



The Maine Public Employees Retirement System

Pension Administration System (PAS) Solution

Request for Proposals

Issue Date: May 1, 2024

Minimum Qualifications and Intent to Respond: May 14, 2024

Closing Date: June 14, 2024

Email: MainePERS-PAS-RFP@lineasolutions.com

Table of Contents

The Maine Public Employees Retirement System 1

1. General..... 5

1.1 Introduction5

1.2 Interpretation and Defined Terms5

1.3 MainePERS Modification of Terms and/or Cancellation5

1.4 Freedom of Access6

1.5 Bidder Expenses6

1.6 Conflict of Interest6

1.7 Confidentiality and Security of Information6

1.8 Service Scope7

1.9 Agreement7

1.10 Request for Clarification7

1.11 Proposal Withdrawal8

1.12 Period of Commitment8

1.13 Multiple Proposals8

1.14 Consortium Proposals and Subcontracting8

1.15 No Liability for Errors9

1.16 Waiver9

1.17 Use of MainePERS' Name9

2. About MainePERS..... 10

2.1 Overview and Background Information 10

2.2 Strategic Vision 11

2.3 Vision for PAS Solution Project 13

3. Services Required..... 14

4. Procurement Timelines and Process..... 15

4.1 RFP Administration 15

4.2 Timelines..... 16

4.3 RFP Process..... 17

5. Evaluation Process 20

6. Proposal Package 21

Attachment 1 - Interpretation and Defined Terms..... 28

Attachment 2 – Statement of Minimum Qualifications and Intent to Respond 32

Attachment 3 – RFP Question Form 35

Attachment 4 - Executive Summary..... 36

Attachment 5 - Additional Services 37

Attachment 6 - Main Services Agreement	38
Attachment 6B – MainePERS Standard Vendor Agreement	39
Attachment 6C – Acceptance of MainePERS Standard Vendor Agreement	44
Attachment 6D – Bidder Main Services Agreement and Statement of Work	45
Attachment 7 - Mandatory Criteria	46
Attachment 8 - Scope and Other Requirements	48
Attachment 9 – Video Capture.....	52
Attachment 10 – Functional Requirements	53
Attachment 10B – Detailed Functional Requirements	57
Attachment 10C - MainePERS Core Plan Information	58
Attachment 10D – Business Process Workflows, Descriptions, and User Stories	59
Attachment 10E – Member and Employer Communications.....	60
Attachment 11- Functional Questionnaire.....	74
Attachment 12- Implementation and Staffing.....	86
Attachment 12B - Implementation and Staffing Questionnaire.....	87
Attachment 12C – Detailed Project Schedule.....	96
Attachment 12D – Detailed Project Schedule - PDF	97
Attachment 13 - Data Conversion Questionnaire.....	98
Attachment 14 - Implementation Assumptions and Exceptions.....	101
Attachment 15 - Maintenance and Support Questionnaire	102
Attachment 16 - Administrative Independence Questionnaire	107
Attachment 17 - Service Level Agreement	110
Attachment 18 – Maintenance and Support Assumptions and Exceptions	113
Attachment 19 - Technical Requirements	114
Attachment 19B – Detailed Technical Requirements	116
Attachment 20 - Technical Questionnaire	117
Attachment 21 - Artificial Intelligence (AI) Questionnaire	129
Attachment 22 - Organization and References	131
Attachment 22B – Financial Statements.....	137

Attachment 22C – Ability to Finance..... 138

Attachment 22D – Insurance Certificate 139

Attachment 22E – Organization Chart 140

Attachment 23 – Teaming Approach..... 141

Attachment 24 – Solution Cost..... 143

1. General

1.1 Introduction

The Maine Public Employees Retirement System, herein referred to as “MainePERS,” is inviting qualified Bidders to submit Proposals for the provision of the Services as specified in this RFP.

This RFP will be conducted with the objective of maximizing the benefit to MainePERS, while offering the Bidders a fair and equitable opportunity to participate.

Bidders are advised to pay careful attention to the wording used throughout this RFP.

All proposals are due by 2:00 p.m. Eastern Time on June 14, 2024. MainePERS in its sole discretion may accept as timely a proposal received a de minimis number of minutes after the deadline.

Proposals must be submitted via upload to the designated secure file share site as described in the RFP. E-Mailed, Mailed, faxed, or hand delivered proposals will not be considered. Bidders may request receipt confirmation of their proposal by email. All correspondence related to this RFP may direct an email to MainePERS-PAS-RFP@lineasolutions.com.

A Bidder who has submitted a proposal and not received an acknowledgment should call (207) 512-3293.

1.2 Interpretation and Defined Terms

A list of terms used in this RFP and attachments is provided in Attachment 1 – Interpretation and Defined Terms.

1.3 MainePERS Modification of Terms and/or Cancellation

MainePERS reserves the right to modify this RFP and related documents, including the closing date, by issuing addenda at any time up to two (2) working days prior to the Closing Date. MainePERS may do so for any reason, whether at its own initiative or in response to a clarification requested by a Bidder.

All clarifications deemed by MainePERS to be material will be issued as written addenda and will be communicated to all Bidders. No verbal communication will amend this RFP and only such written addenda from MainePERS shall be effective to modify or clarify this RFP. It is the Bidder’s responsibility to check for updates and clarifications issued by MainePERS prior to submitting a Proposal.

The Request for Proposal does not commit MainePERS to award a contract. MainePERS reserves the right to accept or reject any or all proposals received. MainePERS reserves the right not to check any or all references. MainePERS has the right to interview any or all Bidders after the RFP deadline. MainePERS may also cancel or amend this Request for Proposal in part or in its entirety.

1.4 Freedom of Access

Proposals and any other communications received from Bidders are subject to Maine's Freedom of Access law, [1 M.R.S. ch. 13](#). If a Bidder believes that a portion of its proposal is exempt from public disclosure under that law, the Bidder must specifically identify that portion and the exemption. Blanket designation of an entire proposal as confidential is ineffective.

1.5 Bidder Expenses

Individual Bidders are responsible for all costs, including travel costs, of preparing and presenting its Proposal and, if applicable, Agreement finalization.

1.6 Conflict of Interest

Bidders must fully disclose, in their Proposal, the circumstances of any possible conflict of interest or what could be perceived as a possible conflict of interest if the Bidder were to become a contracting party pursuant to this RFP. MainePERS shall review any submissions by Bidders under this provision and may reject any Proposal where, in the opinion of MainePERS, the Bidder could be in a conflict of interest or could be perceived to be in a possible conflict of interest position if the Bidder were to become a contracting party pursuant to this RFP. Failure to disclose potential conflicts of interest may result in the cancellation of the Main Services Agreement or liability on the Bidder.

1.7 Confidentiality and Security of Information

The Bidder, the Bidder's employees, subcontractors, and agents shall keep strictly confidential all information concerning MainePERS and/or third parties or any of the business or activities of MainePERS and/or third parties disclosed to the Bidder and its employees, subcontractors and agents as a result of its participation in this RFP; and only use, copy or disclose such information as necessary for the purpose of submitting this Proposal or upon the written authorization of MainePERS.

1.8 Service Scope

Should any Services or Materials be reasonably required in and for the proper performance and provision of the Services which:

- a. are not expressly or completely described in this RFP, and
- b. are required for the proper performance and provision of the Services, such Services or Materials shall be deemed to be implied and required and the Bidder shall, at its expense, furnish such Materials and perform such Services as if they were specifically described in this RFP.

1.9 Agreement

The initial term of the contract will be the implementation and warranty phase, plus an additional three (3) years thereafter. Following the conclusion of the initial term, the contract will automatically renew for successive one (1) year terms, unless terminated by one of the parties.

In accordance with Attachment 6 – Main Services Agreement, Bidders will confirm acceptance and/or specifically state any objections to the MainePERS Standard Vendor Agreement. In some cases, Bidders may also submit their Main Services Agreement and a form of Statement of Work. These documents will form part of the Agreement between MainePERS and the successful Bidder, once negotiated.

This RFP and the Bidder's Proposal shall form part of the Agreement. In the case of conflicts, discrepancies, errors, or omissions among this RFP, Proposal, and the Agreement, the documents and amendments to them shall take precedence and govern in the following order:

- a. Statements of Work;
- b. Main Services Agreement;
- c. RFP (priority order within the RFP is: written addenda, main body of the document, then appendices); and
- d. Proposal (priority order: written clarifications, then main body of Proposal).

Within each of (a) to (d) above, more recent provisions shall be deemed to have superseded earlier provisions.

1.10 Request for Clarification

Upon review of Proposals submitted by Bidders, MainePERS may, at its discretion, request clarification relating to technical and/or cost proposals from any Bidder. Bidders will be provided a reasonable period of time in which to submit written responses to MainePERS' questions and/or requests for clarification. Such question-and-answer exchanges may be repeated until MainePERS is satisfied.

1.11 Proposal Withdrawal

A Proposal may be withdrawn any time prior to the Closing Date by submitting written notification signed by an authorized agent of the Bidder to MainePERS-PAS-RFP@lineasolutions.com. A withdrawn Proposal may be resubmitted with modifications prior to the Closing Date. Modifications offered in any other manner will not be considered.

1.12 Period of Commitment

Proposals shall be irrevocable for one (1) year from the RFP's Closing Date.

Resource replacement during the period of commitment is not encouraged, however, there could be circumstances following the RFP Closing Date and prior to Agreement execution that a Bidder may request that a proposed resource be replaced. Any proposed resource replacement must have, in the opinion of MainePERS, equivalent or better qualifications than the originally proposed resource. Bidders will not receive additional credit in the evaluation process if the qualifications of the replacement resource exceed those of the original resource. MainePERS reserves the right to deny any request for replacement and reject any proposed replacement.

1.13 Multiple Proposals

If multiple Proposals by the same Bidder are offered, the Bidder must submit each Proposal separately in the same format as outlined in the RFP. All Proposals must meet the fundamental intent of the RFP. The acceptability of each Proposal will be decided by the Evaluation Committee.

1.14 Consortium Proposals and Subcontracting

Joint bidders must designate one joint bidder to act as the single point of contact for the purposes of this RFP and as the Prime Bidder that will be party to the Master Services Agreement (MSA). Notwithstanding the foregoing, Bidders acknowledge and agree that MainePERS may, in its discretion, require changes to the contractual structure proposed by jointly bidding Bidders, which changes may include, without limitation, requiring a different bidding Bidder to act as the Prime Bidder, requiring a direct contractual relationship between MainePERS and more than one of the jointly bidding Bidders, or the removal of one or more of the jointly bidding Bidders from the Proposal.

Bidders must not enter into exclusive teaming or other bidding arrangements with joint bidders that would preclude them from separately submitting a bid on its own or with other Bidders.

All subcontracting between joint bidders is subject to the terms and conditions set out in the MSA.

Prior to any communication or distribution of confidential information to a potential joint bidder, the Bidder must provide MainePERS, in advance and in writing, with the name of the potential joint bidder and that portion of the Services that the proposed joint bidder is to undertake. The Bidder will also provide contact information for the potential joint bidder, and a summary of the confidential information that the Bidder wishes to disclose to the potential joint bidder.

1.15 No Liability for Errors

While MainePERS has made considerable effort to provide an accurate representation of information in this RFP, the information contained in this RFP is supplied solely as a guideline for Bidders. The information is not represented, guaranteed, or warranted by MainePERS to be accurate or current, nor to be comprehensive or exhaustive. Nothing in this RFP is intended to relieve Bidders from forming their own opinions and conclusions with respect to the matters addressed in this RFP. Bidders are required to notify MainePERS in writing if they identify anything the vendor believes to be an error in this RFP.

1.16 Waiver

Notwithstanding any other provision of this RFP, in no event shall MainePERS be liable to a Bidder or any other person for any claim of damages or compensation of any kind arising directly or indirectly from the RFP process, the evaluation of Proposals, the awarding of the Agreement, or any decision by MainePERS not to award the Agreement. Each Bidder who submits a Proposal hereby waives any recourse against MainePERS in respect to any such claims, including any costs a Bidder incurs for preparing and presenting a Proposal in response to this RFP.

1.17 Use of MainePERS' Name

The Bidder shall not use the name of the Maine Public Employees Retirement System or, MainePERS, its brand and/or logo, or refer to this RFP in any advertising copy or other promotional materials or messages without MainePERS' prior written approval.

2. About MainePERS

2.1 Overview and Background Information

MainePERS, established in 1942 and operating from Augusta, Maine, is a quasi-governmental agency authorized by the Maine Legislature. It plays a crucial role in retirement planning for Maine public employees, managing six defined benefit programs for state workers, teachers, judges, legislators, and employees of participating local districts. Additionally, it oversees retirement and survivor benefits for ex-governors and their spouses. Below, please find a high-level summary of the MainePERS population:

Population	Number of Members
Active	52,717
Retirees and beneficiaries receiving benefits	49,166
Inactive	60,672
Total =	162,555

Beyond core retirement plans, MainePERS administers a Group Life Insurance Program for various public sector employees and manages Disability Retirement and MaineSTART (a tax-deferred savings program). These services demonstrate MainePERS' commitment to the financial well-being of Maine's public sector workforce, both during employment and in retirement. More information including the Strategic Plan, Annual Financial Reports, Valuations, etc. is available on the website, www.mainebers.org. MainePERS members are employed by the approximately 600 distinct employers who participate in MainePERS. MainePERS expects the number of employers who participate in the program to grow. Over the past decade, active membership has grown by approximately 9% and retired membership and beneficiary membership has grown by approximately 22%.

2.2 Strategic Vision

MainePERS, through careful cultivation of stakeholder feedback and insights, has adopted in August of 2022, a pivotal 5-Year Strategic Plan aimed at holistic organizational enhancement. The myriad of insights garnered from discussions with a diverse stakeholder group has intricately shaped that strategic initiative. The plan serves as a compass, navigating MainePERS towards a future that ensures elevated operational capabilities, fortified stakeholder relationships, and the safeguarding of information and system integrity. It embodies MainePERS' commitment to aligning organizational endeavors with stakeholder expectations, promising a trajectory that underpins robust organizational resilience and unwavering delivery of exceptional stakeholder value. The Strategic Plan outlines the following mission, vision, values, and goals for MainePERS:

Mission

MainePERS partners with public employers to deliver retirement and related services.

Vision

MainePERS is a trusted and effective fiduciary focused on meeting the needs of active and retired members, beneficiaries, and employers.

Organizational Values

- **Accountability** – We act with integrity. We educate, equip, and empower all to consistently deliver knowledgeable and respectful service to our constituents and colleagues.
- **Respect** – We are mindful of culture and diversity in all we do, exercising empathy, compassion, kindness, and appreciation in valuing all others.
- **Collaboration** – We work together, proactively sharing information and knowledge and acting transparently in all interactions.
- **Stewardship** – We secure and safeguard assets (data, funds) entrusted to our care and consistently comply with our obligations to ensure benefits are sustained.
- **Agility** – We strive for personal and organizational excellence through continuous improvement.

