Chicago Teachers' Pension Fund

REQUEST FOR PROPOSAL

Pension Administration System

No. FY21-0003

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1.0 RFP Purpose

This section provides an overview of the Request for Proposal (RFP) and vendor selection process in place at CTPF.

1.1 – Purpose Overview

The Public School Teachers' Pension and Retirement Fund of Chicago, also commonly known as Chicago Teachers' Pension Fund ("CTPF") and herein referred to as CTPF is seeking an experienced vendor to provide the development and implementation of a new Pension Administration System (PAS). CTPF currently has two core pension administration systems and many other home-grown systems to handle pension and annuitant health insurance administration. These systems are built using an outdated technology stack with capabilities that are not on par with the features and functionality available in a modern Pension Administration System (PAS). The new PAS must enable CTPF to integrate with related systems and allow staff, active and retired members, and employers to perform business functions as defined in Section 4.0 – Project Commitments.

The following are CTPF high-level goals as they relate to the development and implementation of a new PAS:

- Upon completion of the new PAS application, active and retired members using the CTPF website will be able to access their personal account information, update demographic information, apply for benefits, manage annuitant health insurance, see the status of work in progress, and other functionality as defined.
- Upon completion of the new PAS application, all member interactions will be captured (e.g., telephone conversations, self-service activity, walk-ins, or other contact with members) updating the member record appropriately and providing a 360-degree view of the member to staff.
- Upon completion of the new PAS application, more than 90% of processes will include automation reducing CTPF user intervention.
- Upon completion of the new PAS application, all employers, including Chicago Public Schools, will use the new employer reporting system to report accurate and timely information to CTPF.
- Upon completion of the new PAS application, all employers will have immediate validation of their reports.
- Upon completion of the new PAS application, there will be edits and validations that will help to ensure that the information for all members reported by employers and vendors is accurate.
- Upon completion of the new PAS application, ensure a secure environment that protects member data and CTPF assets.
- Upon completion of the new PAS application, provide a unified workflow system with modern features and process reporting capabilities that can be viewed internally and externally (where appropriate).
- Upon completion of the new PAS application, provide CTPF business users the ability to update business rules and member communications as needed.
- Upon completion of the new PAS application, provide self-service reporting and business intelligence capabilities to end users to reduce reliance on technical staff.
- Upon completion of the new PAS application, audit history will be maintained for specified durations defined by CTPF and include all activity. All records will be searchable and viewable through the new PAS application.

- Upon completion of the new PAS application, a single unified data model will be implemented providing one true source of data, eliminating data redundancy and synchronization issues.
- Upon completion of the project, receive regular product updates allowing CTPF to remain on the solution's upgrade path.
- Upon completion of the project, CTPF staff will have the necessary skill sets to support the system's infrastructure. CTPF systems today use Microsoft SQL server.
- Upon deployment to the CTPF Quality Assurance and Production environments, zero (0) significant (highest priority ranked) commitments will be outstanding.
- Upon deployment to production, provide a consistent average response time on CTPF workstations of less than 3 seconds.
- Upon deployment to production, shall provide for a system uptime of 99.999% during core business hours for all major functions proposed, including web and local operations, but excluding scheduled downtime or CTPF-initiated downtime.
- Upon delivery to the UAT and production environments, 100% of the agreed upon commitments are included in the solution.
- The new PAS application will be delivered on time and within budget.
- Within the specified warranty period, the new PAS application will have experienced zero (0) Severity 1 (e.g., application outage, performance issues affecting the application and due to defects in the application) or Severity 2 (e.g., outage of a major component of the application, performance issues affecting a major component and due to defects in the application) issues.

In support of these goals, CTPF authorized expenditures for the following PAS activities:

- Hired Provaliant Retirement, LLC, whose primary responsibility is to provide oversight project management and IV&V for the PAS project (May 2020).
- Hired ICON Integration and Design as the data-cleansing vendor, so that cleansed data can be provided to the PAS project (March 2021).
- Development of a Request for Proposal (RFP) for the procurement of a replacement PAS.
- Evaluation of the responses received from the PAS solution vendors.
- Selection of a vendor that demonstrates it is responsive and responsible in meeting all requirements identified in this RFP.

1.2 Minimum Bidder Qualifications

This section identifies the minimum qualifications each Bidder must satisfy to submit a proposal responsive to this RFP. Submission of the minimum qualifications and reference response must include RFP Section 3.0 – Bidder Qualifications, Subsections 3.1-3.5.

1.2.1 – Minimum Qualifications

The following list provides the minimum qualifications each proposal must contain for the work defined in this RFP. Any proposal failing to contain the minimum qualifications identified herein shall be automatically disqualified from the selection process.

Company Qualifications:

- Bidder shall demonstrate a proven and successful history in the public pension industry implementing solutions that meet all the requirements defined in this RFP.
- Bidder shall demonstrate experience working with public pension funds of similar membership size and complexity.
- Bidder shall submit evidence of three or more years of experience implementing public pension systems. The implementations shall be with agencies in the United States.

1.3 RFP and Vendor Selection Timeline

This section provides the timeline of the RFP and vendor selection process.

1.3.1 – Timeline

04/08/21	Publish RFP
04/22/21	Final date to receive Bidder questions
04/29/21	Mandatory Bidders conference call
05/06/21	Publish final answers to written Bidder questions
05/13/21	Final date to receive additional Bidder questions
05/20/21	Publish final answers to additional Bidder questions
05/24/21	Minimum qualifications and references due
06/11/21	End qualifications and reference check verifications
06/25/21	Final date to receive Bidder proposals
07/30/21	Notify finalists
08/13/21	Begin finalists' oral presentations to Selection Review Committee
09/03/21	End finalists' oral presentations
09/27/21	Contract Negotiations with Finalists, Begin Optional Proof of Concept
11/19/21	End Optional Proof of Concept
12/16/21	Optional finalist presentations to the Board/Board approval
12/17/21	Notify winning vendor
12/20/21	Finalize Contract
TBD	Start Project 125 (Early 2022)

1.4 RFP Instructions

This section provides Bidder instructions for submitting a response to this RFP.

1.4.1 – Response Submissions

CTPF reserves the option to disqualify a proposal if a portion or all the following submission criteria are unmet:

1. All Bidder Minimum Qualifications and Reference response documents shall be received by the CTPF office on or before **12:00 PM Central Daylight Time (CDT) on May 24, 2021 ("the deadline").** Responses received after the deadline may be disqualified.

2. The Bidder shall deliver the Bidder Minimum Qualifications and Reference response documents via email, in PDF format as described below. Paper submissions will be rejected as non-conforming.

    a. Lupe Garcia garciam@ctpf.org, with a copy to Becky Z. Gonzales gonzalesr@ctpf.org, and Sandy McNamara mcnamaras@ctpf.org <In the To and Cc line of the email>

    b. Minimum Qualifications and References <In the subject line of the email CAPITALIZED>

    c. Bidder's legal name and address <At the beginning of the email>

    d. Bidder's primary contact name, cell number and email address <At the end of the email>

    e. Bidder's back-up contact name, cell number and email address <At the end of the email>

3. The Bidder's Proposal Response and Cost Response documents and copies thereof shall be received at the CTPF office on or before **12:00 PM Central Daylight Time (CDT) on June 25, 2021 ("the deadline").** Responses received after the deadline may be disqualified.

4. The Bidder shall deliver the Bidder Proposal Response and Cost Response documents via email, in PDF format. Paper submissions will be rejected as non-conforming.

    a. Lupe Garcia garciam@ctpf.org, with a copy to Becky Z. Gonzales gonzalesr@ctpf.org, and Sandy McNamara mcnamaras@ctpf.org <In the To and Cc line of the email>

    b. Proposal Response and Cost Response <In the subject line of the email CAPITALIZED>

    c. Bidder's legal name and address <At the beginning of the email>

d. Bidder’s primary contact name, cell number and email address
<At the end of the email>

e. Bidder’s back-up contact name, cell number and email address
<At the end of the email>

Proposal Response shall also be submitted in Microsoft Office (Word, Excel, Project and PowerPoint files) version 2010 or later. Attachments may be submitted as Microsoft Office documents or as Adobe PDF files.

Bidder responses, including all data, materials, pricing, and documentation, submitted in response to this RFP shall belong exclusively to CTPF and will be subject to public disclosure under Illinois law. Therefore, any submitted information that a Bidder believes to be exempt from public disclosure must include a clear marking that identifies the specific provision of law that allows CTPF to withhold the information from the public. Consistent with its legal obligations, CTPF will consider these markings when determining what information must be released in response to any public record requests.

The cost of developing and submitting the response is solely the responsibility of the Bidder. This includes costs to determine the nature of this engagement, preparation of the response, submitting the response, negotiating for the contract, as well as any other costs associated with this RFP process. CTPF shall not reimburse any company for any costs associated with the preparation or submittal of any response to this request or for any travel and/or per diem incurred in any presentation of such responses.

1.4.2 – Response Format

A proposal may be deemed unresponsive, and therefore, disqualified for failure to apply the following formatting requirements.

The Proposal shall omit ANY fee or cost information. The Cost Response must be submitted as a separate document.

The Proposal Response shall be formatted as described below, replacing the text between the <> symbols with the corresponding Bidder information:

The Bidder’s Proposal Response shall contain five sections in the following order:

- Title Page
- Table of Contents
- Section 01 – Executive Summary
- Section 02 – Project Commitments
- Section 03 – Attachments

1. The first page of the Response shall be a title page only, and will state:

    a. <Bidder’s legal name>
    b. Response to the CTPF PAS Project RFP

c. Submitted on <submission date>
d. Authorized by <signed by at least one individual who is authorized to contractually bind these services>
e. <Authorized representative's printed name>
f. <Authorized representative's title>

2. A "Table of Contents" shall follow the title page.

3. Title the first section of the Response, "01 - Executive Summary." This section shall contain the Bidder's executive summary of their Response and shall not exceed five (5) pages (the front and back of a double-sided sheet are considered two separate pages). Also include responses to sections 3.6 – 3.10 of Bidder Qualifications.

4. Title the second section of the Response, "02 – Project Commitments." This section shall contain the Bidder's responses to the RFP project commitments. The table in RFP section "4.1 Project Commitments Proposal Section Format" shall be used by the Bidder to document Bidder responses to the commitments in RFP section "4.0 – Project Commitments."

5. Title the third section of the Response, "03 – Attachments". This section contains attachments referenced by the Bidder in their Response.

   - The text on all pages of the response shall use double spacing.
   - Every page of the response shall contain the Bidder's legal name in the header.
   - Every page of the response shall contain "Page <page number> of <total pages>" and <submission date> in the footer.
   - Use of the Bidder company logo and tagline is permitted throughout the response.
   - The response must be presented using the same numbering and ordering sequence used in this RFP or as otherwise specified.

Failure to follow these response formatting instructions may result in the rejection of the Response.

1.4.3 – Cost Response Format

This section describes the format for the Cost Response. This includes the total fixed bid cost for the Pension Administration System Replacement project, as well as other costs identified by CTPF.

The Cost Response shall be submitted as a separate document along with the Proposal Response.

The Cost Response shall be formatted as described below, replacing the text between the <> symbols with the corresponding Bidder information:

The Bidder's Cost Response shall contain the following five (5) sections organized as follows:

- Title Page

- Table of Contents
- Section 01 - Cost Details
- Section 02 - Payment Schedule
- Section 03 - Change Control

1. The first page of the Cost Response shall contain a title page, stating only the following:
   a. <Bidder's legal name>
   b. Cost Response to the CTPF PAS Project RFP
   c. Submitted on <submission date>
   d. Authorized by <signed by at least one individual who is authorized to contractually bind these services>
   e. <Authorized representative's printed name>
   f. <Authorized representative's title>

2. A Table of Contents shall follow the Title page.

3. Title the first section of the Response, "01 – Cost Details" This section shall include all tables and rows associated with 5.3 – Cost Details in the RFP.

4. Title the second section of the Response, "02 – Payment Schedule".

   a. The payment schedule shall reflect the duration of the Total Fixed Price Costs
   b. Include an example of how the warranty and support shall be billed (Ex: Utilize the scenarios of CTPF Hosting, Warranty Period 24 months, and Post Implementation Support 36 months)
   c. All payments must to be associated with a physical deliverable and only when that deliverable is 100% completed.

5. Title the third section of the Response, "03 – Change Control".
   a. The text on all pages of the response shall appear in double line spacing.
   b. Every page of the Cost Response shall contain the Bidder's legal name in the Header.
   c. Every page of the Cost Response Footer shall contain "Page <page number> of <total pages>" and <submission date>
   d. Use of the Bidder company logo and tagline is permitted throughout the Cost Response.
   e. The Cost Response must be presented using the same numbering and ordering sequence used in this RFP or as otherwise specified.

Failure to follow these Cost Response formatting instructions may result in the disqualification of the response.

1.4.4 – Communication Points of Contact during RFP Quiet Period

Bidders shall communicate solely with the CTPF Contract and Procurement Administrator or her designee regarding administrative questions relating to the procurement process. The RFP review period consists of the date when the RFP is posted on CTPF's website and continues until a contract is executed. Communication is prohibited between Bidders and members of the CTPF Board of Trustees ("Board of Trustees", "Trustees", or "Board"), Fund staff, Fund consultants and service providers (other than the RFP contact listed below or his/her designee) regarding any product or service related to the search. All other questions shall be submitted in the RFP question and answer process.

Customary Bidder due diligence shall not be impeded by the Quiet Period. Communication initiated by CTPF, or communications with a current CTPF service provider participating in the instant RFP (provided that any such communication shall take place in the ordinary course of business and necessary for the delivery of current services provided by such service provider) may be allowed. Communication relating to the pending selection, however, are prohibited.

The Bidder shall only contact CTPF Point of Contacts as follows:
- Questions (e-mail only)
- Mandatory Bidders Conference Call
- Bidder Oral Presentations
- Negotiations for the Best and Final Offer
- Contract Signing

The points of contact for this RFP is:
- Lupe Garcia, Counsel garciam@ctpf.org Ph: 312.604.1119
- Becky Z. Gonzales, Associate General Counsel gonzalesr@ctpf.org Ph: 312.604.1202
- Sandy McNamara, Paralegal and Contract/Procurement mcnamaras@ctpf.org Ph: 312.604.1251

Address:
Chicago Teachers' Pension Fund 425 South Financial Place Suite 1400 Chicago, IL 60605-1000

Violation of this provision may result in disqualification of the proposal.

1.4.5 – Response Provisions

When responding to this RFP, Bidders should take note of the following provisions.

a. CTPF reserves the right to request additional information from companies responding to this RFP. Additionally, upon reviewing the RFP responses, CTPF may ask certain companies to make oral presentations.

b. CTPF reserves the right to reject all responses to this request, to waive any minor informality in a response, to request clarification of information from any responding company, and to enter any agreement deemed by CTPF to be in the agency's best interest with one or more of the companies responding.

c. CTPF reserves the right to amend or cancel this RFP at any time.

d. All responses and their contents submitted in response to this RFP shall become the property of CTPF and will not be returned to the Bidder. Bidders are cautioned that ideas, techniques, information, etc., submitted as part of the Bidder's response may be used by CTPF without separate payment to the Bidder or subcontractors.

e. CTPF will not reimburse any company for any costs associated with the preparation or submittal of any response to this request or for any travel and/or per diem incurred in any presentation of such responses.

f. The duration of the contract entered into as a result of this RFP will be for the period of time planned for the new PAS solution, as agreed upon during final contract negotiations.

Failure to follow these provisions may result in the disqualification of the response.

1.4.6 – Notice Regarding Illinois Public Records Laws

The proposal that you submit will be subject to the Illinois Freedom of Information Act (5 ILCS 140/) “FOIA Act”). The FOIA Act provides generally that all records in the custody or possession of a public body are presumed to be open to inspection or copying. Any public body that asserts that a record is exempt from disclosure has the burden of proving by clear and convincing evidence that such record is exempt from disclosure. CTPF will determine, in its sole discretion, whether the materials are subject to public disclosure, if a request is made in accordance with the FOIA Act for materials submitted in response to this RFP. If CTPF denies a public records request based on a Bidder’s representation that such information is proprietary, privileged, and/or confidential, Bidder, by submission of a response to this RFP containing such representations, agrees to reimburse CTPF for, and to indemnify, defend, and hold harmless CTPF, its officers, Trustees, fiduciaries, employees, and agents from and against any and all claims, damages, losses, liabilities, suits, judgments, fines, penalties, costs, and expenses including, without limitation, attorneys’ fees, expenses and court costs of any nature whatsoever (collectively, “Claims”) arising from or relating to CTPF’s complete or partial FOIA denial based on Bidder’s assertions (such proprietary, privileged, and/or confidential assertions may be made by clearly indicating the specific proposal text or pages that Bidder believes to be proprietary, privileged, and/or confidential). By submitting your proposal, you further agree to indemnify, defend (at CTPF’s discretion), and hold CTPF harmless from and against any and all Claims arising from or relating to CTPF’s complete or partial disclosure of your proposal if CTPF determines, in its sole discretion, that such disclosure is required by law, or if disclosure is ordered by a court of competent jurisdiction.

1.4.7 – Incomplete Proposals

CTPF reserves the right to request additional information or to reject the proposal outright if the information provided in a Bidder’s proposal is deemed to be insufficient for evaluation. False, incomplete, or unresponsive statements in connection with a proposal may be sufficient cause for its rejection. The evaluation and determination of the fulfillment of the requirements will be determined by CTPF and such judgment shall be final.

Proposals submitted shall be valid for two hundred seventy (270) days following the date the proposal is received by CTPF. CTPF and the Bidder may extend this period by mutual written agreement. If a solicitation is cancelled before the due date, the offer will be returned to the Bidder who submitted the response.

1.4.8 – RFP Withdrawal or Modification

Proposals may be withdrawn or modified by a written or email request prior to the RFP due date. CTPF may, by written notice to all Bidders, cancel, postpone, or amend the RFP prior to the due date. If CTPF decides, at its sole discretion, that the revision or amendment will require additional time for response, the due date will be extended for all Bidders.

1.4.9 – Selection of Winning Bid

Award of the contract resulting from this RFP will be based upon the most responsive Bidder(s) whose offer(s), in the sole discretion of the Board of Trustees, are the most advantageous to CTPF in terms of the Bidder's submission, including, but not limited to qualification, meeting contract requirements, cost, and other factors as specified in this RFP.

After evaluation of the proposals and approval by CTPF, all Bidders will be notified of the result. Contract negotiations will commence with the selected Bidder.

1.4.10 – Ethics Policy

CTPF's Code of Conduct - Ethics Policy shall apply to the Board, to CTPF's staff, and to bidders during a search for a product/service provider.

The CTPF Ethics Policy can be found on the CTPF website:
https://www.ctpf.org/sites/files/2020-10/ctpf__ethics_1.18.18_0.pdf

1.4.11 – Minority and Women Owned and Disadvantaged Business Enterprises Participation

CTPF endeavors in accordance with Illinois law to increase the utilization of vendors who are MWDBE companies. Please provide any information relative to your Company's minority company affiliations or minority Company participation in the engagement, and a MWDBE breakdown for your Company. Please also provide any MWDBE subcontractors/sub-vendors that Bidder intends to use on this contract, including the name, role, and expected payments and percentage utilization.

Additionally, CTPF requires all bidders to complete the CTPF EEOC Disclosure Chart. This is a separate file from the RFP and has been posted with the RFP. As discussed in Section 3.2.5, the completed form must be included with the required disclosures in the bidder's response.

1.4.12 – Waiver of Claims

By submitting a proposal, the Bidder agrees to waive any claim it has or may have against CTPF, its Board of Trustees, and/or CTPF officers, employees, and agents arising out of or in connection with the administration, evaluation, or recommendation of any proposal, the waiver of any requirements under the RFP, the acceptance or rejection of any proposal, and/or the award of the contract.

1.4.13 – RFP Limitations and Conditions

a. This RFP does not commit CTPF to award an agreement or procure services of any kind whatsoever. CTPF reserves the right, in its sole discretion, to negotiate with any or all applicants considered, or to postpone, delay, or cancel this this RFP, in whole or in part. CTPF may terminate discussions, in its sole discretion, or select another finalist. CTPF reserves the right to award an agreement or agreements based upon the proposals received. The Company should not assume that there will be an opportunity to alter or amend its proposal at a later date or at the time of contract negotiations.

b. CTPF may request that Bidder clarify the content of the proposal. Other than for purposes of clarification, no Bidder will be allowed to alter or amend its proposal after the RFP due date.
c. All materials submitted in response to this RFP shall be the sole property of CTPF. CTPF reserves the right to use any and all ideas submitted in the proposals.
d. CTPF reserves the right to reject or cancel in whole or in part at any time, any and all proposals received; to waive minor irregularities; to negotiate in any manner necessary to best serve CTPF and to make a whole award, multiple awards, a partial award, or no award.
e. CTPF reserves the right to reject any or all offers and to discontinue this RFP process without obligation or liability to any potential vendor.
f. CTPF reserves the right to reject the proposal of Bidder who is not currently able to perform the contract. CTPF reserves the right to award a contract, if at all, to the Company which will provide the best match to the requirements of the RFP and the needs of the Fund, which may not be the proposal offering the lowest fees. CTPF may take into consideration any factor it deems relevant, including but not limited to, past experience, financial stability, the ability to perform the requirements as set forth in this RFP, or previous failure to perform similar contracts in accordance with the terms, or in a timely manner, and other relevant criteria. CTPF is not required to accept for consideration any proposal that fails to address or does not comply with each of the requirements or the criteria set forth in this RFP.
g. CTPF reserves the right to award a contract on the basis of initial offers received, without discussions or requests for best and final offers. Conversely, CTPF reserves the right to request best and final offers.
h. Any contract award is ultimately a decision of the Board of Trustees and is not required to be based on the evaluations, scoring, or recommendations by the Evaluation Committee.
i. If Bidder submits a proposal, CTPF reserves the right to conduct its own due diligence and to undertake such investigations as it deems necessary to determine Bidder’s satisfaction of the qualifications and ability to furnish the required services. Upon request, Bidder agrees to provide any and all information for this purpose.
j. CTPF reserves the right to request additional documentation or information from Bidders. Requested information may vary by Bidder. CTPF may ask questions of any Bidder to seek clarification of a proposal to ensure the Bidder understands the scope of the work or other terms of the RFP.
k. CTPF does not guarantee or commit to contracting any specific number of projects to Bidder during the life of the agreement.
l. Written approval from CTPF will be required for any news releases regarding the award of contract.

1.4.14 – Most Favored Terms

All prices, terms, warranties, and benefits offered by the Bidder in its proposal must be comparable or better that those offered by the Bidder in agreements with substantially similar governmental or quasi-governmental clients. Should the Bidder make available more favorable terms to a substantially similar governmental or quasi-governmental client with respect to the types of services set forth in Bidder’s proposal, Bidder will make such prices, terms or conditions available to CTPF.

1.4.15 – Agreement and Approval

The Fund may select one or more companies to provide the services described herein.

To the extent one or more companies are selected, CTPF will work to negotiate an agreement with the selected company(ies), giving due consideration to the stipulations in the company's(ies) submitted standard agreement.

The selected company(ies) shall be required to assume full responsibility for all services and activities offered in its/their proposal whether or not provided directly. Further, CTPF will consider the selected company(ies) to be the sole point of contact with regard to contractual matters, including payment of fees.

The selected company(ies) and its/their personnel, including subcontractors, shall treat any and all information provided by CTPF as confidential and is/are prohibited from using that information for any other purposes than those provided by contract, without CTPF's express written consent.

The selected company(ies) shall not use a subcontractor without CTPF's express written consent. All terms and conditions of a contract with the selected company(ies) shall be equally binding on any subcontractors.

The selected company(ies) shall meet specific performance standards established during the contract negotiation process. The approved project schedule, specifying agreed upon, significant milestone events, and a project completion date, shall be incorporated into the contract as projects are identified and assigned to the successful Bidder(s) by CTPF.

1.5 RFP Questions and Answers

This section provides instructions on how to submit questions concerning the RFP, the deadline for submitting questions, and how CTPF will respond to the questions.

1.5.1 – Submitting Questions

Bidders shall submit inquiries concerning this RFP in writing (email) to the designated point of contact.

Each question shall follow the following format:

Subject Line:	PAS RFP Bidder Question
Body of Email:	RFP Document: RFP Section: RFP Sub-section, Page Number
	Question text
	First and Last Name Bidder Name
	Example:

3.0 Bidder Qualifications – 3.2 Company Information – 3.2.2 Company Uniqueness, Page 43

What if our company has no unique qualifications? Should we just put N/A?

John Smith
Public Retirement Systems Software Company

1.5.2 – Deadline for Question Submissions

The deadline for submitting questions is **5:00 PM Central Daylight Time (CDT) on April 22, 2021.**

1.5.3 – Bidders' Conference

CTPF will hold a mandatory Bidders' Conference Call on **Thursday, April 29, 2021 from 1:00 pm to 3:00 pm Central Daylight Time**. The conference will review the submitted questions and CTPF's responses to these questions. Bidders are encouraged to submit any questions prior to the Bidders Conference. However, there will be the opportunity on the Conference Call to ask additional questions. Bidders shall provide the same identifying information for questions asked at the Bidders' Conference as for those submitted in advance (e.g., RFP Section Name: RFP Sub-section Name and Page Number).

The Call-In Number for the Bidders' Conference will be:

+1 347-966-6286,,606155136#
Phone Conference ID: 606 155 136#

Bidders who would like to join the conference using computer audio may reach out to the points of contact listed above for the meeting link.

Following the Bidders' Conference, Bidders who have additional questions regarding this RFP may email the designated point of contact using the format listed above. The deadline for submitting additional questions is **5:00 PM Central Daylight Time (CDT) on May 13, 2021**

1.5.4 – CTPF Response to Questions

CTPF will post answers to all submitted questions and follow-up questions asked during the Bidders' Conference Call on the CTPF website, https://ctpf.org/post/non-investment-procurements by May 6, 2021.

For any additional questions submitted following the Bidders' Conference by the above deadline, CTPF will post answers by May 20, 2021.

CTPF shall not identify the Bidder that submitted the question.

1.6 RFP Evaluation Criteria

This section provides the evaluation criteria that will be used to evaluate each Bidder's proposal.

1.6.1 – Evaluation Criteria

The RFP Evaluation Process will be conducted in four phases. After completion of the Phase Four Evaluation, the Selection Review Committee (SRC) will make a vendor selection recommendation to the CTPF Board of Trustees who will make the final selection decision.

Phase One Evaluation:

An evaluation team consisting of staff from CTPF will complete the Phase One Evaluation, the purpose of which is to confirm that the Bidder possesses the minimum qualifications and has satisfactory references. Bidder's Responses will be evaluated based on listed criteria, completeness of response, including mandatory attachments and compliance to submission criteria (See "Section 3.0 Bidders Qualifications, Subsections 3.1-3.5"). Bids that do not comply with these requirements will be rejected and will not proceed to Phase Two Evaluation. Please be aware that if any Bidder does not meet a Phase One requirement, CTPF reserves the right to allow a Bidder to cure its deficiency.

Phase Two Evaluation:

In this phase, the Bidder's Proposal Response will be evaluated based upon the ability of the vendor to satisfy the requirements and perform the requested services. All responses will be evaluated using the Bidder's Proposal Response.

Phase Three Evaluation:

CTPF will select finalists based on the evaluation criteria defined above and will require these selected Bidders to provide an oral presentation of the proposal and demonstration of proposed systems remotely to the Project 125 team (See Section 2.4.4). A Bidder is limited to the presentation of material contained in its Proposal, with the limited exception that a Bidder may address specific questions posed by the SRC or provide clarification of information contained in its proposal. No discussion of cost information will be permitted. Any correction or modification of the proposal or the presentation of supplemental information shall not be permitted and shall be deemed prejudicial to the interests of other Bidders and fair competition. A Bidder's attempt to submit such corrections, modifications or supplemental information during an oral presentation may subject the Bidder's proposal to disqualification. The selected Bidders must present their solutions and a demonstration of their system within two weeks of notification that a meeting is desired by CTPF.

In addition to the oral presentation, the selected Bidders may also be asked to arrange a remote visit with one or more of its previous or existing clients. The purpose of the remote visits will be to confirm information provided in the written proposals, view a demonstration of the proposed or similar solutions, and to gather "lessons learned" information from previous clients of the Bidder.

Finalists will be required to participate in a Proof of Concept (POC) exercise as part of the proposal evaluation process. These finalists will be asked to conduct a six-week long condensed version of the design and build process that will be used throughout the project. This condensed version will include all the steps proposed by the Bidder that will be used to gather requirements, design working software as a solution to specific functionality, conduct testing of the software, and deliver the final software to CTPF. The finalist's POC team must include the same key resources being proposed as part of the implementation team. The functionality to be provided in the POC will be provided to the Bidder when they are selected as a finalist. Once the finalists demonstrate their Proof of Concept systems, CTPF will evaluate it, score the work and include this score in the overall scoring of the proposal for that Bidder.

During the Proof of Concept, contract negotiations with the finalists will also commence. Once the finalists complete their delivery of the Proof of Concept to CTPF, a Best and Final Offer (BAFO) will be requested from one or both of the finalists. CTPF will provide information to the Bidder(s) asked to prepare a BAFO and will set a deadline for the Bidder to update their proposal based on the information and other instructions provided along with the BAFO request. The BAFO will then be used for final scoring of the proposals.

Phase Four Evaluation:

Overall scoring for each response, cost response, oral presentation, Proof of Concept, and BAFO will be summed.

At the discretion of the Board of Trustees, finalists may be asked to provide an oral presentation of the proposal and implementation plan to the Board and/or to a Board Committee in an Open Meeting attended by the Public.

1.6.2 – Awarding of Work

Upon final evaluation, CTPF expects to identify the Bidder whose response, in CTPF's discretion, is the most responsive and responsible Bidder and offers the most advantageous solution to meet the needs of CTPF. The selection of the apparent successful Bidder will initiate, and contract negotiations will be finalized. CTPF reserves the right to terminate negotiations should negotiations fail and commence negotiations with another Bidder.

CTPF reserves the right to reject all bids it deems nonresponsive and responsible, and therefore, not in the best interests of CTPF. CTPF may cancel this Request for Proposal at any time and is not obligated to produce scores or a written or oral explanation of its finding that a proposal was not advantageous to CTPF. Procurement information is available only as provided through an Illinois FOIA request.

Should CTPF determine in writing and in its sole discretion that only one Bidder is fully qualified, or that one Bidder is clearly more highly qualified than the others under consideration at any time during this process, that Bidder will be identified as the apparent successful Bidder pending successful contract negotiation, and a contract may be negotiated.

The contract shall serve as the award document and incorporate by reference all the requirements, terms and conditions of the solicitation, and the Bidder's response as negotiated.

1.7 RFP Terms and Conditions

1.7.1 – Failure to Agree to the Terms and Conditions

The Bidder is hereby admonished that failure to agree to the Terms and Conditions of the sample contract may result in the disqualification of the proposal.

1.7.2 – Ethics in Public Contracting

By submitting their proposals, Bidders certify that their proposals are made without collusion or fraud and that they have not offered or received any kickbacks or inducements from any other Bidder, supplier, manufacturer or subcontractor in connection with their proposal, and that they have not conferred on any public employee having official responsibility for this procurement transaction any payment, loan, subscription, advance, deposit of money, services or anything of more than nominal value, present or promised.

1.7.3 – Sample CTPF Contract

This section provides a discussion regarding the sample contract that CTPF has provided in section 6.1.15.

All bidders are required to review the sample contract and to include, in section 3 of their proposal, comments on the sample contract using the "CTPF Contract Exception Form" provided in section 6.1.14. Failure to include this information may result in rejection of the entire proposal.

At a minimum, the bidder must provide the following information in the proposal.

- any terms and conditions in the sample contract to which the bidder would not agree
- specific changes (additions, deletions, changes) to verbiage that would be required before bidder would agree
- rationale behind bidder's decision to identify the specific terms and conditions as exceptions

2.0 CTPF Information

This section provides information about CTPF intended to guide the Bidder in preparing a responsive and responsible solution and cost proposal. This section is strictly for informational purposes.

2.1 – CTPF Overview

This section provides general information about CTPF such as its organizational structure, membership, plan size, and legislative convergence.

2.1.1 – CTPF Background

Established by the Illinois State Legislature in 1895 as The Public School Teachers' Pension and Retirement Fund of Chicago, CTPF administers a multi-employer defined benefit public employee retirement fund. CTPF is administered in accordance with Illinois Compiled Statutes (ILCS) Chapter 40, Articles 1, 17, and 20.

CTPF is independent of any other public entity and is governed by 12 Trustees: six elected by active members, three elected by pensioners, one elected by the principals/administrators, and two appointed by the Chicago Board of Education. The Board of Trustees oversees the Fund's benefit programs, approves all benefits, makes investment decisions, and provides general operational oversight.

CTPF administers one defined benefit plan (with two tiers of participants) and multiple health plans with complex rules.

CTPF also participates in the Illinois reciprocal system retirement benefits under the Illinois Retirement Systems Reciprocal Act (Reciprocal Act). The Reciprocal Act gives retiring Illinois public employees the option to combine service credit earned in any of the 13 Illinois public retirement systems/pension funds (except local police and fire pension funds). Our members can elect to retire under the Reciprocal Act, combining the service across all the 13 participating retirement systems. The total combined service credit is then used to determine a member's eligibility for pension benefits from each system and the amount of those benefits.

2.1.2 – Mission

To provide, protect, and enhance the present and future economic well-being of members, pensioners, and beneficiaries through efficient and effective management of benefit programs, investment practices and customer service, and to commit to earning and keeping the respect and trust of the participants through quality service and by protecting retirement benefits, in compliance with applicable laws and standards.

2.1.3 – Legislation Relating to CTPF

The Chicago Teachers' Pension Fund (CTPF) and its Board are governed by the Illinois Pension Code, other applicable laws, and the administrative rules and policies established by the Board of Trustees.

Bidders are expected to review the governance information included below along with related information available on the CTPF.org website to ensure understanding of the CTPF organization and operations. Proposals must demonstrate a knowledge and awareness of this information.

Additional details regarding the governance of CTPF can be found at the following links:

https://ctpf.org/about-ctpf/governance
https://www.ctpf.org/post/administrative-rules-and-policies

Illinois Pension Code Articles

CTPF is administered in accordance with Illinois Compiled Statutes (ILCS) Chapter 40, Articles 1, 17, and 20.

Article 1 - General Provisions

Article 1 provides information related to definitions, fiduciary duties, investments, prohibited transactions, Qualified Illinois Domestic Relations Orders, Tier 2 pensions (applicable to covered employees who started working on January 1, 2011, or after), and other information that generally applies to all pension funds and systems covered by the Illinois Pension Code.

Article 1A - Regulation of Public Pension Funds

Article 1A provides information related to definitions, Public Pension Division examinations, actuarial statements, normal cost, advisory services, reports to the Governor and the General Assembly, economic opportunity investments, annual statements, fees, penalties, and other information.

Article 17 - Public School Teachers' Pension and Retirement Fund—Cities Of Over 500,000 Inhabitants

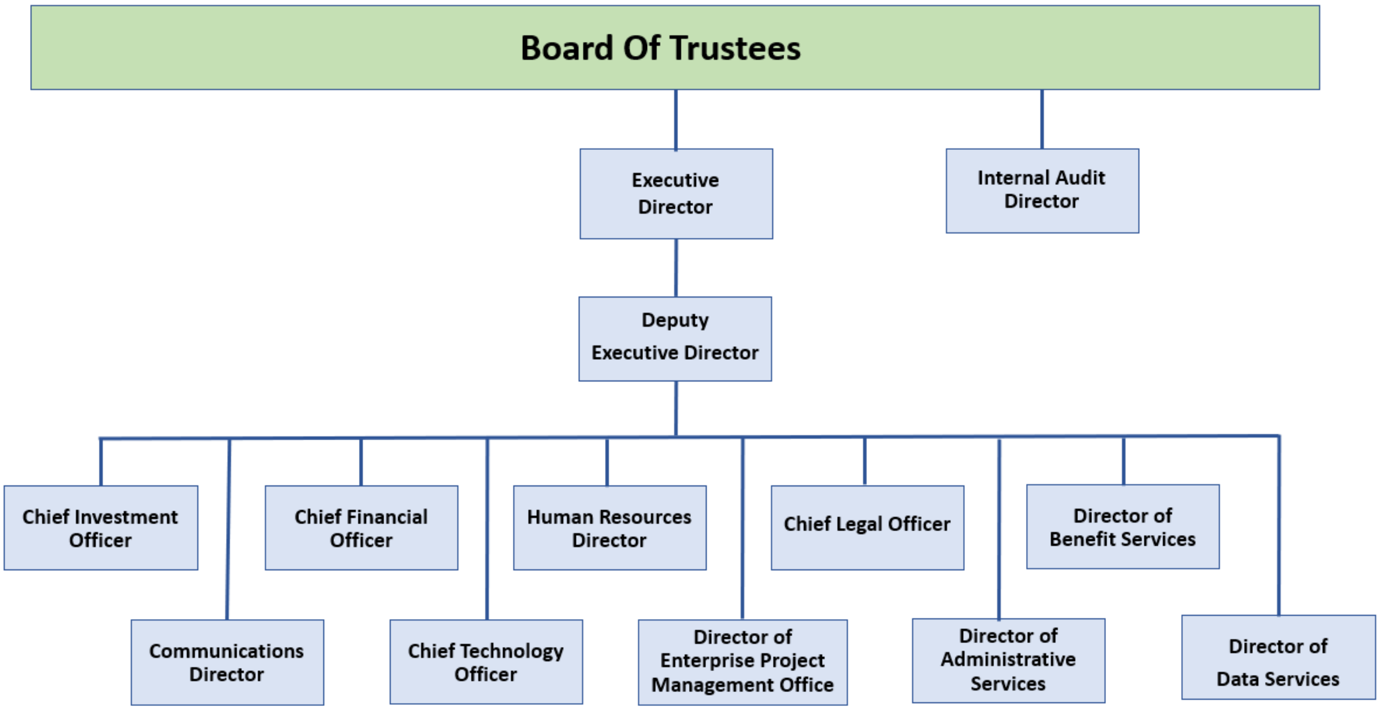
Article 17 provides information specific to CTPF, including definitions, provisions applicable to Tier 1 or to Tier 2 , computation of service, eligibility, calculation of pension, refund of contributions, early retirement, disability pensions, survivor's pensions, death benefits, optional increases in pension, employer contributions, member contributions, payroll deductions, outside and other credited service, cancellation of pensions, reemployment, Board membership, Board elections, Board authority, and other information.

Article 20 - Retirement Systems Reciprocal Act

Article 20 provides information related to members that have reciprocal service in two or more participating systems under the Illinois Pension Code.

2.1.4 – Organization

The Board of Trustees oversee the entire organization with operational responsibilities delegated to the appropriate CTPF staff as indicated in the organizational chart below. An organization chart is included in Section 6.1.3 and a detailed department description for each department can be found on the CTPF.org website at the following URL - https://www.ctpf.org/about-ctpf/leadership.



2.1.5 – CTPF Operations and Facility

CTPF Pandemic Operations

The Fund continues to deliver all member services remotely for the health, safety, and wellbeing of all CTPF Members and its employees. The physical office remains closed to all but essential employees whose duties cannot be performed offsite.

Security

Guests visiting CTPF must present a valid, government-issued photo ID to the building's security team before being admitted to the office. Please plan extra time to clear security.

Directions to the CTPF Office

The CTPF office is located at 425 S. Financial Place in the South Loop. The administrative offices and Member Services are located on the 14th floors. The Board meeting room is on the 15th floor.

2.1.6 – CTPF Numbers

Membership includes more than 89,000 members: including Chicago's public/charter school teachers, administrators, certified personnel, and CTPF staff.

- 28,015 Annuitants
- 30,091 Active Members
- 10,024 Vested Terminated Members
- 21,260 Unvested Terminated Members

CTPF members do not contribute to Social Security during their employment with CPS, Charter schools, or with other participating employers. CTPF members contribute 9% of pensionable earnings. Some members are covered by a "pension pick-up" arrangement with their employer, as authorized by the Internal Revenue Code, pursuant to which the employer pays all or part of the 9% contribution.

CTPF also receives contributions from the State of Illinois and from a local property tax levy. CTPF received $1.02 billion from all such payments for Fiscal Year 2020. The Fund made nearly $1.5 billion in payments to annuitants and provided $51.4 million in health insurance premium subsidies.

CTPF invests funds for the long-term and has achieved an average growth rate of 8.42% over the past 35 years. CTPF values diversity with 46% of our assets managed by MWDBE firms. We invest close to home with $2.4 billion managed by Illinois-based investment managers. As of June 30, 2020, CTPF managed $10.9 Billion in assets and was 45.4% funded. CTPF publishes Comprehensive Annual Financial Reports which document CTPF's financial position and offers more information about its financial outlook. These reports can be found on www.ctpf.org

Annually, CTPF processes approximately 600 retirement applications, conducts retirement seminars for approximately 700 attendees in various locations each year, provides access to health insurance coverage for approximately 16,000+ retirees (and issues approximately 8,000 rebates for retirees with outside coverage) and dependents. During 2020, the Member Services department responded to over 59,000 phone calls and over 18,000 emails.

2.2 – CTPF Business Overview

2.2.1 – Pension Plan Overview

This section provides a brief description of CTPF benefits. Additional conditions and restrictions apply. Bidders preparing a response to this RFP are strongly urged to carefully review the Illinois Pension Code. Article 17 of the Illinois Pension Code is available at www.ctpf.org. Links are available in *Section 6.1.1.* No statement in this RFP shall be considered a legal opinion as to the terms of the Pension Code.

CTPF members participate in a defined-benefit retirement plan and do not contribute to Social Security during employment. Instead, each pay period, pension contributions are withheld by the employer and sent to CTPF. At retirement, CTPF calculates a pension for retirees who meet the eligibility requirements. The retirement benefit calculation is based on a three-part formula: (service credit x pension multiplier) x final average salary = retirement benefit.

**maximum of 75%*

Tier 1 vs. Tier 2 Pensions

On January 1, 2011, the Illinois legislature established two sets of pension eligibility requirements. Members who joined CTPF or a qualified reciprocal system prior to January 1, 2011, are Tier 1. Members who joined CTPF or a qualified reciprocal system on or after January 1, 2011, are Tier 2.

The pension calculation for both tiers is the same, but the retirement age and method for calculating the final average salary are different. Additionally, the salary used in the calculation of a pension is capped for Tier 2. The Tier 2 salary cap does not limit how much a member can earn; it limits the salary used in the final average salary to determine the benefit and the amount of earnings for which pension contributions are due.

The chart below summarizes the differences in calculating benefits for Tier 1 and Tier 2 members.

Benefit	Tier 1: Members who joined CTPF or a qualified reciprocal system before January 1, 2011	Tier 2: Members who join CTPF on or after January 1, 2011
Retirement age for a pension without a reduction	• 62 with 5 years of service • 60 with at least 20 years of service • 55 with at least 33.91 years of service*	67 with 10 years of service
Retirement age for a reduced pension	55 with 20 years of service	62 with 10 years of service
Final Average Salary calculation	Average of 4 highest consecutive years in the 10 years preceding retirement	Average of 8 highest consecutive years in the 10 years preceding retirement
Pensionable Earnings Cap	The annual salaries used in the calculation of the final average salary are capped from year-to-year at 120% of previous year's salary.	Final average salary used to calculate pensions capped at $116,740.42 in 2021. The cap increases by 3% or one-half of the increase in Consumer Price Index (CPI) for the preceding year, whichever is lower.
Annual Pension Increase	3% of pension compounded annually, beginning 1 year after retirement, or at age 61, whichever occurs later.	3% or 1/2 of any increase in the CPI for the preceding year, beginning 1 year after retirement or at age 67, whichever occurs later.
Survivor Pensions	50% of the retired member's retirement annuity; surviving spouse must be age 50 or have surviving minor children.	66 2/3% of the retired member's pension at date of death. 66 2/3% of the earned annuity of the unretired member; no age reduction.

** Applies to members who began employment on or after September 1, 1983*.

<u>Employer Contribution Reporting</u>

The 126 active employers represent over 513 individual schools within the Chicago Public School District and provide a vital link between members and CTPF. Accuracy in reporting and payment is important, as CTPF's effectiveness in benefit administration rests largely on the data reported by Employers, which determines members' creditable service credit, creditable earnings, retirement contributions, and their future retirement benefits.
Each month, Employers remit payroll data and employee pension contributions. Illinois law requires the employer to submit these records and contributions by a certain date based on

each employer's payroll calendar(s). If the Employer does not send the records or contributions within the required time, penalties are assessed.

Additional information regarding the CTPF administrative rules governing employers can be found on the CTPF.org website: https://www.ctpf.org/post/ctpf-administrative-rules-employers

Pension Formula:

For service credit earned prior to July 1, 1998, the percentage used in the pension formula is determined using accrual rates or pension multipliers as low as 1.67%. The table below illustrates the various multipliers:

Years of Service Credit	Before July 1, 1998	After July 1, 1998
First 10 years	1.67% per year	2.2% per year
Second 10 years	1.9% per year	2.2% per year
Third 10 years	2.1 % per year	2.2% per year
Years beyond 30	2.3 % per year	2.2% per year

CTPF allows retirees to "upgrade" to the 2.2% formula. Members who wish to purchase the 2.2 Upgrade Option must have been active contributors to CTPF on July 1, 1998 or must have contributed to CTPF for at least one year after July 1, 1998.

The cost to upgrade is based on the highest annual salary in the 4 years prior to the year in which the member applies for the upgrade, multiplied by 1% for each year of service. Each 3 years of service after July 1, 1998, decreases the cost by 1 year and members with 30+ years receive the upgrade at no cost (includes reciprocal time if CTPF is the 'final' system). The cost to upgrade is shown on the member's estimate, if applicable.

Service Purchase:

Service may be purchased for the following types of service. Each service type requires a different form:

- Approved, unpaid leaves
- Refunded service
- Public teaching service as a certified teacher in a public school
- Military service

Steps for Completing the Purchase Process

1. It is the member's responsibility to complete an application for the specific type of service for which they are applying to purchase. Application forms are available on the CTPF Website or the member can contact Member Services.
2. Upon receipt of the application with required supporting documentation, CTPF will send the member a bill for the service purchase. The member must pay the Fund in full or indicate in writing that the member does not intend to purchase service.
3. The member must complete payment for CTPF to finalize their pension. The member's pension cannot be finalized until Step 2 is completed.

Reciprocity:

The provisions of the Illinois Retirement Systems Reciprocal Act (Reciprocal Act or "reciprocity") allow individuals who earn service in more than one covered system to combine their service and coordinate benefits at retirement. Thirteen Illinois public pension systems are covered under the Reciprocal Act. Section 6.1.8 includes a list of the participating systems.

When a member chooses to retire with a reciprocal pension, each system where the member had service calculates benefits based on the member's highest final average salary (FAS) and pays a proportion of the pension benefit. Concurrent service is not recognized.

To retire under the Reciprocal Act, the member must meet the following conditions:

- Resign with all employers and apply with each system.
- The service earned in each reciprocal system must be at least one year.
- The member's combined service must meet the required vesting and age requirements.

If a member's pension includes any reciprocal service, receipt of the first preliminary monthly pension benefit will depend upon when CTPF receives certification from the other system(s). This notification process can often take 3 months or more.

<u>Documents Required to Retire</u>

There are several documents that CTPF members must submit prior to applying for a retirement benefit.

Legal Name Requirement – The member must provide evidence of their legal name at retirement. The documents that are presented as proof of identity including a Social Security card, photo identification, and Medicare card/letter (if applicable), must bear the same legal name.

All Applicants must provide the following:

1.) Proof of age: birth certificate, naturalization papers, or current passport
2.) Proof of Social Security number: Social Security card or recent W-2
3.) Photo identification: current (not expired) driver's license, state identification, or current passport
4.) If 65, a copy of Medicare A & B card or letter of entitlement from Medicare

If a member applying for retirement is married, joined in a civil union, widowed, or divorced, additional documentation is required. The member must provide, as applicable, copies of the following documents:

- Married or joined in a civil union
  - ✓ Spouse's birth certificate or current passport
  - ✓ Marriage or civil union license
- Widowed
  - ✓ Marriage or civil union license
  - ✓ Spouse's death certificate
- Divorced
  - ✓ Certified divorce or dissolution of marriage or civil union decree
  - ✓ Court certified QILDRO (if applicable)

Preliminary Pension Payment

CTPF will calculate a preliminary monthly benefit once the employer has confirmed resignation of the member. The following items are taken into consideration for this calculation:

- ✓ Eligibility based on age, service, and salary records reported by the employer(s) to CTPF or which are validated independently when employer provided payroll records are not available.
- ✓ Confirmed reciprocal service (if applicable) – this may delay first payment
- ✓ Verification of payment of any optional service i.e., sick, study, military leaves (if applicable)
- ✓ The member's account will be audited once final records from the employer are received. The monthly benefit will be reconciled and may be revised/finalized at that time.

Eligible Refunds

Termination Refund - If a member chooses not to retire with CTPF, contributions may be rolled over into another qualified retirement plan or paid directly to the member. When the member accepts a refund, the member forfeits all future benefits with CTPF, including survivor, disability, and post-retirement health insurance subsidies. If the member returns to a CPS/Charter school Employer, they must earn a minimum of 2 years of active service to qualify for reinstatement of the refunded service.

Illinois Statues requires a 60-day waiting period from the date of termination from an employer. Once the waiting period is completed, CTPF asks for up to twelve weeks to process a complete application.

If a member chooses a refund of contributions, the type of distribution determines if the member will pay taxes, penalties, or both.

Refund options may include:

- Full distribution. The distribution is paid directly to the member, less mandatory 20% federal income tax withholding of taxable amount
- Full rollover. The distribution is sent to a qualified retirement plan or IRA that the member choses.
- Partial rollover and distribution. The refund may be divided. A portion can be rolled over into a qualified retirement plan or IRA, and the balance paid directly to the member less the mandatory 20% withholding of the taxable amount.

Refunds at Retirement

1. 2.2 Upgrade refund with interest, if the member previously paid the 2.2 Upgrade cost and now meets the criteria to receive the upgrade for free or at a reduced cost based on:
    1. 30 or more years of service credit
    2. 3 for 1 calculation
2. Members with at least 37.8 years of service credit may qualify for an additional (1%) refund.
3. Refund of survivor's contributions
    - No eligible spouse or minor children

4. SPC Refund – the member may be eligible if they have purchased more service than necessary to be at the max pension percentage (75%)

Death Benefits

CTPF provides survivor and death benefits that may include:

- A survivor's pension
- A lump-sum death
- A refund of contributions
- Eligibility for health insurance under the CTPF program
- A reversionary pension

More information can be found on the CTPF.org website:

Survivor & Death Benefits | CTPF

Disability Retirement

If a member under the age of 65 incurs an injury that leaves them wholly, and presumably permanently, incapacitated for work as the result of injuries sustained or a hazardous condition encountered while performing work in the scope of their respective duties, (and is not the result of their own negligence), they may be entitled to a duty disability benefit. A member must first apply with the Illinois Workers' Compensation Commission before CTPF will consider the application. The application to CTPF must be made within 6 months of the occurrence of the disability or within 6 months of the date of settlement from the Illinois Workers' Compensation Commission. At least two physicians appointed by the Board must certify the disability claim. The Board will review the physicians' reports and vote to approve or deny a duty disability application.

If the application is approved, CTPF will pay 75% of the member's salary at the time of the injury until the member reaches age 65. The member will continue to earn service credit until they reach age 65. The benefit will be offset by any amount received under the Illinois Workers' Compensation Act. At age 65, the duty disability benefit will cease. The member will receive a retirement pension based on the member's final average salary and service acquired through that date.

If a member becomes wholly and permanently disabled because of illness or injury not related to their job, they may be eligible for a disability retirement pension. They must have at least 10 years of service credit, and the application must be made within three years of the date of their separation date. The member's personal physician and at least two physicians appointed by the Board must certify the disability claim. The Board votes to approve or deny a disability retirement pension application.

If the application is approved, CTPF will calculate the pension the member has earned based on their salary, service credit, and Tier I or Tier II status. A disability pension is payable for the member's lifetime, provided they remain totally and permanently disabled.

If a member's medical condition improves and they can return to duty, their disability benefit will cease. If a member receiving a disability benefit goes back to work as a teacher their benefit is automatically cancelled. The Board requires periodic recertification of the member's eligibility for benefits.

Re-Employment / Working After Retirement

CTPF classifies re-employment in two different categories discussed below.

1.) Permanent Re-Employment in the Chicago Public Schools or at a Charter school in Chicago on a permanent or annual basis cancels the member's CTPF pension on the date the re-employment begins or on the first day of the payroll period for which service credit is validated, whichever is earlier

2.) Temporary and Non-Annual Employment Retirees may return to work for an Employer(s) subject to CTPF Re-employment rules (120-day limit & compensation limit) if re-employment is not pre-arranged prior to retirement. There is a special limit for driver's education instructors that began in FY 2018.

The table below highlights the CTPF rules regarding Re-Employment and became effective July 1, 2019. Additional information regarding the CTPF rules governing Re-Employment can be found on the CTPF.org website:

https://www.ctpf.org/sites/files/2020-10/rtw_rules_website_post_0.pdf

Retiree Type	Employment Limit	Compensation Limit
CTPF retirees who only teach Drivers' Education courses in the school year	900 hours	$30,000 Or The daily rate paid to retired principals multiplied by 100 for individuals who retired with 5 years of service as a principal/administrator
All other CTPF Retirees	120 days	$30,000 Or The daily rate paid to retired principals multiplied by 100 for individuals who retired with 5 years of service as a principal/administrator

Health Insurance

CTPF sponsors a health insurance plan for members retiring from CTPF. This plan is subsidized by CTPF and affords a retiring member guaranteed enrollment if CTPF was their final system, dependent coverage, comprehensive coverage with competitive premiums, and the ability to deduct monthly premium costs automatically from the pension payment.

This plan does not include vision, dental insurance, or an FSA. The subsidized portion in 2021 is currently 60% of health plan premium, including COBRA premiums (under age 65) and base Medicare premiums. Section 6.1.8 includes additional information regarding "New Retiree Health Insurance Options."

If a member decides not to enroll in the CTPF sponsored health insurance plan, they will be responsible for all of the premiums associated with that insurance plan. The member can apply for a rebate of health insurance and Medicare premiums once a year, retroactively at the applicable subsidy percentage. CTPF mails rebate applications to those retirees who are eligible and requires proof of premium payments and amounts billed for every completed application.

"One and Done" rule:
The Board voted to allow eligible members to re-enroll in a CTPF health insurance plan one time without a qualified change in status. Previously, enrollment was only allowed once in a lifetime, unless the member experienced a qualifying event (marriage, birth, death, etc.). Individuals who want to rejoin a CTPF plan must do so during the Open Enrollment period. A member applying to re-enroll must have proof of insurance coverage (medical and prescription drug) as of the beginning of the Open Enrollment period (October 1), and maintain coverage through December 31 of that year. CTPF health insurance coverage becomes effective the following January 1.

2.3 – CTPF Technology Overview

CTPF currently uses multiple systems to manage and administer the pension and health benefits for its 88,000 members and retirees. The two primary Pension Administration Systems (PAS) used by CTPF are Pension Gold (PG) and BradPen. The PG system was implemented in 2005 and handled the majority of CTPF business requirements through software customization specific to CTPF. The software code for this client/server solution was acquired by CTPF from the vendor in 2010 with the understanding that CTPF would be responsible for all future maintenance and enhancements. In 2011, Tier 2 and the change to day-for-day service calculations created a need for major modifications to existing functionality. The firm Bradley Consulting was already supporting the technology needs of CTPF and proposed the creation of a new system on a browser-based platform to handle the new requirements. This new system became what is known as BradPen and CTPF is responsible for the maintenance and support for all future requirements. Neither PG nor BradPen has the capability to support the entire portfolio of CTPF business processes.

When CTPF implemented the PG product they chose to modify a large portion of the base functionality in a manner that would conform to CTPF business practices rather than changing CTPF business practices to conform to the PG process. In 2011 the addition of the BradPen system introduced more functionality using code that was specifically written to meet the needs of CTPF. Consequently, over the last 15+ years CTPF became very comfortable modifying the base processes by writing new software code and delivering features that were, in most cases, tailored to the CTPF user. Additionally, when CTPF purchased the source code from LRS, a decision was made that CTPF would be responsible for 1.) maintaining all software code written in the PG Pension Administration System 2.) supporting all the hardware required to run the software, and 3) ensuring that any ancillary systems such as imaging or workflow would be properly integrated and maintained.

At CTPF there are two distinct ways for employers to report member earnings and contributions. The first mechanism is known as the CPS File Transmittal Utility and is only used by Chicago Public Schools (CPS). This utility was written by CTPF staff, is browser based, and enables CPS to upload their bi-weekly payroll files to CTPF. All other employers (Charter schools) use a system called ERS (Employer Reporting System) which is another custom system developed by CTPF. Bradley Consulting assisted the CTPF staff integrating ERS into the existing BradPen system. CPS uses the ERS system for exception handling for rejected (exceptions) records and member pay history review after their bi-weekly file is loaded into the BradPen system.

CTPF has a Contact Center on site and utilizes the cloud-based Unified Communications as a Service (UCaaS) product, Cisco Finesse as the call manager for all incoming member calls. This product manages the call queues, Interactive Voice Response (IVR), call center reporting, and call wrap-up functionality. All calls are recorded using a product called Verba. This product records the voice call and includes screen capture throughout the call. The CTPF Supervisors are the only personnel with access to this system; Call Center Agents do not see the application, nor do they have access to it, but they do understand that all calls are recorded.

The call recordings are stored within the Verba application and are not indexed or associated with a member record. A best practice is to store these recordings with the member record to ensure a complete 360-degree view of the member and all interactions with the fund (CTPF).

A back-file conversion of paper records to microfilm/fiche was conducted in 2001. The FADV (Form Analyzer Document Viewer) system includes approximately 5.6 million documents consisting of checks, member records, Board meeting notes, and other CTPF documents. This system has limited use and is currently used for member research during audits. The ApplicationXtender (AX) imaging solution went live in 2001 and is considered the Line Of Business application for images. This system is used to store all incoming paper, outgoing member correspondence generated through PG, and member estimates sent through BradPen. The images in AX can be viewed through AX or through PG.

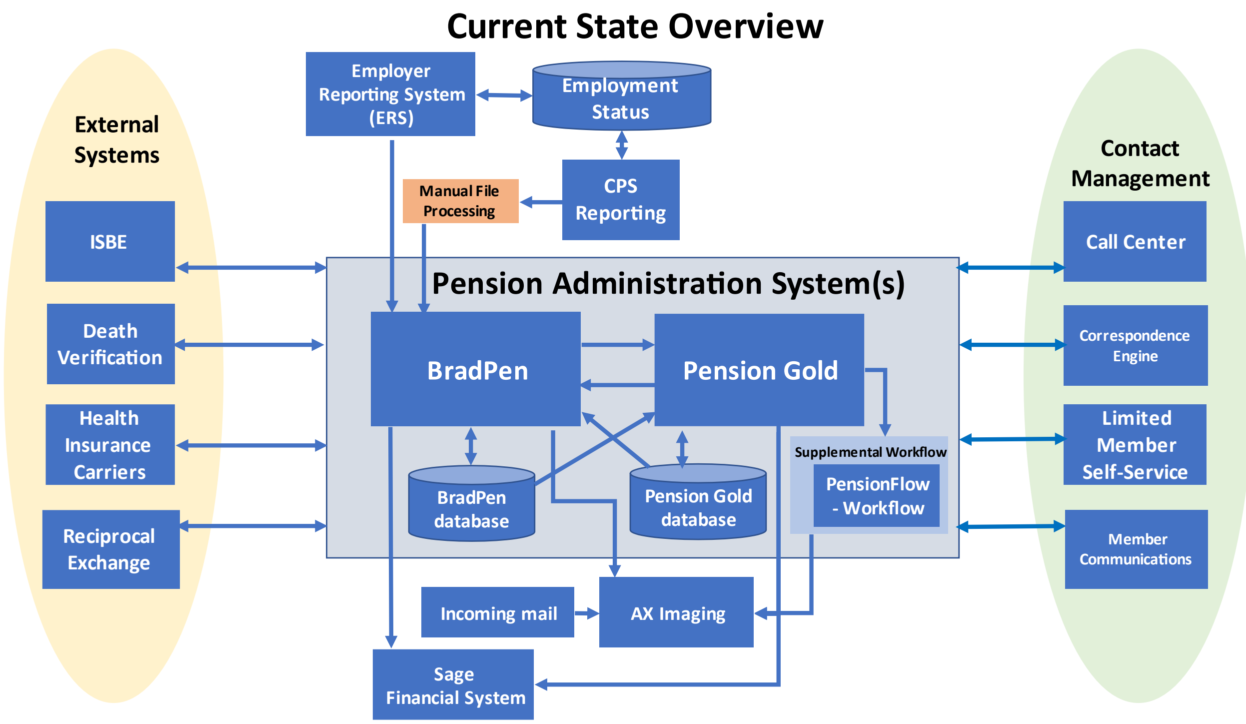
Workflow is function that is typically coupled with the imaging system. At CTPF, there are two distinct workflow applications. PensionFlow is a workflow utility that is part of the PG solution and is used to route documents as they arrive at CTPF. Settlements are also viewed in the PensionFlow application. A second, internally developed, workflow application referred to as “Workflow Supplemental” is used to add flags, assign audits, add notes to the different workflows, look up or spot-check members and helps CTPF staff determine an audit is complete.

The servers and associated hardware utilized to run the CTPF systems are owned and operated by CTPF in their current facility. The entire CTPF environment has recently gone through a complete overhaul of the internal computing infrastructure.

The current Correspondence Engine is also maintained by the IT department with all changes being routed through the department. There are no business rules incorporated into the Correspondence Engine so functionality such as correspondence tracking and the automatic resending of correspondence if no reply, are not available. Additionally, it was noted that not all correspondence is automatically sent to the imaging system.

2.3.1 – Current Computer Systems

The diagram below depicts a high-level overview of the current systems, and integration thereof, at CTPF. Additional detail regarding specific systems can be found in **Section 6.2.3 CTPF Application and System Software.**



2.3.2 – Future State Infrastructure

CTPF desires a solution for Pension Administration built on modern technologies relevant at the time of deployment. CTPF is open to using any mainstream Operating System and Database Management System proposed in a future procurement process if the reasoning for using a certain set of technologies can be justified by the vendor.

The future PAS may be hosted on-premises or by a vendor in another location, subject to some restrictions defined by CTPF.

CTPF also requires that the new PAS be able to easily integrate with other CTPF applications or other external services (e.g., reciprocal processing, licensure validation, and death). This integration functionality needs to facilitate the extension or enhancement of the PAS without changing the core logic of the system.

The proper management and governance of data is essential to building a system that is trusted by the CTPF internal staff, the participating employers, and the members of CTPF. The current state of the data causes a significant amount of extra work which has become the standard rather than the exception.

2.4 – Project 125 Overview

This section discusses the specific Pension Administration System replacement project at CTPF, team staffing, and how the project is governed.

2.4.1 – Project 125 Description

CTPF is celebrating 125 years of service to Chicago Public School Teachers, and named the initiative associated with the technology modernization "Project 125." It is anticipated that this project will impact every facet of technology implemented at CTPF while focusing on a new PAS. The primary goal of CTPF is to replace the legacy systems and associated architecture with a modern and more flexible alternative using a SOA (Service-Oriented Architecture) based approach. This type of architecture will improve the re-use of services and business rules while reducing the risk associated with a reliance on legacy technologies.

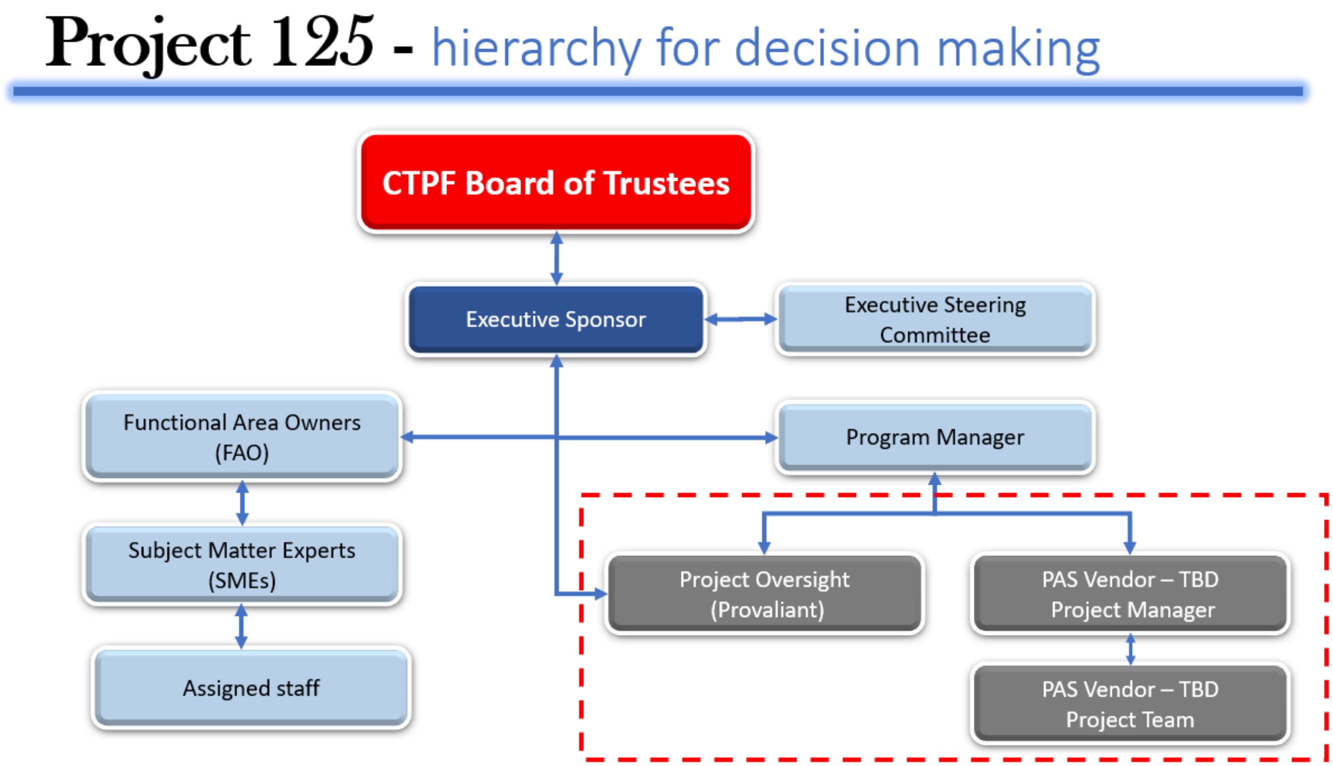
The new PAS will offer robust member and employer portals presenting greater self-service capabilities, reduce processing and/or data entry errors, the requirement for manual processing outside of the system while enabling greater flexibility to address changing business rules. CTPF anticipates a new PAS being able to increase member and employer satisfaction, reduce staff intervention with routine processes, and decrease the amount of time required to complete tasks.

The following objectives represent identified opportunities for Project 125:

- To align with and support CTPF's mission statement and organizational business objectives
- To procure an adaptable and sustainable solution
- To improve the automation of business processes
- To support member-centric self-service options
- To provide multiple two-way channels for effective member communication
- To increase data and workflow transparency
- To achieve effective & nimble operational capabilities with business intelligence tools and robust reporting capabilities

2.4.2 – Project 125 Oversight Authority

The chart below represents the hierarchy for decisions for Project 125. This chart does not represent the organizational structure of CTPF. It is strictly intended for the purpose of decision making during the project. The functions inside of the dashed boxes are contract personnel all other functions are filled with CTPF staff.



2.4.3 – Project 125 Executive Steering Committee (ESC)

Reporting to the Board of Trustees through the Executive Sponsor, the ESC serves as a decision-making body for CTPF addressing issues related to Project 125 and other supporting projects.

The Project 125 Executive Steering Committee (ESC) is accountable to the Board of Trustees and provides two different components to the enterprise-wide programs / projects at CTPF.

- The responsibility for strategic direction and oversight of the PAS Replacement Project known as Project 125.
- The day-to-day management of supporting projects related to Project 125 but not part of the overall Project 125 scope (e.g., the data cleansing project).

The Executive Steering Committee is comprised of the following:

Project 125

Executive Steering Committee

Voting Members

Title
Executive Director
Deputy Executive Director
Chief Financial Officer
Chief Technology Officer
Director of Benefit Services
Director of Data Services
Director of EPMO
Director of Communications
Chief Legal Officer

Optional Non-voting Members

Title
Chief Investments Officer
Director of Administrative Services
Internal Audit Director

Other standing ESC attendees:

Title
Oversight Program Manager
PAS Implementation Vendor
All Project Sponsors for supporting projects

2.4.4 - Project 125 – Project Team

This section provides information regarding CTPF resource availability for the Project 125 initiative. CTPF has identified personnel throughout the organization who will focus primarily on Project 125. Additionally, the roles described in the table below have been created and will be used to define responsibilities throughout the entire project.

Role	Responsibility
Executive Sponsor	The Executive Sponsor typically is part of the agency leadership, and can identify, promote, and complete change. The Executive Sponsor must communicate the project commitments, be a role model and reinforce the commitments to ensure project success. Without the perceived commitment of the Executive Sponsor, implementation success is compromised.
Executive Steering Committee (ESC)	Is responsible for the review, approval, and prioritization of strategic and major IT projects for CTPF and Executive oversight of Project 125.
Enterprise Project Management Office (EPMO)	Is responsible for the daily operation of Project 125. This team reports to the Executive Director and will coordinate all work efforts between the Oversight vendor and the PAS solution vendor.
Department Heads	The Department Heads are responsible for the effective operation of various departments throughout CTPF and for ensuring appropriate staffing levels for tasks involving their specific department.

Role	Responsibility
Functional Area Owners (FAO)	The Functional Area Owners are senior CTPF personnel that have been designated as decision makers for the various functional areas within CTPF. The FAOs are responsible for ensuring all commitments are identified, reviewed, and approved.
Subject Matter Experts (SMEs)	The Subject Matter Experts will provide detailed information specific to one or more functional areas within CTPF.
Technical Experts	The Technical Experts have been identified as having specific technical expertise using the technology stack that has been implemented at CTPF.

CTPF management has evaluated its staff and current workload and determined the following staff will be able to commit to the percentage of time shown on the table below. The table provides the general time availability by role. The Bidder must propose their solution with this staff availability as a project assumption and constraint. The Bidder must explain how the CTPF resource assumptions were used to develop the Bidder's proposal. These assumptions and expectations for CTPF staff will become part of the contract.

CTPF will provide the staff shown on the table below for the Project 125 initiative. If the Bidder feels the project would be more successful if CTPF were to adjust this resource model, then the Bidder must propose adjustments to the model as part of the proposal. If no adjustments are proposed, this resource allocation will become a part of the contract if the Bidder is selected.

Responsibility	CTPF Staff Count	% of Time Available - Normal	Project 125 FTE (@Normal)	% of Time Available -CAFR (July-Feb)	% of Time Available - Budget (Mar-June)	% of Time Available -Peak Summer Benefits (July-Sept)	% of Time Available -1099 R (Jan-Feb)	% of Time Available - Annual Closeout (July-Feb)	% of Time Available - Annual Enrollment (Oct-Nov)	% of Time Available - Board (3rd Week of Each Month)
Executive Sponsor	See Project 125 Org Chart	25%		25%	25%	25%	25%	25%	25%	5%
Core Management Team	See Project 125 Org Chart	25%		25%	25%	25%	25%	25%	25%	25%
Active Membership Business Process FAO	2	40%	0.8	80%	80%	80%	80%	80%	80%	80%
Active Membership Business Process Analyst	4	20%	0.8	80%	80%	40%	80%	80%	80%	80%
Active Membership Subject Matter Experts	4	10%	0.4	40%	40%	0%	40%	40%	40%	40%
Benefit/Retiree Business Process FAO	2	40%	0.8	80%	80%	40%	80%	80%	80%	80%
Benefit/Retiree Business Process Analyst	3	30%	0.9	80%	80%	40%	80%	80%	80%	80%
Benefit/Retiree Subject Matter Experts	3	10%	0.3	30%	30%	0%	30%	30%	30%	30%
Employer/Compliance Business Process FAO	2	40%	0.8	80%	80%	80%	80%	80%	80%	80%
Employer/Compliance Business Process Analyst	2	40%	0.8	80%	80%	80%	80%	40%	80%	80%
Employer/Compliance Subject Matter Experts	3	10%	0.3	30%	30%	30%	30%	15%	30%	30%
Annuitant Health Insurance Business Process FAO	1	50%	0.5	50%	50%	50%	50%	50%	25%	50%
Annuitant Health Insurance Business Process Analyst	2	25%	0.5	50%	50%	50%	50%	50%	25%	50%
Annuitant Health Insurance Business Process Subject Matter Experts	2	10%	0.2	20%	20%	20%	20%	20%	10%	20%
Employer Audit Process FAO	2	20%	0.4	40%	40%	40%	40%	40%	40%	40%
Employer Audit Business Process Analyst	2	15%	0.3	30%	30%	30%	30%	30%	30%	30%
Employer Audit Business Process Subject Matter Experts	2	10%	0.2	20%	20%	20%	20%	20%	20%	20%
Financial Business Process FAO	3	30%	0.9	50%	50%	80%	50%	50%	80%	80%
Financial Business Process Analyst	1	80%	0.8	50%	50%	80%	50%	50%	80%	80%
Financial Subject Matter Experts	3	10%	0.3	5%	5%	10%	5%	0%	10%	10%
Process Improvement Business Process FAO	1	80%	0.8	80%	80%	80%	80%	80%	80%	80%
Process Improvement Business Process Analyst	1	80%	0.8	80%	80%	80%	80%	80%	80%	80%
Process Improvement Subject Matter Experts	2	5%	0.1	10%	10%	10%	10%	10%	10%	10%
Communications FAO	1	30%	0.3	20%	30%	30%	30%	30%	30%	30%
Communications Analyst	1	30%	0.3	20%	30%	30%	30%	30%	30%	30%
Project Manager	2	50%	1	80%	80%	80%	80%	80%	80%	80%
Solutions Architect	2	40%	0.8	80%	80%	80%	80%	80%	80%	80%
Information Technology Support	10	30%	3	30%	30%	30%	30%	30%	30%	30%

2.4.5 - CTPF Schedule Considerations

CTPF staff work on a flexible schedule for a total of 35 hours per week. Meetings must be held between the hours of 9:30 AM and 3:30 PM to accommodate the flexible staff schedules. All group meetings should be scheduled on Tuesday – Thursday. Individual meetings may be scheduled outside the parameters above if the individuals mutually agree in advance to meet outside the guidelines above. Meetings via conference call should also follow the guidelines above.

The conclusion of one school year and the beginning of a new school year generates an increased workload on all CTPF personnel. CTPF experiences the bulk of teacher retirement applications as the school year comes to an end. Conversely, the beginning of a new school year also represents and increased workload as employers onboard new teachers/staff. This increased workload equates to less staff availability for work not directly related to the administration of pensions or support of members/employers. CTPF asks that vendors keep this peak work period of July 1 through September 30 in mind as project plans are developed and implementation dates are proposed. Additionally, calendar year-end is busy for several members of the benefits and finance teams with AAI and tax reporting (1099) requirements.

3.0 Bidder Qualifications

This section provides specific direction regarding Bidder response and instructions to guide the preparation of responses.

3.1 – Bidder Qualifications Proposal Section Format

This section outlines how the Bidder should format their qualification proposal in response to this RFP.

3.1.1 – Response Format

General proposal formatting requirements from Section 1.4 – RFP Instructions of this RFP shall also apply to this section.

Failure to follow these formatting requirements may result in the disqualification of the proposal.

3.2 – Company Information

Bidder shall provide information regarding their organization, history, total number of staff, locations, and strategic partnerships.

3.2.1 – Company Overview

The Bidder shall provide a general company overview. The Bidder shall limit the response to two (2) pages.

3.2.2 – Company Uniqueness

The Bidder shall provide a discussion as to what unique qualifications their company possesses setting them apart from other pension system implementation companies. The Bidder shall limit the discussion to two (2) pages.

3.2.3 – Company Background, Qualifications, and Experience

The Bidder shall provide a concise response to the following requests.

a. Briefly describe Bidder's background, history, and ownership structure, including any parent, affiliated or subsidiary company, and any business partners. The company must be regularly established in the industry of providing the services outlined in Section III. Scope of Work and have experienced personnel able to provide the required services. CTPF may request information substantiating the above requirements. Failure to provide this information may result in a Bidder's proposal being declared non-responsive.
b. Provide the size of the Company including number of offices and number of full-time employees. Identify the key personnel proposed for the CTPF engagement, emphasizing specific experience on contracts similar in scope to the requirements of this RFP. Describe his or her position, current responsibilities, areas of expertise, experience, education, professional designations, and memberships. Include details regarding the proposed management of the personnel who would be assigned to the

CTPF engagement. CTPF expects a reasonable notice of key personnel being removed from the engagement and reserves the right to approve the replacement of key personnel.

c. Provide the number of years that the Company and any identified individuals have been providing the services requested in this RFP.
d. Provide details on your Company's employee benefit industry experience/expertise.
e. Indicate the number and nature of part-time professional staff to be employed in this engagement.
f. Will your Company use outside contractors (subcontractors) for this engagement? If so, what confidentiality agreement is in place to protect sensitive information from disclosure? What allocation of the scope of services will be assigned to outside contractors (subcontractors)?
g. Indicate Bidder's due diligence process in hiring, evaluating, and monitoring its staff and contractors, as applicable.
h. List any known professional or personal relationships Bidder or its employees or contractors may have with individual CTPF Board members, Fund staff, Fund Consultants and service providers.
i. Identify any potential or actual conflicts of interest you have in providing services to CTPF. State whether you have ever provided services to CTPF, the City of Chicago, the Chicago Board of Education ("Chicago Public Schools" or "CPS"), the Chicago Teachers' Union ("CTU"), the Retired Teachers' Association of Chicago ("RTAC"), the Chicago Principals and Administrators Association ("CPAA"), any Chicago Charter school, or any employee group or trade organization related to the aforementioned entities. If so, please state the name of each such client or former client, contact information, and the nature and time frame of such representation. In providing such information you consent to and agree to release CTPF from any liability that may result from contacting such client(s) and communicating with such client(s) about your prior engagements, and soliciting an opinion regarding the work performed for such reference. In addition, please state how you intend to resolve any potential or actual conflict of interest.
j. Identify all public sector or ERISA fund clients who have terminated their working relationship with you in the past five (5) years and provide a brief statement of the reason(s) for the termination. Provide each client's contact information. You consent to and hereby release CTPF from any liability that may arise from contacting your former client(s) and communicating with them about the work you performed and the reason for your termination.

3.2.4 – Insurance, Liability, Confidentiality, and Litigation

The Bidder shall provide a concise response to the following requests.

a. What assurances can you provide that your Company will not be subject to cyber-attacks? Describe security and protection measures and provide copies of any and all related policies.
b. Describe your expected response time to notify us if a cyber-attack or security breach should occur and the actions you would take to mitigate damages.
c. Please describe the levels of your professional liability insurance coverage for client security breaches (cyber risk) and any fiduciary or professional liability insurance your Company carries. Is the coverage on a per client basis or is the dollar figure applied to the Company as a whole? List the insurance carriers.
d. What limitation on liability, if any, do you seek to impose through your contract?
e. Are you bonded?

f. Does coverage for liability, due to your negligence, continue for a period following termination of the contract? If so, for how long?
g. Identify the amount, type of coverage, deductible, and any coinsurance.
h. It is expected that the selected company will have adequate quality control procedures in place to guarantee the accuracy of the work performed. Please describe your quality assurance procedures.
i. Provide the last 2 years of SOC 1 and SOC 2 type II reports or respond with N/A if you do not have such reports.
j. What is the organization's policy on confidentiality during and after the engagement?
k. Has your Company ever been involved in a lawsuit in the last ten (10) years involving any services provided by the Company? If so, provide details, including description of the lawsuit, dates, and outcomes including any filed claims that were settled without litigation.
l. Has your Company, related entities, affiliates, principals, and/or officers been a party in any material civil or criminal litigation, or subject to investigation, disciplinary action, or regulatory review, whether or not directly related to services requested by this RFP? If so, provide details, including dates and outcomes.
m. Describe any anticipated litigation in which your Company may be involved.

3.2.5 – Required Disclosures

All Bidders must provide answers to each written disclosure requested below in categories (i) through (ix) as part of their RFP response. Note that VIII(J)(a)(vi) below requires completion of the EEOC chart attachment to this RFP. **Failure to provide answers to each disclosure question or failure to provide the completed EEOC chart may cause your proposal to be deemed non-responsive.** Bidders should use "none" or "not applicable" as appropriate, but a response **must** be provided for each disclosure category below. Your disclosures must be clearly labeled as "J. Required Disclosures."

(i) The Bidder must disclose, labeling each category, separately: (a) any entity that is a parent of, or owns a controlling interest in, the Bidder, (b) any entity that is a subsidiary of, or in which a controlling interest is owned by, the Bidder, (c) any persons or entities who have an ownership or distributive income share in the Bidder that is in excess of seven and one-half percent (7.5%), and (d) any persons who serve as executive officers of the Bidder, including their titles.

(ii) The Bidder must disclose, separately: (a) any direct or indirect payments in excess of $1,000 per calendar year within the prior five (5) calendar years made to any community or not-for-profit organization relating to public education by: (i) the Bidder, (ii) any executive officer of the Bidder, (iii) any parent entity of the Bidder, (iv) the executive officers of any entity that is a parent of, or owns a controlling interest in, the Bidder, and (v) any Shareholder of Bidder with ownership or a distributive income share in the Bidder that is in excess of seven and one-half percent (7.5%); (b) any formal involvement with any community or not-for-profit organization relating to public education by any person or entity identified in (a) above; and (c) any involvement as a member or director of a charter school that contributes to the Fund of any person or entity identified in (a) above. For purposes of this Section VIII(J)(a)(ii) and (iii), "Shareholder" shall mean any person who has an ownership or distributive income share in the Bidder.

(iii) The Bidder must disclose if: (a)(i)any executive officer of the Bidder, (ii) any parent entity, (iii) the executive officers of any entity that is a parent of, or owns a controlling interest in, the Bidder, and (iv) any Shareholder of the Bidder with ownership or a distributive income share in the Bidder that is in excess of seven and one-half percent (7.5%) has given any direct or indirect financial support in excess of $1,000 per calendar year within the prior five (5) calendar years or (b) whether the persons or entities identified in (a) above have had any formal involvement within the prior five (5) calendar years with a community or not-for-profit organization with a central purpose of influencing public policy related to budgetary and fiscal policy which directly or indirectly relates to the continued availability and long-term viability of defined benefit pensions in the public sector, to education policy, or to retirement security policy.

For the purposes of this disclosure, an organization has the “central purpose” of influencing policy if it is understood with the exercise of reasonable due diligence, including but not limited to the examination of the organization’s IRS filings and other publicly available statements of purpose, that the organization intends to affect policy or engage in lobbying or other advocacy activity. A Bidder is not required to disclose contributions to organizations that engage in such activities in furtherance of providing medical research, aid to the poor, disaster relief, or other such tangible goods or service. The Trustees have determined that the following organizations presently fall under this required disclosure:

American Enterprise Institute,
American Legislative Exchange Council,
Brookings Institution,
California Common Sense,
California Policy Center,
Civic Committee of the Commercial Club,
Heritage Foundation,
Howard Jarvis Taxpayers Association,
Illinois Municipal League,
Illinois Policy Institute,
Independent Institute,
Jessie Ball DuPont Fund,
Laura and John Arnold Foundation,
Mackinac Center for Public Policy,
Manhattan Institute for Policy Research,
Massachusetts Taxpayers Foundation,
Mercatus Center at George Mason University,
National Council on Teacher Quality,
National Institute for Labor Relations Research,
Nelson Rockefeller Institute of Government,
National Taxpayers United of Illinois,
Pioneer Institute,
R Street Institute,
Reason Foundation,
Show Me Institute,
State Policy Network,
StudentsFirst,
Taxpayers for Sustainable Pensions,

Taxpayers United of America,
Teacherspensions.org,
Texas Public Policy Foundation,
The Future of Freedom of Foundation,
The Pew Charitable Trust,
UnionWatch,
Urban Institute,
Wyoming Liberty Group, and
Any state or local affiliates or chapters of the above organizations.

