

Appendix B – Agency Profile and Technology Infrastructure

A. Introduction

The purpose of this Appendix is to provide key information about the DRS systems, customers, volumes, and other data useful to potential Bidders in assessing the Employer Reporting Application endeavor.

DRS Demographics

Employees (Full Time Equivalencies)	
Non-IT	167
IT	59
Total	226
External Customers As of 6/30/2012	
Employers	1,300
Active Members	293,279
Retirees or Inactive Members	188,645
PC's and Servers	
PC'S	295
Servers	80

B. Employer Handbook

The Employer Handbook provides the background and instructions for all aspects of DRS reporting for public employers in Washington State. Importantly, it provides guidance and instructions for enrolling new employees into the appropriate system and reporting employment data during the course of their tenure with the employer. The Handbook is also an excellent resource document to better understand the current reporting requirements and methods. The full document exceeds 600 pages. For those who would find it valuable, a PDF version of the full manual is located at

<http://www.drs.wa.gov/rfp/current-rfps/13-002/employer-handbook.pdf>.

C. Statistical Information about Customer and Transaction Volumes

The Number of Employers between the years 2009 – 2012 has reached a low of 1,314 and a high of 1,337.

Employer Types: June, 2013

Employer Type	#
Cities	237
County Subdivisions	183
Counties	40
Educational [Services] districts	9
Fire Districts	159
First Class Cities	11
Interlocal Agreement Districts	4
Port Districts	50
Public Utility Districts	28
School Districts	295
State Educational	2
State Education - Colleges	30
State Education - Universities	6
State Instrumentality	1
State Agency – Non-educational	132
Unions	3
Washington Public Power Supply	1
Water Districts	125
Total	1,316

Numbers of Employees in Each Retirement Plan (June 2013)

Plan/Category	# of Employees
Plan 1	17,453
Plan 2	278,867
Plan 3	134,042
Return to Work	13,321
Substitute [Teachers]	117,881
Total	561,564

Reports from Employers by Method of Filing - June 2013

Report Method	Report Groups	Percentage of Report Groups by Report Method	Employees Reported	Percentage of Employees Reported by Report Method
Manually via Paper Report	144	2.74%	2,691	0.80%
Secure File Transfer (SFT)	620	11.82%	85,312	25.44%
Automated Dataset (Employer Automated Upload)	2,365	45.07%	217,757	64.93%
Web Application (WBET)	2,118	40.37%	29,598	8.83%
Total	5,247	100.00%	335,358	100.00%

Notes:

- 1) For FY 2012 – 2013 there were an average of 1,071,773 transactions per month.
- 2) This represents approximately 80,000 logins per month
- 3) An Employee may be a member of more than one retirement plan.

Employer Reporting Distribution, By Month Fiscal Year 2009 – 2013
Months When Volume Exceeded 1,000,000 Transactions

Month	FY 2012-2013	FY 2011-2012	FY 2010-2011	FY 2009-2010
July	1,391,316	1,120,773	1,052,701	1,086,040
August	-	1,263,902	1,293,584	1,379,873
September	1,226,804	-	-	1,156,445
October	-	1,096,811	-	-
November	-	-	1,034,164	1,081,547
December	1,278,513	1,017,683	1,010,490	-
January	-	-	1,043,727	-
February	-	-	1,137,256	1,221,974
March	1,021,227	-	1,066,834	-
April	1,243,646	1,270,916	-	-
May	1,022,715	1,395,408	1,347,867	1,311,097
June	1,361,599	1,023,003	-	-

Web-based Employer Transmittal (WBET)
Login and Transaction Activity Fiscal Year 2012 – 2013

Login eServices		Initiate EARN		Initiate MSV		Submit PA		Reports Processed	
July	9,676	July	12,973	July	12,580	July	664	July	3,737
Aug	11,421	Aug	13,806	Aug	17,784	Aug	681	Aug	4,535
Sept	11,150	Sept	13,298	Sept	20,360	Sept	628	Sept	3,788
Oct	11,962	Oct	18,415	Oct	21,072	Oct	687	Oct	5,080
Nov	10,438	Nov	14,271	Nov	15,876	Nov	661	Nov	3,771
Dec	9,355	Dec	12,138	Dec	13,265	Dec	664	Dec	3,772
Jan	11,374	Jan	17,186	Jan	15,338	Jan	667	Jan	5,033
Feb	10,448	Feb	18,074	Feb	13,522	Feb	656	Feb	3,618
Mar	11,102	Mar	19,993	Mar	13,809	Mar	670	Mar	3,997
Apr	11,284	Apr	20,857	Apr	15,163	Apr	685	Apr	4,162
May	11,616	May	19,525	May	15,035	May	687	May	4,226
June	10,581	June	14,606	June	19,094	June	664	June	4,479
	130,407		195,142		192,898		8,014		50,198

Yearly Total for All Transactions 446,252
Monthly Total for All Transactions 37,188

EARN: Earnings Report (for individual members)
MSV: Member Search Verification
WBET: The web-based employer reporting system
PA: Payment Advice

D. Summary of Current Technology Environment

Technology	Platform
Telephony hardware & software	Avaya (not VOIP)
Multichannel Queue/Routing	Avaya (not VOIP)
Server operating system	Microsoft Windows Server 2008 R2, will upgrade within the year
Authentication/Authorization	Microsoft Active Directory (AD), Active Directory Federated Service (ADFS) , RACF for z/OS services
Client/Server database	Microsoft SQL Server 2008/2012
Desktop operating system:	Microsoft Windows 7 Enterprise
Office Productivity Software:	Microsoft Office 2010, will upgrade within the year
E-Mail System	Microsoft Exchange Server 2010 – Supports only MS Exchange web services, not POP, MAPI or IMAP for interoperability. Supports SMTP for outbound messages.
Enterprise Content Management System	SharePoint 2007, transitioning to 2013 soon
Web Content Management (WCM) system	Adobe Contribute, Adobe Dreamweaver
Web development tools	Visual Studio – Programming Language: C#.Net
Web server	Microsoft Internet Information Server (IIS) 7.5
Mainframe database	Software AG's ADABAS
Mainframe programming language	Software AG's Natural Language
Middleware	IBM Websphere MQ, Software AG's Entire-X
Imaging system	Open Text Process 360 with custom VB.net application

E. Applications Information

E.1 Applications Summary

Application Name	Description
Actuary	Supports the efforts of the Office of the State Actuary (OSA) to provide Actuarial Valuations of all DRS Retirement Systems. The system generates over 250 reports, 130 files, and over 1,650,000 records to report the status of over 550,000 members. The Actuary System also supports numerous internal profile information needs.
Benefits System	An interactive, real-time system that computes and maintains retirement benefits for new retirees and maintains benefit information on current retirees and beneficiaries.

Disbursements System	Primarily a Batch system that produces benefit warrants and electronic funds transfers (EFTs) for Retirement System Members, retirees and beneficiaries. Includes withdrawals, re-issues and reconciliation processing.
Electronic Document Image Management System (EDIMS)	An interactive real time system that manages the electronic images that makes up a member's file. The application also supports workflows to route documents to appropriate work queues.
Employer eServices	Supports reporting employer's collection of over \$20,000,000 a month through electronic payments from employees who are active members of an administered retirement system. Processes transmittals of employment, earnings, and changes in demographic data submitted by employees to their employers. Includes Web-based Employer Transmittal (WBET) , Electronic Payment (ePay) and Member Reporting Verification (MRV).
Employer Information System (EIS)	Supports Employer reporting to DRS from 1,300+ Employers who collect over \$110,000,000 a month in Member retirement and deferred compensation contributions from active Members of DRS-administered retirement systems or Participants of the Deferred Compensation Program.
Member eServices (Online Account Access)	Supports members of retirement plans to view defined benefit account balances, beneficiary information, annual statements, employment history and the creation of retirement benefit estimates based on account information.
Member Information System (MIS)	An interactive, Real-Time system that maintains earnings information and employment history for Members of all retirement systems and plans and Participants of the Deferred Compensation Program.
Receivables Management System (Financial)	Manages and maintains receivable accounts for all employers and those members, beneficiaries or administrative accounts with outstanding balances.
1099 (IRS)	Manages and maintains receivable accounts for 1,300+ Employers and those Retirement System Members, beneficiaries or administrative accounts with outstanding balances.

E.2 Applications Detail

Application Name:	Actuary Reporting
1. Type of Application:	Program specific, actuary data reporting
2. Description:	Supports the efforts of the Office of the State Actuary (OSA) to provide Actuarial Valuations of all DRS Retirement Systems. The system generates over 250 reports, 130 files, and over 1,650,000 records to report the status of over 550,000 members. The Actuary System also supports numerous internal profile information needs.
3. Estimated Users:	5
4. Program Area:	Policy and Strategic Initiatives Division
5. Implemented:	1993
6. Support FTEs:	2
7. Application Source:	Agency developed

8. Size (programs):	184 modules; 95,473 lines of code
a. Technology Platform:	IBM Mainframe
b. Primary Language:	Natural
c. Primary Database:	ADABAS
d. Site of Operations:	CTS
e. Operating System:	MVS and CICS

Application Name:		Benefits System
1. Type of Application:	Program specific, benefit determination	
2. Description:	An interactive, real-time system that computes and maintains retirement benefits for new retirees and maintains benefit information on current retirees and beneficiaries.	
3. Estimated Users:	100+	
4. Program Area:	Retirement Services Division	
5. Implemented:	January 1996	
6. Support FTEs:	6	
7. Application Source:	Agency developed	
8. Size (programs):	1,444 modules; 564,394 lines of code	
a. Technology Platform:	IBM mainframe	
b. Primary Language:	Natural	
c. Primary Database:	ADABAS	
d. Site of Operations:	CTS	
e. Operating System:	MVS and CICS	

Application Name:		Disbursements System
1. Type of Application:	Program specific, benefit distribution	
2. Description:	Primarily a Batch system that produces benefit warrants and electronic funds transfers (EFTs) for Retirement System Members, retirees and beneficiaries. Includes withdrawals, re-issues and reconciliation processing.	
3. Estimated Users:	100+	
4. Program Area:	Administrative Services Division	
5. Implemented:	January 1996	
6. Support FTEs:	2	
7. Application Source:	Agency developed	
8. Size (programs):	575 modules; 198,194 lines of code	

a. Technology Platform:	IBM mainframe
b. Primary Language:	Natural
c. Primary Database:	ADABAS
d. Site of Operations:	CTS
e. Operating System:	MVS and CICS

Application Name:	Electronic Document Image Management System (EDIMS)
1. Type of Application:	Program specific, Image management
2. Description:	An interactive real time system that manages the electronic images that makes up a member's file. The application also supports workflows to route documents to appropriate work queues.
3. Estimated Users:	200
4. Program Area:	Retirement Services Division, Deferred Compensation Program
5. Implemented:	June 2001
6. Support FTEs:	3
7. Application Source:	Purchased Product, Agency Developed
8. Size (programs):	247 modules; 38,461 lines of code
a. Technology Platform:	Client Server
b. Primary Language:	VB.Net, C#.Net
c. Primary Database:	MS SQL Server 2000
d. Site of Operations:	DRS
e. Operating System:	Windows Server 2003

Application Name:	Employer eServices
1. Type of Application:	Program specific, contribution collection
2. Description:	Supports reporting employer's collection of over \$20,000,000 a month through electronic payments from employees who are active members of an administered retirement system. Processes transmittals of employment, earnings, and changes in demographic data submitted by employees to their employers. Includes Web-based Employer Transmittal (WBET) , Electronic Payment (ePay) and Member Reporting Verification (MRV).
3. Estimated Users:	3200
4. Program Area:	Employer Support Services Unit
5. Implemented:	January 2002
6. Support FTEs:	2
7. Application Source:	Agency developed

8. Size (programs):	980 modules; 207,287 lines of code
a. Technology Platform:	Web-based
b. Primary Language:	ASP, COM+
c. Primary Database:	MS SQL Server 2005
d. Site of Operations:	CTS
e. Operating System:	Windows 2003 Server

Application Name:	Member eServices (Online Account Access)
1. Type of Application:	Program specific, contribution collection
2. Description:	Supports members of retirement plans to view defined benefit account balances, beneficiary information, annual statements, employment history and the creation of retirement benefit estimates based on account information.
3. Estimated Users:	218,000
4. Program Area:	Retirement Services Division
5. Implemented:	July 2011
6. Support FTEs:	2
7. Application Source:	Agency developed
8. Size (programs):	1,400 modules; 200,000 lines of code
f. Technology Platform:	Web-based
g. Primary Language:	C#.Net
h. Primary Database:	MS SQL Server 2008
i. Site of Operations:	CTS
j. Operating System:	Windows 2008 Server

Application Name:	Employer Information System (EIS)
1. Type of Application:	Program specific, contribution collection
2. Description:	Supports Employer reporting to DRS from 1,300+ Employers who collect over \$110,000,000 a month in Member retirement and deferred compensation contributions from active Members of DRS-administered retirement systems or Participants of the Deferred Compensation Program.
3. Estimated Users:	30
4. Program Area:	Employer Support Services Unit
5. Implemented:	January 1995
6. Support FTEs:	2
7. Application Source:	Agency developed
8. Size (programs):	854 modules; 279,362 lines of code

a. Technology Platform:	IBM mainframe
b. Primary Language:	COBOL and Natural
c. Primary Database:	ADABAS and VSAM
d. Site of Operations:	CTS
e. Operating System:	MVS and CICS

Application Name:	Member Information System (MIS)
1. Type of Application:	Program specific, member maintenance
2. Description:	An interactive, Real-Time system that maintains earnings information and employment history for Members of all retirement systems and plans and Participants of the Deferred Compensation Program.
3. Estimated Users:	100+
4. Program Area:	Retirement Services Division
5. Implemented:	February 1993
6. Support FTEs:	4
7. Application Source:	Agency developed
8. Size (programs):	1,743 modules; 596,692 lines of code
a. Technology Platform:	IBM mainframe
b. Primary Language:	Natural
c. Primary Database:	ADABAS
d. Site of Operations:	CTS
e. Operating System:	MVS and CICS

Application Name:	Receivables Management System (Financial)
1. Type of Application:	Program specific, receivables management
2. Description:	Manages and maintains receivable accounts for 1,300 employers and those members, beneficiaries or administrative accounts with outstanding balances. Receivables Management is comprised of invoicing, cash receipts, and accounts receivable reporting. Also manages the general ledger transfer of funds between agency accounts and the Office of Financial Management (OFM) accounting processes.
3. Estimated Users:	30
4. Program Area:	Administrative Services Division
5. Implemented:	January 1999
6. Support FTEs:	2
7. Application Source:	Agency developed

8. Size (programs):	744 modules; 215,424 lines of code
a. Technology Platform:	IBM mainframe
b. Primary Language:	Natural
c. Primary Database:	ADABAS
d. Site of Operations:	CTS
e. Operating System:	MVS and CICS

Application Name:	1099 (IRS Reporting)
1. Type of Application:	Program specific, 1099/IRS data reporting
2. Description:	Manages and maintains receivable accounts for 1,300+ Employers and those Retirement System Members, beneficiaries or administrative accounts with outstanding balances.
3. Estimated Users:	5
4. Program Area:	Administrative Services Division
5. Implemented:	January 1998
6. Support FTEs:	2
12. Application Source:	Agency developed
13. Size (programs):	118 modules; 32,749 lines of code
a. Technology Platform:	IBM Mainframe
b. Primary Language:	Natural
c. Primary Database:	ADABAS
d. Site of Operations:	CTS
e. Operating System:	MVS and CICS

F. Database Information

Database Product Name:	ADABAS
1. Applications Supported:	<ul style="list-style-type: none"> • Member Information System • Employer Information System • Benefit System • Financial System • Deferred Compensation Program • Actuary System • 1099 Process • Defined Benefit Access
2. Description (Type of Data):	<ul style="list-style-type: none"> • Member/Retiree • Employer • Financial/Fiscal • Contribution

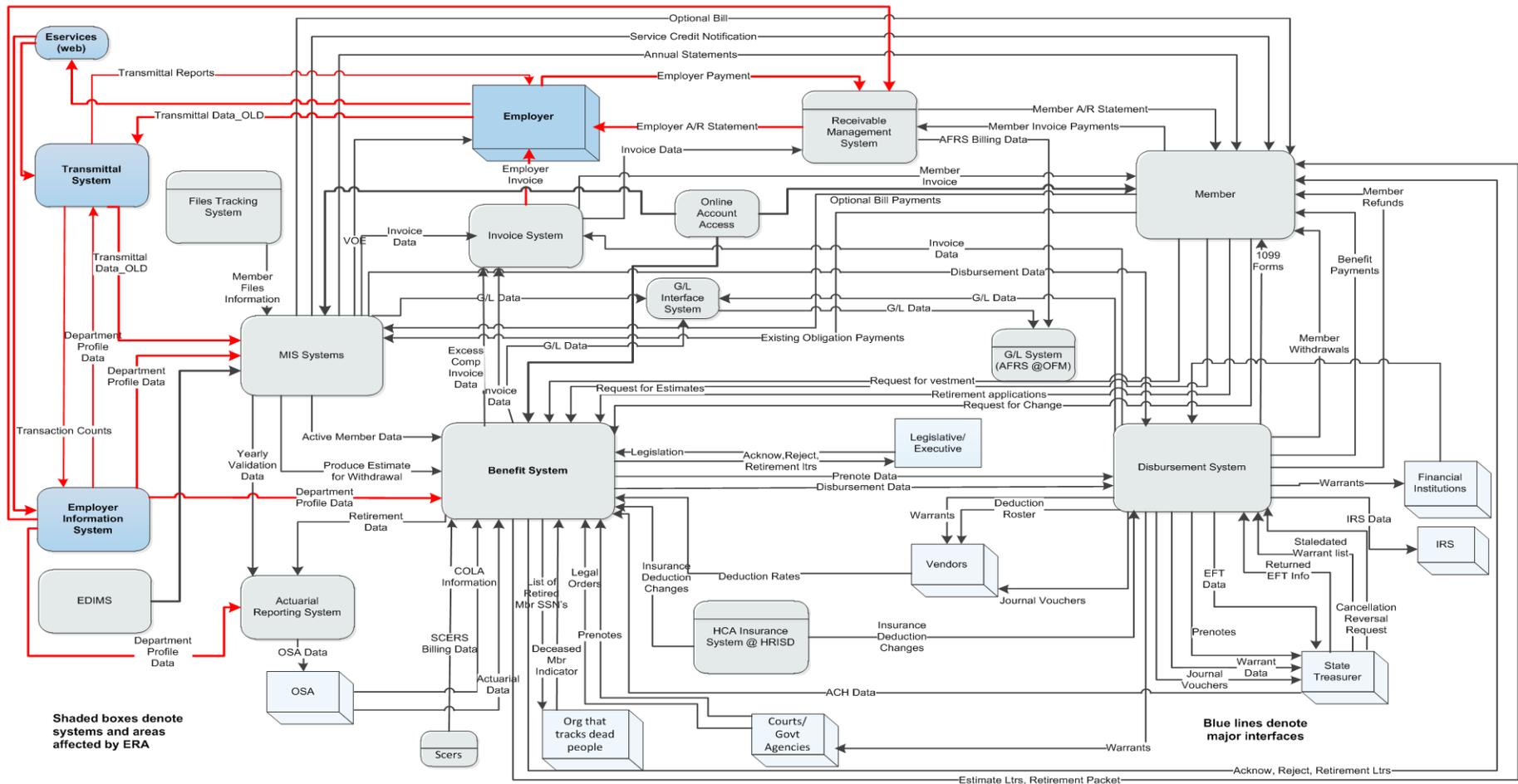
	<ul style="list-style-type: none"> • Disbursement • Benefit
3. Location of Database:	CTS
4. Size (storage requirements):	69,500 cylinders
5. Record Number:	650,000,000
6. Frequency Added, Modified and Deleted:	100,000 to 300,000 daily
7. Backup Frequency:	Daily

Database Product Name:	VSAM
1. Applications Supported:	Employer Information System (Transmittals)
2. Description (Type of Data):	<ul style="list-style-type: none"> • Member • Employer • System/Plan • Contributions • Disbursements • Financial
3. Location of Database:	CTS
4. Size (storage requirements):	645 cylinders
5. Record Number:	54,588
6. Frequency Added, Modified and Deleted:	2,000 daily
7. Backup Frequency:	Daily

Database Product Name:	MS SQL
1. Applications Supported:	Employer eServices Member eServices (Online Account Access)
2. Description (Type of Data):	Collects employer transmittal data, contain member information.
3. Location of Database:	CTS
4. Size (storage requirements):	2.5G
5. Record Number:	750,000
6. Frequency Added, Modified and Deleted:	5,000 to 20,000 daily
7. Backup Frequency:	Daily

G. IT Systems (Figure 1)

Figure 1 displays the inter-relationships of the various systems supporting the Agency. Blue areas note functions and entities (Employers) affected by ERA. Red lines note major interfaces affected by ERA.



H. IT Systems Interfaces for Employer Reporting Application

Current Systems Interfaces at the Department of Retirement Services

Interface	Data types	Data Sensitivity	Size and Complexity	Platform (or Interface)	Module Types
Internal DRS systems			24M trans/mo.*	Mainframe	Natural/Cobol
Actuarial Reporting System	Financial, Member, Retiree, Beneficiary	PII		"	Natural/Cobol
Benefits System	Beneficiaries, Member, Retiree	PII		"	Natural/Cobol
Electronic Document Image Management System (EDIMS)	Member, Employer			"	Natural/Cobol/Secure FTP
Employer e-services	Financial, Employer, Member			"	Natural/Cobol/Web
Invoice System	Financial			"	Natural/Cobol
Member Information System (MIS)	Member, Financial	PII		"	Natural/Cobol
Member e-Services (Online Account Access)	Financial, Member			"	Natural/Cobol/Web
Receivable Management (Financial)	Financial, Member, Vendor ¹ , Beneficiary, Employer			"	Natural/Cobol/Web (Employer eServices)
External Partners					
Deferred Compensation (DCP)	Financial, Member	PII		"	"
Health Care Authority	Address/Contact info, Member	PII		Mainframe	C, Java, SFT
ICMA-RC	Financial, Member	PII		"	"
Legislative/Executive (OST)				Mainframe	SFT
Vendors ¹	Financial (participation of warrants/disbursements)			Mainframe	
State Treasurer	Financial (warrants)			Mainframe	
Financial institutions (Record Keepers)	financial, member, retiree, beneficiary				
IRS (1099)	Financial, member, retiree, beneficiary		150K/mo.		SFT
Courts				Mainframe	
OFM (AFRS)	Financial			Mainframe	

Interface	Data types	Data Sensitivity	Size and Complexity	Platform (or Interface)	Module Types
Central Technology Services	System/Technical, Warrant Print, 1099 Print	PII, Category-4 ⁴		Windows Mainframe Linux	E-mail, MQ, Entire-X, SFT, Web Services, VTAM, 3270
DES (Dept. Enterprise Services)	Address labels			via E-mail	
DOH, Lnl (tracking death & Disability)	Vital Records ²	PII		Linux	C
Sub systems of EIS:	Employer, Member, Financial (Payroll), IRS	PII	1M/Mo	Mainframe	
Transmittals	Member, Employer	SFT & SSL		Mainframe and Web	SFT (Linux server) and .NET
Employer Enrollment & Maintenance				Mainframe	Mainframe
E-services Portal (WBET)					Windows Web
	1 - Vendor: Institution which collects portion of retirement payment on behalf of another; similar to a garnishee order.				
	2 - Vital Records: Birth and Death certificates, or other legal orders such as marriage or divorce records.				
	3 - PII: Personal Identifying Information				
	4 - Category-4 data is highest level of sensitivity. Non-disclosure.				
	* - Approximately 24 million add and update commands to central database per month.				

I. Future State – High-level Requirements

The Department of Retirement Systems collects and accounts for contributions, verifies data reported by employers, maintains records, communicates pension information and pays retirement benefits.

Once the new Employer Reporting Application (ERA) is completed, DRS desires to leverage the BPMS solution to continue its modernization efforts of DRS mainframe systems to include the following business area:

1. Process Member Information

- a. The system will receive and maintain member profile data, audit member accounts, maintain member service credit and account information, maintain member invoices and create statistical reports. The system will allow users to access, retrieve, and work with the data in an interactive environment. Users will be able to review data and with proper authorization, create or change data records.
- b. The system will be able to process retirement system member withdrawals. This would include the ability to make a payment as a partial or full lump sum, a direct rollover (qualified plan, Roth IRA, traditional IRA, inherited IRA), or required minimum distributions (RMD), all need to comply with federal withholding rules and penalties regarding distribution requirements.
- c. Other functionality would include:
 - i. Processing optional bills such as Military Leave, Authorized Leave of Absence, Out-of-State Teaching, Professional Preparation Time, Purchasing Additional Annuity, Six-Month Probationary Period, Substitutes, Public Education Experience, and Temporary Duty Disability.
 - ii. Restoring withdrawn service time within statutory deadlines and outside statutory deadlines at a separate rate.
 - iii. Enrolling and managing elected officials.
 - iv. Creating and maintaining legal order (property division, child support, federally authorized orders, mandatory benefit assignments, and restraining orders) information on a member's account and processing payments to legal order payees.
 - v. Creating and maintaining beneficiary profile data.

2. Process Retirement Benefits.

- a. Must be able to estimate, calculate and recalculate (if a variable changes) a retirement benefit for all retirement types (Service, Portability, Disability, Survivor). Some or all of the following variables maybe included in the calculations: member status, age, disability type, multipliers (JBM), legal order(s), service credit (including non-credit service like sick leave), compensation, contributions, AFC/AFS/FAS period (including sick leave and annual leave cash outs, excess compensation), separation date(s), reductions, extra contributions, purchasing additional annuities, post 30-year election contributions, L2 disability offset adjustments and adjustments for reimbursement of medical premiums, and purchase service credit.
- b. The system will be required to process the death of a member, beneficiary, or legal order payee, and be able to estimate, calculate, and recalculate survivor benefit information based on their status, time of death, the rules of the retirement system and plan they belonged to at the time of death and retirement option. It will need to pay out the appropriate benefit with the ability to recalculate the benefit based upon need. The system should be flexible to payout multiple ongoing benefit streams to multiple beneficiaries.
- c. The system will allow flexible retirement options after the member begins receiving their retirement benefit (i.e. adding a survivor, removing a survivor, popping up the account if survivor dies).

3. Process Disbursements

- a. Processing disbursements will include issuing monthly or one-time defined benefit payments and payments of lump sum contributions. Payments can be made by warrant, electronic fund transfer, or in-house impressed check. The system will have the ability to not only withhold federal income tax on the required payments but also allow members to elect to have deductions taken from their monthly benefit.

The system will allow the option to pay immediate if the member needs to receive a payment prior to next disbursement cycle. Also considering any legal orders (property division, child support, mandatory benefit assignment orders, retraining orders, and federally authorized orders) the system will be able to apply other deductions like fees associated with legal orders, medical premiums, association fees etc.

4. Process Financial Transactions

- a. The system will be required to:
 - i. Create receivables from invoicing for Benefits, Member or Employer systems and from within the fiscal system.
 - ii. Invoice employers, employees, members, retirees, and other organizations.
 - iii. Process account receivable records for members, beneficiaries, employers, and other organizations.
 - iv. Process general ledger records
 - v. Reimburse for travel expenses
 - vi. Processes payroll
 - vii. Process changes in income tax
 - viii. Receipt and record employer and member retirement contributions, DCP and JRA contributions and rollovers and OASI and HERP payments
 - ix. Daily balancing and monthly reconciliations for PERS, SERS and TRS Plan 3, DCP and JRA
 - x. Trust fund general ledger and cash reconciliations.
 - xi. Collecting contributions
 - xii. Setting up bank reclamations, payments and actuarial reductions.
 - xiii. Process automated journal voucher (JV) transactions for 401(h) medical accounts

5. Annual Process

- a. The system will be required to handle large data extractions and processing for several annual processes. The information is needed for other governmental entities, private companies for benchmarking, members and retirees regarding their service credit, contributions, COLAs, adjusted minimum benefit, and summaries of payments received from DRS.

6. Third party

- a. The system will need to interface to third party a system which includes, forwarding Plan 3 and Deferred Compensation contributions to Third Party Administrator's systems, transmitting profile and beneficiary information, calculating basis recovery, feeding disbursement information (lump sum payouts, payment streams, TAP Annuity Purchases, etc.), and providing Single Sign On access to members for all of their accounts.

7. Vendor Data

- a. The system will be able to receive, store, and maintain vendor data that used in the benefit and disbursement processes.

DRS will also leverage the BPMS solution for other business support processes as it chooses.



Employer Reporting Application Project

Project Management Plan

August 28, 2013



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Project Management Plan Purpose

This Project Management Plan defines how the project is executed, monitored, controlled, and the approach used by the project managers to deliver the planned outcomes. The Project Management Plan includes information used to describe the approach for managing the scope, schedule, team organization, costs, communications, change, risks, issues, and quality.

Project Scope

The scope for the **Employer Reporting Application Project** includes implementing a Business Process Management Suite (BPMS) Solution and using the BPMS Solution to build an Employer Reporting Application (ERA), which will replace the existing Employer Information System (EIS). EIS is DRS' existing Employer reporting system, which collects data related to retirement for Washington State public employees. The BPMS platform and ERA will provide the architectural foundation for the future addition of other core business processes, such as retiree benefits processing, disbursements, and financial services.

Currently, Washington's 1,300 public Employers must report to DRS wage and other information relating to retirement plans and deferred earnings for every employee. Employers now use a variety of ways to send this information to DRS: secure file transfer, automated dataset upload, web application, manually entered from a paper report. At DRS, the information is stored and maintained in a secure database within EIS. Maintaining this information in EIS is costly, time-consuming and prone to error for both Employers and for DRS.

Through the ERA Project, DRS will replace the assortment of methods for transmitting this information with a single, web-based Employer Reporting Application (ERA). ERA will include edits to assure the integrity of both Employers' and employees' data, will directly populate the existing databases, will be convenient for Employers to use, and will streamline these reporting processes. The scope of the ERA Project also includes acquiring and implementing a Business Process Management Suite (BPMS) Solution.

The BPMS Solution will provide a highly-integrated and adaptable architecture capable of processing large volumes of sensitive data with complex business rules, providing internal and external users with a streamlined, user-friendly, and easy-to-maintain ERA system, and integrating with the other core systems until all business processes are transitioned to the new platform. The BPMS Solution will be hosted, on-premise, by DRS at the state data center.

As the BPMS Solution is being implemented, the Prime Vendor will work with DRS to design, configure and build, validate, test and bring into production the ERA. A critical component of building and configuring ERA, is the Knowledge Transfer from the Prime Vendor to DRS to ensure that DRS is able to design, configure and implement future systems to support DRS' pension programs, such as retiree benefits processing, disbursements, and financial services.

DRS has identified 5 phases for the ERA Project. Below is a high-level description of each phase.

Phase	Title/Business Processes	Description
Phase 1	Implement BPMS	The BPMS solution and any required integration technologies are installed and operational. The environments (development, test, QA, production) are established, documented procedures are in place, and team members are trained to begin using the BPMS solution for developing ERA.
Phase 2	Employer Portal	Develop a secured portal for 1,300+ employers to access services/processes, including pension plan information

Phase	Title/Business Processes	Description
	Register Employer / Login Employer Profile Review	and/or DCP information.
Phase 3	Member Eligibility Member Lookup Determine Member Eligibility	Develop a process that assists employers in determining eligibility. Prior to enrolling or reporting a new employee, these processes would allow an employer to lookup an employee to determine their eligibility to participate in a DRS retirement plan.
Phase 4	Employer Reporting Process Employer Report Enroll Member Earnings Activity Plan Choice Update Member Process Employer Payment	Develop processes that allow employers to report/correct employee pension plan information and/or DCP information.
Phase 5	New Employer Enroll Employer Update Employer Review Employer Enrollment	Develop processes to facilitate the enrollment/maintenance of employers into a DRS retirement system, including DCP, and assist employers in obtaining appropriate OASI status.

Project Change Control

Changes to project scope will be controlled and documented. The Change Control Plan is intended to ensure important decisions around change are documented, justified, and escalated for approval as appropriate, and a clear understanding of what decisions can be made at the project level and what decisions need to be escalated. Contract change requests will be managed in accordance with the requirements in the Technology Agreement. All change requests will be documented on a Change Order Form and logged in the Change Order Log. The Change Control Plan, Change Order Form and Log are located on the ERA Project SharePoint site at this link (TBD).

Project Schedule

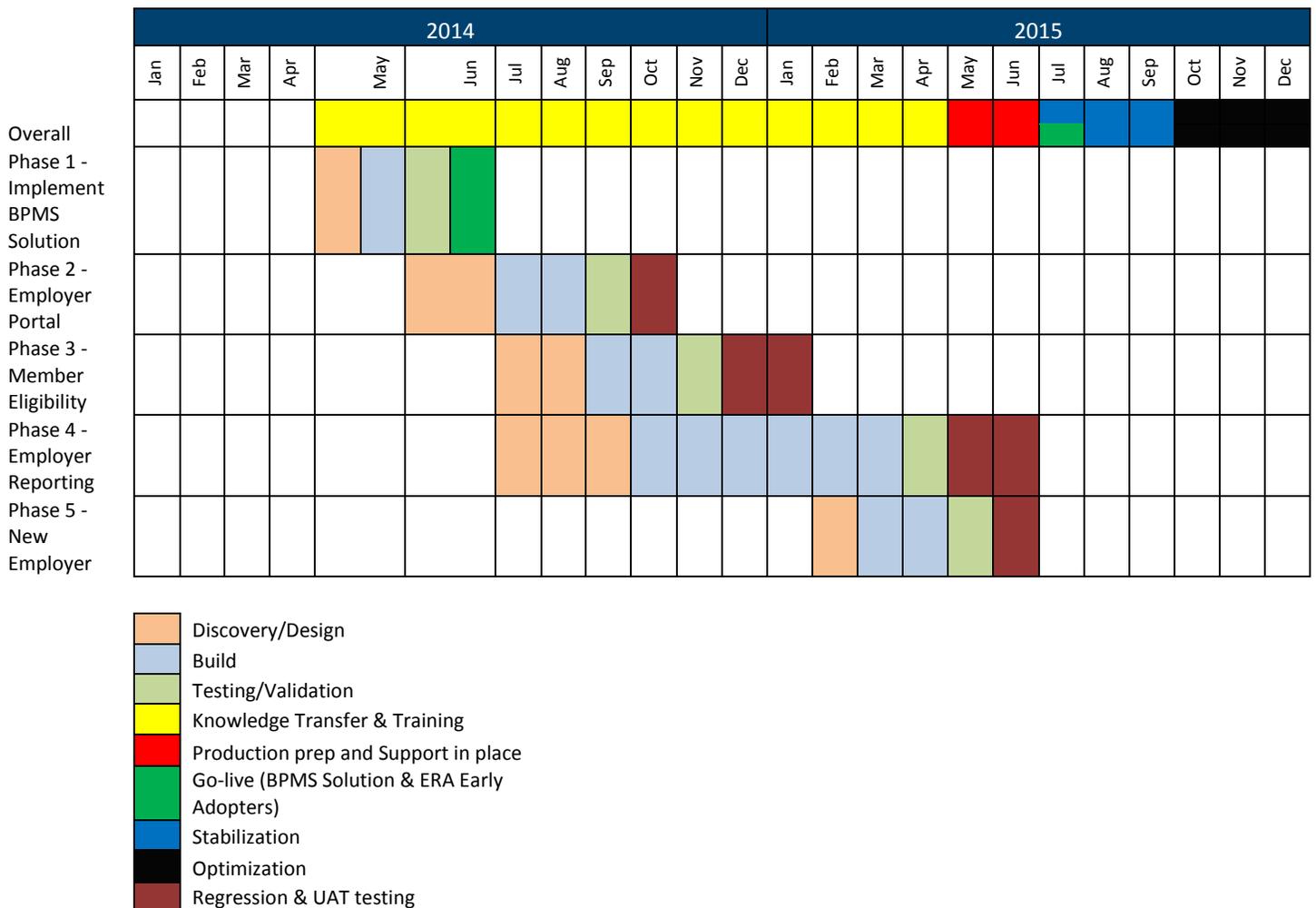
The project schedule is a listing of a project's milestones, activities, and deliverables, with intended start and finish dates. Those items are often estimated in terms of resource allocation, budget and duration, linked by dependencies and scheduled events. The project schedule must cover all aspects of the project and include all Prime Vendor and DRS (or Third Party) activities and tasks. The tool used to develop the project schedule will be agreed to by the parties prior to project initiation, and shall include, as applicable:

- Commencement and completion dates for the project;

- All Critical Milestone and Deliverable events and Deliverable Due Dates and Critical Milestone Due Dates (with such Critical Milestones being identified by a different color and with the phrase "Critical Milestone" in the Project Plan document so that users can search on such term);
- All other milestones, activities, tasks and subtasks, along with their dependencies;
- Sufficient description of all activities, tasks and subtasks (including DRS-only responsibilities) to be performed by Prime Vendor, DRS or Third Party responsible for, and the location of, such activities, tasks and subtasks; and
- The dates, duration and locations of Project Status Meetings and contract compliance meetings.

The ERA project schedule is located on the ERA Project SharePoint site at this link (TBD).

The overall ERA project timeline is:



Project Status Reports

Project performance is reported on a monthly status report to the Project Executive Sponsors, Steering Committee, Independent Quality Assurance Consultant, Office of the State Chief Information Officer (OCIO) Oversight Consultant and project team members. Included in the status reports are:

- Major accomplishments for current reporting period.
- Critical milestones and due dates.
- Deliverables are listed with planned, actual, and revised dates (if necessary).
- Scope and scope change requests.
- Activities planned for the next reporting period.
- New project issues and risks.
- Project finances.

Project performance is also reported on a weekly basis to the project team. This reporting is based on specified work streams in order to track project progress.

The status reports will be located on the ERA Project SharePoint site at this link (TBD).

Project Meetings

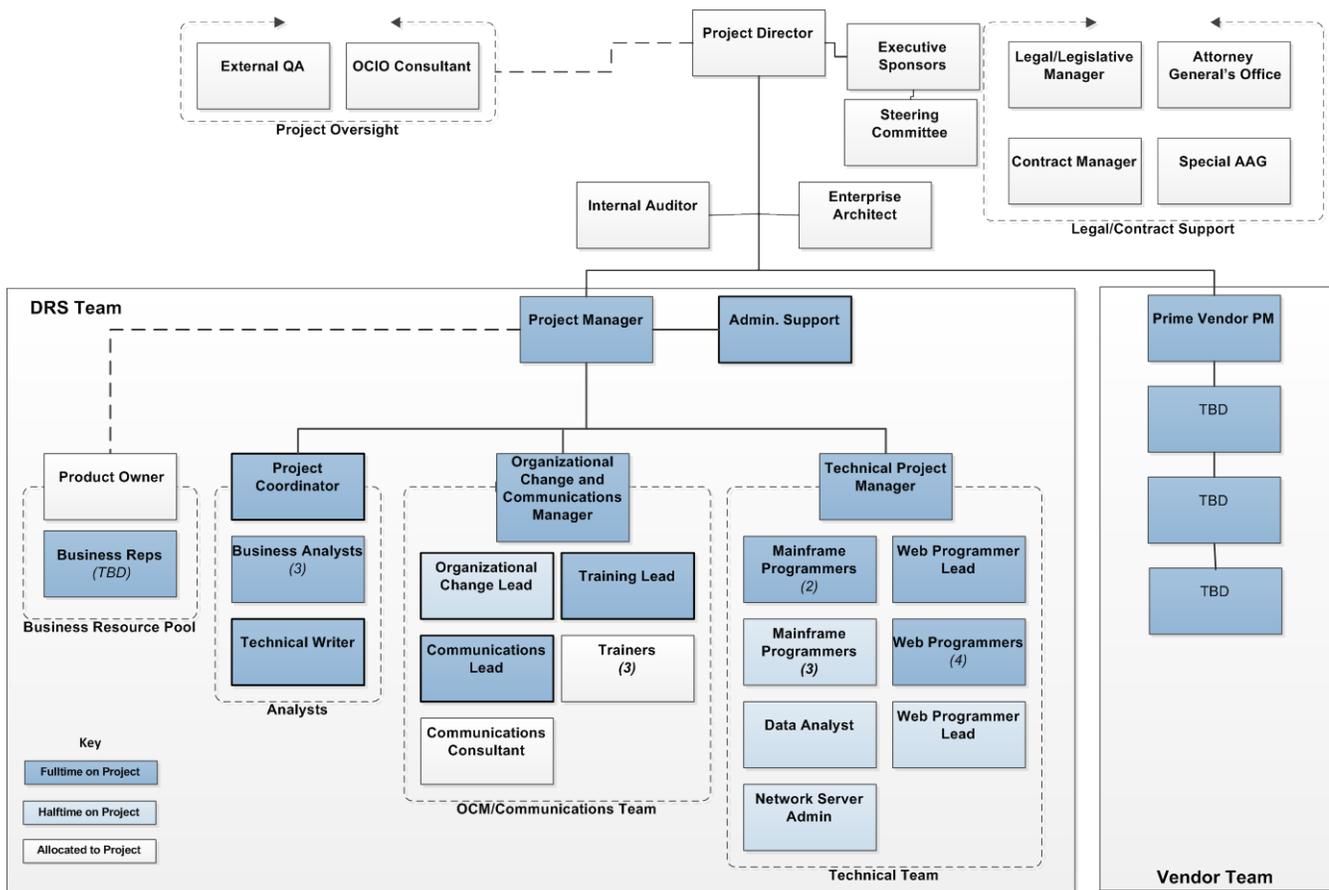
Project Meetings will be scheduled regularly as described in the Statement of Work. Project team members are expected to attend all meetings as requested. Whenever possible, meetings will be combined to minimize time spent in meetings.