Goals (ongoing, long-term strategic direction)

- Preservation of the Trust Fund
- Stability of the contribution rates
- Security and integrity of our information systems
- Cultivation of a member-centric organization
- Development of stakeholder relations
- Foster an engaged workforce that advances the organization's mission

To support a number of these strategic goals, MainePERS is undertaking a significant transformation to enhance its pension administration system that aims to address the following strategic goals and objectives:

Security and Integrity of our Information Systems

Strategic Objectives:

- Ensure the cybersecurity management program meets current and future needs
- Maintain and upgrade core information systems
- Explore a cloud strategy to host information systems

Cultivation of a Member-centric Organization

Strategic Objectives:

- Develop a comprehensive member education, communications, and service model that supports planning for retirement security
- Improve processes to promote timely and accurate service by ensuring the integrity of the data, streamlining and automating workflow processes, and reducing processing times
- Document workflow policies, practices, and procedures and develop staff training programs
- Implement a member self-service portal, including access to annual member statements

Foster an Engaged Workforce that Advances the Organization's Mission

Strategic Objectives:

- Support and empower staff in the performance of their work

Development of stakeholder relations

Strategic Objectives:

- Develop a comprehensive employer education, communications, and service model and partner with employers and third-party payroll vendors to streamline processing and improve reporting

With these strategic goals and objectives in mind, the project's vision focuses on overcoming current operational challenges to improve efficiency, quality, service delivery, and member experience. Three (3) fundamental project goals have been identified:

Goal 1: Minimizing Manual Workload and Mitigating Customization Obstacles

The first goal is minimizing manual workloads and mitigating the obstacles from abundant system customizations. A new PAS solution will embed automations and enhanced functionalities that are designed to eliminate or greatly reduce the current reliance on manual processes, thereby improving accuracy and operational efficiency. Furthermore, a standardized yet flexible system is required that accommodates the unique operational needs without resorting to excessive customizations that delay system upgrades and future adaptability.

Goal 2: Strengthen Responsiveness and Member Experience

The second goal is to enrich member experience by strengthening the responsiveness and reducing turnaround times for member requests. A new PAS will foster agile and intelligent workflows, employing automation and data analytics, with awareness of the emerging opportunities of artificial intelligence, to facilitate rapid request processing and resolution. Additionally, it aims to provide a predictive analysis framework, which pre-emptively identifies, addresses, and mitigates potential issues, thereby offering an expected efficient and seamless member experience. MainePERS seeks as part of this PAS project and in collaboration with a selected PAS vendor to be open to achievable, feasible changes in its current business practices and seeks to improve current and future data in support of this goal.

Goal 3: Strengthen Responsiveness and Employer Experience

The third goal is to enhance employer experience by improving employer communications, modernizing the employer-reporting interface, simplifying the payroll reporting process, strengthening the training, documentation and support available to employers and increasing the data validation. A new PAS will foster agile and intelligent workflows, employing automation data analytics and data quality control. The emerging opportunities of artificial intelligence will be leveraged to facilitate rapid employer request and query processing and resolution. Additionally, it aims to provide a predictive analysis framework, which pre-emptively identifies, addresses, and mitigates potential data issues, thereby offering an efficient employer experience. MainePERS seeks as part of this PAS project and in collaboration with a selected PAS vendor to be open to achievable, feasible changes in its current business practices and seeks to improve current and future data in support of this goal.

Goal 4: Enhancing Vendor-System Relationship

Lastly, enhancing a collaborative relationship between MainePERS and the chosen vendor is an important goal. This implies not just a transactional interaction but a true partnership, wherein collective efforts, transparent communication, and cooperative problem-solving pave the way for a PAS solution that is both congruent with the immediate needs and scalable to accommodate future developments and challenges. Regular engagement, shared innovative pursuits, and a joint commitment will underpin this alliance, ensuring the perpetual enhancement of MainePERS' operational efficiency and service quality.

2.3 Vision for PAS Solution Project

The envisioned PAS will be a dynamic and user-friendly system, adeptly administering pensions while enhancing transparency, accuracy, and efficiency. Aimed at resolving identified operational challenges, it will also enrich user experience, ensure regulatory compliance, and offer a scalable platform that adapts alongside technological advances, organizational development, and regulatory and statutory requirements.

The new PAS will:

- **Enhance Efficiency:** Streamline and automate processes to increase direct processing of member requests and minimize manual interventions and errors.
- **Ensure Compliance:** Facilitate adherence to statutory and regulatory requirements, safeguarding the interests of the stakeholders.
- **Improve Stakeholder Experience:** Offer improved interfaces for self-service functionalities for members, employers, MainePERS staff, and other stakeholders, ensuring accessibility, clarity, and ease of use.
- **Support Data Integrity and Security:** Ensure the integrity and security of data, adhering to the highest standards of cybersecurity and data protection.
- **Enable Scalability:** Be built with the future in mind, offering a platform that is adaptable and scalable, accommodating evolving needs and technological advancements.

3. Services Required

MainePERS seeks Proposals from qualified PAS Solution vendors in response to this RFP. This RFP aims to select a vendor who will partner with MainePERS over many years. While the intent of this RFP is to select a PAS Solution that meets MainePERS' business and technical requirements, MainePERS understands that selecting a vendor that will be committed to working collaboratively with MainePERS over the long-term will be key to the project's overall success and the benefit to MainePERS active and retired members, beneficiaries, and employers.

MainePERS is looking for a qualified Bidder to replace the current pension administration system who offers a modern technology solution that incorporates and integrates the following components within the PAS:

- Case management
- Workflow functionality
- Enterprise Content Management System (ECM)
- Communication, correspondence and reporting solutions
- Member Portal
- Employer Portal

In addition, MainePERS seeks a vendor partner whose Solution can accommodate all necessary core business areas. The list below summarizes at a high level the functions and business areas (all subject to Business Process Review) that must be included in the Solution:

- | | |
|---------------------------------|-------------------------------------------|
| • Actuarial Extracts | • Employer Self-Service |
| • Analytics and Reporting | • General Ledger Reporting & Integration |
| • Benefit Estimate Calculations | • Group Life Insurance |
| • Benefit Payroll Processing | • Non-functional requirements |
| • COLAs | • MaineSTART (DC Plan) |
| • Customer Service/CRM | • Member Enrollment and Member Statements |
| • Death | • Member Portal |
| • Disability | • Portability |
| • Employer Reporting | |

- Qualified Domestic Relation Order (QDRO)
- Refunds
- Retirement
- Return to Work
- Required Minimum Distribution (RMDs)
- Service Purchase
- Tax Reporting & Compliance
- Workflow Management

For more detailed information on services required and scope, please refer to Attachment 8 – Scope and Other Requirements. In addition, MainePERS has provided additional reference information to provide Bidders with a better understanding of its processes and plan information:

- Attachment 10C – MainePERS Core Plan Information
- Attachment 10D – Business Process Workflows and Information
- Attachment 10E – Member Communication

Again, MainePERS seeks as part of this PAS project and in collaboration with a selected PAS vendor to be open to achievable, feasible changes in its current business practices and seeks to improve current and future data. MainePERS is committed to review processes and eager to identify advantageous process improvements, and potentially to alternative equivalents, but MainePERS is not willing to reduce current levels of automation or lose functionality that currently exists within its operations. Any new Solution must maintain or improve MainePERS functionality not diminish that functionality.

4. Procurement Timelines and Process

4.1 RFP Administration

The submission of the Proposal will be deemed consent by the Bidder to the following:

- a. To the disclosure of the Proposal to such individuals or other parties as may be required for the purpose of reviewing and evaluating the Proposal to determine the successful Bidder and to administer the RFP.
- b. To allow MainePERS to make copies of the Proposal received for the review of the Proposal.
- c. For the Proposal to be retained by MainePERS as a record to comply with internal policies and/or legal/regulatory requirements.

4.2 Timelines

The following is the schedule for conducting this RFP. Dates are subject to change at the discretion of MainePERS. All times are Eastern Time Zone. For those milestones that require Bidders to deliver a response to MainePERS, these milestones are firm deadlines and Bidders should submit the required response on or before the deadline set out below.

Proposals are due by 2:00 p.m. Eastern Time on the RFP Closing Date.

Activity	Date and Time
RFP Issue Date	May 1, 2024
Bidder Registration (see section 4.3 for details)	May 1, 2024 to May 31, 2024
Final Date for Submission of Statement of Minimum Qualifications and Intent to Respond (see section 4.3 for details)	May 14, 2024
Final Date for Submission of Questions	May 31, 2024
RFP Closing Date – Proposal Submission Deadline	June 14, 2024
Shortlisted Bidders notified	Summer 2024
Software Demonstration and Interview for Shortlisted Bidders	Summer 2024
Contact Bidders’ References	Summer 2024
Award Notification	End of Summer 2024
Anticipated Contract Start Date	Fall 2024

Note: MainePERS may conduct a proof-of-concept stage after the Software demonstrations and interviews. Should MainePERS decide that this is a needed step to select the best Solution for MainePERS, then the timeline for selecting the successful Bidder will be extended.

4.3 RFP Process

This is an open invitation RFP. We require that all interested Bidders register to receive supplementary RFP documentation, confirm your intent to respond by completing the form provided as Attachment 2 – Statement of Minimum Qualifications and Intent to Respond, and submit Proposals via upload to the designated secure file share site. Please see below for further instructions and details on each of these processes.

Bidder Registration

To assist you in preparing your proposal, we are providing additional documents, forms, and reference information through a Supplementary RFP Information Secure Site. This information will be essential for your submission. All Bidders must register in order to access the Supplementary RFP Information Secure Site by completing the following steps:

1. Send an email to MainePERS-PAS-RFP@lineasolutions.com with the following subject line: “[Bidder Name] Bidder Registration”.
2. Please request that the additional RFP materials be sent to you and provide the following information:
 - Company Name
 - Company Website
 - Contact Name
 - Contact Telephone Number
 - Contact email address
3. Upon receipt of a Bidder registration request, a link via return email will be provided to access supplementary RFP materials and documents. MainePERS reserves the right to review each Bidder's qualifications. Should MainePERS determine that a bidder does not provide the requisite services or does not operate within the relevant industry, MainePERS will not provide the additional RFP materials and will preclude further consideration of that prospective bidder.

Please note: By registering and requesting the Supplementary RFP Information, the requestor agrees to be bound by the terms outlined in Section 1.7 of the RFP.

Bidder Questions

If you have any questions or require clarifications, please submit them using the form and process provided in Attachment 3 – RFP Question Form. Multiple submissions are acceptable, but all questions are to be submitted to MainePERS no later than the due date provided in Section 4.2.

All substantive questions must be submitted in writing via e-mail to MainePERS-PAS-RFP@lineasolutions.com.

Minimum Qualifications and Intent to Respond

Using Attachment 2 – Statement of Minimum Qualifications and Intent to Respond, clearly show that your organization and Solution meet these minimum qualifications and your intent to respond to this RFP.

Attachment 2 – Statement of Minimum Qualifications and Intent to Respond must be completed and returned to MainePERS by email by May 14, 2024. Proposals submitted where the Attachment 2 – Statement of Minimum Qualifications and Intent to Respond is not received by MainePERS by this deadline will be rejected.

Instructions for completion and return of the Minimum Qualifications and Intent to Respond form are provided in Attachment 2 – Statement of Minimum Qualifications and Intent to Respond.

Proposal Submission

Within 1 to 2 business days of receiving a Bidder's Statement of Minimum Qualifications and Intent to Respond, a link via return email will be provided for a secure file share site. All Proposals must be submitted via upload to this secure file share site. Please note, each file share site will be unique to each Bidder. E-Mailed, Mailed, faxed, or hand delivered proposals will not be considered.

Bidders may request receipt confirmation of their proposal by email at MainePERS-PAS-RFP@lineasolutions.com.

Shortlisted Bidders

Upon receipt of the Bidder Proposals, MainePERS will evaluate all compliant Proposals received, which may result in shortlisted Bidders. Should MainePERS have questions concerning any Bidder's Proposal during this evaluation period, MainePERS may contact the Bidder to request clarification.

Shortlisted Bidder Interviews and Software Demonstration

The shortlisted Bidders will be invited to demonstrate their Software to MainePERS. They will also participate in an interview/discussion with MainePERS. These presentations and discussions will be held at the MainePERS offices in Augusta, Maine. Bidders will be given adequate notice to make travel arrangements.

Bidders are required to bring their key personnel to the demos and discussions. A key element that MainePERS will be evaluating is the fit of the Bidder's team with the MainePERS team. Additional staff and technical resources may join the session remotely.

During the interviews, MainePERS leadership team will meet with the Bidder's proposed project implementation leadership team to review all areas of the Bidder's proposal.

More details about what MainePERS would like to see during the Software Demonstrations will be provided to the Shortlisted Bidders at the time the shortlisted Bidders are notified.

Proof of Concept

Should MainePERS require additional information to select a Bidder following the Bidder's demonstrations and interviews, MainePERS reserves the right to conduct a proof of concept in which one or more shortlisted Bidders would be invited to participate.

The functionality to be provided in the proof of concept would be a subset of the business and technical requirements as stated in this RFP. The details for the proof of concept will be defined in a proof-of-concept scope document at a later date, should MainePERS decide to include this step as part of the Proposal evaluation process.

Award and Award Notification

The initial offer to contract will be awarded to the Bidder whose proposal receives the highest score following the final review. The Request for Proposal does not commit MainePERS to award a contract. MainePERS reserves the right to accept or reject any or all proposals received. MainePERS reserves the right not to check any or all references. MainePERS has the right to interview any or all Bidders after the RFP deadline. MainePERS may also cancel, extend, or amend this Request for Proposal in part or in its entirety.

All Bidders will be notified of the award decision in writing. MainePERS will initiate contract negotiations with the selected Bidder. Should MainePERS be unable to reach an acceptable contract agreement with the selected Bidder, MainePERS reserves the right to withdraw the award and to make an award in favor of the Bidder whose proposal received the next highest score.

Although decisions of the successful Bidder will be made based on the specifications within this RFP, MainePERS and the successful Bidder may agree to include additional services, functionalities, and/or products into the contract at the time of the contract negotiations.

5. Evaluation Process

MainePERS will follow a multi-phased approach to the Proposal evaluation and Bidder selection process. During the evaluation process, Bidders may be required to provide additional information to clarify statements made in their Proposals. Each Proposal will be evaluated separately against the RFP’s requirements. Bidders must provide sufficient detail in their Proposal to substantiate compliance with the RFP’s mandatory and desirable requirements.

Evaluation Process - Phase 1

Proposals will first be screened to ensure Bidder's compliance with the minimum qualifications and mandatory requirements of this RFP. RFP responses that do not meet the mandatory requirements, are incomplete, or considered illegible will be rejected and not be scored by the Evaluation Committee. The acceptability of any deviation will be determined solely by MainePERS.

