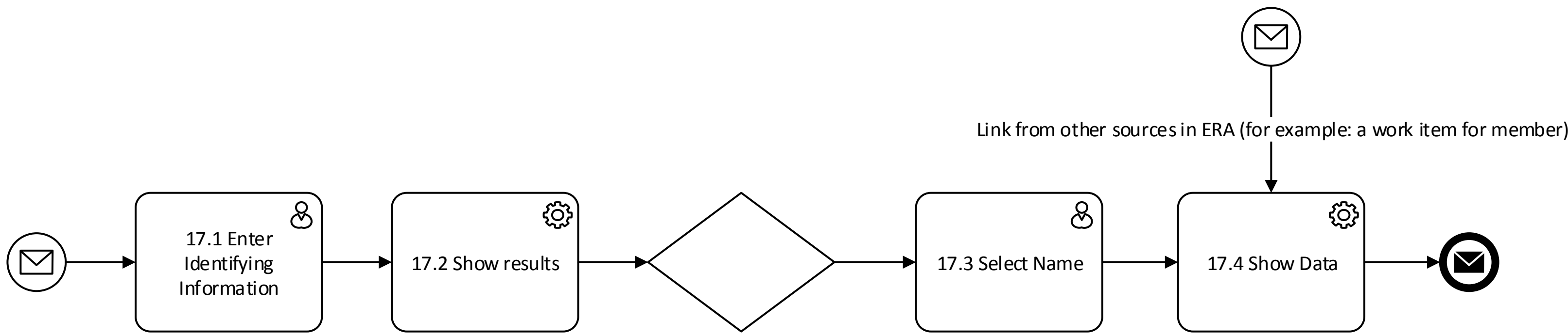
Process/Workflow Name: 17.0 Member Lookup



Process Description: This process provides the function for authorized users to lookup data on current employees, past employees, or prospective employees that may have history in a Washington State retirement plan (and possibly a First Class City or Higher Education Plan).

Disclaimer: Workflows and requirements are subject to change as additional requirements are flushed out through the analysis process.

User Stories for Member Lookup processes:

1) As a current employer of a member, I would like the ability to lookup a member, so that I can manage that member's account.
2) As a prospective employer of a potential employee, I would like the ability to lookup the potential employee, to determine what system and plan the member may be eligible for when I hire them.
3) As a past employer of a member, I would like the ability to lookup a member, so that I can make any corrections to their account for the period they were working for me.
4) As a DRS employee, I would like the ability to lookup a member for any employer, so that I can assist employers with maintaining member's account information.

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
17.0		Parent Process	**Member Lookup**. This process provides a function for employers and DRS team members to lookup data on current employees, past employees or prospective employees that may have prior history in a Washington State retirement plan (and possibly FCC and/or HERP).		
17.0		Input	• After an employer or DRS member has logged into the portal, they will enter the identifying information to lookup data on a past, current or prospective employee.	There are a couple of suggestions on what information an employer would enter to view the data: 1. Full social security number 2. First and Last name of employee 3. Last name and last four digits of social security number 4. Also can enter birthdate in addition to one of the other options to narrow down search	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
17.0		Output	• Profile information about the employee. • Historical reported information about the employee. • Current employee information. • Prior history in a Washington State retirement plan (and possibly other plans like first class city or HERP)	For example rejected data about employee or alerts for outstanding items that need to be addressed by the employer or DRS member.	
17.0	R1	Business Requirement	This process should have accessibility to the following services: • New Hire Pyramid • Member Eligibility Process • Enroll Member Process		
17.1		Child Process	**Enter Identifying Information.**		
17.1		Input	Enter the identifying information to lookup data on a past, current or prospective employee.	There are a couple of suggestions on what information an employer would enter to view data: 1. Full social security number 2. First and Last name of employee 3. Last name and last four digits of social security number 4. Also can enter birthdate in addition to one of the other options to narrow down search	
17.1		Output	Information is validated and sent to system.		
17.1	D1	Data	Social Security Number		
17.1	D2	Data	First name of employee		
17.1	D3	Data	Last name of employee		
17.1	D4	Data	Birthdate of employee		
17.1	R1	Business Requirement	To confirm identity of member, the system will compare existing data to new data. If there is a match, the member's identity is assumed to be confirmed. (Example: Social security number or first and last Name,		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			last name and last for digits of social security number. There are other possible combinations that confirm the member.)		
17.2		Child Process	**Show Results.**		
17.2		Input	Enter the identifying information to lookup data on a past, current or prospective employee.		
17.2		Output	All potential matches from the entered identifying information.		
17.2	F1	Functional Requirement	If there is more than one result from the search, show all potential matches		
17.2	F2	Functional Requirement	If there are no potential matches notify user.		
17.3		Child Process	**Select Name.**		
17.3		Input	All potential matches from the entered identifying information.		
17.3		Output	The name selected from the potential matches.		
17.3	F1	Functional Requirement	The ability to sort the list of potential matches by any of the identifying information.		
17.3	F2	Functional Requirement	The ability to select a member from a list one or members.		
17.4		Child Process	**Show Data.**		
17.4		Input	The name selected from the potential matches.		
17.4		Output	All the data associated with the name selected.		
17.4	R1	Business Requirement	This data could also be accessed from other parts of the system (for example maybe from an alert, task or other work item where an employer or DRS member needs to drill down into information about an employee)		

Process/Workflow Name: 17.0 Member Lookup

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
17.4	F1	Functional Requirement	Messaging regarding member's deadlines (like plan choice date coming up), warnings (like retired with 2008 ERF, DCP Deferral Limit) or employer notes.		
17.4	F2	Functional Requirement	If a search for a member results in a list, the ability to sort the list by any of the data elements.		
17.4	R2	Business Requirement	Only certain information is viewable depending on if the person is a prospective, current or past employee with the employer (See Appendix A)		
17.4	R3	Business Requirement	Authorized DRS employees will be able to see all member data to assist employers.		
17.4	D1	Data	Member Name		
17.4	D2	Data	Member Address		
17.4	D3	Data	Member social security number		
17.4	D4	Data	Member System/Plan		
17.4	D5	Data	ERF Choice		
17.4	D6	Data	Employer Notes		
17.4	D7	Data	Earnings Month/Year (Earning Period)	The earning period is the year and month in which the compensation was earned. Only one earning period can be reported per transaction. Create transactions for each earning period that needs to be reported.	
17.4	D8	Data	Member Compensation	In general, the salaries or wages earned by a member for personal services during a calendar month, payroll period, or fiscal year are reported as compensation. (Employer handbook)	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				Only for what was reported by the employer viewing the information	
17.4	D9	Data	Defined Benefit Member Contributions	Member contributions for members of all systems and plans other than PERS, SERS, and TRS Plan 3. Contributions must be the product of the following calculation: contributions = (compensation) x (member contribution rate), calculated to four decimal points (200.0159) and rounded to two decimal points (200.02) (Employer Handbook) Only for what was reported by the employer viewing the information.	
17.4	D10	Data	Defined Contributions	Member contributions for Plan 3. Once a member chooses Plan 3 all member contributions should be reported in Plan 3--including any contributions on previously unreported earnings as a Plan 2 member. Contributions should be the product of the following calculation: contributions = (compensation) x (member contribution rate), calculated to four decimal points (200.0159) and rounded to two decimal points (200.02). Note: DRS does not edit Plan 3 member contributions or deferrals according to this formula. All defined contributions for members in Plan 3 must be calculated on the rate in effect at the time the compensation is paid. If you need to adjust contributions	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				previously paid, base your corrections on the contribution rate in effect when the original compensation was paid. (employer handbook)	
17.4	D11	Data	Member Defined Contributions Transferred to Plan 3	Included in requirements per the decision statement for the ERA project Issue Log Item #1	
17.4	D12	Data	Member Hours	For all retirement systems and plans except TRS Plan 1, service is reported in hours. Use this field to report the hours the member worked during the earning period being reported. Hours must be reported to the nearest tenth. Hours or Days Report the number of hours or days for which a member receives compensation. Hours or days must be reported to the nearest tenth. **Note:** All systems except TRS Plan 1 report hours. Days should be reported for TRS Plan 1 members. (Employer handbook) Only for what was reported by the employer viewing the information	
17.4	D13	Data	Member Days	Only for TRS 1	
17.4	B1	Business Rule	Member Days will be reported for TRS Plan 1 members. All systems except TRS Plan 1 report hours.		
17.4	D14	Data	Employer Contributions	Employer contributions are due on all compensation reported for each earning period. Contributions must be the product of the following calculation:	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				contributions = (compensation) x (employer contribution rate), computed to four decimal points (200.0159) and rounded to two decimal points (200.02) (employer handbook)	
17.4	F3	Functional Requirement	Employers have the ability to view their total contributions by employee.		
17.4	F4	Functional Requirement	Employers have the ability to view total earnings		
17.4	F5	Functional Requirement	Employers have the ability to view total earnings broken down by transaction.		
17.4	D15	Data	Employment Status (MSP Status?)	Active • Retired • Beneficiary • Non-retired Legal Order Split Account for the Legal Order Payee Retired Legal Order Split Account for the Legal Order Payee Data Elements from: • Determine Member Eligibility • Earning Activity	
17.4	D16	Data	Type codes	The Type Code identifies the type of employer, and in some cases, the type of work performed by the member. DRS Employer Handbook Chapter 7: Type Codes List	

Process/Workflow Name: 17.0 Member Lookup

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
17.4	D17	Data	Status codes	Status codes identify the status of the compensation, contributions, and hours or days being reported for a member. Only one status code can be reported per transaction. In the future, pay type will be broken out by categories like base, overtime, and bonus. It should also describe if the overtime was mandatory versus voluntary.	
17.4	D18	Data	Total Service credit	This is total service credit earned by the employee while working for a DRS covered employer. Data Elements from: • Determine Member Eligibility • Earning Activity Included in requirements per the decision statement for the ERA project Issue Log Item #1	
17.4	D19	Data	Service credit by employer	The employer will be able to view what service credit was earned while working for their organization.	
17.4	D20	Data	Edit messages	Rejected data, as well as edit messages for the SSN. DCP Edit messages?	
17.4	D21	Data	Employment history with a First Class City.	This data is not currently available in DRS's system. Would require data share agreement with First Class Cities.	
17.4	D22	Data	HERP information.	This data is not currently available in DRS's system. Would require data share agreement with HERP plans.	

Process/Workflow Name: 17.0 Member Lookup

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
17.4	D23	Data	Max compensation limits, e.g.: (ex 401A limits)	View what's paid in a calendar year as well as view what's earned in a calendar year. Possibly view by transaction date. This would also apply to DCP and Plan 3.	
17.4	D24	Data	Retiree returned to work hours and limits for the member	For current employer, MRV will display hours and earnings but only displays hours for other employers.	
17.4	D25	Data	Discrepancies in earnings information	In MIS, "discrepancies" means if a taxed employer send contributions that don't match what DRS calculates, DRS takes what they send and mark the earnings detail with "D". Any transaction with a "D" must be fixed.	
17.4	D26	Data	DCP Employee deferral amount (monthly)	Currently broken out by department number (is this the RG #). Will show total monthly amount per employee (regardless of what employer they were/are working for).	
17.4	D27	Data	DCP Employer contribution amount	Current discussion with DCP team members (11/05/2014 Tracie). On the form this is broken out, may not be broken out in the future.	
17.4	D28	Data	Total DCP Deferral Amount (yearly accumulative) to show limits	Currently broken out by department number. Will show total accumulative amount per employee (regardless of what employer they were/are working for). DCP spec show total which includes employer contribution…so what happens when employee changes amount?	
17.4	D29	Data	DCP Deferral start date	First payday that an employee has a DCP deduction (deferral) taken from their compensation.	
17.4	D30	Data	DCP deferral changes	Would like to view future deferrals set in DCP spec – amount and dates	
17.4	D31	Data	Plan choice status	Including January transfer	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				• 2C = New Plan 2 member chooses Plan 2 • 3C = New Plan 2 member chooses Plan 3 • 3D = New Plan 2 member is defaulted into Plan 3 • 3X = Plan 2 member of PERS, SERS, or TRS transfers to Plan 3 per the January Transfer Option	
17.4	D32	Data	Plan choice date		
17.4	D33	Data	Rate option	The Plan 3 contribution rate options are: • Option A: 5% fixed at all ages • Option B: 5% up to age 35; 6% ages 35 to 44; 7.5% age 45 and up • Option C: 6% up to age 35; 7.5% ages 35 to 44; 8.5% age 45 and up • Option D: 7% fixed at all ages • Option E: 10% fixed at all ages • Option F: 15% fixed at all ages	
17.4	D34	Data	Investment program	• Self-Directed Investment Program • Washington State Investment Program	
17.4	D35	Data	Any M codes that have been reported for the member	Although lump sum payments can be reported with status code M, it is preferable to use status code A for your reporting. Be aware of the following points when reporting lump sum payments with status code M: • The lump sum payment must be reportable compensation. • No service should be reported with status code M; service must have been reported previously.	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				• If the earning period for the lump sum payment falls into more than one contribution rate period, use separate lines on the transmittal to report the earnings applicable to each rate period. • If the earning period for the lump sum payment falls into the period of time used to calculate the member's retirement benefit (the AFC period), a month-by-month breakdown of the lump sum payment will be required at the time of the member's retirement. • Status code M is also used to report lump sum reductions in compensation. (The compensation must be reversed by each contribution rate period that applies.) The following are examples of the types of lump sum payments that are reported with status code M. • Lump sum settlements resulting from employment agreements • Court-ordered back-pay settlements • Holiday and longevity pay • Lump sum bonus payments (if reportable compensation) Note: DRS recommends using status code A instead of status code M for any compensation you expect to be part of the member's AFC period.	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				Will document in the earning activity process, the ability to automatically split M code dollars into each month in the period and assign status code A to each. Employer would provide the dollar amount, the period range, description of type of pay (base, overtime (mandatory vs voluntary), bonus, etc.).	
17.4	D36	Data	Indicate if earnings are tied to paid optional bills, mandatory bills or member audits.		
17.4	D37	Data	Position title/Job type	Currently not submitted by employers	
17.4	D38	Data	Position identifier	Not all employers use position numbers.	
17.4	D39	Data	DCP separation date		
17.4	D40	Data	DCP temporary deferral date	WE have a temporary suspend.. Would like to track and view dates for temporary suspend? **Note:** Need to clarify with Tracie what this is and whether or not this should be the Deferral Temporarily Suspended flag.	
17.4	D41	Data	Eligible for Retirement	Included in requirements per the decision statement for the ERA project Issue Log Item #1	
17.4	D42	Data	Applied for Retirement	Included in requirements per the decision statement for the ERA project Issue Log Item #1	
17.4	D43	Data	Disability Application Approved	Included in requirements per the decision statement for the ERA project Issue Log Item #1	

Appendix A

Table heading descriptions:

- **Data elements**: These are the data elements that will display (if there is data available) when the Member Lookup functionality is used.
- **Past employee:** from an employer's perspective, this is an employee that worked for the employer previously but does not currently work for them.
- **Current employee**: from an employer's perspective, this is an employee that is currently working for the employer.
- **Prospective employee:** from an employer's perspective, this is a person that is not working for the employer but may possibly be working for them in the future.

Data Elements	Past Employee	Business case for showing data	Current Employee	Business case for showing data	Prospective Employee	Business case for showing data
Member Name	X	Need to help identify the person	X	Need to help identify the person	X	Need to help identify the person
Member Address	X	Employer may need information for retro reporting or may have refund due to corrections and need to mail out.	X	To do any communication		
Member Phone Number	X	Employer may need information for retro reporting or may have refund due to corrections and need to mail out.	X	To do any communication		

Process/Workflow Name: 17.0 Member Lookup

Data Elements	Past Employee	Business case for showing data	Current Employee	Business case for showing data	Prospective Employee	Business case for showing data
Member Email	X	Employer may need information for retro reporting or may have refund due to corrections and need to mail out.	X	To do any communication		
Member social security number	X	Need to help identify the person (show only last four)	X	Need to help identify the person	X	Need to help identify the person (show only last four)
Member Birthdate	X	It is entered as an identifying piece of information.	X	It is entered as an identifying piece of information.	X	It is entered as an identifying piece of information.
Member System/Plan (historical and current)	X	For corrections and refunds	X	To validate what DRS has on file (current employer owns this data)	X	To help with eligibility and placement
ERF Choice with date (historical and current)	X	By default will show here because showing in prospective	X	Validates what DRS has on file and potentially impact retirement status, benefit or eligibility for ineligible positions and RRTW rules affect reporting.	X	To help with eligibility and placement
Employer's Own Notes (just for the employer that is looking up).What they enter.	X	Help to reconcile accounts or help recall	X	Employers wanted retirement specific notes		

Data Elements	Past Employee	Business case for showing data	Current Employee	Business case for showing data	Prospective Employee	Business case for showing data
		information they need to help member or DRS		for members to keep together.		
Compensation, Hours by Month/Year (Earning Period). (Just for the employer that is looking up What they enter.)	X	For corrections and refunds (RFEI). Validate information sent in	X	For corrections and refunds (RFEI). Validate information sent in		
Total Member Compensation by year (Just for the employer that is looking up What they enter.)	X	Help to reconcile accounts or help recall information they need to help member or DRS	X	Help to reconcile accounts or help recall information they need to help member or DRS		
Defined Benefit Member Contributions	X		X			
Defined Contributions	X		X			
Member Defined Contributions Transferred to Plan 3	X	• Employers have said this information will assist them in making timely corrections and reconciling their records. • These same contributions are shared with the employer while the member is in Plan 2	X	• Employers have said this information will assist them in making timely corrections and reconciling their records. • These same contributions are shared with the employer while the member is in Plan 2		

Process/Workflow Name: 17.0 Member Lookup

Data Elements	Past Employee	Business case for showing data	Current Employee	Business case for showing data	Prospective Employee	Business case for showing data
Member Hours	**X**		**X**		**Don't Show**	
Member Days	**X**		**X**		**Don't Show**	
Employer Contributions	**X**		**X**		**Don't Show**	
Employment Status (MSP Status?)	**X**		**X**		**X**	
Type codes	**X**		**X**		**Don't Show**	
Status codes	**X**		**X**		**Don't Show**	
Total Service credit (by system?)	**X**	Employers have said this information will help them to determine a retiree's membership options in another system	**X**	Employers have said this information will help them to determine a retiree's membership options in another system	**X**	Employers have said this information will help them to determine a retiree's membership options in another system
Service credit by employer (not be able to see other employers data)	**X**	Employers have said this information will help them to verifying they have correctly reported member hours.	**X**	Employers have said this information will help them to verifying they have correctly reported member hours.	**Don't Show**	
Edit messages	**X**		**X**		**Don't Show**	
Employment history with a First Class City.	**X**		**X**		**X**	
HERP information.	**X**		**X**		**X**	

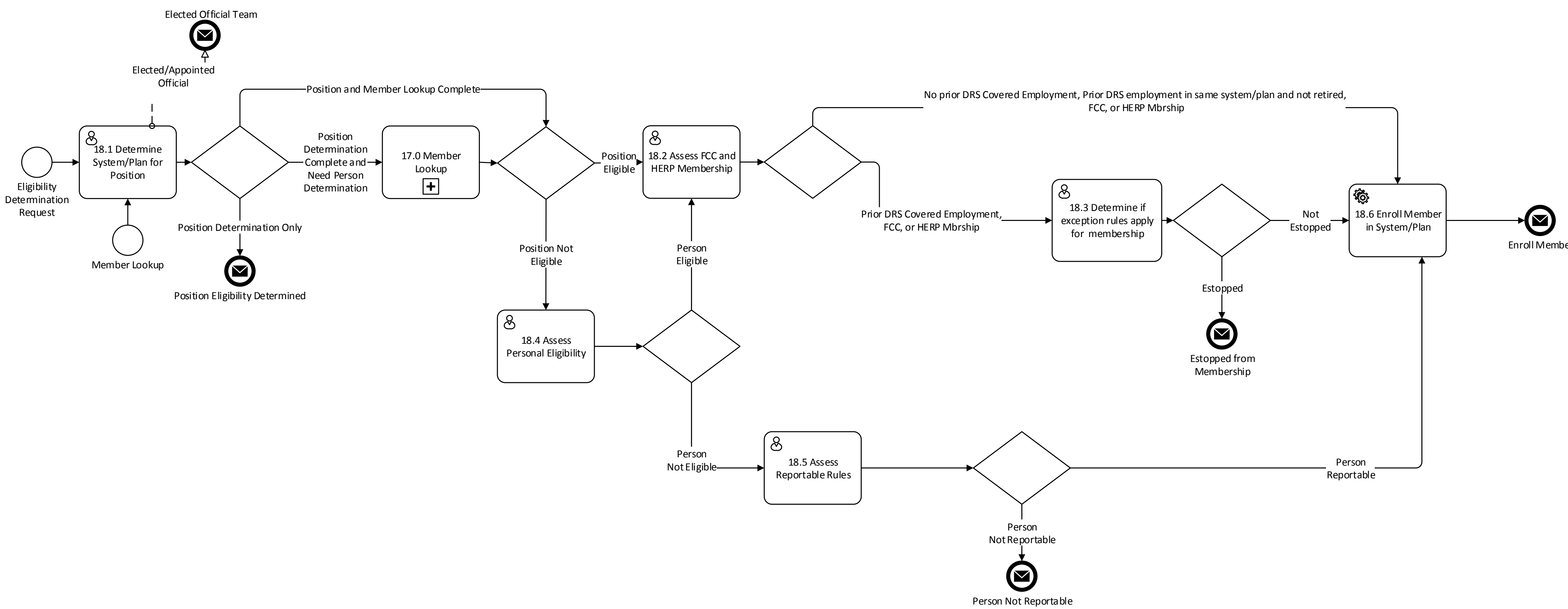
Data Elements	Past Employee	Business case for showing data	Current Employee	Business case for showing data	Prospective Employee	Business case for showing data
Max compensation limits, e.g.: (ex 401A limits)	**X**		**X**		**X**	May need to take reduce contributions or no contributions
Retiree returned to work hours and limits for the member	**X**		**X**		**X**	
Discrepancies in earnings information	**X**		**X**		**Don't Show**	
DCP deferral amount (monthly)	**X**		**X**		**X**	
Total DCP Deferral Amount (accumulative (Year to Date (Yearly total))	**X**		**X**		**X**	
DCP Deferral start date	**X**		**X**		**Don't Show**	
Plan choice status	**X**		**X**		**X**	
Plan choice date	**X**		**X**		**X**	
Rate option	**x**		**X**		**Don't Show**	
Investment program	**x**		**X**		**Don't Show**	
Any M codes that have been reported for the member	**X**		**X**		**Don't Show**	
Indicate if earnings are tied to paid optional bills, mandatory bills or member audits.	**X**		**X**		**Don't Show**	
Position title/Job type	**X**		**X**		**Don't Show**	
Position identifier	**X**		**X**		**Don't Show**	
DCP separation date	**X**		**X**		**x**	

Data Elements	Past Employee	Business case for showing data	Current Employee	Business case for showing data	Prospective Employee	Business case for showing data
DCP temporary deferral date	**X**		**X**		**Don't Show**	
Eligible for Retirement	**X**	• Employers have said this information will help them to make accurate eligibility determinations at time of hire (e.g., members eligible to retire from a DRS system cannot participate in a higher education retirement plan). • Employers have said this information will help them closely monitor final earnings and cash out information for accuracy (reduces VOEs). • Assists employers with managing the VEBA process (e.g., helps	**X**	• Employers have said this information will help them to make accurate eligibility determinations at time of hire (e.g., members eligible to retire from a DRS system cannot participate in a higher education retirement plan). • Employers have said this information will help them closely monitor final earnings and cash out information for accuracy (reduces VOEs). • Assists employers with managing the VEBA process (e.g., helps	**X**	• Employers have said this information will help them to make accurate eligibility determinations at time of hire (e.g., members eligible to retire from a DRS system cannot participate in a higher education retirement plan). • Employers have said this information will help them closely monitor final earnings and cash out information for accuracy (reduces VOEs). • Assists employers with managing the VEBA process (e.g.,

Data Elements	Past Employee	Business case for showing data	Current Employee	Business case for showing data	Prospective Employee	Business case for showing data
		identify who's eligible for the annual vote).		identify who's eligible for the annual vote).		helps identify who's eligible for the annual vote).
Applied for Retirement	**Don't Show**		**X**	• Employers have said this information will help them to avoid erroneous reporting and submit final reporting in a timely manner. • Employers have said this information will help them to manage reporting of employees who are currently working in ineligible positions and retiring from a DRS system. • Provides employers additional information that will be helpful in determining membership rights of a new hire.	**x**	• Employers have said this information will help them to avoid erroneous reporting and submit final reporting in a timely manner. • Employers have said this information will help them to manage reporting of employees who are currently working in ineligible positions and retiring from a DRS system. • Provides employers additional information that will be helpful in

Data Elements	Past Employee	Business case for showing data	Current Employee	Business case for showing data	Prospective Employee	Business case for showing data
						determining membership rights of a new hire.
Disability Application Approved	**Don't Show**		**X**	• Provides employers additional information they can use to timely report final earnings and separation information so disability benefit payments can begin. • The status would only need to display temporarily for an individual member (once the first disability benefit payment is made, the status would change to "retired")	**Don't Show**	

Process/Workflow Name: 18.0 Determine Member Eligibility



Process Description: This process facilitates the assessment of position eligibility as a well as a person's eligibility to participate in a DRS retirement plan.

Disclaimer: Workflows and requirements are subject to change as additional requirements are flushed out through the analysis process.

User Stories for Determine Member Eligibility processes:

1) As an authorized user, I would like to have the ability to do an assessment of position eligibility, so that I can determine what retirement system the position falls under and whether or not it is eligible.
2) As an authorized user, I would like to have the ability to do an assessment of person eligibility in tandem with an assessment of position eligibility, so that I can determine position eligibility and person eligibility.
3) As an authorized user, I would like to be able to pick what system the position is eligible for without completing an assessment of the position, so that I can continue on with an assessment of person eligibility.
4) As an authorized user, I would like to be able to identify that a position is a contract position, so that I can assess if the person retired under the 2008 ERF.
5) As an authorized user, I would like to be able to retrieve historical position and person assessments, so that I can review them on an annual basis and update them as they change.
6) As an ESS team member or Audit team member, I would like to be able to retrieve historical position/person assessments completed by an employer, so I can review them to ensure that the employer is complying with DRS eligibility requirements.

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.0		Parent Process	**Determine Member Eligibility.** This process facilitates the assessment of position eligibility as well as a person's eligibility to participate in a DRS retirement Plan.		
18.0		Input	• Authorized user has initiated the process to make an eligibility determination. • Authorized user may come from the Member Lookup process and initiated the process to make an eligibility determination.		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.0		Output	• Position eligibility determination is complete and authorized user does not wish to continue with the person eligibility process. • Position is an elected/appointed position and notification is sent to the Elected Official Team. • Position and person eligibility is complete and position/person is deemed reportable to DRS and member should be enrolled in the system/plan. • Position is complete and deemed eligible but person is estopped from membership. • Position and person eligibility is complete and position/person is deemed not reportable to DRS and ongoing monitoring of the position/person should be done.		
18.0	R1	Business Requirement	An authorized user will be able to answer questions that will assist them in determining position and person eligibility based on a specific Job Title/Contractor Status.		
18.0	R2	Business Requirement	An eligibility check will be done using the business rules if the employer enrolls the member without answering the questions.		
18.0	F1	Functional Requirement	The system will keep a history of each position and person eligibility check an employer completes.		
18.0	F2	Functional Requirement	Authorized users will be able to search and review a history of each position and person eligibility check that has been completed for that employer.	Note: • This is important for a couple reasons: ○ The DRS audit team goes through employer files to determine if employers have completed an eligibility check	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				for a position as well as the retirement status form for the person. ○ Employers will want to revisit position/person eligibility checks for ongoing monitoring.	
18.0	F3	Functional Requirement	Authorized users will have the ability to filter their search on multiple criteria to narrow down their results.		
18.0	D1	Data	Identifier	Need to have some sort of identifier that a user can use to search historical positions.	
18.0	D2	Data	Date Range of when assessment was completed	**New Data Element**	
18.0	D3	Data	Job Title	**New Data Element**	
18.0	D4	Data	Member SSN	**Existing Data Element**	
18.0	D5	Data	Member Name	**Existing Data Element**	
18.0	D6	Data	Person who completed the assessment	**New Data Element**	
18.0	F4	Functional Requirement	Authorized users will have the ability to select a historical completed position and person eligibility check, have data from that prior eligibility check prefill, and be able to make changes/revalidate eligibility. Any changes made will create a new eligibility record and will not save over the historical record.		

Process/Workflow Name: 18.0 Determine Member Eligibility

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.0	F5	Functional Requirement	Authorized users will have the ability to save, view and print the position and person eligibility check they have competed. • Will include all answers they selected in the position and person eligibility.		
18.0	F6	Functional Requirement	The employer will receive an annual reminder to review ineligible positions.		
18.1		Child Process	**Determine System/Plan for Position.** This process facilitates the assessment of position eligibility.		
18.1		Input	• Authorized user has initiated the process to make an eligibility determination. • Authorized user came from the Member Lookup process and initiated the process to make an eligibility determination.		
18.1		Output	• Position eligibility determination is complete and authorized user does not wish to continue with the person eligibility process. • Position is an elected/appointed position and notification is sent to the Elected Official Team. • Position eligibility determination is complete and authorized user continues with the person eligibility process. • Position is a contract position and authorized user needs to continue with the person eligibility process to determine if there is a 2008 ERF impact.		
18.1	R1	Business Requirement	An authorized user will have the ability to assess position eligibility without doing a person eligibility assessment.		
18.1	R2	Business Requirement	An authorized user will have the ability to assess position eligibility and continue on to assess person eligibility.		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.1	F1	Functional Requirement	An authorized user will have the ability to select a retirement system and whether the position is eligible or not and continue with assessing person eligibility without going through assessing the position eligibility.		
18.1	F2	Functional Requirement	An authorized user will have the ability to select that the position is a Contract position.		
18.1	B1	Business Rule	If position is a contract position the authorized user will be told that the position is ineligible for membership, however they must complete person eligibility as they may be reportable to DRS if the person retired under the 2008 ERF.		
18.1	F3	Functional Requirement	If position is a contract position need to provide link to Independent Contractor Status Questionnaire.		
18.1	O1	Document	Independent Contractor Status Questionnaire		
18.1	F4	Functional Requirement	An authorized user will have the ability to select a job title specific to the employer type.	**See the following:** Appendix B - Employer Type and Job Title Matrix Mainframe = ERTYPE	
18.1	D1	Data	Job Titles: • Firefighter • EMT • Supervises FF/EMT • Volunteer FF • City Police Officer • Town Marshal • Deputy Marshal • County Sheriff	**New Data Element**	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan

			• Deputy Sheriff
			• Undersheriff
			• Chief Criminal Deputy
			• Chief Civil Deputy
			• Jail Superintendent
			• Inspector
			• Administrative Assistant
			• Administrative Secretary
			• Port District General Authority Law Enforcement Officer
			• State University or College Authority Law Enforcement Officer
			• Commissioned Public Safety Officer
			• Director of Public Safety of a city or a town
			• Fish and Wildlife Enforcement Officer
			• Commissioned as a limited authority Washington Peace Officer
			• Completion of a certified criminal justice training course, with authority to arrest, conduct criminal investigations, enforce criminal laws, and carry a firearm
			• Primary responsibility to ensure the custody and security of incarcerated or probationary individuals
			• Primary responsibility to supervise PSERS positions
			• Other
			• Elected/Governor Appointed/Appointed by Another Authority
			    ○ Board Member
			    ○ Director
			    ○ Chief of Washington State Patrol Mandated into WSPRS
			    ○ Attorney General		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ Governor ○ Governor Chief of Staff ○ Justice ○ Lieutenant ○ Representative ○ Auditor ○ Secretary ○ Senator ○ Treasurer ○ Superintendent ○ Coroner ○ Medical Examiner ○ Court Clerk ○ Council Member ○ Commissioner ○ Assessor ○ Treasurer ○ Judge ○ Mayor ○ Prosecuting Attorney ○ Sheriff – Mandated into LEOFF follows LEOFF Path ○ City manager or chief administrative officer of a city or town ○ Chief administrative officer of a county ○ Chief administrative officer of a Port District ○ Chief administrative officer of a Public Utility District • Teacher (K-12)		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• School Administrator (K-12) • Non Certificated School District Position (K-12) • Faculty (HE) • Professional (HE) • WSP Cadet • WSP Trooper		
18.1	B2	Business Rule	If the authorized user selects the job title of "Other" they will need to enter a Job Title Descriptor.		
18.1	D2	Data	Job Title Descriptor for "Other"	**New Data Element**	
18.1	D3	Data	Begin Date (Employment Period) • Format = Date mmddyyyy	**Existing Data Element** **Description:** • Date the position is expected to begin.	
18.1	F5	Functional Requirement	Only DRS Employees will have the ability to modify job titles.		
18.1	R3	Business Requirement	An authorized user will have the ability to answer questions based on the job title they selected to determine what retirement system the position falls under and whether the position is eligible or ineligible.	**See the following for what questions should be asked based on the job title selected:** Appendix A - Position Eligibility Decision Trees	
18.1	B3	Business Rule	If Chief of Washington State Patrol job title is selected, employer will receive message that position is mandated into WSPRS membership and they should continue with person eligibility to determine if any exception rules may apply.		
18.1	B4	Business Rule	If Sheriff job title is selected, and the position requires the person to be full-time, fully compensated, and fully commissioned the employer will receive message that position is mandated into LEOFF		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			membership and they should continue with person eligibility to determine if any exception rules may apply.		
18.1	B5	Business Rule	Eligibility Requirements for LEOFF Firefighters, EMTs, Supervisor of FF/EMTs: • Fulltime at 160 hours and fully compensated. **Fully Compensated** = Salary and benefits	**Note:** Currently under review with Dave Nelsen. Fully compensated per business used to mean Salary and Benefits.	LEOFF
18.1	B6	Business Rule	Eligibility Requirements for LEOFF Police: • Fulltime at 160 hours, fully compensated, and fully commissioned. **Fully Compensated** = Salary and benefits **Fully Commissioned** = Employed as an officer of general authority Washington law enforcement agency and empowered by that employer to enforce criminal laws of the state of Washington.	**Note:** Currently under review with Dave Nelsen. Fully compensated per business used to mean Salary and Benefits.	LEOFF
18.1	B7	Business Rule	Eligibility Requirements for PSERS: • Must be a PSERS Employer; and • Fulltime at 160 hours and Permanent; and • Positions must meet one of the following member criteria: ○ Commissioned as a limited authority Washington Peace Officer**, ○ Completion of a certified criminal justice training course, with authority to arrest, conduct criminal investigations, enforce criminal laws, and carry a firearm,		PSERS