Project Team Organization Structure

The Project will consist of joint Vendor/DRS teams, including but not limited to, installation of the BPMS Solution, design, configure and build, validate, test and implementation of the Employer Reporting Application. The Prime Vendor project team members and the DRS project team members will work alongside each other during the project to facilitate comprehensive knowledge transfer. The Prime Vendor will provide tailored education and training to all personnel participating in the Project, BPMS users and others, and ensure that the solution meets the DRS's requirements in a timely manner.

There will be two joint Prime Vendor/DRS teams to address the two "legs" of the ERA Project: the first will implement the BPMS Solution, and the second will build and implement the ERA.

The ERA Project Organizational Structure:



Project Roles and Responsibilities

The Roles and Responsibilities Definitions document can be found on the ERA Project SharePoint site at this link (TBD).

Project Budget & Cost Management

Based on legislative funding, DRS has developed a preliminary budget/spending plan for the project. The spending plan will be updated after a negotiated contract is signed with a Vendor. The spending plan will be updated and maintained on the ERA Project SharePoint site at this link (TBD).

DRS has developed a Cost Management Plan to provide guidelines, procedures, and timing for developing and reporting the project costs. This includes accounting for and reporting both time and expenses as well as performing budgeting and invoicing. The Cost Management Plan is located on the ERA Project SharePoint site at this link (TBD).

Organizational Change Management

Implementing the BPMS Solution and ERA will result in a change to how the DRS organization processes information and conducts its business. The ability of the DRS organization, and the Employers who report to DRS, to adapt to the new business workflows of the BPMS Solution and ERA, and then for DRS to maintain and support the BPMS Solution and ERA, is critical to ensure that DRS obtains the maximum benefit of the BPMS Solution.

A preliminary Organizational Change Management Plan with communication, education and training and Knowledge transfer components will be developed by the parties during the Implementation Planning Study workshops. The plan outlines the strategy on how the DRS organization will prepare itself and its stakeholders for organizational change, as the strategy is the foundational building block upon which communication, education and training is levered and Knowledge is transferred. The plan will outline the communication strategy – communicating to the various DRS business units and stakeholders the strategy for organizational change, as well as the expected deployment of ERA and the education, training and Knowledge transfer that will be undertaken to ready DRS for the new system. DRS expects that Knowledge transfer to the DRS project team will begin early in the project and continue throughout the project to facilitate DRS participating in all aspects of the project.

DRS would like to leverage the Prime Vendor's experience and knowledge to provide effective organizational change management, communications and education and training. DRS expects the Prime Vendor to provide sample plans and templates and to support DRS' resources assigned to implement these components of the project.

The Organizational Change Management Plan is located on the ERA Project SharePoint site at this link (TBD).

Issue Management

Issues are situations that actively impact or threaten to impact the scope, schedule, budget or quality of the project if they are not resolved. Issues, however, are not tasks that need to be completed. Only when a task encounters or risks work stoppage, scope change or budget overage can it be considered an issue.

Issue resolution is the process of dealing with the issue impact, by reducing or eliminating the impact or by incorporating it into the project plan. All issues encountered as part of the ERA Project will be tracked and assessed at the appropriate level and assessed for resolution activities. Severity of the impact will drive the appropriate level of oversight and issue escalation. The issue impacts and resolution activities will be recorded until the issue has been resolved or closed.

Resolving issues is an integral part of setting priorities, sequencing project work, and handling the most serious issues first. The elements of issue management are:

- Issue inventory
- Issue quantification
- Issue handling
- Issue tracking and reporting

Issue Inventory

Issue identification is an ongoing process of monitoring project activities for events that indicate that an active impact is underway and identifying what may be done to reduce or eliminate the impacts. Issues should be identified that are both internal (under project control) and external (beyond project control). The former are resolved by project activities, the latter will generally require securing active assistance from external entities.

Issues are usually recognized by project personnel in the course of their project activities. Ordinary issues can be raised during the course of regular project meetings, extraordinary issues may need to be communicated quickly and directly to the project manager. Once identified, issues may need to be analyzed as to probable cause so as to identify efficient resolution requirements. Often personal experiences with the same or similar circumstances form an important part of identifying issue resolution activities.

The results of the issue identification step are clear statements of issues with corresponding causes and proposed resolutions. The event that created the issue will be identified, as well as the consequences the issue could have on the project or activity if not resolved.

Issues identified by the project will be captured using the ERA Project SharePoint issue list.

Issue Quantification

Issue quantification involves assessing the impact of this issue and understanding of the root cause of the issue so as to inform a resolution strategy. The issue impact represents a judgment as to the relative impact to the project as a whole. The project will classify the issue impacts in the following impact categories: *Scope, Schedule, Budget and/or Quality*; and the following severity categories *Low, Moderate, or High*. Based on the impact category and rating, issue handling strategies are identified to respond to the issue. A number of factors complicate this analysis including, a single root cause event can cause multiple effects on a number of systems (ripple effect) or opportunities to resolve one issue may be considered detrimental to another issue, risk or project. Project managers are asked to use their best judgment in rating and quantifying the impact of issues.

Issue Handling

Issue handling is the identification of the strategy for effectively managing a given issue. **All identified issues shall be handled.** Issue-handling methods should be selected after personnel have determined the probable impact on the project, so that handling strategies are selected that identify the optimum set of steps to balance issue handling impacts with other factors, such as resource availability, cost and timeliness. Responses to issues generally fall into one of three major categories (resolve, monitor, or ignore). The selected handling strategy, or strategies, should be documented using ERA Project SharePoint Issue list.

Resolve

This strategy identifies specific steps or actions, which will eliminate or reduce the impact of an issue to acceptable levels or reduce the issue impacts by adding specific mitigation or resolution actions. Using this strategy, the project assigns resolution activities to project personnel which, when completed, are intended to resolve the issue. Progress of the resolution activities is regularly reported and tracked by project management. If the issue is not eliminated, but the impact has been reduced to acceptable levels, then it may be moved back into the category of a risk if the chance remains of the issue once again actively threatening the project.

It is expected that the vast majority of issues identified for ERA project will be resolved.

Monitor

This strategy is used when an issue has been identified that is currently impacting the project at an acceptable level, but which may grow into a larger issue that will require resolution activities. Such issues are similar to risks, and are monitored like risks because they have the potential for significant impact to the scope, schedule, budget or quality of the project. Issues handled by this strategy do not require imminent action but pose enough of a threat that they cannot be ignored. Issues that are monitored need to be tracked and reported with the same level of scrutiny as those in resolution and require equally developed resolution strategies.

Whenever an issue is set to Monitor status, then it must have a resolution plan in place for implementation if the issue moves to Resolve status.

Ignore

Ignoring an issue is essentially a "no action" strategy. Selection of this strategy is based upon the decision that it is more cost effective to continue the project as planned with no resources specifically dedicated to addressing the issue. However, the "no action" strategy may be hedged by developing a resolution plan in case the issue impacts escalate and then tracking the issue to assure that it does not increase during project execution.

Issue Tracking & Reporting

Issue tracking and reporting is concerned with maintaining appropriate issue visibility of project issues. **Project managers are required to report on their monthly status report issues with the following attributes:**

- Issues with a handling status of resolve that are classified with a high impact and:
- Will (or are anticipated to) result in a budget impact to the overall (total) cost expenditure for the project AND/OR
- Will (or are anticipated to) result in a major project milestone being delayed AND/OR
- Will (or are anticipated to) result in a *significant* scope change

Issues meeting one or more of these conditions will be captured from the monthly status reports by the project managers and tracked using the ERA Project SharePoint issue list. Project managers with extraordinary issues should immediately contact Executive Sponsors directly to document and report the issue.

Before proceeding with selecting a resolution on issues meeting these criteria, the project manager will work with the Executive Sponsors to document an issue brief which outlines an executive summary of the issue, alternatives, and a recommendation for resolution. The issue brief will be used as the briefing document provided to the Executive Sponsors for resolution of the issue.

Risk Management

Risks are defined as potential disruptions to the ERA Project that may arise from some present or future condition, process, or event. Risk management is the continuing process of identifying, quantifying, responding to, and controlling risks and the associated costs to maximize the potential for the success of an activity. Risk management is a management tool to maximize the results of positive events and minimize the consequences of adverse events. Achieving risk reduction is an integral part of setting priorities, sequencing project work, and responding to the most serious risks first. For purposes of the ERA Project, elements of risk management are:

- Risk identification and inventory
- Risk quantification and analysis
- Risk handling strategies
- Risk tracking and reporting

Risk Identification and Inventory

Risk identification is an organized approach for determining which events are likely to affect the project and documenting the characteristics of the events that may happen with information as to why this event is considered a risk. Risks should be identified that are both internal (under project control) and external (beyond project control). Methods and tools for initiating identification of risk can vary depending on the resources available. Involving the right people at many levels of

the organization in the risk management process is critical to identifying a comprehensive inventory. The results of the risk identification step are clear statements of the risk and the potential impact.

Risk Quantification and Analysis

Risk quantification involves determining the probability of the occurrence of a risk, assessing the impact of this risk, and combining the two to identify a "risk level." This risk level represents a judgment as to the relative risk to the project or program as a whole and is categorized as Low, Moderate, or High. Based on the risk level, handling activities and strategies are identified to respond to the risk. A number of factors complicate this analysis including:

- A single risk event can cause multiple effects on a number of systems (ripple effect).
- Opportunities for one participant or organization may be considered detrimental or threatening by another.
- Mathematical techniques can cause false impressions of precision and reliability, i.e., results may only be based upon experienced guesses, not on absolute measures.

All subordinate projects and the overall ERA Project will utilize the following methodology for risk quantification.

Risk levels will be identified by assessing the probability of the risk occurring and its consequence(s). The probability of a risk occurring is characterized as a number from low (1) to high (5). Impact is also characterized as a number from low (1) to severe (5). The risk level is derived by multiplying together the probability and impact assessments to get a combined risk level.

Risk Handling Strategies

Risk handling is the identification of the course of action or inaction selected for the purpose of effectively managing a given risk. All identified risks shall be handled in some respect. Risk handling methods should be selected after determining the probable impact on the project or program by calculating the risk level, so that handling activities and strategies are selected that identify the optimum set of steps to balance risk with other factors, such as cost and timeliness. Responses to risks generally fall into one of three major categories (mitigate, monitor, or accept).

The selected handling strategy, or strategies, must be documented for all "High" rated risks. Costs that are related to the scope of the selected risk handling strategies may result in additions to the project cost and result in new project activities. Specifics of each handling category are documented below:

Mitigate

This strategy identifies specific steps or actions, which will increase the probability that an activity will succeed, or, conversely, reduce the probability of the occurrence or the consequence of the risk. Using this strategy, the risk remains, but at a reduced level.

Monitor

This strategy is used when risk has been identified that has potential for significant impact to cost of the project, adherence to schedule, or performance of resources. Risks handled by this strategy do not require eminent action but pose enough of a threat that they cannot be ignored. Risks that are monitored need to be tracked and reported with the same level of scrutiny as those in mitigation and require equally developed mitigation strategies.

Accept

Accepting a risk is essentially a "no action" strategy. Selection of this strategy is based upon the decision that it is more cost effective to continue the project as planned with no resources specifically dedicated to addressing the risk. However,

the "no action" strategy may be hedged by developing a contingency plan in case the risk event occurs and then tracking the impact to assure that it does not get ignored during project execution.

Risk Tracking and Reporting Process

Risk tracking and reporting is concerned with maintaining appropriate visibility and attention to identified risks. A consolidated view of project risks will be tracked in a risk log. Mitigation plans will be developed for risks receiving a 'high' rating. Project members will be assigned responsibility for maintaining the impact and probability values for each risk, along with the detailed risk status, and risk status reviews will be part of the regular team reviews. This will provide ERA Project and project managers, Executive Sponsors, team members, and other stakeholders a view of the risk profile of the project.

Timing

The project will immediately report high level risks to the Executive Sponsors. Once a month, Project Managers will meet to review risks, ratings and mitigation strategies and will report all risks on their monthly status reports.

Reporting

The consolidated risk log will be reviewed by the Project Managers, Executive Sponsors and Independent Quality Assurance Consultant to understand the level of risk across the project. At that time, mitigations will be reviewed for suitability. If required, additional mitigation requests will be put in place for risk avoidance purposes.

Quality Assurance

Quality Assurance (QA) ensures that planning, performing, managing, monitoring, and measuring the quality management activities are accomplished by the project.

The primary goals of this QA effort for the ERA Project are:

- Assess the project's state regularly throughout the project
- Assess project's deliverables for quality
- Identify project's risks and recommend management strategies and mitigations
- Provide input that supports Project Management in detecting and responding to variations in the project that threaten project completion or quality

An independent Quality Assurance (QA) consultant will help assure that the project is successfully planned, executed, and implemented.

The Independent Quality Assurance Consultant will:

1. Develop ERA Project Quality Assurance Plan.
2. Provide quality assurance for monitoring the ERA project.
3. Work with the Project's Executive Sponsors, Steering Committee, Business Owner, and Project Manager on an on-going basis to provide advice, direction, and informal reporting on operational and project assessments.
4. Provide independent feedback of key stakeholders (anonymously, if appropriate) to the Executive Sponsors, Business Owner, and Project Manager.
5. Provide independent and objective reviews of the project, its progress, and any difficulties.

6. Provide a common source of reliable independent information to those charged with project oversight.
7. Perform periodic reviews, analysis and written feedback of the project, and related activities to assure that effective project planning, management, risk assessment, and controls are being applied to assure success.
8. Conduct monthly QA Assessments, providing Executive Sponsors, Business Owner and Project Manager with findings and recommendations.
9. Develop and present quarterly written QA Assessment reports to the Executive Sponsors, Steering Committee, Business Owner, and Project Manager.

Quality Control

Quality control helps to ensure the results of the work accomplished is what the business expected. Quality control focuses on both products and services such as deliverables, project results, cost, and schedule performance.

Several methods will be used to ensure that the project and the outcomes that result from it and to adhere to appropriate quality standards:

- Products review and assessment prior to approval
- Project performance reports
- Quality checklists and scorecards
- Readiness assessments

The Prime Vendor is expected to implement QA processes to ensure that all configurations, interfaces, extensions and deliverables are of a consistent high quality, are accurate, complete and serve the purpose as intended. The Prime Vendor Quality Assurance Lead (QAL) will create an internal project quality management plan for the Prime Vendor's use which will provide a structured mechanism for monitoring project quality.

Prime Vendor will conduct informal project quality reviews throughout the duration of the ERA Project to evaluate critical processes, and will conduct formal project quality reviews once per project calendar quarter.

The Prime Vendor Quality Assurance Lead will:

1. Develop quality assurance plan for evaluating ERA project activities, deliverables and work products.
2. Work with DRS Project Manager on an on-going basis to provide advice, direction, and informal reporting on project assessments.
3. Forecast and schedule project QA tasks and events.
4. Review planned quality objectives and attributes before the start of major project activities.
5. Review quality-related project progress monthly.
6. Work cooperatively with DRS' independent QA consultant.
7. Collect, report and review project metrics for each phase of the project.
8. Record the process and work product QA activities for the DRS project management team.

Closeout

The purpose of project closeout is to assess the project and derive any lessons learned and best practices to be applied to future projects, and to ensure that the project met its objective, as well as, ensuring the proper transition to the operation plan is in place.

Lessons Learned

The project will conduct a lessons learned session with a neutral facilitator and document any lessons learned during the project, to use the information in future initiatives. The general process is to solicit feedback on the project from project team members and stakeholders. A report is produced from the session and distributed to the attendees of the session for review. After review, the report is distributed to the Executive Sponsors and other key stakeholders to act upon key recommendations derived from the lessons learned. It is also stored in a Project SharePoint site and available to inform future efforts.

Post Implementation Report

The Post Implementation Report is an assessment and review of the project and final solution. The Project Manager will work with the Executive Sponsors to complete a report after the solution is deployed and sometime after the project is completed. The report will provide a summarized timeline of events, final budget and schedule results, the degree of success, the extent to which the outcomes were met, benefits realized, any major challenges or barriers, the top lessons learned, and recommendations for future initiatives.

Process/Workflow Name: 1.0 Enroll Employer Process

This process provides a function to facilitate the enrollment of employers into a DRS retirement system, including DCP, and assist employers in obtaining appropriate OASI status.

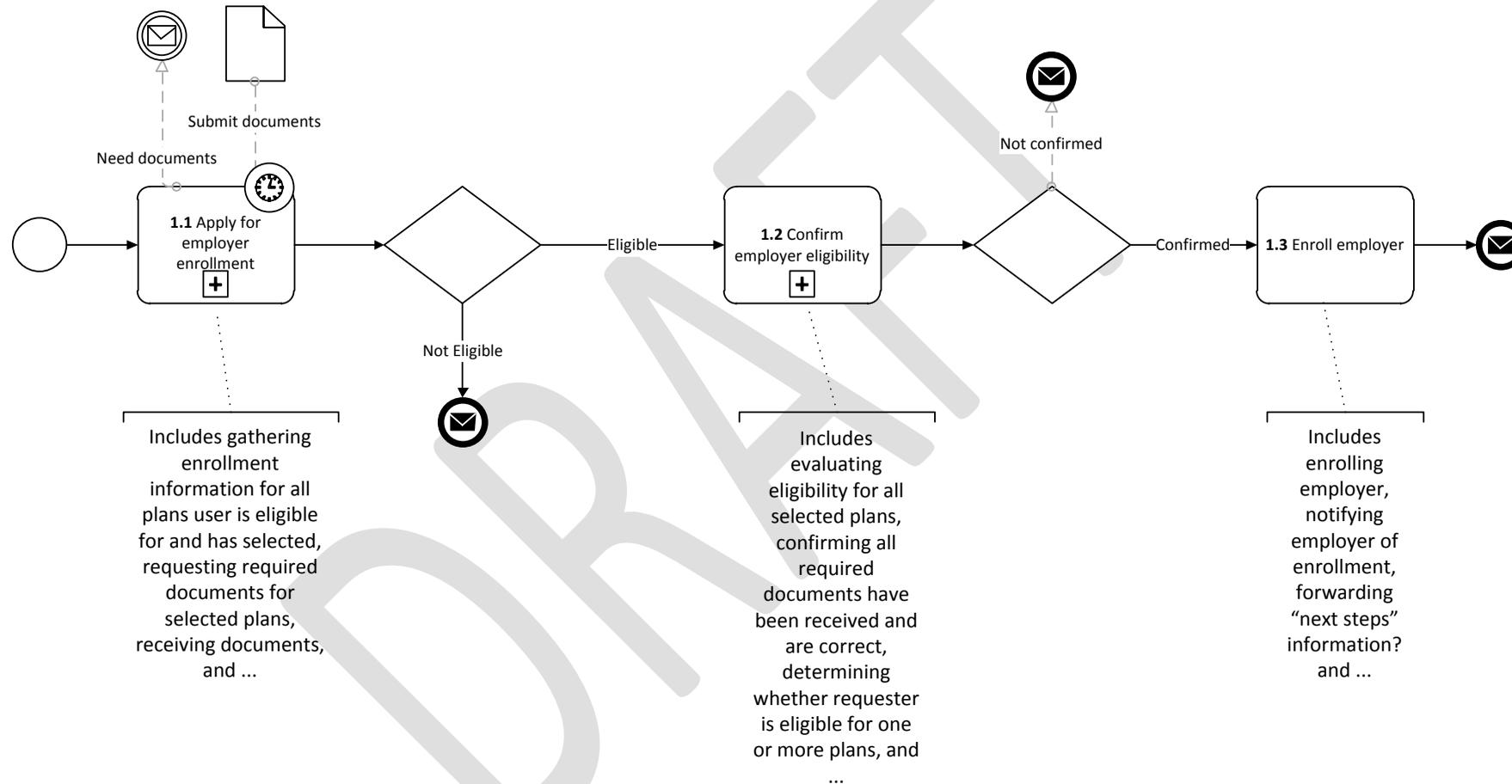
For new mandated employers, a process occurs before enrollment during which DRS contacts DES.

Note: The data elements listed in this document represent data that is currently collected to support the Enroll Employer process. We anticipate that the data requirements will change, based on the physical design and platform. It is also assumed that further analysis will be done on the Enroll Employer process and all other processes that may share the data to identify the new data requirements.

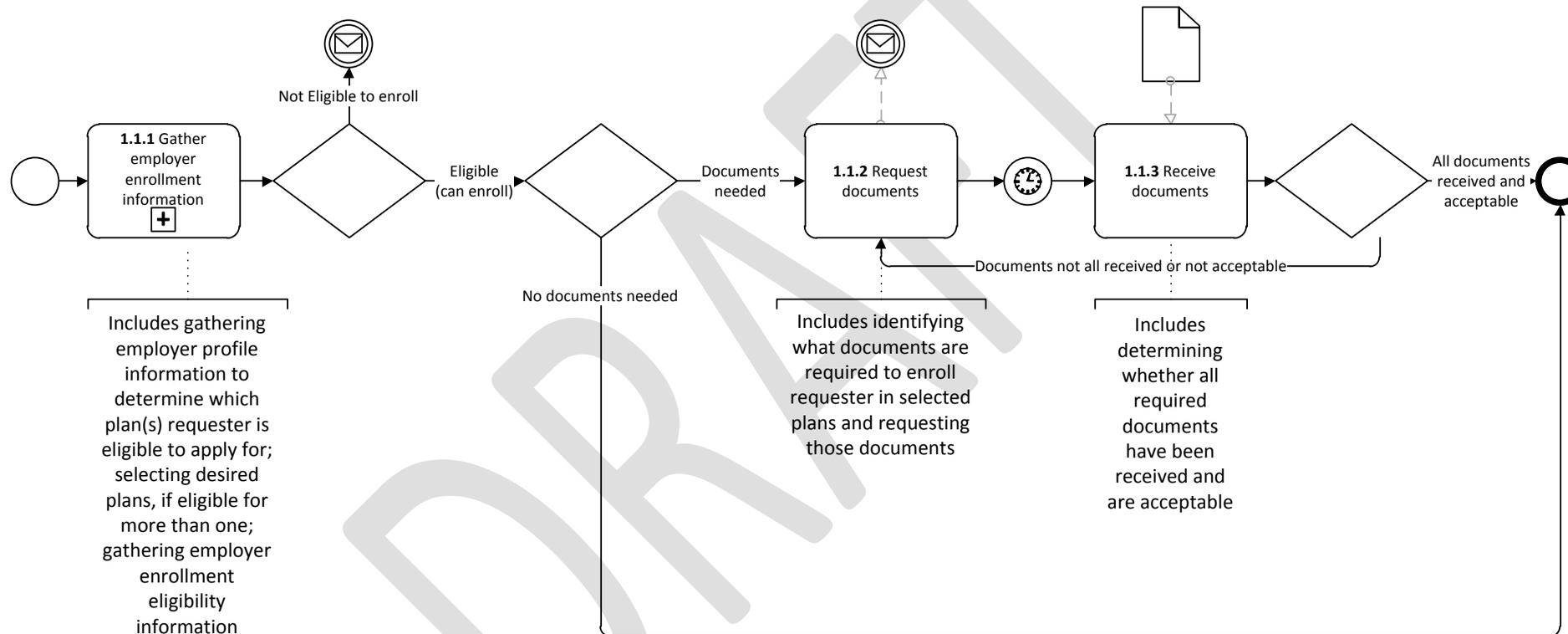
Child processes are:

- Apply for employer enrollment
 - Gather employer enrollment information
 - Gather OASI information
 - Gather DCP information
 - Gather retirement plan/pension plan information
 - Request employer enrollment documents
 - Receive documents
- Confirm employer eligibility
 - Review documents
- Enroll employer

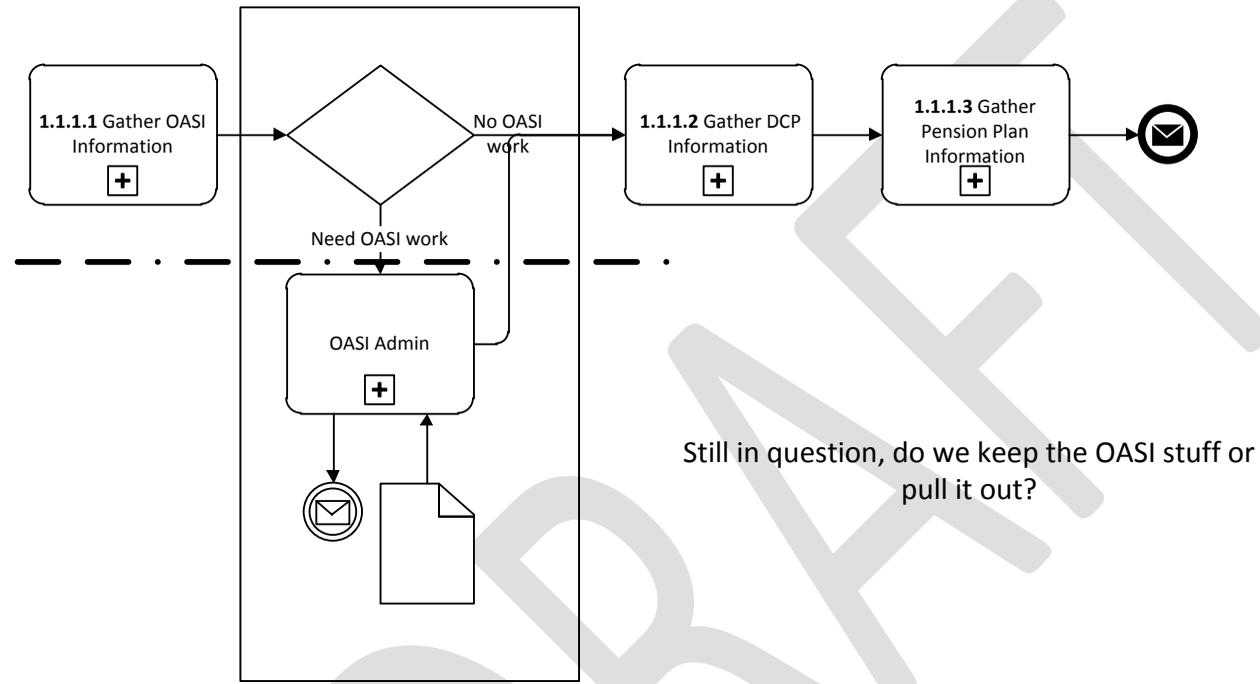
1.0 Enroll Employer



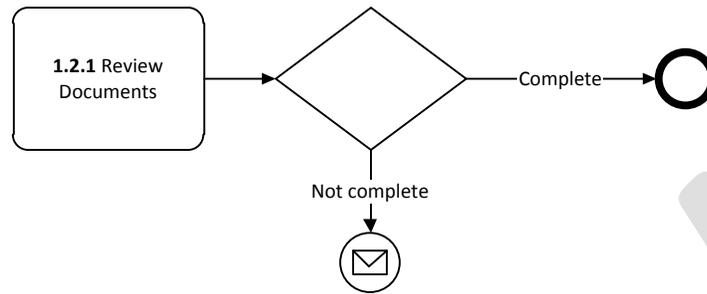
1.1 Apply for Employer Enrollment



1.1.1 Gather Employer Enrollment Information



1.2 Confirm Employer Eligibility



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Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
1	1.0		Parent Process	Enroll Employer. This process provides a function to facilitate the enrollment of employers into a DRS retirement system, including DCP, and assist potential employers in obtaining appropriate OASI status.	There is a possibility that a Roth 457 plan will be added in the future. LEOFF Employer: 41.26.030 PERS Employer: 41.40.010 SERS Employer: 41.35.010 TRS Employer: 41.32.010 WSPRS Employer: 43.43.010 PSERS Employer: 41.37.010 DCP Employer: 41.50.770 and 41.50.780 OASI: RCW 41.48.030 and Section 218 of the Social Security Act		
2	1.0		Inputs	<ul style="list-style-type: none"> External requester makes inquiry about enrollment Requester has selected to Start Application (in the Review Employer Enrollment Information process) DRS team member initiates enrollment process 			
3	1.0		Outputs	For requester who opts for one or more plans: <ul style="list-style-type: none"> Requester has 218 coverage DCP enrollment record created Pension plan enrollment record created “Not eligible” message to requester 			
4	1.0	F1	Functionality	The system will include an application for employers to provide employer enrollment information to DRS.			
5	1.0	R1	Requirement	The application will include an authorization/login feature.	Global Requirements		
6	1.0	R2	Requirement	The application will allow users to come back in	Global Requirements		

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				and view data they have already input. (Should be able to save, update, retrieve, check status.)			
7	1.0	R3	Requirement	The application will be easily accessible to external users.	Global Requirements		
8	1.0	R4	Requirement	The application will be ADA compliant.	Global Requirements		
9	1.0	R5	Requirement	The application will be accessible 24 x 7, except for scheduled or emergency periods of maintenance.	Global Requirements		
10	1.0	F2	Functionality	The Enroll Employer process will include messaging capabilities. This applies to one or more child processes of this process.			
11	1.0	F3	Functionality	The Enroll Employer process will include a document upload capability. This applies to one or more child processes of this process.			
12	1.1		Child process of 1.0	Apply for Employer Enrollment. This process enables prospective employers to apply for enrollment. At the end of the process, the requesters will know what plan(s) they can apply for and will have submitted acceptable copies of all required documents.	LEOFF Employer: 41.26.030 PERS Employer: 41.40.010 SERS Employer: 41.35.010 TRS Employer: 41.32.010 WSPRS Employer: 43.43.010 PSERS Employer: 41.37.010 DCP Employer: 41.50.770 and 41.50.780		
13	1.1		Input	Requester has valid login setup and accesses system			
14	1.1		Output	<ul style="list-style-type: none"> Accepted application documents or "Ineligible" notification 			
15	1.1.1		Child process of 1.1	Gather Employer Enrollment Information. Using the public access point, requesters will provide enrollment information in various ways, responding to questions or presentation of choices. This will enable the process to determine which plans the requester can apply for and what documents are required for those plans, if requester chooses to apply.	Is there a state-wide number that all employing entities have that could be used in this process, such as the UBI from DOR's Master License System? (OFM and the State Treasurer use different numbers and some employers don't have to register with State Treasurer, so their numbers would not work. Might be able to use		

Control #	#		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<p>the number to validate the type of employer and potentially rule out or confirm their eligibility to apply and/or enroll.</p> <p>Can we identify all governmental employers and put them in the system? They would be used to 1) help identify the employer up front in the self-assessment, 2) enable the employer to pick their name from a list when doing the self-assessment, 3) send marketing information to employers who have not contacted us to enroll. Some of these employers are already in our system (EIS?). We don't know if there are UBI's for them all, or who we could get this information from.</p> <p>Example of choices:</p> <ul style="list-style-type: none"> Allow employer to select from most common authorizing entities, e.g., legislation, IRS status (for example, 501C3 non-profit). (There could be more than one for an employer, but historically employers have selected only one.) 		
16	1.1.1		Input	<ul style="list-style-type: none"> Employer identifying information 		
17	1.1.1		Output	<ul style="list-style-type: none"> Determination of whether requester has 218 coverage Determination of whether or not requester is eligible to enroll in DCP and/or a pension plan. 		<p>RCW 41.40.062 discusses optional entry of system by political subdivisions or associations of political subdivisions. 415-501 WAC covers regulations for DCP.</p>

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
18	1.1.1	F1	Functionality	Gather information to identify the requester: <ul style="list-style-type: none"> Name of organization Employer Identification Number (EIN) Universal Business Identifier (UBI) ORG number, if requester is already a DRS employer 			
19	1.1.1	F2	Functionality	The information from the existing OASI Access database will be integrated into the new system.	The OASI database includes all employers that have coverage and could be used to determine whether the requester already has the 218 and what course to take. E.g., initiate contact and discussion of impacts with ER, provide procedures and sample resolutions, etc. Make sure names in database match “official local government/political subdivision name”, which is what system will request.		
20	1.1.1	F3	Functionality	Determine what plans the requester is eligible to apply for and is interested in: <ul style="list-style-type: none"> Obtain OASI coverage Enroll in DCP Enroll in a DRS pension plan 	The requester may be eligible to apply for more than one, but may not be interested in all they are eligible to apply for.		
21	1.1.1	M1	Messaging	The process will create notifications to requester: <ul style="list-style-type: none"> You are eligible to apply for these plans Please choose which plan(s) you would like to apply for You are not eligible to apply for any plan 			
22	1.1.1	F4	Functionality	Based on the plans the requester would like to apply for, the process will create notification of what documents are required and provide documents that DRS currently generates. See child	Some documents are provided by the requester as supporting documents, such as board approval notes or articles of incorporation.		

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				processes 1.1.1.1, 1.1.1.2, and 1.1.1.3 for lists of required documents.			
23	1.1.1	O1	Documents	The process will provide downloadable versions of informational documents provided by OASI, DCP, and DRS pension plan. See child processes 1.1.1.1, 1.1.1.2, and 1.1.1.3 for lists of documents that will be provided.	Example: Procedures for obtaining 218 coverage.		
24	1.1.1	O2	Documents	The system will provide the ability to image required documents received from the requester.			
25	1.1.1.1		Child process of 1.1.1	Gather OASI Information. This process will gather information regarding the requester’s OASI status. This information will enable the DRS SSA administrator to determine what status the requester should have, what work needs to be done to obtain it, and what documents are required. This process may require its own child processes or send output to a separate workflow for processing additional OASI work.	Need to determine the process(es) for “More OASI Work Required” and where they should be placed. RCW 41.41.030 provides procedural information about obtaining 218 coverage.		
26	1.1.1.1		Input	OASI Assessment/Questions			
27	1.1.1.1		Output	<ul style="list-style-type: none"> Determination of whether more OASI work is required for requester to be appropriately participating in OASI Required OASI information gathered List of required documents to obtain 218 coverage 			
28	1.1.1.1	F1	Functionality	Gather information to determine if the requester has 218 coverage and if more OASI work is required.			
29	1.1.1.1	B1	Business Rule	The following new state employers are automatically covered by OASI: <ul style="list-style-type: none"> State agencies (except State Troopers) 	RCWs 41.41.030 and 41.41.020 discuss who is included in OASI Coverage.		

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<ul style="list-style-type: none"> Colleges School Districts 			
30	1.1.1.1	B2	Business rule	Employees of political subdivisions and other employers can contribute to OASI after obtaining 218 coverage.			
31	1.1.1.1	B3	Business Rule	The begin date of OASI coverage must be one day before the start date of participation in a DRS retirement system.			
32	1.1.1.1	B4	Business rule	<p>“More OASI Work” is required under the following circumstances:</p> <ul style="list-style-type: none"> Employer does not have modification to 218 agreement (some or all employees may or may not be currently contributing to Social Security and/or Medicare). Employer has modification to 218 agreement but indicates that no employees are currently contributing to Social Security and/or Medicare. 	<p>Need to determine where to place the “More OASI work required” process.</p> <p>More work could entail:</p> <ul style="list-style-type: none"> Assist employer in obtaining a modification to 218 agreement, either through the Majority Vote Referendum Process, or the procedure for obtaining ‘absolute’ Social Security coverage. Refund contributions if a resolution fails. Identify when a legal dissolution has occurred and notify SSA. Take appropriate actions when an employer has been withholding and should not have been. 		
33	1.1.1.1	D1	Data	Official Local Government/Political Subdivision Name	The full legal name might be different or longer than the name the entity commonly goes by.		For Absolute Coverage Group, Retirement System Group, Hospital Insurance – Medicare-only Coverage
34	1.1.1.1	D2	Data	IRS Employer Identification Number (EIN)	This data may require security.		For Absolute Coverage Group, Retirement System Group, Hospital Insurance – Medicare-only Coverage

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
35	1.1.1.1	D3	Data	Contact Name			For Absolute Coverage Group, Retirement System Group, Hospital Insurance – Medicare-only Coverage
36	1.1.1.1	D4	Data	Contact Title			For Absolute Coverage Group, Retirement System Group, Hospital Insurance – Medicare-only Coverage
37	1.1.1.1	D5	Data	Contact Phone and Extension			For Absolute Coverage Group, Retirement System Group, Hospital Insurance – Medicare-only Coverage
38	1.1.1.1	D6	Data	Contact Email address			For Absolute Coverage Group, Retirement System Group, Hospital Insurance – Medicare-only Coverage
39	1.1.1.1	D7	Data	Mailing address	This is the organization's mailing address. May or may not be same as Street Address.		For Absolute Coverage Group, Retirement System Group, Hospital Insurance – Medicare-only Coverage
40	1.1.1.1	D8	Data	Physical address	May or may not be same as Mailing Address		For Absolute Coverage Group, Retirement System Group, Hospital Insurance – Medicare-only Coverage
41	1.1.1.1	D9	Data	Optional Exclusions from coverage: Requester selects one from several optional exclusions, including: <ul style="list-style-type: none"> All classes of elective positions All classes of part-time positions Positions compensated solely by fees received directly from the public Agricultural labor, to the extent permitted by federal law By a student as permitted by federal law None 			For Absolute Coverage Group, Retirement System Group
42	1.1.1.1	D10	Data	Name of person authorized to sign the Agreement			For Absolute Coverage Group, Retirement System Group
43	1.1.1.1	D11	Data	Title of person authorized to sign the Agreement			For Absolute Coverage Group
44	1.1.1.1	D12	Data	Signature/title/date	These are from the questionnaires, not from resolution – do we need this data in new system? If so, is electronic signature acceptable?		For Absolute Coverage Group, Retirement System Group, Hospital Insurance – Medicare-only Coverage

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
45	1.1.1.1	D13	Data	Retirement System group seeking Social Security coverage	E.g., PERS, LEOFF, etc.		Retirement System Group, Hospital Insurance – Medicare-only Coverage
46	1.1.1.1	D14	Data	Are any of the employees in the Retirement System group deployed military personnel?			Retirement System Group
47	1.1.1.1	D15	Data	Number of employees who will be eligible to vote (= retirement system members)			Retirement System Group
48	1.1.1.1	D16	Data	What date do you recommend for the Referendum?	With text: Must be at least 90 days after posting the Notice of Referendum or 150 days if any eligible voters are deployed military personnel.		Retirement System Group
49	1.1.1.1	D17	Data	Number of employees who will be eligible to vote in the Medicare-only referendum			Hospital Insurance – Medicare-only Coverage
50	1.1.1.1	D18	Data	What date do you recommend to distribute ballots of eligible voters?	With text: Must be at least 90 days after posting the Notice of Referendum or 150 days if any eligible voters are deployed military personnel.		Hospital Insurance – Medicare-only Coverage
51	1.1.1.1	D19	Data	Name of person who will be authorized to sign the Resolution and the Agreement			Hospital Insurance – Medicare-only Coverage
52	1.1.1.1	D20	Data	Title of person who will be authorized to sign the Resolution and the Agreement			Hospital Insurance – Medicare-only Coverage
53	1.1.1.1	D21	Data	Whether all or some of the organization's employees are currently contributing to Social Security	This question is asked before the organization has 218 coverage.		New Employer Questionnaire
54	1.1.1.1	D22	Data	Whether all or some of the organization's employees are currently contributing to Medicare			New Employer Questionnaire
55	1.1.1.1	D23	Data	Have an agreement (yes/no)	May be entered by DRS team member during or after "More OASI work required" process.		From OASI database
56	1.1.1.1	D24	Data	Type of 218 agreement	May be entered by DRS team member during or after "More OASI work required" process.		From OASI database
57	1.1.1.1	D25	Data	Kind of plan	May be entered by DRS team member		From OASI database

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					during or after “More OASI work required” process.		
58	1.1.1.1	D26	Data	Social Security coverage for employees	This information is collected after coverage begins, to identify whether some employees are exempted from coverage.		From OASI database
59	1.1.1.1	D27	Data	Effective date of agreement	May be entered by DRS team member during or after “More OASI work required” process.		From OASI database
60	1.1.1.1	D28	Data	Medicare only (yes/no)	May be entered by DRS team member during or after “More OASI work required” process.		From OASI database
61	1.1.1.1	D29	Data	OASI number	May be entered by DRS team member during or after “More OASI work required” process.		From OASI database
62	1.1.1.1	D30	Data	To be billed (yes/no)	May be entered by DRS team member during or after “More OASI work required” process.		From OASI database
63	1.1.1.1	D31	Data	Effective date of agreement			May be entered by DRS team member during or after “More OASI work required” process.
64	1.1.1.1	D32	Data	Additional OASI data	Need to obtain from OASI database Note: There are employers listed in the OASI database that are not in MIS (non-DRS employers) and are non-Section 218 covered (“non-liables”).		
65	1.1.1.1	O1	Documents	The following documents are required from the requester: <ul style="list-style-type: none"> Resolution Election results 	Depending on how the “More OASI work required” is developed, may be received in the “More OASI Work Required” process.		
66	1.1.1.1	O2	Documents	The following documents are provided to the requester at time of request: <ul style="list-style-type: none"> Washington State Procedures for Political Subdivisions to Obtain ‘Absolute’ Social 			