(iv) The Bidder and any parent, controlling entity, subsidiary, or affiliate must disclose any direct or indirect financial relationships, transactions, or consulting agreements with the Chicago Board of Education entered into within the prior five (5) calendar years. Any such direct or indirect financial relationships, transactions, consulting agreements, or consulting-related contracts with the Chicago Board of Education entered into on or after the execution of an agreement shall be identified in an amended Bidder Disclosure within thirty (30) calendar days of any new relationship, transaction, investment, agreement, or contract with the Chicago Board of Education.

(v) The Bidder must disclose the names and addresses of any subcontractors and the expected amount and/or percentage of money each will receive under the agreement if authorized by the Fund.

(vi) The total number of Bidder's staff. The number of Bidder's staff and percentage of its staff, broken out separately for each category, who are (1) a minority person, (2) a female, or (3) a person with a disability. This information must be provided using the EEOC chart available on CTPF's website. Supplemental information to the EEOC chart is welcome. The required chart is in the same directory as this RFP.

(vii) The number of current contracts that the Bidder has with a (1) minority owned business, (2) female owned business, or (3) business owned by a person with a disability.

(viii) The number of current contracts that the Bidder has with a business other than (1) a minority owned business, (2) a female owned business, or (3) a business owned by a person with a disability, under which, while the business is not owned by one of the above categories, where more than fifty percent (50%) of services performed pursuant to the contract are performed by (1) a minority person, (2) a female, or (3) a person with a disability.

(ix) The Bidder shall agree to disclose annually various EEO data and diversity of vendor's contracts as required by the Fund.

3.3 – Company Financials

Bidder shall provide their company financials.

3.3.1 – Company Financials

The Bidder shall provide financial statements: income statements, balance sheets, and cash flow statements for the most recent three (3) years. If not specifically stated in the previously requested documents, the Bidder shall state which percent of their revenue and profits are attributed only to pension system implementations where the Bidder was the prime contractor.

3.3.2 – Illinois Certificate of Good Standing

The Bidder shall provide a Certificate of Good Standing from the State of Illinois, Secretary of State.

3.3.3 – Dunn and Bradstreet Report

The Bidder shall provide a copy of their current Comprehensive Insight Plus Report from Dunn and Bradstreet.

3.4 – Retirement Clients

Bidder shall provide a list of all public retirement agencies where they have performed services of any kind.

3.4.1 – Retirement Clients

Agency Name:	<name of the agency>
Project Name:	<name of the project>
Project Start Date:	<date that Bidder began working on the project>
Project End Date:	<date the Bidder finished working on the project or is planning on finishing work on the project>
Project Costs:	<description of the costs of the project>
Project Objectives:	<description of the objectives of the project including major subsystems outside standard LOB, such as workflow, accounting package, data warehouse>
System implemented:	<description, including version of LOB software implemented, if not core COTS or framework solution put down custom>
Bidder's Role:	<describe the Bidder's role on the project>

3.5 – References

Bidder shall provide reference information for three clients that are of similar size to CTPF.

3.5.1 – Reference Information

Agency Name:	<name of the agency>
Project Name:	<name of the project>
Project Contact Person:	<full name and title of the reference contact person that has firsthand knowledge of Bidder's performance on the project>
Project Phone Number:	<work phone number of the reference contact person>
Contact Email Address:	<work email address of the contact person>

Contact Person's Role:	<provide information on the contact person's role on the project including length of time on the project>
Project Start Date:	<date that Bidder began working on the project>
Project End Date:	<date the Bidder finished working on the project or is planning on finishing work on the project>
Project Cost:	<total cost of the project, including Bidder invoices, other vendor invoices, software licenses and hardware purchases>
Project Objectives:	<description of the objectives of the project>
Project Outcomes:	<description of the project outcomes – did the project achieve its objectives?>
Project Changes:	<description of any significant changes to scope, schedule, cost or quality that occurred during the Bidder's work on the project>

3.6 – Product Information

Bidder shall provide general information about their product.

3.6.1 – Product Information

The Bidder shall provide a discussion of their pension administration system: when they released the current version of the product, the base components, the basic concept or philosophy of the architecture, the unique qualifications of their product that set it apart from other systems. The Bidder shall limit the discussion to four (4) pages.

3.6.2 – Product Look and Feel

CTPF is interested in obtaining a system that provides a look and feel designed from the business user's point of view. Therefore, the Bidder shall provide a description of their process for a benefit estimate and the individual screens the staff uses to complete the process.

Additionally, Bidder shall provide examples of how the user interface can be configured to meet a user's specific usability needs and the Bidder's approach to accessibility.

3.6.3 – Product Future Direction

Bidder shall provide a description of the future direction of their product. Include a description as to how this functionality, feature, or technology is a benefit to a retirement agency. How would Bidder integrate future product functionality with the agency's installed version of the Bidder's product?

3.7 – Methodology

The Bidder shall provide an overview of the project management methodology, system development methodology (including all phases of testing), and code management methodology they intend to use on this project.

3.7.1 – Project Management Methodology Overview

The Bidder shall provide a description of the methodology they intend to use to manage the implementation of their solution.

3.7.2 – Project Management Methodology Deliverables, Templates, and Tools

The Bidder shall disclose a comprehensive and complete list of project management deliverables, their purpose, and approximate timeline showing delivery. For each deliverable, the Bidder shall provide the template(s) they intend to use. The Bidder shall describe the tool(s) they intend to use to support this process.

The Bidder shall also include responses to the following questions:

a. What reports will Bidder supply to monitor the deliverables process?
b. How will the Bidder report project status and at what frequency?
c. How will the Bidder identify risks, actions, and decisions?
d. How will Bidder resolve conflicts in the deliverables process?

3.7.3 – System Development Methodology Overview

The Bidder shall provide a description of the methodology they intend to use to fully develop and test their proposed solution.

3.7.4 – System Development Methodology Deliverables, Templates, and Tools

The Bidder shall disclose a comprehensive and complete list of its system development methodology deliverables, their purpose, and generally, when the Bidder produces the deliverables. For each deliverable, the Bidder shall provide the template(s) they intend to use. The Bidder shall describe the tool(s) they intend to use to support this process and discuss how these tools may be utilized by CTPF after the project is complete.

3.7.5 – Code Management Methodology Overview

The Bidder shall provide a description of the methodology they intend to use to manage code and successfully deploy releases of any kind. The Bidder shall describe how knowledge about this process will be transferred to CTPF.

3.7.6 – Code Management Methodology Deliverables, Templates, and Tools

The Bidder shall disclose a comprehensive and complete list of its code management deliverables, their purpose, and generally, when the Bidder produces the deliverables. For each deliverable, the Bidder shall provide the template(s) they intend to use. The Bidder shall describe the tool(s) they intend to use to support this process.

3.7.7 – Change Control Methodology Overview

The Bidder shall provide a detailed description of the methodology they intend to use to manage scope changes requested by CTPF. Scope changes may encompass changes to in-scope work, out-of-scope work, reduced scope, changes in technology and regulatory change.

3.7.8 – Change Control Methodology Deliverables, Templates, and Tools

The Bidder shall disclose a comprehensive and complete list of its change control deliverables, their purpose, and generally, when the Bidder produces the deliverables. For each deliverable, the Bidder shall provide the template(s) they intend to use. The Bidder shall describe the tool(s) they intend to use to support this process. Additionally, the Bidder shall describe how the impact to project schedule and cost due to out-of-scope changes are reported.

3.8 – Bidder's Responsibility

Bidder shall acknowledge their responsibility on the project.

3.8.1 – Bidder Acknowledgement

The Bidder shall acknowledge that CTPF is a small agency with limited resources and experience in new technologies and large system implementation. Therefore, CTPF is outsourcing the implementation of their new pension administration system. CTPF defines outsourcing as, "the Bidder is responsible for all aspects of the implementation, support, training, and maintenance of their solution unless otherwise stated by CTPF." The Bidder shall acknowledge it will provide SOC reports as requested by CTPF during the duration of this project.

3.9 – Project Team

The Bidder shall provide a description of the entire project team, the name of the project's key resources and their resumes. CTPF understands that Bidders often use project staff to support their company business. Therefore, the Bidder shall state the percentage of each team member's time the Bidder is dedicating to this project.

3.9.1 – Project Team

The Bidder shall provide an organizational chart of the project team. The organizational chart shall show each team member's name, role, responsibilities, percentage of time dedicated to CTPF, and the percentage of time and typical schedule when they expect to be on site at CTPF. All subcontractors shall also be named, indicating their role, responsibilities, percentage of time dedicated to CTPF, and the percentage of time and typical schedule when they expect to be on site at CTPF. A subcontractor is any person or entity that is not a direct employee of the Bidder.

Bidder staff must have strong verbal and written communication skills. The Bidder may use limited offshore resources for certain development and coding activities, but shall have no access to any personal CTPF member data. All offshore resources must be transparent to and approved by CTPF. At no time shall CTPF interface with offshore staff.

3.9.2 – Resumes

The Bidder shall provide the resumes of the key personnel, namely, Account Manager, Development Manager, Solutions Architect, Testing Manager, and key Business Analysts. Bidder shall identify if any of these individuals are subcontractors. CTPF expects that these individuals shall have experience in the public retirement industry with the proposed solution. CTPF requests personnel references for the provided resumes as well as confirmation the individual will be assigned to CTPF' project through final implementation. The personnel references should include two (2) to three (3) references including where they received their pension experience and most recent project. Any replacements of Key Personnel on the project shall be discussed and approved by CTPF.

3.9.3 – Participation in Orals and Proof of Concept

If the Bidder is selected as a finalist, the Bidder shall have the Account Manager, Solutions Architect, Testing Manager, Development Manager and key Business Analyst(s) present their proposal as requested and conduct the Proof of Concept as described in Section 1.6 RFP Evaluation Criteria.

3.10 – Bidder's Implementation Schedule

The Bidder shall provide an implementation strategy and schedule model.

3.10.1 – Project Implementation Strategy

The Bidder is free to propose an implementation strategy it believes best ensures the success of the project. The Bidder shall provide justification to support its proposed strategy.

3.10.2 – Implementation Schedule

The Bidder shall provide the implementation schedule for the project and their best-case start date. The Bidder shall create separate, independent schedules for the technical infrastructure implementation, data conversion and bridging, employer reporting, optional functionality, and the development of the LOB functionality. Utilizing Section 2.4.4 Project 125 – Project Team the Bidder will need to acknowledge they have considered that availability in their proposed schedule.

4.0 Project Commitments

4.1 – Project Commitments Proposal Section Format

This section defines the format the Bidder shall use to respond to Sections 4.2 - 4.9 of the RFP.

4.1.1 – Proposal Section Format

General proposal formatting requirements from Section 1.4 – RFP Instructions of this RFP shall also apply to this section.

Using the format in the following table, the Bidder shall respond to **each** commitment (mandatory and optional) found in this RFP unless included in Section 4.7 – Bidder's Exceptions.

Failure to follow these formatting requirements may result in the disqualification of the proposal.

Mandatory Commitments

The Bidder must agree to satisfy the mandatory commitments by entering "Yes" in the appropriate Response column and provide additional information as to how the commitment will be met. If the Bidder does not agree to satisfy any of the mandatory commitments, it may result in the rejection of the Bidder's proposal.

The Bidder must identify in the appropriate column if the current base COTS PAS solution being bid on:

- **Fully Satisfies** – This box should be marked "Yes" if the Bidder's proposal does not require any changes to the current base COTS PAS solution.
- **Partially Satisfies** – This box should be marked "Yes" if the Bidder's proposal requires some minor new development or simple customization to the current base COTS PAS solution.
- **Needs to Be Added** – This box should be marked "Yes" if the Bidder's proposal requires major customization or all new development to the current base COTS PAS solution.
- **Exceptions** – This box should be marked "Yes" if the Bidder 'takes exception to' or will not satisfy for any reason.

Optional Commitments

The Bidder must respond to the optional commitments by entering "Yes" in the "Response" column and providing additional information for how the commitment is met or document the exception in Section 4.7 – Bidder's Exceptions.

The Bidder must identify in the appropriate column if the current base COTS PAS solution being bid on:

- **Fully Satisfies –** This box should be marked "Yes" if the Bidder's proposal does not require any changes to the current base COTS PAS solution.

- **Partially Satisfies** – This box should be marked "Yes" if the Bidder's proposal requires some minor new development or simple customization to the current base COTS PAS solution.
- **Needs to Be Added** – This box should be marked "Yes" if the Bidder's proposal requires major customization or all new development to the current base COTS PAS solution.
- **Exceptions** – This box should be marked "Yes" if the Bidder 'takes exception to' or will not satisfy for any reason.

<u>The Bidder must also provide a not to exceed amount for each Optional Commitment in their Cost Proposal. See Section 5.0 – Cost Proposal for the instructions on how to enter them into that section.</u>

4.2 – Functional Commitments

This section specifies the CTPF functional commitments for the Bidder's proposed solution. The Bidder shall indicate any commitments that they 'take exception to' or will not satisfy for any reason. If the Bidder takes exception, then they must enter the exception explanation in the Bidder's Exception table provided in Section 4.7.1. If the Bidder takes no exception to a requirement, then the Bidder agrees to satisfy completely the requirement.

4.2.1 – General Line of Business

The Commitments stated in this section pertain to CTPF's general PAS functionality are applicable to all functional areas and the solution as a whole.

Functional Area: General Line of Business			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall implement a system to handle all of the current core retirement functionality in order to perform day-to-day business as defined in the Illinois Pension Code, other applicable laws, and CTPF's Administrative Rules and Policies. These provisions will be described in detail during the requirement gathering sessions and documented. (See Appendix)	Mandatory				
2	Shall provide functionality for all tiers and plans administered by CTPF	Mandatory				
3	Shall apply CTPF's business rules prior to saving transactions and records	Mandatory				
4	Shall generate a unique CTPF ID number (Database (Entity ID)) to identify all persons and entities who have relationships with CTPF (e.g., member, non-member)	Mandatory				
5	Shall generate a unique Member ID number to identify all members who have relationships with CTPF	Mandatory				
6	Shall provide the ability to establish and maintain organizations (e.g., banks, gov't agencies, vendors, reporting entities, etc.)	Mandatory				
7	Shall enable data associated with two or more member/employers/organizations to be merged into a single record, based on an effective date in order to maintain history	Mandatory				
8	Shall provide the ability to notify the employer, TPA(s), and member when SSNs are merged	Mandatory				
9	Shall provide the ability to enable data associated with one member/employer/organization to be split into two or more records (e.g., charter holder with multiple schools/pay calendars), based on an effective date in order to maintain history	Mandatory				
10	Shall provide the ability to capture, maintain, and display effective dates on all transactions and data, including the ability to inquire and view data based on a specific effective date	Mandatory				
11	Shall process retroactive transactions using data (e.g., rates, rules, table values) then in effect	Mandatory				
12	Shall provide the ability for CTPF to enter interest rates with corresponding date ranges	Mandatory				

Functional Area: General Line of Business			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
13	Shall provide the ability to maintain multiple interest rates for the same date range	Mandatory				
14	Shall use a single code source for calculations that are reused within the system for ease of maintenance	Mandatory				
15	Shall provide the appropriate real-time screen edits and validations to ensure accuracy of data being entered	Mandatory				
16	Shall identify as part of account creation duplicate names with the same or similar SSN and/or date of birth for staff review/validation	Mandatory				
17	Shall provide the ability to notify the member if verification of SSN and/or date of birth are needed	Mandatory				
18	Shall provide the ability to prevent entry of a record if date of birth indicates a person may be too young or too old for their status, based on CTPF rules	Mandatory				
19	Shall permit transactions (online and internal) while a batch job(s) (e.g., pension payroll, CPS wage files, member statements, etc.) runs in the background	Mandatory				
20	Shall provide the ability to perform all processing real-time, while also providing the capability of batch processing	Mandatory				
21	Shall provide scheduling software that allows users to schedule one or more jobs	Mandatory				
22	Shall allow demographic information to be updated from wherever it can be viewed, by user role	Mandatory				
23	Shall provide the ability to capture and maintain all address types (e.g., e-mail address, multiple mailing addresses (both domestic and foreign), bank address, electronic transfer address (routing number), power-of-attorney address, temporary addresses (with effective dates), beneficiary address, payment addresses and alternate contact address that are date sensitive).	Mandatory				
24	Shall enforce edits on addresses utilizing an address software package that the Bidder will supply and integrate to as part of their solution	Mandatory				
25	Shall provide the ability to flag a person's address as invalid (e.g., USPS, email)	Mandatory				
26	Shall provide the ability to override the address software package update and persist the override.	Mandatory				
27	Shall provide the ability to sort addresses for mass mailings by any address element(s)	Mandatory				

Functional Area: General Line of Business			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
28	Shall allow multiple addresses per person/organization	Mandatory				
29	Shall allow multiple email addresses, phone and fax numbers for each person/organization	Mandatory				
30	Shall provide the ability for any user, internal or external (self-service), to set their preferred method of communication per communication type (e.g., email, text, paper)	Mandatory				
31	Shall require the existence of a valid mailing address not withstanding a preferred communication type	Mandatory				
32	Shall provide the ability to automatically produce letters to old and new addresses whenever an address is changed by a member or by CTPF	Mandatory				
33	Shall provide the ability to automatically send an email to the old and new email address when an email address is changed for a person/organization	Mandatory				
34	Shall provide the ability for CTPF branding on all messaging (e.g., email, letters, web self-service, etc.)	Mandatory				
35	Shall provide the ability to send targeted communications via email, letter, web self-service, text etc. to certain demographic/functional groups (e.g., members, pension reps, principals, etc.)	Mandatory				
36	Shall provide the ability to capture future effective date changes (e.g., address, tax withholdings (federal or state), temporary residents, etc.)	Mandatory				
37	Shall provide the ability to accept beneficiary information without a SSN	Mandatory				
38	Shall capture unlimited primary and secondary beneficiaries for each eligible account belonging to a member, in accordance with CTPF's business rules	Mandatory				
39	Shall ensure that the allocated % to the beneficiaries equals 100% (including decimals)	Mandatory				
40	Shall provide the ability to send notification that a designation of beneficiary has not been received after x days (parameter to be defined by CTPF) with continuous notification at intervals of x days (parameter to be defined by CTPF), until a designation is received	Mandatory				
41	Shall provide the ability to name and set up other entities (e.g., Guardian, Trust, Estate, Charity) as beneficiaries, in accordance with CTPF's business rules	Mandatory				
42	Shall provide the ability to perform an edit to ensure that a secondary beneficiary cannot also be a primary beneficiary and vice versa or themselves	Mandatory				

Functional Area: General Line of Business			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
43	Shall provide the ability to ensure that a secondary beneficiary cannot be added unless a primary beneficiary has already been added	Mandatory				
44	Shall provide the ability to restrict a person from adding or changing the beneficiary for any benefit, based on user role and/or options selected (e.g., person may not be able to make a decision to change/add beneficiary because the person may be dead or mentally incapacitated)	Mandatory				
45	Shall provide the ability to keep the history of previous beneficiary information in the event a member becomes reemployed	Mandatory				
46	Shall provide the ability to automatically send beneficiary form to member/contact/route to self-service following notification of a life-changing event (e.g., marriage, divorce, death)	Mandatory				
47	Shall capture and maintain start/end dates of marital status, and spouse name	Mandatory				
48	Shall provide the ability to process other legal relationships with start/end dates	Mandatory				
49	Shall provide the ability to have multiple contacts for a member, employer or other entity (e.g., bank, other institute, beneficiary, legal counsel, etc.)	Mandatory				
50	Shall provide the ability to store detailed account information for individuals who aren't members (e.g., employers, vendors)	Mandatory				
51	Shall provide a view of a member's account with a given as-of date	Mandatory				
52	Shall provide the ability to search by name (combination of, wildcard, etc.), SSN, CTPF ID, CPS ID, any Demographic info, Employer, Phone Number, etc. to find a person's record	Mandatory				
53	Shall provide the ability to search employer by name (combination of, wildcard, etc.), Employer ID, etc. to find an employer's record	Mandatory				
54	Shall provide the ability to configure search capabilities by user role, allowing certain users the ability to perform more exhaustive searches	Mandatory				
55	Shall cross reference any other account that a name, SSN or CTPF ID may be associated with	Mandatory				
56	Shall provide a view of all accounts associated with a name, SSN or CTPF ID (parameter)	Mandatory				
57	Shall provide a view of all accounts per member for selected employer (parameter)	Mandatory				

Functional Area: General Line of Business			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
58	Shall provide the ability to select and view flagged accounts based on parameter entered by CTPF (e.g., reason type, bad address, locked, type of adjustment, QILDRO, etc.)	Mandatory				
59	Shall retain the search criteria that was previously entered or provide a means to clear it out	Mandatory				
60	Shall enable a quick search, so if the result set is large the solution should bring back the first set (e.g., 10, 20, 50) and then allow the user to go to the next set and so on	Mandatory				
61	Shall allow CTPF to enter and set default values for fields that are parameter-driven (e.g., dropdown/choice boxes)	Mandatory				
62	Shall provide the ability for CTPF to maintain parameter value tables, including effective start and end dates	Mandatory				
63	Shall provide the ability for CTPF to view all the historical parameter table values	Mandatory				
64	Shall utilize descriptions and codes when displaying data except when otherwise directed by CTPF	Mandatory				
65	Shall provide a unique name or identifier for every view in the system	Mandatory				
66	Shall pre-populate key data based upon entry of identifying information (e.g., system shall automatically display last name, first name, address, phone, and member ID, which correspond to SSN entered by user)	Mandatory				
67	Shall provide the ability for real-time validations (e.g., screens, fields, SSN validation, etc.) to prompt (e.g., pop-up, error, etc.) user of impact of actions and decisions being made (e.g., retirement eligible if withdrawing account)	Mandatory				
68	Shall provide the ability for users to acknowledge system messaging/notifications allowing the user to continue and logging the user's acknowledgement	Mandatory				
69	Shall provide the ability to confirm transaction(s) before changes are saved on a user-by-user basis (e.g., confirmation button)	Mandatory				
70	Shall provide electronic procedure manuals, including screen shots where appropriate, for each functional area	Mandatory				
71	Shall provide on-line help for all views and fields on the view	Mandatory				
72	Shall provide the ability for CTPF to track all interactions with any person/organization, via notes, using preformatted acronyms, questions, answers, standard values/codes, free form text and type of contact as defined by CTPF (e.g., call, email, in person, chat, etc.)	Mandatory				

Functional Area: General Line of Business			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
73	Shall provide the ability to enable notes to be viewable based on user role, other parameters (e.g., department)	Mandatory				
74	Shall provide the ability to require some notes to be read and acknowledged (internal and self-service) (CTPF to define rules for who should read them and what must be read) (e.g., acknowledging terms/conditions before proceeding further, high priority note, etc.)	Mandatory				
75	Shall allow CTPF to set importance (e.g., info only, critical, alert, etc.) for each note that is entered for a member/organization	Mandatory				
76	Shall provide the ability to automatically fill in user-id, username, date and time stamp for notes	Mandatory				
77	Shall provide the ability to enable notes to be unlimited in length	Mandatory				
78	Shall provide the ability for CTPF staff to search and sort notes using criteria defined by CTPF (e.g., word, phrase, category, date, contact category, user-id, username, etc.)	Mandatory				
79	Shall provide the ability to create/manage default/predefined notes and the ability to apply these notes to a group of accounts at the same time.	Mandatory				
80	Shall provide the ability to append new notes to existing notes based on user role	Mandatory				
81	Shall provide an audit trail for all notes activity in an easily searchable format within the system	Mandatory				
82	Shall provide the ability to limit role-based ability to delete or modify a previous note	Mandatory				
83	Shall provide the ability to link images, documents, etc. to notes	Mandatory				
84	Shall interface with peripheral devices used by CTPF (e.g., printers, scanners)	Mandatory				
85	Shall provide the ability to integrate with CTPF's automated print/mail fulfillment center.	Mandatory				
86	Shall print documents to selected printers (e.g., local, fulfillment) based on a default setting or have the options to change default printer.	Mandatory				
87	Shall integrate with MS Word, MS Excel and other applications defined by CTPF for the updating, viewing, generating and reporting on system data	Mandatory				
88	Shall produce a file in standard formats (e.g., .pdf, .xls, .csv, txt, .xml) from any view in the LOB system	Mandatory				

Functional Area: General Line of Business			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
89	Shall provide the ability to automatically store and index with appropriate metadata (e.g., userid, timestamp, document properties, etc.) any output generated and sent to the member, in the member's record	Mandatory				
90	Shall provide the ability to print CTPF defined watermarks on various types of outputted correspondence	Mandatory				
91	Shall provide all of the functionality and information contained in the current CTPF reports, queries, letters, forms, and exports (See Appendix)	Mandatory				
92	Shall generate views for all current CTPF reports and queries as needed with the new LOB system	Mandatory				
93	Shall provide the ability to create and save user generated reports (ad-hoc reporting) in the LOB system	Mandatory				
94	Shall provide the ability to run report(s) on a recurring basis	Mandatory				
95	Shall provide the ability to generate a formatted report from any view in the LOB system	Mandatory				
96	Shall support the development of parameter driven reports in the line of business application, where the report variables and format are pre-defined and certain values are selected (or required) by the user at the time the report is generated	Mandatory				
97	Shall provide that ability to add new custom views to the report menu for easy access	Mandatory				
98	Shall provide the ability to view requested output on the screen prior to printing	Mandatory				
99	Shall provide the ability to select one or more reports for printing on demand	Mandatory				
100	Shall include detailed metadata on all reports (e.g., Detailed heading information, program that generates the report, unique name for the report, user who generated, parameters used to generate the report, and the date of the running of the report)	Mandatory				
101	Shall generate all current CTPF forms and letters as defined for the new LOB solution (See Appendix)	Mandatory				
102	Shall have the ability to either print a blank or pre-filled form based on a parameter(s) defined by CTPF	Mandatory				
103	Shall provide the ability for CTPF staff to modify forms and letter/form (template) text without programming, based on user role	Mandatory				

Functional Area: General Line of Business			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
104	Shall provide the ability for users to build a letter by selecting predefined paragraphs	Mandatory				
105	Shall provide the ability to prepopulate a letter with LOB data (e.g., mail merge)	Mandatory				
106	Shall by default mask personally identifiable information identified by CTPF (e.g., ***-**, -####) for all outgoing letters, forms, statements, stubs, online views, etc., while providing the ability to disable masking on a field-by-field basis.	Mandatory				
107	Shall provide the ability to send correspondence/notification to one or more people/organizations based upon CTPF-defined parameters (e.g., employer, plan, class, zip code)	Mandatory				
108	Shall provide the ability to update zip codes per USPS supplied info on batch basis (i.e., in the event of zip code changes/splits by the USPS)	Mandatory				
109	Shall generate report of all address changes that resulted from an update (e.g., USPS, NCOA, etc.)	Mandatory				
110	Shall provide the ability to generate mailing labels via mail merge using parameters selected by CTPF (e.g., selected persons/organizations, organization type, employer, address type, reprint of checks, pay advices,1099s, etc.)	Mandatory				
111	Shall provide the ability to send mail only to addresses that are not flagged as invalid USPS address	Mandatory				
112	Shall notify CTPF users of an invalid address when trying to generate any output	Mandatory				
113	Shall provide the ability to select who should receive notifications upon receipt of a Power of Attorney form (e.g., notifications only to POA, only to member, both, a guardianship, trust, estates, etc.)	Mandatory				
114	Shall provide the ability to manage a calendar for business days and holidays (e.g., late notices, penalty interest, job scheduling, weekly lump sum payout, monthly pension close schedule, etc.)	Mandatory				
115	Shall provide the ability for CTPF to enter a freeform text advisory message that is visible to everyone when they log into the LOB system	Mandatory				
116	Shall support Section 508 compliance and the latest WCAG standards (website standards and accessibility guidelines)	Mandatory				
117	Shall provide the ability to adjust font and window sizes	Mandatory				
118	Shall provide the ability to implement language localization for multiple languages	Mandatory				

Functional Area: General Line of Business			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
119	Shall ensure the solution meets or exceeds privacy standards defined by CTPF	Mandatory				
120	Shall provide the ability to integrate and securely share information in real time between the LOB system and other governmental entities and organizations (e.g., Reciprocity, Death Verification services, Health Insurance Vendors, Disability Vendors, State Treasurer, IRS, etc.) as defined by CTPF	Mandatory				
121	Shall notify processor of membership in an Illinois Reciprocal Retirement Program system, as defined by CTPF	Mandatory				
122	Shall provide the ability to create new data exchanges between the LOB system and other governmental entities and organizations	Mandatory				
123	Shall provide the ability to automatically generate follow up notifications according to CTPF business rules (e.g., Missing info, Disability Recertification, etc.)	Mandatory				
124	Shall provide the ability to process payments (e.g., Lump Sum Payroll) on intervals defined by CTPF	Mandatory				
125	Shall provide automated processing, allowing successful transactions to be completed, and transactions that failed or require verification to be processed as exceptions.	Mandatory				
126	Shall provide the ability to generate messaging (e.g., errors, warnings, rejections) when loading data from other retirement systems	Mandatory				
127	Shall log all user activity performed in the LOB system (e.g., logins, tasks performed, data changed, queries performed, reports used, etc.) as defined by CTPF	Mandatory				
128	Shall provide the ability to close audit years in the PAS, as defined by CTPF	Mandatory				
129	Shall automatically create letter/other notification for inactive members with a balance when the address of an inactive member is updated in order to notify them of their options regarding their account, based on CTPF business rules. For example, if they are not vested and not with a reciprocal retirement system, they may want information regarding a possible refund of contributions.	Mandatory				
130	Shall provide the ability to integrate with email validation services to assist in determining if an email address is valid for members, employers, etc.	Mandatory				

4.2.2 – Audit

The Commitments stated in this section pertain to CTPF's audit functionality.

Functional Area: Audit			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall record all updates to data fields with what was updated (a before and after state, easily readable/access), a date/time stamp, device/location data, and the user-id that performed the modification and the user type. The user type identifies either, CTPF staff, employer, member, batch program ID or other to be defined by CTPF on each record that is updated	Mandatory				
2	Shall provide the ability to extract all updated data during a certain timeframe based on CTPF parameters (e.g., changes by a user type - member, CTPF staff, employer etc.)	Mandatory				
3	Shall provide security and internal controls, as well as appropriate segregation of duties, within the solution to allow certain changes to be made only by staff as defined by CTPF	Mandatory				
4	Shall provide a view of historical records by a date range, by transaction type, for an employer, member or user	Mandatory				
5	Shall ensure that records are logically deleted and are logged with historical records as defined by CTPF	Mandatory				
6	Shall provide the ability to mark a member as a restricted account	Mandatory				
7	Shall restrict access to an account marked as restricted, as defined CTPF	Mandatory				
8	Shall provide an advisory warning message for restricted accounts regarding the unauthorized access and the possible consequences of violations	Mandatory				
9	Shall provide a view that shows "x" (percentage or dollar parameter) increase in month-to-month pension with record(s) causing the difference	Mandatory				
10	Shall generate a report of members within a specific employer to be audited based on CTPF defined parameters	Mandatory				
11	Shall have the ability to lock an account for audit purposes	Mandatory				
12	Shall generate a report within a specific month of retirees to be audited based on CTPF defined parameters	Mandatory				
13	Shall generate a report of cost-of-living adjustments to be audited based on CTPF defined parameters	Mandatory				

Functional Area: Audit			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
14	Shall generate a report of beneficiary accounts that were set up during a specific time frame to be audited based on CTPF defined parameters.	Mandatory				
15	Shall provide the ability to generate a report of option reversions that were completed during a specific time frame to be audited based on CTPF defined parameters.	Mandatory				
16	Shall generate a report for a specific timeframe to meet RMD requirements, based on CTPF defined parameters (e.g., CTPF statutes, IRS rules, etc.)	Mandatory				
17	Shall provide the ability to generate standard reports for Board reporting as defined by CTPF (See Appendix)	Mandatory				
18	Shall provide the ability to generate requested reports (e.g., census, agreed upon procedures, etc.) for the purpose of auditing any data changes during a certain timeframe based on CTPF parameters	Mandatory				
19	Shall provide the ability to generate reports (based on a defined threshold) to identify any changes to lump sum payroll and pension payroll based on CTPF parameters (e.g., banking information updates)	Mandatory				
20	Shall provide the ability to generate reports (based on a defined threshold) to identify any changes to vendor payroll based on CTPF parameters (e.g., banking information updates)	Mandatory				
21	Shall provide the ability to generate reports (based on a defined threshold) to identify any changes to health insurance rebates based on CTPF parameters (e.g., banking information updates)	Mandatory				
22	Shall provide the ability to generate a report (by employer) showing employer reporting statistics based on data received	Mandatory				

4.2.3 – Cash Receipts

The Commitments stated in this section pertain to CTPF's cash receipts functionality.

Functional Area: Cash Receipts			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
1	Shall provide the ability to receive and maintain all electronic payments, manual checks, and cash, for all cash receipt types, within the system	Mandatory				
2	Shall provide the ability to view all previous cash receipts	Mandatory				
3	Shall record both member and employer cash receipts details and shall provide roll-ups as defined by CTPF	Mandatory				
4	Shall have the ability to process and maintain installment payments (e.g., service purchase agreement, invoice on payment plan)	Mandatory				
5	Shall validate the service purchase contribution against service purchase agreement	Mandatory				
6	Shall accept qualified incoming rollover payments from financial institutions toward a member’s purchase of service	Mandatory				
7	Shall provide the ability to produce a "Return Funds" letter to a financial institution or member (e.g., amount does not match exactly)	Mandatory				
8	Shall have the ability to manually reconcile cash receipts by payee	Mandatory				
9	Shall have the ability to manually allocate full and partial payment amounts against one or more accounts receivables, or purchases as defined by CTPF	Mandatory				
10	Shall provide the ability to un-post cash receipts that have been incorrectly posted and generate appropriate GL transactions (e.g., overpayments, agreements, etc.)	Mandatory				
11	Shall provide the ability to repost an unposted cash receipts to a different receivable or agreement	Mandatory				
12	Shall have the ability to record that a check wasn't funded, with reason code (e.g., insufficient funds, stop payment, unsigned check, closed account)	Mandatory				
13	Shall automatically create an accounts receivable transaction for any unfunded check	Mandatory				
14	Shall provide the ability to process overpayments for employers or members, based on CTPF's business rules	Mandatory				
15	Shall notify the employer or member when a refund of overpayment is processed/applied	Mandatory				
16	Shall provide the ability to refund a cash receipt to a payee other than the member	Mandatory				
17	Shall have the ability to enter all receipt and deposit details (e.g., receipt number, amount, date, owner, notes, etc.)	Mandatory				
18	Shall create detailed deposit document(s)	Mandatory				

Functional Area: Cash Receipts			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
19	Shall provide the ability to default the cash receipt transaction date (e.g., today's date), and allow for it to be overridden	Mandatory				
20	Shall provide the ability to record cash receipts into the appropriate funds and accounts (e.g., pre-tax and post-tax)	Mandatory				
21	Shall track all tax-deferred payments for the purchase of service (e.g., taxable contributions, rollover)	Mandatory				
22	Shall import a file from the bank(s) containing recent transactions and balances including all deposits regardless of method (e.g., teller, ACH, wire transfer) as well as check status (e.g., cleared, suspended, open)	Mandatory				
23	Shall ensure that funds already recorded for a given entity, for a specific time period cannot be re-entered (e.g., ACH file) as defined by CTPF	Mandatory				
24	Shall provide reconciliation reports and views for all cash receipts as defined by CTPF	Mandatory				
25	Shall provide the ability to automatically and manually apply interest or penalty to a past due invoice based on parameters entered by CTPF (e.g., number of business days late, interest amount, or percentage)	Mandatory				
26	Shall provide the ability to waive a penalty or interest	Mandatory				
27	Shall provide the ability to launch a workflow requesting secondary approval to waive a penalty	Mandatory				
28	Shall provide the ability to launch a workflow requesting secondary approval for manually added penalties or interest	Mandatory				
29	Shall provide a view showing delinquent account receivables and penalties based on a number of days late (parameter to be defined by CTPF)	Mandatory				
30	Shall produce a view that lists employers who are delinquent in the payment of contributions, including an aging of delinquencies, as defined by CTPF (parameter for the aging criteria)	Mandatory				
31	Shall provide the ability to notify of an overpayment after x days (parameter to be defined by CTPF)	Mandatory				
32	Shall automatically provide different notification follow-ups for overpayment based on a set number of days	Mandatory				
33	Shall automatically notify employer of an underpayment after x days (parameter to be defined by CTPF)	Mandatory				
34	Shall automatically provide different notification follow-ups for underpayment based on a set number of days	Mandatory				

Functional Area: Cash Receipts			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
35	Shall provide a view of funds that are received when a receivable does not exist	Mandatory				
36	Shall provide the ability to process debit and credit adjustments/memos with underlying GL as needed	Mandatory				
37	Shall provide the ability to flag a check for which the employer, member or financial institution has notified CTPF of a stop payment	Mandatory				
38	Shall provide reason and reason code for contribution under- and overpayments	Mandatory				
39	Shall provide the ability to link invoices to each other	Mandatory				
40	Shall provide the ability to manually create an invoice and corresponding GL transactions	Mandatory				
41	Shall provide the ability to launch a workflow requesting secondary approval when manually creating an invoice	Mandatory				
42	Shall provide the ability to void an invoice and reverse corresponding GL	Mandatory				
43	Shall provide the ability to do write-offs	Mandatory				
44	Shall provide the ability to view write-offs	Mandatory				
45	Shall provide the ability to generate a workflow requesting authorization for write-offs by CTPF	Mandatory				
46	Shall provide an audit trail of any write-offs processed	Mandatory				
47	Shall age invoices based on CTPF business rules	Mandatory				
48	Shall age unallocated cash receipts based on CTPF's business rules	Mandatory				
49	Shall calculate interest on aged invoices based on interest rates then in effect	Mandatory				
50	Shall provide ability to apply a payable item to a receivable invoice (e.g., apply a misc. refund to a service purchase contract)	Mandatory				
51	Shall provide the ability to void an invoice before it's posted to GL	Mandatory				
52	Shall provide reconciliation view showing transactions based on a time period	Mandatory				

4.2.4 – Chat

The Commitments stated in this section pertain to CTPF’s chat functionality.

Functional Area: Chat			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide the ability to provide real-time chat functionality to different external stakeholder groups (e.g., members, beneficiaries, alternate payees, employers)	Mandatory				
2	Shall provide the ability to disable chat functionality based on different external stakeholders as defined by CTPF	Mandatory				
3	Shall provide the ability to schedule hours for chat availability for CTPF staff	Mandatory				
4	Shall provide role-based security for chat functionality as defined by CTPF	Mandatory				
5	Shall provide the ability for CTPF to establish configurable categories for chats (e.g., general, member, employers, etc.)	Mandatory				
6	Shall provide the ability to systematically route new chats to the appropriate work area (e.g., via round robin, via category to specific groups or to specific CTPF staff, bi-lingual staff)	Mandatory				
7	Shall provide the ability to set up groups within CTPF and to assign CTPF staff to these groups	Mandatory				
8	Shall provide the ability to reassign an existing chat to a different CTPF staff or group according to CTPF business rules	Mandatory				
9	Shall provide the ability for a single CTPF staff to chat with multiple end users	Mandatory				
10	Shall provide the ability to record the chat session	Mandatory				
11	Shall provide the ability to utilize screen sharing within the chat session	Mandatory				
12	Shall provide a view of historical records (e.g., by a date range, by chat type) of a member or CTPF staff	Mandatory				
13	Shall provide the ability to schedule a chat with CTPF staff	Mandatory				
14	Shall provide the ability to provide canned responses to a chat	Mandatory				
15	Shall provide the ability to provide real time translation to other languages (e.g., Spanish)	Mandatory				
16	Shall provide the ability for designated CTPF roles to see real-time chat activity and monitor staff's chat sessions (e.g., coaching)	Mandatory				
17	Shall provide the ability for CTPF assigned roles to take over a chat	Mandatory				
18	Shall provide the ability for a CTPF staff to request help (escalate) with a difficult chat	Mandatory				
19	Shall provide performance and usage reports as defined by CTPF	Mandatory				

Functional Area: Chat			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
20	Shall provide the ability to integrate with the contact management system without leaving the chat agent interface so that transcripts can be seen in a 360-degree view	Mandatory				
21	Shall provide the ability to integrate chat functionality with the IVR system for continuity of customer service (e.g., holding place in queue) based on CTPF business rules	Mandatory				
22	Shall provide the ability for CTPF to block IP Addresses or Geo-blocking as per CTPF security and protocols	Mandatory				
23	Shall provide the ability to post chat surveys to determine customer service quality	Mandatory				
24	Shall support modern desktop and mobile browsers as defined by CTPF	Mandatory				
25	Shall provide the ability to archive and retain chats based on CTPF retention schedule	Mandatory				
26	Shall provide the ability to send transcript of chat to end user	Mandatory				
27	Shall provide the ability to upload documents from within a chat session	Mandatory				
28	Shall provide the ability to maintain chat auto responses via chatbot functionality including the frequently asked questions	Mandatory				
29	Shall provide the ability for CTPF to specify what functionality is available to agents within chat	Mandatory				
30	Shall provide the ability to spell check chat text	Mandatory				

4.2.5 – Contact Management

The Commitments stated in this section pertain to CTPF’s contact management functionality.

Functional Area: Contact Management			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide the ability to create and edit CTPF contacts (e.g., member, beneficiary, employer contact, reciprocal system contact, health insurance provider contact, etc.) based on user roles and CTPF business rules	Mandatory				

Functional Area: Contact Management			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
2	Shall provide the ability for CTPF staff to search contacts based on parameters, or combination of parameters, as defined by CTPF (e.g., name, MemberID, SSN, employer, contact type, EntityID, ISBE IEIN)	Mandatory				
3	Shall provide the ability for all components of the solution to be integrated so that a full 360-degree view of every customer is possible	Mandatory				
4	Shall provide the ability to include a 360-degree view of both members and employers and provide a summary view of information. A summary view must also provide the ability to drill down to all information if more details are needed.	Mandatory				
5	Shall provide the ability to view and track information (e.g., name, phone number, address, employer, notes, alerts, status, etc.) as defined by CTPF	Mandatory				
6	Shall provide the ability to add or update a note for any contact or record previously created (e.g., member, beneficiary, employer contact, reciprocal system contact, health insurance provider contact, etc.) based on user roles and CTPF business rules	Mandatory				
7	Shall provide the ability to use standard values/codes and free form text as defined by CTPF	Mandatory				
8	Shall provide the ability to spell check free form text (e.g., notes comments)	Mandatory				
9	Shall provide a selection of pre-formatted acronyms, templates, questions and answers in the notes	Mandatory				
10	Shall populate notes with user ID, username, date and time stamp	Mandatory				
11	Shall enable notes to be an unlimited length or number of characters (parameter)	Mandatory				
12	Shall enable notes to be viewable by all users setup in the system	Mandatory				
13	Shall provide the ability for CTPF staff to search notes (e.g., by category, date, user ID, full text search, etc.)	Mandatory				
14	Shall provide the ability for CTPF to sort notes (e.g., by category, date, user ID, etc.)	Mandatory				
15	Shall provide the ability to categorize notes based on type of interaction with person/organization (e.g., walk-in, call, chat, etc.)	Mandatory				
16	Shall provide the ability to link new notes to existing notes	Mandatory				
17	Shall provide the ability to linked images, files, documents to notes (linked to imaging system for single repository)	Mandatory				
18	Shall provide the ability to link an individual note to multiple contacts, members, beneficiaries, etc.	Mandatory				

Functional Area: Contact Management			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
19	Shall provide a view of all interactions (e.g., call, chat) that includes detail/notes for each person (e.g., member, beneficiary, etc.)	Mandatory				
20	Shall provide a view of contact appointment history, including all upcoming scheduled appointments (onsite, virtual, etc.)	Mandatory				
21	Shall provide the ability to set up a follow-up date for a member or contact, launching a reminder or workflow for CTPF action as defined by CTPF	Mandatory				
22	Shall provide the ability to launch a workflow when person calls or contacts CTPF	Mandatory				
23	Shall provide pre-defined call topics for call center staff to document call history, with the ability to assign during or after the call (e.g., Call about 1099, Member Update, General Info)	Mandatory				
24	Shall provide the ability to store contact communications (e.g., email, outbound correspondence, etc. - linked to imaging system for single repository)	Mandatory				
25	Shall integrate with CTPF' IVR System to capture call and contact/employer data to trigger automatic screen pops of 360-degree views of contacts/employer, displaying caller's record to CTPF user (e.g., if caller speaks or enters their SSN or MemberID on their phone keypad and/or based on caller's phone number)	Mandatory				
26	Shall provide the ability to create or delete a PIN for the use of the IVR automated telephone system	Optional				
27	Shall integrate calendar activities with Outlook and link to the members	Mandatory				
28	Shall provide contact management metric views as specified (e.g., number of interactions per rep)	Mandatory				
29	Shall provide the ability to produce notifications/correspondence based on parameters defined by CTPF (e.g., seminar correspondence, Medicare birthday party list, health insurance related correspondence)	Mandatory				
30	Shall provide the ability to generate pre-filled form(s) requests through contact management	Mandatory				
31	Shall provide the ability to define an archival date for notes and suppress/hide notes after date reached, as defined by CTPF	Mandatory				
32	Shall provide the ability to link to or log real-time chat sessions	Mandatory				
33	Shall provide the ability to create and flag messages with different levels of importance/escalation	Mandatory				

Functional Area: Contact Management			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
34	Shall provide the ability to notify/warn CTPF user based on importance/escalation level of message before proceeding	Mandatory				
35	Shall provide the ability for CTPF user to proceed after acknowledging warning message	Mandatory				
36	Shall provide the ability to view the audit history of message acknowledgements and related message text	Mandatory				
37	Shall provide the ability for the submission of questions via a secure member area	Mandatory				
38	Shall provide a selection of question topics for the member to choose from	Mandatory				
39	Shall provide the ability for CTPF to configure (e.g., add, modify) question topics without IT intervention	Mandatory				
40	Shall route questions to the appropriate workflow queues based on the standard topics chosen	Mandatory				
41	Shall provide the ability for the CTPF to respond to questions in the secure member area for that member to view	Mandatory				
42	Shall provide the ability to notify the member that the question has been received by CTPF	Mandatory				
43	Shall notify member that a response is waiting for them (the actual response content would only be in the secure member area)	Mandatory				
44	Shall have the question topic loaded into the contact management notes page with a link to CTPF's response	Mandatory				
45	Shall provide the ability to archive questions submitted and responses provided for the member to view in the secure member area based on CTPF retention schedule	Mandatory				
46	Shall provide an audit trail of all contact management transactions and activity	Mandatory				
47	Shall provide the ability to integrate with 3rd party scheduling application/service	Mandatory				
48	Shall provide the ability to integrate with 3rd party marketing application/service	Mandatory				

4.2.6 – Death Benefits

The Commitments stated in this section pertain to CTPF’s death benefits functionality.

Functional Area: Death Benefits			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide multiple ways to capture a reported death (e.g., phone call, 3rd party vendor reports (PBI, NAPHSIS, IDPH, etc.)) as defined by CTPF	Mandatory				
2	Shall allow death notification entries by CTPF or confirmed report to be immediately visible to all staff	Mandatory				
3	Shall launch a workflow in the event of a death, allowing for the capture of all data needed for death benefits processing (e.g., date of death, contact person, benefit type, payment method, etc.)	Mandatory				
4	Shall maintain death processing checklist of all required tasks and documents needed to complete the process (e.g., stop payments, valid death certificate, survivor application, etc.)	Mandatory				
5	Shall notify beneficiaries/survivors when a death notification is received and contact information is available, including request to return ineligible payments made after death of benefit recipient	Mandatory				
6	Shall initiate a workflow if beneficiaries/survivors' information was not entered at the time of notification	Mandatory				
7	Shall provide the ability to view accounts for which required paperwork has not been received	Mandatory				
8	Shall generate reminder notifications for missing documents or information (e.g., death certificate, information or form required) x (parameter to be defined by CTPF) after notification of death with continuous reminders at x intervals	Mandatory				
9	Shall provide a view of cases for review to be closed after a period of due diligence	Mandatory				
10	Shall automatically stop a monthly retirement benefit upon verification of death based on CTPF business rules	Mandatory				
11	Shall provide the ability to, upon death of the payee, hold payment of further benefits (e.g., future monthly benefits, death benefit payments) pending the reconciliation of any under/overpayments	Mandatory				
12	Shall provide the ability to disable web self-service access upon verified death notification, as defined by CTPF	Mandatory				
13	Shall automatically stop deduction(s) upon verification of death (e.g., reversionary, alternate payee passes away)	Mandatory				
14	Shall populate survivor information (surviving spouse) automatically from data already in the system (e.g., retirement type, name, etc.)	Mandatory				
15	Shall require a validation of system populated survivor information prior to payment	Mandatory				

Functional Area: Death Benefits			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
16	Shall initiate a workflow if beneficiary/survivor is a minor in order to verify contact and address information	Mandatory				
17	Shall calculate the survivor/beneficiary death benefit (e.g., lump sum, survivorship, refund of contribution, unpaid pension (e.g., held check & checks reversed in error), unpaid survivor, reversionary, RMD members that are eligible for pension and die prior to receiving their minimum distribution etc.) for all payment types based on CTPF business rules	Mandatory				
18	Shall provide a view that will contain the details of how death benefit was calculated	Mandatory				
19	Shall provide the ability to launch a workflow for audit review (e.g., in service member death, inactive member)	Mandatory				
20	Shall process separate death benefits, according to different processing rules, in cases where there are multiple beneficiaries/survivors to receive payment (e.g., spouse and minors)	Mandatory				
21	Shall provide the ability to tie all payee accounts (e.g., beneficiary/survivor/alternate) to the original member account	Mandatory				
22	Shall provide the ability to update or override system validation and calculation related to death benefits processing, based on user role	Mandatory				
23	Shall require notes to be entered whenever an override is performed	Mandatory				
24	Shall launch a workflow requesting secondary approval on any death benefits update or override, based on user role (if manager, secondary approval is not necessary)	Mandatory				
25	Shall provide an audit trail of any update or override to death benefits processing	Mandatory				
26	Shall automatically create the survivor/beneficiary account based on CTPF business rules (e.g., survivor pension, reversionary pension, death benefit, etc.)	Mandatory				
27	Shall provide the ability to pay multiple survivors/beneficiaries out of one account with different types of payments (e.g., lump sum, annuity, rollover)	Mandatory				
28	Shall provide for recording the death of a survivor or beneficiary (including reversionary beneficiary)	Mandatory				
29	Shall provide the ability to name a new survivor or beneficiary (e.g., new spouse) in the event of the death of the survivor or beneficiary	Mandatory				
30	Shall recalculate the retiree's benefit if the reversionary beneficiary passes away	Mandatory				

Functional Area: Death Benefits			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
31	Shall provide the ability to setup the beneficiary splits by percentage or amount	Mandatory				
32	Shall provide the ability to split the death benefit amount between beneficiary(s) and one or more financial institutions based on pre and post-tax dollars (e.g., rollover, lump sum, continuing option)	Mandatory				
33	Shall launch a secondary workflow to review and process health insurance options for survivor(s) based on CTPF business rules	Mandatory				
34	Shall provide a view to CTPF staff and payees providing a status of the death process and related payments	Mandatory				
35	Shall provide the ability to notify payees of pending payment, based on CTPF business rules	Mandatory				
36	Shall provide the ability to reverse a death entered in error, send apology letter to appropriate parties, and/or reinstate a payroll record removed in error without interrupting monthly payments or paying the benefit payments that were missed prior to the reversal	Mandatory				
37	Shall store and display payment summary and/or payment details pertaining to each death benefit disbursement	Mandatory				
38	Shall provide a view of all death payments pending for a CTPF-defined date range (e.g., type, amount)	Mandatory				
39	Shall provide a view of all death payments processed for a CTPF-defined date range (e.g., type, amount)	Mandatory				
40	Shall provide a view of accounts receivables for payee benefits paid post-death (e.g., retiree, survivor, alternate payee, etc.)	Mandatory				
41	Shall provide the ability to create a receivable for benefit overpayments and taxes when applicable	Mandatory				
42	Shall initiate a workflow to process, track and report on accounts receivables for benefit overpayments when applicable	Mandatory				
43	Shall calculate deductions (e.g., QILDROs, child support, and other mandated deductions) from the benefit when applicable	Mandatory				
44	Shall provide the ability to interface with third parties for death research. The interfaces will be based on each vendor's requirements and file format (e.g., name, SSN, address, and DOB) and differentiated by payee status (e.g., member, retiree, survivor, beneficiary)	Mandatory				
45	Shall initiate a workflow for reviewing third party death information, identifying potential matches with CTPF data for staff review, and allowing action to be taken on accounts as needed	Mandatory				

Functional Area: Death Benefits			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
46	Shall provide the ability for separate match criteria to be used for each vendor death file	Mandatory				
47	Shall provide a view of accounts identified as potential matches, identifying those that were altered and those were not altered during the verification process	Mandatory				
48	Shall provide the ability to report death match rate statistics by vendor	Mandatory				
49	Shall provide the ability to notify participants when proof of life is needed (e.g., death match audit, 90-year-old audit, foreign address)	Mandatory				
50	Shall flag an account when proof of life is needed	Mandatory				
51	Shall launch a workflow when proof of life is not received after x days (parameter to be defined by CTPF)	Mandatory				
52	Shall provide the ability to notify reciprocal systems of a participant's death	Mandatory				
53	Shall provide the ability to send termination date due to participant's death to appropriate TPAs if participant had health coverage (e.g., Health Insurance Providers)	Mandatory				
54	Shall provide the ability to notify payee(s) (e.g., survivors, beneficiaries) regarding repayment of prior year taxes when applicable	Mandatory				
55	Shall initiate a workflow in the event of a death if there is a purchase of service in process	Mandatory				
56	Shall automatically set a member's status to deceased once death is confirmed	Mandatory				
57	Shall provide the ability to make additional benefits payment, or adjust existing payments, when new information is received (e.g., adjustment)	Mandatory				
58	Shall provide the ability to place a hold on benefit payments when a retiree on preliminary status dies, until pension is finalized and reconciled	Mandatory				
59	Shall provide the ability to recalculate and potentially stop benefits when survivors age out (e.g., minor turns 18, survivor passes away) based on CTPF business rules (Application of AAI, see Appendix)	Mandatory				
60	Shall initiate a workflow, when applicable, to Legal when a trust, minor affidavit, guardianship, POA, estate documentation, etc. is part of the death process	Mandatory				
61	Shall initiate an alert to CTPF staff if survivor or beneficiary has another role in the system (e.g., member, dual beneficiary, dependent, etc.)	Mandatory				

Functional Area: Death Benefits			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
62	Shall launch a secondary workflow requesting manager and leadership approval for lump sum benefit payments in excess of a specified amount, as defined by CTPF (currently 50k)	Mandatory				

4.2.7 – Disability Benefits

The Commitments stated in this section pertain to CTPF's disability benefits functionality.

Functional Area: Disability Benefits			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide the ability to apply for duty disability benefit online (self-service) or by submitting a pre-populated paper application if counseled	Mandatory				
2	Shall launch a workflow to initiate a duty disability benefit application process, allowing for the capture of all data needed for duty disability processing (e.g., Illinois Workers' Compensation Commission settlement agreement, disability certification, HIPPA authorization, support documentation, etc.)	Mandatory				
3	Shall provide a view of the status of a duty disability application for CTPF staff and the member (e.g., physician review, Board approval, etc.) as defined by CTPF	Mandatory				
4	Shall validate that all required duty disability documents are received before processing application	Mandatory				
5	Shall record workers comp information obtained from Illinois Workers' Compensation Commission	Mandatory				
6	Shall validate that the member meets the duty disability eligibility requirements	Mandatory				
7	Shall calculate all duty disability benefits, based on CTPF business rules, with conversion to service retirement at age 65	Mandatory				
8	Shall notify member of the duty disability application resolution	Mandatory				
9	Shall provide the ability to apply for disability retirement online (self-service) or by submitting a pre-populated paper application if counseled	Mandatory				

425 South Financial Place Suite 1400
Chicago, IL 60605-1000

Functional Area: Disability Benefits			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
10	Shall launch a workflow to initiate a disability retirement application process, allowing for the capture of all data needed for disability retirement processing (e.g., Disability certification, HIPAA Authorization, support documentation, etc.)	Mandatory				
11	Shall provide a view of the status of a disability retirement application for CTPF staff and the member (e.g., physician review, Board approval, etc.) as defined by CTPF	Mandatory				
12	Shall validate that all required disability retirement documents are received before processing application	Mandatory				
13	Shall validate that the member meets the disability retirement eligibility requirements	Mandatory				
14	Shall notify member of the disability retirement application resolution	Mandatory				
15	Shall provide the ability to update or override system validation and calculation related to disability processing (duty or disability retirement), based on user role	Mandatory				
16	Shall require notes to be entered whenever an override is performed	Mandatory				
17	Shall launch a workflow requesting secondary approval on any update or override, based on user role (if manager, secondary approval is not necessary)	Mandatory				
18	Shall provide an audit trail of any update or override during disability processing	Mandatory				
19	Shall provide the ability to generate a duty and non-duty disability estimates based on member's situation and CTPF business rules	Mandatory				
20	Shall have the pension and benefits modules work together in real time to provide a unified online retirement application once a disability has been approved, based on rules defined by CTPF (e.g., eligible benefits and associated premiums, setup retiree benefits upon CTPF approval, etc.)	Mandatory				
21	Shall provide the ability to generate the appropriate notifications based on time parameters for each status (e.g., disability application received, submitted to Board)	Mandatory				
22	Shall generate reminder notifications for missing documents/information with continuous reminders at x intervals (parameter to be defined by CTPF)	Mandatory				
23	Shall automatically generate and send a follow-up correspondence regarding non-receipt of Medical Records from physician or medical provider	Mandatory				

Functional Area: Disability Benefits			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
24	Shall gather information from the system in order to generate a summary for Board review (e.g., name, date of birth, employment history, physician's approval/denial, etc.) as defined by CTPF	Mandatory				
25	Shall provide the ability to suspend disability payments (duty, disability pension) if recertification documentation is not received based on CTPF business rules	Mandatory				
26	Shall provide the ability to reverse suspension of disability payments (duty, disability pension)	Mandatory				
27	Shall provide the ability to automatically calculate and generate catch-up payment	Mandatory				
28	Shall provide the ability to send notification to member when a revision to a disability has occurred, including an explanation of the amount change (for both under and overpayment) and breakdown of change (payment history reconciliation)	Mandatory				
29	Shall provide the ability to launch a workflow for Legal if member appeals denial of disability benefits	Mandatory				
30	Shall notify member acknowledging receipt of appeal	Mandatory				
31	Shall provide the ability to generate a view identifying all disability appeals, including those that were not requested within the prescribed deadline and generate notice to applicant	Mandatory				
32	Shall provide the ability to generate a view showing history of duty disability benefits and disability retirements (e.g., type, date received, date presented to review committee, decision, and date presented to the Board) based on CTPF defined parameters	Mandatory				
33	Shall provide the ability to automatically send recertification notification and forms to disability retirees and track certifications outstanding, as defined by CTPF business rules	Mandatory				
34	Shall provide a view for disability retirees who require recertification	Mandatory				
35	Shall provide a view showing those on duty disability who are near service retirement eligibility based on CTPF-defined date parameter	Mandatory				
36	Shall notify member regarding move from duty disability to disability retirement, including sending a confirmation of demographic information, an estimate of new benefit amount, and review and update of tax information if applicable	Mandatory				
37	Shall provide the ability to automatically launch a workflow to transition an individual from a duty disability to service retirement, per CTPF's business rules	Mandatory				

Functional Area: Disability Benefits			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
38	Shall provide the ability to convert a lump sum workers comp settlement to offset per CTPF business rules	Mandatory				
39	Shall provide the ability to apply other workers comp offset (e.g., TTD) per CTPF's business rules	Mandatory				
40	Shall calculate overpayment of disability benefit (e.g., due to RTW, workers comp)	Mandatory				
41	Shall provide the ability to pay retroactive payments in addition to recurring disability payments	Mandatory				
42	Shall provide view showing historical results of recertification process based on CTPF defined date range	Mandatory				
43	Shall provide the ability to launch a workflow to convert a non-duty disability benefit to a duty disability benefit, based on receipt of an approved workers compensation settlement	Mandatory				
44	Shall provide the ability to launch a workflow to convert a service retirement to a duty or non-duty disability benefit, based on approval for disability	Mandatory				

4.2.8 – Divorce Benefits (QILDRO)

The Commitments stated in this section pertain to CTPF’s divorce benefits functionality.

Functional Area: Divorce Benefits (QILDRO)			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide the ability to automatically flag a member's account upon receipt of divorce decree or a QILDRO based on CTPF's business rules	Mandatory				
2	Shall automatically initiate a workflow upon receipt of divorce decree or QILDRO	Mandatory				
3	Shall automatically initiate a secondary workflow to Legal when a divorce decree or a QILDRO, or a benefit application with a QILDRO on file, is received	Mandatory				
4	Shall maintain QILDRO processing checklist of all required tasks and documents needed to complete the process	Mandatory				

Functional Area: Divorce Benefits (QILDRO)			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
5	Shall validate QILDRO data against CTPF business rules and require Legal to perform a review before accepting status change to approved	Mandatory				
6	Shall provide the ability for pension adjustment overrides or status changes (e.g., AAI adjustment, pension recalculation +/-), based on user role.	Mandatory				
7	Shall require notes to be entered whenever an override or status changes is performed	Mandatory				
8	Shall launch a workflow requesting secondary approval on any pension override or status changes, based on user role (if manager, secondary approval is not necessary)	Mandatory				
9	Shall provide an audit trail of any override or status changes to a pension	Mandatory				
10	Shall provide the ability to override benefit status (Ex terminate - deceased status)	Mandatory				
11	Shall generate notifications (e.g., denial, information needed, action required, distribution being held before QILDRO approval/calc order, insurance coverage change, etc.) as needed based on checklist	Mandatory				
12	Shall provide the ability to produce a reminder notification when there has been no action on a QILDRO, at intervals as defined by CTPF	Mandatory				
13	Shall track status of QILDRO based on parameters defined by CTPF	Mandatory				
14	Shall provide a view to CTPF staff providing a status of the QILDRO process and related activity (including pension finalization on-hold, pending the receipt of the QILDRO calculation order(s))	Mandatory				
15	Shall provide a simplified view to members and alternate payees in web self-service providing a status of the QILDRO process and related activity	Mandatory				
16	Shall automatically flag member's account upon receipt of Request for Account Information (e.g., from spouse/former spouse, attorney, etc.)	Mandatory				
17	Shall automatically initiate a workflow upon receipt of Request for Account Information	Mandatory				
18	Shall provide the ability to convert a marital (marriage date and end of marriage date) date range into number of marital months and determine members total service during that period and overall service	Mandatory				
19	Shall provide the ability to calculate and segregate (percentage, dollar amount, flat fee) a portion of a member's benefit or death benefit to an alternate payee based on QILDRO and CTPF business rules	Mandatory				

Functional Area: Divorce Benefits (QILDRO)			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
20	Shall determine the effective date of QILDRO payments based on CTPF business rules	Mandatory				
21	Shall provide the ability to allow for escrow deductions in the case of an approved QILDRO with a pending calculation order	Mandatory				
22	Shall provide the ability to reconcile escrow to payments owed towards an alternate payee's benefit amount (including any AAI considerations)	Mandatory				
23	Shall provide the ability to recoup member overpayments that may result from reconciliation (including member notification)	Mandatory				
24	Shall provide the ability to setup an alternate payee as a contact in the system and track activity (e.g., address changes, bank account changes, etc.)	Mandatory				
25	Shall provide alternate payees the same payments methods provided to members	Mandatory				
26	Shall provide the ability for alternate payees to update payment methods (e.g., direct deposit, tax withholding)	Mandatory				
27	Shall provide the ability to apply a levy(ies) to alternate payees	Mandatory				
28	Shall provide the ability to terminate QILDRO based on CTPF's business rules (e.g., amount has been paid, payments reached, court order, death of member or payee, etc.)	Mandatory				
29	Shall provide the ability to revert remaining pension benefits back to retiree upon alternate payee's death	Mandatory				
30	Shall provide the ability to terminate an alternate payee's benefit in the event of the death of the member	Mandatory				
31	Shall provide the ability to setup and maintain a QILDRO payment plan (set # of payments) to alternate payee	Mandatory				
32	Shall provide the ability to setup a total QILDRO amount, sending notification to the member and alternate payee when approaching being fully paid, as defined by CTPF	Mandatory				
33	Shall provide the ability to set a termination date for a QILDRO	Mandatory				
34	Shall provide the ability to maintain separate accounts and benefits where an alternate payee is also a member	Mandatory				
35	Shall provide the ability for an individual to be an alternate payee to more than one member (have more than one account)	Mandatory				
36	Shall provide the ability to allow for multiple QILDROs for the same member	Mandatory				

Functional Area: Divorce Benefits (QILDRO)			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
37	Shall provide the ability to modify a QILDRO and recalculate benefits and effective date upon approval of an amended QILDRO	Mandatory				
38	Shall provide the ability to stop payments to alternate payee(s) if the retiree's benefit is suspended or stopped	Mandatory				
39	Shall provide the ability to initiate a workflow when a retiree's benefit is suspended or stopped and has an associated alternate payee(s) benefit	Mandatory				
40	Shall provide the ability to generate a notification to a member if processing fee(s) has not been paid for a QILDRO	Mandatory				
41	Shall provide the ability to automatically generate notifications to the member and alternate payee(s) when the member's pension is finalized/revised and there are existing QILDRO payments to the alternate payee(s)	Mandatory				
42	Shall provide the ability to send forms to alternate payee based on CTPF business rules (e.g., rollover on a refund, tax withholding forms any benefit type)	Mandatory				

4.2.9 – Employer Audit

The Commitments stated in this section pertain to CTPF's employer audit functionality.

Functional Area: Employer Audit			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide the ability to identify members that are potentially without an Illinois State Board of Education (ISBE) license based on the comparison of ISBE data to CTPF data	Mandatory				
2	Shall provide the ability to upload a file (for comparison to ISBE) for identifying licensing information for employees listed within the file and validate licensing information for employees. (by list of identified employees, employer, or individual employee).	Mandatory				
3	Shall provide the ability to initiate a workflow for Employer Audit processes (e.g., Licensure Lookup Results, Audit Engagement, Audit Report Review, etc.) allowing outside auditors to perform certain steps within the workflow	Mandatory				

4	Shall provide the ability to load and store finalized results from the outside auditors (e.g., by employer name, unit number), as defined by CTPF	Mandatory				
5	Shall provide the ability to match uploaded audit results to post audit adjustments made by the employer and initiate a workflow to review any discrepancies to the post-audit adjustments provided by the employer	Mandatory				
6	Shall provide the ability to identify, store and update employees who are in a covered position	Mandatory				
7	Shall provide the ability for employers to initiate an update of a member's profile if employee changes from covered position to non-listed position and vice-versa (e.g., non-covered, brand new position), triggering a workflow for CTPF to review and approve	Mandatory				
8	Shall provide the ability to store the results of the audit (e.g., when audit was performed, how the employer performed, 75% of teachers are licensed, etc.)	Mandatory				
9	Shall provide the ability to upload a member file to identify and report on members based on CTPF administrative rules (e.g., Lookback rule, subcontractor rule) whose licensing information will expire within x days or have expired, parameter defined by CTPF	Mandatory				
10	Shall provide the ability to identify members, based on position, pay group and pay calendar, that should potentially not have reportable wages at certain times of the year (e.g., summer pay)	Mandatory				
11	Shall provide the ability to initiate a workflow for resolving audit discrepancies (e.g., contributions, days worked, etc.) allowing multiple parties (e.g., outside auditors, employer, CTPF) to perform certain steps within the workflow	Mandatory				
12	Shall provide the ability to generate notifications/letters, or upload external letters, to Employers as part of the post audit process (e.g., introduction letter, results letter, etc.)	Mandatory				
13	Shall provide a view of the status of an employer audit for CTPF staff	Mandatory				
14	Shall provide the ability to export member contribution data and pay calendars by school/charter holder for outside audit	Mandatory				
15	Shall provide the ability to post results of employer audits to the employer portal and notify users (e.g., Compliance, Benefits, and Other Managers) of posting, based on user role and security	Mandatory				
16	Shall provide the ability to flag member accounts that are subject to an employer audit based on employer, defining the scope (time) period included in the employer audit. When the audit is closed, flag should be updated to Audit Complete (e.g., batch process)	Mandatory				

17	Shall provide the ability for CTPF to identify and report on post audit related employer adjustments, providing a trigger to notify Employer Audit that the post-audit adjustments have been submitted	Mandatory				
18	Shall provide the ability to notify members of post audit adjustments (e.g., contributions, days worked, etc.), detailing the adjustment(s) being made to the members account	Mandatory				
19	Shall show all post audit adjustments in the member's account activity	Mandatory				
20	Shall provide the ability to store audit information for charter schools and CPS (e.g., date audited, risk factors, next projected audit, etc.)	Mandatory				
21	Shall provide the ability to calculate and store a charter school's risk profile based on CTPF defined risk criteria and weight	Mandatory				
22	Shall provide the ability to initiate a workflow based on risk assessment results, as defined by CTPF	Mandatory				
23	Shall initiate a workflow when an adjustment (under/over-reporting) is received for a finalized retiree member, deceased member, or a member who has received a refund of contributions for the same period of time attributable to the adjustment	Mandatory				
24	Shall provide the ability to generate a workflow 30 days after employer is notified of final audit results and send a reminder every X days (CTPF-defined) thereafter until resolved	Mandatory				
25	Shall provide the ability to track data (e.g., contacts, titles, etc.) for closed schools	Mandatory				
26	Shall provide the ability to check member SSN, name and DOB data against Social Security Administration and trigger a workflow to review any discrepancies	Mandatory				
27	Shall provide the ability to capture and time-stamp member positions (ISBE positions) as they are updated by the employer	Mandatory				
28	Shall provide the ability to upload a file to compare the positions on a licensure lookup roster to the approved list of CTPF covered positions	Mandatory				
29	Shall provide the ability to notify members that an audit has been conducted and that they will receive further information when the adjustments have been posted	Mandatory				

4.2.10 – Employer Reporting

The Commitments stated in this section pertain to CTPF's employer reporting functionality.

Functional Area: Employer Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
1	Shall provide a 24x7 web-based solution in which employers can report, correct and update their employer reports. Allowance can be made for a small maintenance window to take down the web self-service application(s).	Mandatory				
2	Shall provide the ability to report payroll, adjustments, retroactive adjustments via file or online form	Mandatory				
3	Shall support formats defined in CTPF's Employer Reporting Manual (See Appendix), providing CTPF administrators the ability to add new formats. These can vary based on employer payroll provider.	Mandatory				
4	Shall provide employer reporting instructions, FAQs, online tooltips, and a detailed employer portal user guide	Mandatory				
5	Shall provide the ability to roll forward previous employer report as a starting point for the current period's report (e.g., provide starting point from which data can be edited)	Mandatory				
6	Shall provide the ability for CTPF to process a payroll report manually by entering it into the system themselves using the same web-based solution, based on CTPF user role	Mandatory				
7	Shall provide the ability to edit a single record (add, change or delete) in an existing report that has not been posted	Mandatory				
8	Shall provide the ability to submit clean records, while creating an exception(s) to review data that has failed upfront business rules	Mandatory				
9	Shall provide a view to CTPF to identify employer reporting exceptions by employer	Mandatory				
10	Shall provide the ability, after a defined period time (parameter), to expire employer reporting exceptions and notify employer of need to review and resubmit	Mandatory				
11	Shall provide the ability for the employer and CTPF to view a processing status (e.g., in-process, receipt, complete, error, etc.) of payroll submission through the portal	Mandatory				
12	Shall provide a view of ACH reporting activity (current and historical) including ACH status to employers	Mandatory				
13	Shall provide the ability for the employer to view the invoice and payments through web-based solution	Mandatory				
14	Shall capture and track payroll report related data for each submission (e.g., Date submitted, Pay Due Date, Pay Period End Data, Pay Period Pay Date, Payroll Record Status, Days till Due, Total	Mandatory				

Functional Area: Employer Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
	Contribution Amount, Number of Employees, Date Validated, Validation Status, etc.)					
15	Shall record member contributions based on member pay group (contribution split) and CTPF business rules	Mandatory				
16	Shall capture and track payroll submission details for each member included in report (e.g., Pensionable Earned Salary, Employer Contributions, Employee Contributions, Expected Earned Service, etc.)	Mandatory				
17	Shall provide the ability to setup up new members from a payroll file submission	Mandatory				
18	Shall provide employers the ability to add notes to all payroll submissions	Mandatory				
19	Shall automatically post the wage file including salary, contributions, days reported, etc. if no errors exist	Mandatory				
20	Shall exclude employees who do not meet certain criteria (e.g., ISBE lookup, CTPF business rules) from contributions, eligibility and service credit accrual, as defined by CTPF	Mandatory				
21	Shall provide the ability to capture non-member data	Optional				
22	Shall allow appropriate edits and corresponding error messages as defined by CTPF to validate the incoming employer reports on a real time basis (e.g., out of balance)	Mandatory				
23	Shall provide the ability for soft stops (message employer but allow to continue) and hard stops (message employer but do not allow to continue) as defined by CTPF	Mandatory				
24	Shall provide the ability to provide warnings to employer based on CTPF business rules (e.g., Report includes a deceased member, Employee approaching Tier 2 Cap)	Mandatory				
25	Shall provide the ability to automatically inform the employer if a member is not on the current report, but was on the previous cycle's report and was not terminated, inactive, etc.	Mandatory				
26	Shall flag account and provide a view for CTPF if payroll information is received for an individual currently receiving a monthly pension benefit	Mandatory				
27	Shall record all member wages through date of termination or death of the member based CTPF business rules	Mandatory				
28	Shall provide the ability to capture and maintain employee status (file and online form)	Mandatory				
29	Shall assign "effective" periods to employer submitted data	Mandatory				

Functional Area: Employer Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
30	Shall receive and record unused sick leave days and value for eligible members	Mandatory				
31	Shall allow concurrent employment for a member	Mandatory				
32	Shall provide the ability to post a payroll report with an underpayment	Mandatory				
33	Shall provide the ability to break out supplemental wages from regular wages based on CTPF rules (e.g., increments, stipends, bonuses, etc.)	Mandatory				
34	Shall provide the ability to allow multiple transactions per member per reporting period	Mandatory				
35	Shall provide the ability to maintain multiple payroll files for a given reporting period	Mandatory				
36	Shall provide the ability to combine multiple payroll files	Mandatory				
37	Shall provide the ability for the entry of single payroll record that will span multiple periods	Mandatory				
38	Shall provide the ability to allow for one or more supplemental payroll cycles (e.g., increments, stipends, bonuses, etc.)	Mandatory				
39	Shall provide the ability to process a file of inactive periods on previous payroll record	Mandatory				
40	Shall allow the payment or the employer report to be received by CTPF before the other	Mandatory				
41	Shall provide the ability to employers to adjust member payroll details by user role (e.g., Adjust member pensionable earnings to smaller increments) based on CTPF business rules	Mandatory				
42	Shall accommodate employer-reported data adjustments to prior periods as well as information for the current period	Mandatory				
43	Shall provide the ability to submit non-current (prior period) payroll adjustment records utilizing an effective date	Mandatory				
44	Shall prevent a regular type employer report for a pay period to be posted twice, multiple adjustment reports are allowed	Mandatory				
45	Shall provide the ability for employers to identify post audit related adjustments (vs day to day adjustments)	Mandatory				
46	Shall enable employer to delete unposted employer reports that were submitted in error	Mandatory				
47	Shall provide the ability to produce a view of members that do not meet eligibility rules as defined by CTPF	Mandatory				
48	Shall provide a view to CTPF showing anyone who has terminated/refunded (to address any overpayment / underpayment of	Mandatory				

Functional Area: Employer Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
	refund) or applied for retirement, received an initial benefit, or has had a final average calculation performed, based on parameters (e.g., dates, employers) entered by CTPF.					
49	Shall check employer participation dates (entered from charter agreement) against member service records to ensure that service credited is within the participation period of the employer	Mandatory				
50	Shall check employee participation dates against member service records (time blocks) to ensure that service credit is granted within the correct pay period	Mandatory				
51	Shall capture historical rates and factors for member with effective dates so that retroactive calculations use the appropriate data	Mandatory				
52	Shall launch a workflow if a member who is receiving a disability benefit starts working again	Mandatory				
53	Shall flag members with concurrent employment, generating a report to CTPF based on a specific timeframe	Mandatory				
54	Shall notify an employer if they are reporting concurrent employment for a member	Mandatory				
55	Shall provide the ability for CTPF to override errors and exceptions, based on user role	Mandatory				
56	Shall require notes to be entered whenever an override is performed	Mandatory				
57	Shall launch a workflow requesting secondary approval when overriding any payroll report, based on user role (if manager, secondary approval is not necessary)	Mandatory				
58	Shall provide an audit trail of any corrections made to reported data	Mandatory				
59	Shall automatically verify the contribution that is due from the member and the employer, based on CTPF business rules	Mandatory				
60	Shall reconcile contributions posted to the system to a pay period end date	Mandatory				
61	Shall reconcile the total amount of member contributions plus any adjustments and supplementals (increments) to the total remittance made by the employer	Mandatory				
62	Shall provide on demand, a view of the total contributions received that have not been posted to pension system accounts	Mandatory				
63	Shall create receivables based on the employer reports for each employer	Mandatory				
64	Shall provide the ability to charge interest on retroactive contributions	Mandatory				

Functional Area: Employer Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
65	Shall produce a view of delinquent reporting based on a user-defined (parameter) number of days late	Mandatory				
66	Shall have the ability to notify employer if the employer has not submitted cash receipts by X date (parameter set by CTPF)	Mandatory				
67	Shall provide the ability to issue a credit to employer that reports employer and/or member contributions paid for adjustment type scenarios (e.g., a non-qualifying member)	Mandatory				
68	Shall produce a view for an employer that shows a listing of all their employer reports received and their summary data given a date range	Mandatory				
69	Shall produce a view of payroll data by employer payrolls or by periods (e.g., weekly, bi-weekly, monthly parameter)	Mandatory				
70	Shall provide a real-time summary of any data file received from an employer, including batch totals and number of detail records	Mandatory				
71	Shall provide employers an on-line report of their member's account history by date range	Mandatory				
72	Shall provide the ability to reproduce views and associated errors for all employer reports (current and past)	Mandatory				
73	Shall maintain period balances (e.g., life to date, year to date, fiscal) of total contributions, earnings and service for each member	Mandatory				
74	Shall produce a view reflecting the employer's information reported to CTPF showing current salary, contributions, and running balances (i.e., balances in the order in which the employer submitted the information) for a given date range	Mandatory				
75	Shall produce a monthly view that compares a member's current monthly salary with last month's, showing members whose salary is x percent (parameter) higher or lower than previous month salary or whose salary is reported as zero (sorted by employer)	Mandatory				
76	Shall produce a view showing employer account balances/transactions over a user-defined (parameter) period of time, including late fee transactions	Mandatory				
77	Shall produce a view by employer that identifies members who are on leave	Mandatory				
78	Shall provide the ability for CTPF to enter and display messages to all or select employers, based on user role	Mandatory				
79	Shall provide the ability to categorize messages to employers	Mandatory				

Functional Area: Employer Reporting			**Bidder Must Respond to at least one item below for each Commitment**			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
80	Shall provide a view showing all messages by CTPF-defined parameter (e.g., message category, employer, member, effective dates of message, etc.)	Mandatory				
81	Shall automatically reset the excess benefit IRC 415 (annual limit) flag at the start of the next calendar year	Mandatory				
82	Shall provide the ability for CTPF to enter the IRC 415 annual limit amount (parameter)	Mandatory				
83	Shall produce a view of all members that have reached the IRC 415 limit	Mandatory				
84	Shall display the amount that can still be applied for member(s) who approach the IRC 415 limit	Mandatory				
85	Shall automatically notify employer of the amount owed for their members that have reach the IRC 415 limit.	Mandatory				
86	Shall automatically reset the excess benefit 401(k)/403(b) (annual limit) flag at the start of the next year	Mandatory				
87	Shall provide the ability for CTPF to enter the 401(k)/403(b) excess benefit limit amount (parameter)	Mandatory				
88	Shall automatically identify any member hitting against the 401(k)/403(b) limit and display the amount that can still be applied.	Mandatory				
89	Shall automatically cap any employer transmittal record where the employee has exceeded the 401(k)/403(b) limit	Mandatory				
90	Shall produce a view of all members that have reached the 401(k)/403(b) limit	Mandatory				
91	Shall provide the ability reset the Tier 2 salary cap (annual limit) flag for the fiscal year	Mandatory				
92	Shall provide the ability for CTPF to enter the Tier 2 salary cap limit amount (parameter)	Mandatory				
93	Shall automatically identify any member hitting against the Tier 2 salary cap limit amount and calculate the partial/full amount to reach the cap	Mandatory				
94	Shall automatically cap any employer transmittal record where the employee has exceeded the Tier 2 salary cap limit	Mandatory				
95	Shall produce a view of all members that have reached the Tier 2 salary cap limit amount	Mandatory				
96	Shall provide the ability to identify eligible and non-eligible position types (e.g., Accountant, clerical staff, etc. See Appendix for Administrative Rules)	Mandatory				

Functional Area: Employer Reporting			**Bidder Must Respond to at least one item below for each Commitment**			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
97	Shall provide the ability for employers to update disability information (e.g., salary and wage report) in employer portal	Mandatory				
98	Shall provide the ability to identify other salary scenario (e.g., disability pay, maternity leave)	Mandatory				
99	Shall generate Accts Receivable GL when CTPF initiates a non-current adjustment	Mandatory				
100	Shall provide the ability to automatically generate letter to the member or employer for the employee portion when retro adjustment comes in for a member who is no longer employed by the employer	Mandatory				
101	Shall produce a view of terminated employees with an account balance who have not taken a distribution as defined by CTPF	Mandatory				
102	Shall provide a view and report of members based on CTPF parameters (e.g., based on age)	Mandatory				
103	Shall prevent transmittals from posting prior to pay date unless overridden by CTPF	Mandatory				
104	Shall provide the ability for a CTPF user to enter adjustment transactions for a withdrawn employer	Mandatory				
105	Shall, for a CTPF-entered adjustment for a withdrawn employer, prevent all notifications to employer	Mandatory				
106	Shall track dates and results of Employer Reporting audits performed by CTPF	Mandatory				
107	Shall provide the ability to systematically tie-out Wire Memo Amounts against the Reporting	Mandatory				
108	Shall provide the ability to create a workflow if a discrepancy occurs against the Wire Memo and Wage Reporting	Mandatory				
109	Shall provide the ability to apply late fee billing on a member level (today is on a file level)	Mandatory				
110	Shall provide the ability for 3rd party reporters (e.g., staffing agency) to enter, view and correct payroll data for employees of the 3rd party working for the charter. Only charter resources (e.g., pension officer) would have the ability to submit the 3rd party data to CTPF.	Optional				
111	Shall only allow 3rd party reporters (e.g., staffing agency) to view and edit data associated with their employees within a charter. (Cannot see employee data of other charter employees)	Optional				
112	Shall provide the ability for charter resources (e.g., pension officer) to submit data provided from 3rd party reporters (e.g., staffing agency)	Optional				

4.2.11 – Employer Setup

The Commitments stated in this section pertain to CTPF's employer setup functionality.