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ Primary responsibility to ensure the custody and security of incarcerated or probationary individuals, ○ Primary responsibility to supervise PSERS positions. **If position does not require fulltime performing the function of a Limited Authority Washington Peace Officer then it does not meet the requirements for PSERS and must be reported under PERS.		
18.1	B8	Business Rule	Eligibility Requirements for PERS: • 5 months of 70 hours or more for two consecutive years.		PERS
18.1	B9	Business Rule	Eligibility Requirement for SERS: • 5 months of 70 hours or more during at least one year in any two-year period.		SERS
18.1	B10	Business Rule	Eligibility Requirements for TRS: • 5 months of 70 hours or more within the school year.		TRS
18.1	B11	Business Rule	Eligibility Requirements for WSPRS: • Fulltime and fully commissioned officers hired by the Washington State Patrol.		WSPRS
18.1	D4	Data	What are the hours per month the position is scheduled to work?	**New Data Element** **Note:** Have help text around "Scheduled" because the actual time worked must match what you put down as being scheduled for eligibility. Currently we are requiring employers to have employees complete timesheets to substantiate hours worked.	
18.1	D5	Data	How many months per year is the position scheduled to work?	**New Data Element**	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				Note: Have help text around "Scheduled" because the actual time worked must match what you put down as being scheduled for eligibility. Currently we are requiring employers to have employees complete timesheets to substantiate hours worked.	
18.1	D6	Data	Is the position a fully compensated position? (Y/N)	**New Data Element**	
18.1	D7	Data	Is the position a new position? (Y/N)	**New Data Element**	
18.1	D8	Data	Does the position require passing the Civil Service Exam? (Y/N)	**New Data Element**	
18.1	D9	Data	Are your volunteers reimbursed for expenses such as (meals, mileage, lodging, etc.)? (Y/N)	**New Data Element**	
18.1	D10	Data	Does your volunteers receive compensation such as (stipends, shift pay, drill pay, training, point system, etc.)? (Y/N)	**New Data Element**	
18.1	D11	Data	Do you anticipate this position to exceed 20% of the base pay for a firefighter in your district or county? (Y/N)	**New Data Element**	
18.1	D12	Data	Does the position required the employee to be fully commissioned? (Y/N)	**New Data Element**	
18.1	D13	Data	Is the position: • Permanent • Project • Seasonal • Temporary	**New Data Element**	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.1	D14	Data	Does the position qualify for a Higher Education Retirement Plan? (Y/N)	**New Data Element**	
18.1	D15	Data	Does the position require the person to be contracted to teach? (Y/N)	**New Data Element**	
18.1	D16	Data	Does the position require a valid certificate or permit from Office of the Superintendent of Public Instruction (OSPI)? (Y/N)	**New Data Element**	
18.1	D17	Data	Is the position instructional, administrative, or supervisory? (Y/N)	**New Data Element**	
18.1	B12	Business Rule	The following job titles are governor appointed: • Board Member • Director • Governor Chief of Staff • Secretary Only require the completion of the (Data Elements 18.1-D18 through 18.1-D19) if the job title selected is that of a Governor Appointed type.	**Governor Appointed Officials**	
18.1	D18	Data	Is the position appointed by the governor? (Y/N)	**Governor Appointed Officials** **New Data Element**	
18.1	D19	Data	Is the position confirmed by the senate? (Y/N)	**Governor Appointed Officials** **New Data Element**	
18.1	B13	Business Rule	If there is not a positive confirmation for (Data Elements 18.1-D18 through 18.1-D19) then position will be evaluated as if it is not an elected position using the regular membership rules.	**Governor Appointed Officials**	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.1	F6	Functional Requirement	If the job title selected is one of the following and meets the rules for governor appointed officials information regarding the elected official will be required and upon submit a notification will be sent to the Elected Official Team at DRS: • Attorney General • Board Member • Auditor • Coroner • Medical Examiner • Court Clerk • Council Member • Commissioner • Assessor • Treasurer • Director • Governor • Governor Chief of Staff • Justice • Judge • Lieutenant Governor • Mayor • Prosecuting Attorney • Representative • Auditor • Secretary	**Elected Officials**	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• Senator • Treasurer • Superintendent • City Manager or Chief Administrative Officer of a City or Town • Chief Administrative Officer of a County • Chief Administrative Officer of a Port District • Chief Administrative Officer of a Public Utility District		
18.1	D20	Data	Employer Name	**Elected Officials** **Existing Data Element**	
18.1	F7	Functional Requirement	Employer Name will prepopulate.	**Elected Officials** **Existing Data Element**	
18.1	D21	Data	Job Title	**Elected Officials** **New Data Element**	
18.1	F8	Functional Requirement	Job Title will prepopulate based on the Job Title selected to start the eligibility determination.	**Elected Officials** **New Data Element**	
18.1	D22	Data	Elected Official SSN	**Elected Officials** **Existing Data Element**	
18.1	D23	Data	Elected Official First Name	**Elected Officials** **Existing Data Element**	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.1	D24	Data	Elected Official Last Name	**Elected Officials** **Existing Data Element**	
18.1	D25	Data	Elected Official Mailing Address	**Elected Officials** **Existing Data Element**	
18.1	D26	Data	Elected Official Phone Number	**Elected Officials** **Existing Data Element**	
18.1	D27	Data	Elected Official Email Address	**Elected Officials** **Existing Data Element**	
18.1	D28	Data	Elected Official Current Term Start Date	**Elected Officials** **Existing Data Element**	
18.1	D29	Data	Elected Official Prior Term Periods with that Employer – Start Date	**Elected Officials** **New Data Element**	
18.1	D30	Data	Elected Official Prior Term Periods with that Employer – End Date	**Elected Officials** **New Data Element**	
18.1	D31	Data	HERP Employment	**Elected Officials** **New Data Element**	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.1	D32	Data	FCC Employment reference FCC (Data Elements 18.2-D1 through 18.2-D2)	**Elected Officials** **New Data Element**	
18.1	T1	Text	Contact information for the Elected Official Team will be available for the employer to contact DRS.	**Elected Officials** Text = “For more information or assistance please contact the Elected Official Team at 360-664-7966 in Olympia, toll-free at 800-547-6657, extension 47966, or by email at RSA3@drs.wa.gov.”	
18.1	F9	Functional Requirement	Publications and information regarding Elected/Appointed Officials Options should be made available.	**Elected Officials**	
18.1	O2	Documents	• LEOFF Plan 1 Rules for State Elected Officials and Full-time Local Officials • LEOFF Plan 2 Rules for State Elected Officials • PERS Plan 1 Rules for Governor-Appointed Officials • PERS Plan 1 Rules for State Elected Officials • PERS Plan 2 & 3 Rules for Governor-Appointed Officials • PERS Plan 2 & 3 Rules for State Elected Officials • PSERS Membership Rules for State Elected/Appointed Officials • SERS Membership Rules for Local Officials • SERS Membership Rules for State Elected Officials • TRS Plan 1 Rules for State Elected Officials • TRS Plan 2 and Plan 3 Rules for State Elected Officials • WSPRS Rules for State Elected Officials	**Elected Officials**	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.1	M1	Messaging	Upon submit a notification with all of the data elements will be sent to the Elected Official team to process the request.	**Elected Officials** Procedure: From this point the elected official team inputs the data into the ELCTOFCL screen on the mainframe, sends a letter/applicable publications/and application based on the system/plan the elected official will be in if they choose to opt into membership.	
18.1	R4	Business Requirement	If the employer is not enrolled in the retirement system that the position is deemed eligible for, a message will display about how to enroll and they will be provided the ability to continue to the enroll employer process.	**Note:** There are current discussions around members who retired under the 2008 ERF and employers who are not enrolled PERS membership. They are looking at not requiring the employer to enroll in membership but creating a new code (P8, etc.) to allow these employers to report the member without having to enroll.	
18.1	F10	Functional Requirement	If the employer is not enrolled in the retirement system the position is deemed eligible for they should be able to continue on with person eligibility.		
18.1	M2	Messaging	Upon completion of the position eligibility assessment the authorized user will receive a notification of what Retirement System the position falls under and whether the position is eligible or ineligible.		
17.0		Parent Process	**Member Lookup. (See Requirements Package - 17.0 Member Lookup)**	The below requirements in this section are specifically needed when determining a member's eligibility. Numbering of the requirements is tied to the Parent Process of Member Lookup.	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
17.0		Input	• Employer has selected a retirement system the position is eligible for and has selected to continue onto determining person eligibility. • Employer has completed an eligibility assessment for a position and has selected to continue onto determining person eligibility.		
17.0		Output	• Member Lookup is complete and any person data has been retrieved.		
17.0	R2	Business Requirement	This process calls the Member Lookup process.		
17.0	F1	Functional Requirement	If the authorized user initiated Determine Member Eligibility process from the Member Lookup process they will bypass this step when they have completed the position eligibility assessment.		
17.0	F2	Functional Requirement	If the authorized user has requested to do a person assessment and has not done a Member Lookup they will need to complete one before proceeding on with the person assessment.		
17.0	F3	Functional Requirement	The following member MSP statuses will be identified and used in the determination of a person's eligibility: • Inactive • Active • Retired • Retired in Other System • Withdrawn • Withdrawal Pending • Active Previously Retired • Inactive Previously Retired	MICODE table = MSPST Data Elements from: • Member Lookup • Earning Activity	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• Inactive Restored Via Portability		
17.0	F4	Functional Requirement	The following member MSP statuses will be ignored and not used in the determination of a person's eligibility: • Cancelled • Converted to SERS • LOP Split • Multiple MSPs • Potential Member • Transferred	MICODE table = MSPST Data Elements from: • Member Lookup • Earning Activity	
17.0	F5	Functional Requirement	If member is retired, will identify if they retired using the 2008 ERF, to use in the determination of a person's eligibility.	Data Elements from: • Member Lookup • Earning Activity	
17.0	F6	Functional Requirement	Member's years of service will be identified and used in the determination of a person's eligibility.	Data Elements from: • Member Lookup • Earning Activity	
17.0	F7	Functional Requirement	If the member's status is Deceased a message will display instructing them to contact DRS if this is in error and prevent the continuation of the person eligibility assessment.	MICODE table = MBRSS Data Elements from: • Member Lookup • Earning Activity	
18.2		Child Process	**Assess FCC and HERP Membership.** This process facilitates the assessment of potential First Class City (FCC) or Higher Education Retirement Plan (HERP) employment for an individual.		
18.2		Input	• Member Lookup is complete and any person data has been retrieved and position or person has been deemed eligible.		

Process/Workflow Name: 18.0 Determine Member Eligibility

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.2		Output	• Assessment of FCC and HERP employment is complete.		
18.2	F1	Functional Requirement	The authorized user will need to answer FCC and HERP employment questions for the employee.	This is similar to the Retirement Status form but additional questions need to be asked to prevent some of the issues we have with members being enrolled erroneously and having to have their contributions refunded years later because they should have been estopped from membership.	

18.2	D1	Data	Has the employee ever been a member of the Seattle, Spokane, or Tacoma Employees' Retirement System?
			• Yes, select which system
			  ○ Seattle
			  ○ Spokane
			  ○ Tacoma
			• No
				FCC Questions
				
				New Data Element	

18.2	D2	Data	If yes, to first question also ask the following:
			• What were their dates of employment?
			  ○ Employed From
			  ○ Employed To
			• Have they retired from that system?
			  ○ Yes
			    ▪ Enter date of retirement
			  ○ No
				FCC Questions
				
				New Data Element	

18.2	B1	Business Rule	HERP questions will only show for Higher Education Employers. • STEDCOLL = State Education Community & Technical Colleges	**HERP** Mainframe = ERTYPE	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• STEDUNIV = State Education Universities & 4 Year Colleges.	**Note:** Eleanor will do some research on this to see if there is concurrent employment issues with HERP if so we will want to reconsider showing HERP questions to all employers.	

18.2	D3	Data	Has the employee ever been a member of a higher education retirement plan in Washington State?
			• Yes
			    ○ Employer Name
			    ○ Type of Position:
			        ▪ Faculty
			        ▪ Professional
			• No
				HERP Questions
				
				New Data Element	

18.2	D4	Data	If yes, to first question ask the following:
			• What were their dates of employment?
			    ○ Employed From
			    ○ Employed To
				HERP Questions
				
				New Data Element	

18.3		Child Process	**Determine if exception rules apply for membership.** This process facilitates the assessment exception/estoppel rules for an individual who has prior DRS covered employment in a different retirement system/plan than the position, is retired, FCC employment, or HERP membership.		
18.3		Input	• FCC and HERP Membership assessment complete and individual has prior DRS covered employment, FCC employment, or HERP membership.		

Process/Workflow Name: 18.0 Determine Member Eligibility

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.3		Output	• Exception/estoppel rules assessed and individual is deemed reportable to DRS. • Exception/Estoppel rules assessed and individual is deemed estopped from membership and is not reportable to DRS.		
18.3	F1	Functional Requirement	Exception/Estoppel rules will be applied if the person meets any of the following conditions: • Prior DRS covered employment in a different retirement system than what the position is eligible for and they have not retired. • Prior DRS covered employment where the person has retired. • Prior FCC employment. • Prior HERP membership.		
18.3	F2	Functional Requirement	Exception/Estoppel rules will be bypassed if the person meets all of the following conditions: • No prior DRS covered employment or prior DRS covered employment in the retirement system the position is eligible for and they have not retired. • No prior FCC employment. • No prior HERP membership.		
18.3	F3	Functional Requirement	If the position is eligible but the employee in the position meets one of the following exceptions (Business Rules 18.3-B1 through 18.3-B32), that employee is ineligible for membership and should be estopped from membership.		
18.3	F4	Functional Requirement	Exception Rules list will be tailored based on the Retirement System the position has been identified as eligible for.		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			Note: The business rules below are written so they can stand alone. The exception rules list that displays should be shorted to remove redundancy.		
18.3	F5	Functional Requirement	HERP Exception Rules will only show for Higher Education Employers. • STEDCOLL = State Education Community & Technical Colleges • STEDUNIV = State Education Universities & 4 Year Colleges.		
18.3	F6	Functional Requirement	An authorized user must confirm whether any of the exception rules apply.		
18.3	T1	Text	The position has been deemed eligible but if the employee in the position meets one of the following exceptions, that employee is ineligible for membership. Please review the following list and confirm whether or not any of the following exception rules apply.		
18.3	D1	Data	Do any of the follow exception rules apply? (Y/N)	**New Data Element**	
18.3	B1	Business Rule	If the authorized user confirmed that exception rules apply the person is estopped from membership.		
18.3	B2	Business Rule	The employee of a legislative agency is ineligible for membership unless membership is authorized by a committee.	**Exception Rule** PERS – RCW 41.40.023(2)	PERS
18.3	B3	Business Rule	An elected official or appointed by the governor, and did not opt to participate is ineligible for membership.	**Exception Rule** PERS – RCW 41.40.023(3)(a&b) SERS – RCW 41.35.030(2) PSERS – RCW 41.37.020(2)	PERS, SERS, PSERS

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.3	B4	Business Rule	An elected official or appointed by the governor who is a member of TRS, and opts to maintain membership in TRS is ineligible for PERS membership.	**Exception Rule** TRS – RCW 41.32.010(43)(b)(ii)	PERS, TRS
18.3	B5	Business Rule	A retiree or a member eligible to retire in another DRS-administered plan or a plan operated by a political subdivision is ineligible for PERS membership.	**Exception Rule** PERS – RCW 41.40.023(4)	PERS
18.3	B6	Business Rule	Patients and inmates in state charitable, penal and correctional institutions are ineligible for PERS membership.	**Exception Rule** PERS – RCW 41.40.023(5)	PERS
18.3	B7	Business Rule	"Members" of a state veterans' home or soldiers' home are ineligible for PERS membership.	**Exception Rule** PERS – RCW 41.40.023(6)	PERS
18.3	B8	Business Rule	A person employed by a Higher Education Institution primarily as an incident to and in in furtherance of their education or the education of a spouse are ineligible for PERS membership.	**Exception Rule** PERS – RCW 41.40.023(7)	PERS
18.3	B9	Business Rule	An employee of a Higher Education Institution during the period required to establish membership in the institutions plan is ineligible for PERS membership.	**Exception Rule** PERS – RCW 41.40.023(8)	PERS
18.3	B10	Business Rule	A person rendering professional services to an employer on a fee, retainer, or contract basis or when the income from these services is less than fifty percent of the gross income from the person's practice of profession is ineligible for membership.	**Exception Rule** PERS – RCW 41.40.023(9) SERS – RCW 41.35.030(5) PSERS – RCW 41.37.020(5)	PERS, SERS, PSERS
18.3	B11	Business Rule	A person appointed after April 1, 1963, by the liquor control board as contract liquor store manager is ineligible for PERS membership.	**Exception Rule**	PERS

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				PERS – RCW 41.40.023(10)	
18.3	B12	Business Rule	An employee of a labor guild, association, or organization is ineligible for membership unless they have established membership in PERS Plan 1. Elected officials and employees of a labor guild, association, or organization shall have the option of applying for membership if the employee has established membership in PERS Plan 1.	**Exception Rule** PERS – RCW 41.40.023(11)	PERS Plan1
18.3	B13	Business Rule	Elected officials who are employees of a labor guild, association, or organization shall have the option of applying for membership if the employee has established membership in PERS Plan 1.	**Exception Rule** PERS – RCW 41.40.023(11)	PERS Plan1
18.3	B14	Business Rule	A person employed by, is appointed or elected as an official of a first class city that has its own retirement system is not required to participate in a DRS retirement system.	**Exception Rule** PERS – RCW 41.40.023(13)	PERS
18.3	B15	Business Rule	An employee who is not a citizen of the US, does not reside in the US, and performs duties outside the US is not eligible to participate in a DRS retirement system.	**Exception Rule** PERS – RCW 41.40.023(14) SERS – RCW 41.35.030(7) PSERS – RCW 41.37.020(6)	PERS, SERS, PSERS
18.3	B16	Business Rule	An employee who is not a citizen of the US, is not covered by federal social security, is not excluded from membership for any other reason, who is a Washington State resident can elect to be excluded from membership in a DRS retirement system within 30 days after employment in an eligible position.	**Exception Rule** PERS – RCW 41.40.023(15) SERS – RCW 41.35.030(8)	PERS, SERS
18.3	B17	Business Rule	A citizen of the US who is working, residing and performing duties outside the US must apply for membership in a DRS retirement system within 30 days of employment in an eligible position.	**Exception Rule** PERS – RCW 41.40.023(16)	PERS, SERS

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				SERS – RCW 41.35.030(9)	
18.3	B18	Business Rule	A city manager or chief administrative officer of a city or town, PUD, port or county who did not opt to participate is ineligible for membership.	**Exception Rule** PERS – RCW 41.40.023(17 & 18) PERS – WAC 415-108-730	PERS
18.3	B19	Business Rule	A person enrolled in a state-approved apprentice program, who is employed by a local government, and is a member of a union-sponsored retirement plan or if the employee is a member of a Taft-Hartley retirement plan is ineligible for membership.	**Exception Rule** PERS – RCW 41.40.023(19) SERS – RCW 41.35.030(4) PSERS – RCW 41.37.020(4)	PERS, SERS, PSERS
18.3	B20	Business Rule	A person employed in resident apprentice training program operated by a housing authority who is a member of a union-sponsored retirement plan or if the employee is a Taft-Hartley retirement plan is ineligible for membership.	**Exception Rule** PERS – RCW 41.40.023(20)	PERS
18.3	B21	Business Rule	A member with a terminal illness shall be removed from membership upon approval of their application and is ineligible for membership.	**Exception Rule** PERS – RCW 41.40.023(20) SERS – RCW 41.35.683 SERS – RCW 41.35.423 SERS – RCW 41.35.030(10)	PERS, SERS
18.3	B22	Business Rule	An employee who is deemed an Independent Contractor is ineligible for membership in a DRS retirement plan.	**Exception Rule** PERS, SERS, TRS, PSERS – WAC 415-02-110	PERS, SERS, TRS, PSERS

Process/Workflow Name: 18.0 Determine Member Eligibility

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.3	B23	Business Rule	A temporary employee prior to June 6, 1990, who worked more than six months is ineligible for membership in PERS.	**Exception Rule** Policy RSD-PERS-ELIG-2	PERS
18.3	B24	Business Rule	A prior PERS member in an eligible position who meets the Higher Education Retirement Plan (HERP) eligibility criteria and opts into the HERP immediately is ineligible for membership in PERS.	**Exception Rule**	PERS
18.3	B25	Business Rule	A member who is eligible to retire from a DRS-administered plan is not allowed to participate in a non-DRS retirement plan offered by an institution of higher education.	**Exception Rule** RCW 28B.10.400(2)	PERS, SERS, TRS, LEOFF, WSPRS, PSERS
18.3	B26	Business Rule	A port employees who has opted into a covered union pension plan is ineligible for membership in a DRS retirement plan.	**Exception Rule** RCW 53.08.170	PERS
18.3	B27	Business Rule	An alien teacher who has been granted a temporary permit to teach as an exchange teacher is ineligible for membership in a DRS retirement plan.	**Exception Rule** TRS – RCW 41.32.240	TRS Plan 1 only
18.3	B28	Business Rule	An educational staff associate with service prior to June 7, 1984, employed in an eligible position on or after June 7, 1984 is not mandated to join TRS.	**Exception Rule** TRS – RCW 41.32.032(2)	TRS
18.3	B29	Business Rule	An employee who does not meet the minimum medical/health standards is excluded from rejoining LEOFF Plan 1 and must join LEOFF Plan 2. • Minimum medical/health standards required if:	**Exception Rule** LEOFF – RCW 41.26.045 LEOFF – WAC 415-104-245	LEOFF

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ The person was first employed as a law enforcement officer or firefighter on or after August 1, 1971 and before October 1, 1977; and ○ Have been separated from service for more than six months for reasons other than a disability leave, a disability retirement, or an authorized leave of absence. • Exempt Positions that are not subject to the Minimum medical/health standards: ○ Elected Sheriff ○ Appointed Police or Fire Chief		
18.3	B30	Business Rule	The employee is a general authority Washington peace officer, port district general authority law enforcement officer or a state university/college general authority law enforcement officer who was hired before January 1, 1994 is not eligible for LEOFF membership and must be enrolled in PERS.	**Exception Rule** LEOFF – WAC 415-104-225(1)(b)	LEOFF
18.3	B31	Business Rule	The employee is a Director of Public Safety or Public Safety Officer of a city or town with less than 10,000 population who was hired prior to January 1, 1993 is not eligible for LEOFF membership.	**Exception Rule** LEOFF – WAC 415-104-225(1)(c)	LEOFF
18.3	B32	Business Rule	1. Except as provided in chapter 2.10, 2.12, 41.26, 41.28, 41.32, 41.35, 41.37, 41.40, or 43.43 RCW, on and after March 19, 1976, any member or former member who: a. Receives a retirement allowance earned by the former member as deferred compensation from any public retirement system authorized by the general laws of this state, or	**Exception Rule** RCW 41.04.270 **Note:** Eleanor is going to look at L2 with less than 15 years are they mandated into members if they are	PERS, SERS, TRS, LEOFF, WSPRS, PSERS

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			b. Is eligible to receive a retirement allowance from any public retirement system listed in RCW 41.50.030, but chooses not to apply, or c. Is the beneficiary of a disability allowance from any public retirement system listed in RCW 41.50.030 shall be estopped from becoming a member of or accruing any contractual rights whatsoever in any other public retirement system listed in RCW 41.50.030. **d. PROVIDED, That (a) and (b) of this subsection shall not apply to persons who have accumulated less than fifteen years of service credit in any such system.** 2. Nothing in this section is intended to apply to any retirement system except those listed in RCW 41.50.030 and the city employee retirement systems for Seattle, Tacoma, and Spokane. Subsection (1)(b) of this section does not apply to a dual member as defined in RCW 41.54.010.	retired or a member? – 12/23/14- ESS is still having discussions around this.	And FCC's – Seattle, Spokane, Tacoma
18.3	M1	Messaging	Exception rules apply, member is not eligible for membership in a DRS retirement plan.		
18.4		Child Process	**Assess Personal Eligibility.** This process facilitates the assessment of personal eligibility for an individual where the position is deemed not eligible, to determine if there are additional circumstances that would make the person eligible.		
18.4		Input	• Member Lookup is complete and any person data has been retrieved and position or person has been deemed not eligible.		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.4		Output	• Personal Eligibility has been assessed and person is deemed eligible. • Personal Eligibility has been assessed and person is deemed not eligible.		
18.4	R1	Business Requirement	Positions that are deemed not eligible will need to ask follow-up questions based on the type of position (Not a Project Position/Project Position) to determine if there are additional circumstances that would make the person eligible.		
18.4	B1	Business Rule	If position selected is a contract position or volunteer firefighter this task will be skipped and they will continue onto the Assess Reportable Rules task.		

18.4	D1	Data	Is the employee working in more than one position or is more than one employee working in the position? (Y/N)
			• If yes:
			    ○ Hours for each position/person.
			    ○ Months for each position/person.
			• If No: (Reference: Business Rule 18.4-B5)
				Ineligible position – not a project position
				
				New Data Element	

18.4	B2	Business Rule	If employer responds "YES" to employee is working in more than one position or there is more than one employee working in the position the system must determine eligibility based on the eligibility rules for that system using the hours and months the employer indicates. (Reference: Business Rules 18.4-B3 through 18.4-B4)	**Ineligible position – not a project position**	
18.4	B3	Business Rule	If the combine positions/people meet the hour and month eligibility rules for the retirement system the position is for, the person(s) are	**Ineligible position – not a project position**	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			deemed eligible and will continue onto the Assess FCC and HERP Membership task.		
18.4	B4	Business Rule	If the combined positions/people do not meet the hour and month eligibility rules for the retirement system the position is for, the person(s) are deemed not eligible and will continue onto the Assess Reportable Rules task.	**Ineligible position – not a project position**	
18.4	B5	Business Rule	If the employer responds “NO” to the employee is working in more than one position or there is more than one employee working in the position the person will be deemed not eligible and will continue onto the Assess Reportable Rules task.	**Ineligible position – not a project position**	
18.4	F1	Functional Requirement	Project Position question will only be asked if employer indicated that the position was a project position in the Determine System/Plan for Position task.	**Ineligible position – Project Position**	
18.4	D2	Data	Does the employee have the right to return to a prior permanent eligible position at the completion of the project? (Y/N)	**Ineligible position – Project Position** **New Data Element**	
18.4	B6	Business Rule	If the employer responds “YES” to the employee having the right to return to a prior permanent eligible position at the completion of the project, the person is deemed eligible and will continue onto the Assess FCC and HERP Membership task.	**Ineligible position – Project Position**	
18.4	B7	Business Rule	If the employer responds “NO” to the employee having the right to return to a prior permanent eligible position at the completion of the project, the person is deemed not eligible and will continue onto the Assess Reportable Rules task.	**Ineligible position – Project Position**	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.5		Child Process	**Assess Reportable Rules** This process facilitates the assessment of reportable rules for an individual where the position and person is deemed not eligible to determine if there are additional circumstances that would make the person reportable to DRS.		
18.5		Input	• Assessment of Personal Eligibility is complete and person is deemed not eligible.		
18.5		Output	• Reportable Rules has been assessed and person is deemed reportable to DRS. • Reportable Rules has been assessed and person is deemed not reportable to DRS.		

18.5	F1	Functional Requirement	If the employee is retired, return to work rules will be assessed first to determine if the person is reportable to DRS. Reference:
			• Business Requirement (18.6-R1)
			• Business Rules:
			  ○ 18.3-B5
			  ○ 18.3-B25
			  ○ 18.3-B32
			  ○ 18.5-B1 through 18.5-B4
			  ○ 18.6-B34 through 18.6-B51		

18.5	B1	Business Rule	If retiree retired under the 2008 ERF, and is less than 65, and is deemed an independent contractor and directly compensated by the terms of the contract, they are reportable to DRS in an ineligible position and their benefit will be stopped for the entire month and ongoing until they separate from the position or turn age 65, whichever comes first.	Currently Reviewing wording for this. See draft 2008 ERF Retiree Verification form.	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			Exception to rule: If money paid to the contractor is coming from a 3rd party employer this rule does not apply.		
18.5	B2	Business Rule	If a retiree retired under the 2008 ERF, and is greater than 65, and is deemed an independent contractor and directly compensated by the terms of the contract, they are not reportable to DRS. Exception to rule: If money paid to the contractor is coming from a 3rd party employer this rule does not apply.	Currently Reviewing wording for this. See draft [2008 ERF Retiree Verification form].	
18.5	B3	Business Rule	If retiree retired under the 2008 ERF, and is less than 65, and is deemed a volunteer Firefighter, they are reportable to DRS and their benefit will be stopped for the entire month and ongoing until they separate from the position or turn age 65, whichever comes first.	**Note:** This is currently under review with Dave Nelsen to determine if "Minimally Compensated" employees who retire under the 2008 ERF are affected by the rules.	
18.5	B4	Business Rule	If retiree retired under the 2008 ERF, and is greater than 65, and is deemed a volunteer Firefighter, they are reportable to DRS in an ineligible position.	**Note:** This is currently under review with Dave Nelsen to determine if "Minimally Compensated" employees who retire under the 2008 ERF are affected by the rules. Additional question – Should all volunteer firefighters be reported if they are retired.	
18.5	B5	Business Rule	If employee is hired into a Substitute position they are reportable to DRS.		SERS, TRS
18.5	B6	Business Rule	If none of the business rules apply to the individual they are not reportable to DRS and employer should receive a message to monitor the position annually.		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.5	M1	Messaging	Position and person deemed ineligible for membership, continue to monitor the position and the person annually to determine if conditions may have changed that affect the eligibility of the position/person.		
18.6		Child Process	**Enroll Member in System/Plan** This process facilitates the identification of what system/plan the employer should enroll/report the member.		
18.6		Input	• Assessment of FCC and HERP Membership complete and person does not have prior DRS covered employment, has prior DRS covered employment in the retirement system the position is eligible for and they have not retired, FCC, or HERP Membership. • Assessment of exception rules is complete and person is not estopped from membership. • Reportable rules assessed and person is deemed reportable to DRS.		
18.6		Output	• A message indicating what system and plan the person should be reported in.		
18.6	F1	Functional Requirement	If employee is deemed reportable to DRS, the employer should report the member in the system/plan indicated based on system/plan rules.		
18.6	B1	Business Rule	If employee is hired into a PERS position and has prior DRS membership need to report the member as follows – Prior DRS Membership Reporting Chart for PERS position		PERS
18.6	B2	Business Rule	If employee is hired into an eligible PERS position and does not have prior DRS membership need to report the member in PERS Plan 2.		PERS

Process/Workflow Name: 18.0 Determine Member Eligibility

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.6	B3	Business Rule	If employee is hired into a concurrent PERS and TRS Position need to report the member as follows – WAC 415-108-728 and WAC 415-112-155.		PERS, TRS
18.6	B4	Business Rule	If employee is hired into a concurrent PERS 2 or 3 and SERS Position need to report the member as follows – WAC 415-113-200 and WAC 415-112-156.		PERS, SERS
18.6	B5	Business Rule	If employee is hired into a concurrent PERS and LEOFF Position with the same employer need to report based on report chart in Appendix C.	Appendix C – PERS and LEOFF Concurrent Members with Same Employer	PERS, LEOFF
18.6	B6	Business Rule	If employee is hired into the State Director of Fire Protection position and were previously a member of LEOFF 2 they may continue membership in LEOFF 2 and not become a member of PERS.	RCW 41.40.023(22)	PERS, LEOFF 2
18.6	B7	Business Rule	If employee is hired into the State Director of Fire Protection position and does not have previous membership in LEOFF 2 they must become a member of PERS.	RCW 41.40.023(22)	PERS
18.6	B8	Business Rule	If employee is hired into an eligible PSERS position and is a PERS Plan 1 member need to report into PERS Plan 1 as they are not eligible for PSERS.		PSERS, PERS
18.6	B9	Business Rule	If employee is hired into an eligible PSERS position and is a TRS Plan 1 member need to report into PSERS Plan 2 if employer is not a TRS Employer.*	*Not a TRS Employer = City, County Sub Divisions, Counties, Interlocal Agreement Entity (Score), First Class City	PSERS, TRS
18.6	B10	Business Rule	If employee is hired into an eligible PSERS positon on or after July 1, 2006, need to report in PSERS Plan 2.		PSERS
18.6	B11	Business Rule	<Place holder rule for PSERS>	**Note:** Need to add the rule if they elected to stay in PERS membership but change employers are they	PSERS

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				mandated into PSERS. Currently under review with ESS and RSD. (Check in to see if decision is complete.)	
18.6	B12	Business Rule	If employee is hired into an eligible PSERS position while working simultaneously in a PERS position with the same employer, need to report in PSERS Plan 2 and, report an end date for PERS, and start reporting the PERS position under PSERS.		PSERS, PERS
18.6	B13	Business Rule	If employee is hired into an eligible PSERS position while working simultaneously in a PERS position with a different employer, need to report in PSERS Plan 2. Note: Other employer will continue to report under PERS and then when member retires their service credit will be adjusted so it is not duplicated and their AFC will be adjusted to be combined both the PERS and PSERS time.		PSERS, PERS
18.6	B14	Business Rule	If employee is hired into a SERS position and has prior DRS membership need to report member as follows – Prior DRS Membership Reporting Chart for SERS		SERS
18.6	B15	Business Rule	If employee is hired into a SERS position and does not have prior DRS membership need to report member in SERS Plan 2.		SERS
18.6	B16	Business Rule	If employee is hired into a concurrent SERS and TRS position need to report the member as follows – WAC 415-110-728		SERS, TRS
18.6	B17	Business Rule	If employee is hired into an eligible non TRS position and is a TRS Plan 1 member (not withdrawn) need to report into TRS Plan 1 if employer is a TRS Employer.*	*TRS employer = State, School Districts, ESDs, and Higher Ed	All

Process/Workflow Name: 18.0 Determine Member Eligibility

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.6	B18	Business Rule	If employee is hired into an eligible non TRS position and is a withdrawn TRS Plan 1 member need to report member into the retirement system and plan the position is eligible for.		All
18.6	B19	Business Rule	If employee is hired into an eligible TRS position and does not have prior DRS membership need to report member in TRS Plan 2.		TRS
18.6	B20	Business Rule	If employee is hired into a TRS position and has prior DRS membership need to report member as follows – Prior DRS Membership Reporting Chart for TRS.		TRS
18.6	B21	Business Rule	If position is a substitute* position for a School District or Educational Service District need to report member as follows – Substitute Reporting Chart. *TRS substitute teacher is defined as (see RCW 41.32.010(36): • Any teacher hired as a temporary teacher, except for teachers who are contract employees and are guaranteed a minimum number of hours; or • Any teacher who worked in an ineligible position for you and worked for another TRS employer in an eligible or ineligible position, or as a substitute. (How we administer this: If employee doesn't meet the hours for a Teacher the employer must report the member as a substitute regardless of the number of positions.) *SERS Substitute Employee is defined as (see WAC 415-110-010(9)) • Any classified employee who is employed as a substitute for an absent employee or working in an ineligible position.		TRS, SERS

Process/Workflow Name: 18.0 Determine Member Eligibility

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.6	B22	Business Rule	If employee is hired into a LEOFF position and meets the eligibility requirements for LEOFF then they should be reported in LEOFF. • LEOFF Plan 1 = Established membership before October 1, 1977. • LEOFF Plan 2 = Established membership on or after October 1, 1977.		LEOFF
18.6	B23	Business Rule	If a LEOFF Plan 1 member has been separated from service for more than six months for reasons other than a disability leave, a disability retirement, a service retirement, or an authorized leave of absence, is hired into a LEOFF position they are required to meet the minimum medical and health standards in order to regain membership in LEOFF Plan 1.		LEOFF Plan 1
18.6	B24	Business Rule	If a LEOFF Plan 1 member is required to meet the minimum medical and health standards they are required to submit an examination report completed by a physician or surgeon appointed by the local disability board to DRS.		LEOFF Plan 1
18.6	D1	Data	Examination Report completed by a physician or surgeon.		LEOFF Plan 1
18.6	O1	Document	Examination Report completed by a physician or surgeon.		LEOFF Plan 1
18.6	B25	Business Rule	If a LEOFF Plan 1 member is required to meet the minimum medical and health standards they should be reported in LEOFF Plan 1 until the examination report has been completed by a physician and reviewed by DRS.		LEOFF Plan 1
18.6	B26	Business Rule	If DRS determines that the LEOFF Plan 1 member does not meet the minimum health standards the employer will be required to report the member in LEOFF Plan 2.	Compensation and hours reported in LEOFF 1 while medical eligibility is being evaluated will be transferred to LEOFF 2.	LEOFF Plan 1

Process/Workflow Name: 18.0 Determine Member Eligibility

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.6	B27	Business Rule	If employee is reportable in a new LEOFF position the employer must submit a job description for the position. DRS will review the documents and send out an eligibility letter to the employer.		LEOFF
18.6	D2	Data	Job Description		LEOFF
18.6	O2	Document	Job Description		LEOFF
18.6	B28	Business Rule	If employee is hired into a WSPRS position and is fulltime and fully commissioned then they should be reported in WSPRS. • WSPRS Plan 1 = Commissioned before January 1, 2003. • WSPRS Plan 2 = Commissioned on or after January 1, 2003.		WSPRS
18.6	B29	Business Rule	If employee with no prior PERS membership, is hired into a Cadet position with the Washington State Patrol they should be reported in PERS Plan 2.	WAC 415-108-727 – Transfer of Cadet Time – • A PERS Plan 1 or Plan 2 member may transfer cadet service under RCW 41.40.092. • A person who becomes a member of PERS Plan 3 cannot transfer service credit earned as a cadet in PERS.	WSPRS
18.6	B30	Business Rule	If employer has prior PERS Plan 1 membership, is hired into a Cadet position with the Washington State Patrol they should be reported in PERS Plan 1.	WAC 415-108-727 – Transfer of Cadet Time – • A PERS Plan 1 or Plan 2 member may transfer cadet service under RCW 41.40.092. • A person who becomes a member of PERS Plan 3 cannot transfer service credit earned as a cadet in PERS.	WSPRS
18.6	B31	Business Rule	If employee is hired into a LEOFF or WPSRS eligible position the employer must submit an enrollment form to DRS.		WSPRS, LEOFF

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.7	D3	Data	Enrollment form		WSPRS, LEOFF
18.6	O3	Document	Enrollment form		WSPRS, LEOFF
18.6	B32	Business Rule	If position is a HERP faculty position need to report the member as follows – Retirement Membership Options – Higher Education Faculty, HERP-Eligible Positions.	**Note:** Seth is writing a position statement on possibly changing some of these rules.	HERP, TRS
18.6	B33	Business Rule	If position is a HERP professional position need to report the member as follows- Retirement Membership Options – Higher Education Non-Faculty, HERP-Eligible Positions.	**Note:** Seth is writing a position statement on possibly changing some of these rules.	HERP, PERS
18.6	D4	Data	If employee is HERP eligible and chooses Plan 3 they must complete the "Higher Education Plan 3 Investment Program" form and give it to their employer.	The employer will then report the member in Plan 3 based on their Investment Program and Contribution Rate Choices.	HERP, Plan 3
18.6	O4	Document	If employee is HERP eligible and chooses Plan 3 they must complete the "Higher Education Plan 3 Investment Program" form and give it to their employer.	The employer will then report the member in Plan 3 based on their Investment Program and Contribution Rate Choices.	HERP, Plan 3
18.6	R1	Business Requirement	If the employee has retired need to assess the RTW rules based the retirement plan they retired from and the type of position the employee is returning to.		
18.6	B34	Business Rule	Rehired LEOFF Plan 1 Retiree in any position – Report Chart Rules		LEOFF Plan 1
18.6	B35	Business Rule	Rehired LEOFF Plan 2 Retiree in any position – Report Chart Rules		LEOFF Plan 2
18.6	B36	Business Rule	Rehired PERS Plan 1 Retiree in any position – Report Chart Rules		PERS Plan 1
18.6	B37	Business Rule	Rehired PERS Plan 2 or 3 Retiree in any position – Report Chart Rules		PERS Plan 2 & 3
18.6	B38	Business Rule	Rehired PSERS Plan 2 Retiree in any position – Report Chart Rules		PSERS
18.6	B39	Business Rule	Rehired SERS Plan 2 or 3 Retiree in any position – Report Chart Rules		SERS

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.6	B40	Business Rule	Rehired TRS Plan 1 Retiree in any position – Report Chart Rules		TRS Plan 1
18.6	B41	Business Rule	Retired TRS Plan 2 or 3 Retiree in any position – Report Chart Rules		TRS Plan 2 & 3
18.6	B42	Business Rule	Retired WSPRS Plan 1 Retiree in any position – Report Chart Rules		WSPRS Plan 1
18.6	B43	Business Rule	Retired WSPRS Plan 2 Retiree in any position – Report Chart Rules		WSPRS Plan 2
18.6	B44	Business Rule	Retired from PERS, TRS, SERS, or PSERS returning to work at an Institution of Higher Education in any position – Report Chart Rules		PERS, SERS, TRS, PSERS
18.6	B45	Business Rule	Rehired JRS members are not eligible to receive a retirement allowance if they are employed: • For more than eight hundred ten hours in a calendar year as a pro tempore judge; or • In an eligible PERS, SERS, TRS, or LEOFF (full-time and fully compensated) position. If a superior court who retired before June 7, 1990, has a pending case in which they made discretionary rulings may hear the pending case a judge pro tempore without having his or her retirement allowance suspended.	RCW 2.10.155 WAC 415-100-190 **Note:** Could be a note we show employers if they hire a JRS retiree. – Because this is an extremely rare circumstance.	JRS
18.6	B46	Business Rule	Rehired JRS members are eligible to continue receiving their retirement allowance if they are employed: • Less than eight hundred ten hours in a calendar year as a pro tempore judge; or • In an ineligible PERS, SERS, TRS, or LEOFF (not full-time or fully compensated) position.	RCW 2.10.155 WAC 415-100-190 **Note:** Could be a note we show employers if they hire a JRS retiree. – Because this is an extremely rare circumstance.	JRS