Evaluation Process - Phase 2

An Evaluation Committee will review, evaluate and score all compliant proposals. Proposals shall be irrevocable for one (1) year from the RFP’s Closing Date. Proposals will be evaluated using the following weighted criteria:

Criteria	Weight
Solution Cost – See Attachment 24 – Solution Cost	25%
Solution Quality – Details below	75%
Functional Fit	30%
Implementation	30%
Maintenance and Support	5%
Technical and Cybersecurity	5%
Organization and Experience	5%

Evaluation Process - Phase 3

Following a preliminary review of all proposals submitted by the deadline, shortlisted Bidders will be invited to demonstrate their Software to MainePERS. They will also participate in an interview/discussion with MainePERS as outlined in Section 4.3. Following the Bidder’s demonstration and interviews, the Evaluation Committee will conduct a post-interview review of the proposals and any further clarification as conveyed through the interview process will be reflected in the weighted evaluation criteria.

The Evaluation Committee may also complete additional due diligence activities, including shortlisted Bidder reference checks of the Bidder and/or their proposed resources.

6. Proposal Package

Bidders are required to address all requirements of the RFP.

The table below lists all attachments provided as part of this RFP process, provides instructions for the document, and indicates if the attachment is to be returned to MainePERS with the associated due date.

All sections of the RFP must be completed unless otherwise indicated. Bidders who do not address all requirements of the RFP may have their Proposal deemed incomplete, rejected and not be scored by the Evaluation Committee. The acceptability of any deviation will be determined solely by MainePERS.

If additional material is required in response to one or more questions, please label attachments clearly and reference them in your Proposal. Bidders shall provide an explanation for any item deemed not applicable. Your response to this RFP will serve as the basis for MainePERS’ assessment of your potential to successfully meet MainePERS’ expectations.

If multiple Proposals by the same Bidder are offered, the Bidder must submit each Proposal separately in the same format as outlined in the RFP. All Proposals must meet the fundamental intent of the RFP. The acceptability of each Proposal will be decided by the Evaluation Committee.

Attachment naming conventions:

- For files provided to you by MainePERS: Add Bidder Name to the front of the file name provided, e.g. “Bidder Name Attachment 7 – Functional Questionnaire”
- For files not provided to you by MainePERS: Use Bidder Name + Item and Description from the table below, e.g. “Bidder Name Attachment 5 – Executive Summary”

General Information

Attachment #	Description	Instructions	Include in your Proposal?	Format to Return to MainePERS	Due Date	Bidder Submission Checklist
1	Interpretation and Defined Terms	Provided for your information	N/A	N/A	N/A	N/A

2*	Statement of Minimum Qualifications and Intent to Respond	Complete and return page 2 and 3 of Attachment 2	Before final submission	MS Word or PDF	May 14, 2024	
3*	RFP Question Form	Complete and return Attachment 3 – RFP Question Form with your questions. Questions can be submitted any time up to and including May 31, 2024, and multiple submissions are acceptable. MainePERS will provide answers to all Bidders for questions received every few days.	Optional	MS Word	May 31, 2024	
4*	Executive Summary	The executive summary is a summary of the Bidder’s Proposal for an executive-level audience. MainePERS is looking for specifics with respect to why and how the Bidder will be able to achieve all stated goals and objectives.	✓	MS Word or PDF	Closing Date	
5*	Additional Services	This attachment is not included in the RFP package – Bidder to create.	Optional	MS Word	Closing Date	
6*	Main Services Agreement	Provides instructions for completion of Attachment 6B, 6C, and 6D	N/A	N/A	N/A	N/A
6B*	MainePERS Standard Vendor Agreement	Provided for your reference and review	N/A	N/A	N/A	N/A
6C*	Acceptance of MainePERS Standard Vendor Agreement	Complete Attachment 6C by providing the information requested, instructions can be found in Attachment 6	✓	MS Word or PDF	Closing Date	
6D*	Bidder Main Services Agreement and Statement of Work	This attachment is not included in the RFP package – Bidder to create.	Optional	MS Word	Closing Date	

		Instructions are provided in Attachment 6				
7*	Mandatory Criteria	Complete Attachment 7 by providing the information requested	✓	MS Word or PDF	Closing Date	
8	Scope and Other Requirements	Provided for your information, any deviations should be noted in the appropriate assumption and exception attachment.	N/A	N/A	N/A	N/A

Functional Fit

Attachment #	Description	Instructions	Include in your Proposal?	Format to Return to MainePERS	Due Date	Bidder Submission Checklist
9	Video capture	Provide a 10-minute video demonstrating your Software	✓		Closing Date	
10	Functional Requirements	Provides instructions for completion of Attachment 10B	N/A	N/A	N/A	N/A
10B*	Detailed Functional Requirements	Complete Attachment 10B as per the instructions in Attachment 10	✓	MS Excel	Closing Date	
10C	MainePERS Core Plan Information	Provided for your information	N/A	N/A	N/A	N/A
10D*	Business process workflows and descriptions	Provided for your information	N/A	N/A	N/A	N/A
10E*	Member Communications	Provided for your information	N/A	N/A	N/A	N/A

11*	Functional Questionnaire	Complete Attachment 11 by answering all questions in the space provided.	✓	MS Word	Closing Date	
-----	--------------------------	--------------------------------------------------------------------------	---	---------	--------------	--

Implementation

Attachment #	Description	Instructions	Include in your Proposal?	Format to Return to MainePERS	Due Date	Bidder Submission Checklist
12	Implementation and Staffing	Provides instructions for completion of Attachment 12B, Attachment 12C, and Attachment 12D	N/A	N/A	N/A	N/A
12B*	Implementation and Staffing	Complete Attachment 12A by answering all questions in the space provided.	✓	MS Word	Closing Date	
12C	Detailed project schedule	This attachment is not included in the RFP package – Bidder to create. Instructions for detailed project schedule are provided in Attachment 12	✓	MS Project or Excel	Closing Date	
12D	Detailed project schedule – PDF	This attachment is not included in the RFP package – Bidder to create. PDF version of Attachment 12C	✓	PDF version	Closing Date	
13*	Data Conversion	Complete Attachment 13 by answering all questions in the space provided	✓	MS Word	Closing Date	
14*	Implementation Assumptions and Exceptions	Complete Attachment 14 by providing the information requested	Optional	MS Word	Closing Date	

Maintenance and Support

Attachment #	Description	Instructions	Include in your Proposal?	Format to Return to MainePERS	Due Date	Bidder Submission Checklist
15*	Maintenance & Support Questionnaire	Complete Attachment 15 by answering all questions in the space provided	✓	MS Word	Closing Date	

16*	Administrative Independence	Complete Attachment 16 by answering all questions in the space provided	✓	MS Word	Closing Date	
17*	Service Level Agreement	Complete Attachment 17 by providing the information requested	✓	MS Word	Closing Date	
18*	Maintenance and Support Assumptions and Exceptions	Complete Attachment 18 by providing the information requested	Optional	MS Word	Closing Date	

Technical and Cybersecurity

Attachment #	Description	Instructions	Include in your Proposal?	Format to Return to MainePERS	Due Date	Bidder Submission Checklist
19*	Technical Requirements	Provides instructions for completion of Attachment 19B	N/A	N/A	N/A	N/A
19B*	Detailed Technical Requirements	Complete Attachment 19B as per the instructions in Attachment 19	✓	MS Excel	Closing Date	
20*	Technical Questionnaire	Complete Attachment 20 by answering all questions in the space provided.	✓	MS Word	Closing Date	
21*	AI Questionnaire	Complete Attachment 21 by answering all questions in the space provided.	✓	MS Word	Closing Date	

Organization and Experience

Attachment #	Description	Instructions	Include in your Proposal?	Format to Return to MainePERS	Due Date	Bidder Submission Checklist
22*	Organization and References	Complete Attachment 22 by providing the information requested	✓	MS Word	Closing Date	
22B	Financial Statements	This attachment is not included in the RFP package – Bidder to create. Instructions are in Attachment 22	✓	PDF	Closing Date	

22C	Ability to Finance	This attachment is not included in the RFP package – Bidder to create. Instructions are in Attachment 22	✓	PDF	Closing Date	
22D	Insurance Certificate	This attachment is not included in the RFP package – Bidder to create. Instructions are in Attachment 22	✓	PDF	Closing Date	
22E	Organization Chart	This attachment is not included in the RFP package – Bidder to create. Instructions are in Attachment 22	✓	PDF	Closing Date	
23*	Teaming Approach	Complete Attachment 23 by providing the information requested	✓	MS Word	Closing Date	

Solution Cost

Attachment #	Description	Instructions	Include in your Proposal?	Format to Return to MainePERS	Due Date	Bidder Submission Checklist
Attachment 24*	Solution Cost	Complete Attachment 24 by providing the cost information requested	✓	MS Excel	Closing Date	

*Additional documents and/or information has been provided in relation to this attachment through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP.

Attachment 1 - Interpretation and Defined Terms

1(1) In this RFP document and attachments, unless the context otherwise requires,

“**AI**” means Artificial Intelligence.

“**Agreement**” means the written agreement, which includes SOWs, the MSA, this RFP, and the Bidder’s Proposal, between the successful Bidder and MainePERS to provide the Services and Materials contemplated by the RFP.

“**Artificial Intelligence**” means systems that display intelligent behavior by analyzing their environment and taking actions – with some degree of autonomy – to achieve specific goals. AI-based systems can be purely software-based, acting in the virtual world (e.g., voice assistants, image analysis software, search engines, speech and face recognition systems) or AI can be embedded in hardware devices (e.g., advanced robots, autonomous cars, drones or Internet of Things applications).

“**Bidder**” means an individual, business entity, organization, or Consortium responding to this RFP with a Proposal.

“**Business Day**” means 8:00 a.m. to 5:00 p.m. Eastern Time, Monday to Friday, excluding statutory holidays observed by MainePERS.

“**Business Hours**” means 8:00 a.m. to 5:00 p.m. Eastern Time on Business Days.

“**Closing Date**” means June 14, 2024.

“**Configuration**” means any change, enhancement, etc. to the Software not requiring source code changes completed by the Bidder to provide the specified functionality.

“**Consortium**” means an association of two or more individuals, companies, organizations, or governments (or any combination of these entities) with the objective of participating in the delivery of the Services described in this RFP.

“**CRM**” means Customer Relationship Management.

“**Customer Relationship Management**” means technology that manages MainePERS’ relationships and interactions with members and stakeholders, to improve relationships and streamline processes.

“**Customization**” means any change, enhancement, etc. to the Software requiring source code changes completed by the Bidder to provide the specified functionality.

“**ECM**” means Enterprise Content Management.

“Enterprise Content Management” means a set of defined processes, strategies, and tools that allow MainePERS to effectively obtain, organize, store, and deliver critical information to its employees; retired, active and inactive members; employers; and other authorized organizations and stakeholders.

“Evaluation” means confirming the Proposal, Materials, and/or Services meet the RFP requirements.

“Evaluation Team” means the individuals who will evaluate the Proposals on behalf of MainePERS.

“Fixed Price” means a definite and predetermined price charged for the Materials and performance of the Services by the successful Bidder.

“Hardware Agnostic” means systems that do not require any special hardware adaptations and can work with different types of underlying hardware without suffering compatibility issues. A hardware agnostic solution leverages certain techniques like virtualization to provide a usable product that can be used seamlessly on all underlying hardware types.

“MainePERS” means Maine Public Employees Retirement System.

“Main Services Agreement” means a contractual document that MainePERS intends to enter into with the successful Bidder in respect of the PAS Solution being sought in this RFP, which will form part of the Agreement.

“Materials” include all the working papers, surveys, notes, plans, designs, reports, records, studies, drawings, examinations, assessments, procedures, specifications, evaluations, results, conclusions, interpretations, calculations, analyses, systems, Software/Solution, documents, writings, programs, hardware, devices, data or any components of these, regardless of how they are represented, stored, produced, or acquired.

“must” or **“mandatory”** or **“shall”** means that the requirement so described must be met in a substantially unaltered form for the Proposal to be compliant.

“MSA” means Main Services Agreement.

“PAS” means Pension Administration System.

“Pension Administration System” means a Solution used to administer all aspects of the plans and benefits as they relate to members.

“Personal Identifiable Information” means any information that can be used to identify an individual including information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context. Examples of Personal Identifiable Information includes but is not limited to names, Social Security numbers, addresses, phone numbers, email addresses, and passport numbers.

“**PHI**” means Protected Health Information.

“**PII**” means Personally Identifiable Information.

“**Plan**” or “**plan**” means any pension plan and/or benefits plan administered by MainePERS.

“**Prime Bidder**” means, in the case of a joint bid or Consortium Proposal, the Bidder who will be the main contact with MainePERS and enter into the Agreement.

“**Proposal**” means the Bidder’s response to this RFP and includes all the Bidder’s attachments, presentation materials, and written clarifications.

“**Protected Health Information**” as defined under the Health Insurance Portability and Accountability Act of 1996 (HIPAA)

“**Request for Proposals**” means this solicitation for the PAS Solution, Materials, and Services, together with associated documentation and attachments.

“**RFP**” means Request for Proposals.

“**Services**” means the work, duties, functions, tasks, responsibilities, and deliverables to be delivered by the Bidder as specified in this RFP.

“**should**” or “**desirable**” means that a provision so described has a significant degree of importance to MainePERS and will be evaluated.

“**Software**” means the proposed commercial off-the-shelf Software that meets or exceeds all the requirements specified in this RFP without Configuration or Customization.

“**Solution**” means the Software, any modules or components necessary, plus Configuration and/or Customization that meets or exceeds all the requirements specified in this RFP. The Solution includes but is not limited to the PAS, CRM, ECM, Workflow, and Portals.

“**SOW**” means Statement of Work.

“**Statement of Work**” means a contractual document that contains a narrative description of the specific work, deliverables, and Services required to bring the project closer to successful implementation, which will form part of the Agreement.

“**Time & Materials**” or “**T&M**” means a method of billing based on actual time spent and materials used to complete a request, charged at hourly rates that are agreed to in advance.

“**User**” means any person making use of the Software or Solution.

1(2) In this document:

- (a) headings are used for convenience only and will not affect the meaning or interpretation of the clauses.
- (b) words in the singular include the plural and vice versa.

Attachment 2 – Statement of Minimum Qualifications and Intent to Respond

A Word format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

The terms as defined in the RFP apply in this Attachment unless the context otherwise requires.