Functional Area: Employer Setup			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide a data entry screen to set-up a new employer within the new system	Mandatory				
2	Shall provide effective dates for an employer's entry into the plan and keep a history of all dates	Mandatory				
3	Shall provide the ability to maintain employer status (e.g., inactive, active, closed) with effective dates	Mandatory				
4	Shall provide the ability to associate members and their accounts to a merged or split employer(s)	Mandatory				
5	Shall track employers and provide a view of employers by type (CPS, Charter School, Illinois Federation of Teachers, Chicago Teachers Union, CTPF)	Mandatory				
6	Shall provide the ability to setup multiple units within an employer and an employee hierarchy (pay groups) in each unit	Mandatory				
7	Shall provide a set and view of other employer-level parameters defined by CTPF (e.g., Separate sick days from vacation days (Y/N), Pre & Post Tax)	Mandatory				
8	Shall provide the ability to set employer and member contribution rates by employer, requiring that the combination of the two rates equals x (Configurable parameter, today the two equal 9)	Mandatory				
9	Shall capture historical rates and factors (Contribution Plan - 9% Split) with effective dates so that retroactive calculations use the appropriate data	Mandatory				
10	Shall provide the ability to notify employers on changes approved/denied (e.g., pay calendar approval) made to their account, as defined by CTPF	Mandatory				
11	Shall provide the ability to notify employers approaching deadline/late reporting pension contributions	Mandatory				
12	Shall, for employers (e.g., CPS, Charter schools, other Employers) have a secure web login with individual user IDs	Mandatory				
13	Shall provide the employer with an "administrator" function (e.g., pension officer) that can setup other employer contacts and authorize access by individual to different self-service functions	Mandatory				

Functional Area: Employer Setup			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
14	Shall provide the ability for a charter administrator (e.g., pension officer) to setup 3rd party reporting resources (e.g., staffing agency) in the employer portal for the purpose of entering, viewing and correcting payroll data for employees of the 3rd party working for the charter.	Optional				
15	Shall provide multiple contacts types for an employer	Mandatory				
16	Shall provide for each contact multiple addresses and address types, phone numbers, fax and emails and ability to contact via multiple/various distribution groups	Mandatory				
17	Shall provide the ability to specify preferred communication method for each employer contact	Mandatory				
18	Shall provide a report to CTPF identifying Employer Contacts that have been terminated from the employer	Mandatory				
19	Shall provide the ability to send an annual revalidation request to employers to validate their contacts	Mandatory				
20	Shall provide the ability to capture and upload employer information (e.g., Charter agreement)	Mandatory				
21	Shall provide employers access to employer related forms, annual reports, rate information and other employer data, as defined by CTPF	Mandatory				
22	Shall provide employers a dashboard showing payroll related data and statuses (e.g., pay period, number of days late reporting, upcoming payroll submission, data discrepancies, pending adjustments, etc.)	Mandatory				
23	Shall provide the ability for employers to define and maintain payroll schedules/calendars including pay periods (when earned), pay dates (when paid), and payroll cycles, based on CTPF business rules	Mandatory				
24	Shall provide the ability to notify CTPF when employer data changes	Mandatory				
25	Shall provide the ability to automatically generate a Welcome letter/Closing Letter to the Employer	Mandatory				
26	Shall provide a Help Desk mechanism requesting CTPF assistance within the Employer portal	Mandatory				
27	Shall provide the ability to send follow-up communications to employers (e.g., Emails, Surveys, Training, etc.)	Mandatory				
28	Shall provide the ability for CTPF staff to track and report on litigation status for employers	Mandatory				
29	Shall provide the ability for CTPF staff to track and report on schools closed with an open school	Mandatory				

Functional Area: Employer Setup			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
30	Shall provide the ability for CTPF staff to track and report on single vs multi-network schools and which school fall under which charter holder umbrella	Mandatory				

4.2.12 – Health Insurance (Annuitants Only)

The Commitments stated in this section pertain to CTPF's annuitant health insurance functionality.

Functional Area: Health Insurance (Annuitants Only)			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide the ability to determine annuitant health insurance eligibility (who is eligible, those who are not) based on CTPF business rules (e.g., annuitant, dependent, survivor, etc.)	Mandatory				
2	Shall provide the ability to notify member (onscreen, notification, letter) when member is ineligible for CTPF health insurance. Sometimes this is known in real-time, other times it needs to be determined with reciprocal systems.	Mandatory				
3	Shall have the pension and benefits modules work together in real time to provide a unified online health insurance application as part of the retirement application process based on CTPF business rules (e.g., eligible benefits and associated premiums, setup health insurance benefits upon CTPF approval, etc.)	Mandatory				
4	Shall provide the ability for annuitants to enroll in annuitant health insurance as part of the online retirement application process, or a standalone enrollment (e.g., Medicare application, dependent, survivor, etc.)	Mandatory				

Functional Area: Health Insurance (Annuitants Only)			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
5	Shall provide the ability to enroll in annuitant health insurance through the submission of paper forms	Mandatory				
6	Shall provide the ability to prepopulate, display and edit annuitant data (e.g., address, mobile phone, email address, etc.)	Mandatory				
7	Shall provide the ability to create custom flags on annuitant record (e.g., participant does not want benefits in the future or outreaches)	Mandatory				
8	Shall provide the ability to generate prepopulated forms (Member data, including MemberID) for all annuitant health insurance correspondence	Mandatory				
9	Shall provide the ability to configure validation edits and messaging (errors, warnings, instructions, etc.) for the online application and internal workflow processing (e.g., Validate Medicare ID, duplicate enrollment, dates of eligibility, terminated properly, A&B 90-day enrollment rule and effective dates, etc.)	Mandatory				
10	Shall provide the ability for all available options for selection to be displayed to the annuitant, including links to additional materials (e.g., publications, education, webinars, website) and informational onscreen text	Mandatory				
11	Shall provide the ability to display a comparison of benefit plans available to the participant (e.g., premiums, coverage level, co-pays, etc.)	Mandatory				
12	Shall provide the ability to display a comparison of current benefit selections and new available options based on business rules while entering an enrollment event	Mandatory				
13	Shall provide the ability to model health care costs based on proposed benefits selections (prior to selecting)	Mandatory				
14	Shall provide the ability to capture dependent information as part of the enrollment process	Mandatory				
15	Shall provide the ability to upload required documentation as part of the enrollment application (e.g., annuitant related, dependent related, etc.)	Mandatory				
16	Shall provide the ability to launch a health insurance enrollment workflow based on annuitant selections for CTPF processing	Mandatory				
17	Shall provide the ability to update or override application or submitted data related to an enrollment, based on user role	Mandatory				
18	Shall require notes to be entered whenever an override is performed	Mandatory				

Functional Area: Health Insurance (Annuitants Only)			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
19	Shall launch a workflow requesting secondary approval on any health insurance update or override, based on user role and business rules (if manager, secondary approval is not necessary)	Mandatory				
20	Shall provide an audit trail of any overrides/updates made to health insurance data	Mandatory				
21	Shall provide the ability to process multiple open events on a single participant (e.g., turning 65 during open enrollment, return to work scenario, etc.)	Mandatory				
22	Shall provide the ability for CTPF to configure valid Qualifying Life Events (QLE) (e.g., marriage, divorce, birth, death, Medicare eligible, etc.) and associated rules	Mandatory				
23	Shall provide the ability for annuitants to submit a QLE through web self-service or submission of paper forms, as defined by CTPF	Mandatory				
24	Shall provide the ability to configure validation edits and messaging (errors, warnings, instructions, etc.) for the online submission and internal workflow processing	Mandatory				
25	Shall provide the ability to notify annuitant (onscreen, notification, letter) when additional data has been added to annuitant's file (e.g., previously unknown marriage/divorce/death) outside of QLE	Mandatory				
26	Shall initiate appropriate workflow for QLE, capturing required information based on life event, as defined by CTPF	Mandatory				
27	Shall provide the ability to determine eligibility for the QLE for each participant and/or dependent based on CTPF's benefit rules	Mandatory				
28	Shall prevent participants from making changes to benefit options outside of the enrollment periods and QLEs	Mandatory				
29	Shall provide the ability to make changes to enrollment selections until configured cutoff date of an enrollment event, based on CTPF business rules.	Mandatory				
30	Shall provide the ability to provide selections for other optional coverages (e.g., dental, vision, life, etc.). These coverages would not include CTPF subsidies.	Mandatory				
31	Shall provide the ability to notify participants of health insurance updates as determined by CTPF (e.g., confirmation of benefits, QLE updates, important dates, receipt of documentation, etc.)	Mandatory				
32	Shall provide the ability to notify annuitants of insurance related events (e.g., Medicare Birthday Party, OE webinars, etc.)	Mandatory				

Functional Area: Health Insurance (Annuitants Only)			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
33	Shall provide the ability to apply coverage changes or adjustments (e.g., disenrollment, recoup of subsidy) retroactively based on CTPF business rules and incorporate the retroactive changes to subsequent event(s) from the retroactive date	Mandatory				
34	Shall provide the ability to launch a workflow for retroactive adjustments and calculate the amount owed from annuity and parameter/payment timeframe	Mandatory				
35	Shall provide the ability to override a retroactive adjustment	Mandatory				
36	Shall require notes to be entered whenever an adjustment override is performed	Mandatory				
37	Shall launch a workflow requesting secondary approval on any adjustment override, based on user role and business rules (if manager, secondary approval is not necessary)	Mandatory				
38	Shall provide an audit trail of any adjustment override made to health insurance data	Mandatory				
39	Shall provide the ability to prevent 'duplicate benefits coverage' when assigning benefits (e.g., already an annuitant receiving benefits but being submitted as a dependent)	Mandatory				
40	Shall provide the ability to notify participants approaching certain age/milestone to inform them of Medicare and other insurance options available to them (e.g., annuitant approaching 65, COBRA coverage nearing end, notify of Medicare Birthday Parties), as defined by CTPF	Mandatory				
41	Shall provide the ability to integrate data with Medicare applications (e.g., CMS, Medicare Vendors, etc.)	Mandatory				
42	Shall provide the ability to determine Medicare status and provide the appropriate benefit options based on Medicare guidelines and CTPF business rules	Mandatory				
43	Shall provide the ability to configure fields to collect and maintain key Medicare information (e.g., Medicare Beneficiary Identifier (MBI), Part A effective date, Part B effective date)	Mandatory				
44	Shall provide the ability to enroll or disenroll participant in Medicare plans (e.g., A, B, Humana (MAPD), Express Scripts, etc.) based on when key Medicare information is received as defined by Medicare guidelines and CTPF business rules	Mandatory				
45	Shall provide the ability for "Freedom of Movement" for switching between Non-Medicare plans or Medicare Plans based on Medicare guidelines and CTPF business rules	Mandatory				

Functional Area: Health Insurance (Annuitants Only)			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
46	Shall provide the ability for annuitants to submit supporting data and documentation (e.g., proof of bill and payment) for Non-CTPF plan subsidy through web self-service or submission of paper forms, as defined by CTPF	Mandatory				
47	Shall provide the ability to launch workflow to process submitted Non-CTPF plan subsidy information, including all submitted documentation	Mandatory				
48	Shall provide the ability to enter and calculate the appropriate Non-CTPF subsidy amount based on CTPF business rules and data submitted by annuitant	Mandatory				
49	Shall provide the ability to override a Non-CTPF calculated subsidy amount	Mandatory				
50	Shall require notes to be entered whenever a Non-CTPF subsidy override is performed	Mandatory				
51	Shall launch a workflow requesting secondary approval on any Non-CTPF subsidy override, based on user role and business rules (if manager, secondary approval is not necessary)	Mandatory				
52	Shall provide an audit trail of any Non-CTPF subsidy override	Mandatory				
53	Shall provide the ability for CPS' HR system provider (currently Payflex) to securely upload COBRA related data	Mandatory				
54	Shall provide the ability for CTPF to automatically upload CPS COBRA related data (e.g., monitoring a secure file location)	Mandatory				
55	Shall provide the ability to launch workflow to process exceptions (e.g., newly identified enrollments, plan change resulting in over/under payment) identified in CPS COBRA data	Mandatory				
56	Shall provide the ability to override all exceptions, based on user role	Mandatory				
57	Shall require notes to be entered whenever an exception override is performed	Mandatory				
58	Shall launch a workflow requesting secondary approval on any exception override, based on user role and business rules (if manager, secondary approval is not necessary)	Mandatory				
59	Shall provide an audit trail of any exception override made to health insurance data	Mandatory				
60	Shall provide the ability to integrate and support federal programs, ACA changes, legislation changes, for CTPF's existing Heath Benefit Plans (e.g., setup, effective dates, setup file integration, program rules applied to CTPF health insurance plans, etc.)	Mandatory				

Functional Area: Health Insurance (Annuitants Only)			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
61	Shall provide the ability to configure and support multiple enrollment windows (e.g., Annual Enrollment, QLEs, Retroactive changes)	Mandatory				
62	Shall provide the ability to display participant's benefit elections and associated premiums for any given effective date	Mandatory				
63	Shall provide full self-service reporting capabilities (not requiring IT assistance) on all health insurance data in LOB. (e.g., creation/edit/deletion of reports based on any data in system)	Mandatory				
64	Shall provide the ability to create ad hoc and scheduled data extracts for sending information to external providers	Mandatory				
65	Shall provide the ability to launch a workflow to review data extract information prior to sending to provider	Mandatory				
66	Shall provide the ability to configure and send notifications to different health insurance participants/groups (e.g., annuitants, Medicare eligibles, COBRA participants, survivors, etc.)	Mandatory				
67	Shall provide the ability to generate benefit verification letters (e.g., health insurance enrollment)	Mandatory				
68	Shall provide the ability for CTPF to override a participant benefit election (after enrollment), based on user role	Mandatory				
69	Shall require notes to be entered whenever an override is performed	Mandatory				
70	Shall launch a workflow requesting secondary approval on any benefit update or override, based on user role (if manager, secondary approval is not necessary)	Mandatory				
71	Shall provide an audit trail of any corrections made to benefit data	Mandatory				
72	Shall provide the ability to pend dependent benefit enrollment and kick off dependent verification process (performed in house or automatically via application, if applicable)	Mandatory				
73	Shall provide the ability to consider historical status during dependent enrollment verification to prevent enrollment of previously denied dependents	Mandatory				
74	Shall provide the ability to consider historical status of annuitants' previous enrollments in order to permit/deny re-entry based CTPF business rules (One time opt-in)	Mandatory				
75	Shall show annuitant benefit selections and payments made to cover cost of selected benefits (e.g., CTPF subsidy, annuity deductions, direct payment by the annuitant)	Mandatory				
76	Shall provide the ability to launch a workflow for health insurance updates based on a reported death and other QLEs	Mandatory				

Functional Area: Health Insurance (Annuitants Only)			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
77	Shall maintain the data relationship between the annuitant and historical billing records	Mandatory				
78	Shall maintain and provide a view of year-to-date and life-to-date balances of total health insurance deductions and subsidies applied to each annuitant	Mandatory				
79	Shall provide the ability to apply subsidies to annuitant's insurance premium, based on CTPF's business rules (e.g., CTPF subsidy, other subsidies)	Mandatory				
80	Shall provide the ability to deduct health insurance costs from an annuitant	Mandatory				
81	Shall notify the annuitant of the deductions being taken the first time	Mandatory				
82	Shall provide the ability to direct bill annuitants when annuity doesn't fully cover health insurance costs	Mandatory				
83	Shall provide the ability to direct bill participants for COBRA related payments based on CTPF business rules (e.g., Survivor continuation, special COBRA situations, etc.)	Mandatory				
84	Shall provide the ability to set up direct bill parameters as defined by CTPF (e.g., billing frequency, invoice dates, due dates, etc.)	Mandatory				
85	Shall provide the ability to establish and process direct payment types for direct billing (e.g., ACH, credit card, debit card, etc.)	Mandatory				
86	Shall provide the ability to interface payments and related data from CTPF financial systems (aggregate and individual)	Mandatory				
87	Shall reconcile the provider billing details posted to the system to a billing period ending date	Mandatory				
88	Shall provide the ability to load current/adjusted Medicare information for reconciliation to CTPF data/information	Mandatory				
89	Shall provide the ability to identify and reconcile by exception participant changes, deduction/payment data, and health insurance billing data by provider (e.g., QLE, enrollment, cancellations, adjustments, etc.)	Mandatory				
90	Shall provide the ability to retroactively cancel one coverage for an annuitant, setup a new coverage going back to retroactive date, and calculate the difference in premiums for the annuitant	Mandatory				
91	Shall produce a view for a CTPF-specified date range showing anyone on billing report who should not billed (e.g., deceased member, disenrolled member, no longer eligible based on CTPF business rules, etc.)	Mandatory				

Functional Area: Health Insurance (Annuitants Only)			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
92	Shall produce a view by provider comparing annuitant's insurance costs with the previous month to identify changes (e.g., annuitants whose insurance purchase is x percent (parameter) higher or lower than previous month, insurance purchase reported as zero, etc.)	Mandatory				
93	Shall provide a view showing all insurance costs, subsidies, enrollments and pension head counts by month for fiscal and calendar year (Health Insurance Accounts Payable Report - Current report used)	Mandatory				
94	Shall provide the ability to handle over/under payments (e.g., apply to future deductions, paid to annuitant)	Mandatory				
95	Shall provide the ability to notify the annuitant of an over/under payment scenario and how it will be managed	Mandatory				
96	Shall prevent health insurance deduction for member who has a suspended benefit	Mandatory				
97	Shall provide the ability to generate enrollment files to be submitted for each provider (based on provider specifications) and CTPF defined frequency	Mandatory				
98	Shall provide the ability for health insurance providers to securely upload billing reports to CTPF through the web-based solution	Mandatory				
99	Shall provide the ability to submit notes with a billing report	Mandatory				
100	Shall provide the ability for CTPF to upload billing reports into the system	Mandatory				
101	Shall create a workflow for the review and automated processing of billing reports	Mandatory				
102	Shall validate all incoming health insurance billing reports from providers, based on CTPF business rules	Mandatory				
103	Shall provide the ability to reproduce views and associated errors for all health insurance reports (current and past)	Mandatory				
104	Shall provide the ability to edit a single annuitant record (add, change or delete) associated with an existing report that has not been posted	Mandatory				
105	Shall provide the ability to automatically notify if an annuitant is not on the current report, but was on the previous cycle's report	Mandatory				
106	Shall provide the ability to delete unposted billing reports that were submitted in error providing a full audit of activities, based on user role	Mandatory				
107	Shall provide a real-time summary of any billing report received from a health insurance provider, including batch totals and number of detail records	Mandatory				

Functional Area: Health Insurance (Annuitants Only)			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
108	Shall provide the ability to send payment prior to CTPF receiving the actual billing report	Mandatory				
109	Shall provide the ability to default the health insurance provider billing report to the previous billing report if one is not sent in by x days after the expected date	Mandatory				
110	Shall provide the ability for CTPF staff to override/correct billing entries after being posted	Mandatory				
111	Shall require notes to be entered whenever an override is performed	Mandatory				
112	Shall launch a workflow requesting secondary approval on any billing override, based on user role (if manager, secondary approval is not necessary)	Mandatory				
113	Shall provide an audit trail of any corrections made to billing data	Mandatory				
114	Shall provide the ability to notify health insurance providers of important information (e.g., delinquent reporting)	Mandatory				
115	Shall provide a view of the billing records received that have not been posted	Mandatory				
116	Shall prevent a health insurance billing report for a reporting period to be posted twice	Mandatory				
117	Shall allow multiple transactions per annuitant and dependents per reporting period (e.g., deductions, changes to monthly payment)	Mandatory				
118	Shall provide the ability to enter a single billing record that will span multiple periods (e.g., retroactive adjustments)	Mandatory				
119	Shall provide a view of billing data by health insurance provider billing reports or by periods determined by CTPF (e.g., weekly, bi-weekly, monthly)	Mandatory				
120	Shall create payment based on an accepted health insurance provider billing report, based on CTPF's business rules	Mandatory				
121	Shall provide a view showing all health insurance provider billing reports received, and summary data given a CTPF defined date range	Mandatory				
122	Shall provide the ability for the health insurance provider to view payments through the web-based solution	Mandatory				
123	Shall provide the ability to automatically calculate the payment that is due to the health insurance provider	Mandatory				
124	Shall provide the ability for CTPF to view (read-only) the same view as the health insurance provider to help resolve questions, based on user role	Mandatory				

425 South Financial Place Suite 1400
Chicago, IL 60605-1000

Functional Area: Health Insurance (Annuitants Only)			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
125	Shall provide a summary of billing records posted and related information in the health insurance provider web portal, as defined by CTPF	Mandatory				
126	Shall provide the ability to maintain health insurance providers billing reporting instructions; FAQs; and a detailed user guide	Mandatory				
127	Shall provide the ability to systematically and manually load rate table data for plan benefits (e.g.- new plan year with new rates)	Mandatory				
128	Shall provide the ability to configure validation edits and error messaging for the automated loading or manual entry of new/existing benefit plan information to enforce data quality rules (e.g., percentage threshold, rates do not exceed maximum, etc.)	Mandatory				
129	Shall provide the ability to setup and configure any benefits-related data (e.g., future start date, open-ended end date, coverage effective date, premium effective date, pre- and post-tax premiums, etc.) as defined by CTPF	Mandatory				
130	Shall provide the ability to report on benefits related data (e.g., report identifying approaching coverage end dates, other CTPF criteria)	Mandatory				
131	Shall provide the ability to configure benefit relationship rules (e.g., ensuring annuitant is linked to dependent and vice-versa, selecting a Medicare plan automatically enrolls participant in x.)	Mandatory				
132	Shall provide a view of all benefits related set-up data	Mandatory				
133	Shall provide the ability to update monthly rate for all people enrolled in a plan/option	Mandatory				
134	Shall provide the ability to make mass deduction updates due to rate changes	Mandatory				
135	Shall provide the ability health insurance recipient to pay any remaining balance as a one-time payment to CTPF	Mandatory				
136	Shall provide the ability to show adjustment calculation details for any change made to premium deductions (web self-service and CTPF generated)	Mandatory				
137	Shall create an automated solution to handle the annual rebate process, including calculating the correct rebate and ability to send detailed communications to the participants (annuitant passing on health insurance through CTPF and getting elsewhere)	Mandatory				

4.2.13 – Imaging

The Commitments stated in this section pertain to CTPF's imaging functionality.

Functional Area: Imaging			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide a document management solution that can integrate to the LOB including image capture, document management, as well as integration with workflow and web self service	Mandatory				
2	Shall provide the ability to search and view documents by document metadata (e.g., Document Type, MemberID, SSN, etc.), based on CTPF user roles and security	Mandatory				
3	Shall provide the ability to search and view documents using a parameter or keyword (content searches), based on CTPF user roles and security	Mandatory				
4	Shall automatically launch workflows when a document is scanned and indexed (auto classify based on metadata), as defined by CTPF	Mandatory				
5	Shall provide the ability to access and link/unlink associated documents from a specific workflow, tracking what changed, the user, and date/time, based on CTPF user roles and security	Mandatory				
6	Shall provide the ability associate an incoming document with a current in-process workflow (rendezvous), as defined by CTPF (e.g., missing information sent in for a retirement application)	Mandatory				
7	Shall provide the ability to link document to multiple contacts, members, beneficiaries, etc. (e.g., POA documentation sent in for beneficiary who is also a member, being able to see document(s) on both accounts), based on CTPF user roles and security	Mandatory				
8	Shall automatically keep the LOB and the document management solution's metadata in sync (e.g., LOB data has changed), tracking all synchronization changes	Mandatory				
9	Shall provide the ability for electronic markup (annotations) on the document including the ability to track the user and date/time, based on CTPF user roles and security	Mandatory				
10	Shall provide the ability to redact information in documents based on CTPF user roles and security	Mandatory				
11	Shall provide the ability for a user to replace or delete a document, tracking the user and date/time, based on CTPF user roles and security	Mandatory				

Functional Area: Imaging			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
12	Shall provide the ability for a secondary approval workflow when a user replaces or deletes a document, as defined by CTPF	Mandatory				
13	Shall provide the ability for a user to update the document metadata, tracking the user and date/time, based on CTPF user roles and security	Mandatory				
14	Shall convert existing documents/images, document content and document metadata from CTPF's current document management system(s) (Application Xtender, FADV (converted microfilm/fiche), Pension Gold)	Mandatory				
15	Shall run a process to ensure OCR capabilities on all documents that do not have document content associated with them for content searching in new system	Mandatory				
16	Shall store all scanned documents in a consistent format (e.g., pdf or tiff) as defined by CTPF	Mandatory				
17	Shall provide the ability to barcode all outbound documents	Mandatory				
18	Shall provide the ability to read barcodes and perform Optical Character Recognition (OCR) as part of the capture process, as defined by CTPF	Mandatory				
19	Shall provide the ability to re-package/re-separate documents (e.g., scanner didn't separate documents correctly)	Mandatory				
20	Shall provide the ability to track (e.g., username, date, time, etc.) who has accessed a document (HITECH requirement)	Mandatory				
21	Shall integrate with other business applications, as defined by CTPF	Mandatory				
22	Shall provide the ability to access the imaging system from multiple platforms (e.g., desktop, laptop, mobile, tablet, etc.)	Mandatory				
23	Shall provide the ability to access the imaging system over any internet connection speed	Mandatory				
24	Shall provide the ability to capture images when not online and synch when connected (e.g., scanning a member document at seminar)	Mandatory				
25	Shall provide the ability to extend certain functionality to members (e.g., upload documents through web self-service, view documents through web self-service), as defined by CTPF	Mandatory				
26	Shall provide the ability to encrypt documents at rest and in transit	Mandatory				
27	Shall accommodate one or more retention policies as defined by CTPF	Mandatory				
28	Shall provide the ability to archive or purge documents as defined by CTPF	Mandatory				

Functional Area: Imaging			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
29	Shall provide access to archived documents based on user roles and CTPF security	Mandatory				
30	Shall provide reports/dashboards for various imaging metrics and operational functions (e.g., number of new documents added per day/by doc type, number of documents scanned by a user, number of documents "accessed" by user, etc.) without IT involvement	Mandatory				
31	Shall provide the ability to export imaging related reports (e.g., Excel, PDF)	Mandatory				
32	Shall provide administration tools and system health views for the document management system	Mandatory				
33	Shall provide administrative reports providing detailed information around users, groups, roles, security and access	Mandatory				
34	Shall provide the ability to export administrative reports (e.g., Excel, PDF) for audit reporting	Mandatory				
35	Shall provide imaging APIs for document import, document export, and integration with document data	Mandatory				
36	Shall provide the ability to integrate with Microsoft office for the adding and viewing of documents	Mandatory				
37	Shall provide data validations during document indexing, as defined CTPF (e.g., document received date)	Mandatory				
38	Shall provide the ability to automatically index a new document based on application context (e.g., pull member data through if on a member record in PAS, or member is uploading a document through web self-service) to prevent potential errors (e.g., document going to wrong account, wrong document type, etc.)	Mandatory				

4.2.14 – Late Fee Reporting

The Commitments stated in this section pertain to CTPF's late fee reporting functionality.

Functional Area: Late Fee Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall automatically launch a workflow to complete late fee processing with the necessary approval steps, identifying aging report data (e.g.,	Mandatory				

Functional Area: Late Fee Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
	30-day, 60 day, etc.), and providing links to the appropriate documents (e.g., receivable, estimated invoice, actual invoice, etc.)					
2	Shall calculate and apply fees related to late fee reporting based on CTPF's business rules (See Appendix for CTPF Administrative Rules)	Mandatory				
3	Shall provide the ability to create estimated late fee invoices based on a date driven parameter (defined by CTPF)	Mandatory				
4	Shall provide the ability to override the date driven parameter, based on user role	Mandatory				
5	Shall require notes to be entered whenever an override is performed	Mandatory				
6	Shall launch a workflow requesting secondary approval on any late fee override, based on user role (if manager, secondary approval is not necessary)	Mandatory				
7	Shall provide an audit trail of any corrections made to late fee data	Mandatory				
8	Shall provide the ability to include a detailed line-item breakdown (e.g., Charter Holder, Employer Name, Pay Period End Date, Pay Date, # of days late, Contributions, Statutory Penalty, Interest, etc.) for individual late fee charges included on an invoice (estimated or actual)	Mandatory				
9	Shall provide the ability to include notes and other supporting information on an invoice	Mandatory				
10	Shall provide the ability to recalculate and convert an estimated invoice to an actual invoice, and only bill on the actual invoice based on employer reported contributions and money for the respective pay period	Mandatory				
11	Shall provide the ability to email late fee invoices (estimate or actual) to designated employer contact(s)	Mandatory				
12	Shall provide the ability to create a receivable for the actual invoice when payments have been received as late fee reporting calculation as defined by CTPF	Mandatory				
13	Shall provide the ability to manually create a receivable from the late fee process workflow (button)	Mandatory				
14	Shall provide the ability to upload an employer's late fee invoice to CTPF's imaging system	Mandatory				
15	Shall provide a view/report month to month late fee reporting entries (Monthly Late Fee Report)	Mandatory				

Functional Area: Late Fee Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
16	Shall provide the ability to assess expenses, including reasonable attorneys' fees, incurred in the collection of delinquent contributions	Mandatory				

4.2.15 – Lump Sum Payroll (Weekly)

Functional Area: Lump Sum Payroll (Weekly)			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
1	Shall support different check payment types (e.g., original, replacement)	Mandatory				
2	Shall have the ability to disburse any payment via ACH with valid banking information and pre-note accounts	Mandatory				
3	Shall produce payments from any CTPF account(s) (Currently one account)	Mandatory				
4	Shall provide the ability to maintain multiple payee types for a person (e.g., annuitant, beneficiary)	Mandatory				
5	Shall accommodate the combination of checks and direct deposits for multiple payments	Mandatory				
6	Shall provide the ability to capture, update, and validate bank routing numbers real time and cross match with financial institution name and address	Mandatory				
7	Shall allow for federal and Illinois withholdings, based on CTPF business rules	Mandatory				
8	Shall support various deductions from any type of cash disbursement made in the system (e.g., IRS levy, legal orders, insurance deductions, etc.) with valid payee	Mandatory				
9	Shall provide the ability to manage lost, destroyed checks,	Mandatory				
10	Shall provide the ability to notify recipient of a lost check affidavit	Mandatory				
11	Shall provide the ability to manage stolen checks (forgery)	Mandatory				
12	Shall provide the ability to capture information for cancellations (e.g., statute of limitations, destroyed, stolen checks)	Mandatory				
13	Shall record all types of stop payments, including the date of stop payment and a reason for the stop payment	Mandatory				

Functional Area: Lump Sum Payroll (Weekly)			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
14	Shall provide the ability to automatically flag returned payments (e.g., checks and ACH deposits)	Mandatory				
15	Shall provide the ability to notify JPM of stop payments (e.g., stop payment file)	Mandatory				
16	Shall provide the ability to notify recipient of a stop payment and reason	Mandatory				
17	Shall provide the ability to reissue a check or ACH payment	Mandatory				
18	Shall provide the ability to notify recipient of a reissued payment and reason	Mandatory				
19	Shall provide the ability for CTPF to provide a parameter indicating the timeframe in which a check is stale dated	Mandatory				
20	Shall interface with JPM to reconcile and report on status of payments, including positive pay	Mandatory				
21	Shall provide the ability to update direct deposit pre-note failures and generate appropriate workflow	Mandatory				
22	Shall have the ability to enter expedited payment information into the system (e.g., information for one-time special checks, checks needed immediately)	Mandatory				
23	Shall provide the ability to generate a workflow requesting secondary approval for expedited check	Mandatory				
24	Shall provide the ability to notify payee after predetermined number of consecutive ACH rejects	Mandatory				
25	Shall provide the ability to flag an address as invalid if a check is returned	Mandatory				
26	Shall notify check recipient if their check is returned (undelivered)	Mandatory				
27	Shall provide the ability for CTPF to produce payments as required or on a schedule	Mandatory				
28	Shall process a member's pre and post-tax contribution receipts for any payment type	Mandatory				
29	Shall capture and maintain rollover related information (e.g., taxable and non-taxable dollars, specific amount to be rolled, financial institution information, standard disbursement information)	Mandatory				
30	Shall provide the ability for payees (e.g., member, retiree, survivor) to select to receive their payment stub via preferred communication method	Mandatory				
31	Shall provide the ability for payees (e.g., member, retiree, survivor) to view payment information online through the web self service	Mandatory				

425 South Financial Place Suite 1400
Chicago, IL 60605-1000

Functional Area: Lump Sum Payroll (Weekly)			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
32	Shall flag an exact duplicate payment in a given month when two or more payments are made to the same member	Mandatory				
33	Shall provide query capability and resulting view for auditing payments (e.g., multiple payments to account, number of checks to particular address)	Mandatory				
34	Shall produce refund views identifying the monthly journal entries posted to GL and a summary of all separations, taxes, and adjustments	Mandatory				
35	Shall produce pension views identifying the monthly journal entries posted to GL and a summary of all pension payrolls, taxes, and adjustments	Mandatory				
36	Shall provide an aging view of checks, by type, that have not been cashed	Mandatory				
37	Shall notify a payee recipient of an uncashed check based on a time-based parameter defined by CTPF	Mandatory				
38	Shall notify the affected financial institutions of ACH-related concerns/issues, including any recalls	Mandatory				
39	Shall provide a view of cash disbursement information that is needed to complete bank reconciliation processes	Mandatory				
40	Shall produce, at the conclusion of every check run, a view of the number of checks sent to be printed and the total amount of all checks to be printed	Mandatory				
41	Shall provide the ability to combine all linked accounts onto one check to be printed	Mandatory				
42	Shall save all payment types that are in process, and provide the ability to retrieve and update the incomplete record(s) once additional data is received	Mandatory				
43	Shall provide the ability to add free format and predefined comments to specific checks based on user-defined parameter (e.g., all checks, individual check, COLA checks, by benefit type)	Mandatory				
44	Shall provide the ability for “bulk” changes in bank routing numbers (supporting bank mergers) for direct deposit, based on CTPF business rules	Mandatory				
45	Shall aggregate payroll deductions of the same type and issue payment to the appropriate entity	Mandatory				
46	Shall provide recipient of payroll deductions a register of payees and deduction amounts	Mandatory				

Functional Area: Lump Sum Payroll (Weekly)			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
47	Shall provide CTPF the ability to control priority of deductions	Mandatory				
48	Shall provide reporting on deductions not taken due to insufficient funds	Mandatory				
49	Shall provide the ability to pull selected payments from file prior to submitting	Mandatory				
50	Shall provide the ability to pull selected checks from check run prior to printing	Mandatory				
51	Shall provide the ability to create offsetting transactions when a payment is pulled from file/check run	Mandatory				
52	Shall provide the ability to apply legal order(s) to any payee	Mandatory				
53	Shall support zero and positive check amounts, but only generate checks with positive amounts	Mandatory				
54	Shall generate a view that identifies any negative net check amount	Mandatory				
55	Shall provide view of summary payment roll-ups for multiple transactions for a given member or retiree	Mandatory				
56	Shall create an export file of bank transactions (payments) and related GL journal entries to be imported into CTPF accounting system	Mandatory				
57	Shall support a reconciliation process against CTPF accounting system for all payment transactions	Mandatory				
58	Shall be able to suspend an account from any payment being made when account is locked	Mandatory				
59	Shall launch a secondary workflow requesting manager and leadership approval for benefit payments in excess of a specified amount, as defined by CTPF (currently 50k)	Mandatory				
60	Shall launch a workflow allowing for the review (e.g., batch summary information, list of payments, etc.) and approval(s) of a lump sum payments batch	Mandatory				
61	Shall provide the ability to override benefit status (e.g., suspend, activate)	Mandatory				
62	Shall require notes to be entered whenever an override is performed	Mandatory				
63	Shall launch a workflow requesting secondary approval on any benefit status update or override, based on user role (if manager, secondary approval is not necessary)	Mandatory				
64	Shall provide an audit trail of any update or override made to benefit status	Mandatory				

4.2.16 – Member Record Maintenance

The Commitments stated in this section pertain to CTPF's member record maintenance functionality.

Functional Area: Member Record Maintenance			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide the ability to produce a Welcome packet for new members based on CTPF business rules	Mandatory				
2	Shall provide a view to display a member's master record including addresses, beneficiary information, all employment history, corresponding wage and contribution history, interest posting, service credit and refunds (all member/annuitant account transactions), based on user role	Mandatory				
3	Shall provide the ability to print or export a member's master record, in a user-friendly format, including address, beneficiary information, all employment history, corresponding wage and contribution history, interest posting, service credit and refunds (all member/annuitant account transactions) and select all transaction history, just print the yearly roll-ups, or a single transaction summary line, based on user role	Mandatory				
4	Shall provide a view to display a member's master record and provide yearly roll-ups of transaction history or a single transaction summary line	Mandatory				
5	Shall provide a view for a member's employment history including employment status and corresponding dates	Mandatory				
6	Shall display any adjustment made in a member's salary, contributions and service, and display those adjustments at both the summary level and the detailed transaction level (pay period detail level)	Mandatory				
7	Shall provide a view of a member's account with a given as-of date	Mandatory				
8	Shall provide the ability to track the status of a member's account (e.g., enrolled, vested, refunded, inactive, active, retired, disability, survivor, etc.) as defined by CTPF	Mandatory				
9	Shall provide the ability to see the history of a member's account (e.g., previously refunded and active again)	Mandatory				
10	Shall provide the ability to see work that is in process or has completed on a member's account (performed in workflow)	Mandatory				
11	Shall provide the ability to record and update beneficiary information (e.g., primary, secondary, contact information, etc.), while maintaining history	Mandatory				

Functional Area: Member Record Maintenance			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
12	Shall provide the ability to indicate relationship of beneficiary to the member (e.g., child, spouse, parent)	Mandatory				
13	Shall provide the ability to link and view cross reference account information (e.g., member, beneficiary, alternate payee, survivor annuitant) and display the associated account	Mandatory				
14	Shall provide the ability to populate beneficiary information if beneficiary is already in the system (e.g., member, spouse, etc.)	Mandatory				
15	Shall provide the ability to apply interest on the member account on a periodic basis (parameter defined by CTPF)	Mandatory				
16	Shall track, display, and report on all updates to a member's account	Mandatory				
17	Shall track and display all CTPF tier information related to a member's account	Mandatory				
18	Shall track and display if member has selected a 2.2 upgrade option	Mandatory				
19	Shall provide the ability to override member account information (e.g., service credit, compensation and contributions), based on user role	Mandatory				
20	Shall require notes to be entered whenever an override is performed	Mandatory				
21	Shall launch a workflow requesting secondary approval when overriding any member data, based on user role (if manager, secondary approval is not necessary)	Mandatory				
22	Shall provide an audit trail of any corrections made to member data	Mandatory				
23	Shall provide the ability to generate an account balance verification letter (anyone in non-pay status or remaining contributions upon death)	Mandatory				
24	Shall provide the ability to capture legal orders (e.g., QILDRO, child support and other mandated deductions)	Mandatory				
25	Shall provide the ability to securely interface (e.g., utilize secure file protocols) with external agencies to verify legal orders (e.g., Attorney General)	Mandatory				
26	Shall provide the ability to retroactively auto calculate all active members' accounts if changes occur resulting from employer reporting	Mandatory				
27	Shall provide the ability to determine transactions that have not had interest posted against them and recalculate interest. The solution shall be able to recalculate interest for a member's account based on the historical interest tables.	Mandatory				
28	Shall provide the ability to flag an account as an exception to normal processing (e.g., member requires separate calculations, suppress member statements, etc.)	Mandatory				

Functional Area: Member Record Maintenance			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
29	Shall provide the ability to notify member with undispersed accounts to request a refund, and send periodic reminders as defined by CTPF (e.g., RMDs, RUUPA, etc.)	Mandatory				
30	Shall provide the ability to show the RMD year on member's accounts	Mandatory				
31	Shall provide the ability to show "Lost Payee" on member's account	Mandatory				
32	Shall provide the ability to show returned mail (up to X times) on a member's account	Mandatory				
33	Shall provide the ability to retroactive interest posting for those cases in which a refund should not have been taken and is reversed	Mandatory				
34	Shall provide a view for an account's payment history with detailed transaction information (e.g., member, annuitant, survivor, Medpay)	Mandatory				
35	Shall track and provide a view to CTPF for a retiree's year-to-date and retirement-to-date benefit payments, including details to be defined by CTPF (e.g., including pre and post-tax portions, declining balance, and other deductions)	Mandatory				
36	Shall provide the ability to capture and track annuitant health insurance information, maintaining a full history of annuitant elections	Mandatory				
37	Shall provide the ability to generate an annuity verification letter (e.g., Regular Annuity, Disability, Survivorship, QILDRO deductions)	Mandatory				
38	Shall provide the ability to generate a benefits verification letter (e.g., health insurance enrollment)	Mandatory				
39	Shall provide the ability to adjust the amount of service credit for a retiree based on an audit of service, based on user role	Mandatory				
40	Shall provide a view to see all historical COLA values for members including any catchups, based on user role (restricted accounts)	Mandatory				
41	Shall provide the ability to securely interface (e.g., utilize secure file protocols) with external entities to verify death (e.g., Lexis/Nexus, Illinois Department of Public Health)	Mandatory				
42	Shall provide the ability to process the death reconciliation files from external entities to compare against CTPF's line of business database, identifying matches and updating records, as defined by CTPF	Mandatory				
43	Shall provide the ability to suspend a payee/payment account which stops all payments but allows updates, based on user role	Mandatory				
44	Shall provide the ability to unsuspend an account, based on user role	Mandatory				
45	Shall allow CTPF to associate a suspend type (reason) and notes to an account (e.g., Return to Work)	Mandatory				

Functional Area: Member Record Maintenance			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
46	Shall provide the ability to create a workflow and notify CTPF when payroll reporting occurs on a suspended account	Mandatory				
47	Shall provide a view on suspended accounts by type based on parameters entered by CTPF, based on user role (See restricted accounts)	Mandatory				
48	Shall provide the ability to lock a member's account which prevents CTPF specified data (e.g., address, date of birth, name, spouse's name, preferred communication) from being updated but allows all payments to continue to be paid, based on user role	Mandatory				
49	Shall capture whether lock was created systematically or by user and when the lock was created, providing effective dates and history	Mandatory				
50	Shall provide the ability to unlock an account, based on user role	Mandatory				
51	Shall provide the ability to assign a lock type to an account with notes	Mandatory				
52	Shall provide the ability to implement different locking rules by lock type (each type has different set of rules)	Mandatory				
53	Shall provide a visible alert to user if an account is locked, or if a lock has stopped a process	Mandatory				
54	Shall provide the ability to implement different logic within a workflow or process if the process has been stopped by a lock	Mandatory				
55	Shall provide the ability to flag an account as restricted, limiting access by user role (e.g., CTPF employees, Trustees, etc.) as defined by CTPF	Mandatory				
56	Shall provide an audit record of any search, viewing (all activity) performed on a restricted account	Mandatory				
57	Shall provide the ability to notify member, requesting additional information or notification of important information, as defined by CTPF	Mandatory				
58	Shall have the ability to designate an annuitant as a Return to Work (RTW)	Mandatory				
59	Shall provide the ability for CTPF to reinstate or recreate a member or annuitant account based on CTPF business rules, based on user role	Mandatory				
60	Shall provide the ability to override edits and validations when reinstating or recreating a member or annuitant account, based on user role	Mandatory				
61	Shall require notes to be entered whenever an override is performed	Mandatory				

Functional Area: Member Record Maintenance			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
62	Shall launch a workflow requesting secondary approval when overriding any member or annuitant history, based on user role (if manager, secondary approval is not necessary)	Mandatory				
63	Shall provide an audit trail of any corrections made to member or annuitant data	Mandatory				
64	Shall provide the ability stop survivor benefit payments based on CTPF business rules (e.g., minor turning 18)	Mandatory				
65	Shall provide the ability to notify minor or guardian if survivor benefits will stop and when last benefit payment will be received	Mandatory				
66	Shall provide the ability to notify member if beneficiary or survivor pass away	Mandatory				
67	Shall provide the ability to capture, track and manage reciprocal service and related data from participating retirement systems	Mandatory				
68	Shall provide the ability to auto-load service/salary breakdown and calculations from Exchange Data for Reciprocity, according to CTPF rules	Mandatory				
69	Shall provide the ability to automatically identify and adjust concurrency/overlapping service and proportional reduction(s) for reciprocity	Mandatory				
70	Shall provide the ability to automatically calculate reciprocal computation without manual intervention	Mandatory				
71	Shall provide the ability to automatically generate CTPF certification without manual intervention for reciprocity according to CTPF rules (e.g., data/notes needed for Prelim, Final, Revision)	Mandatory				
72	Shall provide the ability to record the source that triggered a Tier change. (e.g., a Tier change can be triggered by data exchanged with Illinois Reciprocal Systems, reinstatement of service, etc.)	Mandatory				
73	Shall automatically update a member's plan tier based on information received from the Reciprocal Data Exchange and trigger a workflow based on CTPF business rules.	Mandatory				
74	Shall provide the ability to automatically notify other applicable reciprocal systems when a member retires	Mandatory				
75	Shall provide the ability for the system to create a summary report of transfer details from the reciprocal data exchange	Mandatory				
76	Shall provide the ability for the system to record the number of tier changes based on received reciprocal data	Mandatory				

Functional Area: Member Record Maintenance			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
77	Shall provide the ability for the system to create reciprocal reports as defined by CTPF (e.g., member reciprocal exception report - obstacles, annuitant reciprocal error report, summary, detail reports, etc.)	Mandatory				
78	Shall provide the ability for the system to send certifications with configurable service dates to other reciprocal systems based on CTPF business rules	Mandatory				

4.2.17 – Member Statements

The Commitments stated in this section pertain to CTPF's member statement functionality.

Functional Area: Member Statements			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall generate digital copies of member statements with the ability to print. Statements will contain information as of a specified date and use data and calculations as of that date based on CTPF business rules	Mandatory				
2	Shall provide the ability to generate digital copies of and print member statements for a single member, for all members, for all members of an employer, for all members of a class, status or plan, for all members with restricted status, or for all members provided from a list	Mandatory				
3	Shall provide the ability to reprint member statements for a single member, for all members, for all members of an employer, or for all members of a class, status or plan, for all members with restricted status, or for all members provided from a list, in the event of a correction (e.g., incorrect address), or a combination of these	Mandatory				
4	Shall provide the ability to generate digital copies of a revised member statements with the ability to print for a single member, for all members, for all members of an employer, or for all members of a class, status or plan, for all members with restricted status, or for all members provided from a list, or a combination of these, providing the revision date when generation occurred	Mandatory				

Functional Area: Member Statements			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
5	Shall display messages on member statements based on parameters supplied by CTPF	Mandatory				
6	Shall provide the ability to provide multiple estimates with projected a retirement date(s) on the member statement, based on parameters supplied by CTPF	Mandatory				
7	Shall provide the ability to identify service credit, salary and contributions for defined periods of time on the member statement (e.g., QILDRO time period)	Mandatory				
8	Shall provide the ability to sort the printing of the member statements by parameters to be defined by CTPF (e.g., Employer, dept, member name, member ID, SSN, zip code)	Mandatory				
9	Shall provide the ability to flag a single member, for all members of an employer, or for all members of a class, status or plan, for all members with restricted status, or for all members provided from a list, for whom a statement(s) should be generated but not printed (e.g., foreign address, no active address)	Mandatory				
10	Shall provide the ability to flag a single member, for all members of an employer, or for all members of a class, status or plan, for all members with restricted status, or for all members provided from a list, for whom a statement(s) should not be generated (e.g., someone applies for a refund or a pension within xx period of time of date of statement)	Mandatory				
11	Shall provide a view of all members flagged to not receive a statement	Mandatory				
12	Shall provide the ability to flag a member to suppress certain information on their statement (e.g., member estimate)	Mandatory				
13	Shall provide a view of all members flagged to suppress certain information on their statement	Mandatory				
14	Shall provide the ability to include any member or account information on the statement as defined by CTPF (e.g., demographic, member id, pension eligibility, beneficiaries, contributions, salary info, service credit, estimated benefit, etc.)	Mandatory				
15	Shall provide the ability for configurable statement design with graphical representation of financial data	Mandatory				
16	Shall display service credit history, with the ability to break down by service credit type (e.g., regular service, purchased service, sick and annual leave, etc.)	Mandatory				
17	Shall provide the ability for all statements to include employment history (e.g., employer name, start date, end date, type)	Mandatory				

Functional Area: Member Statements			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
18	Shall ensure member statements only include the member persona (information) for members who have other personas in the system (e.g., receiving a survivor benefit, beneficiary for another member, etc.)	Mandatory				
19	Shall provide the ability to list detail member history at the contribution transaction level and rolled up to yearly summaries (e.g., prior year summaries going back for past x years)	Mandatory				
20	Shall provide the ability to list all outstanding service purchase contracts (unpaid or partially paid) for a member	Mandatory				
21	Shall provide the ability to include reciprocal service information on member statements	Mandatory				
22	Shall provide the ability to list all legal orders (e.g., approved QILDRO, child support), tax levies, or receivables against member on statement, as defined by CTPF	Mandatory				
23	Shall provide the ability to show the RMD information on member's statement	Mandatory				
24	Shall provide the ability to show Tier information on member's statement	Mandatory				
25	Shall provide the ability to send a list of incorrect addresses to the appropriate employer	Mandatory				
26	Shall provide the ability to include a member's estimated disability, survivor, death, and termination refund benefit~~s~~ amounts on the statement	Mandatory				
27	Shall provide the ability to generate a statement for members that are receiving a duty disability benefit	Optional				
28	Shall provide the ability to send member statements via a member's preferred communication method	Mandatory				
29	Shall provide the ability for members to view and print statements online	Mandatory				
30	Shall provide the ability to generate a statement on demand based on current information	Mandatory				
31	Shall provide the ability to include defined contribution balance information from TPA	Mandatory				
32	Shall provide the ability to include defined contribution balance information from TPA for CTPF employees (e.g., CTPF's 401/457)	Mandatory				
33	Shall provide the ability to generate a file(s) of member statements for third party print vendor	Mandatory				

Functional Area: Member Statements			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
34	Shall provide the ability to validate address information (e.g., NCOA) as part of member statement generation	Mandatory				
35	Shall provide the ability to generate member statements efficiently (e.g., break up into batches, size system appropriately for batch processing, etc.) Currently CTPF processes approximately 40,000 member statements, CTPF's goal is to have a system that can process these in a matter of hours without impacting system performance and processing.	Mandatory				
36	Shall provide the ability to generate statistics (e.g., number of statements to be printed, digital (not printed), with no active address, suppressed members etc.).	Mandatory				
37	Shall provide the ability to create FAS calculations prior to generating member statements for the purpose of review and exception resolution. Unresolved issues result in a suppressed estimate section on the member statement.	Mandatory				
38	Shall provide the ability to generate detailed member statements as needed/requested to allow members to review annualized salary, contributions, service, etc., based on CTPF business rules	Mandatory				

4.2.18 – Monthly Pension Payroll

The Commitments stated in this section pertain to CTPF's monthly pension payroll functionality.

Functional Area: Monthly Pension Payroll			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall apply a new benefit payment automatically depending on the retirement program, the payment options chosen, and other applicable life events based on CTPF business rules	Mandatory				
2	Shall control the addition and deletion of individuals from payroll depending on life events (e.g., death, divorce, disability, return to work, etc.)	Mandatory				
3	Shall calculate federal and state withholding tax (based on a fixed dollar amount, percentage, or current tax tables) and update the taxable amount to be deducted from payments	Mandatory				

Functional Area: Monthly Pension Payroll			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
4	Shall maintain more than one payment account for a payee (e.g., annuitant, beneficiary, alternate payee, etc.)	Mandatory				
5	Shall provide the ability for an individual to receive multiple pensions (e.g., regular pension, reversionary pension, survivor pension)	Mandatory				
6	Shall accommodate multiple bank accounts for multiple payments per payee in a single payroll run	Mandatory				
7	Shall calculate and issue retroactive payments to a benefit recipient	Mandatory				
8	Shall calculate tax levies and child support payments and apply/update payments (percentage or fixed dollar amount), passing on funds to appropriate institution or individual	Mandatory				
9	Shall maintain payroll status types (e.g., suspended, on hold, etc.) and associated codes	Mandatory				
10	Shall create payment ending dates and automatically remove the account from pay status (e.g., QILDRO, minor receiving a payment until 18)	Mandatory				
11	Shall provide the ability to place a "hold" on a benefit payment and release when applicable (e.g., no known/incorrect address on file)	Mandatory				
12	Shall provide ability for the retiree to waive all or a portion of their retirement for x (parameter) amount of time including effective stop date and reinstatement date	Mandatory				
13	Shall provide the ability to suspend and reinstate a benefit recipient's payroll record	Mandatory				
14	Shall support a reconciliation process against CTPF's accounting system for all payroll transactions (to be performed after payroll validation)	Mandatory				
15	Shall support zero and positive check amounts, but only generate checks with positive amounts	Mandatory				
16	Shall generate a view that identifies any negative net check amount	Mandatory				
17	Shall support the entry of federal and state tax withholding for a future date and implement the change with the monthly pension payroll corresponding to the date	Mandatory				
18	Shall provide the ability for initial retirement payment to be paid retroactive to the retirement effective date	Mandatory				
19	Shall handle retroactive payments and disburse them in the same manner as the normal benefit payment	Mandatory				
20	Shall provide the ability, in the case of overpayment, to request repayment by benefit recipient in lump sum or apply temporary	Mandatory				

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Functional Area: Monthly Pension Payroll			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
	reduction in benefit as needed to recoup the overpayment within CTPF-defined number of months (will by vary situation)					
21	Shall produce a view showing all detailed payment information (current and historical) for each electronic deposit or "paper" check initiated (e.g., check number, payment type, payment status, gross payment amount, net payment amount, deduction amounts, and deduction payee)	Mandatory				
22	Shall produce a comprehensive view showing all changes that took effect since previous month's pension payroll (additions, deletions, modifications, old amount vs. new amount, changes in tax withholding, name changes, AAIs)	Mandatory				
23	Shall notify the payee every time there is a change in the payment amount	Mandatory				
24	Shall provide a view of variance exceptions after the AAI adjustments have been applied	Mandatory				
25	Shall (e.g., a member is both a retiree, survivor beneficiary, reversionary beneficiary), link information so that users can view all payments an individual is receiving	Mandatory				
26	Shall maintain yearly gross payment amount, taxable amount, deductions, excludable amounts, and distribution codes for 1099R reporting	Mandatory				
27	Shall provide the ability to send a check instead of an ACH	Mandatory				
28	Shall be able to reissue a check	Mandatory				
29	Shall allow for monthly benefit to increase "pop-up" in the event the reversionary beneficiary predeceases the retiree	Mandatory				
30	Shall provide a view showing all benefit recipients (parameter to define sequence, e.g., by benefit type or employer or department)	Mandatory				
31	Shall provide a view showing new benefit checks for the month, with CTPF number, name, address, type of retirement, gross benefit amount	Mandatory				
32	Shall provide the ability to allow an advanced check prior to the end of month check file	Optional				
33	Shall provide the ability to calculate QILDROs, child support, and other mandated deductions from the monthly pension payroll	Mandatory				
34	Shall provide the ability to reduce the benefit payment by x% (parameter) until any outstanding buyback/payback is complete	Mandatory				

Functional Area: Monthly Pension Payroll			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
35	Shall create a survivor or dependent annuitant payroll record immediately upon confirmation of member death (i.e., valid death certificate) where appropriate, according to CTPF business rules	Optional				
36	Shall produce a view showing a payment summary and/or payment details pertaining to each benefit disbursement including but not limited to retirement, disability and death payments	Mandatory				
37	Shall produce a view that shows "x" (percentage or dollar parameter) increase in month-to-month payment	Mandatory				
38	Shall notify recipient(s) in conjunction with a new retirement that provides initial benefit amount and general retirement information (e.g., award letter)	Mandatory				
39	Shall provide the ability to override/suppress notification to the new retiree, based on user role	Mandatory				
40	Shall require notes to be entered whenever an override is performed	Mandatory				
41	Shall launch a workflow requesting secondary approval on override, based on user role (if manager, secondary approval is not necessary)	Mandatory				
42	Shall provide an audit trail of any override to the notification	Mandatory				
43	Shall provide the ability to combine initial benefit with other benefits (e.g., regular and reversionary retirement) into single remittance advice	Mandatory				
44	Shall provide the ability to add an insurance or payee deduction out of the retirement check	Mandatory				
45	Shall provide a summary of checks to be printed and EFT statements generated for monthly pension payroll	Mandatory				
46	Shall provide the ability to add messages to EFT statements	Mandatory				
47	Shall provide the ability to image EFT statements upon creation	Mandatory				
48	Shall automatically update tax tables using the appropriate effective date	Mandatory				
49	Shall provide the ability to generate a report on outstanding checks by payment type (timeframe defined by CTPF) (e.g., 90 day for RMD, 180 days for other payment types, etc.)	Mandatory				
50	Shall allow for regular processing during monthly payroll processing	Mandatory				
51	Shall have the ability to disburse any payment via ACH with valid banking information and pre-note accounts	Mandatory				
52	Shall provide the ability for CTPF to provide a parameter indicating the timeframe in which a check is stale dated	Mandatory				

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Functional Area: Monthly Pension Payroll			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
53	Shall provide the ability to manage different stale date periods defined by CTPF's business rules	Mandatory				
54	Shall provide the ability to notify payee after predetermined number of consecutive ACH rejects	Mandatory				
55	Shall produce pension views identifying the monthly journal entries posted to GL and a summary of all pension payrolls, taxes, and adjustments	Mandatory				
56	Shall aggregate payroll deductions of the same type and issue payment to the appropriate entity	Mandatory				
57	Shall provide recipient of payroll deductions a register of payees and deduction amounts	Mandatory				
58	Shall provide CTPF the ability to control priority of deductions	Mandatory				
59	Shall provide reporting on deductions not taken due to insufficient funds	Mandatory				
60	Shall provide the ability to make a payment to a health insurance agency based on posted billing records for the reporting period	Mandatory				
61	Shall provide the ability to update CTPF's financial institution with stale dated and canceled check information	Mandatory				
62	Shall provide a view of reissued payments by member/benefit recipient, showing the original check or payment number	Mandatory				
63	Shall provide a view, by member/benefit recipient, of payment status (paid, cancel, stale date, forgery), etc.	Mandatory				
64	Shall provide the ability to update, change, and reverse payment status (stale date to cancel, stale date to paid, void, unvoid, etc.) and create the appropriate GL entries	Mandatory				
65	Shall launch a secondary workflow requesting manager and leadership approval for benefit payments in excess of a specified amount, as defined by CTPF (currently 50k)	Mandatory				
66	Shall launch a workflow allowing for the review (e.g., batch summary information, list of payments, etc.) and approval(s) of a monthly pension payroll batch	Mandatory				

4.2.19 – New Member Setup

The Commitments stated in this section pertain to CTPF’s new member setup functionality.

Functional Area: New Member Setup			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide a web-based solution in which employers can report, correct and update new members	Mandatory				
2	Shall provide the ability to add new members via file or new member online form	Mandatory				
3	Shall provide the ability for CTPF to view (read-only) the same view as an employer to help resolve questions	Mandatory				
4	Shall validate the new member data (file and online form) against the CTPF and employer account information according to CTPF business rules	Mandatory				
5	Shall capture the setup of new members and returning members by adding member's effective time block information (e.g., becoming active, termination, etc.)	Mandatory				
6	Shall capture all the required setup information as defined by CTPF (e.g., SSN, Name, DOB, Gender, Marital Status, Phone #s, Email, Address, Employment History, Employment Information, Charter Holder etc.)	Mandatory				
7	Shall provide the ability to identify and process setups for members who previously participated in the system, preventing duplicate member records, updating the existing member record with newly reported data	Mandatory				
8	Shall provide the ability to display to CTPF all names if there are duplicate identifiers in the system so the user can select the desired member	Mandatory				
9	Shall perform edits and validations against new member setups in real-time (e.g., ISBE lookup to determine if member is licensed, covered position, SSN lookup, etc.)	Mandatory				
10	Shall provide the ability to identify if a member has a retired or deceased status and display a message to the employer (This would not stop the new setup/reporting)	Mandatory				
11	Shall flag account and provide a view for CTPF if setup information is received for an individual currently receiving a monthly pension benefit	Mandatory				
12	Shall provide the ability for 3rd party reporters (e.g., staffing agency) to setup and manage employees of the 3rd party working for the charter for the purposes of payroll reporting.	Optional				
13	Shall provide a view of all member setups for an employer based on date parameters	Mandatory				

Functional Area: New Member Setup			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
14	Shall provide a view of all members that have been setup but have no payroll data reported based on date parameters	Mandatory				
15	Shall provide a view containing members that are setup but currently have a suspended monthly pension benefit	Mandatory				
16	Shall provide a view containing members that were setup and have a potential duplicate SSN situation	Mandatory				
17	Shall provide a view containing members currently employed at more than one employer	Mandatory				
18	Shall provide a view that lists a member's employment history across employers in a single report	Mandatory				
19	Shall provide a consolidated view of a member's setup information for CTPF	Mandatory				
20	Shall provide the ability to print/reprint out a formatted setup record	Optional				
21	Shall provide the ability to generate labels for all newly enrolled members based on a date	Mandatory				
22	Shall provide the ability to generate a welcome packet (e.g., cover/welcome letter, employee handbook, return to service form, beneficiary nomination form, previously refunded service form) and determine the contents of the packet based on member status	Mandatory				
23	Shall provide the ability to generate a re-employment or resumption notification for Return to Work (e.g., cover letter, return to service form, re-employment rules, retirement application, beneficiary nomination form) and determine the contents of the packet based on member status and CTPF business rules	Mandatory				
24	Shall provide the ability for CTPF to delete invalid accounts (e.g., an account that doesn't have financial contributions) based on parameters defined by CTPF	Mandatory				
25	Shall provide the ability for the system to reference reciprocal data via a web service when determining the appropriate tier during the enrollment process, as defined by CTPF	Mandatory				

4.2.20 – Pension Adjustments

The Commitments stated in this section pertain to CTPF's pension adjustment functionality.

Functional Area: Pension Adjustments			**Bidder Must Respond to at least one item below for each Commitment**			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide the ability to recalculate the entire annuity (FAS, service credit, formula, age reduction, AAI etc.) and all payments (past and future) affected if an adjustment occurs, based on CTPF business rules (e.g., re-retirements with less/more than 3 years svc earned, re-employment with a reciprocal system)	Mandatory				
2	'Shall provide the ability to adjust all future payments based on a recalculation (e.g., new records, QILDRO)	Mandatory				
3	Shall provide the ability to recalculate the reserve value based on factors received from the actuary	Mandatory				
4	Shall provide a view that will provide the details of how the adjustment was calculated, (e.g., FAS, records used, origin (post audit adjustment) etc.)	Mandatory				
5	Shall track information identifying number of adjustment calculations completed, date completed, and by whom (CTPF), assigning a unique number, and parameters used for calculation that can be viewed by CTPF staff (for non-restricted accounts)	Mandatory				
6	Shall approve record for payment only after pension adjustment calculation has been verified (preliminary and finalized pensions) and audited (finalized pensions only)	Mandatory				
7	Shall provide the ability for pension adjustment overrides or status changes (e.g., AAI adjustment, pension recalculation +/-), based on user role	Mandatory				
8	Shall require notes to be entered whenever an override or status change is performed	Mandatory				
9	Shall launch a workflow requesting secondary approval on any pension override or status change, based on user role (if manager, secondary approval is not necessary)	Mandatory				
10	Shall provide an audit trail of any override or status change to a pension	Mandatory				
11	Shall provide the ability to change a finalized pension back to preliminary pension. When changed back, this will undo the finalized data and payment and restore the preliminary data (e.g., FAS, service credit, etc.) and payment	Mandatory				
12	Shall track and initiate a workflow when a receipt of change in status occurs (e.g., marital status, death of survivor annuitant, divorce)	Mandatory				
13	Shall provide the ability to send a notification to a member/survivor when a revision to the pension has been finalized, including an	Mandatory				

Functional Area: Pension Adjustments			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
	explanation of the pension amount change (for both under and overpayment) and breakdown of change (payment history reconciliation)					
14	Shall provide the ability to launch different workflows, depending on overpayment amount, when an overpayment occurs which serve the purpose of tracking, initiating deductions and reporting on the overpayment	Mandatory				
15	Shall provide the ability to enter in Automatic Annual Increase (AAI) factors to be processed against each retiree based on CTPF business rules	Mandatory				
16	Shall calculate the AAI and apply it to all appropriate accounts and corresponding payments	Mandatory				
17	Shall provide the ability to enter in retroactive AAI adjustments to be processed against appropriate retirees based on CTPF business rules	Mandatory				
18	Shall retain both the rates used in calculating AAI for past years as well as the actual AAI increases applied to individuals' pension amounts	Mandatory				
19	Shall display the AAI increase (percentage and amount) to members in web self service	Mandatory				
20	Shall provide the ability to calculate an alternate payee portion of a member's AAI and reconcile based on CTPF business rules (e.g., alternate payee AAI cannot exceed member AAI, backpay to alternate payee and adjustment to member's account, etc.)	Mandatory				
21	Shall provide the ability to track members that return to work as indicated by receipt of employer payroll records or RTW form	Mandatory				
22	Shall provide the ability to launch a workflow when full time payroll records are received from an employer for a retiree, in order to verify if a RTW scenario determine if additional reporting from employer to revise the annuity	Mandatory				
23	Shall provide the ability to launch a separate workflow, based on user role, when determined to be a full time RTW scenario, or temporary RTW scenario with limitations having been exceeded based on CTPF's business rules (e.g., Temporary threshold, Job type during employment, Driver's Ed threshold, etc.)	Mandatory				
24	Shall provide the ability to receive and analyze a separate data file from employers for return-to-work temporary employees. This file does	Mandatory				

Functional Area: Pension Adjustments			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
	not include contributions, and will post as a return-to-work record (not active record)					
25	Shall provide a view of all members for whom employer payroll records or return to work forms were submitted during CTPF-defined date range, providing related information (e.g., retirement information) to ensure that the employee adheres to the return-to-work requirements	Mandatory				
26	Shall provide the ability to launch a workflow to terminate a member's pension when there is reciprocity with another system, and that system has terminated their benefit due to a return-to-work scenario	Mandatory				
27	Shall provide the ability to notify member confirming return to work, including RTW rules and potential cancellation of pension	Mandatory				
28	Shall provide the ability to notify member when approaching return to work threshold, based on CTPF's business rules					
29	Shall generate a notification to the return-to-work member, requesting repayment of retirement benefits and health insurance subsidies made since the date of violation through the end of the fiscal year if member exceed CTPF's return to work threshold. Should include a day-by-day breakdown of records showing salary/days worked and date exceeded, RTW rules, appeal procedures and any other relevant enclosures as determined by CTPF business rules.	Mandatory				
30	Shall provide the ability to track and act on member responses to violation notifications (e.g., assignment of death benefit, hearing request, financial hardship requests) within a specified time period as determined by CTPF business rules	Mandatory				
31	Shall provide the ability to initiate appropriate deductions for the repayment of benefits due to a RTW violation based on CTPF business rules	Mandatory				
32	Shall provide the ability to create and maintain a receivable for any overpayment scenario (e.g., retirement payments that need to be returned) and capture reason (e.g., upon re-employment, changes to benefit effective date, other data changes), based on CTPF's business rules	Mandatory				
33	Shall provide the ability to generate a notification to retired employee returning to work on a permanent basis to request repayment of retirement benefits previously paid, as defined by CTPF	Mandatory				

Functional Area: Pension Adjustments			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
34	Shall automatically stop survivor benefit payments to a minor upon reaching the age of 18, or if marital status of the minor changes	Mandatory				
35	Shall automatically stop survivor benefit payments to a spouse if under age 50 and has no remaining minor survivors in payment status	Mandatory				
36	Shall in the case of multiple survivors, the benefit is redistributed among the remaining survivors when payments stop to one or more of the survivors	Mandatory				
37	Shall, when a reversionary beneficiary passes away, adjust the member's pension amount based on CTPF business rules	Mandatory				
38	Shall provide the ability to identify records that have been audited (e.g., by outside auditor, CTPF internal) capturing the audit period	Mandatory				
39	Shall create a workflow when an adjustment (under/over-reporting) is received for a finalized retiree, or a member who has received a refund of contributions for the same period of time attributable to the adjustment	Mandatory				
40	Shall provide the ability to exclude certain member records from an adjustment (e.g., salary, age changes) according to CTPF business rules or conditions	Mandatory				
41	Shall provide the ability to launch a workflow to process a revision that results in overpayment to the annuitant	Mandatory				
42	Shall provide reporting and launch a workflow when adjustments are posted which impact the benefit calculation and Health Insurance Eligibility (e.g., new service credit, salary that has impact to FAS calc, records posted after pension effective date)	Mandatory				
43	Shall provide a detailed view of changes to the annuity calculation inputs (FAS, service credit, formula, age reduction, AAI etc.) as a result of a re-retirement and display a detailed payment reconciliation to show amounts paid vs owed for the re-retirement period forward	Mandatory				
44	Shall provide the ability to generate a notification to a retired employee returning to retirement to notify them upon resumption and to request repayment of any retirement benefits previously paid, as defined by CTPF	Mandatory				
45	Shall provide the ability to track and act on member responses to overpayment notifications (e.g., assignment of death benefit, hearing request, financial hardship requests) within a specified time period as determined by CTPF business rules	Mandatory				

4.2.21 – Pension Calculations

The Commitments stated in this section pertain to CTPF's pension calculation functionality.

Functional Area: Pension Calculations			**Bidder Must Respond to at least one item below for each Commitment**			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall utilize the same pension calculation module for the pension estimate, web self-service and the pension calculation (preliminary pension, final pension)	Mandatory				
2	Shall automatically calculate pension amount for all member plans and scenarios (e.g., Tier 1/2, 2.2 upgrade, Tier 2 Cap, Optional Service, Military, Reciprocal, Part/Full time, RMD, Reversionary, Re-retirement etc.) and for all applicable retirement types (e.g., age and service, disability, survivor pensions, multiple employment, mixed service) defined by CTPF	Mandatory				
3	Shall perform Final Average Salary (FAS) calculations based on CTPF business rules (e.g., Variation between Tier 1 and 2 on number of consecutive annual salary years used for average rate of salary, legacy vs day for day FAS)	Mandatory				
4	Shall calculate FAS for day for day scenarios using a predesignated calendar from an employer to define expected days, or amount (parameter) defined by CTPF (can vary by pay group/employer)	Mandatory				
5	Shall calculate FAS for legacy scenarios using a predesignated calendar from an employer to define weeks worked	Mandatory				
6	Shall calculate service days and unused sick days according to CTPF business rules (all member service days on or prior to June 30. July 1, 2011 uses 5/10 rule, one or more days on July 2, 2011 or later uses day for day rule)	Mandatory				
7	Shall identify earned service days from exceeding expected days in a payroll period	Mandatory				
8	Shall provide the ability to apply the max pension percentage (Currently 75%) based on CTPF parameter (Currently 33.91 years of service for 2.2 upgrade, 37.8 for step formula) for the purpose of the pension calculation	Mandatory				
9	Shall have the ability to notify the user if there is a paid SPC and the member has more than 33.91 years of credited service	Mandatory				
10	Shall cap annual rate of salary according to CTPF business rules for members who began participating after August 31, 1979 (Part of any	Mandatory				

Functional Area: Pension Calculations			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
	Annual Rate of Salary for any Annual Salary Year which exceeds the Annual Rate of Salary for the preceding Annual Salary Year by more than 20% will be excluded)					
11	Shall provide the ability to identify members, who began participating on or before August 31, 1979 who are subject to capping of annual salary, and generate an invoice to the member's employer to cover cost of removing the cap	Optional				
12	Shall cap Tier 2 member's fiscal year salary and apply appropriate logic according to CTPF's business rules and Illinois Dept of Insurance limits (e.g., not allow salary pickup in excess of the limit)	Mandatory				
13	Shall apply appropriate factors to calculations if member has elected for the 2.2 upgrade, including payment application e.g., 24 deductions	Mandatory				
14	Shall apply appropriate factors to calculations if member has not elected or is not eligible for the 2.2 upgrade. These calculations (step formula) then are used to model the 3 formulas to determine what is in the member's best interest	Mandatory				
15	Shall calculate reciprocal pension benefit in accordance with the Principles Governing the Administration of the Retirement Systems' Reciprocal Act and CTPF business rules for members who meet the eligibility requirements contained in the Reciprocal Act and elect to retire reciprocally	Mandatory				
16	Shall provide the ability to accommodate supplemental payroll data based on CTPF's business rules (e.g., changes in legislation, other factors)	Mandatory				
17	Shall provide the ability notify user when supplemental payroll is included in the FAS	Mandatory				
18	Shall provide the ability to pre-populate the calculation with real-time data, including information from the retirement application	Mandatory				
19	'Shall provide the ability for CTPF users to configure all factors and formulas included in the pension calculation (e.g., final average salary, service credit, etc.), for all calculation types (e.g., estimate, preliminary vs final annuity, etc.), based on user role and security (who can perform task)	Mandatory				
20	Shall provide the ability to model different service purchase refund scenarios, including impact to FAS and refund and benefit amount	Mandatory				
21	Shall provide the ability to override the pension formula (ex 2.2 upgrade)	Mandatory				

Functional Area: Pension Calculations			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
22	Shall require notes to be entered whenever an override is performed	Mandatory				
23	Shall launch a workflow requesting secondary approval on any pension formula update or override, based on user role (if manager, secondary approval is not necessary)	Mandatory				
24	Shall provide an audit trail of any update or override made to pension formula	Mandatory				
25	Shall provide the ability to override service and related payments for paid service purchase contracts	Mandatory				
26	Shall require notes to be entered whenever an override is performed	Mandatory				
27	Shall launch a workflow requesting secondary approval on any service purchase contract update or override, based on user role (if manager, secondary approval is not necessary)	Mandatory				
28	Shall provide an audit trail of any update or override made to service purchase contracts	Mandatory				
29	Shall provide the ability to override the final average salary (FAS) calculation	Mandatory				
30	Shall require notes to be entered whenever an override is performed	Mandatory				
31	Shall launch a workflow requesting secondary approval on any FAS update or override, based on user role (if manager, secondary approval is not necessary)	Mandatory				
32	Shall provide an audit trail of any update or override made to FAS	Mandatory				
33	Shall track information identifying number of retirement calculations completed, date completed, and by whom (CTPF), assigning a unique number, and parameters used for calculation that can be viewed by CTPF staff (for non-restricted accounts)	Mandatory				
34	Shall provide the ability to flag salary and contribution exceptions (e.g., salary outside of expected range, misallocated percentages, negative contributions, etc.) as defined by CTPF and generate a workflow for review	Mandatory				
35	Shall provide the ability to modify pension benefit for segregated accounts (account established as a result of a QILDRO)	Mandatory				
36	Shall provide a view that will contain a combination of the payroll records selected for the FAS and the details of how the pension was calculated, including the records that were not selected	Mandatory				
37	Shall determine the member's earliest and unreduced retirement dates based on retirement eligibility rules	Mandatory				

Functional Area: Pension Calculations			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
38	Shall provide the ability to calculate pension amount for all appropriate payment options	Mandatory				
39	Shall automatically calculate lump sum payment for pensions (miscellaneous refunds (e.g., survivors, 2.2, SPC, 1% for service at 37.8 or more at finalization)) based on CTPF's business rules	Mandatory				
40	Shall calculate pension amount for survivor annuity	Mandatory				
41	Shall provide the ability to finalize a benefit for a member who passes away while in preliminary retirement status, determining the retroactive benefit amount owed and adjust contribution balance accordingly	Mandatory				
42	Shall calculate preliminary monthly pension based on the pension calculation and CTPF business rules; until final records from an employer are received. The preliminary calculation should reduce FAS by 3% (default), but provide the ability to override (see FAS override commitments above)	Mandatory				
43	Shall provide the ability to manage member contributions while in preliminary status, allowing misc. refunds to be paid out, tracking of total contributions vs payments made, and tracking after tax contribution portions (Safe Harbor), based on CTPF's business rules	Mandatory				
44	Shall provide the ability to automatically apply deductions when calculating an annuity (e.g., taxes, child support, levies, QILDRO)	Mandatory				
45	Shall provide the ability to handle tax exclusions, including 1099R reporting	Mandatory				
46	Shall provide the ability to project wage, contributions and service through date of last contribution	Mandatory				
47	Shall prevent final approval on payroll if certain conditions exist, as defined by CTPF (e.g., return-to-work, deceased before payment status, etc.)	Mandatory				
48	Shall approve record for payment only after pension calculation has been verified (preliminary and finalized pensions) and audited (finalized pensions only)	Mandatory				
49	Shall flag an account with a QILDRO on file that is without an associated deduction	Mandatory				
50	Shall update pension calculations as part of pensions finalization process (e.g., additional information is received)	Mandatory				
51	Shall provide the ability to configure and update the IRC 415 defined threshold	Mandatory				

425 South Financial Place Suite 1400
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Functional Area: Pension Calculations			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
52	Shall provide the ability to calculate excess pension amount (e.g., IRC 415) based on parameters defined by CTPF (e.g., monthly)	Mandatory				
53	Shall provide the ability to launch a workflow if the pension amount exceeds the IRC 415 defined threshold	Mandatory				
54	Shall automatically flag an account that exceeds the IRC 415 defined threshold as defined by CTPF	Mandatory				
55	Shall provide the ability to adjust retirements for legal orders (e.g., QILDROs with associated escrow deductions, child support, and other mandated deductions), by user role	Mandatory				
56	Shall provide the ability to reconcile the difference between escrow deductions and actual deductions owed to an alternate payee	Mandatory				
57	Shall provide the ability to generate payments to party(ies) specified in legal orders	Mandatory				
58	Shall provide the ability to process additional contributions after the initial retirement if additional information is received	Mandatory				
59	Shall provide the ability to send a notification to a member when a revision to the benefit has been finalized, including an explanation of the benefit amount change (for both under and overpayment)	Mandatory				
60	Shall provide the ability to change or generate a new service purchase agreement if a retirement change is made (e.g., change in date) at any time prior to benefit finalization	Mandatory				

4.2.22 – Pension Estimates

The Commitments stated in this section pertain to CTPF's pension estimate functionality.

Functional Area: Pension Estimates			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall utilize the same pension calculation module for the pension estimate, web self-service and the annuity calculation (preliminary benefits, final benefits)	Mandatory				
2	Shall pre-populate the estimate calculation with real-time data (e.g., member data, beneficiary data for reversionary option) and store as the basis for subsequent pension estimates	Mandatory				

Functional Area: Pension Estimates			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
3	Shall use beneficiary information, if reversionary benefit is requested, when calculating the pension estimate	Mandatory				
4	Shall save parameters used to calculate each pension estimate when the estimate is saved	Mandatory				
5	Shall allow user to modify previous estimates (this will create a new estimate, apply any new data received by CTPF) and maintain history	Mandatory				
6	Shall inform the user entering the pension estimate of conditions to be aware of (e.g., Tier related information, benefit eligibility, CTPF not the final system, optional service credit that can be purchased, flagged data issues, etc.) as defined by CTPF statute, Administrative Rule and policy	Mandatory				
7	Shall provide the ability to CTPF user to override pension estimate parameters (e.g., FAS, service credit, retirement date, capping, reciprocal data), based on CTPF user role and security	Mandatory				
8	Shall provide CTPF user ability to project additional service (for estimate only)	Mandatory				
9	Shall calculate and display all of the payment options (e.g., Regular retirement, Retirement with Reversionary Benefit, Disability Retirements, etc.)	Mandatory				
10	Shall allow CTPF user to name and store the pension estimate or default to the date/user ID	Mandatory				
11	Shall provide a view of a member's pension estimate calculations completed, date completed, by whom (CTPF or member), unique identifier, name of estimate and parameters used	Mandatory				
12	Shall provide a view that contains a combination of the payroll records selected for the final average salary and the details of how the pension estimate was calculated	Mandatory				
13	Shall provide a view of all pension estimates completed for a member that provides the option of printing only summary or detail information	Mandatory				
14	Shall generate pension estimate results as a PDF in a standardized letter format that provides the option of printing only summary or detail information	Mandatory				
15	Shall provide the ability to attach an application for purchase of service and/or 2.2 bill (invoice) to an estimate	Mandatory				
16	Shall provide the ability to attach an application for retirement and appropriate materials to an estimate, if member is eligible or within X days of eligibility (parameter defined by CTPF)	Mandatory				

Functional Area: Pension Estimates			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
17	Shall provide the ability to compare multiple saved estimates with different options (e.g., different retirement dates, service credit included, option selected)	Mandatory				
18	Shall provide the ability to attach a break-even cost analysis regarding the impact of Service Purchases and/or 2.2 upgrade on increased benefits. The analysis must provide the cost of the Service Purchase and/or 2.2 upgrade, any increased amount of the benefit after the purchase, and the amount of time the difference in benefit will take to equal the cost of the Service Purchase and/or 2.2 upgrade.	Mandatory				
19	Shall provide the option to include federal tax estimate (e.g., percentage or flat, based on current tax tables) and reflect result in a "net" pension estimate	Mandatory				
20	Shall provide the option to include current Illinois tax rate (e.g., percentage or flat) and reflect result in a "net" pension estimate	Mandatory				
21	Shall provide the option to include miscellaneous/other deductions and reflect result in a "net" pension estimate	Optional				
22	Shall provide the ability to include QILDROs in an estimate	Mandatory				
23	Shall provide the ability to set a gross annuity amount in retirement (e.g., set dollar amount, percentage of pay) and provide what is needed to achieve	Mandatory				
24	Shall provide the ability to provide a graphical representation of annuity breakdown (e.g., tax withholding, insurance deduction, other deductions, etc.)	Mandatory				
25	Shall provide ability to include set comments or customized comments on pension estimates	Mandatory				
26	Shall provide the ability to automatically calculate a benefit estimate and correspondence for a member who has reached RMD, based on CTPF business rules	Mandatory				
27	Shall send pension estimate to the requestor via various communication method (electronic and/or hard copy)	Mandatory				
28	Shall allow members the ability to save and name an estimate in web self service	Mandatory				
29	Shall provide the ability to manage the number of saved estimates accessible to member in web self-service (e.g., member can view/open last X saved estimates)	Mandatory				
30	Shall provide the ability in web self-service to launch a retirement application from a current or saved estimate (using the options	Mandatory				

Functional Area: Pension Estimates			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
	selected) if member is eligible or within X days of eligibility (parameter defined by CTPF)					
31	Shall provide the ability to automatically notify a member encouraging them to run an estimate when member hits a certain life event or milestone (e.g., vested, reached minimum retirement age, reached full retirement age, etc.)	Mandatory				
32	Shall provide the ability for CTPF to generate/print estimates for a single member, for all members, all members of an employer, or other segments of CTPF's membership as defined by CTPF (e.g., participants in a retirement seminar, batch, substitute teachers for an employer)	Mandatory				
33	Shall provide the ability to enter in a series of SSNs or CTPF IDs to generate Pension Estimates and related materials (e.g., counseling letters) for each member	Mandatory				
34	Shall provide the ability to automatically provide CTPF breakdown of service salary & salary and request service and salary information from one or more reciprocal systems (to calculate portions and max pension).	Mandatory				
35	Shall provide the ability to generate a decision tree type of questionnaire about possible 2.2 upgrade and/or Service Purchase such as military service, out-of-state, prior service, etc. according to CTPF business rules. This would also include the ability to launch a workflow to begin the 2.2 upgrade and/or service purchase process	Mandatory				
36	Shall provide the ability for members to request online an estimate from CTPF if member is identified as not being able to run an estimate online (flagged accounts, known data issues)	Mandatory				
37	Shall provide the ability for a secondary review of estimates with specified exceptions, as defined by CTPF	Mandatory				
38	Shall provide the ability to model different service purchase refund scenarios, including impact to FAS, refund, and benefit amount	Mandatory				
39	Shall provide the ability to send specialized estimates to members, based on CTPF user role and security	Mandatory				

4.2.23 – Refunds

The Commitments stated in this section pertain to CTPF’s refund functionality.