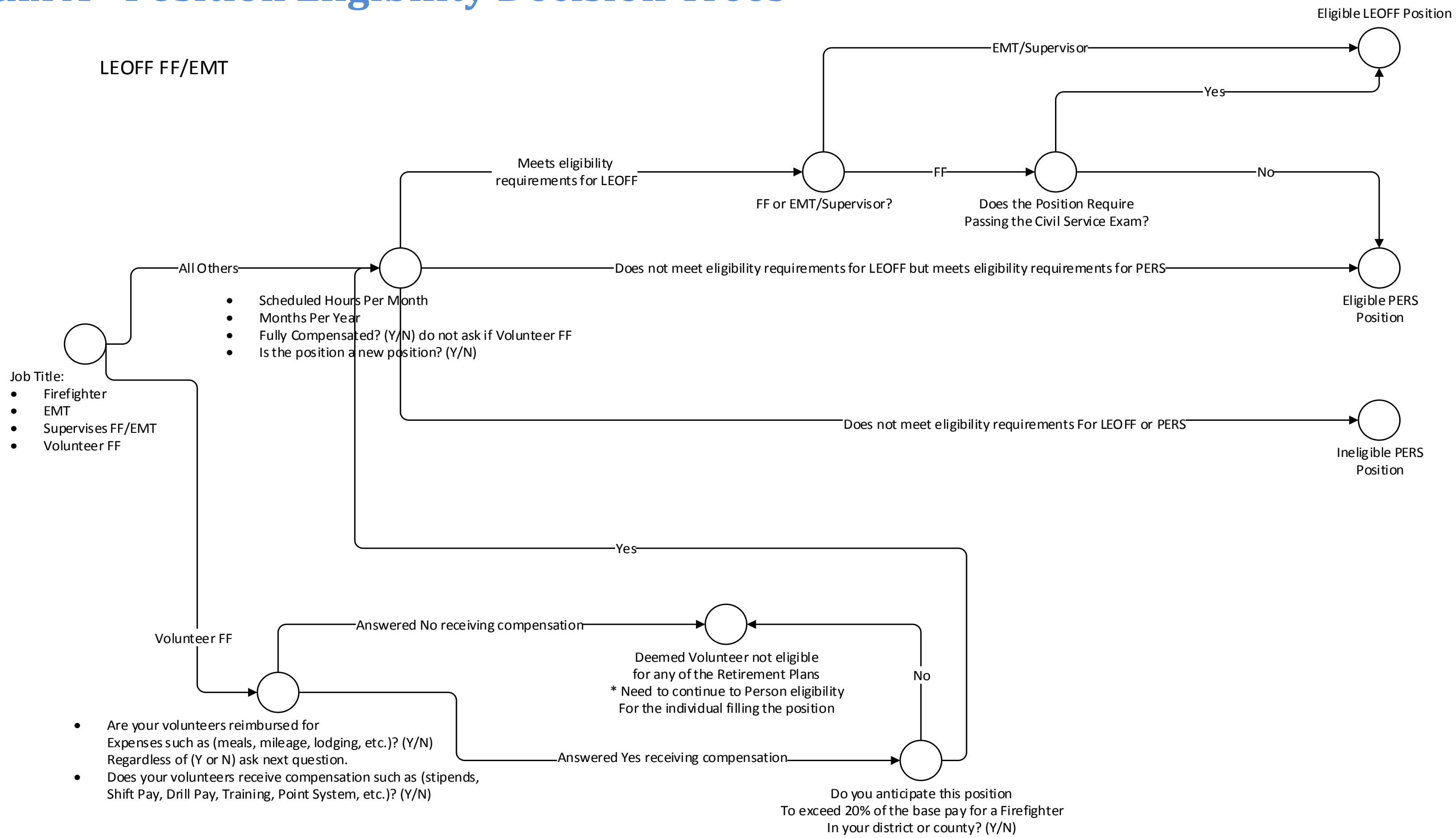
Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.6	B47	Business Rule	If a LEOFF 2 retiree is hired into a PERS, PSERS, SERS, or TRS eligible position has the option to continue to their retiree status or elect active plan membership. If they elect active plan membership their LEOFF 2 benefits will be suspended.		LEOFF 2
18.6	B48	Business Rule	If a LEOFF 2 retiree elects active plan membership they must complete the Plan 2 Retiree Re-Employment form.		LEOFF 2
18.6	D5	Data	Plan 2 Retiree Re-Employment Form.		LEOFF 2
18.6	O5	Document	Plan 2 Retiree Re-Employment Form.		LEOFF 2
18.6	B49	Business Rule	If person is a retiree and is reportable to DRS based on the reporting charts for that system and plan the retiree must be separated from employment for 30 days before returning to work regardless of the position eligibility.		
18.6	B50	Business Rule	If retiree retired under the 2008 ERF, and is less than 65, they are reportable to DRS in either an eligible or ineligible position based on the position eligibility and their benefit will be stopped for the entire month and ongoing until they separate from the position or turn age 65, whichever comes first.	PERS – 41.40.630(3) and 41.40.820(3) SERS – 41.35.420(3) and 41.35.680(3) TRS – 41.32.765(3) and 41.32.875(3)	PERS, SERS, TRS Plan 2 & 3
18.6	B51	Business Rule	If retiree is being hired into a substitute position, retired under the 2008 ERF, and is less than 65 years of age, they are reportable to DRS in an ineligible position and their benefit will be stopped.	PERS – 41.40.630(3) and 41.40.820(3) SERS – 41.35.420(3) and 41.35.680(3) TRS – 41.32.765(3) and 41.32.875(3)	PERS, SERS, TRS Plan 2 & 3
18.6	R2	Business Requirement	If person is a retiree, provide information to employer about the member having the option to join membership if there are no exception/estoppel rules that prevent them from being a member.		
18.6	D6	Data	System Code • Valid Values = (Table SYSTM – System Code Table)	**Existing Data Element**	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ E = School Employees' Retirement System (SERS) ○ J = Judicial Retirement System (JRS) ○ L = Law Enforcement and Firefighters Retirement System (LEOFF) ○ N = Public Safety Employees' Retirement System (PSERS) ○ P = Public Employees' Retirement System (PERS) ○ S = Washington State Patrol Retirement System (WSPRS) ○ T = Teachers' Retirement System (TRS) ○ U = Judges Retirement Fund (JRF)	**Description:** Used to identify the system being that the member should be reported in.	
18.6	D7	Data	Plan Code • Valid Values = ○ 0 = Retirees, and school district and educational service district substitutes. ○ 1 = Valid for system codes D, J, L, P, S, T ○ 2 = Valid for system codes E, L, N, P, S and T ○ 3 = Valid for system codes E, P and T	**Existing Data Element** **Description:** Used to identify the retirement plan that the member should be reported in. **Note:** If we start having employers report ineligible, not reportable employees would they come in as a zero as well?	
18.6	D8	Data	Reportable Status: • Valid Values = ○ Reportable ○ Not Reportable	**New Data Element** **Description:** Used to identify if the member is reportable or not reportable to DRS based on the eligibility determination.	

Process/Workflow Name: 18.0 Determine Member Eligibility

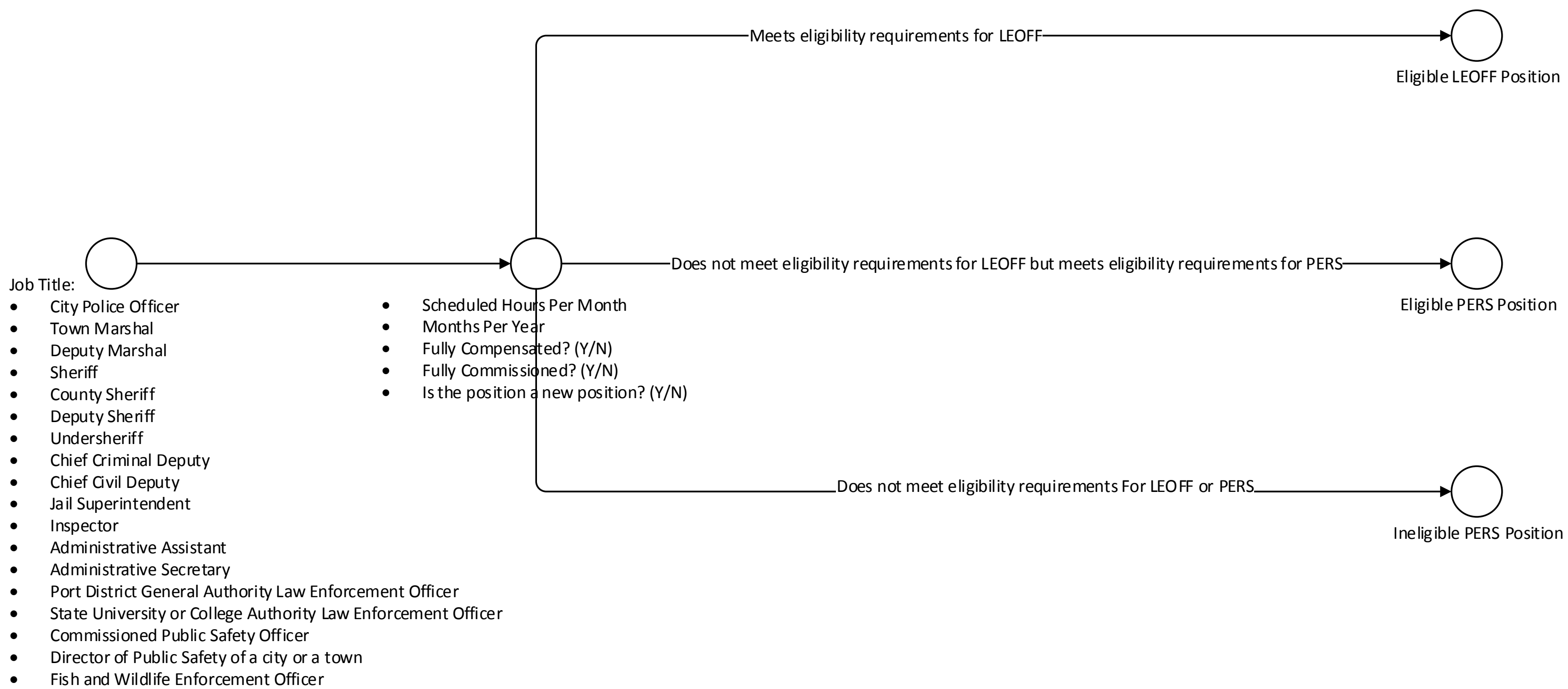
Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
18.6	M1	Messaging	Employer should receive a message indicating what system and plan the person should be reported in and should have the ability to go to the Enroll Member Process.		
18.6	M2	Messaging	If member is retired, the employer should report the member as a retiree return to work but let them know that the member has the option to join membership and if the retiree is interested they should contact DRS.		
18.6	M3	Messaging	If member is retired, should send a message to the member with the appropriate Thinking about Working After Retirement brochure based on the system/plan they retired from. • LEOFF 1 • LEOFF 2 • PERS Plan 1 • PERS/SERS Plan 2 & 3 • PSERS Plan 2 • TRS Plan 1 • TRS Plan 2 & 3 • WSPRS		

Appendix A - Position Eligibility Decision Trees



DRAFT 12/31/14

LEOFF Police Officer



Eligibility Requirements:
- LEOFF Police = Fulltime at 160 hours, *fully compensated, and **fully commissioned
- PERS = 5months of 70 hours or more for two consecutive years

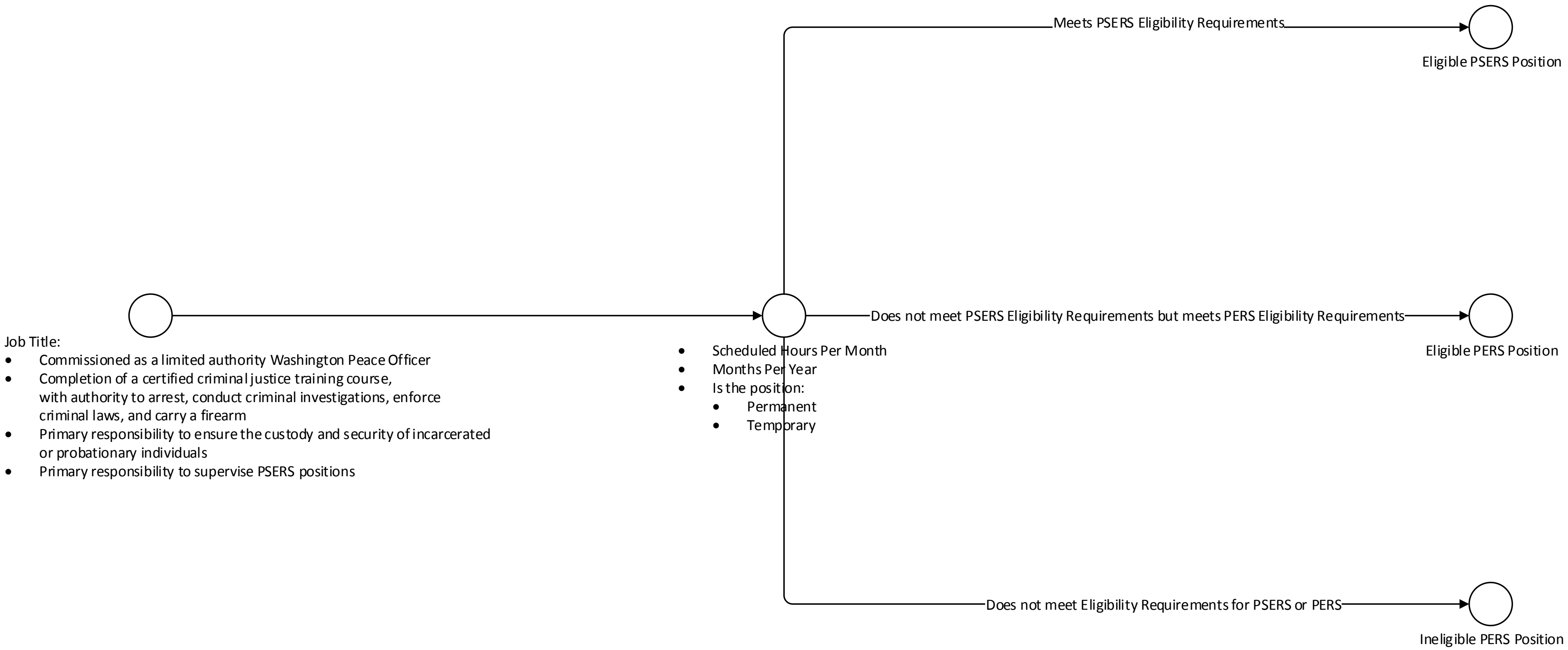
*Fully compensated = Salary and benefits (Under Review with Dave Nelsen and AG's Office)
**Fully commissioned = employed as an officer of a general authority Washington law enforcement agency and empowered by that employer to enforce the criminal laws of the state of Washington.

Sheriff is mandated into LEOFF membership as long as they are full-time, fully compensated, and fully commissioned.

DRAFT 12/31/14

Process/Workflow Name: 18.0 Determine Member Eligibility

PSERS



Eligibility Requirements:

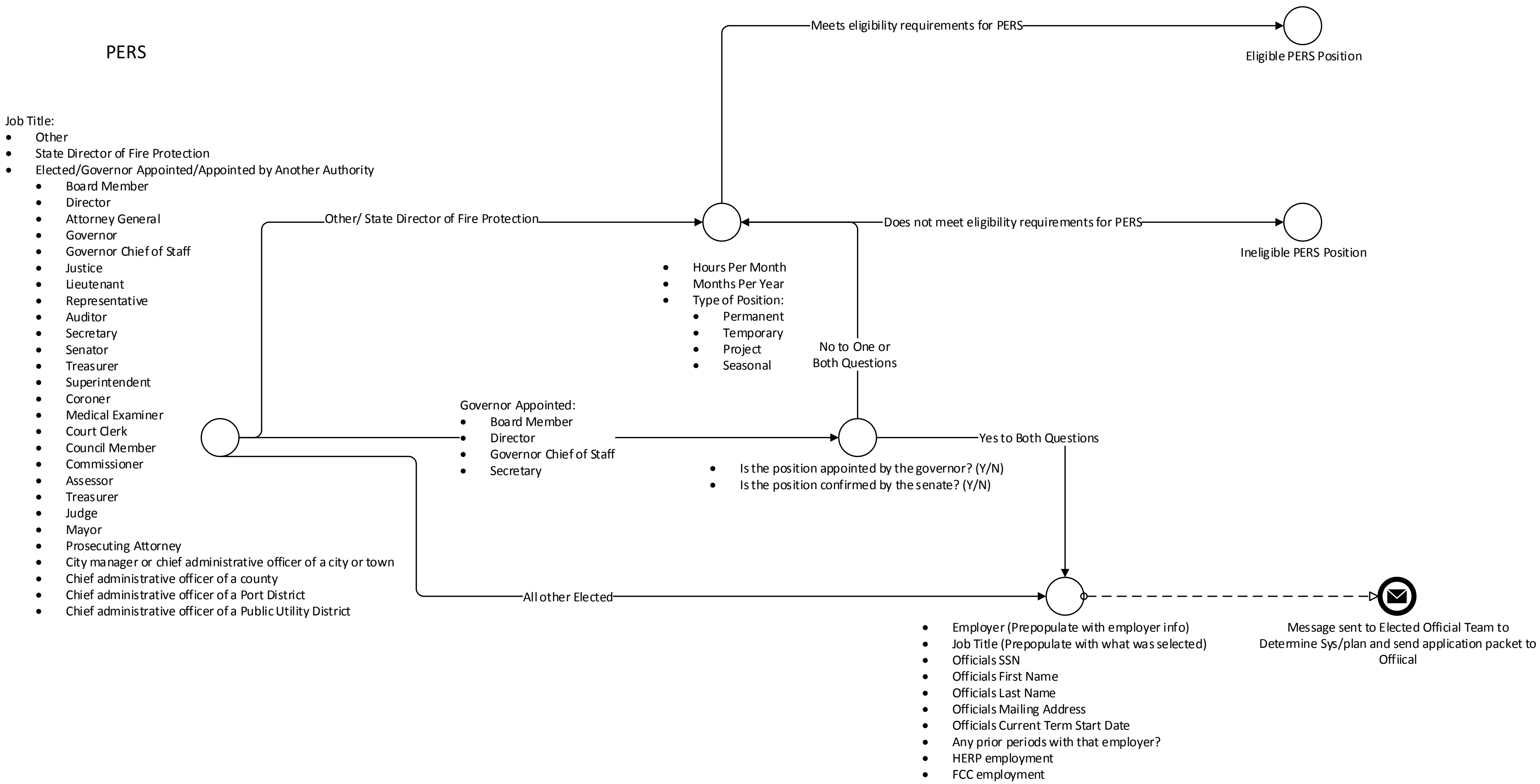
- PSERS = Fulltime at 160 hours and permanent
- PERS = 5months of 70 hours or more for two consecutive years

DRAFT 12/12/14

Appendix D.2 Detailed Requirements and Workflows

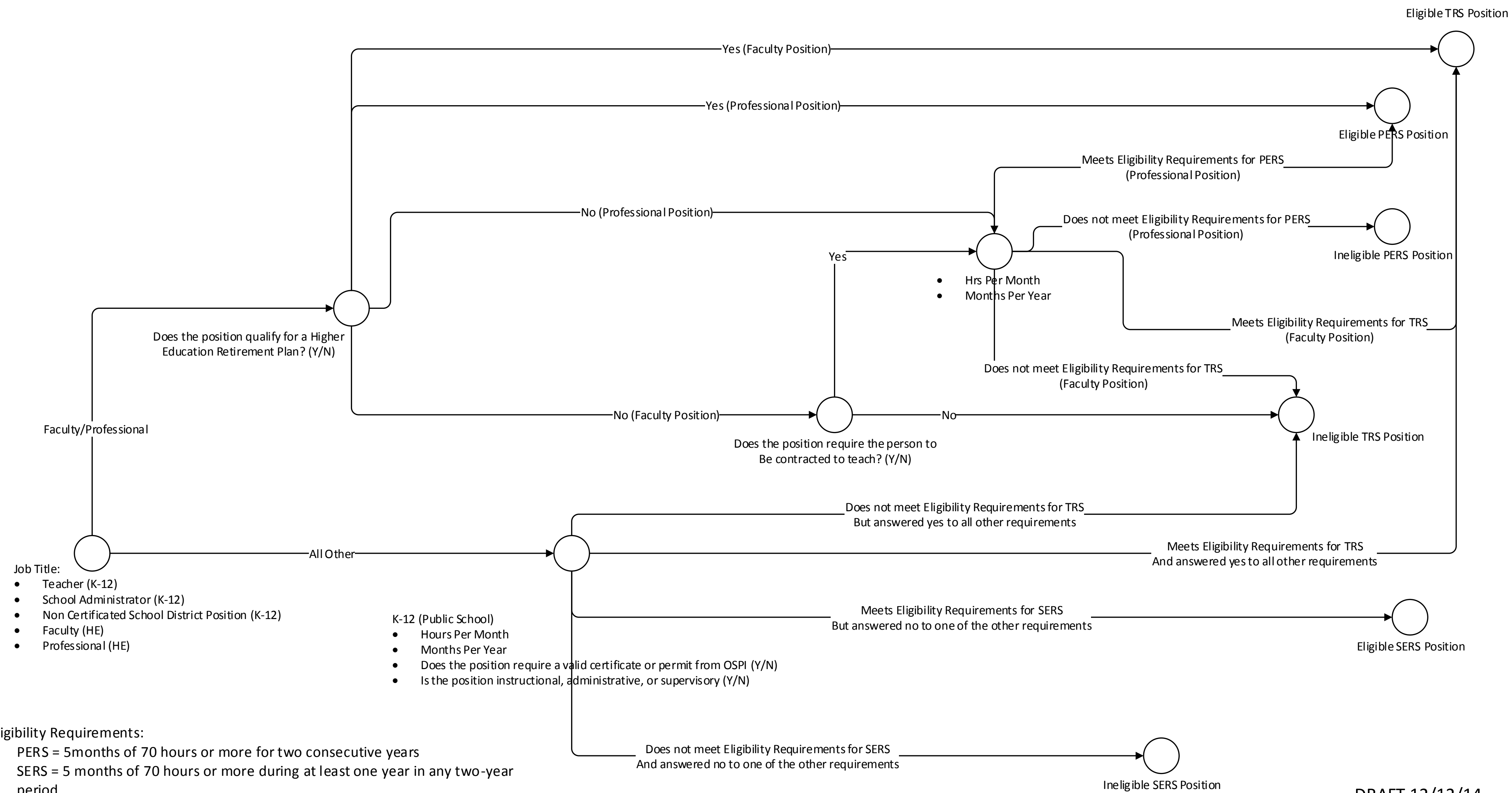
For: Employer Reporting Application (ERA) Project

Process/Workflow Name: 18.0 Determine Member Eligibility



DRAFT 12/17/14

TRS/SERS

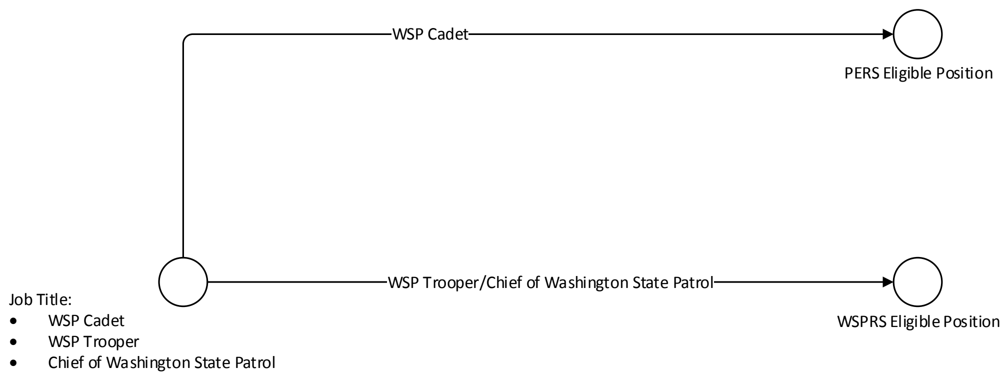


Eligibility Requirements:

- PERS = 5months of 70 hours or more for two consecutive years
- SERS = 5 months of 70 hours or more during at least one year in any two-year period
- TRS = 5 months of 70 hours or more within the school year

DRAFT 12/12/14

WSPRS



Eligibility Requirements:

- Any Cadet is required to be reported in a PERS eligible position until such time they are commissioned and then they are required to go into WSPRS.
- WSPRS = Fulltime and Fully Commissioned Officers hired by the Washington State Patrol.
- Chief of Washington State Patrol is mandated into WSPRS membership.

DRAFT 12/12/14

Appendix B - Employer Type and Job Title Matrix

#	Employer Type (ERTYPE)	Job Title (Identified for Position Eligibility)	Exceptions

1.	• City – Cities
	• Cosubdiv – County Sub Divisions
	• County – Counties
	• Interloc – Interlocal Agreement Entity
	• Firstcty – First Class City
		• City Police Officer
		• Director of Public Safety of a City or Town
		• Deputy Marshal
		• Town Marshal
		• Sheriff – Mandated into LEOFF as a full-time, fully compensated law enforcement officer.
		• County Sheriff
		• Deputy Sheriff
		• Undersheriff
		• Chief Criminal Deputy
		• Chief Civil Deputy
		• Jail Superintendent
		• Inspector
		• Administrative Assistant
		• Administrative Secretary
		• Firefighter
		• EMT
		• Supervises Firefighter/EMT
		• Volunteer FF
		• Commissioned Public Safety Officer
		• Commissioned as a limited Authority Washington Peace Officer
			• Org ID 20429 “South Correctional Entity – SCORE” is the only Interlocal Agreement Entity that has PSERS positions. Should only show PSERS Job Titles for this organization for this employer type.
			• PSERS job titles include:
			  ○ Commissioned as a limited Authority Washington Peace Officer
			  ○ Completion of a certified criminal justice training course, with authority to arrest, conduct criminal investigations, enforce criminal laws, and carry a firearm.
			  ○ Primary responsibility to ensure the custody and security of incarcerated or probationary individuals.
			  ○ Primary responsibility to supervise PSERS Positions

#	Employer Type (ERTYPE)	Job Title (Identified for Position Eligibility)	Exceptions

		• Completion of a certified criminal justice training course, with authority to arrest, conduct criminal investigations, enforce criminal laws, and carry a firearm.
		• Primary responsibility to ensure the custody and security of incarcerated or probationary individuals.
		• Primary responsibility to supervise PSERS Positions
		• Elected Officials
		    ○ Auditor
		    ○ Coroner
		    ○ Medical Examiner
		    ○ Court Clerk
		    ○ Council Member
		    ○ Commissioner
		    ○ Assessor
		    ○ Treasurer
		    ○ Judge
		    ○ Mayor
		    ○ Prosecuting Attorney
		    ○ Superintendent (of Public Lands)
		    ○ City manager or chief administrative officer of a city or town. RCW 41.40.023 (17)
		    ○ Chief administrative officer of a county. (RCW 41.40.023(18))
		• Other	

2.	• Eddist – Educational Service Districts • Schdist – School Districts	• Teacher • School Administrator • Noncertificated School District Position	

Process/Workflow Name: 18.0 Determine Member Eligibility

#	Employer Type (ERTYPE)	Job Title (Identified for Position Eligibility)	Exceptions
3.	Firedist – Fire Protection Districts	• Firefighter • EMT • Supervises Firefighter/EMT • Volunteer FF • Other	

4.	Port – Ports	• Port District General Authority Law Enforcement Officer
		• Elected Officials
		  ○ Commissioner (County) – Port of Tacoma is the only port that allows their commissioner to join the state retirement. (RCW 53.12.260)
		  ○ Chief Administrative Officer of a Port District. (RCW 41.40.023(18))
		• Other	

5.	Pudist – Public Utility Districts	• Elected Officials ○ Chief Administrative Officer of Public Utility District (RCW 41.40.023(18)) • Other	
6.	Sted – State Agency Education	• Teacher • School Administrator • Other	
7.	• Stedcoll – State Education Community & Technical Colleges • Steduniv – State Education Universities & 4 Year Colleges	• State University or College Authority Law Enforcement Officer • Faculty • Professional • Other	
8.	Stnoned – State Agency Non Education	• Commissioned Public Safety Officer • Commissioned as a limited Authority Washington Peace Officer	

#	Employer Type (ERTYPE)	Job Title (Identified for Position Eligibility)	Exceptions

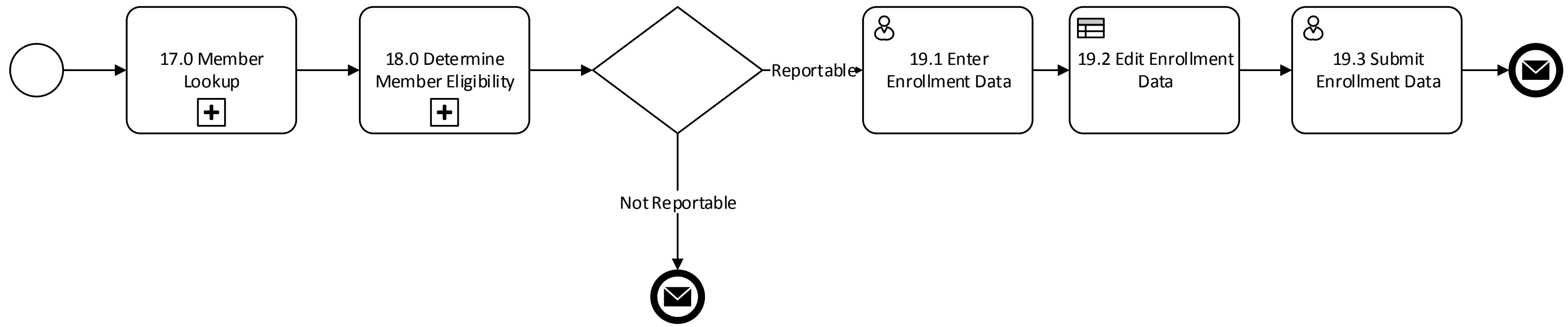
		• Completion of a certified criminal justice training course, with authority to arrest, conduct criminal investigations, enforce criminal laws, and carry a firearm.
		• Primary responsibility to ensure the custody and security of incarcerated or probationary individuals.
		• Primary responsibility to supervise PSERS Positions
		• Fish and Wildlife Enforcement Officer
		• WSP Cadet
		• WSP Trooper
		• Chief of Washington State Patrol – Governor Appointed Position that is mandated into WSPRS membership. (RCW 43.43.139)
		• State Director of Fire Protection
		• Elected Officials
		  ○ Attorney General
		  ○ Governor
		  ○ Governor Chief of Staff
		  ○ Commissioner
		  ○ Justice
		  ○ Lieutenant
		  ○ Representative
		  ○ Auditor
		  ○ Secretary
		  ○ Senator
		  ○ Treasurer
		  ○ Superintendent (of Public Instruction)
		  ○ Board Member
		  ○ Director	

#	Employer Type (ERTYPE)	Job Title (Identified for Position Eligibility)	Exceptions
		• Other	
9.	Union – Unions	• Other	
10.	WPPSS – Wa Public Power Supply System	• Other	
11.	Wtrdist – Water Related Districts, Sewer, Irrigation, Weed	• Other	

Appendix C – PERS and LEOFF Concurrent Members with Same Employer

Type of Concurrent Employment	Type of Employer(s)	System in which to Report Member
Eligible PERS position and less than full time law enforcement officer or fire fighter service	Same employer	Employee is eligible for PERS membership. Report all compensation, contributions, and service (PERS + law enforcement or fire fighter service) under PERS on the transmittal. [PERS WAC 415-108-700]
Ineligible PERS position and less than full time law enforcement officer or fire fighter service	Same employer	Employee eligible for PERS membership if the combined hours of employment meet the definition of an eligible position in PERS. If the employee is eligible, report all compensation, contributions, and service (PERS + law enforcement or fire fighter service) under PERS on the transmittal. [PERS WAC 415-108-700]
Ineligible PERS position and full time law enforcement officer or fire fighter position	Same employer	Employee is eligible for membership in LEOFF. Report only the compensation, contributions, and service in the LEOFF position under LEOFF on the transmittal. Do not report the employment in the ineligible PERS position. [LEOFF WAC 415-104-301]

Process/Workflow Name: 19.0 Enroll Member



Process/Workflow Name: 19.0 Enroll Member

Process Description: This process provides a publicly accessible function to facilitate the enrollment of members into a DRS pension system and/or DCP. This process enables employers to enroll members using the automated reporting process, as well as an interactive process for employers who enroll members separately from the reporting process. It covers enrollment for the following employees:

- New hires who are new to the DRS system/plan they are being enrolled in, and may or may not have been a member of a different system/plan.
- Employees who are already established as members of a DRS system/plan and who are being hired by a different employer.
- Withdrawn members who have reestablished membership.
- Employees who are moving from an ineligible position with an employer to an eligible position with that same employer.
- Elected officials who are either changing organizations due to their new roles as elected officials, are staying with the same employer but changing from a regular employee to an elected official, or are being enrolled for the first time.
- A person who is a beneficiary, dependent or legal order payee of a member and is being hired by a DRS-covered employer. (DRS doesn't currently have the capability of identifying people in this status, but could in the new system if the concept of an "associate" is implemented.)
- Potential member (could be a substitute or an elected official that hasn't joined yet). PERS 1 members working in a classified sub position for an Educational Employer are not reported.
- A retired member either returning to work or returning to membership.
- A person who is an LOPSPLIT member. (Currently LOPSPLIT accounts are setup as members on our mainframe system.)
- A member who is joining DCP. (Note: Spoke with Marla (project manager for the record keeper transition to Empower) on Tuesday February 10, 2015. DCP enrollment is an item in the contract. It states that Empower will provide online enrollment. That will be defined later in the project once legislation has determined if mandatory enrollment for state employees will pass.) Legislation did not pass in 2015 for mandatory enrollment, however this is expected to be proposed again in 2016. No requirements have been documented around this because there is discussion happening as to who (employer, record keeper, etc.) will be responsible for enrolling members in DCP.

Disclaimer: Workflows and requirements are subject to change as additional requirements are flushed out through the analysis process.

User Stories for Enroll Member processes:

1) As an authorized user, I would like to be able to enroll a member in a retirement system and plan, so that I can begin reporting earnings and contributions to DRS.
2) As an authorized user I would like to be able to access additional earning activity data processes.
3) As an authorized user, I would like real time edit messages when incorrect data is entered.
4) As an authorized user, I would like to receive notification when data is accepted.
5) As an authorized user, I would like member information pulled from the member lookup process to prepopulate member data fields.

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
19.0		Parent Process	**Enroll Member.** This process provides a publicly accessible function to facilitate the enrollment of members into a DRS retirement system/plan.	The enrolling member process will occur anytime a new employment period has to be created for participating members and non-participating employees.	
19.0		Inputs	• Member Data from the Member Lookup Process. • Reportable Status, System Code, Plan Code, and Type Code from the Determine Member Eligibility Process.		
19.0		Outputs	• Edited member enrollment information. • Error message(s), if any errors exist. • New or updated member profile record committed to system. • New or updated employer record committed to system.		
19.0	R1	Business Requirement	Employers will be required to submit a member profile record and employment information record for new employees to their organization.		
19.0	R2	Business Requirement	Authorized users will have the ability to enroll a member through an interactive format.		
19.0	R3	Business Requirement	Authorized users will have the ability to enroll a member through an upload format.		

