GOVERNMENT OF THE DISTRICT OF COLUMBIA
District of Columbia Retirement Board

ATTACHMENT J.1

SECTION C. CONTENTS

SECTION C. SPECIFICATIONS/WORK STATEMENT

C.1 OVERVIEW:

1) The District of Columbia Retirement Board (DCRB) is seeking proposals from qualified firms for Software as a Service ("SAAS") solution to implement and maintain a Benefits Administration Pension System ("BAPS"). This Request for Proposal (RFP) details the requirements needed by DCRB and instructs interested Offerors on the proposal and selection process. Maintenance and support services for post implementation services must be provided as part of the Offeror's response.
2) The new BAPS will be utilized to serve members of the District of Columbia Teachers' Retirement Plan and the District of Columbia Police Officers and Firefighters' Retirement Plan, both administered by DCRB (together, the "Plans"). This modernization initiative represents a cornerstone of DCRB's broader strategy to improve service delivery, streamline operations, strengthen data integrity, and ensure long-term maintainability.
3) The new BAPS will enable DCRB staff to perform all duties of pension benefits administration including:

Benefit estimates	Integration with a vendor supplied or third party payroll system
Benefit payment options	Production of necessary operational and compliance reports
Benefit calculations	Integration with DCRB FileNet imaging system
Benefit adjustments	Case workflow
Employer enrollment	Member counseling
Employer reporting	Member information changes
Employer self-service	Member self service functionality
History adjustments	New member enrollment
Death claim processing	Member correspondence
Disability retirement processing	Year-end processing
Qualified Domestic Relations Order ("QDRO") processing	Life insurance processing, and
Service purchases	Health insurance processing
Contribution refunds	
Rehired retirees	
Optional retiree processing	

4) The selected vendor will be responsible for delivering a comprehensive, end-to-end solution, including:
   - Solution design and configuration aligned with DCRB's benefit plans
   - Data cleansing and migration from the Department of Treasury's System to Administer Retirements ("STAR") and ancillary data sources (District PeopleSoft, UPPS data and other data) so that necessary data is housed in the new system to ensure full functionality.
   - Integration with DCRB current imaging systems, District or vendor recommended payroll systems, and external agencies required financial systems.
   - Development of secure member and employer portals.
   - Workflow automation, case management, and document handling.
   - Documentation and standard operating procedures, testing, training, deployment, and post-go-live support in all areas of the new BAPS system so that staff can successfully utilize the new system.
   - Ongoing maintenance and knowledge transfer to DCRB staff including responding to immediate necessary fixes, monthly updates, and schedule system enhancements as a result of new legislation or operational needs.

5) The solution may be delivered as a commercial off-the-shelf (COTS) product, a configurable pension platform, or a hybrid or on-premise framework that supports deployment in a FedRAMP-authorized equivalent cloud, or FISMA-compliant environment. The system shall be scalable, configurable, and be able to adapt to future legislative, actuarial, or operational changes.

C.2 APPLICABLE REFERENCE INFORMATION

1) Retired Members Plan Benefits
2) Life Events
3) Retired Members Resource Library
4) DCRB Organizational Chart (Page 23 in Annual Comprehensive Financial Report)
5) NIST Special Publications (SP) 800-210 - General Access Control Guidance for Cloud Systems
6) NIST Special Publications 800-171 Rev. 3 -Assessing Security Requirements for Controlled Unclassified Information
7) NIST Special Publications 800-53 Rev. 5 - Control Baselines for Information Systems and Organization
8) District of Columbia Tech Policies
9) District of Columbia Municipal Regulations and District of Columbia Register
10) Federal Regulations
11) About Relationship with US Treasury

C.3 DEFINITIONS

1. **Business Days** means Monday through Friday, 8:30 a.m. to 5:00 p.m. (EST) local time excluding federal and District of Columbia holidays.
2. **Business Function** means business functional areas such as Benefits Administration, Member Services, Retirement Services, Quality Review, Legal Services, Finance, Procurement, etc.

3. **Change Order/Modification** means a written document signed by DCRB, and issued to the Contractor, which alters the scope of the Work to be performed by the Contractor, changes of the schedule for performance of the Work, increases or decreases the Contractor's compensation, or any other change to the Contract.
4. **Completion** means fulfillment of all the Contractor's obligations under the Contract.
5. **Confidential Information and Personal Data** means information that may be exempt from disclosure to the public or other unauthorized persons under DCRB, state or federal statutes and regulations. Confidential Information and Personal Data includes, but is not limited to, any information identifiable to an individual that relates to a natural person's health, finances, education, business, use or receipt of governmental services, names, addresses, telephone numbers, email addresses, social security numbers, driver license numbers, financial profiles, credit card numbers, financial identifiers and any other identifying numbers, law enforcement records, DCRB source code or object code, or DCRB security information.
6. **Configuration** means the use of application features to establish business rules in the application to meet the DCRB's business needs.
7. **Contract** means the written agreement entered between DCRB and the Offeror accepting the terms and conditions related to the Project. The Contract includes the Offeror submitted Response, including executed contract, pricing, specifications, and other attachments; Notice(s) to Proceed; and all Amendment(s) issued prior to, and all Modifications (Change Orders) issued after execution of the Contract.
8. **Application Software** means the software solution for which the successful Offeror will be responsible for providing software integration and implementation services.
9. **Holdback** means the payment amounts held back by DCRB from each Deliverable's Charges.
10. **Key Personnel** means Contractor's personnel or subcontractor staff whose experience, skills, abilities, or background make them uniquely valuable to DCRB and who are named as Key Staff in this Contract or a Statement of Work.
11. **Offeror, Contractor, Vendor or Proposer** means a firm, company, or organization responding to the RFP document to provide services to implement the software described in the RFP until such time the RFP is awarded; or the firm, company or organization that is awarded the Contract
12. **Original Equipment Manufacturer**, (OEM) means the company that creates parts or components for other companies to use in their products.
13. **Outside Agency/3rd Party Interface** is an interface or integration with an outside agency or organization.
14. **Preexisting Material** means proprietary products, software, methods, devices, or the like delivered by the Contractor to fulfill its obligations under this Contract. Preexisting Material does not originate from this Contract but may be incorporated into or be required to properly support Deliverables under this Contract. Preexisting Material may be owned by the Contractor or a third party that has given permission for its use hereunder.
15. **Price** means charges, costs, rates, and/or fees charged in United States dollars for the Services under this Contract.
16. **Project** means DCRB's overall objective or endeavor of which this RFP document forms a part.
17. **Proprietary Information** means information owned by the Contractor to which the Contractor claims a protected interest under law. Proprietary Information includes, but is not limited to, information protected by copyright, patent, trademark, or trade secret laws.
18. **Software** means the licensed software application, including third-party software applications that are intended to be implemented or used by DCRB.

19. **Software as a Service (SaaS)** means the software vendors supported and managed software solution provided as a remote service to the client. The software implementer, if required, will work with the software vendor and/or OEM to implement the software solution chosen by DCRB.
20. **Software Implementer** means the Contractor and/or OEM selected through this RFP process to implement the software solution chosen by DCRB.
21. **Software Vendor** means the company, which may be the OEM, that provides the software to DCRB.
22. **Subcontract** means any agreement, including purchase orders (other than one involving an employer/employee relationship), entered between the Contractor and a Subcontractor calling for services, labor, equipment, and/or materials required for the performance of the work required by the RFP document, including any modification thereto.
23. **Subcontractor** means any individual, firm, partnership, corporation, joint venture, or other entity, other than an employee of the Contractor, which contracts with the Contractor or a Subcontractor to furnish services, labor, equipment, or materials required for the performance of the work required by this RFP document, including any modification thereto.
24. **Supplies, Materials, and Equipment** as used herein shall include, without limitation, all items, tangible or intangible, to be incorporated in the work or otherwise delivered to DCRB hereunder.
25. **System** means the fully installed, configured, and implemented software application(s), including any third-party software, necessary to meet the DCRB's requirements and defined work.
26. **System Interfaces** define where DCRB has identified an integration is needed.
27. **System Requirements** means functional and technical requirements for the software solution chosen by DCRB.
28. **Definitions specific to the functional requirements** are listed in Appendix A: Functional Requirements

C.4 BACKGROUND

1) DCRB is the administrator of two public pension plans (D.C. Code §§ 1-701, *et seq*. & 38-2021.01, *et seq*) established by the U.S. Congress in 1979 under the Retirement Reform Act :

    - The District of Columbia Police Officers and Firefighters' Retirement Fund ("POFRF") provides optional, deferred, and disability retirement benefits, as well as survivor benefits, health insurance, and life insurance benefits for the police officers with the District of Columbia Metropolitan Police Department and firefighters with the District of Columbia Fire and Emergency Medical Services Department. D.C. Code §§ 5-701 et seq.).

    - The District of Columbia Teachers' Retirement Fund ("TRF") provides voluntary, involuntary, deferred, and disability retirement benefits, as well as survivor benefits, health insurance, and life insurance benefits for the teachers with the District of Columbia Public Schools. D.C. Code §§ 38-2021.01 *et seq*.).

C.4.1 User Base and Stakeholders

C.4.1.1 Board of Trustees:

1) DCRB is an independent agency of the District of Columbia Government and is responsible for managing the assets of the POFRF and TRF (together, the "Plans"). The Plans are managed by a

Board of Trustees, currently composed of twelve voting members and one ex-officio, non-voting member:

Board Of Trustees Positions	Number of Trustees
Elected Active Police Officer, Firefighter, and Teacher	3
Elected Retired Police Officer, Firefighter, and Teacher	3
Appointed by the D.C. Mayor	3
Appointed by the City Council	3
Ex-officio, non-voting Trustee	1

i) The Board of Trustees is responsible for determining general policy and adopting the rules and regulations necessary to carry out the operations of the Plan.

C.4.1.2 Executive Director and DCRB

1) The Executive Director provides agency wide leadership and manages all day-to-day operations of DCRB and oversees both the investment of the pension Plans' assets and the administration of pension benefits. The Executive Director is also the liaison between the policy-making functions of DCR and the implementation and execution of those policies by the staff.

2) The Benefits Department carries out the day-to-day operations and administration of the Plans. There are over 33 staff members in the Benefits Department consisting of a Pension Administrator, Deputy Chief, Member Services (call center and records management), Retirement Services, and Quality, Compliance, and Projects.