Functional Area: Refunds			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide the ability to apply for a refund online (self-service) or submitting a paper application	Mandatory				
2	Shall process a refund including accumulated contributions and associated service credit according to CTPF statutes and administrative rules	Mandatory				
3	Shall provide the ability to create appropriate tax records, reduce service credit according to the amount refunded (include any service purchased), reduce account balance, update account status, void any outstanding service purchases and any other action taken on the account as determined by CTPF	Mandatory				
4	Shall maintain an electronic checklist of items that need to be completed for a refund to be issued	Mandatory				
5	Shall allow for "real-time" validations on refund processing (e.g., > 60 days from termination or separation date)	Mandatory				
6	Shall calculate and display the amount of service credit lost and the amount to be refunded (contributions), including a summary breakdown of all financial components (e.g., Member pre and post taxed regular deposits, pre and post taxed adjustments, service purchases, deferred balance, etc.), with the ability to drill down into the related transactions	Mandatory				
7	Shall provide the ability to update or override the financial data related to a refund (e.g., partial refund - low volume), based on user role	Mandatory				
8	Shall require notes to be entered whenever an override is performed	Mandatory				
9	Shall launch a workflow requesting secondary approval on any refund update or override, based on user role (if manager, secondary approval is not necessary)	Mandatory				
10	Shall provide an audit trail of any corrections made to refund financial data	Mandatory				
11	Shall provide the ability to automatically process a refund based on parameters defined by CTPF (e.g., below a $$ threshold, no flag on the account, low years of service)	Mandatory				
12	Shall provide the ability to create an expedited workflow for processing a RMD refund, including automated correspondence and payment generation	Mandatory				

Functional Area: Refunds			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
13	Shall provide the ability to create a workflow for an outbound counseling call if certain parameters defined by CTPF are met (e.g., vested, flagged account, $$ threshold (above $x), RMD)	Mandatory				
14	Shall provide the ability to notify/message a member if they are or will be eligible for a benefit (deferred vested)	Mandatory				
15	Shall automatically validate a member is in terminated status (60 days or longer) for all CTPF employers before processing refund	Mandatory				
16	Shall place on hold any refund request where employer has not notified CTPF of member's termination date; or if an item is required, missing or incomplete	Mandatory				
17	Shall provide the ability to notify either the employer or member or both if termination date is needed, as defined by CTPF	Mandatory				
18	Shall provide the ability to stop a refund in order to review if a member has an application for a disability or retirement on file	Mandatory				
19	Shall provide the ability to suspend refund payments based on legal conditions (e.g., QILDRO in process, legal order)	Mandatory				
20	Shall provide the ability to support various payment method (e.g., direct deposit, paper check) for all refunds	Mandatory				
21	Shall capture, update, and validate bank information in real time	Mandatory				
22	Shall provide the ability to split the refunded amount between the member and one or more organizations (e.g., financial institutions for rollover)	Mandatory				
23	Shall provide the appropriate account status for an account that has been refunded as defined by CTPF	Mandatory				
24	Shall provide a view of the status of a refund for CTPF staff (e.g., call center)	Mandatory				
25	Shall provide a view in member self-service of refund request status (e.g., received, in process, missing information, completed, denied)	Mandatory				
26	Shall provide the ability to notify member of refund request status	Mandatory				
27	Shall notify member of missing documents/information with continuous notification at intervals of x (parameter to be defined by CTPF), including cancellation of application	Mandatory				
28	Shall provide the ability to notify member with minimum of x years (parameter to be defined by CTPF) that they are eligible to receive a retirement benefit on x date (parameter to be defined by CTPF) if they don't take the refund	Mandatory				

Functional Area: Refunds			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
29	Shall have the ability to withhold mandatory and/or optional tax deduction from refunds of contributions not rolled over to tax sheltered accounts as determined by the Internal Revenue Service	Mandatory				
30	Shall provide the ability, within the refund account workflow, for an account review when parameters determined by CTPF are met (e.g., multiple changes, high dollar amount, etc.)	Mandatory				
31	Shall provide the ability to automatically recalculate the refund and notify the user until payment is issued (e.g., contribution received after termination, adjustments)	Mandatory				
32	Shall provide the ability to make adjustments to the refund request after payment has been issued (e.g., changing rollover %, changing from rollover to member, etc.)	Mandatory				
33	Shall provide the ability to generate all refund documents (pre-populated with system data)	Mandatory				
34	Shall provide a view of all people who have taken a refund based on parameters defined by CTPF (e.g., date range, by employer or all employers, by type, by processor, etc.)	Mandatory				
35	Shall provide the ability to allow an unscheduled refund payment outside the normal schedule	Mandatory				
36	Shall provide a view of all people in process of taking a refund based on parameters defined by CTPF (e.g., date range, by employer or all employers, by type, by processor, etc.)	Mandatory				
37	Shall provide the ability to adjust refunds for legal orders (e.g., QILDROs, child support, and other mandated deductions)	Mandatory				
38	Shall provide the ability to generate payments to party(ies) specified in legal orders	Mandatory				
39	Shall support member requests for rollover to a qualified plan, generating payment and corresponding letter	Mandatory				
40	Shall provide the ability to automatically process additional refunds after the initial refund if additional information is received	Mandatory				
41	Shall provide the ability to perform a refund estimate including tax deductions based on a future termination date	Mandatory				
42	Shall provide the ability to save and name a refund estimate	Mandatory				
43	Shall automatically notify non-vested member x months prior to (Required Minimum Distribution Age of mandatory refund policy (parameter defined by CTPF)	Mandatory				

Functional Area: Refunds			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
44	Shall provide the ability to automatically calculate and generate a refund for a non-vested member when they reach the Required Minimum Distribution Age on a schedule defined by CTPF	Mandatory				
45	Shall ensure that no payments are made until all documentation and eligibility requirements are met	Mandatory				
46	Shall provide the ability to reinstate a member's account after a refund has been issued and returned to CTPF within a certain amount of time (defined by CTPF)	Mandatory				

4.2.24 – Retirement Application Process

The Commitments stated in this section pertain to CTPF's retirement application process functionality.

Functional Area: Retirement Application Process			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide the ability to apply for retirement online (self-service) or by submitting a pre-populated paper application if counseled	Mandatory				
2	Shall provide the ability to prevent an online retirement application more than x days before the first eligible retirement date, excluding a reciprocal retirement in certain conditions, as defined by CTPF	Mandatory				
3	Shall provide the ability to create a retirement application from a current or saved estimate (using the options selected) if member is eligible or within X days of eligibility, excluding a reciprocal retirement in certain conditions	Mandatory				
4	Shall have the pension and benefits modules work together in real time to provide a unified online retirement application based on rules defined by CTPF (e.g., eligible benefits and associated premiums, setup retiree benefits upon CTPF approval, etc.)	Mandatory				
5	Shall notify member of conditions that may have an impact on their benefit (e.g., service credit that can be purchased, 2.2 upgrade, reciprocal service)	Mandatory				
6	Shall notify member of any outstanding amounts owed by member to CTPF	Mandatory				

Functional Area: Retirement Application Process			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
7	Shall notify the member if an estimate has not been produced within X timeframe relative to retirement eligibility date, as defined by CTPF	Mandatory				
8	Shall launch a workflow to initiate a retirement application process, allowing for the capture of all data needed for retirement processing (e.g., payment method, beneficiary designation, payment option selection, tax withholding, health insurance selections, etc.)	Mandatory				
9	Shall provide an electronic checklist of all documents associated with the retirement application process	Mandatory				
10	Shall provide the ability to send notifications to a member at specific milestones in the retirement application process (e.g., received, in-process, missing information, approved, cancelled, denied, etc.)	Mandatory				
11	Shall provide a view of the status of a retirement for CTPF staff (e.g., call center)	Mandatory				
12	Shall notify member of missing documents/information (including termination/retirement status) x days (parameter to be defined by CTPF) prior to retirement date with continuous notification at intervals of x (parameter to be defined by CTPF) including cancellation of application	Mandatory				
13	Shall notify the member of a denied application including reasons	Mandatory				
14	Shall provide the ability to update certain member data with new information received with application (e.g., address, email address, name change, etc.)	Mandatory				
15	Shall allow for "real-time" edits and validations on retirement processing (e.g., eligibility, termination date, etc.) according to CTPF business rules	Mandatory				
16	Shall provide the ability to update or override application or member data related to a retirement, based on user role	Mandatory				
17	Shall require notes to be entered whenever an override is performed	Mandatory				
18	Shall launch a workflow requesting secondary approval on any retirement update or override, based on user role (if manager, secondary approval is not necessary)	Mandatory				
19	Shall provide an audit trail of any corrections made to retirement data	Mandatory				
20	Shall track and display if member has selected a 2.2 upgrade option, launching a workflow/notification if the member is eligible but did not select and there is no estimate on file within X timeframe determined by CTPF (sent earlier of members online application or when prelim pension is set up)	Mandatory				

Functional Area: Retirement Application Process			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
21	Shall process preliminary monthly benefits based on current eligibility information, confirmed service, and optional service until final records from an employer are received	Mandatory				
22	Shall maintain (keep open) retirement workflows until all steps related to finalizing a member's benefit have been completed. It is expected that this would be managed with workflow status similar to the rest of the workflow, and therefore could have additional business rules applied based on statuses.	Mandatory				
23	Shall provide the ability to validate reciprocal service identified by the member or reciprocal system as part of the retirement workflow	Mandatory				
24	Shall launch a secondary workflow to health insurance department to review or process health insurance options selected by member from the retirement workflow	Mandatory				
25	Shall launch a secondary workflow to enter beneficiary information if form is received	Mandatory				
26	Shall provide the ability to support various payment methods (e.g., direct deposit, paper check) for retirements and related payments (e.g., lump sum payment)	Mandatory				
27	Shall capture, update, and validate bank information in real time	Mandatory				
28	Shall withhold mandatory and/or optional tax deduction from a retirement as selected by the member	Mandatory				
29	Shall allow for only one active retirement application at a time	Mandatory				
30	Shall create the reversionary sub account based on information entered at time of retirement	Mandatory				
31	Shall provide the ability to cancel a retirement application before it has been completed	Mandatory				
32	Shall provide the ability to reinstate a member's account after a retirement has been setup within a certain amount of time (defined by CTPF)	Mandatory				
33	Shall provide a view of all people in process of applying for retirement based on parameters defined by CTPF (e.g., date range, by employer or all employers, by type, by processor, etc.)	Mandatory				
34	Shall provide a view of all people who retired based on parameters defined by CTPF (e.g., date range, by employer or all employers, by type, by processor, etc.)	Mandatory				

Functional Area: Retirement Application Process			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
35	Shall flag an account if a QILDRO is on file for member (to bring to the attention of all internal CTPF Staff) and kick off a workflow to the Legal department	Mandatory				
36	Shall provide monthly statistical reporting of benefits that have been processed as defined by CTPF	Mandatory				

4.2.25 – Service Credit Calculation

The Commitments stated in this section pertain to CTPF's service credit calculation functionality.

Functional Area: Service Credit Calculation			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
1	Shall calculate member service credit according to CTPF's business rules (e.g., pre day for day, day to day, etc.) See Appendix	Mandatory				
2	Shall calculate service credit for eligible members (e.g., full-time, part-time, various pay periods)	Mandatory				
3	Shall adjust service credit and balance in an account as a result of a benefit being paid or service purchased, applying the appropriate service purchase rules per type	Mandatory				
4	Shall adjust service credit based on adjustments submitted by employers	Mandatory				
5	Shall provide the ability to manually adjust service credit, based on user role	Mandatory				
6	Shall require notes to be entered whenever service credit is adjusted	Mandatory				
7	Shall launch a workflow requesting secondary approval when service credit is adjusted, based on user role (if manager, secondary approval is not necessary)	Mandatory				
8	Shall provide an audit trail of any corrections made to service credit	Mandatory				
9	Shall provide the ability to apply conditional logic to certain service credit scenarios (e.g., rounding issues on adjusted service)	Mandatory				
10	Shall generate appropriate notification(s) when service credit is adjusted for a member (e.g., reciprocal service added), as defined by CTPF	Mandatory				

Functional Area: Service Credit Calculation			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
11	Shall provide a report showing member service credit adjustments for a given timeframe (parameter defined by CTPF)	Mandatory				
12	Shall accumulate/credit no more than the number of calendar days within a given pay period	Mandatory				
13	Shall have edits in place such that no more than 1 month of service is granted for a calendar month with concurrent and purchased service	Mandatory				
14	Shall have edits in place such that no more than 1 year of service is granted for a fiscal year with concurrent and purchased service	Mandatory				
15	Shall have edits in place such that total service credit can be capped based on a defined time parameter (Today set at 33.91 years)	Mandatory				
16	Shall have edits in place such that pre day-to-day service (June 30, 2011 and prior) is appropriately granted	Mandatory				
17	Shall have edits in place such that day-to-day service (July 1, 2011 and after) is appropriately granted	Mandatory				
18	Shall provide a view showing active members who have been reported during the fiscal year but don't qualify for service credit (e.g., ISBE lookup to determine if member is licensed, in a covered position)	Mandatory				
19	Shall provide a view of service credit earned for all members, based on different criteria (e.g., monthly, pay period, fiscal year employer type)	Mandatory				
20	Shall provide a view of days reported for a member by applicable fiscal year with detail listing by employer and submission date	Mandatory				
21	Shall identify service credit by type (e.g., Regular Service, Time Loss Due to Layoff, Military, Leave of Absence, Maternity, Public Teaching Service, Reinstatement of Refunded Service Credit)	Mandatory				
22	Shall adjust service credit and balance in account as a result of a service purchase reversal	Mandatory				
23	Shall adjust service credit based on audit results (e.g., delinquent contributions)	Mandatory				

4.2.26 – Service Purchase Contract

The Commitments stated in this section pertain to CTPF’s service purchase functionality.

Functional Area: Service Purchase Contract			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide the ability to handle service purchase contracts (e.g., Time Loss Due to Layoff, Military, Leave of Absence, Maternity, Public Teaching Service, Reinstatement of Refunded Service Credit, Reinstatement of Survivor Contributions (Financial Component Only)) based on CTPF's Statutes, Administrative Rules and Policies (See CTPF Statutes in Appendix)	Mandatory				
2	Shall provide the ability to handle 2.2 Upgrades to a member's pension formula based on CTPF's Statutes, Administrative Rules, Procedures and Policies (See CTPF Statutes in Appendix)	Mandatory				
3	Shall provide the ability to track and reconcile contribution deficiency bills, and have the ability to override when processing a benefit	Mandatory				
4	Shall capture a new request for a purchase of service cost, or update to a previous cost, that applies appropriate edits to the service purchase request and prevents the submission of an incomplete or inaccurate request	Mandatory				
5	Shall produce a notification to acknowledge receipt of each signed and returned purchase of service contract from a member	Mandatory				
6	Shall notify member if they are ineligible to purchase service credit	Mandatory				
7	Shall accommodate different types of service purchase and be able to distinguish them on the member's master record	Mandatory				
8	Shall calculate amount of service credit the member is eligible to purchase, including the ability to cap total service credit based on a CTPF defined time parameter (Today it is 33.91)	Mandatory				
9	Shall calculate amount of service credit the member is eligible to purchase, including the ability to cap for 1 year of service credit	Mandatory				
10	Shall calculate cost of service credit that a member is eligible to purchase based on the type of service purchase	Mandatory				
11	Shall provide the ability to interface with the actuary data files to determine the service credit costs	Mandatory				
12	Shall provide "real-time" edits and validations on the data being entered by CTPF regarding service purchases	Mandatory				
13	Shall provide the ability for CTPF to override errors and exceptions, based on user role	Mandatory				
14	Shall require notes to be entered whenever an override is performed	Mandatory				
15	Shall launch a workflow requesting secondary approval when overriding any overrides, based on user role (if manager, secondary approval is not necessary)	Mandatory				

Functional Area: Service Purchase Contract			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
16	Shall provide an audit trail of any corrections made to reported data	Mandatory				
17	Shall maintain, in the member's account, a detailed history of all refunds such that, when the member elects to purchase service corresponding with a historical refund, the cost of the purchase can be calculated automatically and, when payment is received, the service credit can be reinstated automatically (to avoid users having to manually reinstate the service credit)	Mandatory				
18	Shall automatically determine the cost of military service based on the number of months the member is eligible for and wants to purchase	Mandatory				
19	Shall accommodate multiple purchases of the same "type" and track the employer associated with each	Mandatory				
20	Shall allow for various member payment terms (e.g., a lump sum payment, installments, payroll deductions or a combination thereof)	Mandatory				
21	Shall provide ability for members to make payments directly via an electronic payment (e.g., ACH, credit cards)	Mandatory				
22	Shall capture a transaction date, effective date, payment type and amount remitted for each payment received from the member	Mandatory				
23	Shall accept qualified incoming rollover payments up to the amount from financial institutions toward a member’s receivable associated with a service purchase	Mandatory				
24	Shall not allow the posting of service credit to the member's account until all payments are received	Mandatory				
25	Shall track all tax-deferred payments for the service purchase (e.g., taxable contributions, rollover)	Mandatory				
26	Shall provide the ability to cancel a service purchase in process and refund the money paid to date by the member back to the member	Mandatory				
27	Shall generate a service purchase contract notice including contract and payment schedule details	Mandatory				
28	Shall automatically generate a payment received notice showing the most recent payment, the before and after balance, and the amount paid to date, and total remaining amount due to make the purchase	Mandatory				
29	Shall automatically generate a final payment received notice that outlines the service credit now posted to the member's account	Mandatory				
30	Shall provide the ability to generate a notice to the member requesting additional information related to an incomplete service purchase application and include the appropriate application data highlighting the areas that need to be completed or corrected	Mandatory				

Functional Area: Service Purchase Contract			**Bidder Must Respond to at least one item below for each Commitment**			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
31	Shall provide the ability to generate a denial notice if member is ineligible to purchase service (e.g., military time or outside service time could not be verified)	Mandatory				
32	Shall generate a report of individual service purchase applications for each service purchase applied for at the level of detail desired by CTPF (e.g., by employer, by school, by member, by date)	Mandatory				
33	Shall provide the ability to automatically generate a notice if a payment is missed after x (parameter) number of days	Mandatory				
34	Shall provide a view internally within the system and on the member web portal, showing the details of any active service purchase application submitted by the member.	Mandatory				
35	Shall provide a view of service purchase reports (e.g., report listing all satisfied/outstanding service purchase agreements)	Mandatory				
36	Shall provide the ability to notify an employer to suspend the payroll deduction for service purchases	Mandatory				
37	Shall automatically inform the employer if a member's tax-deferred payment is not on the current report, but was on the previous cycle's report and invoice was not closed	Mandatory				
38	Shall provide a view for CTPF to enter in the months of military service credit being purchased	Mandatory				
39	Shall generate a notice outlining the cost of the military service being purchased	Mandatory				
40	Shall notify member that certification of military service is needed	Mandatory				
41	Shall validate eligibility for military service based upon dates (e.g., termination, service entry, service exit, rehire)	Mandatory				
42	Shall recognize multiple periods of military service	Mandatory				
43	Shall allow for the changing and recalculation of payment terms (e.g., installment agreements)	Mandatory				
44	Shall provide the ability to pay back excess funds submitted for a service purchase	Mandatory				
45	Shall provide the ability to generate a new service purchase agreement if a retirement change is made (e.g., change in date) at any time prior to benefit finalization	Mandatory				
46	Shall provide the ability to cancel a service purchase in process and reapply the balance paid to a new purchase agreement	Mandatory				
47	Shall flag an account if a retirement date change is made and a purchase of service agreement is in effect	Mandatory				

Functional Area: Service Purchase Contract			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
48	Shall launch a workflow to re-activate a terminated member (Completed from imaged records, no longer in PGold) to confirm and certify exchange data from the reciprocal system(s).	Mandatory				

4.2.27 – Statistical and Actuarial Reporting

The Commitments stated in this section pertain to CTPF's statistical and actuarial reporting functionality.

Functional Area: Statistical and Actuarial Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide files for actuarial reporting (e.g., valuation, experience study) which includes data for all plans (see Appendix)	Mandatory				
2	Shall generate a file(s) that can be used to produce the actuarial valuation, which are then (subset of the valuation data) incorporated into the Comprehensive Annual Financial Report (CAFR), as defined by CTPF	Mandatory				
3	Shall provide a view showing actuarial reporting exceptions	Mandatory				
4	Shall provide the ability to receive and load data from other retirement systems, providing a file(s) for actuarial reporting (e.g., Reciprocal system data)	Mandatory				
5	Shall provide employer disclosures in accordance with Governmental Accounting Standards Board (GASB) (e.g., employer footnote disclosure - GASB68)	Mandatory				
6	Shall provide the ability to extract additional actuarial information (e.g., Tier 2 information, service purchase factors, mortality tables, etc.) for further analysis	Mandatory				
7	Shall provide a reconciliation view to validate information contained in files/extracts	Mandatory				
8	Shall provide aggregated and comparative views based on parameters provided by CTPF (e.g., current period to previous period, 12-month average, current month to same month of previous year)	Mandatory				
9	Shall provide view(s) of statistical, detailed membership, and benefits transaction information, as needed for analysis associated CTPF reporting, NCPERS, CEM annual study, etc.	Mandatory				

Functional Area: Statistical and Actuarial Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
10	Shall provide the ability to re-create any views (extracts) based on date/time parameters, with the option of including subsequent adjustments	Mandatory				
11	Shall provide the ability to load actuarial information and tables (e.g., service purchase factors, mortality tables, etc.) for future calculations including effective date(s)	Mandatory				

4.2.28 – Subledger

The Commitments stated in this section pertain to CTPF's subledger functionality.

Functional Area: Subledger			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall adhere to Governmental Accounting Standards Board (GASB) statements, Financial Accounting Standards Board (FASB), and Generally Accepted Accounting Principles (GAAP)	Mandatory				
2	Shall support all CTPF's accounting entities (e.g., CTPF funds, programs, journals, chart of accounts, general ledger (GL) transactions, etc.) and the roll-ups of any combination of these	Mandatory				
3	Shall support multiple funds (e.g., health insurance)	Mandatory				
4	Shall automatically create appropriate general ledger transactions for any financial transactions (e.g., monthly remittance of contributions, income and accounts receivable, debits and credits).	Mandatory				
5	Shall provide the ability to split data from single payroll file into appropriate GL (e.g., multiple charter schools)	Mandatory				
6	Shall provide a detailed and summary history of all GL transactions processed	Mandatory				
7	Shall integrate Sage Intacct and the LOB solution according to CTPF's chart of accounts	Mandatory				
8	Shall integrate check printing vendor/software (e.g., vouchers, weekly and monthly checks/warrants) and the Bidder's solution according to CTPF's chart of accounts	Mandatory				
9	Shall provide a view of all payments made	Mandatory				

Functional Area: Subledger			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
10	Shall generate separate monthly benefit and refund views, identifying the monthly journal entries posted to GL and a summary of all pension payrolls, taxes, and adjustments	Mandatory				
11	Shall generate separate health insurance related payment views, identifying the monthly journal entries posted to GL and a summary of all payments and adjustments	Mandatory				
12	Shall provide reconciliation views to help end-users verify transactions processed, including daily, weekly, monthly and fiscal year reconciliations or any time frame parameter (e.g., monthly remittance of contributions, benefit payments, deductions, etc.)	Mandatory				
13	Shall provide reconciliation views to ensure that last month's fund balance plus any GL activity through a date (user entered parameter) equals the fund balances	Mandatory				
14	Shall provide an automated interface with CTPF's commercial bank(s) to exchange data for all bank accounts (e.g., ach payments, pre-notes, positive pay file, and wire transfers)	Mandatory				
15	Shall provide the ability to define cut-off dates (e.g., monthly, end of year, etc.) to be used in the system, based on CTPF's business rules and calendar	Mandatory				
16	Shall produce detail and summary reports, as well as exception reports for Financial Reporting processes based on CTPF business rules.	Mandatory				
17	Shall provide the ability for a Finance user to add GL to the chart of accounts in the LOB, based on user role	Mandatory				
18	Shall provide the ability to launch a workflow requesting secondary approval when adding to the chart of accounts	Mandatory				
19	Shall provide an audit trail of any GL accounts added	Mandatory				
20	Shall provide the ability to add effective date to all GL transactions	Mandatory				
21	Shall require all financial transactions have a GL tied to it	Mandatory				

4.2.29 – Tax Reporting

The Commitments stated in this section pertain to CTPF’s tax reporting functionality.

Functional Area: Tax Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
1	Shall provide CTPF the ability to automatically generate 1099Rs	Mandatory				
2	Shall provide ability to view historical 1099Rs	Mandatory				
3	Shall provide ability to reprint all 1099Rs	Mandatory				
4	Shall provide ability to view or reprint a single 1099R	Mandatory				
5	Shall generate a file with a header record for the IRS	Mandatory				
6	Shall generate a file with 1099R detail and summary reports for the IRS (e.g., balancing report, control report, not printed/generated report, not generated report for members who passed during calendar year and 1099R wasn't sent to IRS) These are reports available today, would like more robust reporting around the 1099R process.	Mandatory				
7	Shall generate a file to print the 1099Rs	Mandatory				
8	Shall provide the ability to revise and correct 1099R data, indicate that it has been revised and maintain history of revisions	Mandatory				
9	Shall generate 1099Rs for any prior year payment adjustments made, indicate that it has been revised and maintain history of revisions	Mandatory				
10	Shall generate a view for any payment adjustments made that automatically regenerated a 1099R	Mandatory				
11	Shall reconcile with all fields on standard 1099R form	Mandatory				
12	Shall provide reconciled 1099R to IRS payments view	Mandatory				
13	Shall provide a view of reconciled 1099R to individual member payments	Mandatory				
14	Shall reconcile 1099R total to pension payments	Mandatory				
15	Shall provide the ability to provide tax reporting information to person named as contact for deceased individual	Mandatory				
16	Shall automatically generate corrected 1099R based on member record adjustments	Mandatory				
17	Shall provide a view showing amounts by payment period, payment type, GL acct, payment status, etc.	Mandatory				
18	Shall generate edit report when file is created to reconcile federal, pre- and post-tax, and taxable and non-taxable	Mandatory				
19	Shall generate file for IRS for corrected 1099R as needed	Mandatory				
20	Shall provide appropriate edits when processing 1099R (e.g., address length exceeds space on 1099 form)	Mandatory				
21	Shall provide monthly, quarterly, and annual tax withholding reporting	Mandatory				
22	Shall provide the ability to load IRS tax updates (e.g., tax tables) with effective dates	Mandatory				

Functional Area: Tax Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
23	Shall provide the ability to update all pension benefits with annual updates	Mandatory				
24	Shall provide the ability to flag one or more individuals to prevent a 1099R from being generated	Mandatory				
25	Shall provide the ability to update the 1099R template based on IRS updates for inhouse printing	Mandatory				

4.2.30 – Web Self Service

The Commitments stated in this section pertain to CTPF's web self-service functionality.

Functional Area: Web Self Service			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide all current web self-service functionality as today (member, employer)	Mandatory				
2	Shall provide the ability to integrate with and provide the same look and feel with the CTPF (Home) website	Mandatory				
3	Shall adhere to all CTPF website standards and branding	Mandatory				
4	Shall provide a modern portal platform and responsive design across various platforms and screen sizes (e.g., desktop, tablet, mobile phone)	Mandatory				
5	Shall support modern desktop and mobile browsers as defined by CTPF	Mandatory				
6	Shall provide modern portal security and related user functionality (e.g., registration process, multi-factor authentication, identity verification (Identity questions), password resets, security questions, admin support, user analytics, etc.) as defined by CTPF	Mandatory				
7	Shall provide the ability to view data entries during the user experience (e.g., registration, login, other data elements, etc.) as defined by CTPF	Mandatory				
8	Shall provide the appropriate self-service functionality (e.g., portals, dashboards, information, features, menus, widgets, etc.) based on the user type (e.g., member, beneficiary, reversionary beneficiary,	Mandatory				

Functional Area: Web Self Service			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
	annuitant, alternate payee, employer contact, etc.) and status (e.g., active, retired, inactive)					
9	Shall provide the appropriate self-service data based on user type (e.g., member, employer, reciprocal system, etc.) as defined by CTPF	Mandatory				
10	Shall provide the ability for a consolidated member view, providing access to various member related accounts through one login (e.g., person is an active member and also receiving an annuity as a beneficiary/alternate payee)	Mandatory				
11	Shall provide appropriate educational content and Frequently Asked Questions (FAQ) section for each user (e.g., member, beneficiary, annuitant, alternate payee, employer contact, etc.)	Mandatory				
12	Shall provide the ability to host or link to educational content (e.g., videos, presentations, etc.)	Mandatory				
13	Shall provide tool tips and other UI functionality to assist users with portal features and functionality	Mandatory				
14	Shall provide the ability to host a secure message/communication channel to all users based on user status and type (e.g., members, employer contact, etc.)	Mandatory				
15	Shall provide the ability for secure real-time chat with CTPF employees	Mandatory				
16	Shall apply appropriate edits (same as LOB) when submitting data through web self-service (e.g., address, banking information, etc.)	Mandatory				
17	Shall provide the ability to include attachments to electronic communications sent to CTPF where feasible	Mandatory				
18	Shall provide the ability for members to register and access web self-service as soon as they are setup by employer, or CTPF staff (e.g., Beneficiary, Alternate Payee) as defined by CTPF	Mandatory				
19	Shall provide the ability to launch a workflow for CTPF-defined processes	Mandatory				
20	Shall provide the ability to print or email a copy of a member's selection summary/acknowledgements (e.g., Retirement application, health insurance selections)	Mandatory				
21	Shall provide the ability to capture electronic signatures or integrate with a 3rd party service, as defined by CTPF (e.g., Docusign, etc.)	Mandatory				
22	Shall provide the ability to search and access content on the website.	Mandatory				
23	Shall provide the ability for CTPF to setup employers, employer users, reciprocal system users, etc. and user access for Web Self Service	Mandatory				

Functional Area: Web Self Service			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
24	Shall provide the ability to configure global website and portal messaging/alerts as defined by CTPF (e.g., upcoming system maintenance message, system is down, etc.)	Mandatory				
25	Shall provide the ability to configure role-based website and portal messaging/alerts as defined by CTPF (e.g., employer specific message)	Mandatory				
26	Shall provide the ability to post surveys for users to complete following certain web self-service tasks, as defined by CTPF	Mandatory				
27	Shall provide the ability for CTPF to configure and update website content (e.g., education) without requiring programming changes	Mandatory				
28	Shall provide the ability to link to other internal/external CTPF applications or websites (e.g., CTPF website, health insurance provider website, other Illinois retirement systems website, etc.)	Mandatory				
29	Shall provide the ability for CTPF to proxy as a web user (e.g., member, employer) to view the same screen and data being entered that the web self-service user is seeing to help with questions	Mandatory				
30	Shall provide the ability for CTPF to enable/disable access per user or group of users to web self-service	Mandatory				
31	Shall provide the ability for CTPF to enable/disable feature access within web self-service per user or group of users	Mandatory				
32	Shall provide the ability to capture Terms of Use, Policies, Privacy Notifications and Compliance Requirements accepted by user (e.g., members, employers) and record electronically	Mandatory				
33	Shall provide the ability to timestamp and capture audit trail of all transactional changes through web self service	Mandatory				
34	Shall provide the ability to immediately login and view account information upon registration in web self-service	Mandatory				
35	Shall provide access to user's current and historical data real-time (e.g., demographic information, beneficiary information, payment details, insurance, contributions, etc.) as defined by CTPF	Mandatory				
36	Shall provide summary views of account information, as defined by CTPF	Mandatory				
37	Shall provide detail views of account information, as defined by CTPF	Mandatory				
38	Shall provide the ability for a consolidated view for payment activity (multiple accounts), with the ability to filter by account	Mandatory				

425 South Financial Place Suite 1400
Chicago, IL 60605-1000

Functional Area: Web Self Service			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
39	Shall provide the ability for users to add or update their demographic information (e.g., address, phone, email, etc.), based on CTPF business rules	Mandatory				
40	Shall provide the ability for users to set and update their communication preferences by communication type (e.g., newsletters, member statements, 1099Rs, pay advices, etc.), as defined by CTPF	Mandatory				
41	Shall provide the ability for members to view, add or update beneficiary information (e.g., SSN, relationship, DOB, etc.), based on CTPF business rules	Mandatory				
42	Shall provide the ability to select an existing beneficiary or dependent to add to a benefit (avoid duplication, retyping)	Mandatory				
43	Shall provide the ability for users to submit a request for data correction, creating a workflow for processing, based on CTPF rules	Mandatory				
44	Shall notify the member through preferred method of communication of any changes made to their account online	Mandatory				
45	Shall provide retirees the ability to update/submit direct deposit or payment information (if applicable)	Mandatory				
46	Shall provide the ability to validate routing numbers real-time through a 3rd party service	Mandatory				
47	Shall provide retirees the ability to update their federal and other tax elections	Mandatory				
48	Shall provide an estimate calculator to members, providing the ability to present standard estimate scenarios (most common - e.g., end of school year), with the ability to run other retirement scenarios	Mandatory				
49	Shall provide the ability to save and view (CTPF staff) all parameters used for each member web self-service estimate ran, including date/time executed	Mandatory				
50	Shall provide the ability to calculate all eligible benefits (e.g., regular retirement, reversionary retirement, etc.)	Mandatory				
51	Shall provide the ability to calculate any deductions (e.g., tax, insurance) on the estimate	Mandatory				
52	Shall provide the ability for messaging within the estimate workflow notifying the user of conditions that may have an impact on the member's benefit (e.g., service credit that can be purchased, reciprocal service)	Mandatory				

Functional Area: Web Self Service			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
53	Shall provide the ability for the estimate to include or exclude potential service purchased, or other pension enhancement programs (e.g., early retirement options), as defined by CTPF	Mandatory				
54	Shall provide a view that contains a combination of the payroll records selected for the final average salary and the details of how the estimate was calculated	Mandatory				
55	Shall provide the ability for a member to save and name their estimate	Mandatory				
56	Shall provide a view of previously calculated annuity estimates, as defined by CTPF (e.g., only show last 5, ones saved in the last year, etc.)	Mandatory				
57	Shall provide the ability for member to delete a saved estimate(s) from user's view, while still being viewable to CTPF staff	Mandatory				
58	Shall provide the ability to download or print an estimate	Mandatory				
59	Shall provide the ability to create a retirement application from a current or saved estimate (using the options selected) if member is eligible or within X days of eligibility	Mandatory				
60	Shall provide the ability to submit a refund application, applying the appropriate edits, calculations and required information for submission	Mandatory				
61	Shall check any refund request to see if member is eligible for a retirement (including reciprocal service) and display appropriate messaging based on member status and age, as defined by CTPF (e.g., estimated annuity amount, acknowledgements)	Mandatory				
62	Shall provide the ability to update refund information including rollover information (e.g., amount, rollover company, tax withholding, plan type, payment address changes) before reaching a certain processing status as defined by CTPF	Mandatory				
63	Shall provide a view of the status of a refund, including rollover information, information CTPF has not received/requested, payment status (e.g., requested, processed, paid), as defined by CTPF	Mandatory				
64	Shall provide the ability to submit a retirement application, providing education/content (e.g., applicable reciprocal service, 2.2 eligibility, ways to maximize your benefit, etc.), and applying the appropriate edits, calculations and required information for submission	Mandatory				
65	Shall provide the ability to update retirement application information (e.g., option selected, payment address changes, withholdings, etc.) before reaching a certain processing status, as defined by CTPF	Mandatory				

Functional Area: Web Self Service			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
66	Shall provide a view of the status of a retirement application, including information CTPF has not received/requested, first annuity payment date, etc., as defined by CTPF	Mandatory				
67	Shall provide a view of the status of a disability application process (not retirement application, this is the process for approval to apply for disability benefits), as defined by CTPF	Mandatory				
68	Shall provide the ability for identified members (approved for disability retirement) to submit a disability retirement application, providing education/content, and applying the appropriate edits, calculations and required information for submission	Mandatory				
69	Shall provide a view of the status of a disability retirement application, as defined by CTPF	Mandatory				
70	Shall provide the ability to cancel a refund or retirement application before reaching a certain processing status, sending the cancellation request to the appropriate workflow	Mandatory				
71	Shall provide the ability for survivors and beneficiaries to submit a death benefit application, applying the appropriate edits, calculations and required information for submission, as defined by CTPF	Mandatory				
72	Shall provide the ability to update death benefit application information (e.g., option selected, payment address changes, withholdings, etc.) before reaching a certain processing status, as defined by CTPF	Mandatory				
73	Shall provide a view of the status of a death benefit application, including information CTPF has not received/requested, first annuity payment date, etc., as defined by CTPF	Mandatory				
74	Shall provide the ability to save a pending refund or retirement application, allowing member to come back and complete within timeframe defined by CTPF	Mandatory				
75	Shall provide the ability to notify (reminder) member of an unfinished application	Mandatory				
76	Shall provide the ability to cancel an unfinished application within a timeframe defined by CTPF	Mandatory				
77	Shall provide the ability for a member or survivor to apply for optional service, as defined by CTPF	Mandatory				
78	Shall provide the member the ability to view and print monthly salary information and employment history	Mandatory				
79	Shall provide the member the ability to view and print current and previous Member Statements	Mandatory				

Functional Area: Web Self Service			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
80	Shall provide the ability for real-time generation of a member statement, allowing to request a statement if not allowed/disabled in WSS, with a workflow being launched internally to process the request (flagged for some reason)	Mandatory				
81	Shall provide the ability to view and print appropriate annuity verification letters (e.g., service retirement pension, disability annuity, survivorship, etc.)	Mandatory				
82	Shall provide the ability to view and print a health insurance verification letter (e.g., health insurance enrollment)	Mandatory				
83	Shall provide the ability to view and print a combined benefits (annuity and health insurance) verification letter	Mandatory				
84	Shall provide the ability for users to download and print their tax forms (e.g., 1099R)	Mandatory				
85	Shall provide the ability for users to download and print their pay advices	Mandatory				
86	Shall provide secure access to documents available in web self-service (e.g., encrypted at rest, in transit, etc.)	Mandatory				
87	Shall provide the ability for the user to request CTPF to send them a member related document(s) (e.g., form, member statement, annuity verification letter, etc.)	Mandatory				
88	Shall provide the ability to display certain forms based on the user status (e.g., active, retired, inactive) as defined by CTPF	Mandatory				
89	Shall provide the ability to print both blank, editable (user-entered data) and pre-filled forms	Mandatory				
90	Shall provide the ability to upload documents through web self service	Mandatory				
91	Shall provide the ability to view member documents as defined by CTPF	Mandatory				
92	Shall provide the ability to notify CTPF of a Qualifying Life Event (e.g., QILDRO, Divorce, Death)	Mandatory				
93	Shall provide the ability to initiate the applicable workflow when a Qualifying Life Event (e.g., QILDRO, Divorce, Death) is reported, based on CTPF business rules	Mandatory				
94	Shall provide the ability to display status of Qualifying Life Event (e.g., QILDRO, Divorce, Death) from the LOB	Mandatory				
95	Shall provide the ability to calculate/estimate benefits and amount of service for a given period when an approved - QILDRO is on file (sample outputs below)	Mandatory				

Functional Area: Web Self Service			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
	Total months of regular service: - Months of regular service between 7/13/1996 to 12/1/2016 Gross Monthly Pension including permissive service, upgrades purchased, or any other benefit formula enhancements. Prelim Pension (if pension not yet initiated) - Estimated Final Pension Amount - Estimated Survivor Refund					
96	Shall provide the ability to calculate cost of a service purchase contract	Mandatory				
97	Shall provide the ability for a member to initiate a service purchase contract request	Mandatory				
98	Shall provide a view of the different service purchase payment options (e.g., lump sum, rollover, installments, etc.), providing the ability to calculate additional interest on a member's service purchase contract and offering the appropriate payment instructions based on option selected	Mandatory				
99	Shall provide the ability for electronic payment(s) to be made for service purchase	Mandatory				
100	Shall provide the ability for users to schedule counseling activities, presentation, seminar, workshops, etc.	Mandatory				
101	Shall provide the ability to view other events scheduled through 3rd party solutions (e.g., presentations, seminars, workshops, etc.)	Mandatory				
102	Shall provide the same calendar functionality for web self-service as LOB for counseling sessions	Mandatory				
103	Shall provide the ability for a user (CTPF and member) to integrate the appointment with users' personal calendar	Mandatory				
104	Shall provide the ability to notify user of an upcoming appointment, allowing user to update or cancel appointment if a change is needed	Mandatory				
105	Shall provide the ability for annuitants to enroll in annuitant health insurance online as part of the online retirement application process, or a standalone enrollment (e.g., Open enrollment, dependent, survivor, etc.), as defined by CTPF business rules	Mandatory				
106	Shall provide ability for online tools designed to help annuitants compare benefits plan features, understand insurance coverage	Mandatory				

Functional Area: Web Self Service			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
	relating to specific events and estimate medical costs while enrolling via portals.					
107	Shall provide the ability to view current health insurance and other benefits information (e.g., Summary of current selections, cost and subsidy information, etc.)	Mandatory				
108	Shall provide the ability to update, ~~or~~ opt-out, or cancel CTPF health insurance plans and other benefits, as defined by CTPF business rules	Mandatory				
109	Shall provide the ability to view historical benefit enrollment selections with associated premiums	Mandatory				
110	Shall provide access to all employer portal functionality based on defined user roles and security (e.g., ability to submit payroll, access documents, run reports, etc.)	Mandatory				
111	Shall provide the ability to designated employer roles (e.g., pension officer, 3rd party vendor) to create and maintain other employer contacts and employer portal access	Mandatory				
112	Shall provide the ability to post and provide access to employer related documents (e.g., charter agreement)	Mandatory				
113	Shall provide the ability to employers to generate on-demand reports (e.g., payroll reports, exception reports, employee reports, etc.) as defined by CTPF	Mandatory				
114	Shall provide the ability for employers to report terminated members to CTPF	Mandatory				
115	Shall provide the ability for employers to update demographic and wage data information	Mandatory				
116	Shall provide the ability for employers to report death of a member	Mandatory				
117	Shall provide the ability to automatically provide CTPF service/salary breakdown, pending service purchase, status (last day worked, separation date), payment status, 2.2 eligibility, etc. upon request for reciprocity (Other systems can login and see info), as defined by CTPF	Mandatory				
118	Shall provide the ability to access other Illinois Reciprocal Systems to obtain information for a member. (e.g., Power of Attorney information, member's birth certificate, etc.) when processing a retirement	Mandatory				
119	Shall provide the ability to view, print and download previous certifications provided for retired or deceased members, including	Mandatory				

Functional Area: Web Self Service			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
	CTPF Max/Portion (noted as estimated if audit is not complete), as defined by CTPF					
120	Shall provide the ability for disability vendors to view, download, and upload disability benefit documentation	Mandatory				
121	Shall provide the ability for CTPF medical board to certify disability benefits	Mandatory				

4.2.31 – Workflow

The Commitments stated in this section pertain to CTPF's workflow functionality.

Functional Area: Workflow			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall create automated workflows for processes based on CTPF business rules and procedures (see Appendix)	Mandatory				
2	Shall seamlessly integrate with the CTPF LOB and Document Management (e.g., bidirectional communication between LOB solution and workflow, workflow creation based on receipt of document, etc.)	Mandatory				
3	Shall send events and corresponding data to workflow from LOB solution as defined by CTPF (e.g., member becomes retirement eligible, milestones and life events)	Mandatory				
4	Shall receive and act upon CTPF defined events and corresponding data from workflow (e.g., launch workflow, update existing workflows, etc.)	Mandatory				
5	Shall provide the ability to launch workflows based on online activity through the self-service portal(s)	Mandatory				
6	Shall provide the ability to launch workflows from the receipt of a document (e.g., form, letter, Microsoft Word/Excel document, email)	Mandatory				
7	Shall provide the ability to associate a new document to an existing workflow(s) providing notification, based on CTPF business rules	Mandatory				
8	Shall provide the ability for CTPF users to manually launch workflows	Mandatory				
9	Shall provide the ability for the system to automatically assign a priority to a workflow	Mandatory				
10	Shall provide the ability for a user to assign a priority to workflow, based on CTPF user roles and security	Mandatory				

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Functional Area: Workflow			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
11	Shall provide the ability to change a priority of a workflow, as defined by CTPF	Mandatory				
12	Shall provide a view showing workflows grouped by priority	Mandatory				
13	Shall provide the ability to use color, icons (e.g., red flag) and other visual cues to highlight prioritized work	Mandatory				
14	Shall provide the ability for CTPF users to link/unlink a document to a workflow (e.g., spreadsheets, screen shots)	Mandatory				
15	Shall provide the ability to access and view all documents within a workflow, based on CTPF user roles and security	Mandatory				
16	Shall provide the ability to display active workflows as defined by CTPF (e.g., group workbasket, user worklist)	Mandatory				
17	Shall provide default sort orders for all workbaskets and worklists, but allow users the ability to re-sort (e.g., default sort based on priority, but user can sort on owner, workflow type, etc.)	Mandatory				
18	Shall provide the ability to search and view workflows based on CTPF-defined parameters (e.g., process type, status, member, employer, user, group, etc.)	Mandatory				
19	Shall provide the ability to assign workflow items, route work, escalate, provide approvals and initiate ad hoc actions as defined by CTPF	Mandatory				
20	Shall allow designated staff to reassign work based on CTPF user roles and security (e.g., from one individual to another, one group to another, one queue/workbasket to another, etc.)	Mandatory				
21	Shall provide the ability to automatically assign workflows to user roles using skill-based routing (e.g., only certain users can process death benefits, only certain users can process restricted accounts)	Mandatory				
22	Shall provide the ability to flag a user so that workflows will not be sent to them within a given date range (e.g., vacation, out sick)	Mandatory				
23	Shall provide the ability to assign proxies for workflow actions, based on CTPF user roles and security (e.g., approvals, cover for sick leave/vacation, etc.)	Mandatory				
24	Shall provide the ability to auto-assign or notify a supervisor if a user has not logged in after a CTPF-defined timeframe and has a task(s) assigned	Mandatory				
25	Shall provide the ability for a CTPF user to request reassignment of work and the associated reason for request	Mandatory				
26	Shall provide a view of all tasks with a request for reassignment	Mandatory				

Functional Area: Workflow			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
27	Shall provide on-screen data validation for workflow data fields as defined by CTPF (e.g. - data format, required data fields/elements, etc.)	Mandatory				
28	Shall allow notes to be added to workflow steps, based on CTPF user roles and security	Mandatory				
29	Shall retain and display notes applied to a workflow as defined by CTPF	Mandatory				
30	Shall provide the ability to export workflow notes (e.g., excel, pdf)	Mandatory				
31	Shall support the following types of workflow processing: Sequential processing - Two tasks to be performed one after the other. Parallel processing - Two or more tasks to be performed simultaneously or in no particular order. Iterative processing - One or more tasks can be performed multiple times. (e.g., receive multiple address changes during a retirement application) Conditional processing - One or more tasks are to be performed, depending on some condition.	Mandatory				
32	Shall provide the ability to establish dependencies among workflows (primary/sub processes)	Mandatory				
33	Shall launch sub-processes from primary workflow, as defined by CTPF	Mandatory				
34	Shall enable sub-processes to re-join primary workflow, as defined by CTPF	Mandatory				
35	Shall provide the ability to search and view all main processes and sub-processes for any given entity including filter/sort capabilities (e.g., process, person, organization)	Mandatory				
36	Shall provide tool tips and other UI functionality to assist users with workflow actions	Mandatory				
37	Shall provide the ability to create and maintain workflow event notifications (e.g., receipt of additional information, completion of a workflow step, etc.) as defined CTPF	Mandatory				
38	Shall provide the ability to notify workflow users of workflow status updates, as defined by CTPF (e.g., pending approval/action, change in status, new information, approaching/exceeded SLAs, completion of a workflow step etc.)	Mandatory				

Functional Area: Workflow			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
39	Shall track start and end time at different levels (e.g., process, sub-process, activity, step)	Mandatory				
40	Shall provide the ability to define SLAs at different levels (e.g., process, sub-process, activity, step)	Mandatory				
41	Shall provide a view showing when SLAs are approaching threshold (parameter defined by CTPF) or have exceeded threshold	Mandatory				
42	Shall provide the ability to suspend/resume a workflow being processed, pausing any SLA in place until resumed, providing a reason	Mandatory				
43	Shall provide a view showing suspended workflows, reason for suspension, and how long they have been suspended, based on CTPF user role and security	Mandatory				
44	Shall provide real-time reporting and metrics around work in progress (e.g., open work by process, oldest work, average process time, etc.)	Mandatory				
45	Shall provide the ability to cancel a workflow without having to go through all of the steps and close them out, based on CTPF user role and security (e.g., if retiring member changes mind near end of process)	Mandatory				
46	Shall require notes to be entered whenever a workflow is cancelled	Mandatory				
47	Shall launch a workflow requesting secondary approval on a cancelled workflow, based on user role (if manager, secondary approval is not necessary)	Mandatory				
48	Shall provide a full audit trail on all workflow activities	Mandatory				
49	Shall retain all workflow history (e.g., creation, actions, before/after data updates, user performing action, date/time, etc.)	Mandatory				
50	Shall provide a view of historical workflows, with the ability to export data (e.g., excel)	Mandatory				
51	Shall allow historical workflows to be archived as defined by CTPF (e.g., closed date, type, etc.)	Mandatory				
52	Shall provide a view(s) showing productivity, volume and performance information (e.g., by staff member, process type, etc.) over a period of time (e.g., last month, year-to-date, etc.)	Mandatory				
53	Shall provide the ability to export workflow data, including productivity, volumes and performance metrics	Mandatory				
54	Shall provide a workflow designer allowing for the creation and editing of workflow templates without coding	Mandatory				

Functional Area: Workflow			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
55	Shall provide the ability for CTPF users to modify certain parts of a workflow template (e.g., SLA, routing rules) without IT involvement, based on user role and security (may require management and other approvals), providing a full audit trail on workflow template changes (e.g., activity/update, user, date/time)	Mandatory				
56	Shall provide the ability for CTPF to update workflow content (e.g., instructions, questions to ask, etc.) without requiring programming changes	Mandatory				
57	Shall provide the ability for CTPF to deactivate/reactivate a workflow (e.g., remove workflow from use), providing a full audit trail on workflow template changes (e.g., activity/update, user, date/time)	Mandatory				
58	Shall provide the ability to maintain workflow versioning and effective dates	Mandatory				
59	Shall provide the ability to complete any existing workflows using old workflow configuration when a new version of the workflow is created, or an existing workflow is deactivated	Mandatory				
60	Shall provide the ability to integrate with other external systems to launch or update workflows as defined by CTPF (e.g., CTPF Financial system, Fulfillment center software) See Appendix for list of systems	Mandatory				
61	Shall provide the ability for automated flow (no process steps, only a review step when defined) through processing based on CTPF business rules and procedures (e.g., refunds, estimate requests, survivor benefit setup, prelim pension)	Mandatory				
62	Shall provide the ability to hold new benefits or benefit changes in a review status until approved, which would then release for payment	Mandatory				

4.3 – Bidder's Technical Solution

This section specifies CTPF's technical solution commitments for the Bidder's proposed solution. The Bidder shall indicate any commitments that they 'take exception to' or will not satisfy for any reason. If the Bidder takes exception, then they must enter the exception explanation in the Bidder's Exception table provided in Section 4.7.1. If the Bidder takes no exception to a requirement, then the Bidder agrees to satisfy completely the requirement.

4.3.1 – Data Conversion and Bridging

The Commitments stated in this section pertain to the converting and bridging of data between the two systems.

Technical Solution: Conversion and Bridging			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall work cooperatively with CTPF and the data vendor to develop a data migration plan that ensures the integrity and validity of all data and allows CTPF to continue daily operations with no impact on performance.	Mandatory				
2	Shall be responsible for the creation and execution of scripts required to extract data from the target staging database, perform any transformations required, and load the data into the Line of Business (LOB) application database for all environments. Execution of scripts must be coordinated with CTPF.	Mandatory				
3	Shall work cooperatively with the data vendor and CTPF to develop the data mapping and maintain history (version control of mapping document), necessary to convert the data from the target staging database to the new PAS. Additionally, shall provide the data vendor and CTPF with all data model, database schema, data dictionary and other information necessary to facilitate the mapping.	Mandatory				
4	Shall provide any mapping documents used to load CTPF data into the vendor database highlighting any discrepancies in terminology used for the same, or similar, field.	Mandatory				
5	Shall load all data identified by CTPF including all historical and transactional data without "rolling up" the data	Mandatory				
6	Shall ensure that all data validation and integrity rules required in the new system are active and enforced during the load process	Mandatory				
7	Shall work cooperatively with the data vendor and CTPF to implement data reconciliation based on a method agreed upon by the data vendor and CTPF to ensure that converted/bridged data is accurate, complete, and verified.	Mandatory				
8	Shall work cooperatively with the data vendor and CTPF to create and execute testing procedures related to converted/bridged data and all business processes in the new PAS application. This shall include parallel testing of key business processes.	Mandatory				

Technical Solution: Conversion and Bridging			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
9	Shall work cooperatively with the data vendor and CTPF to specifically address how to handle converted/bridged data exceptions and accepted data in the new PAS application.	Mandatory				
10	Shall receive and process periodic and ad hoc data cycles from the data vendor's target staging database(s).	Mandatory				
11	Shall work cooperatively with the data vendor and CTPF to develop, test, and execute a data migration cutover plan that includes a minimum of two trial runs and a firm freeze date for each phased release.	Mandatory				
12	Shall work cooperatively with the data vendor and CTPF to ensure data security and confidentiality is maintained in all environments and throughout the entire implementation phase. Shall be responsible for data scrambling as appropriate.	Mandatory				
13	Shall be responsible for back bridging (bridging from the new line of business application to CTPF applications: i.e., vendor will get data from the new LOB into a file(s) that CTPF can then merge into PGold, BradPen, etc.) for each phased release	Mandatory				
14	Shall provide CTPF reports illustrating the result of any trial loads or testing efforts undertaken to migrate CTPF data into the vendor database.	Mandatory				

4.3.2 – End User Reporting

The Commitments stated in this section pertain to the reporting functionality within the PAS application.

Technical Solution: End User Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide a browser based, end-user reporting tool, that allows for data analysis, report creation, and report publication, including the ability to easily download into a readable and properly formatted spreadsheet	Mandatory				
2	Shall provide the ability to preview a report before printing	Mandatory				
3	Shall provide the ability for CTPF staff to modify reports without programming	Mandatory				

Technical Solution: End User Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
4	Shall provide views of the data using business friendly descriptions	Mandatory				
5	Shall support the development of parameter driven reports where values are selected (or required) by the user at the time the report is generated (e.g., date range, SSN, list of SSNs, last name)	Mandatory				
6	Shall provide ability to name and save report definitions	Mandatory				
7	Shall provide a selectable menu of saved user report definitions	Mandatory				
8	Shall provide the ability for CTPF staff to sort data contained in reports	Mandatory				
9	Shall provide the ability for visualization of data (e.g.: graphs, pie charts, line graphs, etc.)	Mandatory				
10	Shall provide the ability to view reports from various devices/screen size (desktop, tablet, mobile phone, etc.)	Mandatory				
11	Shall allow for the creation of new custom reports with graphics, headers, footers, totals, subtotals, sorting, drilling down, page breaking, and statistics	Mandatory				
12	Shall support the creation of new custom reports using relational criteria and logical operators (e.g., less than, greater than, equal to or less than, wild cards, Boolean operators, and combinations of each)	Mandatory				
13	Shall provide a report generation strategy and tool capable of integrating additional data from any other relational data sources into a single report	Mandatory				
14	Shall enable users to generate customized reports without any programming utilizing the desired fields (non-database names), sort criteria and grouping. Shall be able to specify page breaking, report title, and general layout parameters.	Mandatory				
15	Shall provide ad hoc query functionality against line of business data	Mandatory				
16	Shall provide the ability to schedule end user reports (e.g., one-time, recurring)	Mandatory				
17	Shall provide a view of scheduled views/reports (e.g., by user, date, report type, report name)	Mandatory				
18	Shall provide a summary of views/reports that were run (e.g., by user, date, report type, report name, report status)	Mandatory				
19	Shall provide the ability to notify users when a report has been successfully generated	Mandatory				
20	Shall enable user to specify output disposition (e.g., view, print, download)	Mandatory				
21	Shall allow access to data for reporting purposes based on CTPF user roles and security	Mandatory				

Technical Solution: End User Reporting			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
22	Shall provide an exception handling report for all jobs with business-friendly description(s) (e.g., failed, not completed, or aborted)	Mandatory				
23	Shall provide the ability to upload a report into the imaging system with the appropriate metadata	Mandatory				
24	Shall provide a report on how often the reports are being utilized (e.g., executed, viewed, modified, etc.)	Mandatory				
25	Shall provide the ability to preview/execute a previously run customized report	Mandatory				
26	Shall provide the ability to systematically store reports generated by users for other business purposes (e.g., audit, legal, etc.), as identified by CTPF	Mandatory				
27	Shall provide the ability to initiate a workflow to generate and store periodic reports identified by CTPF (e.g., monthly board reports)	Mandatory				
28	Shall provide business intelligence capabilities, or the ability to integrate with business intelligence software, for the purpose of data mining, process and trend analysis, and other data analytics	Optional				
29	Shall provide business intelligence dashboards, views and reporting with data drilldown capabilities	Optional				

4.3.3 – General Technical

The Commitments stated in this section pertain to the technical solution as a whole.

Technical Solution: General Technical			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
1	Shall be a browser-based application for all end users	Mandatory				
2	Shall ensure the LOB application supports CTPF workforce mobility needs (See Section XX in RFP)	Mandatory				
3	Shall support Section 508 compliance and latest WCAG standards	Mandatory				
4	Shall have documented user interface standards, and adhere to those standards, for the LOB application and web self-service	Mandatory				

Technical Solution: General Technical			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
5	Shall provide the ability to support the current release and recent previous releases of Microsoft Edge, Chrome, FireFox, Safari, or any new browser as agreed upon by CTPF	Mandatory				
6	Shall not require browser specific plug-ins unless agreed upon by CTPF	Mandatory				
7	Shall provide the ability for a user to access authorized services through a single sign-on as defined by CTPF	Mandatory				
8	Shall provide release notes and updated system documentation prior to implementation of a release in the CTPF application	Mandatory				
9	Shall follow an agreed upon methodology for the release process including scheduling, approvals, etc.	Mandatory				
10	Shall provide an updated data dictionary and data model prior to implementation of a release including definitions, data item names (e.g., logical, business terms, physical, etc.) and examples of valid values	Mandatory				
11	Shall provide the ability to dynamically increase and/or decrease system capacity without bringing the system down to maintain system performance and meet growth/demand as defined by CTPF	Mandatory				
12	Shall ensure that the processing of batches and other jobs do not impact production availability and performance	Mandatory				
13	Shall provide the ability to display a progress indicator within the UI for any transaction that may take longer than 5 seconds (parameter value) to return a result set for any member related transaction	Mandatory				
14	Shall provide the ability to automatically refresh data onscreen periodically so changes made by other users (e.g., internal CTPF staff, member self-service, employer reporting, etc.) are reflected and current for others viewing and processing work	Mandatory				
15	Shall be able to support and maintain system usability across various connection speeds	Mandatory				
16	Shall use modern networking and connectivity standards/protocols as agreed to by CTPF (e.g., IPV6, dual stacking)	Mandatory				
17	Shall deploy on current release, and stay updated over time, of application development software (e.g., Java, .net) or previous release, as agreed to by CTPF	Mandatory				
18	Shall integrate with CTPF's infrastructure, internal systems, and platforms (e.g., SOA, financial systems, document management,	Mandatory				

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Technical Solution: General Technical			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
	telephony, virtual desktop infrastructure, etc.) as defined by CTPF (Appendix)					
19	Shall support industry standard file formats and adapt to interface/data formats as CTPF's and industry standards evolve, as defined CTPF	Mandatory				
20	Shall deploy and maintain an identity management tool as agreed to by CTPF (e.g., could be in house, integration with a 3rd party cloud tool such as Cisco Duo, Okta, etc.)	Mandatory				
21	Shall provide the ability to encrypt all CTPF and application data at rest and in transit, as defined by CTPF	Mandatory				
22	Shall be capable of providing a fully virtualized environment for any components of the application that are on the CTPF premise according to CTPF's standards (e.g., VMWare, etc.)	Mandatory				
23	Shall provide additional system environments (e.g., development, configuration, testing, training, non-production, etc.) as defined by CTPF	Mandatory				
24	Shall provide the ability to integrate with all relevant systems to perform end-to-end testing in all environments as defined by CTPF	Mandatory				
25	Shall provide the ability to integrate with an external rules engine	Mandatory				
26	Shall support CTPF's data governance standards and retention policies/schedule	Mandatory				
27	Shall have the ability to archive/unarchive data as defined by CTPF	Mandatory				
28	Shall provide the ability to communicate with external systems synchronously and asynchronously	Mandatory				
29	Shall support configuration and build management allowing version control of 1) code, 2) configuration and 3) transaction data, with the ability to perform rollbacks including incremental rollbacks	Mandatory				
30	Shall provide usage statistics and analytics on the application and web self-service portals (e.g., Time spent on pages, click through stats, etc.) to assist with application and performance improvements	Mandatory				

4.3.4 – Hardware and Software

The Commitments stated in this section pertain to the hardware and software portion of the technical solution.

Technical Solution: Hardware and Software			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide a schematic / network diagram (e.g., all environments, servers, network infrastructure, etc.) that comprise the Bidder's solution	Mandatory				
2	Shall provide recommended specifications for all hardware and software required for each environment identified by CTPF	Mandatory				
3	Shall ensure that the proposed hardware and software configuration supports CTPF backup standards and SLAs (e.g., processes and procedures) for all environments, as required by CTPF	Mandatory				
4	Shall be responsible for purchasing, installing, configuring, and maintaining (e.g., maintenance, patching, licensing for continued use) all software required to meet the RFP specifications. CTPF would like to understand all software used in the solution to determine if CTPF has existing licensing that can be leveraged.	Mandatory				
5	Shall provide a list of all APIs and related information included with the solution	Mandatory				
6	Shall provide, maintain, and update automated scripts and electronic written procedures needed to load, configure, build, deploy, and maintain all environments (virtual and physical), including the necessary software for the environment	Mandatory				
7	Shall follow CTPF infrastructure and environmental naming conventions (e.g., servers, other hardware, database instances, etc.)	Mandatory				
8	Shall provide support for all environments where the solution is installed during the implementation and testing of the solution	Mandatory				
9	Shall provide support for all environments where the solution is installed for the ongoing maintenance of the solution	Mandatory				
10	Shall propose, prior to the end of the Project, an upgrade strategy for all software to the latest supported versions for CTPF approval	Mandatory				
11	Shall use CTPF version control software to manage release and component deployments to all environments	Mandatory				
12	Shall provide the ability to selectively migrate configuration changes from dev/test environments to production (e.g., rules, configuration files, etc.)	Mandatory				
13	Shall allow for concurrent management of different coding environments (e.g., Next Release, On-Going Maintenance, Critical Defects) as defined by CTPF	Mandatory				
14	Shall provide code walk-throughs with CTPF staff on software changes and environment migrations, as desired by CTPF	Mandatory				

Technical Solution: Hardware and Software			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
15	Shall provide the ability to dynamically increase and/or decrease system capacity without bringing the system down to maintain system performance and meet growth/demand as defined by CTPF	Mandatory				
16	Shall store data (location) according to CTPF requirements (e.g., US Datacenters only, Dedicated Servers)	Mandatory				
17	Shall provide the ability for CTPF to extract data on a schedule or ad hoc basis for CTPF business needs (e.g., reporting)	Mandatory				
18	Shall meet or exceed CTPF standards for backup and recovery processes and procedures defined in the working versions of CTPF's disaster recovery plans (see Appendix)	Mandatory				
19	Shall meet or exceed CTPF recovery standards for all critical business functions as defined in the working version of the CTPF's Business Continuity Plans (see Appendix)	Mandatory				

4.3.5 – Security

The Commitments stated in this section pertain to the security portion of the technical solution.

Technical Solution: Security			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall ensure the solution meets or exceeds the security requirements defined by CTPF (e.g., CTPF security policies, State of Illinois Cybersecurity Strategy, CIS Security Controls, NIST Cybersecurity Framework, Identity Theft Enforcement and Protection Act)	Mandatory				
2	Shall ensure the solution continues to meet or exceed the security requirements defined by CTPF as business and security requirements evolve over time	Mandatory				
3	Shall ensure the security, confidentiality, integrity, and availability of member, retiree and other CTPF contact type information in accordance with all applicable laws and regulations, both state and federal, including the CTPF Board Rules.	Mandatory				

Technical Solution: Security			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
4	Shall adhere to CTPF' policy requirements (e.g., privacy policy, terms of use, assurance levels, etc.) for all web self-service access	Mandatory				
5	Shall maintain an Information Security Policy that outlines vendor's direction and support for its Information Security program, as approved by CTPF. This policy shall provide a uniform set of information security policies and procedures for protecting CTPF data	Mandatory				
6	Shall provide CTPF with a copy of any information security policies, procedures and standards upon request through the contract term	Mandatory				
7	Shall provide notification to CTPF of pertinent security changes impacting CTPF data within the scope of the contract	Mandatory				
8	Shall provide notification to CTPF on any security changes that impact CTPF security policy and/or applicable state and federal laws	Mandatory				
9	Shall provide copies of enterprise security assessments or certification/accreditations performed by independent third-party specialist security firms in the past three (3) years, and annually thereafter through the term of the contract	Mandatory				
10	Shall provide directory federation and single sign-on for CTPF employees to access CTPF provided applications and portals	Mandatory				
11	Shall deploy and maintain an identity management tool as agreed to by CTPF (e.g., could be in house, integration with a 3rd party cloud tool such as Cisco Duo, Okta, etc.)	Mandatory				
12	Shall track and provide a view of all system access (e.g., users, applications, API calls, other interfaces), as defined by CTPF (e.g., User ID, Date/Time, IP Address/Location, Functionality Accessed, etc.)	Mandatory				
13	Shall provide the ability to display CTPF messaging on the login screen, by user type (e.g., regarding the unauthorized use of CTPF business information and the possible consequences of violations)	Mandatory				

Technical Solution: Security			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
14	Shall provide a registration process for website access to first time web self-service users	Mandatory				
15	Shall provide the ability for web self-service user to create their own login ID during the registration process	Mandatory				
16	Shall provide the ability on each login or as defined by CTPF to verify the web self-service user through a series of security questions and answers	Mandatory				
17	Shall provide the ability to integrate with 3rd party knowledgebase services (e.g., LexisNexis, Veratad) for authentication and identity verification/management, as defined by CTPF (e.g., available to Call Center, web self-service, etc.)	Mandatory				
18	Shall provide multi-factor authentication for web self-service access users or any login attempt outside of CTPF IP addresses	Mandatory				
19	Shall provide the ability for web self-service, after verifying identity, to reset their own passwords	Mandatory				
20	Shall provide the ability by role to require web self-service users (e.g., members, employer contacts) to change their password after x days (parameter to be defined by CTPF)	Mandatory				
21	Shall support CTPF password complexity rules (e.g., password length, required special characters, must not contain parameters, etc.)	Mandatory				
22	Shall automatically notify a web self-service user (e.g., email confirmation) of a change in login information (e.g., User ID, password)	Mandatory				
23	Shall automatically notify a web self-service user (e.g., email confirmation, text) if their account has been logged into from a new device, as defined by CTPF	Mandatory				
24	Shall prevent access (lock) after 'x' number of unsuccessful login attempts (parameter to be defined by CTPF)	Mandatory				
25	Shall provide the capability to require an additional level of authentication in higher risk scenarios, as defined by CTPF (e.g., user attempts to log-in from unknown, suspected fraudulent or blacklisted IP address, geo-location based, etc.)	Mandatory				

Technical Solution: Security			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
26	Shall provide the ability to CTPF to reset a web self-service user's login information (userid, password)	Mandatory				
27	Shall provide the ability to CTPF to lock/unlock access for a web self-service user	Mandatory				
28	Shall provide the ability to CTPF to generate random one-time use passwords	Mandatory				
29	Shall provide the ability to CTPF to create a login id and initial password for external users (e.g., employer contacts, vendors, etc.)	Mandatory				
30	Shall have the ability to display the last login date, time, and IP address of the account upon login to the authenticated user	Mandatory				
31	Shall automatically logoff user due to inactivity (parameter defined by CTPF)	Mandatory				
32	Shall upon a user logging off, prevent the restarting of a session from browser history or cache	Mandatory				
33	Shall provide the ability to set the length of inactivity time per user type (e.g., internal, web self-service user)	Mandatory				
34	Shall provide the ability to warn users of imminent timeout prior to actual timeout	Mandatory				
35	Shall, for certain roles, only allow access to the system from CTPF IP addresses	Mandatory				
36	Shall only allow one web self-service login per member account, unless approved by CTPF (e.g., POA access)	Mandatory				
37	Shall provide the ability to disable (lock) application access by role (e.g., CTPF employee, member, employer contact) after xx period of inactivity (e.g., 30 days, 60 days), as defined by CTPF	Mandatory				
38	Shall establish and set up role-based access for users, applications, interfaces, etc., which includes segregation of duty rules	Mandatory				
39	Shall provide the ability to manage security groups in the system including, but not limited to, creation, permissions assigned, assignment of users, applications, and interfaces to groups, etc., as defined by CTPF	Mandatory				

Technical Solution: Security			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
40	Shall allow a user (single login ID) to be a member of multiple groups or have multiple roles	Mandatory				
41	Shall enable an internal user who has multiple roles to switch roles without having to log off	Mandatory				
42	Shall enable a web self-service user who has multiple roles (e.g., member, beneficiary) to switch roles without having to log off	Mandatory				
43	Shall provide the ability to establish and set up the appropriate security level and access permissions for all users based on job description provided by CTPF	Mandatory				
44	Shall provide security access based on the principle of least privilege, which states that users, applications, and interfaces are granted the minimum amount of privileges in order to conduct their assigned tasks (e.g., admin assigning roles should only have access to assign roles, not superuser access)	Mandatory				
45	Shall provide the ability to create read-only accounts in the LOB system to support other activities (e.g., audit related), as defined by CTPF	Mandatory				
46	Shall establish and maintain security and access permissions (e.g., Create, Read, Update, Delete) at the window (screen) level (e.g., contact center landing page), as defined by CTPF	Mandatory				
47	Shall establish and maintain security and access permissions (e.g., Create, Read, Update, Delete) at the workflow and workflow step level, as defined by CTPF	Mandatory				
48	Shall establish and maintain security and access permissions (e.g., Create, Read, Update, Delete) at the document level, as defined by CTPF	Mandatory				
49	Shall establish and maintain security and access permissions (e.g., Create, Read, Update, Delete) at the script (e.g., job, query) level, as defined by CTPF	Mandatory				
50	Shall establish and maintain field level security and access permissions (e.g., Create, Read, Update, Delete), as defined by CTPF	Mandatory				

Technical Solution: Security			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
51	Shall establish and maintain data level security and access permissions (e.g., Create, Read, Update, Delete), as defined by CTPF	Mandatory				
52	Shall establish and maintain security and access permissions (e.g., screen, workflow, document, script, field, data, etc.) for CTPF restricted accounts (e.g., Board of Trustees, CTPF staff, etc.)	Optional				
53	Shall support database table, field level, and row level security for read and write operations	Mandatory				
54	Shall support field-level masks of confidential data based on CTPF user role and security (e.g., HIPAA)	Mandatory				
55	Shall provide the ability to log the activity when a user views masked confidential data					
56	Shall support data partitioning (data archiving/segmentation based on activity level: hot, warm, cold) for security purposes, as defined CTPF	Mandatory				
57	Shall adhere to encryption and related technology standards (e.g., CTPF security policies, State of Illinois Cybersecurity Strategy, NIST Cybersecurity Framework) for external communications across the internet	Mandatory				
58	Shall provide the ability to encrypt/decrypt certain data fields (e.g., SSN, bank account numbers, etc.) in real-time by the LOB application	Mandatory				
59	Shall provide the ability to encrypt all CTPF and application data at rest and in transit, as defined by CTPF	Mandatory				
60	Shall support current established TLS encryption protocols for the exchange of personal identifying information over HTTPs, email, file transfer, etc.	Mandatory				
61	Shall support SFTP protocol with Secure Shell Handling to encrypt the data exchanged in transit	Mandatory				
62	Shall support the use of PGP encryption protocols	Mandatory				
63	Shall protect and return all CTPF data at the termination of the contract, as defined by CTPF	Mandatory				
64	Shall support CTPF firewall and network security protections	Mandatory				

Technical Solution: Security			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
65	Shall not store authentication credentials, personally identifiable information or sensitive data in application code unless approved by CTPF	Mandatory				
66	Shall support the use of Captcha and other verification tools	Mandatory				
67	Shall require auto scan of attached files or documents to protect against malicious attachments	Mandatory				
68	Shall provide a view that shows all CTPF users, applications and interfaces, their roles and security permissions for each role at a summary level (current) (e.g., security matrix)	Mandatory				
69	Shall provide a detail view of all CTPF users, applications and interfaces, that includes a user's history of access, roles and security permissions as defined by CTPF	Mandatory				
70	Shall provide the ability to integrate all security and activity logs with 3rd party reporting tools (e.g., syslog information sent to reporting tool)	Mandatory				
71	Shall provide a view showing all security activity (e.g., login ID, dates, successful and unsuccessful logins, granting super user privileges, data accessed, etc.)	Mandatory				
72	Shall provide the ability to generate full and incremental security reports highlighting changes to users' roles and permissions for a defined timeframe (e.g., Last 90 days)	Mandatory				
73	Shall provide the ability to report on usage patterns from audit and security events (e.g., page visits by user id)	Mandatory				
74	Shall provide the ability to report on user behavior and provide alerts on suspicious user behavior, as defined by CTPF	Mandatory				
75	Shall provide the ability to lock an account (e.g., member, employer, CTPF internal) based on suspicious behavior or alerts as defined by CTPF	Mandatory				
76	Shall provide the ability for alerts when sensitive accounts are accessed (e.g., Restricted account, trustee account, potential fraudulent account, honey user accounts, etc.)	Mandatory				
77	Shall provide SOC 1 and SOC 2 Type II reports annually as required by CTPF	Mandatory				

Technical Solution: Security			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
78	Shall produce automated standardized security event and audit logs sufficient for CTPF to exercise its responsibilities for complying with internal policies and applicable laws and regulations, specifically including but not limited to privacy and security laws and regulations (e.g., HIPAA/HITECH)	Mandatory				

4.4 – Methodology and Testing

This section specifies CTPF’s project methodology and testing commitments for the Bidder’s proposed solution. The Bidder shall indicate any commitments that they ‘take exception to’ or will not satisfy for any reason. If the Bidder takes exception, then they must enter the exception explanation in the Bidder’s Exception table provided in Section 4.7.1. If the Bidder takes no exception to a requirement, then the Bidder agrees to satisfy completely the requirement.

4.4.1 – Methodology and Testing

The Commitments stated in this section pertain to the methodology to be used for the development and testing of the Bidder's solution.

Project: Methodology and Testing			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide a formal structured system development life cycle methodology (Inception to Post Production Support) which adheres to CTPF's application implementation standards and other related policies (See Appendix).	Mandatory				
2	Shall provide at a minimum detailed requirement documents for all reports, letters, forms, windows, screens and / or views in a standardized format to be agreed upon between CTPF and the vendor	Mandatory				
3	Shall provide a WBS (Work Breakdown Structure) to CTPF that, at a minimum, contains the following levels: 1) Projects - CTPF defines a WBS Project as a group of Deliverables that provides a specific scope of capabilities/outcomes to CTPF 2) Deliverables - CTPF defines a WBS Deliverable as a group of one or more Artifacts that CTPF will pay to receive (according to the contractual payment schedule) or will accept when those Artifacts have all been approved by CTPF 3) Artifacts - CTPF defines a WBS Artifact as a Project output that requires review and acceptance by CTPF	Mandatory				
4	Shall provide a WBS (Work Breakdown Structure) to CTPF no later than the first month of the contract that contains all Projects and Deliverables (not all Artifacts) to coincide with the contractual payment schedule and completion dates in the vendor's project plan. (Note that completion date is the date of CTPF acceptance according to the agreed upon review and acceptance process. Thus, the vendor must consider the date of first submission of each Artifact to CTPF for review, the length of the review cycles and the number of review cycles when determining a planned completion date)	Mandatory				
5	Shall provide a list of all Artifacts that comprise a WBS Deliverable before beginning work on that Deliverable, in a format agreed upon between CTPF and the vendor.	Mandatory				
6	Shall provide CTPF with a mapping of each Artifact to all commitments that it satisfies (e.g., commitments found in the RFP, proposal, and contract) before beginning work on that Artifact	Mandatory				

Project: Methodology and Testing			**Bidder Must Respond to at least one item below for each Commitment**			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
7	Shall submit Artifacts for review using the commitment tracking system used at CTPF. (CTPF utilizes JIRA today) (This requires that the Artifact to be reviewed can be accessed on the CTPF network.)	Mandatory				
8	Shall provide a Communication Plan no later than the first month of the contract	Mandatory				
9	Shall provide an initial Project Schedule with estimated key milestone dates as part of the RFP response	Mandatory				
10	Shall provide a Project Schedule with key milestone dates no later than the first month of the contract	Mandatory				
11	Shall provide a revised Project Schedule with key milestone dates whenever there is an approved change to a key milestone date of more than one week	Mandatory				
12	Shall provide a Project Schedule and overall Resource Plan with detail tasks that require CTPF resources no later than 90 days of project start-up	Mandatory				
13	Shall schedule all project meetings on a calendar to which all CTPF staff have access	Mandatory				
14	Shall produce a weekly dashboard status report to the CTPF Program Manager in a standardized format to be agreed upon between CTPF and the vendor	Mandatory				
15	Shall provide the ability to leverage CTPF's change control process for CTPF approval all project changes	Mandatory				
16	Shall provide an overall comprehensive test plan. This overall comprehensive test plan will contain individual detailed Test Plans for each testing phase (including but not limited to Unit, Business Functional, Process, Performance, Interface, Integration, GL, Security, Pre-UAT, Regression, Penetration, etc.). Test plans will be in a standardized format to be agreed upon between CTPF and the vendor	Mandatory				
17	Shall conduct a test readiness exercise with CTPF prior to each testing phase to verify preparation and assets for the upcoming testing cycle (e.g., test cases, scripts, environment(s), data and related requirements, prior vendor testing results, etc.)	Mandatory				
18	Shall provide upon completion of each test phase, a Test Evaluation Summary. The Test Evaluation Summary should be in a standardized format to be agreed upon between CTPF and the vendor	Mandatory				
19	Shall include a framework for the development of manual and automated tests within the PAS and shall provide documentation to	Mandatory				

Project: Methodology and Testing			Bidder Must Respond to at least one item below for each Commitment			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
	CTPF on how to develop manual and automated tests within the PAS. If a 3rd party tool is used vendor will supply licenses to CTPF sufficient to use the tool to conduct testing as required by the Test Plan.					
20	Shall provide a methodology for tracking defects which is accessible to CTPF staff, and that can support defect triage and prioritization processes to be defined and agreed upon by the vendor and CTPF staff.	Mandatory				
21	Shall provide a report, including screen shots, describing Unit Test results.	Mandatory				
22	Shall conduct Business Functional Testing on all developed and existing solution components using generated and CTPF sanitized data to verify compliance with requirements and commitments.	Mandatory				
23	Shall conduct Performance Testing which includes Load Testing, Stress Testing and Endurance Testing to verify that the solution meets CTPF criteria and anticipated future user loads	Mandatory				
24	Shall conduct System Testing to verify the solution meets CTPF process specifications.	Mandatory				
25	Shall conduct Integration Testing to verify the solution meets CTPF integration and interface specifications.	Mandatory				
26	Shall develop and execute Regression Tests for each major and minor release using automated and manual scripts which will be provided with documentation to CTPF prior to User Acceptance Testing	Mandatory				
27	Shall develop and execute Regression Tests for Final Average Salary (FAS) calculations using automated scripts allowing CTPF to compare the new FAS and the final FAS that the retirement was based on, showing the variance in calculations	Mandatory				
28	Shall provide the ability to run payroll trials (monthly pension and lump-sum payrolls) using current production data to verify results prior to the actual production run.	Mandatory				
29	Shall conduct Security Testing for all solution user types, including users with multiple roles, to validate the solution authentication and authorization processes.	Mandatory				
30	Shall work in conjunction with CTPF staff to conduct a 3rd party Penetration test.	Mandatory				
31	Shall build a solution Sand Box (LOB and integrated systems) for CTPF staff to use to become familiar with solution functionality and for ad hoc testing.	Mandatory				

Project: Methodology and Testing			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
32	Shall support CTPF staff in the building, operation and problem determination of the solution application in all User Acceptance Testing scenarios.	Mandatory				
33	Shall include in the Project Plan a minimum of 20% of the overall project schedule for the execution of User Acceptance Testing.	Mandatory				
34	Shall perform end-to-end business process testing including interfaces and integrations.	Mandatory				
35	Shall participate in the CTPF Disaster Recovery Test and assist with problem resolution as needed.	Mandatory				
36	Shall support and participate in the testing and problem resolution for data conversion.	Mandatory				
37	Shall in conjunction with the Data Migration vendor ensure that all necessary data elements are being supplied to the solution for testing.	Mandatory				
38	Shall work in conjunction with CTPF staff to conduct General Ledger and financial transaction testing and reconciliation.	Mandatory				
39	Shall provide a stable release of the solution application that meets CTPF UAT entry specifications (e.g., production ready data).	Mandatory				
40	Shall resolve all problems encountered during UAT to a level that meets CTPF UAT Exit criteria.	Mandatory				
41	Shall perform test cases against converted production data before user acceptance testing	Mandatory				
42	Shall provide the ability for CTPF to run all vendor tests and test scripts	Mandatory				

4.5 – CTPF Training and Staff Support

This section specifies CTPF's Training and Staff Support commitments for the Bidder's proposed solution. The Bidder shall indicate any commitments that they 'take exception to' or will not satisfy for any reason. If the Bidder takes exception, then they must enter the exception explanation in the Bidder's Exception table provided in Section 4.7.1. If the Bidder takes no exception to a requirement, then the Bidder agrees to satisfy completely the requirement.

4.5.1 – Training

The Commitments stated in this section pertain to the training and documentation needed to implement and maintain the solution. This section also provides the Commitments for training end users on how to use the system.