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				Security Coverage with sample resolution <ul style="list-style-type: none"> Majority Vote Referendum for Voluntary Social Security Coverage for Retirement System Group Checklist and procedure Divided Vote Referendum for Medicare Part A – Hospital Insurance (HI) Checklist and procedure 			
67	1.1.1.1	O3	Documents	The following documents are provided to the requester after resolution has been received: <ul style="list-style-type: none"> Fully executed copy of the <i>Agreement and Modification</i> 	May be part of the “More OASI Work Required” process.		
68	1.1.1.2		Child process of 1.1.1	Gather DCP Information. This process will gather profile and organizational information required to enroll in DCP, and identify what documents are required.	DCP Employer: 41.50.770 and 41.50.780		
69	1.1.1.2		Input	DCP Assessment/Questions			
70	1.1.1.2		Output	<ul style="list-style-type: none"> Required DCP information gathered List of required documents 			
71	1.1.1.2	F1	Functionality	Gather information to determine if the requester is eligible to apply for DCP			
72	1.1.1.2	B1	Business rule	State agencies and higher education organizations are automatically eligible to enroll.	RCWs 41.50.770 and 41.50.780		
73	1.1.1.2	B2	Business rule	Political subdivisions and school districts can add DCP.	RCWs 41.50.770 and 41.50.780		
74	1.1.1.2	B3	Business rule	Private employers cannot add DCP.			
75	1.1.1.2	B4	Business rule	An employer’s DCP reporting group is not activated until the first member participant form has been received for that employer.			
76	1.1.1.2	D1	Data	Agency Name			
77	1.1.1.2	D2	Data	ORG number (Optional)			See Political Sub Agency Number Assignment form and associated procedure

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
78	1.1.1.2	D3	Data	Contact name			
79	1.1.1.2	D4	Data	Contact title			
80	1.1.1.2	D5	Data	Contact phone and extension			
81	1.1.1.2	D6	Data	Contact email address			
82	1.1.1.2	D7	Data	Fax number			
83	1.1.1.2	D8	Data	Mailing Address			
84	1.1.1.2	D9	Data	Physical Address			
85	1.1.1.2	D10	Data	Agency Number	This is the same as the report group number. Currently, the agency number is assigned by DCP if the entity is a political sub. If the entity is a state agency, ESS sets up the DCP report group and the number is assigned by the system.		
86	1.1.1.2	D11	Data	Enrollment effective date	Month and year report group is being set up		
87	1.1.1.2	D12	Data	Number of employees			
88	1.1.1.2	D13	Data	Number of posters			
89	1.1.1.2	D14	Data	Date C-up eligible			
90	1.1.1.2	D15	Data	How are employees paid? <ul style="list-style-type: none"> • Salary • Hourly • Both 			
91	1.1.1.2	D16	Data	Frequency employees paid: <ul style="list-style-type: none"> • Monthly • Semi-monthly • Bi-weekly • Weekly 			
92	1.1.1.2	D17	Data	Paid 12 months out of the year (Yes/No)			
93	1.1.1.2	D18	Data	Special payday in December because of Christmas? If yes, enter approximate date			
94	1.1.1.2	D19	Data	Earnings period description (e.g., 1 st thru last	Note: DCP and HERP fund are reported "as		

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				working day of month, semi-monthly – 1 st thru 15 th and 16 th thru last working day of month).	paid,” rather than “as earned.”		
95	1.1.1.2	D20	Data	Paid on: (e.g., monthly last working day of month, semi-monthly 25 th and 10 th of month)			
96	1.1.1.2	D21	Data	For first pay day of month: Whether or not the ending day of the earning period and the scheduled pay date are in the same month.			This data is not explicit on the Political Sub Agency Number Assignment form, but is added to the employer’s reporting group calendar in MIS (Maintain RPTGRP Calendar screen) based on payroll earning dates and pay dates.
97	1.1.1.2	D22	Data	For second pay day of month: Whether or not the ending day of the earning period and the scheduled pay date are in the same month.			Same comment as above.
98	1.1.1.2	D23	Data	Transmittal report cutoff (number of days prior to pay date)	I.e., how many calendar days before you get paid do you need changes?		
99	1.1.1.2	D24	Data	Reporting method: WBET, paper, SFT	Current Political Sub Agency Number Assignment form has Paper as a reporting alternative. Can this be eliminated? Team recommends that it be removed from the form, since all new ones get set up in WBET. However, DRS will have to figure out what to do about current paper DCP reporters. ESS is trying to slowly move them on to WBET.		
100	1.1.1.2	D25	Data	Retirement plans you report: (Can select more than one, e.g. some orgs have PERS and LEOFF, school districts have PERS, SERS, TRS) <ul style="list-style-type: none"> • PERS • TRS • LEOFF • SERS 			

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<ul style="list-style-type: none"> Other None 			
101	1.1.1.2	D26	Data	Tax Status: Tax Deferred/Not Tax Deferred	For monitoring purposes.		
102	1.1.1.2	D27	Data	For school districts only, do you have any 403(b) plans?	For monitoring purposes.		
103	1.1.1.2	D28	Data	Do you have any other 457 plans besides DCP? If yes, enter name.	For monitoring purposes.		
104	1.1.1.2	B5	Business rule	Employers are not required to participate in DRS retirement systems to add DCP.			
105	1.1.1.2	O1	Documents	<p>The following documents are required to enroll a requester in DCP:</p> <ul style="list-style-type: none"> Resolution <p>Exception: State agencies and higher education organizations are not required to submit resolutions.</p>	Need to determine whether the original is required or if online collection of data will suffice. Should this go on the issue log? Discuss with DCP. The online retirement application allows electronic signature and form.		
106	1.1.1.2	O2	Documents	<p>The following documents are provided to the requester at time of request:</p> <ul style="list-style-type: none"> Blank resolution form 			
107	1.1.1.2-	O3	Documents	A Welcome notification will be automatically sent to the requester.			
108		M1	Messaging	An internal notification will be automatically sent to appropriate DRS team members.			
109	1.1.1.3		Child process of 1.1.1	<p>Gather pension plan information. This process will gather profile and organizational information required to enroll in a retirement system administered by DRS.</p>	<p>LEOFF Employer: 41.26.030 PERS Employer: 41.40.010 SERS Employer: 41.35.010 TRS Employer: 41.32.010 WSPRS Employer: 43.43.010 PSERS Employer: 41.37.010 DCP Employer: 41.50.770</p>		
110	1.1.1.3		Input	Pension Assessment/Questions			
111	1.1.1.3		Output	<ul style="list-style-type: none"> Required pension plan information gathered 			

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<ul style="list-style-type: none"> List of required pension plan documents 			
112	1.1.1.3	F1	Functionality	Gather information to determine if requester is eligible to apply for pension plan.			
113	1.1.1.3	B1	Business rule	An organization must be a governmental entity to join PERS.		PERS	
114	1.1.1.3	B2	Business rule	Requester is eligible to apply for enrollment if: <ul style="list-style-type: none"> Employer is a public employer with governing function? Statutory authority for creation is XXXX? And, employer is X kind of non-profit organization? Statutory authority for non-profit is XXX? What if currently participating in another pension plan? 	<p>These are detailed rules for the requirement immediately above.</p> <p>One or more could apply. In any case, more research may need to be done to decide whether the organization can become an employer.</p>		
115	1.1.1.3	B3	Business rule	To add LEOFF, an employer must have one full-time, fully compensated, commissioned law enforcement officer or fire fighter. (See Business Rule 1.1.1.3 B6 below for details.)			
116	1.1.1.3	B4	Business rules	The following employers are mandated and no eligibility criteria are applied: <ul style="list-style-type: none"> School districts (TRS, SERS, and PERS) State agencies (PERS, PSERS, LEOFF, SERS, rarely TRS) Note: There is only one state agency known of that has SERS; the member is an elected official in House of Reps. 	It's unknown at this time whether charter schools will be mandated.		
117	1.1.1.3	B5	Business rules	Information DRS needs from mandated employers includes:			

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<ul style="list-style-type: none"> Contact information Universal Business Identifier (UBI) Whether contributions will be taxed or nontaxed 			
118	1.1.1.3	F2	Functionality	The system will provide a self-calculator for requesters to estimate the cost of purchasing prior service credit. The self-calculator should enable the requester to enter each employee's information or upload a spreadsheet of all employees' information.			See the Self-Estimate Form, pages 8 – 13 of the New Employer Questionnaire
119	1.1.1.3	D1	Data	Employer Name (Legal)		PERS	New Employer Questionnaire
120	1.1.1.3	D2		Employer Name (DBA)			
121	1.1.1.3	D3	Data	Unified Business Identifier (or other universal number to be identified)	Need to determine if UBI numbers are associated with all entities that may use the application process. If not, need to find another number that includes all or covers employers that don't have a UBI. Need to obtain access to this data through data-sharing agreement. There is a UBI field on the ORG screen in MIS.	PERS	
122	1.1.1.3	D4	Data	Contact Name		PERS	New Employer Questionnaire
123	1.1.1.3	D5	Data	Contact Phone and Extension		PERS	New Employer Questionnaire
124	1.1.1.3	D6	Data	Email address		PERS	New Employer Questionnaire
125	1.1.1.3	D7	Data	Number of employees		PERS	New Employer Questionnaire
126	1.1.1.3	D8	Data	Date organization was created		PERS	New Employer Questionnaire
127	1.1.1.3	D9	Data	Statutory or other authority that authorized creation of the entity	The information provided for "Statutory authority of non-profit status" should answer the following question: "Is the entity's IRS tax status non-profit, and if so, under what IRS section?" Many governmental entities would answer "no,	PERS	New Employer Questionnaire

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					we aren't organized as a non-profit, tax-exempt organization for IRS purposes.		
128	1.1.1.3	D10	Data	Physical address			
129	1.1.1.3	D11	Data	Mailing address			
130	1.1.1.3	D12	Data	Organization's function		PERS	New Employer Questionnaire
131	1.1.1.3	D13	Data	Non-profit status		PERS	New Employer Questionnaire
132	1.1.1.3	D14	Data	Statutory authority of non-profit status		PERS	New Employer Questionnaire. See email "Question about non-profit organizations" for link to USC Title 26, regarding 501 non-profit organizations (in SharePoint site).
133	1.1.1.3	D15	Data	Other pension plans the employer is participating in		PERS	New Employer Questionnaire
134	1.1.1.3	D16	Data	PERS/LEOFF/PSERS membership begin date	This information (and following information) may not be available until the organization has passed the resolution).	PERS LEOFF PSERS	See Sample Resolution Authorizing and Approving Participation in PERS for current format of questions.
135	1.1.1.3	D17	Data	Tax Status of contributions (taxed or tax-deferred)		PERS	Resolution
136	1.1.1.3	D18	Data	Tax deferral begin date		PERS	Resolution
137	1.1.1.3	D19	Data	Date resolution was passed	This information may not be available until the organization has passed the resolution.	PERS	Resolution
138	1.1.1.3	D20	Data	Purchase of previous service payment option. Options are: Option A, with text as follows: Employer pays all previous service costs (both member and employer contributions).	May want to revisit text in design phase.	PERS	Resolution
139	1.1.1.3	D21	Data	Option B, with text as follows: Employer and member share previous service cost. Payment must be completed within five years from entry into PERS.		PERS	Resolution
140	1.1.1.3	D22	Data	Option B Suboption 1, with text as follows: Member pays member contributions, employer pays employer contributions		PERS	Resolution

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
141	1.1.1.3	D23	Data	Option B Suboption 2, with text as follows: Member pays a percentage of previous service cost, Employer pays the balance		PERS	Resolution
142	1.1.1.3	D24	Data	Option B Suboption 2 Member's percentage		PERS	Resolution
143	1.1.1.3	D25	Data	Option B Suboption 2 Employer's percentage		PERS	Resolution
144	1.1.1.3	D26	Data	Option C, with text as follows: Member pays all previous service costs (both member and employer contributions). Payment must be completed within five years from entry into PERS.		PERS	Resolution
145	1.1.1.3	B6	Business rule	<p>For an existing employer who wants to add LEOFF, the employer must have one or more employees who meet the criteria to be a law enforcement officer or fire fighter. See eligibility subprocess and rules in Determine Membership Eligibility workflow and business requirements. [Delete the information below when Eligibility business requirements are done.]</p> <ul style="list-style-type: none"> The employee works full-time, i.e., 160 hours per month The employee is fully compensated. To determine whether this criteria is met, the rate is compared to others in the same position, either with that employer, or with LEOFF employers that are the same general size. LEOFF/DRS has copies of contracts from other entities. The determination is based partly on size of entity. If a police officer, the employee is fully commissioned. The employee must be receiving other benefits, such as medical. If a fire fighter, the employee must be "fully 	<ul style="list-style-type: none"> For new employers and for existing employers with new LEOFF positions, it would be good if ESS managed the entire eligibility process, with the understanding that ESS can consult with LEOFF team members whenever there are questions or if there/s a disagreement. 		<p>The job description obtained from the potential LEOFF employer generally provides all this information.</p> <p>Definition of LEOFF Employer: RCW 41.26.030</p>

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<p>uniformed,” i.e., in a collective bargaining unit.</p> <ul style="list-style-type: none"> The employee must be working primarily as a law enforcement officer or fire fighter. If a person is performing primarily management tasks and the population the entity serves is over 10,000, the position will not be considered LEOFF-eligible. If the population is less than 10,000, the position can include shared responsibilities and be LEOFF-eligible. 			
146	1.1.1.3	B7	Business rule	<p>For an organization to be a PSERS employer, it must be one of the following:</p> <ul style="list-style-type: none"> A city A county An Interlocal agency Washington State Department of Corrections Washington State Parks and Recreation Commission Washington State Gambling Commission Washington State Patrol Washington State Liquor Control Board Washington State Department of Natural Resources 			Definition of PSERS Employer: RCW 41.37.010
147	1.1.1.3	O1	Documents	<p>The following documents are required to apply for enrollment in a DRS retirement system:</p> <ul style="list-style-type: none"> Resolution <ul style="list-style-type: none"> Exceptions: LEOFF, PSERS, and mandated employers are not required to submit a resolution. Articles of incorporation 			

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<ul style="list-style-type: none"> Document of authorization for creation of organization Document of authorization of non-profit status Interlocal agreements RCWs and legal documents for the organization and other supporting documents If adding LEOFF, a position description. 			
148	1.1.1.3	O2	Documents	<p>The following documents will be available for download:</p> <ul style="list-style-type: none"> Sample resolution form [New Employer Information Packet] 	Rather than provide the New Employer Information Packet for upload, would be good to provide the information online.		
149	1.1.2		Child process of 1.1	Request Employer Enrollment Documents. The process will send a request for employer enrollment documents to the requester.			
150	1.1.2		Input	List of documents needed to obtain 218 coverage, or enroll in DCP or a pension plan.			
151	1.1.2		Output	Request sent to requester.			
152	1.1.2	F1	Functionality	The system will provide the requester with a list of required documents for plans the requester is eligible and interested in applying for.			
153	1.1.3		Child process of 1.1	Receive Documents. This process will receive submitted documents from requester.			RCW 41.40.062 (Optional entry of system by political subdivisions...)
154	1.1.3		Input	<ul style="list-style-type: none"> Documents submitted from requester 			
155	1.1.3		Output	<ul style="list-style-type: none"> Confirmation that all required documents have been received and are acceptable or “Documents not all received or not acceptable” notification Original resolution may be returned to requester. 			
156	1.1.3	F1	Functionality	A determination will be made as to whether all required documents have been received and			

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				whether they are acceptable.			
157	1.1.3	M1	Messaging	If the documents are not all received or not all acceptable, notification will be sent to the requester.	Requester will send new copy in. Documents are only returned to requesters if they ask for them.		
158	1.2		Child process of 1.0	Confirm Employer eligibility. This sub-process will confirm the eligibility of the requester to obtain 218 coverage or enroll in DCP or a pension plan.	LEOFF Employer: 41.26.030 PERS Employer: 41.40.010 SERS Employer: 41.35.010 TRS Employer: 41.32.010 WSPRS Employer: 43.43.010 PSERS Employer: 41.37.010 DCP Employer: 41.50.770		
159	1.2		Input	<ul style="list-style-type: none"> Determination that requester is eligible to apply for enrollment in DCP or a pension plan, and, if enrolling in a pension plan, has appropriate OASI coverage or is in process of obtaining it. Submission of required documents for obtaining 218 coverage or enrolling in DCP or a pension plan. 			
160	1.2		Output	<ul style="list-style-type: none"> Confirmation that all required documents have been received and establish the eligibility of the requester to join the plan. Confirmation that requester is eligible for DCP, and/or a pension plan, and if enrolling in a pension plan, has 218 coverage. Notification to requester that requester is not eligible for DCP and/or a pension plan. Notification to RSD team member that employer is eligible and may be sending in Verification of Employment forms for purchasing prior service credit. 			

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
161	1.2.1		Child process of 1.2	Review Documents. This process is a manual review of documentation received from the requester and confirms whether or not the requester’s organization is eligible to participate.			
162	1.2.1		Inputs	<ul style="list-style-type: none"> Documents submitted by requester 			
163	1.2.1		Outputs	<ul style="list-style-type: none"> Confirmation that all required documents have been received and establish the eligibility of the requester to join the plan. Confirmation that requester is eligible for DCP, and/or a pension plan, and if enrolling in a pension plan, has 218 coverage. Notification to RSD team member that employer is eligible and may be sending in Verification of Employment forms for purchasing prior service credit. OR Notification to requester that requester’s organization is not eligible for DCP and/or a pension plan. 			
164	1.2.1	P1	Procedure	<p>For each plan the requester has applied for, confirm whether requester is eligible to participate:</p> <ul style="list-style-type: none"> OASI: If requester has indicated their employees will participate in OASI, the requester: <ul style="list-style-type: none"> Has 218 coverage, or Has submitted an acceptable resolution and will obtain 218 coverage at least one day before being enrolled in a pension plan DCP: The requester: <ul style="list-style-type: none"> Is a political subdivision or school district Has submitted an acceptable resolution. Pension plan: 	<p>For all three types of plans (OASI, DCP, Pension), a DRS team member must make the final confirmation.</p> <p>LEOFF Employer: 41.26.030</p>		

Control #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<ul style="list-style-type: none"> Requester is a governing entity. Political subdivision: Requester has submitted an acceptable resolution. DRS employer adding LEOFF: <ul style="list-style-type: none"> Employer has one or more employees who meet criteria outlined in 1.1.1.3, and Requester has submitted a job description that demonstrates the criteria is established in the position. 	PERS Employer: 41.40.010 SERS Employer: 41.35.010 TRS Employer: 41.32.010 WSPRS Employer: 43.43.010 PSERS Employer: 41.37.010 DCP Employer: 41.50.770 OASI: RCW 41.48.030 and Section 218 of the Social Security Act		
165	1.2.1	M1	Messaging	A message is generated notifying the requester that the organization is or is not eligible to participate in one or more plan(s), including list of eligible plans.			
166	1.3		Child process of 1.0	Enroll Employer. This sub-process will include a procedure to create an enrollment record for a new employer that will enable the employer to begin reporting member retirement system and/or DCP data.			
167	1.3		Input	<ul style="list-style-type: none"> Confirmation that requester’s organization is eligible for enrollment. 			
168	1.3		Output	For requester who opts for one or more plans: <ul style="list-style-type: none"> Requester has 218 coverage, and/or DCP enrollment record created, and/or Pension plan enrollment record created, or “Not eligible” message to requester 			
169	1.3	F1	Functionality	The system will include a feature to “Create Employer Enrollment Record.”			
170	1.3	M1	Messaging	<ul style="list-style-type: none"> Confirmation is sent to requester. Message is sent to DRS team members (RSD) to 			

Control #	#		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
			let them know members could be calling to purchase prior service.			

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Process/Workflow Name: 2.0 Update Employer

This process provides a function for employers to submit updates to their employer profile information, pension plan information, DCP information or OASI status information.

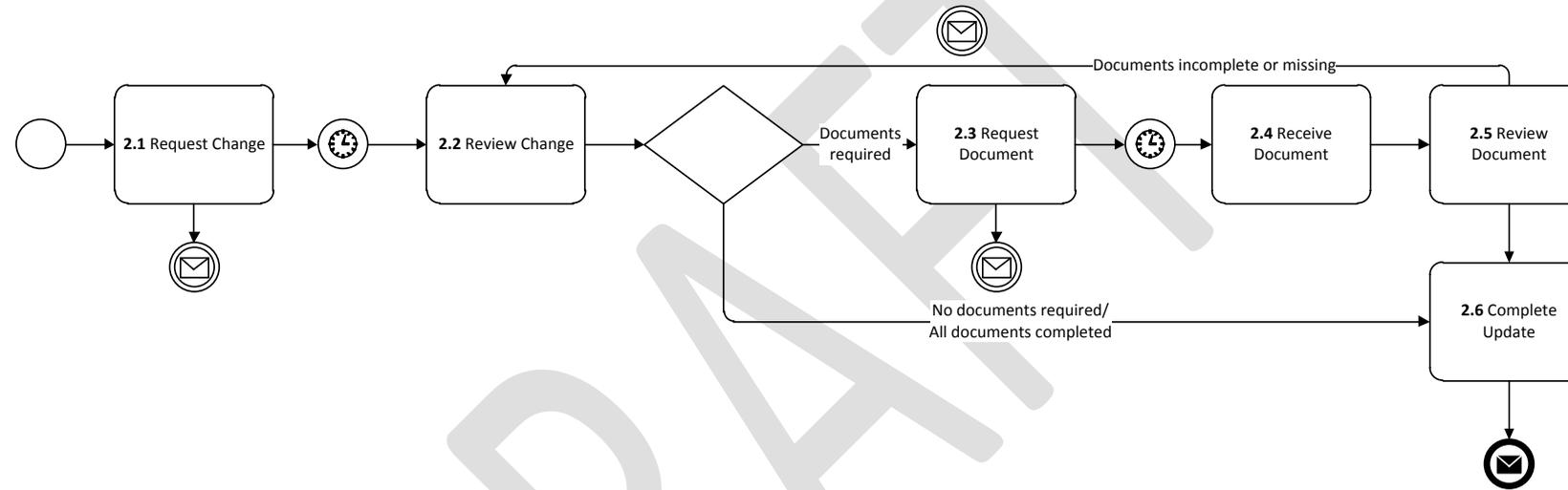
Note: The data elements listed in this document represent data that is currently collected to support the Update Employer process. We anticipate that the data requirements will change, based on the physical design and platform. It is also assumed that further analysis will be done on the Update Employer process and all other processes that may share the data to identify the new data requirements.

Child processes are:

- Request Change
- Review Change
- Request Document
- Receive Document
- Review Document
- Complete Update

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2.0 Update Employer



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Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
1	2.0		Parent Process	Update Employer. This process provides a function for employers to submit updates to their employer profile information, pension plan information, DCP information or OASI status information.	<ul style="list-style-type: none"> RCW 41.47 Acceptance of Old Age and Survivors' Insurance – 1941 Act RCW 41.50.770 Deferred compensation plans WAC 415-501 Deferred Compensation Plan 		
2	2.0		Inputs	<ul style="list-style-type: none"> Employer accesses system. DRS team member initiates update process. 			
3	2.0		Outputs	<ul style="list-style-type: none"> Requested updates have been made to the employer's information. Confirmation of changes sent to requester. 			
4	2.0	R1	Requirement	Main contact will be able to set security access for the other contacts that are allowed to make changes.			
5	2.0	R2	Requirement	DRS will maintain and update the main contact's information.			
6	2.0	F1	Functionality	The employer will be able to track the progress of their changes including status of documentation.			
7	2.0	F2	Functionality	For closed report groups, allow employers to make corrections and attach to current reporting period.	In considering this functionality, need to be aware allowing this will affect statements, letters and addresses.		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
8	2.0	F3	Functionality	<p><u>Pension</u></p> <p>Employers are not allowed to close a report group that has an open or outstanding report.</p> <p><u>DCP</u></p> <p>Employers are not allowed to close a report group that has an open or outstanding report or balance.</p>			
9	2.1		Child process of 2.0	<p>Request Change. This process enables employers to select a type of update, respond to specific questions regarding the requested update and submit that update for review.</p>			
10	2.1		Input	<ul style="list-style-type: none"> Requester has valid login, accesses system and requests a change. DRS staff has found an error in the employer's information and kicks off the update employer process. 			
11	2.1		Output	<ul style="list-style-type: none"> Requested update is submitted to DRS for review. System generated list of recommended documentation. 			
12	2.1	R1	Requirement	<p>Employer will be able to view their current:</p> <ul style="list-style-type: none"> Profile information Pension Plan information DCP Plan information OASI status 			
13	2.1	R2	Requirement	<p>System will be as automated as possible to generate list of required documents.</p>			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
14	2.1	R3	Requirement	<p>Employer will be able to select type of update. Types of updates may include:</p> <ul style="list-style-type: none"> • Change Employer Address • Change Employer Contact Person • Change Employer Tax Status • Change employer A name • Employer A merges into Employer B • Employer A merges into Employer B, Employer B changes their name • Employer A and Employer B merge together and create a new entity C • Employer E breaks off from Employer D as a new entity • Add a report group • Inactivate a report group • 			
15	2.1	F1	Functionality	There will be questions based on the type of update requested.			
16	2.1	D1	Data	What is your new physical address?	Change employer address		
17	2.1	D2	Data	What is your new mailing address?	Change employer address		
18	2.1	D3	Data	Fax number	Change employer contact person, Employer E breaks off from Employer D as a new entity		
19	2.1	D4	Data	What Eservices access do they need (epay, wbet)?	Change employer contact person, Employer E breaks off from Employer D as a new entity		
20	2.1	D5	Data	Are they using SFT? Who is the contact?	Change employer contact person, Employer E breaks off from Employer D as a new entity		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
21	2.1	D6	Data	Change to no- taxed?	Change employer Tax Status Employer needs to submit request in writing (email is ok). Let employer know that change will take up to 45 days to implement. Tax change date needs to be changed before reporting is received or contributions will not be reported to correct buckets.		
22	2.1	D7	Data	Question to employers: Have you notified your employees of the tax change?	Employers are required to notify their employees 45 days previous to change.		
23	2.1	D8	Data	Organization #	Change employer name, Employer A (dissolves) and merges into Employer B, Employer B changes their name		Employer Name Change Request (no version number on form)
24	2.1	D9	Data	Old name	Change employer name, Employer A (dissolves) and merges into Employer B, Employer B changes their name		Employer Name Change Request (no version number on form)
25	2.1	D10	Data	New Name	Change employer name, Employer A (dissolves) and merges into Employer B, Employer B changes their name		Employer Name Change Request (no version number on form)
26	2.0	D11	Data	DBA – Doing Business As			
27	2.1	D12	Data	Effective Date of Change	Change employer name, Employer A (dissolves) and merges into Employer B, Employer B changes their name		Employer Name Change Request (no version number on form)
28	2.1	D13	Data	Contact name	Change employer name, Employer A (dissolves) and merges into Employer B, Employer B changes their name		Employer Name Change Request (no version number on form)

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
29	2.1	D14	Data	Phone/Extension	Change employer name, Employer A (dissolves) and merges into Employer B, Employer B changes their name		Employer Name Change Request (no version number on form)
30	2.1	D15	Data	E-mail Address	Change employer name, Employer A (dissolves) and merges into Employer B, Employer B changes their name		Employer Name Change Request (no version number on form)
31	2.1	D16	Data	Are there organizational changes (i.e. merging with another entity, a portion of the organization is splitting off into another entity, etc) that go with the name change? Yes, No If yes please list below.	Change employer name, Employer A (dissolves) and merges into Employer B, Employer B changes their name		Employer Name Change Request (no version number on form)
32	2.1	D17	Data	Has the organization been assigned a new Federal EIN? Yes EIN# _____ No _____	Change employer name, Employer A (dissolves) and merges into Employer B, Employer B changes their name		Employer Name Change Request (no version number on form)
33	2.1	D18	Data	Date of Request	Change employer name, Employer A (dissolves) and merges into Employer B, Employer B changes their name		Employer Name Change Request (no version number on form)
34	2.1	D19	Data	DRS Representative	Change employer name, Employer A (dissolves) and merges into Employer B, Employer B changes their name		Employer Name Change Request (no version number on form)
35	2.1	D20	Data	Comments	Change employer name, Employer A (dissolves) and merges into Employer B, Employer B changes their name		Employer Name Change Request (no version number on form)
36	2.1	D21	Data	Will employer A cease to exist?	Employer A merges with Employer B and keeps B's name with no organizational structure change		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
37	2.1	D22	Data	Will Employer A cease to exist?	Employer A (dissolves) and merges into Employer B, Employer B changes their name		Employer Name Change Request (no version number on form)
38	2.1	D23	Data	Will employer A and B cease to exist?	Employer A and Employer B merge together and create a new entity D (employer D will go through new employer process)		
39	2.1	D24	Data	Why are you inactivating a report group?	Inactivate a report group. System should send message to employer when there are no members being reported		Tracie works an EOS report “Employer without active participants”.
40	2.2		Child process of 2.0	Review Change – DRS will review the requested change. Based on the questions to the answers and any further research done, they will let the employer know the type of documentation needed to complete the change.			
41	2.2		Input	<ul style="list-style-type: none"> Requested update by employer. Answers to questions pertaining to update. System generated list of recommended documentation. 			
42	2.2		Output	<ul style="list-style-type: none"> Notification of documentation needed to complete the change. Or if no documentation is required, update completed by DRS. 			
43	2.2	R1	Requirement	DRS will have the ability to edit system generated list of recommended documentation.			
44	2.2	F1	Functionality	Employer will be notified of the type of documentation that is required to make the requested change.			
45	2.2	O1	Documents	Change Employer Address <ul style="list-style-type: none"> No documents required 			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
46	2.2	O2	Documents	Change Employer Contact Person <ul style="list-style-type: none"> No documents required 			
47	2.2	O3	Documents	Change Employer Tax Status <ul style="list-style-type: none"> Notification from the employer confirming the change and the date for the change. 			
48	2.2	O4	Documents	Change employer A name (Employer A changes name to Z and no organizational structure is changed) <ul style="list-style-type: none"> Employer Name Change Request Form 			

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Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
49	2.2	05	Documents	Employer A merges into Employer B and keeps B's name with no organizational structure change. <ul style="list-style-type: none"> • Legal documents from both organizations approving merger. • Documentation required by the RCW. 	RCWs that are referenced for type of documentation needed, Title: <ul style="list-style-type: none"> • 14 Aeronautics • 15 Agriculture and Marketing • 17 Weeds, Rodents, and Pests • 24 Corporations and Associations • 27 Libraries, Museums, and Historical Activities • 35 Cities and Towns • 36 Counties • 52 Fire Protection Districts • 53 Port Districts • 54 Public Utility Districts • 55 Sanitary Districts • 57 Water- Sewer Districts • 67 Sports and Recreation – Convention Facilities • 70 Public Health and Safety • 85 Diking and Drainage • 86 Flood Control • 87 Irrigation • 89 Reclamation, Soil Conservation, and Land Settlement 		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
50	2.2	06	Documents	Employer A dissolves and merges into Employer B, Employer B changes their name <ul style="list-style-type: none"> • Legal documents from both organizations approving merger. • Documentation required by the RCW. 	RCWs that are referenced for type of documentation needed, Title: <ul style="list-style-type: none"> • 14 Aeronautics • 15 Agriculture and Marketing • 17 Weeds, Rodents, and Pests • 24 Corporations and Associations • 27 Libraries, Museums, and Historical Activities • 35 Cities and Towns • 36 Counties • 52 Fire Protection Districts • 53 Port Districts • 54 Public Utility Districts • 55 Sanitary Districts • 57 Water- Sewer Districts • 67 Sports and Recreation – Convention Facilities • 70 Public Health and Safety • 85 Diking and Drainage • 86 Flood Control • 87 Irrigation • 89 Reclamation, Soil Conservation, and Land Settlement 		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
51	2.2	07	Documents	<p>Employer A and Employer B merge together and create a new entity D</p> <ul style="list-style-type: none"> • Legal documents from both organizations approving merger. • Documentation required by the RCW. • New employer process documentation for Employer D. 	<p>RCWs that are referenced for type of documentation needed, Title:</p> <ul style="list-style-type: none"> • 14 Aeronautics • 15 Agriculture and Marketing • 17 Weeds, Rodents, and Pests • 24 Corporations and Associations • 27 Libraries, Museums, and Historical Activities • 35 Cities and Towns • 36 Counties • 52 Fire Protection Districts • 53 Port Districts • 54 Public Utility Districts • 55 Sanitary Districts • 57 Water- Sewer Districts • 67 Sports and Recreation – Convention Facilities • 70 Public Health and Safety • 85 Diking and Drainage • 86 Flood Control • 87 Irrigation • 89 Reclamation, Soil Conservation, and Land Settlement 		
52	2.2	08	Documents	<p>Employer E breaks off from Employer D as a new entity</p> <ul style="list-style-type: none"> • New employer process documentation for Employer E. 			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
53	2.2	O9	Documents	Add a report group <ul style="list-style-type: none"> New employer process documentation. For DCP <ul style="list-style-type: none"> Current organization that adds a different payroll calendar – need one participation agreement 			
54	2.2	O10	Documents	Inactivate a report group <ul style="list-style-type: none"> No documentation required. 			
55	2.3		Child process of 2.0	Request Document. The process will send a request for documentation needed for requested change.	Modeled after child process in the Enroll Employer Process.		
56	2.3		Input	<ul style="list-style-type: none"> Types of documentation required to complete change. 			
57	2.3		Output	<ul style="list-style-type: none"> Notification to employers about the types of documentation needed to complete the change. 			
58		F1	Functionality	The system will notify the employer of the required documents.			
59	2.4		Child process of 2.0	Receive Document. This process will receive submitted documents from employer.	Modeled after child process in the Enroll Employer Process.		
60	2.4		Input	<ul style="list-style-type: none"> Documents submitted by Employer. 			
61	2.4		Output	<ul style="list-style-type: none"> Confirmation that documents have been received. 			
62	2.4	M1	Messaging	<ul style="list-style-type: none"> Documents have been received. 			
63	2.5		Child process of 2.0	Review Document. DRS will the review the documentation.			
64	2.5		Input	<ul style="list-style-type: none"> Documentation received from employer. 			
65	2.5		Output	<ul style="list-style-type: none"> Message sent to employer that the documents are incomplete. 	Documentation will be reviewed by DRS.		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
66	2.6		Child process of 2.0	Complete Update. DRS will make the updates to the system.			
67	2.6		Input	<ul style="list-style-type: none"> Documentation reviewed and update approved. 			
68	2.6		Output	<ul style="list-style-type: none"> Update complete Confirmation that update is complete sent to employer. 			
69	2.6	F1	Functionality	The system will maintain a history of changes and updates made to the employer's information.	<p>Current procedure</p> <p>Currently the system (EIS) does not maintain a history of changes. The current business practice is to make a note in ERNOTE about changes being made.</p> <p>Also on the report group screen if they add a Trans End date, a Trans End Reason is required.</p>		
70	2.6	P1	Procedure	<p>Change Employer Address</p> <ul style="list-style-type: none"> Go to ORG screen and update address. 	Current procedure		
71	2.6	P2	Procedure	<p>Change Employer Contact Person</p> <ul style="list-style-type: none"> Go to CONTACT screen and update. Go to WBET if they need eservices access. Send email to SFT email distribution list. 	<p>Current procedure</p> <p>SFT distribution list consist of :</p> <p>Dale Forrey Debbie Callar EIP Employer Eleanor Conway Help Desk Jaime Carl Kym Nelsen Patsy Quintus</p>		
72	2.6	P3	Procedure	<p>Change Employer Tax Status</p> <ul style="list-style-type: none"> Go to ERS tax screen and enter date. 	Current procedure		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
73	2.6	P4	Procedure	<p>Change employer A name (Employer A changes name to Z and no organizational structure is changed)</p> <ul style="list-style-type: none"> Go to ORG screen and update. 	Current procedure		
74	2.6	P5	Procedure	<p>Employer A merges into Employer B and keeps B's name with no organizational structure change.</p> <ul style="list-style-type: none"> Employer A will need to add end dates to their employees. Go to the RPTGRP screen for each report group of Employer A and add a TRANS End date. Employer B will need to add begin dates to their new employees. Employer B will need to notify all their Plan 3 employees they have 90 days to change their rate option. 	<p>Current procedure</p> <p>DRS may also notify employee they have 90 days to change their rate option, Monitor Special Circumstances workflow.</p>		
75	2.6	P6	Procedure	<p>Employer A dissolves and merges into Employer B, Employer B changes their name to Employer D.</p> <ul style="list-style-type: none"> Employer A will need to add end dates to their employees. Go to the RPTGRP screen for each report group of Employer A and add a TRANS End date. Once Employer D is approved, Employer D will need to add begin dates to their new employees. Employer D will need to notify all their Plan 3 employees they have 90 days to change their rate option. 	<p>Current procedure</p> <p>DRS may also notify employee they have 90 days to change their rate option, Monitor Special Circumstances workflow.</p>		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
76	2.6	P7	Procedure	<p>Employer A and Employer B merge together and create a new entity D</p> <ul style="list-style-type: none"> • Employer A and Employer B will need to add end dates to their employees. • Go to the RPTGRP screen for each report group of Employer A and Employer B and add a TRANS End date. • Employer D will need to add begin dates to their new employees. • Employer D will need to notify all their Plan 3 employees they have 90 days to change their rate option. 	<p>Current procedure</p> <p>DRS may also notify employee they have 90 days to change their rate option, Monitor Special Circumstances workflow.</p>		
77	2.6	P8	Procedure	<p>Employer E breaks off from Employer D as a new entity</p> <ul style="list-style-type: none"> • Employer D will need to add end dates to their employees that leave. • Employer E will need to add begin dates to their new employees. • Employer E will need to notify all their Plan 3 employees they have 90 days to change their rate option. 	<p>Current procedure</p> <p>DRS may also notify employee they have 90 days to change their rate option, Monitor Special Circumstances workflow.</p>		
78	2.6	P9	Procedure	<p>Add a report group</p> <ul style="list-style-type: none"> • No procedure – employee will go through new employer process. 	Current procedure		
79	2.6	P10	Procedure	<p>Inactivate a report group</p> <ul style="list-style-type: none"> • Go to RPTGRP screen and enter TRANS end date. 	Current procedure		

Process/Workflow Name: 3.0 Determine Member Eligibility

This process facilitates the assessment of a member's eligibility to participate in a DRS retirement plan.

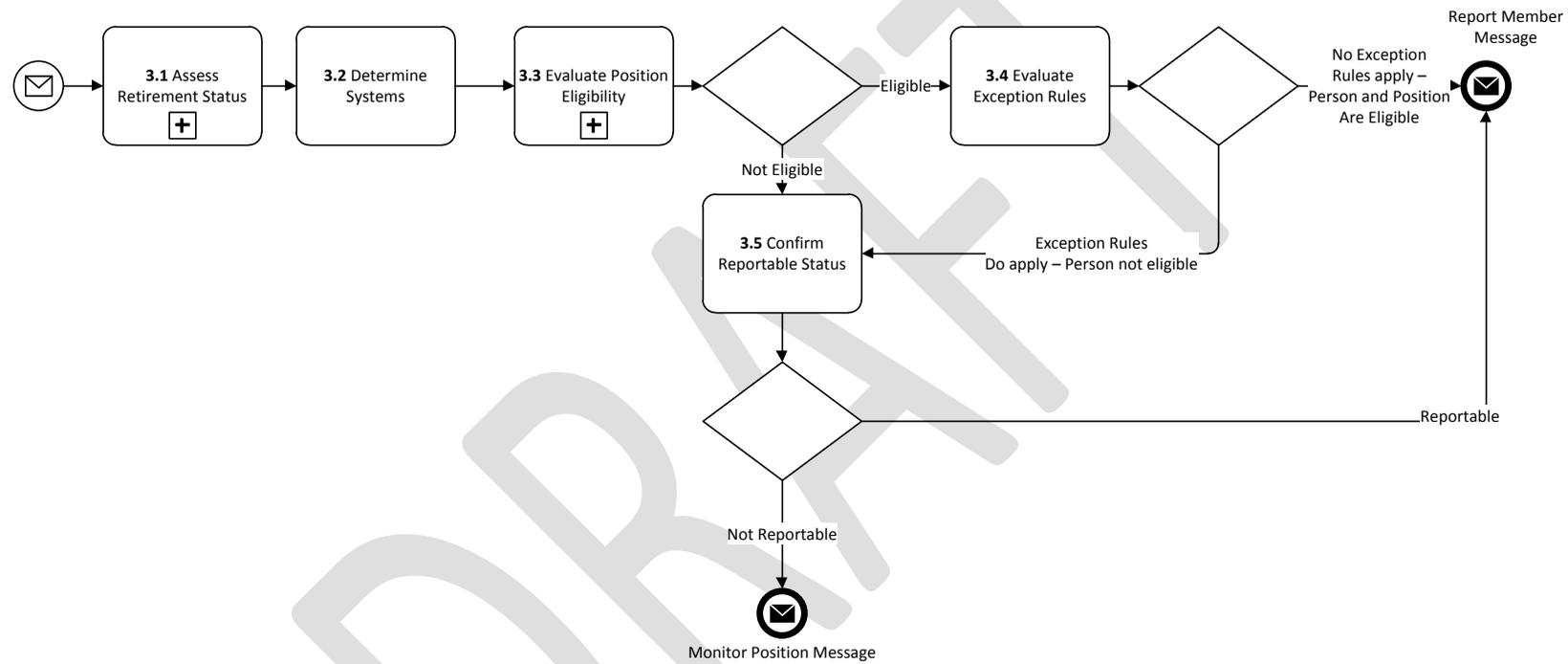
Note: The data elements listed in this document represent data that is currently collected to support the Determine Member Eligibility process. We anticipate that the data requirements will change based on the physical design and platform. It is also assumed that further analysis will be done on the Determine Member Eligibility process and all other processes that may share data to identify the new data requirements.