The following table outlines the minimum qualifications required to respond to this Request for Proposals. Responses to this attachment are due by May 14, 2024. **All the minimum qualifications must be met in order to submit a response to this attachment and a Proposal. Proposals submitted where Attachment 2 – Statement of Minimum Qualifications and Intent to Respond is not received by the deadline will be rejected.**

Number	Qualification
1	The Bidder understands that timely receipt of the Bidder’s Proposal in accordance with Section 4.2 is required. In addition, the Bidder understands that all required appendices must be completed and returned as outlined in Section 6 and that there must be no material deviations from the submission requirements. MainePERS will determine in its sole judgement whether any deviations are material.
2	The Bidder must confirm that they are willing to provide 3 references from past or ongoing similar engagements.
3	The Bidder must confirm that they are willing to provide a valid certificate of insurance detailing liability coverage.
4	The Bidder must confirm that they are willing to provide three (3) years of financial statements.
5	The Bidder must confirm that they are willing to Complete the Conflict of Interest Statement.
6	The Bidder must confirm that they are willing to meet all priority 1 functional requirements in some manner.
7	The Bidder must confirm that they are willing to meet all priority 1 technical requirements in some manner.

Organization Information

Organization Name:	
Date:	
Product Represented:	
Authorized Representative:	
Telephone Number:	
Email Address:	
Location of Office:	
Location of Support Office(s):	

Please state your intention concerning this Request for Proposals for the MainePERS PAS Solution as set out in this RFP dated May 1, 2024, by selecting one of the following:

- Intends to respond to the MainePERS Request for Proposals
- Does not intend to respond to the MainePERS Request for Proposals

If you do intend to respond, you:

- Certify that you meet or exceed all of the minimum requirements described above.

Bidder Key Contacts

Provide your key contacts for the RFP process. All communication with respect to the RFP – e.g. answers to questions, additional information, and notification of short-listed Respondents – will go to these contacts.

Name	Title	Email	Phone

Send to: MainePERS-PAS-RFP@lineasolutions.com

Email subject line: Respondent Intent to Respond to MainePERS PAS Solution RFP

Please note, acknowledgements of this Notice of Intention will be sent to Respondents by email. If you do not receive an acknowledgment email, your email has not been received by MainePERS; please resend.

MainePERS would appreciate receiving prior notice should a Respondent decide not to proceed in submitting a Proposal after submitting Attachment 2 – Statement of Minimum Qualifications and Intent to Respond.

Attachment 4 - Executive Summary

Summarize your Proposal for an executive-level audience. MainePERS asks that all Bidders address why and how the Bidder will be able to achieve all stated goals and objectives.

Attachment 5 - Additional Services

If you provide additional services **not identified or not included** in the costs quoted in the RFP that may complement and provide added value to MainePERS, please outline these services within this Attachment. Please note, any additional applicable fees **must** be clearly delineated in the “Additional Services” tab of Attachment 24 – Solution Cost.

Use Attachment 5 – Additional Services to outline the additional services outlined above. This is optional.

Attachment 6 - Main Services Agreement

MainePERS is open to using the Vendor's standard proposed agreement template, if there is one, rather than its own for the Main Services Agreement. Regardless, as part of your Proposal, MainePERS requests that Bidders review Attachment 6B - MainePERS Standard Vendor Agreement and confirm that all provisions of this agreement are acceptable, or specifically state any objections to any of the provisions.

If a Bidder does not accept the Agreement (Attachment 6B - MainePERS Standard Vendor Agreement) exactly as drafted, the Bidder must provide in their Proposal the Bidder's position on the clause. MainePERS will determine whether the alternative wording meets the fundamental intent of the clause.

Please note, a copy of Exhibit 3 MainePERS Vendor Security Requirements as referenced in Section 5.13 of Attachment 6B – MainePERS' Standard Vendor Agreement has been provided through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. This file can be located in the folder entitled "Exhibit 3".

Instructions

1. Review Attachment 6B - MainePERS' Standard Vendor Agreement.
2. Complete the form in Attachment 6C - Acceptance of MainePERS Standard Vendor Agreement based on your acceptance of the MainePERS standard vendor agreement.
3. If it is your preference to use your standard agreement templates, please include a copy of your Main Services Agreement and Statement of Work templates as Attachment 6D – Bidder Main Services Agreement and Statement of Work Template.

Attachment 6B – MainePERS Standard Vendor Agreement

[] AGREEMENT

THIS [] AGREEMENT (“Agreement”) is made this [] day of [] 202_], by and between the MAINE PUBLIC EMPLOYEES RETIREMENT SYSTEM (“MainePERS”) and _____ (the “Contractor”).

NOW, THEREFORE, MainePERS and the Contractor hereby agree as follows:

Section 1 SERVICES OF THE CONTRACTOR

- 1.1 Scope of Services. The Contractor shall furnish services as requested by MainePERS and as set forth in the [] Request for Proposals, Number 202_-[0XX], issued [], 202_] (“RFP”) and the Contractor’s proposal in response to the RFP, which are incorporated herein by reference and portions of which are attached hereto as Exhibits 1 and 2, respectively. To the extent that there is a conflict among the body of this Agreement and the exhibits, the body of this Agreement shall take priority.
- 1.2 Compliance with Law. The Contractor warrants and represents that it will comply with all governmental ordinances, laws and regulations. This Agreement shall be governed in all respects by the laws, statutes and regulations of the United States of America and the State of Maine. Any judicial proceeding brought by one party against the other party shall be brought in the courts of the State of Maine.
- 1.3 Licenses, Permits, and Fees. The Contractor shall obtain, at its sole cost and expense, such licenses, permits and approvals as may be required by law for the performance of the services required by this Agreement.
- 1.4 Insurance. The Contractor shall keep in force insurance as specified in the RFP. Prior to the execution of this Agreement, and subsequently at the request of MainePERS, the Contractor shall furnish MainePERS with written or photocopied verification of the existence of such insurance.
- 1.5 Proof of Continuing Financial Viability. The Contractor shall provide MainePERS upon request, which shall be made no more than annually, with a copy the Contractor’s most recent audited annual financial statements.

Section 2 COMPENSATION

- 2.1 Contract Pricing. [To be filled in.]
- 2.2 Method of Payment. [Payment terms to be filled in.] Invoices and all other billing communications should be directed to:

Maine Public Employees Retirement System
Accounts Payable
P.O. Box 349
Augusta, ME 04332-0349
accounting@mainepers.org
(207) 512-3117

- 2.3 Independent Contractor. In the performance of this Agreement, the parties hereto agree that the Contractor, and any agents and employees of the Contractor, shall act in the capacity of an independent contractor and not as officers or employees or agents of MainePERS.

Section 3 COORDINATION OF WORK

- 3.1 Agreement Administrator. [Relevant Senior Manager] hereby is designated to be the MainePERS Agreement Administrator during the term of this Agreement (“Agreement Administrator”). MainePERS shall have the right to designate another Agreement Administrator upon written notice to the Contractor. All correspondence and related submission from the Contractor shall be submitted to:

[Relevant Senior Manager]
Maine Public Employees Retirement System
P.O. Box 349
Augusta, ME 04332-0349

- 3.2 Amendments. This Agreement may be modified, amended, changed, added to or subtracted from by the mutual consent of the parties hereto, if such amendment or change is in written form and executed with the same formalities as this Agreement and attached to the original Agreement to maintain continuity.
- 3.3 Assignment. The Contractor shall not assign or subcontract the whole or any part of this Agreement without the prior written consent of MainePERS, and any attempt to so assign or subcontract shall be invalid. No assignment shall relieve the Contractor of its obligations hereunder. This Agreement will be binding upon the Contractor’s successors and permitted assignees.

Section 4 TERM

- 4.1 Term. Unless earlier terminated by MainePERS in accordance with subsection 4.2 below, the term for this Contract shall begin on [_____, 202_], and shall continue through [_____, 202_], except that subsections 5.5, 5.8, 5.9, and 5.10 below shall survive.
- 4.2 Termination. MainePERS may terminate this agreement for any reason by giving the Contractor at least 30-days written notice of termination.

Section 5 MISCELLANEOUS PROVISIONS

- 5.1 Conflicts of Interest. The Contractor shall not engage any Trustee or employee of MainePERS in a position that would constitute a violation of 17 M.R.S. § 3104.
- 5.2 Background Checks. The Contractor shall perform a criminal background check on all of its employees who perform work on MainePERS' property. The Contractor's employees performing work on MainePERS' property must not have been convicted of a felony or any crime involving theft. A list of employees authorized to work on MainePERS' property and the results of their background checks shall be provided to MainePERS by the Contractor upon request.
- 5.3 ID Badges. While on MainePERS' property, all employees of the Contractor shall wear on their person an ID badge or wear a uniform containing the Contractor's business name.
- 5.4 Unauthorized Persons. Unless specifically authorized by the Agreement Administrator, under no circumstance shall another person or persons accompany the Contractor or the Contractor's employees onto MainePERS' property while the Contractor is conducting work under this contract.
- 5.5 Confidential Information/Security. Confidentiality of MainePERS information is required. All materials and documents provided by MainePERS, employers or participants in the plans administered by MainePERS, or MainePERS' vendors, or located in MainePERS buildings, shall constitute confidential information. The Contractor shall maintain confidentiality in accordance with industry standards and State and federal law. Neither the Contractor nor its employees will disclose, release or communicate any confidential information to any third person, individual, organization or entity without specific authorization by MainePERS. Any violation or breach of this provision will constitute grounds for immediate termination of the Agreement and shall entitle MainePERS to all remedies available in law or equity.

- 5.6 Solicitors. The Contractor warrants that it has not employed or contracted with any company or person, other than for assistance with the normal study and preparation of a proposal, to solicit or secure this Agreement and that it has not paid, or agreed to pay, any company or person, other than a bona fide employee working solely for the Contractor, any fee, commission, percentage, brokerage fee, gift, or any other consideration, contingent upon, or resulting from the award for making this Agreement. For breach or violation of this warranty, MainePERS shall have the right to annul this Agreement without liability or, in its discretion to otherwise recover the full amount of such fee, commission, percentage, brokerage fee, gift, or contingent fee.
- 5.7 Non-Discrimination in Employment: MainePERS' contracts for services are subject to statutory conditions related to non-discrimination in employment, 5 M.R.S. §784. The Contractor has read and agrees to these conditions.
- 5.8 Access to Records. The Contractor shall maintain all books, documents, payrolls, papers, accounting records and other evidence pertaining to this Agreement for a period of seven (7) years following termination of this Agreement. The Contractor shall allow inspection of pertinent documents by MainePERS or its authorized representatives at the Contractor's office upon reasonable notice and shall furnish copies of the documents if requested.
- 5.9 MainePERS Held Harmless. The Contractor will indemnify, defend, and save harmless MainePERS, its Trustees, employees, and agents from any and all claims, costs, expenses, injuries, liabilities, losses and damages of every kind and description resulting from or arising out of the performance of this Agreement by the Contractor, its employees, agents, or subcontractors. This indemnification does not extend to a claim that results solely and directly from (i) MainePERS' negligence or unlawful act, or (ii) action by the Contractor taken in reasonable reliance upon an instruction or direction given by an authorized person acting on behalf of MainePERS in accordance with this Agreement. Nothing in this Agreement shall be construed as a waiver of the privileges or immunities of MainePERS, its Board of Trustees, or its employees.
- 5.10 Notice of Claims. The Contractor shall give the Agreement Administrator immediate notice in writing of any legal action or suit filed related in any way to this Agreement or which may affect the performance of the Contractor under this Agreement.
- 5.11 Severability. The invalidity or unenforceability of any particular provision or part thereof of this Agreement shall not affect the remainder of said provisions, and this Agreement shall be construed in all respects as if such invalid or unenforceable provision or part thereof had been omitted.



- 5.12 Force Majeure. The performance of an obligation by a party under this Agreement shall be excused in the event that performance of that obligation by that party is prevented by an act of God, act of war, riot, fire, explosion, flood or other catastrophe, sabotage, severe shortage of fuel, power or raw materials, change in law, court order, national defense requirement, or strike or labor dispute, provided that any such event and the delay caused thereby is beyond the control of, and could not reasonably be avoided by, that party. In the event of the Contractor’s non-performance caused by any of the foregoing reasons, MainePERS may, at its discretion, extend the time period for performance of the obligation excused under this section by the period of the excused delay together with a reasonable period to reinstate compliance with the terms of this Agreement.

- 5.13 Vendor Security Requirements. The Contractor will comply with MainePERS’ Vendor Security Requirements, which are attached hereto as Exhibit 3 and incorporated herein by reference.

- 5.14 Entire Agreement. This document contains the entire Agreement of the parties, and neither party shall be bound by any statement or representation not contained herein. No waiver shall be deemed to have been made by any of the parties unless expressed in writing and signed by the waiving party. The parties expressly agree that they shall not assert in any action relating to the Agreement that any implied waiver occurred between the parties which is not expressed in writing. The failure of any party to insist in any one or more instances upon strict performance of any of the terms or provisions of the Agreement, or to exercise an option or election under the Agreement, shall not be construed as a waiver or relinquishment for the future of such terms, provisions, option or election, but the same shall continue in full force and effect, and no waiver by any party of any one or more of its rights or remedies under the Agreement shall be deemed to be a waiver of any prior or subsequent rights or remedy under the Agreement or at law.

IN WITNESS WHEREOF, MainePERS and the Contractor, by their representatives duly authorized, have entered into this Agreement as of the date first written above.

Maine Public Employees Retirement System

Company Name

By: _____

By: _____

Name:

Name:

Title:

Title:

Attachment 6D – Bidder Main Services Agreement and Statement of Work

This attachment is not included in the RFP package. Bidder to create attachment. Instructions are included in Attachment 6 - Main Services Agreement.

Attachment 7 - Mandatory Criteria

A Word format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

To assist the Evaluation Team in scoring, the Bidder must confirm compliance with the specific criteria listed in the below table by indicating “Met” or “Not Met” for each criterion. If the Bidder indicates “Met”, please indicate the Proposal section that supports the Bidder’s assertion. The Proposal must, where applicable, contain enough information for the Evaluation Team to assess the Bidder’s assertion. If a Bidder indicates “Not Met” for any of the specific criteria, the Bidder’s Proposal will be rejected.

