit access to system software and maintenance and provide NMERB the mechanism/RBAC and training that restricts system access and setting permissions and privileges to enable access to authorized maintenance personnel solely reviewed and approved by NMERB.  This requirement ensures compliance with NIST 800-53 control MA-5 and any of its sub-controls. | 1 | Agree  Disagree |
| C08.07 | Maintenance Personnel | The Offeror maintenance personnel are required to have appropriate access authorizations and provide NMERB the mechanism/RBAC and training that restricts system access and setting permissions and privileges to enable access to authorized maintenance personnel to the systems being supported solely reviewed and approved by NMERB.  This requirement ensures compliance with NIST 800-53 control MA-5 and any of its sub-controls. | 1 | Agree  Disagree |

## C-09 Media Protection

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| C09.01 | Media Protection Policy and Procedures | The Offeror shall document a media protection policy including procedures that address purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities and compliance applied to all organizational entities with access to the Proposed Solution.  This requirement ensures compliance with NIST 800-53 control MP-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C09.02 | Media Access | The Offeror shall limit access to media files to authorized users.  This requirement ensures compliance with NIST 800-53 control MP-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C09.03 | Media Storage | The Offeror shall store media in accordance with FIPS 199 controls for a moderately rated system.  This requirement ensures compliance with NIST 800-53 control MP-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C09.04 | Media Storage | Controls shall be maintained for the information system until the media is destroyed or sanitized using approved equipment, techniques, and procedures.  This requirement ensures compliance with NIST 800-53 control MP-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C09.05 | Media Storage | Physical access to areas containing media must be controlled and restricted to specific parties who have been approved by NMERB.  This requirement ensures compliance with NIST 800-53 control MP-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C09.06 | Media Sanitization | The Offeror shall ensure that all repurposed or retired media that contains fund information is sanitized in accordance with NIST Special Publication 800-88: Guidelines for Media Sanitization.  This requirement ensures compliance with NIST 800-53 control MP-6 and any of its sub-controls. | 1 | Agree  Disagree |
| C09.07 | Media Sanitization | The Offeror shall provide the ability to verify to NMERB that the sanitization process was successful.  This requirement ensures compliance with NIST 800-53 control MP-6 and any of its sub-controls. | 1 | Agree  Disagree |
| C09.08 | Media Use | The Offeror shall ensure that portable storage devices, such as flash drives, cannot be used to store fund information.  This requirement ensures compliance with NIST 800-53 control MP-7 and any of its sub-controls. | 1 | Agree  Disagree |
| C09.09 | Media Use | Proper data loss monitoring mechanisms shall be in effect to protect against this activity.  This requirement ensures compliance with NIST 800-53 control MP-7 and any of its sub-controls. | 1 | Agree  Disagree |

## C-10 Physical and Environmental Protections

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| C10.01 | Physical and Environmental Protection Policy and Procedures | The Offeror shall inherit the Datacenter’s physical and environmental protections, services, procedures and Service Level Agreements (SLAs).  This requirement ensures compliance with NIST 800-53 control PE-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C10.02 | Physical and Environmental Protection Policy and Procedures | The proposed primary and alternate datacenters shall be located within the United States. Additionally, both sites shall be required to meet all requirements contained herein.  This requirement ensures compliance with NIST 800-53 control PE-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C10.03 | Physical Access Authorizations | The Offeror shall ensure the Datacenter provides secured computing facilities for production cloud infrastructure.  This requirement ensures compliance with NIST 800-53 control PE-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C10.04 | Physical Access Controls | The Proposed Datacenter’s Information Security Policy and associated Procedures shall ensure that formal physical security safeguards are in place for datacenter premises, which may include:   * Premises monitored by CCTV * Entrances protected by physical barriers designed to prevent unauthorized entry by vehicles * Entrances manned 24 hours a day, 365 days a year by security guards who perform visual identity recognition and visitor escort management   This requirement ensures compliance with NIST 800-53 control PE-3 and any of its sub-controls. | 1 | Agree  Disagree |
| C10.05 | Monitoring Physical Access | The Proposed Datacenter shall ensure electronic locking systems automatically log all access.  This requirement ensures compliance with NIST 800-53 control PE-6 and any of its sub-controls. | 1 | Agree  Disagree |
| C10.06 | Monitoring Physical Access | Visitors are required to present government or employer-issued ID and to sign a visitor log to provide a record of their appearance at the facility.  This requirement ensures compliance with NIST 800-53 control PE-6 and any of its sub-controls. | 1 | Agree  Disagree |
| C10.07 | Visitor Access Records | The Proposed Datacenter shall ensure all visitors log into the visitor’s log and be authenticated by government- or employer-issued ID before they are recorded in the visitor log.  This requirement ensures compliance with NIST 800-53 control PE-8 and any of its sub-controls. | 3 | Agree  Disagree |
| C10.08 | Power Equipment and Cabling | The Proposed Datacenter shall ensure controlled access to areas of the facility that contain power equipment or cabling.  This requirement ensures compliance with NIST 800-53 control PE-9 and any of its sub-controls. | 1 | Agree  Disagree |
| C10.09 | Emergency Shutoff | The Proposed Datacenter shall ensure proper configuration and maintenance of emergency shutoff switches.  This requirement ensures compliance with NIST 800-53 control PE-10 and any of its sub-controls. | 1 | Agree  Disagree |
| C10.10 | Emergency Power | The Proposed Primary Datacenter shall ensure uninterruptible power that can sustain the Primary Datacenter for the duration of the recovery time required to establish operations at the Recovery Datacenter.  This requirement ensures compliance with NIST 800-53 control PE-11 and any of its sub-controls. | 1 | Agree  Disagree |
| C10.11 | Emergency Lighting | The Proposed Datacenter’s Information Security Policy and associated Procedures shall address formal processes for maintaining emergency lighting.  This requirement ensures compliance with NIST 800-53 control PE-12 and any of its sub-controls. | 1 | Agree  Disagree |
| C10.12 | Fire Protection | The Proposed Datacenter’s Information Security Policy and associated Procedures shall address formal processes for ensuring the availability of appropriate fire protection and detection systems.  This requirement ensures compliance with NIST 800-53 control PE-13 and any of its sub-controls. | 1 | Agree  Disagree |
| C10.13 | Temperature and Humidity Controls | The Proposed Datacenter’s Information Security Policy and associated Procedures shall address the formal process for maintaining and monitoring temperature and humidity with alarms as applicable.  This requirement ensures compliance with NIST 800-53 control PE-14 and any of its sub-controls. | 1 | Agree  Disagree |
| C10.14 | Water Damage | The Proposed Datacenter’s Information Security Policy and associated Procedures shall address formal processes and procedures to monitor, control and shut-off water to the facility and/or impacted areas.  This requirement ensures compliance with NIST 800-53 control PE-15 and any of its sub-controls. | 1 | Agree  Disagree |
| C10.15 | Delivery and Removal | The Proposed Datacenter shall ensure any physical movement of equipment is controlled by hand-delivered receipts and/or other authorized change control procedures.  This requirement ensures compliance with NIST 800-53 control PE-16 and any of its sub-controls. | 1 | Agree  Disagree |
| C10.16 | Alternate Work Site | The Proposed Recovery Datacenter Location has identical or equivalent protections consistent with controls established at the Primary work location/Datacenter.  This requirement ensures compliance with NIST 800-53 control PE-17 and any of its sub-controls. | 2 | Agree  Disagree |

## C-11 Planning

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| C11.01 | Security Planning and Policy Procedures | The Offeror shall formally document and maintain the Proposed Solution System Security Plan and address purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities and compliance applied to all organizational entities with access to the Proposed Solution.  This requirement ensures compliance with NIST 800-53 control PL-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C11.02 | Security Planning and Policy Procedures | NMERB personnel will review and approve annually and when significant changes are implemented.  This requirement ensures compliance with NIST 800-53 control PL-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C11.03 | Rules of Behavior | The Offeror shall ensure only those employees assigned responsibilities supporting the Proposed Solution or having a need to use the Proposed Solution are permitted access to the Proposed Solution.  This requirement ensures compliance with NIST 800-53 control PL-4 and any of its sub-controls. | 1 | Agree  Disagree |