Child Processes are:

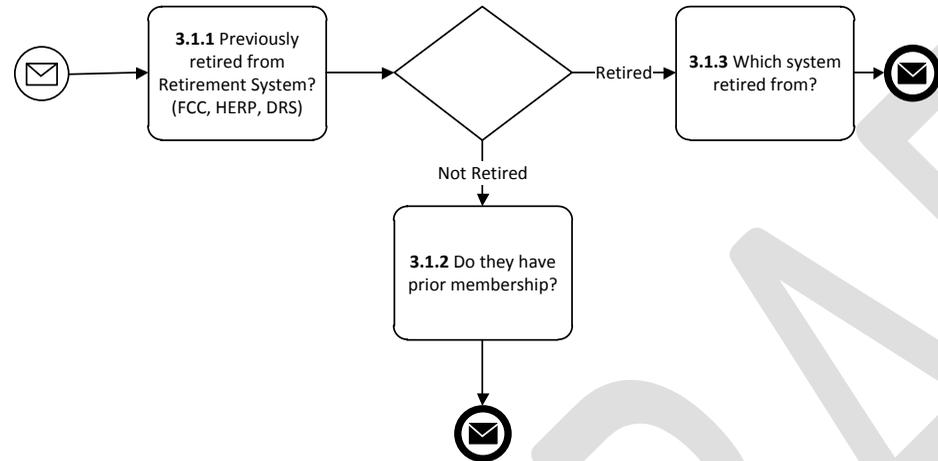
- Assess Retirement Status
 - Previously retired from Retirement System? (FCC, HERP, DRS)
 - Do they have prior membership?
 - Which System Retired?
- Determine Systems
- Evaluate Position Eligibility
 - Elected/Appointed Officials
 - Evaluate Elected/Appointed Official
 - Evaluate position on system/plan rules
- Confirm Reportable Status
- Evaluate Exception Rules

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3.0 Determine Member Eligibility

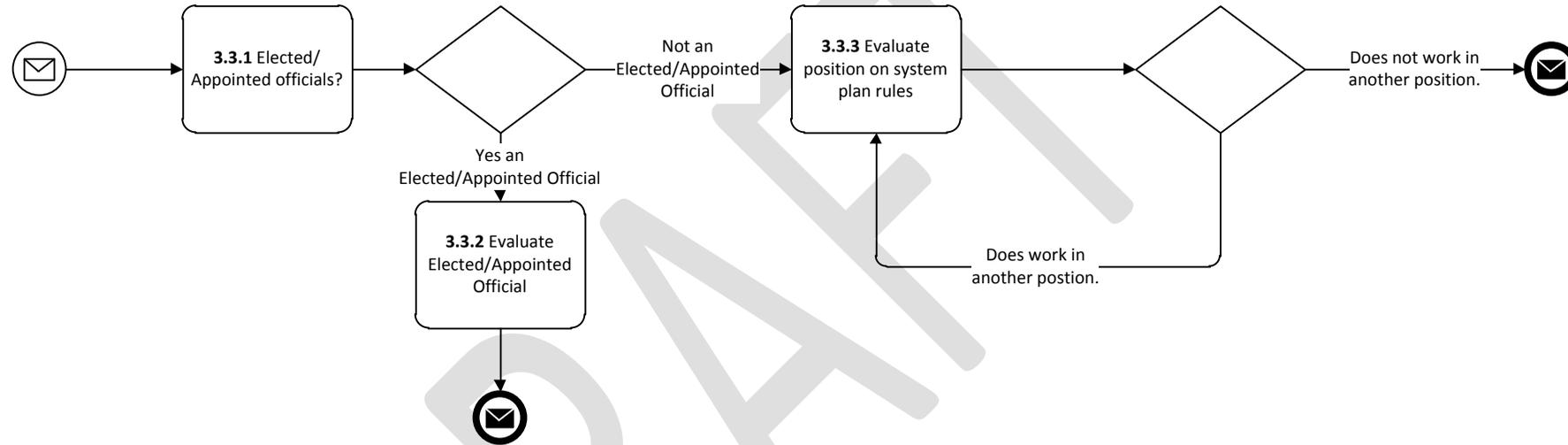


3.1 Assess Retirement Status



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3.3 Evaluate Position Eligibility



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Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
1	3.0		Parent Process	Determine Member Eligibility – This process facilitates the assessment of a member’s eligibility to participate in a DRS retirement plan.			
2	3.0		Input	<ul style="list-style-type: none"> Requestor makes inquiry regarding a position/member’s eligibility in a DRS retirement plan. 			
3	3.0		Output	<ul style="list-style-type: none"> Member is reportable message. Member is not reportable and position needs to be monitored message. Member is not reportable. 			
4	3.0	F1	Functionality	<p>The employer should be able to access an interactive tool that will assist them in determining:</p> <ul style="list-style-type: none"> A prospective employee’s retirement status; Eligibility of the position they are looking to hire the prospective employee in; And whether or not the prospective employee is reportable to DRS. 			
5	3.0	F2	Functionality	If the employer reports a prospective employee through the employer report process eligibility should be able to be determined.			
6	3.0	D1	Data	The employer should be able to enter a position number.			
7	3.0	D2	Data	The employer should be able to enter a position title/job type.	There is an interest from the legislature in collecting the type of job a member holds. He suggested talking with L&I because they collect similar information (7 or 8 general job classes). We currently collect some of this through type codes (police, fire,		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					certificated teacher, etc.) but it sounds like OSA wants additional information. Note: This is important when determining elected official membership.		
8	3.0	T1	Text	The interactive tool will provide the employer with help text for reviewing positions for eligibility.			
9	3.1		Child Process of 3.0	Assess Retirement Status – This process will facilitate the assessment of a prospective employee’s retirement status.			
10	3.1		Input	Requestor makes an inquiry regarding a prospective employee’s retirement status.	RCW 41.50.139 Requires employers to solicit in writing the retiree status of all new employees.		Retirement Status Form – DRS MS 147
11	3.1		Output	Prospective Employee’s retirement status is determined.			
12	3.1.1		Child Process of 3.1	Previously retired from Retirement System? (FCC, HERP, DRS) – This process will facilitate the assessment of a prospective employee’s retirement status with a FCC, HERP, or DRS.			
13	3.1.1		Input	<ul style="list-style-type: none"> Employer questions prospective employee regarding their retirement status. 			Retirement Status Form – DRS MS 147
14	3.1.1		Output	Retirement status is determined. <ul style="list-style-type: none"> Not retired status determined. Retired status determined. 			Retirement Status Form – DRS MS 147
15	3.1.1	F1	Functionality	The employer should be able to view a prospective employee’s retirement status from one of DRS’s retirement systems.	DRS systems includes all systems and plans. Policy DRS-LEGAL -1 through 3		Retirement Status Form – DRS MS 147
16	3.1.1	F2	Functionality	The employer should be able to view a prospective	This data is not currently available in DRS’s		Retirement Status Form – DRS MS 147

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				employee's retirement status from the City of Seattle, Tacoma, or Spokane Employees' Retirement System.	<p>system. Would require some sort of data share agreement with the individual city retirement systems.</p> <p>If we cannot view this information through a data share agreement we must ask the member the question:</p> <p>Are you retired from the Seattle, Spokane, or Tacoma Employees' Retirement System? If yes, which one?</p> <p>Question: Should we also ask the number of years of service they have with the FCC?</p> <p>RCW 41.04.270 – Estoppel Rules</p>		
17	3.1.1	F3	Functionality	The employer should be able to view a prospective employee's retirement status with a Higher Education Retirement Plan (HERP).	<p>This data is not currently available in DRS's system. Would require some sort of data share agreement with HERP plans.</p> <p>If we cannot view this information through a data share agreement we must ask the member the question:</p> <p>Are you retired from, u ever been a member, or currently employed in a position eligible for a Higher Education Retirement Plan. If yes, for what Higher Education Employer(s)?</p>		Currently not on a form that I could find but was noted in the February 26, 2013 meeting minutes that we need to ask about prior HERP employment.
18	3.1.2		Child Process	Do they have prior membership? –This process			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
			of 3.1	will facilitate determining a non-retired prospective employee's prior membership status.			
19	3.1.2		Input	Not retired status is determined.			
20	3.1.2		Output	Prior membership status is determined.			
21	3.1.2	F1	Functionality	Employer should be able to view prior DRS retirement system employment history of a prospective employee.	Policy DRS-LEGAL -1 through 3		
22	3.1.2	F2	Functionality	Employer should be able to view if a prospective employee is currently employed by another public employer and contributing to a DRS retirement system.	Policy DRS-LEGAL -1 through 3		
23	3.1.2	F3	Functionality	Employer should be able to view prior City of Seattle, Tacoma, or Spokane Employees' Retirement System employment history of a prospective employee.	<p>This data is not currently available in DRS's system. Would require some sort of data share agreement with the individual city retirement systems.</p> <p>If we cannot view this information through a data share agreement we must ask the member the question:</p> <p>Are you a member or ever been a member of the Seattle, Spokane, or Tacoma Employees' Retirement System and not retired? If yes, which one?</p>		
24	3.1.2	F4	Functionality	Employer should be able to view prior Higher Education Retirement Plan (HERP) employment history of a prospective employee.	<p>This data is not currently available in DRS's system. Would require some sort of data share agreement with HERP plans.</p> <p>If we cannot view this information through a data share agreement we must ask the member the question:</p>		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					Have you ever been a member of a Higher Education Retirement Plan? If yes, for what Higher Education Employer(s)?		
25	3.1.3		Child Process of 3.1	Which System Retired? - This process will facilitate determining which system a retired prospective employee retired from.			
26	3.1.3		Input	Retired Status is determined.			
27	3.1.3		Output	Displays system prospective employee is retired from.			
28	3.1.3	F1	Functionality	Should display what system the prospective employee is retired from.	Policy DRS-LEGAL -1 through 3		
29	3.1.3	F2	Functionality	Should alert employer if prospective employee retired with more than 15 years of service and is estopped from membership.	Policy DRS-LEGAL -1 through 3		
30	3.2		Child Process of 3.0	Determine Systems – This process should identify which systems are available for the employer to hire the prospective employee in.			
31	3.2		Input	Retirement status and prior membership status is determined.			
32	3.2		Output	Employer determines which system/plan prospective employee should be hired into.			
33	3.2	F1	Functionality	The system should display the retirement systems the employer is enrolled in and what systems the member is eligible based on retirement status/prior membership.			
34	3.2	R1	Requirement	Employer should be able to choose the appropriate system the prospective employee is to be hired in. Choices of system should be based on: <ul style="list-style-type: none"> The job description of the position; Prior system/plan the prospective employee had prior membership in. 			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
35	3.2	B1	Business Rule	If prospective employee will be working concurrently in a TRS position and a SERS position need to evaluate the type of employment per WAC 415-112-156 to determine what system they should be in.			
36	3.2	B2	Business Rule	If prospective employee will be working concurrently in a TRS position and a PERS position, need to evaluate the type of employment per WAC 415-112-155 to determine what system they should be in.			
37	3.3		Child Process of 3.0	Evaluate Position Eligibility – This process should assist the employer in evaluating eligibility of a position.			
38	3.3		Input	System/plan for the prospective employee is determined.			
39	3.3		Output	Eligibility of the position is determined.			
40	3.3	F1	Functionality	The system should assist the employer in identifying elected official positions and the rules around elected officials.			
41	3.3	F2	Functionality	The system should assist the employer in determining the position eligibility.			
42	3.3.1		Child Process of 3.3	Elected/Governor Appointed Officials? – This process should identify if prospective employee is an elected/appointed official.			
43	3.3.1		Input	System/plan for the prospective employee is determined.			
44	3.3.1		Output	Elected/Governor Appointed Official status is determined.			
45	3.3.1	F1	Functionality	The employer should have the ability to indicate if the position is an elected/Governor appointed official position.			

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46	3.3.1	D1	Data	Is this position elected or appointed by the governor?	(Note: If the position is not an elected, appointed by the governor, or otherwise exempt the position would follow normal membership rules.)		
47	3.3.2		Child Process of 3.3	Evaluate Elected/Governor Appointed Official – This process should evaluate the elected official position.			
48	3.3.2		Input	Employer identified position is an elected/Governor appointed official position.			
49	3.3.2		Output	Employer assesses elected/Governor appointed official rules, message is displayed to contact the Elected Official Team at DRS for assistance, and message is sent to the Elected Official team.			
50	3.3.2	F1	Functionality	The employer should be able to assess the elected/appointed position and determine eligibility based on the business rules.			
51	3.3.2	B1	Business Rule	Membership in a retirement system is not required for elected and Governor appointed officials.			
52	3.3.2	B2	Business Rule	Elected or Governor appointed officials who have no previous retirement system membership can elect to enter membership in PERS Plan 2 or Plan 3 during their current term of office, unless they are PERS JBM members they are mandated into PERS 2.	RCW 41.40.023 (3)(a)		
53	3.3.2	B3	Business Rule	The city manager or chief administrative officer of a city or town – have the option of applying for membership within 30 days from the date of their appointment to such positions. Note: They can still join membership after the 30 days but they will be required to pay the actuarial cost of their prior employment period.	RCW 41.40.023 (17)		

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54	3.3.2	B4	Business Rule	The chief administrative officer of a public utility district, the chief administrative officer of a port district, the chief administrative officer of a county who serves at the pleasure of an appointing authority – have the option of applying for membership within 30 days from the date of their appointment to such positions. Note: They can still join membership after the 30 days but they will be required to pay the actuarial cost of their prior employment period.	RCW 41.40.023(18)		
55	3.3.2	B5	Business Rule	Elected or governor appointed officials who are current or former PERS members can elect to continue membership in PERS during their term of office.	WAC 415-108-550 Elected Officials – Eligibility and application for retirement service membership PERS 1 State-Elected Officials PERS 2 and 3 State- Elected Officials PERS 1 Locally-Elected Officials PERS Plan 2 and 3 Locally-Elected Officials		
56	3.3.2	B6	Business Rule	Elected or governor appointed officials who are current, former, or retired members of another retirement system (TRS, SERS, PSERS, LEOFF, or WSPRS) may be required to continue membership, may elect to continue membership, or may be ineligible for membership depending upon the specific rules of that system. (See Business rules 3.3.2 B7 through B24)			
57	3.3.2	B7	Business Rule	PERS 1 Current or former members of PERS Plan 1 can reestablish membership in PERS Plan 1 even if they have withdrawn contributions from their	RCW 41.40.023(3) , WAC 415-108-550(2) , WAC 415-108-560(3)		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				retirement account.			
58	3.3.2	B8	Business Rule	PERS 2 & 3 Current or former PERS members may continue PERS membership by applying for and being accepted into membership.	RCW 41.40.023(3) , WAC 415-108-550(2) , WAC 415-108-560(3)		
59	3.3.2	B9	Business Rule	TRS 1 – Current Members (Not withdrawn) Current TRS 1 Members elected to statewide office (including the legislature) may continue membership in TRS Plan 1 during their period of office. Note: If TRS 1 and appointed to local government office they cannot continue in TRS 1 because Cities/Counties are not TRS employers. They must choose PERS 2 or 3. If appointed by the governor in a state position they can continue TRS 1 membership.	RCW 41.32.010 Definitions TRS 1 State Elected Officials		
60	3.3.2	B10	Business Rule	TRS 1 – Former Members (Withdrawn) Former TRS 1 Members elected to statewide office (including the legislature) must be enrolled in the PERS retirement system. Once membership is established, the member may request to restore their TRS Plan 1 service credit through portability. Once this is paid in full, the member can request through their employer to have their PERS retirement switched over to TRS Plan 1.	RCW 41.32.010 Definitions TRS 1 State Elected Officials		
61	3.3.2	B11	Business Rule	TRS 2 & 3 – Current Members Current TRS Plan 2 or 3 members elected to statewide office (including the legislature): <ul style="list-style-type: none"> Cannot continue in TRS membership; 	TRS 2 and 3 State-Elected Officials		

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				<p>however</p> <ul style="list-style-type: none"> They can take a leave without pay from TRS and return to active membership when they return to TRS service. They can become a member of PERS Plan 2. 			
62	3.3.2	B12	Business Rule	<p>TRS 2 & 3 – Former Members Former TRS Plan 2 or 3 members elected to statewide office (including the legislature) are not eligible to resume TRS membership, however, they may be eligible to join PERS Plan 2 membership.</p>	TRS 2 and 3 State-Elected Officials		
63	3.3.2	B13	Business Rule	<p>SERS 2 & 3 Current or former SERS Plan 2 or 3 members who are elected to statewide office (including the legislature), appointed to local government office, or appointed to the office by the Governor are not required to belong to a retirement system during their period of office. If they elect to continue membership, they can choose either to:</p> <ul style="list-style-type: none"> Continue membership in SERS (statewide office or governor appointed only), or Establish membership in PERS Plan 2 or Plan 3 (If appointed to local government office, they must choose PERS 2 or 3. 	<p>SERS service credit rules for elected officials SERS 2 and 3 State-Elected Officials SERS 2 and 3 Locally-Elected Officials WAC 415-110-550 Elected officials – Eligibility for retirement service membership WAC 415-110-560 Appointed officials – Eligibility and application for retirement service membership</p>		
64	3.3.2	B14	Business Rule	<p>PSERS 2 - Current Members Current PSERS Plan 2 members who are elected or appointed to statewide office (including the legislature) or appointed to office by the Governor are not required to belong to a retirement system</p>	PSERS State-Elected Officials RCW 41.37.020(2)(a)		

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				<p>during their period of office. If they elect to continue membership, however, they can choose to either to:</p> <ul style="list-style-type: none"> Continue membership in PSERS if they are holding a PSERS position while in office, or Establish membership in PERS Plan 2 or Plan 3. 			
65	3.3.2	B15	Business Rule	<p>PSERS 2 – Former Members Former PSERS members are not eligible to resume PSERS membership. However they may be eligible to enroll in PERS Plan 2 or 3.</p>	<p>PSERS State-Elected Officials RCW 41.37.020(2)(a)</p>		
66	3.3.2	B16	Business Rule	<p>LEOFF 1 LEOFF Plan 1 members who are elected or governor appointed to elective office and take a leave of absence from the LEOFF employer to fill the office may preserve their retirement rights as an active member of LEOFF Plan 1, or be considered to be on normal leave of absence from the LEOFF Plan 1 employer.</p>	<p>LEOFF 1 State-Elected Officials LEOFF 1 Locally-Elected Officials RCW 41.04.120, WAC 415-104-782</p>		
67	3.3.2	B17	Business Rule	<p>LEOFF 1 LEOFF Plan 1 elected officials who wish to participate in LEOFF while working as an elected official must provide DRS with written verification of a leave of absence from the LEOFF employer for the express purpose of serving in the elective public office. The verification must state a beginning and ending date for the leave.</p>	<p>WAC 415-104-783</p>		
68	3.3.2	B18	Business Rule	<p>LEOFF 2 A LEOFF Plan 2 member who is elected or governor appointed to a state elective position may elect to continue in membership and earn LEOFF Plan 2 service credit.</p>	<p>LEOFF 2 State-Elected Officials RCW 41.26.030(13)(b), RCW 41.26.030(14)(b) This also applies to LEOFF 2 Retirees who</p>		

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				<ul style="list-style-type: none"> A “State elective position” means a statewide elected office. This includes Legislators as well as officials such as the Treasurer or the Insurance Commissioner. LEOFF Plan 2 legislators on leave from their LEOFF Plan 2 position will have compensation and contributions reported by both employers based upon compensation actually earned from each employer. However, the member may choose instead to have compensation calculated based on what he or she would have earned in the LEOFF Plan 2 position had he or she not taken a leave of absence to serve in the legislature. 	have career choice.		
69	3.3.2	B19	Business Rule	<p>WSPRS 1 & 2 – Former Members Former WSPRS members are not eligible to resume WSPRS membership. However, they may be eligible to enroll in PERS Plan 2 or Plan 3. Exception: The Chief of the Washington State Patrol is governor appointed and is mandated into WSPRS membership.</p>	RCW 43.43.139 Membership while serving as state legislator – Conditions		
70	3.3.2	B20	Business Rule	<p>WSPRS 1 & 2 – Current Members Current WSPRS members who are elected or governor appointed to a state elective position may, but are not required to continue WSPRS membership. To continue WSPRS membership while serving as an elected official, the member must notify DRS that they are taking a leave of absence to serve in elected office and complete and submit an Application For Membership As An Elected or Governor-Appointed Official form. For</p>	WSPRS 1 and 2 State-Elected Officials RCW 43.43.139 Membership while serving as state legislator – Conditions		

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				each legislative term during which they wish to remain a member of WSPRS, they must re-enroll at the beginning of that term. Once retirement system membership as an elected official is established, they must remain a member until separation from eligible employment. Exception: The Chief of the Washington State Patrol is governor appointed and is mandated into WSPRS membership.			
71	3.3.2	B21	Business Rule	<p>WSPRS 1 & 2 – Retired Members</p> <p>Retired WSPRS members are not eligible to return to WSPRS member status while serving in office. However, they may be eligible for membership in another retirement system under the following circumstances:</p> <ul style="list-style-type: none"> • If they were a PERS or TRS member prior to 3/19/1976, they may have the option of returning to membership in the system they belonged to. • If they had less than 15 years of service in WSPRS when they retired and did not retire for disability, they are eligible to enroll in PERS Plan 2 or 3. <p>Exception: The Chief of the Washington State Patrol is governor appointed and is mandated into membership.</p>	WSPRS 1 and 2 State-Elected Officials RCW 43.43.139 Membership while serving as state legislator – Conditions		
72	3.3.2	B22	Business Rule	A Sheriff is an elected position but they are mandated into LEOFF membership as a full-time, fully commissioned law enforcement officer.	This applies to LEOFF Plan 1 and 2 regardless if the member is retired or not.		
73	3.3.2	B23	Business Rule	Port Commissioners are not allowed to join any of the state’s retirement systems, unless they are a	RCW 53.12.260		

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				Commissioner with the Port of Tacoma.			
74	3.3.2	B24	Business Rule	Legislative employees are mandated into PERS membership depending on position eligibility.	<p>RCW 41.40.023(2)</p> <p>Historical Information regarding Rule changes throughout the years:</p> <p>1/1/93 Forward – House and Senate Employees The House and Senate both adopted resolutions authorizing PERS membership for their employees under the same conditions as all other employees of PERS employers; i.e. membership is mandatory for persons in eligible positions and prohibited for persons in ineligible positions. (Session-only positions are not eligible positions).</p> <p>Prior to 1/1/93 – House and Senate Employees Before 1/1/93, both House and Senate allowed permanent employees to waive membership in the retirement system. This waiver was irrevocable except as noted below for Senate employees.</p> <p>Both the House and Senate allowed session employees to pick up service credit on an optional basis. The person had to be a member in an eligible position at the time he or she opted to pick up the credit. The</p>		

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					<p>employer had to agree to allow the person to pick up the credit, at which point the employer had the option to pay the employer contributions or leave them for the employee to pay.</p> <p>As of 1/1/93 the House cut off the rights of any current or former employees to pick up service credit for past session employment. As of 1/1/93 the Senate authorized a window providing employees with an option to pick up previously waived permanent employment or session employment.</p> <p>Persons employed by the Senate on 1/1/93 were given until 12/31/93 to pick up their prior service. Persons not employed by the Senate on 1/1/93 were not allowed to pick up prior service. Former Senate employees who are reemployed with the Senate will have one year from the date of their reemployment to pick up their prior Senate service.</p>		
75	3.3.2	B25	Business Rule	Elected or governor appointed officials may apply for membership anytime during their active term of office.			
76	3.3.2	B26	Business Rule	Membership begins on the date the elected/governor appointed official signs the Application For Membership As An Elected or Governor-Appointed Official form and it is received			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				by DRS.			
77	3.3.2	B27	Business Rule	If the elected/governor appointed official joins membership “mid-term”, they are required to establish membership back to the first day of the current term of office.			
78	3.3.2	B28	Business Rule	After an elected appointed official establishes membership for their current term of office, they are entitled to purchase service credit for any previous elected term (or terms) of office in which they did not choose to apply for membership.	RCW 41.40.023 <ul style="list-style-type: none"> Elected officials can pick up prior term of office service credit by paying the member and the employer contributions anytime during an active employment period. Governor appointed officials cannot pick up prior terms of office. 		
79	3.3.2	B29	Business Rule	Plan 2 or 3 locally elected or governor appointed officials must meet 90 x the state minimum wage before service credit will be granted on the hours reported on them. Note: If official holds multiple elected/governor appointed positions they can add all positions to meet the requirements for service credit.	RCW 41.40.035 Team recommends having the employer answer whether or not the position will meet the requirements to earn service credit. There is no advantage to the appointed person joining membership if they do not receive service credit.		
80	3.3.2	B30	Business Rule	Plan 1, 2, or 3 statewide elected positions will earn a full service no matter how many hours or dollars are reported for the elected official.			
81	3.3.2	B31	Business Rule	If a current elected official leaves office and governor appoints the official to fill remainder of prior elected official’s term. New appointed official must make elected within that term of office. If they don’t make election during the term of office they have to pay both the member and the			

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				employer contributions if they want to pick up membership verses just paying the member contributions.			
82	3.3.2	O1	Documents	Publications and information regarding Elected/Appointed Official Options should be made available.			<ul style="list-style-type: none"> • 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
83	3.3.2	M1	Messaging	Should provide a message for employer to contact the Elected Official Team at 360-664-7966 in Olympia or toll-free at 800-547-6657, extension 47966 for assistance or to email them at RSA3@drs.wa.gov.			
84	3.3.2	F2	Functionality	The employer should be able to complete an automated form to send information to the Elected Official Team regarding the elected/appointed official.			

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85	3.3.2	D1	Data	Elected/Appointed official SSN			
86	3.3.2	D2	Data	Job Title			
87	3.3.2	D3	Data	Employer Name			
88	3.3.2	D4	Data	Last Name of Elected/Appointed official			
89	3.3.2	D5	Data	First Name of Elected/Appointed official			
90	3.3.2	D6	Data	Mailing Address of Elected/Appointed official			
91	3.3.2	D7	Data	Service Type <ul style="list-style-type: none"> GA – Governor Appointed LO – Local Elected SO – State Elected 	Table Id EOSRV – Elected Official Service Type - Make this data element available for the employer to enter but do not require it.		
92	3.3.2	D8	Data	Current term start date			
93	3.3.2	D9	Data	Periods of any prior elected positions with that employer.			
94	3.3.2	M2	Messaging	Once all data elements are completed the employer should be able to send a message to the Elected Official Team to notify them regarding the elected/appointed official.			
95	3.3.2	P1	Procedure	Elected official team will log the notice from the employer into the ELCTOFCL and generate the appropriate elected official letter to send to the member.	Note – Would be helpful if this populated the ELCTOFCL screen automatically and sent a note to the elected official team that a new work item is ready. If not maybe give the RSD elected official team access to the work item in the new system.		
96	3.3.3		Child Process of 3.3	Evaluate position on system/plan rules			
97	3.3.3		Input	Position is not an elected or appointed official position.			
98	3.3.3		Output	Evaluation of position eligibility based on system/plan rules is completed.			

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99	3.3.3	F1	Functionality	The employer should be able to evaluate the position based on system/plan rules.			
100	3.3.3	R1	Requirement	The system must be able to assess multiple positions a member is working in with the same employer to determine overall position eligibility.			
101	3.3.3	B1	Business Rule	PERS – Questions for PERS Eligibility	<p>RCW 41.40.010 Definitions</p> <p>RCW 41.40.023 Membership</p> <p>RCW 41.40.180 Retirement Length of service</p> <p>RCW 41.40.630 Retirement for service</p> <p>RCW 41.40.820 Retirement eligibility</p> <p>WAC Membership section includes WAC 415-108-520 through 415-108-805</p> <p>RSD-PERS-COMP-1 – Political Subdivision Contracts</p> <p>RSD-PERS-COMP-2 – PERS Plan 1 and 2 and SERS Plan 2 Mandatory Billing</p> <p>RSD-PERS-COMP-3 – PERS Eligible Position Together with Substitute Teaching on or after 9/1/90</p> <p>RSD-PERS-ELIG-1 – Determining Eligibility for Membership in PERS, (Prior to 7/23/89)</p> <p>RSD-PERS-ELIG-2 – Determining Eligibility for Membership in PERS, (7/23/89 through 6/6/90)</p> <p>RSD-PERS-ELIG-3 – Determining Eligibility for Membership in PERS, (6/7/90 through</p>	PERS	Employer Self Audit Tool Position Eligibility Worksheet DRS MS 198 (1/07)

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				8/31/90) RSD-PERS-ELIG-7 – PERS Eligibility for Project Positions RSD-PERS-ELIG-8 – PERS Eligibility for Grant-Funded Employment		
102	3.3.3	B2	Business Rule	SERS – Questions for SERS Eligibility RCW 41.35.010 Definitions RCW 41.35.030 Membership RCW 41.35.033 Membership Service Credit Substitutes employees RCW 41.35.035 Membership in System Charter School employers and employees RCW 41.35.420 Retirement eligibility RCW 41.35.680 Retirement eligibility WAC Membership section includes WAC 415-110-550 through 415-110-817	SERS	Employer Self Audit Tool Position Eligibility Worksheet DRS MS 198 (1/07)
103	3.3.3	B3	Business Rule	TRS – Questions for TRS Eligibility RCW 41.32.010 Definitions RCW 41.32.025 Department’s power to determine eligibility RCW 41.32.240 Membership in system RCW 41.32.480 – Qualifications for retirement RCW 41.32.765 Retirement for service RCW 41.32.875 Retirement eligibility WAC Membership section includes WAC 415-112-119 through 415-112-156	TRS	Employer Self Audit Tool Position Eligibility Worksheet DRS MS 198 (1/07)

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					<p>RSD-TRS-ELIG-1 – Determining TRS Plan 3 Defined Benefit Retirement Eligibility</p> <p>RSD-TRS-ELIG-3 – Determining Membership Eligibility for TRS Plan 3</p> <p>RSD-TRS-ELIG-4 – TRS 1 Mandatory Membership Criteria</p> <p>RSD-TRS-ELIG-8 – TRS 2 Contracted Optional Membership Criteria prior to 9/1/90</p> <p>RSD-TRS-ELIG-9 – Substitutes Requesting to Establish or Reestablish TRS 2 Membership for 1990-91 School Year</p> <p>RSD-TRS-ELIG-10 – Substitutes Requesting to Establish or Reestablish TRS 2 Membership After 8/31/91</p> <p>RSD-TRS-ELIG-12 – Substitutes Requesting to Establish or Reestablish TRS 3 Membership after 7/1/96</p>		
104	3.3.3	B4	Business Rule	LEOFF – Questions for LEOFF Eligibility	<p>RCW 41.26.030 Definitions</p> <p>RCW 41.26.040 Membership</p> <p>RCW 41.26.090 Retirement for service</p> <p>RCW 41.26.430 Retirement for service</p> <p>WAC Membership section includes WAC 415-104-224 through 415-104-245</p>	LEOFF	Employer Self Audit Tool
105	3.3.3	B5	Business	PSERS – Questions for PSERS Eligibility	RCW 41.37.010 Definitions	PSERS	Employer Self Audit Tool

Contr #	#		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
			Rule			PSERS Eligibility Worksheet DRS PS 274 (R 6/12)
106	3.3.3	B6	Business Rule WSPRS – Any employee of the Washington State Patrol, upon date of commissioning, is eligible to participate in the Washington State Patrol Retirement System. The Chief of the Washington State Patrol is also a member of WSPRS. <ul style="list-style-type: none"> • Full-time commissioned officers first hired prior to January 1, 2003, are covered by WSPRS Plan 1. • Full-time commissioned officers first hired on or after January 1, 2003 are covered by WSPRS Plan 2. 	RCW 41.37.020 Membership RCW 41.37.210 Retirement eligibility WAC Membership section includes WAC 415-106-100 through 415-106-110	WSPRS	
107	3.3.3	B7	Business Rule Higher Education Non-Faculty positions “New to HERP – Eligible Employment July 1, 2011 and after” – If an employee is hired into a HERP position their choice of plans is based on the below scenarios: <ul style="list-style-type: none"> • Employee has no DRS plan history – Must make a choice between HERP and PERS Plan 3 within 30 days. • If prior PERS 1, 2, or 3 active or withdrawn and not eligible to retire – Must make a choice between HERP or the previous PERS plan. • If prior PERS 1, 2, or 3 and eligible to retire – Must be enrolled in previous PERS Plan only and cannot participate in HERP. • TRS Plan 1 active and not eligible to retire – Must make choice between HERP or TRS 	RCW 43.43.130 Retirement fund created - Membership RCW 43.43.020 Appointment of personnel RCW 43.43.250 Retirement of members WAC 415-103-010 WSPRS definitions	HERP/ PERS Plan 3 choice	<ul style="list-style-type: none"> • QA Membership Options for HERP • Retirement Membership Options – Higher Education Faculty Positions • Retirement Membership Options – Higher Education Non-Faculty Positions • Higher Education Plan 3 30-Day Retirement Choice • Higher Education Facts at a Glance

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				Plan 1. <ul style="list-style-type: none"> • Member is one of the other DRS retirement plans active or withdrawn and <u>not eligible</u> to retire – Must make a choice between HERP and PERS Plan 3. • Member is one of the other DRS retirement plans and is <u>eligible</u> to retire (less than 15 years of service) – Member must choose PERS Plan 3 and cannot participate in HERP. • Member is one of the other DRS retirement plans and is <u>eligible</u> to retire (more than 15 years of service) – Member cannot participate in HERP and is estopped from PERS membership. • Member is a DRS retiree – Member cannot participate in HERP and must be reported as a retiree return to work in an eligible position. 			
108	3.3.3	B8	Business Rule	Higher Education Non-Faculty positions “Made HERP/Plan 3 Choice July 1, 2011 and after” – If an employee is hired into a HERP position their choice of plans is based on the below scenarios: <ul style="list-style-type: none"> • Chose or defaulted to HERP – HERP only if the irrevocable choice was made at the same institution or if choice was not made at the same institution, the member has a 30-day choice between HERP and PERS Plan 3. • Chose PERS Plan 3 – PERS Plan 3 only. • Chose TRS Plan 3 – The member has a 30-day choice between HERP and PERS Plan 3. 		HERP/ PERS Plan 3 choice	<ul style="list-style-type: none"> • QA Membership Options for HERP • Retirement Membership Options – Higher Education Faculty Positions • Retirement Membership Options – Higher Education Non-Faculty Positions • Higher Education Plan 3 30-Day Retirement Choice • Higher Education Facts at a Glance

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
109	3.3.3	B9	Business Rule	<p>Higher Education Non-Faculty positions “Had previous HERP-Eligible Employment before July 1, 2011” - If an employee is hired into a HERP position their choice of plans is based on the below scenarios:</p> <ul style="list-style-type: none"> • HERP Participant – HERP only. • Did not participate in HERP (with DRS history) – Rules under New to HERP-Eligible Employment” section apply except employee CANNOT be given 30-day choice between Plan 3 and HERP (See Business Rule 3.3.3 B7). 		HERP/ PERS Plan 3 choice	<ul style="list-style-type: none"> • QA Membership Options for HERP • Retirement Membership Options – Higher Education Faculty Positions • Retirement Membership Options – Higher Education Non-Faculty Positions • Higher Education Plan 3 30-Day Retirement Choice • Higher Education Facts at a Glance
110	3.3.3	B10	Business Rule	<p>Higher Education Faculty positions “New to HERP – Eligible Employment July 1, 2011 and after” – If an employee is hired into a HERP position their choice of plans is based on the below scenarios:</p> <ul style="list-style-type: none"> • Employee has no DRS plan history – Must make a choice between HERP and TRS Plan 3 within 30 days. • If TRS Plan 1 active and not eligible to retire – Must make choice between HERP or TRS Plan 1. • If TRS Plan 1 and eligible to retire – Member cannot participate in HERP must be TRS Plan 1. • If TRS Plan 1, withdrawn – Member can choose HERP or TRS Plan 1, unless working for the UW or WSU they are only eligible for HERP. • If TRS Plan 2 or 3, active and not eligible to 		HERP/ TRS Plan 3 choice	<ul style="list-style-type: none"> • QA Membership Options for HERP • Retirement Membership Options – Higher Education Faculty Positions • Retirement Membership Options – Higher Education Non-Faculty Positions • Higher Education Plan 3 30-Day Retirement Choice • Higher Education Facts at a Glance

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<p>retire – Member has a choice of HERP or previous TRS Plan.</p> <ul style="list-style-type: none"> • If TRS Plan 2 or 3 and <u>eligible to retire</u> – Member cannot participate in HERP and should be enrolled in TRS Plan the member is participating in only, unless working for the UW or WSU the institutes rules apply regarding TRS participation only. • If TRS Plan 2, <u>withdrawn</u> – Member has a choice of HERP or TRS Plan 2, unless working for the UW or WSU they are only eligible for HERP. • Member is one of the other DRS retirement plans active or withdrawn and <u>not eligible to retire</u> – Must make a choice between HERP and TRS Plan 3 within 30 days. • Member is one of the other DRS retirement plans and is <u>eligible to retire (less than 15 years of service)</u> – Member must choose TRS Plan 3 and cannot participate in HERP. • Member is one of the other DRS retirement plans and is <u>eligible to retire (more than 15 years of service)</u> – Member cannot participate in HERP and is estopped from TRS membership they can participate in previous plan if PERS. • Member is a DRS retiree – Member cannot participate in HERP and must be reported as a retiree return to work in an eligible position. 			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
111	3.3.3	B11	Business Rule	<p>Higher Education Faculty positions “Made HERP/Plan 3 Choice July 1, 2011 and after” – If an employee is hired into a HERP position their choice of plans is based on the below scenarios:</p> <ul style="list-style-type: none"> • Chose or defaulted to HERP – HERP only if the irrevocable choice was made at the same institution or if choice was not made at the same institution, the member has a 30-day choice between HERP and TRS Plan 3. • Chose TRS Plan 3 – TRS Plan 3 only. • Chose PERS Plan 3 – The member has a 30-day choice between HERP and TRS Plan 3. 		HERP/ TRS Plan 3 choice	<ul style="list-style-type: none"> • QA Membership Options for HERP • Retirement Membership Options – Higher Education Faculty Positions • Retirement Membership Options – Higher Education Non-Faculty Positions • Higher Education Plan 3 30-Day Retirement Choice • Higher Education Facts at a Glance
112	3.3.3	B12	Business Rule	<p>Higher Education Faculty positions “Had previous HERP-Eligible Employment before July 1, 2011” - If an employee is hired into a HERP position their choice of plans is based on the below scenarios:</p> <ul style="list-style-type: none"> • HERP Participant – HERP only. • Did not participate in HERP (with DRS history) – Rules under New to HERP-Eligible Employment” section apply except employee CANNOT be given 30-day choice between Plan 3 and HERP (See Business Rule 3.3.3 B10). 		HERP/ TRS Plan 3 choice	<ul style="list-style-type: none"> • QA Membership Options for HERP • Retirement Membership Options – Higher Education Faculty Positions • Retirement Membership Options – Higher Education Non-Faculty Positions • Higher Education Plan 3 30-Day Retirement Choice • Higher Education Facts at a Glance
113	3.3.3	B13	Business Rule	Members “eligible to retire from a DRS-administered Plan” are not allowed to participate in a non-DRS retirement plan offered by an institution of higher education.	RCW 28B.10.400(2)	HERP/ Plan 3 choice	
114	3.3.3	M1	Message	Position is eligible for membership need to assess reportable nature of position.			
115	3.3.3	M2	Message	Position is not eligible for membership need to			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				assess reportable nature of position.			
116	3.4		Child Process of 3.0	Evaluate Exception Rules			
117	3.4		Input	Position is deemed eligible for membership.			
118	3.4		Output	<ul style="list-style-type: none"> No exception rules apply and person/position are eligible. Exception rules do apply and person is not eligible. 			
119	3.4	B1	Business Rule	<p>Evaluate PERS Exception Rules</p> <p>Need to add an exception that is not on this list: 41.40.023 (22) Persons employed as the state director of fire protection under RCW 43.43.938 who were previously members of the law enforcement officers' and firefighters' retirement system plan 2 under chapter 41.26 RCW may continue as a member of the law enforcement officers' and firefighters' retirement system in lieu of becoming a member of this system.</p>	RCW 41.04.270 – Estoppel Rules		
120	3.4	B2	Business Rule	Evaluate LEOFF Exception Rules	RCW 41.04.270 – Estoppel Rules		
121	3.4	B3	Business Rule	Evaluate PSERS Exception Rules	RCW 41.04.270 – Estoppel Rules		
122	3.4	B4	Business Rule	Evaluate SERS Exception Rules	RCW 41.04.270 – Estoppel Rules		
123	3.4	B5	Business Rule	Evaluate TRS Exception Rules	RCW 41.04.270 – Estoppel Rules		
124	3.4	R1	Requirement	If exception rules apply, need to go to 3.5 Confirm Reportable Status.			
125	3.4	R2	Requirement	If no exception rules apply, the employer should			Member History Chart – Employee Hired into an