Project: Training			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
1	Shall conduct project methodology training session(s). The training shall include an overview of the process, the deliverables to be produced, and the role CTPF staffing plays in each step of the process. Additionally, the training shall demonstrate how the methodology ensures the requirements stated in the RFP are met	Mandatory				
2	Shall provide testing preparation training for all users, both business and technical, preceding each release into UAT	Mandatory				
3	Shall provide complete training for all users, both business and technical, preceding each release into Production (e.g., production code deployment)	Mandatory				
4	Shall provide hardcopy and electronic documentation (business and technical) that includes all functionality in the release	Mandatory				
5	Shall include CTPF definitions and terminology used in application in all appropriate business user training materials (e.g., definition of pensionable salary if shown on screen). This should match information provided in tooltips and other application help.	Mandatory				
6	Shall include appropriate visual process flows in all functional area training materials	Mandatory				
7	Shall provide all training at CTPF, or other location(s) including remote if needed, as agreed to by CTPF	Mandatory				
8	Shall present all training materials to CTPF at least 14 days prior to the training session for CTPF review and approval	Mandatory				
9	Shall develop and provide a training program to instruct reporting entities (e.g., employers, external auditors, etc.), or their representative(s), on all aspects of reporting	Optional				
10	Shall provide the option for Train-the-Trainer classes for all system related modules	Optional				
11	Shall provide a minimum of 2 training sessions per functional area to ensure that CTPF staff have an opportunity to attend	Mandatory				
12	Shall provide desk-side support to the business users for the first 60 days following each release to production, with the option to extend in 30-day increments (onsite or remote). As part of the pricing proposal,	Optional				

Project: Training			Bidder Must Respond to at least one item below for each Commitment			
No	Description	Mandatory/ Optional	Fully Satisfies	Partially Satisfies	Needs to Be Added	Exceptions
	vendor should provide line-item costs for 60 days onsite, line-item costs for additional 30-day increment(s) onsite, and line-item costs for additional 30-day increment(s) remote.					
13	Shall provide training material templates to CTPF for approval at the start of the project	Mandatory				
14	Shall provide support for the CTPF creation of online training (e.g., videos)	Mandatory				
15	Shall provide CTPF with any training material and associated notes that are used during a training session in electronic format	Mandatory				
16	Shall provide training to CTPF on the setup, maintenance, troubleshooting and monitoring of the hardware and LAN components of the solution	Mandatory				
17	Shall provide training to CTPF on the setup, maintenance, troubleshooting, administration, operations, and monitoring of the solution	Mandatory				
18	Shall provide training to CTPF on the development methodology, code propagation and all aspects of creating a production application	Mandatory				
19	Shall develop in conjunction with CTPF a plan to transition daily operations, support and maintenance of new solution to CTPF staff	Mandatory				
20	Shall provide a recommended training program for CTPF's application developers, analysts, DBAs, and system administrators. The recommendation shall include class name, training provider, proposed class outline, prerequisites, and proposed time frame for the training	Mandatory				
21	Shall provide onsite first level help desk support and troubleshooting to CTPF, reporting entities and members for the first 60 days after the functionality is in production following each release, with the option to extend in 30-day increments (onsite or remote). As part of the pricing proposal, vendor should provide line-item costs for 60 days onsite, line-item costs for additional 30-day increment(s) onsite, and line-item costs for additional 30-day increment(s) remote.	Optional				
22	Shall record all training sessions performed as part of the project, and provide to CTPF in an agreed upon format	Mandatory				

4.6 – Solution Warranty and Post Implementation Support

The Commitments stated in this section pertain to Warranty and Post Implementation Support. Please note that CTPF requires that the Bidder present both warranty and post implementation cost models in the Cost Proposal section.

The Bidder shall indicate any commitments that they 'take exception to' or will not satisfy for any reason. If the Bidder takes exception, then they must enter the exception explanation in the Bidder's Exception table provided in Section 4.7.1. If the Bidder takes no exception to a requirement, then the Bidder agrees to satisfy completely the requirement.

4.6.1 – Solution Warranty

The Commitments stated in this section pertain to the warranty commitments for this project.

Project: Solution Warranty			**Bidder Must Respond to at least one item below for each Commitment**			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide an initial warranty for defects (see definition below) for the LOB application after each release of functionality to production.	Mandatory				
2	Shall provide a warranty for defects (see definition below) for the LOB application after the functionality has been executed for the first time after the release of the functionality to production. This will apply to any monthly, quarterly, or annual functionality that was not within the warranty period specified in #1 above	Mandatory				
3	Shall provide a system warranty for critical defects (see definition below) for the LOB application to begin after initial warranty has completed as specified in #1 above	Mandatory				
4	Shall provide for a system uptime of 99.999% during core business hours for all major functions proposed, including web and local operations and excluding scheduled downtime or CTPF-initiated downtime. The Bidder shall specify how availability is measured and under what conditions this guarantee cannot be met.	Mandatory				
5	Shall provide for a system uptime of 99.95% during non-core business hours for all major functions proposed, including web and local operations and excluding scheduled downtime or CTPF-initiated downtime. The Bidder shall specify how availability is measured and under what conditions this guarantee cannot be met.	Mandatory				

Warranty Definitions

Warranty – “Warranty” means any work that is required as a result of a warranty commitment by the Bidder (e.g., critical defects within an agreed upon time frame after implementation). Warranty work shall be done at the vendor’s expense and shall not diminish the Bidder’s post-implementation support work effort.

Critical Defect – “Critical defect” means a system defect that (a) causes a business process of the system to fail to reach completion; (b) causes or is likely to cause data to be lost or destroyed; or (c) prevents the system from being installed or executed on the properly configured environment.

Defect – "Defect" means work that does not conform to requirements specifications.

Release – "Release" means a stable, executable version of the product, together with any artifacts necessary to use the release, such as release notes or installation instructions. A release can be internal or external. An internal release is used only by the Bidder as part of a milestone or for a demonstration to users or customers. An external release is delivered to end users.

4.6.2 – Post Implementation Support

The Commitments stated in this section pertain to the post-implementation support commitments.

Project: Post Implementation Support			**Bidder Must Respond to at least one item below for each Commitment**			
No	**Description**	**Mandatory/ Optional**	**Fully Satisfies**	**Partially Satisfies**	**Needs to Be Added**	**Exceptions**
1	Shall provide an annual post implementation support model and associated costs for application, database, infrastructure and patching (end to end) support and maintenance. The application support model is to begin with the implementation of the first phase and continue yearly after the implementation of the last phase. The model shall describe the roles, number of staff, skill sets, and hourly rates needed to provide full support and maintenance (full/partial/other defined by CTPF).	Mandatory				
2	Shall provide a cost model for CTPF to receive and integrate new versions of vendor's future releases of the solution.	Mandatory				

4.7 – Bidder's Exceptions

The Bidder shall specify any exceptions to any of the commitments specified in this RFP. The Bidder shall describe any alternative to the stated requirement as long as it meets the intent and spirit of the requirement. Alternatively, the Bidder shall state that they have no proposed alternative.

4.7.1 – Exceptions

Using the format in the following table, the Bidder shall provide the details to each exception they have to commitments found in this RFP.

Requirement Reference (Section, #)	Explanation for the Exception	Bidder's Proposed Alternative

4.8 – Additional Information Required

The Bidder shall provide a response to the following information requests in their proposal. Their responses should be based on the solution that they are proposing as part of their fixed bid.

Information Request 1 – Please provide the strategy (road map) for upgrading your product to keep it current on all software versions, technology, and new functionality.

Information Request 2 – Please provide the approach for incorporating legislatively mandated functionality into the product. How do you ensure the functionality is delivered by the mandated dates?

Information Request 3 – Please provide your release strategy/process as part of your post-production support.

Information Request 4 – Please describe your customer support model. Include your SLAs for average response time and average resolution time.

Information Request 5 – Please provide additional information concerning your hosting model. What security practices does the provider follow?

Information Request 6 – Please describe security practices incorporated into the solutions being proposed? Include information on data security strategy, policies, and methodology (e.g., encryption for data at rest and in transit). Please provide the last 2 years of SOC 1 and SOC 2 type II reports and current security policy documentation.

Information Request 7 – Please describe the levels of your professional liability insurance coverage for client security breaches (cyber risk) and any fiduciary or professional liability insurance your Business carries. Is the coverage on a per client basis or is the dollar figure applied to the Business as a whole? List the insurance carriers.

Information Request 8 – Please provide an overview of your implementation methodology and highlight the areas that require CTPF resources.

Information Request 9 – Please describe how your solution enables work from home and a potential paperless environment (e.g., e-signature, self-service, etc.).

Information Request 10 – Please describe your change management process. Include any applicable forms.

Information Request 11 – Please provide your development and implementation approach and timeline (e.g., big bang, phased, hybrid, other).

Information Request 12 – Please provide a copy of your post-production implementation support model and PAS application maintenance.

Information Request 13 – Please provide a copy of your Disaster Recovery policy and any applicable documentation.

4.9 – Supporting Initiatives

As part of the implementation of the new Pension Administration System (PAS), CTPF has two key supporting initiatives that the Bidder has the option to scope and provide pricing.

4.9.1 – Imaging and Document Management

CTPF intends to replace its existing Imaging and Document Management system as part of the overall PAS project and requests input from Bidders before procuring a new Imaging system.

If the Bidder's solution includes a native Imaging solution, please describe the functionality of the Imaging solution within the overall solution including integration with workflow and include optional pricing for the Imaging solution and related services in Section 5.3.9 of the Cost Proposal.

If the Bidder has a recommended 3rd party Imaging solution that integrates with the Bidder's proposed solution, please describe the functionality of the 3rd party solution within the overall solution including integration with workflow and include optional pricing for the Imaging solution and related services in Section 5.3.9 of the Cost Proposal.

In all cases, the Bidder's PAS solution must integrate with the Imaging solution as defined in the Imaging Commitments in Subsection 4.2.13 above.

4.9.2 – Organizational Change Management

CTPF intends to implement an organizational change management methodology to assist with the organizational change and challenges associated with the project. Bidders have the option to provide this service as part of the proposal and include optional pricing in Section 5.3.9 of the Cost Proposal. Please describe the methodology, how it is recommended within the overall project, and the benefits it provides to CTPF.

If the Bidder does not provide this service but has a recommended 3rd party company that provides the service, please include information on the 3rd party company as part of the proposal.

5.0 Cost Proposal

This section provides instructions for submission of the Cost Proposal.

5.1 – Cost Proposal Format

This section defines the format the Bidder shall use to respond to this section of the RFP.

5.1.1 – Proposal Section Format

General proposal formatting requirements from Section 1.4 – RFP Instructions of this RFP shall also apply to this section.

Failure to follow these formatting requirements may result in the disqualification of the proposal.

5.2 – Cost Proposal

The Cost Proposal should have two main sections as follows:

5.2.1 – Cost Details

This section will provide the project cost by different categories and line items as designated in Section 5.3 – Cost Details below.

5.2.2 – Payment Schedule

This section will provide a proposed schedule of payments for accepted project deliverables.

Bidder must specify all costs to satisfy the commitments of this RFP, including but not limited to, hardware, software and third-party services that comprise the deliverables.

CTPF will not pay any invoice based on partial completion of deliverables, the passage of time, or travel costs and related expenses incurred by the Bidder.

CTPF does not pay the Bidder travel costs or other related expenses. These costs shall be incorporated into the fixed bid and include all Bidder expenses.

Bidder must specify preferred method of payment.

Bidder shall not include cost for CTPF staff in their Cost Proposal.

5.3 – Cost Details

The Bidder’s Cost Proposal must propose costs for the following components:

5.3.1 – Functional Commitments

The Bidder must specify costs to satisfy all Functional commitments, from Section 4.2 Functional Commitments, that are part of their proposed solution. The proposed solution includes all mandatory commitments, any optional commitments that are included in the proposed solution at a zero (0) cost and all other responses provided in the Bidder's Proposal (e.g., 4.8 Additional Information Required).

This Cost Proposal scenario proposed by the Bidder must include a firm fixed price.

Deliverable	Deliverable Cost
Functional Commitments	
Total:	

5.3.2 – Functional Commitments - Optional

The Bidder must specify all costs to satisfy each Functional Optional Commitment in their Cost Proposal that is going to be an additional cost. If the optional deliverable is part of the proposed solution and is not an extra cost, enter "in proposed solution" in the Deliverable Cost column.

This Cost Proposal scenario proposed by the Bidder must include a firm fixed price for each optional commitment.

Contact Management

No	Description	Mandatory/ Optional	Deliverable Cost
26	Shall provide the ability to create or delete a PIN for the use of the IVR automated telephone system	Optional	

Employer Reporting

No	Description	Mandatory/ Optional	Deliverable Cost
21	Shall provide the ability to capture non-member data	Optional	
110	Shall provide the ability for 3rd party reporters (e.g., staffing agency) to enter, view and correct payroll data for employees of the 3rd party working for the charter. Only charter resources (e.g., pension officer) would have the ability to submit the 3rd party data to CTPF.	Optional	
111	Shall only allow 3rd party reporters (e.g., staffing agency) to view and edit data associated with their employees within a charter. (Cannot see employee data of other charter employees)	Optional	
112	Shall provide the ability for charter resources (e.g., pension officer) to submit data provided from 3rd party reporters (e.g., staffing agency)	Optional	

Employer Setup

No	Description	Mandatory/ Optional	Deliverable Cost
14	Shall provide the ability for a charter administrator (e.g., pension officer) to setup 3rd party reporting resources (e.g., staffing agency) in the employer portal for the purpose of entering, viewing and correcting payroll data for employees of the 3rd party working for the charter.	Optional	

Member Statements

No	Description	Mandatory/ Optional	Deliverable Cost
27	Shall provide the ability to generate a statement for members that are receiving a duty disability benefit	Optional	

Monthly Pension Payroll

No	Description	Mandatory/ Optional	Deliverable Cost
32	Shall provide the ability to allow an advanced check prior to the end of month check file	Optional	
35	Shall create a survivor or dependent annuitant payroll record immediately upon confirmation of member death (i.e., valid death certificate) where appropriate, according to CTPF business rules	Optional	

New Member Setup

No	Description	Mandatory/ Optional	Deliverable Cost
12	Shall provide the ability for 3rd party reporters (e.g., staffing agency) to setup and manage employees of the 3rd party working for the charter for the purposes of payroll reporting	Optional	
20	Shall provide the ability to print/reprint out a formatted setup record	Optional	

Pension Calculations

No	Description	Mandatory/ Optional	Deliverable Cost
11	Shall provide the ability to identify members, who began participating on or before August 31, 1979 who are subject to capping of annual salary, and generate an invoice to the member's employer to cover cost of removing the cap	Optional	

Pension Estimates

No	Description	Mandatory/ Optional	Deliverable Cost
21	Shall provide the option to include miscellaneous/other deductions and reflect result in a "net" pension estimate	Optional	

5.3.3 – Technical Solution

The Bidder must specify all costs to satisfy all Technical Solution commitments, from Section 4.3 – Bidder's Technical Solution, that are part of their proposed solution. The proposed solution includes all mandatory commitments, any optional commitments that are included in the proposed solution at a zero (0) cost and all other responses provided in the Bidder's Proposal (e.g., 4.8 Additional Information Required).

This Cost Proposal scenario proposed by the Bidder must include a firm fixed price.

Deliverable	Deliverable Cost
Data Conversion and Bridging	
End User Reporting	
General Technical (if applicable as a separate cost)	
Hardware and Software	
Security	
Total:	

5.3.4 – Technical Solution - Optional

The Bidder must specify all costs to satisfy each Technical Solution Optional Commitment in their Cost Proposal that is going to be an additional cost. If the optional deliverable is part of the proposed solution and is not an extra cost, enter "in proposed solution" in the Deliverable Cost column.

This Cost Proposal scenario proposed by the Bidder must include a firm fixed price for each optional commitment.

End User Reporting

No	Description	Mandatory/ Optional	Deliverable Cost
28	Shall provide business intelligence capabilities, or the ability to integrate with business intelligence software, for the purpose of data mining, process and trend analysis, and other data analytics	Optional	
29	Shall provide business intelligence dashboards, views and reporting with data drilldown capabilities	Optional	

Security

No	Description	Mandatory/ Optional	Deliverable Cost
52	Shall establish and maintain security and access permissions (e.g., screen, workflow, document, script, field, data, etc.) for CTPF restricted accounts (e.g., Board of Trustees, CTPF staff, etc.)	Optional	

5.3.5 – Methodology and Testing

The Bidder must specify all costs to satisfy all Methodology and Testing commitments, from Section 4.4 – Methodology and Testing, that are part of their proposed solution.

This Cost Proposal scenario proposed by the Bidder must include a firm fixed price.

Deliverable	Deliverable Cost
Methodology and Testing	
Total:	

5.3.6 – CTPF Training and Staff Support

The Bidder must specify all costs to satisfy all Methodology and Testing commitments, from Section 4.5 – CTPF Training and Staff Support, that are part of their proposed solution.

This Cost Proposal scenario proposed by the Bidder must include a firm fixed price.

Deliverable	Deliverable Cost
CTPF Training and Staff Support	
Total:	

5.3.7 – CTPF Training and Staff Support - Optional

The Bidder must specify all costs to satisfy each CTPF Training and Staff Support Optional Commitment in their Cost Proposal that is going to be an additional cost. If the optional deliverable is part of the proposed solution and is not an extra cost, enter “in proposed solution” in the Deliverable Cost column.

This Cost Proposal scenario proposed by the Bidder must include a firm fixed price for each optional commitment.

Training

No	Description	Mandatory/ Optional	Deliverable Cost
9	Shall develop and provide a training program to instruct reporting entities (e.g., employers, external auditors, etc.), or their representative(s), on all aspects of reporting	Optional	
10	Shall provide the option for Train-the-Trainer classes for all system related modules	Optional	
12	Shall provide desk-side support to the business users for the first 60 days following each release to production, with the option to extend in 30-day increments (onsite or remote). As part of the pricing proposal, vendor should provide line-item costs for 60 days onsite, line-item costs for additional 30-day increment(s) onsite, and line-item costs for additional 30-day increment(s) remote.	Optional	
21	Shall provide onsite first level help desk support and troubleshooting to CTPF, reporting entities and members for the first 60 days after the functionality is in production following each release, with the option to extend in 30-day increments (onsite or remote). As part of the pricing proposal, vendor should provide line-item costs for 60 days onsite, line-item costs for additional 30-day increment(s) onsite, and line-item costs for additional 30-day increment(s) remote.	Optional	

5.3.8 – Solution Warranty and Post Implementation Support

This is the required Solution costs, from Section 4.6 – Solution Warranty and Post Implementation Support.

Solution Warranty

This Cost Proposal scenario proposed by the Bidder must include a firm fixed price for each of the two options below.

Deliverable	Deliverable Cost
The vendor provides an initial warranty period of 120 days for all defects after each release of functionality to production and 180 days for critical defects (see definition in Section 4.6.1) in the PAS application effective after initial warranty has completed.	
The vendor provides an initial warranty period of 180 days for all defects after each release of functionality to production and 365 days for critical defects (see definition in Section 4.6.1) in the PAS application effective after initial warranty has completed.	

Post Implementation Support

The Bidder must provide the costs for an annual post-implementation support model and associated costs for PAS application maintenance. At a minimum, the cost needs to include the following:

1. Licensing
2. Hosting

3. Releases – CTPF to receive and integrate new versions of vendor's future releases of the PAS solution. This should keep CTPF current, especially with mandatory releases, in order to not fall behind.
4. Help Desk Support – to include a 12-hour availability from 7:00 a.m. – 7:00 p.m. CST.
5. Renewal costs for all hardware licenses, warranties, and support contracts.

This Cost Proposal scenario proposed by the Bidder must include a firm fixed price for each of the two options below.

Deliverable	Deliverable Cost
Post-implementation support beginning with the implementation of the first phase and ending 24 months after implementation of the last phase.	
Post-implementation support beginning with the implementation of the first phase and ending 36 months after implementation of the last phase.	

5.3.9 – Supporting Initiatives

This is the optional Solution costs, from Section 4.9 – Supporting Initiatives.

Imaging and Document Management

If the Bidder's overall solution includes an Imaging and Document solution and related services, this Cost Proposal scenario must include a firm fixed price.

Deliverable	Deliverable Cost
Imaging and Document Management System and Services	

Organizational Change Management

If the Bidder's solution includes Organizational Change Management services, this Cost Proposal scenario must include a firm fixed price.

Deliverable	Deliverable Cost
Organizational Change Management Services	

5.3.10 – Total Solution Costs

The following table provides a summary of the Bidder costs above.

Deliverable Cost Section	Total Section Cost
Functional Commitments	
Technical Solution	

Methodology and Testing	
CTPF Training and Staff Support	
Solution Warranty (180/365-day option)	
Post Implementation Support (36-month option)	
Imaging and Document Management	
Organizational Change Management	
Total Fixed-Price Cost:	

5.4 – Payment Schedule

The Bidder is to provide their proposed payment schedule for the project.

5.4.1 – Payment Schedule

The payment schedule should specify at a minimum the monthly time frame and deliverables accepted by CTPF associated with each month (Month 1, Month 2, Month 3, etc.).

For the purposes of your Proposal, the payment schedule should equal the 5.3.10 Total Solution Costs. It is expected that CTPF will include Optional Commitments in the total scope during the Best and Final Offer (BAFO) process. The BAFO awarded vendor will have the opportunity to adjust their payment schedule to include those Optional Commitments at that time.

The payment schedule should align with the Bidder's implementation schedule.

5.5 – Change Control

The Bidder is to provide their estimating and cost structure for change orders.

5.5.1 – Billing Rates for Change Orders

If there are changes to the CTPF commitments in this RFP after the Bidder submits a proposal, but before all the deliverables in the Bidder's proposal have been accepted by CTPF, the Bidder will estimate the cost of the change using the billing rates below:

Role	Hourly Rate
Project Manager	
Application Architect	
Business Analyst	
Developer	
Database Analyst	
Training & Documentation Specialist	
Network Engineer	
Other	

If the Bidder's change control methodology is to provide a fixed bid for any change being requested rather than time and material, please respond to this section stating that your methodology for change control is fixed bid and do not fill in the hourly rate table above.

6.0 Attachments

This section includes additional details regarding CTPF that may be useful in the preparation of a proposal. The first subsection comprises of information regarding business operations at CTPF including a discussion regarding Final Average Salary (FAS) and another outlining Reciprocal Processing for other defined benefit plans throughout the state of Illinois. Information Technology specific information is included in the second subsection.

6.1 – Additional Business Documentation

This section includes additional documentation intended to help potential Bidders to better understand CTPF and the current processes surrounding the way pensions are administered.

6.1.1 – Statutes, Constitutional Provisions and Administrative Rules

The Chicago Teachers' Pension Fund (CTPF) and its Board of Trustees are governed by the Illinois Pension Code, other applicable laws, and the administrative rules and policies established by the Board. Due to the extensive nature of the Illinois Pension Code and Illinois Insurance Code, the text has not been included in this RFP. However, review of this information is critical for Bidders to fully understand the scope of this initiative and to ensure that proposals meet CTPF needs.

The CTPF website contains a discussion on the following governing principles:
https://ctpf.org/about-ctpf/governance

- Illinois Pension Code Articles
- Other Applicable Laws
- Administrative rules and Policies
- EEO & Diversity

The Illinois Department of Insurance – Public Pension Division provides an additional source of information that includes annual Maximum Salary and COLA s for Tier 2 participants. Additional information can be found on their website:
https://insurance.illinois.gov/Applications/Pension/Default.aspx

Participating Reciprocal Systems

The following list represents the Public Pension systems included in the Illinois Retirement Systems Reciprocal Act. Additional contact information for each system can be found on the CTPF.org website: https://www.ctpf.org/member-resources/reciprocal-systems

1. Chicago Teachers' Pension Fund
2. County Employees' Annuity and Benefit Fund of Cook County
3. Forest Preserve Employees' Annuity and Benefit Fund of Cook County
4. General Assembly Retirement System
5. Judges' Retirement System of Illinois
6. Illinois Municipal Retirement Fund
7. Laborers' Annuity and Benefit Fund of Chicago
8. Metropolitan Water Reclamation District Retirement Fund

9. Municipal Employees' Annuity and Benefit Fund of Chicago
10. Park Employees' Annuity and Benefit Fund of Chicago
11. State Employees' Retirement System of Illinois
12. State Universities Retirement System of Illinois
13. State Teachers' Retirement System

6.1.2 – 2019 CAFR

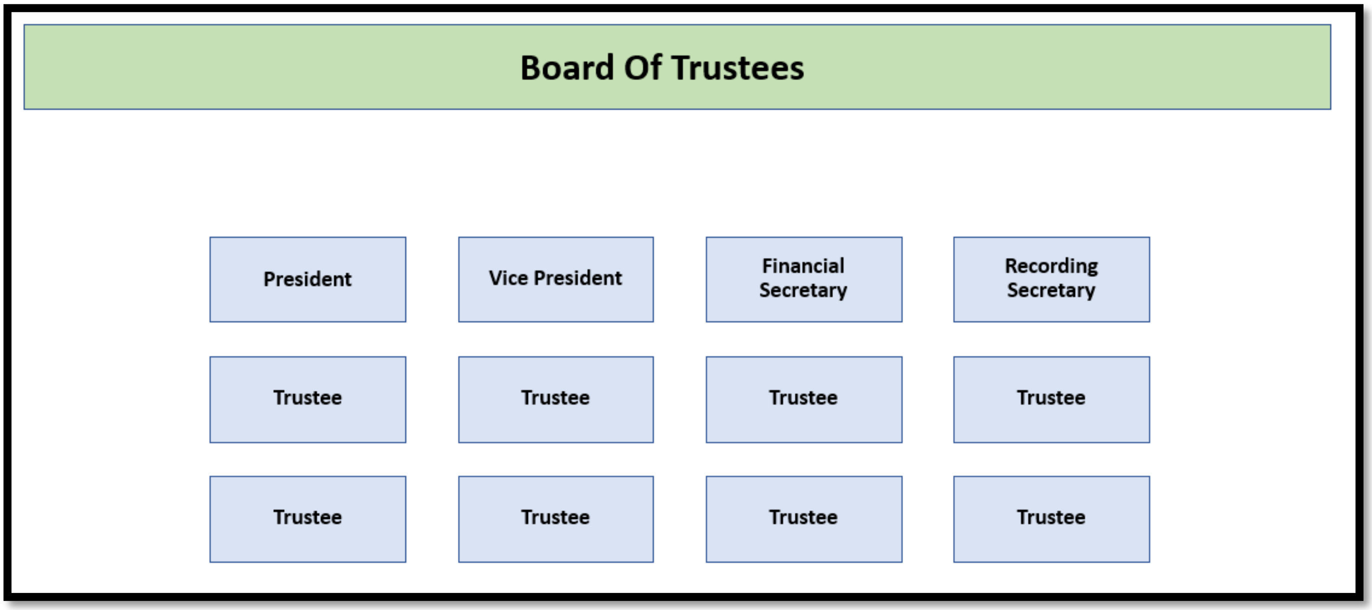
Comprehensive Annual Financial Report (CAFR)
Each year, CTPF prepares a Comprehensive Annual Financial Report (CAFR). The report contains financial results of the Fund's operation in a fiscal year. The CAFR is audited by an Independent Auditor who expresses an opinion as to whether the financial reports fairly present the Fund's financial condition for the fiscal year. The CAFR also includes investment, actuarial, and statistical information about the Fund for the fiscal year. Each section of the CAFR includes:

- **Introductory Section:** Includes a listing of the Board of Trustees, Certificate of Achievement for Excellence in Financial Reporting, Consultants, Organizational Chart, and the Letter of Transmittal
- **Financial Section:** Includes the Independent Auditor's Report and Management's Discussion and Analysis (Unaudited) along with the Basic Financial Statements, Required Supplementary Information, and Other Supplementary Information
- **Investment Section:** Includes reports from the Master Custodian, Investment Consultant, Real Estate Consultant, and information about the Fund's investment performance and expenses
- **Actuarial Section:** Includes the Actuarial certification for the pension and health insurance funds
- **Statistical Section:** Includes a summary of statistical information about the Fund and its members

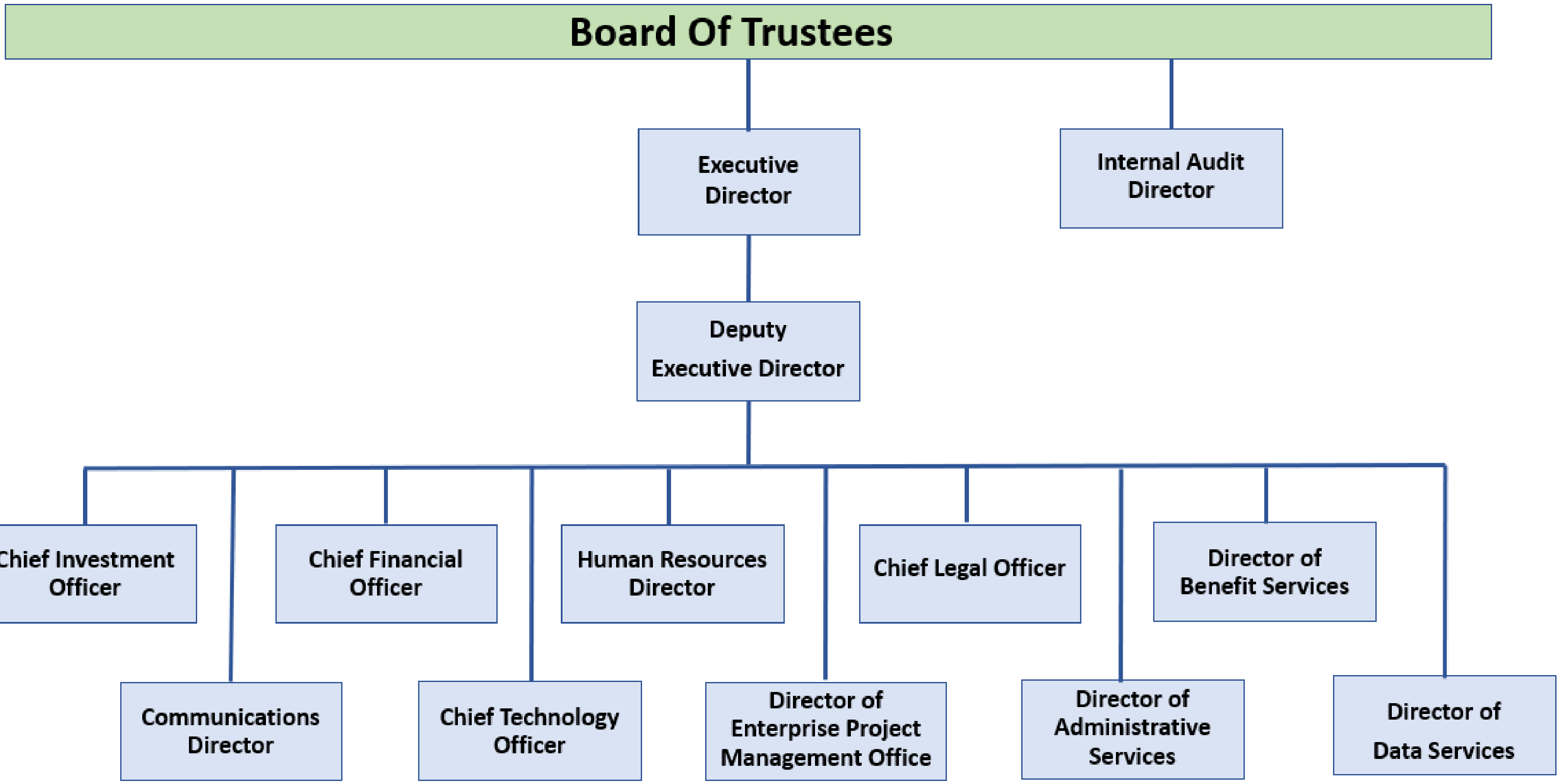
The 2019 CAFR can be found on the CTPF.org website or by following this link:
https://ctpf.org/sites/files/2020-10/2019_ctpf_cafr_final_post_1.pdf

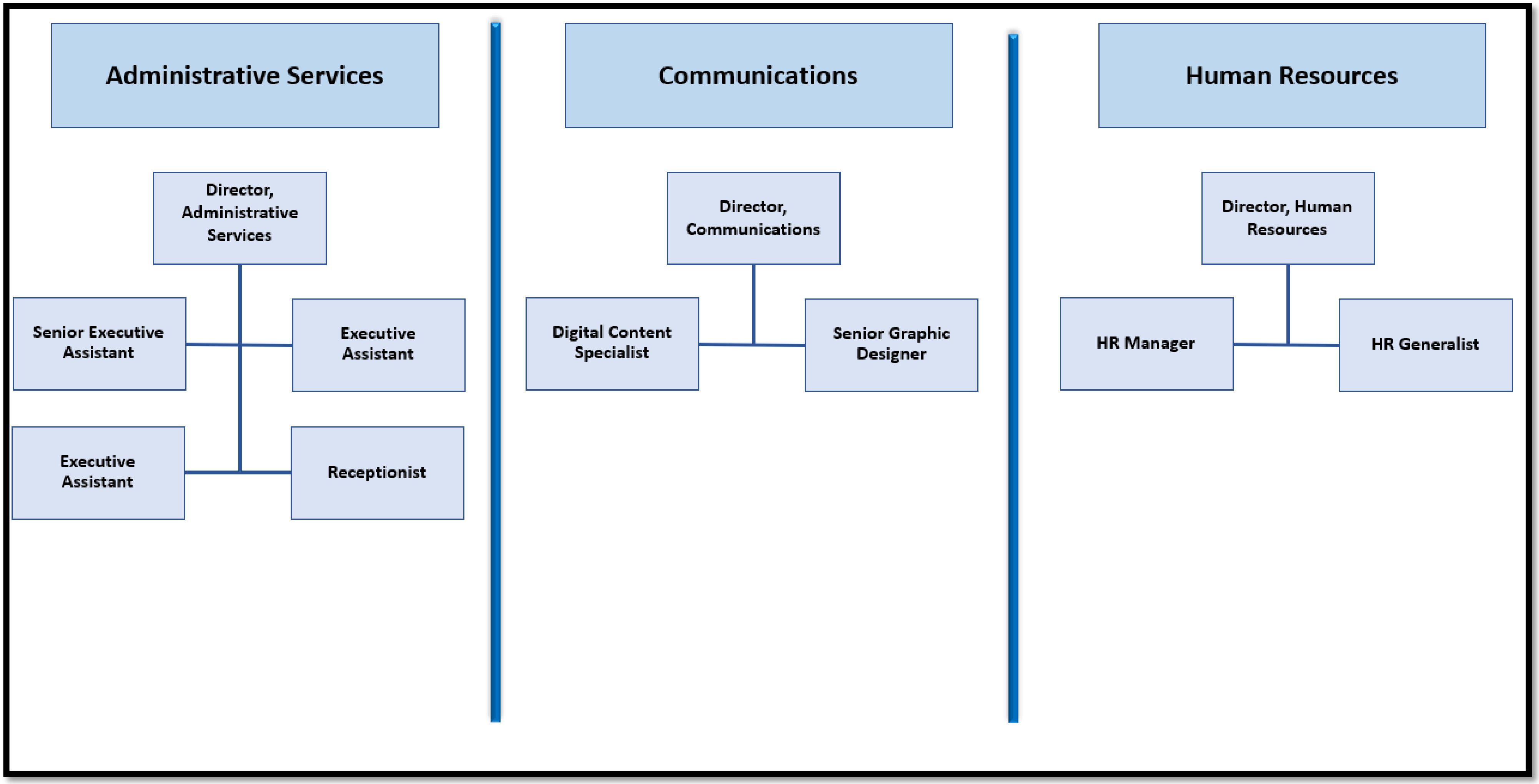
6.1.3 – CTPF Organization Chart

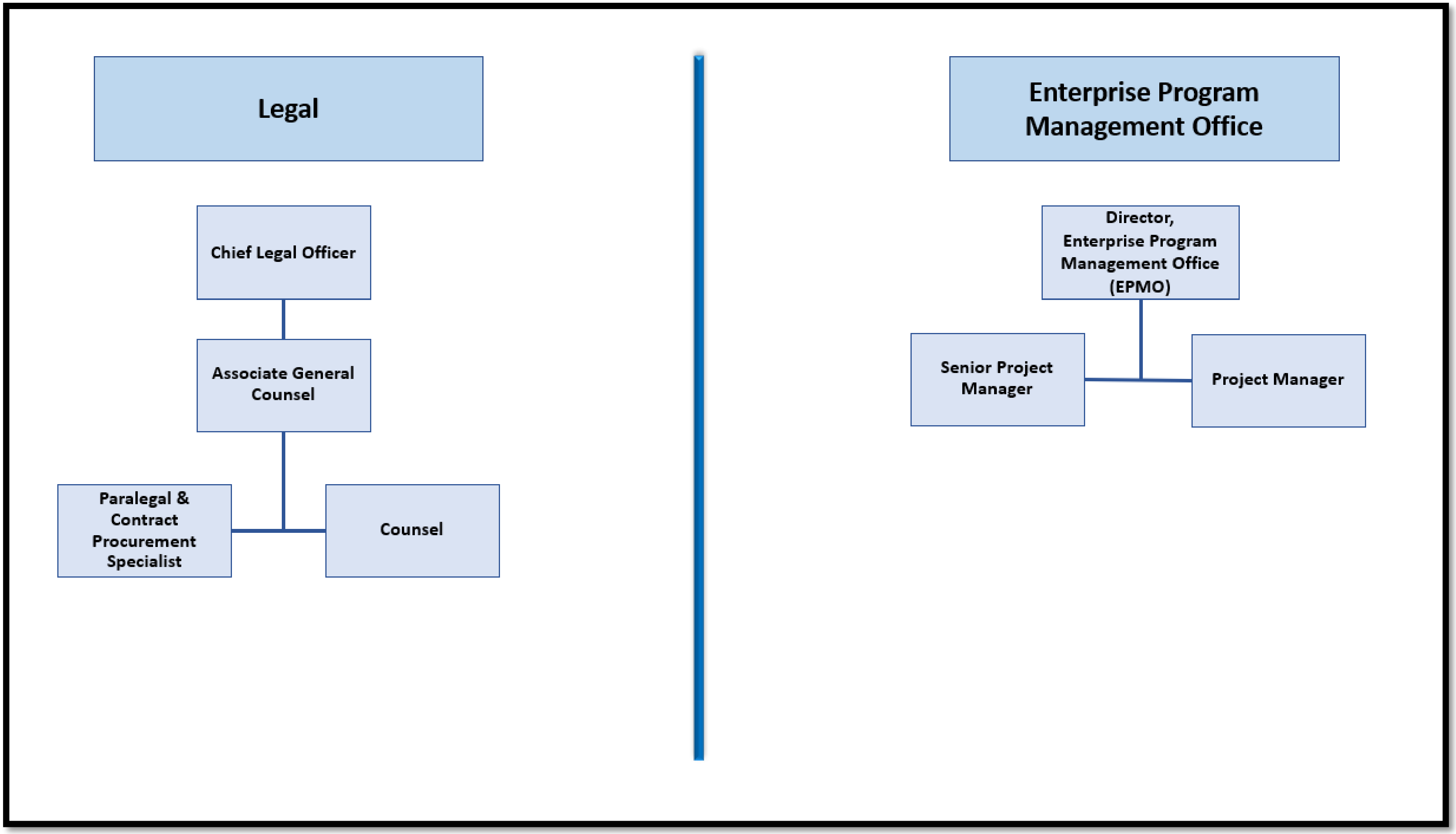
High-level organization charts of CTPF are included below. These charts are intended to illustrate the current division of work and reporting structure within CTPF.

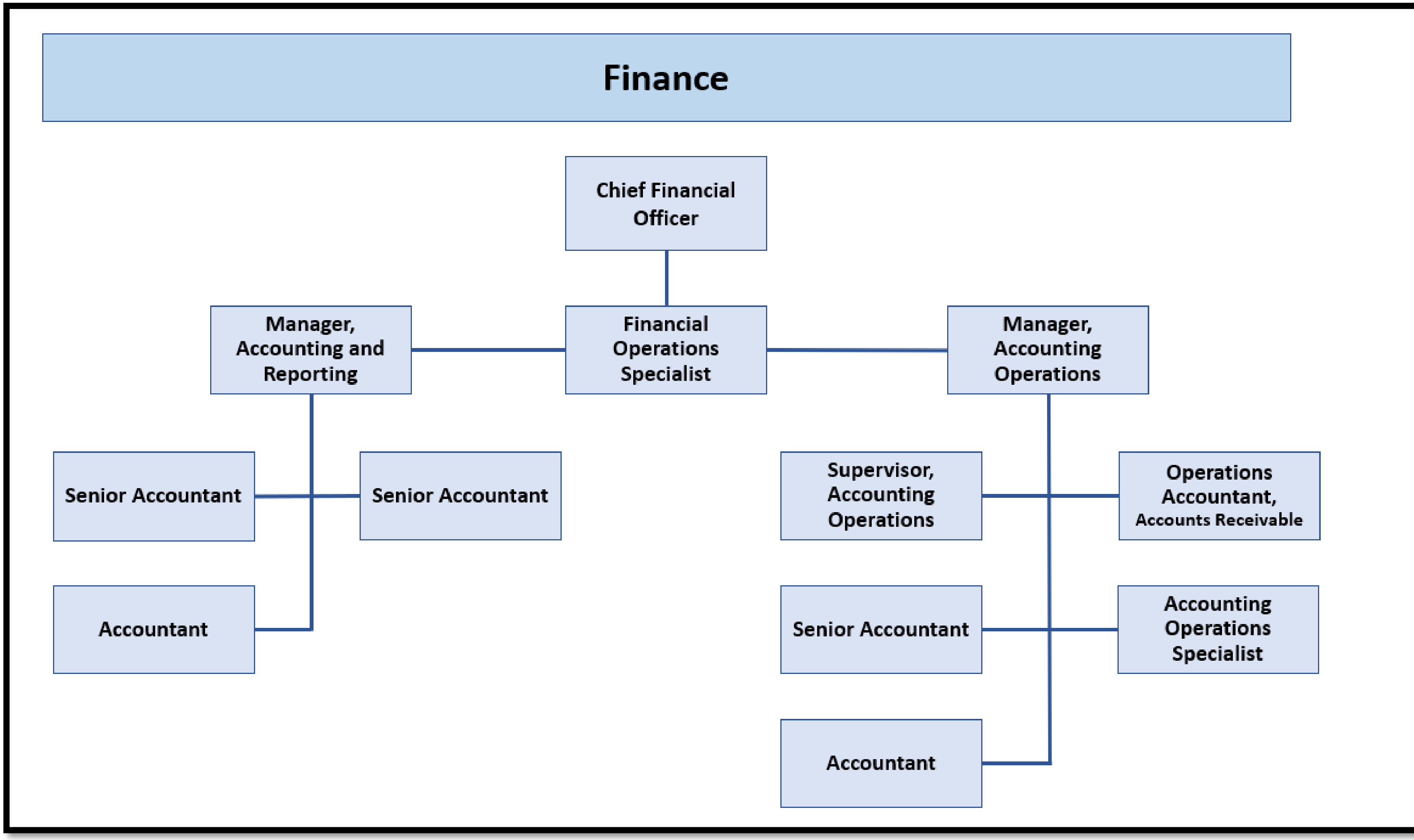


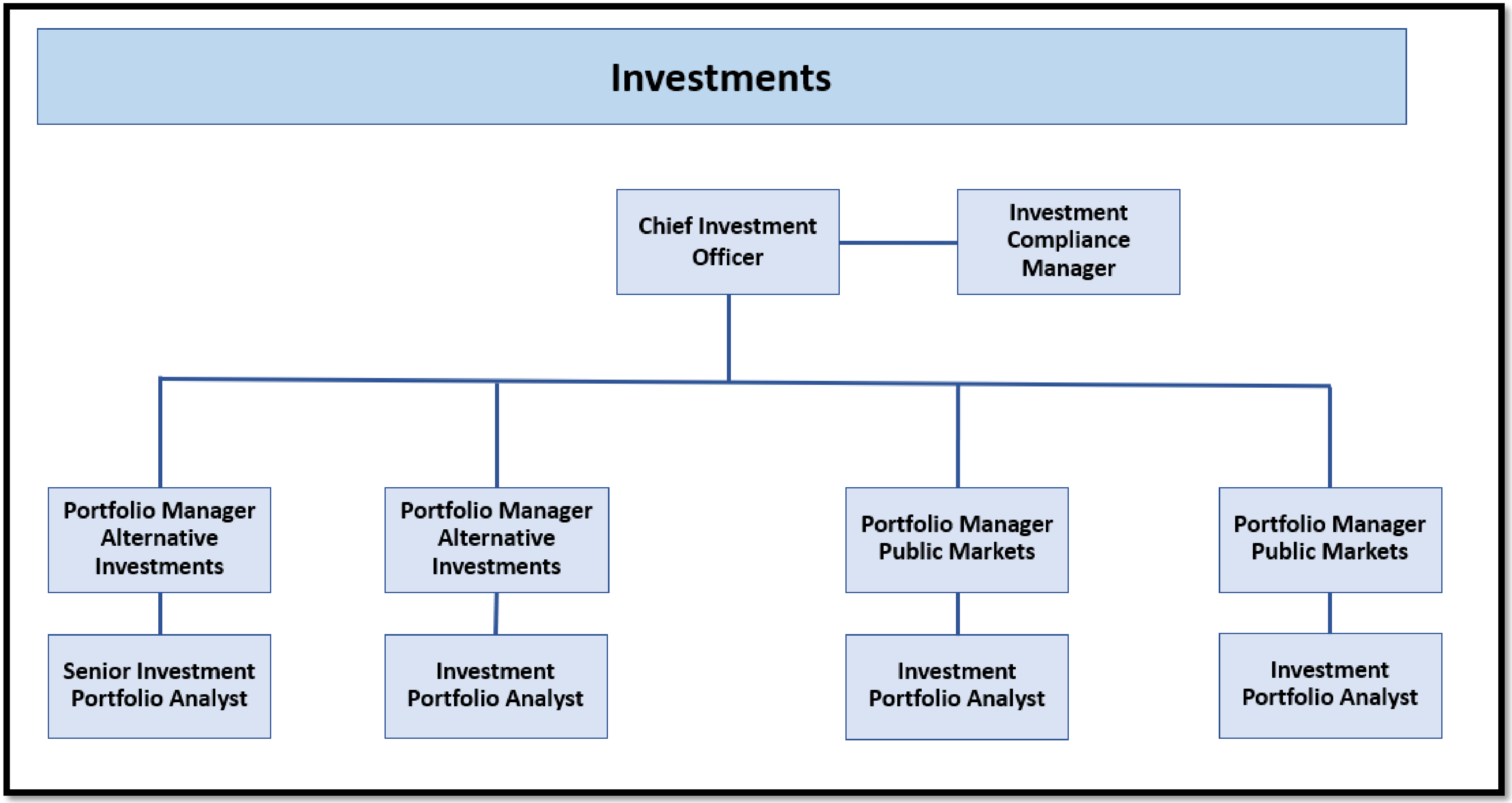
Executive Management

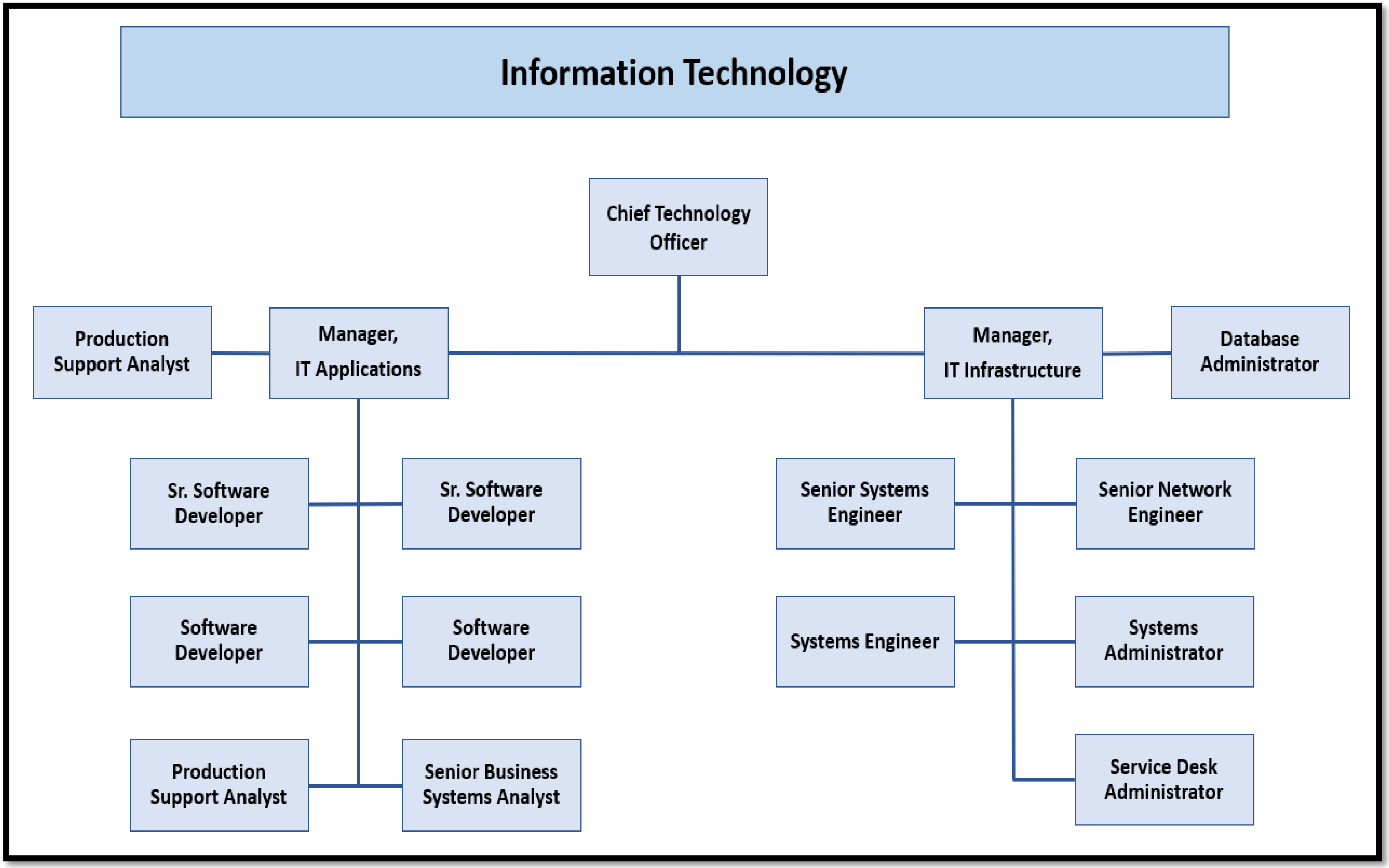


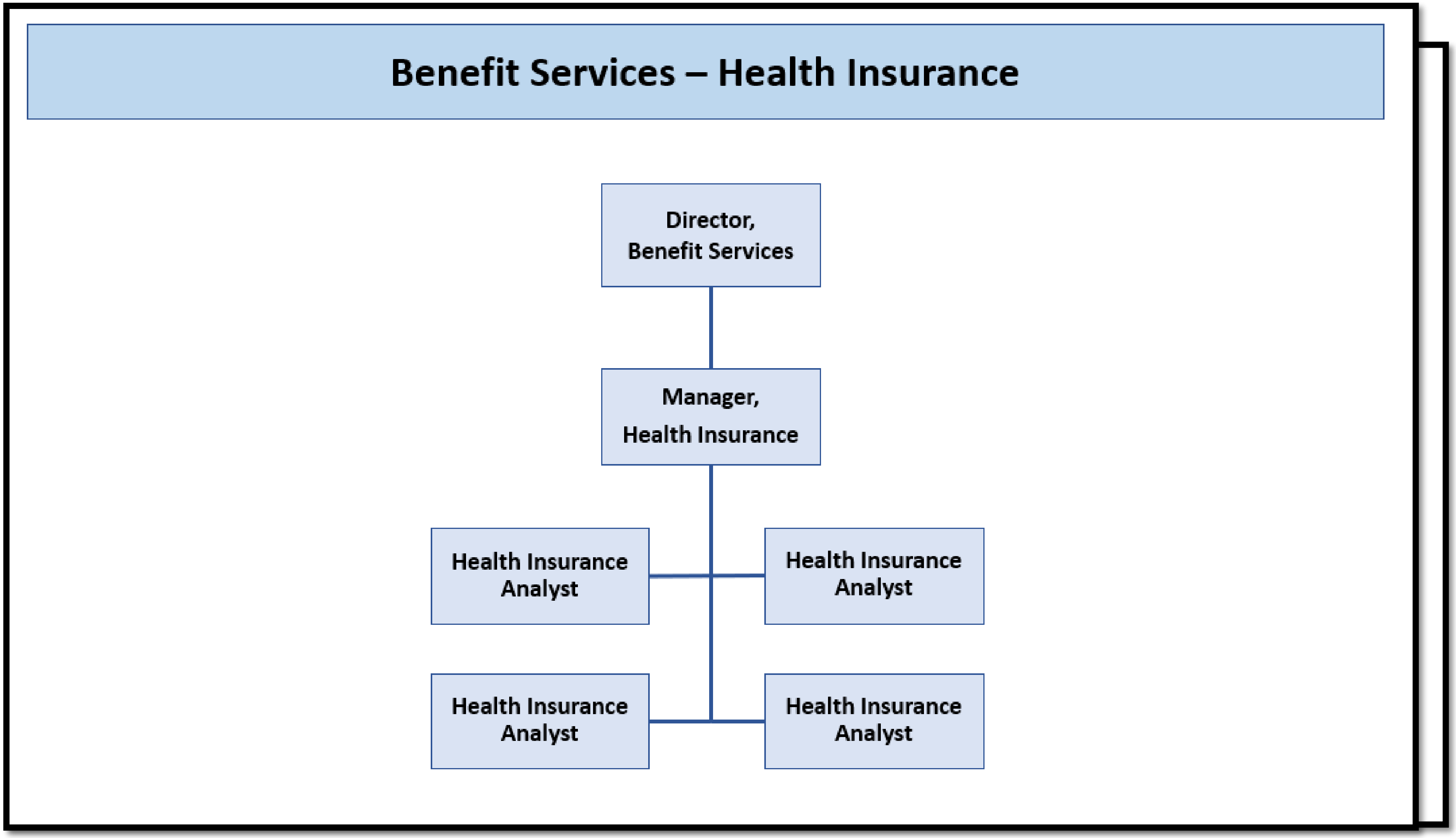

Administrative Services
Director, Administrative Services
Senior Executive Assistant
Executive Assistant
Executive Assistant
Receptionist
Communications
Director, Communications
Digital Content Specialist
Senior Graphic Designer
Human Resources
Director, Human Resources
HR Manager
HR Generalist

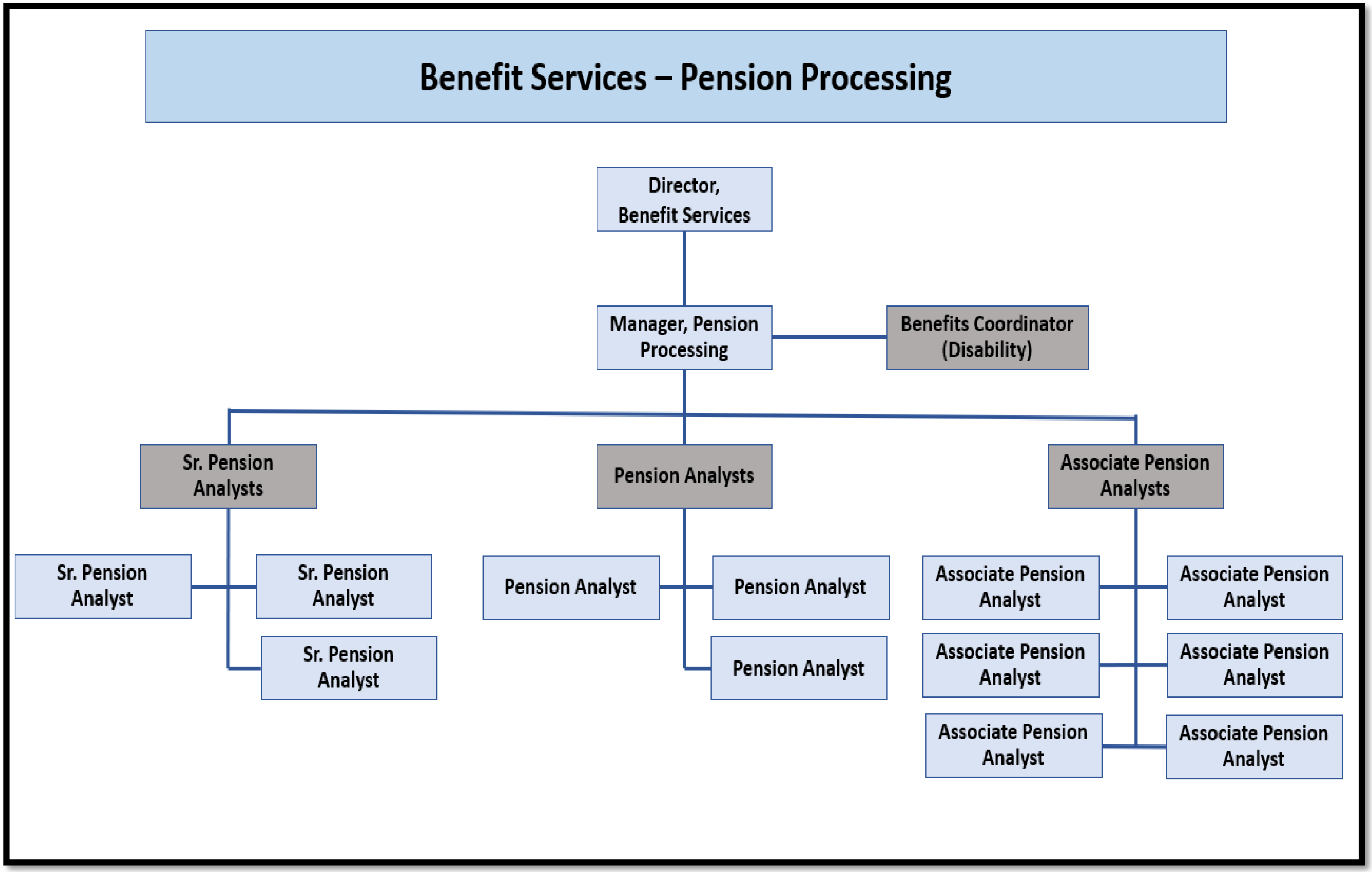

Legal
Chief Legal Officer
Associate General Counsel
Paralegal & Contract Procurement Specialist
Counsel
Enterprise Program Management Office
Director, Enterprise Program Management Office (EPMO)
Senior Project Manager
Project Manager

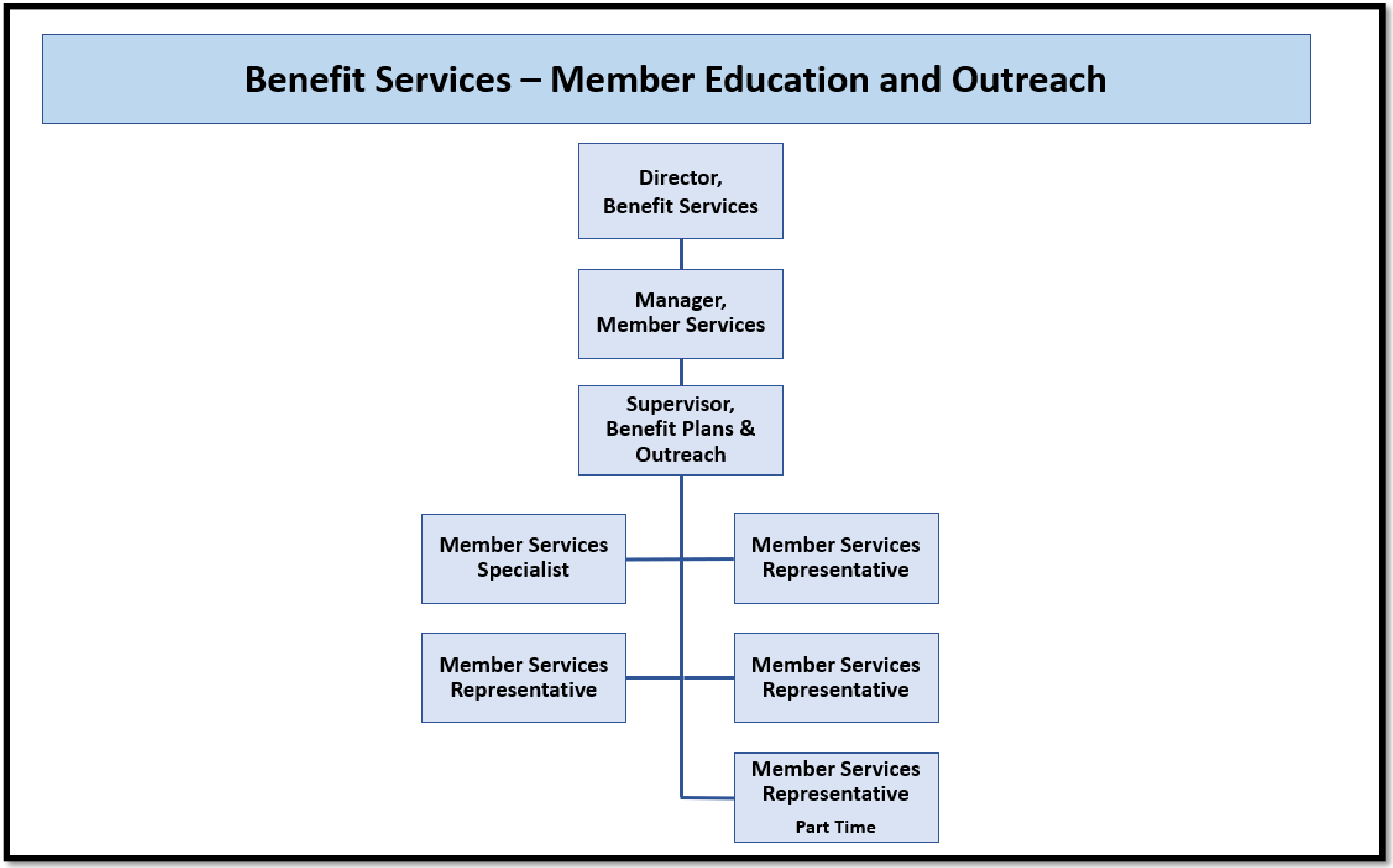

Finance
Chief Financial Officer
Financial Operations Specialist
Manager, Accounting and Reporting
Manager, Accounting Operations
Senior Accountant
Senior Accountant
Accountant
Supervisor, Accounting Operations
Operations Accountant, Accounts Receivable
Senior Accountant
Accounting Operations Specialist
Accountant

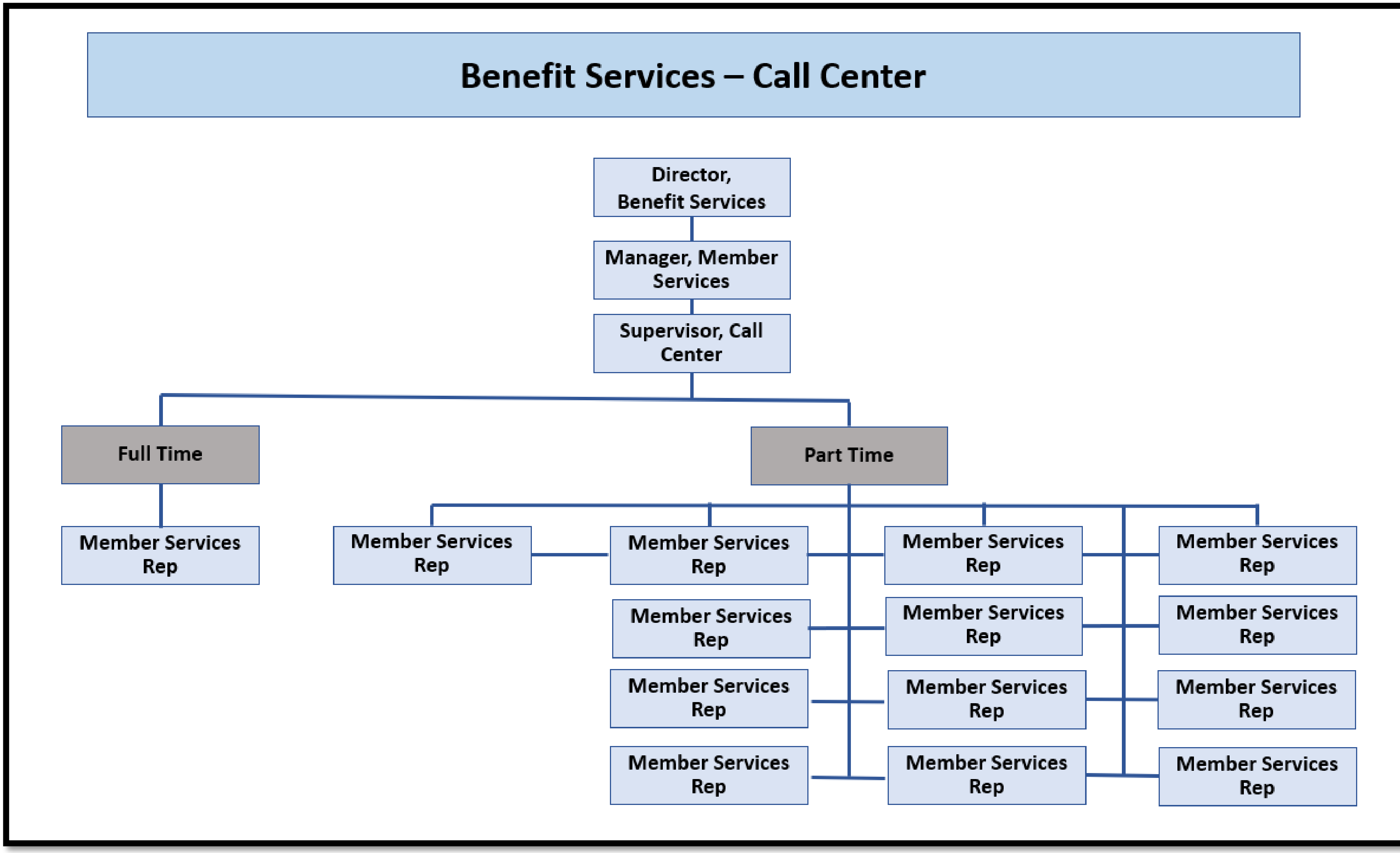

Investments
Chief Investment Officer
Investment Compliance Manager
Portfolio Manager Alternative Investments
Portfolio Manager Alternative Investments
Portfolio Manager Public Markets
Portfolio Manager Public Markets
Senior Investment Portfolio Analyst
Investment Portfolio Analyst
Investment Portfolio Analyst
Investment Portfolio Analyst

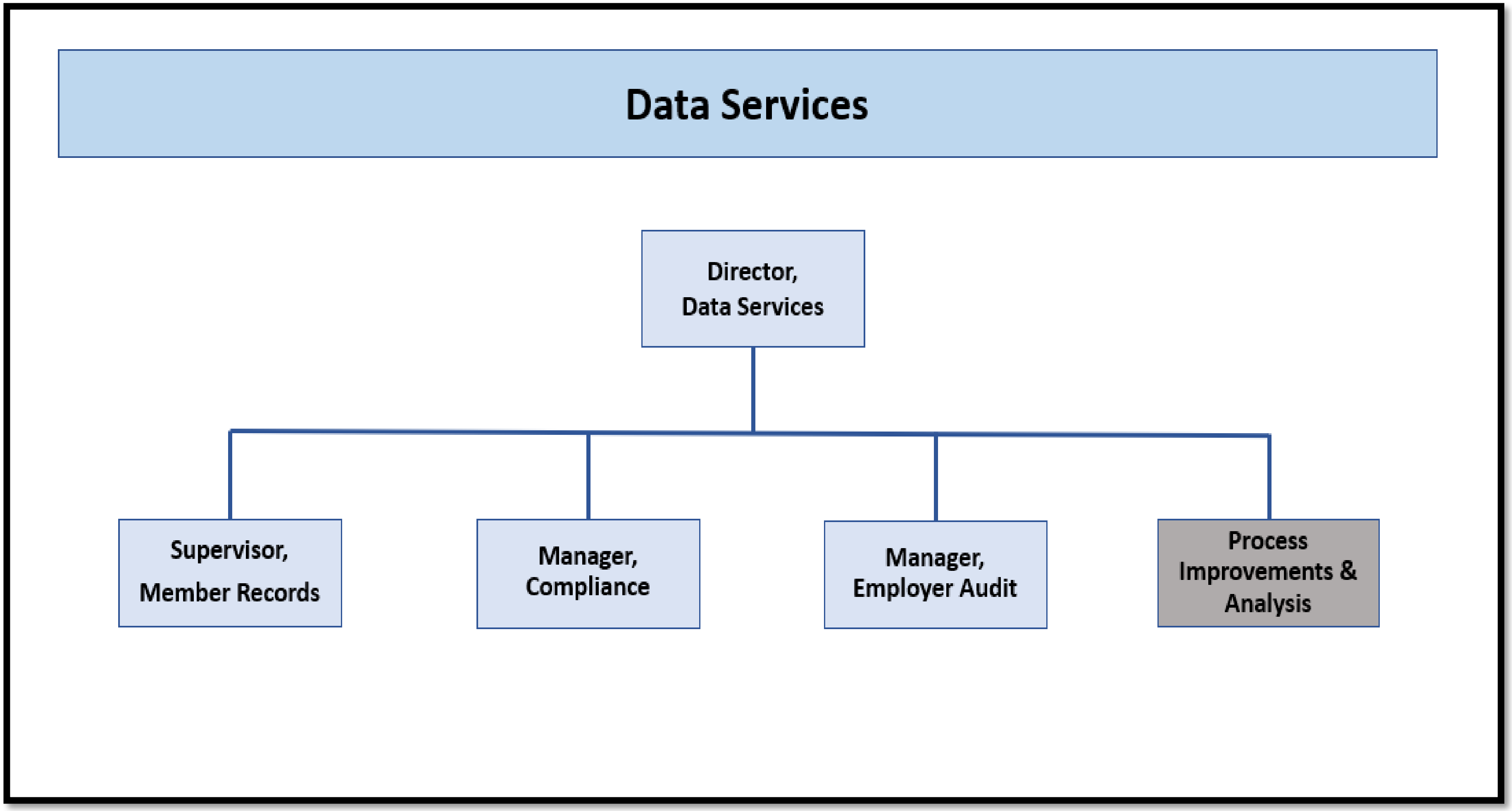

Information Technology
Chief Technology Officer
Production Support Analyst
Manager, IT Applications
Manager, IT Infrastructure
Database Administrator
Sr. Software Developer
Sr. Software Developer
Senior Systems Engineer
Senior Network Engineer
Software Developer
Software Developer
Systems Engineer
Systems Administrator
Production Support Analyst
Senior Business Systems Analyst
Service Desk Administrator

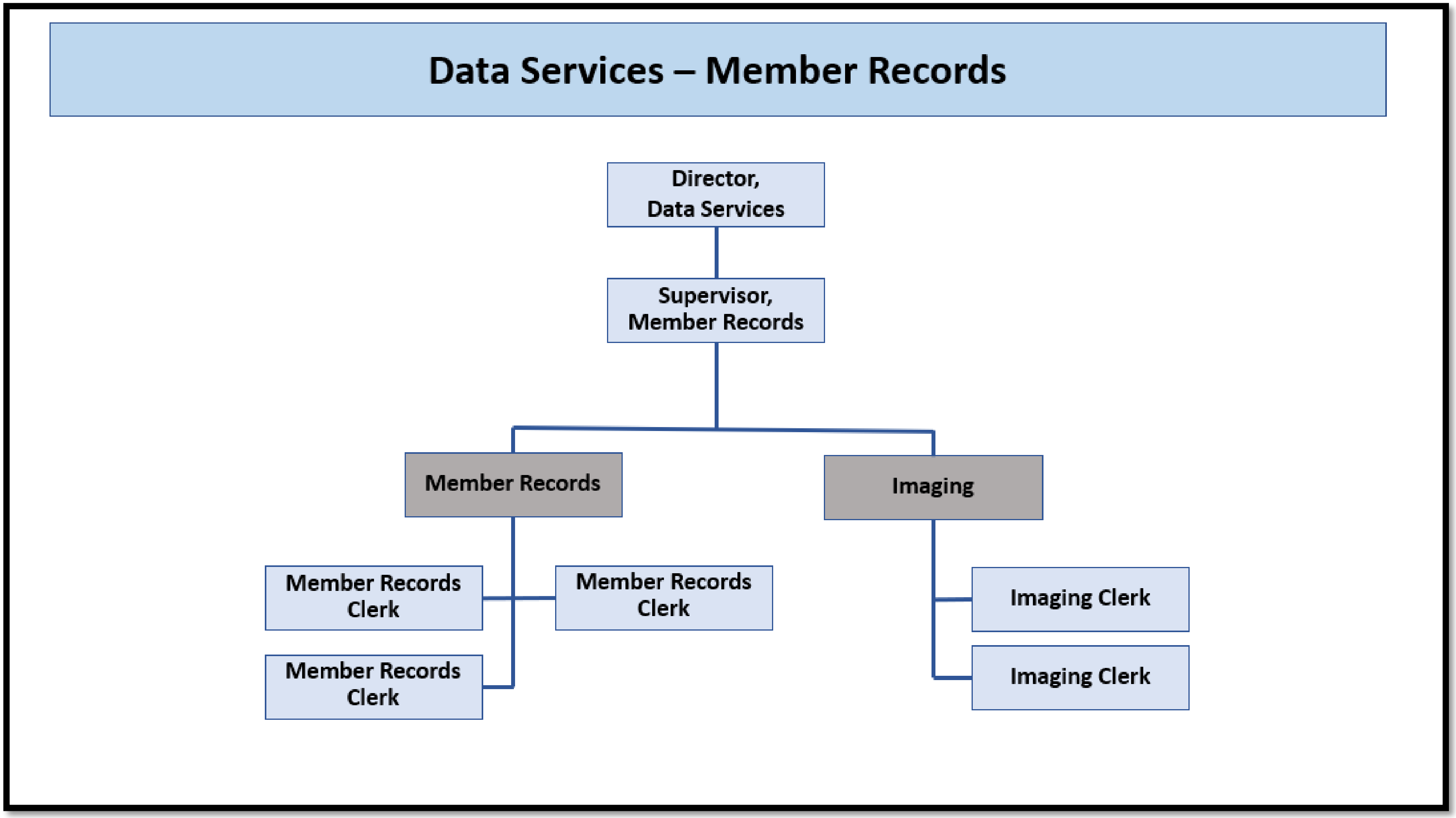

Benefit Services – Health Insurance
Director, Benefit Services
Manager, Health Insurance
Health Insurance Analyst
Health Insurance Analyst
Health Insurance Analyst
Health Insurance Analyst

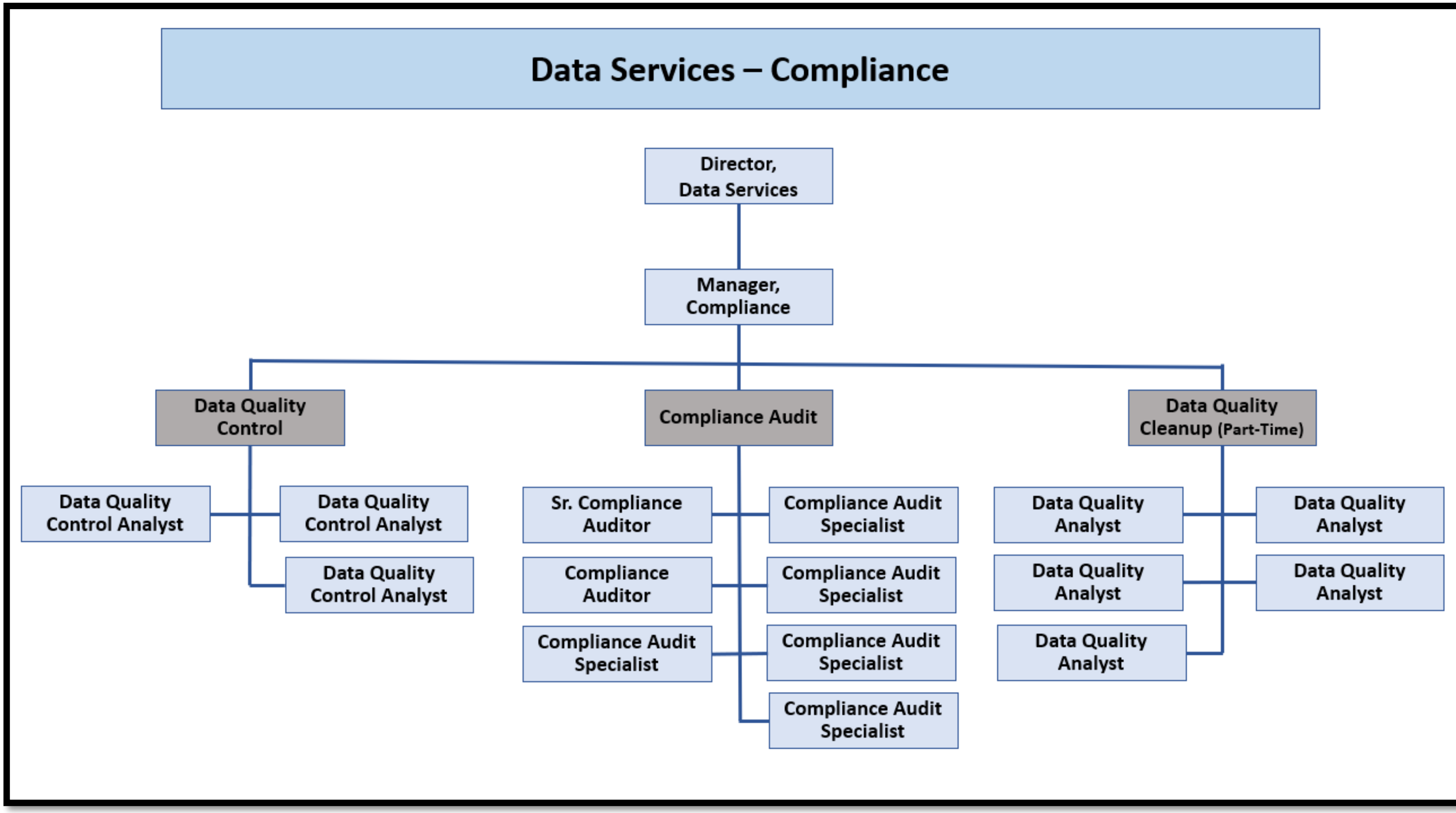

Benefit Services – Pension Processing
Director, Benefit Services
Manager, Pension Processing
Benefits Coordinator (Disability)
Sr. Pension Analysts
Pension Analysts
Associate Pension Analysts
Sr. Pension Analyst
Sr. Pension Analyst
Sr. Pension Analyst
Pension Analyst
Pension Analyst
Pension Analyst
Associate Pension Analyst
Associate Pension Analyst
Associate Pension Analyst
Associate Pension Analyst
Associate Pension Analyst
Associate Pension Analyst

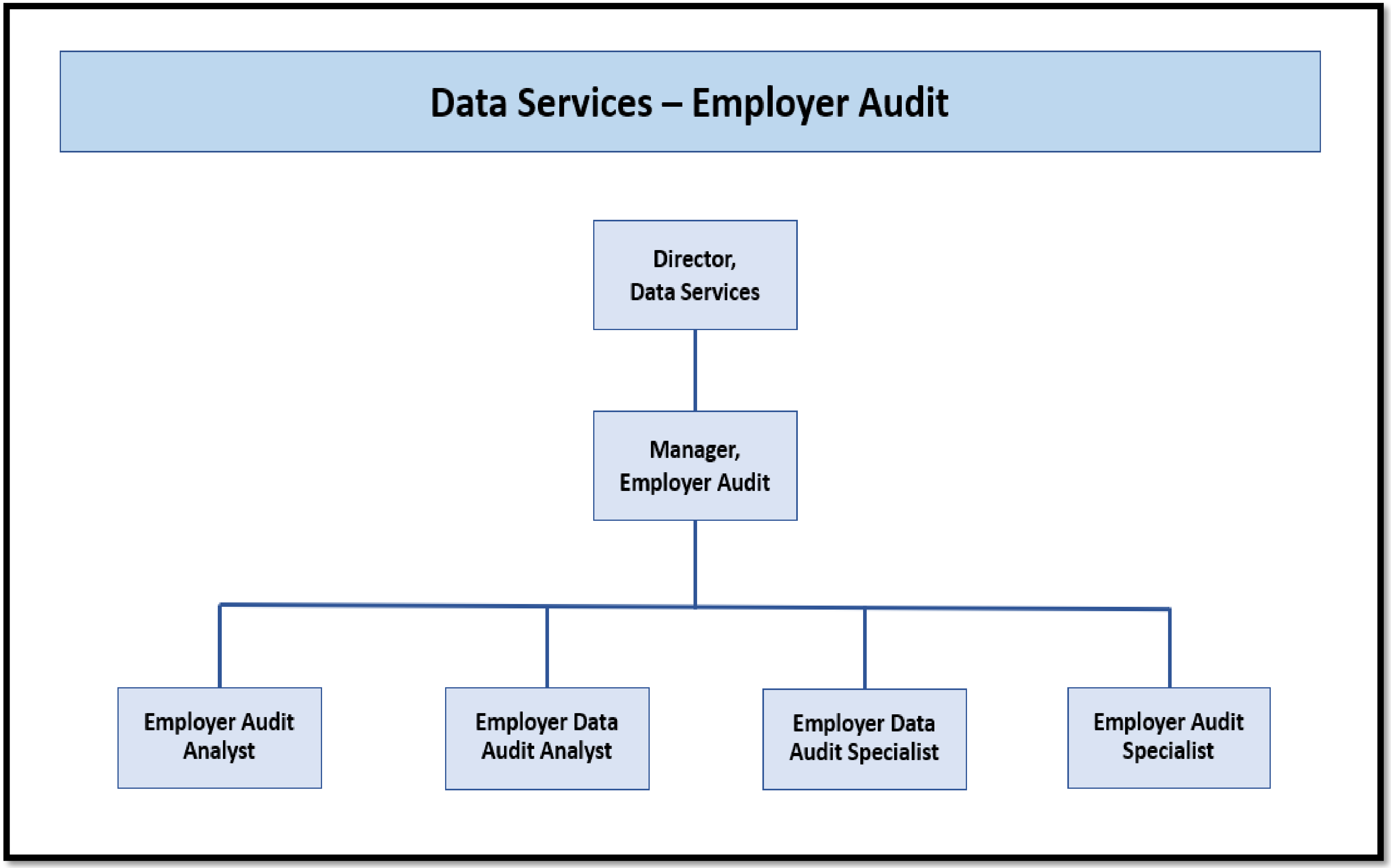

Benefit Services – Member Education and Outreach
Director, Benefit Services
Manager, Member Services
Supervisor, Benefit Plans & Outreach
Member Services Specialist
Member Services Representative
Member Services Representative
Member Services Representative
Member Services Representative
Part Time


Benefit Services – Call Center
Director, Benefit Services
Manager, Member Services
Supervisor, Call Center
Full Time
Part Time
Member Services Rep
Member Services Rep
Member Services Rep
Member Services Rep
Member Services Rep
Member Services Rep
Member Services Rep
Member Services Rep
Member Services Rep
Member Services Rep
Member Services Rep
Member Services Rep
Member Services Rep
Member Services Rep

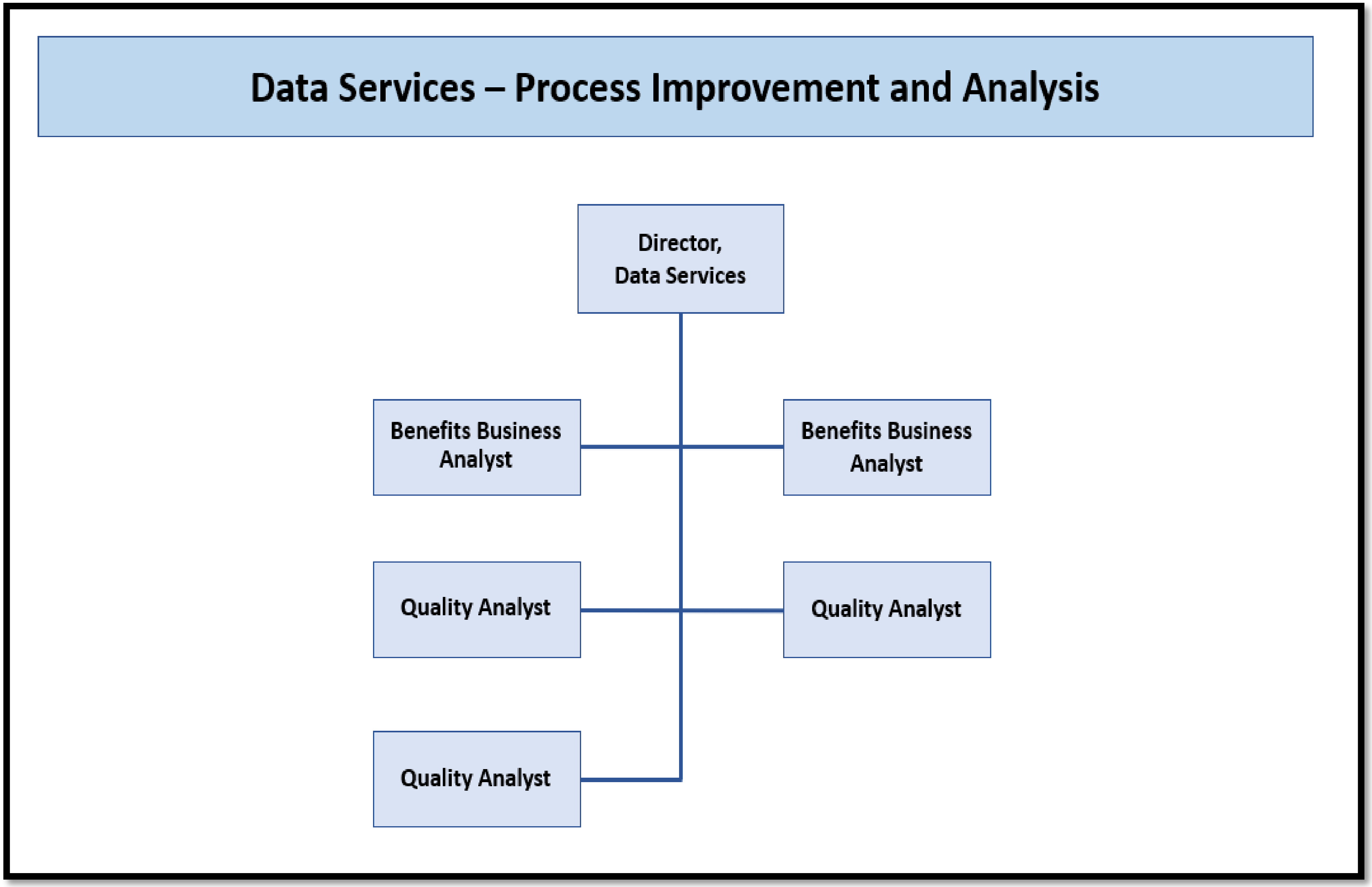

Data Services
Director, Data Services
Supervisor, Member Records
Manager, Compliance
Manager, Employer Audit
Process Improvements & Analysis


Data Services – Member Records
Director, Data Services
Supervisor, Member Records
Member Records
Imaging
Member Records Clerk
Member Records Clerk
Member Records Clerk
Imaging Clerk
Imaging Clerk


Data Services – Compliance
Director, Data Services
Manager, Compliance
Data Quality Control
Compliance Audit
Data Quality Cleanup (Part-Time)
Data Quality Control Analyst
Data Quality Control Analyst
Data Quality Control Analyst
Sr. Compliance Auditor
Compliance Auditor
Compliance Audit Specialist
Compliance Audit Specialist
Compliance Audit Specialist
Compliance Audit Specialist
Compliance Audit Specialist
Data Quality Analyst
Data Quality Analyst
Data Quality Analyst
Data Quality Analyst
Data Quality Analyst


Data Services – Employer Audit
Director, Data Services
Manager, Employer Audit
Employer Audit Analyst
Employer Data Audit Analyst
Employer Data Audit Specialist
Employer Audit Specialist

425 South Financial Place Suite 1400
Chicago, IL 60605-1000



6.1.4 – CTPF Business and Holiday Calendar

Observed Holidays

The CTPF office closes to observe the following holidays:

New Year's Day
Martin Luther King Jr. Day
Presidents' Day
Memorial Day
Juneteenth
Independence Day
Labor Day
Veterans Day
Thanksgiving and Day after Thanksgiving
Christmas Day

6.1.5 – CTPF Plan Information

The following link provides downloadable information sheets and forms for various CTPF member-related matters, including applying for retirement, designating beneficiaries, disability benefits, and notice for returning to work.

https://www.ctpf.org/forms-publications/member-forms-information

6.1.6 – Final Average Salary (FAS) Calculation Information

There are currently two different FAS calculations in use at CTPF referred to as Legacy and Day-for-Day. The Legacy FAS calculation is used for members with no service credit after 7/2/2011. The current FAS calculation (Day-for-Day) is used for members with service after 7/2/2011. Most CTPF members, approximately 75% and growing, have service after 7/2/11 and will use the Day-for-Day FAS calculation. However, CTPF anticipates that the Legacy FAS calculation will be required for members for approximately 30 more years.