## C-12 Personnel Security

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Complaint?** |
| --- | --- | --- | --- | --- |
| C12.01 | Personnel Security Policy and Procedures | The Offeror shall demonstrate a personnel security policy that Offeror 3rd party support personnel must abide by.  This requirement ensures compliance with NIST 800-53 control PS-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C12.02 | Personnel Screening | The Offeror shall demonstrate a personnel security policy that all Offeror employees and 3rd party personnel must abide by.  This requirement ensures compliance with NIST 800-53 control PS-3 and any of its sub-controls. | 1 | Agree  Disagree |
| C12.03 | Personnel Screening | The Offeror’s HR should ensure that all new employees have favorably adjudicated background investigations commensurate with the defined position sensitivity levels.  This requirement ensures compliance with NIST 800-53 control PS-3 and any of its sub-controls. | 1 | Agree  Disagree |
| C12.04 | Personnel Termination | The Offeror shall ensure all authorizations granted to employees who leave the Proposed Vendor are revoked the same day as their employment is terminated.  This requirement ensures compliance with NIST 800-53 control PS-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C12.05 | Personnel Transfer | The Offeror shall demonstrate a personnel security policy that address formal personnel security processes.  This requirement ensures compliance with NIST 800-53 control PS-5 and any of its sub-controls. | 2 | Agree  Disagree |
| C12.06 | Third-Party Personnel Security | The Offeror shall demonstrate a personnel security policy that address formal personnel security processes.  This requirement ensures compliance with NIST 800-53 control PS-7 and any of its sub-controls. | 1 | Agree  Disagree |

## C-13 Risk Assessment

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| C13.01 | Risk Assessment Policy and Procedures | The Offeror shall allow the Proposed Solution System Security Plan to be applied against a formal risk assessment performed on the Proposed Solution environment  This requirement ensures compliance with NIST 800-53 control RA-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C13.02 | Vulnerability Scanning | Vulnerability scanning must be performed on the Proposed Solution environment in accordance with industry best practices.  This requirement ensures compliance with NIST 800-53 control RA-5 and any of its sub-controls. | 1 | Agree  Disagree |
| C13.03 | Vulnerability Scanning | ERB shall have the ability to perform monthly, independent vulnerability scanning | 2 | Agree  Disagree |

## C-14 System and Communications Protections

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| C14.01 | System and Services Acquisition Policy and Procedures | The Offeror shall develop security policies to address formal system and communication protection processes that include purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities and compliance applied to all organizational entities with access to Proposed Solution.  This requirement ensures compliance with NIST 800-53 control SC-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C14.02 | System and Services Acquisition Policy and Procedures | Policy and procedures shall be disseminated through distribution to managers and key personnel and placed on media for online reference.  This requirement ensures compliance with NIST 800-53 control SC-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C14.03 | Application Partitioning | The Offeror shall allocate separate roles to support personnel and system users thereby enforcing a full separation between user interfaces and information system management functionality.  This requirement ensures compliance with NIST 800-53 control SC-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C14.04 | Information in Shared Resources | The Proposed Solution shall be logically separated from other datacenter hosted assets thereby preventing data leakage or spillage.  This requirement ensures compliance with NIST 800-53 control SC-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C14.05 | Information in Shared Resources | This separation is through datacenter hosting infrastructure.  This requirement ensures compliance with NIST 800-53 control SC-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C14.06 | Denial of Service Protection | Network perimeter devices shall be implemented in the Proposed Solution to provide protection from Denial of Service attacks.  This requirement ensures compliance with NIST 800-53 control SC-5 and any of its sub-controls. | 1 | Agree  Disagree |
| C14.07 | Boundary Protection | The Proposed Solution boundary devices shall control and monitor communications at the external boundary interface.  This requirement ensures compliance with NIST 800-53 control SC-7 and any of its sub-controls. | 1 | Agree  Disagree |
| C14.08 | Boundary Protection | These boundary control devices should be configured for and applicable to all processing sites, including alternate sites used for the system.  This requirement ensures compliance with NIST 800-53 control SC-7 and any of its sub-controls. | 1 | Agree  Disagree |
| C14.09 | Transmission Confidentiality and Integrity | The Proposed Solution shall ensure all sensitive related content transmitted outside of the NMERB Proposed Solution environment should be encrypted using FIPS 140-2 validated cryptography to ensure both the confidentiality and the integrity of transmitted content.  This requirement ensures compliance with NIST 800-53 control SC-8 and any of its sub-controls. | 1 | Agree  Disagree |
| C14.10 | Transmission Confidentiality and Integrity | The Proposed Solution environment shall use FIPS 140-2 validated cryptography in sensitive information transmissions across public connections to ensure transmission integrity and identify changes in transmitted data.  This requirement ensures compliance with NIST 800-53 control SC-8(1) and any of its sub-controls. | 1 | Agree  Disagree |
| C14.11 | Network Disconnect | The Proposed Solution environment network devices shall be configurable to disconnect the communications link after specific duration of inactivity.  This requirement ensures compliance with NIST 800-53 control SC-10 and any of its sub-controls. | 1 | Agree  Disagree |
| C14.12 | Cryptographic Key Establishment and Management | The Offeror shall confirm the certification authority used to generate the TLS key.  This requirement ensures compliance with NIST 800-53 control SC-12 and any of its sub-controls. | 1 | Agree  Disagree |
| C14.13 | Collaborative Computing Devices | The Proposed Solution shall ensure collaborative computing is not supported.  This requirement ensures compliance with NIST 800-53 control SC-15 and any of its sub-controls. | 1 | Agree  Disagree |
| C14.14 | Public Key Infrastructure Certificates | The Offeror shall obtain all PKI certificates from an approved service provider (certificate authority) using FIPS 140-2 validated encryption (e.g. Verisign).  This requirement ensures compliance with NIST 800-53 control SC-17 and any of its sub-controls. | 1 | Agree  Disagree |
| C14.15 | Secure Name-Address Resolution Service (Authoritative Source) | The Offeror shall deploy DNS Security Extensions (DNSSEC) as part of its standard DNS servers’ configuration to prevent cache poisoning. DNSSEC uses asymmetric cryptography to provide origin authentication and integrity checking for DNS data. Child zones are not deployed.  This requirement ensures compliance with NIST 800-53 control SC-20 and any of its sub-controls. | 1 | Agree  Disagree |
| C14.16 | Protection of Information at Rest | The Offeror shall implement the NMERB Proposed Solution environments with an encrypted database to protect data at rest.  This requirement ensures compliance with NIST 800-53 control SC-28 and any of its sub-controls. | 1 | Agree  Disagree |

## C-15 Systems and Information Integrity

| **ReqID** | **Sub-Category** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- | --- |
| C15.01 | System and Information Integrity Policy and Procedures | The Offeror shall develop a formal documented risk assessment policy and procedures that address purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities and compliance applied to all organizational entities with access to the NMERB hosted Proposed Solution environment.  This requirement ensures compliance with NIST 800-53 control SI-1 and any of its sub-controls. | 1 | Agree  Disagree |
| C15.02 | Flaw Remediation | The Offeror shall develop procedures to identify system flaws through system monitoring, security assessments and incident response.  This requirement ensures compliance with NIST 800-53 control SI-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C15.03 | Flaw Remediation | As patches and updates become available, they are to be applied first to the test environment and subsequently, after all operational issues are resolved, to the production environment.  This requirement ensures compliance with NIST 800-53 control SI-2 and any of its sub-controls. | 1 | Agree  Disagree |
| C15.04 | Malicious Code Protection | The Offeror shall develop an Information Security Policy and associated Procedures that address formal system and information integrity processes in the Proposed Solution.  This requirement ensures compliance with NIST 800-53 control SI-3 and any of its sub-controls. | 1 | Agree  Disagree |
| C15.05 | Malicious Code Protection | The Offeror shall employ anti-virus/anti-malware software at endpoints on all servers.  This requirement ensures compliance with NIST 800-53 control SI-3 and any of its sub-controls. | 1 | Agree  Disagree |
| C15.06 | Information System Monitoring | The Offeror shall implement and configure monitoring tools to detect system behaviors indicative of possible system malfunction.  This requirement ensures compliance with NIST 800-53 control SI-4 and any of its sub-controls. | 1 | Agree  Disagree |
| C15.07 | Security Alerts and Advisories | The Offeror’s security personnel shall receive and review service alerts, advisories and directives from multiple sources. This includes U.S CERT and SANS Institute security bulletins. The Offeror must perform annual pen testing of the proposed solution.  This requirement ensures compliance with NIST 800-53 control SI-5 and any of its sub-controls. | 1 | Agree  Disagree |