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				report the prospective employee to DRS based on the system/plan determined in the 3.1 Assess Retirement Status and 3.2 Determine Systems child processes.			Eligible Position (Not for Retirees or Substitutes)
126	3.4	R3	Requirement	If prospective employee is a WSPRS cadet they must be reported in PERS until they are commissioned.	RCW 43.43.130 - Membership RCW 41.40.092 – Transfer of cadet service credit to Washington state patrol retirement system		
127	3.4	M1	Messaging	If no exception rules apply, the employer should receive a message to report the prospective employee to DRS.			
128	3.5		Child Process of 3.0	Confirm Reportable Status			
129	3.5		Input	<ul style="list-style-type: none"> Position not eligible; or Exception Rules Do Apply and Person is not eligible. 			
130	3.5		Output	<ul style="list-style-type: none"> Position is reportable; or Position is not reportable and position/person needs to be monitored. 			
131	3.5	F1	Functionality	Employer should be able to evaluate (Independent Contractor Status Questionnaire) a prospective employee to determine if they are an independent contractor or an employee.	WAC 415-02-110		Independent Contractor Status Questionnaire DRS MS 344 (R 5/09)
132	3.5	B1	Business Rule	Rehired LEOFF Plan 1 Retirees should be reported to DRS based on the following reporting chart.			
133	3.5	B2	Business Rule	Rehired LEOFF Plan 2 Retirees should be reported to DRS based on the following reporting chart.			
134	3.5	B3	Business Rule	A LEOFF Plan 2 retiree hired into a PERS, PSERS, SERS, or TRS – Eligible position has the option to			Plan 2 Retiree Re-Employment Form DRS L 264 (R 9/11)

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				continue retiree status or elect active plan membership. If they elect active plan membership their LEOFF 2 benefits will cease. The member must complete the Plan 2 Retiree Re-Employment form.			
135	3.5	B4	Business Rule	Rehired PERS Plan 1 Retirees should be reported to DRS based on the following reporting chart.			
136	3.5	B5	Business Rule	Rehired PERS Plan 2 & 3 Retirees should be reported to DRS based on the following reporting chart.			
137	3.5	B6	Business Rule	Rehired PSERS Plan 2 Retirees should be reported to DRS based on the following reporting chart.			
138	3.5	B7	Business Rule	Rehired SERS Plan 2 & 3 Retirees should be reported to DRS based on the following reporting chart.			
139	3.5	B8	Business Rule	Rehired TRS Plan 1 Retirees should be reported to DRS based on the following reporting chart.			
140	3.5	B9	Business Rule	Rehired TRS Plan 2 & 3 Retirees should be reported to DRS based on the following reporting chart.			
141	3.5	B10	Business Rule	Rehired WSPRS Plan 1 Retirees should be reported to DRS based on the following reporting chart.			
142	3.5	B11	Business Rule	Rehired WSPRS Plan 2 Retirees should be reported to DRS based on the following reporting chart.			
143	3.5	B12	Business Rule	Rehired JRS members must follow the rules of RCW 2.10.155 and WAC 415-100-190.	RSD-JRS-RET-1 – Paying Benefits to JRS Retirees Who Return to Public Employment		
144	3.5	B13	Business Rule	DRS Retirees Returning to work at an Institution of Higher Education should be reported based on the following reporting chart.			
145	3.5	B14	Business Rule	If prospective employee retired under the 2008 ERF, and is less than 65, they are reportable to DRS in either an eligible or ineligible position based on	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	

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				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.		Plan 2 & 3	
146	3.5	B15	Business Rule	<p>If prospective employee is deemed an independent contractor and directly compensated by the terms of the contract, 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 for the entire month and ongoing until they separate from the position or turn age 65, whichever comes first.</p> <p>Exception to rule: If money paid to the contractor is coming from a 3rd party employer this rule does not apply.</p>	<p>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)</p>	PERS, SERS, TRS Plan 2 & 3	
147	3.5	B16	Business Rule	<p>If prospective employee is deemed an independent contractor and directly compensated by the terms of the contract, retired under the 2008 ERF, and is greater than 65 years of age, they are reportable to DRS in an ineligible position.</p> <p>Exception to rule: If money paid to the contractor is coming from a 3rd party employer this rule does not apply.</p>	<p>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)</p>	PERS, SERS, TRS Plan 2 & 3	
148	3.5	B17	Business Rule	<p>If prospective employee is a substitute, 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.</p>	<p>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)</p>	PERS, SERS, TRS Plan 2 & 3	
149	3.5	B18	Business	<p>If prospective employee is a retired member and is</p>			

Contr #	#		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
			Rule	reportable to DRS based on the reporting chart for that system and plan the member must be separated from employment for 30 days before returning to work regardless of position eligibility.		
150	3.5	B19	Business Rule	If prospective employee is a retiree they should have the option to join membership if they are not estopped from membership.		
151	3.5	B20	Business Rule	Substitutes should be reported to DRS based on the following reporting chart. Members can only purchase sub time after July 27, 2003.	<p>A substitute is defined as “a classified or certified 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. WAC 415-110-010(9); RCW 42.32.010(36).</p> <p>A substitute teacher is defined as (RCW 41.32.010(36)):</p> <ul style="list-style-type: none"> 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 works in an ineligible position for you and works for another TRS employer in an eligible or ineligible position, or as a substitute. 	<p>SERS Plan 2 & 3 Substitute’s Fact Sheet</p> <p>SERS Plan 2 & 3 Substitute’s Guide</p> <p>TRS Plan 1 Substitute Teacher’s Guide</p> <p>TRS Plan 2 & 3 Substitute’s Fact Sheet</p> <p>TRS Plan 2 & 3 Substitute’s Guide</p>
152	3.5	D1	Document	If prospective employee is reportable in a brand new LEOFF position the employer must submit a job description of the position and an enrollment form to DRS. DRS will review the documents and send out an eligibility letter to the employer.	<p>Currently the LEOFF unit makes the determinations but for future to-be consideration:</p> <ul style="list-style-type: none"> For new employers and for existing employers with new LEOFF positions, it was discussed with reps 	

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					<p>from both units, that ESS should manage the entire eligibility process, with the understanding that ESS can consult with LEOFF team members whenever there are questions or if there is a disagreement. See notes from EIS Meeting February 11, 2013 LEOFF eligibility.</p> <ul style="list-style-type: none"> It would also be good to combine the LEOFF and ESS paper employer file into a single imaged file. (Currently LEOFF keeps all position descriptions and letters they send to the employer in their files.) 		
153	3.5	D2	Document	If prospective employee is reportable in LEOFF or WSPRS the employer must submit an enrollment form to DRS.		WSPRS/ LEOFF	Enrollment Form DRS MS 102 (R 5/2012)
154	3.5	D3	Document	If prospective employee is a retiree the employer should provide them with the Thinking About Working After Retirement brochure based on the system/plan the employee retired from.			<p>Thinking About Working After Retirement brochures:</p> <ul style="list-style-type: none"> LEOFF 1 LEOFF 2 PERS Plan 1 PERS/SERS Plan 2 & 3 PSERS Plan 2 TRS Plan 1 TRS Plan 2 & 3 WSPRS
155	3.5	R1	Requirement	If HERP eligible member chooses plan 3 they must	The Employer then will report the member	HERP/	Higher Education Employees Plan 3 Investment

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				complete the "Higher Education Employees Plan 3 Investment Program" form and give it to their employer.	in Plan 3 based on their Investment Program and Contribution Rate choices.	Plan 3 Choice	Program form DRS MS 397 (R 10/11)
156	3.5	M1	Messaging	If prospective employee is reportable, the employer should receive a message to report the prospective employee to DRS.			
157	3.5	M2	Messaging	If prospective employee is not reportable and position is eligible, the employer should receive a message not to report the prospective employee.			
158	3.5	M3	Messaging	If prospective employee is not reportable and position is deemed ineligible, the employer should receive a message to monitor position.			
159	3.5	M4	Messaging	If prospective employee is a retiree and they have the option to join membership, the employer should receive a message letting them know that the employee has the option to join membership and if the employee is interested they should contact DRS.			
160	3.5	M5	Message	Employer should receive an annual reminder message to review ineligible positions.			

Process/Workflow Name: 4.0 Enroll Member

This process provides a 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:

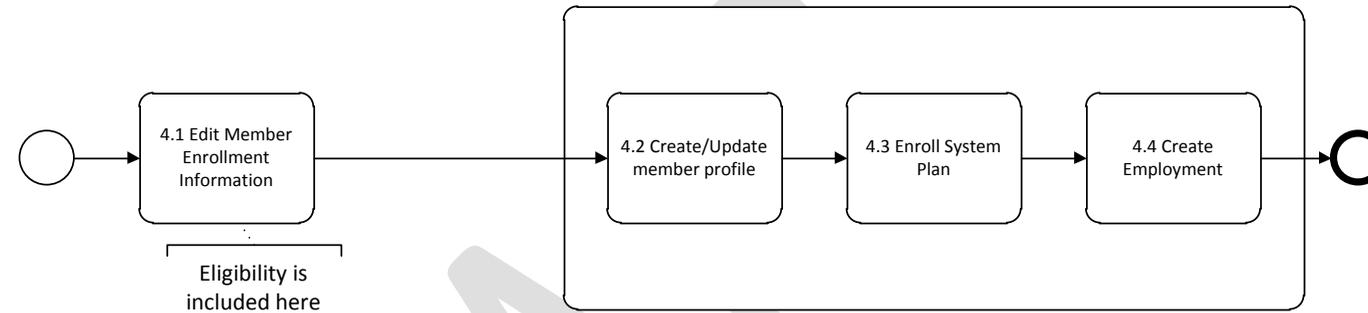
- New hires who are new to the DRS system/plan they are being enrolled in, and may or may not have been a member of a different system/plan.
- Employees who are already established as members of a DRS system/plan and who are being hired by a different employer.
- Withdrawn members who have reestablished 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 member who is joining DCP. Information about DCP enrollments will be added after further discussions with DCP on the future process.

Note: The data elements listed in this document represent data that is currently collected to support the Enroll Member process. We anticipate that the data requirements will change, based on the physical design and platform. It is also assumed that further analysis will be done on the Enroll Member process and all other processes that may share the data to identify the new data requirements.

Child processes are:

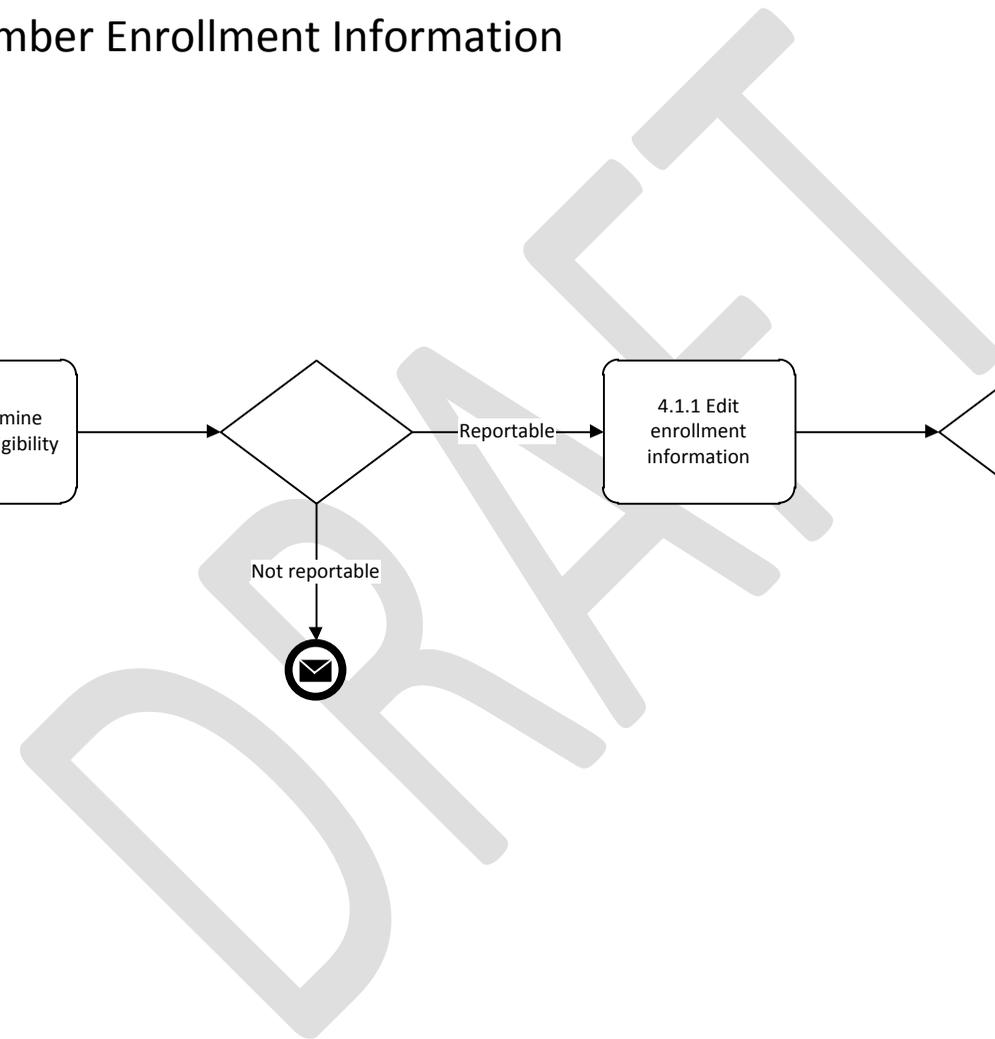
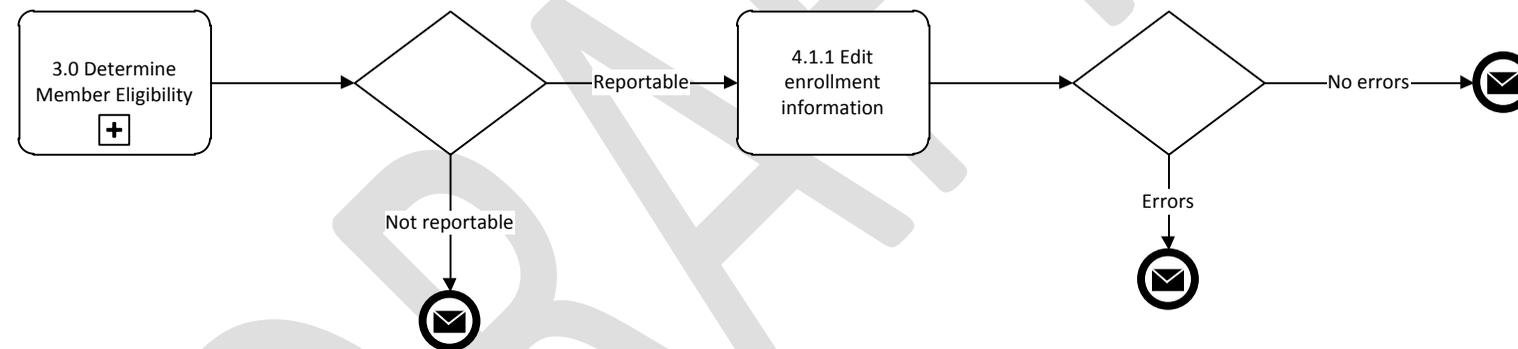
- Edit member enrollment information
 - Call to Determine Member Eligibility process
 - Edit enrollment information
- Create/Update member profile
- Enroll system/plan
- Create employment

4.0 Enroll Member



DRAFT

4.1 Edit Member Enrollment Information



Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
1	4.0		Parent Process	Enroll Member. This process provides a function to facilitate the enrollment of members into a DRS retirement system/plan, including DCP.	Currently, a DRS team member enrolls members into DCP, based on the receipt of a participation agreement form. Can employers be given the information they need to enroll the member themselves? (E.g., microfiche housed at DRS.) (Issue Log Item 8 asks whether DCP participants should enroll with record keeper or DRS?)		Issue Log (from current project)
2	4.0		Inputs	<ul style="list-style-type: none"> Member enrollment information 	The information could come from the Determine Eligibility process, from an interactive enrollment process, or from a batch process.		
3	4.0		Outputs	<ul style="list-style-type: none"> Member profile and employment records have been created or updated and forwarded to member information data store. 			
4	4.0	F1	Functionality	The system will include a secure access point for employers to provide member enrollment information to DRS. There will be both an upload feature and an interactive feature.	There was a suggestion that to enhance reporting of new elected officials, an upfront message could be displayed when the employer accesses the system around election time. The message would remind the employer to provide membership information to employees who are new elected officials. Elected officials are not reported until they elect in by contacting DRS and filling out a form.		Application for Membership as an elected or governor-appointed official form – DRS MS 353 (8/10)
5	4.0	R1	Requirement	Employers will be able to submit member enrollment information through the Process Employer Report process.			

Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
6	4.0	R2	Requirement	Employers will be able to submit member enrollment information through the interactive process.			
7	4.1		Child process of 4.0	Edit member enrollment information. This process includes a forward through the Determine Member Eligibility process and return, as well as edits for the enrollment information being submitted.			
8	4.1		Inputs	<ul style="list-style-type: none"> Member enrollment information 			
9	4.1		Outputs	<ul style="list-style-type: none"> Edited member enrollment information Error message(s), if any errors exist 	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.		
10	4.1	F1	Functionality	This process will call the Determine Member Eligibility (Process 3.0). Once that process has been completed, the “reportable” or “not reportable” determination will be returned to this step.	<p>Member eligibility Statutes:</p> <p>PERS: RCWs 41.40.010, 41.40.023, 41.40.025, 41.40.028; WAC 415-108-680</p> <p>TRS: RCWs 41.32.010, 41.32.032, 41.32.033, 41.32.240; WACs 415-112-(119-156)</p> <p>SERS: RCWs 41.35.010, 41.35.030, 41.35.035, 41.35.040; WACs 415-110-550, 415-110-560, 415-110-(680-728)</p> <p>PSERS: RCWs 41.37.010, 41.37.020, 41.37.030; WACs 415-106-(100-110)</p> <p>LEOFF: RCWs 41.26.030, 41.26.040; WACs 415-104-225, 415-104-245</p> <p>WSPRS: RCW 43.43.130; WAC 415-103-010</p> <p>DCP: RCW 41.50.770; WAC 415-501-110, 415-501-410</p>		

Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
11	4.1.1		Child process of 4.1	Edit Enrollment Information. This process will apply edits to the submitted data and compile error information			Policies DRS-ISD-DATA-1 and DRS-ISD-ITS-15 provide guidance on data sharing and privacy rules
12			Inputs	<ul style="list-style-type: none"> Member enrollment information Determination of whether member is reportable or not reportable 	RCW 41.50.112		
13	4.1.1		Outputs	<ul style="list-style-type: none"> Edited member enrollment information Compiled edits (feedback report) 			
14	4.1.1	R1	Requirement	To confirm identity of member, the system will compare existing data to new data. If there is a match on three elements, the member's identity is assumed to be confirmed. (Example: Name, birthdate, and address must match. There are other possible combinations that confirm the member.)			
15	4.1.1	R2	Requirement	If employee is reportable, the system will determine if all required member profile and employment information is present in the member enrollment information. (Name, birthdate, and address.)			
16	4.1.1	R3	Requirement	Each data element will be edited for format, field length, etc.	RCW 41.50.112		See Employer Reporting Handbook, Chapter 8, Transmittal Reporting, "List of Edit Fields"
17	4.1.1	B1	Business rule	An organization's DCP report group is inactive until the first participant in that organization has enrolled.			
18	4.1.1	D1	Data	Record type Identifier: Not known yet if this will be required in the new system	Currently, a record type identifier is part of each of the six record layouts employers use to report data: Summary record (S), Member Profile record (M), Employment record (E), Defined Benefit record (B), Defined Contribution record (C), and Plan Choice record (T).		

Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
19	4.1.1	D2	Data	First name: A valid first name must be present.	<p>Assumption is that valid means proper formatting. Need to ensure that system accepts 1 name individuals.</p> <p>Profile information MIS Field Help Definition: The legal individual name of a member. Some people place the family name first and the individual name last. DRS should use the individual name as first name whenever possible. Initials separated by blanks, multiple words separated by blanks, and hyphenated names may appear in this field.</p>		
20	4.1.1	D3	Data	Last name: A valid last name must be present.	<p>Profile information MIS Field Help Definition: The legal family name of a member. Some people place the family name first and the individual name last. DRS should always use family name as lasts name whenever possible. Last name may consist of one character, or one or more separate or hyphenated words.</p>		
21	4.1.1	D4	Data	Middle name: Optional, but must be valid if submitted	<p>Profile information MIS Field Help Definition: The legal middle name or names of a member, excluding family name (last name) and individual name (first name). Some members may not have a middle name. Middle name may consist of multiple names separated by blanks, or hyphenated names.</p>		

Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
22	4.1.1	D5	Data	Name extension: Optional. Up to three characters for legal name extensions. II, III, IV, JR, SR, V, VI, VII.	Profile information MIS Field Help Definition: The legal extension or qualification of a person's name, such as III, SR, JR. These extensions indicate seniority and are given at birth or inherited. They are not earned through the educational process.		
23	4.1.1	D6	Data	Name suffix: Optional. Up to five characters for educational degrees. DDS, DO, MD, PHD.	Profile information MIS Field Help Definition: Any additional initials or abbreviation commonly used in addressing a member, such as PHD or DDM, which are earned through the educational process rather than given at birth or inherited.		
24	4.1.1	D7	Data	Name title: Optional. Currently, DR or REV only. Propose adding the following elected/appointed official titles: <ul style="list-style-type: none"> • Attorney General • Board Member • Auditor • Coroner • Medical Examiner • Court Clerk • Councilmember • Commissioner • Assessor • Treasurer • Director • Governor • Justice • Judge 	Profile information MIS Field Help Definition: A formal name or abbreviation used in front of the full name when addressing a member. <ul style="list-style-type: none"> • Need to look at mailing constraints when adding additional titles. • Should "Honorable" be included in front of some of these titles? If so, which ones? 		

Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<ul style="list-style-type: none"> • Lieutenant Governor • Mayor • Prosecuting Attorney • Representative • Auditor • Secretary • Senator • Sheriff • Treasurer • Superintendent 			
25	4.1.1	D8	Data	Address change flag = Y	Listed in employer handbook as part of member profile record. The team suggests instead of the employer indicating an address change that the system compares address update and only updates when there is a change. The system should be smart enough not to change the address if something is spelled out in one case but abbreviated in another (ie. Avenue versus Ave).		
26	4.1.1	D9	Data	Address, consisting of: <ul style="list-style-type: none"> • Address line 1 (required) • Address line 2 (optional) • Address line 3 (optional) • City (required) • State (required) • Zip code • Zip code extension Must be present.			

Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				Allow for foreign address, consisting of: <ul style="list-style-type: none"> • Address line 1 (required) • Address line 2 (optional) • City (required if state or Province not entered) • State Or Province (required if City not entered) • Country (required) • Postal Code (optional) 			
27	4.1.1	D10	Data	Birthdate must be present	Profile information		
28	4.1.1	D11	Data	Member identifier must be present			
29	4.1.1	D12	Data	Gender code must be present.	Profile information		
30	4.1.1	D13	Data	Email address (proposed): Optional	Profile information. This data is not currently collected in the member enrollment process. Retirees and active members can update through online account access.		
31	4.1.1	D14	Data	Phone number (proposed): Optional	Profile information		

Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
32	4.1.1	D15	Data	Associate type (proposed) must be present: <ul style="list-style-type: none"> Member 	Profile information. 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: <ul style="list-style-type: none"> Beneficiary Legal order payee Vendor Potential member 		
33	4.1.1	B2	Business rule	The following data is not submitted by the employer if the employee is a retiree: <ul style="list-style-type: none"> Member name change flag Last name First name Middle name Name extension Name title Name suffix Address change flag Address (all three lines) City State Zip code Zip code extension Gender Birth date 	Per the Employer Reporting Handbook, employers do not report the member profile record for a retiree.		See Employer Reporting Handbook, Chapter 8, Transmittal Reporting, “Completing the First Transmittal for a New Employee.”
34	4.1.1	D16	Data	Start date	Employment information		

Control #	#	Sub #	Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
35	4.1.1	B3	Business rule A member can't have two open employment periods with the same employer (i.e., there should not be a start 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.	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.		
36	4.1.1	B4	Business rule A member can have more than one open employment periods if the employment periods are for different employers.			
37	4.1.1	B5	Business rule For an employer who voluntarily joined (new PERS employer), the start date for the member can be prior to the employer's start date in the system.			
38	4.1.1	B6	Business rule For employees who are retirees returned to work, the start date can't be before the date of retirement and must be at least 30 days after the date of retirement. <i>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.</i>			

Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
39	4.1.1	D17	Data	System/plan	Employment information For the interactive enrollment process, if the employee is an existing member of one or more retirement plans, including DCP, system should display all system/plans and/or display all system/plans the employer has.		
40	4.1.1	D18	Data	Job title/Job Type (proposed) Some potential job titles are: <ul style="list-style-type: none"> School districts: TRS/SERS Administrator, Superintendent, Teacher. Elected Officials: PERS City Manager or Chief Administration Office of a city, county or port. These titles indicate the employee has the option of joining, but is not required to join. 	Employment information Job title is not currently collected. Need to determine if this would enhance employer reporting process and benefit the employers. Look at L&I's job titles. There may be some overlap between job titles and Title (4.1.D7). May want to discuss further and make firm boundaries between the two.		
41	4.1.1	D19	Data	Organization identifier (currently Department number, which is same as reporting group number)			
42	4.1.1	B7	Business rule	The organization identifier must be present for the enrollment record to be complete.			
43	4.2		Child process of 4.0	Create/update member profile. This process creates a new member profile record or updates an existing one.			See “Chart of Record Types Created during Enroll Member” for additional information. http://drs1ap01:41816/projects/PrjCent/EIS-BPM/Business/Workflow%20Analysis%20Documents/4.0%20Enroll%20Member/Chart%20of%20Record%20Types%20Created%20during%20Enroll%20Member.docx

Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
44	4.2		Input	<ul style="list-style-type: none"> Edited member profile information 			
45	4.2		Output	<ul style="list-style-type: none"> New or updated member profile record committed to system 			
46	4.2	F1	Functionality	If the employee has never been a member of the system/plan, the system will create and commit a member profile record consisting of the edited member profile listed in 4.1.			
47	4.2	R1	Requirement	If the member is already in the system/plan and the member's identity is confirmed during Edit Member Enrollment Information and if the data is different, the system will change the data to the new submitted data and commit the changes.			
48		R2	Requirement	If data is updated, the system will keep a history of the prior data.			
49	4.2	R3	Requirement	The system will retain data about the creation or update of the member profile record.			
50	4.2	D1	Data	The date the record was created or updated	Will become part of Global Requirements.		
51	4.2	D2	Data	Source of record information (e.g., interactive feature, or uploaded transmittal report)			
52	4.2	D3	Data	User ID and name, if created by interactive feature	Could be either an external user (employer) or an internal user (DRS team member)		
53	4.3		Child process of 4.0	Enroll system/plan. This process creates and commits the Member System/Plan record.			
54	4.3		Input	<ul style="list-style-type: none"> Edited employment information 			
55	4.3		Output	<ul style="list-style-type: none"> Member System/Plan record committed to system 			
56		F1	Functionality	The system will create and commit member employment records.			

Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
57	4.3	R1	Requirement	<p>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:</p> <ul style="list-style-type: none"> • Member identifier (currently SSN) • System/plan • Start date (current label of MSP start date is Entry Date) 			
58	4.3	R2	Requirement	<p>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:</p> <ul style="list-style-type: none"> • Member identifier (currently SSN) • System/plan • Start date • 	<p>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.)</p>		
59	4.3	R3	Requirement	<p>If the member being enrolled has been in the designated system/plan and has withdrawn from that system/plan, the system creates a new Member System/Plan record (MSPP) consisting of selected member profile and employment information:</p> <ul style="list-style-type: none"> • Member identifier (currently SSN) • System/plan • Start date 	<p>A member can have multiple MSPPs, for example, if the member works in a system/plan, withdraws, and then 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.</p>		

Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
60	4.3	R4	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.			
61	4.4		Child process of 4.0	Create employment. This process creates and commits a new employment record for the member.			
62	4.4		Input	<ul style="list-style-type: none"> Edited employment information 			
63	4.4		Output	<ul style="list-style-type: none"> Member employment record committed to system 			
64	4.4	F1	Functionality	<p>The system creates a new member employment system/plan record (EMSP) for the member consisting of identifying member information and employment information:</p> <ul style="list-style-type: none"> Member identifier (currently SSN) Organization identifier (currently department number or report group number) Start date (currently labeled Begin Date on EMSP record/screen) 			

Process/Workflow Name: 5.0 Update Member

This process provides a function to facilitate the updating of member information.

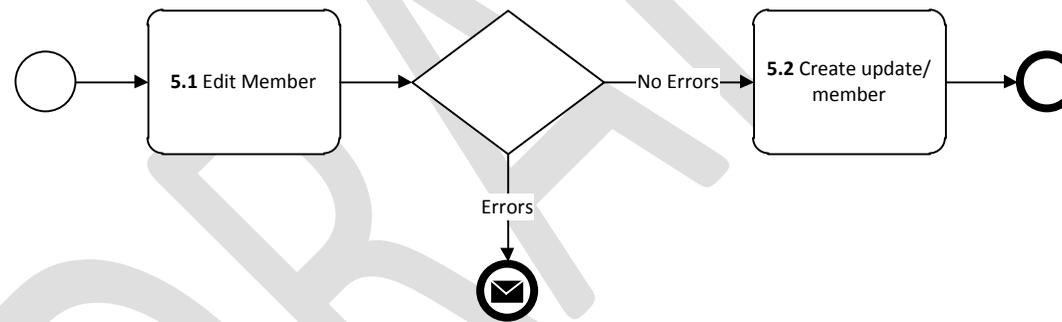
Note: The data elements listed in this document represent data that is currently collected to support the Update Member process. We anticipate that the data requirements will change, based on the physical design and platform. It is also assumed that further analysis will be done on the Update Member process and all other processes that may share the data to identify the new data requirements.

The child processes for this process are:

- Edit Member
- Create/update member

DRAFT

5.0 Update Member



Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
1	5.0			Update Member. This process provides a function to facilitate the updating of member information.			
2	5.0		Inputs	<ul style="list-style-type: none"> Member information changes 			
3	5.0		Outputs	<ul style="list-style-type: none"> Updated member information committed to system 			
4	5.0	F1	Functionality	The process will allow both external users (employers and members) and internal users (DRS Team Members) to provide changes to member information.			
5	5.0	F2	Functionality	The system will interface with online account access.			
6	5.0	F3	Functionality	The system will have notification/messaging capabilities.			
7	5.1		Child process of 5.0	Edit Member Information This process applies edits to requested updates to member information.			
8	5.1		Inputs	<ul style="list-style-type: none"> Member information changes 			
9	5.1		Outputs	<ul style="list-style-type: none"> Updated member information 			
10	5.1	F1	Functionality	The system will have the ability to apply member edits to the requested change information.	Will provide specific edits in future analysis.		
11	5.1	F2	Functionality	The system will allow the user to correct data that didn't pass the edits.			

Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
12	5.1	D1	Data	Employers can update the following member profile information: <ul style="list-style-type: none"> Title Seniority Suffix First name Middle name or initial Last name Address Phone (proposed) Email address (proposed) Gender Birthdate 	The following data is on the MBR screen in MIS, but may not all be Member Profile Information. It is only updated by internal staff. <ul style="list-style-type: none"> Maiden name Mailing opt code (?) Mother's maiden name Proof of birth date Death date Proof of death date Died in line of duty First class city entry IRS forms 		
13	5.1	D2	Data	Employer can enter a separation date.	Separation date will be edited to ensure: <ul style="list-style-type: none"> No missing employment earnings, No negative or discrepant employment earnings, Etc. 		
14	5.1	B1	Business rule	An employer can change addresses only for non-retired members currently employed by that employer.			
15	5.1	M1	Messaging	The system will provide a message for data that doesn't pass edits.			
16	5.1	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.			
17	5.2		Child process of 5.0	Create update/member. This is a reusable activity described in Activity 4.2 in the Enroll Member process.			
18	5.2		Input	<ul style="list-style-type: none"> Edited member profile or separation date information 			

Control #	#	Sub #		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
19	5.2		Output	<ul style="list-style-type: none"> Updated member profile and/or separation date record committed to system 			

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Process/Workflow Name: 6.0 Plan Choice

This process facilitates the member's plan choice selection between plan 2 and 3 for PERS, SERS, and TRS and the notification of that selection to DRS, the member, and the employer.

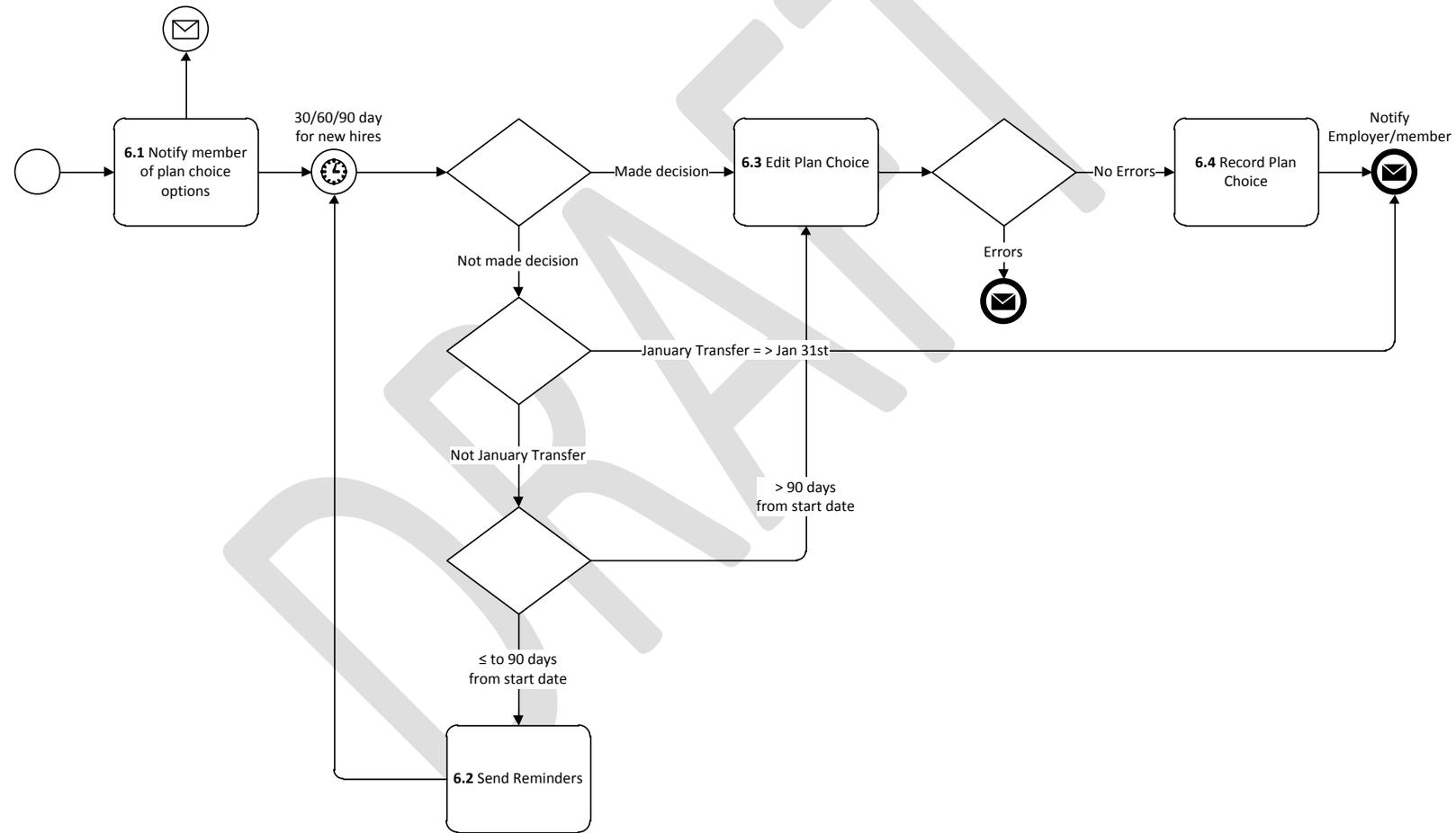
Note: The data elements listed in this document represent data that is **currently** collected to support the Plan Choice process. We anticipate that the data requirements will change, based on the physical design and platform. It is also assumed that further analysis will be done on the Plan Choice process and all other processes that may share the data to identify the new data requirements.

Child processes are:

- Notify member of plan choice options
- Send Reminders
- Plan Choice Edits
- Record Plan Choice

DRAFT

6.0 Plan Choice



Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
1	6.0		Parent Process	This process facilitates the member’s plan choice selection between plan 2 and 3 for PERS, SERS, and TRS and the notification of that selection to DRS, the member, and the employer.			
2	6.0		Input	Member is enrolled in PERS, SERS, and TRS and has a 90-day choice to make. Or member has January Transfer Rights.	Members who were Plan 2 prior to Plan 3 implementation and who did not elect to transfer to Plan 3, have January Transfer rights every January. SERS members with PERS Plan 2 history prior to August 1, 2009, have January Transfer rights every January.		
3	6.0		Output	<ul style="list-style-type: none"> Member makes a plan choice selection. Notification messages are sent to DRS, Member, and Employer. 			
4	6.0	B1	Business Rule	Upon initial enrollment of a member, the member should be enrolled in Plan 2.	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 (ie. Plan 2 or Plan 3).		
5	6.0	B2	Business Rule	Newly hired members with no prior history under PERS, SERS or TRS, have a 90-day choice window to choose plan 2 or plan 3.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
6	6.0	B3	Business Rule	New elected/governor appointed officials who elect to participate in membership should get a 90-day choice window from the point of election to participate, not from the point of hire.	When the employer reports the elected/appointed official they have to do a choice override date (EMSP screen) to grant the member a 90-day choice window from the date of election.		
7	6.0	B4	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		
8	6.0	B5	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.			
9	6.0	B6	Business Rule	Prior PERS members whose service was converted to SERS, and who are now reenrolled in a PERS position, should get a 90-day choice window.	For converted accounts see Position Statement #24 from PERS Plan 3 Project signed – 8/15/2001		
10	6.1		Child Process of 6.0	<p>Notify member of plan choice Options</p> <p>The following ways facilitate the start of this process:</p> <ul style="list-style-type: none"> • New members of PERS, SERS, or TRS with no prior history get 90-day plan choice. • If a member terminates employment within the 90-day choice window and has not made a plan choice, the member is given another 90-day choice window upon re-employment. • PERS members whose PERS service was converted to SERS, and are now reenrolled in a PERS eligible position are given a 90-day choice window. • Elected/Governor appointed official elects to participate in membership. • Member has transfer rights to Plan 3 or some other plan. 			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
11	6.1		Input	Choice needs to be made will initiate the process.			
12	6.1		Output	Notification that choice needs to be made is sent.			
13	6.1	M1	Messaging	Notification will be sent to the member: <ul style="list-style-type: none"> • Initial Notification – Upon enrolling a member in PERS, SERS, or TRS who is still within the 90-day choice window. • January Notification – 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. 			
14	6.1	O1	Documents	Publications and information regarding Plan choice will be available to assist the member in making a choice.			Possibly link to the Plan 3 website http://www.icmarc.org/washingtonstate.html so user can access the following important information. <ul style="list-style-type: none"> • Plan Choice Booklet • Getting to Know Plan 3 • Plan 3 Investment Guide • Plan 2 and Plan 3 Member Handbooks • Financial Modeling Software • Plan 3 Education Seminars
15	6.2		Child Process of 6.0	Send Reminders The system will generate reminder notifications for newly enrolled members who have not made a plan choice, until such time they have made a choice or their window expires and they are defaulted.			
16	6.2		Input	No choice has been made for newly enrolled member.			
17	6.2		Output	Reminder Notification is sent.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
18	6.2	R1	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 enrollment 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.			
19	6.2	R2	Requirement	Reminder notifications will not be sent to members who have January transfer rights.			
20	6.2	M1	Messaging	Reminder Notifications at Periodic Intervals – If member is still within 90-day choice window and has not made a choice send reminder notifications at periodic intervals.			
21	6.3		Child Process of 6.0	Edit Plan Choice The system will receive and confirm the plan choice from the member or employer.			
22	6.3		Input	Plan choice or default notice is submitted. In the case of January transfer who does not choose to transfer, no information will be submitted.			
23	6.3		Output	<ul style="list-style-type: none"> Plan choice or default is received and edits are applied. Error message is generated if plan choice error occurs. 			
24	6.3	B1	Business Rule	Member must make their plan choice within 90 days of the member's enrollment date.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
25	6.3	B2	Business Rule	Member should be able to make a choice to: <ul style="list-style-type: none"> Choose Plan 2 Choose Plan 3 Transfer to Plan 3 (January transfer only) 			Member Information Form DRS MS 133 (R 5/11)
26	6.3	B3	Business Rule	If member fails to make a choice within the 90-day window the member will be default to Plan 3.			
27	6.3	B4	Business Rule	If member chooses Plan 3, they must select a contribution rate: <ul style="list-style-type: none"> Option A Option B Option C Option D Option E Option F 			
28	6.3	B5	Business Rule	If member is defaulted to Plan 3 or fails to choose a rate their rate option will default to Option A.			
29	6.3	B6	Business Rule	If member chooses Plan 3, they must select an Investment Program: <ul style="list-style-type: none"> Washington State Investment Board (WSIB) Investment Program Self-Directed Investment Program 			
30	6.3	B7	Business Rule	If member is defaulted to Plan 3 or fails to choose an investment program they will be defaulted to the Self-Directed Investment Program.			
31	6.3	B8	Business Rule	If member has January transfer rights the member does not have to make a choice.			
32	6.3	B9	Business Rule	If member has January transfer rights, the election must be made between January 1-31.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
33	6.3	B10	Business Rule	To be eligible to transfer during the January transfer window the member must earn service credit in January.	PERS RCW 41.40.795 & WAC 415.108.425 TRS RCW 41.32.817 SERS RCW 41.35.510		
34	6.3	F1	Functionality	The member should be able to electronically submit their plan choice directly to DRS.	Plan Choice would consist of choice of plan, contribution rate, and investment manager.		
35	6.3	F2	Functionality	Employers should be able to electronically submit the member's plan choice to DRS for the member.	Question: Would the member in this case, need to submit the Member Information Form to the employer as they currently do today?		
36	6.3	R1	Requirement	If member electronically submits their plan choice to DRS directly their signature should be acknowledged electronically.			
37	6.3	R2	Requirement	If there are no edit errors, the members plan choice or default should be accepted by the system.			
38	6.3	R3	Requirement	If there are edit errors, the members plan choice or default should not be accepted by the system and should send a message regarding the error.			
39	6.3	M1	Messaging	If there are edit errors a message should be sent regarding the error.			
40	6.4		Child Process of 6.0	Record Plan Choice The system will be updated with the members plan choice and send appropriate notifications.			
41	6.4		Input	Plan choice or default is received.			
42	6.4		Output	<ul style="list-style-type: none"> Plan choice or default information is updated in the system. Notification is sent to the member, employer and third party record keeper (TPA). 			
43	6.4	F1	Functionality	Choice should populate system.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
44	6.4	R1	Requirement	If member chose/defaulted to plan 3, the member's account should be converted to Plan 3 and the choice should be beamed to the TPA.			
45	6.4	R2	Requirement	If member has January transfer rights the member does not have to make a choice. If no choice is made, nothing will change.			
46	6.4	M1	Messaging	<ol style="list-style-type: none"> 1. Send confirmation of choice/ default notification to member, employer, TPA. 2. If plan 3 selected, TPA will generate, Welcome to Plan 3 letter. 3. If plan 2 selected, DRS will generate, Welcome to Plan 2 letter. 4. 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. 			