Please refer to the following links on the CTPF website for the formal policies that provide additional detail regarding FAS:

https://www.ctpf.org/sites/files/2021-04/FAS%20Rule%20%28Executive%20Summary%29-Final.pdf

https://www.ctpf.org/sites/files/2021-04/FAS Rule (Legacy)-Final.pdf

https://www.ctpf.org/sites/files/2021-04/FAS%20Rule%20%28Day-for-Day%29-Final.pdf

6.1.7 – Reciprocal Service Information

CTPF is a participating plan under the Reciprocal Act, as are all other Illinois public pension systems, except local police and fire pension plans. Under the Reciprocal Act, service credit of at least one year may be considered together at the date of retirement or death for determining eligibility for and amount of benefits. However, for teacher aides who meet certain criteria, service credit of less than one year may be considered in determining benefits under the Reciprocal Act.

The Illinois Retirement Systems Reciprocal Act gives retiring Illinois public employees the option to use service credit earned within the participating public retirement systems toward a benefit calculated based upon combined pension service between the funds. To use the provisions of the Reciprocal Act, the systems will exchange information regarding service credits, earnings, and other important information to determine payable benefits.

Service credits are earned based on the amount of time a member participates in a retirement system. Service credit established in all retirement systems is considered under the Reciprocal Act, except for the following:

- Service Credit of less than one year (12 months) of participation in any system, except credit earned by teacher's aides in IMRF
- Service Credits that have been forfeited by accepting a refund, but have not been repaid
- Service Credits that have already been applied toward a retirement pension

Each reciprocal system has different eligibility requirements. The CTPF eligibility requirement is 5 years of service for employees who joined CTPF or a reciprocal system before January 1, 2011, and 10 years of service for employees who joined on or after January 1, 2011.

A member can decide if they want to combine their service credits or retire independently under each individual system. In both scenarios, the member must meet the qualifications of each individual retirement system before they are eligible to earn a pension. If a member combines service credits, they can potentially have enough total service credits to qualify in a system where they might not have enough service credits to retire otherwise. The ability to use service credits among reciprocal systems, may offer a larger combined pension and/or enable the member to begin drawing benefits earlier than if they were to retire from each system independently.

If a member chooses to combine service credits using reciprocity, they must meet the highest minimum qualification of all systems involved. Each system looks at combined service credits and earnings, paying their share of the pension accordingly. The highest final average salary (FAS) from all systems is used to calculate the pension benefit, but each system uses its own formula to determine the benefit amount from that system.

When a member retires under the reciprocal act, they must apply for benefits following the process required by each system. The member must declare their intent to retire under reciprocity when they file their retirement applications. Once they receive a pension, the provisions of each respective retirement system govern eligibility for, and determination of, survivor and death benefits, any available annual pension increase, and eligibility for health insurance or a premium subsidy.

If a member is granted service credit by multiple funds for a given period, adjustments are made to ensure the member does not receive service credit from both systems for the same period. If a member contributes to multiple systems in the same month, it is not legally permitted to earn more than one-month's service credit during that time.

6.1.8 – Retiree Health Insurance Information

CTPF offers health insurance benefits to retirees and their dependents if the retiree's final teaching service was with the Chicago Public/Charter Schools. Annuitants are retirees and eligible survivors of retirees who receive pension benefits from CTPF.

Qualified annuitants may enroll in a plan for:

- Non-Medicare eligible members
- Medicare-eligible members who maintain enrollment in Medicare Part A and Part B.

Additional information regarding the CTPF Health Insurance plan can be found on the CTPF.org website:

https://www.ctpf.org/forms-publications/health-insurance-forms-publications

New Retiree Health Insurance Options

(BY RETIREMENT AGE)

CTPF Chicago Teachers' Pension Fund

RETIREMENT AGE	RECOMMENDED ACTIONS	CTPF SUBSIDY OF HEALTH INSURANCE PREMIUM*
Under age 65	**TWO MONTHS PRIOR TO RETIREMENT** ▪ Enroll in health insurance continuation coverage (COBRA) through the CPS COBRA administrator. COBRA enrollment forms will be mailed to you if you are eligible. This is typically your least expensive health insurance option. ▪ COBRA coverage generally lasts up to 18 months. ▪ Spouse and dependents are also eligible for COBRA. **THREE MONTHS PRIOR TO COBRA COVERAGE ENDING** ▪ Make an appointment with CTPF to discuss health insurance options. ▪ Obtain enrollment application(s) for the plan of your choice. **AT LEAST ONE MONTH PRIOR TO COBRA COVERAGE ENDING** ▪ Submit enrollment application(s) to CTPF for the plan of your choice, to be effective the 1st of the month following COBRA termination.	▪ CTPF provides a partial subsidy of CPS/Charter School COBRA premium cost through your pension benefit with completion of CTPF Form 735. ▪ The CTPF subsidy of COBRA premiums ends when you become Medicare eligible.
Age 65 or Over	**THREE MONTHS PRIOR TO RETIREMENT** ▪ Contact the Social Security Administration to initiate enrollment in Medicare Part A and Part B. Ask for an effective date the first month following retirement (typically July). ▪ Make an appointment with CTPF to discuss your health insurance options. All CTPF plans are comprehensive and include enhanced Medicare Part D prescription coverage. ▪ Obtain enrollment application(s) for the plan of your choice. **AT LEAST ONE MONTH PRIOR TO RETIREMENT** ▪ Submit enrollment forms for a CTPF-sponsored Medicare Supplement-type plan (or non-CTPF Medicare Supplement-type plan) with proof of Medicare Part A and Part B enrollment.	▪ When enrolled in a CTPF plan, subsidy is paid in your pension benefit. CTPF provides partial subsidy of health insurance premiums as well as Medicare Part A and Part B.+ ▪ If you choose to enroll in a non-CTPF health plan, you can apply for a subsidy of health insurance premiums. The subsidy is paid retroactively with appropriate documentation of other coverage (CTPF mails subsidy applications annually). ▪ If you do not enroll in a Part D prescription plan or equivalent at retirement, the Centers for Medicare and Medicaid Services (CMS) may assess a penalty. If you enroll in a CTPF health plan at a later date, CTPF will not subsidize this penalty.
Turning age 65 while on COBRA coverage	**IF UNDER AGE 65 AT RETIREMENT** ▪ Enroll in health insurance continuation coverage (COBRA) through the CPS COBRA administrator. **THREE MONTHS PRIOR TO 65TH BIRTHDAY** ▪ You will receive an invitation to a CTPF Medicare Birthday Party where you will have the opportunity to enroll in a CTPF Medicare health plan. All CTPF plans are comprehensive and include enhanced Medicare Part D prescription coverage. ▪ You may also contact the Social Security Administration yourself to enroll in Medicare Part A and Part B. Ask for an effective date the 1st of the month following COBRA termination. ▪ Although Medicare enrollment can be delayed without penalties while working, if you do not enroll in Medicare when turning age 65 while on COBRA, it may result in penalties and limit your opportunity to enroll in Medicare. ▪ Obtain enrollment application(s) for the plan of your choice. **AT LEAST ONE MONTH PRIOR TO 65TH BIRTHDAY** ▪ Submit an enrollment application(s) for the health insurance plan of your choice along with proof of Medicare Part A and Part B.	▪ CTPF provides a partial subsidy of CPS/Charter School COBRA premium cost through your pension benefit with completion of CTPF Form 735. This CPS COBRA subsidy ends when you become Medicare eligible. ▪ When you enroll in Medicare in Part A and Part B and enroll in a CTPF plan, the CTPF subsidy is paid in your pension benefit.+ ▪ If you choose to enroll in a non-CTPF health plan, you can apply for a subsidy of your health insurance premiums. The subsidy is paid retroactively with appropriate documentation of other coverage (CTPF mails subsidy applications annually). +Members who retire with a pension benefit effective date of July 1, 2016, or later, who must pay for Medicare Part A, do not receive a CTPF premium subsidy for this cost.

Currently there is very limited Health Insurance functionality in the Pension Gold System. At the time Pension Gold was implemented, health insurance administration was not a good fit resulting in most processing being performed manually outside of the system and separate from the pension processing and data. As a result, many workarounds and manual validations have been developed over the years to provide service to annuitants, but this has also led to process inefficiencies, challenges with visibility into process and data, and difficulties when change is needed. Data integration with our outside partners and vendors is also manual in nature and requires separate workarounds and manual validations.

Going forward, CTPF wants a single system for the administration of both pension and health benefits. The single system should provide the ability for shared processing and data; and support a 360-degree view of annuitants and members. Within the health insurance functionality, current health insurance plans should be supported as defined in the commitments, while providing the ability to easily maintain and update existing plans and benefits and offer new plans and benefits in the future. Underlying business rules around plan and benefit eligibility need to also be easily maintained and updated.

All health insurance related data and activity must be tracked in the system and available as defined to CTPF staff, supporting 3rd parties, and annuitants through web self-service. Annuitants should have the ability to see pertinent health insurance information along with their pension information and have the ability to enroll and manage their benefits. Outside partners and vendors should have the ability to securely exchange data with CTPF, with data validations automatically being performed to assist with data corrections before data is committed to the system.

6.1.9 – CTPF Vision Statements

6.1.9.1 - Introduction

This is the complete collection of the Chicago Teachers' Pension Fund (CTPF) Pension Administration System Replacement (Project 125) Program Vision Statements. They are intended to help CTPF staff and others understand the vision of the Project 125 Program, how it will relate to the everyday work experiences of our members and our employees, and to provide context for everyone working to achieve this vision for CTPF.

Each vision statement includes a story depicting the present state of CTPF, a story depicting the future state, and a section describing how the Project 125 Program will move CTPF from the present to the future. All characters appearing in these stories are fictitious. Any resemblance to real persons, living or dead, is purely coincidental.

6.1.9.2 - CTPF Mission

To provide, protect, and enhance the present and future economic wellbeing of members, pensioners and beneficiaries through efficient and effective management of benefit programs, investment practices and customer service, and to commit to earning and keeping the respect and trust of the participants through quality service and by protecting retirement benefits, in compliance with applicable laws and standards.

6.1.9.3 - Grand Vision

To ensure a secure and successful future for CTPF and its internal and external stakeholders, Project 125 Program is dedicated to leveraging modern technologies and the pension industry's best practices to provide more personalized service, more consistent and reliable processes, and better visibility of real-time data and information. Project 125 will ultimately result in the highest quality service to our active members, retirees, reporting entities and CTPF employees.

Through Project 125, CTPF is implementing an integrated pension administration system to increase automation and flexibility and to provide a foundation of services for our stakeholders. This framework promotes process improvement and empowers business users in their day-to-day operations to support the delivery and management of pension benefits and annuitant health insurance. A single source and view of our data provides timely and accurate information stakeholders can trust.

6.1.9.4 - Technology Vision

Olive Singh

Bio

Olive is in her early 60s and has been teaching mathematics at Jones High School for 25 years. She loves her job but is ready to begin retirement and start the next stage in her life. However, she has a bit of apprehension about the retirement process and her health insurance options.

Goals

- Making the best decision with her retirement and health insurance options
- Understanding the status of her retirement application during the process and when she will receive her first payment

Olive's Retirement Experience: The Present

Three weeks ago, Olive received a postcard in the mail inviting her to a CTPF retirement seminar. She calls CTPF to register for the event, but since it is Saturday, the office is closed. When she calls back on Monday, she is registered for the event and told that she will receive a retirement packet that will include a retirement application and a pension estimate based on a retirement date at the end of the school year. Once at the seminar, she reviews the estimate and discovers that she has two years of withdrawn service that she could purchase to increase her monthly pension benefits. She speaks to a member services representative to inquire about a purchase and is advised that CTPF will mail her a service purchase contract and bill within the next several weeks. She receives her bill after two weeks. Although she ponders for a moment how much her pension would increase if she worked one more year, she completes the retirement application and the service purchase application and sends it back to CTPF along with a personal check.

Two weeks later, Olive calls CTPF to inquire whether her applications have been received and whether they are complete. She learns that she failed to include a beneficiary form with her application. She goes to the CTPF website, prints out a blank CTPF 105, gets it notarized, and returns it to CTPF. After another two weeks, she calls CTPF to inquire about receipt of the document. Olive had to call and write CTPF multiple times to have her retirement processed.

Olive's Retirement Experience: The Future

Olive goes onto the CTPF website, which is well designed and easy to navigate, and logs into her secure account. She has visibility to all reported salary, days worked and contributions submitted to CTPF on her behalf. Olive produces two pension estimates herself: one for retirement at the end of this school year and one for the end of the next school year. While doing so she is made aware that she has two years of withdrawn service which she can purchase to increase her pension benefits. The cost of the withdrawn service is displayed and she can see how the purchase of that service would affect her monthly pension benefits. Olive decides to purchase her withdrawn service. She clicks the purchase button and enters her banking information (or payment information). Olive makes the decision that she wants to retire at the end of this school year. Olive completes the retirement application online and uploads copies of the required documents requested by CTPF. She receives immediate confirmation that the upload was successful and that she will receive an email after her application has been reviewed by CTPF staff.
Two days later she receives a confirmation email telling her CTPF has reviewed her application and approved her request for retirement. A few days later, Olive wakes up in the middle of the night and realizes she wants to change her beneficiary. She logs into

her account again, using the web self-service, changes her beneficiary, returns to bed, and sleeps soundly for the rest of the night. Olive, to her amazement, receives her first annuity payment without ever having to call CTPF.

How Do We Get There?

As CTPF moves into the future, pension administration technology must be modern, efficient, and adaptable to change. These were some of the main considerations as CTPF prepared for the Project 125 Program. Just like the foundation for your house is critical, so too must our technology have a strong foundation. With Project 125 that foundation is an architectural framework. Currently, CTPF is using Pension Gold along with other loosely coupled solutions in order to provide the necessary functionality for CTPF to administer pension benefits. Moving forward, CTPF will employ a customizable integrated, pension administration solution for the Pension Administration System (PAS). This solution was chosen because it leverages industry best practices from pension systems around the nation. As such, it is important to adhere to the provided solutions, as much as possible, and avoid customizations. In many cases this may mean changing or redefining current business processes to fit within the provided solution. The fewer changes or customizations we make to the new solution, the easier it will be to implement and maintain in the long run.

An important part of CTPF's future includes more self-service options on our website. Our vision is to provide members with the ability to apply for refunds, maintain beneficiaries, update demographics, apply for retirement, and more- all via the new PAS solution. Members will also have the ability to see all of their relevant account data (e.g., contributions, monthly annuity payments, deductions), along with viewing the status of outstanding requests. All of this new functionality will be available to our members 24/7, 365 days a year.

New web self-service functions will also include a chat feature. Chat, if employed, will provide another avenue of communication for our membership and enable real-time assistance without having to call CTPF. Chat can also include screen sharing functionality to help walk members through complicated processes.

As members begin to do more online, it is important for CTPF to provide stringent security that protects personal and health information. Currently, we require members to sign (and, when necessary, notarize) forms to defend against fraud and misuse of protected information. In the future, CTPF will still provide the same level of protection but through the use of strong online authentication and e-signatures. This will provide CTPF and our members the confidence needed to do business online.

One of the biggest improvements for CTPF will be improved automated workflows. CTPF currently employs multiple workflow platforms, and has a fair share of manual processes. Reporting capabilities are insufficient, and we have an over-reliance on the IT group for customized reporting. CTPF staff will be able to respond more efficiently to our customers. Streamlined workflows and business process will facilitate fulfillment of benefits process. Business intelligence will inform us of processing obstacles and allow us to recalibrate workloads as necessary.

Project 125 technology updates will provide our members with more web self-service functionality and access to their data. Through improved processes, CTPF staff will be able to provide a higher level of personal service to members.

6.1.9.5 - Service Vision

425 South Financial Place Suite 1400
Chicago, IL 60605-1000

Joan Humphries

Bio

Joan Humphries is 59 years of age and has taught history at Park Manor Elementary for 12 years. Recently her mother developed health issues requiring full time care, and as a result Mrs. Humphries has made the difficult decision to leave employment to care for her. Joan has found a new home that is better suited for her mother's care but needs her CTPF refund to help with the down payment associated with the loan.

Goals

- Understanding what CTPF options are available in order to make a timely decision
- Efficiently going through the refund process and quickly receiving her refund payment
- Staying informed during the process to better coordinate her refund with the purchase of a new home

Joan's Refund Experience: The Present

After much consideration, Joan has decided to leave teaching after 12 years to focus on her mother's declining health. She has found a new home better suited for the care of her mother, but the down payment needed to complete the purchase is dependent on a refund of her pension contributions. Joan calls Member Services to discuss her situation, and the representative explains that she could be eligible for an annuity in the future. Joan decides to request a refund anyway and is informed that she will need to complete an application. The representative also explains that the process can take up to 90 days from receipt of the completed application and all required documentation. Joan is frustrated by the long turnaround time as she is concerned that could jeopardize the home purchase. She asks if she can have her refund direct deposited into the account to help expedite the process but is told that all refunds are mailed as paper check. Joan reiterates her urgency, and the representative explains the quickest way to submit would be to download the application from the CTPF website, complete and email or fax the application to CTPF. Joan downloads the application, fills out and notarizes the appropriate forms, and emails back to CTPF. Joan does not receive a confirmation that the application is received.

After a week, Joan calls CTPF to check the status of her refund. A second representative reviews the notes from the previous conversation and is able to determine that the application has been received, scanned and routed to the Pension team for processing. However, the representative must reach out to the processor to confirm the processing status and informs Joan that he will need to call her back. The representative contacts the processor and learns that CTPF has reached out to the employer to confirm Joan's stated separation date and is waiting for a response. Once received, the case will be sent for audit to review Joan's reported contributions over the entirety of her employment which can take up to 90 days before payment can be issued. The representative calls Joan back to provide her a status and the estimated time remaining to complete. Over the next 3 months, Joan calls several times to check on her application. Unfortunately, during this time she had to make other arrangements to help with the down payment on the new home.

Joan's Refund Experience: The Future

Joan logs onto the CTPF website to view her account. After reviewing her information, she can easily determine that while she is not currently eligible for an annuity, she can apply for a refund. Joan also can see that her former employer has recently submitted her separation date. As Joan begins her online refund, she notices that her current address is outdated and updates that as part of her application. As she continues, Joan receives a notification that she has the option of receiving a pension at a later age if she waits and receives an estimate of the pension she is forfeiting if she takes her refund. Joan acknowledges that she understands the forfeiture and selects the option to proceed with a refund. Joan completes her application by entering her banking information, uploading the necessary supporting documents, and clicking submit. She receives immediate confirmation that the submission was successful and that she will receive an email after her application has been reviewed by CTPF staff.

Three days later Joan receives a confirmation email telling her CTPF has reviewed her application and approved her refund request. She logs into the CTPF website and can view the status of her application. It shows that her payroll records are under audit review and it is estimated that she will receive payment within 2 weeks. Member audits are performed more quickly because data issues are addressed through continuous data auditing, leaving only recent records to be reviewed. Upon completion of the audit, Joan's application is completed and her refund payment is submitted to payroll. Joan receives notification that her payment will be direct deposited into her account in 2-3 business days. Joan is grateful that the entire process took just under 3 weeks and she was kept informed, allowing Joan to better prepare and coordinate the down payment and purchase of her new home.

How Do We Get There?

As technology advances, increasing demands are placed on CTPF to provide accurate and timely service. The new pension administration system (PAS) will deliver technologies that empower members, employers, and third-party administrators through expanded web self-service functionality to easily access and maintain their account information online. These technologies will also allow CTPF to continue to provide members with the high level of service they have come to expect.

Through the new PAS solution, members and others will have the ability to apply for benefits, view reported salary and contributions, schedule office visits and sign up for educational seminars easily online. Education and communication will be tailored to the member and their career stage, and according to their needs. This expansion of services will reduce the number of routine phone and written inquiries to CTPF, thereby enabling CTPF staff to focus on more complex requests and provide services in a more timely manner. As members and others begin to take advantage of the new ways to communicate with CTPF electronically, we will still provide the ability to speak with CTPF directly and submit paper forms, when necessary.

Presently, CTPF employees are required to toggle between several systems that often contain different versions of member data. Additionally, many tasks are performed manually outside of CTPF systems. This complicates the process of viewing member data and can make understanding a member's account or status a daunting task. The new PAS will serve as a single source for member data, as well as provide a 360-degree view of a member's account and activity. This will include information such as contribution history, service credit purchase, address and beneficiary changes, CTPF-reporting entity interactions, CTPF-member interactions, date and time of interactions, type of contact, and pending and completed requests--all within a single application.

The new PAS will also provide unified case management. Case management is the coordination of a request from a member and the processing and administration of all information related to the request. Implementing case management at CTPF will allow staff to have a consolidated view of the details and history of the case they are working on. It provides for the easy routing of work, internal alerts and real time reporting that improves processing efficiency by identifying bottlenecks or when a request is approaching a deadline. Case management also allows members to receive a consistent experience with CTPF through any communication channel they choose and remain informed on the status of their requests through notifications and updates provided through the member web self-service portal.

Collectively these technologies will improve the quality of service and experience of CTPF members, employers and others while increasing staff engagement and effectiveness. Our existing processes will be executed more efficiently, and new and enhanced communication channels will provide for better awareness and understanding for both members and CTPF staff. Looking ahead, the new system will also better position CTPF to adapt to changing customer expectations and service needs in the years to come.

6.1.9.6 - Data Vision

Benny Davis

Bio

Benny Davis is in his mid-60s and has been teaching English at Kenwood High School for the last 5 years. He still enjoys being an educator but is ready to spend more time with his family and grandchildren. Benny knows he is eligible for a CTPF annuity but is unaware that past substitute teaching can increase his benefit under reciprocity.

Goals

- Seeing accurate CTPF and reciprocal data in real-time to quickly understand his retirement options
- Having the ability to easily reach out to CTPF member services with questions regarding reciprocity
- Ease in sending the correct applications and information to each system so that his benefits are processed efficiently

Benny's Data and Processing Experience: The Present

Benny calls CTPF to request an estimate and pension application. He is asked by the member services representative if he worked for a reciprocal system in the past. Benny does not understand the question, so the representative provides a few examples of possible systems. Benny does not recognize those names and does not realize that the time he spent as a substitute teacher could qualify so he indicates that he did not work for a reciprocal system. Three weeks later Benny receives an estimate and application in the mail. The benefit is estimated to be $600 monthly**.** Benny thinks that this is a fair amount for 5 years of teaching and decides to fill out his retirement application and mail it to CTPF with all required documents. He skips the question about retiring under reciprocity on his application.

Upon receipt of the application, the benefits processor begins to work on the calculation and notices reciprocal service with Teachers Retirement System (TRS) on the records that are exchanged between the various systems. The benefit processor emails TRS to confirm the members eligibility to retire under reciprocity. TRS responds affirmatively the following week, sharing their service and salary data. At that point, the CTPF benefit processor calculates a retirement estimate showing benefit for each system (CTPF & TRS). The benefit under a reciprocal pension is $1650 monthly ($600 for CTPF, $1050 for TRS). The processor contacts Benny to explain the findings. Benny is surprised at first, he looks in in his files and finds a statement from TRS showing an eligible benefit of $700 monthly. He had forgotten about this benefit and thanks the processor for the reminder. He had not thought about the substitute teaching for several years. The processor explains that under reciprocity, the TRS benefit will be higher because they will use the final average salary of the final system which is CTPF. That final average salary is considerably higher than what was earned at TRS in the past. She also reminds Benny that she is providing an estimate, as Benny's CTPF data is not yet audited. His amounts will likely change at pension finalization for both systems as final records come in from the employer and adjustments to his data based on audit findings are made. The change in amounts is primarily due to all FAS years and relevant information being audited and adjusted as needed at the time a member applies for a benefit.

The processor further explains that Benny must fill out a reciprocal application with TRS to take advantage of the increased benefit and provides their contact information. She also explains that Benny must file a new application with CTPF electing to retire under reciprocity. Benny is overwhelmed by this information and requests that the processor provide the estimate and a new CTPF application by mail. The following day Benny contacts TRS and they validate the information provided by CTPF. When the estimates arrive by mail Benny reviews the amounts which are consistent with the information provided by phone. He fills out a new application, electing to retire under reciprocity and emails it back to the processor to avoid further delay. The processor receives the new retirement application via email which now includes an election to retire under reciprocity. The CTPF processors emails TRS and requests confirmation of application receipt. TRS has not received the application. The CTPF processor contacts Benny to remind him to apply for retirement with TRS. Since the member is eligible to retire with CTPF service alone, CTPF is able to move forward with a manual preliminary calculation without TRS confirmation however, this must be on file prior to benefit finalization.

A CTPF certification is manually generated and sent to TRS upon approval of the benefit calculation. The following week, TRS emails the CTPF processor confirming receipt of Benny's application and asks for additional detail on the breakdown of his service and salary. This is required before they can issue payment to him. The entire process took 2 ½ months from original application submission to approval of the calculation. Benny's first CTPF benefit check is issued on the first of the following month, 3 months after his separation date.

Benny's Data and Processing Experience: The Future

Benny logs onto the CTPF website to obtain a retirement estimate and apply for retirement. During the estimate process he is shown the timeframe of service worked at TRS and asked if he would like that included in his estimate. He had not thought of the work he had done as a substitute for some time. Benny requests to see two estimates, one retiring from CTPF only and another showing reciprocal retirement. The system returns two amounts $600 for retirement with CTPF and a combined retirement benefit of $1650. He is surprised by the difference and digs out an old statement from TRS for comparison. The statement shows a TRS benefit of $700 monthly, the difference in payment amount is difficult to comprehend. He initiates the chat feature on the website to get more information. CTPF representative Linda is happy to assist. Together they review the estimates generated. Linda explains that under reciprocity, the TRS benefit is increased because they use the final average salary of the final system (CTPF) which is considerably higher than what was earned at TRS in the past. Linda reminds Benny that they are reviewing an estimate, as Benny's final employment records have not yet been received and audited. She states that generally, amounts do not significantly differ at finalization since his records have already been audited through the previous fiscal year. Finally, she lets Benny know that he must also apply to retire under reciprocity with TRS in order to take advantage of this benefit. She provides a link to the TRS website for

Benny to get started. Benny thanks Linda and completes his online retirement application for CTPF, electing to retire under reciprocity. An email is automatically generated to TRS communicating Benny's retirement with CTPF and his intent to retire under reciprocity with TRS. The email requests that TRS validate their salary, service and status.

Benny contacts TRS the following day to initiate reciprocal retirement with them. He is surprised to learn that CTPF has already alerted TRS about Benny's retirement. TRS responds to the CTPF request within 5 business days. At that time, the CTPF processor is able to validate the calculation and process the benefit. A CTPF certification including a detailed breakdown service and final average salary is automatically generated and sent to TRS upon approval of the benefit calculation. The entire process took 10 business days from application submission to approval of the calculation. Benny's first CTPF benefit check is issued on the first of the following month, within 25 days of his separation date.

How Do We Get There?

One of the main focuses of the Project 125 Program is having consistent, accurate, and up-to-date member data available in real time from a single source to better support CTPF's enhanced service goals. As CTPF has grown to approximately 88,000 members, so has the amount and complexity of our data. As new applications have been added over time (Pension Gold, BradPen, Employer Reporting System, etc.), managing a single source of truth has become more difficult, resulting in redundant data that is not always in sync. In certain instances, data is also managed in spreadsheets and other user managed applications. In the future the new pension administration PAS solution will have a single source of data available to support CTPF processing and service, member self-service, and employer reporting needs. Having a single source of data will also result in better member communication, reduced manual intervention, improved processing times, organizational effectiveness, and overall reporting. Employees and managers will not have to spend time reconciling information across multiple applications to process work; or to generate reports needed for operations, providing updates to the Board of Trustees, or supplying to auditors and other external parties.

CTPF's existing data assessment and conditioning project will also be expanded as part of Project 125 to further improve current member data. To ensure existing data is ready to support the implementation of the new PAS system, CTPF has formed a data governance committee to exercise guidance over the management of CTPF data assets. The data governance committee will provide guidance in determining what data is considered "of record", as well as other data reconciliation exercises designed to ensure the accuracy and consistency of data for the new system. Going beyond the implementation of Project 125, the data governance committee will remain in place to provide ongoing guidance to ensure the quality of existing data as well as new data coming from employers and members and help resolve any issues that may arise from the new data.

Providing enhanced customer service requires accurate, up-to-date data so when a member goes online to run estimates and apply for retirement, or calls CTPF for assistance, the member and CTPF are working with the most up-to-date accurate information available. Working with employers to report accurate member data as soon as reporting periods are complete will help ensure the data is up-to date. Building real-time validations and communicating possible exceptions to employers in real time when reporting will improve the accuracy of the data. Starting at the onset of Project 125, CTPF will begin an employer outreach program to partner with employers on changes and enhancements to employer reporting, while also providing time for employers to update reporting processes and systems.

This outreach will also educate employers on the vision of Project 125 and the importance of their role in providing these enhancements to their employees.

Today, CTPF's data does not always provide a complete picture. Many members have reciprocal service with another Illinois system that should be considered as they make decisions about their future. Working closely with reciprocal systems to provide up-to-date data and a more unified customer service experience for members will ensure that members have the right data available for timely decision making and that CTPF can move forward with their decisions as seamlessly as possible.

6.1.10 – Actuarial Reporting

CTPF relies on an outside Actuary to provide multiple services related to the management of the fund. The services include but are not limited to the following items. The file formats used to extract CTPF data for the Actuary are included in Section 6.2.4.

- General advice regarding the quality, adequacy, and cost effectiveness of the Fund's retirement plans, including the defined benefit plan, the statutorily defined funding plan, and the health insurance valuation.
- Ongoing advice in preparing for the annual actuarial valuation of CTPF, as required by law, and any special actuarial studies, as requested by CTPF.
- Advice with respect to the requirements and actuarial significance of federal laws that impact CTPF programs.
- Advice with respect to the actuarial funding methods, assumptions, and techniques.
- Advice about employer and employee contribution rates and projections.
- Availability to consult with CTPF by letter, email, telephone, or in person as needed.
- Assist in the preparation or review of legislation, including fiscal notes and bill analysis, as needed.
- Preparation of actuarial valuations.
- Preparation of stress testing scenarios.
- Preparation of experience studies.
- Preparation of actuarial summary statement and actuarial schedules for the comprehensive annual financial report ("CAFR").
- Provide option factors and calculate retirement benefits based on those options.
- Provide data cleanup in consultation with the CTPF information technology department.
- Provide Section 415 limit testing and discrimination testing.
- Provide sensitivity analysis regarding actuarial assumption factors.
- Consult on tax compliance, as necessary.
- Coordinate with other service providers (i.e., attorneys, administrators, auditors, etc.), as necessary.

- Attend meetings or present actuarial information at the Fund's main office as needed.

- Provide other actuarial related special projects, as required by the CTPF or the State of Illinois.

6.1.11 – Current Reports, Correspondence, Production Support Processes

List of Current CTPF Reports

Report Name	Department
Post Audit Names and Addresses	Benefits
Member Contact Info All	Communications
PGold Emails	Communications
Retiree Mailing List	Communications
Pension Reps by Status	Communications, Election
CPS File Timing	Compliance
Member Contribution Breakdown	Compliance
Non-CPS Discrepancy	Compliance
Total Employers Report	Compliance
Workflow - BFTS 2 Prelim Pensions wo	Compliance
ERS 1 Discrepancy Report	Compliance
Packages – Incomplete Re-Audit Completed Audits Tasks	Compliance
Packages with Audit Tasks and NO Waiting for Employer	Compliance
Wage File Transfer Control Report	Compliance
Wage Detail Transfer Control Report	Compliance
ERS Wage Period Exception Detail Report	Compliance
ERS HR Exception Report	Compliance
ERS Exception Aging Report	Compliance
CTPF Exception Aging Report	Compliance
CTPF HR Exception Details Report	Compliance
CTPF Wage Period Exception Details Report	Compliance
ERS Outside Service Report	Compliance
ERS Retiree Report	Compliance
Tier Two Report	Compliance
Tier Two Nightly Report	Compliance
ERS Contact List of all user and Pension Officer Information	Compliance
AIMS Adjustment History	Compliance, Data Quality Control
PGold Hybrid Review	Compliance, Finance
AIMS Job Status Inquiry PL50	Compliance, Pension Benefits
AIMS Payroll History Report by Date Range	Compliance, Process Improvements and Analysis
Pension Rep Report - All	Election
Pension Rep Report - Charters	Election
Pension Rep Report - CPS	Election

Report Name	Department
Pension Rep Report Mailstop	Election
Pensioner Election List	Election
Charter School Scorecard	Employer Audit
Outside Audit	Employer Audit
1099 Alternate Address List	Finance
Accrued Death Benefits - Retirees	Finance
ACCT_FT_2_2_Refunds	Finance
Bank Reconciliation	Finance
Benefit Payment Detail Register for Excel	Finance
Check Register All PGold Checks (Not Manual)	Finance
Check Register Manual PGold Checks	Finance
Check Register Manual PGold Checks Gross	Finance
Check Status Report	Finance
Death Benefit	Finance
Death Benefits Crossing Fiscal Years	Finance
Deceased And Got Paid After	Finance
Direct Deposit ACH Register Month and Year	Finance
Employer Submission	Finance
ERS User	Finance
Fiscal Year 2-2 Refunds	Finance
GL By Account Number	Finance
GL By Account Number - Totals	Finance
GL By MemberID	Finance
GL By Reference ID	Finance
GL By User	Finance
GL By User and GL Account Number	Finance
GL Direct Pay Invoiced	Finance
GL Direct Pay Invoiced with Member ID	Finance
GL Direct Pay Payments	Finance
GL Export Transaction Data	Finance
IRS FIT Monthly Payment	Finance
Max Check Number	Finance
Members w Routing Number	Finance
Members with Direct Deposit Account Number	Finance
Optional Service Contracts	Finance
Outstanding Check Affidavit	Finance
Rebate Direct Deposit Register	Finance
Reconciling Overpayments for Deceased Members	Finance
Refund Detail	Finance
Refunds Crossing Fiscal Years	Finance
Refunds Crossing Fiscal Years - Miscellaneous	Finance
Refunds Crossing Fiscal Years - Survivor	Finance
SPC Canceled Payments	Finance
SPC Payment GL Posting	Finance
SPC Payment GL Posting 2	Finance
SPC Payments	Finance
Tax Withholding	Finance
Tracking Repayments Applied in PensionGold	Finance

Report Name	Department
Unpaid Death Benefits	Finance
ACCT 1 Activity Detail by Entity	Finance
ACCT 1 Beneficiary Listing	Finance
ACCT 1 Benefit Payroll Alerts	Finance
ACCT 1 Benefit Payroll Check Register	Finance
ACCT 1 Benefit Payroll Register	Finance
ACCT 1 Benefit Payroll Summary	Finance
ACCT 1 Cash Receipts	Finance
ACCT 1 Check Status	Finance
ACCT 1 Code Table Detail Listing	Finance
ACCT 1 Code Table Summary Listing	Finance
ACCT 1 Death Notification Report	Finance
ACCT 1 Death Verification Extract	Finance
ACCT 1 Direct Pay Previous Invoices	Finance
ACCT 1 Direct Pay Print Invoices	Finance
ACCT 1 Employer Payment History	Finance
ACCT 1 Employer Payment Register	Finance
ACCT 1 Employer Payroll Alerts	Finance
ACCT 1 Employer Register Detail	Finance
ACCT 1 GL Export Detail	Finance
ACCT 1 GL Export Detail by Reference ID	Finance
ACCT 1 GL Transaction Definitions	Finance
ACCT 1 Rebate Summary	Finance
ACCT 1 Rollover Register	Finance
ACCT 1 SPC New Deductions To Establish	Finance
ACCT 1 SPC Overpayments	Finance
ACCT 1 Total Rollover Notification	Finance
ACCT 1 Withholding History	Finance
ACCT 1 Withholding Register	Finance
ACCT 2 1099R Balancing Report	Finance
ACCT 2 1099R Control Report	Finance
ACCT 2 1099R Detail Report	Finance
ACCT 2 1099R Not Generated	Finance
ACCT 2 1099R Not Printed or Transmitted	Finance
ACCT 2 945 Federal Tax Report	Finance
ACCT 2 Adjustment Register	Finance
ACCT 2 Adjustments Granted Listing	Finance
ACCT 2 Annuitant Status Listing	Finance
ACCT 2 Benefit Payroll Changes	Finance
ACCT 2 Creditable Service	Finance
ACCT 2 Deduction Register	Finance
ACCT 2 Deduction Vendor Report	Finance
ACCT 2 Dependent Child Alert	Finance
ACCT 2 Direct Deposit Register	Finance
ACCT 2 Employer New Contract Listing	Finance
ACCT 2 GL Export Summary	Finance
ACCT 2 Insurance Balancing Report	Finance
ACCT 2 Insurance Coverage Extract	Finance

Report Name	Department
ACCT 2 Insurance Deduction Register	Finance
ACCT 2 Vendor Payment Detail Register	Finance
ACCT 2 Vendor Payment History	Finance
ACCT 2 Vendor Payment Register	Finance
ACCT 2 Vendor Payroll Alerts	Finance
ACCT 2 Vendor Transaction Report	Finance
Solomon Receivables Interface File Control Report	Finance
Solomon Receivables Wage File Control Report	Finance
Medical One Time- Adjustments	Finance, Health Benefits
Terminated Pensions	Finance, Health Benefits
AARP Coverage Code	Health Benefits
All Members Turning 65	Health Benefits
Couples Coverage No Dependents	Health Benefits
Coverage Code and Subsidy Audit	Health Benefits
Current COBRA Codes	Health Benefits
Death of Spouse	Health Benefits
Deceased Members	Health Benefits
Deceased Non Terminated Health Insurance	Health Benefits
Health Benefit Reconciliation	Health Benefits
Health Ins Deceased	Health Benefits
Health Rebates	Health Benefits
Medicare Eligible Retirees	Health Benefits
Medicare Payroll Deductions and Adjustments	Health Benefits
Missing Medicare Info	Health Benefits
New Medicare Number Required	Health Benefits
New Retiree Health Insurance Status	Health Benefits
Outside Rebate Mailing List	Health Benefits
Payflex Reconciliation List	Health Benefits
UHC MA Coverage Code	Health Benefits
HLTH 1 Payroll Insurance Changes	Health Benefits
AX Doctypes by Day	Member Records
AX Production Report	Member Records
AX Scanning Times by day	Member Records
Correspondence Address Unlike Home - Actives	Member Records
Emails of Seminar Attendees	Member Records
Medco Address Verification Report	Member Records
New Members - No Beneficiaries	Member Records
New Members - No Beneficiaries New	Member Records
Payees Correspondence Unlike Home	Member Records
Payees with Correspondence Address but Preference Isn't Correspondence	Member Records
Payees with No Active Address	Member Records
Snow Birds with Terminated Addresses	Member Records
Members w/out Dep or Nom Beneficiaries	Member Records
MSS Agent Report	Member Services
Z 3 Seminar Attendance Report	Member Services
Citywide Mailing List	Office Services
Retired Administrators Report	Office Services

Report Name	Department
Retiree Mailing List for RTAC	Office Services
RTA Death Notification	Office Services
Pension Revision Report	Pension Benefit
2.2 Bill Report	Pension Benefit
All Disability Benefits Granted	Pension Benefits
Benefits by Status with Pension Multiplier	Pension Benefits
Death Benefits Summary	Pension Benefits
Disability Verification	Pension Benefits
Duty Disability Age-Out	Pension Benefits
Prelim Pensions Without Exceptions	Pension Benefits
Qildro Escrow Report	Pension Benefits
Refund Not Complete	Pension Benefits
Refunds Summary	Pension Benefits
REH Retirees On The Employment Status Report	Pension Benefits
Retirement Apps No PGold Benefits	Pension Benefits
Survivor Control Report	Pension Benefits
Suspended Pensions	Pension Benefits
Termed Pensions (Return to Work)	Pension Benefits
Workflow - Pension Applications	Pension Benefits
Workflow - Refund Applications	Pension Benefits
Workflow - Reporting a Death Form	Pension Benefits
Certification of Reciprocal Data	Pension Benefits
All NomBen Benefits Paid - Not All NomBen Entered	Pension Benefits
Beneficiaries - Open with no Paid Benefits	Pension Benefits
Beneficiaries - Turning or Just Turned 18 or 50	Pension Benefits
Death Form or Refund - Incomplete with Completed Audit	Pension Benefits
No Resignation Date	Pension Benefits
Packages - Completed Audit - At least one active obstacle	Pension Benefits
Packages Closed in PensionFlow in date range	Pension Benefits
Packages with Flag having -TEXT- in the note	Pension Benefits
Packages with Task Completed by other	Pension Benefits
PensionFlow State Counts for Date Range	Pension Benefits
PGold Flags - May need attention in WS	Pension Benefits
Queue by User with Current State and Obstacles	Pension Benefits
Queue by User with Current State and Obstacles - SmartCache	Pension Benefits
Ready to Finalize	Pension Benefits
Time from App Receipt to Prelim Detail	Pension Benefits
Trend of Reciprocal Apps Received	Pension Benefits
Was Complete - Now Not	Pension Benefits
Refund Not Complete	Pension Benefits, Compliance
Time from App Receipt to Prelim	Pension Benefits, Compliance
Terminated Benefit No 1001 Form	Pension Benefits, Health Benefits
Member Status and Benefit Type History	Pensions

Report Name	Department
Bradpen Security Report	Process Improvements and Analysis
ERS Access	Process Improvements and Analysis
PGOLD Users and Security Groups	Process Improvements and Analysis
Member Statement	Process Improvements and Analysis
Member Statement Multiple Pages Report	Process Improvements and Analysis
MIS 2 Member Statement Control Report	Process Improvements and Analysis
Payroll Review Report	Process Improvements and Analysis, Pension Benefits, Health Insurance, Compliance

List of Current CTPF Correspondence

Correspondence Name	Department	Variable Text Sections
Benefit-AwardLetter (Straight to Final, Survivor)	Pension Benefits	2
Benefit-PensionRevised	Pension Benefits	1
Benefit-PensionAcknowledgement	Pension Benefits	0
Benefit-MiscRefundRolloverElec	Pension Benefits	1
Health-ChangeAcknowledgement	Health Benefits	0
Health-RebatePastDeadline	Health Benefits	0
Benefit-PreliminaryRevised	Pension Benefits	0
Benefit-FinalRevisionLetter	Pension Benefits	4
Benefit-2009PreliminaryAward	Pension Benefits	2
Health-COBRATermination	Health Benefits	0
Health-Rebate Missing Evidence	Health Benefits	0
Health-ChgAcknowledgeSplit	Health Benefits	0
Health-OutsideRebateIneligible	Health Benefits	0
Benefit-RefundMissingDocs	Pension Benefits	0
Misc Freeform	Pension Benefits, Member Service etc.	0
Death Correspondence (including follow-ups)	Pension Benefits	0
Turning 65	Health Benefits	0
COBRA Termination	Health Benefits	0
CORR-DEATH (Missing form or Doc)	Pension Benefits	0
CORR-DEATH (Repaying Survivor Refund)	Pension Benefits	0
CORR-ESTATE (missing form or Doc)	Pension Benefits	0
Small Estate Affidavit Letter	Pension Benefits	0

Correspondence Name	Department	Variable Text Sections
CORR-REFUND (rejection due to lack of response)	Pension Benefits	0
CORR-REFUND (Denial due to Active Member)	Pension Benefits	0
Refund Application (RMD & Reg)	Pension Benefits	0
Death Benefit Application	Pension Benefits	0
Pension Application (RMD & Regular)	Pension Benefits	0
Beneficiary Designation	Member Records	0
Disability Application	Pension Benefits	0
2.2 Upgrade Application	Pension Benefits	0
Pension Estimate	Pension Benefits	0
Benefit-RecipVerification	Pension Benefits	0
Bill for Optional Payment to Upgrade to 2.2% Pension	Pension Benefits	0
Disability Cover LTR	Pension Benefits	0
Disability Acknowledgement LTR	Pension Benefits	0
Auth to Release Disability Info	Pension Benefits	0
Disability Verification LTR	Pension Benefits	0
Corr-Disability (generally an approval letter)	Pension Benefits	0
Duty Disability Turning 65	Pension Benefits	0
Return to Work - Member Report	Pension Benefits	0
Return to Work violation letter	Pension Benefits	0
Pension Overpayment Letter (incl RTW reinstate)	Pension Benefits	0

List of Current CTPF Production Support Processes

Processes	Department	Frequency
ESI file	Health Benefits	Weekly
Board Reports	Office Services	Monthly
Death match list	Pension Benefits	Monthly
NCOA for Payees	Member Records	Quarterly
Prelim Report (Review of key benefit changes when going from Prelim to Finalized Retirement)	Process Improvement & Analysis	Monthly
CPS Scorecard	Employer Audit	Monthly
Reciprocal exchange process	Pension Benefits	Quarterly
ESI reconciliation	Health Benefits	Annually
Actuarial File	Finance	Annually
Elections	Office Services	Weekly
Member Statements	Process Improvement & Analysis	Annually
AUP (Agreed Upon Procedures, Validates CPS and CTPF payroll records match)	Finance	Annually

Processes	Department	Frequency
1099's	Finance	Annually
RUUPA (Illinois State Treasurer's office)	Pension Benefits, Finance, Process Improvement & Analysis	Annually
FOIA Reports (Freedom of Information Act, CTPF records that may be accessed by public upon request)	Legal	Ad-Hoc
Internal / External Audit	Compliance	Ad-Hoc
Report and correspondence creation	IT	Ad-Hoc
IDPH (Illinois Dept of Public Health)	Pension Benefits	Monthly
Naphsis Death Verification	Pension Benefits	Monthly
Automatic Annual Increate (AAI)	Process Improvement & Analysis	Annually
Parallel Report	Process Improvement & Analysis	Monthly
Member Sync (Updates records after data change)	Process Improvement & Analysis	Monthly

6.1.12 – Sample Board Reports

The following table shows common member reports presented to the Board on a monthly basis.

Report Name (Created Monthly)	Description
Cancellation of Pensions	Pensions cancelled during the previous month
Death Benefits	Types of Death Benefits Paid and Totals for the previous month
Final Summary	Summary of Benefits Types Paid and Fiscal Year Totals through the previous month
Finalized Pensions	Pensions finalized and related statistics during the previous month
Pensions	Pensions granted during the previous month (1st payment)
Reciprocal Pensions	Reciprocal pensions finalized and related statistics during the previous month
Refunds	Refunds issued during the previous month
Reversionary Pensions	Reversionary pensions finalized and related statistics during the previous month
Summary of Pensions Granted	Summary of Pensions Granted and Fiscal Year Totals through the previous month
Survivor Pensions	Survivor Pensions granted during the previous month (1st payment)

6.1.13 – Other CTPF Initiatives

CTPF has identified, and is engaged in, several other initiatives that should be considered by potential Bidders. The initiatives are as follows:

1. Data Quality Improvements

   Root cause of data issues includes aged data, converted data and workarounds created in response to past employer reporting problems. CTPF is actively identifying and remediating data discrepancies to improve operational efficiency for the Auditing and Member Services teams as well as members' self-service.

   Icon Integration has been contracted with to provide Data Assessment and Data Migration services as part of the PAS implementation. This is expected to be a multi-year project.

2. Data Governance

   CTPF has formed a Data Governance Committee to establish rules surrounding all data stored or used in the administration of pensions and benefits at CTPF. The overall Data Governance practice will be an ongoing activity for CTPF requiring dedicated staff to ensure that all data remains accurate and reliable.

3. Imaging and Document Management

   CTPF has begun investigating how to best implement a common document imaging and management repository to support operations and integrate with the new Pension Administration System. The new imaging system must have modern document management features, robust security and easily accommodate growth over time. The capabilities of the PAS vendor will have an impact on the overall requirements of this effort.

4. Business Intelligence and Data Analytics

   Allow staff to effectively analyze and understand data collected from multiple system frameworks, enabling additional data quality audits, reports, and coordination. Allow management to measure operations accurately and automate the data scorecard process. The capabilities of the PAS vendor will have an impact on the overall requirements of this effort.

5. Health Benefits Administration

   Improved Health Benefits administration application to eliminate current manual processes and improve reporting capabilities. Improved capabilities will be expected in the new PAS. Additional requirements will depend on vendor capability.

6. Policy Development

   Continue the established IT policy review process and get Board approval for all necessary policies. Ongoing.

7. Application Enhancements and Upgrades

Ongoing business operation improvements by working through application projects to integrate applications and increase system efficiency. Upgrade assets to improve application performance, access, security, and maintenance. Ongoing.

8. Infrastructure Enhancements and Upgrades

   Ongoing business operation improvements by working through technology projects to ensure license and policy management, improved security and increased system efficiency. Modernize infrastructure assets to improve application performance, access, security, and maintenance. Ensure redundancy and security. Ongoing.

9. Data Warehouse Solution

   Clean, well-governed data can be stored and classified consistently in a data warehouse, providing the ability for business intelligence and the opportunity to deploy online member solutions. Standardize data across the organization to create a single source of truth streamlining enterprise level reporting and data analysis. Pre-Requisite: Data Quality Improvement. This effort will depend on the capabilities of the selected PAS.

6.1.14 – CTPF Contract Exception Form

The following template is provided and must be used to detail exceptions to the CTPF sample contract provided in Section 6.1.15. This form must be included in section 3 of the bidder's proposal.

CTPF Contract Exception Form

Bidder Name: Bidder's Company name

The bidder must provide the following information:

- any terms and conditions in the sample contract to which the bidder would not agree
- specific changes (additions, deletions, changes) to verbiage that would be required before bidder would agree
- rationale behind bidder's decision to identify the specific terms and conditions as exceptions

Section # and Title	Exception(s) Text	Proposed Remediation	Rationale for Exception

additional rows may be added as needed

6.1.15 – CTPF Sample Contract

The following sample contract is provided and must be reviewed and all exceptions to this contract must be documented in the form provided in section 6.1.14.

Begin CTPF Sample Contract

Master Software Development Agreement

This MASTER SOFTWARE DEVELOPMENT AGREEMENT (this "**Agreement**"), dated as of [__], 2022 (the "**Effective Date**"), is by and between [Contractor Name], a [State] corporation with offices located at [Addresss] ("**Vendor**"), and the Public School Teachers' Pension Fund of Chicago, a public pension fund created pursuant to the Illinois Pension Code, with offices located at 425 S Financial Pl, Ste 1400 Chicago IL 60605-1000 ("**Client**"). Vendor and Client are each referred to herein by name or as a "**Party**", or, collectively, as the "**Parties**."

WHEREAS, the Illinois Pension Code authorizes Client to enter into contracts for services of Persons (as defined below) as independent contractors;

WHEREAS, Vendor is engaged in the business of providing software development and related services and work product;

WHEREAS, Client desires to retain Vendor to provide the software development and related services and work product described herein, and Vendor desires to provide the same to Client, each on the terms and conditions set forth herein; and

WHEREAS, it is deemed that the services of Vendor are both necessary and in the best interests of Client.

NOW, THEREFORE, in consideration of the mutual covenants, terms, and conditions set forth herein, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Client and Vendor agree as follows:

1. **Definitions.**

1.1. **"Acceptance"** has the meaning set forth in Section 5.10.

1.2. **"Acceptance Test"** means any test conducted in accordance with Section 5.6 to determine whether any given Software Deliverable conforms to the Specifications therefor.

1.3. **"Action"** means any claim, action, cause of action, demand, lawsuit, arbitration, inquiry, audit, notice of violation, proceeding, litigation, citation, summons, subpoena, or investigation of any nature, civil, criminal, administrative, regulatory, or other, whether at law, in equity, or otherwise.

1.4. "**Affiliate"** of a Person means any other Person that directly or indirectly, through one or more intermediaries, controls, is controlled by, or is under common control with, such Person. For purposes of this Section 1.4, the term "control" (including the terms "controlled by" and "under common control with") means the direct or indirect power to direct or cause the direction of the management and policies of a Person, whether through the ownership of voting securities, by contract, or otherwise.

1.5. **"Agreement"** has the meaning set forth in the preamble.

1.6. **"Aggregate Software**" means the Software, as a whole, to be developed or otherwise provided under this Agreement.

1.7. **"Allegedly Infringing Materials"** has the meaning set forth in Section 12.4(a)(ii).

1.8. **"Artifact"** means any document (e.g., diagram, requirement matrix, screenshot) or other output produced in relation to any Deliverable that requires review and acceptance by Client pursuant to a Statement of Work.

1.9. **"Background Technology"** means all writings, technology, inventions, discoveries, improvements, enhancements, trademarks, trade secrets, developments, processes, procedures, designs, content, documentation, hardware, software, creative works, information, works of authorship, techniques, methods, ideas, know-how, concepts, research, proposals, products, services, and materials, and all other work product or other items of any nature whatsoever, that are (a) owned or developed (in whole or in part) by, or licensed to, Vendor and (b) not Work Product, as well as all improvements, modifications, derivative works, rights, and claims, related to the foregoing, and other tangible embodiments thereof, as well as any and all Intellectual Property Rights therein arising in any jurisdiction throughout the world.

1.10. **"Board"** means the Public School Teachers' Pension and Retirement Fund of Chicago Board of Trustees.

1.11. **"Business Day**" means a day other than a Saturday or Sunday or any day that is declared to be a legal holiday.

1.12. **"Change"** has the meaning set forth in Section 3.6.

1.13. **"Change Agreement**" has the meaning set forth in Section 3.6(b).

1.14. **"Change Proposal"** has the meaning set forth in Section 3.6(a).

1.15. **"Change Request"** has the meaning set forth in Section 3.6.

1.16. **“Confidential Information”** has the meaning set forth in Section 8.1.

1.17. **“Deliverables”** means all Software and Documentation, and all other Work Product that Vendor is required to provide to Client or any of its designees under this Agreement, including any and all items specifically identified as Deliverables in any Statement of Work.

1.18. **“Documentation”** means all documentation relating to the Software that Vendor provides or makes available to Client hereunder, that describe any component, feature, requirement, or other aspect of the Software, including any functionality, testing, operation, or use thereof.

1.19. **“Effective Date”** has the meaning set forth in the preamble.

1.20. **“Encumbrance”** means any claims, mortgages, deeds of trust, liens, licenses, contractual rights or permissions, security interests, pledges, conditional sale contracts, charges, options, rights of first refusal, and other encumbrances of any kind.

1.21. **“Exploit”** means to install, operate, reproduce, modify, update, improve, maintain and or otherwise use for its operation and administration of the Public Employees’ Retirement System created by Chapter ### of the [State] Revised Statutes, the performance of Client’s duties and obligations thereunder, and its business, operations and other functions related thereto, in accordance with this Agreement.

1.22. **“Extension Term”** has the meaning set forth in Section 13.2.

1.23. **“Fees”** has the meaning set forth in Section 7.1.

1.24. **“Force Majeure Event”** has the meaning set forth in Section 14.10(a).

1.25. **“Malicious and Harmful Code”** means any: (a) malware, virus, trojan horse, worm, backdoor, or other software or hardware device the effect of which is to permit unauthorized access to, or to disable without authorization, erase without authorization, or otherwise harm, any computer, system, or software; or (b) time bomb, drop-dead device, or other software or hardware device designed to disable a computer program automatically with the passage of time or under the positive control of any Person without authorization, or otherwise deprive Client of its lawful right to use the Software.

1.26. **“Implementation Plan”** means the schedule included in each Statement of Work setting forth the sequence of events for the performance of Services under such Statement of Work, including the Milestones and Milestone Dates thereunder.

1.27. **“Initial Term”** has the meaning set forth in Section 13.1.

1.28. **"Intellectual Property Rights"** means all rights in and to United States and foreign (a) patents, patent disclosures, and inventions (whether patentable or not), including all continuations, divisions, continuations-in-part, reissues, extensions, and renewals thereof, (b) trademarks, service marks, trade dress, trade names, logos, corporate names, and domain names, and other similar designations of source or origin, together with the goodwill symbolized by any of the foregoing, (c) copyrights and works of authorship (whether copyrightable or not), including computer programs and rights in data and databases, (d) trade secrets, know-how, and other confidential information, (e) all other intellectual property rights, in each case whether registered or unregistered, and including all registrations and applications for, and renewals or extensions of, such rights, all related rights of priority under international conventions with respect thereto, and all similar or equivalent rights or forms of protection in any part of the world, and (f) all claims and causes of action with respect to any of the foregoing, including all rights to, and claims for, damages, restitution, and injunctive and other legal and equitable relief for past, present, and future infringement, dilution, misappropriation, violation, misuse, breach, or default, with the right, but no obligation, to sue for such legal and equitable relief and to collect, or otherwise recover, any such damages.

1.29. **"Intended Users"** means the category(ies) of users that are intended to use Software or particular features or functions thereof, as described in the Specifications for such Software.

1.30. **"Key Personnel"** means any Vendor Personnel identified as key personnel in this Agreement or, with respect to any Statement of Work, such Statement of Work.

1.31. **"Law"** means any statute, law, ordinance, regulation, rule, code, order, constitution, treaty, common law, judgment, decree, or other requirement of any federal, state, local, or foreign government or political subdivision thereof, or any arbitrator, court, or tribunal of competent jurisdiction.

1.32. **"Losses"** means all losses, liabilities, damages, deficiencies, claims, actions, judgments, settlements, interest, awards, penalties, fines, costs, or expenses of whatever kind, whether direct or indirect, known or unknown, absolute or contingent, accrued or unaccrued, disputed or undisputed, matured or unmatured, determinable or otherwise, including reasonable attorneys' fees and costs.

1.33. **"Milestone"** means an event or task described in the Implementation Plan under any Statement of Work that must be completed by the corresponding Milestone Date set forth therein.

1.34. **"Milestone Date"** means the date by which a particular Milestone must be completed as set forth in the Implementation Plan under any Statement of Work.

1.35. "**Non-Conformity**" means any failure of the Software, or any part, portion of feature thereof, to conform to the Specifications therefor.

1.36. **"Open Source Components"** means any software component that is subject to any open source copyright license agreement, including software available under the GNU Affero General Public License (AGPL), GNU General Public License (GPL), GNU Lesser General Public License (LGPL), Mozilla Public License (MPL), Apache License, BSD licenses, or any other license that is approved by the Open Source Initiative.

1.37. **"Operating Environment"** means, collectively, the Client computer systems on, in, or under which Vendor knows the Software is intended to be installed and operate.

1.38. **"Permitted Subcontractor"** has the meaning set forth in Section 2.10.

1.39. **"Client"** has the meaning set forth in the preamble.

1.40. **"Client Materials"** means all writings, technology, inventions, discoveries, improvements, enhancements, trademarks, trade secrets, developments, processes, procedures, designs, content, documentation, hardware, software, creative works, information, works of authorship, techniques, methods, ideas, concepts, research, proposals, products, services, materials, and all other work product or other items of any nature whatsoever that are, directly or indirectly, provided or made available to Vendor by or on behalf of Client in connection with this Agreement, whether or not the same: (a) are owned by Client or a Third Party, or in the public domain; or (b) qualify for or are protected by any Intellectual Property Rights. For clarity, Client Materials do not include Work Product or Background Technology.

1.41. **"Client Resources"** has the meaning set forth in Section 4.1(b).

1.42. **"Person"** means an individual or a corporation, partnership, joint venture, limited liability entity, governmental authority, unincorporated organization, trust, association, or other entity.

1.43. **"Personal Information"** means any information that identifies, describes, is reasonably capable of being associated with, or could reasonably be linked, directly or indirectly, with a particular individual.

1.44. **"Proposal"** means the Response to the RFP submitted by Vendor on XXX, 2022, attached as Exhibit B-2 to this Agreement and incorporated herein by this reference (the "RFP Response").

1.45. **"Representatives"** means, with respect to a Party, such Party's and its Affiliates' respective employees, officers, managers, directors, consultants, legal advisors, and Permitted Subcontractors, and, with respect to Client, its independent contractors and service providers.

1.46. **"RFP"** means Client's request for proposal, dated as of October 3, 2019, including the official vendor Q&A response, and that certain amendment to the request for proposal, which documents are attached as Exhibit B-1 to this Agreement and incorporate herein by this reference.

1.47. **"RFP Response"** has the meaning set forth in Section 1.44.

1.48. **"Services"** means any of the services Vendor provides under this Agreement or any Statement of Work, as more fully described in this Agreement or such Statement of Work.

1.49. **"Software"** means the computer program(s) and other software that Vendor provides to Client in connection with the Services, including all Vendor updates, upgrades, fixes, patches, and other modifications, and including all computer programs that are Third-Party Materials or Open Source Components included in any Software by Vendor. As context dictates, Software may refer to one or more Software Deliverables or Aggregate Software.

1.50. **"Software Deliverable"** means any Software, together with the Documentation and Source Code therefor, required to be delivered 100% complete as a Milestone as set forth in the Implementation Plan for such Software.

1.51. **"Source Code"** means the human readable source code of the Software to which it relates, in the programming language in which such Software was written, of a level sufficient, to enable a programmer reasonably fluent in such programming language to Exploit the Software.

1.52. **"Specifications"** means, for any Software, the specifications therefor set forth in the relevant Statement of Work.

1.53. **"Statement of Work"** means any statement of work entered into or agreed upon by the Parties in connection with this Agreement, including, without limitation, the Summary Statement of Work and any phase or project specific statements of work. The Summary Statement of Work is attached as Exhibit A, and subsequent Statements of Work shall be sequentially identified and attached as Exhibit A-1, A-2, A-3, etc.

1.54. **"Summary Statement of Work"** means the Statement of Work for the initial Software development and related Services hereunder, attached as Exhibit A hereto.

1.55. **"Term"** has the meaning set forth in Section 13.2.

1.56. **"Testing Period"** has the meaning set forth in Section 5.6(b).

1.57. **"Third Party"** means any Person other than Client or Vendor (or an employee or independent contractor of Vendor). For purposes of this Agreement, the Parties' Affiliates are Third Parties.

1.58. **"Third-Party Materials"** means all writings, technology, inventions, discoveries, improvements, enhancements, trademarks, trade secrets, developments, processes, procedures, designs, content, documentation, hardware, software, creative works, information, works of authorship, techniques, methods, ideas, concepts, research, proposals, products, services, materials, and all other work product or other items of any nature whatsoever in which any Person other than Client or Vendor owns any Intellectual Property Right, but specifically excluding Open Source Components.

1.59. **"Vendor"** has the meaning set forth in the preamble.

1.60. **"Vendor Personnel"** means (a) all employees and independent contractors of Vendor involved in the performance of Services or providing Work Product under this Agreement, (b) all Permitted Subcontractors, and (c) all employees of each Permitted Subcontractor who are involved in the performance of Services or providing Work Product under this Agreement.

1.61. **"Warranty Period"** means the eighteen (18) month period commencing on the expiration of the initial ninety (90) day warranty period applicable to implementation services, which initial 90-day period commences on the mutually agreed "go-live" date of the Aggregate Software. The Parties acknowledge and agree that the Warranty Period is in addition to and does not include the initial ninety (90) day warranty period applicable to implementation services.

1.62. **"Work Product"** means (a) all Deliverables and (b) all other writings, technology, inventions, discoveries, improvements, enhancements, trademarks, trade secrets, developments, processes, procedures, designs, content, documentation, hardware, software, creative works, information, works of authorship, techniques, methods, ideas, concepts, research, proposals, products, services, materials, and all other work product or other items of any nature whatsoever that are (i) created, prepared, authored, edited, amended, designed, conceived, produced, reduced to practice, or otherwise developed by or on behalf of Vendor or any Permitted Subcontractor (A) in performing any Services or other work or services for Client, (B) using any of Client's Confidential Information or (C) on Client's premises or using Client's tools, devices, supplies, facilities, equipment, or other resources, or (ii) provided to Client or any of its designees under this Agreement, as well as all improvements, rights, and claims, related to the foregoing in (a) and (b), and other tangible embodiments thereof, as well as any and all Intellectual Property Rights therein arising in any jurisdiction throughout the world, and any improvements to any of the foregoing. For clarity, Work Product specifically excludes Background Technology.

2. Software Vendor Services.

2.1. Engagement of Vendor. Client hereby engages Vendor, and Vendor hereby accepts such engagement, to provide Software and Services related thereto as described herein or otherwise requested by Client from time to time to the extent described in a Statement of Work therefor, all on the terms and conditions set forth in this Agreement and such Statement(s) of Work.

2.2. Intentionally omitted.

2.3. Software Services.

a) Vendor shall design, develop, create, test, deliver, install, configure, integrate, customize, and otherwise provide Software as described in each Statement of Work in accordance with all terms and conditions set forth in this Agreement. Vendor shall provide all Software to Client in both object code and Source Code form.

b) Vendor shall provide Client with a general plan that is reasonably acceptable to Client generally describing whether certain Services will be performed by Vendor (or its Representatives), on-site and in-person at the offices of Client, or remotely through electronic communications and similar means (the "**Work Plan**"). The Parties will periodically review and revise the Work Plan during the Term to ensure that, in light of the present pandemic, epidemic and related states of emergency and travel restrictions, that the Services are performed by Vendor and its Representatives in a manner reasonably agreeable to the Parties, it being understood that Client's preference is to have the Services performed by Vendor and its Representatives on-site and in-person at the offices of Client as much as practical to the extent doing so would be reasonably safe in light of the present pandemic, epidemic and related states of emergency and travel restrictions. The Work Plan shall include that Vendor and its Representatives will attend the "kick-off" meeting on-site and in-person at the offices of Client, and remain, as agreed upon by the parties, available on-site and in-person, at the offices of Client, in connection with Client's internal launch of the project contemplated by this Agreement.

2.4. Documentation. Prior to or concurrently with the delivery of any Software hereunder, or by such earlier date as may be specified in the Implementation Plan for such Software, Vendor shall provide Client with Documentation required under this Agreement, including any and all items specifically identified as Deliverables in any Statement of Work. Where the applicable Statement of Work requires or permits delivery of Software in two or more phases, Vendor shall also provide Client with integrated Documentation for the Aggregate Software upon its delivery to the extent required under this Agreement, including any and all items specifically identified as Deliverables in any Statement of Work. Vendor shall provide all Documentation in electronic form, in such format as is set forth in the relevant Statement of Work, or as Client may otherwise reasonably request. Except as otherwise provided in the applicable Statement of Work, to the extent that Documentation consists of or includes Third-Party Materials, Vendor shall secure, at its sole cost and expense, all necessary rights, licenses, consents, approvals, and authorizations necessary for Client to use, perpetually and throughout the universe, all such Third-Party Materials, on a fully-paid, royalty-free, perpetual, and irrevocable basis, as incorporated in such Documentation by Vendor.

2.5. Third-Party Materials.

a) Vendor shall not include in any Software, any Third-Party Materials, other than Third-Party Materials specifically described in the Statement of Work for such Software and owned by or licensed to Client as specified in the Statement of Work for such Software.

b) Except as otherwise provided in this Agreement or the applicable Statement of Work, Vendor shall secure, at its sole cost and expense, all necessary rights, licenses, consents, approvals, and authorizations necessary for Client to Exploit, perpetually and worldwide, on a fully-paid, royalty-free, perpetual, and irrevocable basis, all Third-Party Materials as incorporated in any Software by Vendor.

2.6. Open Source Components. Vendor shall identify in the applicable Statement of Work those Open Source Components that (a) are incorporated into the Work Product (including any Background Technology) by Vendor, and (b) (i) require Client to comply with substantially different license terms and conditions than those set forth in this Agreement, or (ii) result in any Third Party receiving any rights in or to any Work Product.

2.7. Project Team, Executive Sponsor(s) and Communication Plan.

a) Throughout the Term, Vendor shall maintain within its organization a project team to serve as Vendor's primary point of contact for day-to-day communications, consultation, and decision making regarding this Agreement and a project executive to serve as Vendor's primary point of contact for escalated communications, consultation, and decision making regarding this Agreement. Throughout the Term, Client shall maintain within its organization a project team to serve as Client's primary point of contact for day-to-day communications, consultation, and communication to the management or executives of Client and/or the Board and an executive sponsor to serve as Client's primary point of contact for escalated communications, consultation, and communication to the management or executives of Client and/or the Board regarding this Agreement. Each Party shall ensure that its project team, project executive(s) or executive sponsor(s), as applicable, has the requisite skill and, with respect to Vendor's project team and project executive(s), requisite authority, to perform in such capacity. Vendor's project executives are the Chief Operating Officer and Chief Strategy Officer; Client's initial executive sponsor is the Operations Officer. Each Party shall use reasonable efforts to maintain the same project team, project executive(s) or executive sponsor(s), as applicable, in place throughout the Term. If either Party's project team (or member thereof), project executive(s) or executive sponsor(s), as applicable, ceases to be employed by such Party, or such Party otherwise wishes to replace its project team (or member thereof), project executive(s) or executive sponsor(s), as applicable, such Party shall promptly name a new project team (or member thereof), project executive(s) or executive sponsor(s), as applicable, by written notice to the other Party.

b) Within forty-five (45) days following the Effective Date, Vendor shall provide to Client a written plan, substantially in the form of Attachment 10 to the RFP Response, that is reasonably acceptable to Client that will govern the Parties' communications under this Agreement.

2.8. Vendor Personnel. Vendor is solely responsible for all Vendor Personnel and for the payment of their compensation, including, if applicable, withholding of income taxes and the payment and withholding of social security and other payroll taxes, unemployment insurance, workers' compensation insurance, and disability benefits. Prior to any Vendor Personnel performing any Services hereunder, Vendor shall:

a) ensure that Vendor Personnel have the legal right to work in the United States;

b) require such Vendor Personnel to execute written agreements or otherwise confirm that such Vendor Personnel are bound by obligations that bind such Vendor Personnel to (i) confidentiality provisions that are at least as protective of Client's information (including all Confidential Information) and Personal Information as those contained in this Agreement and (ii) Intellectual Property Rights provisions that grant Client rights in the Work Product consistent with the provisions of Section 9;

c) at its sole cost and expense, conduct background checks on such Vendor Personnel in accordance with applicable Law. Vendor shall ensure that no Person who has been convicted of a felony or any misdemeanor involving, in any way, theft, fraud, bribery, or the violation of any securities law provides any Services or has access to any Confidential Information of Client or any Personal Information; and

d) upon the reasonable written request of Client, promptly replace any Vendor Personnel.

e) When at a Client facility, Vendor shall, and shall ensure that all Vendor Personnel, comply with all reasonable rules, regulations, and policies of Client, including security procedures concerning systems and data and remote access thereto, building security procedures, including the restriction of access by Client to certain areas of its premises or systems, and general health and safety practices and procedures, to the extent Client notifies Vendor in writing of the foregoing reasonably in advance.

2.9. Vendor Project Manager. Upon the execution of each Statement of Work, Vendor shall appoint, and throughout the term of such Statement of Work Vendor shall maintain, a Vendor employee reasonably acceptable to Client to serve as

Vendor's project manager (each, a "**Vendor Project Manager**") under such Statement of Work.

a) Each Vendor Project Manager shall:

i. have the requisite authority and necessary skill, experience, and qualifications to perform in such capacity;

ii. be responsible for overall management and supervision of Vendor's performance under such Statement of Work; and

iii. be Client's primary point of contact for communications with respect to such Statement of Work, including with respect to giving and receiving all day-to-day approvals and consents thereunder.

b) Each Vendor Project Manager shall attend all regularly scheduled meetings as set forth in the applicable Implementation Plan, and all additional meetings as reasonably requested by Client.

c) On a Statement of Work-by-Statement of Work basis, Vendor shall use reasonable efforts to maintain the same Vendor Project Manager throughout the term of such Statement of Work, unless:

i. Client reasonably requests in writing the removal of the Vendor Project Manager;

ii. Client consents in writing to any removal reasonably requested by Vendor in writing (such approval not to be unreasonably withheld, delayed or conditioned); or

iii. the Vendor Project Manager ceases to be employed by Vendor, whether by resignation, involuntary termination, or otherwise, or is reassigned or demoted.

d) Vendor shall promptly replace the Vendor Project Manager under any Statement of Work on the occurrence of any event set forth in Section 2.9.c). Each such replacement shall be subject to Client's reasonable prior written approval (such approval not to be unreasonably withheld, delayed or conditioned).

2.10. <u>Subcontractors</u>. Vendor shall not, without the prior written approval of Client, which consent may be given or withheld in Client's sole discretion, engage any Third Party to perform any Services (including to create any Work Product) hereunder. Client's approval of any such Third Party (each approved Third Party, a "**Permitted Subcontractor**") shall not relieve Vendor of any of its representations, warranties, or obligations under this Agreement. Without limiting the foregoing, Vendor shall:

a) be responsible and liable for the acts and omissions of each Permitted Subcontractor to the same extent as if such acts or omissions were by Vendor or its employees;

b) be responsible for all fees and expenses payable to, by, or on behalf of each Permitted Subcontractor in connection with this Agreement, including, if applicable, withholding of income taxes and the payment and withholding of social security and other payroll taxes, unemployment insurance, workers' compensation insurance, and disability benefits; and

c) prior to the provision of Services or creation of Work Product by any Permitted Subcontractor:

d) obtain from such Permitted Subcontractor confidentiality, work-for-hire, and Intellectual Property Rights assignment agreements, giving Client rights consistent with those set forth in Sections **Error! Reference source not found.** and 9; and

e) with respect to all Permitted Subcontractor employees providing Services or Work Product, comply with its obligations under Section 2.8.

2.11. Artifacts.

a) To the extent set forth in a Statement of Work with respect to a Deliverable, Vendor shall provide to Client, in writing, the following information for all Artifacts that are anticipated to be a part of or support such Deliverable:

i. Descriptive name;

ii. Artifact type (e.g., use case, test scenario, window);

iii. Artifact author;

iv. Planned initial submission date for first Client review;

v. Initial work estimate; and

vi. A mapping of each Artifact to all commitments that (A) appear in the RFP, the Proposal, or this Agreement and (B) are satisfied by such Artifact.

2.12. Time of the Essence. Each Party acknowledges that time is of the essence with respect to its obligations hereunder and agrees that prompt and timely performance of all such obligations in accordance with, but subject to, this Agreement and each Statement of Work (including the Implementation Plan and all Milestone Dates included therein) is strictly required.

3. Statements of Work.

3.1. Vendor shall provide Services and Work Product pursuant to the Summary Statement of Work and any additional Statements of Work entered into as set forth herein. Except for the Summary Statement of Work, which shall be effective as of the Effective Date, no Statement of Work shall be effective unless and until signed by duly authorized representatives of both Parties. The term of each Statement of Work shall be as set forth therein or, if no term is specified, shall commence on the Parties' full execution thereof and terminate when the Parties have fully performed their obligations thereunder. Unless a Statement of Work expressly states otherwise, Client shall have the right to terminate such Statement of Work as set forth in Section 13.3.

3.2. Statement of Work Requirements. Each Statement of Work shall be in the form used for the Summary Statement of Work, and may include the following, each as agreed to by the Parties:

a) names and contact information for the Client Project Manager, Vendor Project Manager and, if relevant, Key Personnel of Vendor under such Statement of Work;

b) a description of the Services to be provided thereunder;

c) a description of the Software and other Work Product to be developed or otherwise provided under such Statement of Work, including all Specifications for such Software and a description of all Documentation to be provided with such Software;

d) an initial Implementation Plan, including all Milestones, the corresponding Milestone Dates, and the Parties' respective responsibilities therefor;

e) Fees payable under such Statement of Work, the manner in which such Fees shall be calculated, the due dates for payment thereof, including any Milestones on which any such Fees are conditioned, and such other information as the Parties deem necessary;

f) disclosure of Third-Party Materials and Open Source Components consistent with Sections 2.5 and 2.6, in each case accompanied by such related documents as may be required by this Agreement with respect thereto;

g) a list of all Permitted Subcontractors that Vendor is permitted to engage to perform services under such Statement of Work, including a description of the services that each Permitted Subcontractor shall provide under such Statement of Work; and

h) a description of all Client Resources and responsibilities required under such Statement of Work.

3.3. Summary Statement of Work. The Summary Statement of Work is attached as **Exhibit A** hereto.

3.4. Additional Statements of Work. Promptly following receipt of Client's request for Software development or other Services not described in a then-existing Statement of Work, Vendor shall, if Vendor is willing to provide such development and/or Services, provide Client with a proposed Statement of Work for such Services substantially in the form of the Summary Statement of Work. Upon the Parties' agreement with respect to the terms of such proposal, all such terms shall be incorporated in a new Statement of Work and each Party shall cause the same to be signed by its duly authorized representative. Each fully executed Statement of Work shall be attached as an Exhibit to, and by this reference incorporated in and made a part of, this Agreement.

3.5. Status Reports. Once every two (2) weeks during the term of each Statement of Work (subject to reasonable delays for holidays and the like), or as otherwise reasonably requested by Client, Vendor shall provide to the applicable Client Project Manager a written status report, in a form agreed upon by the Parties.

3.6. Changes to Statements of Work. Either Party may, at any time, request in writing (each such request, a "**Change Request**") changes to any Statement of Work, including changes to any Services, Work Product, Implementation Plan, or Specifications thereunder (each such change, a "**Change**"). Upon a Party's submission of a Change Request, the Parties shall evaluate and implement all Changes in accordance with this Section **Error! Reference source not found.**.

a) As soon as reasonably practicable following receipt or provision of a Change Request by Vendor, Vendor shall provide Client with a written proposal for implementing the requested Change (each such proposal, a "**Change Proposal**"), setting forth:

i. a written description of the proposed Changes to any Services or Work Product;

ii. an amended Implementation Plan reflecting: (A) the schedule for commencing and completing any additional or modified Services or Work Product; and (B) the effect of such Changes, if any, on completing any other Services or Work Product under the applicable Statement of Work;

iii. any additional Third-Party Materials, Open Source Components, or Client Resources that Vendor deems necessary to carry out such Changes; and

iv. any estimated increase or decrease in Fees resulting from the proposed Changes.

b) Promptly (taking into account the materiality of the Change Proposal), but in any event within forty-five (45) days following Client's receipt of a Change Proposal, Client shall, by written notice to Vendor, approve, reject, or propose modifications to such Change Proposal. If Client proposes modifications, Vendor shall modify and re-deliver the Change Proposal reflecting such modifications, or notify Client of any disagreement therewith, in which event the Parties shall negotiate in good faith to resolve their disagreement. Upon Client's approval of a Change Proposal or the Parties' agreement on all proposed modifications thereto, as the case may be, the

Parties shall execute a written agreement to such Change Proposal (each such agreement, a "**Change Agreement**"), which Change Agreement shall constitute an amendment to the Statement of Work to which it relates. No Change will be effective until the Parties have executed a Change Agreement with respect thereto. On a Change Request-by-Change Request basis, except as Client may request in such Change Request or otherwise in writing, unless and until the Parties enter into a Change Agreement with respect to such Change Request, Vendor shall continue to perform its obligations in accordance with the applicable Statement of Work without regard to any Changes requested in such Change Request. Vendor shall use reasonable efforts to limit any delays or Fee increases from any Change to those necessary to perform the Change in accordance with the applicable Change Agreement. Each Party shall be responsible for its own costs and expenses of preparing, evaluating, negotiating, and otherwise processing any Change Request, Change Proposal, or Change Agreement.