	Mandatory Criteria Description	Met or Not Met	Bidder’s Proposal Section Reference
1	Bidders must fully disclose, in their Proposal, the circumstances of any possible conflict of interest or what could be perceived as a possible conflict of interest if the Bidder were to become a contracting party pursuant to this RFP. RFP SECTION 1.6		
2	Attachment 2 – Statement of Minimum Qualifications and Intent to Respond must be emailed by the deadline as specified in Section 4.2. RFP SECTION 4.3		
3	Final Proposals must be delivered electronically, via email by the RFP Closing Date. RFP SECTION 4.2 & 4.3		
4	The Bidder must have a minimum of three (3) references from past or ongoing similar engagements. ATTACHMENT 22		
5	The Bidder must have a valid certificate of insurance detailing general liability coverage. ATTACHMENT 22D		

6	<p>The Bidder must confirm that the PAS Solution is able to accommodate all Priority 1 functional requirements in some manner. Bidder must disclose reliance on consortium partner to meet accommodate and or all priority 1 functional requirements.</p> <p>ATTACHMENT 10B – DETAILED FUNCTIONAL REQUIREMENTS</p>		
7	<p>The Bidder must confirm that the PAS Solution is able to accommodate all Priority 1 technical requirements in some manner. Bidder must disclose reliance on consortium partner to meet accommodate and or all priority 1 technical requirements.</p> <p>ATTACHMENT 19B – DETAILED TECHNICAL REQUIREMENTS</p>		
8	<p>If submitting a Consortium Proposal, Bidders must designate one joint bidder to act as the single point of contact for the purposes of this RFP and, as the Prime Bidder that will be party to the Main Services Agreement.</p> <p>RFP SECTION 1.14</p>		

Attachment 8 - Scope and Other Requirements

For reference, MainePERS has provided the following information and requirements in order to provide full transparency to Bidders with regard to expectations so that these can be incorporated in the Bidder's Solution and Solution Costs. Please note, any deviations from the items listed below **must** be included in the Bidder's Assumptions and Exceptions or MainePERS will assume that the Bidder is in agreement with these expectations.

1. General Scope

- a. **Services Required:** The Bidder's Solution **must** cover all Services Required as described in Section 3 of this RFP.
- b. **Level of Customization:** MainePERS is seeking a Solution with as little Customization as possible.
- c. **Administrative Independence:** Once the Solution has been implemented, MainePERS seeks to be as independent as possible in administration, configuration, modifications, and possibly development of the Solution and its components.
- d. **Travel:** MainePERS understands that the majority of the implementation and services of this RFP will likely be performed on a remote basis; however, MainePERS would like to ensure a minimum expectation of in-person visits during the implementation period. MainePERS expects (at a minimum) that Bidder representatives be on-site for the Project Kick-Off, initial training sessions with MainePERS, and the initial porting of User Acceptance Testing (UAT).
- e. **Level of Automation:** Although MainePERS is seeking to include as much automation as possible in the overall Solution, based on situational complexities we acknowledge that there will be cases that will remain partially manual and/or require additional validation or review. The Solution needs to account for these situations and **must** include mechanisms that allow for partial automation (e.g. flags or means of identification of these different populations or situations, extracts of data used to reduce effort for manual calculations, and case management/workflow to manage and track these cases). In addition, MainePERS is committed to a comprehensive and robust business process review and redesign phase with the selected vendor to identify advantageous process improvements, and potentially to alternative equivalents, but MainePERS is not willing to reduce current levels of automation or lose functionality that currently exists within its operations. Any new Solution must maintain or improve MainePERS functionality, not diminish that functionality.
- f. **Number of Environments:** MainePERS expects at least five (5) non-production environments, and one production environment. The non-production environments that MainePERS anticipates are (1) test, (2) quality assurance, (3) valuation, (4) training and (5) unspecified sandbox.

- g. Warranty Period:** MainePERS expects a minimum twelve (12) month warranty period. During the warranty period, all defects identified and deferred to post go-live or identified during the warranty period must be resolved regardless of severity level.

In addition, the Bidder shall also provide support for the first application of any regular processes not occurring during the warranty period. Defects identified within thirty (30) days following the first application must be resolved under the warranty.

Warranty period shall be extended until any defects identified prior to its initially scheduled expiration are in fact remedied and accepted by MainePERS.

- h. Member and Employer Communication:** MainePERS has provided information on its expectations for Member and Employer Communication in Attachment 10E – Member and Employer Communications. MainePERS expects that custom forms and letters will be required and will not accept Bidder template communication materials.

2. Implementation

- a. Business Process Improvement:** In advance of the functional requirements, MainePERS requires an initial discovery/implementation phase focused on business process review both generally and in the specific context of the Bidder's proposed Solution to ensure that processes are mutually and thoroughly understood by both parties and that processes are designed for optimal use of the Bidder's Solution, user experience, compliance, efficiency, and automation. This **must** be included as part of the process and included within the Solution Cost.
- b. Implementation Methodology:** MainePERS is seeking an iterative and/or agile implementation methodology. MainePERS is seeking a phased implementation approach to be discussed, outlined and agreed upon during the planning phase.
- c. Planning Phase:** The implementation must include a planning phase whereby MainePERS and the successful Bidder review the plan elements in detail to ensure alignment with operational peak periods, resources availability, and other considerations. Milestone dates cannot be assumed in advance of this planning period.
- d. Requirements review and acceptance:** MainePERS must have an opportunity to fully review requirements in a timeframe agreed upon during the planning period. **No deemed or implied acceptance of requirements.**
- e. Training:** Prior to go-live, MainePERS expects employers, members, other external end users, and all MainePERS system users to have been trained, and to have timely access to quality training documentation and support materials. In addition, MainePERS expects to have a thoroughly prepared IT support team, and quality system documentation and support materials.

- f. Implementation Staffing:** Due to the project time constraints, changing and/or transitioning new staff can bring delays and/or risks to the project. MainePERS expects Bidders to retain the same project team members to the extent possible. In addition, MainePERS is requesting that prior written approval must be provided for any new project team members and/or changes to the project team.
- g. Testing and Acceptance:** MainePERS expects to have visibility and access to all testing performed by the Bidder. In addition, upon delivery of functionality to the MainePERS team for acceptance and/or testing, proof of Bidder testing results and a demonstration of that functionality must be provided.
- h. Defect Severity Levels:** MainePERS will work with the vendor to identify definitions for defect severity levels within the project; however, MainePERS will not accept a Bidder's reclassification of severity levels during the implementation.
- i. Milestone Acceptance and Go-Live Readiness:** MainePERS at its full discretion must approve all milestones and go-live readiness prior to acceptance. No assumed or implied acceptance is acceptable. MainePERS will work with the successful Bidder to outline acceptance criteria. In addition, MainePERS expects that as part of the go-live acceptance criteria, all critical, high, and medium defects will be resolved.
- j. Parallel Testing:** MainePERS requires a parallel testing period of approximately 2 (two) months as part of the project implementation. Bidders must include the efforts, and costs associated with supporting this testing period in their planning and costs.

3. Ongoing Operations

- a. Regression Testing:** MainePERS expects that regression testing will be automated.
- b. Service Level Agreement:** MainePERS has identified expectations of service levels in Attachment 17 – Service Level Agreement and will expect to apply service level credits to all or some of the levels identified when they are not met.

4. Solution Cost

Costs must be Fixed Price and Bidders should include all costs for the total cost of ownership of the PAS Solution as described in this RFP, including but not limited to the following items:

- a. All Software comprising the Solution
- b. Any hardware or other equipment comprising the Solution (note: MainePERS may choose to procure hardware through their own procurement channels rather than from the PAS Solution Bidder)
- c. A planning phase that delivers a project plan and timeline for at least the implementation and warranty period that is subject to MainePERS review and acceptance.
- d. A comprehensive and robust business process review and redesign phase.
- e. Implementation costs, including Configuration and/or Customization Services, training, and training documentation materials.

- f. Bidder's own project management directly supporting the project
- g. Subcontracted Services, if any
- h. Maintenance and support fees that would be required for the outlined duration, including licensing required
- i. Travel and expenses, as applicable
- j. Implementation fees must be milestone based and include no more than 40% of the total implementation in any year of the project
- k. MainePERS at its full discretion must approve all milestones prior to payment (no implied acceptance of deliverables/milestones)
- l. MainePERS will require a minimum 20% holdback in the payment schedule.
- m. A MainePERS termination of convenience clause will be included in the Main Services Agreement
- n. Consideration for all requirements listed in the RFP and this attachment

Bidders may not include, as part of their pricing, any unstated assumptions or contingencies upon which the proposed pricing is based and which, if not true, would render the Bidder's pricing inapplicable or subject to change.

Bidders are expected to include in their Proposal all fees that they expect to charge MainePERS for the Services on which they are bidding. No additional fees will be charged.

All pricing provided, where applicable, must be inclusive of duties or other assessments (i.e. on a "landed cost" basis).

Attachment 9 – Video Capture

User Experience Video Capture

As part of your Proposal, MainePERS requests a short video that will give us a sense of what your system is like. The video submission is due at the same time as Proposals.

The video can be included as part of your Proposal (depending on size), or your Proposal can include a link to the video.

Instructions

1. Provide a video capture of your solution in a standard, readable format. Videos on your private hosting subscription such as Vimeo and YouTube are acceptable provided that access information (e.g. passwords, links, etc.) is provided.
2. The video should be approximately 10 minutes in length and should follow the following format:
 - **Part 1: Guided Tour** – Approximately 5 minutes
 - Take us on a tour of your solution to give us a good sense of the user experience. An excellent user experience is a key component of the MainePERS PAS vision. How does your system help us achieve that goal?
 - The objective of this tour is to give you the opportunity to “show off” your solution to MainePERS. You should provide a glimpse into your solution that shows us the “look and feel” and demonstrates how your solution differentiates from other Bidders.
 - **Part 2: Retirement Calculation** – Approximately 5 minutes
 - We would like to see an end-to-end retirement calculation from the initiation of the request through to the benefit payment.
 - Please include all relevant areas or modules of the Solution involved in this process (e.g. Member Portal, Employer Portal, CRM, ECM, Workflow, etc.).
 - The objective is to give you the opportunity to show how the system functions, display its ease of use, and demonstrate overall process flow.
3. A verbal narrative of what is happening would be helpful.
4. Throughout the video, please illustrate or indicate how your solution is innovative. Show us how your solution stands out from the rest, and how you are continuously improving your product.

Attachment 10 – Functional Requirements

MainePERS’ functional requirements are described here.

This document provides an overview of the technical requirements, and instructions for completion by the Bidder.

The functional requirements section of the RFP includes the following:

- Attachment 10B – Detailed Functional Requirements
- Attachment 10C – MainePERS Core Plan Information
- Attachment 10D – Business Process Workflows, Descriptions, and User Stories
- Attachment 10E – Sample Member Packages and Documents

Attachments 10C, 10D and 10E are provided for information only.

Instructions for completion of Attachment 10B are below.

Instructions

1. The Bidder will indicate their compliance with the functional requirements using Attachment 10B – Detailed Functional Requirements. Each requirement is identified by a reference number. There is nothing to be implied from the numbering except simple identification.
2. Each requirement has been identified with a flexibility score described below.
3. A response column has been included and Bidders are encouraged to provide information and/or commentary describing how their Solution meets the requirement where explanation is warranted and/or necessary.
4. Indicate the ability of your Solution to implement the requirement by selecting “Y” in the appropriate column:
 - a. Column F – Compliant (Configuration Only)
 - b. Column G – Compliant (Minor Customization Required)
 - c. Column H – Compliant (Major Customization Required)
 - d. Column I – Unable to Accommodate

Requirements Categories

All functional requirements detailed in Attachment 10B have been categorized in the following manner:

Category	Category
Analytics and Reporting	Member Enrollment and Member Statement
Benefit Estimate Calculations	Member Portal
Benefit Estimate	Portability
COLAs	Qualified Domestic Relations Order (QDRO)
Customer Service/CRM	Refunds
Death	Required Minimum Distribution (RMD)
Disability	Retirement
Employer Reporting	Return to Work
Employer Self-Service	Service Purchase
General Ledger Reporting & Integration	Tax Reporting and Compliance
Group Life Insurance	Workflow Management
MainePERS Non-functional requirements	

Flexibility Scoring

All technical requirements detailed in Attachment 10B – Detailed Functional Requirements have been assigned a flexibility score by MainePERS. The table below defines these priority levels.

Rating	Type	Description
1	Mandatory	MainePERS must have this requirement. A Bidder will be evaluated on their ability to satisfy these requirements.
2	Important	MainePERS must have this requirement and it must be included as a component of the Bidder’s Solution; however, MainePERS can be flexible in how this requirement is achieved.
3	Optional	MainePERS considers this requirement to be a “nice to have.” A Bidder will be evaluated on their ability to satisfy these requirements.

Conformance Level

To provide MainePERS an understanding of the degree of native out-of-box support, customization and/or configuration of the proposed Solution, complete the **Conformance Level** columns for each of the requirements in Attachment 10B – Detailed Functional Requirements.

Conformance Level	Description
Compliant (Configuration Only)	Existing system functionality will be configured to deliver the requirement. This includes the setting of parameter values, updates to factor and value tables, updating rules engines, and selection from any available configuration options within the existing software release. Configuration changes would not be expected to have any impact on future Software updates.
Compliant (Minor Customization Required)	To meet the requirement, existing functionality will be modified to incorporate unique MainePERS customizations not within the existing Software release. This includes customization within well-defined exit/entry points within the system, interface file format definitions, custom formulas, custom SQL or SQR code for queries or reports, and addition/modification of data fields. Minor Customizations would not be expected to have an impact on future Software updates.
Compliant (Major Customization Required) Describe in comments	Existing functionality to meet the requirement does not currently exist within an existing module, feature, or system component. This includes MainePERS-specific extensions/enhancements/customizations to existing functionality, MainePERS-specific APIs, protocols, or standards, and back-porting features from another version of the system. These are customizations that would not normally be reviewed or tested by the Bidder as part of their general system release testing and validation. Special care would be required to ensure compatibility with future Software updates.
Unable to Accommodate Describe in comments	Existing functionality to meet the requirement does not exist and the Bidder is unable or unwilling to make necessary Software modifications to accommodate the requirement. Please note, any Bidder unable to accommodate a requirement with a flexibility score of 1 or 2 may be eliminated.

The response column has been included and Bidders are encouraged to provide information and/or commentary describing how their Solution meets the requirement where explanation is warranted

and/or necessary. No changes may be made to the original information provided in Attachment 10B – Detailed Functional Requirements.

Attachment 10B – Detailed Functional Requirements

An Excel format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

Attachment 10C - MainePERS Core Plan Information

Laws and Rules

For reference purposes, the following links provide information on the laws and statutes governing MainePERS:

- Constitutional provisions governing MainePERS
 - [Constitution of Maine – Article 9 \(see Sections 18, 18A and 18B\)](#)
- Maine Public Employees Retirement System
 - [Governor’s Retirement Fund – Title 2 MRSA §1A](#)
 - [Legislative Retirement – Title 3 MRSA §701 to §860](#)
 - [Judicial Retirement – Title 4 MRSA §1201 to §1361](#)
- Title 5 MRSA Part 20
 - [Chapter 421: General Provisions §17001 – §17451](#)
 - [Chapter 423: State Employees and Teachers §17601 – §18061](#)
 - [Chapter 425: Participating Local Districts §18201 – §18663](#)
 - [Chapter 427: Participating Local Districts Consolidated Plan §18801 – §18806](#)
- Rules
 - Downloadable chaptered MainePERS rules may be found via the following link: [Maine Public Employees Retirement System \(94-411\)](#).