Process/Workflow Name: 19.0 Enroll Member

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
19.0	F1	Functional Requirement	A history of all member profile changes will be kept and accessible to authorized users to reference at a later date.		
17.0		Parent Process	**Member Lookup. (See Requirements Package - 17.0 Member Lookup)**		
18.0		Parent Process	**Determine Member Eligibility. (See Requirements Package - 18.0 Determine Member Eligibility)**		
19.1		Child process	**Enter Enrollment Data.** This process provides the functionality for an authorized user to enter enrollment data.		
19.1		Inputs	• Member Data from the Member Lookup Process. • Reportable Status, System Code, Plan Code, and Type Code from the Determine Member Eligibility Process.		
19.1		Outputs	• Entered enrollment data.		
19.1	F1	Functional Requirement	Data that is retrieved from the Member Lookup and Determine Member Eligibility process will prepopulate data fields and any missing required data will need to be entered by the authorized user.		
19.1	B1	Business Rule	If a Reportable Status of “Not Reportable” is brought forward, the system should prevent the authorized user from enrolling the employee.	Reportable members could be either eligible or ineligible; an example of a reportable but ineligible member would be a substitute or possibly in the future a HERP member. A member who meets eligibility requirements and is reportable, but who is considered to be an exception from being eligible (i.e., is estopped) would be deemed not reportable.	
19.1	D1	Data	Social Security Number • Format = Numeric • Field Length = 9 • Required	**Existing Data Element** **Description:** The member's Social Security number must be 9 digits in length. The Social Security number entered on the	All

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				transmittal report must match the number on the employee's Social Security card.	
19.1	D2	Data	Member/Participant Last Name • Format = Character • Field Length = 35 • Required?	**Existing Data Element** **Description:** The name that identifies the employee being reported. **Note:** Discussion needed regarding if this should be required because we have members with only one name.	All
19.1	D3	Data	Member/Participant First Name • Format = Character • Field Length = 35 • Required?	**Existing Data Element** **Description:** The name that identifies the employee being reported. **Note:** Discussion needed regarding if this should be required because we have members with only one name.	All
19.1	D4	Data	Member/Participant Middle Name • Format = Character • Field Length = 35 • Optional	**Existing Data Element** **Description:** The name that identifies the employee being reported.	All

19.1	D5	Data	Member/Participant Name Extension
			• Valid Values= (Table EXTN – Seniority)
			  ○ II
			  ○ III
			  ○ IV
				Existing Data Element
				
				Description: This field is used to identify the legal extension of the employee being reported.
					All

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ Junior ○ Senior ○ V ○ VI ○ VII • Format = Character • Field Length = 6 • Optional	Recommend expanding field to 6 spaces.	
19.1	D6	Data	Member/Participant Name Title • Valid Values= (Table TITLE – Titles) ○ DR = Doctor ○ REV = Reverend • Format = Character • Field Length = 5 • Optional	**Existing Data Element** **Description:** This field is used to identify the title of the employee being reported. Entries such as Mr., Mrs., Miss., or Ms. will be ignored and default to a blank field. **Note:** Look at seeing if we should expand to include elected officials and other title types. See if there is a standard??	All
19.1	D7	Data	Member/Participant Name Suffix • Valid Values= (Table SUFFX – Suffix) ○ DDS = Doctor of Dental Science ○ DO = Doctor of Osteopathy ○ MD = Doctor of Medicine ○ PHD = PHD • Format = Character • Field Length = 5 • Optional	**Existing Data Element** **Description:** This field is used to identify degrees earned for the employee being reported. **Note:** Should this be expanded to include other suffixes?	All

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan

19.1	D8	Data	Address Description
			• Valid Values:
			  ○ Home (Physical Address)
			  ○ Mailing (Where Mail is Received)
			• Format = Character
			• Field Length = 7
			• Required when an address is entered.
				New Data Element
				
				Description: Used to address destination for a member.
					All

19.1	D9	Data	Address Line 1 (Domestic and Foreign) • Format = Character • Field Length = 40 • Required for Domestic and Foreign Addresses	**Existing Data Element** **Description:** Used to indicate a member or participant address. Address Line 1 is required. Change to accept 40 characters which is what the mainframe currently accepts for address line 1.	All
19.1	D10	Data	Address Line 2 (Domestic and Foreign) • Format = Character • Field Length = 35 • Optional	**Existing Data Element** **Description:** Used to indicate a member or participant address. Address Line 2 is optional.	All
19.1	D11	Data	Address Line 3 (Domestic and Foreign) • Format = Character • Field Length = 35 • Optional	**Existing Data Element** **Description:** Used to indicate a member or participant address. Address Line 3 is optional.	All
19.1	D12	Data	City (Domestic and Foreign) • Valid Values =	**Existing Data Element**	All

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ For WA addresses use (Table CITY – Washington State Cities) • Format = Character • Field Length = 35 • Required if the members address is Domestic • Required if the members address if Foreign and the Province data element is not populated.	**Description:** Used to indicate a member or participant city for their domestic address. **Note:** If state is WA City is edited against the CITY table. This table is currently DRS specific would like to have a web service that goes to the postal service to validate addresses.	
19.1	D13	Data	State Code (Domestic) • Valid Values = ○ Use (Table STATE – United States Table) • Format = Character • Field Length = 2 • Required if the members address is Domestic	**Existing Data Element** **Description:** Used to indicate a member or participant state for their domestic address.	All
19.1	D14	Data	Zip Code (Domestic) • Format = Numeric • Field Length = 5 • Required if the members address is Domestic	**Existing Data Element** **Description:** Used to indicate a member or participant zip code for their domestic address.	All
19.1	D15	Data	Zip Extension (Domestic) • Format = Numeric • Field Length = 4 • Optional if the members address is Domestic	**Existing Data Element** **Description:** Used to indicate a member or participant zip extension for their domestic address.	All
19.1	D16	Data	Province (Foreign Addresses) • Format = Character • Field Length = 35 • Required if City is not Populated	**New Data Element** **Description:** Used to indicate the member's providence for a foreign address in order to contact the member regarding retirement information.	All

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
19.1	D17	Data	Country (Foreign Addresses) • Format = Character • Field Length = 35 • Required if members address is Foreign	**New Data Element** **Description:** Used to indicate the member's country for a foreign address in order to contact the member regarding retirement information.	All
19.1	D18	Data	Postal Code (Foreign Addresses) • Format = Character • Field Length = 9 • Optional if members address is Foreign	**New Data Element** **Description:** Used to indicate the member's postal code for a foreign address in order to contact the member regarding retirement information.	All

19.1	D19	Data	Phone Number Description (Domestic Addresses)
			• Valid Values:
			  ○ Work
			  ○ Home
			  ○ Cell
			• Format = Character
			• Field Length = 4
			• Required for each phone number entered.
				New Data Element
				
				Description: Used to indicate the phone number description.
					All

19.1	D20	Data	Phone Number (Domestic Addresses)
			• Format =
			  ○ (XXX)XXX-XXXX
			  ○ XXX-XXX-XXXX
			  ○ XXX.XXX.XXXX
			  ○ XXXXXXXXXX
				New Data Element
				
				Description: Used to indicate the member's phone number in order to contact the member regarding retirement information.
					All

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ XXX XX XXXX • Field Length = 13 • Optional?	**Note:** Discussions needed around whether or not this element should be required. There is a need to have this information so we can contact members when needed, however there concerns that not all members have a phone.	
19.1	D21	Data	Foreign Phone Number (Foreign Addresses) • Format = Character • Field Length = 15 • Optional?	**New Data Element** **Description:** Used to indicate the member's phone number in order to contact the member regarding retirement information. **Note:** Discussions needed around whether or not this element should be required. There is a need to have this information so we can contact members when needed, however there concerns that not all members have a phone.	All
19.1	D22	Data	Email Type Description • Valid Values: ○ Work Email ○ Home Email • Format = Character • Field Length = 10 • Required for each email entered.	**New Data Element** **Description:** Used to indicate the email type description of where the email is being directed for the member.	All
19.1	D23	Data	Email • Format = Character • Field Length = 250 • Optional?	**New Data Element** **Description:** Used to indicate the member's email address to be used in communicating important retirement information (example: Plan Choice, etc.).	All

Process/Workflow Name: 19.0 Enroll Member

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				Note: Discussions needed around whether or not this element should be required. There is a need to have this information so we can send out retirement information electronically, however there concerns that not all members have an email.	

19.1	D24	Data	Gender Code
			• Valid Values = (Table SEX – Sex Code Table)
			  ○ M = Male
			  ○ F = Female
			• Format = Character
			• Field Length = 1
			• Required
				Existing Data Element
				
				Description: Used to indicate the gender of a member or participant.
				
				Note: Discussion whether or not we should expand to "Other".
					All

19.1	D25	Data	Birth Date • Format = Date mmddyyyy • Field Length = 8 • Required	**Existing Data Element** **Description:** Used to provide the date of birth of a member or participant.	All

19.1	D26	Data	Reportable Status:
			• Valid Values =
			  ○ Reportable
			  ○ Not Reportable
			• Required, pulled from Determine Member Eligibility Process.
				New Data Element
				
				Description: Used to identify if the member is reportable or not reportable to DRS based on the eligibility determination.
					All

19.1	D27	Data	System Code • Valid Values = (Table SYSTM – System Code Table) ○ D = Deferred Compensation Program (DCP)	**Existing Data Element** **Description:** Used to identify the system being reported.	All

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ E = School Employees' Retirement System (SERS) ○ J = Judicial Retirement System (JRS) ○ L = Law Enforcement and Firefighters Retirement System (LEOFF) ○ N = Public Safety Employees' Retirement System (PSERS) ○ P = Public Employees' Retirement System (PERS) ○ R = Judicial Retirement Account (JRA) ○ S = Washington State Patrol Retirement System (WSPRS) ○ T = Teachers' Retirement System (TRS) ○ U = Judges Retirement Fund (JRF) ○ Z = HERP Supplemental Fund • Format = Character • Field Length = 1 • Required, pulled from Determine Member Eligibility Process.		
19.1	D28	Data	Plan Code • Valid Values = ○ 0 = Retirees, and school district and educational service district substitutes. ○ 1 = Valid for system codes D, J, L, P, S, T and Z ○ 2 = Valid for system codes E, L, N, P, S and T ○ 3 = Valid for system codes E, P and T • Format = Numeric • Field Length = 1 • Required, pulled from Determine Member Eligibility Process.	**Existing Data Element** **Description:** Used to identify the retirement plan being reported. **Note:** If we start having employers report ineligible, not reportable employees would they come in as a zero as well?	All

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
19.1	D29	Data	Type Code • Valid Values = ○ Use (Table TRTYP – Transmittal Type Code Table) • Format = Numeric • Field Length = 3 • Required, pulled from Determine Member Eligibility Process.	**Existing Data Element** **Description:** Identifies the type of employer, and in some cases, the type of work performed by the member. • Retiree Returning to Work Reporting Charts – These charts include retirees returning to eligible, ineligible, and substitute positions. If the employee is not a retiree go to Substitute Reporting Chart. • Substitute Reporting Chart – If employee is not a substitute go to List of Type Codes by System. • List of Type Codes by System If keeping this field, recommend expanding to 3 spaces. **Note:** Need to determine if we are going to keep this field or if there is an opportunity to capture this differently (Example: Position title from Determine Member Eligibility Process or a new field like Job Type)? If we take this information can we convert this information into a type code? Need to have a code to describe the employer and one for the position.	All
19.1	D30	Data	Begin Date (Employment Period) • Format = Date mmddyyyy	**Existing Data Element**	All

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• Field Length = 8 • Required	**Description:** • <u>Retirement </u>– This date must be on the transmittal report for each retiree and member an employer is reporting for the first time. If the employer reports a retiree or a member without an eligibility begin date, all of the information on the report will be rejected. Also used to report the date a retiree or member begins employment or changes employment status (example: Eligible employment to substitute employment). • <u>DCP</u> – Used to report the first payday that an employee has a DCP deduction (deferral) taken from his or her compensation for that employer. Changing element name	
19.1	D31	Data	Record Type Identifier • Valid Values= ○ S = Summary Record ○ M = Member Profile Record ○ E = Employment Record ○ B = Defined Benefit Record ○ C = Defined Contribution Record ○ T = Plan Choice • Format = Character • Field Length = 1	**Existing Data Element** **Description:** Each record has a unique data record type identifier. **Note:** Discussions if we need this element in the future.	All

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• Required		
19.1	D32	Data	Reporting Group Number • Format = Character • Field Length = 6 • Required	**Existing Data Element** **Description:** This is a DRS assigned number and is system specific. An employer who participates in multiple systems has a specific Reporting Group Number for each system. **Note:** Current issue because numbers started to be used to define types of employers but because we are running out of the unique types we have been using the numbers for multiple types of employers (I.e. 22XX = County but is now also being used for other employer types other than county.) ERTYPE drives the Numbering system.	All
19.1	D33	Data	Reporting Period • Format = Date mmyyyy • Field Length = 6 • Required	**Existing Data Element** **Description:** The reporting period identifies the year and month of the transmittal report. The same reporting period should be used for all entries within the report.	All

19.1	D34	Data	Report Type
			• Valid Values=
			  ○ R = Regular report
			  ○ C = Correction report
			• Format = Character
			• Field Length = 1
				Existing Data Element
				
				Description: This field is used to indicate whether the report is a regular report or a correction report.
					All

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• Required	You may always include correcting transactions within your regular transmittal reports. In addition, DRS will accept separate correction reports. This allows you to submit correcting transactions any time during a month. Depending on your method of reporting, you may need to flag Use the Report Type field as "R" to identify a regular transmittal report, or "C" to identify a correction transmittal report to identify the type of report you are submitting.	
19.1	D35	Data	Report Version Number • Format = Numeric • Field Length = 1 • Required	**Existing Data Element** **Description:** DRS can arrange for employers who report electronically to submit multiple regular transmittal reports for each calendar month. The Report Version Number and Expected Monthly Reports fields identify the expected number of regular transmittal reports for a specific month. Employers who are not using the multiple reporting option should always enter 01 in the Report Version Number field Employers using the multiple reporting options must use the Report Version Number to identify which transmittal report this is in the month's sequence of reports.	All

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				Employers submitting a correction report should always enter 01 in the Report Version Number field. (Correction reports are given version numbers by the DRS system.) **Note:** It was discussed to look at other options on how to track reporting other than the current versioning process in place. Currently they have to indicate how many reports they are planning on submitting for the month. If they submit different they need to contact DRS to have fixed. • Need some way to track this because we don't want to have employers sending data for the same month/year that they have already sent data for. Currently this is used to identify those that have done this. • It is also used to tell us what report to expect next. I.e. they say they are supposed to send in next. • Once the employer has submitted a R1 March it is labeled March once we receive an R1 April the label is moved to April they have to submit a C report for any changes they need to make for March with an April date. Any corrections are submitted under the current Month label that the employer has been reporting for.	

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				• The label of March 2014 can have earnings for prior periods.	
19.1	D36	Data	Associate type (proposed) must be present: • Member	**New Data Element** **Description:** This data is not currently collected. If the concept of "associate" is implemented, the associate type would indicate the employee's status. It could possibly be derived from the process it is gathered from (e.g., member enrollment or, in the future, death process.) Besides the member type, other types could include: • Beneficiary • Legal order payee • Vendor • Potential member	All
19.1	D37	Data	Job Type	**New Data Element** **Description:** <Placeholder currently unknown if data element will be needed> **Note:** Meeting with OSA's Darren Painter on 6/25/15 to further discuss what is needed for this requirement.	All

19.1	D38	Data	Investment Program
			• Valid Values = (Table INVMN – Investment Manager Table)
			  ○ WSIB = Washington State Investment Board
			  ○ SELF = Self-Directed Investment Program
				Existing Data Element
				
				Description: Used to report the investment program for a Plan 3 member.
					Plan 3 mbrs only

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• Format = Character • Field Length = 4 • Required for Plan 3	If a non-transferring Plan 3 member fails to select an investment program within 90 days of eligibility, the investment program must be reported as "SELF" when the Plan Choice 3D Default is sent to DRS.	

19.1	D39	Data	Rate Option
			• Valid Values = (Table PER3R –Table PERS 3 Rate Options, Table SER3R – Table SERS 3 Rate Options, Table TRS3R – Table TRS 3 Rate Options)
			  ○ A = 5% of pay at all ages
			  ○ B = 5% of pay until age 35, 6% of pay age 35-44, 7.5% age 45 and above
			  ○ C = 6% of pay until age 35, 7.5% of pay age 35-44, 8.5% age 45 and above
			  ○ D = 7% pay at all ages
			  ○ E = 10% pay at all ages
			  ○ F = 15% pay at all ages
			• Format = Character
			• Field Length = 1
			Required for Plan 3
				Existing Data Element
				
				Description: Used to report the investment rate option for a Plan 3 member.
				
				If a non-transferring Plan 3 member fails to select a rate option within 90 days of eligibility, the rate option must be reported as "A" when the Plan Choice 3D Default is sent to DRS.
				
				Option B and C-coordinating rate changes with birth dates.
				
				For members choosing options B and C, rates must increase following the 35th and 45th birthdays. If a rate change is necessary following a member birthday, you will begin using the new rate on the first of the following month.
					Plan 3 mbrs only

19.1	D40	Data	Plan Choice Date or Transfer Date • Format = Date mmddyyyy • Field Length = 8 • Required for the Plan Choice the first time a member meets one of these conditions:	**Existing Data Element** **Description:** Date member made a choice on the Member Information Form (MIF).	PERS, SERS, TRS who have a choice or transfer rights

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ A new PERS, SERS with no prior PERS 2 service, or TRS member chooses, either Plan 2 or Plan 3, or after 90 calendar days from the date of hire when the Plan Choice 3D Default is sent to DRS; or ○ A plan 2 member of PERS, SERS, or TRS chooses Plan 3 per the January Transfer Option; ○ PERS JBM: ▪ New PERS JBM members with no prior PERS membership do not have Plan Choice Rights and are mandated into PERS Plan 2. These members are reported from the first day of hire in PERS Plan 2 with the appropriate JBM Type Code. ▪ Prior PERS members who had the right to transfer from PERS Plan 2 to PERS Plan 3 before becoming a JBM member will continue to have Plan 2 to Plan 3 transfer rights. ○ Plan 3 (TRS/PERS)\HERP Choice: 30 days from date of hire to make choice between (PERS/TRS) and HERP.	**Note:** Eleanor indicated the 90 days are under review. Currently a service request being reviewed right now. The 90 days also affects optional bills. Go back and look at plan choice requirements.	
19.1	D41	Data	Plan Choice • Valid Values = (Table TPCDC – Transfer/Plan Choice Default Table) ○ 2C = Choose Plan 2 ○ 3C = Choose Plan 3	**Existing Data Element** **Description:** Used to indicate the member's Plan Choice or January Transfer Option.	PERS, SERS, TRS who have a choice or transfer rights

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ 3D = Default to Plan 3 ○ 3X = Transfer to Plan 3 • Format = Character • Field Length = 2 Required for the Plan Choice the first time a member makes a Plan Choice or transfers during the January Transfer Option.	**Note:** • Potential members such as substitutes should be treated like new members; they have a plan choice if hired into an eligible position. For SERS potential members, however, this is true only if they have no prior PERS Plan 2 service. If they have prior PERS 2 service, the member should be reported in SERS Plan 2; the employee has no plan choice, but is eligible for January Transfer Option. • New PERS JBM members with no prior PERS membership are mandated into PERS Plan 2 with no plan choice rights.	
19.1	D42	Data	HERP/DRS Plan Choice • Valid Values = ○ HERP ○ DRS Plan • Format = Character Field Length = 8	**New Data Element** **Description:** Used for Higher Education Employers to indicate if a member has chosen either HERP or a DRS Plan. Rules governing what DRS Plan they are required to be placed in is under the Edit Earning Activity Data Section.	
19.1	D43	Data	HERP Position Type • Valid Values = ○ Faculty ○ Professional • Format = Character Field Length = 12	**New Data Element** **Description:** Used for Higher Education Employers to indicate what type of HERP position is. Rules governing HERP/DRS plan choice are under the Edit Earning Activity Data Section.	

Process/Workflow Name: 19.0 Enroll Member

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
19.1	R1	Business Requirement	An authorized user will have the ability to enter additional earning activity data if they choose. **(See Requirements Package - 22.0 Earning Activity)**		
19.2		Child Process	**Edit Enrollment Data.** This process edits the member enrollment data.		
19.2		Input	• Member enrollment information entered.		
19.2		Output	• Enroll member data has been validated against the business rules and: ○ Is ready to be accepted and committed; or ○ Is rejected and data is returned with a clear message why it was returned.		
19.2	R1	Business Requirement	The system will be able to edit the enroll member data based on defined business rules.	Will provide specific edits in future analysis. (22.0 - Earning Activity)	
19.2	B1	Business Rule	A member can't have two open employment periods with the same employer (i.e., there should not be a begin date if the member already has an employment record for that employer that doesn't have an end date). The only exception is that the member can have an open employment period for DCP as well as a retirement system/plan for the same employer.	**Manual Intervention from DRS's end not employer:** We currently allow this in our system for multiple reasons such as correction of member data or moving from one system plan to another within one organization. The team needs to further vet this out to determine if there should be edit messages sent to the employer in these cases.	
19.2	B2	Business Rule	A member can have more than one open employment periods if the employment periods are for different employers.		
19.2	B3	Business Rule	For an employer who voluntarily joined (new PERS employer), the begin date for the member can be prior to the employer's start date in the system.		

Process/Workflow Name: 19.0 Enroll Member

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
19.2	B4	Business Rule	For employees who are retirees returned to work, the begin date can't be before the date of retirement and must be at least 30 days after the date of retirement. *LEOFF 2 retirees may have a begin date for a non-LEOFF position with a different employer prior to their LEOFF retirement date. If we decide to capture independent contractor information, I believe they would also be able to have a begin date prior to their retirement date as long as it's with a different employer. TRS 1 retirees could enter employment with a Political Sub (City, County, etc.) prior to retirement.*		
19.2	B5	Business Rule	An organization's DCP report group is inactive until the first participant in that organization is enrolled.		
19.2	M1	Messaging	Notification to employer that the enroll member data is ready to be submitted.		
19.2	M2	Messaging	Notification to employer that there is errors in the enroll member data that needs to be corrected.		
19.2	M3	Messaging	Notification to employer to report separation date for member.		
19.3		Child process	**Submit Enrollment Data**. This process creates a new member profile record or updates an existing one.		
19.3		Input	• Edited member enrollment data.		
19.3		Output	• New or updated member profile record committed to system. • New or updated employment record committed to system.		
19.3	F1	Functional Requirement	Enroll member data that has been edited successfully will be committed to the system based on the scenarios outlined in [Appendix A - Chart of Record Types Created/Updated During the Enroll Member Process.]()	**Definitions:** • **MSP – Member System Plan:** All the earnings data about a member's participation in one retirement	

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				system/plan is stored within the grouping called the MSP. The MSP begins on the date the member first enters employment in a retirement system/plan. The MSP ends on the date the member ends membership in that system/plan by withdrawing contributions. A member who establishes membership in more than one retirement system/plan will have more than one MSP. • **MSPP – Member System Plan Period:** All the earnings data about each separate period of enrollment in the same system/plan is stored within the grouping call the MSPP. Most members do not have separate MSPPs. Separate MSPPs are created when a member establishes membership in a retirement system/plan, withdraws contributions from that system/plan, then returns to work in the same system/plan and reestablishes membership. • **EMSP – Employer Member System Plan:** All the earnings data about a member's employment within a particular MSPP is stored within the grouping called the EMSP. Members often have separate EMSPs. A separate EMSP is created when a member in a retirement system/plan changes jobs and goes to work for another employer covered by the same	

Process/Workflow Name: 19.0 Enroll Member

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				retirement system/plan. Or, a separate EMSP is created when a member in a retirement system/plan stops working for a while (without withdrawing contributions) then later returns to work in a position covered by the same retirement system/plan.	
19.3	F2	Functional Requirement	If the employee has never been a member of the system/plan, the system will create and commit a member profile data.		
19.3	F3	Functional Requirement	If the member is already in the system/plan and the member's identity is confirmed, if the data is different, the system will change the data to the new submitted data and commit the changes.		
19.3	F4	Functional Requirement	If the member has never been in the designated system/plan, the system will create a member system/plan record (MSP) consisting of selected member profile and employment information: • Member identifier (currently SSN) • System/plan • Begin date (current label of MSP Begin date is Entry Date)		
19.3	F5	Functional Requirement	If the member has never been in the designated system/plan, the system will create a member system/plan period record (MSPP) consisting of selected member profile and employment information: • Member identifier (currently SSN) • System/plan • Begin date	Currently, a member system/plan period (MSPP) is a period of time from the beginning of employment in that system/plan to the time the member withdraws or retires. It establishes a period of time that can be restored in whole by the member under certain circumstances. (If a member hasn't restored within statutory limits, the member has the option of restoring a portion of the MSPP.)	
19.3	F6	Functional Requirement	If the member being enrolled has been in the designated system/plan and has withdrawn from that system/plan, the system creates a new	A member can have multiple MSPPs, for example, if the member works in a system/plan, withdraws, and then	

Process#	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			Member System/Plan record (MSPP) consisting of selected member profile and employment information: • Member identifier (currently SSN) • System/plan • Begin date	returns to work in that system/plan. When the member withdraws, an end date is put on the MSPP. The MSPP concept may not be important in the new system and should be reviewed in the context of partial restorations, which are allowed when purchasing service past the restoration deadline.	
19.3	F7	Functional Requirement	If the member has been in the designated system/plan and has **not** withdrawn the most current period within that system/plan, the system does not update the existing Member System/Plan Period record.		
19.3	F8	Functional Requirement	The system creates a new member employment system/plan record (EMSP) for the member consisting of identifying member information and employment information: • Member identifier (currently SSN) • Organization identifier (currently department number or report group number) • Begin date		
19.3	M1	Messaging	Notification to the employer letting them know that the enroll member data was accepted and committed to the system.		

Appendix A – Chart of Record Types Created/Updated During the Enroll Member Process

Key:

Y=Always Happens

N=Never Happens

S=Happens under certain circumstances

#	Subs	Elected Officials	RTW	RTM	LOP Split	DCP	Scenario	Create Profile	Update Profile	Create MSP	Update MSP	Create MSPP	Create EMSP	Notes
1							New hire no prior DRS retirement history. (Eligible Position)	Y	N	Y	N	Y	Y	
2							New hire different system/plan than prior DRS retirement history. (Eligible to Eligible Positions)	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.
3							New hire same system/plan as prior DRS retirement history. (Eligible to Eligible Positions)	N	S	N	N	S	Y	**Update Profile** – Only if profile data is different from existing data. **Create MSPP** - Only if prior MSPP is withdrawn.
4							Ineligible not reportable to eligible with no prior DRS retirement history. (Same or Different Employer)	Y	N	Y	N	Y	Y	
5							Ineligible not reportable to eligible with prior DRS retirement history in the system/plan the position is eligible for. (Same or Different Employer)	N	S	N	N	S	Y	**Update Profile** – Only if profile data is different from existing data. **Create MSPP** - Only if prior MSPP is withdrawn.
6							Ineligible not reportable to eligible with prior DRS retirement history in a different system/plan than the position is eligible for. (Same or Different Employer)	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.

Process/Workflow Name: 19.0 Enroll Member

#	Subs	Elected Officials	RTW	RTM	LOP Split	DCP	Scenario	Create Profile	Update Profile	Create MSP	Update MSP	Create MSPP	Create EMSP	Notes
7	X						Ineligible reported for first time in a system/plan	Y	N	Y	N	Y	Y	
8	X						Eligible to Ineligible, same system/plan. (Same or Different Employer) *(Example: TRS Eligible to TRS Ineligible)*	N	S	N	N	S	Y	**Update Profile** – Only if profile data is different from existing data. **Create MSPP** - Only if prior MSPP is withdrawn.
9	X						Eligible to Ineligible, different system/plan with no prior history in that system/plan. (Same or Different Employer) *(Example: TRS Eligible to SERS Ineligible (no prior SERS history))*	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.
10	X						Eligible to Ineligible, different system/plan with prior history in that system/plan. (Same or Different Employer) *(Example: TRS Eligible to SERS Ineligible (prior SERS history))*	N	S	N	N	S	Y	**Update Profile** – Only if profile data is different from existing data. **Create MSPP** - Only if prior MSPP is withdrawn.
11	X						Ineligible to Eligible, same system/plan. (Same or Different Employer) *(Example: TRS Ineligible to TRS Eligible)*	N	S	N	N	S	Y	**Update Profile** – Only if profile data is different from existing data. **Create MSPP** - Only if prior MSPP is withdrawn.
12	X						Ineligible to Eligible, different system/plan with no prior history in that system/plan. (Same or Different Employer) *(Example: TRS Ineligible to SERS Eligible (no prior SERS history))*	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.

Process/Workflow Name: 19.0 Enroll Member

#	Subs	Elected Officials	RTW	RTM	LOP Split	DCP	Scenario	Create Profile	Update Profile	Create MSP	Update MSP	Create MSPP	Create EMSP	Notes
13	X						Ineligible to Eligible, different system/plan with prior history in that system/plan. (Same or Different Employer) *(Example: TRS Ineligible to SERS Eligible (prior SERS history))*	N	S	N	N	S	Y	**Update Profile** – Only if profile data is different from existing data. **Create MSPP** - Only if prior MSPP is withdrawn.
14	X						Ineligible to Ineligible, same system/plan. (Same or Different Employer) *(Example: TRS Ineligible to TRS Ineligible same employer)*	N	S	N	N	N	Y	**Update Profile** – Only if profile data is different from existing data.
15	X						Ineligible to Ineligible, different system/plan with no prior history in that system/plan. (Same or Different Employer) *(Example: TRS Ineligible to SERS Ineligible (no prior SERS history))*	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.
16	X						Ineligible to Ineligible, different system/plan with prior history in that system/plan. (Same or Different Employer) *(Example: TRS Ineligible to SERS Ineligible (prior SERS history))*	N	S	N	N	S	Y	**Update Profile** – Only if profile data is different from existing data. **Create MSPP** - Only if prior MSPP is withdrawn.
17		X					Elected into position and with no prior DRS retirement History.	Y	N	Y	N	Y	Y	

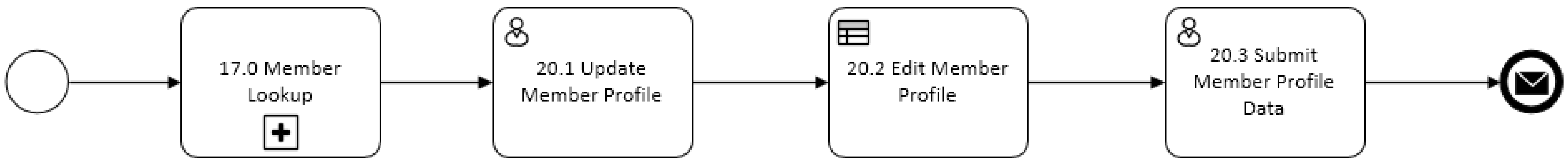
#	Subs	Elected Officials	RTW	RTM	LOP Split	DCP	Scenario	Create Profile	Update Profile	Create MSP	Update MSP	Create MSPP	Create EMSP	Notes
18		X					Elected into position under same system/plan. (Same or Different Employer)	N	S	N	N	S	Y	**Update Profile** – Only if profile data is different from existing data. **Create MSPP** - Only if prior MSPP is withdrawn.
19		X					Elected into position under different system/plan with no prior history in that system/plan. (Same or Different Employer)	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.
20		X					Elected into position under different system/plan with prior history in that system/plan. (Same or Different employer)	N	S	N	N	S	Y	**Update Profile** – Only if profile data is different from existing data. **Create MSPP** - Only if prior MSPP is withdrawn.
21							New hire no prior DRS retirement history - but may be a beneficiary, dependent, or legal order payee (interest in) on another account.	Y	N	Y	N	Y	Y	
22					X		New hire no prior DRS retirement history - but has a Legal Order Payee Split account in the same system/plan the position is eligible for.	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.
23					X		New hire enrolling in the in the same System/Plan the Legal Order Payee Split Account is under.	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.

#	Subs	Elected Officials	RTW	RTM	LOP Split	DCP	Scenario	Create Profile	Update Profile	Create MSP	Update MSP	Create MSPP	Create EMSP	Notes
24					X		New hire enrolling in the same system/plan as prior DRS retirement history and the Legal Order Payee Split Account is under. *(Example: PERS 1 LOPSplit, PERS 1 Prior Service, Hired into another PERS position)*	N	S	N	N	S	Y	**Update Profile** – Only if profile data is different from existing data. **Create MSPP** - Only if prior MSPP is withdrawn.
25					X		New hire enrolling in a different system/plan than prior DRS retirement history and the Legal Order Payee Split Account is under. *(Example: PERS 1 LOPSplit, PERS 1 Prior Service, Hired into LEOFF position)*	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.
26			X				Retiree Return to Work (RTW), same system/plan. (Not withdrawn Plan 3)	N	S	N	N	N	Y	**Update Profile** – Only if profile data is different from existing data.
27			X				Retiree Return to Work (RTW), same system/plan. (Withdrawn Plan 3)	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.
28			X				Retiree Return to Work (RTW), different system/plan.	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.
29				X			Retiree Return to Membership (RTM), same system/plan. (Not withdrawn Plan 3)	N	S	N	Y	Y	Y	**Update Profile** – Only if profile data is different from existing data.
30				X			Retiree Return to Membership (RTM), same system/plan. (Withdrawn Plan 3)	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.

Process/Workflow Name: 19.0 Enroll Member

#	Subs	Elected Officials	RTW	RTM	LOP Split	DCP	Scenario	Create Profile	Update Profile	Create MSP	Update MSP	Create MSPP	Create EMSP	Notes
31				X			Retiree Return to Membership (RTM), different system/plan.	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.
32						X	Member joining DCP and has no DRS retirement history.	Y	N	Y	N	Y	Y	
33						X	Member joining DCP and has DRS retirement history (PERS, SERS, etc.).	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.
34						X	Member reenrolling in DCP and has never withdrawn their DCP.	N	S	N	N	N	Y	**Update Profile** – Only if profile data is different from existing data.
35						X	Member reenrolling in DCP and has withdrawn their DCP.	N	S	Y	N	Y	Y	**Update Profile** – Only if profile data is different from existing data.

Process/Workflow Name: 20.0 Update Member



Process/Workflow Name: 20.0 Update Member

Process Description: This process provides a secure publicly accessible function to facilitate updating of member information.

Disclaimer: Workflows and requirements are subject to change as additional requirements are flushed out through the analysis process.

User Stories for Update Member processes:

1) As an authorized user, I would like to update member profile information.
2) As an authorized user, I would like to be able to access additional earning activity data processes.
3) As an authorized user, I would like the ability to enter begin and end dates for leave types.
4) As an authorized user, I would like the ability to temporarily suspend and unsuspend DCP deferrals.
5) As an authorized user, I would like the ability to change and investment program.
6) As an authorized user, I would like to identify when a member will exceed max compensation and the date.
7) As an authorized user, I would like to enter the date a member will exceed the RRTW hours.
8) As an authorized user, I would like real time edit messages when incorrect data is entered.
9) As an authorized user, I would like to receive notification when data is accepted.
10) As an authorized user, I would like member information pulled from the member lookup process to prepopulate member data fields.
11) As an authorized user, I would like to see a history of the changes made to a member profile.

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
20.0		Parent Process	**Update Member.** This process provides a secure publicly accessible function to facilitate the updating of member information.		
20.0		Inputs	• Member information changes		
20.0		Outputs	• Updated member information committed to system		
20.0	F1	Functional Requirement	The process will allow authorized users to submit changes to member information.		
20.0	R1	Business Requirement	Authorized users will have the ability to update member information through an interactive format.		

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
20.0	R2	Business Requirement	Authorized users will have the ability update member information through an upload format.		
20.0	F2	Functional Requirement	A history of all member profile changes will be kept and accessible to authorized users to reference at a later date.		
17.0		Parent Process	**Member Lookup. (See Requirements Package - 17.0 Member Lookup)**		
20.1		Child Process	**Update Member Profile.** This process provides the functionality for an authorized user to update to member information.		
20.1		Inputs	• Member Data from the Member Lookup Process.		
20.1		Outputs	• Updated member information.		
20.1	F1	Functional Requirement	Data that is retrieved from the Member Lookup process will prepopulate data fields and authorized user will have the ability to make changes to the data.		
20.1	D1	Data	Member/Participant Name Title • Valid Values= (Table TITLE – Titles) ○ DR = Doctor ○ REV = Reverend • Format = Character • Field Length = 5 • Optional	**Existing Data Element** **Description:** This field is used to identify the title of the employee being reported. Entries such as Mr., Mrs., Miss., or Ms. will be ignored and default to a blank field. **Note:** Look at seeing if we should expand to include elected officials and other title types. See if there is a standard??	All

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan

20.1	D2	Data	Member/Participant Name Extension
			• Valid Values= (Table EXTN – Seniority)
			  ○ II
			  ○ III
			  ○ IV
			  ○ Junior
			  ○ Senior
			  ○ V
			  ○ VI
			  ○ VII
			• Format = Character
			• Field Length = 6
			• Optional
				Existing Data Element
				
				Description: This field is used to identify the legal extension of the employee being reported.
				
				Recommend expanding field to 6 spaces.
					All

20.1	D3	Data	Member/Participant Name Suffix
			• Valid Values= (Table SUFFX – Suffix)
			  ○ DDS = Doctor of Dental Science
			  ○ DO = Doctor of Osteopathy
			  ○ MD = Doctor of Medicine
			  ○ PHD = PHD
			• Format = Character
			• Field Length = 5
			• Optional
				Existing Data Element
				
				Description: This field is used to identify degrees earned for the employee being reported.
				
				Note: Should this be expanded to include other suffixes?
					All

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
20.1	D4	Data	Member/Participant Last Name • Format = Character • Field Length = 35 • Required?	**Existing Data Element** **Description:** The name that identifies the employee being reported. **Note:** Discussion needed regarding if this should be required because we have members with only one name.	All
20.1	D5	Data	Member/Participant First Name • Format = Character • Field Length = 35 • Required?	**Existing Data Element** **Description:** The name that identifies the employee being reported. **Note:** Discussion needed regarding if this should be required because we have members with only one name.	All
20.1	D6	Data	Member/Participant Middle Name • Format = Character • Field Length = 35 • Optional	**Existing Data Element** **Description:** The name that identifies the employee being reported.	All

20.1	D7	Data	Address Description
			• Valid Values:
			  ○ Home (Physical Address)
			  ○ Mailing (Where Mail is Received)
			• Format = Character
			• Field Length = 7
			• Required when an address is entered.
				New Data Element
				
				Description: Used to address destination for a member.
					All

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
20.1	D8	Data	Address Line 1 (Domestic and Foreign) • Format = Character • Field Length = 40 • Required for Domestic and Foreign Addresses	**Existing Data Element** **Description:** Used to indicate a member or participant address. Address Line 1 is required. Change to accept 40 characters which is what the mainframe currently accepts for address line 1.	All
20.1	D9	Data	Address Line 2 (Domestic and Foreign) • Format = Character • Field Length = 35 • Optional	**Existing Data Element** **Description:** Used to indicate a member or participant address. Address Line 2 is optional.	All
20.1	D10	Data	Address Line 3 (Domestic and Foreign) • Format = Character • Field Length = 35 • Optional	**Existing Data Element** **Description:** Used to indicate a member or participant address. Address Line 3 is optional.	All
20.1	D11	Data	City (Domestic and Foreign) • Valid Values = ○ For WA addresses use (Table CITY – Washington State Cities) • Format = Character • Field Length = 35 • Required if the members address is Domestic • Required if the members address if Foreign and the Province data element is not populated.	**Existing Data Element** **Description:** Used to indicate a member or participant city for their domestic address. **Note:** If state is WA City is edited against the CITY table. This table is currently DRS specific would like to have a web service that goes to the postal service to validate addresses.	All

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
20.1	D12	Data	State Code (Domestic) • Valid Values = ○ Use (Table STATE – United States Table) • Format = Character • Field Length = 2 • Required if the members address is Domestic	**Existing Data Element** **Description:** Used to indicate a member or participant state for their domestic address.	All
20.1	D13	Data	Zip Code (Domestic) • Format = Numeric • Field Length = 5 • Required if the members address is Domestic	**Existing Data Element** **Description:** Used to indicate a member or participant zip code for their domestic address.	All
20.1	D14	Data	Zip Extension (Domestic) • Format = Numeric • Field Length = 4 • Optional if the members address is Domestic	**Existing Data Element** **Description:** Used to indicate a member or participant zip extension for their domestic address.	All
20.1	D15	Data	Province (Foreign Addresses) • Format = Character • Field Length = 35 • Required if City is not Populated	**New Data Element** **Description:** Used to indicate the member’s providence for a foreign address in order to contact the member regarding retirement information.	All
20.1	D16	Data	Country (Foreign Addresses) • Format = Character • Field Length = 35 • Required if members address is Foreign	**New Data Element** **Description:** Used to indicate the member’s country for a foreign address in order to contact the member regarding retirement information.	All

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
20.1	D17	Data	Postal Code (Foreign Addresses) • Format = Character • Field Length = 9 • Optional if members address is Foreign	**New Data Element** **Description:** Used to indicate the member's postal code for a foreign address in order to contact the member regarding retirement information.	All

20.1	D18	Data	Phone Number Description (Domestic Addresses)
			• Valid Values:
			  ○ Work
			  ○ Home
			  ○ Cell
			• Format = Character
			• Field Length = 4
			• Required for each phone number entered.
				New Data Element
				
				Description: Used to indicate the phone number description.
					All

20.1	D19	Data	Phone Number (Domestic Addresses)
			• Format =
			  ○ (XXX)XXX-XXXX
			  ○ XXX-XXX-XXXX
			  ○ XXX.XXX.XXXX
			  ○ XXXXXXXXXX
			  ○ XXX XX XXXX
			• Field Length = 13
			• Optional?
				New Data Element
				
				Description: Used to indicate the member's phone number in order to contact the member regarding retirement information.
				