C.4.2 Membership

1) As of the Fiscal Year ended September 30, 2024, the audited value of DCRB's fund assets was 12.9 billion dollars and the Plans had the following number of members and benefit recipients:

Participants	POFRF	TRF	Total
Retirees and Survivors receiving benefits	8,616	5,214	**13,830**
Active Plan Members	5,074	6,259	**11,333**
Vested Terminations	399	2,007	**2,406**
Total	14,089	13,480	**27,569**

2) DCRB currently administers the Plans as described below for three primary member groups:

C.4.2.1.1 Federal Plan Members

1) Police Officers, Firefighters, and Teachers for the District of Columbia who were hired prior to June 30, 1997, and who retire or began receiving retirement benefits on or prior to June 30, 1997. These plan members earned and now receive benefits under the now frozen Federal DC Retirement plans managed by the US Department of Treasury's Office of DC Pensions (ODCP).

2) The US Department of Treasury is responsible for the accrued liabilities for members of the frozen Federal DC Retirement Plans. DCRB is currently the third-party plan administrator and record keeper for the Federal DC Retirement plans.

C.4.2.1.2 District of Columbia Plan Members

1) Police Officers, Firefighters, and Teachers for the District of Columbia who are hired and retire after June 30, 1997 . These plan members earned and are earning service and benefits under the Plans (POFRF and TRF).

2) The DC Government is responsible for the accrued liabilities for members of the Plans. DCRB is the Plans' administrator and record keeper as an independent agency of the DC Government.

C.4.2.1.3 Split Plan Members

1) Police Officers, Firefighters, and Teachers who were hired on or prior to June 30, 1997, and who continued to work after June 30, 1997. These plan members accrued service and benefits under both the frozen Federal DC Retirement plans and the Plans (POFRF and TRF).

2) The US Department of Treasury and the DC Government share responsibility for the accrued liabilities for these split plan members. The US Department of Treasury is responsible for the portion of those benefits accrued on and before June 30, 1997, and the DC Government is responsible for the portion of benefits accrued after June 30, 1997. The US Department of Treasury, through the ODCP, calculates and governs the application of the split benefits by deriving the Federal portion of the benefit as a percentage of the participant's fully calculated benefit. ODCP dictates the DC Government's portion of the benefit as a byproduct of the calculation used to determine the Federal portion of the benefit.

C.4.3 Administration

1) DCRB administers and is the record keeper for the frozen Federal District Retirement Plans and the Plans (POFRF and TRF). Below are the breakdowns of the member populations according to the September 2024 Memorandum of Understanding between US Treasury and ODCP.

Participants	Federal	Split Federal and DC	District of Columbia	Totals
Retirees and Survivors receiving benefits	5,200	7,258	1,197	13,655
Active Plan Members	0	334	11,370	11,704

C.4.3.1 Police & Fire

1) DCRB's Retirement Plan populations and benefit structures are broken down further into the following Benefit Tiers for Police Officers and Firefighters:

POFRF Participants	Tier 1	Tier 2	Tier 3
Federal Only	Hired before 2/15/1980 and Terminated prior to 7/1/1997	Hired after 2/14/1980 but before 11/10/1996, and Terminated prior to 7/1/1997	Hired after 11/9/1996 but before 7/1/1997, and Terminated prior to 7/1/1997
Split Federal and DC	Hired before 2/15/1980 and Terminated after 6/30/1997	Hired after 2/14/1980 but before 11/10/1996, and Terminated after 6/30/1997	Hired after 11/9/1996 but before 7/1/1997, and Terminated after 6/30/1997
DC Only	Not Available	Not Available	Hired and Terminated after 6/30/1997
Pick-a-Tier*	A member may make a one-time election and payment to transfer to another tier.		

2) Police & Fire Pick-a-Tier plan members – plan members who accrue service and benefits under the Federal DC Retirement Plan, the Plans, or both as described above; but who choose to accrue and receive benefits under a different Tier than he or she was originally hired. Regardless of the Tier chosen, the liabilities are the responsibility of the US Treasury and/or DC Government based on the plan members hire date as described above. If necessary, the member must complete a purchase of service for any difference in the actuarial value of the chosen benefit Tier.

3) Police Officers and Firefighters are automatically enrolled as plan members when they begin active duty with the Police Department or Fire Department. Plan membership is not automatic for uniformed EMT firefighters who transfer pursuant to the Paramedic and Emergency medical Technician Lateral Transfer to Firefighting Amendment Act of 2001 (Lateral EMT Act). Members are required to make retirement contributions to the Plan while employed by the Police or Fire Department. Each biweekly pay period, Police and Fire Plan Members are required to contribute through payroll deductions (post-tax for police officers and pre-tax for firefighters) at the following rates:

- 7% of base pay if hired before November 10, 1996, or
- 8% of base pay if hired on or after November 10, 1996.

4) In general, Police and Fire Plan Members use their total creditable service to calculate the amount of retirement benefits. Total creditable service includes years of police officer or firefighter service. Total creditable service may also include lateral transfer service and/or other creditable service. Other creditable service includes active military service performed prior to the member's hire date with the Police or Fire Department. If eligible, the other creditable service is included in the member's total creditable service to calculate the amount of retirement benefits. Certain other service and active military service are not used to determine eligibility for a retirement benefit, even if the member completes purchase of service deposit for such service.

5) Base pay, average base pay, or final salary are used to calculate the amount of the retirement benefits. In addition, average base pay, final salary, or adjusted average base pay are used to calculate regular survivor benefits that may be paid to survivor(s) in the event of the member's death.

6) The type of retirement benefit depends on the tier as listed above according to the hire date. To be eligible to retire from the Police or Fire Department and receive an optional retirement benefit from the Plan, the member must meet police officer or firefighter service requirements. Tier 2 Plan members must also meet an age requirement. Generally, the mandatory retirement age is 60.

7) If a member leaves the Police or Fire Department before being eligible to retire, with less than five years of police officer or firefighter service, the member will apply to receive a lump-sum refund of retirement contributions. If the member leaves the Police or Fire Department before eligible to retire and has at least five years of police officer or firefighter service, the member must elect either to receive a lump-sum refund of retirement contributions or receive a deferred retirement benefit upon reaching age 55. If the Plan member becomes disabled and cannot perform the duties of a police officer or firefighter, the member may be eligible for a disability retirement benefit.

8) Retirement benefits are not assignable to third parties except for federal tax levies and other federal debt, recovery of benefit overpayments, court-ordered child or spousal support, or a division of property pursuant to a Qualified Domestic Relations Order (QDRO).

9) The Plan member must have at least five years of continuous health and life insurance coverage immediately prior to retirement to continue coverage into retirement under the Federal Employees Health Benefits (FEHB) program. To be eligible for District health insurance coverage at retirement, the member must have at least ten years of creditable District service if retiring under Tier 2 and at least ten years of creditable District service if retiring under Tier 3 and have participated in the health insurance plan for at least five consecutive years immediately preceding retirement.

C.4.3.2 Teachers

1) DCRB's Plan populations and benefit structures are broken down further into the following Benefit Formulas for Teachers:

TRS Participants	Formula 1	Formula 2
Federal Only	Hired before 11/1/1996 and Terminated prior to 7/1/1997	Hired after 10/31/1996 and Terminated prior to 7/1/1997
Split Federal and DC	Hired before 11/1/1996 and Terminated after 6/30/1997	Hired after 10/31/1996 and Terminated after 6/30/1997
DC Only	Not Available	Hired and Terminated after 6/30/1997

2) Teachers are automatically enrolled in the Teachers' Retirement Plan upon beginning work for the District of Columbia Public Schools (DCPS) as a teacher (or in certain other educational positions). Teachers are required to make retirement contributions to the Plan while employed by DCPS, or plan members employed by a D.C. Public Charter School. Each biweekly pay period, Teachers are required to contribute through payroll deductions on either a pre-tax or post-tax basis at the following rates:

- 7% of base pay if hired before November 1, 1996, or
- 8% of base pay if hired on or after November 1, 1996.

3) In general, a member who has worked at least five years as a DCPS teacher may retire at the age of 62 or at:
   - age 60, if the member has 20 years of service;
   - age 55, if the member has 30 years of service, and was hired before November 1, 1996;
   - any age, if the member has 30 years of service, and was hired on or after November 1, 1996.

4) In addition, teachers are eligible for involuntary retirement if they meet the following criteria:
   - age 50 with 20 years of service or
   - any age with 30 years of service.

5) The term "service" includes work as a DCPS instructional employee as defined by the Washington Teachers Union and Council of School Officers collective bargaining agreements and certain non-DCPS work (credited service) that may include work in other school systems, educational leaves of absence, unused sick leave, and military service.

6) If the member separates from DCPS after having worked for at least five years as a DCPS instructional employee, and before the member became eligible to retire, the member may choose to receive either a deferred retirement benefit or a lump-sum refund of retirement contributions. The deferred retirement benefit is payable at age 62.

7) If a member leaves DCPS before being eligible to retire, with less than five years of service, the member will apply to receive a lump-sum receive a lump-sum refund of retirement contributions.

8) If the member becomes disabled and has worked for at least five years as a DCPS teacher, the member may be eligible for a disability retirement benefit.

9) If the member dies while employed as a DCPS instructional employee and has at least 18 months of DCPS service, the member's surviving spouse or surviving domestic partner and eligible children, or dependent parents will receive survivor benefits. If the member dies after retirement, the member's eligible children will receive a survivor benefit. The member's spouse or domestic partner will receive a survivor benefit only if elected at retirement.

10) Under the Federal Employees Health Benefits (FEHB) program the member must have at least five years of continuous health and life insurance coverage immediately prior to retirement to continue coverage into retirement. To be eligible for District health insurance coverage at retirement, the member must have at least ten years of creditable District service at retirement and five years of continuous health and life insurance coverage immediately preceding their retirement date.

11) Retirement benefits are not assignable to a third party except for federal tax levies and other federal debt, recovery of benefit overpayments, court-ordered child or spousal support, or a division of property pursuant to a Qualified Domestic Relations Order (QDRO).

C.4.4 Services and Processing Volumes

1) DCRB provides a number of services to members, retirees, and their families. Some of these services are provided below (cited volumes fluctuate annually). DCRB expects the new BAPS system should support these services with the current volumes and future growth projections.