4. Client Obligations.

4.1. Client Resources and Cooperation. Client shall be responsible, on a timely basis in accordance with each Statement of Work, including the Implementation Plan and Milestone Dates set forth therein, for:

a) performing all obligations identified as "Client Responsibilities" in such Statement of Work;
b) providing the Client Materials and such other resources as may be specified in such Statement of Work (collectively, "**Client Resources**");
c) providing Vendor Personnel with such access to Client's premises and the Operating Environment as is necessary for Vendor to perform its obligations on a timely basis as set forth in such Statement of Work;
d) ensuring the Operating Environment is set up and in working order to allow Vendor to perform the Services and deliver and install each Software Deliverable on or prior to the applicable due date set forth in such Statement of Work;
e) participating with suitably qualified and authorized personnel in all meetings scheduled in, or in accordance with, such Statement of Work, and such other meetings as may be scheduled on no less than five (5) days' prior notice;
f) providing all consents, approvals, exception notices, and other communications specified in such Statement of Work, or as otherwise may be required under this Agreement.; and
g) provide the cooperation and assistance Vendor that reasonably requests to enable Vendor to exercise its rights or perform its obligations under this Agreement.

4.2. Client Project Managers.

a) Upon the execution of each Statement of Work, Client shall appoint, and throughout the term of such Statement of Work Client shall maintain, a Client project manager under such Statement of Work (each such project manager, a "**Client Project Manager**"). Each Client Project Manager shall:

b) have the necessary skill, experience, and qualifications, to perform in such capacity;

c) be responsible for overall management of Client's performance under the applicable Statement of Work; and

d) be a point of contact for Vendor for communications with respect to the applicable Statement of Work, including with respect to providing and receiving all day-to-day approvals and consents thereunder.

e) Each Client Project Manager shall attend all regularly scheduled meetings as set forth in the applicable Implementation Plan and additional meetings scheduled on at least two (2) days prior notice, and otherwise shall be available as set forth in the applicable Statement of Work.

4.3. Effect of Client Delays.

a) If, as a result of any delay by Client in performing, or failure by Client to perform (whether due to the COVID 19 pandemic or otherwise), any of its obligations under this Agreement, including those set forth in Section 4 on a timely basis under any Statement of Work, or as a result of a modification to the Software made by Client, Vendor is unable to timely meet any Milestone under such Statement of Work or otherwise perform in accordance with this Agreement, either at all or without incurring additional costs, Vendor shall promptly notify Client in writing of such inability to timely meet such Milestone and whether Vendor is able to meet the original Milestone Date by incurring additional costs. The Parties shall, in good faith, consider and negotiate an extension of the Milestone Date for such Milestone, and a revised Implementation Plan, as reasonably necessary taking into account the extent and materiality of the delay or failure to perform or modification by Client. If Vendor is able to meet the original Milestone Date by incurring additional costs, Client may elect, at Client's option (which shall require approval by the Board), to pay an increase to the related Fees in accordance with the following:

1. for fixed-fee Services, its proposed Fee increase for meeting the original Milestone Date; or

2. for time-and-materials Services, the estimated costs of overtime Client would incur for Vendor to meet the original Milestone Date.

b) Upon the Parties agreement to an extension of the Milestone Date, and a revised Implementation Plan, pursuant to Section 4.3(a), Client shall promptly notify Vendor in writing whether it elects to (i) accept the new Milestone Date, or (ii) if the Board has so approved, pay the increased fees required for Vendor to meet the applicable Milestone by the original Milestone Date. Subject to Section 4.3.b), Client's failure to notify Vendor within five (5) days after the Parties agreement to an extension of the Milestone Date, and a revised Implementation Plan shall be deemed an acceptance of the new Milestone Date and rejection of all Fee increases referenced in the notice given under Section 4.3(a).

c) If Client disputes Vendor's right to extend any Milestone Date or increase any Fees, or the extent of any proposed extension or increase, Client shall promptly notify Vendor of such dispute, and the Parties shall negotiate in good faith to resolve the dispute.

Notwithstanding anything to the contrary contained in this Section 4.3, or otherwise in this Agreement, Vendor shall use its reasonable efforts to meet the Milestone Dates specified in each Statement of Work without any extensions or Fee increases.

5. Delivery, Testing, Installation, and Acceptance.

5.1. Test Plan. As described in the applicable Statement of Work, Vendor shall provide Client with a comprehensive plan that is reasonably acceptable to Client for testing all Software that is then anticipated to be provided under the Statement of Work (such plan, as approved by Client, the "**Test Plan**"). In addition, the Test Plan shall include user acceptance testing entry specifications and exit criteria for all Software.

5.2. Additional Deliverables.

a) Vendor shall, within a timeframe consistent with the Test Plan and accepted by Client, provide Client with one or more test environments for Client Representatives to use to become familiar with the functionality and ad hoc testing of each Software Deliverable.

b) At Client's reasonable request, Vendor shall assist Client Representatives in (i) building, operating, and conducting problem determination of the Software in all user acceptance testing scenarios and (ii) testing and problem resolution for data conversion.

c) Vendor shall work in conjunction with Client's data migration vendor (ICON) and Client Representatives in accordance with the Test Plan to conduct general ledger and financial transaction testing and reconciliation of the Software.

5.3. Pre-Delivery Testing by Vendor. Before delivering and installing any Software Deliverable, Vendor shall, in accordance with the Test Plan:

a) test the Software component of such Software Deliverable to confirm that it meets all applicable Specifications, and will function in accordance with the Specifications when properly installed in the Operating Environment;

b) scan such Software Deliverable to confirm it is free of Harmful Code;

c) remedy any Non-Conformity or Harmful Code identified and retest and rescan the Software Deliverable;

d) prepare, test, and, as necessary, revise the Documentation component of the Software Deliverable to confirm it conforms to all requirements of this Agreement; and

e) provide to Client a report that complies with the Test Plan and describes the tests conducted and the results thereof.

5.4. Delivery. Subject to the terms and conditions of this Agreement, Vendor shall deliver each Deliverable, and install all Software, on or prior to the Milestone Date therefor in accordance with the delivery criteria set forth for such Deliverable in the Statement of Work therefor, or as otherwise agreed on by the Parties. Vendor shall deliver each Software Deliverable, with Documentation with respect thereto and the Source Code therefor. No Software Deliverable shall be deemed to have been delivered or installed unless it complies with the preceding sentence.

5.5. Site Preparation. Client shall be responsible for ensuring that the Operating Environment is set up and in working order to allow Vendor to deliver and install each Software Deliverable on or prior to the Milestone Date therefor. Vendor shall provide Client with such notice as is specified for such Software Deliverable in the Statement of Work therefor, prior to delivery of each such Software Deliverable, to give Client sufficient time to prepare for Vendor's delivery and installation of such Software Deliverable. Vendor shall provide such assistance as Client reasonably requests to complete such preparation on a timely basis.

5.6. Acceptance Testing.

a) Upon delivery or, if Vendor is responsible for installation, installation of each Software Deliverable, Acceptance Tests for such Software Deliverable shall be conducted in accordance with the Test Plan and as set forth in this Section 5.6 to ensure that such Software Deliverable, including all Software and Documentation that are part of such Software Deliverable, conforms to the applicable Specifications and, in the case of the Software, the Documentation.

b) All Acceptance Tests for each Software Deliverable shall take place at the designated site(s) described in the Statement of Work for such Software Deliverable, commence on the Business Day following delivery or installation, as applicable, of such Software Deliverable, and be conducted diligently for up to thirty (30) calendar days, or such other period as may be set forth in the relevant Statement of Work or Test Plan (each such period, a "**Testing Period**"). Acceptance Tests shall be conducted by the Party responsible therefor as set forth in the applicable Statement of Work or Test Plan or, if the Statement of Work or Test Plan does not specify, Client. For Acceptance Tests conducted by Client, if reasonably requested by Client, Vendor shall make suitable Vendor Personnel available to observe or participate in such Acceptance Tests. For Acceptance Tests conducted by Vendor, Client shall have the right to observe or participate in all or any part of such Acceptance Tests. Unless otherwise expressly set forth in the applicable Statement of Work or Test Plan, Vendor's performance of, participation in, and observation of Acceptance Testing shall be at Vendor's sole cost and expense.

c) Upon delivery and installation of the complete Aggregate Software, additional Acceptance Tests shall be performed on the Aggregate Software as a whole to ensure conformance to the Specifications therefor ("**Integration Testing**"). Integration Testing shall be subject to all procedural and other terms and conditions set forth in this Section 5.

d) Client may suspend any Acceptance Test and the corresponding Testing Period by written notice to Vendor if Client discovers a Non-Conformity in the tested Software Deliverable that would materially impact the remainder of the Acceptance Test or Testing Period, would have a material effect on the validity or reliability of the Acceptance Test, or would materially impair further development of the Software in accordance with this Agreement. In such event, Vendor shall promptly correct such Non-Conformity, whereupon the Acceptance Tests and Testing Period shall resume for the balance of Testing Period.

5.7. Notices of Completion, Non-Conformities, and Acceptance. Within five (5) days following the completion of any Acceptance Test, including any Integration Testing, the Party responsible for conducting the Acceptance Test shall prepare and provide to the other Party written notice of the completion of the Acceptance Test. Such notice shall include a report that complies with the Test Plan.

a) If such notice is provided by either Party and identifies any Non-Conformities, the Parties' rights, remedies, and obligations will be as set forth in Section 5.8 and Section 5.9.

b) If such notice is provided by Client and identifies no Non-Conformities, such notice shall constitute Client's Acceptance of such Software Deliverable or Aggregate Software, as applicable.

c) If such notice is provided by Vendor and identifies no Non-Conformities, Client shall have ten (10) days to use such Software Deliverable or Aggregate Software, as applicable, in the Operating Environment and determine, in the exercise of its reasonable discretion, whether it is satisfied that such Software Deliverable or Aggregate Software, as applicable, contains no Non-Conformities, and, at the end of such period, Client shall, as appropriate:

d) notify Vendor in writing of Non-Conformities Client has observed in the Software Deliverable or, in the case of Integration Testing, Aggregate Software, and of Client's non-acceptance thereof, whereupon the Parties' rights, remedies, and obligations will be as set forth in Section 5.8 and Section 5.9; or

e) provide Vendor with a written notice of its Acceptance of such Software Deliverable or Aggregate Software, as applicable.

5.8. Failure of Acceptance Tests. If any Acceptance Test identifies any Non-Conformities, Vendor, at Vendor's sole cost and expense, shall remedy all such

Non-Conformities and re-deliver the Software Deliverable(s), in accordance with the applicable requirements set forth in the applicable Statement of Work promptly, and, in any case, within thirty (30) days, unless otherwise agreed to by the Parties, following, as applicable, its:

a) completion of such Acceptance Test, in the case of any Acceptance Test conducted by Vendor; or

b) receipt of Client's notice pursuant to Section 5.7 identifying any Non-Conformities, in the case of any Acceptance Test conducted by Client.

5.9. Repeated Failure of Acceptance Tests. If any Acceptance Test identifies any Non-Conformity in any Software Deliverable after a second or subsequent delivery thereof, or Vendor fails to re-deliver any Software Deliverable on a timely basis, Client may, in its sole discretion, by written notice to Vendor:

a) continue the process set forth in this Section 5;

b) accept the applicable Software Deliverable as a nonconforming deliverable, in which case the Fees therefor shall be reduced equitably to reflect the value of such Software Deliverable as received relative to the value of such Software Deliverable had it conformed; or

c) if the failure is a material breach of this Agreement and the relevant Statement of Work, terminate this Agreement or such Statement of Work in accordance with Section 13.3.

5.10. Acceptance. Acceptance of each Software Deliverable (subject, where applicable, to Client's right to system testing and Integration Testing) and Aggregate Software shall occur on the date that is the earliest of the following (each, an "**Acceptance**"):

a) Client's delivery of a notice accepting such Software Deliverable pursuant to Section 5.7.b) or Section 5.7.c);

b) Solely if Client is responsible for performing the applicable Acceptance Tests or Integration Testing, upon the expiration of the Testing Period therefor if Client has not notified Vendor of one or more Non-Conformities prior to the end of the Testing Period; or

c) Solely if Vendor is responsible for performing the applicable Acceptance Tests or Integration Tests, the number of days specified in Section 5.7.c) after Client receives from Vendor a notice of completion that identifies no Non-Conformities, if Client fails to respond to such notice of completion prior to such date.

5.11. Penetration Testing. In addition to the testing obligations set forth above, Vendor shall use commercially reasonable efforts to assist Client to conduct third-party penetration testing of all Software Deliverables and all Aggregate Software.

6. Training, Maintenance, and Support.

6.1. Training. With respect to all Software and without limiting the RFP or Proposal, Vendor shall provide Client with such training as is set forth in the applicable Statement of Work in accordance with the training specifications, including times and locations, set forth in a Statement of Work or as otherwise agreed on by the Parties.

6.2. Maintenance and Support. With respect to all Software, Vendor shall provide Client with the post-implementation support services set forth on Exhibit C, or substantially similar services as agreed upon by the Parties. If Client so requests, the Parties shall negotiate in good faith the terms of Vendor's post-implementation support services after the expiration of the Warranty Period.

7. Fees and Payment.

7.1. Fees. Subject to all terms and conditions set forth herein and the applicable Statement of Work, Client shall pay Vendor the fees expressly set forth in each Statement of Work (collectively, "**Fees**"), on the Acceptance of the applicable Deliverable(s), completion of a milestone or other payment date, each as set forth in such Statement of Work. In no event shall Client be required to pay Vendor any amounts for the Services other than the Fees and such other amounts specified or contemplated herein.

7.2. Taxes/Tax Exemption. All fees set forth herein are inclusive of taxes. Vendor shall be responsible for all sales, use, and excise taxes, and any other similar taxes, duties, and charges of any kind imposed by any federal, state, or local governmental entity on any amounts payable by Client hereunder. Client hereby represents that it is a tax exempt entity. Client will provide a tax exemption certificate upon execution of this Agreement and thereafter, when needed, within fifteen (15) business days of Vendor's written request. Unless otherwise prohibited by law, Vendor will apply the benefits of any requested tax exemption to charges occurring under Client's Account after the date Licensor receives and reasonably processes such tax exemption certificates.

7.3. Invoices. Vendor shall invoice Client for Fees in accordance with the invoicing schedule and requirements set forth in the applicable Statement of Work. Vendor shall submit each invoice in electronic format, to such address as are specified by Client in writing from time to time. If more than one Statement of Work is outstanding, Vendor shall provide an aggregate invoice for all Fees being invoiced, together with separate invoices for each Statement of Work. Each separate invoice shall:

a) (1) IT Infra Notices –Invoices ITIN-Invoices@ctpf.org Used for single order (non-recurring) invoices. (2) IT Infra Notices –M&S Renewals ITIN-MSR@ctpf.org Used for recurring maintenance and support billing such as received monthly, quarterly, or annually

b) clearly identify the Statement of Work to which it relates, in such manner as is required by Client;

c) list each Fee item separately;

d) include such detail as required by the Statement of Work, or as otherwise reasonably requested by Client;

e) for Fees determined on a time and materials basis, report details of time taken to perform Services, and such other documents and information required by the Statement of Work, or as otherwise reasonably requested by Client; and

f) include such other information as may be required by Client as set forth in the applicable Statement of Work.

7.4. Payment.

a) Subject to the terms and conditions of this Section 7.4, Client shall pay all properly invoiced Fees within thirty (30) days after the later of:

b) Client's receipt of the proper invoice therefor; or

c) if applicable, the due date for such amounts as set forth in the applicable Statement of Work, which, for Fees tied to a particular Milestone, shall not be earlier than Client's Acceptance of the Deliverable associated with the Milestone.

d) Client may withhold from payment any amount disputed by Client in good faith, pending resolution of the dispute. Vendor shall not withhold any Services or fail to perform any obligation hereunder by reason of Client's good faith withholding of any payment or amount in accordance with this Section 7.4(a) or any dispute arising therefrom.

e) All payments hereunder shall be in US dollars and made by ACH. Payments shall be made to the account specified by Vendor in writing from time to time, but Vendor shall give Client at least five (5) days' prior notice of any change in account or other change in payment instructions. Client will not be liable for any late or misdirected payment caused by Vendor's failure to provide timely notice of any such change.

f) If Client fails to make any undisputed payment when due and such failure continues for a period of thirty (30) days after written notice from Vendor of such failure, then, in addition to all other remedies that may be available: (i) Vendor may charge interest on the past due undisputed amount at the rate of 0.5% per month calculated daily or, if lower, the highest rate permitted under applicable Law; (ii) Client shall reimburse Vendor for all costs incurred by Vendor in collecting any late undisputed payments or interest, including attorney fees, court costs, and collection agency fees, and (ii) Vendor may suspend performance until all past due undisputed amounts and interest thereon have been paid.

7.5. Intentionally Omitted.

7.6. Intentionally Omitted.

7.7. Right of Setoff. Without prejudice to any other right or remedy it may have, Client reserves the right to set off, at any time, any amount owing to Client by Vendor against any amount payable by Client to Vendor under this Agreement.

7.8. Auditing Rights and Required Records. During the Term and for four (4) years after the expiration or termination of the Term (and, if longer, throughout any period in which Client or any of its authorized representatives is inspecting, copying, or auditing any books or records of Vendor in accordance with this Section 7.8, or throughout any period in which any administrative or judicial proceedings concerning such books or records is taking place), Vendor shall maintain its books and records regarding its business operations relevant to the calculation of Fees and its performance hereunder. During the Term and for four (4) years after the expiration or termination of the Term, upon Client's reasonable advance written request, Vendor shall make such books and records, and appropriate personnel available for inspection or audit by Client or any of its authorized representatives. Client will pay the costs of each such audit unless such audit reveals an overbilling or over-reporting of five percent (5%) or more, in which case Vendor shall reimburse Client for the reasonable costs of such audit. Vendor shall immediately, upon notice from Client, pay Client the amount of any overpayment revealed by any audit, together with any reimbursement pursuant to the preceding sentence.

8. Confidentiality.

8.1. Confidential Information. In connection with the RFP and this Agreement, either party (as the "**Disclosing Party**") may disclose or make available to the other party (as the "**Receiving Party**"), or may disclose or make available to the Receiving Party, certain Confidential Information. Subject to Section **Error! Reference source not found.**, "**Confidential Information**" means confidential or proprietary information in any form or medium (whether oral, written, electronic, or other), including (a) confidential or proprietary information consisting of or relating to the Disclosing Party's technology, trade secrets, know-how, business operations, plans, strategies, customers, or pricing, (b) information that Client is required by Law (including NRS 286.118) to keep confidential, including all information about a current or former member of a public retirement system administered by the Board, or a beneficiary of such a member, which is contained in a record or file in the possession, control, or custody of the Board (regardless of the form, location, and manner of creation of storage of a record or file containing the information), other than (i) the name of the current or former member and (ii) the amount of annual pension benefit paid to the current or former member, and (c) information with respect to which Client has contractual or other confidentiality obligations, in each case ((a) through (c)) whether or not marked, designated, or otherwise identified as "confidential."

8.2. Exclusions. Except for information described in Section **Error! Reference source not found.**(b) (which shall remain Confidential Information for as long as required under applicable Law), Confidential Information does not include information that: (a) was rightfully known to the Receiving Party without restriction on use or disclosure prior to such information's being disclosed or made available to the Receiving Party by or on behalf of the Disclosing Party in connection with the RFP or this Agreement; (b) was or becomes generally known by or available to the public other than by the Receiving Party's or any of its Representatives' fault or omission in breach of this Agreement; (c) was or is received by the Receiving Party on a non-confidential basis from a Third Party (other than any of the Receiving Party's Affiliates) that was not or is not, at the time of such receipt, under any obligation to maintain its confidentiality; or (d) was or is independently developed by the Receiving Party without reference to or use of any of the Disclosing Party's Confidential Information.

8.3. <u>Protection of Confidential Information</u>. As a condition to being provided with any disclosure of or access to Confidential Information, without limiting any of the Receiving Party's obligations or the Disclosing Party's rights under any confidentiality agreement entered into between the Parties prior to the Effective Date, the Receiving Party shall:

a) not access or use Confidential Information other than as necessary to exercise its rights or perform its obligations under and in accordance with this Agreement;

b) except as may be permitted by, and subject to its compliance with, Section **Error! Reference source not found.**, not disclose or permit access to Confidential Information other than to its Representatives who: (i) need to know such Confidential Information to enable the Receiving Party to exercise its rights or perform its obligations under and in accordance with this Agreement; (ii) have been informed of the confidential nature of the Confidential Information and the Receiving Party's obligations with respect to such Confidential Information under this Section **Error! Reference source not found.**; and (iii) are bound by confidentiality and restricted use obligations at least as protective of the Confidential Information as the terms set forth in this Section **Error! Reference source not found.**;

c) safeguard the Confidential Information from unauthorized use, access or disclosure using at least the degree of care it uses to protect its similarly sensitive information, and in no event less than a reasonable degree of care; and

d) ensure its Representatives' compliance with, and be responsible and liable for any of its Representatives' noncompliance with, the terms of this Section **Error! Reference source not found.**.

e) The Vendor shall also comply, and ensure that its Representatives comply with the requirements of Illinois laws, statutes and regulations related to limitations on review and copying of records and waiver of confidentiality of pension fund members.

8.4. <u>Compelled Disclosures</u>. If the Receiving Party or any of its Representatives is compelled by applicable Law to disclose any Confidential Information, then, to the extent permitted by applicable Law, the Receiving Party shall, to the extent permitted by applicable Law: (a) promptly, and prior to such disclosure, notify the

Disclosing Party in writing of such requirement so that the Disclosing Party can seek a protective order or other remedy; and (b) provide reasonable assistance to the Disclosing Party, at the Disclosing Party's sole cost and expense, in opposing such disclosure or seeking a protective order or other limitations on disclosure. If, after providing the notice and assistance required under this Section **Error! Reference source not found.**, the Receiving Party remains required by Law to disclose any Confidential Information, the Receiving Party shall disclose only that portion of the Confidential Information that the Receiving Party is legally required to disclose.

8.5. Illinoid Freedom of Informatin Act and Public Records. Pursuant to 5 ILCS 140/ ("FOIA") and other applicable Law requiring Client to respond to a public records request or otherwise permit public inspection or copying, all information provided by Vendor to Client may be open to public inspection and copying. Client may have the duty to disclose all such information, except for any document that is made confidential by applicable Law. Vendor may clearly label individual documents as a "trade secret" or "confidential". If Client receives any public record request for a document labeled "trade secret" or "confidential," Client will notify Vendor of such request and delay access to such document until seven (7) business days after such notification to Vendor. Within such seven (7) business day period, it will be the duty of Vendor to take all actions required to protect the confidentiality of such document. Any failure by Vendor to take such actions shall constitute a complete waiver of any and all claims for damages caused by any disclosure of such document pursuant to 5 ILCS 140/, or other applicable Law requiring Client to respond a public records request or otherwise permit public inspection or copying.

8.6. Security or Cybersecurity Breach. In the event of a security or cybersecurity breach relating to the protection of Client's data or confidential information occurs, Vendor agrees to notify Client of such breach as soon as reasonably possible and without undue delay upon discovery of the breach and will make all commercially reasonable efforts to make sure that in no event shall such notification occur later than 48 hours from the time of such discovery. Vendor further agrees to take any and all reasonable immediate actions available to remedy such breach.

8.7. Personally, Identifiable Information. Without limiting any of its other obligations in this Section **Error! Reference source not found.**, if Vendor obtains any Personal Information as a result of performing any of its obligations or exercising any of its rights under this Agreement, Vendor shall not disclose such Personal Information to any Third Party or use such Personal Information for any purpose other than to fulfill its obligations under this Agreement. Vendor shall protect all such Personal Information using commercially reasonable data security and privacy measures. Without limiting the foregoing, Vendor shall comply with all applicable Laws with respect to all Personal Information it obtains as a result of performing any of its obligations or exercising any of its rights under this Agreement.

9. Intellectual Property Rights.

9.1. Ownership of Work Product. Vendor is and will be the sole and exclusive owner of all right, title, and interest in and to all Work Product, and all Intellectual Property Rights therein.

9.2. Intentionally Deleted.

9.3. Background Technology, Third-Party Materials, and Open Source Components.

a) As between the Parties, Vendor is and will remain the sole and exclusive owner of all right, title, and interest in and to the Background Technology and all Intellectual Property Rights therein, subject to the license granted in Section **Error! Reference source not found.**.
b) Ownership of all Third-Party Materials, and all Intellectual Property Rights therein, is and will remain with the respective owners thereof, subject to any express licenses or sublicenses granted to Client pursuant to or in accordance with this Agreement.
c) Ownership of all Open Source Components, and all Intellectual Property Rights therein, is and will remain with the respective owners thereof, subject to Client's rights under the applicable Open Source Licenses.

9.4. Client Materials. Client and its licensors are and will remain the sole and exclusive owners of all right, title, and interest in and to the Client Materials, including all Intellectual Property Rights therein. Vendor shall have no right or license to, and shall not, use any Client Materials except (a) solely during the term of the Statement of Work(s) for which they are provided and (b) solely to the extent necessary to perform the Services and provide the Work Product to Client. All other rights in and to the Client Materials are expressly reserved by Client.

10. Licenses.

10.1. Work Product and Background Technology License. Subject to and conditioned upon Client's payment of the Fees for such Work Product, Vendor hereby grants to Client a non-exclusive, worldwide, perpetual, irrevocable, royalty-free, fully-paid, non-assignable (except as set forth herein), non-sublicensable license under and to the Work Product and Background Technology solely to the extent necessary to Exploit the Work Product. Except as otherwise expressly permitted by this Agreement, Client shall not, and shall not permit any Third Party to, access or use any Work Product or Background Technology. Without limiting the foregoing, except as otherwise expressly permitted by this Agreement, Client shall not (a) rent, lease, lend, sell, sublicense, assign, distribute, publish, transfer, or otherwise make available the Work Product or Background Technology to any Third Party; (b) remove, delete, alter, or obscure any trademarks or any copyright, trademark, patent, or other intellectual property or proprietary rights notices from the Work Product or Background Technology; (c) use any Work Product or Background Technology in a manner or for any purpose that, without limiting any representations, warranties or covenants of Vendor set forth herein, infringes, misappropriates, or otherwise violates any Law or intellectual property right; or (d) use the Work Product or Background Technology for purposes of competitive analysis of the Work Product or Background Technology or the development of a competing product or service to be offered to Third Parties.

10.2. Client Materials. Client hereby grants to Vendor a limited, royalty-free, non-exclusive, non-sublicensable (except as contemplated in this Agreement), non-assignable right and license to Client Materials solely as necessary to incorporate such Client Materials into, or otherwise use such Client Materials in connection with creating, the Work Product. The term of such license shall commence upon Client's delivery of the Client Materials to Vendor, and shall terminate upon Client's acceptance or rejection of the last Work Product to which the Client Materials relate. Subject to the foregoing license, Client reserves all rights in the Client Materials. All Client Materials shall be deemed Client's Confidential Information.

10.3. Third-Party Materials.

a) Except as expressly set forth in this Agreement or the applicable Statement of Work, Vendor shall secure for Client, at Vendor's sole cost and expense, such rights, licenses, consents, and approvals with respect to any Third-Party Materials that are incorporated into the Work Product as are necessary for Client to Exploit all Work Product under such Statement of Work perpetually as set forth in Section 10.1.

b) All royalties, license fees, or other consideration payable in respect of the rights, licenses, consents, and approvals described in Section **Error! Reference source not found.** are included in the Fees specified in each Statement of Work unless such Statement of Work expressly states otherwise. Any additional amounts shall be the sole responsibility of Vendor.

10.4. Approved Open Source Components. Any use of the Open Source Components by Client will be governed by, and subject to, the terms and conditions of the applicable Open Source Licenses.

11. Representations and Warranties.

11.1. Mutual Representations and Warranties. Each Party represents and warrants to the other Party as of the Effective Date that:

a) Such Party is duly organized, validly existing, and in good standing as a corporation or other entity as represented herein under the Laws of its jurisdiction of incorporation or organization;

b) such Party has the full right, power, and authority to enter into this Agreement, to grant the rights and licenses granted hereunder, and to perform its obligations hereunder;

c) the execution of this Agreement by such Party's representative whose signature is set forth at the end hereof has been duly authorized by all necessary organizational action of such Party; and

d) when executed and delivered by both Parties, this Agreement will constitute the legal, valid, and binding obligation of such Party, enforceable against such Party in accordance with its terms, subject to applicable bankruptcy, insolvency, moratorium and other similar laws affecting creditors' rights generally and by general principles of equity.

11.2. Additional Representations, Warranties, and Covenants. Vendor represents, warrants, and covenants to Client that:

a) Vendor will perform all Services in a professional and workmanlike manner in accordance with industry standards and practices for similar services, using personnel with the requisite skill, experience, and qualifications, and shall devote adequate resources to meet its obligations under this Agreement;

b) Vendor is in compliance with, and will perform all of its obligations under this Agreement in compliance with, all applicable Laws;

c) Client will receive a valid and enforceable license to Exploit all Work Product;

d) When delivered and, if applicable, installed by Vendor, no Software Deliverable or Aggregate Software will contain any Harmful Code;

e) All Work Product, including all updates, upgrades, new versions, new releases, enhancements, improvements, and other modifications thereof, but excluding Client Materials and modifications, Third-Party Materials, and Open Source Components, is or will be the original creation of Vendor or the Vendor Personnel;

f) As delivered, the Work Product (excluding Client Materials): (i) will not infringe, misappropriate, or otherwise violate any Intellectual Property Right or other right of any Third Party; (ii) will comply with all applicable Laws, and (iii) except as expressly set forth in the applicable Statement of Work, will include a valid and enforceable license to use any Third Party Materials incorporated therein as contemplated hereby;

g) Vendor has all business licenses required for it to perform all of its obligations under this Agreement in accordance with all applicable Laws;

h) Vendor has obtained or will obtain from its Representatives confidentiality, work-for-hire, and Intellectual Property Rights assignment agreements to the extent necessary to give Client rights consistent with those set forth in Sections 8 and 9.1;

i) Vendor is not aware of any improper relationship between Vendor, or any of its Representatives, and Client, or any of its Representatives, that interferes or interfered with fair competition or is or was a conflict of interest;

j) All information provided by or on behalf of the Vendor to Client in response to the RFP was, at the time it was provided and to Vendor's knowledge, accurate;

k) Vendor's responses to the RFP were made without fraud, and Vendor did not offer or receive, has never offered or received, and will not offer or receive any kickbacks or inducements from any other Person in connection with Vendor's responses to the RFP, or otherwise in connection with this Agreement, in violation of applicable Law, and Vendor has not conferred on, or promised to, any public employee having official responsibility for the RFP or this Agreement any payment, loan, subscription, advance, deposit of money, services, or anything else of more than nominal value in violation of applicable Law, unless consideration unrelated to the RFP or this Agreement and of substantially equal or greater value was provided by such employee to Vendor in connection therewith.

11.3. <u>Performance Warranty and Limited Remedy</u>.

a) Vendor warrants that, during the Warranty Period therefor all Software will be, and as installed in the Operating Environment (or any successor thereto) and used in accordance with the Documentation will function in all respects, in conformity with the Specifications therefor. Notwithstanding the foregoing, the performance warranty in this Section does not apply to problems arising out of or relating to: Software that is modified or damaged by or on behalf of Client; any incorporation in the Software or, or combination, operation or use of the Software in or with, any technology (including any software, hardware, firmware, system, or network) or service not specified for Client's use in the applicable Statement of Work; Client' or any Third Party's negligence, abuse, misapplication, or misuse of the Software, including any use of the Software other than as specified in the Documentation; Client's failure to promptly install all maintenance releases that Vendor has previously made available; the operation of, or access to, Client's or a Third Party's system or network; Client's breach of any provision of this Agreement; or any other circumstances or causes outside of the reasonable control of Vendor.

b) EXCEPT FOR THE EXPRESS WARRANTIES SET FORTH IN THIS AGREEMENT, ALL SOFTWARE, SERVICES, AND WORK PRODUCT ARE PROVIDED "AS IS" AND VENDOR SPECIFICALLY DISCLAIMS ALL IMPLIED WARRANTIES OF MERCHANTABILITY, FITNESS FOR A PARTICULAR PURPOSE, TITLE, AND NON-INFRINGEMENT, AND ALL WARRANTIES ARISING FROM COURSE OF DEALING, USAGE, OR TRADE PRACTICE.

12. <u>Indemnification, Infringement, and Insurance</u>.

12.1. <u>General Indemnification</u>. Vendor shall defend, indemnify, and hold harmless Client and each of Client's officers, employees, agents, and immune contractors as defined in 40 ILCS 5 of the Illinois Pension Code (each, a "**Client Indemnitee**") from and against any and all Losses incurred by any Client Indemnitee resulting from any Action by a Third Party to the extent such Action arises as a result of: (a) a breach by Vendor of Section 11.1 or Sections 11.2(b) through (k); (b) any negligence or more culpable act or omission (including recklessness or willful misconduct) by Vendor or any Vendor Personnel or any of their respective Representatives; or (c) an allegation that the Software (excluding

Client Materials and Third-Party Materials) infringes, misappropriates or otherwise violates any Intellectual Property Right of such Third Party, provided that the foregoing obligation does not apply to any Action or Losses arising out of or relating to any (A) combination of the Software with any hardware, system, or other software or materials not provided or authorized in writing by Vendor; (B) any modification of the Software other than: (i) by Vendor; or (ii) with Vendor's written approval in accordance with Vendor's written specification; or (C) failure to timely implement any modifications, upgrades, replacements, or enhancements made available.

Notwithstanding the foregoing, Vendor shall not be required to indemnify Client or any Client Indemnitee from any Losses to the extent they arise solely from a matter described in Section 12.2(a), Section 12.2(b) or Section 12.2(c).

12.2. Client Indemnification. Client shall indemnify, defend, and hold harmless Vendor and its officers, directors, employees, agents, successors, and assigns (each, a "**Developer Indemnitee**") from and against any and all Losses incurred by any Developer Indemnitee in connection with any Action by a Third Party to the extent such Action arises out of or results from, or is alleged to arise out of or result from: (a) Client Materials or Vendor's use thereof in accordance with this Agreement; (b) Vendor's compliance with any specifications or directions provided by or on behalf of Client; or (c) any allegation of facts that, if true, would constitute Client's breach of any of its representations or warranties set forth in Section 11.1.

12.3. Indemnification Procedure. The indemnified party will promptly notify the indemnifying party in writing of any Action for which any indemnified party seeks to be indemnified pursuant to Section **Error! Reference source not found.** and reasonably cooperate with the indemnifying party with respect to the defense of such Action at the indemnifying party's sole cost and expense. The indemnifying party shall immediately take control of the defense and investigation of such Action and shall employ counsel reasonably acceptable to the indemnified party to handle and defend the same, at the indemnifying party's sole cost and expense. The indemnifying party shall not settle any Action in a manner that adversely affects the rights of the indemnified party without the indemnified party's prior written consent. The indemnified party's failure to perform any obligations under this Section 12.3 will not relieve the indemnifying party of its obligations under Section **Error! Reference source not found.**, except to the extent that the indemnifying party can demonstrate that it has been prejudiced as a result of such failure. The indemnified party may participate in and observe all proceedings relating to the defense of any indemnified Action at its own cost and expense with counsel of its own choosing.

12.4. Infringement Remedy.

a) If any Software or any component thereof, other than Client Materials or modifications, is found to be infringing, or if any Exploitation of any Software or any component thereof is enjoined, threatened to be enjoined, or otherwise the subject of an infringement claim, Vendor shall, at Vendor's sole cost and expense:

i. procure for Client the right to continue to Exploit such Software or component thereof to the full extent contemplated by this Agreement; or

ii. modify or replace the materials that infringe or are alleged to infringe ("**Allegedly Infringing Materials**") to make the Software and all of its components non-infringing while providing materially equivalent features and functionality.

b) If neither of the foregoing is reasonably possible notwithstanding Vendor's commercially reasonable efforts, then Vendor may direct Client to cease any Exploitation of any materials that have been enjoined or finally adjudicated as infringing or are otherwise the subject of the applicable Action, and Vendor shall refund to Client, on a pro rata basis, all amounts paid by Client in respect of such Allegedly Infringing Materials and any other aspects of the Aggregate Software provided under the Statement of Work for the Allegedly Infringing Materials that Client cannot reasonably Exploit as intended under this Agreement.

c) If Vendor directs Client to cease using any Software pursuant to Section 12.4(b), then Client shall have the right to terminate any or all then-outstanding Statements of Work or this Agreement for cause pursuant to Section 13.3(a).

d) The remedies set forth in this Section 12.4 are Client's sole remedies and Vendor's sole liability for any actual, threatened, or alleged claims that this Agreement or any subject matter hereof (including the Software) infringes, misappropriates, or otherwise violates any third party intellectual property right.

12.5. <u>Limitations of Liability</u>.

a) IN NO EVENT WILL VENDOR BE LIABLE UNDER OR IN CONNECTION WITH THIS AGREEMENT UNDER ANY LEGAL OR EQUITABLE THEORY, INCLUDING BREACH OF CONTRACT, TORT (INCLUDING NEGLIGENCE), STRICT LIABILITY, AND OTHERWISE, FOR ANY: (a) LOSS OF PRODUCTION, BUSINESS, REVENUE, OR PROFIT, OR DIMINUTION IN VALUE, OR (b) CONSEQUENTIAL, INCIDENTAL, INDIRECT, EXEMPLARY, SPECIAL, ENHANCED, OR PUNITIVE DAMAGES, REGARDLESS OF WHETHER SUCH ClientONS WERE ADVISED OF THE POSSIBILITY OF SUCH LOSSES OR DAMAGES OR SUCH LOSSES OR DAMAGES WERE OTHERWISE FORESEEABLE, AND NOTWITHSTANDING THE FAILURE OF ANY AGREED OR OTHER REMEDY OF ITS ESSENTIAL PURPOSE. IN NO EVENT WILL THE COLLECTIVE AGGREGATE LIABILITY OF VENDOR UNDER OR IN CONNECTION WITH THIS AGREEMENT OR ITS SUBJECT MATTER, UNDER ANY LEGAL OR EQUITABLE THEORY, INCLUDING BREACH OF CONTRACT, TORT (INCLUDING NEGLIGENCE), STRICT LIABILITY, AND OTHERWISE, EXCEED THE FEES. THE FOREGOING LIMITATION

APPLIES NOTWITHSTANDING THE FAILURE OF ANY AGREED OR OTHER REMEDY OF ITS ESSENTIAL PURPOSE.

b) IN NO EVENT WILL Client BE LIABLE UNDER OR IN CONNECTION WITH THIS AGREEMENT UNDER ANY LEGAL OR EQUITABLE THEORY, INCLUDING BREACH OF CONTRACT, TORT (INCLUDING NEGLIGENCE), STRICT LIABILITY, AND OTHERWISE, FOR ANY: (a) LOSS OF PRODUCTION, BUSINESS, REVENUE, OR PROFIT, OR OR DIMINUTION IN VALUE, OR (b) CONSEQUENTIAL, INCIDENTAL, INDIRECT, EXEMPLARY, SPECIAL, ENHANCED, OR PUNITIVE DAMAGES, REGARDLESS OF WHETHER SUCH ClientONS WERE ADVISED OF THE POSSIBILITY OF SUCH LOSSES OR DAMAGES OR SUCH LOSSES OR DAMAGES WERE OTHERWISE FORESEEABLE, AND NOTWITHSTANDING THE FAILURE OF ANY AGREED OR OTHER REMEDY OF ITS ESSENTIAL PURPOSE. IN NO EVENT WILL THE COLLECTIVE AGGREGATE LIABILITY OF Client UNDER OR IN CONNECTION WITH THIS AGREEMENT OR ITS SUBJECT MATTER, UNDER ANY LEGAL OR EQUITABLE THEORY, INCLUDING BREACH OF CONTRACT, TORT (INCLUDING NEGLIGENCE), STRICT LIABILITY, AND OTHERWISE, EXCEED THE FEES. THE FOREGOING LIMITATION APPLIES NOTWITHSTANDING THE FAILURE OF ANY AGREED OR OTHER REMEDY OF ITS ESSENTIAL PURPOSE.

c) The foregoing limitations shall not apply to damages, liabilities or Losses arising out of or relating to (i) a Party's breach of its obligations under Section 8.3; (ii) the infringement, misappropriation or violation of the other Party's Intellectual Property Rights; (iii) a breach by Client of Section 10.1; (iv) a breach by Vendor of Section 8.6; or (v) (vi) a Party's gross negligence or willful misconduct.

12.6. <u>Insurance</u>. Unless expressly waived in writing by Client, Vendor, as an independent contractor and not an employee of Client, must, during the term of this Agreement, carry public liability and other forms and amounts of insurance set forth on **Exhibit D**. Client shall be named as an additional insured or a loss payee, as appropriate, on each insurance policy taken by Vendor under Exhibit D. Vendor must provide Client with evidence reasonably satisfactory to Client of Client' status as an additional insured or loss payee. Vendor shall, upon any request by Client, provide proof that Vendor has sufficient coverage for workers' compensation insurance, as required by NRS 616A through 616D (or that such coverage is not required under NRS 616B.627 during the Term).

13. <u>Term and Termination.</u>

13.1. <u>Initial Term</u>. The initial term of this Agreement commences as of the Effective Date and continues in effect until the later of (a) [__] or (b) the completion of all then-outstanding Statements of Work, unless terminated earlier pursuant to this Section 13 (the "**Initial Term**").

13.2. <u>Renewal</u>. Unless this Agreement is terminated earlier pursuant to this Section 13, Client may extend the Term for additional successive [__] terms by providing

Vendor with written notice at least ninety (90) days prior to the end of the then-current Term (each, an "**Extension Term**" and, collectively, together with the Initial Term, the "**Term**").

13.3. Termination.

a) Termination by Client.

i. Without limiting subsection (ii) below, Client may terminate any Statement of Work or this Agreement in its entirety at any time if Vendor has materially breached such Statement of Work or this Agreement and fails to cure such breach within thirty (30) days after receipt of written notice thereof from Client, or to the extent that such breach cannot be reasonably cured within such thirty (30) day period, commences such cure within such thirty (30) day period, and diligently pursues such cure to completion within sixty (60) days of Client' written notice thereof.

ii. Nothwithstanding subsection (i) above, Client may terminate any Statement of Work or this Agreement in its entirety at any time, and without incurring any additional obligation, liability, or penalty:

(A) Vendor commits fraud or other intentional misconduct;

(B) If, for any reason, Client' funding from either state or federal sources is not obtained, appropriated, authorized, or otherwise continued, or Client experiences a revenue shortfall or is not budgeted at levels sufficient to allow for payment of all amounts under this Agreement, unless the lack of funding or revenue or budget shortfall is caused by the acts or omissions of Client taken with the sole intent and purpose of permitting Client to terminate this Agreement pursuant to this Section 13.3(a)(iii)(B);

(C) If any applicable Law is amended or otherwise modified, repealed, or interpreted by any court of competent jurisdiction or governmental authority in such a way that the work, goods, or services contemplated by this Agreement are no longer authorized for purchase or appropriate for necessary federal or Client financial participation;

(D) If Vendor becomes insolvent or subject to receivership, or becomes voluntarily or involuntarily subject to the jurisdiction of any bankruptcy court; or

(E) If Client determines that any unlawful quid pro quo or gratuities in the form of money, services, entertainment, gifts, or otherwise were offered or given by Vendor, or any Representative of Vendor, to any employee, officer, manager, director, consultant, legal advisor, independent contractor, or service provider of the State of [State] with a view toward securing a contract or securing favorable treatment with respect to awarding, extending, amending, or making any determination with respect to the performing of such contract.

b) Termination by Vendor. If Client materially breaches this Agreement, Vendor may notify Client in writing of such material breach and of Vendor's intent to terminate this Agreement as a result of such material breach. If Client fails to cure such material breach within sixty (60) days, or, if such material breach is not susceptible to cure within sixty (60) days, if Client fails to commence curing such material breach within sixty (60) days and diligently pursue such cure to completion within ninety (90) days of Vendor's written notice thereof, then Vendor may terminate this Agreement by providing written notice to Client. Vendor also may terminate this Agreement by providing written notice to Client if Client becomes insolvent or subject to receivership, or becomes voluntarily or involuntarily subject to the jurisdiction of any bankruptcy court.

13.4. Effect of Expiration or Termination.

a) Upon any expiration or termination of any Statement of Work except for termination of this Agreement by Vendor in accordance with Section 13.3(b) for Client's failure to pay the Fees in accordance with this Agreement, breach of confidentiality obligations, breach of the license grants or restrictions in this Agreement or misappropriation or infringement of Vendor's Intellectual Property Rights (collectively, "**Vendor Termination for Cause Rights**"):

i. Vendor shall (A) promptly deliver to Client all Work Product generated by Vendor under the terminated Statement of Work (whether complete or incomplete); (B) provide reasonable cooperation and assistance to Client in transitioning the Services that were the subject of the terminated Statement of Work to an alternate service provider; and (C) on a pro rata basis, repay all amounts, if any, paid in advance for any Services or Work Product that were the subject of the terminated Statement of Work that have not been provided to Client.

ii. All licenses granted to Vendor in the Client Materials with respect to the Services that were the subject of the terminated Statement of Work shall immediately and automatically also terminate to the extent such Client Materials were the subject solely of such terminated Statement of Work, and Vendor shall promptly return to Client all Client Materials not required by Vendor for continuing any non-terminated Statement of Work.

iii. Except for Confidential Information embodied in the Work Product, or portion thereof, delivered to Client, or otherwise embodied in or necessary for Client's Exploitation of the Work Product, Software, or any portion thereof, each party shall (A) return to the other party or destroy all documents and tangible materials (and any copies thereof) to the extent containing or incorporating the other party's Confidential Information; (B) permanently erase the other party's Confidential Information from its computer systems; and (C) certify in writing to the other party that it has complied with the requirements of this Section 13.4.a)ii, in each case to the extent such materials are not required by such party for continuing any non-terminated Statement of Work.

b) Upon any expiration or termination of this Agreement in its entirety except for termination of this Agreement by Vendor pursuant to Vendor Termination for Cause Rights:

   i. Vendor shall (A) promptly deliver to Client all Work Product generated by Vendor under this Agreement (whether complete or incomplete); (B) provide reasonable cooperation and assistance to Client in transitioning the Services to an alternate service provider; and (C) on a pro rata basis, repay all amounts, if any, paid in advance for any Services or Work Product that have not been provided to Client.

   ii. All licenses granted to Vendor in the Client Materials shall immediately and automatically also terminate, and Vendor shall promptly return to Client all Client Materials.

   iii. Except for Confidential Information embodied in the Work Product, or portion thereof, delivered to Client, or otherwise embodied in or necessary for Client's Exploitation of the Work Product, Software, or any portion thereof, each party shall (A) return to the other party or destroy all documents and tangible materials (and any copies thereof) to the extent containing or incorporating the other party's Confidential Information; (B) permanently erase the other party's Confidential Information from its computer systems; and (C) certify in writing to the other party that it has complied with the requirements of this Section 13.4.b)ii.

c) Notwithstanding the foregoing or any provision in this Agreement to the contrary, upon termination of this Agreement by Vendor pursuant to Vendor Termination for Cause Rights, all licenses granted to Client in the Work Product and Background Technology shall immediately and automatically also terminate and Client shall promptly return to Vendor all such Work Product and Background Technology.

d) If this Agreement terminates early, Client will remain obligated to pay Fees, in accordance with this Agreement, for all Services and Work Product received and Accepted by Client before the effective date of such termination.

e) Except as set forth in subsection (c) above, no expiration or termination of any Statement of Work or this Agreement in its entirety will affect Client's rights in any of the Work Product.

13.5. Survival. The rights and obligations of the Parties set forth in Sections 2.4, 2.5, 2.8, 2.10, 3.7, **Error! Reference source not found.** 7.4, 7.7, 7.8, **Error! Reference source not found.**, 9, **Error! Reference source not found.**, **Error! Reference source not found.**, **Error! Reference source not found.**, **Error! Reference source not found.**, **Error! Reference source not found.**, **Error! Reference source not found.**, 13.3.b), 13.4.e), and 13.5 will survive any such termination or expiration.

14. Miscellaneous.

14.1. Effect of Vendor Bankruptcy. All rights and licenses granted by Vendor under this Agreement are and will be deemed to be rights and licenses to "intellectual property," and all Work Product is and will be deemed to be "embodiment[s]" of "intellectual property," for purposes of, and as such terms are used in and interpreted under, Section 365(n) of the United States Bankruptcy Code (the "**Code**") (11 U.S.C. § 365(n)). Client shall have the right to exercise all rights and elections under the Code and all other applicable bankruptcy, insolvency, and similar laws with respect to this Agreement and the subject matter hereof. Without limiting the generality of the foregoing, Vendor acknowledges and agrees that, if Vendor or its estate shall become subject to any bankruptcy or similar proceeding:

a) subject to Client's rights of election, all rights and licenses granted to Client under this Agreement will continue, subject to the terms and conditions of this Agreement, and will not be affected, even by Vendor's rejection of this Agreement; and

b) Client shall be entitled to a complete duplicate of (or complete access to, as appropriate) all Work Product, and the same, if not already in Client's possession, shall be promptly delivered to Client, unless Vendor elects to and does in fact continue to perform all of its obligations under this Agreement.

14.2. Further Assurances; Permits. On either Party's reasonable request, the other Party shall, at such other Party's sole cost and expense, execute and deliver all such documents and instruments, and take all such further actions, necessary to give full effect to this Agreement. Without limiting the foregoing, each party shall be solely responsible for obtaining and paying for all permits, licenses, approvals, authorizations, waivers, qualifications, and certifications (collectively, "**Permits**") necessary for such party to perform its obligations under this Agreement.

14.3. Relationship of the Parties. The relationship between the Parties is that of independent contractors. Nothing contained in this Agreement shall be construed as creating any agency, partnership, joint venture, or other form of joint enterprise, employment, or fiduciary relationship between the Parties, and neither Party shall have authority to contract for or bind the other Party in any manner whatsoever. Neither Vendor nor any of its Representatives shall be considered Representatives of Client. Vendor shall be solely responsible for, and Client shall have no obligation with respect to (a) withholding of income taxes, Federal Insurance Contributions Act (FICA) payments, or any other taxes or fees, (b) industrial insurance coverage, (c) participation in any group insurance plans, (d) participation or contributions to the Public Employees Retirement System, (e) accumulation of vacation leave or sick leave, or (f) unemployment compensation coverage.

14.4. Public Announcements. Neither Party shall issue or release any announcement, statement, press release, or other publicity or marketing materials relating to this Agreement or, unless expressly permitted under this Agreement, otherwise use the other Party's trademarks, services marks, trade names, logos, domain names, or other indicia of source, association, or sponsorship, in each case, without the prior written consent of the other Party.

14.5. Notices. All notices, requests, consents, claims, demands, waivers, and other communications under this Agreement have binding legal effect only if in writing and addressed to a Party as follows (or to such other address or such other Person that such Party may designate from time to time in accordance with this Section 14.4).

If to Vendor:	[Vendor Name] [Street Address] [City], [ST] [Zip]
If to Client:	Public School Teachers' Pension and Retirement Fund of Chicago 425 S. Financial Plaza, Suite 1400 Chicago, Illinois 60605-1000

Notices sent in accordance with this Section 14.4 shall be deemed effectively given: (a) when received, if delivered by hand, with signed confirmation of receipt; (b) when received, if sent by Federal Express, signature required; (c) on the third day after the date mailed by certified, return receipt requested, postage prepaid; and (d) when sent, if sent by Client or Vendor by email.

14.6. Interpretation. For purposes of this Agreement, (a) the words "include," "includes," "including," and "e.g." are deemed to be followed by the words "without limitation"; (b) the word "or" is not exclusive; (c) the words "herein," "hereof," "hereby," "hereto," and "hereunder" refer to this Agreement as a whole; (d) words denoting the singular have a comparable meaning when used in the plural, and vice-versa; and (e) words denoting any gender include all genders. Unless the context otherwise requires, references in this Agreement: (x) to sections, exhibits, schedules, attachments, and appendices mean the sections of, and exhibits, schedules, attachments, and appendices attached to, this Agreement; (y) to an agreement, instrument, or other document means such agreement, instrument, or other document as amended, supplemented, and modified from time to time to the extent permitted by the provisions thereof; and (z) to a statute means such statute as amended from time to time and includes any successor legislation thereto and any regulations promulgated thereunder. The Parties intend this Agreement to be construed without regard to any presumption or rule requiring construction or interpretation against the Party drafting an instrument or causing any instrument to be drafted. The exhibits, schedules, attachments, and appendices referred to herein are an integral part of this Agreement to the same extent as if they were set forth verbatim herein.

14.7. Headings. The headings in this Agreement are for reference only and shall not affect the interpretation of this Agreement.

14.8. Entire Agreement. This Agreement, and any other documents incorporated herein by reference, constitutes the sole and entire agreement of the Parties with respect to the subject matter of this Agreement and supersedes all prior and contemporaneous understandings, agreements, representations, and warranties, both written and oral, with respect to such subject matter. In the event of any inconsistency between the provisions of the body of this Agreement, the related exhibits, schedules, attachments, and appendices (other than an exception expressly set forth as such therein), and any other documents incorporated herein by reference, the provisions of this Agreement shall control.

14.9. Assignment. Subject to the following, neither party shall assign or otherwise transfer any of its rights, under this Agreement, in each case whether voluntarily, involuntarily, by operation of law, or otherwise, without the other party's prior written consent, which shall not be unreasonably withheld, delayed or conditioned. For purposes of the preceding sentence, and without limiting its generality, any merger, consolidation, or reorganization, or other transaction involving Vendor that results in a change of control of Vendor, will be deemed to be a transfer of rights, obligations, or performance under this Agreement for which Client's prior written consent is required. No delegation or other transfer will relieve a party of any of its obligations or performance under this Agreement. Any purported assignment, delegation, or transfer in violation of this Section 14.8 is void. Notwithstanding the foregoing, Client may freely assign or otherwise transfer all or any of its rights, or delegate or otherwise transfer all or any of its obligations or performance, under this Agreement without Vendor's consent, to any successor state governmental agency or authority performing the same or similar functions to Client. This Agreement is binding upon and inures to the benefit of the Parties and their respective permitted successors and assigns.

14.10. Force Majeure.

a) In no event shall either Party be liable or responsible to the other Party, or be deemed to have defaulted under or breached this Agreement, for any failure or delay in fulfilling or performing any term of this Agreement when and to the extent such failure or delay is caused by circumstances beyond such Party's reasonable control (a "**Force Majeure Event**") including: acts of God, flood, fire, pandemic, epidemic, earthquake, or explosion, war, terrorism, invasion, riot, or other civil unrest, embargoes, or blockades in effect on or after the date of this Agreement, national or regional emergency, strikes, labor stoppages, or slowdowns or other industrial disturbances, passage of Law or any action taken by a governmental or public authority, including imposing an embargo, export, or import restriction, quota, or other restriction or prohibition, or any complete or partial government shutdown, or national or regional shortage of adequate power or telecommunications or transportation.

b) In the event of any failure or delay caused by a Force Majeure Event, the affected Party shall give prompt notice to the other Party, stating the period of time the occurrence is expected to continue and use diligent efforts to end the failure or delay and minimize the effects of such Force Majeure Event. The Party shall immediately resume performance under this Agreement as soon as the Force Majeure Event ends.

14.11. No Third-Party Beneficiaries. This Agreement is for the sole benefit of the Parties hereto and their respective successors and permitted assigns, and nothing herein, express or implied, is intended to or shall confer on any other Person any legal or equitable right, benefit, or remedy of any nature whatsoever under or by reason of this Agreement.

14.12. Amendment and Modification; Waiver. No amendment to or modification of this Agreement is effective unless it is in writing, identified as an amendment to this Agreement and signed by an authorized representative of each Party. No waiver by any Party of any of the provisions hereof is effective unless explicitly set forth in writing and signed by the Party so waiving. Except as otherwise set forth in this Agreement, no failure to exercise, or delay in exercising, any right, remedy, power, or privilege arising from this Agreement will operate or be construed as a waiver thereof; nor will any single or partial exercise of any right, remedy, power, or privilege hereunder preclude any other or further exercise thereof or the exercise of any other right, remedy, power, or privilege.

14.13. Severability. If any provision of this Agreement is invalid, illegal, or unenforceable in any jurisdiction, such invalidity, illegality, or unenforceability will not affect any other term or provision of this Agreement or invalidate or render unenforceable such term or provision in any other jurisdiction. Upon such determination that any term or other provision is invalid, illegal, or unenforceable, the Parties shall negotiate in good faith to modify this Agreement so as to effect the original intent of the Parties as closely as possible in a mutually acceptable manner in order that the transactions contemplated hereby be consummated as originally contemplated to the greatest extent possible.

14.14. Governing Law; Submission to Jurisdiction. This Agreement is governed by and construed in accordance with the Laws of the State of Illinois without giving effect to any choice or conflict of law provision or rule that would require or permit the application of the Laws of any jurisdiction other than those of the State of Illinois. Any legal suit, action, or proceeding arising out of or related to this Agreement or the licenses granted hereunder shall be instituted exclusively in the federal courts of the United States or the courts of the State of Illinois, in each case located in the city of and Chicago County of Cook, and each Party irrevocably submits to the exclusive jurisdiction of such courts in any such suit, action, or proceeding. Service of process, summons, notice, or other document by mail to such Party's address set forth herein will be effective service of process for any suit, action, or other proceeding brought in any such court.

14.15. Equitable Relief. Each party acknowledges that a breach or threatened breach by such party of Section **Error! Reference source not found.**, 9, or **Error! Reference source not found.** (or any action or inaction by any of such party's

Representatives that would qualify as a breach of Section **Error! Reference source not found.**, 9, or **Error! Reference source not found.** if taken, or not taken, by such party) may cause the other party irreparable harm for which monetary damages would not be an adequate remedy and agrees that, in the event of such breach or threatened breach, the other party will be entitled to seek equitable relief, including a restraining order, an injunction, specific performance, and any other relief that may be available from any court, without any requirement to post a bond or other security, or to prove actual damages or that monetary damages are not an adequate remedy. Such remedies are not exclusive and are in addition to all other remedies that may be available at law, in equity, or otherwise.

14.16. Counterparts. This Agreement may be executed in counterparts, each of which is deemed an original, but all of which together are deemed to be one and the same agreement. A signed copy of this Agreement delivered by facsimile, email, or other means of electronic transmission is deemed to have the same legal effect as delivery of an original signed copy of this Agreement.

[Signature Page Follows]

IN WITNESS WHEREOF, the Parties have executed this Master Software Development Agreement as of the Effective Date.

Public School Teachers's Pension and Retirement Fund of Chicago	[Vendor Name]
By:______________________________	By:______________________________
Name: ____________________________	Name: ____________________________
Title: ____________________________	Title: ____________________________

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EXHIBIT A

Summary Statement of Work

See attached.

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EXHIBIT B-1
RFP
[attached]

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EXHIBIT B-2
Response to RFP
[attached]

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EXHIBIT C

Post-Implementation Support Terms

1. Definitions. For purposes of this Exhibit C, the following terms have the meanings set forth below. All initial capitalized terms in this Exhibit C that are not defined in this Section 1 shall have the respective meanings given to them in the Main Agreement

1.1. "**Contact List**" means a current list of Vendor contacts and telephone numbers to enable Customer to escalate its Problem Incident Reports, including: (a) the first person to contact; and (b) the persons in successively more qualified or experienced positions to provide the support sought.

1.2. "**Customer Cause**" means any of the following causes of an Error, except, in each case, any such causes resulting from any action or inaction that is authorized by this Exhibit C or the Main Agreement, specified in the then-current Specifications or Documentation, or otherwise authorized in writing by Vendor: (a) any negligent or improper use, misapplication, misuse, or abuse of, or damage to, the Software by Customer; (b) any maintenance, update, improvement, or other modification to or alteration of the Software by or on behalf of Customer; (c) any use of the Software by Customer in a manner inconsistent with the then-current Specifications or, to the extent consistent with and not limiting of the Specifications, the Documentation; or (d) any use by Customer of any Third-Party Products that Vendor has not provided or caused to be provided to Customer.

1.3. "**Error**" means any failure of the Software to operate in all material respects in accordance with the Specifications and, to the extent consistent with and not limiting of the Specifications, the Documentation.

1.4. "**Level 1 Support**" means on-call support (8:00 AM – 8:30 PM EST), system performance monitoring and system outage response and resolution.

1.5. "**Level 2 Support**" means application and data support .

1.6. "**Level 3 Support**" means corrective maintenance and bug fixes.

1.7. "**Main Agreement**" means the Master Software Development Agreement between the Parties dated [__], 2022.

1.8. **"Post-Implementation Support**" means Vendor's support of the Software, including Level 1 Support, Level 2 Support and Level 3 Support.

1.9. “**Post-Implementation Support Period**” means, with respect to the Warranty Period, the Warranty Period, and, thereafter, a twelve (12) month period from the expiration of the Warranty Period.

1.10. “**Problem Incident Report**” has the meaning set forth in Section 4.

1.11. “**Remote Access Software**” has the meaning set forth in Section 3.3.

1.12. “**Remote Services**” has the meaning set forth in Section 3.3.

1.13. “**Resolve**” and the correlative terms, “**Resolved**,” “**Resolving**,” and “**Resolution**” each have the meaning set forth in Section 2.1.e).

1.14. “**Service Levels**” means the agreed upon and defined Error severity levels and corresponding required service level responses, response times, Resolutions, and Resolution times.

1.15. “**Support Hours**” means 8:00 AM – 8:30 PM EST, excluding weekends and holidays.

1.16. “**Technical Contact**” has the meaning set forth in Section 4.1.

1.17. “**Third-Party Products**” means all Third Party software, computer hardware, network hardware, electrical, telephone, wiring, and all related accessories, components, parts, and devices.

2. Post-Implementation Support. Vendor shall perform all Level 1 Support, Level 2 Support, and Level 3 Support during the Support Hours throughout the Post-Implementation Support Period in accordance with the terms and conditions of this Exhibit C and the Main Agreement, including the Service Levels and other Vendor obligations set forth in this Section 1.17.

2.1. Post-Implementation Support Responsibilities. Vendor shall:

a) respond to and Resolve all Problem Incident Reports in accordance with the Service Levels;

b) provide Level 1 Support to Customer during all Support Hours by means of the telephone number [__] and email address [__];

c) provide Level 2 Support and Level 3 Support to Customer in accordance with Section 6.2; and

d) provide Customer with online access to technical support bulletins and other user support information and forums, to the full extent Vendor makes such resources available to its other customers; and

e) during the Warranty Period, provide to Customer all such other services as may be necessary to correct an Error or otherwise fulfill the Service Level requirements, including defect repair, programming corrections, and remedial programming.

3. Service Levels. Response and Resolution times will be measured from the time Vendor receives a Problem Incident Report until the respective times Vendor has (a) responded to that Problem

Incident Report, in the case of response time, and (b) Resolved that Problem Incident Report, in the case of Resolution time. “**Resolve**,” “**Resolved**,” “**Resolution**,” and correlative capitalized terms mean, with respect to any particular Problem Incident Report, that Vendor has corrected the Error that prompted that Problem Incident Report. Vendor shall respond to and Resolve all Problem Incident Reports within the to-be-agreed-upon times based on the severity of the associated Error

3.1. Escalation to Parties’ Managers. If Vendor does not respond to a Problem Incident Report within the relevant Service Level response time, Customer may escalate the Problem Incident Report to the Parties’ respective project executive and executive sponsor and then to their respective senior management.

3.2. Time Extensions. Customer may, in its sole discretion on a case-by-case basis, grant a reasonable extension of the Service Level response or Resolution times.

3.3. Vendor Updates. Vendor shall give Customer, upon Customer’s reasonable request, electronic or other written reports and updates of the nature and status of its efforts to correct any Error, including a description of the Error and the estimated time of Vendor’s response and Resolution;

3.4. Remote Services. Vendor may provide services to Customer remotely, including by means of telephone or internet telephony, or over the internet through the use of remote access software (“**Remote Access Software**”) that Vendor installs on the Operating Environment (“**Remote Services**”) to assist in analyzing and Resolving any Error reported by a Problem Incident Report during the Post-Implementation Support Period. The Remote Access Software contains technological measures designed to collect and transmit to Vendor certain diagnostic, technical, usage, and related information, including information about the Operating Environment and any Third-Party Products relating to or derived from Customer’s use of the Software. Each of the Parties acknowledges and agrees that:

a) Vendor may collect, maintain, process, and use (i) only such information as is necessary to assist in analyzing and Resolving a Problem Incident Report; and (ii) use such information solely to provide the Post-Implementation Support in accordance with the terms and conditions of this Exhibit C and the Main Agreement; and
b) all or portions of the Remote Access Software may remain on the Customer Systems after a Report Request is Resolved solely for the purposes set forth in Section 3.4.

If any information that Vendor, collects, maintains, processes, or uses under this Section 3.3 qualifies as Personal Information, then Vendor shall comply with Section **Error! Reference source not found.** of the Main Agreement with respect to such information.

3.5. Time of the Essence. Each Party acknowledges and agrees that time is of the essence with respect to its performance under this Exhibit C, and that each Party’s prompt and timely performance hereunder, including Vendor’s performance of the Service Levels, is strictly required.

4. Problem Incident Report and Customer Obligations.

4.1. Problem Incident Report. Customer may request Post-Implementation Support by way of a Problem Incident Report (each a “**Problem Incident Report**”). Customer shall notify Vendor of each Problem Incident Report on Azure DevOps, by phone, or by such other means as the

Parties may agree to in writing. Customer shall include in each Problem Incident Report a description of the reported Error and the time Customer first observed the Error.

4.2. Technical Contact. Customer shall designate the individual(s) who will act as a direct liaison with Vendor and be responsible for communicating with, and providing timely and accurate information and feedback to, Vendor in connection with the Post-Implementation Support (each such individual, a “**Technical Contact**”). The Technical Contact(s) will be the sole liaison(s) between Customer and Vendor in sending Problem Incident Reports and communicating with Vendor in connection with any matters relating to the provision of the Post-Implementation Support.

4.3. Customer Obligations. Customer shall, by and through its Technical Contact(s), provide the Vendor with:

a) each of the following to the extent reasonably necessary to assist Vendor to reproduce operating conditions similar to those present when Customer detected the relevant Error and to respond to and Resolve the relevant Problem Incident Report:

i. direct access at Customer’s premises to the Operating Environment and the Customer’s files, equipment, and personnel;

ii. output and other data, documents, and information;

iii. remote access to the Operating Environment in accordance with Section 3.3, subject to Vendor’s compliance with all of Customer’s security and encryption requirements; and

iv. such other reasonable cooperation and assistance as Vendor may request.

5. Additional Remedies for Service Level Failures. Vendor’s failure to meet the Service Levels for Resolution of any material Errors within the agreed upon Resolution time five (5) times in any thirty (30) day period will constitute a material breach of the Main Agreement. Customer may then, at its option:

5.1. use any previous version or release of the Software in which such Error does not occur or can be worked around if the then-current Software exhibits an un-Resolved Error, and, should this be necessary, Vendor shall perform all Post-Implementation Support for such previous version or release until Vendor Resolves such Error for the then-current version or release of the Software; and

5.2. obtain such other remedies as may be available to it under this Exhibit C, the Main Agreement, or otherwise at law or in equity, including, without limitation, the right to terminate the Main Agreement for material breach.

5.3. Communications. In addition to the mechanisms for giving notice specified in Section 14.4 of the Main Agreement, unless specified otherwise in this Exhibit C or the Main Agreement, the Parties may use email for communications on any matter referred to in this Exhibit C.

[Signature Page Follows]

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IN WITNESS WHEREOF, the Parties have executed this Exhibit C to the Master Software Development Agreement as of the date first above written.

Vendor

By_____________________
Name:
Title:

Public School Teachers' Pension and Retirement Fund of Chicago

By_____________________
Name:
Title:

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Schedule 1

Contact List

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Schedule 2

Technical Contacts

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EXHIBIT D

1. Contractor shall procure and maintain on a continuous basis, at Contractor's expense during the term of the Contract, and any extensions thereof, to include any period after the term of the Contract during which Contractor continues to provide services to CTPF, insurance coverage as required by CTPF below. Contractor shall comply with the following:

    1.1. Contractor acknowledges and agrees that it shall have total responsibility for its employees and its employment practices, including in the areas of wrongful discharge lawsuits, unemployment issues, workers compensation, employment taxes and reimbursement due to losses in these areas.

1.2. Contractor shall carry and provide evidence of the following types of insurance for each occurrence and in the aggregate:

1.2.1. Commercial General Liability/Commercial Umbrella – covering bodily injury, property damage, damage to premises rented or occupied, personal injury and medical payments.

1.2.2. General Public Liability - covering all duties, services, and work to be performed under the Contract.

1.2.3. Commercial Automobile Liability – covering owned, hired, or non-owned vehicles

1.2.4. Commercial Crime / Fidelity – including Employee Dishonesty with an endorsement to include Property of Others.

1.2.5. Cyber Liability - covering computer theft of money, securities, and any other property. Computer theft of information and computer vandalism, including introduction of malicious code or other devices that severely disrupt business.

1.2.6. Professional Liability (Errors and Omissions) - including coverage for the rendering of, or failure to render, professional services, including but not limited to, installation, service or repair; instruction; data preparation & processing; software development and design; consulting; and intellectual property infringement.

1.2.7. Commercial Property Insurance - including an endorsement to include the Property of Others in Contractor's care, custody, and control; and

1.2.8. Workers' Compensation and Employer's Liability – including protection of employees in accordance with Illinois Workers Compensation Commission laws, rules, and regulations.

1.2.9. In the event one or more insurance coverage types listed above are covered by a general liability or umbrella type policy, Contractor shall identify the specific types of insurance covered by the general liability or umbrella type policy.

1.3. Minimum Limits of Coverage

1.3.1. Automobile - $500,000 per occurrence, $1,000,000 combined single limit for bodily injury and property damage liability.

1.3.2. Professional Liability (Errors and Omissions) – Not less than $5,000,000.

1.3.3. Commercial General Liability (CGL) or Umbrella - $5,000,000 per occurrence, and $2,000,000 aggregate for personal injury, bodily injury, and property damage liability.

1.3.4. Cyber Liability - $200,000 per occurrence.

2. All insurance policies shall be issued by companies authorized to do business under the laws of the State of Illinois and shall be in a form satisfactory to CTPF. Contractor agrees that with respect to the above

required insurance, all insurance contracts and certificate(s) of insurance will contain and state in writing the following required provisions. Each insurance contract or certificate of insurance shall:

2.1. Be issued from a company or companies having both a Financial Strength Rating of "A" or better, and a Financial Size Category Class of "VIII" or better from A. M. Best Company, Inc.;

2.2. Be on an occurrence-made basis with the exception of Professional Liability (Errors and Omissions) coverage. If Professional Liability (Errors and Omissions) coverage is written on a claims-made form, coverage shall be continuous (by renewal or extended reporting period) for not less than twenty-four (24) months following completion of the Contract and acceptance by CTPF. Coverage, including any renewals, shall have the same retroactive date as the original policy applicable to the Contract;

2.3. Be endorsed to name "Public School Teachers' Pension and Retirement Fund of Chicago and its Board of Trustees, officers, directors, and employees" as additional insureds to all applicable coverages;

2.4. State that coverage shall not be cancelled, non-renewed, or materially changed except after at least thirty (30) days prior written notice to CTPF;

2.5. Require that required notification be sent to CTPF:

Public School Teachers' Pension and Retirement Fund of Chicago
425 South Financial Plaza, Suite 1400
Chicago, Illinois 60605-1000

2.6. Provide that renewal policies shall be furnished to CTPF not less than thirty (30) days prior to the expiration of current policies;

2.7. Waive subrogation against CTPF and its Board of Trustees, officers, directors, and employees to include bodily injury (including death), property damage, or any other loss;

2.8. Provide that Contractor's insurance is primary insurance and shall not require contribution by any other similar insurance available to CTPF and its Board of Trustees, officers, directors, and employees;

2.9. Provide that all provisions of the Contract concerning liability, duty, and standard of care, together with the indemnification provision, shall be underwritten by contractual liability coverage sufficient to include such obligations to CTPF within applicable policies; and

2.10. Ensure that all certificates of insurance identify the service or product being provided to CTPF.

3. Insurance shall be effective, and evidence of acceptable insurance furnished prior to commencing operations under the Contract. Contractor shall furnish to CTPF evidence of required insurance, certified true copies of liability policies, and manually countersigned endorsements of any changes thereto.

4. The Contractor shall, within ten (10) days after issuance of the Contract, deliver to CTPF the evidence of the required insurance. Failure upon the part of the Contractor to furnish the evidence of required insurance, within ten (10) days of the Contract shall be cause for the cancellation of the Contract.

5. CTPF may, at any time during the Contract term, require written documentation from Contractor that all insurance is effective and in compliance with CTPF requirements.

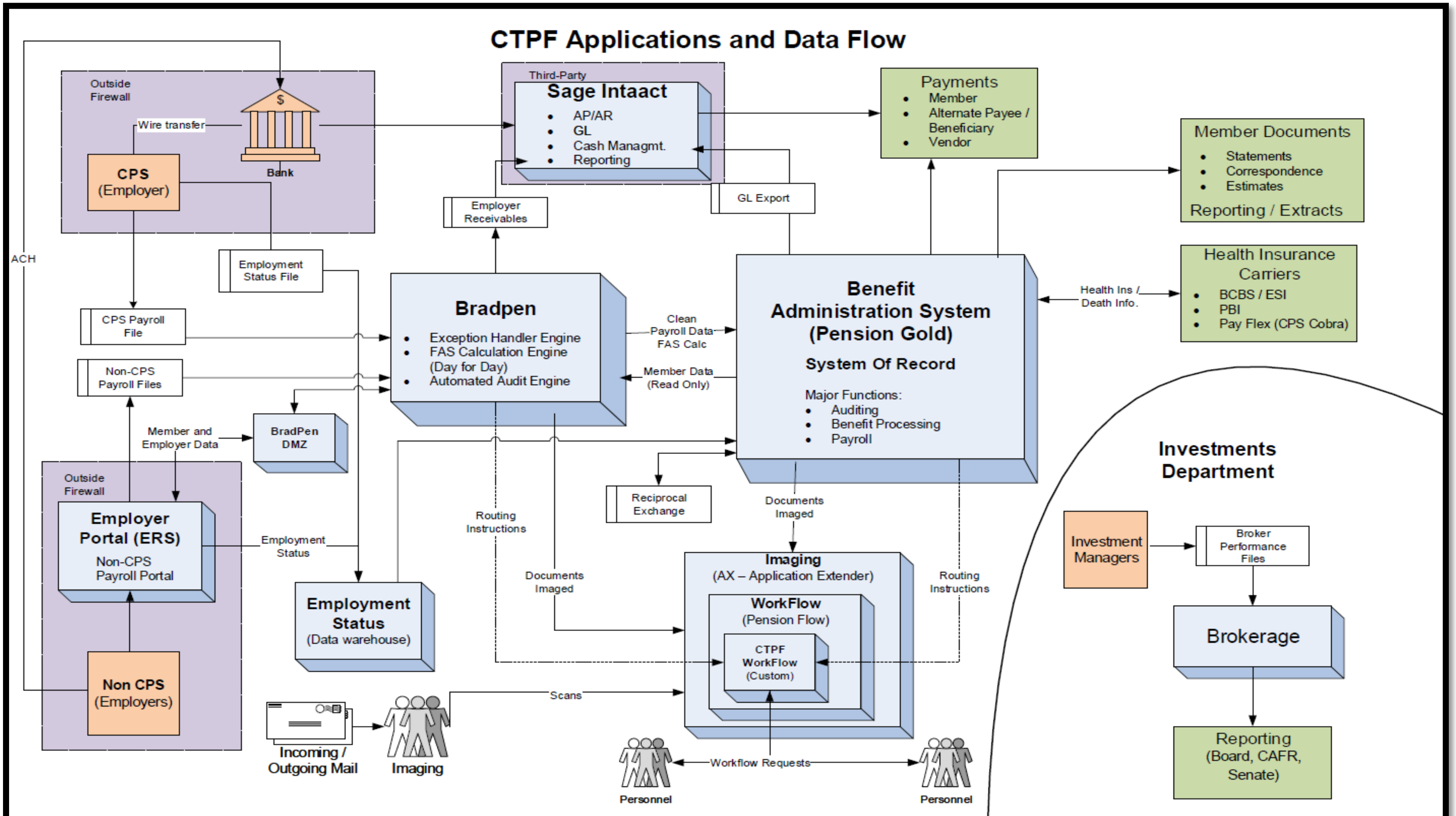
End CTPF Sample Contract

6.2 – Additional Information Technology Documentation

This subsection provides additional detail regarding the Information Technology Infrastructure in place at CTPF. There are documents included in this subsection that are sensitive in nature. Bidders must request copies of these documents directly from Lupe Garcia, the CTPF Point of Contact for this RFP. These detailed exhibits will only be provided to Bidders that can provide evidence that their firm meets the Minimum Bidder Qualifications defined in the RFP and have completed a Non-Disclosure Agreement.

6.2.1 – CTPF Applications and Data Flow

This diagram below illustrates the various interfaces and data flow between the multiple CTPF applications.



6.2.2 – CTPF Network and Telephony Architecture Summary

The CPTF network has Internet access redundancy through multiple carriers and equipment redundancy for all routers, switches, and other key networking equipment. CTPF systems run on hardware with 2N+1 redundancy in the data center. CTPF system backups replicate to a private cloud hosted at a remote data center. Upon loss of the primary data center, virtual system replicas spin up at a remote data center that clients connect to through an alternate VPN connection.

CTPF has a comprehensive hybrid telephony model that keeps existing on-premises equipment intact while clouding out the DR portion to a remote data center. Upon loss of the primary data center, telephony failover is to the remote data center. Faxing is through a cloud-based FaaS solution.

6.2.3 – CTPF Application and System Software

The following Applications and System Software are currently licensed and used within CTPF.

System	Purpose	Notes
Accounting / Finance		
Sage Intacct	• Financial ERP System • General Ledger (GL) • Cash Management • Accounts Payable (AP) • Purchasing, Accounts Receivable (AR) • Collections • Project Tracking Dimension • Sage Intacct out-of-the-box reports, forms, and dashboards	• 3rd party vendor • Phase 1 Implemented • Phase 2 - Replaces MS Dynamics SL, expected project completion, May 2021 • Integrated with third-party solutions ADP Workforce Now, AvidXchange, Concur, Workiva Wdata, and Joseph Eve Fixed Assets
MS Dynamics SL	Currently in Parallel testing with 2nd phase of Sage Intacct project implementation	3rd party vendor
JPMC	Integration with JPMC system for investments	3rd party vendor
BNY	Integration with BNY system for Investments	3rd party vendor
Concur	Travel Reimbursement for Staff	3rd party vendor
ADP Workforce Now	Payroll processing for staff – not retirees – just staff	3rd party vendor
AvidXchange	Used for Accounts Payable processing. sends invoices and they cut the checks for CTPF	3rd party vendor
Joseph Eve Fixed Asset Edge	Subledger system for fixed asset reporting	3rd party vendor
AR Payment Accelerator	Software is used for posting of Charter School payments to Sage	3rd party vendor
Workiva	Used for preparation of the Comprehensive Annual Financial Report, the Schedule of Pension Amounts and various Budget reporting documents.	3rd party vendor
Core Pension Administration		
Pension Gold (PG)	Pension Gold and BradPen are considered the Line Of Business (LOB) Applications	Originally written by Levi, Ray, and Shoup (LRS).