				Note: Discussions needed around whether or not this element should be required. There is a need to have this information so we can contact members when needed, however there concerns that not all members have a phone.
					All

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
20.1	D20	Data	Foreign Phone Number (Foreign Addresses) • Format = Character • Field Length = 15 • Optional?	**New Data Element** **Description:** Used to indicate the member's phone number in order to contact the member regarding retirement information. **Note:** Discussions needed around whether or not this element should be required. There is a need to have this information so we can contact members when needed, however there concerns that not all members have a phone.	All

20.1	D21	Data	Email Type Description
			• Valid Values:
			  ○ Work Email
			  ○ Home Email
			• Format = Character
			• Field Length = 10
			• Required for each email entered.
				New Data Element
				
				Description: Used to indicate the email type description of where the email is being directed for the member.
					All

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
20.1	D22	Data	Email • Format = Character • Field Length = 250 • Optional?	**New Data Element** **Description:** Used to indicate the member's email address to be used in communicating important retirement information (example: Plan Choice, etc.). **Note:** Discussions needed around whether or not this element should be required. There is a need to have this information so we can send out retirement information electronically, however there concerns that not all members have an email.	All

20.1	D23	Data	Gender Code
			• Valid Values = (Table SEX – Sex Code Table)
			  ○ M = Male
			  ○ F = Female
			• Format = Character
			• Field Length = 1
			• Required
				Existing Data Element
				
				Description: Used to indicate the gender of a member or participant.
				
				Note: Discussion whether or not we should expand to "Other".
					All

20.1	D24	Data	Birth Date • Format = Date mmddyyyy • Field Length = 8 • Required	**Existing Data Element** **Description:** Used to provide the date of birth of a member or participant.	All

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
20.1	D25	Data	Begin Date (Employment Period) • Format = Date mmddyyyy • Field Length = 8 • Required	**Existing Data Element** **Description:** • Retirement – This date must be on the transmittal report for each retiree and member an employer is reporting for the first time. If the employer reports a retiree or a member without an eligibility begin date, all of the information on the report will be rejected. Also used to report the date a retiree or member begins employment or changes employment status (example: Eligible employment to substitute employment). • DCP – Used to report the first payday that an employee has a DCP deduction (deferral) taken from his or her compensation for that employer. Changing element name	All

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
20.1	D26	Data	Social Security Number • Format = Numeric • Field Length = 9	**Existing Data Element** **Description:** The member's Social Security number must be 9 digits in length. The Social Security number entered on the transmittal report must match the number on the employee's Social Security card. Display Only	All
20.1	D27	Data	End Date (Employment Period) • Format = Date mmddyyyy • Field Length = 8	**Existing Data Element** **Description:** Used to report the date a member ends employment that is required to be reported to DRS. The end date should only be submitted on the last report. Changing element name	All

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan

20.1	D28	Data	Deferral Temporarily Suspended
			• Valid Values:
			  ○ Y
			  ○ Blank
			• Field Length = 1
				Existing Data Element
				
				Description: Employer can suspend a deferral, HRMS suspends automatically after 3 pay periods of not submitting information. If employee changes deferral amount with record-keeper to zero or another dollar amount the Y flag will come off and the employer should start sending contributions. We can also remove this flag internally.
					All

20.1	D29	Data	Leave Begin Date • Format = Date mmddyyyy • Field Length = 8 • Optional unless Status Code B1-B5 is reported	**Existing Data Element** **Description:** Used to report start date for the following leave types: • Military • Authorized Leave of Absence (ALOA) • Temporary Duty Disability • LEOFF 1 Disability • Sabbatical Leave (TRS 1, 2, & 3) Note: Disability leave and other types leave for LEOFF members must be reported if the period of leave exceeds three days. Changing element name and using for all system and plans not just LEOFF.	All except DCP and HERP

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
20.1	D30	Data	Leave End Date • Format = Date mmddyyyy • Field Length = 8 • Required to report an end date at the end of a leave period if the Status Code B1-B5 is reported	**Existing Data Element** **Description:** Used to report end date for the following leave types: • Military • Authorized Leave of Absence (ALOA) • Temporary Duty Disability • LEOFF 1 Disability • Sabbatical Leave (TRS 1, 2, & 3) Note: Disability leave and other types leave for LEOFF members must be reported if the period of leave exceeds three days. Changing element name and using for all system and plans not just LEOFF.	All except DCP and HERP

20.1	D31	Data	Investment Program
			• Valid Values = (Table INVMN – Investment Manager Table)
			  ○ WSIB = Washington State Investment Board
			  ○ SELF = Self-Directed Investment Program
			• Format = Character
			• Field Length = 4
			• Required for Plan 3
				Existing Data Element
				
				Description: Used to report the investment program for a Plan 3 member.
				
				If a non-transferring Plan 3 member fails to select an investment program within 90 days of eligibility, the investment program must be reported as "SELF" when the Plan Choice 3D Default is sent to DRS.
					Plan 3 mbrs only

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan

20.1	D32	Data	Max Compensation Exceeds Indicator
			• Valid Values =
			  ○ Yes
			  ○ No
			• Format = Character
			• Field Length = 1
				New Data Element
				
				Description: Used for the employer indicate if a member who has reached the Approaching Level of the IRC section 401(a)(17) limits will go over the compensation limits for the year.	

20.1	D33	Data	Max Compensation Exceeds Date • Format = Date mmddyyyy • Field Length = 8 • Required if Max Compensation Exceeds Indicator is "Yes"	**New Data Element** **Description:** Used for the employer indicate the date a member who has reached the Approaching Level of the IRC section 401(a)(17) limits will go over the compensation limits for the year.	
20.1	D34	Data	Exceed Date • Format = Date mmddyyyy • Field Length = 8 • Required if retiree who has returned to work in an eligible position has exceeded the yearly limit of 867 hours.	**New Data Element** **Description:** Used for the employer to report the date a retiree who has returned to work in an eligible position has exceeded the yearly limit of 867 hours.	

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan

20.1	D35	Data	Record Type Identifier
			• Valid Values=
			  ○ S = Summary Record
			  ○ M = Member Profile Record
			  ○ E = Employment Record
			  ○ B = Defined Benefit Record
			  ○ C = Defined Contribution Record
			  ○ T = Plan Choice
			• Format = Character
			• Field Length = 1
			• Required
				Existing Data Element
				
				Description: Each record has a unique data record type identifier.
				
				Note: Discussions if we need this element in the future.	

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
20.1	D36	Data	Reporting Group Number • Format = Character • Field Length = 6 • Required	**Existing Data Element** **Description:** This is a DRS assigned number and is system specific. An employer who participates in multiple systems has a specific Reporting Group Number for each system. **Note:** Current issue because numbers started to be used to define types of employers but because we are running out of the unique types we have been using the numbers for multiple types of employers (I.e. 22XX = County but is now also being used for other employer types other than county.) ERTYPE drives the Numbering system. Display Only	
20.1	D37	Data	Reporting Period • Format = Date mmyyyy • Field Length = 6 • Required	**Existing Data Element** **Description:** The reporting period identifies the year and month of the transmittal report. The same reporting period should be used for all entries within the report.	

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
20.1	D38	Data	Report Type • Valid Values= 　○ R = Regular report 　○ C = Correction report • Format = Character • Field Length = 1 • Required	**Existing Data Element** **Description:** This field is used to indicate whether the report is a regular report or a correction report. You may always include correcting transactions within your regular transmittal reports. In addition, DRS will accept separate correction reports. This allows you to submit correcting transactions any time during a month. Depending on your method of reporting, you may need to flag Use the Report Type field as "R" to identify a regular transmittal report, or "C" to identify a correction transmittal report to identify the type of report you are submitting.	All
20.1	D39	Data	Report Version Number • Format = Numeric • Field Length = 1 • Required	**Existing Data Element** **Description:** DRS can arrange for employers who report electronically to submit multiple regular transmittal reports for each calendar month. The Report Version Number and Expected Monthly Reports fields identify the expected number of regular transmittal reports for a specific month. Employers who are not using the multiple reporting option should always enter 01 in the Report Version Number field	

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				Employers using the multiple reporting options must use the Report Version Number to identify which transmittal report this is in the month's sequence of reports. Employers submitting a correction report should always enter 01 in the Report Version Number field. (Correction reports are given version numbers by the DRS system.) **Note:** It was discussed to look at other options on how to track reporting other than the current versioning process in place. Currently they have to indicate how many reports they are planning on submitting for the month. If they submit different they need to contact DRS to have fixed. • Need some way to track this because we don't want to have employers sending data for the same month/year that they have already sent data for. Currently this is used to identify those that have done this. • It is also used to tell us what report to expect next. I.e. they say they are supposed to send in next. • Once the employer has submitted a R1 March it is labeled March once we receive an R1 April the label is moved to April they have to submit a C report for any changes they need to make for March with an	

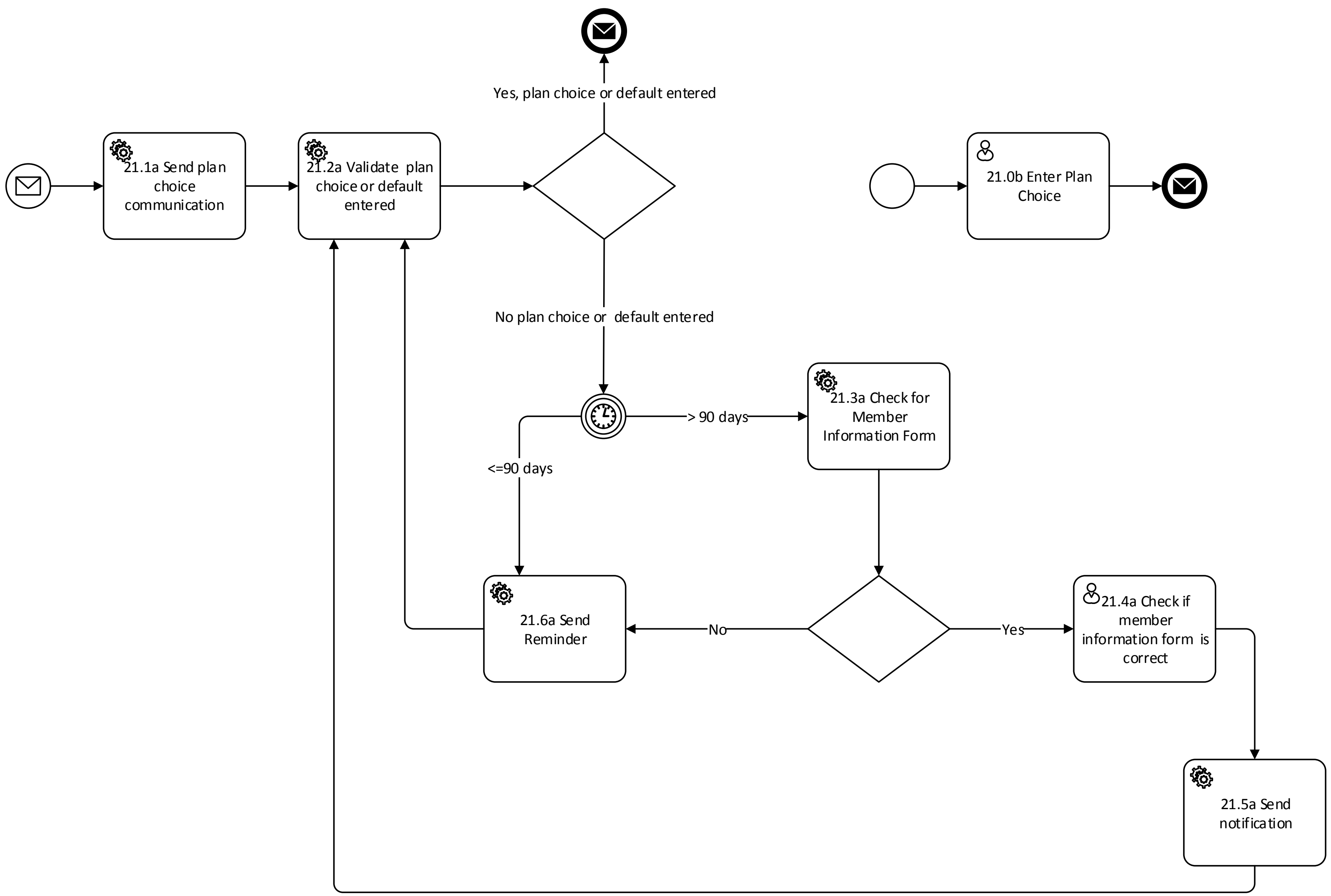
Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				April date. Any corrections are submitted under the current Month label that the employer has been reporting for. • The label of March 2014 can have earnings for prior periods.	
20.1	R1	Business Requirement	An authorized user will have the ability to enter additional earning activity data if they choose. **(See Requirements Package - 22.0 Earning Activity)**		
20.2		Child Process	**Edit Member Profile.** This process edits the updated member profile data.		
20.2		Input	• Updated member information.		
20.2		Output	• Updated data has been validated against the business rules and: ○ Is ready to be accepted and committed; or ○ Is rejected and data is returned with a clear message why it was returned.		
20.2	F1	Functional Requirement	The system will be able to edit the member profile data based on defined business rules.	Will provide specific edits in future analysis. (22.0 - Earning Activity)	
20.2	F2	Functional Requirement	The system will allow the authorized user to correct data that didn't pass the edits.		
20.2	B1	Business Rule	An employer can change addresses only for members currently employed by that employer.		
20.2	B2	Business Rule	An employer cannot have more than one open leave period at a time per member.	Employer will receive a message indicating they must first enter an end date for "xx" leave period before being able to enter a begin date for a new leave period.	All

Process/Workflow Name: 20.0 Update Member

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
20.2	M1	Messaging	The system will provide a message for data that doesn't pass edits.		
20.2	M2	Messaging	When the data has passed edits (or all errors have been corrected), the system will provide confirmation that the data has been updated.		
20.3		Child Process	**Submit Member Profile Data.** This process updates member profile records.		
20.3		Input	• Edited member profile or separation date information.		
20.3		Output	• Updated member profile and/or separation date record committed to system.		
20.3	F1	Functional Requirement	• Updated member profile data will be committed to the system.		
20.3	M1	Messaging	• Notification to the employer letting them know that the member's data was accepted and committed to the system.		

Plan Choice


21.1a Send plan choice communication
21.2a Validate plan choice or default entered
Yes, plan choice or default entered
No plan choice or default entered
21.0b Enter Plan Choice
> 90 days
<=90 days
21.3a Check for Member Information Form
21.6a Send Reminder
No
Yes
21.4a Check if member information form is correct
21.5a Send notification

Process/Workflow Name: 21.0 Plan Choice

Process Description: This process facilitates the communication and submission of a member's plan choice between Plan 2 or 3 for PERS, SERS, TRS, and including January Transfer rights.

Disclaimer: Workflows and requirements are subject to change as additional requirements are flushed out through the analysis process.

User Stories for Plan Choice processes:

1) As an authorized user I would like to enter a plan choice or default for a member.
2) As an employer and member I would like to receive plan choice communication regarding my plan choice options.
3) As an employer and member I would like to receive regular reminders of the plan choice due date.
4) As a DRS team member I would like the ability to view reminders and notifications regarding plan choice.

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
21.0a		Parent Process	**Plan Choice.** This process facilitates the submission of the member's plan choice between plan 2 and 3 for PERS, SERS, and TRS, including January Transfer.		
21.0a		Input	• Employer enrolls member in PERS, SERS, and TRS. • Employer enters plan choice or defaults member.		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan

21.0a		Output	• Plan choice communication sent to member and employer.
			• Notifications are sent to member, and employer regarding:
			  ○ Missing information on the Member Information Form, include the data that needs to be corrected.
			  ○ Member Information Form is on file, and employer needs to submit choice information.
			• Reminder notifications about plan choice options are sent to the member, and employer.
			• Confirmation plan choice has been entered or member has been defaulted. (member and employer)		

21.0a		Business Rule	New Members of PERS, SERS or TRS have an option to choose Plan 2 or Plan 3 if they established membership on or after:
			
			• **TRS**
			  ○ July 1, 2007
			
			• **SERS** with no prior PERS plan 2 membership
			  ○ July 1, 2007 through July 31, 2009
			
			• All new **SERS** members
			  ○ August 1, 2009
			
			• **PERS**
			  ○ March 1, 2002: State agency and higher education employers
			  ○ September 1, 2002: Local government employers
				The Reporting Process – New Member Plan Choice	

Process/Workflow Name: 21.0 Plan Choice

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
21.0a	B1	Business Rule	During the 90 day window, after enrollment, the member will be enrolled in Plan 2 until they default or make a choice.	Upon initial enrollment the member is enrolled in Plan 2 based on (PERS: RCW 41.40.785, SERS RCW 41.35.610, TRS RCW 41.32.835) This rule can be bypassed if the member makes a choice before the employer reports to DRS as plan 2. In this case, the employer can enroll the member based on their choice from the very beginning (I.e. Plan 2 or Plan 3).	
21.0a	F1	Functional Requirement	Keep a history of notifications and reminders sent.		
21.0a	F2	Functional Requirement	Authorized users will be able to review all notifications and reminders		
21.1a		Child Process	**Send plan choice communication.** All members with a plan choice will receive the identified plan choice communication.		
21.1a		Input	• Employer submits member enrollment in PERS, SERS, or TRS.		
21.1a		Output	• Plan choice communication sent to member and employer.		
21.1a	F1	Functional Requirement	Employer will receive the initial notification with the 90 day choice date (the date that the choice needs to be entered).	Currently it is given to the employers on the back of the edit messages.	
21.1a	B1	Business Rule	If member has worked for an employer for less than 90 days, quit and began working for a new employer, the member will have a plan choice with the new employer and will receive a letter, reminders and notifications.		

Process/Workflow Name: 21.0 Plan Choice

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan

21.1a	F2	Functional Requirement	Plan choice communication will be specific to the member's eligible system. This will include:
			• Plan Choice Book (This includes the MIF and Beneficiary Form)
			• Member Handbooks (2 and 3 for system plan. Links only)
			  ○ PERS 2
			  ○ PERS 3
			  ○ SERS 2
			  ○ SERS 3
			  ○ TRS 2
			  ○ TRS 3
			• Getting to Know Plan 3 (Link only)
			• Plan 3 Investment Guide
			• Financial Modeling Software (link to online software)
			• Plan 3 Education Seminars (link currently off the ICMA website; New TPA should offer)
			• Washington State Webinars (link)
				Links to Plan 3 documents will be changing as we are currently in a Record Keeper Transition, which is scheduled to be complete October 2015.	

21.1a	R1	Business Requirement	If a retro start date is entered without a plan choice then send the letter and reminders appropriately. Send letter and/or reminder that would come at that interval, do not send past reminders.	We don't want members receiving 2 or 3 letters or reminders at the same time.	
21.1a	M1	Messaging	Plan choice communication: • Will send MSPNOTIC letter (Per team discussion on 12/05/2014 we will re-look at letter at time of development) to member. • Initial notification to employer with the 90 day choice date (including Name, Social Security number, start date and 90 day choice date) • Documentation listed in about requirement.	Ideally we would like all communication all together, possibly turn off MSPNOTIC letter and send supplemental information with information that was on the MSPNOTIC letter.	

Process/Workflow Name: 21.0 Plan Choice

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
21.1a	B2	Business Rule	If plan choice is submitted at time of enrollment do not send plan choice communication. Only send confirmation of plan choice.		
21.2a		Child Process	**Validate a plan choice or default has been entered.** The system will check at the identified intervals if the member has a plan choice or default entered.		
21.2a		Input	• Trigger to check if member's plan choice or default has been entered. • Employer checks if member's plan choice or default has been entered.		
21.2a		Output	• Identify all members that don't have a plan choice or default entered.		
21.2a	B1	Business Requirement	All members that don't have a plan choice or default entered will be identified.		
21.2a	F1	Functional Requirement	The ability for an authorized user to disable the reminders, at the member level, if necessary.		
21.3a		Child Process	**Check for Member Information Form.** If plan choice or defaulted has not been entered and it is outside the 90 day window, the system will check if there is a member information form on file.		
21.3a		Input	• All members that do not have a plan choice or default entered and are outside their 90 day window timeframe.		
21.3a		Output	• Determination if there is a member information form on file		
21.3a	F1	Functional Requirement	If plan choice or default has not been entered and it is outside the 90 day window, the system will check if there is a member information form on file.		
21.3a	D1	Data	Member Information Form on file (y/n).		

Process/Workflow Name: 21.0 Plan Choice

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
21.3a	F2	Functional Requirement	If Member Information Form is on file, then mark form as on file and send notification to DRS to validate.		
21.3a	B1	Business Rule	If there is a Member Information Form on file, check to see if a new one has come in. If there is a new MIF, then mark form as on file and send notification to DRS to validate.	If the employer has already been notified of missing information on MIF, they could have sent in a new one.	
21.3a	B2	Business Rule	If Member Information Form is already marked as being on file and there isn't another MIF sent in, check if form has been validated.		
21.4a		Child Process	**Check if Member Information Form is correct.** A DRS team member will validate that all required information is included.		
21.4a		Input	• Identified Member Information Form on file for members that have no plan choice or default entered.		
21.4a		Output	• Determination if all required information is included on Member Information Form.		
21.4a	F1	Functional Requirement	A DRS team member will validate that all required information is included.		
21.4a	F2	Functional Requirement	If all information is correct on the Member Information Form, then mark form has been validated.		
21.4a	D1	Data	Member Information Form is valid (y/n)		
21.5a		Child Process	**Send notification.** Employers and members will be notified based on the information needed.		
21.5a		Input	Identified Member Information Forms with either: • Missing required information • Or plan choice from Member Information Form has not been entered.		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
21.5a		Output	• Notification to employer and member to enter correct or missing information. • Notification to employer to enter plan choice.		
21.5a	B1	Business Rule	If Member Information Form has been validated and there is missing information, send notification to employer and member to enter correct or missing information.		
21.5a	B2	Business Rule	If Member Information Form has been validated and there is no missing information send notification to employer to submit plan choice		
21.5a	F1	Functional Requirement	If Member Information Form has already been validated, send previous notification.		
21.5a	M1	Message	For notification to employers and members to enter correct or missing information, include the data that is missing or needs to be corrected.		
21.5a	M2	Message	For notification to employers requesting to enter member's plan choice, include plan choice information from Member Information Form.	We currently have members that will submit their MIF directly to DRS and bypass the employer. We want to include in our messaging the information from the MIF so that the employer will know what enter.	
21.6a		Child Process	**Send Reminders.** The system will generate reminder notifications for newly enrolled members that do not have a plan choice or default entered, until a plan choice or default has been entered.		
21.6a		Input	• Members that have don't have a choice or default entered and it is less than or equal to 90 days from start date.		
21.6a		Output	• Reminder notification is sent.		

Process/Workflow Name: 21.0 Plan Choice

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
21.6a	F1	Functional Requirement	Reminder notifications will only be sent to newly enrolled members who must make a plan choice and are less than or equal to 90-days from their start date. Exception would be for Elected/Governor Appointed Officials, reminder notifications should be sent if they have not made a plan choice and are less than or equal to 90-days from the date they elect to participate in membership.		
21.6a	F2	Functional Requirement	Plan choice reminders will be sent to the member at the following intervals: • 45 days past their start date • 75 days past their start date • 90 days past their start date		
21.6a	F3	Functional Requirement	Plan choice reminders will be sent to the employer at the following intervals: • 30 days past their start date • 60 days past their start date • 90 days past their start date		
21.6a	F4	Functional Requirement	If a retro start date or date of discovery is entered without a plan choice then send the reminder notifications appropriately.	We don’t want members receiving 2 or 3 letters at the same time.	
21.6a	B1	Business Rule	If the member has no MIF on file and it has been greater than 90 days from the start date, send a trigger to DRS along with a reminder to the employer.		
21.6a	F5	Functional Requirement	Reminder notifications will not be sent to members who have January transfer rights.		

Process/Workflow Name: 21.0 Plan Choice

<table>
<tr><th>Process #</th><th>Req. #</th><th>Req. Desc.</th><th>Business Requirements and Rules</th><th>Notes</th><th>System Plan</th></tr>
<tr><td>21.6a</td><td>F6</td><td>Functional Requirement</td><td>Keep a history of reminder notifications sent.</td><td></td><td></td></tr>
<tr><td>21.6a</td><td>F7</td><td>Functional Requirement</td><td>Authorized users will be able to review all reminder notifications.</td><td></td><td></td></tr>
<tr><td>21.6a</td><td>M1</td><td>Messaging</td><td>Reminder notification to submit plan choice information will include the date the plan choice is due.</td><td></td><td></td></tr>
<tr><td>21.0b</td><td></td><td>Parent Process</td><td>Enter Plan Choice. Employer will have the ability to enter the plan choice after they receive the MIF from the member and/or include plan choice with their other earnings information.</td><td>Employer can enter plan choice online or transmittal
Plan Choice Record Layout<table>
<tr><th>Field</th><th>Format</th><th>Field Length</th><th>Fixed Start</th><th>Fixed End</th></tr>
<tr><td>Record Type Identifier[2]</td><td>Character</td><td>1</td><td>1</td><td>1</td></tr>
<tr><td>Reporting Group Number[1]</td><td>Character</td><td>6</td><td>2</td><td>7</td></tr>
<tr><td>Reporting Period[1]</td><td>yyyymm</td><td>6</td><td>8</td><td>13</td></tr>
<tr><td>Report Type[1]</td><td>Character</td><td>1</td><td>14</td><td>14</td></tr>
<tr><td>Report Version Number[1]</td><td>##</td><td>2</td><td>15</td><td>16</td></tr>
<tr><td>Social Security Number</td><td>#########</td><td>9</td><td>17</td><td>25</td></tr>
<tr><td>System Code</td><td>Character</td><td>1</td><td>26</td><td>26</td></tr>
<tr><td>Plan Choice Date or Transfer Date</td><td>yyyymmdd</td><td>8</td><td>27</td><td>34</td></tr>
<tr><td>Plan Choice</td><td>Character</td><td>2</td><td>35</td><td>36</td></tr>
</table></td><td></td></tr>
<tr><td>21.0b</td><td></td><td>Input</td><td>Authorized user has logged in and selected to enter plan choice</td><td></td><td></td></tr>
<tr><td>21.0b</td><td></td><td>Output</td><td>Employer reports member’s plan choice or defaults member.</td><td></td><td></td></tr>
<tr><td>21.0b</td><td>D1</td><td>Data</td><td>Member First Name</td><td></td><td></td></tr>
<tr><td>21.0b</td><td>D2</td><td>Data</td><td>Member Last Name</td><td></td><td></td></tr>
<tr><td>21.0b</td><td>D3</td><td>Data</td><td>Member Social Security Number</td><td></td><td></td></tr>
<tr><td>21.0b</td><td>D4</td><td>Data</td><td>Member Address</td><td></td><td></td></tr>
<tr><td>21.0b</td><td>D5</td><td>Data</td><td>Member email address</td><td></td><td></td></tr>
<tr><td>21.0b</td><td>B1</td><td>Business Rule</td><td>Member plan choice date applies to member that have a plan choice.</td><td></td><td></td></tr>
<tr><td>21.0b</td><td>D6</td><td>Data</td><td>Member plan choice date</td><td></td><td></td></tr>
<tr><td>21.0b</td><td>D7</td><td>Data</td><td>Member plan choice code</td><td></td><td></td></tr>
<tr><td>21.0b</td><td>D8</td><td>Data</td><td>Member new plan number</td><td></td><td></td></tr>
</table>

Process/Workflow Name: 21.0 Plan Choice

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
21.0b	D9	Data	Member Plan 3 contribution rate		
21.0b	D10	Data	Member Plan 3 investment program		
21.0b	B2	Business Rule	Member plan transfer date applies to January transfers.		
21.0b	D11	Data	Member plan transfer date	For January transfers	
21.0b	D12	Data	Member System Code		
21.0b	B3	Business Rule	Potential members such as substitutes will be treated like new members; they have a plan choice if hired into an eligible position.	Mainframe is showing potential member, this rule is in place so that this status is ignored and member can be enrolled and has a plan choice.	
21.0b	B4	Business Rule	The 90 day choice window starts on the member's date of hire.	Which is the start date on the emsp screen.	
21.0b	B5	Business Rule	The 90 day choice window ends on the member's next working day after 90th day.		
21.0b	F1	Functional Requirement	Authorized users will be able to enter a members plan choice or default.	Per business they should have the ability to change or enter a plan choice for a member.	
21.0b	F2	Functional Requirement	When a plan choice is entered, notifications will be sent to all the current employers of that member.	If member is employed by multiple employers and the same system, the 90 day choice window begins the earliest date of hire.	
21.0b	B6	Business Rule	Member must make a choice within ninety days of their first day of employment in an eligible position.	WAC 415-108-425(3b)	
21.0b	B7	Business Rule	Member will be defaulted into Plan 3 if continue employment past the ninety-day choice period without making a choice.	WAC 415-108-425(3c); Employers should be defaulting members, it is currently not done automatically.	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
21.0b	B8	Business Rule	Employer will be able to enter a plan choice, default or transfer: • Member chose Plan 2 • Member chose Plan 3 • Member is defaulted into Plan 3 • Member is transferred into Plan 3	MICODE – TPCDC 2C = Choose Plan 2 3C = Choose Plan 3 3D = Plan 2 member defaulted into Plan 3 3X = Plan 2 member of PERS, SERS, or TRS transfers to Plan 3 per the January Transfer Option Member Information Form DRS MS 133 (R 2/15)	
21.0b	B9	Business Rule	When an employer enters a plan 3 choice, they must also submit a contribution rate: • Option A • Option B • Option C • Option D • Option E • Option F	Option A: • 5 percent of pay at all ages Option B: • 5 percent of pay until age 35 • 6 percent of pay age 35 - 44 • 7.5 percent age 45 and above Option C: • 6 percent of pay until age 35 • 7.5 percent of pay age 35 - 44 • 8.5 percent age 45 and above Option D: • 7 percent of pay at all ages Option E: • 10 percent of pay at all ages Option F: • 15 percent of pay at all ages	

Process/Workflow Name: 21.0 Plan Choice

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
21.0b	B10	Business Rule	When a member is defaulted into Plan 3 or fails to choose a rate, their rate option will default to Option A.		
21.0b	B11	Business Rule	When an employer enters a plan 3 choice, they must also submit an Investment Program: • Washington State Investment Board (WSIB) Investment Program • Self-Directed Investment Program		
21.0b	B12	Business Rule	When a member is defaulted to Plan 3 or fails to choose an investment program they will be defaulted to the Self-Directed Investment Program.		
21.0b	B13	Business Requirement	Authorized users will be allowed to enter a retroactive plan choice date.		
21.0b	B14	Business Requirement	Authorized users will be allowed to enter a Date of Discovery	Are we allowing employers to enter? Per business. Yes.	
21.0b	F3	Functional Requirement	When a Date of Discovery is entered (which is the choice override date on the emsp screen), it should trigger the same process as the start date on emsp.		
21.0b	F4	Functional Requirement	If the Date of Discovery field is populated, it will override the start date and the 90 day plan choice deadline will use the Date of Discovery as the start date.		
21.0b	B15	Business Requirement	If there are no edit errors, the members plan choice or default will be accepted by the system.		
21.0b	M1	Messaging	Employer will receive details about the error.		
21.0b	B16	Business Requirement	When a member either chooses or is defaulted into plan 3, the member's account will be converted to Plan 3 and the choice will be beamed to the TPA.		

Process/Workflow Name: 21.0 Plan Choice

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
21.0b	M1	Messaging	• Send confirmation of choice/ default notification to member, employer, TPA. • If plan 3 selected, TPA will generate a Welcome to Plan 3 letter. • If plan 2 selected, DRS will generate Welcome to Plan 2 letter.		
21.0b	B16	Business Rule	New elected/governor appointed officials who choose to participate in membership will get a 90-day choice window from the point of application approval (response date on EO mainframe screen) to participate, not from the point of hire.	Please confirm the date that goes into this field is when the application is approved.	
21.0b	B17	Business Rule	Response date will populate with the application approval date.		
21.0b	D13	Data	Response date		
21.0b	B18	Business Rule	New PERS JBM members are mandated into PERS Plan 2 with no Plan 2 or Plan 3 choice rights.	RCW 41.40.760 Source: http://www.drs.wa.gov/employer/EmployerHandbook/chpt8/tech_MRLplanRec.htm	
21.0b	B19	Business Rule	SERS members with prior PERS Plan 2 service between 7/1/07 and 7/31/09 should be reported in SERS Plan 2 with no plan choice, but are eligible for a January Transfer Option.		
21.0b	B20	Business Rule	Prior PERS members whose service was converted to SERS, and who are now reenrolled in a PERS position, will get a 90-day choice window.	For converted accounts see Position Statement #24 from PERS Plan 3 Project signed – 8/15/2001	
21.0b	B21	Business Rule	For SERS, new members hired before August 1, 2009 who had prior PERS Plan 2 service are eligible for a January Transfer Option.		

Appendix A - Employee Hired into an eligible position – Plan choice

Member History	Hiring into an eligible PERS position	Hiring into an eligible SERS position	Hiring into an eligible TRS position	Hiring into an eligible PSERS position	Hiring into an eligible WSPRS position	Hiring into an eligible LEOFF position
No Previous Membership						
No Membership History	90 day plan choice	90 day plan choice	90 day plan choice	PSERS 2	WSPRS 2	LEOFF 2
PERS Previous Membership						
Plan 1 member	No Plan Choice - PERS 1	No Plan Choice - PERS 1	90 day plan choice	PERS 1	WSPRS 2	LEOFF 2
Plan 2 member	January Transfer Option - PERS 2 For Members that have membership during: • 03/01/2002 – 08/31/2002 (for state agencies and higher ed) • 09/01/2001 – 05/31/2002 (all other PERS employers) January Transfer Option – an individual has the option to transfer to Plan 3 in January of any year	90 day plan choice January Transfer Option for Members that have PERS Plan 2 membership before July 31, 2009	90 day plan choice	PSERS 2	WSPRS 2	LEOFF 2

Member History	Hiring into an eligible PERS position	Hiring into an eligible SERS position	Hiring into an eligible TRS position	Hiring into an eligible PSERS position	Hiring into an eligible WSPRS position	Hiring into an eligible LEOFF position
	and must select their Contribution Rate Option and Investment Program at that time.					
Plan 2 Chosen member	No Plan Choice - PERS 2 Plan 2 chosen member – an individual who chose Plan 2 during their 90 calendar day period doesn't have the option to transfer in January.	90 day plan choice	90 day plan choice	PSERS 2	WSPRS 2	LEOFF 2
Plan 2 Converted to SERS member	90 day plan choice	90 day plan choice January Transfer Option for Members that have PERS Plan 2 membership before July 31, 2009	90 day plan choice	PSERS 2	WSPRS 2	LEOFF 2
Plan 3 member	No plan choice -PERS 3 Has 90 days to select a contribution rate option and investment program	90 day plan choice	90 day plan choice	PSERS 2	WSPRS 2	LEOFF 2
No Plan 2/3 choice made	90 day plan choice	90 day plan choice	90 day plan choice	PSERS 2	WSPRS 2	LEOFF 2

Process/Workflow Name: 21.0 Plan Choice

Member History	Hiring into an eligible PERS position	Hiring into an eligible SERS position	Hiring into an eligible TRS position	Hiring into an eligible PSERS position	Hiring into an eligible WSPRS position	Hiring into an eligible LEOFF position
SERS Previous Membership						
Plan 2 member	90 day plan choice	January Transfer Option – an individual has the option to transfer to Plan 3 in January of any year and must select their Contribution Rate Option and Investment Program at that time.	90 day plan choice	PSERS 2	WSPRS 2	LEOFF 2
Plan 2 Chosen member	90 day plan choice	No Plan Choice - SERS 2 Plan 2 chosen member – an individual who chose Plan 2 during gather 90 calendar day period doesn't have the option to transfer in January.	90 day plan choice	PSERS 2	WSPRS 2	LEOFF 2
Plan 3 member	90 day plan choice	No Plan Choice - SERS 3 Plan 3 Member – has 90 calendar days from hired date to select a Contribution Rate Option and Investment Program	90 day plan choice	PSERS 2	WSPRS 2	LEOFF 2
No Plan 2/3 Choice Made	90 day plan choice	90 day plan choice	90 day plan choice	PSERS 2	WSPRS 2	LEOFF 2

Process/Workflow Name: 21.0 Plan Choice

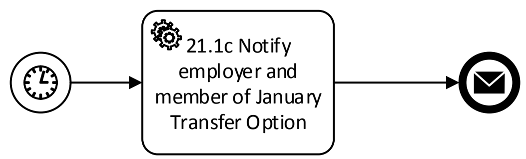
Member History	Hiring into an eligible PERS position	Hiring into an eligible SERS position	Hiring into an eligible TRS position	Hiring into an eligible PSERS position	Hiring into an eligible WSPRS position	Hiring into an eligible LEOFF position
TRS Previous Membership						
Plan 1 Former (withdrawn)	90 day plan choice	90 day plan choice	No plan choice - TRS 1	PSERS 2	WSPRS 2	LEOFF 2
Plan 1 Member	No Plan Choice – TRS 1 State agency education employer must report member in TRS Plan 1 regardless of the type of position. Local government employers must treat person as a New Member (with 90 day plan choice)	No Plan Choice - TRS 1	No Plan Choice - TRS 1	TRS 1 State agencies must report member in TRS Plan 1 regardless of the type of position. All other PSERS employers must report member in PSERS Plan 2	WSPRS 2	LEOFF 2
Plan 2 member	90 day plan choice	90 day plan choice	January Transfer Option - TRS 2 For Members that have membership during: • 07/01/1996 – 12/31/1997 An individual has the option to transfer to Plan 3 in January of any year and must select	PSERS 2	WSPRS 2	LEOFF 2

Member History	Hiring into an eligible PERS position	Hiring into an eligible SERS position	Hiring into an eligible TRS position	Hiring into an eligible PSERS position	Hiring into an eligible WSPRS position	Hiring into an eligible LEOFF position
			their Contribution Rate Option and Investment Program at that time.			
Plan 2 Chosen member	90 day plan choice	90 day plan choice	No Plan Choice - TRS 2 Plan 2 chosen member – an individual who chose Plan 2 during their 90 calendar day period doesn't have the option to transfer in January.	PSERS 2	WSPRS 2	LEOFF 2
Plan 3 member	90 day plan choice	90 day plan choice	No Plan Choice -TRS 3 Plan 3 Member – has 90 calendar days from hired date to select a Contribution Rate Option and Investment Program	PSERS 2	WSPRS 2	LEOFF 2
No Plan 2/3 Choice Made	90 day plan choice	90 day plan choice	90 day plan choice	PSERS 2	WSPRS 2	LEOFF 2
PSERS Previous Membership						

Process/Workflow Name: 21.0 Plan Choice

Member History	Hiring into an eligible PERS position	Hiring into an eligible SERS position	Hiring into an eligible TRS position	Hiring into an eligible PSERS position	Hiring into an eligible WSPRS position	Hiring into an eligible LEOFF position
Plan 2 member	90 day plan choice	90 day plan choice	90 day plan choice	PSERS 2	WSPRS	LEOFF
LEOFF Previous Membership						
Plan 1 member	90 day plan choice (except for estoppel rules)	90 day plan choice (except for estoppel rules)	90 day plan choice (except for estoppel rules)	PSERS 2	WSPRS 2	LEOFF 1
Plan 2 member	90 day plan choice	90 day plan choice	90 day plan choice	PSERS 2	WSPRS 2	LEOFF 2
WSPRS Previous Membership						
Plan 1 member	90 day plan choice	90 day plan choice	90 day plan choice	PSERS 2	WSPRS 1	LEOFF 1
Plan 2 member	90 day plan choice	90 day plan choice	90 day plan choice	PSERS 2	WSPRS 2	LEOFF 2

January Transfer Option



Process/Workflow Name: 21.0 Plan Choice

Process Description: This process facilitates notifications to members who have January Transfer rights.