C.4.4.1 Benefits Processing

- Establishing 200 to 400 new retirements annually
- Processing requests for disability retirements, death benefits, and survivor benefits equating to over 600-700 total cases per year
- Processing over 800 withdrawals, transfers, and other membership terminations
- Processing over 70 purchases of service per year
- Calculating and processing member purchase of service agreements
- Determines eligibility and enrollments

C.4.4.2 Payments Processing

- Processing monthly pension payroll totaling $900 million annually
- Processing over 13,655 monthly pension payroll EFT transmissions
- Paying over 100 death benefits annually
- Providing federal and state tax information to members and their beneficiaries (state tax withholding from DC, Maryland, and Virginia only)
- Administering Cost of Living Adjustments (COLA) and Equalization Pay Adjustments
- Providing annual 1099R documents
- Administering the debt collection process

C.4.4.3 Member Services

- Providing members, employers, and other interested parties with information about retirement benefits, eligibility requirements, and applications
- Assisting customers via the Member Services Call Center; over 21,000 calls are handled annually
- Producing member specific retirement-related communications (i.e., annual benefits statements, information on retirement subjects of interest, etc.)
- Providing member counseling and member seminars
- Maintains records including member forms, personal actions, contribution records, and accounting documents
- Process over 2,000 member updates per year (address, taxes, healthcare, etc.)

C.4.4.4 Legal Services

- Representing the Retirement System when determinations and other retirement decisions are challenged
- Interpreting current and newly proposed retirement-related and other legislation that affects Retirement system members
- Examining marriage documents, qualified domestic relations orders, judgments, and orders to determine the impact on retirement benefits
- Assuring employer compliance with applicable Law and Regulations, and maintaining the integrity of the Retirement System's benefit structure

C.4.4.5 Financial Services

- Preparing and distributing the annual contribution billings to the District
- Coordinates payments of any other post employee benefits deductions to the District
- Receives monthly employee contributions to the fund
- Through a custodial bank, issues refund of contribution payments
- Reviewing financial audits for adherence to Retirement System requirements
- In conjunction with the Benefits Department, projecting the future financial needs of the Retirement System and performing the annual valuation of the Retirement system's liabilities
- Conducts all financial accounting for the system

1) DCRB does not currently provide the services listed below; however, the agency is required to begin to provide these services in the future. Currently, the US Treasury performs some of these duties. Therefore, the services listed below are included in the RFP and within scope of the BAPS implementation project:

    - Integration with a Customer Relationship Management (CRM) and FileNet system
    - Case management and workflow (from employment termination to annuity payment)
    - Pension Payroll and Pension Payroll Maintenance
    - Health and Life Enrollment and Deduction Processing
    - System generates member correspondence
    - Member Self Service
      Ingesting data for biweekly payroll reporting and employer reporting

- Maintaining active members' records, including beneficiaries and demographic maintenance
- Maintaining individual account balances
    - Maintain terminated vested and contribution balance information
    - Monitoring service credit, including purchase of service
- Collecting and maintaining salary and service reports submitted by participating employers
- Maintaining a general ledger interface for all monetary transactions
- Standard reports, custom-developed reports and ad-hoc reporting capabilities
- Providing annual benefit statements to active members

C.4.5 Current State

C.4.5.1 Technology Environment

1) DCRB currently supports retirement administration activities using a combination of legacy platforms, supplemental tools, and manual workflows. The core pension system in use today is STAR (System to Administer Retirement), a PeopleSoft-based platform hosted and operated by the U.S. Department of the Treasury's Office ODCP.

2) STAR development began in 1999 and was deployed in 5 releases between 2002 and 2007. STAR processes retirement/survivor benefits and calculates the Federal and District liability for annuitants with split benefits (service earned while a member in the now frozen Federal Retirement Plan and service earned while a member in the current D.C. Government Retirement Plan).

3) STAR is currently on PeopleSoft Human Capital Management version 9.2, People Tools version 8.57, and Oracle 11g database.

C.4.5.1.1 Core System Components

1) The IT team works closely with the District's Office of the Chief Technology Officer division (OCTO), where DCRB applications and systems are hosted. DCRB has a Memorandum of Understanding (MOU) agreements with four major divisions in OCTO, namely:

    - Enterprise Cloud and Infrastructure Services (ECIS) for general systems administration
    - Enterprise Applications and Data Management for applications support
    - City Wide IT Security (CWITS) for enterprise security services, and
    - City Wide Messaging (DCNET) for telecommunications including internet, voice, and data networks.

2) The primary applications that comprise the current pension and payroll system are:
    - **STAR** (**PeopleSoft Pension Administration** v9.2):
        - Supports retirement processing, annuity calculations, and split-service benefit tracking.
        - Hosted by ODCP, outside of DCRB's administrative control.
        - Uses Oracle 12c and People Tools 8.57.
        - Customization requests or data extracts shall be coordinated with ODCP

- Interfaces with the federal payroll system operated by the Bureau of Fiscal Services to handle payments to the annuitants (also deductions, tax withholdings, garnishments, funds to health carriers, etc.) and payroll related functions.

- **Document Imaging Systems:**
  - **Tungsten Capture (formerly Kofax Capture and KTM):** Used for capturing, recognizing, and validating both electronic and scanned physical documents.
  - **IBM FileNet**: Powered by RedHat Linux and stores all member documents exported from Tungsten Capture, as well as documents imported via the bulk import tool. Currently there are 10.6 million records managed in the IBM FileNet Document Management System.
  - **IBM Case Manager**: Configured to manage workflows and processes related to member documentation.
  - **GovOS Studio (SeamlessDocs):** Allows members to fill out and sign forms online. Completed forms are routed to Tungsten Capture for validation and then sent to FileNet for storage.
  - **Box (Box.com)**: Used for uploading ad hoc documents submitted by members and other parties.
  - **GlobalScape EFT**: Provides secure file transfer protocol (SFTP) functionality for secure document exchange.
  - **OpenText RightFax**: Enables electronic faxing of member documents, eliminating the need for traditional fax machines.
  - **Note**: These platforms are not integrated with STAR and require manual indexing and file association.
- **Communication and Call Center Tools:**
  - **Amazon Connect**: Used for handling inbound and outbound member service calls.
  - **Amazon Connect Cases**: Enables agents to track and manage both phone and in-person interactions with members.
  - **Microsoft Bookings**: Manages online and walk-in appointments, often integrated with Microsoft Teams for virtual meetings.
  - **Note**: Due to limited integration with STAR, Member Services Representatives must manually navigate multiple systems during service interactions.

3) DCRB supplements the current pension administration system, STAR, with various dependent systems for performing calculations and preparing benefit setups. These systems are not integrated into STAR; several Excel workbooks, databases, and reporting tools will need to be incorporated into the future BAPS to fully support DCRB's operational needs.
   - **Microsoft Access and Excel:** Used for manual benefit calculations and housing of specific member information (e.g., purchase of service, refunds, appeals, special project spreadsheets, payroll generated error spreadsheets, returned mail, and other member special project records).
   - **Microsoft 365 Office and Power Platform:** Supports workflow automation and process management.

- **SQL Server Databases:** Contains historical member data, correspondence, ad hoc reports, and administrative records.
- **Microfiche Archives:** Stores legacy retirement data from the pre-digital era, which has yet to be digitized or integrated.
- **Microsoft Dynamics GP 2018** (DCRB Financial Management System –FMS)
- **Microsoft Dynamics 365 (Finance and Operations Module)** DCRB FMS system is being migrated into this new system in April 2026.

C.4.5.2 Infrastructure

1) DCRB's used the District's (Office of Chief Technology Officer, OCTO) environment to host the network, servers, and software for on-premise implementations.

C.4.5.3 Integrations

- Integration of District's PeopleSoft employee payroll data into the BAPS
- Transition of STAR data in the BAPS
- BAPS feed of vendor payments to DCRB Custodial Bank
- Data feeds from District PeopleSoft – for active member demographics, contributions, service history
- Amazon Connect/CRM
- IBM FileNet
- DCRB Financial Management System (FMS)

C.4.5.4 Operational Constraints Due to STAR Ownership

1) Because STAR is externally administered by ODCP, DCRB leverages and depends on ODCP partnership:

- **Restricted System Access:** DCRB cannot directly modify business rules, configuration settings, or workflows within STAR.
- **Custom Development Bottlenecks:** All STAR enhancements or interface updates require multiple agency approval and resourcing.
- **Data Migration Limitations:** Extracting full data sets from STAR requires coordination with ODCP and may be subject to security, timing, or formatting constraints.
- **Dual-Operation Transition:** During BAPS implementation, STAR must remain in operation to support federal and DC benefit delivery. The contractor shall plan for temporary dual-system operations, secure interfacing, and phased decommissioning of STAR-based functions.

C.5 SCOPE OF WORK

1) DCRB is looking for a pension/payroll system referred to as its Benefits Administrative Pension System (BAPS) to administer the benefits for the District's annuitants.
2) DCRB is seeking an Offeror to implement a system for (a) pension services; (b) payroll services; and (c) recommend, plan coordinate, and participate in the active and current annuitant data cleansing and migration to this new system. DCRB requires the Offeror to provide the following services using relevant industry best practices and methods for understanding the agency's current environment, business goals, and needs. The Offeror must address in their approach each of the subtopics described in Section C.5.

C.5.1 Objectives

1) The objective of the proposed pension system is to automate current pension administration business functions, reduce the time from the last active payment to first annuity payment, reduce incidence and opportunities for errors, integrate all systems to reduce complexity of case processing, perform payroll functions currently performed by the US Treasury, improve member services and operations, while reducing operating costs. The target is an overarching solution that manages the life cycle phases of a pension entitled to a member, survivor and/or beneficiary; namely, to enroll members, service members, accept payments, process changes, deliver benefits, and terminate benefits.
2) Specifically, the objectives to be served by this procurement include:
    - Replace the current STAR pension and payroll system
    - Improved service levels for members
    - Improved, centralized management of member and retiree information
    - Increased work efficiency, integrating checklists and steps that are now manual into streamline business processing
    - Reduce Errors
    - Implementation of information into the FileNet System
    - Implementation of workflow; including best practices
    - Web-based, self-service functions for members, retirees, and employers. Increase member satisfaction by providing access to information and communications
    - Improved accuracy of all information collected, maintained, and provided by the District
    - Improved timeliness and accuracy of responses to members' inquiries
    - Improved system audit and control capabilities
    - Improved system security and controls
    - Ad-hoc and custom reporting tools
    - A secure environment for the receipt, processing, storage, and transmittal of all information related to DCRB business operations via a fully hosted solution.