1. **Staffing Requirements**

| **ReqID** | **Requirement Details** | **Flexibility Rating** | **Response** |
| --- | --- | --- | --- |
| ST01 | The Offeror shall assign a dedicated (but not necessarily exclusive) Implementation Team to NMERB, which shall include the Account Manager identified in Attachment A-2: Organization Information. | 2 | Agree  Disagree |
| ST02 | Separate Confidentiality Agreements may be required from these individuals. | 2 | Agree  Disagree |
| ST03 | The Offeror shall designate an Account Manager satisfactory to NMERB as the primary contact for NMERB's staff. The Account Manager identified in your response to this RFP will be the Account Manager for the duration of the Agreement as long as the Account Manager is employed by the organization or until a mutually agreed upon replacement is named. | 2 | Agree  Disagree |
| ST04 | The Offeror shall attend four quarterly meetings in Santa Fe, New Mexico with NMERB staff, at no additional cost to NMERB, including with respect to expenses. | 2 | Agree  Disagree |
| ST05 | The Offeror shall attend other meetings, as required by NMERB, at no additional cost to NMERB, including with respect to expenses. | 2 | Agree  Disagree |
| ST06 | Offeror warrants that any key staff members identified by the Offeror and accepted by NMERB shall be dedicated to NMERB’s project as that person’s primary assignment for the duration of such person’s employment by the Offeror and that any change in assigned key staff is subject to prior NMERB approval in writing. | 2 | Agree  Disagree |
| ST07 | The following is considered the minimum on-site presence for the project:  • PAS Project Manager: 50 percent on site  • Lead Business Analyst: on-site for all requirements meetings and build validation; 50 percent otherwise | 2 | Agree  Disagree |
| ST08 | The Offeror shall meet with NMERB, at least annually, to provide a Product Roadmap. The Product Roadmap will look forward at least three years and will also denote any “sunsetting” of Proposed Solution features or functionality. | 2 | Agree  Disagree |
| ST09 | The Offeror shall participate with NMERB Risk Management Committee as requested at no additional expense to NMERB | 2 | Agree  Disagree |
| ST10 | Upon request, the Offeror shall provide a Risk Impact Assessment for any proposed/request Change Order, or other change/upgrade to the Proposed Solution | 2 | Agree  Disagree |
| ST11 | The Offeror shall cooperate with other NMERB suppliers and contractors. | 2 | Agree  Disagree |

**Attachment A-4: Questionnaire**

***Representations made by the Offeror in this Proposal become contractual obligations that must be met during the contract term.***

**Instructions:** Please provide a response to each of the following questions.

## Organizational Information

1. Please attach an organization chart and also include a Service Organizational Control (SOC) report (or available alternative if there is not a SOC report.) Include any offshore offices and teams associated with pension administration system (PAS) implementations or maintenance & support.
2. How many total employees does the company have associated with pension administration systems? In the United States alone?
3. How many employees associated with these types of products or systems does the company have in each of the following categories? Please organize these by each industry in which you operate.
4. Customer support
5. Installation and training
6. Product development (including but not limited to design, development, and testing)
7. Sales & Marketing
8. Other (please specify)
9. Confirm background checks were completed on each of your key personnel and others anticipated for assignment to NMERB. With respect to background checks, confirm no issues noted, or if noted please describe the issues identified (not identifying the particular individual).
10. Provide the average annual staff turnover rate for employees in key staff positions in your pension practice.
11. Please list the location of the company’s offices and the primary function(s) performed at each.
12. Identify the location of office(s) that will serve as the primary contact during implementation.
13. Identify the closest meeting location that the company has for the Santa Fe, New Mexico area.
14. How long has the company been in business?
15. Who owns the company?
16. Describe the organization's corporate ownership structure, including subsidiary and affiliated companies and joint venture relationships.
17. Has your company or any affiliate been sued or had other legal action (including without limitation regulatory action) in the last 5 years that may have a material impact upon the company’s financial statements or business operations? If yes, please describe each such action.
18. Will the company be involved in any acquisitions or mergers within the next 12 months? If yes, please describe.
19. List all contracts with similar scope and magnitude held within the previous five years. If a national company, list all contracts held by the office that will serve NMERB.

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

Please provide:

1. The client’s name
2. Project name
3. Contact person’s name, title, telephone number, and email address
4. The dollar value of the contract
5. The contact start and completion dates (if applicable)
6. A brief description of the products and/or services provided
7. Indicate whether the contract was similar in size, scope, or complexity as required by NMERB in this RFP.
8. List any contracts that have been terminated before the project completion in last five years with the company. Indicate whether contract was terminated for default (defined as a notice to the Offeror to stop performance due to Offeror’s non-performance or poor performance) and whether the issue was (a) not litigated or arbitrated (b) litigated or arbitrated and such litigation or arbitration determined the Offeror to be in default. Attach a description of the deficiencies in performance and describe whether and how the deficiencies were remedied.

*NMERB will evaluate the information and may also at its sole discretion reject the Offeror’s response if the information indicates that completion of a contract resulting from this RFP may be jeopardized by the responsibility history of this Offeror. These clients may be contacted as a resource to NMERB for assessing references and responsibility.*

## Financial Information

1. What was the Company’s annual gross revenue during the fiscal years 2019, 2020 and 2021? If 2021 is not yet available, provide an estimate for FY 2021 and include FY 2018.
2. What was the percentage of gross revenues invested in research and development? What about specifically within the pension administration software vertical?
3. What was the average annual company sales volume for pension administration software for the previous three (3) fiscal years?
4. What percentage of gross revenues does the sales volume for pension administration software represent?
5. Attach a copy of the company’s financial statements for the last two years (Financial Statements on an ongoing basis will be required of the party that receives the Contract award) **[**If the financial statements are not provided, the company must at least provide a letter signed by an independent third-party CPA that provides a synopsis of assets, liabilities, and equities**.]**
6. Attach a description of the company’s ability to finance additional costs that would be incurred by the company in the event it is awarded a contract resulting from this RFP. State the amount the company would need to borrow and provide documentation from the company’s lender stating its willingness to lend such amount to the company.

## Project Staffing

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

*Please be specific in describing the number of positions required, roles, responsibilities, and prerequisite skills of all NMERB staff members by project phase. Where possible, consider NMERB’s known resource constraints and suggest alternative or creative solutions.*

1. Project planning and initiation
2. Development of detailed design documents
3. Unit, System, Integration, or similar lower-level testing
4. User Acceptance Testing
5. Operational Readiness
6. Product Cutover
7. Post-implementation stabilization:
   * Warranty
   * Post-warranty
8. Provide a diagram that illustrates the Offeror’s proposed project organization. Include the roles, responsibilities and names of key project staff and any subcontractors.
9. Identify resources that are candidates to be named in contract artifacts and therefore bound to a certain allocation on the project as well as the amount of relevant experience.

*Please be specific in describing the experience of each resource to include the years of experience in the role, years of experience in other relevant roles, years of experience in the pension administration industry, and the number of Pension Administration System implementations.*

The key staff members could include the following:

1. Account Manager
2. PAS Project Manager
3. Functional Architect
4. Lead Business Analyst
5. Lead PAS Technical Resource (architect or analyst)
6. Hosting Services Manager
7. Offshore Manager
8. Provide a list of all key staff members (including but not limited to those listed above), their location by city and how often Offeror prefers they work on site versus off site, by phase. Please include your contingency plan should a key staff member need to be replaced.
9. The Offeror shall attach resumes and two (2) references from previous clients for all key staff members.