Disclaimer: Workflows and requirements are subject to change as additional requirements are flushed out through the analysis process.

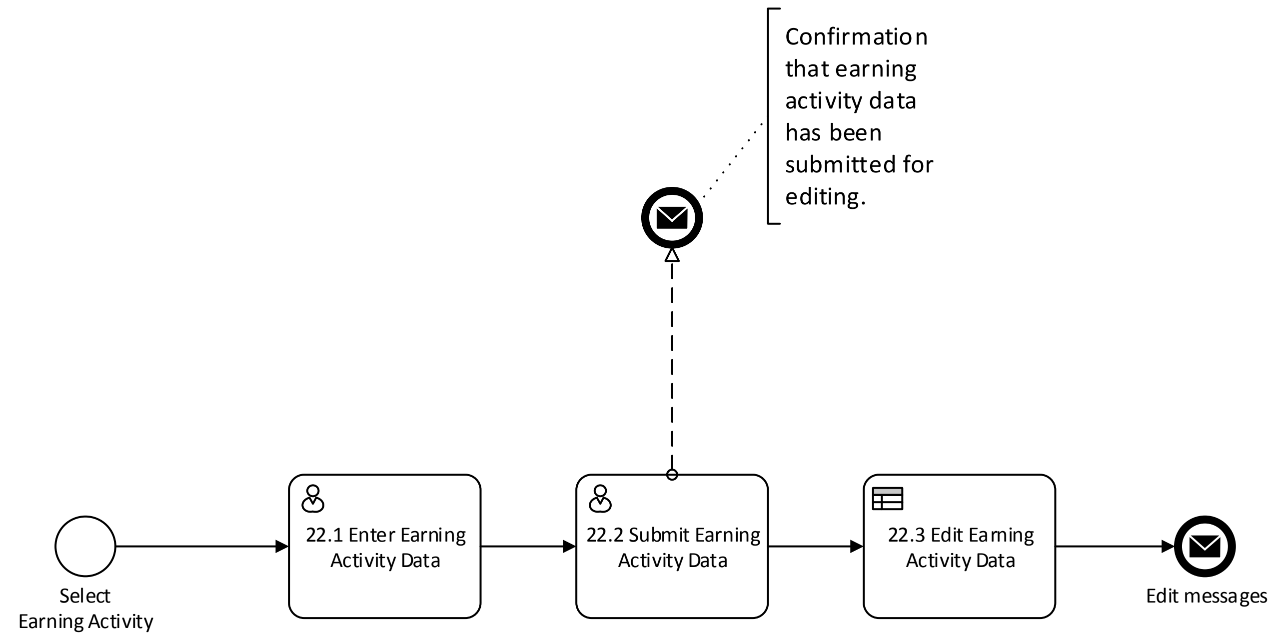
User Stories for January Transfer rights processes:

1) As an employer and member I would like to receive January Transfer communication annually regarding my plan choice options.

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
21.0c		Parent Process	**January Transfer.** This process sends notifications to member's that have a January Transfer option.		
21.0c		Input	• At designated time (First of December) system will identify all members that are eligible for January Transfer.		
21.0c		Output	• January transfer communication will be sent to member and employer.		
21.0c	B1	Business Rule	For all members who have January transfer rights. This will occur every year the member is working in a DRS covered position until they make a choice, die, or retire.		
21.1c		Child Process	**Send January Transfer communication.**		
21.1c		Input	• Identify members that are allowed to transfer in January.		
21.1c		Output	• Communication sent to Member and Employer.		
21.1c	F1	Functional Requirement	The ability for an authorized user to disable the reminders, at the member level, if necessary.		
21.1c	F2	Functional Requirement	Plan choice communication will be specific to the member's eligible system.		
21.1c	M1	Message	Notify member they have a January Transfer option. Include same links as in plan choice communication requirement.		

Process/Workflow Name: 21.0 Plan Choice

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
21.1c	M2	Message	If member is a January Transfer member who did not make a choice, send message that window has closed and they will have the option to transfer the following January.		



Confirmation that earning activity data has been submitted for editing.
Select Earning Activity
22.1 Enter Earning Activity Data
22.2 Submit Earning Activity Data
22.3 Edit Earning Activity Data
Edit messages

Process Description: This process provides the ability for a user to submit all pension earning activity data for the employees they report to the Department of Retirement Systems. This also includes the ability to report Higher Education Retirement Plan (HERP) and Deferred Compensation (DCP) data.

Disclaimer: Workflows and requirements are subject to change as additional requirements are flushed out through the analysis process.

User Stories for Earning Activity processes:

1) As an employer, I would like to be able to submit earning activity data to DRS, so that employee data remains current.
2) As an employer, I would like the data that I am sending to be edited, so that the employee data is correct in their retirement account.
3) As an employer, I would like to be able to view a history of earning activity data that I have previously submitted to DRS, so that I can easily research employee retirement records.
4) As an employer, I would like to be able to save earning activity data, so that I can come back to it later.
5) As an employer, I would like to be able to track the status of earning activity data, so that I always know where I am with reporting.
6) As an employer, I would like to be prompted when my reports are due, so that I always report timely to DRS.
7) As an employer, would like to make corrections to previously reported earning activity data, so that employee data is correct in their retirement account.
8) As an employer, I would like to be prompted when a special circumstance (401(a) limits, 457(e)(5), RTW limits, missing earnings, etc.) has occurred that requires my attention, so that employee data is correct and their retirement benefits are not negatively impacted.
9) As a DRS team member, I would like to be able to review employer reporting data, so that I can assist the employer in reporting to DRS correctly and timely.
10) As a DRS team member, I would like to be able to manage notifications that are sent to employers regarding special circumstances, so that I can assist employers in making sure employee data is correct and their retirement benefits are not negatively impacted.

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
22.0		Parent Process	**Earning Activity** This process provides the ability for an authorized user to submit all pension earning activity data for the employees they report to the Department of Retirement Systems. This also		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			includes the ability to report Higher Education Retirement Plan (HERP) and Deferred Compensation Program (DCP) data.		
22.0		Input	• Authorized user has initiated the process to submit earning activity data to DRS.		
22.0		Output	• Confirmation is sent indicating that earning activity data has been submitted for editing. • Edit messages are sent to the authorized user indicating what data needs to be corrected. • Notifications are sent the employer regarding special circumstances.		
22.0	R1	Business Requirement	Authorized users will have the ability to enter earning activity data in an interactive format.		
22.0	R2	Business Requirement	Authorized users will have the ability to upload an earning activity report using their own reporting format. The data on their report will be mapped to the DRS system to translate the report so the system is able to accept the data.		
22.0	R3	Business Requirement	Authorized users will have the ability to save earning activity data that has been entered or uploaded and submit at a later date.		
22.0	R4	Business Requirement	Data will be saved as it is entered to prevent loss of data upon screen transitions and system timeouts.		
22.0	R5	Business Requirement	Authorized users will have the ability to modify data in a saved or editing complete status.		
22.0	F1	Functional Requirement	If data is modified in an editing complete status the status will change to Saved.		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
22.0	F2	Functional Requirement	Authorized users will not have the ability to delete data that is in a submitted for editing, committed, or accepted status.		
22.0	F3	Functional Requirement	Authorized users will be able to track the status of a report: • Saved = Employer has entered/uploaded report data but has not submitted it to DRS. • Submitted for Editing = Report has been submitted and is going through the edit process. • Editing Complete = Report has been edited and either needs to have items corrected or is ready to be committed to the system. • Committed = Report has been edited, and submitted to DRS for processing. • Accepted (Processed) = Report has been edited and good data has been applied to member accounts. • Rejected (Not Processed) = Something is majorly wrong with report and none of the data has been applied to member accounts.	Current ERSTS – Employer Transmittal Report Status Codes: B CRITICAL ERRORS & OUT OF BALANCE C CRITICAL ERRORS PRESENT D DCP/JRA PRELIM PROCESS E BATCH PROCESS RUNNING H HELD BY BATCH L LOADING O OUT OF BALANCE P PROCESSED R READY TO PROCESS TO MIS S SENT BACK TO EMPLOYER	
22.0	R6	Business Requirement	Employers are required to report at least once a month to DRS any required data. This includes all DRS information (Retirement Activity, DCP, and HERP).		
22.0	B1	Business Rule	Retirement Activity reports are due to DRS by the 15^{th} of the month following the month being reported. Example: The December report is due by January 15^{th}.		All except DCP and HERP

Process/Workflow Name: 22.0 Earning Activity

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
22.0	B2	Business Rule	If an employer has not submitted their retirement activity report by the 15th the system will send a notification letting them know that their report is due.		
22.0	M1	Messaging	A notification to employer that their retirement activity report is due.		
22.0	B3	Business Rule	If the Retirement Activity report is late, DRS will assess a late penalty fee.	RCW 41.50.110(5) WAC 415-115-010 through WAC 415-115-120 Assessment of Additional Administrative Fee	All except DCP and HERP
22.0	B4	Business Rule	DCP reports are due based on the employer's payroll cycle.		DCP
22.0	F4	Functional Requirement	An employer will be notified when their DCP report is available (prior to the employers payroll cycle) so they know what they can begin deducting from their employees paycheck.		
22.0	B5	Business Rule	HERP Supplemental Fund reports are due based on the employer's payroll cycle.		HERP
22.0	R7	Business Requirement	A list of employers who are delinquent on their reporting must be captured so that an ESS team member can work with an employer to report their data to DRS.		
22.0	F5	Functional Requirement	An authorized user will be able to submit changes to previously reported data.		
22.0	F6	Functional Requirement	A history of all earning activity reporting will be kept and accessible to authorized users to reference at a later date.		
22.1		Child Process	**Enter Earning Activity Data** This process provides the ability for an authorized user to enter earning activity data for their employees.		
22.1		Input	• Authorized user has initiated the process to submit earning activity data to DRS.		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
22.1		Output	• Authorized user has entered or uploaded earning activity data.		

22.1	D1	Data	Record Type Identifier
			• Valid Values=
			  ○ S = Summary Record
			  ○ M = Member Profile Record
			  ○ E = Employment Record
			  ○ B = Defined Benefit Record
			  ○ C = Defined Contribution Record
			  ○ T = Plan Choice
			• Format = Character
			• Field Length = 1
				Existing Data Element
				
				Description: Each record has a unique data record type identifier.
				
				Appendix A - Record Type Data Element Matrix
				
				Note: Discussions if we need this element in the future.	

22.1	D2	Data	Reporting Group Number • Format = Character • Field Length = 6	**Existing Data Element** **Description:** This is a DRS assigned number and is system specific. An employer who participates in multiple systems has a specific Reporting Group Number for each system. **Note:** Current issue because numbers started to be used to define types of employers but because we are running out of the unique types we have been using the numbers for multiple types of employers (I.e. 22XX = County but is now also being used for other employer types other than county.) ERTYPE drives the Numbering system.	All

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
22.1	D3	Data	Reporting Period • Format = Date mmyyyy • Field Length = 6	**Existing Data Element** **Description:** The reporting period identifies the year and month of the transmittal report. The same reporting period should be used for all entries within the report.	All

22.1	D4	Data	Report Type
			• Valid Values=
			  ○ R = Regular report
			  ○ C = Correction report
			• Format = Character
			• Field Length = 1
				Existing Data Element
				
				Description: This field is used to indicate whether the report is a regular report or a correction report.
				
				You may always include correcting transactions within your regular transmittal reports. In addition, DRS will accept separate correction reports. This allows you to submit correcting transactions any time during a month. Depending on your method of reporting, you may need to flag Use the Report Type field as "R" to identify a regular transmittal report, or "C" to identify a correction transmittal report to identify the type of report you are submitting.
					All

22.1	D5	Data	Report Version Number • Format = Numeric • Field Length = 1	**Existing Data Element** **Description:** DRS can arrange for employers who report electronically to submit multiple regular	All

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				transmittal reports for each calendar month. The Report Version Number and Expected Monthly Reports fields identify the expected number of regular transmittal reports for a specific month. Employers who are not using the multiple reporting option should always enter 01 in the Report Version Number field Employers using the multiple reporting options must use the Report Version Number to identify which transmittal report this is in the month's sequence of reports. Employers submitting a correction report should always enter 01 in the Report Version Number field. (Correction reports are given version numbers by the DRS system.) **Note:** It was discussed to look at other options on how to track reporting other than the current versioning process in place. Currently they have to indicate how many reports they are planning on submitting for the month. If they submit different they need to contact DRS to have fixed.	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				• Need some way to track this because we don't want to have employers sending data for the same month/year that they have already sent data for. Currently this is used to identify those that have done this. • It is also used to tell us what report to expect next. I.e. they say they are supposed to send in next. • Once the employer has submitted a R1 March it is labeled March once we receive an R1 April the label is moved to April they have to submit a C report for any changes they need to make for March with an April date. Any corrections are submitted under the current Month label that the employer has been reporting for. • The label of March 2014 can have earnings for prior periods.	
22.1	D6	Data	Expected Monthly Reports • Format = Numeric • Field Length = 2	**Existing Data Element**	All

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				Description: Employers who are not using the multiple reporting options should always enter 01 in the Expected Monthly Reports field. Employers using the multiple reporting options must use the Report Version Number and Expected Monthly Reports fields to identify which report this is in the month's sequence of reports. Employers who participate in DCP and have more than one pay date in a month must submit a DCP report for each payday. (DRS does not want employers who have a bi-weekly payroll system to send more than two reports in a month.) **Note:** Do we still want this? Is there a better way to do this? Possibly prompt the employer to indicate what period they are reporting for (I.e. month/year). This is how many reports are expected.	
22.1	D7	Data	Total Compensation • Format = Numeric, currency, two decimal places • Field Length = 13	**Existing Data Element** **Description:** The grand total (sum of the transactions within either the benefit record or	All except DCP and HERP

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				defined benefit record) of member compensation for all plans reported on the transmittal report.	
22.1	D8	Data	Total Member Contributions/Deferrals • Format = Numeric, currency, two decimal places • Field Length = 13	**Existing Data Element** **Description:** The grand total of member contributions for each report group included in the detailed transactions on the transmittal report. Include member contributions from both the Defined Benefit Record and the Defined Contribution Record if you use the MRL. The sum of all DCP participant deferrals should be entered in this field.	All except HERP
22.1	D9	Data	Total Employer Contributions • Format = Numeric, currency, two decimal places • Field Length = 13	**Existing Data Element** **Description:** The grand total (sum of the transactions within either the benefit record and/or the defined benefit record) of employer contributions for all plans reported on the transmittal report. **Note:** Tracie would like to see DCP employer match Deferrals tracked separately. Example of why important because we will accept employer deferrals prior to the employee eligible start date. But we don't except member contributions. Check	All except DCP

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				with Dina to see if having this break out would be beneficial.	
22.1	D10	Data	Total Hours • Format = Numeric, two decimal places • Field Length = 13	**Existing Data Element** **Description:** The grand total of hours for all plans (except TRS Plan 1) reported within the Defined Benefit Record. Total hours must be reported to the nearest tenth. TRS Plan 1 RTW members are reported in hours though. Currently we only accept hours with one decimal place, however we would like to have two decimal places. MIS has two decimal places.	All Except TRS Plan 1 and DCP
22.1	D11	Data	Total Records Reported • Format = Numeric • Field Length = 7	**Existing Data Element** **Description:** The total number of detailed transactions on the transmittal report. Do not include the Summary Record in this count. **Note:** Not sure this is needed. Need to determine if this is utilized by anyone and what it is used for.	All
22.1	D12	Data	Total Days • Format = Numeric, two decimal places • Field Length = 13	**Existing Data Element** **Description:** The grand total of days for TRS Plan 1 members reported within the Defined Benefit	TRS Plan 1

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				Record. Total days must be reported to the nearest tenth. Currently we only accept days with one decimal place, however we would like to have two decimal places. MIS has two decimal places.	
22.1	D13	Data	Social Security Number • Format = Numeric • Field Length = 9	**Existing Data Element** **Description:** The member's Social Security number must be 9 digits in length. The Social Security number entered on the transmittal report must match the number on the employee's Social Security card.	All

22.1	D14	Data	Obsolete Data Element from Current System need to remove
			
			Member/Participant Name Change Flag
			• Valid Values=
			    ○ Y = Update the member's or participant's name
			    ○ N = Do not update the member's or participant's name
			• Format = Character
			• Field Length = 1
				Existing Data Element
				
				Description: Used to indicate that a member or participant name change is being submitted.
					All

22.1	D15	Data	Member/Participant Last Name • Format = Character • Field Length = 35	**Existing Data Element**	All

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				Description: The name that identifies the employee being reported. **Note:** Discussion needed regarding if this should be required because we have members with only one name.	
22.1	D16	Data	Member/Participant First Name • Format = Character • Field Length = 35	**Existing Data Element** **Description:** The name that identifies the employee being reported. **Note:** Discussion needed regarding if this should be required because we have members with only one name.	All
22.1	D17	Data	Member/Participant Middle Name • Format = Character • Field Length = 35	**Existing Data Element** **Description:** The name that identifies the employee being reported.	All
22.1	D18	Data	Member/Participant Name Extension • Valid Values= (Table EXTN – Seniority) ○ II ○ III ○ IV ○ Junior ○ Senior ○ V	**Existing Data Element** **Description:** This field is used to identify the legal extension of the employee being reported. Recommend expanding field to 6 spaces.	All

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ VI ○ VII • Format = Character • Field Length = 6		
22.1	D19	Data	Member/Participant Name Title • Valid Values= (Table TITLE – Titles) ○ DR = Doctor ○ REV = Reverend • Format = Character • Field Length = 5	**Existing Data Element** **Description:** This field is used to identify the title of the employee being reported. Entries such as Mr., Mrs., Miss., or Ms. will be ignored and default to a blank field. **Note:** Look at seeing if we should expand to include elected officials and other title types. See if there is a standard??	All
22.1	D20	Data	Member/Participant Name Suffix • Valid Values= (Table SUFFX – Suffix) ○ DDS = Doctor of Dental Science ○ DO = Doctor of Osteopathy ○ MD = Doctor of Medicine ○ PHD = PHD • Format = Character • Field Length = 5	**Existing Data Element** **Description:** This field is used to identify degrees earned for the employee being reported. **Note:** Should this be expanded to include other suffixes?	All
22.1	D21	Data	Obsolete Data Element from Current System need to remove Address Change Flag • Valid Values=	**Existing Data Element** **Description:** Used to indicate that a member or participant address change is being submitted.	All

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ Y = Update the member's or participant's address ○ N = Do not update the member's or participant's address • Format = Character • Field Length = 1	**Note:** Business discussion – Would like to remove this flag and include the functionality for the system to check if the address is new or changed and update or just leave it the same if it isn't new.	
22.1	D22	Data	Address Line 1 (Domestic and Foreign) • Format = Character • Field Length = 40 • Required for Domestic and Foreign Addresses	**Existing Data Element** **Description:** Used to indicate a member or participant address. Address Line 1 is required. Change to accept 40 characters which is what the mainframe currently accepts for address line 1.	All
22.1	D23	Data	Address Line 2 (Domestic and Foreign) • Format = Character • Field Length = 35	**Existing Data Element** **Description:** Used to indicate a member or participant address. Address Line 2 is optional.	All
22.1	D24	Data	Address Line 3 (Domestic and Foreign) • Format = Character • Field Length = 35	**Existing Data Element** **Description:** Used to indicate a member or participant address. Address Line 3 is optional.	All
22.1	D25	Data	City (Domestic and Foreign) • Valid Values = ○ For WA addresses use (Table CITY – Washington State Cities)	**Existing Data Element** **Description:** Used to indicate a member or participant city for their domestic address.	All

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• Format = Character • Field Length = 35 • Required if the members address is Domestic • Required if the members address if Foreign and the Province data element is not populated.	**Note:** If state is WA City is edited against the CITY table. This table is currently DRS specific would like to have a web service that goes to the postal service to validate addresses.	
22.1	D26	Data	State Code (Domestic) • Valid Values = ○ Use (Table STATE – United States Table) • Format = Character • Field Length = 2 • Required if the members address is Domestic	**Existing Data Element** **Description:** Used to indicate a member or participant state for their domestic address.	All
22.1	D27	Data	Zip Code (Domestic) • Format = Numeric • Field Length = 5 • Required if the members address is Domestic	**Existing Data Element** **Description:** Used to indicate a member or participant zip code for their domestic address.	All
22.1	D28	Data	Zip Extension (Domestic) • Format = Numeric • Field Length = 4 • Optional if the members address is Domestic	**Existing Data Element** **Description:** Used to indicate a member or participant zip extension for their domestic address.	All
22.1	D29	Data	Gender Code • Valid Values = (Table SEX – Sex Code Table) ○ M = Male ○ F = Female • Format = Character • Field Length = 1	**Existing Data Element** **Description:** Used to indicate the gender of a member or participant.	All

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				Note: Discussion whether or not we should expand to "Other".	
22.1	D30	Data	Birth Date • Format = Date mmddyyyy • Field Length = 8	**Existing Data Element** **Description:** Used to provide the date of birth of a member or participant.	All
22.1	D31	Data	System Code • Valid Values = (Table SYSTM – System Code Table) ○ D = Deferred Compensation Program (DCP) ○ E = School Employees' Retirement System (SERS) ○ J = Judicial Retirement System (JRS) ○ L = Law Enforcement and Firefighters Retirement System (LEOFF) ○ N = Public Safety Employees' Retirement System (PSERS) ○ P = Public Employees' Retirement System (PERS) ○ R = Judicial Retirement Account (JRA) ○ S = Washington State Patrol Retirement System (WSPRS) ○ T = Teachers' Retirement System (TRS) ○ U = Judges Retirement Fund (JRF) ○ Z = HERP Supplemental Fund • Format = Character • Field Length = 1	**Existing Data Element** **Description:** Used to identify the system being reported.	All
22.1	D32	Data	Plan Code • Valid Values =	**Existing Data Element**	All

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ 0 = Retirees, and school district and educational service district substitutes. ○ 1 = Valid for system codes D, J, L, P, S, T and Z ○ 2 = Valid for system codes E, L, N, P, S and T ○ 3 = Valid for system codes E, P and T • Format = Numeric • Field Length = 1	**Description:** Used to identify the retirement plan being reported. Note: If we start having employers report ineligible, not reportable employees would they come in as a zero as well?	
22.1	D33	Data	Type Code • Valid Values = ○ Use (Table TRTYP – Transmittal Type Code Table) • Format = Numeric • Field Length = 3	**Existing Data Element** **Description:** Identifies the type of employer, and in some cases, the type of work performed by the member. • Retiree Returning to Work Reporting Charts – These charts include retirees returning to eligible, ineligible, and substitute positions. If the employee is not a retiree go to Substitute Reporting Chart. • Substitute Reporting Chart – If employee is not a substitute go to List of Type Codes by System. • List of Type Codes by System If keeping this field, recommend expanding to 3 spaces.	All except DCP

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				Note: Need to determine if we are going to keep this field or if there is an opportunity to capture this differently (Example: Position title from Determine Member Eligibility Process or a new field like Job Type)? If we take this information can we convert this information into a type code? Need to have a code to describe the employer and one for the position.	
22.1	D34	Data	Begin Date (Employment Period) • Format = Date mmddyyyy • Field Length = 8	**Existing Data Element** **Description:** • Retirement – This date must be on the transmittal report for each retiree and member an employer is reporting for the first time. If the employer reports a retiree or a member without an eligibility start date, all of the information on the report will be rejected. Also used to report the date a retiree or member begins employment or changes employment status (example: Eligible employment to substitute employment). • DCP – Used to report the first payday that an employee has a DCP deduction (deferral) taken from his or her compensation for that employer.	All

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				Changing element name	
22.1	D35	Data	End Date (Employment Period) • Format = Date mmddyyyy • Field Length = 8	**Existing Data Element** **Description:** Used to report the date a member ends employment that is required to be reported to DRS. The end date should only be submitted on the last report. Changing element name	All

22.1	D36	Data	Deferral Temporarily Suspended
			• Valid Values:
			  ○ Y
			  ○ Blank
			• Field Length = 1
				Existing Data Element
				
				Description: Employer can suspend a deferral, HRMS suspends automatically after 3 pay periods of not submitting information. If employee changes deferral amount with record-keeper to zero or another dollar amount the Y flag will come off and the employer should start sending contributions. We can also remove this flag internally.
					DCP

22.1	D37	Data	Leave Begin Date • Format = Date mmddyyyy • Field Length = 8 • Optional unless Status Code B1-B5 is reported	**Existing Data Element** **Description:** Used to report start date for the following leave types:	All except DCP and HERP

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				• Military • Authorized Leave of Absence (ALOA) • Temporary Duty Disability • LEOFF 1 Disability • Sabbatical Leave (TRS 1, 2, & 3) Note: Disability leave and other types leave for LEOFF members must be reported if the period of leave exceeds three days. Changing element name and using for all system and plans not just LEOFF.	
22.1	D38	Data	Leave End Date • Format = Date mmddyyyy • Field Length = 8 • Required to report an end date at the end of a leave period if the Status Code B1-B5 is reported	**Existing Data Element** **Description:** Used to report end date for the following leave types: • Military • Authorized Leave of Absence (ALOA) • Temporary Duty Disability • LEOFF 1 Disability • Sabbatical Leave (TRS 1, 2, & 3) Note: Disability leave and other types leave for LEOFF members must be reported if the period of leave exceeds three days.	All except DCP and HERP

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				Changing element name and using for all system and plans not just LEOFF.	
22.1	D39	Data	Obsolete Data Element from Current System need to remove Control Number	**Existing Data Element** **Description:** Data is no longer required in this field. Formerly used to indicate how an employer wanted DRS to sequence member's annual statements. The statements used to be mailed to employers for distribution to members (now, members access their statements online).	All except DCP and HERP
22.1	D40	Data	Obsolete Data Element from Current System need to remove Organization Display	**Existing Data Element** **Description:** Data is no longer required in this field. Formerly used in conjunction with the Control Number field for purposes of managing the distribution of annual statements by employers. Annual statements are no longer mailed to employers for distribution to members.	All except DCP and HERP
22.1	D41	Data	Earning Period • Format = Date mmyyyy • Field Length = 6	**Existing Data Element** **Description:** The year and month in which the compensation was earned. Only one earning period can be reported per transaction. Create transactions for each earning period that needs to be reported.	All except DCP and HERP

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan

22.1	D42	Data	Status Code
			• Valid Values =
			  ○ As-Is system uses (Table TRSTS – Transmittal Status Code Table)
			  ○ See for what the To-Be system should use Appendix B – Status Codes
			• Format = Character
			• Field Length = 2
				Existing Data Element
				
				Description: Identify the status of the compensation, contributions, and hours or days being reported for a member. Only one status code can be reported per transaction. If more than one status code needs to be reported for a member, use additional transactions for each status code.
					All except DCP and HERP

22.1	T1	Text	Help must be provided indicating what each Status Code means. See Appendix B – Status Codes to see status codes descriptions.		
22.1	D43	Data	Hours • Format = Numeric, two decimal places • Field Length = 7	**Existing Data Element** **Description:** For all retirement systems and plans except TRS Plan 1, service is reported in hours. This field is used to report the hours the member worked during the earning period being reported. Hours must be reported to the nearest tenth.	All Except TRS Plan 1 and DCP and HERP
22.1	D44	Data	Days • Format = Numeric, two decimal places • Field Length = 6	**Existing Data Element** **Description:** For TRS Plan 1 members, service is reported in days. This field is used to report the days the TRS Plan 1 member worked during the earning period being reported. Days must be reported to the nearest tenth.	TRS Plan 1

Process/Workflow Name: 22.0 Earning Activity

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
22.1	D45	Data	Compensation • Format = Numeric, currency, two decimal places • Field Length = 11	**Existing Data Element** **Description:** The salaries or wages earned by a member for personal services during a calendar month, payroll period, or fiscal year are reported as compensation. Each retirement system and plan has different requirements for reporting compensation.	All except DCP and HERP

22.1	T2	Text	Help information must be provided for what compensation is reportable to DRS.
			• PERS:
			  ○ What is Reportable Compensation for PERS?
			  ○ Reportable Compensation Table
			  ○ Establishing Service Credit for Unpaid Leave for PERS 2 & 3.
			  ○ Nonmonetary Maintenance for PERS 1.
			  ○ PERS Excess Compensation
			• PSERS:
			  ○ What is Reportable Compensation for PSERS?
			  ○ Reportable Compensation Table
			  ○ Establishing Service Credit for Unpaid Leave
			• SERS:
			  ○ What is Reportable Compensation for SERS?
			  ○ Reportable Compensation Table
			  ○ Establishing Service Credit for Unpaid Leave
			• TRS:
					All except DCP and HERP

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			◦ What is Reportable Compensation for TRS? ◦ Reportable Compensation Table ◦ Nonmoney Maintenance Compensation ◦ Excess Compensation • LEOFF: ◦ What is Reportable Compensation for LEOFF? ◦ Reportable Compensation Table ◦ Plan 1 Reportable Compensation ◦ Plan 1 Not Reportable Compensation ◦ Plan 2 Reportable Compensation ◦ Plan 2 Not Reportable Compensation • WSPRS: ◦ Reportable Compensation Table		
22.1	T3	Text	Help information must be provided for School District and Educational Service District employers regarding special conditions that may arise when reporting retirement data. • Overpayments • Pay in Lieu of the Ability to Take Vacation • Retroactive Payments • Snow Days • Time Sheet Cycles • Time Versus Responsibility • TRI Contracts		
22.1	D46	Data	Employer Contributions • Format = Numeric, currency, two decimal places	**Existing Data Element**	All except DCP

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• Field Length = 11 • Formula = ○ Contributions = (compensation) x (employer contribution rate), computed to four decimal points (200.0159) and rounded to two decimal points (200.02)	**Description:** Employer contributions are due on all compensation (not for plan 0) reported for each earning period.	
22.1	D47	Data	Defined Benefit Member Contributions • Format = Numeric, currency, two decimal places • Field Length = 11 • Formula = ○ Contributions = (compensation) x (member contribution rate), calculated to four decimal points (200.0159) and rounded to two decimal points (200.02).	**Existing Data Element** **Description:** Member contributions for members of all systems and plans (not for plan 0) other than PERS, SERS, and TRS Plan 3 must be reported in this field. (Plan 3 member contributions are reported on the defined contribution record.)	All Non Plan 3 Mbrs and non DCP Mbrs and Non HERP

22.1	D48	Data	Defined Contribution/Deferrals
			• Format = Numeric, currency, two decimal places
			• Field Length = 11
			• Required for Plan 3 and DCP
			• Formula =
			  ○ Contributions = (compensation) x (member contribution rate), calculated to four decimal points (200.0159) and rounded to two decimal points (200.02).
			  Note: DRS does not edit Plan 3 member contributions or deferrals according to this formula.
				Existing Data Element
				
				Description: This field is used to report member contributions for Plan 3 members and deferrals for DCP participants. Once a member chooses Plan 3 all member contributions should be reported in Plan 3--including any contributions on previously unreported earnings as a Plan 2 member.
				
				Note: Do we need to have these separate or can we have member contributions reported together and just process it separately on the back end.
					Plan 3 and DCP mbrs only

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ All defined contributions for members in Plan 3 must be calculated on the rate in effect at the time the compensation is paid. If adjusting contributions previously paid, the contribution rate in effect when the original compensation was paid must be used.		
22.1	D49	Data	Obsolete Data Element from Current System need to remove Taxed/Non-Taxed Status • Valid Values = ○ T = Taxed ○ Blank = NonTaxed • Format = Character • Field Length = 1 • Required for Plan 3	**Existing Data Element** **Description:** This field is filled with a "T" to indicate that member contributions are taxed. The field is left blank if the member contributions are deferred from federal income tax (NonTaxed).	Plan 3 mbrs only
22.1	D50	Data	Investment Program • Valid Values = (Table INVMN – Investment Manager Table) ○ WSIB = Washington State Investment Board ○ SELF = Self-Directed Investment Program • Format = Character • Field Length = 4 • Required for Plan 3	**Existing Data Element** **Description:** Used to report the investment program for a Plan 3 member. If a non-transferring Plan 3 member fails to select an investment program within 90 days of eligibility, the investment program must be reported as “SELF” when the Plan Choice 3D Default is sent to DRS.	Plan 3 mbrs only

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan

22.1	D51	Data	Rate Option
			• Valid Values = (Table PER3R –Table PERS 3 Rate Options, Table SER3R – Table SERS 3 Rate Options, Table TRS3R – Table TRS 3 Rate Options)
			  ○ A = 5% of pay at all ages
			  ○ B = 5% of pay until age 35, 6% of pay age 35-44, 7.5% age 45 and above
			  ○ C = 6% of pay until age 35, 7.5% of pay age 35-44, 8.5% age 45 and above
			  ○ D = 7% pay at all ages
			  ○ E = 10% pay at all ages
			  ○ F = 15% pay at all ages
			• Format = Character
			• Field Length = 1
			• Required for Plan 3
				Existing Data Element
				
				Description: Used to report the investment rate option for a Plan 3 member.
				
				If a non-transferring Plan 3 member fails to select a rate option within 90 days of eligibility, the rate option must be reported as "A" when the Plan Choice 3D Default is sent to DRS.
				
				Option B and C-coordinating rate changes with birth dates.
				
				For members choosing options B and C, rates must increase following the 35th and 45th birthdays. If a rate change is necessary following a member birthday, you will begin using the new rate on the first of the following month.
					Plan 3 mbrs only

22.1	D52	Data	Plan Choice Date or Transfer Date • Format = Date mmddyyyy • Field Length = 8 • Required for the Plan Choice the first time a member meets one of these conditions: ○ A new PERS, SERS with no prior PERS 2 service, or TRS member chooses, either Plan 2 or Plan 3, or after 90	**Existing Data Element** **Description:** Date member made a choice on the Member Information Form (MIF). **Note:** Eleanor indicated the 90 days are under review. Currently a service request being reviewed	PERS, SERS, TRS who have a choice or transfer rights

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			calendar days from the date of hire when the Plan Choice 3D Default is sent to DRS; or ○ A plan 2 member of PERS, SERS, or TRS chooses Plan 3 per the January Transfer Option; ○ PERS JBM: ▪ New PERS JBM members with no prior PERS membership do not have Plan Choice Rights and are mandated into PERS Plan 2. These members are reported from the first day of hire in PERS Plan 2 with the appropriate JBM Type Code. ▪ Prior PERS members who had the right to transfer from PERS Plan 2 to PERS Plan 3 before becoming a JBM member will continue to have Plan 2 to Plan 3 transfer rights. ○ Plan 3 (TRS/PERS)\HERP Choice: ▪ 30 days from date of hire to make choice between (PERS/TRS) and HERP.	right now. The 90 days also affects optional bills. Go back and look at plan choice requirements.	
22.1	D53	Data	Plan Choice • Valid Values = (Table TPCDC – Transfer/Plan Choice Default Table) ○ 2C = Choose Plan 2 ○ 3C = Choose Plan 3 ○ 3D = Default to Plan 3 ○ 3X = Transfer to Plan 3	**Existing Data Element** **Description:** Used to indicate the member's Plan Choice or January Transfer Option. Note:	PERS, SERS, TRS who have a choice or transfer rights

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• Format = Character • Field Length = 2 • Required for the Plan Choice the first time a member makes a Plan Choice or transfers during the January Transfer Option.	• Potential members such as substitutes should be treated like new members; they have a plan choice if hired into an eligible position. For SERS potential members, however, this is true only if they have no prior PERS Plan 2 service. If they have prior PERS 2 service, the member should be reported in SERS Plan 2; the employee has no plan choice, but is eligible for January Transfer Option. • New PERS JBM members with no prior PERS membership are mandated into PERS Plan 2 with no plan choice rights.	
22.1	D54	Data	Email • Format = Character • Field Length = 250 • Optional?	**New Data Element** **Description:** Used to indicate the member's email address to be used in communicating important retirement information (example: Plan Choice, etc.). **Note:** Discussions needed around whether or not this element should be required. There is a need to have this information so we can send out retirement information electronically, however there concerns that not all members have an email.	All

Process/Workflow Name: 22.0 Earning Activity

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan

22.1	D55	Data	Email Type Description
			• Valid Values:
			  ○ Work Email
			  ○ Home Email
			• Format = Character
			• Field Length = 10
			• Required for each email entered.
				New Data Element
				
				Description: Used to indicate the email type description of where the email is being directed for the member.
					All

22.1	D56	Data	Phone Number (Domestic Addresses)
			• Format =
			  ○ (XXX)XXX-XXXX
			  ○ XXX-XXX-XXXX
			  ○ XXX.XXX.XXXX
			  ○ XXXXXXXXXX
			  ○ XXX XX XXXX
			• Field Length = 13
			• Optional?
				New Data Element
				
				Description: Used to indicate the member's phone number in order to contact the member regarding retirement information.
				