3) The proposed Pension System is broadly categorized into 5 modules Including:

    (1) Customer Relationship Management (CRM) to handle the pain points we have today in providing timely responses to inquiries, and to manage the call volume; (2) Case Management to automate the claims processing and bring in the real time dashboards to present the 360 degree view of the member; (3) Benefits Calculation with the rules engine to support our calculations; (4) Payments, to automate the payment processing and deliver timely retirement benefits (5) Reports Generation (payroll processing). The technology architecture strictly adheres to information security and data protection requirements.

Customer Relationship Management	
Account Management	Collect and manage information about active and plan members, such as demographics, beneficiary, employment history, salary, and compensation history.
Contact Management	Provide a 360 view of Plan members, along with call log history, and notes from member services, upcoming appointments, counseling sessions, etc.

Correspondence Management	A workflow tracking and notification system to ensure a timely response to all correspondence matters. Ability for self-service accounts to have integrated member communications.
Member Case Information	The system will track how many retirement cases are open, the status of each case, and who "owns" the case. This tracking should also enable reporting on various measures, including but not limited to how many people applied for retirement, how many people submitted an application and subsequently withdrew, and what dates people chose for retirement.
Self- Service & Forms	A user-friendly online platform that allows members to access information and complete tasks independently. The platform shall have the ability to fill out and submit/upload forms with supporting documentation. Documentation will be automatically migrated to FileNet and initiate a case workflow.
Member Enrollment	New member set up processes
Case Management and Workflow Automation	
Case Management	A case management system to collect and track claims received for retirement, survivor, disability, and other benefits.
Workload and Case Management	Provides dashboards for workload management; enables reporting; maintains logs and audit trail.
Death Processing	Defines active member, retired, and alternate payee death processes related to annuity payments and benefit payments affected by the death. Includes the designation of beneficiaries and precedence of payments.
Disability Claims	Provide disability retirement benefits based on eligibility, using average salary and years of service as key components.
Health and life Insurance, Legal, QDRO	Provide and maintain health and life insurance member elections; enable legal review of pension plans, and Qualified Domestic Relations Order (QDRO) processing.
Benefits Calculations	
Estimated & Final Payments	Calculate benefits estimates (benefits calculator), estimated and final payments, as well as adjustments to payments from Purchase of Service, and refunds Utilizes real time member data.
Service Purchases	Purchase of service includes creditable service for work performed outside of the DC Retirement System
Survivors, QDRO	The Plan pays the retirement benefit to eligible survivors and dependents in the death of a member. In the case of a divorce, the Plan may be required to pay a retirement benefit and/or a survivor benefit to the former spouse, provided it is the intention of both parties, and the former spouse is eligible for such benefits.
Plan Rules Engine	Determine benefits eligibility based on plan rules and employment status.
Payments	
Payments and Payroll Management	Provide payments for annuitants, survivors, and disability cases. The benefit payroll process is run on the 1st business day of each month for the prior month. Additionally, the system should account for off-cycle payments. Benefits payments include retirement payments and adjustments, survivor payments and adjustments, and beneficiary one-time payments. The vendor payments include deductions from benefit payments paid to third parties

	including health insurance, life insurance, Federal tax, state tax, and garnishments.
Transaction Management	Provides the backend interfaces to manage transactions generated in benefits processing and in handling payments.
Active Member Payroll Data	Bi-Weekly data feeds from District's Peoplesoft system. Manage employment and contribution data received from partner agencies; provide user interface to enable just-in-time validation by active members.
Tax Deductions	Tax withholding, 1099R statements, state, and federal tax reports
Cost of Living Adjustments	Periodic Cost of Living Adjustments (COLA) applied to the retirement benefits for Plan members and survivors.
Reporting and Analytics	
Reporting	Generate actuary reports, active member benefit statements, retired member earning statements, 1099R report, etc.
Audit	System is designed for audit tracking of all transactions; this audit control when combined with the predictive analytics allows for proactive management decisions.
Predictive Analytics	Provide a robust interface to enable the non-technical user to transform the data into business value for smarter decision making, predicting the gaps in management controls to strengthen customer relationships, and to prevent fraud.
Knowledge Management	System is designed to better serve the members; provide "How-To" guides, just in time context help, and enable faster adoption by staff on the system enhancements.
Member Dashboards	Present metrics on key performance indicators.

4) The scope of work for this implementation includes:

1. Implementation of BAPS SAAS that will replace existing critical functionality and automate manual, paper-based processes. The system must include integrated case management, reporting capabilities, and workflow functionality in addition to core pension administration features.
2. Implementation of electronic content management (ECM) functionality, either as a tightly integrated third-party application or as a component of the BAPS. Alternatively, DCRB will require integration with its current ECM solution, FileNet.
3. A comprehensive range of implementation services including project initiation, planning, requirements analysis, configuration, interface development, testing, training, and full project management support.
4. Perform data extraction and staging from current legacy system and ensure alignment across data mapping, cleansing, testing, and loading into the new system.
5. Support for DCRB in redesigning business processes to take advantage of the new system capabilities, ensuring alignment with industry best practices.
6. Implementation of a member portal to support secure self-service functionality, as well as an employer/vendor portal to enable streamlined reporting and document exchange.
7. Specifications and pricing details for all hardware and software necessary to support the proposed delivery model.

8. Ongoing software maintenance and support, including regular updates, enhancements, and help desk availability.

5) DCRB's objective is to replace its fragmented, legacy system environment with a modern, unified BAPS. The new system will serve as an authoritative system of record for all participant data, support automation of essential business processes, and deliver a seamless, secure, and user-friendly experience for both internal staff and external stakeholders.

C.5.2 Key Business Processes

1) DCRB key business information in the current STAR system includes the following:

   1. Retiree
   2. Employer
   3. Salary, Service Credit, and Contributions
   4. Beneficiary
   5. Financial Institution
   6. Insurance Plans
   7. Benefit Data
   8. Disbursements / Annuity Payments

2) The table below summarizes the business processes required in the new system:

Business Process	Purpose	Major Functions	Comments
History Adjustments	Maintain history info (earnings, contributions, and service credit) Most updates to history happen automatically through other processes (employer reporting, refunds, repayments, purchases)	Inquire, Drill Down to Detail	One record per fiscal year, employer, and history code
		Inquire, Drill Down to Edit	One record for biweekly payroll reported by each agency
		Inquire, Add, Change, Delete	Used to update a single history record
Service Credit Purchases	Process service credit purchases that may be considered in retirement.	Inquire, Add, Management Review, Mock Calculation, Print Application	
		Inquire, New Due Date, Process Record, Process Date Change, Process Selection	
		Inquire, Add, Change, Delete, Management Review	Used for prior service purchase and delinquent service purchase
		Inquire, Change Due Date, Change Purchase Date, Process Selection	
Retroactive Pay adjustments	Process for when Members of an agency are given additional wages at the end of a year	Add, Change, Delete, Go to Agency Summary	Used to enter parameters for the creation of the temporary work file
		Add, Change, Delete, Go to Member Detail Screen, Review Tracking	Used to balance the total amount remitted to the agency with the data on the Member detail screen

		Add, Change, Delete, Mass Change, Member Add, Member Delete, Member Review, Go to Summary Screen	Used to maintain the detail of a Members retroactive raise
Refunds	Process for returning employee contributions due to the Member or survivor	Inquire, Add refund, Add History, Delete History, Calculate Refund	Used to calculate the refund amount. Also handles deceased retirees that have not received benefits more than their contributions
		Select	Used to select the appropriate history records
		Inquire, Add, Change, Delete	Used to enter the information necessary for processing a refund
		Inquire, Drill Down, Process Checks, Produce Refund Vouchers	The main processing screen for refunds
Redeposits	Process for the Member to redeposit a refund amount, plus interest, to restore prior service credit	Inquire, Show all Available Refunds, Add, Change, Delete, Select Refund	Used to select the refunds to be redeposited for a new redeposit payment record
		Inquire, Add, Change, Delete, Process Payment, Project Total Due	Used to select the refunds to be redeposited for a new redeposit payment record
Employer Reporting	Process for Employer Reporting and Agency Reconciling	Inquire, Change, Go to Employer, Go to Control Totals, Data Entry, or Agency Balancing	Used to manage the entire process of employer reporting
		Inquire, Add, Change	Used to enter all control totals necessary for agency balancing
		Add, Change, Complete Process, Mark Deceased or Terminated	Used for the initial data entry of the employer reports
		Inquire, Change, Mark Balance Complete, Go to Data Entry	Used to balance the agencies data for the reporting period

		Inquire, Add, Change, Delete	Used to modify data for a specific Member, employer, and reporting period
		Inquire, Add, Change, Delete	Used to review status information
		Inquire, Add, Change, Delete	Used to edit the status information
Retirement Benefits	Process for performing benefit calculations	Add, Change, Actual vs. Converted Service Check	Used to calculate the contributory, and non-contributory actual service credit and credited service credit
		Inquire, Add, Change, Full Age and Early Age with Override	Used to enter data for the reduction computation
		Change, Review	Used to enter information to complete the benefit calculation
Survivor Benefits	Process for adding a survivor to the annuity payroll		
Estimates	Process for estimating retirement benefits		Uses Retirement Benefits Process screens
Annuity, Power of Attorney, Guardianship, and Conservatorship Maintenance	Process for Annuity Data Maintenance, Annuity Processing, and Member Service	Inquire, Add	Used as a gateway to the other screens. Provides a listing of all benefits being received and allows branching to the desired screen
		Inquire, Add, Change	Used to maintain address for the payment, direct deposit information, dates to track payroll, and annuity amounts
		Inquire, Add, Change	Used to enter data to compute the federal, state, and insurance withholding
		Inquire, Add, Change	Used to maintain benefit components (benefit amounts, withholdings, and tax exclusions)

		Inquire, Change, Manual Check Processing	Allow the user to view the payments that a Member has received
		Inquire, Change, Manual Check Processing	Used to view all of the information associated with a payment
		Inquire, Change, Manual Check Processing	Used to inquire on the different amounts that applied to a specific annuity payment
General Accounting	Process for automating the journal voucher records	Inquire, Add, Change, Delete, Management Review	Used to manually edit and review the data for journal vouchers
		Add Comments	Used to enter in comments for a journal voucher
General System Features	Miscellaneous	Inquire, Add, Change, Delete	Used to track a Member's life event history
		Inquire	Used to manage the on-line review process
		Inquire, Add	Used to maintain the current demographic information

C.5.3 General Requirements

1. The Contractor shall implement a fully integrated Benefits Administration Pension System (BAPS) that meets the requirements set forth in the SOW and is also flexible and scalable to meet DCRB's future business and technological needs.
2. The Contractor shall ensure that the BAPS manages Pension, Payroll Operations, and Benefits Administration functions.
3. The Contractor shall have experience migrating from an legacy pension system to a cloud-based solution, hybrid, or on-premise solution.
4. The Contractor shall perform data extraction and staging from current legacy system and ensure alignment across data mapping, cleansing, testing, and loading into the new system.
5. The Contractor shall use DCRB's BAPS Functional Requirements spreadsheet (Attachment A) to plan, migrate, configure, test, implement, execute, and transfer a fully functioning and operational integrated BAPS solution.
6. The Contractor shall train DCRB staff/personnel in the proper, efficient, and effective use and operation of the FMS tools, capabilities, and functions.
7. The Contractor shall provide current documentation including but not limited to DCRB's BAPS Functional Requirements document, systems architecture and technical documentation, tools and resources aimed at maintaining staff competency, operational efficiency, effectiveness, and productivity.
8. The Contractor shall provide the required primary and secondary software services and products if needed.
9. The Contractor shall provide on-going maintenance and support of the BAPS to include ensuring that all subscriptions, licenses, and dependent applications are current.
10. The Contractor shall provide, maintain and support DCRB's BAPS using relevant industry's best practices and methods for understanding the Agency's current environment, business goals, and needs.