Member Handbooks and Publications

- MainePERS Member Handbook and publications can be found here:
 - <https://www.mainebers.org/forms-resources/publications/>

Attachment 10D – Business Process Workflows, Descriptions, and User Stories

For reference purposes, these materials can be accessed via the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. The sample communication materials will be provided in a folder entitled “MainePERS Process Materials”.

Attachment 10E – Member and Employer Communications

Member Plan Information Packages and Employer Communications

For reference purposes, MainePERS has provided an illustrative list of current communications below. In addition, MainePERS is providing a sampling of the following communication materials for your review:

- Pension preliminary benefit package and artifacts
- MaineSTART Enrollment package
- New Group Life Insurance Benefit letter/package
- Purchase service package and artifacts
- Pension Estimate package and artifacts

The sample communication materials can be accessed via the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. The sample communication materials will be provided in a folder entitled “MainePERS Sample Communication Materials”.

Member and Employer Communication Details and Requirements

MainePERS would like to use its existing packages and statements as a starting point, but is looking to enhance and streamline member and employer communications and correspondence in the following ways:

1. MainePERS **must** have custom documents, member packages and member communications, Bidder templates will not be sufficient.
2. The creation of member packages and employer communications should require minimal or no manual intervention:
 - a. The number of templates should be limited as much as possible and should use conditional text for necessary variations.
 - b. Packages should include all relevant required forms automatically with the packages and reference them in the letter. If a form is not relevant or required for a particular process and/or scenario, it should not be referenced or included in the documentation.
 - c. Where possible, forms should auto-populate with basic information available within the PAS.
 - d. Letters should be intuitive and request only relevant/necessary information. For example, if we have already validated the member’s date of birth, it should not continue to request date of birth documentation.
3. Conditional paragraphs would apply to packages, letters, and member statements. Paragraphs should be populated based on the conditional criteria defined.
4. The correct package/letter should be automatically produced as part of the relevant calculation and/or workflow process/step rather than manual manipulation required to select the correct letter/package from a list.
5. All correspondence should be imaged, including forms, and either stored within the PAS or accessible through the PAS.
6. All correspondence should include a barcode.



7. Beyond the correspondence letters listed below, MainePERS expects that system generated notifications and communications will be automatically produced and sent where necessary within process flows to acknowledge receipt of applications, forms, and/or documentation; keep members updated on the status of requests and/or applications; and advise when processes have been completed.
8. In an effort to improve the employer and member experience, MainePERS would like to improve its ability to send targeted proactive communications to members and/or employers. MainePERS should have the ability to identify and send communications to targeted populations through the Solution. Examples of this include but are not limited to:
 - a. Target communications to employers who are not part of the MaineSTART program to provide plan information and promote participation growth.
 - b. Target communications to retirees who have returned to work and are nearing the limit to suspend benefits.
 - c. Target communication to new members with educational information on retirement planning.
 - d. Notifications and communication to member who have recently vested.
 - e. Target communication based on age and/or number of years within the plan for retirement planning information purposes.
 - f. Target communications to members who are nearing retirement age and/or who are nearing their years of service to provide proactive information on the retirement process.
 - g. Various targeted communications to vested, inactive members.
 - h. Various targeted communications to non-vested, inactive members
9. Where possible, form information and/or data entered should be linked and/or ingested by the PAS system to populate fields within the PAS, and initiate workflows where necessary.

Member and Employer Forms and Communications

For reference purposes, MainePERS is providing the following index table identifying various number and descriptions of forms and letters currently in use:

#	Forms
1.	VACATION AND SICK LEAVE REPORTING FORM
2.	EMPLOYER PRELIMINARY BENEFIT CERTIFICATION FORM
3.	CHOICE FOR MOTOR VEHICLE DETECTIVES HIRED ON OR AFTER 10/1/97
4.	SURVIVOR BENEFITS RECIPIENT'S CERTIFICATION
5.	APPLICATION FOR MEMBERSHIP
6.	CERTIFICATE OF TEACHING IN MAINE PUBLIC SCHOOLS
7.	CERTIFICATE OF TEACHING SERVICE IN PUBLIC OR PRIVATE ACADEMIES OR PAROCHIAL SCHOOLS
8.	CERTIFICATE OF OUT OF STATE TEACHING SERVICE
9.	APPLICATION FOR SERVICE RETIREMENT BENEFITS
10.	CERTIFICATION OF SPOUSAL NOTIFICATION
11.	INFORMATION REGARDING RESTORATION TO SERVICE (ELECTION FORM) FOR PLDS WITH SOCIAL SECURITY
12.	DESIGNATION OF OPTION 1 BENEFICIARY
13.	DESIGNATION OF BENEFICIARY PRE-RETIREMENT DEATH BENEFITS

#	Forms
14.	CHANGE OF BENEFICIARY – SERVICE RETIREE
15.	INFORMED CONSENT TO REVISION OF BENEFICIARY DESIGNATION
16.	CERTIFICATION OF BONAFIDE TERMINATION
17.	CONSENT FORM DESIGNATING AUTHORIZED REPRESENTATIVES (ALSO INCL IN DIS. RET. APP. PKG. ON
18.	CONSENT FORM DESIGNATING AUTHORIZED REPRESENTATIVES (DIS)
19.	AFFIDAVIT FOR ESTATES NOT EXCEEDING \$40,000
20.	ALTERNATE PAYEE BENEFIT INCEPTION (Also 1st page is H0051)
21.	AMORTIZATION AGREEMENT FOR PURCHASE/REPURCHASE OF SERVICE CREDIT
22.	COST-OF-LIVING ADJUSTMENT ELECTION FORM
23.	CERTIFICATE OF SERVICE IN LAW ENFORCEMENT
24.	1998 SPECIAL PLAN ELECTION FORM
25.	CARES ACT REFUND CERTIFICATION
26.	CARES ACT ROLLOVER/DIRECT TRANSFER CERTIFICATION FORM
27.	CONSENT FOR INDEPENDENT MEDICAL EVALUATION (IME) AND/OR TESTS AND AUTHORIZATION TO RELEASE
28.	APPLICATION FOR DISABILITY RETIREMENT BENEFITS
29.	REPORT OF CONTINUING DISABILITY (Form 1)
30.	EMPLOYER'S DISABILITY REPORT
31.	RELEASE OF INFORMATION TO REHABILITATION PROVIDERS
32.	EMPLOYMENT CONTACT FORM
33.	APPLICATION FOR SURVIVOR RETIREMENT BENEFITS
34.	CONSENT FORM AUTHORIZING RELEASE OF INFORMATION (FOR CAREER CENTER AND VOCATIONAL
35.	ANNUAL STATEMENT OF COMPENSATION
36.	REQUEST TO TERMINATE DISABILITY RETIREMENT BENEFIT
37.	MEDICAL CERTIFICATION FOR DISABILITY RETIREMENT BENEFITS (FORM 3)
38.	VOCATIONAL REHABILITATION ELECTION
39.	SOCIAL SECURITY DISABILITY BENEFITS
40.	ABBREVIATED REPORT OF CONTINUING DISABILITY
41.	HEALTHCARE PROVIDERS REQUEST - NEW APP
42.	CONSENT FORM AUTHORIZING RELEASE OF INFORMATION
43.	CONSENT FORM AUTHORIZING RELEASE OF INFORMATION (Form 2)
44.	CONSENT FORM AUTHORIZING RELEASE OF INFORMATION (HALF SHEET) P. 3 OF DIS. APPLICATION
45.	CONSENT FORM AUTHORIZING RELEASE OF INFORMATION - MSMA
46.	AUTHORIZATION AGREEMENT FOR DIRECT DEPOSIT (Special Project)
47.	MAINEPERS EMPLOYER SECURITY ADMINISTRATOR AUTHORIZATION
48.	ESS SECURITY RISK INITIAL EMPLOYER CONTACT FORM
49.	REQUEST FOR BASIC AND/OR ADDITIONAL INS. COVERAGE REQUIRING EVIDENCE OF INSURABILITY
50.	DEPENDENT INSURANCE
51.	CANCELLATION/REDUCTION IN COVERAGE
52.	BENEFIT SELECTION FORM
53.	TITLE 5 SECTION 18057 & 18657

#	Forms
54.	MEMBER STATEMENT OF DEATH CLAIM
55.	MEMBER STATEMENT OF DEATH CLAIM (Custom)
56.	DEPENDENT STATEMENT OF DEATH CLAIM
57.	APPLICATION FOR COVERAGE GROUP LIFE INSURANCE
58.	DESIGNATION OF BENEFICIARY GROUP LIFE INSURANCE
59.	THIRD PARTY DESIGNATION OPTIONAL
60.	REFUND APPLICATION
61.	PERSONNEL STATUS CHANGE FORM (For Teacher and PLD Employers)
62.	MEMBER/BENEFIT RECIPIENT DATA UPDATE FORM

#	Letters	Module
1	3 Year Inactive Eligible Now	Pension
2	3 Year Inactive Need COA	Pension
3	30 Day Collect No Communicate Affiliate Final	World/CRM
4	30 Day Collect No Communicate Death Contact Final	World/CRM
5	30 Day Collect No Communicate Retiree Final	World/CRM
6	3yr Inactive Refund	Pension
7	3yr Inactive Refund Over 1000	Pension
8	3yr Inactive Refund Under 200	Pension
9	3yr Inactive Vested	Pension
10	Acknowledge Retirement App with missing info	Pension
11	Acknowledge Retirement Application	Pension
12	Active Members on Military Leave	World/CRM
13	Actuarial Cost with Lump Sum	SCP
14	Actuarial Cost with Lump Sum and Pyrl Ded	SCP
15	Affiliate Address Change	World/CRM
16	Affiliate Application for Duplicate Check	World/CRM
17	Affiliate Email Bounce Back Letter	World/CRM
18	Affiliate Faxed Address Letter	World/CRM
19	Affiliate No POA on file	World/CRM
20	Affiliate No Signature Letter	World/CRM
21	Affiliate Reissue Duplicate Check	World/CRM
22	Age 60 65 Notification <ESS>	ESS
23	Annual Collect No Arrangement Affiliate	World/CRM

#	Letters	Module
24	Annual Collect No Arrangement Death Contact	World/CRM
25	Annual Collect No Arrangement Retiree Final	World/CRM
26	Annual Statement of Cost	System
27	AP Inception Info Letter	World/CRM
28	Application Acknowledgement Letter	World/CRM
29	Application Complete Letter	World/CRM
30	Application for Duplicate Check	World/CRM
31	Bene CoA Request (Uncashed Check Returned EFT)	World/CRM
32	Benefit Verification	Pension
33	Benefit Verification with deductions	Pension
34	Cancel Suspend Letter	World/CRM
35	Cancelled Refund Letter	Pension
36	Changeover Estimate Cover Letter	Pension
37	Claim Information Letter	World/CRM
38	Confirm Address Change	World/CRM
39	Confirmation of Suspension	Pension
40	Cost Letter with lump sum and payroll deductions	SCP
41	Cost Lump Sum	SCP
42	CTE Overpaid SCP	SCP
43	CTE Refund to Member Notification Letter	World/CRM
44	Direct Bill Initial Letter	World/CRM
45	Direct Deposit Request Letter	World/CRM
46	Disability Preliminary Benefit Letter	Pension
47	Disability Retirement GLI Plan Letter	World/CRM
48	Disability Retirement No GLI Plan Letter	World/CRM
49	Duplicate Dependent Coverage Letter	World/CRM
50	Email Bounce Back Letter	World/CRM
51	Employer CTE Credit Letter	World/CRM
52	Employer Statement of Account	System
53	EOI Begin Letter	World/CRM
54	Estimate Calculation Statement	Pension
55	Faxed Address Letter	World/CRM

#	Letters	Module
56	Final Cancellation Notice-GLI	World/CRM
57	Final Retirement Benefit	Pension
58	Final Retirement Benefit - Beneficiary	Pension
59	Follow Up Request to Member for OOS verification	World/CRM
60	Follow up Request DD_Tax Form	World/CRM
61	Foreign Recipient	World/CRM
62	Foreign Recipient Beneficiary	World/CRM
63	Foreign Recipient Beneficiary Witness Required	World/CRM
64	Foreign Recipient Witness Required	World/CRM
65	General Correspondence Affiliate	World/CRM
66	General Correspondence Employer	World/CRM
67	General Correspondence Letter	World/CRM
68	GLI Application signed over 31 days EOI Required	World/CRM
69	GLI Beneficiary Percent not equal to 100%	World/CRM
70	GLI Dependent Denied Letter	World/CRM
71	GLI Invoice	System
72	GLI Member Direct Bill	System
73	GLI Portability Letter 15 Days	World/CRM
74	GLI Portability Letter 91 Days	World/CRM
75	GLI Premiums Due Reminder	World/CRM
76	GLI received - No Pre Ret	World/CRM
77	Inactive Death Letter	World/CRM
78	Ineligible for Refund Purchase Letter	World/CRM
79	Info to Member Reg Purchase of Law Enforc Serv	World/CRM
80	Info to member regarding purchase of CETA service	World/CRM
81	Information to Member Regarding Peace Corp	World/CRM
82	Informational Rollover Letter	World/CRM
83	Initial Retirement Benefit	Pension
84	Initial Retirement Benefit - Beneficiary	Pension
85	Insurance Only Retirement	World/CRM
86	Invalid Bene Form Letter - GLI	World/CRM
87	Invalid Bene Form Letter - Pre Retirement	World/CRM

#	Letters	Module
88	Legal Doc for Name Change Ltr.	World/CRM
89	Lost Earnings Cost Letter	World/CRM
90	MainePERS ESS Password Change <Email>	ESS
91	MainePERS ESS Security Questions <Email>	ESS
92	MainePERS ESS User Name <Email>	ESS
93	MainePERS ESS User Verification <Email>	ESS
94	Mandatory Cost No contributions withheld	SCP
95	Mandatory Cost teacher member reported under PLD	SCP
96	Member Account Summary	Pension
97	Member CoA Request (Uncashed Check Returned EFT)	World/CRM
98	Missing Beneficiary Information	World/CRM
99	Missing Information Refund App Letter	Pension
100	Missing Information Rollover Letter	Pension
101	MSS change Response	MSS
102	New Bene letter - GLI	World/CRM
103	New Bene Letter - Pre Retirement	World/CRM
104	No POA on File	World/CRM
105	No Signature Letter	World/CRM
106	Not Participating in GLI-Bene	World/CRM
107	Not Participating in Pension-Bene	World/CRM
108	Notice of Retirement	Pension
109	Notice of Retirement Beneficiary	Pension
110	Notice of Retirement Death Beneficiary Letter	Pension
111	Notice to Employer to Stop Payroll Ded	World/CRM
112	Notice to Employer to Stop Payroll Ded (History)	World/CRM
113	Option 1 Beneficiary Change Letter	Pension
114	Option 1 Beneficiary Payment Info	Pension
115	Option 1 Zero Balance	Pension
116	Participant Coverage Change Letter	World/CRM
117	Participant Welcome Letter	World/CRM
118	Pension Estimate Cover Letter - Active	Pension
119	Pension Estimate Cover Letter - Inactive	Pension