				Note: Discussions needed around whether or not this element should be required. There is a need to have this information so we can contact members when needed, however there concerns that not all members have a phone.
					All

22.1	D57	Data	Phone Number Description (Domestic Addresses)
			• Valid Values:
			  ○ Work
			  ○ Home
			  ○ Cell
			• Format = Character
			• Field Length = 4
			• Required for each phone number entered.
				New Data Element
				
				Description: Used to indicate the phone number description.
					All

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
22.1	D58	Data	Foreign Phone Number (Foreign Addresses) • Format = Character • Field Length = 15 • Optional?	**New Data Element** **Description:** Used to indicate the member's phone number in order to contact the member regarding retirement information. **Note:** Discussions needed around whether or not this element should be required. There is a need to have this information so we can contact members when needed, however there concerns that not all members have a phone.	All

22.1	D59	Data	Address Description
			• Valid Values:
			  ○ Home (Physical Address)
			  ○ Mailing (Where Mail is Received)
			• Format = Character
			• Field Length = 7
			• Required when an address is entered.
				New Data Element
				
				Description: Used to address destination for a member.
					All

22.1	D60	Data	Province (Foreign Addresses) • Format = Character • Field Length = 35 • Required if City is not Populated	**New Data Element** **Description:** Used to indicate the member's providence for a foreign address in order to contact the member regarding retirement information.	All
22.1	D61	Data	Country (Foreign Addresses) • Format = Character	**New Data Element**	All

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• Field Length = 35 • Required	**Description:** Used to indicate the member's country for a foreign address in order to contact the member regarding retirement information.	
22.1	D62	Data	Postal Code (Foreign Addresses) • Format = Character • Field Length = 9 • Optional	**New Data Element** **Description:** Used to indicate the member's postal code for a foreign address in order to contact the member regarding retirement information.	All
22.1	D63	Data	Job Type	**New Data Element** **Description:** <Placeholder currently unknown if data element will be needed> **Note:** Meeting with OSA's Darren Painter on 6/25/15 to further discuss what is needed for this requirement.	All
22.1	D64	Data	Leave Type • Valid Values = ○ B1 - Military (All) ○ B2 - Authorized Leave of Absence (All) ○ B3 - Temporary Duty Disability (All except LEOFF 1) ○ B4 - Disability approved by disability board (LEOFF 1 only) ○ B5 - Sabbatical Leave (TRS 1, 2, & 3 only) ○ B6 - School Employee Summer Months (SERS and TRS)	**New Data Element** **Description:** Used for the employer to indicate the type of leave a member is on if using B1-B6 codes.	All except DCP and HERP

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• Format = Character • Field Length = 2		

22.1	D65	Data	Paid/Not Paid:
			• Valid Values =
			  ○ Paid – Earnings and Contributions were paid no TDD Billing is needed.
			  ○ Not Paid – Earnings and Contributions were not paid, member has option to purchase time through a TDD Billing.
			• Format = Character
			• Field Length = 8
			• Required if Status Code B Selected and Leave Type TDD – Temporary Duty Disability was selected.
				New Data Element
				
				Description: Used for the employer to indicate what earnings they have paid the member and withheld contributions on and what earnings they have not paid the member when reporting a member under a B code for Temporary Duty Disability.
					All except DCP and HERP

22.1	D66	Data	Accrual Begin Date • Format = Date mmddyyyy • Field Length = 8 • Required if Status Code Y, T, W Selected	**New Data Element** **Description:** Used for the employer to indicate the accrual begin date when a Y, T, W code is reported.	PERS 1, TRS 1, WSPRS 1
22.1	D67	Data	Accrual End Date • Format = Date mmddyyyy • Field Length = 8 • Required if Status Code Y, T, W Selected	**New Data Element** **Description:** Used for the employer to indicate the accrual end date when a Y, T, W code is reported.	PERS 1, TRS 1, WSPRS 1

22.1	D68	Data	HERP/DRS Plan Choice
			• Valid Values =
			  ○ HERP
			  ○ DRS Plan
				New Data Element
				
				Description: Used for Higher Education Employers to indicate if a member has chosen either HERP or	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• Format = Character • Field Length = 8	a DRS Plan. Rules governing what DRS Plan they are required to be placed in is under the Edit Earning Activity Data Section.	

22.1	D69	Data	HERP Position Type
			• Valid Values =
			  ○ Faculty
			  ○ Professional
			• Format = Character
			• Field Length = 12
				New Data Element
				
				Description: Used for Higher Education Employers to indicate what type of HERP position is. Rules governing HERP/DRS plan choice are under the Edit Earning Activity Data Section.	

22.1	D70	Data	Leave Accrued Each Month • Format = Numeric, two decimal places • Field Length = 5	**New Data Element** **Description:** Used for the employer to indicate the amount of leave accrued each month a Y, T, W code is reported.	PERS 1, TRS 1, WSPRS 1
22.1	D71	Data	Hourly Rate of Pay • Format = Numeric, currency, two decimal places • Field Length = 7	**New Data Element** **Description:** Used for the employer to indicate the rate of pay they used to calculate the leave cash out amount when a Y, T, W code is reported.	PERS 1, TRS 1, WSPRS 1
22.1	D72	Data	Contract	**New Data Element** **Description:** Used for the employer to upload a contract when a Y, T, W code is reported. This applies to Non State Agencies and for retiring TRS 1 members who are cashing out leave.	PERS 1, TRS 1, WSPRS 1

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan

22.1	D73	Data	Max Compensation Exceeds Indicator
			• Valid Values =
			    ○ Yes
			    ○ No
			• Format = Character
			• Field Length = 1
				New Data Element
				
				Description: Used for the employer indicate if a member who has reached the Approaching Level of the IRC section 401(a)(17) limits will go over the compensation limits for the year.	

22.1	D74	Data	Max Compensation Exceeds Date • Format = Date mmddyyyy • Field Length = 8 • Required if Max Compensation Exceeds Indicator is "Yes"	**New Data Element** **Description:** Used for the employer indicate the date a member who has reached the Approaching Level of the IRC section 401(a)(17) limits will go over the compensation limits for the year.	
22.1	D75	Data	DD214	**New Data Element** **Description:** Used for the employer to upload a DD214 if a B1 Code is reported.	
22.1	D76	Data	Exceed Date • Format = Date mmddyyyy • Field Length = 8 • Required if retiree who has returned to work in an eligible position has exceeded the yearly limit of 867 hours.	**New Data Element** **Description:** Used for the employer to report the date a retiree who has returned to work in an eligible position has exceeded the yearly limit of 867 hours.	
22.2		Child Process	**Submit Earning Activity Data.** This process provides the ability for an authorized user to submit earning activity data for editing.		
22.2		Input	• Authorized User has entered earning activity data.		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
22.2		Output	• Authorized user has submitted earning activity data for editing.		
22.2	R1	Business Requirement	An authorized user will have the ability to view all of their data prior to submitting for editing.		
22.2	F1	Functional Requirement	The view of their data will include: • Each line item of data per employee; • Summary of data per employee; • Summary of entire report that is to be submitted.		
22.2	F2	Functional Requirement	An authorized user will have the ability to make changes to the entire report prior to submitting the report.		
22.2	F3	Functional Requirement	An authorized user will have the ability to select a line item and make changes to it prior to submitting the report.		
22.2	F4	Functional Requirement	If a line item or report is changed, all summary information must recalculate to reflect the changes.		
22.2	F5	Functional Requirement	An authorized user will have the ability to submit their earning activity data to be edited.		
22.2	M1	Message	Confirmation message that earning activity data has been sent for editing.		
22.3		Child Process	**Edit Earning Activity Data.** This process validates the submitted earning activity data against all of the defined business rules to ensure that data is accurate before committing it to the system.		
22.3		Input	• Authorized user has submitted earning activity data for editing.		
22.3		Output	• Earning activity data that has been validated against the business rules and: ○ Has been accepted and is ready to commit and/or		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ Has been accepted but there is a warning message sent back and/or ○ Has been rejected and the data is returned with a clear message why it was returned.		
22.3	R1	Business Requirement	The system will be able to edit the earning activity data based on defined business rules.		
22.3	R2	Business Requirement	The system will be able to return edit messages based on business rules. • Edit messages are currently under review and will be added at a later date.		
22.3	R3	Business Requirement	If authorized user tries to make a change multiple times but fails to complete the action, a notification should be sent to ESS to alert them that the employer may need assistance with reporting.	**Note:** Need to flush out to determine what this looks like. For example: how many tries do they get before abandoning it do we care to be notified?	
22.3	M1	Messaging	Edit Message notification.		
22.3	M2	Messaging	Notification to ESS alerting them employer needs assistance with reporting.		
22.3	F1	Functional Requirement	Edit messages will be categorized as follows: • **Confirmation Messages** – Messages where a change has been made to a members account. (I.e. Address Change, Name Change, etc.) • **Warning Messages** – The system cannot determine whether the data reported is correct or not, but it may be questionable. The system processes or ignores the transaction as reported, but generates an edit message to		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			notify the employer to review the data and determine if it is correct or not. • **Information Changed Messages** – The system can determine a transaction is in error and what the correct transaction should be. The system corrects the data and the transaction is processed. A message is issued to explain the adjustments made. (i.e. A Plan 1 member is reported in Plan 2. The system corrects and transfers the adjusted data to Plan 1.) • **Rejection Messages** – Data submitted is incorrect and not accepted. Must be fixed before resubmitting. • **Special Condition Messages** – These are messages where certain conditions are occurring for a member that need the employer to take action on. (i.e. 401(a) limits, DCP 457 limits, Return to Work (RTW) limits, etc.)		
22.3	B1	Business Rule	Data elements will be expected based on the type of data needed for a specific scenario. Some elements may be optional and some may be required depending on data element, system/plan, etc. See Reporting Scenarios Matrix.		
22.3	B2	Business Rule	If member is being reported with an elected official or Judges Benefit Multiplier (JBM) type code the system must check to see if we have been notified that the member is an elected official and that the elected official has opted into membership.	**Note:** 4/17/15 – This process is being looked at by RSD. The thought was the initial contact would be with us to send the letter and the forms and then the member would take them to the employer to enroll the member instead of the form coming to	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			All must be true. • Check the ELECTOFCL screen, must have a record for the member for that employer. • Response date must be populated with a date. • Membership Decision must be populated with a Y. If all not true, then employer will not be able to enroll the member. **Elected Officials:** • **09** - Elected state official • **10** - Elected county government official; including PERS non-JBM District Judge, Superior Court Judge, or Appeals Court Judge • **11** - Elected city government official; including PERS non-JBM Municipal Judge • **12** - Elected official of a port authority • **13** - Elected official of a public utility district • **14** - Elected official of the Washington Public Power Supply System • **15** - Elected official of a fire, conservation, irrigation, mosquito, sewer, water, or weed district • **16** - Elected official of a non-state government entity not covered by codes 10-15 • **59** - Elected PERS non-JBM Supreme Court Justice **Governor-Appointed Officials:**	us and then us contacting the employer to enroll the member.	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• **24** - State official appointed by the Governor (e.g., agency director) • **25** - Official appointed by the Governor to a state board, commission or committee **Judges Benefit Multiplier Program:** • **26** - PERS-JBM Court of Appeals or Superior Court Judge • **27** - PERS-JBM District Judge - Elected or appointed to a vacant elected position • **28** - PERS-JBM Municipal Judge - Elected or appointed to a vacant elected position • **29** - PERS-JBM Supreme Court Justice • **54** - PERS-JBM District Judge - Appointed to a non-elected position • **56** - PERS-JBM Municipal Judge - Appointed to a non-elected position		
22.3	B3	Business Rule	A member/participant must be enrolled in a system/plan with that employer before the employer can submit monthly earnings/contributions data.		All except HERP
22.3	B4	Business Rule	Employers will be able to enroll a member into Plan 3 and submit their rate option and investment manager without having to submit Defined Contributions.		Plan 3
22.3	B5	Business Rule	The Plan Choice data only applies to PERS, SERS, and TRS members.		PERS, SERS, TRS Plan 3
22.3	B6	Business Rule	The Plan Choice data needs to be submitted only one time per member per system.		Plan 3

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
22.3	B7	Business Rule	Employers must report employees' compensation and contributions for the month the compensation was earned not paid.		All except DCP and HERP
22.3	B8	Business Rule	Employers and Members are required to pay contributions based on the member's reportable compensation to fund the Retirement System. • Retirement Contributions • Reporting and Paying Contributions • Contributions and Federal Income Tax • Nontaxed Contributions and Employers • Nontaxed Contributions and Members • Plan 3 Contribution Rates • RCW 41.04.445 – Members' Retirement Contributions – Pick up by Employer – Implementation • RCW 41.04.450 – Members' Retirement Contributions – Pick up by employer – Optional Implementation and withdrawal • RCW 41.04.455 – Members' Retirement Contributions – Pick up by Employer – Conditions		All except DCP and HERP
22.3	B9	Business Rule	Contribution rates are assigned based on System/Plan and Employer Type. • Retirement Contribution Rate Tables		All except DCP and HERP
22.3	B10	Business Rule	Earnings that are reported over multiple contribution rate periods, must calculate based on each contribution rate in effect at the time the compensation was earned.		All except DCP and HERP
22.3	B11	Business Rule	PERS Plan 1 members can contribute extra contributions to their own employees' saving fund.	**Note:** State agency's pay through HRMS. Some employees pay by check. Does not come through	PERS 1

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• RCW 41.40.330 - Contributions • WAC 415-108-070 – Excess contributions to employees' savings fund.	transmittal, comes through GAP 34. Don't want a lot of work for this because it only applies to PERS 1 and not many people do it.	
22.3	B12	Business Rule	If a Plan 3 member changes employers or separates and returns to the same employer they must be given a 90 window to make a contribution rate change.		Plan 3
22.3	M3	Messaging	A notification will be sent to the member and the employer letting them know they the member has a rate change window of 90 days.		Plan 3
22.3	B13	Business Rule	If a Plan 3 member selected a graduated rate option B or C the employer must begin withholding the new contribution rate the month following the member turning that age. • Rate Option B: ○ 5% of pay until age 35 ○ 6% of pay age 35-44 ○ 7.5% of pay age 45 and above • Rate Option C: ○ 6% of pay until age 35 ○ 7.5% of pay age 35-44 ○ 8.5% of pay age 45 and above		Plan 3
22.3	M4	Messaging	A notification will be sent to the employer when the member reaches the next graduated rate option.		Plan 3
22.3	B14	Business Rule	Port districts and institutions of higher education must make both employer and state contributions for LEOFF 2 members.		LEOFF 2

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• RCW 41.26.450 – Port districts and institutions of higher education – Must make both employer and state contributions.		
22.3	B15	Business Rule	Member retirement contributions are subject to Internal Revenue Code (IRC) section 401(a)(17) limitations and must stop for the calendar year if the member's compensation exceeds the limit for the year. • WAC 415-02-752 – How does the department comply with Internal Revenue Code Compensation limit rules?		All except DCP and HERP
22.3	B16	Business Rule	Yearly IRC section 401(a)(17) limitations are updated each calendar year. • MCOMPTAB – Mainframe Table that identifies: ○ Yearly Compensation Maximum – Maximum salary that contributions can be withheld for the calendar year.		All except DCP and HERP

22.3	B17	Business Rule	A notification will be sent to the employer when a member is reaching the following IRC section 401(a)(17) limit threshold levels:
			• MCOMPTAB – Mainframe Table that identifies:
			  ○ Exceeded – Member has exceeded 100% of the compensation maximum. Contributions over 100% of the compensation maximum will be rejected.
			  ○ Yearly Comp – Approaching Level – Member is within 90% of the yearly compensation maximum.
			  ○ Yearly Comp – Warning Level – Member is within 80% of yearly compensation maximum.
					All except DCP and HERP

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
22.3	F2	Functional Requirement	Employers will be able to generate a report for a member nearing Compensation limits. The report will identify compensation that was paid for the calendar year and any compensation remaining that can have contributions withheld.	**Description:** This report should assist employers in identifying what compensation has been paid for the year and what remaining compensation is still subject to having contributions withheld.	All except DCP and HERP
22.3	B18	Business Rule	Members who have an entry date into a retirement system/plan or First Class City prior to 1/1996 are grandfathered and are not subject to the IRC section 401(a)(17) limits. • MCOMPTAB – Mainframe Table that identifies: ○ Grandfathered Exclusion Date		All except DCP and HERP
22.3	B19	Business Rule	If the member's entry date into a retirement system/plan is not prior to 1/1996 the system must check to see if they were a member of a first class city prior to 1/1996. • MBR Screen – MBR-FCC-ENTRY-DATE		All except DCP and HERP
22.3	B20	Business Rule	Member contributions received for a member who has exceeded IRC section 401(a)(17) limits will be rejected but compensation, hours, and employer contributions will be accepted.		All except DCP and HERP
22.3	B21	Business Rule	Employers who are reporting members who are nearing or exceeding the IRC section 401(a)(17) limits will have the ability to identify if earnings were paid in a prior year. This will assist the employer in adjusting what was actually paid in the year and subject to the limits for that year.	**Description:** Currently employers report compensation for a prior year because they either failed to report it in the calendar year they paid the member. Since the limits are based on as paid then they need to be able to adjust this so the "as paid" periods are correct.	All except DCP and HERP
22.3	B22	Business Rule	DCP Participant contributions are subject 457(e)(5) limits and must stop for the calendar year if the member has reached those limits. • WAC 415-501-420 – What are the annual deferral limits?		DCP

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• Annual Deferral Limits		
22.3	F3	Functional Requirement	DCP 457(e)(5) limits will need to have a table created to be maintained by the business users.		DCP
22.3	M5	Messaging	A notification will be sent to the employer, DCP team, and Trust Accounting when a DCP participant is reaching the following contribution threshold levels: • Exceeded – Participant has exceeded 100% of the yearly limit. Contributions over 100% will be rejected. • Approaching level – Participant is within 90% of the yearly limit. • Warning level – Participant is within 80% of the yearly limit.		DCP
22.3	B23	Business Rule	DCP Participant contributions reported for a participant who has exceeded 100% the 457(e)(5) limits will be rejected.		DCP
22.3	B24	Business Rule	Employers can contribute to a participants DCP account. • WAC 415-501-600 – Is my employer allowed to contribute to my deferred compensation account?		DCP
22.3	B25	Business Rule	Retirees who return to work will be reported based on the system/plan they retired from unless they are returning to an institution of higher education then they must be reported based on the higher education chart (Note substitutes are included in these charts for RTW): • LEOFF Plan 1 • LEOFF Plan 2 • PERS Plan 1 • PERS Plan 2 or 3 • PSERS Plan 2		All except, JRS, DCP and HERP

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• SERS Plan 2 or 3 • TRS Plan 1 • TRS Plan 2 or 3 • WSPRS Plan 1 • WSPRS Plan 2 • Higher Education		
22.3	B26	Business Rule	Rehired JRS members are not eligible to receive a retirement allowance if they are employed: • For more than eight hundred ten hours in a calendar year as a pro tempore judge; or • In an eligible PERS, SERS, TRS, or LEOFF (full-time and fully compensated) position. If a superior court who retired before June 7, 1990, has a pending case in which they made discretionary rulings may hear the pending case a judge pro tempore without having his or her retirement allowance suspended. • RCW 2.10.155 – Suspension of retirement allowance upon employment		JRS
22.3	B27	Business Rule	Rehired JRS members are eligible to continue receiving their retirement allowance if they are employed: • Less than eight hundred ten hours in a calendar year as a pro tempore judge; or • In an ineligible PERS, SERS, TRS, or LEOFF (not full-time or fully compensated) position.		JRS

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			○ RCW 2.10.155 – Suspension of retirement allowance upon employment		
22.3	B28	Business Rule	If a retiree is being reported in an eligible PERS, SERS, TRS, or PSERS position and their RTW hours for the year exceeds 567 a warning notification will be sent to the employer and the retiree.		
22.3	M6	Messaging	Notification to the employer and retiree that the retiree is nearing the RTW maximum of 867 hours for the year.		
22.3	B29	Business Rule	If a retiree who is under age 65 and chose the 2008 ERF returns to work a stop notification will be sent to the employer and the retiree.		
22.3	M7	Messaging	Notification to the employer and retiree that the retirees benefit will be stopped because they are a 2008 ERF retiree who is under age 65.		
22.3	B30	Business Rule	If an employer reports a begin date for a retiree who is under age 65 and chose the 2008 ERF and that date is rejected an escalation notification will be sent to the employer, ESS, and RSD to ensure that the begin date is reporting immediately so that the retirees benefit can be stopped timely.		
22.3	M8	Messaging	Notification to employer, ESS, and RSD that a begin date for a retiree who is under age 65 and chose the 2008 ERF has been rejected and needs immediate attention.		
22.3	B31	Business Rule	If a retiree is being reported in an eligible PERS, SERS, TRS, or PSERS position and their RTW hours for the year exceeds 867 a stop notification will be sent to the employer and retiree.		
22.3	M9	Messaging	Notification to the employer and retiree that the retirees benefit will be stopped because they have exceeded 867 hours. Notification will also request the employer to submit an Exceed Date to DRS.		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
22.3	B32	Business Rule	If a retiree who has RTW is exceeding 867 hours for the year the employer must submit the date the employee reached the 867 hours.		
22.3	B33	Business Rule	If an employer reports a begin date for a retiree who has returned to work prior the 30 day break in service an escalation notification will be sent to the employer, ESS, and RSD to ensure that the retiree can be billed appropriately.		
22.3	B34	Business Rule	Substitutes who have not retired must be reported as follows: • School Districts and Educational Service Districts • How to Report Substitutes to DRS- DRS Notice 04-001 • How to Report Substitutes to DRS- DRS Notice 01-001 Addendum	**Description:** A substitute* is defined as "a classified or certificated employee" who is employed as a substitute for an absent employee or is working in an ineligible position" for a school district or an educational service district. *TRS substitute teacher is defined as (see RCW 41.32.010(36): • Any teacher hired as a temporary teacher, except for teachers who are contract employees and are guaranteed a minimum number of hours; or • Any teacher who worked in an ineligible position for you and worked for another TRS employer in an eligible or ineligible position, or as a substitute. (How we administer this: If employee doesn't meet the hours for a Teacher the employer must report the member as a substitute regardless of the number of positions.)	

Process/Workflow Name: 22.0 Earning Activity

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				*SERS Substitute Employee is defined as (see WAC 415-110-010(9)) Any classified employee who is employed as a substitute for an absent employee or working in an ineligible position.	
22.3	B35	Business Rule	The system must allow an employer to report substitute employment prior to the 2004-2005 school year.	**Description:** Currently if an employer needs to report substitute time prior to 2004-2005 they have to submit a Quarterly Report to DRS. The new system should allow an employer to report all substitute periods electronically and not have to submit a Quarterly Report.	TRS
22.3	B36	Business Rule	The system must allow an employer to report substitute employment for the 2003-2004 school year.	**Description:** Currently if an employer needs to report substitute time for 2003-2004 they have to submit a Quarterly Report to DRS. The new system should allow an employer to report all substitute periods electronically and not have to submit a Quarterly Report.	SERS
22.3	B37	Business Rule	If an employer reports a begin date for a member in an eligible position who is being reported as a substitute the following must happen: • An end date must be added to the substitute period.	**Note:** Check with Mel to see how this will impact WESPAC. May need to check with WESPAC because their system does some of this.	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• The begin date month and any subsequent months where substitute time was reported needs to be automatically reversed and reported as eligible time. • Contributions will be billed for the time that is now considered eligible. • Any additional substitute time must be reported as eligible time.		
22.3	M10	Messaging	A notification will be sent to the employer letting them know they will be billed for the eligible time because the member is now in an eligible position.		
22.3	B38	Business Rule	A type code must be submitted for certain reporting scenarios. See Reporting Scenarios Matrix.	**Description:** Type Codes identify the type of employer an employee works for or the type of job an employee performs.	
22.3	B39	Business Rule	The following type code charts must be used in the order listed when determining what type code to use. 1. Retiree Returning to Work Charts – These charts include retirees returning to eligible, ineligible and substitute positions. a. LEOFF Plan 1 b. LEOFF Plan 2 c. PERS Plan 1 d. PERS Plan 2 or 3 e. PSERS Plan 2 f. SERS Plan 2 or 3 g. TRS Plan 1 h. TRS Plan 2 or 3		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			i. WSPRS Plan 1 j. WSPRS Plan 2 k. Higher Education 2. Substitute Reporting Chart – These charts are used to report substitutes. a. School Districts and Educational Service Districts b. How to Report Substitutes to DRS- DRS Notice 04-001 c. How to Report Substitutes to DRS- DRS Notice 01-001 Addendum 3. List of Type Codes By System – These charts are for reporting employees in one eligible position. 4. Employee's working in more than one system need to refer to the Plan Rules. (See Determine Eligibility Process as those business rules will determine what system plan the person working in more than one position must be placed in.)		
22.3	B40	Business Rule	A status code must be submitted for certain reporting scenarios. See Reporting Scenarios Matrix.	**Description:** Identify the status of the compensation, contributions, and hours or days being reported for a member. Only one status code can be reported per transaction. If more than one status code needs to be reported for a member, use additional transactions for each status code.	
22.3	B41	Business Rule	Different Status codes must be submitted based on Active, Retiree Return to Work, or Substitute statuses. See Appendix B – Status Codes to see status codes for all.	Status Codes have been consolidated and new ones added to meet the needs of the new system. See the old status codes as a comparison. • Active Member Status Codes	

Process/Workflow Name: 22.0 Earning Activity

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			Quick Reference: • Active Member Status Codes • Retiree Return to Membership Status Codes • Substitute Status Codes	• Retiree Return to Membership Status Codes • Substitute Status Codes	
22.3	B42	Business Rule	If a Status Code M2 through M4 is used and the contribution rate has changed during the reporting period the contribution rate must calculate correctly for each contribution rate period.		
22.3	B43	Business Rule	If position is a HERP professional position need to report the member as follows- Retirement Membership Options – Higher Education Non-Faculty, HERP-Eligible Positions.	**Note:** Seth is writing a position statement on possibly changing some of these rules.	HERP
22.3	B44	Business Rule	If position is a HERP faculty position need to report the member as follows – Retirement Membership Options – Higher Education Faculty, HERP-Eligible Positions.	**Note:** Seth is writing a position statement on possibly changing some of these rules.	HERP
22.3	B45	Business Rule	If a member has a choice between HERP and a DRS plan the employer must indicate the following within 30 days of hiring the member: • All data elements under the column "HERP/DRS Choice Column"		HERP
22.3	B46	Business Rule	A summary of certain data elements must be included with every report. • Compensation (Applies to – Retirement Activity) • Hours/Days (Applies to – Retirement Activity) • Employer Contributions (Applies to – Retirement Activity and HERP only) • Employee Contributions (Applies to – Retirement Activity and DCP)	**Note:** Are there any GASB requirements regarding summarizing data on a fiscal year cycle. Right now the employer has to build the report month by month.	

Process/Workflow Name: 22.0 Earning Activity

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			• Number of records submitted (all records employment, transfer, etc.) (Applies to Retirement Activity and DCP)		
22.3	B47	Business Rule	HERP Supplemental Fund data is only required at a summary level. • HERP Supplemental Fund Information		HERP
22.3	B48	Business Rule	See the **Determine Member Eligibility** Process for eligibility rules.		
22.3	B49	Business Rule	The system must monitor a member who is being reported in an eligible position to determine if their hours/days fall below the eligibility criteria for the system the member is reported in. See **Determine Member Eligibility Process** for eligibility requirements for all Systems.		
22.3	M11	Messaging	An annual notification will be sent to the employer to review the position to determine if it is now fallen to an ineligible status.		
22.3	B50	Business Rule	After 2 annual notifications to an employer to monitor the position an escalation notification will be sent to ESS and RSD to contact the employer.		
22.3	M12	Messaging	Escalation notification will be sent to ESS and RSD to contact the employer regarding position eligibility of the member.		
22.3	F4	Functional Requirement	A DRS Team member must have the ability to turn off the notifications after they have validated the position eligibility.		
22.3	F5	Functional Requirement	A DRS Team member must have the ability to add notes indicating what was discussed with the employer regarding position eligibility.		
22.3	B51	Business Rule	Reporting a member who is on a Temporary Duty Disability. • Reporting Rules		
22.3	B52	Business Rule	If a TRS 2 or 3 member is working concurrently for a school district and for a State agency and separates from employment with the		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			school district a notification must be sent to the state agency to stop reporting the member in TRS and begin reporting the member in PERS.		
22.3	M13	Messaging	Notification to state employer to begin reporting member in PERS and stop reporting member in TRS.		
22.3	B53	Business Rule	If a TRS 1 member is working concurrently for a school district and for a State agency and separates from employment with the school district the state agency employer must continue reporting the member in TRS 1.		
22.3	B54	Business Rule	If a PERS member is concurrently working in a LEOFF eligible position and separates from the LEOFF position the PERS employer will receive a notification to start reporting the member in PERS.	**Description:** If a member is concurrently working in a PERS and LEOFF position they are estopped from membership in PERS but when they separate the LEOFF position the PERS employer must start reporting the PERS position. In the new system with the eligibility process capturing that the member is estopped from PERS due to concurrent employment in LEOFF the system should retain this information and trigger a notification to the employer in the event that they separate LEOFF employment.	
22.3	M14	Messaging	Notification to PERS employer to begin reporting member in PERS now that they have separated LEOFF employment.		
22.3	B55	Business Rule	If a member is working concurrently in more than one system and plan the system must check the member's retirement status before sending notification to the employer to report a certain way.	**Description:** This would be looking at the LOGRET screen on MIS to see if an application has been logged for a member.	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
22.3	B56	Business Rule	If a concurrent member separates from one of the system and plans and they have a LOGRET created a notification should be sent to the employer where the member has not separated so that they are aware the employee is retiring and they can report the separation date as appropriate.		
22.3	M15	Messaging	Notification to employer that member has separated from other concurrent employer and is retiring.		
22.3	B57	Business Rule	See **Determine Member Eligibility Process** for additional concurrent membership reporting business rules.		
22.3	B58	Business Rule	The system will identify missing earnings for any open employment period for a member, substitute, and retired member and send a notification to the employer to report the missing earnings or separate the member.		
22.3	F6	Functional Requirement	The notification of missing earnings will be sent every quarterly after missing earnings have not been reported for all non Education/ESD employers and Non Higher Education employers until the missing earnings are reported or the member is separated.		
22.3	F7	Functional Requirement	The notification of missing earnings will be sent in October for the prior school years to all Education/ESD employers and Higher Education employers until the missing earnings are reported or the member is separated.		
22.3	M16	Messaging	Notification to employer to report missing earnings or separate member. Message must clearly identify what the periods of missing earnings are.		
22.3	B59	Business Rule	After the employer has received two notifications regarding missing earnings a notification will be sent to the member so they can work		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
			with their employer to fix their reporting. A notification will also go to the employer letting them know that the member has been instructed to contact them about the reporting.		
22.3	M17	Messaging	Notification to member instructing them to work with their employer to correct their reporting. Message must clearly identify what the periods of missing earnings are.		
22.3	M18	Messaging	Notification to employer letting them know that the member will be contact them regarding their reporting. Message must clearly identify what the periods of missing earnings are.		
22.3	B60	Business Rule	If a member has one of the following statuses and a separation date has not been reported for 90 days from the employers last report date a notification will be sent to the employer to report the separation date. • Retired – Open employment period is prior to retirement date. (exclude RTW periods) • Deceased • Disability Approved – DRVW-BRD-APRVL-FLAG is Y on TRKDISAP screen. • Withdrawal Pending		
22.3	F8	Functional Requirement	An employer must be able to submit a separation date for a member who has a Withdrawal Pending status.	**Description:** There are current system limitations that prevent an employer from submitting a separation date through WBET for a member who has a withdrawal pending. This limitation should not exist with the new system.	
22.3	M19	Messaging	Notification to employer to report separation date for member.		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
22.3	B61	Business Rule	If the employer has still has not reported a separation date for the member meeting one of the statuses above after 120 days, a notification will be sent to the member to follow up with their employer. Exception, if the member is deceased a notification should be sent to ESS to follow-up with the employer. A notification will also go to the employer letting them know that the member has been instructed to contact them about the reporting.		
22.3	M20	Messaging	Notification to member instructing them to work with their employer to submit their separation date.		
22.3	M21	Messaging	Notification to employer letting them know that the member will be contacting them regarding their separation date.		
22.3	M22	Messaging	Notification to ESS to follow-up with employer on a missing separation date for a deceased member.		
22.3	B62	Business Rule	If a member is reported on any B code for 24 months or more a notification will be sent on an annual basis to the employer to verify that the member is really on a B code or if they should be separated from employment.		
22.3	M23	Messaging	Notification to employer requesting that they validate reporting for a member on a B code for 24 months or more. Message must clearly identify what the periods of B code reporting are.		
22.3	F9	Functional Requirement	The employer must have the ability to add notes giving a reason why they may not be reporting the separation date, missing earnings, or why a member is on a B code for 24 months or more.	**Description:** Employers may not be reporting information for a reason therefore they should have the ability to explain what that is so that way we are not contacting and bugging them. However they will continue to receive an annual notification until the reporting is cleaned up.	

Process/Workflow Name: 22.0 Earning Activity

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
22.3	F10	Functional Requirement	An ESS team member will have the ability to turn off the notifications.		
22.3	F11	Functional Requirement	An ESS team member must have the ability to add notes giving a reason why they are turning off the notification.		
22.3	F12	Functional Requirement	If an employer erroneously reported a member as choosing Plan 2 when they actually chose Plan 3 they will have the ability to correct the member's choice to Plan 3.		
22.3	F13	Functional Requirement	If an employer erroneously reported a member as choosing Plan 3 when they actually chose Plan 2 they will not have the ability to correct the member's choice to Plan 2. They will need to contact ESS for assistance.	**Description:** ESS will work with RSD to do a plan transfer of the member's account and work with the Record Keeper for a valuation of the member's account.	

Appendix A – Record Type Data Element Matrix (Current Process with new data elements)

	New or existing Element?	Data elements Obsolete?	Summary Record	Member Profile	Employment	Defined benefit	Defined Contribution	Plan Choice
Record Type Identifier	Existing		X	X	X	X	X	X
Reporting Group Number	Existing		X	X	X	X	X	X
Reporting Period	Existing		X	X	X	X	X	X
Report Type	Existing		X	X	X	X	X	X
Report Version Number	Existing		X	X	X	X	X	X
Expected Monthly Reports	Existing		X					
Total Compensation	Existing		X					
Total Member Contributions/Deferrals	Existing		X					
Total Employer Contributions	Existing		X					
Total Hours	Existing		X					
Total Records Reported	Existing		X					
Total Days	Existing		X					
Social Security Number	Existing			X	X	X	X	X
Member/Participant Name Change Flag	Existing	Obsolete		X				
Member/Participant Last Name	Existing			X				
Member/Participant First Name	Existing			X				
Member/Participant Middle Name	Existing			X				
Member/Participant Name Extension	Existing			X				
Member/Participant Name Title	Existing			X				
Member/Participant Name Suffix	Existing			X				

Process/Workflow Name: 22.0 Earning Activity

	New or existing Element?	Data elements Obsolete?	Summary Record	Member Profile	Employment	Defined benefit	Defined Contribution	Plan Choice
Address Change Flag	Existing	Obsolete		X				
Address Line 1	Existing			X				
Address Line 2	Existing			X				
Address Line 3	Existing			X				
City	Existing			X				
State Code	Existing			X				
Zip Code	Existing			X				
Zip Extension	Existing			X				
Gender Code	Existing			X				
Birth Date	Existing			X				
System Code	Existing				X	X	X	X
Plan Code	Existing				X	X		
Type Code	Existing				X	X		
Begin Date (Employment Period)	Existing				X			
End Date (Employment Period)	Existing				X			
Leave Begin Date	Existing				X			
Leave End Date	Existing				X			
Control Number	Existing	Obsolete			X			
Organization Display	Existing	Obsolete			X			
Earning Period	Existing					X		
Status Code	Existing					X		
Hours	Existing					X		

Process/Workflow Name: 22.0 Earning Activity

	New or existing Element?	Data elements Obsolete?	Summary Record	Member Profile	Employment	Defined benefit	Defined Contribution	Plan Choice
Days	Existing					X		
Compensation	Existing					X		
Employer Contributions	Existing					X		
Defined Benefit Member Contributions	Existing					X		
Defined Contribution/Deferrals	Existing						X	
Taxed/Non-taxed Status	Existing	Obsolete					X	
Investment Program	Existing						X	
Rate Option	Existing						X	
Plan Choice Date or Transfer Date	Existing							X
Plan Choice	Existing							X
Deferral Temporary Suspended	Existing						X	
Province (Foreign)	New			X				
Country (Foreign)	New			X				
Postal Code (Foreign)	New			X				
Address Description (Domestic/Foreign)	New			X				
Email	New			X				
Email Type Description	New			X				
Phone Number (Domestic)	New			X				
Phone Number Description (Domestic)	New			X				
Foreign Phone Number (Foreign)	New			X				
Job Type	New							
Paid/Not Paid	New				X			

Process/Workflow Name: 22.0 Earning Activity

	New or existing Element?	Data elements Obsolete?	Summary Record	Member Profile	Employment	Defined benefit	Defined Contribution	Plan Choice
Accrual Begin Date	New				X			
Accrual End Date	New				X			
Leave Accrued Each Month	New				X			
Hourly Rate of Pay	New				X			
Contract	New				X			
HERP/DRS Plan Choice	New							X
HERP Position Type	New							X
DD214	New				X			
Exceed Date	New				X			

Appendix B – Status Codes

Active Member Status Codes:

Code	Description - Active Member	PERS		PSERS	SERS	TRS		LEOFF		JRS	WSPRS	
		1	2/3	2	2/3	1	2/3	1	2		1	2
A1 – New Code to add 1	For reporting a member for regular service base pay without overtime	X	X	X	X	X	X	X	X	X	X	X
A2 – New Code	For reporting a member with overtime earnings less than or equal to 2x the hourly rate of pay.	X	X	X	X	X	X		X	X	X	X
A3 – New Code	Reporting a member with overtime earnings more than 2x the hourly rate of pay.	X	X	X	X	X	X		X	X	X	X
B1 – New Code to add 1	Reporting a member on a Military Leave of Absence.	X	X	X	X	X	X	X	X	X	X	X
B2 – New Code	Reporting a member on an Authorized Leave of Absence (ALOA) or Authorized Part-time Employment for LEOFF.	X	X	X	X	X	X	X	X	X	X	X
B3 – New Code	Reporting a member on a Temporary Duty Disability	X	X	X	X	X	X	X	X	X	X	X
B4 – New Code	Reporting a member on a Disability Approved by the Disability Board.							X				
B5 – New Code	Reporting a member on Sabbatical Leave.					X	X					

Process/Workflow Name: 22.0 Earning Activity

Code	Description - Active Member	PERS		PSERS	SERS	TRS		LEOFF		JRS	WSPRS	
		1	2/3	2	2/3	1	2/3	1	2		1	2
B6 – New Code	Reporting a School District/ESD employee who is not working during the summer months.				X	X	X					
C	*Valid only for earning periods* from September 1983 through August 1990. For reporting a classified school district employee eligible for service credit in month when hours fell below 70 or 90 due to a scheduled school closure.	X	X		X							
D	*Valid only for earning periods of August 1989 and earlier*. For reporting a PERS higher education member eligible for service credit in month with a break in service.	X	X									
E	Not Using – Merged with B Code											
F	Not Using – Merged with B Code											
G	For reporting a TRS Plan 1 member working part time.					X						
H	*Valid only for earning periods of August 1990 and earlier*. For reporting a TRS member working as a substitute teacher.					X	X					
J	*Invalid code after December 1992 reporting period*. For reporting a member whose name had changed.	X	X			X	X	X	X	X	X	