C.5.4 Functional Requirements

1) DCRB is looking for a BAPS that will meet all pension administration business functions. The solution will replace the need for certain dependent systems that are performing functions outside of the existing <u>System To Administer Retirements</u> (STAR) hosted by the U.S. Treasury's Office of DC Pensions. The solution must provide flexibility and ease of configuration with minimal dependence on the Contractor.
2) Offerors must complete the **Functional Requirements Matrix (Appendix A)** and indicate how their proposed system supports each capability, including configuration details, limitations, and customization effort if applicable.
3) DCRB is looking for the system to be the core member administration system that includes the following general functions:
    1. Setup of Retirement Benefits
    2. Administration of Normal, Early, and Disability Benefits
    3. Administration of Death Benefits
    4. Administration of Retirement Benefit Payments
    5. Calculating Retirement Options
    6. Ability to process batch mass changes

7. Customer Relationship Management
8. Generation and Management of Correspondence
9. Document Management
10. Exporting and Reporting of Member Data to Internal and External Stakeholders
11. Generation of Actuarial Valuation and Experience Extracts
12. Granting of Cost-of-Living-Allowances (COLA) and Equalization Pay Increases
13. Garnishment processing and offsets
14. Importing of Agency Member Files
15. Administration of Additional Benefits (such as Deferred Retirement Options, Separations, and Health and Life Insurance)
16. Employer Reporting
17. Processing 1099Rs; Reporting of State and Federal Taxes
18. Processing Member Contribution Adjustments
19. Processing Qualified Domestic Relations Orders (QDROs)
20. New Member Enrollment
21. Processing of Termination Withdrawals
22. Processing Service Credit Purchases and Repayments of Contribution Refunds
23. Self-service Web Portals (Member and Partner/Employer)
24. Generation of Annual Member Statements
25. Tracking Member Counseling and Estimating of Benefits
26. Administrative and Security Controls

C.5.4.1 Functional Overview

1) The system shall support the full lifecycle of pension administration using the five modules (CRM, Case Management, Benefits Calculations, Payment, Reports Generation) described above.

C.5.4.2 Core Pension and Payroll Processing

1) The system shall support all standard and complex benefit operations, including:

- Normal, early, and disability retirement.
- Deferred (vested) retirement processing.
- Death and survivor benefit processing, including precedence rules.
- Qualified Domestic Relations Orders (QDROs).
- Purchase of prior and military service.
- Refund and rollover of contributions.
- Cost-of-living adjustments (COLAs).
- Garnishment processing and offsets.
- Retroactive mass changes to annuities and member records
- Processing of monthly payroll for all annuitants

C.5.4.3 Case and Workflow Management

1) The solution shall include case-centric processing with dynamic routing and workflow support for common pension scenarios, such as:

- Retirement application intake.
- Estimate and counseling requests.
- Member death notifications.
- Service credit inquiries and updates.
- Re-employment or suspension processing.

2) Additional workflow requirements include:

- Role-based routing and task queues.
- Workflow escalation.
- Real-time dashboards for case aging and throughput.
- Full audit trail of case actions and communications.

C.5.4.4 Customer Relationship Management (CRM)

1) The system shall deliver a 360° view of each member or beneficiary, including:

- Contact history, submitted forms, and correspondence.
- Counseling session records and notes.
- Secure messaging and appointment scheduling.
- Service requests and benefit inquiries.
- Employer interactions and member plan details.

2) The CRM shall integrate with DCRB's contact center solution (Amazon Connect) and support customizable case types, statuses, and routing logic.

C.5.4.5 Document Management and Correspondence

1) The solution shall support seamless document management, including:

- Integration with **FileNet and Kofax** for scanned document ingestion and storage.
- Automatic linking of documents to cases and member records.
- Generation of outbound correspondence from configurable templates (e.g., retirement award letters, 1099-Rs, welcome packets).
- Electronic delivery options (secure email, member portal) and support for traditional print/mail.

C.5.4.6 Member and Employer Self-Service Portals

1) The self-service portals for Retirees, Active Members, and Employers shall be (a) secure, role-based self-service tools for members, retirees, beneficiaries, and employer HR teams, and (b) provide online estimates, form submissions, download of 1099-R and other documents, appointment requests, and document uploads.

2) All portals shall support secure authentication, mobile responsiveness, and Web Content Accessibility Guidelines (WCAG) 2.1 compliance.

3) **Active Members and Retirees:**

- Access to retirement estimates, service history, and benefit summaries.
- Submission of online forms and supporting documents.
- Case status disposition, tracking and communication.
- Viewing of payment history, 1099-Rs, and plan updates

4) **Employers/HR Partners:**

- Contribution submission and member enrollment.
- Record correction tools (e.g., service breaks, name changes).
- Secure file upload and document submission.
- Workflows from the active record to the retirement and subsequent processes
- Payroll reconciliation tools.

C.5.4.7 Reporting and Analytics

1) The system shall provide robust reporting capabilities, including:

- Pre-built operational reports (e.g., new retirements, pending cases, payment batches).
- Self-service query tools for authorized users.
- Dashboard visualizations for Key Performance Indicators (KPIs) and service metrics.
- 1099-R generation and IRS reporting.
- Audit logs, exportable in standard formats.
- Compliance with Federal and District reporting requirements
- Integration with the DCRB financial management system for accounting and payroll activities

2) Offerors shall describe support for integration with analytics tools, namely **Power BI**, and **Tableau**.

C.5.5 Technical Requirements

1) The proposed SAAS system shall reflect modern best practices in public-sector application design, with emphasis on scalability, performance, security, and configurability. The system architecture is flexible to support both near-term project goals and future requirements.

C.5.5.1 Architectural Principles

1) The proposed system shall be designed in accordance with the following technical principles:

- **For Cloud-Ready Deployment:** Support deployment in a FedRAMP-authorized equivalent cloud or FISMA-compliant private cloud.
- Hybrid or on-premise: Hybrid and on-premise deployment models will be considered if compliant with DCRB’s hosting policies.

- **Modular and Service-Oriented Design:** Leverage componentized architecture with defined service boundaries to allow for independent scalability, fault isolation, and ease of upgrades.
- **Scalable Infrastructure:** Support horizontal and vertical scaling to handle growth in member records, user sessions, and processing demands without degradation in performance.
- **Extensibility:** Provide APIs and integration points to allow for new features, tools, or modules to be added without re-architecting the system.
- **Configurable (Not Coded) Logic:** Business rules, plan configurations, calculations, and workflows should be data-driven and modifiable through administrative interfaces without vendor intervention.
- **High Availability and Disaster Recovery:** Ensure system uptime and continuity through geographic redundancy, failover capabilities, and disaster recovery strategies with defined RTO/RPO metrics.
- **Separation of Environments:** Strict segregation of Production, Staging/Test, Development, and Training environments, with appropriate role-based access controls. At a minimum, Contractor shall use Development, Staging/Testing and Production environments.

2) Audit trails shall be immutable and support export to DCRB's Security Information and Event Management (SIEM) solution.

C.5.5.2 Security and Compliance

1) The system shall comply with federal and local standards for public pension systems, including:

- **Data encryption** at rest and in transit (AES-256 minimum).
- **Multi-factor authentication (MFA)** for all staff users; optional for member access.
- **Granular role-based access controls,** with administrative override logging.
- **Audit trails** for all data changes, logins, and administrative actions.
- **FISMA Moderate, NIST 800-53**, and **IRS Publication 1075** alignment.
- Support for **external security audits,** penetration testing, and vulnerability scanning.

C.5.5.3 Security and Fraud Prevention

1) In addition to proposing a secure application architecture and data architecture, the Contractor shall provide a comprehensive set of security and fraud prevention features geared for business end-users of the solution (staff, members, employers, etc.). As part of the description of the proposed security and fraud prevention functionality, the Offeror is expected to address:

- <u>Static data-based identification:</u> composed of two primary functions — identification of new members at enrollment, and the validation of returning members. Static identification can be used if a step-up verification is required to increase trust assurance. These methods are commonly used to satisfy know-your-client/customer (KYC) requirements, and customers are accustomed to providing much of this data [e.g., knowledge-based verification (KBV) challenges]. Including the degree to which the proposed solution can:
  - Mitigate client imposters who have obtained the client's personal identifiable information and who can pass KBV challenges.

  - Increase the ease of the identity corroboration experience for legitimate clients while reducing fraudulent attack opportunities.
  - Detect potential fraudulent changes in data, such as the case of a bank account change made to more than one Client referencing the same bank account.
  - Insert delays in case processing when certain account changes are made as a way to safeguard against potential fraud.

- Rule-based risk assessment: rule-based capability for compliance, business policy enforcement, and suspicious activity detection including the level of sophistication of the proposed solution's rule-based risk assessment (e.g., support for highly complex and nuanced rules, automatic relevance testing, and aggressive rule management focused on retiring outdated rules).