System	Purpose	Notes
	▪ Considered the System of Record for all data ▪ Used for payroll deductions, other health insurance info ▪ Payroll Calendars and Member demographic ▪ Auditing ▪ Benefit Processing ▪ Payroll ▪ Data is found to be inaccurate in some cases ▪ Internal Reporting and member correspondence ▪ Annual Member Statements engine ▪ Automated Annual Increase (AAI) Engine	▪ Purchased Solution in 2000, implemented in 2005 ▪ Customization prior to implementation resulted in not able to stay on upgrade path ▪ CTPF owns source code since 2010 ▪ Client/Server infrastructure ▪ Written in Delphi v5 ▪ MSSQL database ▪ Uses Crystal Reports 8.5/9.0 for Member Correspondence ▪ Integrates with Sage Intaact
BradPen	This and Pension Gold are considered the Line Of Business (LOB) Applications ▪ Wage loader Engine ▪ Exception handler Engine ▪ FAS Calculation engine – day for day and Legacy 5 for 10 ▪ Automated Audit Engine ▪ Estimate Processing ▪ Calculation engine for Annual Member Statement ▪ FAS Parallel Test (day for day and legacy) ▪ Tier 2 Capping ▪ Annual Service Audit ▪ Refund Processing (as of June 2021) ▪ ISBI Integration – Employee lookup, as of March 2021	Custom developed for CTPF by Bradley Consulting. ▪ Browser based ▪ CTPF owns source code ▪ Written in Ruby on Rails ▪ MSSQL database ▪ Integrates with Sage Intaact
Microsoft Office	Extensive use of Excel in the daily administration of pensions and benefits	M365 Limitation: Office 10 for ApplicationXtender/Pension Gold integration
Imaging / Workflow		
Image Capture	Used for scanning and indexing	
ApplicationXtender (AX)	▪ All incoming paper gets scanned into this system ▪ Outgoing member correspondence are imaged into this system through Pension Gold. ▪ Member Estimates sent through BradPen are imaged into this system ▪ Can view images through PG or through this application ▪ LOB for Images	Integrated with Pension Gold (currently limited to Windows 10) 3rd Party
Pension Flow	• Settlements only (reviewed) • Routes documents as they come in	Integrated with AX, add-on 3rd Party
Workflow	▪ Considered the "Workflow Supplemental" and is used to add flags or assign audits ▪ Can add notes to the different workflows	Not integrated with any of the other systems

System	Purpose	Notes
	▪ Used for looking members, or spot-checking members, helps to see if the audit is complete	Home grown, sits over Pension Flow to manage workflows
FADV (Form Analyzer Document Viewer)	Imaging of microfilm/fiche from 1930's – 2001. ▪ Includes checks, member records, Board meeting notes, and many other CTPF documents ▪ 5.76M images	• Limited Use • Currently used for research of member records during audits • Respective member record may be transferred to AX when appropriate
Call Center / Telecom		
Cisco Jabber	A Unified Communications and Collaboration (UCC) tool that offers a set of applications allowing users to connect with each other through voice, video, instant messaging (IM), desktop sharing, voice messaging and conferencing. Currently used for outbound calling by the call center agents when working from home.	• Cisco Telephony DR UCaaS with HA and redundancy on an external site • UCaaS allows for Hybrid model, employees at office or remote along • UCaaS allows for Hybrid model, on-premises, and External site • Usually on the on-premises Telephony
Cisco Finesse	Contact Center Software ▪ includes call center reporting ▪ call queue management ▪ wrap-up code	Cloud Based Cisco Telephony DR UCaaS with HA and redundancy on an external site
Verba	Call Recording Software ▪ records call– includes screen capture throughout the call ▪ Requires an ICD line to work ▪ Only the Supervisors have access to these recordings ▪ Call center rep does not see this application – they just know that the call is being recorded ▪ The recordings are not indexed or associated with the member ▪ Saved within the application	Expected Redundancy and HA by June, 2021
Employer Related		
ERS – Employer Reporting System	Used mainly by non-CPS employers to resolve exceptions or data discrepancies ▪ regular pay-period submissions ▪ Adjustments ▪ Allows for Fiscal Year Pay Calendar setup ▪ Collaboration with CTPF CPS Exception handling for Rejected (exceptions) records and member pay history review ERS Mirror site available:	Uses Zen Desk for Collaboration Browser based

System	Purpose	Notes
	▪ Used for test environments for ERS in attempt to mimic what the employer sees ▪ Mirrored production environment that is refreshed every day with real data	
Employer Status Data Warehouse	▪ stores the employment status for all active members ▪ historical and current ▪ Injects employment status information sent by the employer ▪ Used to validate employment status changes	Browser based
CPS/CTPF Collaboration Portal	▪ No longer used actively, but referenced for legacy info ▪ Today they can create a miscellaneous wage period error exception, CPS can see exceptions and communicate with CTPF. ▪ CTPF used to access this portal to communicate with CPS (only CPS). CTPF still needs to do the tasks performed in this tool; however, it is done in a different format today. ▪ Not the same as submitting the reporting files ▪ Really just a reference tool that is phasing out	Tool goes away prior to new PAS Legacy information will be converted to the Atlassian Service Desk. Will not be needed after data conversion and access is created to existing data – Expected data conversion completion by August-Sept 2021
Raw Transmittal File	• CPS used to keep all their transmittal data in one file • It is the most accurate source of data from CPS dating back from 2007 – 2012 • Not used a lot of refunds but the pension audit team uses it quite extensively • Would be good to consolidate this • Has a front end to the file/database • The raw data that was originally submitted for wage reporting	
CPS File Transmittal	CPS File Transmittal Utility • Injects, Wage files (bi-monthly), adjustment files, employment status files (daily and bi-monthly), contact files • Decrypts file, archives a copy, and transfers to respective folders	Browser Based Home grown
Member Related		
Member Self Service	• Allows to view member demographic information • Access Annual Member statements, Monthly Pay Advices, and/or Annual 1099s	• Deployed late November 2020 Further services will be discussed for future phases • Home grown • Accessed from Organization Website
Utilities		

System	Purpose	Notes
Weeks Worked	Allows to correct records in PGold with bad weeks worked data by member	Home grown – expected that it will not be needed with New PAS
PDF Converter	Converts member estimates in Bradpen to a pdf to be imaged into AX	Home grown – expected that it will not be needed with New PAS Browser Based
Health Insurance		
Filezilla	▪ Retrieve CPS Cobra files	
Health Insurance Carrier Websites	▪ BlueCross, United Healthcare, Express Scripts / RSA token	
Insurance Override System	▪ Used to track certain retiree health insurance info and dates ▪ provides a mechanism to make the system look like what really should have happened	Home grown – expected that it will not be needed with New PAS
Helpdesks		
Health Insurance Help Desk	▪ respond to escalations from Member Services team	
ZenDesk	▪ Essentially the Employer Help Desk ▪ Integrated through Employer Reporting Portal (ERS) ▪ used to communicate with the employers	
Atlassian Jira	▪ Atlassian Service Desk will replace the SharePoint helpdesks known as: ▪ Application support helpdesk ▪ Infrastructure Support helpdesk ▪ CPS/CTPF Collaboration Portal Currently used for Project Management: ➢ User stories on development projects ➢ Test defects identified by the users during development testing ➢ Data Initiatives team – user stories	Expected completion by June 2021 Atlassian Confluence will be incorporated to create FAQ for automated service resolution
Benefits Help Desk	▪ Benefit escalation system ▪ Member has put in a refund request with a hardship associated ▪ Refund is outstanding for more than 90 days ▪ Helps track the status of the various escalations ▪ Terminal digit owner is expected to monitor this and respond within 48 hours	
Misc. Office Productivity		
TextPad	Tool that converts information into text	
Bugzilla	▪ Archive of old outstanding bugs ▪ Focus is now on entering everything into Jira.	
Infrastructure		
Azure	Microsoft - M365, Exchange Online	
AWS	Hosts: Organization Website (CTPF.org) Member Self Service Portal Employer Reporting Portal (ERS)	

System	Purpose	Notes
SQL Server Management Studio	used for Ad-hoc query requests	
SQL	Sql Server	
SSRS	Used for Internal Processing reports	
SSIS	Naphsis Data Transfer	
Virtual Desktop Interface (VDI)	Citrix VDI	Expected Implementation May, 2021

6.2.4 – Actuarial Reporting Examples – File layout

CTPF ACTUARIAL EXTRACT FILE FORMATS

In Pensioner Extract not in HI Extract
Benefit
Dep
SSN
First
Middle
Last
Sex
DOB
SpouseDOB
BenEffDt
Svc
Status
Base
AAI
FAS
InsurancePremium
InsuranceSubsidy
HealthRebate
MedicareA Subsidy
MedicareAPremium
MedicareBSubsidy
MedicareBPremium
MedicareBPremium

Pensioner File
benefit
dep
ssn
member_id
First
Middle
Last
Sex
DOB
SpouseDOB
beneffdt
surv_type
Svc
Status
Base
AAI
FAS
healthrebate
ins_subsidy
ins_premium
med_a_subsidy
med_a_premium
med_b_subsidy
med_b_premium

Actuarial June Deductions
benefit
dep
ssn
member_id
First
Middle
Last
Sex
DOB
SpouseDOB
beneffdt
surv_type
Svc
Status
Base
AAI
FAS
healthrebate
ins_subsidy
ins_premium
med_a_subsidy
med_a_premium
med_b_subsidy
med_b_premium

Changed SSNs
entity_id
old_ssn
new_ssn
source

Survivors w Recalc Adjustments
tin
member_id
first_name
last_name
pension_amt
adjs
amt

Follow Up File Separation Dates Term-Inactive-DefV
member_id
ssn
status
separation_dt
reactivated_date

CTPF ACTUARIAL EXTRACT FILE FORMATS

Final file add entry date
member_id
FEIN
SSN
First
Middle
Last
DOB
Sex
Salary
Status
Ret
Surv
AAI
Svc
EmpID
Tier
entry_dt
tin
agency_name
reciprocal_svc_on_file

DeletedfromMemberFile-OnPensionerFile.xlsx
FEIN
SSN
First
Middle
Last
DOB
Sex
Salary
Status
Ret
Surv
AAI
Svc
EmpID
Tier

Coverage Premiums
Insurance Company
Code
Total Premium
CTPF Portion
Effective Date
Termination Date

EmpIDUpd
tin
employer_id
empTIN

Member File Final
member_id
FEIN
SSN
First
Middle
Last
DOB
Sex
Salary
Status
Ret
Surv
AAI
Svc
EmpID
Tier
entry_dt
tin
agency_name
reciprocal_svc_on_file

Survivors w Recalc Adjustments
tin
member_id
first_name
last_name
pension_amt
adjs
Amt

Update Member Status Actuarial
FEIN
SSN
First
Middle
Last
DOB
Sex
Salary
Status
Ret
Surv
AAI
Svc
EmpID
Tier

Health Insurance Coverage Codes and Premiums
benefit
dep
member_id
ssn
First
Middle
Last
DOB
beneffdt
company_name
code
healthrebate
ins_subsidy
ins_premium
med_a_subsidy
med_a_premium
med_b_subsidy
med_b_premium

Members with Refunds not on File
tin
member_id
benefit_eff_date
separation_dt

6.2.5 – Employer Reporting Key Elements

CTPF currently receives data from employers using two different procedures. Chicago Public Schools (CPS) creates their wage file according to the specified file layout below. Charter Schools will submit payroll through an online form or a different layout consisting of the required fields. CTPF runs a process that converts the data submitted by the Charters into the layout below. All the files loaded into the CTPF system known as BradPen will all match the layout below.

Transmittal Header Record

Attribute	Type	Len	From	To	EXAMPLES	REQ	Description	Comments
Fund ID	char	1	1	1	1	R	Must be a value of '1'	
Employer ID	char	5	2	6	9999	R	Must be a valid employer ID found on the Employer table	
Fiscal Year	char	4	7	10	YYYY	O	paid fiscal year	
Batch Reporting Type	char	1	11	11	T	R	Always a value of 'T'	
Batch ID Number	char	17	12	28	0000000	R	Zero fill	
Batch Pay Period Code	char	2	29	30	01	R	Pay period number of the batch	
Ignored	char	5	31	35				
Batch Pay Period Beg Date	date	8	36	43	yyyymmdd	R	Beginning Date of the Pay Period	
Batch Pay Period End Date	date	8	44	51	yyyymmdd	R	Ending Date of Pay Period paid date	
Ignored	char	3	52	54				
Transmittal Record Type	char	5	55	59	HEAD	R	Always a value of 'HEAD'	
Transmittal File Received Date	date	8	60	67	yyyymmdd	R	Date the file was received.	
Late File Reason Code	char	5	68	72			The code value of why the file was late	Added on 4/11/18
Ignored	char	47	73	119				

Transmittal Record Layout

Attribute	Type	Len	From	To	EXAMPLES	REQ	Description	Comments
Fund ID	char	1	1	1	1	R	Must be a value of '1'	No Change
Employer ID	char	5	2	6	9999	R	Must be a valid employer ID found on the Employer table	No Change
Fiscal Year	char	4	7	10	YYYY	O	Build this value based on the from/to date of the record being posted	Don't need - We can determine this based on the from/to date of the record
Ignored	char	1	11	11				
Batch ID Number	char	17	12	28	0000000	R	Zero fill	zero
Batch Pay Period Code	char	2	29	30	01	R	Pay period number of the batch	Don't need - other pay period code is the important code
Ignored	char	5	31	35				
Batch Pay Period Beg Date	date	8	36	43	yyyymmdd	R	Beginning Date of the Pay Period - Paid dates of the on-cycle payroll dates	Don't need - other from/to date is the important date
Batch Pay Period End Date	date	8	44	51	yyyymmdd	R	Ending Date of Pay Period paid date	No Change
Ignored	char	3	52	54				
Record Type	char	5	55	59	TRANS	R	Always a value of 'TRANS'	No Change

Transmittal Record Layout								
Attribute	**Type**	**Len**	**From**	**To**	**EXAMPLES**	**REQ**	**Description**	**Comments**
Record Action Type	char	2	60	61	A	O	If this is a new teacher the value should be 'A', otherwise it is always blank.	Don't need - CTPF will determine when a member is new and add them to Pgold.
Record Retro Flag	char	1	62	62	Y	O	Y flags the record as an adjustment to an existing PPD record on the member's record. Any other value is treated as a New PPD record. Default to blank.	No Change
Mbr SSN	char	15	63	77	123456789	R	SSN for reported member	No Change
Member ID	char	20	78	97			Member ID of the member being reported	Added on 4/11/18
Ignored	char	1	98	98				Added on 4/11/18
CPS ID	char	5	99	103				
CPS ID	char	5	104	108				
Per First Name	char	25	109	133		R	First Name	No Change
Per Middle Name	char	25	134	158		R	Middle Name	No Change
Per Last Name	char	25	159	183		R	Last Name	No Change
Ignored	char	5	184	188				
Per Gender Code	char	5	189	193	M	O	M = male, F = female, U = unknown	No Change
Ignored	char	5	194	198				
Per Marital Status Code	char	5	199	203	M	O	S = single, M = married, D = divorced, W = widowed, U = unknown,	No Change
Ignored	char	1	204	204				
Ignored	char	5	205	209				
Ignored	char	1	210	210				
Ignored	date	8	211	218				
Mbr Entry Date	date	8	219	226	yyyymmdd	O	Date Member entered the pension system. Default to the Sal Pay Period Begin Date (pos 389).	Don't need
Mbr Employment Date	date	8	227	234	yyyymmdd	O	Date Member was hired by employer. Default to the Sal Pay Period Begin Date (pos 389)	No change
Ignored	date	8	235	242				
Ignored	date	8	243	250				
Ignored	date	4	251	254				
Tier Indicator	char	2	255	256			01 or 02	
Ignored	char	7	257	263				
Ignored	char	1	264	264				
Plan ID	char	2	265	266	01	R	Always a value of '01'	No change
Ignored	date	8	267	274				
Embr Comp Time Balance	num	12	275	286		O	Not used by CTPF. Please leave blank.	Don't need
Ignored	char	22	287	308				

Transmittal Record Layout								
Attribute	**Type**	**Len**	**From**	**To**	**EXAMPLES**	**REQ**	**Description**	**Comments**
Embr Sick Balance	num	12	309	320	7850000	R	Sick Regular at CTPF - Sick **Days** Balance from Employer Payroll as of the PPD end date. (7850000 contains 4 decimal places and is equal to 785.0000 hours)	Most recent prior to any sick balance payout
Embr Vacation Balance	num	12	321	332	240000	O	Vacation Reserve 2 at CTPF - Vacation **Days** Balance from Active Payroll as of the PPD end date. (240000 contains 4 decimal places and is equal to 24.0000 hours)	Don't need
Ignored	num	12	333	344				
Ignored	char	5	345	349				
Ignored	date	8	350	357				
Comment	char	31	358	388		O	"ID: CPS ID"	??
Sal Pay Period Begin Date	date	8	389	396	yyyymmdd	R	Begin date of the pay period this record is being reported for.	No change
Sal Pay Period End Date	date	8	397	404	yyyymmdd	R	End date of the pay period this record is being reported for.	No change
Sal Pay Period Number	char	2	405	406	01	R	Pay period number this record is being reported for.	Pending CPS resolution
Sal Payroll Process Date	date	8	407	414	19970720	R	Date the Active Payroll executed.	No change
Ignored	char	5	415	419				
Ignored	date	8	420	427				
Ignored	date	8	428	435				
Sal Gross Salary Amt	num	11	436	446	110000	O	Default to zero	Don't need
Sal Earnable Salary Amt	num	11	447	457	110000	R	Pensionable pay plus the employer contribution (pickup) for this pay period. 2 decimals implied	No change
Sal Pensionable Salary Amt	num	11	458	468	110000	R	Earn salary for this period that contributions are based on. Does not include the incremental salary. Incremental salary is reported in customized fields at end of file. 2 decimals implied.	No change
Sal Work Indicator	char	1	469	469	D	O	D = Days	No change
Sal Gross Units Worked	num	8	470	477	1000	R	All units earned for this pay period. 2 decimals implied (1000 indicates 10.00 days). Fractional days not allowed.	No change
Ignored	num	8	478	485	1000			
Ignored	num	8	486	493	1000			
Ignored	char	5	494	498				
Ignored	char	5	499	503				
Ignored	date	8	504	511				
Ignored	date	8	512	519				
Ignored	date	8	520	527				
Ignored	char	5	528	532				
Ignored	date	8	533	540				
Warrant Number	char	10	541	550		R	Warrant Number for CTPF	No change

Transmittal Record Layout								
Attribute	**Type**	**Len**	**From**	**To**	**EXAMPLES**	**REQ**	**Description**	**Comments**
Ignored	char	1	551	551				
Contr Employee Pre Tax Amt	num	11	552	562	7000	R	Employee Pre Tax Portion of the contribution. 2 decimals implied.	No change
Contr Employee Post Tax Amt	num	11	563	573	0	R	Employee Post Tax Portion of the contribution. 2 decimals implied. Default to zero.	No change
Ignored	char	1	574	574				
Contr Employer Pre Tax Amt	num	11	575	585	9000	R	Employer Pre Tax Portion of the contribution. 2 decimals implied.	No change
Contr Employer Post Tax Amt	num	11	586	596	0	R	Employer Post Tax Portion of the contribution. 2 decimals implied. Default to zero.	No change
Tier Cap Reached Ind	char	1	597	597			Will be a Y or N. Y if a portion of the member's salary puts them over the cap and CPS is not submitting the full 9% contributions	
Employee Cont Pct	num	5	598	602		R	Will contain the employee contribution percent amount used for the employee deduction. 3 decimals implied. Example 02000 represents 2% employee contribution.	
Filler	char	1	603	603				
Employer Cont Pct	num	5	604	608		R	Will contain the employer contribution percent amount used for the employer deduction. 3 decimals implied. Example 07000 represents 7% employer contribution.	
Contribution Plan	char	6	609	614		R	The benefit plan the employee is setup for.	
Filler	char	6	615	620				
Contr Contract Pre Tax Amt	num	11	621	631	0	R	Service Credit Purchase Contract pre tax portion. 2 decimals implied; CTPF will use this field for the 2.2 upgrade payments	No change
Contr Contract Post Tax Amt	num	11	632	642	0	R	Service Credit Purchase Contract post tax portion. 2 decimals implied; CTPF will use this field for the 2.2 upgrade payments. Default to zero.	No change
Job Employment Type	char	5	643	647	FT	R	Default to 'FT'	No change
Pay Group	char	5	648	652		NN	Pay group	
Job Department Code	char	10	653	662		O	This field will be populated with a job code sent by CPS.	Don't need
Job Division Code	char	10	663	672		R	This will contain the unit number for the building the member worked in for the period being reported. The CPS Department ID	No change

Transmittal Record Layout								
Attribute	**Type**	**Len**	**From**	**To**	**EXAMPLES**	**REQ**	**Description**	**Comments**
Job Class Code	char	5	673	677		O	Three types: Central Office or City Wide, Elementary School, High School	No change
Job Class Eff Date	date	8	678	685	yyyymmdd	O	Date the member changed job class code. Can be the Batch Pay Period Begin Date	No change
Job Title Code	char	5	686	690		O	This is the Type of position (i.e. teacher, administrative, subs)	No change
Job Title Eff Date	date	8	691	698		O	Date the member changed job title code. Can be the Batch Pay Period Begin Date.	No change
Job Pay Grade	char	5	699	703		O	Lane of teacher (3) Step of teacher (2)	No change
Job Pay Grade Amt	num	11	704	714		O	Blank	Don't need
Job Pay Grade Eff Date	date	8	715	722		O	Can be the Batch Pay Period Begin Date.	No change
Job Pay Status	char	5	723	727		O	Active, Inactive, Leave	No change
Job Pay Status Eff Date	date	8	728	735		O	Can be the Batch Pay Period Begin Date.	No change
Birth Date	date	8	736	743	yyyymmdd	O	Required for new member	No change
Ignored	char	50	744	793				
Ignored	char	20	794	813				
Ignored	char	1	814	814				
Ignored	date	8	815	822				
Ignored	char	5	823	827				
Ignored	char	1	828	828				
Ignored	char	2	829	830				
Ignored	char	30	831	860				
Ignored	char	5	861	865				
Ignored	date	8	866	873				
Ignored	char	5	874	878				
Addr Eff Date	date	8	879	886		O	Actual address effective date	No change
Addr Type Code	char	5	887	891		O	Address Type Code	Home or Mail
Addr Line 1	char	30	892	921		O	Address Line	No change
Addr Line 2	char	30	922	951		O		No change
Addr Line 3	char	30	952	981		O		No change
Addr City	char	30	982	1011		O	City of the address	No change
Addr State Code	char	5	1012	1016		O	State of the address	No change
Addr Zip Code	char	9	1017	1025	60601	O	Zip of the address	No change
Addr E-mail Address	char	50	1026	1075	dk@lrs	O	User defined or valid email address	No change
Addr MailStop Description	char	10	1076	1085	c10	O	blank	Not needed
Addr Country Code	char	5	1086	1090	US	O	Country codes	No change
Addr County Description	char	20	1091	1110	COOK	O		Don't need
Ignored	date	8	1111	1118				
Phn Type Code	char	5	1119	1123	HOME	O	See Phone Type codes	No change
Phn Country Code	char	5	1124	1128	US	O	Country codes	No change

Transmittal Record Layout								
Attribute	**Type**	**Len**	**From**	**To**	**EXAMPLES**	**REQ**	**Description**	**Comments**
Phn Area Code	char	3	1129	1131	408	O	3 digits	No change
Phn Number	char	15	1132	1146	2775137	O	7 digits, no hyphen	No change
Phn Extension Number	char	5	1147	1151		O		No change
Payroll Table ID	num	2	1152	1153		R	Payroll table that the contract salary is associated with	No change
Certificate Type	char	5	1154	1158		R	REGU=regular, PROV=provisional	No change
Attendance Calendar	char	30	1159	1188		O	Blank if this record is an adjustment (ADJUST)	No salary to report description
Job Description	char	17	1189	1205		O	Job description code sent by CPS.	???
Salary Reason Code	char	5	1206	1210		NN	Leave blank - for exception file corrections	
Weeks Worked	num	2	1211	1212		R	40, 44, 48 or 52 weeks paid in a fiscal year; 0 decimals implied; required for contributions, optional for adjustments	
Extended Pay Indicator	num	1	1213	1213		R	1 - If deferred contributions are being paid into the bank (positive deferred contributions) 0 - If no deferred contributions are being paid. 9 - If deferred contributions are being paid out of the bank (negative deferred contributions).	Not needed
Deferred Employee Contribution	num	11	1214	1224		R	2 decimals implied. When the Extended Pay Indicator is a 9, these contributions are negative. When a 1 these contributions are positive	Not needed
Deferred Employer Contribution	num	11	1225	1235		R	2 decimals implied. When the Extended Pay Indicator is a 9, these contributions are negative. When a 1 these contributions are positive	Not needed
SPC Contract Number 1	num	3	1236	1238		O	Contract number for the service purchase contract. Note: all SPC Contract fields are for future use.	
SPC Contract Amount 1	num	6	1239	1244		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Number 2	num	3	1245	1247		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Amount 2	num	6	1248	1253		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Number 3	num	3	1254	1256		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Amount 3	num	6	1257	1262		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Number 4	num	3	1263	1265		O	Contract amount for the service purchase contract; 2 decimals implied	

Transmittal Record Layout								
Attribute	**Type**	**Len**	**From**	**To**	**EXAMPLES**	**REQ**	**Description**	**Comments**
SPC Contract Amount 4	num	6	1266	1271		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Number 5	num	3	1272	1274		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Amount 5	num	6	1275	1280		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Number 6	num	3	1281	1283		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Amount 6	num	6	1284	1289		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Number 7	num	3	1290	1292		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Amount 7	num	6	1293	1298		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Number 8	num	3	1299	1301		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Amount 8	num	6	1302	1307		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Number 9	num	3	1308	1310		O	Contract amount for the service purchase contract; 2 decimals implied	
SPC Contract Amount 9	num	6	1311	1316		O	Contract amount for the service purchase contract; 2 decimals implied	
Incremental Salary Code 1	char	10	1317	1326		O	Code used to identify the pay item type. Only required if member has an eligible salary increment.	
Incremental Salary Amount Code 1	num	7	1327	1333		O	Dollar amount paid in this pay period for the incremental type identified for the associated type; 2 decimals implied. Only required if corresponding Salary Code is populated.	
Incremental Salary Code 2	char	10	1334	1343		O	Code used to identify the pay item type. Only required if member has multiple eligible salary increments.	
Incremental Salary Amount Code 2	num	7	1344	1350		O	Dollar amount paid in this pay period for the incremental type identified for the associated type; 2 decimals implied. Only required if corresponding Salary Code is populated.	
Incremental Salary Code 3	char	10	1351	1360		O	Code used to identify the pay item type. Only required if member has multiple eligible salary increments.	

Transmittal Record Layout								
Attribute	**Type**	**Len**	**From**	**To**	**EXAMPLES**	**REQ**	**Description**	**Comments**
Incremental Salary Amount Code 3	num	7	1361	1367		O	Dollar amount paid in this pay period for the incremental type identified for the associated type; 2 decimals implied. Only required if corresponding Salary Code is populated.	
Incremental Salary Code 4	char	10	1368	1377		O	Code used to identify the pay item type. Only required if member has multiple eligible salary increments.	
Incremental Salary Amount Code 4	num	7	1378	1384		O	Dollar amount paid in this pay period for the incremental type identified for the associated type; 2 decimals implied. Only required if corresponding Salary Code is populated.	
Incremental Salary Code 5	char	10	1385	1394		O	Code used to identify the pay item type. Only required if member has multiple eligible salary increments.	
Incremental Salary Amount Code 5	num	7	1395	1401		O	Dollar amount paid in this pay period for the incremental type identified for the associated type; 2 decimals implied. Only required if corresponding Salary Code is populated.	
Incremental Salary Code 6	char	10	1402	1411		O	Code used to identify the pay item type. Only required if member has multiple eligible salary increments.	
Incremental Salary Amount Code 6	num	7	1412	1418		O	Dollar amount paid in this pay period for the incremental type identified for the associated type; 2 decimals implied. Only required if corresponding Salary Code is populated.	
Incremental Salary Code 7	char	10	1419	1428		O	Code used to identify the pay item type. Only required if member has multiple eligible salary increments.	
Incremental Salary Amount Code 7	num	7	1429	1435		O	Dollar amount paid in this pay period for the incremental type identified for the associated type; 2 decimals implied. Only required if corresponding Salary Code is populated.	
Incremental Salary Code 8	char	10	1436	1445		O	Code used to identify the pay item type. Only required if member has multiple eligible salary increments.	
Incremental Salary Amount Code 8	num	7	1446	1452		O	Dollar amount paid in this pay period for the incremental type identified for the associated type; 2 decimals implied. Only required if corresponding Salary Code is populated.	

Transmittal Record Layout

Attribute	Type	Len	From	To	EXAMPLES	REQ	Description	Comments
Incremental Salary Code 9	char	10	1453	1462		O	Code used to identify the pay item type. Only required if member has multiple eligible salary increments.	
Incremental Salary Amount Code 9	num	7	1463	1469		O	Dollar amount paid in this pay period for the incremental type identified for the associated type; 2 decimals implied. Only required if corresponding Salary Code is populated.	
Incremental Salary Code 10	char	10	1470	1479		O	Code used to identify the pay item type. Only required if member has multiple eligible salary increments.	
Incremental Salary Amount Code 10	num	7	1480	1486		O	Dollar amount paid in this pay period for the incremental type identified for the associated type; 2 decimals implied. Only required if corresponding Salary Code is populated.	

Transmittal Trailer Record Layout

Attribute	Type	Len	From	To	VALUE	REQ	Description	Comments
Fund ID	char	1	1	1	1	R	Must be a value of '1'	
Employer ID	char	5	2	6	9999	R	Must be a valid employer ID found on the Employer table	
Fiscal Year	char	4	7	10	YYYY	O	paid fiscal year	
Batch Reporting Type	char	1	11	11	T	R	Always a value of 'T'	
Batch ID Number	char	17	12	28	0000000	R	Zero fill	
Batch Pay Period Code	char	2	29	30	01	R	Pay period number of the batch	
Ignored	char	5	31	35				
Batch Pay Period Beg Date	date	8	36	43	yyyymmdd	R	Beginning Date of the Pay Period	
Batch Pay Period End Date	date	8	44	51	yyyymmdd	R	Ending Date of Pay Period paid date	
Ignored	char	3	52	54				
Transmittal Record Type	char	5	55	59	TRAIL	R	TRANSMITTAL_RECORD_TYPE Code Table Lookup - Must be 'TRAIL'	
Ignored	char	30	73	89				
Ignored	char	30	90	119				
Tot Record Count	num	11	120	130		O	Total records, does NOT include Header, Trailer	
Tot Employee Contribution Amt	num	11	131	141		O	All Employee Pre & Post Contributions	
Tot Employer Contribution Amt	num	11	142	152		O	All Employer Pre & Post Contributions	
Tot Pensionable Salary	num	11	153	163		O	Changed from base to allow ERS balancing on pensionable salary reported.	
Tot Contract Payment Amt	num	11	164	174		O	All Employee Service Purchase Contract Payments	
Tot Receivable Amt	num	11	175	185		O	Total amount owed by the Employer to the CTPF	

6.2.6 – CTPF Disaster Recovery / Business Continuity Plans

The overall business continuity aim of the Fund is to maintain production and operations in a safe and environmentally responsible manner, where feasible.

The general objectives are to ensure that in the event of an incident or crisis situation:

- There will be a logical recovery of the business
- Impacts will be kept within acceptable levels as defined by the business department representatives
- Business will continue as usual, as far as possible

The CTPF Plan addresses the following planning priorities:

- Staff health & safety
- Safeguarding of assets
- Continuity of key business activities
- Protecting the Environment
- Fulfilling obligations

The following documents and sub-plans are included in the CTPF DR planning:

- ✓ IT Emergency Response Plan: Lists contacts including when they will be contacted and contact modes. Lists the immediate actions that must be taken in the event of certain occurrences.

- ✓ Succession Plan: Describes the flow of responsibilities when normal staff is unavailable to perform their duties.

- ✓ Asset Inventory Report: Collects information on data center hardware, client workstation hardware, installed software, and software licenses.

- ✓ BC/DR SLA Document: Inventories and organizes data processing and telephony systems, applications, and data into approximately 6-8 tiers ranging from most critical to least critical. Defines SLA's (Service Level Agreements) and specifies RPO's (Recovery Point Objectives) and RTO's (Recovery Time Objectives) for each tier.

- ✓ Data Processing DR Runbook: Consists of a compiled playbook staging the sequencing and timing of system, application, and data recovery based upon the SLA's described in the BC/DR SLA document.

- ✓ Telephony DR Runbook: Consists of a playbook for executing recovery steps for inbound and outbound phone calling, PBX (Private Branch Exchange), voicemail, and conversation recording services based upon the SLA's described in the BC/DR SLA document.

- ✓ Offsite DR Runbook: Consists of instructions for renting office space off-premises in the event of an office building, local downtown, or regional disaster.

- ✓ Data Backup and Retention Plan: Specifies which data is backed up, backup method, type, and frequency, and how long the data will be kept in backup form before archiving or purging.

- ✓ Equipment Replacement Plan: Explains what equipment is required to begin to provide services, lists the order in which it is necessary, and notes how and where to purchase said equipment.

- ✓ Crises Communication Management Plan: Defines who oversees disclosing information to public media. Provides guidelines on what information is appropriate to provide.

CTPF IT management schedules time at least once a quarter to conduct full or partial-scale DR plan drills and exercises. These testing times offer a chance to gain proficiency, uncover and resolve issues, update documentation where necessary, attest to the degree of plan confidence, and gauge team preparedness.

The Fund's collective DR and BC Procedures as an example shall address:

- Power failure
- Live downed high voltage wire
- Heating / air conditioning failure
- Fire & smoke damage
- Regional flooding
- Water damage
- Gas leak
- Earthquake/ seismic damage
- Tornado, severe storm
- Snow and ice
- Hazardous chemical spill
- Hazardous radiation
- Health pandemic crisis
- Computer system failures
- Ransomware and malware attacks
- Administrative or service account hijacking
- Loss of multiple key personnel
- Loss of corporate office data center(s)
- Loss of access to corporate office building(s)
- Active shooter

6.2.7 – CTPF Record Retention Policy

The purpose of this Rule is to (1) ensure the adequate retention, maintenance, and Disposal of all Fund Records and (2) to aid employees and Trustees in their understanding of their responsibilities and obligations concerning the retention, maintenance, and Disposal of Fund Records.

As the Fund is a separate body politic and corporate, pursuant to 40 ILCS 5/22-401 of the Pension Code, it is not an "agency" as defined and covered by either the State Records Act (see 5 ILCS 160/2) or the Local Records Act (see 50 ILCS 205/3).

The CTPF Record Retention Policy can be found on the CTPF website at the following link:

https://ctpf.org/sites/files/2020-10/190301_record_retention_policy_and_schedule.pdf

6.2.8 – CTPF Application Implementation Policy

This policy applies to all newly developed software implementations by the Fund or for the Fund.

Application developers and computer security experts will work together to assess data requirements for any new applications. Internal customers shall specify their requirements for the applications and application developers will work with the internal customer to identify and categorize data according to the internal customer requirements.

Once the data and application requirements are established, computer security personnel can then evaluate risk and determine methods, processes, equipment, and procedures to mitigate known risks. The computer security personnel, internal customers, and application developers will work together to provide required and reasonable access capability to systems and data both during development and final project implementation while providing the best computer security possible for a reasonable cost. Under no circumstances should the overall security of the network be seriously compromised for the benefit of any project.

Development Standards

- The design of all systems, whether developed or acquired, must include a formal security plan
- Systems must comply with applicable legal and regulatory requirements
- The design, development, testing, implementation, operation, and maintenance of all systems must be formally authorized by an appropriate level of management
- All user input must be verified to prevent attacks such as SQL or email injection
- Sensitive information may not be stored in cookies
- User passwords may not be stored in clear text on the client computer
- User passwords should not be transmitted over unsecure protocols in the clear (clear text)
- Access to sensitive data should not be allowed without authentication and authorization
- Appropriate buffer overflow controls must be implemented
- All appropriate error conditioning including but not limited to:

    1. File access fails
    2. One or more configuration files are not available
    3. A library file is unavailable
    4. Provision to be sure library files or configuration files are not tampered with and the files are valid when used by the program
    5. Modification of system environment variables cannot compromise the security of the program or cause a different library or configuration file to be substituted

- Code base must be appropriately commented

Software Functionality

When designing software, consideration must be given to the functionality that is being provided to the user and ways that unscrupulous individuals may attempt to circumvent that functionality.

Examples include but are not limited to:

- Creating accounts - Creating extra accounts or fraudulent accounts by one person
- Elevation of privilege
- Performing password resets - Using the ability to reset a password to gain unauthorized access to someone else's account
- Contacting the webmaster - Using the contact page to send spam email
- Submitting sites - Submitting spam sites and using robots to submit mass quantities of sites and overloading the database or site receiving submissions
- Adding content to web sites - Finding a security flaw which allows untrusted sources to add spam content

6.2.9 – Change Control Strategy

The Change Control policy at CTPF outlines controls intended to reduce the risk of unintended or unauthorized changes to the Fund's systems and/or data. The policy establishes Separation of Duties (SoD) forbidding a single individual from developing and deploying changes in a production environment without obtaining review or approval from a designated approver(s). Additionally, the policy establishes the basic testing, review, and approval requirements for in-scope systems deployments.

The policy applies to all deployed updates to existing applications maintained by the Fund IT as well as related database objects, reports, and automated correspondence; this also applies to:

- SQL scripted data updates pertaining to the above referenced applications.
- Configuration, parameter, or code table updates performed by IT personnel, made from within one of the above referenced applications, using the application User Interface.

Key terms used in the CTPF policy include:

- **Back-out Plan** - Procedures to rollback to status quo in shortest amount of time safely possible.
- **DBA** - a database administrator (DBA) directs or performs all activities related to maintaining a successful database environment.
- **Deployment Approver –** includes the Chief Technology Officer, or alternate approver who will authorize the deployment based on a review of the change request authorization, IT testing, and peer-based code review.
- **Deployment Team –**Designated members of the IT Infrastructure team and/or Database Administrator.
- **Developer** - A member of the IT Applications team responsible for the coding of changes and database scripts.
- **Development/Test –**Internal IT environments where changes will be developed and tested prior to requesting promotion to User Acceptance Test level.
- **Impact Assessment –** An assessment conducted to assess the potential impact and risk associated with the change.
- **Migration Coordinator** - A member of the IT Applications team responsible for assembling documentation and submitting package for approval / deployment.
- **Production –**Live Fund operating environment containing systems, applications, and databases of record.
- **Rollback -** the process of restoring a database or program to a previously defined state, typically to recover from an error**.**

- **SQL** - Structured Query Language - SQL is used to communicate with a database. According to ANSI (American National Standards Institute), it is the standard language for relational database management systems.
- **UAT** (User Acceptance Test) – This environment contains “locked down” changes for the purposes of end user review and approval prior to Production deployment.

Change Requests

- All change requests must be documented and authorized prior to implementation. The change request must include the business purpose for the change and be authorized by representative business stakeholder(s) at a Supervisor or above level.

- The change request must include the following information at a minimum:
  - Date of request
  - Business need for request
  - Name of requester
  - Detailed description of the request

- Development team members then consider the potential risk and impact of the change as part of the implementation of the change request. Low-risk changes will be documented as such in the change request. If the change is deemed not to be low-risk, information describing the risk is provided to business users.

Fund Application and Database Environments

- The Fund maintains three sequential environments with specific steps that must be followed prior to promotion to the next sequential environment. There are controls in place to ensure that all steps are followed.

- The environments in sequential order are as follows:
  1. Development/Test
  2. User Acceptance Test
  3. Production

- The developers working on a given Change Request will not have access to apply those changes directly to the User Acceptance Test or Production environments.

General Deployment Controls

- Deployment to the User Acceptance Test and Production environments will be performed exclusively by a member of the deployment team. The deployments require confirmation of adherence to change management process steps and appropriate authorization.
  - The Chief Technology Officer may designate a member of the Deployment Team as an Alternate Approver for the User Acceptance Test and Production environment deployments.

  - An Approver providing deployment approval forfeits the ability to administer that approved deployment. That deployment must be administered exclusively by the remaining members of the Deployment Team.

- The Chief Technology Officer forfeits the ability to authorize approval if they have taken part in the development, code review, or testing of the change request.

- All deployments are evaluated, coordinated, and scheduled to ensure they minimize impact to normal business operations or systems processes.

- The developer assesses the impact of a given change request and determines the risk level. Users are advised of impacts and potential risks for changes.

- Reasonable advance notice is provided to the respective user base for all systems deployments.

- All deployment prerequisites are documented with a retrievable audit trail. All approvals are provided in writing or recorded as part of an electronic workflow. The Fund Migration Coordinator is responsible for compiling and verifying this information prior to deployment.

- All deployments have a step-by-step rollback plan to be executed in the event of a deployment failure. No deployment procedure will be conducted without the ability to roll back to initial starting point.

- The Deployment Team is responsible for verifying that approval was given prior to deployment.

- All significant deployment steps and milestones must be recorded as part of the deployment process.

- The Fund's Deployment Team will be responsible for coordinating and documenting the post deployment evaluation confirmation of success or failure.

- All deployments are concluded with notification of success or failure.
  - All failed deployments are logged in an incident report with an explanation of the failure and proposal for subsequent remediation.
  - All successful deployments should include correspondence notification to the user base with a summary level listing of the deployed changes.

6.2.10 – CTPF Security Policy

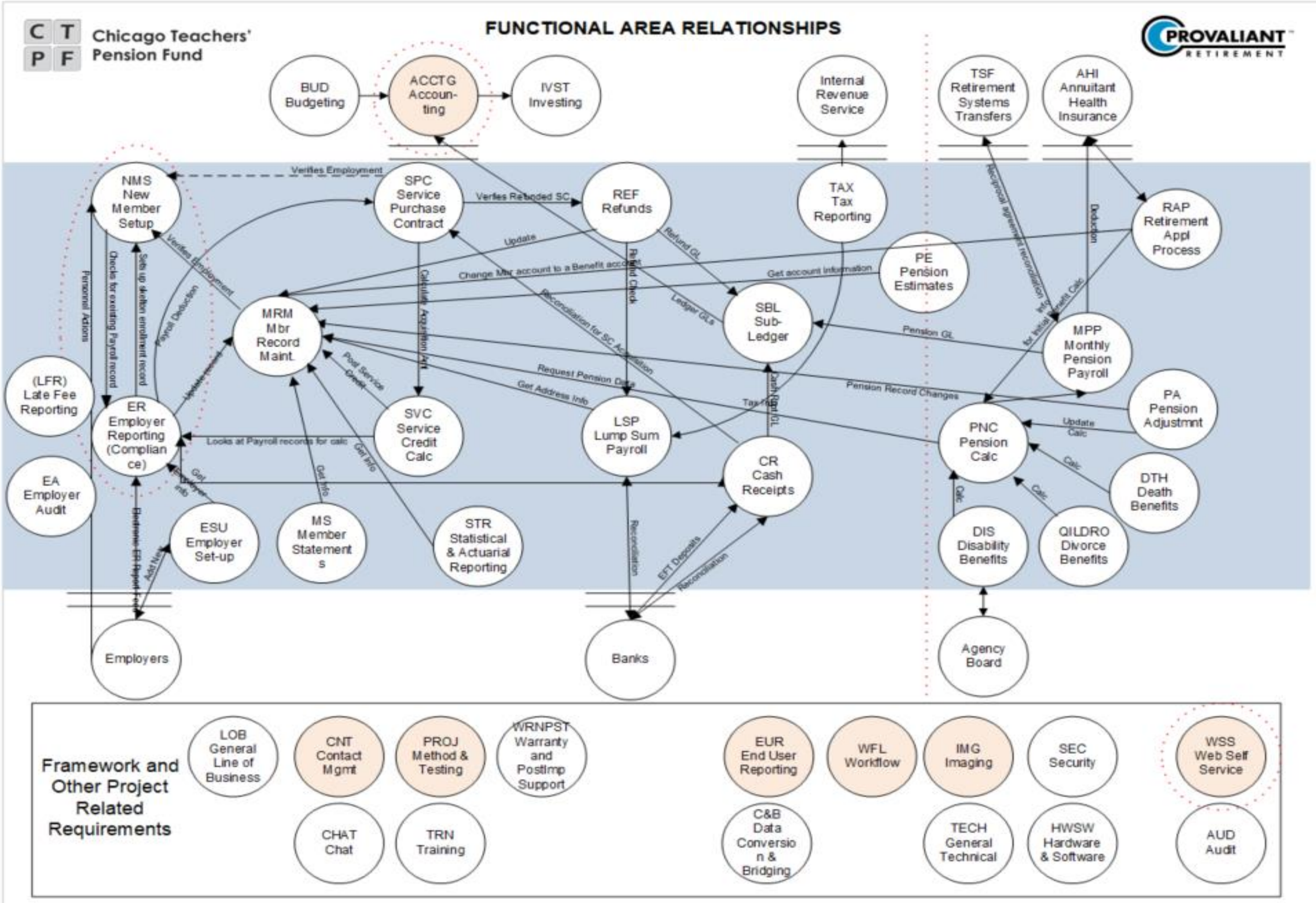
The CTPF Security Policy has been classified as sensitive in nature. Bidders must request copies of this documents directly from Maria Garcia, the CTPF Point of Contact for this RFP. This document will only be provided to Bidders that can provide evidence that their firm meets the Minimum Bidder Qualifications defined in the RFP and have completed a Non-Disclosure Agreement.

CTPF does want to make Bidders aware of a particular concern regarding roles and security permissions. The following discusses what CTPF refers to as "restricted accounts."

CTPF has defined “restricted” accounts as any account requiring additional privacy related protections that are enforced through security permissions. The accounts for the current and former members of the Board of Trustees, CTPF staff and other identified members are classified as restricted. As such, access to these accounts is “restricted” and processing of the accounts can only be performed by authorized CTPF staff. This includes, but is not limited to, data and related fields, workflow, documents, scripts, and reporting. In practice, no one inside or outside of CTPF should have access to, or know these accounts exist, unless they are part of authorized staff.

The proposed solution must provide the ability to identify (flag), enforce, and manage security access to these accounts. CTPF staff that have been granted temporary access to these accounts should be able to perform all functionality on these accounts that their respective role requires. Restricted accounts must be clearly identified and displayed as such on any screen accessed by authorized staff. All access and activity on restricted accounts must be logged with ad-hoc and scheduled audit reports available to authorized CTPF staff. Temporary access to restricted accounts should be revoked automatically based on CTPF business rules.

6.2.11 – CTPF Functional Area Diagram



6.2.12 – CTPF General Ledger of Accounts

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Burial Benefit Setup			Pensioners / 403200	Death Benefits Payable / 213300	1/1/1911	
Contributions	Member Contribution Record	Employee AAI	Reserve for Employee Contributions / 420000	Actuarial Liability Employee's Contribution/ 221300	1/1/1911	
Contributions	Member Contribution Record	Employee Retirement	Reserve for Employee Contributions / 420000	Actuarial Liability Employee's Contribution/ 221300	1/1/1911	
Contributions	Member Contribution Record	Employee Survivor	Reserve for Employee Contributions / 420000	Actuarial Liability Employee's Contribution/ 221300	1/1/1911	
Contributions	Member Contribution Record	SPC Acc RET Interest	Reserve for Employee Contributions / 420000	Actuarial Liability Employee's Contribution/ 221300	1/1/1911	
Contributions	Member Contribution Record	SPC Acc AAI Interest	Reserve for Employee Contributions / 420000	Actuarial Liability Employee's Contribution/ 221300	1/1/1911	
Contributions	Member Contribution Record	SPC Acc SVR Interest	Reserve for Employee Contributions / 420000	Actuarial Liability Employee's Contribution/ 221300	1/1/1911	
Contributions	Member Contribution Record	SPC New RET Interest	Reserve for Employee Contributions / 420000	Actuarial Liability Employee's Contribution/ 221300	1/1/1911	
Contributions	Member Contribution Record	SPC New AAI Interest	Reserve for Employee Contributions / 420000	Actuarial Liability Employee's Contribution/ 221300	1/1/1911	
Contributions	Member Contribution Record	SPC New SVR Interest	Reserve for Employee Contributions / 420000	Actuarial Liability Employee's Contribution/ 221300	1/1/1911	
Contributions	Member Contribution Record	SPC Overpayment	Reserve for Employee Contributions / 420000	Actuarial Liability Employee's Contribution/ 221300	1/1/1911	
Contributions	Member Contribution Record	Employee Contributions	Reserve for Employee Contributions / 420000	Actuarial Liability Employee's Contribution/ 221300	1/1/1911	
Contributions	Member Contribution Record	Employer Contributions	Reserve for Employee Contributions / 420000	Actuarial Liability Employee's Contribution/ 221300	1/1/1911	
Contributions	SPC Reserve For Contributions		Reserve for Employee Contributions / 420000	Actuarial Liability Employee's Contribution/ 221300	1/1/1911	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Death Benefit Setup			Single Sum Teachers / 403100	Death Benefits Payable / 213300	1/1/1911	
Death Refund Setup			Deaths Expense / 402200	Refunds Payable due to Deaths / 213210	1/1/1911	
Direct Pay Payment			Cash - Northern Trust / 111200	Insurance Direct Pay Receivable / 123140	1/1/1911	
Employer Payment ER Payment/Contributions/EE	Contributions	Employee Contributions	Cash - Northern Trust / 111200	Salary Deductions - Employ / 122100	1/1/1911	
Employer Payment ER Payment/Contributions/ER	Contributions	Employer Contributions	Cash - Northern Trust / 111200	Salary Deductions - Employ / 122110	1/1/1911	
Employer Payment ER Payment/SPC Payments/EE Contributions	SPC Payments	Employee Contributions	Cash - Northern Trust / 111200	Teachers Optional - ER / 122301	1/1/1911	
Employer Payment ER Payment/Reporting Penalty	Reporting Penalty		Cash - Northern Trust / 111200	Employer - Miscellaneous/121300	1/1/1911	
Employer Payment ER Payment/Payment Penalty	Payment Penalty		Cash - Northern Trust / 111200	Employer - Miscellaneous/121300	1/1/1911	
Employer Payment ER Payment/Salary Exceeds 20%	Salary Excess of 20%		Cash - Northern Trust / 111200	Employer - Miscellaneous/121300	1/1/1911	
Employer Payment ER Payment/ERO ER Contributions	ERO Employer Contributions		Cash - Northern Trust / 111200	Early Retirement Option / 121400	1/1/1911	
Employer Payment	Overpayment		Cash - Northern Trust / 111200	Liability for Employer / 213411	1/1/1911	
Employer Payroll			Liability for Employer / 213411	Cash - City Treasurer / 111100	1/1/1911	
Employer Receivable ER Rec/Contributions/EE Deferred	Contributions	Employee Deferred	Salary Deductions Employee Deferred / 122102	Salary Deduction - Employ / 311100	1/1/1911	
Employer Receivable ER Rec/Contributions/ER Deferred	Contributions	Employer Deferred	Salary Deductions Employer Deferred / 122112	Salary Deduction - Employ / 311110	1/1/1911	
Employer Receivable ER Rec/Contributions/EE	Contributions	Employee Contributions	Salary Deductions Employ / 122100	Salary Deduction - Employ / 311100	1/1/1911	
Employer Receivable ER Rec/Contributions/ER	Contributions	Employer Contributions	Salary Deductions Employ / 122110	Salary Deduction - Employ / 311110	1/1/1911	
Employer Receivable ER Rec/SPC Payments/EE Contribution	SPC Payments	Employee Contributions	Teachers Optional ER / 122301	Cash - Northern Trust / 111200	1/1/1911	
Employer Receivable ER Rec/Reporting Penalty	Reporting Penalty		Employer - Miscellaneous/121300	Employer - Miscellaneous/311112	1/1/1911	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Employer Receivable ER Rec/Payment Penalty	Payment Penalty		Employer - Miscellaneous/121300	Employer - Miscellaneous/311112	1/1/1911	
Employer Receivable ER Rec/Salary Exceeds 20%	Salary Excess of 20%		Employer - Miscellaneous/121300	Employer - Miscellaneous/311112	1/1/1911	
Employer Receivable ER Rec/ERO ER Contributions	ERO Employer Contributions		Early Retirement Option / 121400	Early Retirement Option / 301400	1/1/1911	
Employer Refund ER Refund/Contributions/EE Contributions	Contributions	Employee Contributions	Salary Deductions Employ / 122100	Liability for Employer / 213411	1/1/1911	
Employer Refund ER Refund/Contributions/ER Contributions	Contributions	Employer Contributions	Salary Deductions Employ / 122110	Liability for Employer / 213411	1/1/1911	
Employer Refund ER Refund/SPC Payments/EE Contributions	SPC Payments	Employee Contributions	Teachers Optional ER / 122301	Liability for SPC Overpayment / 213412	1/1/1911	
Employer Refund ER Refund/Reporting Penalty	Reporting Penalty		Employer - Miscellaneous / 121300	Liability for SPC Overpayment / 213412	1/1/1911	
Employer Refund	Payment Penalty		Employer - Miscellaneous/121300	Liability for SPC Overpayment / 213412	1/1/1911	
Employer Refund	Salary Excess of 20%		Employer - Miscellaneous/121300	Liability for SPC Overpayment / 213412	1/1/1911	
Employer Refund	ERO Employer Contributions		Early Retirement Option / 121400	Liability for Employer / 213411	1/1/1911	
Employer Refund	Overpayment		Liability for Employer / 213411	Cash - Northern Trust / 111200	3/1/2006	
Miscellaneous Refund Setup	Contributions		Excess Contributions / 402300	Miscellaneous Refunds Payable / 213240	1/1/1911	
Miscellaneous Refund Setup	Excess Contributions		2.2 Refunds / 402350	Miscellaneous Refunds Payable / 213240	1/1/1911	
Miscellaneous Refund Setup	1% 2.2 Excess contributions		2.2 Refunds 402350	Miscellaneous Refunds Payable 213240	1/1/1911	
Miscellaneous Refund Setup	Excess Service Purchase Contribution		Excess Contributions / 402300	Miscellaneous Refunds Payable / 213240	1/1/1911	
Miscellaneous Refund Setup	Concurrent Service		Creditable Service / 402500	Miscellaneous Refunds Payable / 213240	1/1/1911	
Miscellaneous Refund Setup	Service Purchase Overpayment		Liability for Teacher Overpayment / 213410	Miscellaneous Refunds Payable / 213240	1/1/1911	
Miscellaneous Refund Setup	Survivor Contributions		Excess Contributions / 402300	Miscellaneous Refunds Payable / 213240	1/1/1911	
Non Duty Related Retirement Setup	Contributions		Actuarial Liability Employee's Contribution/	Act. Liability Inf and Def / 221100	1/1/1911	
Payroll Processing Payroll/Adjustment/2.2 % Upgrade Purchase	Adjustment	2.2% Upgrade Purchase		Cash - Northern Trust / 111200	1/1/1911	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Payroll Processing Payroll/Adjustment/ERO Purchase	Adjustment	ERO Purchase		Cash - Northern Trust / 111200	1/1/1911	
Payroll Processing Payroll/Adjustment/Pension Recalculation Reduction	Adjustment	Pension Recalculation Reduction		Pensions - Service / 401100	1/1/1911	
Payroll Processing Payroll/Adjustment/Pension Recalculation Addition	Adjustment	Pension Recalculation - Addition	Pensions - Service / 401100		1/1/1911	
Payroll Processing Payroll/Adjustment/Health Rebate	Adjustment	Health Rebate	Mo. Health Care Prem. Sub. / 404100		1/1/1911	
Payroll Processing Payroll/Adjustment/Survivor Recalculation Addition	Adjustment	Survivor Recalculation - Addition	Pensions - Survivors / 401300		1/1/1911	
Payroll Processing Payroll/Adjustment/Survivor Recalculation Reduction	Adjustment	Survivor Recalculation - Reduction		Pensions - Survivors / 401300	1/1/1911	
Payroll Processing Payroll/Adjustment/ Reversionary Recalculation Reduction	Adjustment	Reversionary Recalculation Red		Pensions - Service / 401100	1/1/1911	
Payroll Processing Payroll/Adjustment/ Reversionary Recalculation Addition	Adjustment	Reversionary Recalculation Add	Pensions - Service / 401100		1/1/1911	
Payroll Processing Payroll/Adjustment/Retired Annuitant Refund Pre-tax	Adjustment	Retired Annuitant Refund Pre-tax	Liability for Teacher Overpayment / 213410		1/1/1911	
Payroll Processing Payroll/Adjustment/ Reversionary Reduction	Adjustment	Reversionary Reduction		Pensions - Service / 401100	1/1/1911	
Payroll Processing Payroll/Adjustment/Retired Annuitant Refund Post-tax	Adjustment	Retired Annuitant Refund Post-tax	Liability for Teacher Overpayment / 213410		1/1/1911	
Payroll Processing Payroll/Adjustment/2.2% Upgrade Recalculation Reduction	Adjustment	2.2% Upgrade Recalculation Red		Cash - Northern Trust / 111200	1/1/1911	
Payroll Processing Payroll/Adjustment/2.2% Upgrade Recalculation Addition	Adjustment	2.2% Upgrade Recalculation Add	Cash - Northern Trust 111200		1/1/1911	
Payroll Processing Payroll/Adjustment/Reduction for Contribution Deficiency	Adjustment	Reduction for Deferred		Cash - Northern Trust 111200	1/1/1911	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Payroll Processing Payroll/Adjustment/Vet Base	Adjustment	Vet Base	Pensions - Service 401100		1/1/1911	
Payroll Processing Payroll/Adjustment/Retired Teacher Supplement	Adjustment	Retired Teacher Supplement	RTSP 401900		1/1/1911	
Payroll Processing Payroll/Adjustment/Pre-Tax Overpayment Refund	Adjustment	Pre-Tax Overpayment Refund	Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing Payroll/Adjustment/Pre-Tax 2.2 Reduction	Adjustment	Pre-Tax 2.2 Reduction	Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing	Adjustment	Interest on 2.2 Reduction	2.2 Refunds		1/1/1911	
Payroll/Adjustment/Interest on 2.2 Reduction			402350			
Payroll Processing Payroll/Adjustment/Vet Reversionary Recalculation Reduction	Adjustment	Vet Reversionary Recalculation		Pensions - Service 401100	1/1/1911	
Payroll Processing Payroll/Adjustment/Direct Insurance Payment Adjustment	Adjustment	Direct Insurance Adjustment	Insurance Direct Pay Receivable 123140		1/1/1911	
Payroll Processing Payroll/Adjustment/Post-Tax Overpayment Refund	Adjustment	Post-Tax Overpayment Refund	Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing Payroll/Adjustment/Post-Tax 2.2 Reduction	Adjustment	Post-Tax 2.2 Reduction	Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing Payroll/Adjustment/Report Difference Reduction	Adjustment	Report Difference Reduction		Cash - Northern Trust 111200	1/1/1911	
Payroll Processing Payroll/Adjustment/Insurance Overpayment	Adjustment	Insurance Overpayment	Illinois HMO 212310		1/1/1911	
Payroll Processing Payroll/Adjustment/Insurance Underpayment	Adjustment	Insurance Underpayment		Illinois HMO 212310	1/1/1911	
Payroll Processing Payroll/Adjustment/Rebate Reversal	Adjustment	Rebate Reversal		Mo. Health Care Prem. Sub. 404100	1/1/1911	
Payroll Processing Payroll/Adjustment/AAI Reduction	Adjustment	AAI Reduction		AAI Payments 401700	1/1/1911	
Payroll Processing Payroll/Adjustment/Pre-tax Refund of Contributions	Adjustment	Pre-tax Refund of contributions	Liability for Teacher Overpayment 213410		1/1/1911	
Payroll Processing Payroll/Adjustment/Post-tax Refund of Contributions	Adjustment	Post-tax Refund of Contributions	Liability for Teacher Overpayment 213410		1/1/1911	
Payroll Processing Payroll/Adjustment/Pension Advance Repayment	Adjustment	Pension Advance Repayment		Pensions - Service 401100	9/1/2005	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Payroll Processing	Adjustment	QDRO Addition	Pensions - Service 401100		12/1/2006	
Payroll Processing Payroll Processing/Adjustment/QILDRO ESCROW Reduction	Adjustment	QILDRO ESCROW Reduction		QILDRO ESCROW 213110	1/1/2014	
Payroll Processing Payroll Processing/Adjustment/QILDRO Escrow Addition	Adjustment	QILDRO ESCROW Addition	QILDRO ESCROW 213110		1/1/2014	
Payroll Processing Transaction definition for Recoup AAI OVT Chart of Accounts set up	Adjustment	Recoupment AAI OVT		Recoupment AAI OVT 401710	7/1/2015	
Payroll Processing Set up transaction definition for recoup AAI OVT chart of account	Adjustment	Pension Reduction OVT - Base		Pension Reduction OVT - Base 401110	7/1/2015	
Payroll Processing To reverser RTW repayment after the board of trustee approval of	Adjustment	RTW Repayment Reversal	RTW - Repayment Reversal 213270		11/1/2015	
Payroll Processing Payroll/Adjustment/RMD AAI Interest	Adjustment	RMD AAI Interest	RMD AAI Interest 402352		1/1/1911	
Payroll Processing Payroll/Adjustment/RMD Base Pension Interest	Adjustment	RMD Base Pension Interest	RMD Base Pension Interest 402351		1/1/1911	
Payroll Processing Payroll/Adjustment/Previously Paid Amount Reduction	Adjustment	Previously Paid Amount Reduction		Deaths Expense 402200	1/1/1911	
Payroll Processing Payroll/Federal Tax/Lump-Sum	Federal Tax	Lump-Sum Payroll		Federal Withholding Tax - 214200	1/1/1911	
Payroll Processing Payroll/Federal Tax/Normal Payroll	Federal Tax	Normal Payroll		Federal Withholding Tax - Annuitants 214100	1/1/1911	
Payroll Processing Payroll/Federal Tax/Manual Payroll	Federal Tax	Manual Payroll		Federal Withholding Tax - Annuitants 214100	1/1/1911	
Payroll Processing	Deduction				12/1/2007 12/15/2009	
Payroll Processing Payroll/Deduction/IRS Tax Levy	Deduction	IRS Tax Levy		IRS Payable 212400	1/1/1911	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Payroll Processing Payroll/Deduction/Child Support	Deduction	Child Support		Child Support Payable 212401	1/1/1911	
Payroll Processing Payroll/Deduction/Child Support Withholding - IL SDU	Deduction	Child Support IL		Child Support Payable 212401	1/1/1911	
Payroll Processing Payroll/Deduction/Child Support CS - 587-38-7951	Deduction	Child Support		Child Support Payable 212401	1/1/1911	
Payroll Processing Payroll/Deduction/Repay checks cashed after death	Deduction	Repay checks cashed after death		Death Repayment 213301	1/1/1980	
Payroll Processing Payroll/Deduction/SPC payment deduction	Deduction	SPC payment deduction		Cash - Northern Trust 111200	10/1/2005	
Payroll Processing Payroll/Deduction/Pay funeral home	Deduction	Pay funeral home		Small Estate Liability 213250	1/1/2000	
Payroll Processing Payroll/Deduction/Reimburse funeral expense	Deduction	Reimburse funeral expense		Small Estate Liability 213250	12/1/2005	
Payroll Processing Payroll/Deduction/Direct Pay Deduction	Deduction	Direct pay deduction		Cash - Northern Trust 111200	1/1/2006	
Payroll Processing Payroll/Deduction/Uncashed pension checks at death	Deduction	Uncashed pension checks at death		Uncashed checks after death 213260	1/1/2004	
Payroll Processing deduct from a benefit to pay someone (attorney or funeral home)	Deduction	Pay outside entity		Small Estate Liability 213250	10/5/2006	
Payroll Processing	Deduction	Reimburse CTPF		Cash - Northern Trust 111200	2/1/2007 4/10/2019	
Payroll Processing	Deduction	Reimburse CTPF		Cash - Northern Trust 111200	5/3/2019	
Payroll Processing	Deduction	HSA UHC		HSA UHC 212350	12/16/2009	
Payroll Processing To recoup money due to RTW rules.	Deduction	RTW - Repayment		RTW - Repayment 213270	9/1/2014	
Payroll Processing To reverse RTW deductions after appeal is approved	Deduction	RTW-Repayment Reversal	RTW - Repayment 213270		11/1/2015	
Payroll Processing Payroll/State Tax/Illinois	State Tax	Illinois		State Tax Withholding 215100	1/1/2006	
Payroll Processing Payroll/Insurance Deduction/Blue Cross Blue Shield of Illinois	Insurance Deduction	Blue Cross Blue Shield Illinois		Blue Cross Blue Shield 212200	1/1/1911	
Payroll Processing Payroll/Insurance Deduction/HMO Illinois	Insurance Deduction	HMO Illinois		Illinois HMO 212310	1/1/1911	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Payroll Processing Payroll/Insurance	Insurance Deduction	Humana		Humana 212320	1/1/1911	
Payroll Processing Payroll/Insurance Deduction/Medicare A Only	Insurance Deduction	Medicare A Only		Medicare A 212100	1/1/1911	
Payroll Processing Payroll/Insurance Deduction/Medicare B Only	Insurance Deduction	Medicare B Only		Medicare B 212110	1/1/1911	
Payroll Processing Payroll/Insurance Deduction/Pacificare	Insurance Deduction	PacifiCare			1/1/1911	
Payroll Processing Payroll/Insurance Deduction/Secure Horizons	Insurance Deduction	United Health Care -		United Health Care 212340	1/1/1911	
Payroll Processing	Insurance Deduction	United Health Care -		United Health Care 212340	11/1/2009	
Payroll Processing	Insurance Deduction	United Health Care - DED		United Health Care 212340	11/1/2009	
Payroll Processing	Insurance Deduction	United Health Care - AARP		United Health Care 212340	11/1/2009	
Payroll Processing Payroll/Insurance Deduction - United Health Care - Med Adv	Insurance Deduction	United Health Care - Advantage		UHC - Med Adv 212370	1/1/1911	
Payroll Processing Payroll/Pension/Death Benefit	Pension	Death Benefit	Death Benefits Payable 213300		1/1/1911	
Payroll Processing Payroll/Pension/Duty Related Disability Retirement	Pension	Duty Related Disability Retire	Pensions - Disability 401200		1/1/1911	
Payroll Processing Payroll/Pension/Non-Duty Dis Ret - Step	Pension	Non-Duty Dis Ret Step	Pensions - Disability 401200		1/1/1911	
Payroll Processing Payroll/Pension/QILDRO Lifetime	Pension	QILDRO Lifetime	Pensions - Service 401100		1/1/1911	
Payroll Processing Payroll/Pension/Refund	Pension	Refund	Refunds Payable due to Resignations 213220		1/1/1911	
Payroll Processing Payroll/Pension/Service Retirement	Pension	Service Retirement	Pensions - Service 401100		1/1/1911	
Payroll Processing Payroll/Pension/Survivorship - Step Rate	Pension	Survivorship - Step Rate	Pensions - Survivors 401300		1/1/1911	
Payroll Processing Payroll/Pension/Refund of Contributions	Pension	Refund Of Contributions	Refunds Payable due to Deaths 213210		1/1/1911	
Payroll Processing Payroll/Pension/Reversionary Continuance	Pension	Reversionary	Pensions - Reversionary 401500		1/1/1911	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Payroll Processing Payroll/Pension/QILDRO Term	Pension	QILDRO Term Annuity	Pensions - Service 401100		1/1/1911	
Payroll Processing Payroll/Pension/QILDRO Lump Sum	Pension	QILDRO Lump Sum	Pensions - Service 401100		1/1/1911	
Payroll Processing Payroll Processing/Pension/Unpaid pension to beneficiaries	Pension	Unpaid pension to beneficiaries	Pensions - Service 401100		1/1/1911	
Payroll Processing Payroll Processing/Pension/Unpaid survivor pension to estate	Pension	Unpaid survivor pension to estate	Pensions - Survivors 401300		1/1/1911	
Payroll Processing Payroll Processing/Pension/Lump Child Surv Benefit -Step Rate	Pension	Lump Child Surv Benefit - Step	Pensions - Survivors 401300		12/11/1911	
Payroll Processing Payroll Processing/Pension/Lump Child Survivor Benefit - 2.2	Pension	Lump Child Survivor Benefit - 2.2	Pensions - Survivors 401300		1/1/1911	
Payroll Processing Payroll Processing/Pension/Lump Child Survivor Benefit - Step w/2.2	Pension	Lump Child Survivor Benefit - Step	Pensions - Survivors 401300		1/11/1911	
Payroll Processing Payroll/Pension/Service Retirement - Step	Pension	Service Retirement -	Pensions - Service 401100		1/1/1911	
Payroll Processing Payroll/Pension/Service Retirement - Step w/2.2	Pension	Service Retirement - w/ 2	Pensions - Service 401100		1/1/1911	
Payroll Processing Payroll/Pension/Service Retirement - Flat 2.2	Pension	Service Retirement - Flat 2.2	Pensions - Service 401100		1/1/1911	
Payroll Processing Payroll/Pension/Non-Duty Dis Ret - Split	Pension	Non-Duty Dis Ret Split	Pensions - Disability 401200		1/1/1911	
Payroll Processing Payroll/Pension/QILDRO Survivor Refund	Pension	QILDRO Survivor	Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing Payroll/Pension/QDRO Termination Refund	Pension	QILDRO Termination Refund	Refunds Payable due to Resignations 213220		1/1/1911	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Payroll Processing Payroll/Pension/Combined Death Benefit	Pension	Combined Death Benefit	Refunds Payable due to Deaths 213210		1/1/1911	
Payroll Processing Payroll/Pension/Non-Duty Dis Ret - Step w/2.2	Pension	Non-Duty Disability Retirement - Step w/2.2	Pensions - Disability 401200		1/1/1911	
Payroll Processing Payroll/Pension/Non-Duty Dis Ret - Flat 2.2	Pension	Non-Duty Disability Retirement - Flat 2.2	Pensions - Disability 401200		1/1/1911	
Payroll Processing Payroll/Pension/Survivorship - Step w/2.2	Pension	Survivorship - Step w/2.2	Pensions - Survivors 401300		1/1/1911	
Payroll Processing Payroll/Pension/Survivorship - 2.2	Pension	Survivorship - 2.2	Pensions - Survivors 401300		1/1/1911	
Payroll Processing Payroll/Pension/Death Health Ins Rebate	Pension	Death Health Insurance Rebate	Rebates Payable 212390		1/1/1911	
Payroll Processing Payroll/Pension/Excess	Pension	Excess Contribution	Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing Payroll/Pension/Other	Pension	Other	Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing Payroll/Pension/Excess Contributions due to 415b	Pension		Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing Payroll/Pension/Excess	Pension		Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing Payroll/Pension/Excess Contributions - prior to last	Pension		Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing Payroll/Pension/1% 2.2 Excess Contributions	Pension	1% 2.2 Excess contribution overpayment	Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing Payroll/Pension/Contract Refund	Pension	Contract Refund	Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing Payroll/Pension/Concurrent Service	Pension		Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing Payroll/Pension/Survivor	Pension	Survivor Contributions	Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing Payroll/Pension/Contract	Pension	Contract Over Payment	Miscellaneous Refunds Payable 213240		1/1/1911	
Payroll Processing Payroll/Cost of Living Adjustment/Vet AAI	COLA	Vet AAI	AAI Payments 401700		1/1/1911	
Payroll Processing Payroll/Cost of Living	COLA	AAI	AAI Payments 401700		1/1/1911	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Payroll Processing Payroll/Workers Compensation	WC Offset			Pensions - Disability 401200	1/1/1911	
Payroll Processing Payroll/Net	Net			Cash - City Treasurer 111100	1/1/1911	
Payroll Processing Payroll/QDRO Reduction/QDRO wo AAI	QDRO Reduction			Pensions - Service 401100	1/1/1911	
Payroll Processing Payroll/QDRO Reduction/QDRO with AAI	QDRO Reduction			Pensions - Service 401100	1/1/1911	
Payroll Processing Payroll Processing Payroll/Actuarial/Refund	Actuarial		Actuarial Liability., Employee's Contribution 221300	Reserve for Employee Contributions 420000	1/1/1911	
Payroll Processing Payroll/Actuarial/Refund of Contributions	Actuarial		Actuarial Liability Employee's Contribution/221300 221300	Reserve for Employee Contributions 420000	1/1/1911	
Payroll Processing Payroll/Actuarial/Miscellaneous	Actuarial		Actuarial Liability Employee's Contribution/221300 221300	Reserve for Employee Contributions 420000	1/1/1911	
Payroll Processing Payroll Processing Payroll/Actuarial/Small Estate	Actuarial		Actuarial Liability Employee's Contribution/221300 221300	Reserve for Employee Contributions 420000	1/1/1911	
Payroll Processing Payroll/Actuarial/QDRO Survivor Refund	Actuarial		Actuarial Liability Employee's Contribution/221300 221300	Reserve for Employee Contributions 420000	1/1/1911	
Payroll Processing Payroll/Actuarial/QDRO Termination Refund	Actuarial		Actuarial Liability Employee's Contribution/221300 221300	Reserve for Employee Contributions 420000	1/1/1911	
Payroll Processing Payroll/Actuarial/Combined Death Benefit	Actuarial		Actuarial Liability Employee's Contribution/221300 221300	Reserve for Employee Contributions 420000	1/1/1911	
Payroll Processing Payroll/Insurance Expense/Blue Cross Blue Shield of Illinois	Insurance Expense		BCBS Expense 404200		1/1/1911	
Payroll Processing Payroll/Insurance Expense/HMO Illinois	Insurance Expense		HMO I Expense 404310		1/1/1911	
Payroll Processing Payroll Processing Payroll/Insurance Expense Humana	Insurance Expense		Humana Expense 404320		1/1/1911	
Payroll Processing Payroll/Insurance Expense/Medicare A Only	Insurance Expense		Medicare A Expense 404105		1/1/1911	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Payroll Processing Payroll/Insurance Expense/Medicare B Only	Insurance Expense		Medicare B Expense 404110		1/1/1911	
Payroll Processing Payroll/Insurance	Insurance Expense		PacifiCare Expense 404350		1/1/1911	
Payroll Processing Payroll/Insurance Expense/Secure Horizons	Insurance Expense		United Health Care PPO 404340		1/1/1911	
Payroll Processing	Insurance Expense		United Health Care HMO 404342		11/1/2009	
Payroll Processing	Insurance Expense		United Health Care High 404344		11/1/2009	
Payroll Processing	Insurance Expense		United Health Care ARP 404346		11/1/2009	
Payroll Processing Payroll/Insurance Expense - United Health Care - Med Adv	Insurance Expense		UHC - Med Advantage 404370		1/1/1911	
Payroll Processing Payroll/Member Paid Insurance/Blue Cross Blue Shield of Ill	Member Paid Insurance			BCBS Contra 404201	1/1/1911	
Payroll Processing Payroll/Member Paid Insurance/HMO Illinois	Member Paid Insurance			HMO I Contra 404311	1/1/1911	
Payroll Processing Payroll/Member Paid Insurance/Humana	Member Paid Insurance			Humana Contra 404321	1/1/1911	
Payroll Processing Payroll/Member Paid Insurance/Medicare A Only	Member Paid Insurance			Medicare A Contra 404106	1/1/1911	
Payroll Processing Payroll/Member Paid Insurance/Medicare B Only	Member Paid Insurance			Medicare B Contra 404111	1/1/1911	
Payroll Processing Payroll/Member Paid Insurance/PacifiCare	Member Paid Insurance			PacifiCare Contra 404351	1/1/1911	
Payroll Processing	Member Paid Insurance			Mo. Health Care Prem. Sub. 404100	5/1/2007	
Payroll Processing	Member Paid Insurance			Mo. Health Care Prem. Sub. 404100	5/1/2007	
Payroll Processing Payroll/Member Paid Insurance/Secure Horizons	Member Paid Insurance			United Health Care PPO Contra 404341	1/1/1911	
Payroll Processing	Member Paid Insurance			United Health Care HMO Contra 404343	11/1/2009	
Payroll Processing	Member Paid Insurance			United Health Care High 404345	11/1/2009	
Payroll Processing	Member Paid Insurance			United Health Care ARP Contra 404347	11/1/2009	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Payroll Processing	Member Paid Insurance			Mo. Health Care Prem. Sub. 404100	1/1/2011	
Payroll Processing	Member Paid Insurance			Mo. Health Care Prem. Sub. 404100	1/1/2011	
Payroll Processing Payroll/Member Paid Insurance - United Health Care - Med Adv	Member Paid Insurance			UHC - Med Adv Contra 404371	1/1/1911	
QILDRO Survivor Refund Setup QDRO Survivor Refund Setup			Survivor Contributions 402400	Miscellaneous Refunds Payable 213240	1/1/1911	
QILDRO Termination Refund			Refunds Resignations	Refunds Payable due to Resignations	1/1/1911	
Service Retirement Setup Service Retirement Setup/Contributions	Contributions		Actuarial Liability Employee's Contribution/22130 0 221300	Act. Liability Inf and Def 221100	1/1/1911	
Service Retirement Setup Service Retirement Setup/Pension/EE AAI	Pension Portion of Total Ben	Employee AAI	Actuarial Liability Employee's Contribution22130 0	Actuarial. Liability Inflows and Deferrals 221100	1/1/1911	
Service Retirement Setup Service Retirement Setup/Pension/EE Retirement	Pension Portion of Total Ben	Employee Retirement	Actuarial Liability Employee's Contribution22130 0	Actuarial. Liability Inflows and Deferrals 221100	1/1/1911	
Service Retirement Setup	Pension Portion of Total Ben	Employee Survivor	Actuarial Liability Employee's Contribution22130	Actuarial. Liability Inflows and Deferrals 221100	1/1/1911	
Service Retirement Setup	Annuity Portion of Total Ben	Employee AAI	Actuarial Liability Employee's Contribution22130	Actuarial. Liability Inflows and Deferrals 221100	1/1/1911	
Service Retirement Setup Service Retirement Setup/Annuity/EE Retirement	Annuity Portion of Total Ben	Employee Retirement	Actuarial Liability Employee's Contribution22130 0	Actuarial. Liability Inflows and Deferrals 221100	1/1/1911	
Service Retirement Setup Service Retirement Setup/Annuity/EE Survivor	Annuity Portion of Total Ben	Employee Survivor	Actuarial Liability Employee's Contribution22130 0	Actuarial. Liability Inflows and Deferrals 221100	1/1/1911	
SPC Payment	Sick/Family Leave	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Payment	Sick/Family Leave	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	
SPC Payment	Sick/Family Leave	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Time Lost - Layoff	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
SPC Payment	Time Lost - Layoff	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	
SPC Payment	Time Lost - Layoff	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Outside Time	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Payment	Outside Time	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	
SPC Payment	Outside Time	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Regular	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Payment	Regular	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	
SPC Payment	Regular	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Military - During	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Payment	Military - During	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	
SPC Payment	Military - During	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Service Prior to Refund	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Payment	Service Prior to Refund	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	
SPC Payment	Service Prior to Refund	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Labor - Not on Leave	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Payment	Labor - Not on Leave	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	
SPC Payment	Labor - Not on Leave	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Out of State	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Payment	Out of State	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	
SPC Payment	Out of State	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Military - Prior	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Payment	Military - Prior	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	
SPC Payment	Military - Prior	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
SPC Payment	Sabbatical	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Payment	Sabbatical	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	
SPC Payment	Sabbatical	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Study Abroad	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Payment	Study Abroad	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	
SPC Payment	Study Abroad	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Contribution Deficiency	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Payment	Contribution Deficiency	Principal	Cash - Northern Trust 111200	Teachers Mandatory 122200	1/1/1911	
SPC Payment	Contribution Deficiency	SPC Ove Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	2.2 % Upgrade	Principal	Cash - Northern Trust 111200	2.2 Rec - Active Teachers 122400	1/1/1911	
SPC Payment	2.2 % Upgrade	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Early Retirement Option	Principal	Cash - Northern Trust 111200	ERO - Employer 121402	1/1/1911	
SPC Payment	Early Retirement Option	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Survivor Refund	Interest	Cash - Northern Trust 111200	Repayment of Survivor Contributions - 311316	1/1/1911	
SPC Payment	Survivor Refund	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	
SPC Payment	Survivor Refund	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Labor - Service Reported	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Payment	Labor - Service	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	
SPC Payment	Labor - Service Reported	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Labor - On Leave	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Payment	Labor - On Leave	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	
SPC Payment	Labor - On Leave	SPC Over Payment	Cash - Northern Trust 111200	Liability for Teacher Overpayment 213410	1/1/1911	
SPC Payment	Private School	Interest	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Payment	Private School	Principal	Cash - Northern Trust 111200	Teachers Optional 122300	1/1/1911	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
SPC Payment	Private School	SPC Over Payment	Cash - Northern Trust 111200	Interest from Accounts Receivable 311400	1/1/1911	
SPC Receivable	Sick/Family Leave		Teachers Optional 122300	Teachers Optional & Manual Payments 311300	1/1/1911	
SPC Receivable	Time Lost - Layoff		Teachers Optional 122300	Teachers Optional & Manual Payments 311300	1/1/1911	
SPC Receivable	Outside Time		Teachers Optional 122300	Teachers Optional & Manual Payments 311300	1/1/1911	
SPC Receivable	Regular		Teachers Optional 122300	Teachers Optional & Manual Payments 311300	1/1/1911	
SPC Receivable	Military - During		Teachers Optional 122300	Teachers Optional & Manual Payments 311300	1/1/1911	
SPC Receivable	Service Prior to Refund		Teachers Optional 122300	Teachers Optional & Manual Payments 311300	1/1/1911	
SPC Receivable	Labor - Not on Leave		Teachers Optional 122300	Teachers Optional & Manual Payments 311300	1/1/1911	
SPC Receivable	Out of State		Teachers Optional 122300	Teachers Optional & Manual Payments 311300	1/1/1911	
SPC Receivable	Military - Prior		Teachers Optional 122300	Teachers Optional & Manual Payments 311300	1/1/1911	
SPC Receivable	Sabbatical		Teachers Optional 122300	Teachers Optional & Manual Payments 311300	1/1/1911	
SPC Receivable	Study Abroad		Teachers Optional 122300	Teachers Optional & Manual Payments 311300	1/1/1911	
SPC Receivable	Contribution Deficiency		Teachers Mandatory 122200	Teachers Optional & Manual Payments 311300	1/1/1911	
SPC Receivable	2.2 % Upgrade		2.2 Rec - Active Teachers 122400	Income - 2.2 Active Teachers 322400	1/1/1911	
SPC Receivable	Early Retirement Option		ERO - Employer 121402	Early Retirement Option 301400	1/1/1911	
SPC Receivable	Survivor Refund		Teachers Optional 122300	Repayment of Survivor Contributions - 311316	1/1/1911	
SPC Receivable	Labor - Service		Teachers Optional 122300	Teachers Optional & Manual Payments 311300	1/1/1911	
SPC Receivable	Labor - On Leave		Teachers Optional 122300	Teachers Optional & Manual Payments 311300	1/1/1911	
SPC Receivable	Private School		Teachers Optional 122300	Teachers Optional & Manual Payments 311300	1/1/1911	
Survivorship Benefit Setup			Actuarial Liability Employee's Contribution/22130 0 221300	Act. Liability Inf and Def 221100	1/1/1911	
Termination Refund Setup	Contributions		Refunds Resignations 402100	Refunds Payable due to Resignations 213220	1/1/1911	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Undistributed Contributions			Deaths Expense 402200	Refunds Payable due to Deaths 213210	1/1/1911	
Vendor Payroll Processing	Federal Tax	Lump-Sum Payroll	Federal Withholding Tax - Refunds 214200		1/1/1911	
Vendor Payroll Processing	Federal Tax	Normal Payroll	Federal Withholding Tax - Annuitants 214100		1/1/1911	
Vendor Payroll Processing	Federal Tax	Manual Payroll	Federal Withholding Tax - Annuitants 214100		1/1/1911	
Vendor Payroll Processing	Deduction				12/1/2007 12/15/2009	
Vendor Payroll Processing	Deduction	IRS Tax Levy	IRS Payable 212400		1/1/1911	
Vendor Payroll Processing	Deduction	Child Support	Child Support Payable 212401		1/1/1911	
Vendor Payroll Processing	Deduction	Child Support IL	Child Support Payable 212401		1/1/1911	
Vendor Payroll Processing	Deduction	Child Support - Calvin Coleman	Child Support Payable 212401		1/1/1911	
Vendor Payroll Processing Repay checks cashed after death	Deduction	Repay checks cashed after death	Death Repayment 213301		1/1/1980	
Vendor Payroll Processing SPC payment deduction	Deduction	SPC payment deduction	Cash - City Treasurer 111100		10/1/2005	
Vendor Payroll Processing	Deduction	Pay funeral home	Small Estate Liability 213250		1/1/2000	
Vendor Payroll Processing Reimburse Funeral Expense	Deduction	Reimburse funeral expense	Small Estate Liability 213250		12/1/2005	
Vendor Payroll Processing	Deduction	Direct pay deduction	Cash - City Treasurer 111100		1/1/2006	
Vendor Payroll Processing Needed holding acct to debit at the time vendor payroll is processed for checks after death	Deduction	Uncashed pension checks at death	Uncashed checks after death 213260		1/1/2004	
Vendor Payroll Processing pay an outside entity when we have withheld the money from a member or beneficiaries benefit	Deduction	Pay outside entity	Small Estate Liability 213250		10/5/2006	
Vendor Payroll Processing	Deduction	Reimburse CTPF	Cash - City Treasurer 111100		2/1/2007 4/10/2019	
Vendor Payroll Processing	Deduction	Reimburse CTPF	Cash - City Treasurer 111100		5/3/2019	
Vendor Payroll Processing	Deduction	HSA UHC	HSA UHC 212350		12/1/2009	

Transaction Type	Sub Type	Detail	Debit Account Name / No.	Credit Account Name / No.	Effective Date	Term Date
Vendor Payroll Processing To recoup money due to RTW rules.	Deduction	RTW - Repayment	RTW - Repayment 213270		9/1/2014	
Vendor Payroll Processing	State Tax		State Tax Withholding 215100		1/1/2006	
Vendor Payroll Processing	Insurance Deduction	Blue Cross Blue Shield Illinois	Blue Cross Blue Shield 212200		1/1/1911	
Vendor Payroll Processing	Insurance Deduction	HMO Illinois	Illinois HMO 212310		1/1/1911	
Vendor Payroll Processing	Insurance Deduction	Humana	Humana 212320		1/1/1911	
Vendor Payroll Processing	Insurance Deduction	Medicare A Only	Medicare A 212100		1/1/1911	
Vendor Payroll Processing	Insurance Deduction	Medicare B Only	Medicare B 212110		1/1/1911	
Vendor Payroll Processing	Insurance Deduction	PacifiCare			1/1/1911	
Vendor Payroll Processing	Insurance Deduction	CPS COBRA Adjustment	Cash - City Treasurer 111100		5/1/2007	
Vendor Payroll Processing	Insurance Deduction	United Health Care -	United Health Care 212340		1/1/1911	
Vendor Payroll Processing	Insurance Deduction	United Health Care -	United Health Care 212340		11/1/2009	
Vendor Payroll Processing	Insurance Deduction	United Health Care - HIGH DED	United Health Care 212340		11/1/2009	
Vendor Payroll Processing	Insurance Deduction	United Health Care - AARP	United Health Care 212340		11/1/2009	
Vendor Payroll Processing	Insurance Deduction	CHARTER COBRA Adjustment	Cash - City Treasurer 111100		1/1/2011	
Vendor Payroll Processing	Insurance Deduction	United Health Care - Med Adv	UHC - Med Adv 212370		1/1/1911	
Vendor Payroll Processing	Net			Cash - City Treasurer 111100	1/1/1911	