#	Letters	Module
120	Pension Review Report	Pension
121	PLD Appointment Confirmation Letter	Pension
122	Portland City Trust Letter	World/CRM
123	Post Retirement Death Bene - Member pop-up Letter	Pension
124	Preliminary Benefit-Final Benefit Letter	Pension
125	Pre-Ret Received No GLI	World/CRM
126	Pre-Retirement Death Beneficiary Lump Sum	Pension
127	Pre-retirement Death Follow-up w/Selection	Pension
128	Pre-retirement Death Letter & Selection Form	Pension
129	Private Parochial Request for Verification	World/CRM
130	Refund Notice	Pension
131	Refund Notification Letter	Pension
132	Refused GLI when 1st eligible EOI required	World/CRM
133	REGISTRATION_SUCCESS <MSS registration email>	MSS
134	Reissue Benefit Payment Affiliate Death	World/CRM
135	Reissue Benefit Payment Deceased Member	World/CRM
136	Reissue Duplicate Check	World/CRM
137	Request for SSA or TIN for Estate	Pension
138	Required Minimum Distribution	Pension
139	Rescind Retirement App Letter	Pension
140	Reset Password or Security Question	ESS
141	Returned Mail Request to Found Address	World/CRM
142	RMD Attempt Letter	World/CRM
143	RMD Beneficiary Follow-up	World/CRM
144	RMD Benefit Payment Detail Letter	Pension
145	RMD Follow-up to Certified CoA Request	World/CRM
146	RMD Initial Contact	World/CRM
147	RMD Initial Contact Need CoA	World/CRM
148	RMD Lost Member Follow-up	World/CRM
149	RMD TIN Letter	World/CRM
150	SB Student/School certification cover letter	Pension
151	SCP Mandatory Cost No Contrib Letter	SCP

#	Letters	Module
152	SCP Mandatory Cost Special Plan Employer Error	SCP
153	SCP Mandatory Cost Wrong Contribution	SCP
154	SCP Military Informational Letter	World/CRM
155	SCP Out of State Information (Non-Teaching)	World/CRM
156	SCP Out of State Information (Teaching)	World/CRM
157	SCP Workers' Comp Leave Informational Letter	World/CRM
158	Service Granted Letter <appears duplicate>	SCP
159	Service Retirement Cover Letter	Pension
160	Service Retirement Cover Letter (History)	Pension
161	Service Retirement GLI Initial Letter	World/CRM
162	Service Retirement GLI Plan Letr	World/CRM
163	Service Retirement No GLI Plan Ltr	World/CRM
164	State Group Session Confirmation Letter	Pension
165	Supplemental Refund Letter	Pension
166	Survivor Services Inquiry Response Letter	World/CRM
167	Tax Form Request Letter	World/CRM
168	Teacher Aide Purchase	World/CRM
169	Teacher Group Session Confirmation Letter	Pension
170	USPS Address Change Letter	World/CRM
171	USPS Affiliate Address Change Letter	World/CRM
172	Returned mail request to new address	Currently Manual
173	Returned Mail request to accurint address	Currently Manual
174	Voluntary Changeover Estimate Cover Letter	Currently Manual
175	OOS certificate missing state certification	Currently Manual
176	Option 1 Balance	Currently Manual
177	Rescind Retirement	Currently Manual
178	Cancelled Refund	Currently Manual
179	Need COA and POA before can send new 1099	Currently Manual
180	Suspended for ACH return	Currently Manual
181	Amort agreement	Currently Manual
182	No COA received for request	Currently Manual
183	Appointment Confirmation	Currently Manual

#	Letters	Module
184	Need Original Signature	Currently Manual
185	IRS Lien Levy Confirmation	Currently Manual
186	IRS Lien Levy Notification	Currently Manual
187	Reissue Final Monthly	Currently Manual
188	MAS- Refund data	Currently Manual
189	Acknowledge SR application missing info	Currently Manual
190	Acknowledge SR application OK	Currently Manual
191	Pop Up Errors	Currently Manual
192	AR Payments	Currently Manual
193	Reissue uncashed refund	Currently Manual
194	MAS- Not a member	Currently Manual
195	Cost to Member for Contributions due on VAC_SL pay	Currently Manual
196	PB to Final Letter after Death of Retiree to Estate with refundable paid leave refund	Currently Manual
197	Beneficiary Change on Spouse New beneficiary	Currently Manual
198	Beneficiary Change new Spouse	Currently Manual
199	Info to member regarding purchase of law enforcement service	Currently Manual
200	TIN Request	Currently Manual
201	SSA or TIN for estate	Currently Manual
202	SS Revision of benefit due to death of Bene_Multiple Benes	Currently Manual
203	SS Death of Bene under Pop Up	Currently Manual
204	Personal Rep need court doc	Currently Manual
205	No Selection for rec'd for pre death RA	Currently Manual
206	No Docs rec'd for post or pre death RA	Currently Manual
207	Need PR for estate refund	Currently Manual
208	MM C& I lump sum rollover dd tax	Currently Manual
209	SS Pre Ret death lump sum ref notice to spouse with DD and tax info IRA only	Currently Manual
210	SS Pre Ret death lump sum ref notice with DD and tax info inherited IRA only	Currently Manual
211	SS Pre Ret Death Lump Sum Ref Notice with DD and Tax Info IrA only & Overpaid benefits	Currently Manual
212	SS Pre Ret Death Lump sim Ref Notice with DD and Tax Info IRA only	Currently Manual
213	SS Pre Ret Death Lump Sum Refund Notice Dep Child with DD Tax Info and Rollover Inherited IRA	Currently Manual
214	SS Pre Ret Death Lump Sum Refund Notice with DD and Tax Info QDRO	Currently Manual
215	SS Pre Ret Death Lump Sum Refund Notice with DD and Tax Info To The Estate	Currently Manual



#	Letters	Module
216	SS Pre Ret Death Lump Sum Refund Notice with DD and Tax Info	Currently Manual
217	SS Pre Ret Death Lump Sum Refund Notice with DD Tax Info and Rollover Inherited IRA	Currently Manual
218	SS Pre Ret Death Lump Sum Refund Notice with Tax Forms Only - estate	Currently Manual
219	SS Pre Ret Death Lump Sum Refund Notice with Tax Forms Only	Currently Manual
220	SS Pre Ret Death Lump Sum Refund Notice	Currently Manual
221	SS Pre Ret Death of Mbr Auto II Ltr to Bene	Currently Manual
222	SS Pre Ret Death of Mbr Survivor Benefit Ltr to Bene	Currently Manual
223	Post RA Death Option 1 Balance Spouse Bene Traditional IRA	Currently Manual
224	Post RA Option 1 no funds left leh	Currently Manual
225	SS Post Ret Death of Mbr Ltr to Bene 2	Currently Manual
226	SS Post Ret Death of Mbr Ltr to Bene	Currently Manual
227	SS Post Ret Death of Mbr Opt 1 Ltr to Bene Mitchell	Currently Manual
228	SS Post Ret Death of Mbr Opt 1 Ltr to Bene	Currently Manual
229	SS Post Ret Death of Mbr Opt 1 w overpaid benefits Ltr to Bene	Currently Manual
230	SS Post Ret Death of Mbr Opt 1 w overpaid benefits Ltr to Estate	Currently Manual
231	SS Post Ret Death of Mbr under Option 5 Ltr to Bene 1	Currently Manual
232	SS Post Ret Death of Mbr under Option 5 Ltr to Bene	Currently Manual
233	SS Special Payment Post Ret Death of Mbr Ltr to Bene	Currently Manual
234	AP Benefit Inception Marital Period AFC Example Doc	Currently Manual
235	AP Benefit Inception Notice Cover	Currently Manual
236	AP Benefit Inception REVISION Notice	Currently Manual
237	AP Direct Deposit Tax letter for Death monthly benefit	Currently Manual
238	AP Direct Deposit Tax letter for Death lump sum	Currently Manual
239	AP DD AND TAX LETTER DEATH LUMP SUM - LETTER HEAD	Currently Manual
240	AP Direct Deposit - PRE-RETIREMENT QDRO - Member Refunding Need AP CoA	Currently Manual
241	AP Direct Deposit - PRE-RETIREMENT QDRO - Member Refunding	Currently Manual
242	AP Direct Deposit and Tax Letter - PRE-RETIREMENT QDRO generic	Currently Manual
243	AP Direct Deposit and Tax Letter - PRE-RETIREMENT QDRO with Estimated benefit amount	Currently Manual
244	AP Direct Deposit and Tax Letter at ESTIMATE - PRE-RETIREMENT QDRO	Currently Manual
245	AP Final Benefit Notification Letter PRE-RETIREMENT QDRO Benefit upon Death of Member	Currently Manual
246	AP Final Benefit Notification Letter PRE-RETIREMENT QDRO on Disability Ret with NOR	Currently Manual
247	AP Final Benefit Notification Letter PRE-RETIREMENT QDRO on Disability Ret	Currently Manual

#	Letters	Module
248	AP Final Benefit Notification Letter PRE-RETIREMENT QDRO with NOR 1	Currently Manual
249	AP Final Benefit Notification Letter PRE-RETIREMENT QDRO with NOR	Currently Manual
250	AP Notice of Benefit at Change over to Service PRE_RETIREMENT QDRO with NOR 1	Currently Manual
251	AP Notice of Benefit at Change over to Service PRE_RETIREMENT QDRO with NOR	Currently Manual
252	AP REVISION due to change in offset Final Benefit Notification Letter PRE-RETIREMENT QDRO on Disability Ret	Currently Manual
253	AP REVISION to Final Benefit Notification Letter PRE-RETIREMENT QDRO on Disability Ret D	Currently Manual
254	AP REVISION to Final Benefit Notification Letter PRE-RETIREMENT QDRO on Disability Ret	Currently Manual
255	REVISION to Disability Benefit with Pre-Retirement QDRO due to Error Notification Letter R Pinette	Currently Manual
256	AP Direct Deposit and Tax Letter -POST RETIREMENT QDRO	Currently Manual
257	AP Direct Deposit and Tax Letter -POST RETIREMENT QDRO1	Currently Manual
258	AP Direct Deposit and Tax Letter -POST RETIREMENT with DRO Pending Qualification	Currently Manual
259	AP Dis to Service FYI	Currently Manual
260	AP Final Benefit Notification Letter POST RETIREMENT QDRO with NOR 1	Currently Manual
261	AP Final Benefit Notification Letter POST RETIREMENT QDRO with NOR	Currently Manual
262	AP Final Benefit Notification Letter POST RETIREMENT where AP also Option 5 Bene	Currently Manual
263	Notice to Retiree of Revised Benefit due to death of AP POST RETIREMENT QDRO	Currently Manual
264	Notice to Retiree of Revised Benefit due to DRO PENDING POST RETIREMENT	Currently Manual
265	Notice to Retiree of Revised Benefit POST RETIREMENT QDRO	Currently Manual
266	Notice to Retiree POST RETIREMENT that Pending DRO Qualified with Different Percentage and Resulting Overpayment	Currently Manual
267	Notice to Retiree POST RETIREMENT that Pending DRO Qualified	Currently Manual
268	SPECIAL - Notice to Retiree of Final Benefit and Subsequent Revision due to POST RETIREMENT QDRO	Currently Manual
269	SPECIAL - QDRO POST RETIREMENT Notice to Retiree of Revised Benefit and Pending DRO to REVISE QDRO	Currently Manual
270	Lump Sum Refunded was Eligible for Monthly Benefit	Currently Manual
271	Lump Sum Refunded	Currently Manual
272	Confidential W no EES Member Account Summary NOT vested	Currently Manual
273	Confidential W no EES Member Account Summary	Currently Manual
274	AP Estimate application enclosed	Currently Manual
275	AP Estimate Special Plan application enclosed	Currently Manual
276	AP Estimate with Age Reduction	Currently Manual
277	AP Estimate	Currently Manual

#	Letters	Module
278	Dis Ret Purchase - Added Benefit Multi Costs	Currently Manual
279	Dis Ret Purchase - CETA Service Purchase No Impact on CO but will increase SR benefit	Currently Manual
280	Dis Ret Purchase - MS Service Purchase Impacts Changeover and Service Ret Benefit Special	Currently Manual
281	Dis Ret Purchase - MS Service Purchase Impacts Changeover or Service Ret Benefit 2nd version	Currently Manual
282	Dis Ret Purchase - MS Service Purchase Impacts Changeover or Service Ret Benefit	Currently Manual
283	Dis Ret Purchase - MT Service Purchase Impacts Changeover or Service Ret Benefit	Currently Manual
284	Dis Ret Purchase - No Added Benefit	Currently Manual
285	Dis Ret Purchase - Ref & WC Service Purchase No Impact on CO - Lowers Dis but Increase Svc	Currently Manual
286	Dis Ret Purchase - Ref Service Purchase Impacts Changeover or Service Ret Benefit	Currently Manual
287	Dis Ret Purchase - Ref Service Purchase Means Immediate Changeover to Service Ret Benefit	Currently Manual
288	Dis Ret Purchase - WC Service Purchase Impacts Changeover or Service Ret Benefit	Currently Manual
289	Spousal Revision correction	Currently Manual
290	Spousal Revision Due to Divorce Estimate letter to PLD Retiree with Change of Bene Form	Currently Manual
291	Spousal Revision Due to Divorce Estimate letter to Retiree with application	Currently Manual
292	Spousal Revision Due to Divorce Estimate letter to State or Teacher Retiree with Change of Bene	Currently Manual
293	Spousal Revision Due to Divorce Multi Estimate letter to PLD Retiree with Change of Bene Form	Currently Manual
294	Consent Letter to ex-spouse opt 5	Currently Manual
295	Letter to Ex-spouse, Divorce-Opt 2	Currently Manual
296	Letter to Ex-spouse, Divorce-Opt 3	Currently Manual
297	Letter to Ex-spouse, Divorce-Opt 5	Currently Manual
298	Letter to Ex-spouse, Divorce-Opt 8	Currently Manual
299	Option 5 ltr to New Bene for tax and dd forms	Currently Manual
300	Spousal Rev Due to Divorce Confirmation opt 5	Currently Manual
301	Spousal Revision Due to Divorce Confirmation	Currently Manual
302	Spousal Revision Notice - named self	Currently Manual
303	Spousal Revision Notice option pop up	Currently Manual
304	Spousal Revision Notice	Currently Manual
305	Spousal Revision w overpayment Option 5	Currently Manual
306	Init. Letter - Death - Opt 2	Currently Manual
307	New Bene estimate due to death opt 2	Currently Manual
308	New Bene estimate due to death opt 3	Currently Manual
309	New Bene estimate due to death opt 5	Currently Manual

#	Letters	Module
310	Option 5 Divorce letter with application	Currently Manual
311	Spousal Revision Option 5 Notice to New Bene	Currently Manual
312	SR Estimate due to divorce	Currently Manual
313	Death Benefit letter	MaineSTART
314	MaineSTART 401a Beneficiary	
315	MaineSTART 401a Distribution	
316	MaineSTART 401a Enrollment	
317	MaineSTART 401a Rollover	
318	MaineSTART 403b Beneficiary - ME Veterans Home Tax Sheltered Annuity Plan	
319	MaineSTART 403b Distribution - ME Veterans Home Tax Sheltered Annuity Plan	
320	MaineSTART 403b Enrollment - ME Veterans Home Tax Sheltered Annuity Plan	
321	MaineSTART 403b Rollover - ME Veterans Home Tax Sheltered Annuity Plan	
322	MaineSTART 457 Beneficiary	
323	MaineSTART 457 Distribution	
324	MaineSTART 457 Enrollment	
325	MaineSTART 457 Rollover	

Attachment 11- Functional Questionnaire

A Word format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

MainePERS’ functional questions are below.