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

Resumes for each person shall include the following information:

1. Current position with the Offeror
2. Years with the company
3. Project position to be staffed
4. Education and training
5. Work experience, including past positions with the Offeror’s company and on similar PAS implementation projects
6. Technical skills and qualifications relevant to the project
7. Specific description of experience in working with the proposed software, including experience in system design, installation, support, training, management, or other areas.
8. Designate the project manager who will have overall, daily responsibility for the project. This person will be responsible for the Offeror’s project management and coordination with NMERB and other vendors.
9. Provide an organizational chart that shows the project manager’s reporting relationships within the Offeror’s organization. The Offeror should also describe the type and level of authority vested in the project manager regarding coordinating the Offeror resources in support of the project.
10. The Offeror must provide detailed information regarding the designated project manager’s experience managing projects of similar size and complexity. List and describe all projects of similar work performed by the project manager below.
11. Please specify the team and their location that will be supporting NMERB post-implementation.

## Offeror’s Solution

*For the version of the solution you are proposing, provide the following information. There is nothing to be implied from the question identification numbers other than simple identification.*

### General

1. Describe the proposed solution based on NMERB’s Administrative Requirements as stated in this RFP.
2. Describe the company’s PAS product roadmap for the next 5-10 years. Please indicate how your proposed solution will take advantage of cloud services and technologies. Please also indicate any product features or functionality that do not exist in the current version, but are required to satisfy the attached requirements and which will be placed on the PAS product roadmap.
3. Is there a planned sunset date for your proposed solution within the term of the contract? Within 5 years from your response to this RFP? If so, describe the potential replacement solution.
4. Provide a 10-year retrospective product roadmap of the proposed solution. NMERB is interested in understanding how the proposed solution has been enhanced and upgraded.
5. Describe the current mobile capabilities of the solution. Also, discuss the product roadmap for mobile capabilities. Provide sufficient details on how the mobile capabilities are designed to help NMERB to serve all their clients and other key stakeholders.
6. Provide up to **THREE** representative examples where the proposed solution has been implemented or is being implemented at other locations. Provide the most current examples that best align with the unique complexities of NMERB.. For each example, provide:
7. Client name
8. Approximate number of members, organized by type
9. Approximate number of employers
10. Number of pension plan configurations
11. Product version
12. Name of Hosting provider/service
13. Is the solution currently in production? If yes, provide the implementation year
14. Provide a list of every location where the recommended product version being proposed to NMERB has already been implemented or is being implemented.
15. Describe the solution’s ability to support customization. What is your experience implementing highly customized functionality in the product version proposed for this project? Provide specific examples.
16. Give one example of a successful implementation with the proposed solution. What made the project work well?
17. Give one example of a challenging implementation (e.g., a terminated implementation, one that was more than six months late receiving acceptance, or over budget). What happened? What were the lessons learned and how have you incorporated them into your product or methodologies?

### Cybersecurity

1. The NM Department of Information Technology (NM DoIT) requires that the Offeror provide sufficient documentation in order for NM DoIT to assess the likelihood the proposed solution meets or exceeds the attainment of NIST 800-53 Moderate baseline controls. Please provide a copy of your System Security Plan or other equivalent documentation sufficient to aid in this determination.
2. Describe the solution's capability to align with the NIST Cybersecurity Framework (CSF) to include the implementation of key NIST 800.53 Security Controls.
3. Describe the capability to demonstrate effective security controls that have been tested by an independent 3rd party. This includes evaluation of any proposed 3rd party tools or applications and data privacy and protection techniques.
4. Has the proposed solution undergone an independent security assessment? If yes, please describe the assessment and results.
5. Describe the capability of maintaining an Incident Response process and how it can be integrated into NMERB’s Incident Response process. Incident triggers defined in the plan must include breaches directly related to the NMERB environment and breaches to environments that are distinctly separate from NMERB but could pose a significant threat to the NMERB environment.
6. Describe the capability of continuous security monitoring of the solution or the capability to allow a NMERB 3rd party to govern security monitoring.
7. Who will have admin access to the architecture and application?
8. Describe controls and process for administering administration access?
9. Describe the different security measures defined for the solution (user access, roles-based security, data access, file access).
10. Describe your current state and future initiatives with respect to Third Party Risk Management
11. Describe your Cyber Insurance relationships. Would your contracted Incident Responders be able to directly support customer responders?

### Cloud Hosting

1. Describe in detail the proposed cloud hosting solution. The following, at a minimum, must be discussed:
2. Indicate whether the proposed cloud hosting solution is a Public, Private or Hybrid cloud. If the proposed cloud hosting solution utilizes a 3rd party cloud services provider;
   1. Who is the 3rd party cloud services provider?
   2. How long have you had a business relationship?
   3. What is/will be the division of duties/responsibilities between NMERB, the Offeror and the 3rd party cloud services provider in the delivery of services under this RFP?
   4. How will NMERB interact with the 3rd party cloud services provider?
   5. Does the 3rd party cloud services provider require NMERB to agree to a Terms of Service Agreement? Is so, please include a copy of the TOS in the proposal response.
   6. What responsibility does the 3rd party cloud services provider have for assuring proper patching and version control? How are the responsibilities between the Offeror and 3rd party cloud services provider coordinated?
3. How many clients are currently in production using the proposed cloud hosting solution? Also provide details of many clients that are currently in production using an alternative cloud hosting solution.
4. Where is the location of the primary hosting facility? Where is the location of any secondary or back-up hosting facility?
5. Standard or base Service Level Agreements
6. How does the proposed cloud hosting solution map to the NIST Cloud Computing Reference Architecture (NIST SP 500-292)?
7. Can NMERB manage content or data in the cloud with its own tools or only through the Offeror’s tools and/or resources?
8. How are asset availability, compatibility, software updates and hardware refreshes addressed?
9. What is the typical outage time for standard hardware and software updates?
10. How does the cloud hosting solution allow for multi-cloud integrations?
11. How will the architecture be managed to scale services during peak load demands?
12. What the service monitoring and alerting capabilities of the solution?
13. Please describe your experience deploying a combined Client/Offeror cloud hosting environment such that various solution components are split between your cloud hosting environment and the Client’s network. Also, describe the advantages and disadvantages of this approach.
14. Does the Cloud Services Provider have the ability to provision a FedRAMP certified solution? If so, which FedRAMP levels are available? If not, are there plans to attain FedRAMP certification?
15. Describe the minimum networking and bandwidth requirements that NMERB will need to be able to access the proposed solution at the Cloud Services Provider.
16. Describe the proposed solution’s backup strategy and frequency of backup.
17. Are any of the following sensitive personal information collected, stored in the database, presented to users, and encrypted at rest/transit? Check all that apply for your proposed solution.

Table

Description automatically generated

1. Is intrusion detection included for the proposed solution?
2. Are there firewalls or equivalent devices setup for the proposed solution? If so, describe how it is used? If there are no firewalls included in your proposed solution, explain why?
3. If the proposed solution is SaaS, is there a Web Application Firewall (WAF)? If so, what features are enables and defined? If there is no WAF, why is it not required?

### Architecture

1. Describe in detail the Application architecture of the proposed solution. Describe how the proposed solution will enable:
2. High level overview of the software architecture
3. High level overview of the hardware architecture to include platforms, networks, peripherals, hardware integration, and any architectural standards and buses
4. Ease of integration with existing software Applications and software tools;
5. Reuse of existing software Applications and software tools;
6. Ease of deployment of new modules and additional or enhanced functionality;
7. The parameter-based and effective-date-driven configuration of NMERB’s business rules;
8. Externalized business rules, (e.g., using iLOG or other rules engine), so that it will be easier to setup new business rules;
9. Scheduling of jobs, reports, and generation of various export files;
10. Application logging (including all portals) at a level sufficient for NMERB staff to perform auditing, security, and debugging activities as necessary; and
11. Support for web technologies used in the user interface, as well as these technologies’ ability to handle web interface vulnerabilities (e.g., XSS).