- Behavior analytics: assessing baseline behaviors against historical individual activity as well as peer groups across all interaction channels. Including the degree to which the proposed solution will:
  - Detect and act on changes or outliers in behavior, such as changes in page navigation, sequence of actions, keystroke patterns, mouse movement, and or swipe pressure.
  - Leverage supervised and unsupervised machine learning for behavior analytics.

- Continuous risk assessment: integrating results from all client interaction channels (e.g., web, mobile, call center, chat, e-mail, in-person) and dynamically determining and applying security, fraud prevention, and/or risk-mitigation measures on a case-by-case basis.

C.5.5.4 Integration Approach

1) The system shall integrate securely and reliably with both internal and external systems using modern data exchange mechanisms. Required integration capabilities include:

   - **Real-time and batch processing** support via RESTful APIs, SOAP, and secure file transfers (e.g., SFTP).
   - **Interoperability with existing platforms**, including:
     - FileNet and Kofax for document imaging.
     - STAR system for historical data extraction (via coordination with ODCP).
     - PeopleSoft (HR and payroll feeds).
     - Amazon Connect (contact center).
     - U.S. Treasury, banking partners, and external audit/reporting systems.

2) Interfaces shall support retry logic, error logging, and quarantining of failed transactions.

C.5.5.5 Development and Deployment Practices

1) Offerors must demonstrate the use of modern development pipelines, including:

   - Agile or hybrid project methodologies.
   - Automated testing and regression test suites.

- Continuous Integration/Continuous Deployment (CI/CD) pipelines for configuration-controlled environments.
- Version control and change management systems.

2) Transparent and collaborative tools (e.g., Jira, Azure DevOps, or equivalent) are required for issue tracking, sprint planning, and release documentation.

C.5.5.6 Accessibility and Usability

1) The system shall comply with Web Content Accessibility Guidelines (WCAG) 2.1 AA accessibility standards across all web-facing portals. User interfaces shall be:

   - Responsive and mobile-friendly.
   - Designed with accessibility, clarity, and consistency in mind.
   - Equipped with search, filtering, and inline help features.

2) Separate user experiences shall be available for members, beneficiaries, employers, and internal users, based on roles and access permissions.

C.5.6 Implementation Plan

1) The Contractor shall perform an implementation assessment of STAR and other related systems and provide detailed implementation plans.
   a) These plans should summarize the project management approach, implementation scope, and work breakdown structures detailing all deliverables, milestones, schedule, project tasks, dependencies, project timelines and resource assignments.
   b) The plan shall include the tasks for which DCRB will be responsible for providing.
   c) As part of the assessment, the Contractor shall provide a list of new features and lost features of the new system.
   d) As part of the governance and operating procedures, a comprehensive adoption strategy which shall include but not be limited to how the newly implemented capabilities become part of the day-to-day tools of end users, which feature changes as a result of the implemented software and how to translate this change into the agency's business processes.
   e) The Implementation Plan shall include a detailed plan for implementing temporary dual-system operations, secure interfacing, and phased decommissioning of STAR-based functions.

C.5.7 Process Change and Reengineering

1) The Contractor shall conduct an assessment of DCRB's current BAPS processes and document DCRB's current processes.
   a) The Contractor shall work with the relevant DCRB departments to analyze and identify areas for improvement.
   b) In addition to designing and implementing the proposed solution from a technology perspective, Contractor will be responsible for designing and implementing all associated process changes relevant to, or otherwise associated with, the proposed solution. DCRB is not looking to simply re-implement its current state, as-is processes on a new technology platform. Instead, DCRB will adopt a future state "To-Be" model that includes an optimal set

of proven business processes, recommended and designed by the selected vendor that is well aligned to the proposed solution.

c) The Contractor shall put forth in their proposal a comprehensive process change and reengineering approach that is expected to include the following:

- The approach that will be used to assess and determine cultural fit and readiness for process changes should be discussed.
- Proven processes for defining and documenting planned process changes and clearly communicating their anticipated impact on multiple stakeholders' groups (e.g., staff, members, employers).
- A proven model for successfully engaging multiple stakeholder groups (e.g., staff, members, employers) to build critical support for planned process changes.
- The degree to which the Offeror already has a set of comprehensive, optimal and proven processes that are well aligned with the proposed solution that can be leveraged as a starting point for process reengineering at DCRB – Prior experiences and approaches with the other public pension administration clients, and if/how that has influenced the proposed approach, should be discussed.
- How process analysis and design, such as formulating to-be process alternatives and improvement recommendations will be approached.
- The extent process work will rely on discovery sessions with subject matter experts and affected stakeholders (e.g., discussing known process gaps, pain points).
- How the ability to measure performance reliably and objectively will be built into the future To-Be processes. Defining measurable outcomes that will enable optimal performance measurement throughout the life of the project is critically important.
- The handling of any legislative regulations, rules, and policies/procedures that may require development or modification in order to implement specific process changes. In addition, all process changes and reengineering approaches shall meet the following requirements:
    - Provide clearly defined process roles and responsibilities and detailed information about how work is to be performed in the future process environment.
    - Provide detailed to-be workflows that clearly define future state processes, along with any supporting explanatory documentation.
    - Provide an impact and risk analysis (with mitigations) for transitioning from the current state to the future "To-Be" processes. The analysis shall cover all stakeholder types (e.g., staff, members, employers).
    - Provide a strategy and plan for a smooth transition to the future "To-Be" processes, including addressing how future "To-Be" process implementation will be aligned with the implementation approach of the solution.

C.5.8 Project Management Plan

1) The Contractor shall provide a detailed methodology for implementing the new BAPS, whether it is phased or agile iterative methodology. This shall include an implementation timeline, and overview of deliverables, assumptions and resources needed. The activities, roles and responsibilities associated with the deliverables shall also be defined. The Contractor shall describe a comprehensive project management approach highlighting
    - work breakdown structure with clear deliverables;

- risk management and escalation procedures;
- resource allocation and critical path management; and
- progress reporting with performance metrics.

2) The Contractor is responsible for providing comprehensive project management services designed to manage the successful implementation of the Project. DCRB expects Offeror to provide a tailored, value-added, pro-active, collaborative, and transparent approach for all aspects of project management that is well aligned to the project objectives and expectations described in the RFP.
3) The Project Management Plan will address the confirmation of the functional requirements (for example in a series of work sessions as an initial phase of the project).
4) The Contractor’s team shall have the necessary experience in defined benefit plan business processes. The Contractor's business analyst(s) are expected to be familiar with public retirement systems.

C.5.8.1 Project Plan

1) The Contractor shall provide and maintain a current detailed project plan showing all major milestone activities. The Contractor shall maintain the project plan by keeping it updated regularly (as defined by the CA, or upon request). The Contractor shall employ adequate resources that possess superior knowledge of the principles, methods, or tools for developing, scheduling, coordinating, and managing projects and resources, including monitoring, and inspecting costs, work, and Contractor performance. The Contractor shall develop resource estimates related to cost, schedule, and performance. The Contractor shall oversee execution of the project and closely monitor program progress; respond and adapt plans to changes and manage risk. The Contractor shall develop and document a work breakdown structure (WBS), and resource loaded project schedule using common project information systems technology and software.
2) The project schedule shall be formally submitted and is subject to review and formal approval by the Contract Administrator (“CA”). Subsequent changes to key milestone dates will be subject to review and formal approval by the CA.
3) The project schedule shall be maintained on the DCRB enterprise Microsoft 365 Project (or other equivalent software if deemed acceptable to DCRB) and will be updated regularly and on an as-needed basis.
4) The project schedule shall be resource loaded and dependency driven; it must use Activities Network Diagram, identify the critical path and true task dependencies (e.g., predecessors and successors) in accordance with standard scheduling industry practices.

C.5.8.2 Quality Control Plan

1) With regular updates, the Contractor shall clearly describe and outline their project specific Quality Control (QC) and Risk management, including how their QC approach will ensure fulfillment of the requirements and deliverables, their use of best system development practices.

C.5.8.3 Risk Management Plan

1) The Contractor shall provide a complete Risk Management Plan describing how they would overcome any technical issues that might occur during the project and the timeframe to correct any issues. The Risk management plan shall also address how the Contractor will identify all project risks; outline likely risks specific to all the deliverables in the Statement of Work, and

present appropriate mitigation steps the Contractor will employ to keep the project on schedule and within the awarded project amount (Firm Fixed Price).

C.5.8.4 Resource Plan

1) The Contractor shall provide a detailed resource plan with proper resource allocation(s) addressing peak Contractor activities. The Contractor shall list all resources (both Contractor and DCRB) and provide resource management for the duration of this project. In the weekly written status reports, the Contractor shall document any resource issues that have arisen during the reporting period along with any issue resolutions.

C.5.8.5 Communications Management Plan

1) A Communication Management Plan shall be developed to ensure that all relevant stakeholders are informed as needed.
2) The Contractor shall provide the DCRB with a comprehensive Communications Management Plan that includes all content and engagement with business stakeholders within the DCRB necessary for successful deployment.
3) The plan at a minimum should include a weekly status meeting.
4) The Contractor shall tailor the plan to each user category, as appropriate, to ensure a positive customer experience.
5) The plan shall include both email and web portal communications, as well as talking points and frequently asked questions (FAQs) for use by the DCRB management to communicate with their employees.
6) With each update, the Contractor shall deliver the plan to the CA for review; the Contractor shall incorporate feedback from the CA and shall provide the CA with a final document for review and approval.

C.5.8.6 Maintenance of project documents

1) The Contractor shall continuously update the above plans and maintain the plans, keeping them updated at regular intervals (as defined by the CA), with project status reports. Or, upon the request of the CA, the Contractor shall provide to DCRB with an updated plan within one (1) business day of the request.

C.5.9 Data Management Plan

1) The Offeror shall describe in detail the data profiling, validation, and cleansing procedures; current “As-Is” system data bridging during transition; Iterative mock conversion and validation processes; and handling procedures for data anomalies and uncleanable data records.

C.5.9.1 Conversion

1) DCRB anticipates converting, at a minimum:

   - All active, inactive, and historical participant data needed to support the full functionality of the new BAPS.
   - Required vendor, beneficiary, employer, and service-provider data from existing systems (e.g., STAR or ancillary sources).

2) The Contractor shall perform data extraction, cleansing, validation, and staging from legacy systems (e.g., STAR and DOS based UPPS) and ensure alignment across data mapping,

cleansing, testing, and loading into the new system. The Contractor is responsible for validating staging formats and timing against the overall implementation plan.