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Process/Workflow Name: 7.0 Earnings Activity

This process provides the ability for the employer 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 HERP and DCP data.

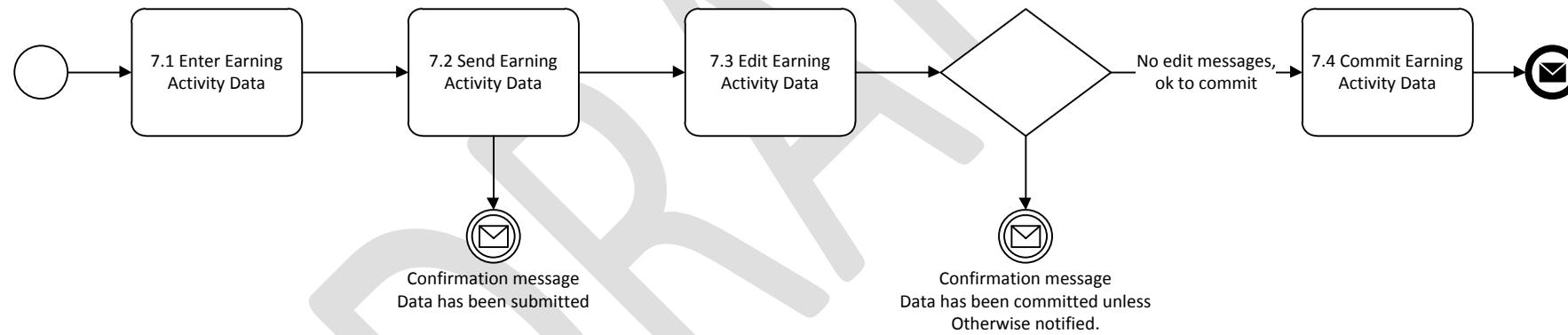
Note: The data elements listed in this document represent data that is currently used to support the Earnings Activity process. We anticipate that the data requirements will change, based on the physical design and platform. It is also assumed that further analysis will be done on the Earnings Activity process and all other processes that may share the data to identify the new data requirements.

Child processes are:

- Enter earning activity data
- Send earning activity data
- Edit earning activity data
- Commit earning activity data

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7.0 Earning Activity



Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
1	7.0		Parent Process	This process provides the ability for the employer 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 HERP and DCP data			
2	7.0		Input	<ul style="list-style-type: none"> • Employer has successfully logged into the system • They have selected to enter earning activity 			
3	7.0		Output	<ul style="list-style-type: none"> • Confirmation message earning activity data has been sent. • Edit message that data was returned to due to errors. Should be specific with which data was returned and include a clear message why it was returned. • Confirmation message that data was committed. 			
4	7.0	R1	Requirement	Each month, employers are required to report information to DRS about each employee who is a member of a Washington State retirement system.	<ul style="list-style-type: none"> • RCW 41.50.110 Expenses of administration paid from department of retirement systems expense fund – Administrative expense fee. 		
5	7.0	R2	Requirement	File format options (TBD)	Here are the <u>current</u> file format options accepted: <ul style="list-style-type: none"> • ASCII Text format – tab delimited • ASCII text format – fixed length • EBCDIC format – fixed length 		
6	7.0	R3	Requirement	Required for each regular report: <ul style="list-style-type: none"> • A <u>summary record</u> for each transmittal report (reporting group) • <u>Defined benefit</u> information for members of all systems and plans (not applicable for DCP) • <u>Defined contribution</u>/deferral information for Plan 3 members and DCP participants. • Use the other record types; e.g., <u>member profile</u>, <u>employment information</u>, and <u>plan choice</u>, only when necessary. 	<ul style="list-style-type: none"> • <u>Current transmittal field descriptions</u> These records are required for the current system. Summary record only required for HERP. HERP fun compensation , all HERP compensation paid to employees during report is as paid.		
7	7.0	M1	Messaging	Confirmation message earning activity data has been sent.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
8	7.0	M2	Messaging	Edit message that data was returned to due to errors. Should be specific with which data was returned and include a clear message why it was returned.	Currently employers do not receive edit messages for DCP (ESS does receive messages).		
9	7.0	M3	Messaging	Confirmation message that data was committed.			
10	7.1		Child process of 7.0	Enter earning activity data.			
11	7.1		Input	<ul style="list-style-type: none"> Employer has successfully logged into the system They have selected to enter earning activity 			
12	7.1		Output	<ul style="list-style-type: none"> Earning activity has been entered. 			
14	7.1	R2	Requirement	For DCP, allow employer to report when an employee would like to change or stop their payroll deductions.	Currently employees may change or stop their payroll deduction at any time by calling the DCP information line or by accessing their accounts on the DCP website. Currently the effective date of the deferral change is dictated by the system upon processing the form and considering the employer cutoff.		
15	7.1	R3	Requirement	Allow employer to report corrections to previous submissions.			
17	7.1	R5	Requirement	Allow employer to make <u>corrections</u> to data associated with an earn period prior to the current report period.			
18	7.1	R6	Requirement	For regular reports, they must be submitted sequentially (for example can't submit version 2 before version 1)	Requirement for current system		
19	7.1	R7	Requirement	Allow the employer to have a final review of their information to make updates (and recalc) before submitting.			
20	7.1	R8	Requirement	Give the employers a comprehensive view of what they are currently reporting.	Per 04/29/2013 small group meeting an employer could be adding a lot of months of data for one individual; it would be nice if they could see all the months that have been added while entering. Per team meeting on 07/31/2013, it was suggested that summaries should be at the bottom of the detail, unlike WBET which has totals at the top and details below.		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
21	7.1	R9	Requirement	Make sure employer can't leave the screen if they have not saved their data or if they have uncommitted data.			
22	7.1	R10	Requirement	System will figure out the contributions owed by the employer	Current advantage of wbet.		
23	7.1	R11	Requirement	The system will round decimal points to the same place as the mainframe.	Per 04/29/2013 small group meeting; WBET rounds differently from how employer rounds and from how the mainframe rounds. Sometimes employers back data out and re-enter to try to match WBET and can't get it to match because employers typically round to two places (ex .75) and WBET rounds to one place (.8). Rates are to four decimal places but if the rate is split, it'll round differently (unclear what this looks like).		
24	7.1	R12	Requirement	Automatically split M code dollars into each month in the period and assign status code A to each. Employer would just have to provide the dollar amount, the period range, description of type of pay (for example base, overtime (mandatory or voluntary), bonus, etc.	04/29/2013 small group meeting		
25	7.1	D1	Data	Record Type Identifier - Each record has a unique record type identifier. If you are using a spreadsheet to create the transmittal report or the file contains rows that are not filled with transmittal report data (such as column headings), mark them with "L" so the DRS system will not read them as data.	Summary record, Defined Benefit record, Defined Contribution record		
26	7.1	D2	Data	Reporting Group number - This is a DRS - assigned number and is system specific. An employer who participates in multiple systems has a specific department number for each system. Fixed length ASCII format - The field length must be 6 characters. If the reporting group number is less than 6 characters long, add blank spaces at the end. Example: 9076bb.	Summary record, Defined Benefit record, Defined Contribution record		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
27	7.1	D3	Data	Reporting Period - 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	Summary record, Defined Benefit record, Defined Contribution record		
28	7.1	D4	Data	<p>Report Type - This field is used to indicate whether the report is a regular transmittal report or a correction report. Valid values: R, C.</p> <ul style="list-style-type: none"> • R-Regular transmittal report • C-Correction report (DRS makes the corrections for employers.) <p>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.</p>	Summary record, Defined Benefit record, Defined Contribution record		
29	7.1	D5	Data	Report version number - 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.	<p>Summary record, Defined Benefit record, Defined Contribution record</p> <p>It was discussed to look at other options on how to track reporting other than the current versioning process in place.</p>		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<p>Employers who are not using the multiple reporting option should always enter 01 in the Report Version Number field</p> <p>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.</p> <p>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.)</p>			
30	7.1	D6	Data	<p>Expected monthly reports - Employers who are not using the multiple reporting options should always enter 01 in the Expected Monthly Reports field.</p> <p>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.</p> <p>Note: 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.)</p>	Summary record		
31	7.1	D7	Data	Total compensation - Enter the grand total (sum of the transactions within either the benefit record or defined benefit record) of member compensation for all plans reported on the transmittal report	Summary record		
32	7.1	D8	Data	Total member contributions/deferrals - Enter 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	Summary record Future consideration: Do we need to keep this data? Used for AR purposes?		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				Defined Contribution Record if you use the MRL. The sum of all DCP participant deferrals should be entered in this field.			
33	7.1	D9	Data	Total employer contributions - Enter 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.	Summary record		
34	7.1	D10	Data	Total Hours - Enter 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.	Summary record		
35	7.1	D11	Data	Total Records Reported - Enter the total number of detailed transactions on the transmittal report. Do not include the Summary Record in this count.	Summary record		
36	7.1	D12	Data	Total Days - Enter the grand total of days for TRS Plan 1 members reported within the Defined Benefit Record. Total days must be reported to the nearest tenth.	Summary record		
37	7.1	D13	Data	Social Security Number - 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.	Defined Benefit record, Defined Contribution record		
38	7.1	D14	Data	System Code - The system code identifies the system being reported. Valid codes are: D, E, J, L, N, P, R, S, and T. <ul style="list-style-type: none"> • D - Deferred Compensation Program (DCP) • E - School Employees' Retirement System (SERS) • J - Judicial Retirement System (JRS) • L - Law Enforcement (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 	Defined Benefit record, Defined Contribution record		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				(WSPRS) <ul style="list-style-type: none"> T - Teachers' Retirement System (TRS) U - Judges Retirement Fund (JRF) Z – HERP Fund 			
39	7.1	D15	Data	Plan Code - Use this field to identify the retirement plan being reported. Valid values: 0, 1, 2, or 3. <ul style="list-style-type: none"> Plan 0 - Retirees, and school district and educational service district substitutes, higher education (future data element) Plan 1 - Valid for systems D, J, L, P, S and T Plan 2 - Valid for systems E, L, N, P, S, and T Plan 3 - Valid for systems E, P, and T Plan Z1 – HERP Fund 	Defined Benefit record		
40	7.1	D16	Data	Type Code - The Type Code identifies the type of employer, and in some cases, the type of work performed by the member.	Defined Benefit record		
41	7.1	D17	Data	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.	Defined Benefit record		
42	7.1	D18	Data	Status Code - 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. If more than one status code needs to be reported for a member, use additional transactions for each status code.	Defined Benefit record;		
43	7.1	D19	Data	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.	Defined Benefit record		
44	7.1	D20	Data	Days - For TRS Plan 1 members, service is reported in days. Use this field to report the days the TRS Plan 1 member worked	Defined Benefit record		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				during the earning period being reported. Days must be reported to the nearest tenth			
45	7.1	D21	Data	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. Each retirement system and plan has different requirements for reporting compensation.	Defined Benefit record		
46	7.1	D22	Data	Employer Contributions - Employer contributions are due on all compensation (not for plan 0) reported for each earning period. Contributions must be the product of the following calculation: contributions = (compensation) x (employer contribution rate), computed to four decimal points (200.0159) and rounded to two decimal points (200.02)	Defined Benefit record		
47	7.1	D23	Data	Defined Benefit Member Contributions - 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.) 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).	Defined Benefit record		
48	7.1	D24	Data	Defined Contribution/Deferrals - Use this field 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	Defined Contribution record		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<p>contributions on previously unreported earnings as a Plan 2 member.</p> <p>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.</p> <p>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 previously paid, base your corrections on the contribution rate in effect when the original compensation was paid.</p>			
49	7.1	D25	Data	<p>Taxed/Non-taxed Status - Fill this field with a "T" to indicate that member contributions are taxed. Leave the field blank if the member contributions are deferred from federal income tax.</p>	Defined Contribution record		
50	7.1	D26	Data	<p>Investment Program - For Plan 3, fill this field with</p> <ul style="list-style-type: none"> • "WSIB" to direct member contributions to the Washington State Investment Board • "SELF" to direct member contributions to the Self-Directed Investment Program <p>Note: If a non-transferring Plan 3 member fails to select an investment program within 90 days of eligibility, your system must report "SELF."</p>	Defined Contribution record		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
51	7.1	D27	Data	<p>Rate Option - There are currently six rate options: A, B, C, D, E or F. Fill this field with the applicable value, to indicate the rate option the Plan 3 member has selected.</p> <p>Note: If a non-transferring member fails to select a rate option within 90 days of eligibility, your system must report A.</p> <p>Option B and C-coordinating rate changes with birth dates.</p> <p>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.</p>	Defined Contribution record		
52	7.2		Child process of 7.0	Send earning activity data.			
53	7.2		Input	<ul style="list-style-type: none"> Earning activity data has been entered 			
54	7.2		Output	<ul style="list-style-type: none"> Confirmation message; earning activity data has been submitted. 			
55	7.2	M1	Messaging	Give the employers an instant confirmation they have successfully submitted their data.	The word instant here is intentional because currently in SFT, the confirmation can be delayed and causes issues with employers knowing whether the data has really been submitted.		
56	7.3		Child process of 7.0	Edit earning activity data.			
57	7.3		Input	<ul style="list-style-type: none"> Earning activity data 			
58	7.3		Output	<ul style="list-style-type: none"> Earning activity data that has been validated against the business rules and: <ul style="list-style-type: none"> Has been accepted and is ready to commit and/or Has been accepted but there is a warning 			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				message sent back and/or ○ Has been rejected and the data is returned with a clear message why it was returned.			
59	7.3	F1	Functionality	System will be able to edit the earning activity data based on the business rules.			
60	7.3	F2	Functionality	System will be able to return edit messages based on the business rules.	<ul style="list-style-type: none"> • List of current edit fields 		
61	7.3	R1	Requirement	System will be able to accept data, accept data but issue a warning message or reject data with a rejection message.	<ul style="list-style-type: none"> • How DRS Edits Transmittal Data Currently how the system edits data. 		
62	7.3	B1	Business Rule	The rules embedded in the code	I am putting this in here to capture that we need to go through the code on the web and mainframe to pull out those rules that are not included below (examples of this would be thresholds).		
63	7.3	B2	Business Rule	First time you report employee	<ul style="list-style-type: none"> • New employee first time reporting requirements 		
64	7.3	B3	Business Rule	If the member's/participant's enrollment is not completed until DRS has received the new employee first time reporting data. Transactions will reject for members whose information is incomplete.			
65	7.3	B4	Business Rule	Reportable Compensation for PERS	<ul style="list-style-type: none"> • What is reportable compensation? • Nonmonetary Maintenance for Plan 1 • Excess Compensation DRS Notice 98-001 • Excess Compensation • WAC 415-108-443 PERS reportable compensation table – The table in this WAC indicates whether certain types of payments are reportable compensation and provides a cross-reference to the specific WAC. <ul style="list-style-type: none"> ○ Includes WACs: 415-108-445 through 415-108-510 • RCW 41.40.010 Definition 		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					<ul style="list-style-type: none"> RCW 41.40.710 Service credit for paid leave of absence, officers of labor organizations, unpaid leave of absence, military service RCW 41.40.805 Leaves of absence – Military Service RCW 41.50.150 Retirement benefits based on excess compensation – Employer liable for extra retirement costs 		
66	7.3	B5	Business Rule	Reportable Compensation for SERS	<ul style="list-style-type: none"> What is reportable compensation? DRS Notice 93-014 Service credit earned while servicing as an elected official of a labor organization DRS Notice 94-006 Temporary duty disability WAC 415-110-443 SERS reportable compensation table - The table in this WAC indicates whether certain types of payments are reportable compensation and provides a cross-reference to the specific WAC. <ul style="list-style-type: none"> Includes WACs: 415-110-451 through 415-110-491 RCW 41.35.010 Definition RCW 41.35.070 Duty disability retirement recipients – Continued service credit RCW 28A.400.220 Employee salary or compensation – Limitations respecting RCW 41.35.440 Earned disability allowance – Disposition upon death of recipient RCW 41.35.690 Earned disability allowance – Disposition upon death of recipient 		
67	7.3	B6	Business Rule	Earnable Compensation for TRS	<ul style="list-style-type: none"> What is reportable compensation? 		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					<ul style="list-style-type: none"> • DRS Notice 93-014 Service credit earned while servicing as an elected official of a labor organization • NonMoney Maintenance Compensation for Plan 1 • Excess Compensation • Excess Compensation DRS Notice 98-001 • WAC 415-112-401 What types of payments are considered earnable compensation? The table in this WAC indicates whether certain types of payments are earnable compensation and provides a cross-reference to the specific WAC. <ul style="list-style-type: none"> ○ Includes WACs: 415-112-402 through 415-112-490 • RCW 41.32.010 Definition • RCW 41.32.345 “Earnable compensation” defined for certain part-time employees – adoption of rules. • RCW 41.32.4945 Limitation as to earnable compensation of member as member of the legislature. • RCW 28A.400.200 Salaries and compensation for employees – minimum amounts – Limitations – Supplemental contracts • RCW 41.50.150 Retirement benefits based on excess compensation – Employer liable for extra retirement costs 		
68	7.3	B7	Business Rule	Basic Salary for LEOFF	<ul style="list-style-type: none"> • What is reportable compensation? • What is reportable compensation plan 1? 		

Contr #	#		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<ul style="list-style-type: none"> • What is not reportable compensation plan 1? • What is reportable compensation plan 2? • What is not reportable compensation plan 2? • WAC 415-104-112 Interim retirement allowance – Employer final compensation report – Final computation of retirement allowance – Adjustment of retirement allowance for errors. • WAC 415-104-298 Purpose and scope of basic salary rules. • WAC 415-104-299 Basic salary table. The table in this WAC indicates whether certain types of payments are basic salary and provides a cross-reference to the specific WAC. <ul style="list-style-type: none"> ○ Includes WACs: 415-104-301 through 415-104-405 • WAC 391-45-410 Unfair labor practice remedies – Back pay • RCW 41.26.197 Service credit for paid leave of absence – application to elected officials of labor organizations • RCW 41.26.520 Service credit for paid leave of absence, officers of labor organizations, unpaid leave of absence, military service • RCW 41.04.500 Disability leave supplement for law enforcement officers and firefighters 		
69	7.3	B8	Business Rule	Reportable Compensation for WSPRS	<ul style="list-style-type: none"> • WAC 415-103-100 Are payments I receive reportable compensation? 	

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
70	7.3	B9	Business Rule	Reportable Compensation for PSERS	<ul style="list-style-type: none"> • RCW 43.43.120 Patrol retirement system - Definitions • Reportable Compensation • DRS Notice 86-001 Reporting of Compensatory Time • DRS Notice 93-014 Service credit earned while servicing as an elected official of a labor organization • Establishing service credit for unpaid leave • WAC 415-106-205 What is reportable compensation? • WAC 415-106-210 What types of payments are considered reportable compensation? The table in this WAC indicates whether certain types of payments are reportable compensation and provides a cross-reference to the specific WAC. <ul style="list-style-type: none"> ○ Includes WACs: 415-106-215 through 415-106-330 • RCW 41.37.010 Definitions • RCW 72.09.240 Reimbursement of employees for offender assaults • RCW 41.37.060 Duty disability retirement recipients – continued service credit • RCW 41.37.260 Leaves of absence, military service • RCW 41.50.730 Retirement or termination agreement payments – Effect on pension benefits calculation 		
71	7.3	B10	Business Rule	PERS Service Credit	<ul style="list-style-type: none"> • Reference PERS Table of Service Credit Rules – Active Members • Service credit and contributions 		

Contr #	#		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<ul style="list-style-type: none"> • RCW 41.40.010 Definitions • RCW 41.40.023 Membership • RCW 41.40.035 Service credit prohibited for certain members of committees, boards, and commissions and for certain appointive and elective officials • RCW 41.40.038 Duty disability retirement recipients – continued service credits. • RCW 41.40.056 Establishment of service credit – former employees – Employer admitted before July 23, 1995 • RCW 41.40.057 Establishment of service credit – current and former employees - employers admitted after July 23, 1995 • RCW 41.40.058 Transfer of service credit from statewide city employees’ retirement system. • RCW 41.40.059 Credit for service in Seattle’s police relief and pension fund system • RCW 41.40.061 Credit for service in Seattle’s police relief and pension fund and system – Terms and conditions. • RCW 41.40.088 Education employment – Service credit – computation. • RCW 41.40.092 Transfer of cadet service credit to Washington state patrol retirement system. • RCW 41.40.095 Transfer of membership from judicial retirement system • RCW 41.40.096 Law enforcement officers – dual membership – plan 1 exception 		

Contr #	#		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<ul style="list-style-type: none"> • RCW 41.40.098 Transfer of former service from judicial retirement system • RCW 41.40.104 Establishing, restoring service credit • RCW 41.40.1041 Prior service fro plan 2 or 3 members – one-half service credit • RCW 41.40.113 Public safety employees’ retirement system – Election- membership. • RCW 41.40.150 Termination of membership – Restoration of service credit • RCW 41.40.160 Creditable service. • RCW 41.40.170 Credit for military service • RCW 41.40.710 Service credit for paid leave of absence, officer of labor organizations, unpaid leave of absence, military service • RCW 41.40.748 Commercial vehicle enforcement officers – Limited optional transfer to Washington State patrol retirement system. • RCW 41.40.749 Certain commissioned officers – Limited optional transfer to Washington state patrol retirement system • RCW 41.40.750 Transfer of membership and service credit – Restoration of contributions and service credit. • RCW 41.40.811 Purchased service credit – Allocation • RCW 41.40.830 Restored, purchased service credit under plan 2 – Transfer to plan 3. • WAC 415-108-726 Can I earn service credit in PERS and another retirement plan at the 		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					<ul style="list-style-type: none"> same time? WAC 415-108-727 Can I transfer service credit earned as a cadet in the public employees' retirement system to the Washington state patrol retirement system Plans 1 or 2? 		
72	7.3	B11	Business Rule	PERS Education Service Credit	<ul style="list-style-type: none"> PERS Education Service Credit 		
73	7.3	B12	Business Rule	PERS Elected/Appointed Officials Service Credit	<ul style="list-style-type: none"> PERS Service Credit Rules for Elected Officials RCW 41.40.175 Service credit for paid leave of absence – application to elected officials of labor organizations WAC 415-108-570 As an elected or appointed official, what are my requirements for service credit. 		
74	7.3	B13	Business Rule	PERS State-Elected Officials Service Credit	<ul style="list-style-type: none"> PERS 1 State-Elected Officials PERS 2 and 3 State- Elected Officials 		
75	7.3	B14	Business Rule	PERS Locally-Elected Officials Service Credit	<ul style="list-style-type: none"> PERS 1 Locally-Elected Officials PERS Plan 2 and 3 Locally-Elected Officials 		
76	7.3	B15	Business Rule	PERS Governor- Appointed Officials Service Credit	<ul style="list-style-type: none"> PERS 1 Governor-Appointed Officials PERS 2 and 3 Governor-Appointed Officials 		
77	7.3	B16	Business Rule	PSERS Service Credit	<ul style="list-style-type: none"> PSERS service credit PSERS optional service credit RCW 41.37.010 Definitions RCW 41.37.060 Duty disability retirement recipients – Continued service credit. RCW 41.37.260 Leaves of absence, military service 		
			Business Rule	PSERS State-Elected Officials Service Credit	<ul style="list-style-type: none"> PSERS State-Elected Officials WAC 415-106-400 If I establish PSERS membership and now hold a state elective 		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					<p>position, may I continue to accrue service credit in PSERS?</p> <ul style="list-style-type: none"> WAC 415-106-401 If I hold a state elective position before establishing PSERS membership, may I establish service credit for my prior service in the state elective position? 		
78	7.3	B17	Business Rule	SERS Service Credit	<ul style="list-style-type: none"> SERS service credit Exceptions for prior period Service credit and contributions Optional service credit RCW 41.35.010 Definitions RCW 41.35.070 Duty Disability retirement recipients – continued service credit RCW 41.35.130 Transfer of service credit from statewide city employees’ retirement system RCW 41.35.180 Service credit – Computation RCW 41.35.1801 Prior service – One half service credit RCW 41.35.470 Leaves of absence, military service RCW 41.35.510 Transfer to plan 3 – Irrevocable option RCW 41.35.650 Leaves of absence, military service RCW 41.35.700 Restored, purchased service credit under plan 2 – Transfer to plan 3. WAC 415-110-685 Am I eligible for membership and service credit as a 		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					<ul style="list-style-type: none"> classified substitute employee? WAC 415-110-710 What are the SERS retiree return to work rules? 		
79	7.3	B18	Business Rule	SERS Elected/Appointed Officials Service Credit	<ul style="list-style-type: none"> SERS service credit rules for elected officials WAC 415-110-550 Elected officials – Eligibility for retirement service membership WAC 415-110-560 Appointed officials – Eligibility and application for retirement service membership WAC 415-110-570 Elected and appointed officials – Requirements for service credit 		
80	7.3	B19	Business Rule	SERS State-Elected Officials Service Credit	<ul style="list-style-type: none"> SERS 2 and 3 State-Elected Officials 		
81	7.3	B20	Business Rule	SERS Locally-Elected Officials Service Credit	<ul style="list-style-type: none"> SERS 2 and 3 Locally-Elected Officials 		
82	7.3	B21	Business Rule	TRS Service Credit	<ul style="list-style-type: none"> TRS service credit Service credit and contributions Optional service credit RCW 41.32.010 Definitions RCW 41.32.0123 Substitute teachers – Application for service credit – Procedures RCW 41.32.064 Establishing, restoring service credit RCW 41.32.0641 Disabled in the line of duty- Continuation of service credit – Conditions RCW 41.32.260 Credit for military service or as state legislator RCW 41.32.267 Service credit for paid leave of absence – Application to elected officials of labor organization RCW 41.32.270 Teaching service, how credited 		

Contr #	#		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<ul style="list-style-type: none"> • RCW 41.32.330 Credit for professional preparation subsequent to becoming teacher • RCW 41.32.340 Creditable service, what to consist of. • RCW 41.32.810 Service credit for paid leave of absence, officers of labor organizations, unpaid leave of absence, military service. • RCW 41.32.812 Service credit for half-time employment from October 1, 1977 through December 31, 1986. • RCW 41.32.865 Service credit for paid leave of absence, officers of labor organizations, unpaid leave of absence, military service • RCW 41.32.892 Restored, purchased service credit under plan 2 – Transfer to plan 3. • WAC 415-112-140 am I eligible for membership and service credit as a substitute teacher? • WAC 415-112-240 In TRA Plan 1, do I receive service credit for my first ninety days of service? • WAC 415-112-250 Will I receive service credit for leave with pay? • WAC 415-112-255 How do I purchase or restore Plan 1 service credit? • WAC 415-112-256 How do I purchase or restore Plan 2 or 3 service credit? • WAC 415-112-270 In TRS Plan 1, may I receive service credit for professional preparation? 		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					<ul style="list-style-type: none"> WAC 415-112-280 Credit for teaching United States military personnel. WAC 415-112-300 What types of service do not qualify for TRS service credit? WAC 415-112-330 How does the department calculate service credit for TRS Plan 1 employees? WAC 415-112-332 How does the department calculate service credit for Plan 2 and 3 members? WAC 415-112-335 Calculating service credit for part-time community and technical college employees. 		
83	7.3	B22	Business Rule	TRS State-Elected Officials Service Credit	<ul style="list-style-type: none"> TRS 1 State-Elected Officials TRS 2 and 3 State-Elected Officials RCW 41.32.010 Definitions 		
84	7.3	B23	Business Rule	LEOFF Service Credit	<ul style="list-style-type: none"> Service credit and contributions Optional service credit RCW 41.26.030 Definitions RCW 41.26.059 Establishing, restoring service credit. RCW 41.26.190 Credit for military service. RCW 41.26.195 Transfer of service credit from other retirement system – irrevocable election allowed. RCW 41.26.470 Earned disability allowance 0 cancellation of allowance – Reentry – Receipt of service credit while disabled – Conditions – Disposition upon death of recipient – Disabled in the line of duty – Totally disability – Reimbursement for certain payments. 		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					<ul style="list-style-type: none"> RCW 41.26.473 Disabled in the line of duty – Continuation of service credit – Conditions RCW 41.26.476 Use of shared leave – impact on calculation of service credit and final average salary. RCW 41.26.520 Service credit for paid leave of absence, officers of labor organizations, unpaid leave of absence, military service. 		
85	7.3	B24	Business Rule	LEOFF Elected/Appointed Officials Service Credit	<ul style="list-style-type: none"> RCW 41.26.197 Service credit for paid leave of absence – Application to elected officials of labor organizations 		
86	7.3	B25	Business Rule	LEOFF State-Elected Officials Service Credit	<ul style="list-style-type: none"> LEOFF 1 State-Elected Officials LEOFF 2 State-Elected Officials 		
87	7.3	B26	Business Rule	LEOFF Locally-Elected Officials Service Credit	<ul style="list-style-type: none"> LEOFF 1 Locally-Elected Officials 		
88	7.3	B27	Business Rule	JRS and JRF Service Credit	<ul style="list-style-type: none"> Judges Retirement System Judges Retirement Fund RCW 2.10.030 Definition RCW 2.10.220 Transfer to system – Prior service credit RCW 41.32.581 End of participation in judicial retirement account plan – Newly elected or appointed judges 		
89	7.3	B28	Business Rule	WSPRS Service Credit	<ul style="list-style-type: none"> Service credit and contributions Optional Service Credit RCW 43.43.137 Reestablishment of service credit by former members who are members of the public employees’ retirement system – conditions. RCW 43.43.138 Establishing, restoring service credit. RCW 43.43.139 Membership while serving 		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					<ul style="list-style-type: none"> as state legislator – Conditions • RCW 43.43.235 Service credit for paid leave of absence • RCW 43.43.260 Benefits - Military service credit. • 		
90	7.3	B29	Business Rule	WSPRS Elected/Appointed Officials Service Credit	No general rules because at the point of appointment they are treated like a regular		
91	7.3	B30	Business Rule	WSPRS State-Elected Officials Service Credit	<ul style="list-style-type: none"> • WSPRS 1 and 2 State-Elected Officials 		
92	7.3	B31	Business Rule	Contributions	<ul style="list-style-type: none"> • Reporting and Paying • Retirement Contribution Rates Tables for all systems/plans • Special Conditions School District and Educational Service District Pay Adjustments Contribution Rate Changes • RCW 41.04.445 Members' retirement contributions – Pick up by employer – Implementation • RCW 41.04.455 Members' retirement contributions – Pick up by employer – Conditions. • WAC 415-02-740 What are the IRS limitations on maximum benefits and maximum contributions? • WAC 415-501-600 Is my employer allowed to contribute to my deferred compensation account? 		
93	7.3	B32	Business Rule	PERS Contributions	<ul style="list-style-type: none"> • RCW 41.40.330 Contributions • WAC 415-108-070 Excess contributions to employees' savings fund. • 		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
94	7.3	B33	Business Rule	LEOFF Contributions	<ul style="list-style-type: none"> RCW 41.26.450 Port districts and institutions of higher education – must make both employer and state contributions. 		
95	7.3	B34	Business Rule	Retirees Return to Work includes information for correctly reporting a retiree (type codes, system and plans, when to report contributions, wait periods, etc.)	<p>LEOFF Plan 1 LEOFF Plan 2 PERS Plan 1 PERS Plan 2 or 3 PSERS Plan 2 SERS Plan 2 or 3 TRS Plan 1 TRS Plan 2 or 3 WSP Plan 1 WSP Plan 2 Higher Education JRS/JRF</p> <ul style="list-style-type: none"> RCW 2.10.155 Suspension of retirement allowance upon employment – Exceptions – Reinstatement - Pro tempore service WAC 415-100-190 Actuarial recomputation of retirement allowance upon retirement following reemployment WAC 415-108-725 If I have retired from another retirement system or am eligible to retire, am I excluded from participating in PERS? 		
96	7.3	B35	Business Rule	Deferred Payments - employees' compensation should be identified by the Earning Period (month and year the compensation was earned). This same rule applies to members'	Some of the employers who report deferred payments of employee compensation include school districts, community and technical colleges, educational service districts, the State School for the Deaf, the State School for the Blind, and four-		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				contributions (except Plan 3) and hours for the associated	<p>year colleges and universities.</p> <ul style="list-style-type: none"> work for nine or ten months but be paid over 12 months; be paid on a month lag; or receive supplemental earnings during the year (e.g., for coaching). 		
97	7.3	B36	Business Rule	<p>School District and Educational Service District Pay Adjustments</p> <ul style="list-style-type: none"> Calendar Issues Overpayments Pay in Lieu of Vacation Retroactive Pay Time Sheet Cycles Time vs. Responsibility TRI Contracts 	<ul style="list-style-type: none"> Rules for Pay Adjustments Employer Responsibilities for Pay Adjustments 		
98	7.3	B37	Business Rule	Transmittal Codes - Employers must use a status code and a type code on transactions reported to DRS on transmittals.			
99	7.3	B38	Business Rule	Type Codes - identify the type of employer an employee works for or the type of job an employee performs.	<ul style="list-style-type: none"> List of type codes by system For retiree return to work type codes see retiree return to work business rules For substitute type codes see substitute business rules 		
100	7.3	B39	Business Rule	Status Codes - determine the service credit and retirement benefit to which a member is entitled	<ul style="list-style-type: none"> Special Conditions School District and Educational Service District Pay Adjustments Using Status Code A or Status Code M Status codes for: <ul style="list-style-type: none"> Active Members Retirees Returning to Work Substitutes Working in School 		

Contr #	#		Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)	
				<ul style="list-style-type: none"> Districts and ESD's ○ Cash outs <ul style="list-style-type: none"> ▪ Cash out code descriptions ○ Current Reporting ○ Prior Periods 			
101	7.3	B40	Business Rule	Substitutes	<ul style="list-style-type: none"> • WAC 415-110-010 Definitions • RCW 41.32.010 Definitions • Reporting Substitutes Summary • Reporting Substitutes on transmittal report • How to report substitutes to DRS Notice 04-001 • How to report retirees working as substitutes to DRS Notice 04-001 • Substitute reporting chart school districts and educational service districts 		
102	7.3	B41	Business Rule	Higher Education	<ul style="list-style-type: none"> • Reporting in Higher Education • Engrossed Substitute House Bill 1981 		
103	7.3	B42	Business Rule	HERP	<ul style="list-style-type: none"> • HERP Supplemental Benefit Fund 		
104	7.3	B43	Business Rule	Quarterly Report	<ul style="list-style-type: none"> • Requirements for Quarterly Report 		
105	7.3	B44	Business Rule	PERS JBM Reporting – Justices or Judges PERS Membership	<ul style="list-style-type: none"> • PERS JBM Reporting for Justices or Judges with prior PERS membership • PERS JBM Reporting for Justices or Judges with NO prior PERS membership 		
106	7.3	B45	Business Rule	Temporary Duty Disability	<p>PERS</p> <ul style="list-style-type: none"> • RCW 41.40.038 Duty disability retirement recipients – continued service credit • RCW 41.40.010(8) Definitions <p>SERS</p> <ul style="list-style-type: none"> • RCW 41.35.070 Duty disability retirement recipients – Continued service credit • RCW 41.35.010(6) Definitions 		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					TRS <ul style="list-style-type: none"> RCW 41.32.0641 Disabled in the line of duty – Continuation of service credit - Conditions PSERS <ul style="list-style-type: none"> RCW 41.37.060 Duty Disability retirement recipients – Continued service credit. LEOFF <ul style="list-style-type: none"> RCW 41.26.470(3) Minimum medical and health standards – Exemptions – Employer may adopt higher standards WSP <ul style="list-style-type: none"> RCW 43.43.290 Status in care of disablement. 		
107	7.3	B46	Business Requirement	Information required for each type of transmittal (current) <ul style="list-style-type: none"> DCP Regular transmittal Making a correction on regular transmittal Correction transmittal 			
108	7.3	B47	Messaging	Confirmation message data has been committed unless otherwise notified.			
109	7.4		Child process of 7.0	Commit earning activity data			
110	7.4		Input	<ul style="list-style-type: none"> Earning activity data that has been validated and passed all the business rules. 			
111	7.4		Output	<ul style="list-style-type: none"> Successful message data has been committed. Option to view balance due from committed earning data. Option to pay balance due from committed earning data. 			
112	7.4		Messaging	Successful message data has been committed.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
113	7.4	F1	Functionality	The ability to see the balance on the committed earning activity.			
114	7.4	F2	Functionality	The ability to start the payment process on the committed earning activity.			
115	7.4	R1	Requirement	Will connect to the electronic payment process.			

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Process/Workflow Name: 9.0 Process Employer Report

This process provides a function for employers to submit member profile information, pension plan information and/or DCP information.