Discuss any risks and benefits associated with the products suggested. As with all components of the architecture, NMERB views technical support, available skills, long-term viability, interoperability, flexibility, and adherence to relevant standards as potential differentiators in a long-term solution. Explain how your proposed solution would meet these objectives.

1. Describe in detail the proposed modular architecture, including the use of service interfaces to software components (service implementations), and support for commonly accepted, standards-based protocols to ensure continued technical viability, and improve technical agility. Explain in detail named programming specifications, such as Web Services Description Language (WSDL) and Business Process Execution Language (BPEL).
2. Explain the degree to which the proposed solution adheres to component-based architecture, re-usable software blocks, and the effective use of modular architecture. Also explain your approach to securing transactions across the component architecture.
3. Describe how the architecture makes use of named types of tools, such as Enterprise Service Buses (ESBs) or Business Process Management (BPM) tools.
4. Explain how the proposed integration architecture facilitates the introduction of any new Applications to incorporate them into NMERB’s current or future integration architecture.
5. Provide visual depiction(s) of the proposed integration architecture. Any interim integration architecture(s) different from the final integration architecture necessary to support phases prior to full implementation must be described and visually depicted in detail.
6. Describe the proposed approach to integration, including a discussion of open Application Programming Interfaces (API), and other modular architecture-based techniques that will enable integration, and communications between different Applications and platforms.
7. Describe if the proposed solution includes an API management tool. If so, describe in detail the proposed tool.
8. Describe how new APIs are added to the proposed solution for either internal or external use.
9. Provide the file import and export formats that are supported.
10. Describe how the proposed solution will integrate with 3rd party web portals.
11. Describe your secure e-mail capabilities
12. If Open-Source Software is used, describe:
13. How it is used in the proposed solution
14. How it is tested, certified, and supported as part of the proposed solution
15. How it is monitored, tested, and patched for security vulnerabilities
16. How it is licensed
17. Provide a copy of each Open-Source license
18. Describe how the proposed solution’s information architecture meets the following objectives:
19. Insulate transaction-processing systems from the large ad-hoc queries that are required by analytical processing systems;
20. Provide a cross-organizational view of data; and
21. Provide access to data not found in transaction systems, including summary data, historical data, and external data.
22. Describe the Database Management System used in the proposed solution and discuss to what extent is the database normalized or de-normalized.
23. Describe how the proposed solution is architected to take advantage of rollback, roll-forward, and deadlock avoidance.
24. Explain how the unstructured data elements are handled. The unstructured data might include information found in correspondence, imaged documents, email, forms, reports, etc.
25. Describe how the proposed solution’s architecture provides a non-disruptive means for growth and for handling seasonal peaks of volume and utilization.

1. Outside of its use of an RDBMS, describe the data formats and data languages used in the proposed solution to support data presentation and exchange. The following, at a minimum, must be discussed:
2. The use of Adobe Acrobat Portable Document Format (PDF) for non-editable electronic documents (except images which may be stored in the TIF format specified elsewhere in this RFP);
3. The use of the most recent version of XML when capturing or authoring document content that requires further automated processing by other information systems and web-based clients using standard XML browsers;
4. The ability to import or export standard comma-delimited files;
5. Shared disk files; and
6. Describe the Database Connectivity Standards are used by the proposed solution (e.g. ODBC compliance, JDBC).
7. Include the following key artifacts in the proposal:
8. Data structure/logical data model utilized in the solution being proposed;
9. Data schema diagram;
10. Data dictionary (including table descriptions, field or column definitions and types, defined keys, and value domains); and
11. Draft Data schema definition for use by NMERB in using the ad hoc query and reporting capability.
12. Describe how the proposed solution supports configuration.
13. Which automated configuration management tools have you used in similar projects and which tool do you propose to use on this Project?
14. Describe the process used to modify rules, variables, and configuration values. Specifically, describe any scripts, menus, screens, and tools that will be provided to configure the system’s parameters, values, and rules.
15. Provide a description of how an easily configurable mechanism for adding new input/output file forms and transmission of channels would be configured and implemented. Include a sample interface strategy document.
16. Describe how the proposed solution provides for a single point of management for all the system interfaces within the solution environment, such as an “interface gateway” that provides a single point to manage design, execution, security, performance, monitoring, and documentation. Please describe the built-in functionality within the proposed solution (and include screen prints) for interface monitoring including the ability to check the status of the interfaces, error processing, and resubmitting upon correcting errors.
17. Describe how your proposed solution will recover work-in-progress in the event of a system failure.
18. Describe how the infrastructure of the proposed solution is designed such that reporting will not impact production performance.
19. Explain your print output management approach and built-in proposed functionality to accommodate high volume print jobs.
20. Describe how the proposed solution is architected to avoid overnight, weekend, or otherwise off-hour processing, but can also support off-hour processing for special projects & events.
21. Describe how you are planning to provide NMERB, and other vendors, access to nonproduction environments (development, test, staging, training, and other environments) during implementation.
22. Describe how the proposed solution will achieve the desired response time and performance requirements.
23. Describe how response time will be measured and reported to NMERB. Include sample reports and dashboards in the Proposal.
24. List any tools necessary to periodically test the System’s operational performance.
25. Describe how the proposed solution will handle concurrent processing without impeding any aspect of NMERB’s operations or day-to-day business.
26. Discuss how the proposed solution addresses scalability issues. You must address how you have considered not only future load, but also potential functionality not presently considered by NMERB.
27. Describe how the proposed solution supports the timely and secure archival of records from the proposed solution as may be required by record retention policies.
28. Describe what types of recovery strategies are available and what levels of recovery you are equipped to solve. This discussion must cover:
29. Services offered for recovery protection (i.e., 24-hour emergency coverage);
30. The response protocol in the wake of malfunctions covering every step from repair to replacement;
31. Restoration and recovery procedures;
32. Tools used to recover the database and Application to a known state;
33. High Availability – For isolated server failures: Windows crash, RAID controller failure, SQL or Windows patch fails, C drive full, bad memory chip, wrong box unplugged;
34. Disaster Recovery – For widespread outages: Data center power or network outage, domain controller failure, SAN failure, fire or earthquake; and
35. Human Error – For SQL error: DELETE without a where clause, a bug in the stored procedure for updates, and for end-user needing a restore due to human error.
36. Describe the batch processing approach for the proposed solution. Describe any special batch processing for big jobs. Describe the full breadth of batch processes, along with the reasons for these batch jobs. For each job, list the estimated impact on normal NMERB operations. Also, explain how the batch processing will not negatively impact day-to-day operations.
37. For your batch processing solution, explain the security measures to the following:
    1. Who will have admin access to the batch processes?
    2. Describe your controls and process for administering admin access?
    3. Describe the different security measures defined for the solution (user access, data access, file access)?
38. Will your proposed solution have a need to connect to New Mexico state infrastructure for any data exchange? If your response is “yes”, provide the following information:
    1. Describe the exchange mechanism (direct SQL connection, API, CSV)
    2. Identify the security channels to be used (HTTPS, VPN, IP whitelist).
39. Describe your plans for the proposed solution to monitor and review security logs/alerts and the coordination with NMERB staff. Identify the name and title of the individuals from your organization and NMERB’s to be delegated for this task.
40. Describe Identity management for your proposed solution?
41. Describe encryption key management (if any) for your solution?
42. Will your proposed solution have development, testing, and staging environment? If yes, list the security control that apply to these environments.
    1. Please list the environments you plan to setup for your proposed solution.
43. Explain how you are planning to establish system security measures necessary to protect operations against unauthorized internal or external access to the communications, servers/platforms, or operating system infrastructure.
44. Describe how the proposed solution is compliant with the most current National Automated Clearing House Association (NACHA) requirements for electronic transactions (EFTs, ACHs, and others).
45. Does the proposed solution employ any type of “middleware”? If so, provide the name of the middleware and indicate whether NMERB will have to purchase any licenses.