3) The Contractor shall:

- Conduct data profiling to produce an assessment of current production data to identify what data problems exist.
- Assist DCRB in establishing priorities for data cleansing and remediation.
- Develop a project plan for the Data Integrity Project.
- Perform data cleansing and remediation followed by rigorous quality assurance, using the different data sources as needed.
- Develop and document a detailed data conversion plan including mapping, cleansing, validation, transformation, and loading activities.
- Identify all legacy data sources and address data dependencies across systems.
- Vendor would screen legacy data in order to detect both general peculiarities (e.g., lack or excess of data, outliers, inconsistencies, data type issues, sparseness, strange patterns, key integrity issues, conformance issues, etc.) as well as business-specific anomalies (e.g., client is in wrong status, but status value itself is valid).
- Work with DCRB staff, members, and agencies to validate data, fill in missing information, and secure necessary documentation in order to update data.
- Specify any third-party tools used for data extraction, transformation, or staging.
- Define testing protocols and scripts for pre-load validation, parallel run verification, and post-load reconciliation.
- Provide a cutover strategy to ensure minimal disruption during final migration into production.
- Certify the final data is converted successfully in production.
- Develop data governance policies and procedures for adoption and adherence well beyond the term of the project.

4) All data converted into the new BAPS shall be fully auditable, reconciled, and verified by DCRB prior to go-live.

C.5.9.2 Data Ownership

1) DCRB shall own all rights, title and interest in its data that is related to the services provided by this contract.

C.5.9.3 Data Protection

1) The Contractor shall ensure the protection of personal privacy and sensitive data and that there is no inappropriate or unauthorized use of DCRB's data.

C.5.9.4 Data Location

1) The Contractor shall not store or transfer DCRB data outside of the United States. This includes backup data and Disaster Recovery locations.

C.5.9.5 Encryption

1) The Service Provider shall encrypt all non-public data in transit regardless of the transit mechanism.

C.5.9.6 Termination and Suspension of Service

1) In the event of termination or suspension of the contract, the Contractor shall implement an orderly return of DCRB data in CSV or XML or another mutually agreeable format. The Service Provider shall guarantee the subsequent secure destruction or disposal of DCRB data.

C.5.10 Test Management Plan

1) The Contractor is expected to leverage automated testing tools and processes. A Test Management Plan shall be developed which describes all the processes and procedures proposed for testing throughout the project.
   - Provides details on the specific testing phases (unit, integration, system, performance, security, regression, User Acceptance Testing (UAT), “Go”- “No Go” for Production cut over).
   - Provides a plan that outlines a comprehensive test strategy to include the types of testing that shall be planned and executed during the project and leverages the industry best practices for testing.
   - Ensures the solution meets all requirements for backup, failover, recovery, disaster recovery, and business continuity. Includes testing the ability to roll-back the solution from its current release to a previous release, and to legacy systems.

C.5.10.1 Confidence Test

1) The Contractor shall run parallel tests of the BAPS solution and the legacy “As-is” system for the agency business processing including payroll for 12 weeks to ensure smooth transition from legacy to new system. DCRB staff will conduct parallel tests in the two environments with the support of Contractor staff. The Contractor is expected to use automated tools for testing and reporting results from the confidence test.

C.5.11 Training Management Plan

1) A Training Management Plan shall be developed to provide staff with technical and support training as well as end-user training (not to exceed 100 end users). The Contractor shall devise a plan that ensures full application usage and acceptance and introduce new features as the applications are updated. The Contractor shall provide information on their training program during implementation, go-live and for ongoing upgrades.
2) Contractor shall provide their training materials in an on-line format, via web-based videos, Adobe’s Captivate, or another similar system. The system must also provide on-line help for all screens and fields.
3) The Business Administrator’s materials must contain at a minimum all the information required for a business or systems analyst to maintain the configuration of the system, including instructions on how to perform common processes. Below are examples of some of the processes to be included:

   - Update contribution rates
   - Add employers
   - Update interest rates
   - Change COLA rate
   - Update tax tables for Federal and State
   - Run mass batch jobs to update certain member data fields

4) The Contract Administrator's materials must contain Application Programming Interface (APIs), data integration and connectors, including all field formats, definitions, and other industry standard information as required. Additionally, the manual must contain all recommended standard operating procedures for them. The purpose of this manual is to allow a Systems Administrator and/or Database Administrator to properly configure the system from a technical standpoint.
5) The Contractor will provide guidance to IT staff on the initial setup of the overall system, including the software, database, and the software integration for all implementation phases of installation and configuration.

C.5.12 Deployment plan

1) A Deployment Plan shall be developed to highlight the activities from pre-deployment to production Go-Live.

C.5.12.1 Pre-deployment Implementation Plan Review

1) Once the Contractor has received the approval to deploy, the Contractor shall work with the CA to review and update the Implementation Plan to accommodate changes required by DCRB. The Contractor shall provide the CA with the new or updated document for review. The Contractor shall incorporate feedback from the CA and shall provide the CA with a final document for review and approval. The Contractor shall implement the approved Implementation Plan.

C.5.12.2 Production Readiness Review

1) The Contractor shall comply with the DCRB policies and procedures for the Production Readiness Review. The Contractor shall provide the CA with all the information needed to complete other documents as needed.

C.5.12.3 Deployment Plan Approval

1) Once the Contractor has received approval to deploy, the Contractor shall discuss test results and system documentation with the DCRBB project team to gain approval for deployment. The Contractor shall update all the project-related documents and mark them as final to upload into the document library and shall provide the CA with a final document for review and approval.

C.5.12.4 Go-Live Implementation

1) Once the Contractor has received approval to deploy and all subtasks defined above are complete, the Contractor shall coordinate the go live implementation date and ensure all concerned parties are ready for the production implementation start. The Contractor shall fully implement the solution in the production environment. The Contractor shall deliver a system that was accepted at the conclusion of the UAT.

C.5.13 Documentation Management Plan

1) A Documentation Management Plan shall be developed to ensure that all documents that are relevant to the development, maintenance and support of the new BAPS are developed, organized, stored, and maintained in a secure but accessible manner.
2) DCRB requires the system implementation to be based on the specifications listed in the statement of work and the requirement document. The documents will become the baseline design document upon which future change requests will be based.
3) DCRB expects to develop a change control process with the selected offeror during the contract phase. The specification document is expected to be comprehensive and includes requirements

contained in this RFP. Describe what documentation (user guide, technical guide, training materials, etc.) will be part of the system proposed.

C.5.14 Infrastructure Management Plan

1) The deliverable shall include information regarding backup (cloud, server, redundancy, continuous imaging and/or encrypted hard media), data retention, disaster recovery, and security.
2) DCRB requires the ability to access and use its data in the event of a power outage, hacking attack, interruption to internet and/or Wi-Fi service, a disaster that impacts the agency office, and a plan which would allow agency staff to continue to fully function as well as a secure plan to work remotely.

C.5.15 Enhancement Services

1) The Offeror must also be well versed in the configuration of the new BAPS applications from both a technical and business process perspective. The Contractor shall provide the process used in the analysis, architecture, development, and configuration of enhancements that are configurable items in the BAPS; planning for architecture, coding, installation, configuration, content migration, custom development, security, governance, training and maintenance should be developed as part of the agree upon enhancements. Provisions for access control, data containment, version management, and archiving should be included.
2) The Contractor will periodically analyze DCRB's environment and make recommendations for improvements on performance, features, system utilization, integration, software modules, support and security.

C.5.16 Configuration and Maintainability

1) The solution shall provide DCRB with tools to update system logic, workflows, and plan rules without vendor involvement, including:

   - **Plan rule editor** for benefit formulas, service calculations, and eligibility logic
   - Workflow designer with **drag-and-drop** functionality
   - **Business rule engine** with effective-dating, conditions, and exceptions
   - Tools for modifying correspondence templates, security roles, and document types
   - Version control and sandbox environments for testing configurations

2) All configuration vs. customization shall be clearly documented. DCRB strongly prefers solutions with a **No-code Administration layer** and full access to rule and report editors.

C.5.17 Maintenance and Support Plan

1) The Contractor shall provide a comprehensive Maintenance and Support Plan for the Benefits Administration Pension System (BAPS). This plan shall ensure long-term sustainability, performance, and responsiveness of the implemented solution, covering both technical and functional support needs.

The Maintenance and Support Plan shall address the following components:

C.5.17.1.1 Upgrades, Patches, and Hotfixes

- The system shall receive regular software updates, including security patches, hotfixes, performance improvements, and feature enhancements.
- The Contractor shall outline its software versioning strategy, including major releases and the process for deploying patches in coordination with DCRB's operational schedule.
- Upgrades shall preserve existing configurations, customizations, and data integrity, and shall not require extensive re-implementation work.
- Contractor shall describe any downtime expectations, rollback protocols, and user notification processes.

C.5.17.1.2 Application Environment Performance Monitoring and Reporting

- The Contractor shall provide proactive performance monitoring of the application environment, including but not limited to availability, latency, data integrity, and user response times.
- Monitoring shall include real-time alerting of system degradation or service interruption.
- The Contractor shall submit regular performance reports (e.g., monthly) and participate in periodic review meetings with DCRB to assess trends, usage, and improvement opportunities.
- If the solution is hosted by the vendor or a third-party, the monitoring scope shall include infrastructure availability, load balancing, disaster recovery readiness, and data backup integrity.

C.5.17.1.3 Incident Management

- The Contractor shall provide a tiered incident management process to support service continuity and rapid resolution of system issues.
- Response times shall be aligned with service level expectations and include time-to-acknowledge, time-to-resolution, and escalation procedures.
- DCRB requires access to a helpdesk or support portal to log, track, and prioritize issues.
- The Contractor shall provide regular updates during incident resolution and deliver root cause analysis (RCA) documentation for critical or recurring issues.

C.5.17.1.4 Service Level Agreement (SLA) Management

- The Contractor shall commit to defined SLAs for system uptime, response times, and resolution of incidents based on severity levels.
- Minimum required system availability is 99.9% during business hours, excluding scheduled maintenance. An exception to the self-service portals that shall be "always on".
- The Contractor shall propose SLA metrics and include associated penalties or service credits for failure to meet agreed-upon thresholds.

C.5.17.1.5 Knowledge Transfer and Documentation Updates

- Maintenance and support services shall include ongoing knowledge transfer to DCRB staff, including updated user guides, release notes, configuration documents, and training materials.
- All system changes shall be reflected in current documentation and made available to DCRB through a centralized knowledge base.