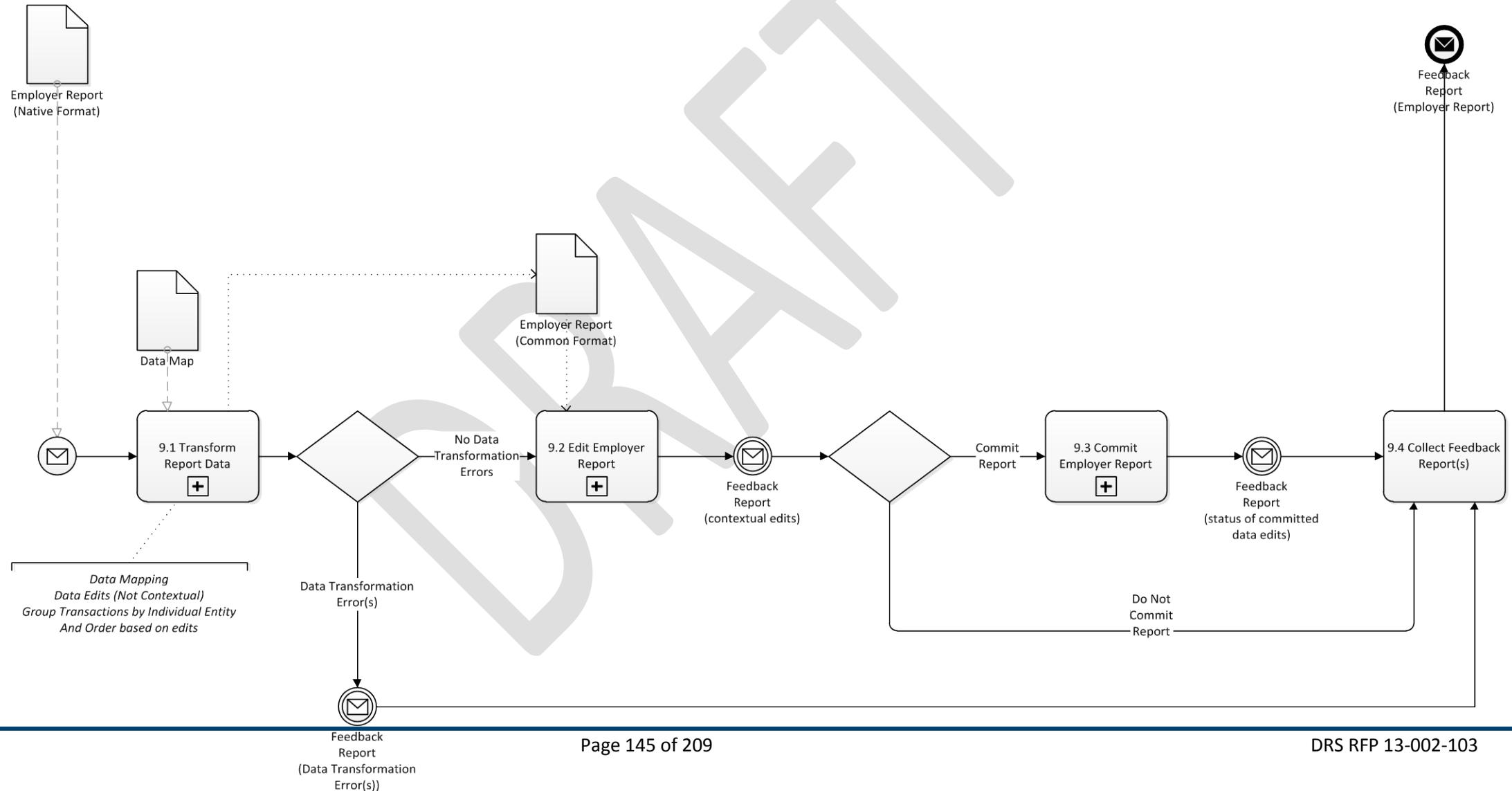
Note: We anticipate that the data requirements will change based on the physical design and platform. It is also assumed that further analysis will be done on the Process Employer Report process and all other processes that may share the data to identify the new data requirements.

Child processes are:

- Transform Report Data
- Edit Employer Report
- Commit Employer Report
- Collect Feedback Report

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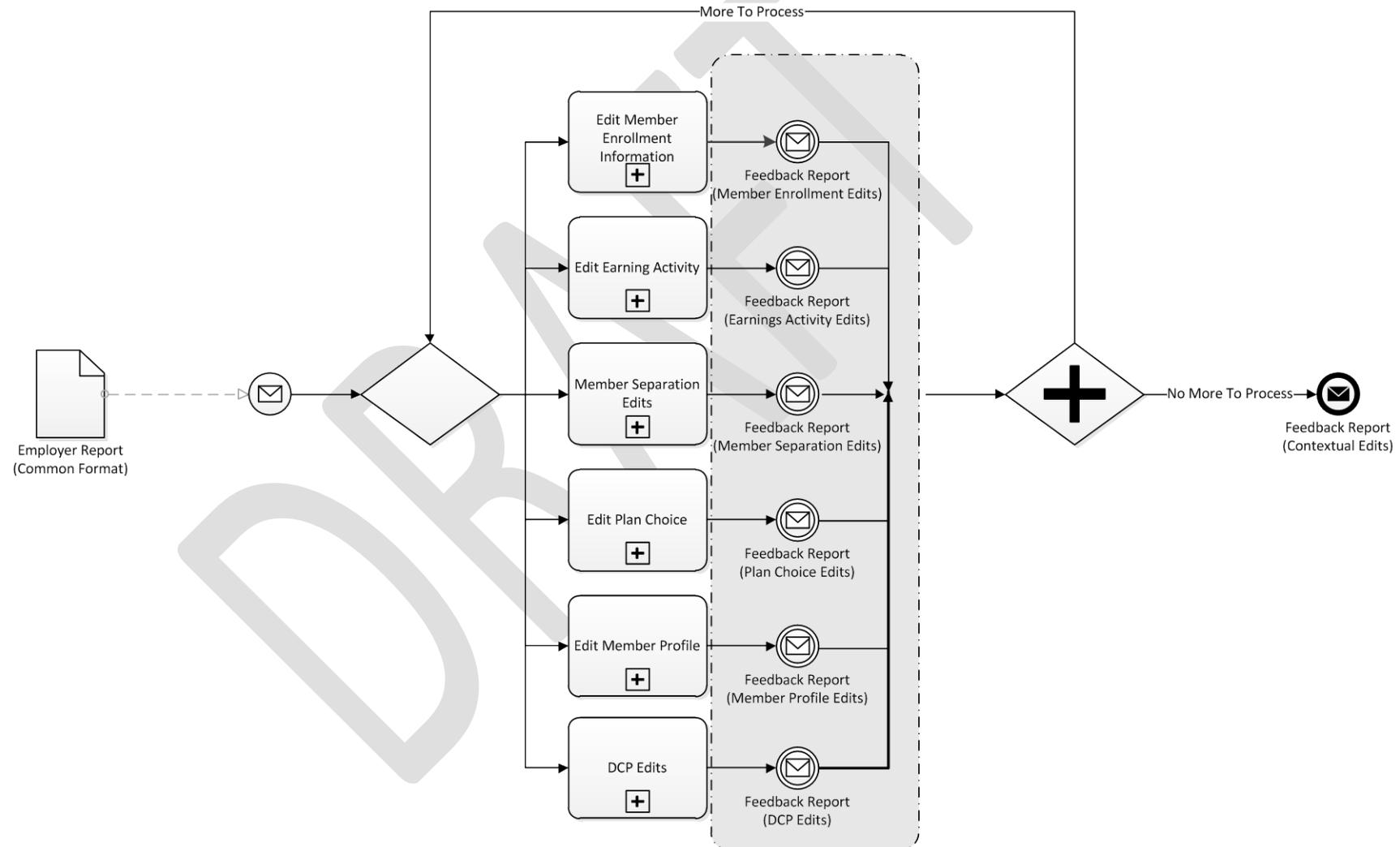
9.0 Process Employer Report



9.2 Edit Employer Report

Edit Phase

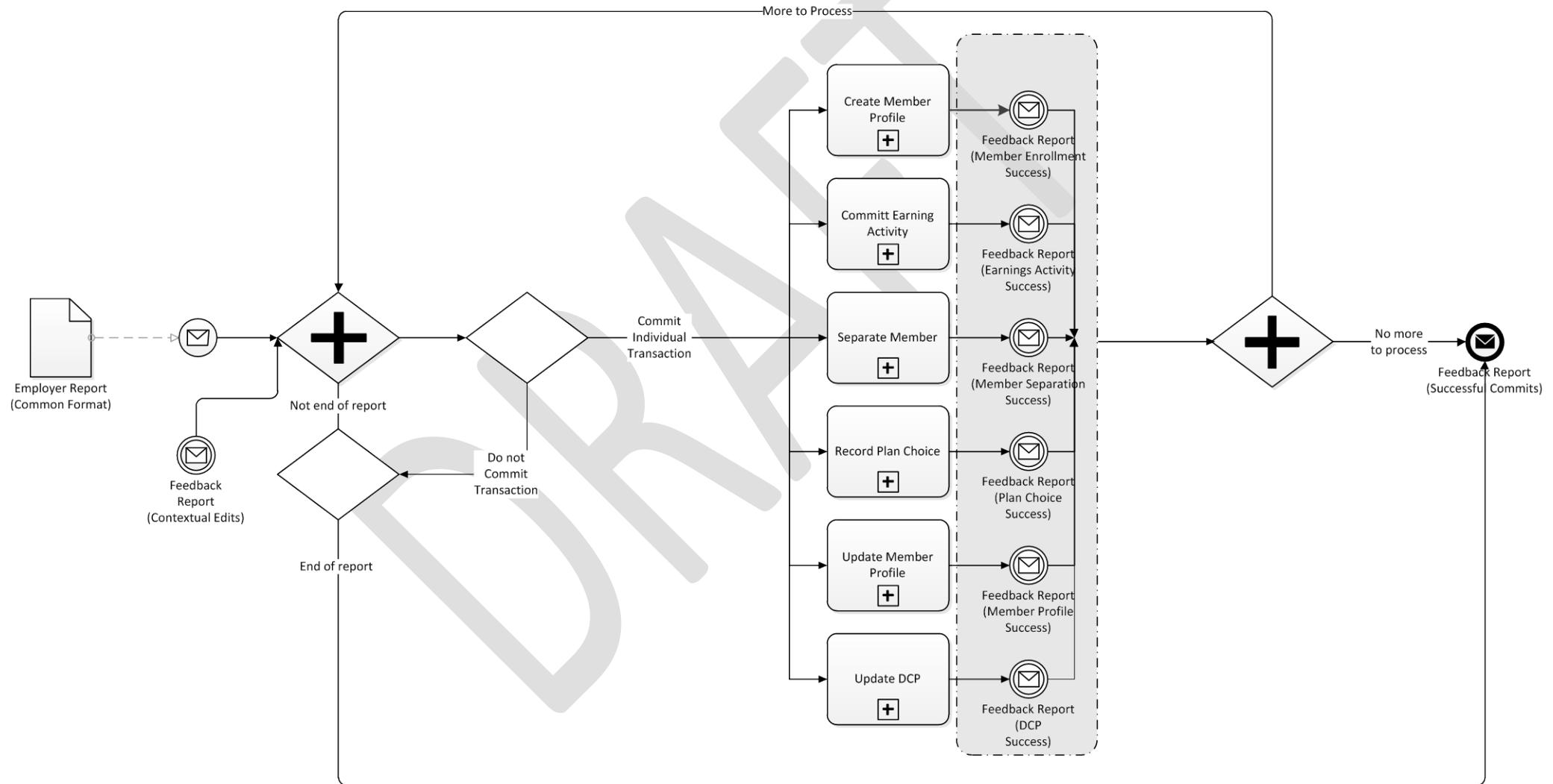
Edits and collects messages. These messages would be based on our business rules (our buckets?)



9.3 Commit Employer Report

Commit Phase

Processes the packets. Types of feedback in this phase would be a confirmation the packet was committed or an error message that it was rejected due to a processing problem. There is no editing in this phase.



Contr #1	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
1	9.0		Parent Process	Process Employer Report. This process provides a function for employer to submit member profile information, pension plan information and/or DCP information.			
2	9.0		Input	<ul style="list-style-type: none"> Employer submits a report. 	<ul style="list-style-type: none"> 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. Data that is submitted via the interactive business process will be in common format and not need to go through data mapping process. 		
3	9.0		Output	<ul style="list-style-type: none"> A feedback report with the contextual edit messages and messages about the status of the committed data. Data is committed to the system. A feedback report with the contextual edit messages. (If an employer is testing, this is the only feedback report that they would receive) 	When the data is committed to the system, it means that it will populate the required fields in our system for that transaction.		
4	9.0	F1	Functionality	<ul style="list-style-type: none"> Employers will have the option to test their report to see what edit messages they may receive back on the data they submitted. 			
5	9.1		Child Process of 9.0	Transform Report Data			
6	9.1		Input	<ul style="list-style-type: none"> Employer submits a report. 	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.		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
7	9.1		Output	<ul style="list-style-type: none"> Report that is mapped to a common format. A feedback report with data transformation error messages. 			
8	9.1	F1	Functionality	Each employer will have a data map that identifies the format of how their data will be arranged to conform to DRS' format so the system can read the report.			
9	9.1	F2	Functionality	Employers will be able to maintain their data map definitions and modify when needed.			
10	9.1	F3	Functionality	Employers' reports in native format will be transformed to DRS' common format			
11	9.1	F4	Functionality	Data rules will be run against the report to make sure the system is able to process the data.	These rules are establishing that we have the required data needed and the data is in the correct format (ex SSN# = 9 numbers).		
12	9.1	F5	Functionality	Each report transaction will be grouped by individual entity.	For example, all transactions for SSN 555-55-5555 will be grouped together.		
13	9.1	F6	Functionality	Each grouping of individual entity transactions will be ordered based on business rules.	For example an enrollment transaction would come before a transaction reporting compensation or hours.		
14	9.1	F7	Functionality	If there is an error during the transformation process, the report will stop processing and a feedback report with error messages will be sent to the employer.			
15	9.1	M1	Messaging	Data transformation errors are collected and placed in a feedback report that is sent to the employer.			
16	9.2		Child Process of 9.0	Edit Employer Report			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
17	9.2		Input	<ul style="list-style-type: none"> Employer Report in a common format with transactions grouped together by SSN and put in order according to our business rules. 			
18	9.2		Output	<ul style="list-style-type: none"> A feedback report with the contextual edit messages 	Reference requirement 16.5R1 in the Register Employer Workflow Analysis. Need to include an edit that would verify the report being sent in, is for the right 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.		
19	9.2	F1	Functionality	Edit Phase <ul style="list-style-type: none"> Each individual report package will run through the appropriate rule engines which will contain the business rules for the data. Each transaction will be run through this phase until there are no more transactions for that employer report. A feedback report will be created with the edit messages for the transactions that did not meet the required business rules. 	By individual report package I mean the group of transactions described in the input for 9.2 (control #17).		
20	9.2	M1	Messaging	Contextual edits are collected and placed in a feedback report that is sent to the employer at the end of the process.			
21	9.3		Child Process of 9.0	Commit Employer Report			
22	9.3		Input	<ul style="list-style-type: none"> Employer Report in a common format with transactions grouped together by SSN and put in order according to our business rules. 			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
23	9.3		Output	<ul style="list-style-type: none"> A feedback report with the details about the status of the committed data. A feedback report with the contextual edit messages. (If an employer is testing, this is the only feedback report that they would receive) Data is committed to the system. 			
24	9.3	F1	Functionality	Commit Phase <ul style="list-style-type: none"> The types of feedback 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. 			
25	9.3	M1	Messaging	Processing edits are collected and placed in a feedback report that is sent to the employer at the end of process.			
26	9.4		Child Process of 9.0	Collect Feedback Reports			
27	9.4		Input	<ul style="list-style-type: none"> Feedback reports from all the processes (Transform Report Data, Edit Employer Report and Commit Employer Report). 			
28	9.4		Output	<ul style="list-style-type: none"> Collection of feedback reports all the processes (Transform Report Data, Edit Employer Report and Commit Employer Report). If employer was only testing, a feedback report from the Edit phase would be included. 			
29	9.4	M1	Messaging	All the edits are packaged and placed in a feedback report that is sent to the employer.			

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Process/Workflow Name: 11.0 Process Employer Electronic Payments

This process facilitates the processing of employer electronic payments and submitting of those payments to DRS.

11.0a Child Processes:

- Set up Bank Account Information
- Verify Employee User Information
- Confirm and Submit
- Update System

11.0c Child Processes:

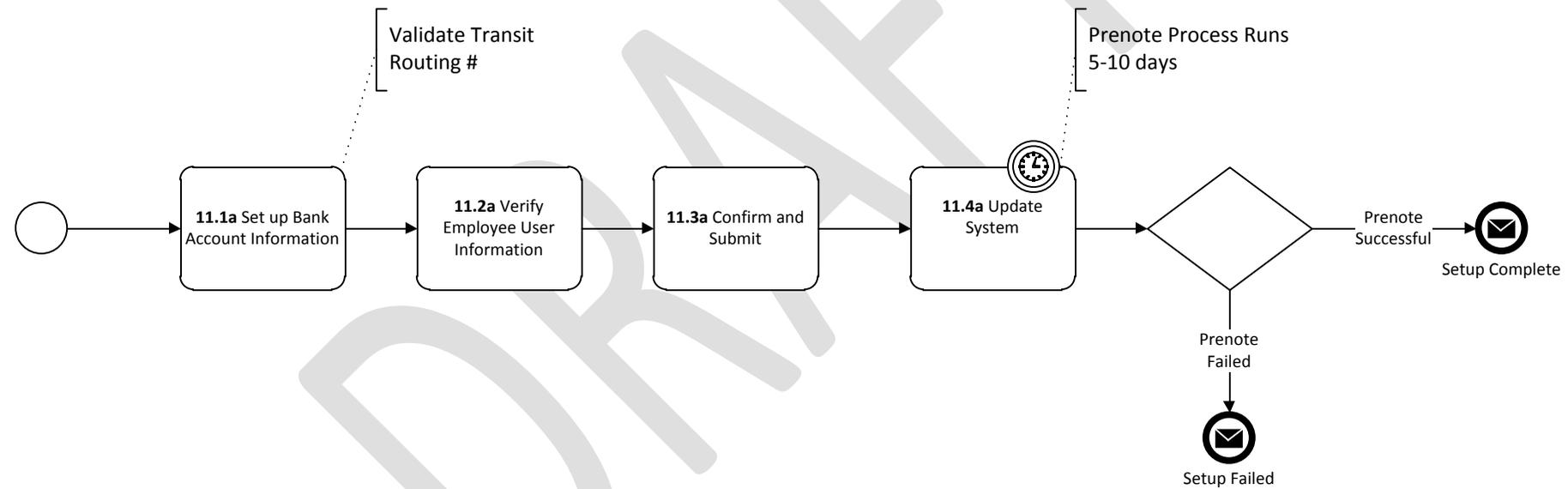
- Accesses System to Make a Payment
- Selects Receivable to pay
- Enters Payment Amount and What Payment is For
- Create Payment Advice
- Review, Save, and Submit

11.0b Child Processes:

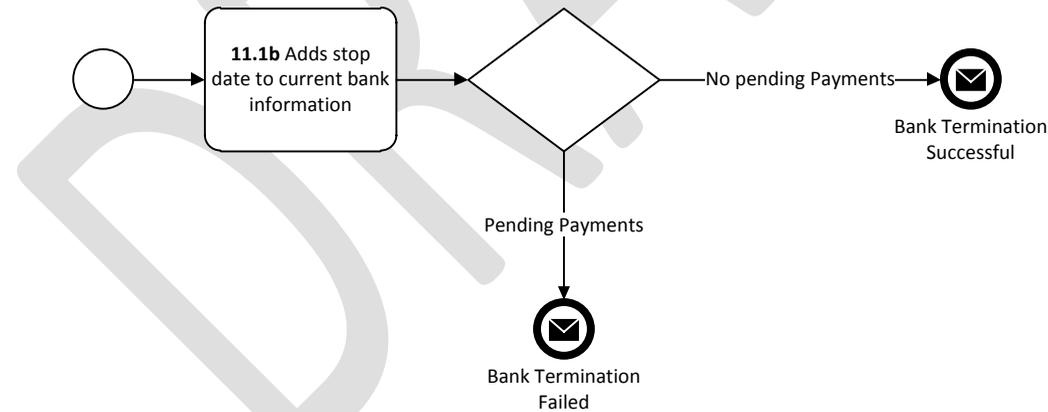
- Adds stop date to current bank information

Note: The data elements listed in this document represent data that is currently collected to support the Process Employer Electronic Payments process. We anticipate that the data requirements will change, based on the physical design and platform. It is also assumed that further analysis will be done on the Process Employer Electronic Payments process and all other processes that may share the data to identify the new data requirements.

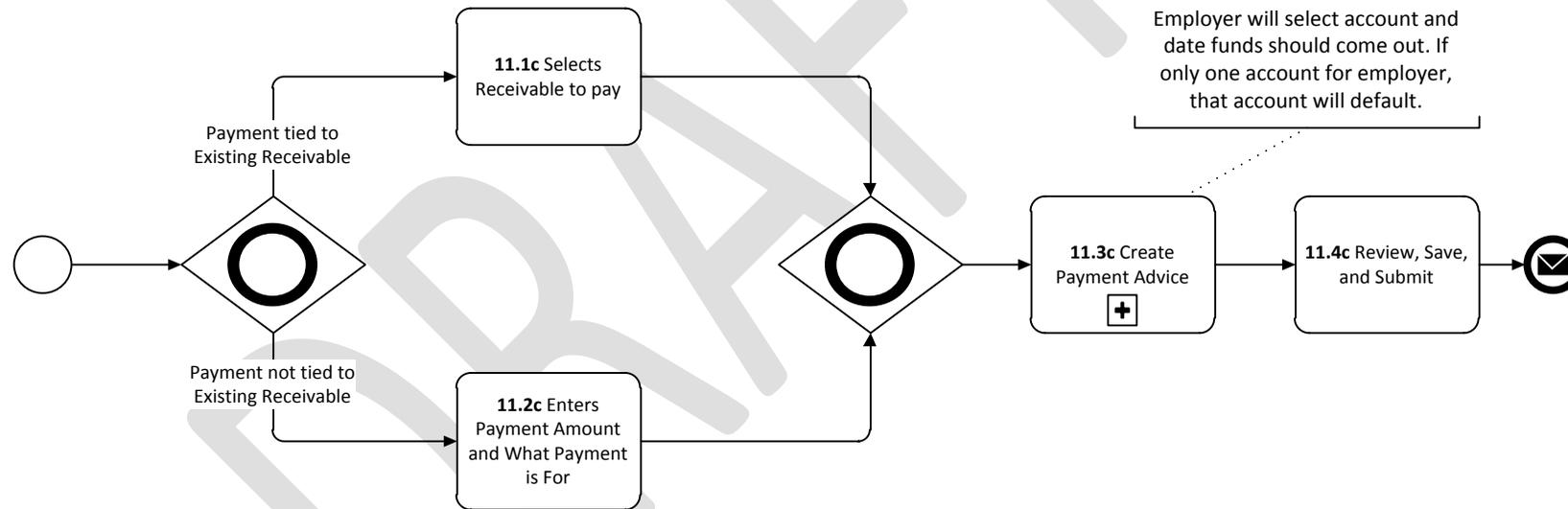
11.0a Creating Authorization for Electronic Payments



11.0b Stopping Bank Authorization for Electronic Payments



11.0c Submitting Electronic Employer Payments



Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
1	11.0		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		
2	11.0		Input	The employer accesses the system to: <ul style="list-style-type: none"> • Add a bank account. • Stop a bank account. • Make an electronic payment. 			
3	11.0		Output	The following outputs can occur: <ul style="list-style-type: none"> • 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. 			
4	11.0	F1	Functionality	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.			
5	11.0	B1	Business Rule	Only authorized employees of employers can make changes to the employers bank information and submit payments to DRS.			
6	11.0	B2	Business Rule	Employee authorization to use the employer electronic payment system will be setup through the modify users process.			
7	11.0	T1	Text	The system will provide the employer with help text to assist them with using the Electronic Payment System.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
8	11.0a		Parent Process	Creating Authorization for Electronic Payments – This process facilitates the setup of banking information.			
9	11.0a		Input	The employer accesses the system to: <ul style="list-style-type: none"> Add a bank account. Update failed bank account information. 			
10	11.0a		Output	The following outputs can occur: <ul style="list-style-type: none"> Bank account is setup in the system Setup bank account information successful message. Setup bank account information failed message. 			
11	11.0a	R1	Requirement	The system should keep a history log of changes made to banking information. That log should track: <ul style="list-style-type: none"> When change was made. Who made the change. What the change was. 			
12	11.1a		Child Process of 11.0a	Set up Bank Account Information – This process facilitates the employer entering bank account information into the system.			
13	11.1a		Input	Employer accesses the system to setup a bank account.			
14	11.1a		Output	The following outputs can occur: <ul style="list-style-type: none"> Bank account information is setup 			
15	11.1a	F1	Functionality	The employer should be able to retrieve saved bank information, update, and submit to DRS.			
16	11.1a	R1	Requirement	The employer should be able to setup one bank account per report group (ie. PERS, SERS, DCP).			Bank Account Authorization for EPAY Form DRS E 195 (R3/09)

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
17	11.1a	R2	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.			
18	11.1a	D1	Data	Account Type: <ul style="list-style-type: none"> • Checking • Savings 			
19	11.1a	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.		
20	11.1a	D3	Data	Bank Name			
21	11.1a	D4	Data	Transit Routing Number – Employer should be able to enter a transit routing number that is 9 numeric characters in length.			
22	11.1a	D5	Data	Account Number – Employer should be able to enter an account number up to 17 numeric characters in length.			
23	11.1a	D6	Data	Verify Account Number – Employer should be able to verify the account number they entered. The account numbers must match.			
24	11.1a	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.		
25	11.1a	B1	Business Rule	The employer should not be able to enter a past effective date.			
26	11.1a	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.		
27	11.1a	B3	Business	If the effective date has not arrived or the bank	The prenote process does does not run until		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
			Rule	authorization was rejected in the prenote process, allow the employer to make changes to the bank account record and resubmit to DRS.	the effective date has arrived.		
28	11.1a	B4	Business Rule	Transit Routing Number – The transit routing number should be validated before the employer submits the bank information to DRS.			
29	11.1a	B5	Business Rule	Once the transit routing number is populated and validated the bank name should populate.			
30	11.2a		Child Process of 11.0a	Verify Employee User Information – This process facilitates the verification of the employees who will be using the electronic payment system.			
31	11.2a		Input	Bank Account information is setup.			
32	11.2a		Output	Employer verified users of the electronic payment system.			
33	11.2a	F1	Functionality	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)
34	11.2a	F2	Functionality	The employer should be able to link to the modify user process to update/add users if they are incorrect.			
35	11.3a		Child Process of 11.0a	Confirm and Submit – This process facilitates the confirmation and submission of the bank account information to DRS.			
36	11.3a		Input	Users of the electronic payment system have been verified.			
37	11.3a		Output	Employer confirms bank account information and users of the electronic payment system and submits to DRS.			
38	11.3a	F1	Functionality	The employer should be able to review bank information entered.			
39	11.3a	F2	Functionality	The employer should be able to review users of the electronic payment system.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
40	11.3a	R1	Requirement	The employer should be able to save the entered information and submit at a later date.			
41	11.3a	R2	Requirement	The employer must confirm the information prior to submitting to DRS.			
42	11.3a	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.		
43	11.4a		Child Process of 11.0a	Update System – This process should facilitate the updating of the bank information in the system and the validation that that bank information is accurate.			
44	11.4a		Input	Employer submitted bank information to DRS.			
45	11.4a		Output	The following outputs can occur: <ul style="list-style-type: none"> • Bank account is setup in the system • Setup bank account information successful message. • Setup bank account information failed message. 			
46	11.4a	F1	Functionality	The bank account information should populate the system.			
47	11.4a	F2	Functionality	Prenote process should run. Typically takes 5-10 days.			
48	11.4a	B1	Business Rule	When bank information is initially populated in the system the status code should be “P = Prenote Process Requested.”			
49	11.4a	B2	Business Rule	If the prenote process fails the status code should change to “R = Prenote/Account Rejected.”			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
50	11.4a	B3	Business Rule	If the prenote process is successful the status code should change to "E = EFT Ready."			
51	11.4a	M1	Messaging	If prenote process fails, send message to employer with reason for failure and where to go to correct the bank information.			
52	11.4a	M2	Messaging	If prenote process is successful, send message to employer informing them that they may begin submitting electronic payments to DRS.			
53	11.0b		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.			
54	11.0b		Input	Employer accesses active bank account record and enters a stop date.			
55	11.0b		Output	The following outputs can occur: <ul style="list-style-type: none"> • Payment pending unable to stop account. • Bank account is stopped in the system. • Stop bank account successful message. • Stop bank account failed message. 			
56	11.1b		Child Process of 11.0b	Adds stop date to current bank information – This process facilitates the stopping of bank account information.			
57	11.1b		Input	Employer accesses active bank account record and enters a stop date.			
58	11.1b		Output	The following outputs can occur: <ul style="list-style-type: none"> • Payment pending unable to stop account. • Bank account is stopped in the system. • Stop bank account successful message. • Stop bank account failed message. 			
59	11.1b	D1	Data	The employer should be able to enter a future	If stop date is more than X months in the		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				MM/DD/YYYY stop date.	future display a warning message.		
60	11.1b	F1	Functionality	The bank account stop date should populate the system.			
61	11.1b	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.			
62	11.1b	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.			
63	11.1b	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.			
64	11.0c		Parent Process	Submitting Electronic Employer Payments – This process facilitates the submission of electronic payments to DRS.			
65	11.0c		Input	Employer accesses the system to make a payment.			
66	11.0c		Output	The payment is set up and submitted to DRS.			
67	11.0c	F1	Functionality	The employer should be able to select an existing receivable and make a specific payment in one transaction without having to make multiple transactions.			
68	11.0c	F2	Functionality	The employer should be able to retrieve saved payment information, update, and submit to DRS.			
69	11.0c	F3	Functionality	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.		
70	11.0c	B1	Business Rule	The employer should not be able to submit a payment until the prenote process is complete.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
71	11.1c		Child Process of 11.0c	Selects Receivable to pay – This process facilitates the employer selecting an existing receivable to pay.			
72	11.1c		Input	Employer accesses the system to make a payment.			
73	11.1c		Output	Employer has selected a receivable to pay.			
74	11.1c	F1	Functionality	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.		
75	11.1c	B1	Business Rule	Only existing receivables will display.			
76	11.1c	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.		
77	11.2c		Child Process of 11.0c	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.			
78	11.2c		Input	Employer access the system to make a payment.			
79	11.2c		Output	Employer has entered an amount to pay and what the payment is for.			
80	11.2c	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.			
81	11.2c	B2	Business Rule	If payment is for Plan 3 member contributions, the employer must indicate the investment manager it is for.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
82	11.2c	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.		
83	11.3c		Child Process of 11.0c	Create Payment Advice – This process facilitates the creation of the payment advice that is submitted to DRS.			
84	11.3c		Input	Receivable selected and/or payment amount entered.			
85	11.3c		Output	Payment advice created.			
86	11.3c	F1	Functionality	The system should create a payment advice based on the selected receivables or payment amount entered.			<ul style="list-style-type: none"> 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)
87	11.3c	F2	Functionality	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.			
88	11.3c	F3	Functionality	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
89	11.3c	B1	Business Rule	The payment date must be at least two business days from current date.			
90	11.4c		Child Process of 11.0c	Review, Save, and Submit – This process facilitates the reviewing, saving, and submitting of an electronic payment.			
91	11.4c		Input	Payment advice created.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
92	11.4c		Output	<p>The following outputs can occur:</p> <ul style="list-style-type: none"> • Successful submission message. • Submission of electronic payment. • Employer saved information to submit at a later date. • NSF message. • Successful payment message. 			
93	11.4c	F1	Functionality	The employer should be able to review payment information entered.			
94	11.4c	F2	Functionality	The employer should be able to save the entered information and submit at a later date.			
95	11.4c	F3	Functionality	The employer should be able to print a PDF version of their payment advice.			
96	11.4c	M1	Messaging	Upon the employer submitting their payment information to DRS they should receive a successful submission message.			
97	11.4c	M2	Messaging	Upon pulling money from bank account if there is nonsufficient funds (NSF) the system should send a message to the employer.			
98	11.4c	M3	Messaging	Upon successfully pulling money from the bank the system should send a message to the employer.			

Process/Workflow Name: 12.0 has been intentionally left out of this document.

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Process/Workflow Name: 13.0 Employer Profile Review

This process allows an employer to access their profile information and the ability to access other services and/or resources.

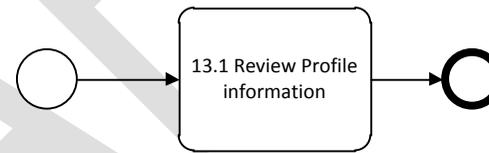
Note: We anticipate that the data requirements will change based on the physical design and platform. It is also assumed that future analysis will be done on the Employer Profile Review process and all other processes that may share the data to identify the new data requirements.

Child processes are:

- Review profile information

DRAFT

13.0 Employer Profile Review



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Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
1	13.0		Parent Process	This process allows an employer to access their profile information and the ability to access other services and resources.			
2	13.0		Input	<ul style="list-style-type: none"> Requester has successfully logged into the application. 			
3	13.0		Output	<ul style="list-style-type: none"> Requester reviews employer profile information. Requester access other services and/or resources. 			
4	13.0	R1	Requirement	All services and applications available for that employer will be listed.			
5	13.0	R2	Requirement	The employer will be able to access other systems through this same area.	The idea is to have this “jumping” page for the employers to not only view their general information but also to access other services and information.		
6	13.0	F1	Functionality	The system would have a document repository for documents that maybe coming from DRS or need to go to DRS (they are able to view what they have already sent)			
7	13.1		Child process of 13.0	Review profile information			
8	13.1		Input	<ul style="list-style-type: none"> Requester has successfully logged into the application. 			
9	13.1		Output	<ul style="list-style-type: none"> Requester reviews employer profile information. Requester accesses other services and/or resources. 			
10	13.1	D1	Data	218 status OASI	Let the employers know if they are covered and possibly the date their coverage begin.		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
11	13.1	D2	Data	Tax Status	Shows the month and year an employer began reporting tax-deferred (non-taxed) or taxed contributions for their members. Would like to see history of changes with start and end dates.		
12	13.1	D3	Data	Tax Status Mandated	Would like it to be a yes/no field and also capture the date.		
13	13.1	D4	Data	Unified Business Identification (UBI)	<p>This data is not currently captured. In the future would likely obtain this information through a data sharing agreement.</p> <p>There is a UBI field on the ORG screen in MIS. (This data is also in the Enroll Employer Workflow analysis).</p> <p>Per MIS help, "Definition: UBI (Unified Business Identification) number as assigned by the State Of Washington. Explanation: Unified Business Identifier (UBI) number are assigned by the state to identify businesses."</p> <p>Per DOR, "Sometimes called a registration, tax, "C," or resale number, the Unified Business Identifier (UBI) number is a nine-digit number used to identify persons engaging in business activities. The number is assigned when a person completes a Business License Application to register with or obtain a license from state agencies. The Departments of Revenue, Business Licensing Service, Employment Security, Labor and</p>		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					Industries, and the Corporations Division of the Secretary of State are among the state agencies participating in the UBI program. In most cases, your UBI number will also be your DOR registration number. Spouses who wish to file separately and business entities who have divisions that wish to file separately will be assigned separate DOR registration numbers as needed.”		
14	13.1	D5	Data	Employer ID Number (EIN)	<p>This data is not currently captured. In the future would likely obtain this information through a data sharing agreement. (This data is also in the Enroll Employer Workflow analysis).</p> <p>Per IRS, “An Employer Identification Number (EIN) is also known as a Federal Tax Identification Number, and is used to identify a business entity. Generally, businesses need an EIN.”</p>		
15	13.1	D6	Data	Information for all users including access/authority levels.	A contact is a person that ESS would call upon if they have a question regarding an issue with something done on the system. A user is a person that has access/authority to use the application but not necessarily the person ESS would contact.		
16		D7	Data	Employer Address	Future considerations: are we allowing multiple addresses (mailing and physical). What if they have multiple locations, do we allow them to put in a headquarter address		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					along with a satellite office address?		
17	13.1	D8	Data	Report group numbers			
18	13.1	D9	Data	System/Plan			
19	13.1	D10	Data	Payroll calendars	Employers would have the ability to enter the dates they do payroll and setup customize reminders on when to submit reports and payments to DRS.		
20	13.1	D11	Data	Reports	To be further defined what all is included. One example may be to give the employers a comprehensive view of what they have reported in the past.		
21	13.1	D12	Data	Report version	Allow employers to track what report version has been submitted.		
22	13.1	D13	Data	Accounts receivable statements			
23	13.1	D14	Data	Payments	Allow employers to track what payments have been received (or sent).		
24	13.1	D15	Data	Message Center	Would include items like: messages from DRS, reminders, edit messages from transmittals.		
25	13.1	D16	Data	Employer Name			
26	13.1	D17	Data	Enrollment/partipant dates			
27	13.1	D18	Data	Number of participants by system/plan			
28	13.1	D19	Data	Past names			

Process/Workflow Name: 14.0 Member Lookup

This process provides a function for employers to lookup current employees, past employees or perspective employees that may have prior history in a Washington State retirement plan (and possibly FCC and/or HERP).

Note: Some of the data elements listed in this document represent data that is currently collected to support the Member Lookup process. We anticipate that the data requirements will change based on the physical design and platform. It is also assumed that further analysis will be done on the Member Lookup process and all other processes that may share the data to identify the new data requirements.

Child processes are:

- Review Information

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14.0 Member Lookup



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Contr #1	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
1	14.0		Parent Process	This process provides a function for employers to lookup current employees, past employees or perspective employees that may have prior history in a Washington State retirement plan (and possibly FCC and/or HERP).			
2	14.0		Input	<ul style="list-style-type: none"> After employer has logged into the portal, they will enter the identifying information to lookup a current or perspective employee. 	There are a couple of suggestions on what data an employer would enter to view the members information: <ul style="list-style-type: none"> Just need to enter members first name and last name Enter last four of social security number with member name 		
3	14.0		Output	<ul style="list-style-type: none"> Profile information about the member. Historical reported information about the member. Reported information that has rejected (this would include data sent in about the member but rejected by DRS). Prior history in a Washington State retirement plan (and possibly other plans like first class city or HERP) 			
4	14.0	F1	Functionality	<ul style="list-style-type: none"> This process should have accessibility to the following services: <ul style="list-style-type: none"> New Hire Pyramid Eligibility Enroll Member Process 	Do we want to keep “New Hire Pyramid” in this list? Keep until functionality is rolled into the new system.		
5	14.0	F2	Functionality	Messaging regarding member’s deadlines (like plan choice date coming up), warnings (like retired with 2008 ERF) or employer notes.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
6	14.0	F3	Functionality	If a search for a member results in a list, the ability to sort the list.			
7	14.0	B1	Business Requirement	Only certain information is viewable depending on the person's status with the employer (example – member is a current employee or could be perspective employee).	This is on the issue log. Policy DRS-LEGAL -1 through 3		
8	14.0	D1	Data	Member Name	Show for current and perspective employees.		
9	14.0	D2	Data	Member Address	Show for current employees.		
10	14.0	D3	Data	Member social security number	Show for current and perspective employees.		
11	14.0	D4	Data	Member System/Plan	Show for current and perspective employees.		
12	14.0	D5	Data	Earnings Month/Year	Show for current and past employees (this will only show data that was submitted from that employer).		
13	14.0	D6	Data	Member Compensation	Show for current and past employees.		
14	14.0	D7	Data	Member Contributions	Show for current and past employees.		
15	14.0	D8	Data	Member Hours	Show for current and past employees.		
16	14.0	D9	Data	Employment Status	Show for current and perspective employees. Substitute, perspective, regular employee, retiree, retiree returned to work, etc		
17	14.0	D10	Data	Member Type	Current and perspective employees.		
18	14.0	D11	Data	Service credit	Issue log #1.		
19	14.0	D12	Data	Edit messages concerning the current or past employee.	Rejected data, as well as edit messages for the SSN.		
20	14.0	D13	Data	Show when the member is eligible to retire or has applied for retirement.	This is on the issue log. Policy DRS-LEGAL -1 through 3 Show for current and perspective employees.		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
21	14.0	D14	Data	Employment history with a First Class City.	Show for current and perspective employees. This data is not currently available in DRS's system. Would require data share agreement with First Class Cities.		
22	14.0	D15	Data	HERP information.	Show for current and perspective employees. This data is not currently available in DRS's system. Would require data share agreement with HERP plans.		
23	14.0	D16	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. Show for current employees.		
24	14.0	D17	Data	Retiree returned to work hours and limits for the member	Currently only displays hours for other employers, but for current employer MRV will display hours and earnings. Show for current and perspective employees.		
25	14.0	D18	Data	Discrepancies in earnings information	Show for current and past employees. 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.		
26	14.0	D19	Data	DCP deferral amount	Show for current and past employees. Currently broken out by department number. Would like to show total amount per employee (regardless of what employer they were/are working for).		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
27	14.0	D20	Data	Total deferred amount (is this talking about deferrals from lump sum payments? Chapter 11 employer handbook?)			
28	14.0	D21	Data	Deferral start date	Show for current employees and past employees.		
29	14.0	D22	Data	Plan choice status	Show for current and perspective employees. Including January transfer <ul style="list-style-type: none"> • 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 		
30	14.0	D23	Data	Rate option	Show for current and perspective employees. The Plan 3 contribution rate options are: <ul style="list-style-type: none"> • 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 		
31	14.0	D24	Data	Investment program	Show for current and perspective		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					<p>employees.</p> <ul style="list-style-type: none"> • Self-Directed Investment Program • Washington State Investment Program 		
32	14.0	D25	Data	Any M codes that have been reported for the member	<p>Show for current and past employees.</p> <p>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:</p> <ul style="list-style-type: none"> • The lump sum payment must be reportable compensation. • No service should be reported with status code M; service must have been reported previously. • 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 		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					<p>lump sum reductions in compensation. (The compensation must be reversed by each contribution rate period that applies.)</p> <p>The following are examples of the types of lump sum payments that are reported with status code M.</p> <ul style="list-style-type: none"> • Lump sum settlements resulting from employment agreements • Court-ordered back-pay settlements • Holiday and longevity pay • Lump sum bonus payments (if reportable compensation) <p>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.</p> <p>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).</p>		
33	14.0	D26	Data	Indicate if earnings are tied to paid optional bills, mandatory bills or member audits.	Show for current and past employees.		
34	14.0	D27	Data	Position title/Job type	Show for current, perspective and past employees.		
35	14.0	D28	Data	Position identifier	Show for current, perspective and past		

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					employees. Not all employers use position numbers.		
36	14.0	D29	Data	DCP separation date	Show for current and past employees.		
37	14.0	D30	Data	DCP temporary deferral date	Show for current and past employees.		
38	14.0	D31	Data	Type codes	Show for current and past employees. The Type Code identifies the type of employer, and in some cases, the type of work performed by the member.		
39	14.0	D32	Data	Status codes	Show for current and past employees. Current - 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, bonus. It should also describe if the overtime was mandatory versus voluntary.		