### Finance/Accounting Solution

1. If your proposed solution has 3rd party financial/accounting system integration, provide detailed information on the solution’s overall accounting system integration tools/technology/methodology. Include considerations for products that are not supported “off the shelf” by the proposed solution.
2. Indicate all 3rd party financial/accounting system integrations that are supported “off the shelf” by the proposed solution. Provide examples of how integrations are implemented.

### Electronic Content Management (ECM)

1. Provide examples of how your proposed solution integrates with 3rd party Electronic Content Management (ECM) system. Indicate any product integrations that are supported “out of the box”. Provide detailed information on the solution’s overall imaging/workflow integration tools/technology/methodology.
2. Describe the proposed solution’s ability to integrate with DocuSign for electronic signatures. Indicate if DocuSign has been leveraged for electronic signatures on other projects.

### Call Center & Customer Relationship Management (CRM)

1. Provide examples of how your proposed solution integrates with 3rd party Telephony systems. Indicate all Automatic Call Distribution (ACD)/Computer Telephony Integration (CTI) products that are supported “out of the box”.
2. If the proposed solution is capable of integration with NMERB’s existing telephony system; Cisco Finesse Unified Call Center, provide a list of all locations where the recommended product version being proposed to NMERB has already been successfully implemented or is being implemented using Cisco Finesse Unified Call Center. For these prior implementations was Cisco Finesse Unified Call Center a legacy telephony system that was integrated with your PAS, or was it a new implementation alongside the PAS?
3. Describe the advantages and disadvantages of using NMERB’s existing telephony system Cisco Finesse Unified Call Center vs. another solution. Indicate which solution you feel would be in NMERB’s best interest to use. Describe why the proposed solution was recommended and provide justifications and anticipated costs in the form of a Cost-Benefit analysis weighing integration with RingCentral against your proposed solution.
4. Provide examples of how Call Center & Telephony system integration is implemented. Specifically discuss:
5. Product name(s) and minimum version(s);
6. Advanced phone controls;
7. Intelligent call routing;
8. Caller authentication;
9. Automated “Screen pop”;
10. Data recording;
11. Call monitoring;
12. Automated dialing;
13. All read/Write API calls to an Integrated Voice Portal;
14. Agent callbacks;
15. How “configurable” is the integration?
16. Describe how the proposed solution supports case management.
17. Describe how the proposed solution accommodates tracking within Case Management interactions with non-NMERB members, employers, or constituents otherwise unknown within the solution.
18. Describe how the proposed solution accommodates a single call that covers multiple topics which require distinct case type/sub-type values.
19. Describe how the proposed solution supports mass mailings or targeted communication campaigns.
20. Describe how the proposed CRM solution integrates with your Portal’s secure messaging functionality.

### User Interface/User Experience

1. Describe how the proposed solution’s User Interface (UI) complies with the principles of responsive design.
2. Describe how your solution adheres to Nielsen and Molich's 10 User Interface Design Guidelines:
3. Visibility of system status
4. Match between system and the real world
5. User control and freedom
6. Consistency and standards
7. Error prevention
8. Recognition rather than recall
9. Flexibility and efficiency of use
10. Aesthetic and minimalist design
11. Help users recognize, diagnose, and recover from errors
12. Help and documentation
13. Describe how the proposed solution’s UI provides for a user-centric and workflow-driven user interface.
14. Describe the use of Wizards in your solution’s portals.
15. If the proposed solution does not currently support WCAG 2.1 or higher accessibility guidelines, provide a product roadmap that indicates when this capability will be implemented.
16. If the proposed solution does not currently support Section 508 compliance, provide a product roadmap that indicates when this capability will be implemented.
17. If the proposed solution does not currently support Responsive Web Design, provide a product roadmap that indicates when this capability will be implemented.

### Reports, Queries & Dashboards

1. Describe how the reporting functionality is implemented in the proposed solution. Also discuss how forms, letters, and e-communications are created and incorporated into the proposed solution.
2. Describe how graphics, charts and other data visualizations are incorporated into the proposed solution’s reporting capabilities.
3. Describe all tools for dashboards, reports and queries. Also, discuss the use of any third-party software applications or other reporting tools integrated into the solution.
4. Describe the level of expertise that is needed by NMERB staff to create or modify a report, query and dashboard.
5. Describe how dashboard functionality is implemented in the proposed solution.

### Workflow

1. Describe the level of expertise that is needed by NMERB staff to create a new workflow or modify an existing workflow.
2. Provide a detailed explanation of how new workflows are created and maintained.
3. Does the proposed solution provide a graphical workflow design and configuration tool? If so, describe the tool. In addition, which business process modeling notations, such as BPMN or UML, does it support?
4. Indicate whether the proposed workflow system supports business process modeling and business process simulation.
5. Describe how the proposed workflow system conforms to industry standards, such as interface specifications of the Workflow Management Coalition (WfMC) and uses Business Process Execution Language (BPEL) to describe the orchestration of services within the business processes.
6. Describe how NMERB will be able to measure workflow performance and report upon NMERB’s internal service levels.
7. Please provide a sample workflow tracking and flow report and/or Dashboard.
8. Describe the Manager/supervisor dashboard capabilities. Describe how work and work-in-process is visually represented and how user inputs can modify data displays and visuals in real-time; include a discussion of how frequent the underlying dashboard data is refreshed and how real-time alerts, notifications and messages are handled.
9. Describe your experience implementing Key Performance Indicators (KPIs) and Service Level Agreements (SLAs) in advance of the PAS go-live, where none existed in the legacy system(s). How were you involved in ongoing refinement of KPIs and SLAs in a continuous process improvement model?
10. Describe how work and work-in-progress is managed in the proposed solution. Specifically, include a discussion of how member and employer interactions and the complete end-to-end retirement processing are handled.
11. Describe how the proposed solution incorporates non-NMERB user actions/tasks within a workflow, such as a member or employer performing a step within a workflow.

## Offeror’s Approach & Methodology

### Project Management

1. Describe your software development and PAS implementation methodology (i.e., Agile, hybrid, waterfall) and why you believe this is the best approach for NMERB.
2. Describe your preferred implementation approach. Also, discuss whether the proposed Implementation approach is single phased or multi-phased. Discuss where these approaches have been used with your prior customers.
3. Explain your methodology for requirements gathering, requirements confirmation, solution design, development, all testing phases, training/go-live readiness, cutover planning, and post-implementation hyper-care support that will be used in this Project. Include diagrams or visual representations if possible.
4. What are your preferred Project Management tools and/or software products?
5. Describe the Project Deliverables and Milestones of a typical project implementation. What are the Milestones in the Project? What are the Project Deliverables listed by Milestone and Phase? Please include a detailed enough description to give NMERB a good understanding of content and include completion criteria.
6. Do you have experience implementing a PAS as part of a Business Transformation Program that is comprised of multiple projects that were delivered using a program delivery approach? How did this impact your project strategy, methodology, and project management artifacts? Were any valuable lessons learned that you could apply to this Business Transformation Program?
7. How do you anticipate Organizational Change Management (OCM) integrating with your PAS implementation approach, methodology, and project artifacts? Describe the OCM activities you believe to be critical to a successful PAS implementation.
8. How do you anticipate Data Cleansing and Conversion integrating with your PAS implementation approach, methodology, and project artifacts? Describe the most critical touchpoints for a successful PAS implementation.
9. NMERB must have a minimum of fifteen (15) full business days to review all documentation that requires a sign-off and will be granted extensions if the Offeror submits documents that are particularly lengthy (as defined by NMERB’s Steering Committee).

1. Provide a sample Implementation Plan.
2. Provide a sample Project Resource Plan.
3. Provide a sample implementation Cutover Plan.
4. Provide a sample Contract for Services/Software, License, Services and Support Agreement.