C.5.17.2 Support Hours and Contacts

- The Contractor's support staff will be available for maintenance support services during the following hours:

Classification	Hours of Service
Normal Support	8:30 AM to 5:00 PM EST, Monday-Friday
After Hours	This time period will be used for maintenance and support that requires application and system downtime, if any.

C.5.17.3 Service Level Agreement (SLA) Management

- The Contractor shall provide a Service Level Agreement (SLA) Management Plan that defines required service levels, resolution timelines, and performance expectations. The SLA shall ensure uptime, responsiveness, security, and accountability in support of pension administration services.

C.5.17.3.1 Support Hours and Availability

- The Contractor shall define standard and extended support hours, including holidays and weekends.
- Critical systems (e.g., payroll processing) shall be supported on a 24/7 basis.
- DCRB requires **99.9% system uptime during business hours**, excluding planned maintenance, except for the self-service portals that shall be "always on".
- An escalation matrix and named support contacts are required.

C.5.17.3.2 Support Response Times

a) Critical and high priority incidents require that DCRB IT management is notified within an hour and three hours, respectively. The procedures associated with critical and high priority issues include email notifications to the designated management team members and setting up a conference bridge to resolve the issues identified.

b) Incident severity levels and response expectations are defined as follows:

Priority Level	Acknowledgement	Target Resolution	Escalation Threshold	Reporting Frequency	Root Cause Analysis
Critical	Immediate	4 hours	1 hour	Every 1 hour	Required
High	Within 3 hours	8 hours	4 hours	Every 3 hours	Not Required
Medium	Within 8 hours	3 days	1 week	Daily	Not Required

Low	Within 8 hours	1 week	1 week	As requested	Not Required

c) Definitions

- **Critical**: Complete failure of production servers, service, software, equipment, network component or business critical system(s) preventing the operation of key business applications or seriously impacting normal business operations. The incident affects a group, groups of people, or a single individual performing a critical business function. No work around is available, and the incident has a very high impact on business.
- **High**: Partial or substantial IT service, system, or component failure causing impacts to the agency's ability to operate significant business processes or applications. Business operations are severely disrupted or limited. No work around is available, and the incident has a high business impact.
- **Medium**: Component or single user failure not affecting the agency's or users' ability to operate significant business operations. Reasonable workaround or manual processes are available.
- **Low**: Incidents that minimally affect the operation of any IT systems throughout the enterprise. Reasonable workaround or manual processes are available.

C.5.17.4 Performance and Scalability

1) The system shall:

- Deliver **99.9% uptime**, excluding scheduled maintenance
- Support **horizontal scalability** for high-volume events (e.g., year-end COLA runs)
- Meet response time targets: 95% of screens/actions < 2 seconds under normal load
- Handle annual growth of up to **10%** in member population and transaction volume
- Include **performance monitoring tools** for dashboards, queues, and jobs

2) Performance targets shall include:

Measurement	Minimum Standard	Expected Standard
Critical Application Availability	98.78%	99.95%
Server Availability	98.78%	99.95%
Backup Restoration	< 2 hrs. (95%) / < 8 hrs. (100%)	< 1 hr. (95%) / < 4 hrs. (100%)
Downtime Events	≤ 7 per month	≤ 3 per month
Critical Incident Response Time	Immediate	< 15 minutes (100%)

3) Monthly SLA reports shall be submitted. Repeated SLA breaches require root cause review and may trigger penalties or credits.

C.5.18 Disaster Recovery and Security Testing

- The Contractor shall maintain a geographically redundant disaster recovery site.
- Annual third-party penetration testing and DR simulations are required.
- The system shall meet:
  - **RTO (Recovery Time Objective): 4 hours**

- **RPO (Recovery Point Objective): 1 hour**

C.5.19 Other requirements

C.5.19.1 Meetings

1) Contractor shall include all requirements to support the implementation of the work, including, but not limited to, kick-off meetings, progress review, coordination, requirements confirmation, production, testing, training and for other activities as may be required. Contractor shall coordinate such meetings and will take notes and minutes of meetings.

2) Throughout the performance of the work, such meetings will be coordinated in a manner that does not adversely affect DCRB's normal business operations.

C.5.19.2 Documentation

1) The Contractor shall provide documentation to include but not limited to user and technical manuals for end users and administrators.
2) The Contractor shall deliver all project documentation to DCRB in a standard format using professional standards. Documents shall be properly formatted, versioned, named, and organized. DCRB will not dictate the format of project documentation, but the Contractor shall ensure the following standards are met:
   - All business requirements shall be documented.
   - The technical design of the system shall be completely documented.
   - All software releases shall be documented (i.e., release notes).
   - All increased functionality, enhancements, or modifications shall be documented.
   - The Contractor shall submit written project reports on a regular basis.
3) The Contractor shall provide draft release notes with confirmed content of the build prior to delivery, with final release notes accompanying the delivery. DCRB will use this information to plan their testing activities prior to receiving delivery of functionality.
4) DCRB requires a minimum of ten (10) business days to review all documentation that requires approval. DCRB will require additional time for complex documentation that requires review by multiple business process owners or third parties.

C.5.19.3 Independent Validation and Verification

1) The BAPS implementation will be governed by the DCRB Governance structure.
2) As part of the enterprise risk management, the DCRB Internal Auditor overseas project and organizational risk identification, assessment, treatment (if any), monitoring, tracking and escalation of project risks. The Internal Auditor will lead the Independent Validation and Verification (IVV) process that will focus on all program aspects to ensure the best solution is being built in the most effective and efficient way possible with minimal risk.

C.5.19.4. Warranty

1) DCRB requires a comprehensive warranty period of a minimum twelve (12) months after the go-live date following final acceptance by DCRB, including acceptance of all project deliverables.. Any defects encountered will be corrected by the Contractor at no additional charge to DCRB.

All critical defects shall be corrected within one working day (or a date mutually agreed upon between the CA and the Contractor) from the date the Contractor discovers or is notified of the defect.

2) All proposed warranties must be managed directly by the Contractor, and not by a subcontractor, and must cover the entirety of the solution, including customizations. The warranty shall not be voided, in part or in whole, by any supported changes to the solution made by Board's staff post-deployment (e.g., defects discovered after actions such as modifying business rules or workflow, base product upgrades, enabling and configuring new features or other capabilities supported by the product), and such post-deployment changes shall be fully covered by the warranty. The warranty must also meet all SLA requirements.

C.6 DELIVERABLES

1) The Contractor shall perform the activities required to successfully complete the DCRB's requirements and provide each deliverable to the Contract Administrator (CA) identified in section C.8.7.7 in accordance with the following:

Section	Deliverable	Description	Format/Method of Delivery	Schedule
C.5.19.1	Kick-Off Meeting	Contractor shall contact the CA to arrange a meeting to initiate action and confirm requirements.	Phone/In-person, WebEx / MS Teams	Within five (5) business days of contract award
C.5.2	Benefits Administration and Pension System	Contractor shall install and configure the required software application and additional third-party components as required.	As agreed upon between DCRB and Contractor	As stated in the Implementation Plan and approved by DCRB
C.5.6	Implementation Plan	Contractor shall develop an implementation plan to ensure the solutions are installed, configured and operated properly.	In a format agreed upon between DCRB and Contractor	Final version within twenty (20) business days of contract award
C.5.7	Process changes and Reengineering	As part of the governance and operating procedures, a comprehensive requirements document that includes operational processes, governance,	In a format agreed upon between DCRB and Contractor	Final version within thirty (30) business days of contract award

		architecture, and technical solutions will be completed. Stakeholders will be made available to ensure timely completion of the requirements gathering tasks.		
C.5.8	Project Management Plan	The Contractor shall provide a detailed methodology for implementing the BAPS.	In a format agreed upon between DCRB and Contractor	Final version within twenty (20) business days of contract award
C.5.9	Data Conversion	The Contractor shall develop a plan for converting the data from the current environment into the BAPS.	In a format agreed upon between DCRB and Contractor	Final version within thirty (30) business days of contract award
C.5.10	Testing / User Acceptance	A Quality Assurance / Test Plan shall be developed to ensure the solution meets the requirements stated in Section C.	In a format agreed upon between DCRB and Contractor	Final version within thirty (30) business days of contract award
C.5.12	Delivery of Pension/Payroll System	The Contractor shall deliver a fully functional pension, payroll/ payment system that meets the criteria in the Quality Assurance / Test Plan and satisfies the requirements stated in Section C.		Within two years of contract award
C.5.11	Training	The Contractor shall provide end user training to DCRB staff designated by the CA. Training will include but not be limited to technical and support training. Training will be provided as needed.	In a format agreed upon between DCRB and Contractor	Final version within thirty (30) business days of contract award
C.5.13	Documentation	Contractor shall provide documentation	In a format agreed upon	Ten (10) business days prior to

		to operate the system (administrator manual) and to use the system (end user manual).	between DCRB and Contractor	scheduled training (C.5.11)
C.5.14	Infrastructure Plan	Contractor shall provide Infrastructure Plan to include information regarding backup (cloud, server, redundancy, continuous imaging and/or encrypted hard media), data retention, disaster recovery, and security.	In a format agreed upon between DCRB and Contractor	Final version within thirty (30) business days of contract award
C.5.15	Enhancement Services Plan	The Contractor shall provide an Enhancement Services Plan to facilitate configuration of new features and future business rules.	In a format agreed upon between DCRB and Contractor	As needed
C.5.16	Configuration and Maintainability	The solution shall provide DCRB with tools to update system logic, workflows, and plan rules without vendor involvement.	In a format agreed upon between DCRB and Contractor	As needed
C.5.17	Service Level Agreement Management Plan	The Contractor shall provide a Service Level Agreement (SLA) Management Plan with SLA metrics and associated penalties or service credits for failure to meet agreed-upon thresholds.	In a format agreed upon between DCRB and Contractor	Final version within thirty (30) business days of contract award
C.5.17	Maintenance and Support Services	The Contractor shall install the manufacturer's required patches, system updates, upgrades, and hotfixes to ensure the software application is operating using current	As required by manufacturer and in consultation with the CA	As needed

		technological capabilities and at its maximum capacity.		
C.5.18	Disaster Recovery and Security	The Contractor shall maintain a geographically redundant disaster recovery site and participate in annual third-party penetration testing and DR simulations.	As required by manufacturer and in consultation with the CA	As needed

Appendices:

A. Functional Requirements Matrix