DRS

Process/Workflow Name: 15.0 Review Employer Enrollment Information

This process provides a function to enable external users to review employer enrollment information.

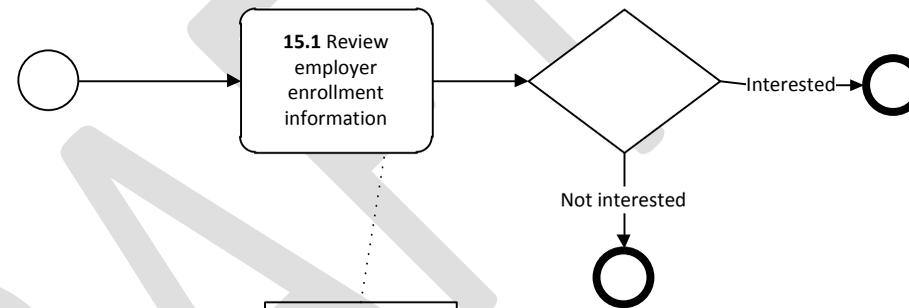
Note: We anticipate that the data requirements will change based on the physical design and platform. It is also assumed that further analysis will be done on the Process Employer Report process and all other processes that may share the data to identify the new data requirements.

Child processes are:

- Review enrollment information

DRAFT

15.0 Review Employer Enrollment Info



Includes looking up requester to check OASI status, viewing information about plans and enrollment process, using self-estimator for estimating purchase of prior service

Control #	#	Sub #	Descriptor	Business Requirements and Rules	Questions/Issues/Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
1	15.0		Parent Process	Review Employer Enrollment Information: This process provides a function to enable external users to review employer enrollment information and use a self-estimator for cost of purchasing prior service.			
2	15.0		Inputs	<ul style="list-style-type: none"> Requester accesses the system 			
3	15.0		Outputs	<ul style="list-style-type: none"> Information is made available to the requester. Estimate of cost to purchase prior service, if requester opts to use self-estimator. Action taken to trigger the Enroll Employer process, if requester opts to initiate enrollment. 			
4	15.1		Child process of 15.0	Review enrollment information. This process will enable the requester to view information about eligibility for pension plan enrollment, enrollment in DCP, and OASI participation. It will also include a self-estimator for estimated cost to purchase prior service, and provide an option to initiate the enrollment process.			
5	15.1		Inputs	<ul style="list-style-type: none"> Requester provides identifying data. 			
6	15.1		Outputs	<ul style="list-style-type: none"> Information is made available to the requester. Estimate of cost to purchase prior service, if requester opts to use self-estimator. Action taken to trigger the Enroll Employer process, if Requester opts to initiate enrollment. 			
7	15.1	F1	Functionality	<p>The system solicits identification information from the requester, for example, by asking for:</p> <ul style="list-style-type: none"> Name of organization Employer Identification Number (EIN) and/or Universal Business Identifier ORG number, if requester is already a DRS employer 	<p>This functionality is intended to enable the system to identify the Requester's organizational type and determine if DRS already has a record for the Requester.</p> <p>[If applicable, reuse "employer identifying information" from 15.0 Employer Profile Review Process.</p>		
8	15.1	F2	Functionality	Based on information provided by the requester, the system will provide general eligibility and participation information as specified	Currently, most new employers are mandated or are political subdivisions who wish to enroll.		New Employer Information

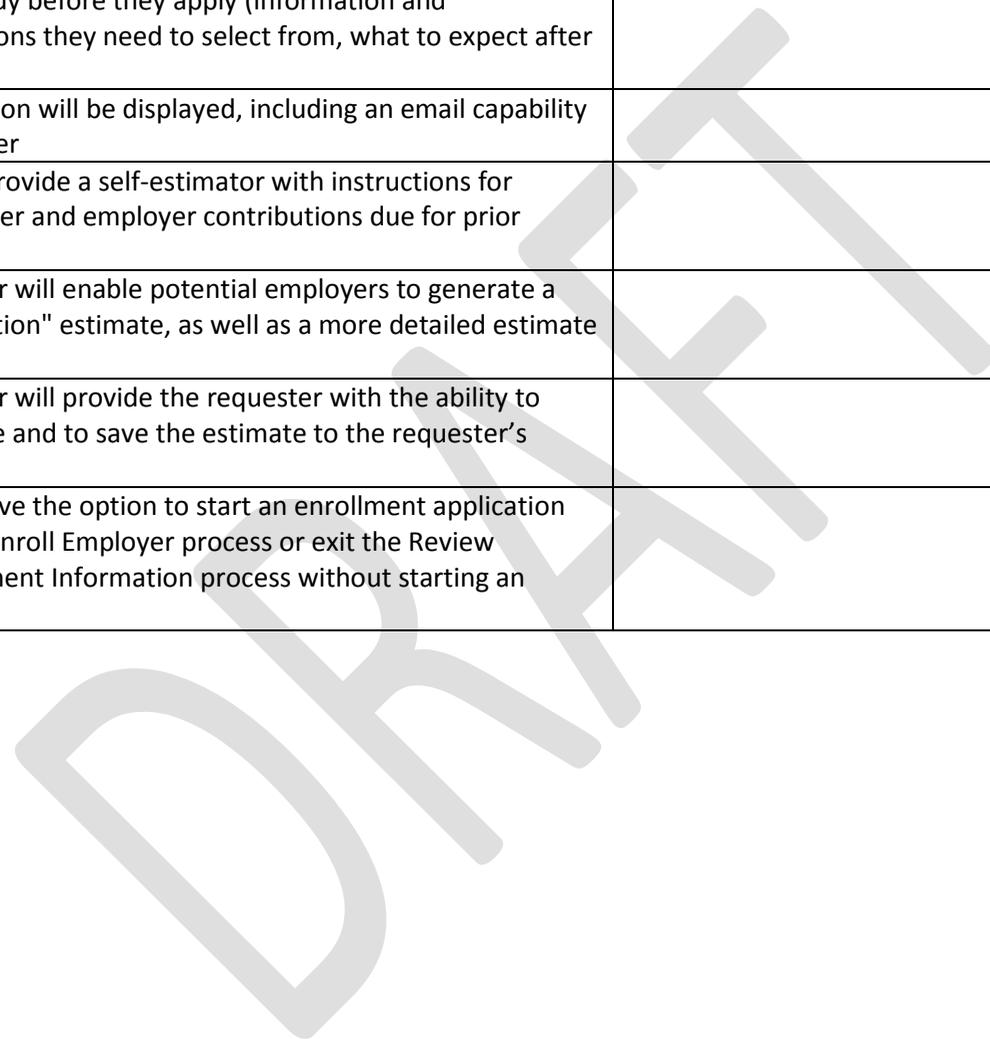
Control #	#	Sub #	Descriptor	Business Requirements and Rules	Questions/Issues/Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				<p>in the text boxes below. The target audience consists of the following three groups:</p> <ul style="list-style-type: none"> • Potential new employers (most likely political subdivisions) who are considering enrolling in a retirement system and/or DCP • Mandated new employers who may want to enroll in DCP or need information about OASI coverage • Retirement system employers who wish to add a second pension plan (e.g., LEOFF) and/or begin participating in DCP. 	<p>However, in the future, other types of groups may be allowed to enter (e.g., charter schools).</p> <p>State agencies and higher education entities are mandated into DCP and OASI. School districts and political subdivisions are not mandated into either one.</p> <p>Employer Definitions and Rules LEOFF Employer: 41.26.030 PERS Employer: 41.40.010, 41.40.057, 41.40.062 SERS Employer: 41.35.010 TRS Employer: 41.32.010 WSPRS Employer: 43.43.010 PSERS Employer: 41.37.010 DCP Employer: 41.50.770 and 41.50.780 OASI: 41.48.030 and Section 218 of the Social Security Act</p>		<p>Packet (currently under review for updates)</p>
9	15.1	T1	Text	<p>If requester’s organization is recognized, the system will display:</p> <ul style="list-style-type: none"> • OASI status • Plans the organization is currently participating in, or in the case of a mandated new employer, the plan the organization will be in • Plans the organization is not currently participating in, but may be interesting in joining • Each of the above listings will link to the overview information. • Additional topics listed in text boxes below that apply to all organizations (15.1 T3 – 15.1 T15) 			
10	15.1	T2	Text	<p>If requester’s organization is not recognized and the organization type is possibly eligible to join one or more plans, the system will display:</p> <ul style="list-style-type: none"> • Plans the requester’s organization may be interested in, with links to overview information. 			

Control #	#	Sub #	Descriptor	Business Requirements and Rules	Questions/Issues/Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
11	15.1	M1		If requester's organization is not recognized and the organization type is not eligible to join any plans (most likely the organization is a private, for-profit business, like MacDonald's), the system will provide a message indicating that the organization is not eligible for any plans.	If an organization is ineligible to join a DRS pension system, the organization cannot join OASI.		
12	15.1	T3	Text	PERS Overview	PERS employers are defined as: <ul style="list-style-type: none"> See 41.40.010(13)(a), (b), and (c) or WAC [try to find a concise description] 		
13	15.1	T4	Text	LEOFF Overview	Text to be determined. Include: There's a requirement to provide position descriptions. Also, an organization must be one of the following to be a LEOFF employer: <ul style="list-style-type: none"> For LEOFF 1: <ul style="list-style-type: none"> Any city, town, county, district or municipal corporation that employees any law enforcement officer (RCW 41.26.030(2)(a)) For LEOFF 2: <ul style="list-style-type: none"> Any city, town, county, district, or municipal corporation or any other general authority law enforcement agency (RCW 41.26.030(2)(b)) 		A "general authority law enforcement agency" means an agency, department, or division of state or local government, whose primary function is to detect and apprehend persons violating traffic or criminal laws in general (other than the Washington state patrol). An example of a general authority law enforcement agency is the University of Washington police department. "General law enforcement agency" does not include the state Departments of Natural Resources, Corrections, etc. They are considered "limited law enforcement agencies," because their jurisdiction is limited to particular subject areas rather than general enforcement of criminal laws. [RCW

Control #	#	Sub #	Descriptor	Business Requirements and Rules	Questions/Issues/Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
							41.26.030(32)]
14	15.1	T5	Text	PSERS Overview	Text to be determined. Include: There's a requirement to provide position descriptions. Also, an organization must be one of the following to add PSERS: <ul style="list-style-type: none"> • A city • A county • An Interlocal agency • Washington State Department of Corrections • Washing State Parks and Recreation Commission • Washington State Gambling Commission • Washington State Patrol • Washington State Liquor Control Board • Washington State Department of Natural Resources 		
15	15.1	T6	Text	DCP	Text to be determined.		
16	15.1	T7	Text	TRS Overview	Text to be determined. Include: Public education employers are all mandated. TRS employers include: <ul style="list-style-type: none"> • School districts • Educational service districts • State School for the Deaf • State School for the Blind • Institutions of higher education • Community or technical colleges • A PERS employer could end up reporting a TRS 1 member and hence be “a TRS employer.” <p>Need to determine any special requirements for</p>		

Control #	#	Sub #	Descriptor	Business Requirements and Rules	Questions/Issues/Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
					charter schools.		
17	15.1	T8	Text	SERS Overview	Text to be determined. Include: Public education employers (school districts, educational service districts, higher education, community and technical colleges, School for the Deaf, and School for the Blind) are all mandated.		
18	15.1	T9	Text	New mandated employers	Text to be determined		
19	15.1	T10	Text	OASI Overview	Text to be determined.		Procedures to Obtain 'Absolute' Social Security Coverage, Procedures Divided Vote Referendum for Medicare Part A Hospital Insurance, Procedures for Majority Vote Referendum for Voluntary Social Security Coverage For Retirement System Group
20	15.1	T11	Text	Ramifications of joining a retirement system.			
21	15.1	T12	Text	Benefits of joining a retirement system, enrolling in DCP, and participating in OASI.			
22	15.1	T13	Text	Tax deferral of member contributions.	Text to be determined. Some mandated employers are also mandated to have tax-deferred contributions (school districts, state agencies...) RCWs 41.04.440 – 41.04.455 set the rules for this topic.		
23	15.1	T14	Text	Purchase of previous service/Payment options	Text to be determined. New employers are required to select one of four payment options for purchase of previous service. (However, members are not required to purchase previous service.) PERS RCW 41.40.057 covers this topic		
24	15.1	T15	Text	Overview of the application process - how long it takes, what they	Text to be determined		

Control #	#	Sub #	Descriptor	Business Requirements and Rules	Questions/Issues/Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
				need to have ready before they apply (information and documents), options they need to select from, what to expect after enrolling, etc.			
25	15.1	M2	Messaging	Contact information will be displayed, including an email capability and phone number			
26	15.1	F3	Functionality	The system will provide a self-estimator with instructions for estimating member and employer contributions due for prior service.		PERS	
27	15.1	R1	Requirement	The self-estimator will enable potential employers to generate a "gross compensation" estimate, as well as a more detailed estimate		PERS	
28	15.1	O1	Documents	The self-estimator will provide the requester with the ability to print the estimate and to save the estimate to the requester's computer.		PERS	
29	15.1	F4	Functionality	Requester will have the option to start an enrollment application by initiating the Enroll Employer process or exit the Review Employer Enrollment Information process without starting an application.			



Process/Workflow Name: 16.0 Register Employer

This process provides a function to facilitate the user registration and login into the employer reporting application. This process also facilitates the steps to assist in the recovery of a user ID and creation of a forgotten password. Users of the employer reporting application will have the ability to change their user ID and assigned users will be able to maintain other users within their organization.

Note: The data elements listed in this document represent data that is currently collected to support the Registration Employer process. We anticipate that the data requirements will change based on the physical design and platform. It is also assumed that further analysis will be done on the Register Employer process and all other processes that may share the data to identify the new data requirements.

16.0 Register Employer

Child processes are:

- Security agreement
- Fill out registration information
- Submit registration information
- Check to see if already registered
- Create user ID and password
- Submit user ID and password

16.0a Login Employer

Child processes are:

- Enter user ID and password
- Submit user ID and password

16.0b Modify Users

Child processes are:

- Modify users
- Enter/Edit identifying information
- Modify authority/access
- Submit user information

16.0c Forgot User ID

Child processes are:

- Enter required identifying information

- Validate information
- Provide user ID

16.0d Forgot Password

Child processes are:

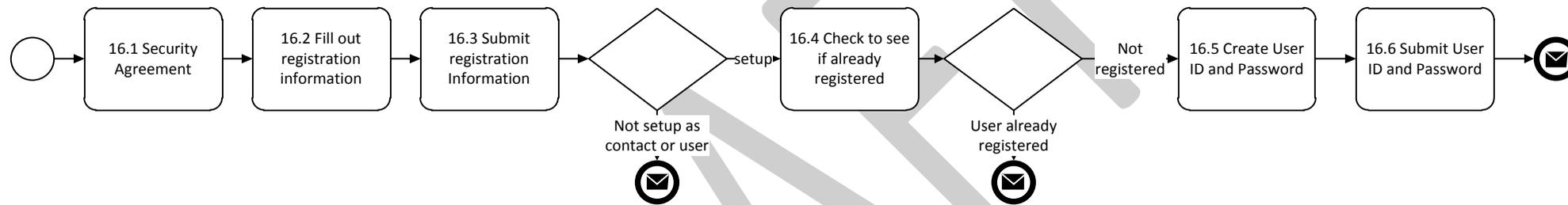
- Enter required identifying information
- Validate information
- Change password

16.0e Change User ID

Child processes are:

- Click change user ID link
- Enter new user ID

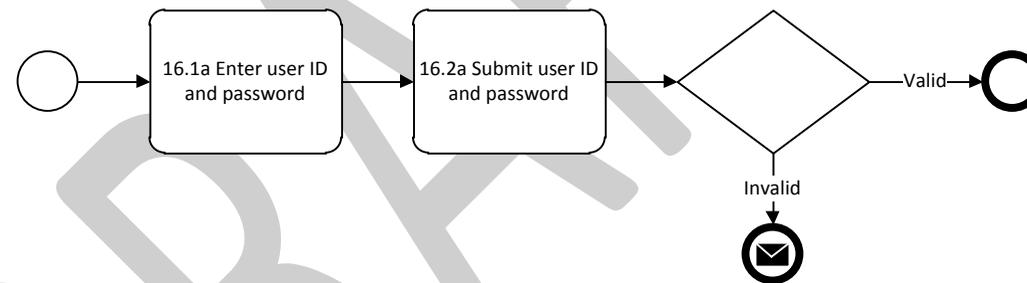
16.0 Register Employer



The main contact person's identifying information and authority/access levels will be entered on EIS by an ESS team member during the employer enrollment process.

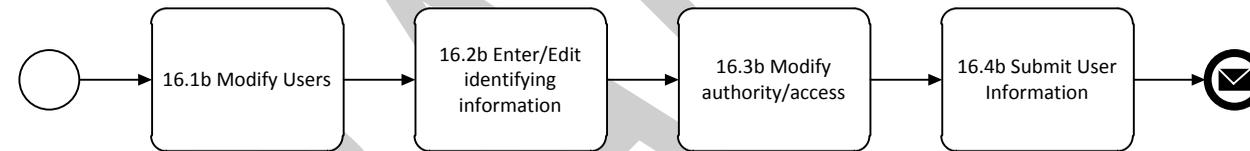
The main contact person will submit the identifying information and authority/access levels to DRS (and possibly have it reviewed by a person in ESS).

16.0a Login

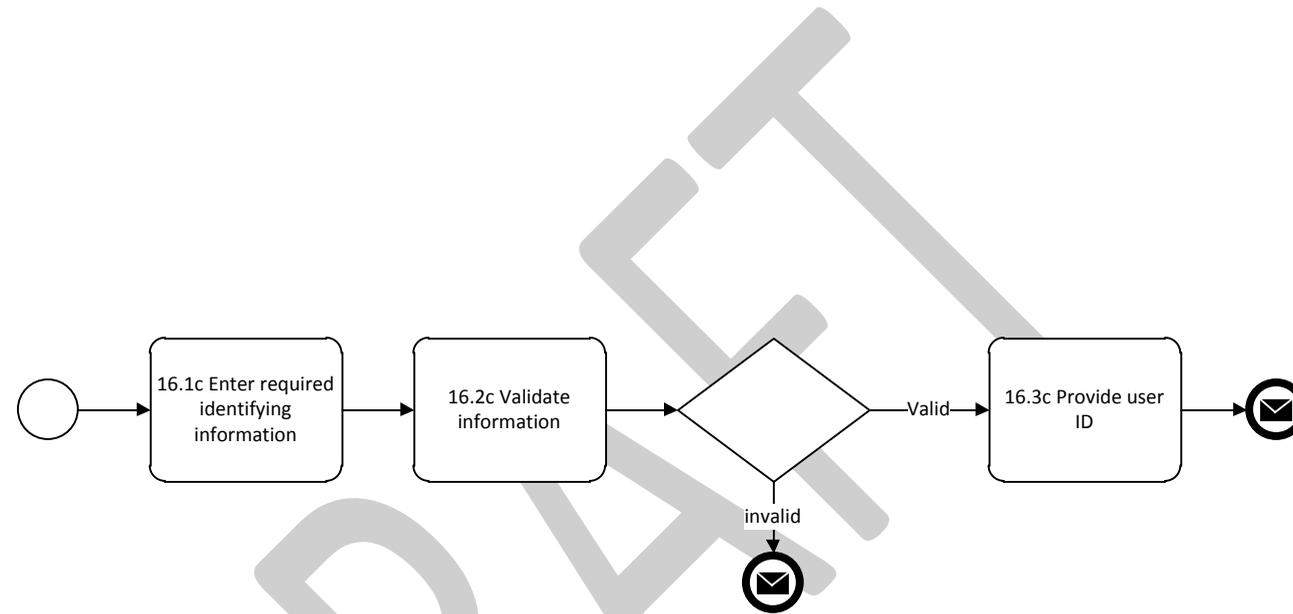


Give the user five tries to enter correct user ID and password. After the fifth try, lock them out and make them wait 15 minutes before they can try again. Provide ESS with the ability to unlock the account if user doesn't want to wait the 15 minutes.

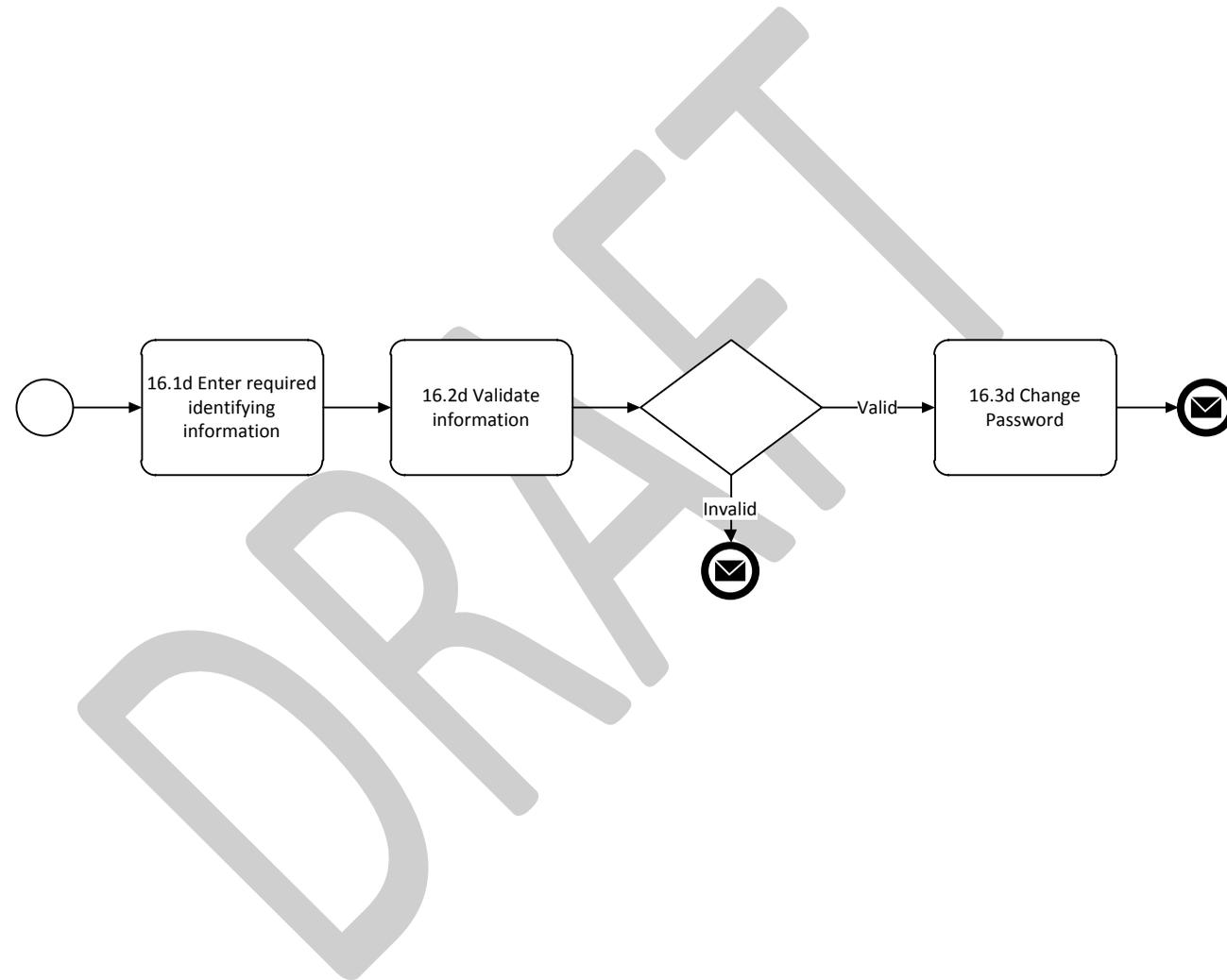
16.0b Modify Users



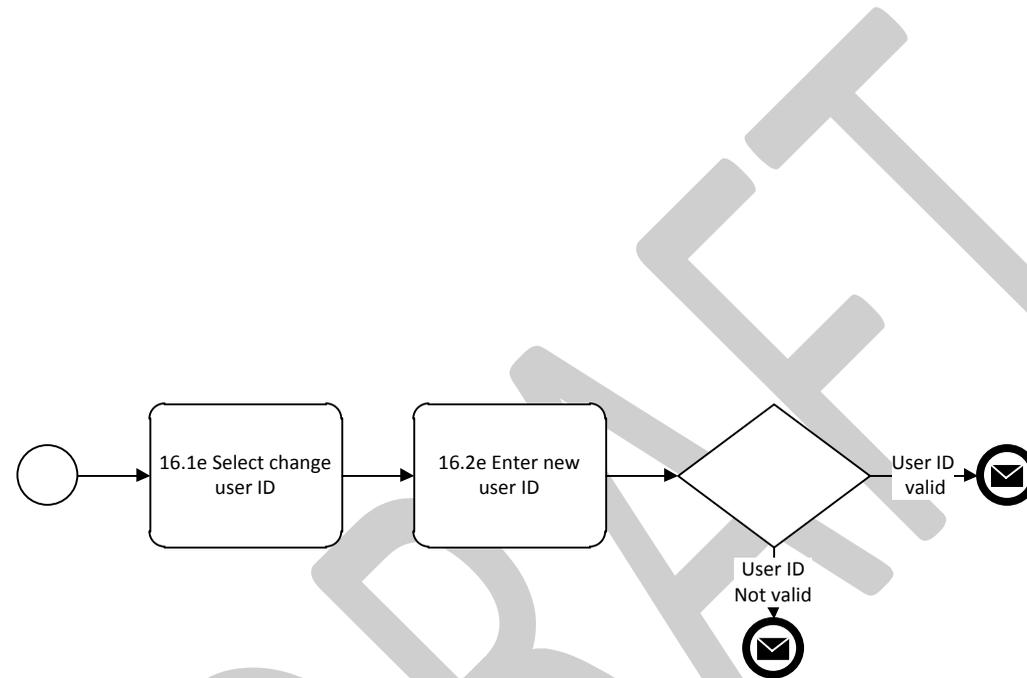
16.0c Forgot User ID



16.0d Forgot Password



16.0e Change User ID



When I say “user ID valid”, I mean does it meet the User ID requirements (like it should probably be unique, be a certain length, not contain certain characters)

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
1	16.0		Parent Process	Register Employer. This process provides function to facilitate the user registration into the employer reporting application.			
2	16.0		Input	<ul style="list-style-type: none"> Requester has selected to register. 			
3	16.0		Output	<ul style="list-style-type: none"> Message stating the requester is currently not set up in the system to register, they will need to contact DRS. Message stating the requester is already registered and they need to go through the login process. Message the requester has successfully registered. 			
4	16.0	R1	Requirement	The system will follow the policies outlined by OFM.	http://ofm.wa.gov/ocio/policies/documents/141.10.pdf (Specifically the Access Security section)		
5	16.0	R2	Requirement	The system will follow the policies outline by DRS.	POLICY DRS-ISD-ITS-11		
6	16.0	R3	Requirement	System will be able to keep a continuous history of a user even if they should change their ID.			
7	16.0	R4	Requirement	If a registered user leaves an organization and becomes a contact for a different organization, they will need to register under their new organization.			
8	16.0	R5	Requirement	Permissions are given at an agency level and user level.			
9	16.0	M1	Messaging	Requester not able to register, need to contact DRS.			
10	16.0	M2	Messaging	Requester has already registered; need to go through the login process.			
11		M3	Messaging	Successful registration.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
12	16.1		Child process of 16.0	Security Agreement. Access agreement would describe the user's responsibility when using the employer reporting application.			
13	16.1		Input	<ul style="list-style-type: none"> Requester has selected to register. 			
14	16.1		Output	<ul style="list-style-type: none"> Requester accepted security agreement. Requester didn't accept security agreement and receives message they will not be able to register. 			
15	16.1	F1	Functionality	Requester will need to accept security agreement to continue the registration process.			
16	16.2		Child process of 16.0	Fill out registration information. The requester would fill in the required registration information.			
17	16.2		Input	<ul style="list-style-type: none"> Security Agreement acceptance. 			
18	16.2		Output	<ul style="list-style-type: none"> Registration information. 			
19	16.2	D1	Data	Name of employer			
20	16.2	D2	Data	Address of employer			
21	16.2	D3	Data	Name of person registering			
22	16.2	D4	Data	Email of person registering			
23	16.2	D5	Data	Phone number of person registering			
24	16.2	D6	Data	Secret pin			
25	16.2	D7	Data	Are you the contact person for (list of systems/services)?			
26	16.3		Child process of 16.0	Submit Registration Information. The registration information will be verified against the information in EIS.			
27	16.3		Input	<ul style="list-style-type: none"> Requester's registration information. 			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
28	16.3		Output	<ul style="list-style-type: none"> If requester not setup to register, they will receive a message stating they need to contact DRS. If registration information does not match, requester will be given an error message. 	To be eligible to register, the requester would have to be entered into EIS by an ESS member during the employer registration process or submitted to DRS to be entered into EIS by a main contact.		
29	16.3	F1	Functionality	Verify the requester's information matches the information entered in EIS.			
30	16.3	R1	Requirement	If person has not been setup in EIS previous to registration, they will not be able to register.			
31	16.3	M1	Messaging	Requester not able to register, need to contact DRS.			
32	16.4		Child process of 16.0	Check to see if already registered. The system will verify the requester has not already registered and obtained an user ID and password.			
33	16.4		Input	<ul style="list-style-type: none"> Requester's registration information. 			
34	16.4		Output	<ul style="list-style-type: none"> If already registered, person will receive message that they need to go through the login process. 			
35	16.4	F1	Functionality	Determine if the requester has already registered.			
36	16.4	M1	Messaging	Requester has already registered; need to go through the login process.			
37	16.5		Child process of 16.0	Create User ID and Password. Requester will be asked to create an user ID and password that meets the requirements.			
38	16.5		Input	<ul style="list-style-type: none"> Requester's registration information. 			
39	16.5		Output	<ul style="list-style-type: none"> Creation of user ID and password. 			
40	16.5	F1	Functionality	The system will provide the requester help in creating a password.			
41	16.5	R1	Requirement	User will only be allowed one active user ID.			
42	16.5	R2	Requirement	User ID will need to be unique.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
43	16.6		Child process of 16.0	Submit User ID and Password. Will validate that the user ID and password meet the requirements. It will commit all user registration information and send confirmation.			
44	16.6		Input	<ul style="list-style-type: none"> User ID and Password. 			
45	16.6		Output	<ul style="list-style-type: none"> Confirmation to requester that registration was successful. 	This message should include a link to some type of tutorial on how to use the system.		
46	16.6	M1	Messaging	User ID/Password didn't meet requirements please try again.			
47	16.6	M2	Messaging	Successful registration.			
48	16.0a		Parent Process	Login employer. This process provides a publicly accessible function to facilitate the login process into the employer reporting application.			
49	16.0a		Input	<ul style="list-style-type: none"> requester has selected to login. 			
50	16.0a		Output	<ul style="list-style-type: none"> For a successful login, access to the employer reporting application. For unsuccessful login, message that the user ID/password is incorrect. Requester locked out due to five failed attempts to login. 			
51	16.0a	M1	Messaging	Incorrect user ID or password, please reenter.			
52	16.1a		Child process 16.0a	Enter User ID and Password. Requester will enter their user ID and password.			
53	16.1a		Input	<ul style="list-style-type: none"> Requester has selected to login. 			
54	16.1a		Output	<ul style="list-style-type: none"> User ID and password. 			
55	16.2a		Child process of 16.0a	Submit User ID and Password. Validate user ID and password.			
56	16.2a		Input	<ul style="list-style-type: none"> User ID and password 			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
57	16.2a		Output	<ul style="list-style-type: none"> For a successful login, access to the employer reporting application. For unsuccessful login, message that the user ID/password is incorrect. Requester locked out due to five failed attempts to login. 			
58	16.2a	F1	Functionality	If incorrect user ID or password allows requester to enter four more times. After the fifth try, lock requester out and make them wait 15 minutes before they can try again.			
59	16.2a	F2	Functionality	Provide ESS the ability to unlock the account if requester calls in and doesn't want to wait the 15 minutes.			
60	16.2a	M1	Messaging	Incorrect user ID or password, please reenter.			
61	16.2a	M2	Messaging	Requester has been locked out of the system for too many invalid attempts. Wait 15 minutes and try again.			
62	16.0b		Parent Process	Modify User. This process provides the employer's assigned contacts the ability to maintain users of the employer reporting application.			
63	16.0b		Input	<ul style="list-style-type: none"> Main contact has successfully logged in and has selected to modify user. ESS has logged in and has selected to modify user. 			
64	16.0b		Output	<ul style="list-style-type: none"> User is created in EIS. <ul style="list-style-type: none"> If new user, message sent to user they are able to register. User's information or access has been changed. User is deleted or their access is updated to not allow access to the employer reporting application. 			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
65	16.0b	R1	Requirement	Ability for ESS members to make notes on user's accounts.			
66	16.0b	F1	Functionality	Allow a main contact the authority to create/edit users and assign/edit access and submit to DRS.			
67	16.0b	R2	Requirement	Main contacts need to be setup by ESS.			
68	16.0b	R3	Requirement	Main contact can only modify users they have created or are in their organization.			
69	16.0b	R4	Requirement	A main contact will not be able to create/edit another main contact's information.			
70	16.0b	M1	Messaging	Confirmation user's information or access has been modified.			
71	16.1b		Child process of 16.0b	Modify Users. Main contact can add or modify user's access to the employer reporting application.			
72	16.1b		Input	<ul style="list-style-type: none"> Main contact has successfully logged in and has selected to add/update/delete an user. 			
73	16.1b		Output	<ul style="list-style-type: none"> Request to perform action. 			
74	16.2b		Child process of 16.0b	Enter/Edit identifying information. Main contact will enter or edit a user's identifying information.			
75	16.2b		Input	<ul style="list-style-type: none"> Request to perform action. 			
76	16.2b		Output	<ul style="list-style-type: none"> Identifying information for new user. Updated identifying information for selected user. User deleted from system 			
77	16.3b		Child process of 16.0b	Modify authority/access. Main contact will add or edit applications and services the user is allowed to access.			
78	16.3b		Input	<ul style="list-style-type: none"> Selected user to edit. 			
79	16.3b		Output	<ul style="list-style-type: none"> New or updated access for selected user. 			
80	16.3b	R1	Requirement	<ul style="list-style-type: none"> Ability to lock individual user accounts. 			
81	16.3b	R2	Requirement	<ul style="list-style-type: none"> Ability to suspend access for users. 			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
82	16.3b	M1	Messaging	Notify ESS whenever a user is locked out or suspended.			
83	16.4b		Child process of 16.0b	Submit User Information. Will send to DRS for review.			
84	16.4b		Input	<ul style="list-style-type: none"> Information regarding user Information regarding user's access and authority 			
85	16.4b		Output	<ul style="list-style-type: none"> User is created in EIS. <ul style="list-style-type: none"> If new user, message sent to user they are able to register. User's information or access has been changed. User is deleted or their access is updated to not allow access to the employer reporting application. 			
86	16.4b	M1	Messaging	To newly created user informing them they are able to register.			
87	16.4b	M2	Messaging	Confirmation user's information or access has been modified.			
88	16.0c		Parent Process	Forgot User ID. This process provides a publicly accessible function to facilitate the steps to assist in the recovery of a user ID.			
89	16.0c		Input	<ul style="list-style-type: none"> Requester has selected to begin the forgot user ID process. Requester has entered incorrect validation and receives an error message. 			
90	16.0c		Output	<ul style="list-style-type: none"> Requester is provided their user ID. 			
91	16.0c	F1	Functionality	System must validate the requester before allowing them to recover their user ID.			
92	16.0c	M1	Messaging	Information does not match what we have in our system.			
93	16.0c	M2	Messaging	Confirmation that they have gone through the Forgotten User ID process.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
94	16.1c		Child process of 16.0c	Enter required identifying information. Requester will need to enter the required identifying information.			
95	16.1c		Input	<ul style="list-style-type: none"> Requester has selected to begin the forgot user ID process. 			
96	16.1c		Output	<ul style="list-style-type: none"> The required information to identify the requester. 			
97	16.2c		Child process of 16.0c	Validate information. The system will validate the information and provide the requester their user ID.			
98	16.2c		Input	<ul style="list-style-type: none"> The required information to identify the requester. 			
99	16.2c		Output	<ul style="list-style-type: none"> If valid, the system will be able to recover the user's ID. If invalid, a message will be sent to the user that the information entered does not match what is in the system. 			
100	16.2c	M1	Messaging	Information does not match what we have in our system.			
101	16.3c		Child process of 16.0c	Provide User ID. Requester will be provided their user ID.			
102	16.3c		Input	<ul style="list-style-type: none"> Validated requester information. 			
103	16.3c		Output	<ul style="list-style-type: none"> Requester is provided their user ID. 			
104	16.3c	M1	Messaging	<ul style="list-style-type: none"> Confirmation that they have gone through the Forgotten User ID process. 			
105	16.0d		Parent Process	Forgot Password. This process provides a publicly accessible function to facilitate the steps to assist the user in the creation of a new password.			
106	16.0d		Input	<ul style="list-style-type: none"> Requester has selected to begin the forgot password process. 			
107	16.0d		Output	<ul style="list-style-type: none"> Requester has created a new password. Requester has entered incorrect validation and receives an error message. 			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
108	16.0d	M1	Messaging	Information does not match what we have in our system.			
109	16.0d	M2	Messaging	Confirmation that they have gone through the Forgotten Password process.			
110	16.1d		Child process of 16.0d	Enter required identifying information. Requester will need to enter the required identifying information.			
111	16.1d		Input	<ul style="list-style-type: none"> Requester has selected to begin the forgot password process. 			
112	16.1d		Output	<ul style="list-style-type: none"> The required information to identify the requester. 			
113	16.2d		Child process of 16.0d	Validate information. The system will validate the information entered by the requester.			
114	16.2d		Input	<ul style="list-style-type: none"> The required information to identify the requester. 			
115	16.2d		Output	<ul style="list-style-type: none"> If valid, the system will allow the requester to change their password. If invalid, a message will be sent to the requester that the information entered does not match what is in the system. 			
116	16.2d	F1	Functionality	System must validate the requester before allowing them to create a new password.			
117	16.2d	M1	Messaging	Information does not match what we have in our system.			
118	16.3d		Child process of 16.0d	Change password. User will create new password.			
119	16.3d		Input	<ul style="list-style-type: none"> Validated requester information. 			
120	16.3d		Output	<ul style="list-style-type: none"> Requester has created a new password. 			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
121	16.3d	R1	Requirement	Password must meet all the security guidelines.	POLICY DRS-ISD-ITS-11 http://ofm.wa.gov/ocio/policies/documents/141.10.pdf (Specifically the Access Security section)		
122		M1	Messaging	Confirmation that they have gone through the Forgotten Password process.			
123	16.0e		Parent Process	This process provides the employer reporting application users the ability to change their user ID.			
124	16.0e		Input	<ul style="list-style-type: none"> Requester has successfully logged in. 			
125	16.0e		Output	<ul style="list-style-type: none"> Requester has changed their user ID. Requester has entered an invalid user ID and receives an error message. 			
126		M1	Messaging	User ID not valid.			
127		M2	Messaging	Confirmation that they have changed their User ID.			
128	16.1e		Child process of 16.0e	Select change user ID link. Begin the change user ID process.			
129	16.1e		Input	<ul style="list-style-type: none"> Requester has successfully logged in. Requester has selected the option to change their user ID. 			
130	16.1e		Output	<ul style="list-style-type: none"> Requester will be directed to the change User ID screen. 			
131	16.2e		Child process of 16.0e	Enter new user ID. Create new user ID.			
132	16.2e		Input	<ul style="list-style-type: none"> Requester will enter their new ID. 			
133	16.2e		Output	<ul style="list-style-type: none"> If valid user ID, the system will accept the new user ID. If invalid, a message will be sent to the requester that the user ID does not meet the requirements. 			
134	16.2e	M1	Messaging	User ID not valid.			

Contr #	#			Business Requirements and Rules	Rationale/Questions /Decisions/Future Impacts	System Plan	Related Documents (from As-Is)
135	16.2e	M2	Messaging	Confirmation that they have changed their User ID.			

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