Process/Workflow Name: 22.0 Earning Activity

Code	Description - Active Member	PERS		PSERS	SERS	TRS		LEOFF		JRS	WSPRS	
		1	2/3	2	2/3	1	2/3	1	2		1	2
K	*Invalid code after December 1992 reporting period*. For reporting a member's taxed contributions for a prior earning period when compensation and service had already been reported	X	X			X	X	X	X	X	X	
L	*Valid only for earning periods from January 1987 through August 1991*. For reporting a member in an eligible position who did not earn service credit and had zero contributions due.	X	X		X		X		X			
M1– New Code to add 1	For reporting a member's lump sum payment for a specific month; e.g., retroactive pay increase, court ordered back-pay settlements, longevity pay, lump sum bonus payments (if reportable).	X	X	X	X	X	X	X	X	X	X	X
M2 – New Code	For reporting a member's lump sum payments for a prior school year; e.g., retroactive pay increase, court ordered back-pay settlements, longevity pay, lump sum bonus payments (if reportable).	X-PERS ED	X-PERS ED		X	X	X					
M3 – New Code	For reporting a member's lump sum payments for a fiscal year; e.g., retroactive pay increase, court ordered back-pay settlements, longevity pay, lump sum bonus payments (if reportable).	X	X	X	X	X	X	X	X	X	X	X
M4 – New Code	For reporting a member's lump sum payment for a prior calendar year; e.g., retroactive pay increase, court ordered back-pay settlements, longevity pay, lump sum bonus payments (if reportable).	X	X	X				X	X	X	X	X

Code	Description - Active Member	PERS		PSERS	SERS	TRS		LEOFF		JRS	WSPRS	
		1	2/3	2	2/3	1	2/3	1	2		1	2
M4 – New Code	For reporting a member's lump sum payment for a period not defined under M1-M3; e.g., retroactive pay increase, court ordered back-pay settlements, longevity pay, lump sum bonus payments (if reportable).	X	X	X	X	X	X	X	X	X	X	X
N	Not Using – Merged with T Code											
P	Not Using – Merged with W Code											
Q	*Valid only for earning periods of December 1992 and earlier.* For reporting a PERS Plan 2 elected official who had compensation and contributions but no hours to report.		X									
R	Not Using – Merged with Y Code											
S	Not Using - Obsolete											
T	For reporting a lump sum cash out of vacation leave.	X				X					X	
U	Not Using – Merged with T Code											
V	Not Using – Merged with T Code											

Process/Workflow Name: 22.0 Earning Activity

Code	Description - Active Member	PERS		PSERS	SERS	TRS		LEOFF		JRS	WSPRS	
		1	2/3	2	2/3	1	2/3	1	2		1	2
W1 – New Code to add 1	For reporting lump sum cash out of sick leave. Is *not* used by state agencies or education employers.	X										
W2 – New Code	45 days of sick leave cashout for school district employees.	X – PERS ED			X	X	X					
X	Not Using – Merged with W Code											
Y	For reporting a lump sum cash out other than regular compensation, overtime, sick leave, vacation leave, sabbatical leave, or compensatory leave.	X				X						

Retiree Returning to Work (RRTW) Status Codes:

Code	Description - RRTW	Notes	PERS	PSERS	SERS	TRS
			P0	N0	E0	T0
A1 – New Code to add 1	For reporting a retiree for regular service base pay without overtime		X	X	X	X
A2 – New Code	For reporting a retiree with overtime earnings less than or equal to 2x the hourly rate of pay.		X	X	X	X
A3 – New Code	Reporting a retiree with overtime earnings more than 2x the hourly rate of pay.		X	X	X	X
B1 – New Code to add 1	Reporting a retiree on a Military Leave of Absence.		X	X	X	X
B2 – New Code	Reporting a retiree on an Authorized Leave of Absence (ALOA) or Authorized Part-time Employment for LEOFF		X	X	X	X
B3 – New Code	Reporting a retiree on a Temporary Duty Disability		X	X	X	X
B5 – New Code	Reporting a retiree on Sabbatical Leave.					X
B6 – New Code	Reporting a retiree who is a substitute who is not working but still employed with the school district or ESD to provide substitute services.				X	X

Process/Workflow Name: 22.0 Earning Activity

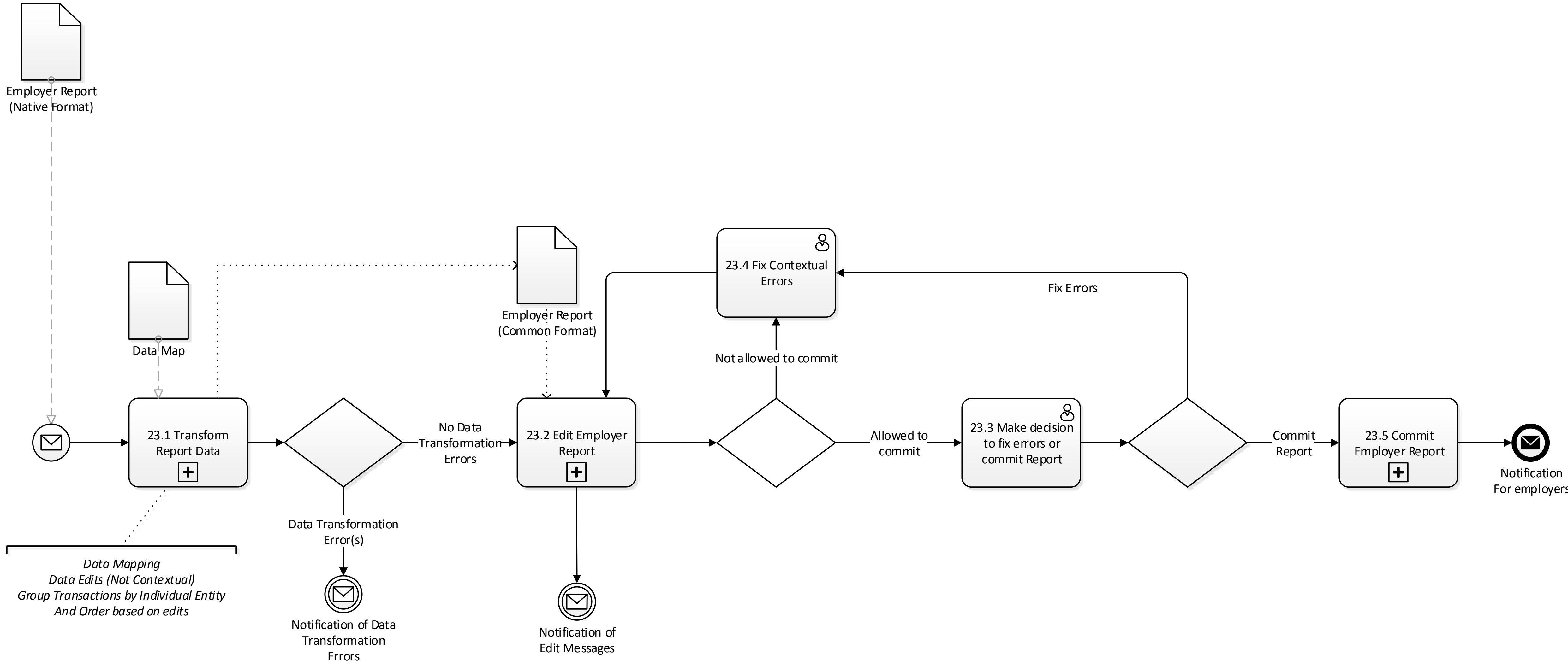
Code	Description - RRTW	Notes	PERS	PSERS	SERS	TRS
N	For reporting a retiree returning to work with lump sum cash out of vacation leave accrued during the retiree's new position.	Why do we report these for retirees?	X	X	X	X
P	For reporting a retiree returning to work with lump sum cash out of sick leave accrued during the retiree's new position.	Why do we report these for retirees?	X	X	X	X
R	For reporting a retiree returning to work with lump sum cash out other than for regular compensation, overtime, vacation leave, or sick leave accrued during the retiree's new position.	Why do we report these for retirees?	X	X	X	X
S	Not Using - Obsolete		X	X	X	X

Substitute (School Districts and ESD's) Status Codes:

Code	Description - SERS & TRS Substitutes	SERS	TRS	TRS
	Potential Member:	2/3	1	2/3
	Report In:	E0	T0	T0
A1 – New Code to add 1	For reporting a substitute for regular service base pay without overtime	X	X	X
A2 – New Code	For reporting a substitute with overtime earnings less than or equal to 2x the hourly rate of pay.	X	X	X
A3 – New Code	Reporting a substitute with overtime earnings more than 2x the hourly rate of pay.	X	X	X
B6 – New Code	Reporting a substitute who is not working but still employed with the school district or ESD to provide substitute services.	X	X	X
T	For reporting a substitute with a lump sum cash out of vacation leave.		X	
N	Not Using – Merged with T Code			
Y	For reporting a lump sum cash out other than regular compensation, overtime, sick leave, vacation leave, sabbatical leave, or compensatory leave.		X	
R	Not Using – Merged with Y Code			

Process/Workflow Name: 22.0 Earning Activity

Code	Description - SERS & TRS Substitutes	SERS	TRS	TRS
S	Not Using - Obsolete			



Employer Report (Native Format)
Data Map
23.1 Transform Report Data
Data Mapping
Data Edits (Not Contextual)
Group Transactions by Individual Entity
And Order based on edits
Data Transformation Error(s)
Notification of Data Transformation Errors
No Data Transformation Errors
Employer Report (Common Format)
23.2 Edit Employer Report
Notification of Edit Messages
23.4 Fix Contextual Errors
Not allowed to commit
Allowed to commit
23.3 Make decision to fix errors or commit Report
Fix Errors
Commit Report
23.5 Commit Employer Report
Notification For employers

Process/Workflow Name: 23.0 Process Employer Report

Process Description: This process provides a function for employers to submit member profile information, employment information, defined Benefit information, defined contribution information, plan choice information, pension plan information, DCP, and HERP information.

Disclaimer: Workflows and requirements are subject to change as additional requirements are flushed out through the analysis process.

User Stories for Process Employer Report processes:

1) As an authorized user, I would like the ability to create my data map, so that my data is understandable by the system.
2) As an authorized user, I would like the ability to use my data map, so that I can submit my member profile information, pension plan information, DCP, and HERP information.
3) As an employer, I would like the ability to validate my data, so that I can correct any errors before committing my data.
4) As an employer, I would like the ability to commit my data, so that my member profile information, pension plan information, DCP, and HERP information is put into DRS's system.
5) As an authorized user, I would like the ability to view all notifications, so that I may correct (or help correct) whatever is causing the error.
6) As an authorized user, I would like the ability to click on an edit message and drill down into the data to see and fix the data causing the error.

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
23.0		Parent Process	**Process Employer Report**. This process provides a function for employers to submit member profile information, employment information, defined Benefit information, defined contribution information, plan choice information, pension plan information, DCP, and HERP information.		

Process/Workflow Name: 23.0 Process Employer Report

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
23.0		Input	• Employer submits a report (native format) • Employer's Data Map	• Report will be in "native format" which means the data will be organized in the employer's format, not in a common format that conforms to DRS systems. (in contrast to current process where employer's submit reports in couple different formats using SFT) • Data that is submitted via the interactive business process (such as WBET in our current environment) will be in common format and not need to go through data mapping process.	

23.0		Output	• Notification with:
			  ○ data transformation errors or
			  ○ edit messages and/or
			  ○ Processing edit messages about the status of the committed data.
			• Report mapped to common format.
			• Data is committed to the system.
				When the data is committed to the system, it means that it will populate the required fields in our system for that transaction.	

23.0	R1	Business Requirement	• Authorized users will be able to create data maps.		
23.0	R2	Business Requirement	• Authorized users will not be able to submit reports until previous report has been processed.	Processed means the data has been reconciled with the money.	DCP only
23.1		Child Process	**Transform Report Data.** Report will be in "native format" which means the data will be organized in the employer's format, not in a common format that conforms to DRS systems. The system will use the employer's data map to translate the report so the system is able to accept the data.		

Process/Workflow Name: 23.0 Process Employer Report

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
23.1		Input	• Employer submits a report (native format) • Employer's data map		
23.1		Output	• Employer Report in a common format with transactions grouped together by SSN and put in order according to our business rules with no transformation errors. • Notification with data transformation error message		
23.1	R1	Business Requirement	Authorized users will be able to maintain their data map definitions and modify when needed.		
23.1	R2	Business Requirement	Data rules will be run against the report to make sure the required data is submitted and is in the correct format.	These rules are establishing that we have the required data needed and the data is in the correct format (ex SSN# = 9 numbers).	
23.1	R3	Business Requirement	Submitted data will be ordered based on business rules.	For example an enrollment transaction would come before a transaction reporting compensation or hours.	
23.1	F1	Functional Requirement	If there are errors during the transformation process, the report will not be put in a common format and notification with all the data transformation errors will be sent to the employer.	We would like to include an edit that would help identify if a report being sent in is for the correct employer. We have multiple people that report for more than one agency and sometimes the reports get mixed up and the wrong data gets submitted for an employer.	
23.1	R4	Business Requirement	Authorized users will have the ability to see the notifications with the data transformation errors.		
23.1	M1	Messaging	There were errors, the report did not get mapped, please fix.		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
23.2		Child Process	**Edit Employer Report.** The report is in a common format and will be run through the appropriate rules engine which will contain the business rules for the data. Each transaction will be ran through this phase until there are no more transactions for that employer report. Notification will be created with the edit messages for the transactions that did not meet the required business rules.	As per team discussion on November 6, 2014, we will include edit messages for DCP. Currently employers do not see those edit messages but in this system they will.	
23.2		Input	• Employer Report in a common format with transactions grouped together by SSN and put in order according to our business rules with no transformation errors.		
23.2		Output	• Notification with the edit messages for the transactions that did not meet the required business rules. • Notification there are no edit messages.		
23.2	R1	Business Requirement	Authorized users will be able to access the notification with the edit messages.	As per team discussion, Employers and DRS team members will receive edit messages (as set by requirements or preferences). The specific edit messages for the data will be defined in the Earning Activity Process.	
23.2	M1	Messaging	Edit messages that describe the contextual errors.		
23.3		Child Process	**Make decision to commit report or fix contextual errors.** The employer will decide if they want to commit the report so that the data is sent to DRS or address the edit messages and fix the errors.		
23.3		Input	• Employer Report in a common format with transactions grouped together by SSN and put in order according to our business rules.		

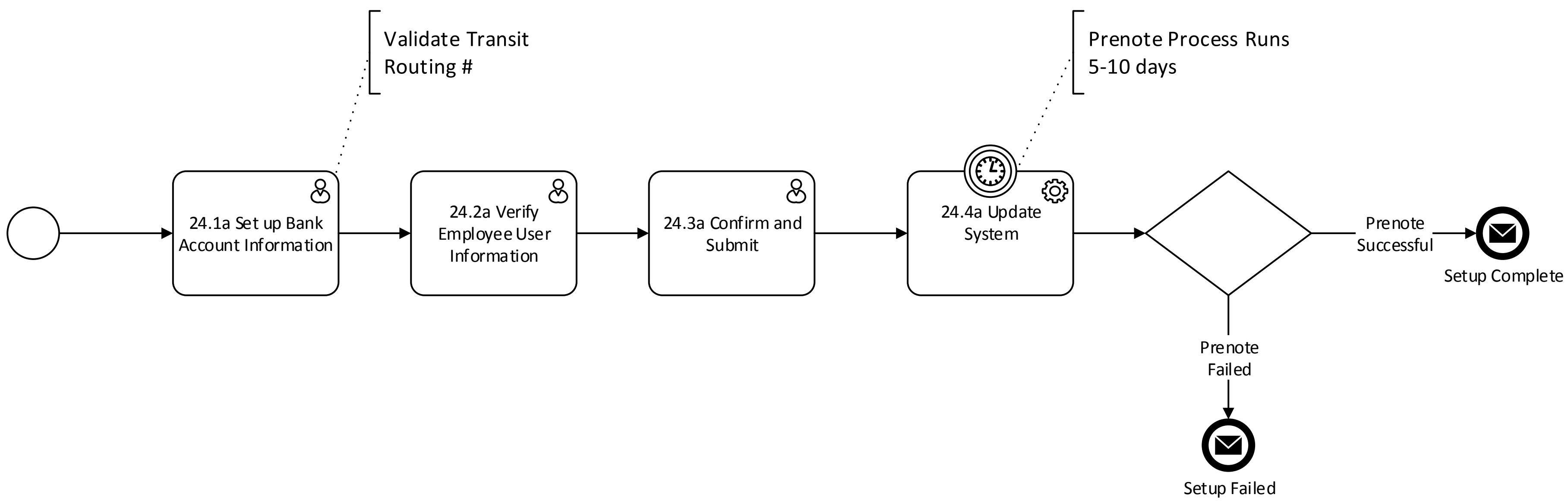
Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
23.3		Output	• Chose option to commit the employer report. • Opted (by choice or required) to address the edit messages and fix the errors.	We will need to revisit this section once the team has the discussion regarding what, if any, bad data will be allowed. These discussions will be done during the Earning Activity Process.	
23.3	R1	Business Requirement	Employers will have the ability to either commit the report or address the edit messages and fix the errors.		
23.3	R2	Business Requirement	If the employer decides to address the edit messages and fix the errors, the data will not be committed to DRS System.		
23.3	R3	Business Requirement	Authorized users will be able access the notification with the edit messages.		
23.3	R4	Business Requirement	Authorized users will be able to view and sort edit messages by all data elements.	Make sure this is also in member lookup.	
23.3	B1	Business Rule	New employers will not be allowed to commit a report until DRS has approved.	Required to test their information and fix errors.	
23.3	B2	Business Rule	If employers update their data map they will not be allowed to commit a report until DRS has approved.	Required to test their information and fix errors.	
23.3	B3	Business Rule	If employers update their service organization they will not be allowed to commit a report until DRS has approved.	Required to test their information and fix errors.	
23.3	B4	Business Rule	If employers update their vendor they will not be allowed to commit a report until DRS has approved.	Required to test their information and fix errors.	
23.3	R5	Business Requirement	DRS team members will be able to restrict employers from committing reports.	This means that DRS team members will be able to control when an employer is required to submit reports for testing (for example new employers will be required to test before committing) and also have the capability to remove the restriction and allow the employer to commit the report.	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
23.3	R6	Business Requirement	DRS team members will be able to remove the restriction and allow employers to commit reports.		
23.3	R7	Business Requirement	Employers will be able to set a preference on when to commit the report.	Employers will be able to preset a preference on when they would like to commit their report. These thresholds (for example: always submit, only submit when……, never submit when…) will be determined when we work on the Earning Activity Requirements.	
23.3	B5	Business Rule	Preferences for committing a report do not override the other requirements of when employers are not allowed to commit a report (for example new employers, employers that update service organization etc.)		
23.3	F1	Functional Requirement	Notify (on screen) employers the reason they are not allowed to commit a report.	Text: Committing the report is not available to you at this time. Please …..correct errors, submit your first report for testing..etc	
23.4		Child Process	**Fix Contextual Errors.** Authorized users will have the ability to access the edit message notification, address the edit messages and fix the contextual errors.		
23.4		Input	• Employer Report in a common format with transactions grouped together by SSN and put in order according to our business rules with associated edit messages based on the contextual errors. • Decision to fix errors • Required to fix errors		
23.4		Output	• Errors corrected in report		
23.4	R1	Business Requirement	Authorized users will be able to click on an error message from the notification, drill down into the data to see what caused the error and be able to fix the data causing the error and submit the information.		

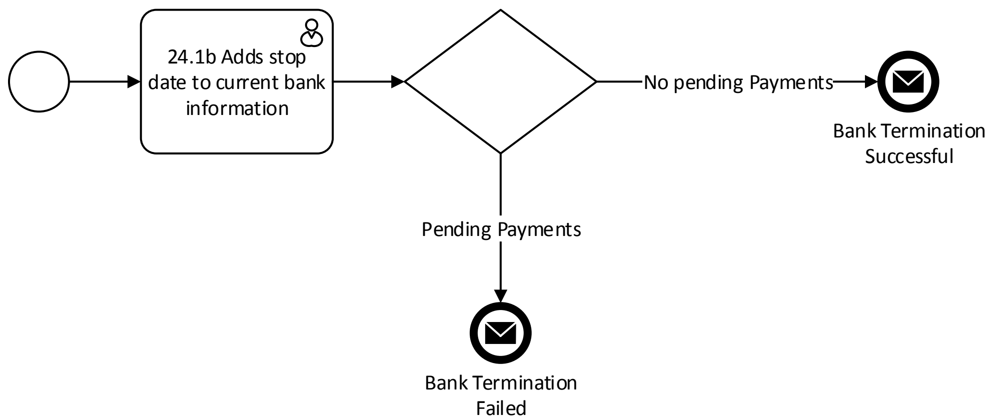
Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
23.5		Child Process	**Commit Employer Report.** The types of notification that could result from this phase are a confirmation the data was committed or an error message that it was rejected due to a processing issue. There is no check against business rules in this phase.		
23.5		Input	• Committed employer report in a common format with transactions grouped together by SSN and put in order according to our business rules with or without associated edit messages based on the contextual errors.		
23.5		Output	• Notification with the details about the status of the committed data.		
23.5	F1	Functional Requirement	Data is committed to the system.		
23.5	M1	Messaging	Employer is notified if there are any errors while committing the data.		
23.5	M2	Messaging	Employer is notified when report is submitted successfully.		

Under Construction – Requirements from Original Project *(Renumbered)*

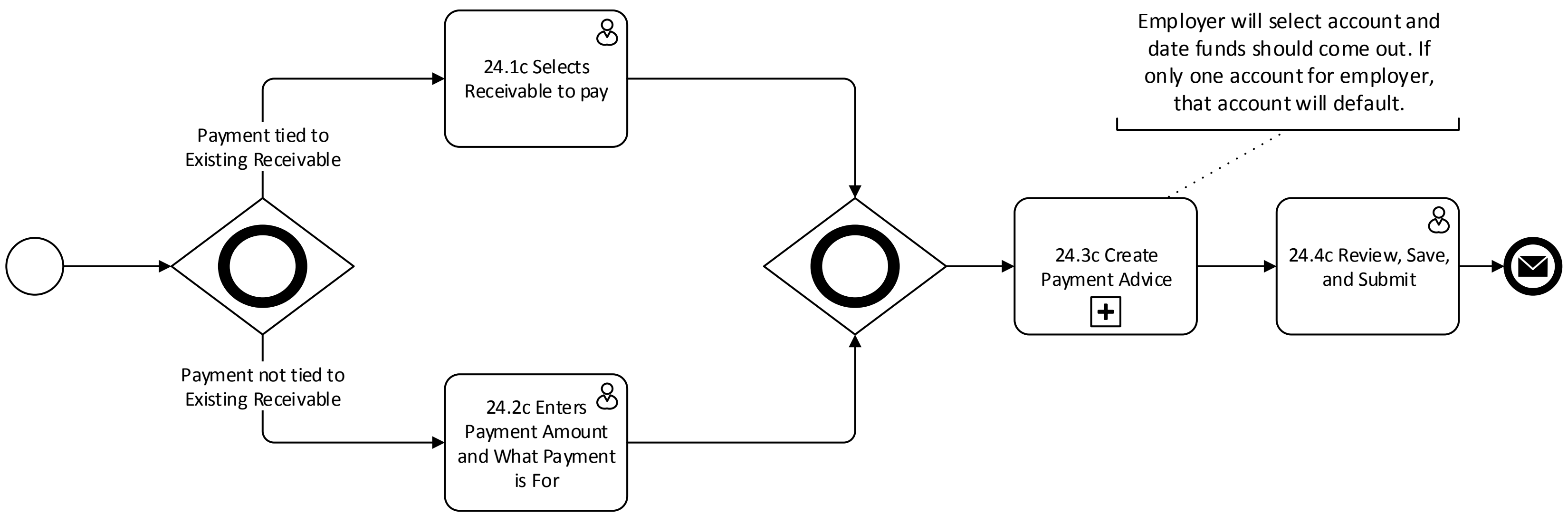
Creating Authorization for Electronic Payments



Stopping Bank Authorization for Electronic Payments



Submitting Electronic Employer Payments



Process/Workflow Name: 24.0 Process Employer Electronic Payments

Process Description: This process facilitates the employer setting up banking information and making an electronic payment to DRS.

Disclaimer: Workflows and requirements are subject to change as additional requirements are flushed out through the analysis process.

User Stories for Process Employer Electronic Payments processes: Under Construction

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
24.0		Parent Process	**Process Employer Electronic Payments.** This process facilitates the processing of employer electronic payments and submitting of those payments to DRS.	Policy ASD-TA-2 Policy ASD-TA-4	
24.0		Input	The employer accesses the system to: • Add a bank account. • Stop a bank account. • Make an electronic payment.		
24.0		Output	The following outputs can occur: • Bank account is setup in the system. • Bank setup successful message. • Bank setup failure message. • Bank terminated in system. • Bank termination successful message. • Bank termination failure message. • Submission of electronic payment. • Electronic payment successful message.		
24.0	F1	Functional Requirement	The authorized employees of an employer should be able to access the system and make changes to add banking information, cancel a bank account, and submit an electronic payment.		

Process/Workflow Name: 24.0 Process Employer Electronic Payments

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
24.0	B1	Business Rule	Only authorized employees of employers can make changes to the employers bank information and submit payments to DRS.		
24.0	B2	Business Rule	Employee authorization to use the employer electronic payment system will be setup through the modify users process.		
24.0	T1	Text	The system will provide the employer with help text to assist them with using the Electronic Payment System.		
24.0a		Parent Process	**Creating Authorization for Electronic Payments.** This process facilitates the setup of banking information.		
24.0a		Input	The employer accesses the system to: • Add a bank account. • Update failed bank account information.		
24.0a		Output	The following outputs can occur: • Bank account is setup in the system • Setup bank account information successful message. • Setup bank account information failed message.		
24.0a	R1	Business Requirement	The system should keep a history log of changes made to banking information. That log should track: • When change was made. • Who made the change. • What the change was.		
24.1a		Child Process	**Set up Bank Account Information.** This process facilitates the employer entering bank account information into the system.		
24.1a		Input	Employer accesses the system to setup a bank account.		
24.1a		Output	The following outputs can occur: • Bank account information is setup		

Process/Workflow Name: 24.0 Process Employer Electronic Payments

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
24.1a	F1	Functional Requirement	The employer should be able to retrieve saved bank information, update, and submit to DRS.		
24.1a	R1	Business Requirement	The employer should be able to setup one bank account per report group (i.e. PERS, SERS, DCP, etc.).	Bank Account Authorization for EPAY Form DRS E 195 (R3/09)	
24.1a	R2	Business Requirement	If prenote of bank account information fails, the employer should be able to go back into the record to correct it and resubmit it to DRS.		
24.1a	D1	Data	Account Type: • Checking • Savings		
24.1a	D2	Data	Department # - Employer should be able to pick from a list of report groups that they have assigned to them. If more than one report group they should be able to choose all report groups that the bank account should be setup for. If they only have one report group that report group should default.	It was suggested that we possibly give the employer the option to assign a nickname to each account they setup.	
24.1a	D3	Data	Bank Name	Need to determine back out process if bank name is different (i.e. bank changed their name and our system still reflects old bank name).	
24.1a	D4	Data	Transit Routing Number – Employer should be able to enter a transit routing number that is 9 numeric characters in length.		
24.1a	D5	Data	Account Number – Employer should be able to enter an account number up to 17 numeric characters in length.		
24.1a	D6	Data	Verify Account Number – Employer should be able to verify the account number they entered. The account numbers must match.		
24.1a	D7	Data	Effective Date – The employer should be able to enter a future MM/DD/YYYY effective date.	If effective date is more than X months in the future display a warning message.	
24.1a	B1	Business Rule	The employer should not be able to enter a past effective date.		

Process/Workflow Name: 24.0 Process Employer Electronic Payments

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
24.1a	B2	Business Rule	The employer should not be able to enter an effective date prior to the stop date of a previous bank authorization.	Currently the system requires that the effective date be at least the day after the stop date of the previous authorization.	
24.1a	B3	Business Rule	If the effective date has not arrived or the bank authorization was rejected in the prenote process, allow the employer to make changes to the bank account record and resubmit to DRS.	The prenote process does not run until the effective date has arrived.	
24.1a	B4	Business Rule	Transit Routing Number – The transit routing number should be validated before the employer submits the bank information to DRS.	EFT Screen – under Maintain EFT Institution Info	
24.1a	B5	Business Rule	Once the transit routing number is populated and validated the bank name should populate.		
24.2a		Child Process	**Verify Employee User Information.** This process facilitates the verification of the employees who will be using the electronic payment system.		
24.2a		Input	Bank Account information is setup.		
24.2a		Output	Employer verified users of the electronic payment system.		
24.2a	F1	Functional Requirement	The employer should be able to confirm the users of the electronic payment system.	Employee Authorization for EPAY Form DRS E 196 (R 3/13)	
24.2a	F2	Functional Requirement	The employer should be able to link to the modify user process to update/add users if they are incorrect.		
24.3a		Child Process	**Confirm and Submit.** This process facilitates the confirmation and submission of the bank account information to DRS.		
24.3a		Input	Users of the electronic payment system have been verified.		
24.3a		Output	Employer confirms bank account information and users of the electronic payment system and submits to DRS.		
24.3a	F1	Functional Requirement	The employer should be able to review bank information entered.		

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
24.3a	F2	Functional Requirement	The employer should be able to review users of the electronic payment system.		
24.3a	R1	Business Requirement	The employer should be able to save the entered information and submit at a later date.		
24.3a	R2	Business Requirement	The employer must confirm the information prior to submitting to DRS.		
24.3a	M1	Messaging	Employer should receive a message confirming successful submission of bank information. That message should include information regarding the prenote process (5-10 days) and that they will receive notification of when they can start submitting electronic payments to DRS.	Ensure message regarding when prenote process starts.	
24.4a		Child Process	**Update System.** This process should facilitate the updating of the bank information in the system and the validation that that bank information is accurate.		
24.4a		Input	Employer submitted bank information to DRS.		
24.4a		Output	The following outputs can occur: • Bank account is setup in the system • Setup bank account information successful message. • Setup bank account information failed message.	There are several reports that are worked related to the setup of employer bank information. Not sure if we will need them with the new system: • **EOS RPT RSYT "E-Payment Daily ACH Transmission Process Organization ADP Account Prenote Extract Report"** – When a bank account is setup for an employer on ORGACCT it shows up on this report. • **EOS Form RSYX "E-Payment Daily ACH Transmission Process Organization ADP Accounts That Have Passed Their Prenote**	

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
				Period" – Trust account sends a letter with a copy of the bank authorization form to the employer notifying them that the prenote process is complete. • **EOS Form RSA4 "E-Payments Daily ACH Correction/Returns Process Prenotes/Corrections Detail Report"** – This report will provide a reason for the prenote rejection. The account is then researched to determine if it was a keying error on our part. If it is not a keying error, fiscal will contact the employer to determine the correct account information. If fiscal determines that the prenote process is not necessary after the account is corrected, they can change the status code to "C= Corrected Active Account (No Prenote)."	
24.4a	F1	Functional Requirement	The bank account information should populate the system.	Currently the bank information populates the mainframe on ORGACCT.	
24.4a	F2	Functional Requirement	Prenote process should run. Typically takes 5-10 days.		
24.4a	B1	Business Rule	When bank information is initially populated in the system the status code should be "P = Prenote Process Requested."		
24.4a	B2	Business Rule	If the prenote process fails the status code should change to "R = Prenote/Account Rejected."		

Process/Workflow Name: 24.0 Process Employer Electronic Payments

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
24.4a	B3	Business Rule	If the prenote process is successful the status code should change to "E = EFT Ready."		
24.4a	M1	Messaging	If prenote process fails, send message to employer with reason for failure and where to go to correct the bank information.		
24.4a	M2	Messaging	If prenote process is successful, send message to employer informing them that they may begin submitting electronic payments to DRS.		
24.0b		Parent Process	**Stopping Bank Authorization for Electronic Payments.** This process facilitates the termination of an existing bank account so the employer can setup a new account.		
24.0b		Input	Employer accesses active bank account record and enters a stop date.		
24.0b		Output	The following outputs can occur: • Payment pending unable to stop account. • Bank account is stopped in the system. • Stop bank account successful message. • Stop bank account failed message.		
24.1b		Child Process	**Adds stop date to current bank information.** This process facilitates the stopping of bank account information.		
24.1b		Input	Employer accesses active bank account record and enters a stop date.		
24.1b		Output	The following outputs can occur: • Payment pending unable to stop account. • Bank account is stopped in the system. • Stop bank account successful message. • Stop bank account failed message.		
24.1b	D1	Data	The employer should be able to enter a future MM/DD/YYYY stop date.	If stop date is more than X months in the future display a warning message.	

Process/Workflow Name: 24.0 Process Employer Electronic Payments

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
24.1b	F1	Functional Requirement	The bank account stop date should populate the system.		
24.1b	B1	Business Rule	The employer should not be able to enter a stop date for a period where a pending payment is coming out of that bank account.		
24.1b	M1	Messaging	Upon successful stopping of the bank account, the system should send a message to the employer letting them know their bank account has been stopped and they can now enter a new bank account record.		
24.1b	M2	Messaging	If employer has a pending payment and they are trying to add a stop date to the bank account record they should receive a message that they must wait until the payment has processed.		
24.0c		Parent Process	**Submitting Electronic Employer Payments.** This process facilitates the submission of electronic payments to DRS.		
24.0c		Input	Employer accesses the system to make a payment.		
24.0c		Output	The payment is set up and submitted to DRS.		
24.0c	F1	Functional Requirement	The employer should be able to select an existing receivable and make a specific payment in one transaction without having to make multiple transactions.	Business would like the functionality for an employer to make a payment for Plan 3 when they submit a correct report. Currently the system prevents the employer from doing this electronically if they have a reconciled report for the same month they are submitting a correction report.	
24.0c	F2	Functional Requirement	The employer should be able to retrieve saved payment information, update, and submit to DRS.		
24.0c	F3	Functional Requirement	The employer should be able to stop an electronic payment up to two days before the payment date.	Two days prior to the payment date the process starts and the payment cannot be stopped.	
24.0c	B1	Business Rule	The employer should not be able to submit a payment until the prenote process is complete.		

Process/Workflow Name: 24.0 Process Employer Electronic Payments

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
24.1c		Child Process	**Selects Receivable to pay.** This process facilitates the employer selecting an existing receivable to pay.		
24.1c		Input	Employer accesses the system to make a payment.		
24.1c		Output	Employer has selected a receivable to pay.		
24.1c	F1	Functional Requirement	The employer should be able to sort their existing receivables and change the view of their existing receivables.	The employer should be able to display their information how they want to see it.	
24.1c	B1	Business Rule	Only existing receivables will display.	MONACCT shows all existing receivables except Plan 3 member and DCP are not on MONACCT. In the future it would be nice to add this information so employers will see a complete view of their receivable history.	
24.1c	B2	Business Rule	If employer selects a receivable to pay they should be able to change the amount they pay toward that receivable.	Design consideration – Allow the employer to select the option to pay the whole amount or key in a specific dollar amount.	
24.2c		Child Process	**Enters Payment Amount and What Payment is For.** This process facilitates the employer in entering a specific payment amount and identifying what that payment is for.		
24.2c		Input	Employer access the system to make a payment.		
24.2c		Output	Employer has entered an amount to pay and what the payment is for.		
24.2c	B1	Business Rule	If employer chooses to pay a specific amount only they must indicate what the payment is for (i.e. Month/Year report or Bill # XXX) and what system/plan it should be applied to.		
24.2c	B2	Business Rule	If payment is for Plan 3 member contributions, the employer must indicate the investment manager it is for.		

Process/Workflow Name: 24.0 Process Employer Electronic Payments

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
24.2c	B3	Business Rule	If employer submitted a new Month/Year report to DRS they should be able to pull the summary (balance due) information over to make a payment.	Earning activity data that has been submitted but a receivable has not been created yet.	
24.3c		Child Process	**Create Payment Advice.** This process facilitates the creation of the payment advice that is submitted to DRS.		
24.3c		Input	Receivable selected and/or payment amount entered.		
24.3c		Output	Payment advice created.		
24.3c	F1	Functional Requirement	The system should create a payment advice based on the selected receivables or payment amount entered.	• Higher Education Retirement Plan (HERP) Payment Advice DRS F 398 (11/11) • Payment Advice Plan 1 & 2 DRS MS 136 (R 04/06) • Payment Advice DCP DRS D 127 (R 03/04) • Payment Advice Plan 3 DRS MS 137 (R 02/07)	
24.3c	F2	Functional Requirement	The employer should be able to pick which bank they want each transaction to come from. If only one bank is established for the employer, that bank should automatically default.		
24.3c	F3	Functional Requirement	The employer should be able to select the date the payment should be withdrawn from their account.	If the employer selected a specific receivable, should display a warning message if payment date is after the due date of the invoice letting them know that interest will accrue after the due date. Policy ASD-AR-12	
24.3c	B1	Business Rule	The payment date must be at least two business days from current date.		
24.4c		Child Process	**Review, Save, and Submit.** This process facilitates the reviewing, saving, and submitting of an electronic payment.		
24.4c		Input	Payment advice created.		

Process/Workflow Name: 24.0 Process Employer Electronic Payments

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
24.4c		Output	The following outputs can occur: • Successful submission message. • Submission of electronic payment. • Employer saved information to submit at a later date. • NSF message. • Successful payment message.		
24.4c	F1	Functional Requirement	The employer should be able to review payment information entered.		
24.4c	F2	Functional Requirement	The employer should be able to save the entered information and submit at a later date.		
24.4c	F3	Functional Requirement	The employer should be able to print a PDF version of their payment advice.		
24.4c	M1	Messaging	Upon the employer submitting their payment information to DRS they should receive a successful submission message.		
24.4c	M2	Messaging	Upon pulling money from bank account if there is nonsufficient funds (NSF) the system should send a message to the employer.		
24.4c	M3	Messaging	Upon successfully pulling money from the bank the system should send a message to the employer.		

Under Construction – Requirements for Process have not been defined.

Process Description: XXX

Disclaimer: Workflows and requirements are subject to change as additional requirements are flushed out through the analysis process.

User Stories for Logout processes:

1)

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
X.0a		Parent Process	**<insert process name>** <provide description of process>		
		Input	• <Insert Inputs>		
		Output	• <Insert Outputs>		
X.1		Child Process	**<insert process name>** <provide description of process>		

No workflow for this process

Process Description: These are global system requirements.

Disclaimer: Workflows and requirements are subject to change as additional requirements are flushed out through the analysis process.

Process #	Req. #	Req. Desc.	Business Requirements and Rules	Notes	System Plan
26.0	R1	Business Requirement	The employer reporting application should provide help (on screen, field level, and page level).		
26.0	R1	Business Requirement	Password requirements must meet the policies outlined by OFM.	http://ofm.wa.gov/ocio/policies/documents/141.10.pdf (Specifically the Access Security Section)	
26.0	R3	Business Requirement	The system will follow the policies outlined by DRS.	Policy DRS-ISD-ITS-11	
26.0	R4	Business Requirement	The employer reporting application will need to interface with SAW to sync databases.	SAW keeps the following data elements: • User ID • Email Address • Name • Password	
26.0	R5	Business Requirement	The ability to gather feedback from users regarding the system and process.	Per Rachel 7/18	