### Maintenance & Support

1. Describe the general structure of your Maintenance and Support plan along with any options available. Please describe how your Maintenance and Support plan will support compliance with the Administrative Requirements Overview of this RFP.
2. NMERB defines software maintainability to be the ease with which the solution can be modified to correct faults, improve performance, or adapt to changes in the environment (e.g., statutes and regulations). Explain how the proposed solution provides software maintainability.
3. NMERB defines hardware maintainability to be the ease with which the hardware for the solution can be maintained. Explain how the proposed solution meets this objective, where existing hardware is easily maintained, or new hardware can be easily integrated into the solution to support business needs or changes in technology.
4. Do any of your clients currently modify the code base themselves? If yes, describe how it is structured. If no, are you open to this type of approach?
5. Describe what planned outages are required by the solution, including production changes, scaling up/down, and routine maintenance. Describe the planning for installation, configuration, tuning, and similar or related activities during non-production hours as needed to ensure there will be a minimum of downtime of NMERB’s normal production activity.
6. Please describe how support for your solution will be initiated and coordinated to resolution. The location of support staff (US-based **[**or offshore**])** must be included in this description.
7. How is after hours, weekends and holiday support provided?
8. Describe how a technical support ticket is escalated if there is not a resolution within the Expected Time to Resolution time periods.
9. What is your preferred issue reporting & management tool(s)? What is your experience transitioning clients to this tool and implementing the processes required to use it?
10. How does your preferred issue reporting & management tool(s) integrate with your development toolset to support the SDLC?
11. How often are software updates scheduled?
12. Describe the process by which software updates are released and how NMERB would implement these software updates.
13. In what way is the Offeror’s customer support superior to other competitors?
14. Will the Offeror guarantee that NMERB will receive primary customer support from staff members thoroughly trained in the proposed solution for NMERB? Will these staff members be assigned to the project at least six months prior to initial go-live? Will the Offeror guarantee that these staff members will remain NMERB’s primary support for at least twelve months after final go-live?
15. Will the Offeror guarantee that NMERB will have primary contact through a project manager assigned to the project at least six months prior to initial go-live, subject to approval by NMERB? Will the Offeror guarantee that the project manager will remain NMERB’s primary contact for at least twelve months after final go-live?
16. Please discuss your pricing methodology for maintenance and support. For example, do you charge by the hour? Does the client purchase blocks of support time? Are upgrades included? Are licensing costs separate, or are they bundled in with support? Is 3rd party software/licensing required or is your solution completely supported by software proprietary to Offeror?
17. What are hourly charges (if any) for the following types of service (by role)?

|  |  |
| --- | --- |
| Service Role | Hourly Rate |
| Customer Representative |  |
| Project Manager |  |
| Programmer/Analyst |  |
| Database Administrator |  |
| Network Engineer |  |
| System Administrator |  |
| Other (please specify) |  |

1. Describe the full suite of development and maintenance tools that will be used by the programmers in developing and maintaining the proposed solution.
2. Indicate which tools you have used to develop and maintain network diagrams and schematics for similar projects and which tool you propose to use for this Project.

### Release Management

1. Describe each environment (e.g., development, testing, training, staging, etc.) and the approach/methodology for installation/patching/configuration of hardware/software. This approach must address the roles of different stakeholders, including NMERB’s IT staff in the process. Include specific examples how you have engaged client IT staff in the process from previous engagements.
2. Describe how you manage version control, how you build releases, and how releases are documented.
3. Please provide a brief history of all solution patches and releases that have been made within the past two years.
4. Describe and discuss how software version control is implemented and how updates and upgrades will be coordinated with NMERB’s computing environment. Also, describe how the solution will be able to track source code changes between versions for audit and control purposes. How is version compatibility maintained among the various products of multiple vendors?
5. Will there be software releases during the implementation and will NMERB be required to include the releases? Provide a description of how these are planned for and included.

### Testing

1. Describe the formal methods and disciplines that will be employed for testing each release of the proposed solution (e.g., unit, regression, system, QA, performance, stress, etc.).
2. Describe the use of automated testing tools in the SDLC and your release management practices. Indicate which automated testing tools you have used on similar projects and which tool you propose to use for this Project.
3. How do you integrate creation & maintenance of automated testing scripts throughout the project, and how do you execute ongoing maintenance of these scripts post-production? For clients who strive to become self-sufficient, how do you support their ability to maintain automated testing scripts post-production?
4. How do you typically test converted data? When does this occur? Explain how you align cleansed and converted data in various test cycles, especially User Acceptance Testing.
5. Describe your approach to User Acceptance Testing. How are client operations resources onboarded to the process? How are they supported during execution?
6. NMERB mandates that the Offeror use in all test phases (as soon as possible) a representative, anonymized data set, not a selective set of “clean” data or data containing PII. NMERB reserves the right at any time to request details of data sets used in all testing phases. Describe whether the proposed system will facilitate the creation of anonymized test data from a production data source.
7. Describe how your proposed solution will guarantee NMERB’s PII/PHI will not be accessed from outside of the United States.
8. What do you consider to be a maximum Defect rate on go-live for the system that the Offeror plans to implement for the NMERB?

### Operations Training & Support

1. What is your preferred knowledgebase product(s)? Does your PAS solution support integration with other 3rd party knowledgebase products?
2. Describe how your proposed knowledgebase solution manages a static content knowledge management repository (knowledge base). Provide an overview of the various features & functionality of the product.
3. Describe all ways in which your proposed knowledgebase product integrates with the PAS and with all portals.
4. Describe how help/support content is added, maintained, and removed from the knowledge management repository. What types of users can update and manage this content? Is the SDLC required?
5. How will you ensure that training and user documentation is continually updated as the product evolves in the future? Include considerations for all portal training and user support content.
6. Provide a sample Business User Manual, and Business Procedure Manual.

### Self-Sufficiency

1. Explain how your approach/methodology can support a self-sufficient maintenance and support model after System Acceptance. NMERB has not yet determined their desired level of self-sufficiency but would like more information from Offerors. Specifically discuss:
2. Creation & maintenance of correspondence (all distribution mechanisms)
3. Creation & maintenance of queries & reports
4. Creation & maintenance of interfaces
5. Creation & maintenance of workflows
6. Creation & maintenance of batch jobs
7. Addition, modification & deletion of plans and rates
8. Addition, modification & deletion of business rules
9. Describe how you have managed this type of IT knowledge transfer successfully in the past. Provide sample artifacts if possible.
10. Do you offer a User Conference or similar event? If so, please provide a copy of the most recent conference agenda.
11. Provide a list of required and recommended certifications and product training that NMERB IT staff should possess to support the PAS implementation project.
12. Indicate whether you provide certification in your proposed solution. If so, please describe the certifications and levels of certification.

**Attachment A-5: Subcontractor Questionnaire**

***Representations made by the Offeror in this Proposal become contractual obligations that must be met during the contract term.***

**Instructions:** Please complete one **"Attachment A-5: Subcontractor Questionnaire"** for each subcontractor that the Offeror proposes to have perform any of the required functions under this Agreement.

1. Provide the name of the subcontractor.
2. Specifically, what role will the subcontractor have in the performance of the Agreement?
3. Provide a brief summary of the history of the subcontractor's company.
4. List any services for which the subcontractor will be solely responsible.
5. Describe how the subcontractor will be monitored and managed.
6. Indicate the number of previous partnerships with this subcontractor
7. Describe any significant government action or litigation taken or pending against the subcontractor's company or any entities of the subcontractor's company during the most recent five (5) years. Confirm background checks for subcontractor or other entity applicable employees have been conducted and no issues identified or, if there are issues, describe the identified issues (anonymously not per individual).
8. What fidelity and surety insurance, cybersecurity, general liability and errors and omissions or bond coverage does the subcontractor carry to protect its clients? Describe the type and amount of each coverage that would protect this plan.
9. What was the Company’s annual gross revenue during the fiscal years 2019, 2020 and 2021? If 2021 is not yet available, provide an estimate for FY 2021 and include FY 2018.
10. What was the average annual company sales volume for the services for which the subcontractor will be solely responsible for the previous three (3) fiscal years?
11. Attach a copy of the company’s financial statements for the last two years (Financial Statements on an ongoing basis will be required of the party that receives the Contract award) **[**If the financial statements are not provided, the company must at least provide a letter signed by an independent third-party CPA that provides a synopsis of assets, liabilities, and equities**.]**
12. Attach a description of the company’s ability to finance additional costs that would be incurred by the company in the event it is awarded a contract resulting from this RFP. State the amount the company would need to borrow and provide documentation from the company’s lender stating its willingness to lend such amount to the company.
13. What percentage of total contract value does the subcontractor represent?

**Attachment A-6: Performance Guarantees**

*Representations made by the Offeror in this Proposal become contractual obligations that must be met during the contract term.*

**Instructions:** As part of the effort toward continuous improvement in the services provided to members, NMERB would like to implement performance standards with Offerors. These standards and accompanying guarantees may be negotiated in the finalist stage of the selection process, but NMERB would like to see an indication of the Offeror's willingness to enter into such agreements. NMERB reserves the right require Offerors to respond to an additional Performance Guarantee related questionnaire if deemed necessary.

Indicate your organization's willingness to comply with the reporting measurement described. Any deviations should be clearly described in **Attachment A-7: Deviations and Clarifications**. In addition, the Offeror shall provide their organization's Proposed Amount at Risk as a fixed dollar amount per guarantee. NMERB reserves the right to finalize performance standards, including the standard and the Amount at Risk during

negotiations with the Offeror.

Please describe in detail any additional performance indicators your organization proposes in either Microsoft Word or PDF format labeled as "**A-6: Performance Guarantees"**.

| **ReqID** | **Item** | **Proposed Performance Standard** | **Willingness to Comply** | **Proposed Amount at Risk** |
| --- | --- | --- | --- | --- |
| PG1 | Technical Support | NMERB will determine the severity level assigned to a Technical Support Ticket.  **Severity Level – Critical**   * Maximum Time Length for Initial Callback Performance Standard is 15 minutes. * Expected Time to Resolution Performance Standard is 1 clock hours. | Agree  Disagree |  |
| **Severity Level - High**   * Maximum Time Length for Initial Callback Performance Standard is 30 minutes. * Expected Time to Resolution Performance Standard is 4 clock hours. | Agree  Disagree |  |
| **Severity Level - Medium**   * Maximum Time Length for Initial Callback Performance Standard is 60 minutes. * Expected Time to Resolution Performance Standard is 2 business days | Agree  Disagree |  |
| **Severity Level – Low or Very Low**   * Maximum Time Length for Initial Callback Performance Standard is 1 business day. * Expected Time to Resolution Performance Standard is 1 week for Severity Level – Low and availability within the next Version Release or as otherwise agreed to by NMERB for Severity Level – Very Low. | Agree  Disagree |  |
| PG2 | Recovery Time and Recovery Point Objectives | **Recovery time objective:**   * Maximum system recovery time of 24 hours. | Agree  Disagree |  |
| **Recovery point objective:**   * Maximum time period of lost transactions, data changes, or work-in-process is 15 minutes. | Agree  Disagree |  |
| PG3 | Security Management Notice and Mitigation | Offeror shall notify the NMERB Project Director within one hour following the identification of any potential or actual major or minor incident, including any breach, any attack, or the introduction of any disabling device, related to the System.  Offeror shall take corrective action to mitigate the potential or actual major or minor security incident within two hours following the identification of each potential or actual Security Incident.  All potential or actual Security Incidents identification times shall be documented within the Security Report. Offeror shall provide Equipment, Facilities, Services or Software metrics to support the potential or actual Security Incidents identification time. Offeror shall also report the notification time of notifying the NMERB Project Director.  Within the Security Report, Offeror shall document the correct action taken to mitigate the potential or actual Security Incidents. Offeror shall also provide Equipment or Software metrics to support the potential or actual Security Incidents correct action mitigation.  Once an event has been confirmed to have an impact on security, the event is classified as a Security Incident | Agree  Disagree |  |
| PG4 | Security Management Report | Offeror shall provide a written report and assessment within 12 clock hours following the identification of the minor security incident regarding all actions taken concerning each identified minor security incident, including any breach, any attack, or the introduction of any disabling device, the current status, and any potential impact(s) to the NMERB Project Director of the security incident.  Offeror shall provide a high level and summary analysis in two hours and a written report and assessment within eight hours following the identification of the major security incident regarding all actions taken concerning each identified major security incident, including any breach, any attack, or the introduction of any disabling device, the current status, and any potential impact(s) to the NMERB Project Director of the security incident.  Offeror shall provide a written report and assessment regarding all actions taken concerning each identified security incident, including any breach, any attack, or the introduction of any disabling device, the current status, and any potential impact(s) to the NMERB Project Director of the security incident. Each security incident shall be categorized according to criticality as either minor or major.   * For a minor security incident, which causes limited loss of Confidential Information, integrity, protection, and/or availability of the System to organizational operations, organizational assets, or individuals, this report and assessment shall be provided within 12 hours following the identification of the minor security incident. * For a major security incident, which causes serious or catastrophic loss of Confidential Information, integrity, protection, and/or availability of the Systems to organizational operations, organizational assets, or individuals, this report and assessment shall be provided within eight hours following the identification of the major security incident.   The NMERB Project Director, in his sole discretion, may require Offeror to update this report and assessment on an hourly or daily basis depending on criticality, status, and possible impact to NMERB. | Agree  Disagree |  |
| PG5 | System Availability | The System, in whole and in part, including but not limited to Hosting Services, must have Availability for User in accordance with Requirements 99.95% of the time 24 hours/day, seven days per week, except for planned maintenance | Agree  Disagree |  |
| PG6 | System Performance – Response Times | Offeror must meet the following response time Performance Standards for the System during Acceptance Tests and after the System, in whole or in part, is in Production:   * Maximum response time for query and update functions of 98% of covered transactions within 2 seconds. * All Batch jobs must have a finite run-time of no more than 4 hours, except as otherwise approved by NMERB | Agree  Disagree |  |

### Attachment A-7: Deviations & Clarifications

##### *Representations made by the Offeror in this Proposal become contractual obligations that must be met during the contract term.*

All deviations from the specifications of the Request for Proposal (RFP) must be clearly defined using the following table. Explanations must be numbered to correspond to the attachment section and requirement identifier (ReqID) to which it pertains. ***This section must be signed by an officer of your company. If you are not claiming any deviations, indicate "No Deviations" below and have an officer sign the certification.***

###### Enumerate and provide a detailed description of each deviation between your response and these specifications. Deviations are strongly discouraged and must be specially identified and described in detail in order to be considered. NMERB will interpret your responses to match the specifications herein except for deviations specifically noted and described in response to this item.

***Notwithstanding the foregoing, deviations will not become a part of the final Agreement unless expressly agreed to by NMERB in the main body of the Agreement signed by the Executive Director.*** In all cases, the RFP and the Agreement terms shall control. In the absence of any identified deviations, your organization will be bound to the terms of the RFP.

###### I hereby certify that I have reviewed the administrative services specifications contained in NMERB's RFP and agree to honor those terms as described in the specifications, including the required provisions of the Agreement, except as noted in this section.

Deviations have been provided in the exhibit below.

No Deviations

Signature

Title

Date

| **Section #** | **ReqID** | **Response** |
| --- | --- | --- |
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**Attachment A-8: Signature Page**

In accordance with our attached proposal(s), hereby agrees, if selected by NMERB, to enter into negotiations for Agreement(s) to provide services for a Pension Administration System beginning September 1, 2022. I have read the RFP from which this page is taken and verify that the above named organization can meet the requirements outlined.

Name of Individual Signing this Form:

|  |  |  |
| --- | --- | --- |
| Name:  Title: | | |
| Address: | | |
| City: | State: | ZIP: |
| Telephone #: | | |

The primary contact person regarding this proposal is:

|  |  |  |
| --- | --- | --- |
| Name:  Title: | | |
| Address: | | |
| City: | State: | ZIP: |
| Telephone #: | | |

The Number of Addenda you received is: [ ]

I hereby certify that I have the authority to bind the above named company. As an officer of the organization, I have attached a copy of the document granting this authority and it is provided in the response attachment labeled **A-8: Authorization Documentation**.

Signature Date