Instructions:

1. Provide your response to all questions in the space provided after each question below.
2. Provide detailed information that will allow MainePERS to better understand the Bidder’s ability to implement the functional requirements.

Solution Overview

General	
1	Provide an overview of your PAS Solution in clear, non-technical language.
2	Why does your Solution provide the best fit for MainePERS, based on our requirements and the maturity of your Solution?
3	Overall, based on the requirements, how much customization do you anticipate?
4	<p>MainePERS is interested in understanding the unique value that each Bidder brings to the table by introducing new or distinctive features that differentiate their offering from those of other Bidders. For example, this could include items that raise the value of their offering, or unique tools and techniques that elevate delivery of the Services resulting in greater opportunity for success without any additional cost to MainePERS.</p> <p>Value-add contributions should be distinct and measurable, for example: explicitly identified savings, measurably improved satisfaction with Services, increased use of applications/services, significantly reduced time to deliver, higher quality of service to stakeholders, increased automation etc.</p>

	What value-add contributions do you see as your system’s differentiators and how does it exceed other PAS Solutions?
5	Why would MainePERS users like using your system?
6	Please explain how any MainePERS Customization will be deployed? Will any of these Customizations limit MainePERS’ ability to access new functionality or features moving forward? Will there be any impacts on maintenance and/or future versions?

Data Model	
7	How does your data model deal with one member who has multiple memberships with the same or different employers, with different statuses (e.g. active and inactive)?
8	How does your data model handle “people” with various roles – member, spouse, power of attorney, child, and beneficiary? What if a person is a member and a spouse?
9	How does your system handle a beneficiary receiving a service benefit? Are these members able to access the member portal? Are there any other limitations or restrictions on their account?
10	How does your system handle a beneficiary or alternate payee (ex-spouse receiving payment under a qualified domestic relations order)? Are these members able to access the member portal? Are there any other limitations or restrictions on their account?
11	MainePERS has multiple employers, how does your data model deal with multiple employers?

12	A single employer can participate in multiple distinct plans. How does your data model deal with a single employer participating in distinct plans?
13	Please describe how your Solution handles data from employers who report data in varying frequencies (e.g. weekly, bi-weekly, monthly, etc.). Please note, in some instances employers participate in multiple plans and submit data for different plans at different frequencies. Please ensure that your response explains how this can be handled as well.
14	Will your Solution support schema validation and the creation of validation rules for fields, data types and value ranges? Please explain how this is achieved or what this might look like to an end user?
15	Please elaborate how the data schema validation or other elements of the Solution will screen incoming employer data for accuracy. Please also explain the different exception/error/validation options (e.g. soft validations, hard errors, etc.) that your Solution provides.
16	Please elaborate how the Solution can identify employers who have not reported member data in a timely manner. How can the system flag these employers? How can the system handle these situations (e.g. communication to employers, calculations of interest and/or penalties on late contributions, communication and/or adjustment calculations to members who are owed interest as a result)? How automated can this process be?
17	Please explain what level of access MainePERS will have to the data for additional reporting and analytics.

PAS Solution Functionality

PAS Solution Functionality	
18	Describe the out-of-the-box service purchase and payment schedule functionality available in your Solution.
19	How does your system currently handle the cost calculation for leaves of absence in an automatic approach and display this information to members?
20	Please explain how your Solution handles exception cases. If a calculation needs to be adjusted, how do the results get updated into your Solution? How can data be updated in the system? Does your system maintain an audit trail for all such changes?
21	Although MainePERS would like to incorporate as much automation as possible, in some cases due to a member’s particular situation, automation might be less feasible for every member. Please explain how your system is able to handle these cases.
22	How does your Solution record a benefit calculation based on final data vs. one based on projected data (preliminary benefit)? How does a user modify the data or true-up a calculation and/or batch process? How are these cases identified?
23	How would your system handle employer-reported termination dates that are in the future?
24	How does your system track service in an eligible class for members before they are enrolled in the plan in order to determine if they have met the minimum eligibility requirements (especially if the member is concurrent and works at more than one employer)?
25	How does your system manage the proof of life process?

26	How does your system handle real-time system user “How To’s” and self-help? Is a knowledgebase available to users?
27	<p>Please provide a non-technical explanation of how your Solution performs the following processes and/or functions (3 pages maximum for each process). Also, if your Solution performs any of these processes and/or functions via integrations with other tools or solutions, please so specify and elaborate:</p> <ul style="list-style-type: none"> a. Actuarial Extracts b. Analytics and Reporting c. Benefit Estimate Calculations d. Benefit Payroll Processing e. COLAs f. Customer Service/CRM g. Death h. Disability i. Employer Reporting j. Employer Self Service k. General Ledger Reporting & Integration l. Group Life Insurance m. MainePERS Non-functional requirements n. MaineSTART (DC Plan) o. Member Enrollment and Member Statements p. Member Portal q. Portability r. Qualified Domestic Relation Order (QDRO) s. Refunds t. Required Minimum Distribution (RMDs) u. Retirement v. Return to Work w. Service Purchase x. Tax Reporting & Compliance y. Workflow Management

Employer Portal	
28	Provide an overview of your employer portal, including security, in clear, non-technical language.
29	Does your employer portal allow employers to update data manually as well as through files? If so, is there an audit trail for these manual updates?
30	What types of files formats are accepted? Are there size limitations for the files?
31	How does your employer portal ensure that data is accurate and complete?
32	What processes can be initiated by employers through the employer portal?
33	What do clients like most about your employer portal?
34	What is the improvement or feature most commonly requested by your customers in the recent past (0-5 years) which you have implemented?
35	What is the improvement or feature most commonly requested by your customers in the recent past (0-5 years) which you have not yet implemented, and why?
36	What is currently the most requested improvement of feature by your customers which your solution does not yet offer?

37	How does your system handle real-time system user “How To’s” and self-help? Is a knowledgebase available to users?
38	Are real-time “How To’s”, self-help and a knowledgebase available to users of the Employer Portal?
39	Is your Employer Portal ADA compliant?

Member Portal	
40	Provide an overview of your member portal, including security, in clear, non-technical language.
41	How does your system handle real-time system user “How To’s” and self-help? Is a knowledgebase available to users?
42	Are real-time “How To’s”, self-help and a knowledgebase available to users of the Member Portal?
43	<p>How does your system manage Member Portal access and data when:</p> <ul style="list-style-type: none"> a. A member has multiple periods of membership (e.g. a member currently active with an inactive vested entitlement) b. A member is employed by two employers under the same membership period c. A member who is in receipt of a survivor pension, but also has their own member profile (either active, inactive, or on a pension) d. A member has one or more Qualified Domestic Relations Orders (QDRO) e. A member has purchased qualified service f. A member has returned to work after receiving benefits for retirement g. An individual who is a benefit recipient as a survivor of a member or through other circumstances but was never themselves an active member of MainePERS

44	What types of processes can be initiated through your member portal?
45	Does your member portal offer a secure communication channel (i.e. secure mailbox)?
46	What do clients like most about your member portal?
47	What is the improvement or feature most commonly requested by your customers in the recent past (0-5 years) which you have implemented?
48	What is the improvement or feature most commonly requested by your customers in the recent past (0-5 years) which you have not yet implemented, and why?
49	What is currently the most requested improvement of feature by your customers which your solution does not yet offer?
50	Is your member portal ADA compliant?

Customer Relationship Manager (CRM)	
51	Provide an overview of your CRM Solution in clear, non-technical language.
52	Is your CRM Solution an in-house developed product or has it been integrated with a 3rd party product? If so, please provide details on the product.
53	Does your CRM allow for targeted member and/or employer communications?
54	Does your CRM and/or your Solution allow booking of seminars, information sessions, and/or member/employer appointments? Please explain how this works and is integrated with your PAS and portals.

Enterprise Content Management (ECM)	
55	Provide an overview of your ECM Solution in clear, non-technical language.
56	Is your ECM Solution an in-house developed product or has it been integrated with a 3 rd party product? If so, please provide details on the product.
57	Describe how your ECM Solution integrates documents with your PAS and portals.

Workflow / Case Management	
58	Provide an overview of your workflow Solution in clear, non-technical language.
59	Is your Workflow Solution an in-house developed product or has it been integrated with a 3rd party product? If so, please provide details on the product.
60	Describe how your workflow or case management tool is integrated with your PAS and portals.

Reporting	
61	Would MainePERS be able to access and query your Solution's database?
62	What standard reports are available in your system?
63	Describe the advanced search and data extracting capabilities available.
64	In what format can the queried information be saved for standard reports and ad-hoc reports?
65	Would MainePERS be able to configure and save custom reports? Can this be done by individual users, or by an admin role? Is the Solution able to restrict reports using access controls?
66	How are report lists structured? Can they be classified, categorized, and/or searched? Are there any intuitive features that recognize a user's recently used or frequently run reports?

Strategy/Vision/Innovation	
67	How does your company identify and implement innovative strategies to improve your products? Can you provide an example of a new innovative strategy that was identified and implemented?
68	How does your company handle industry-wide legislative changes? Does your company commit to maintain a compliant system?
69	How does your company handle Federal and State tax changes?
70	Do you hold regular product user groups (if yes how often and what is the general purpose and format of the user group meetings.)?
71	Please provide an example of how your user groups or client feedback has resulted in new Solution features or improvements.
72	Please explain the frequency and approach to product improvements. What is the frequency of any such releases? What is the process? Is client testing required?
73	What product enhancements have been made over the last 36 months? Was there a cost to clients for any of these enhancements?
74	Provide your product roadmap for the next 1-5 years.

Additional Services

Additional Services Included in the Solution Cost	
75	MainePERS is interested in understanding if your Solution includes additional services that were not specifically requested or included in the RFP requirements. These could be additional modules, functionalities, or enhancements that are included in the cost of your Solution that may be beneficial to MainePERS. Please provide a list below of any additional services that your Solution includes.

Attachment 12- Implementation and Staffing

Instructions:

1. Attachment 12B – Implementation and Staffing Questionnaire: Please complete the attachment by answering all questions in the space provided.
2. Attachment 12C – Detailed Project Schedule (MS Project / Excel): Please attach a detailed project schedule in MS Project or Excel format that includes all of the following:
 - a. A planning phase that delivers a project plan and timeline for at least the implementation and warranty period that is subject to MainePERS review and acceptance.
 - b. A comprehensive and robust business process review and redesign phase. Show tasks and timing for all phases of the project, including planning, project setup, business process review, requirements, development, configuration, testing, training, change management, data conversion, etc.
 - c. For data conversion, provide information on the synchronization of milestones with the data conversion.
 - d. Include an appropriate level of contingency.
 - e. Include all proposed milestones.
 - f. Must include all Bidder and MainePERS tasks.
3. Attachment 12D – Detailed Project Schedule (PDF): Please attach a PDF version of the project schedule requested in Attachment 12C.

Attachment 12B - Implementation and Staffing Questionnaire

A Word format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

Instructions:

1. Provide your detailed proposed project approach for implementation of your Solution, ensuring your plan covers all areas and questions listed below. Please provide your response using the sections provided in the table.

Project Management	
1	Does your project schedule and/or implementation approach account for contingency? Please explain.
2	Based on the requirements of the RFP: <ol style="list-style-type: none"> a. What is the scope of the implementation? b. What is considered out of scope for you, but still necessary for the project? c. What are the project assumptions?
3	<p>Project duration, effort, and phasing:</p> <ol style="list-style-type: none"> a. How long will the overall project take? b. What are the main project phases? c. How long will each phase take? d. What are the major activities/ tasks in the project? e. What are the hour estimates for each phase? f. Assuming a contract initiation date of X, what are the start and finish dates for each phase of the project? g. If the responses of a. to f. vary in anyway from the project plan proposed in Attachment 12C – Detailed Project Plan, please explain. h. Will there be software releases during the implementation, and will we be required to accommodate those releases during the implementation or is there a period before go-live when these are implemented

4	<p>Deliverables and milestones:</p> <ul style="list-style-type: none"> a. What are the major milestones in the project? b. What are the project deliverables for each milestone? Please include a detailed enough description to give MainePERS a good expectation of content and include completion criteria. c. Show all gates and decision points in your plan.
5	<p>Approach and Methodology:</p> <ul style="list-style-type: none"> a. Describe the project approach and implementation methodology (i.e. Agile, hybrid, waterfall) and why you believe this is the best approach for MainePERS. b. Describe any tools, environments you use (e.g. Kanban boards, sandboxes) c. MainePERS is looking for an iterative implementation approach that allows for MainePERS SME’s to access and/or test elements of the Solution functionality throughout the project. Given the inter-dependency of overall pension operations, however, we want to ensure that final sign-off is only provided when full Solution functionality is delivered. Please explain how your approach will support and balance MainePERS’ desire to oversee Solution setup progression and ensure that overall functional requirements are met. In addition, please reflect this approach in your Solution Cost and MainePERS resourcing responses. d. Please explain your approach to client resource planning. How do you handle peak operational periods? How do you approach shared project resources? e. Please explain your approach to task delays within the project. f. What formal methods and disciplines will be employed to effect high-quality releases of functionality?
6	<p>Change Requests:</p> <ul style="list-style-type: none"> a. Describe the change request process during the implementation period. b. Do you commonly see change orders or requests during an implementation process? <ul style="list-style-type: none"> o If so, what kind of change orders or requests are common during an implementation? o If so, how are costs handled?
7	<p>Risk and Issue Management:</p> <ul style="list-style-type: none"> a. Identify the risks you see for this implementation and discuss risk mitigation strategies for each. In addition, describe what MainePERS and the selected Bidder need to do to help mitigate these risks. b. Give one example of a successful risk mitigation implementation. What made the project work well?

	<p>c. Give one example of an implementation that did not go as planned. What happened? What were the lessons learned?</p> <p>d. What is your process if there is a product upgrade mid-implementation?</p>
8	<p>Dependencies:</p> <p>a. Identify the factors both inside and outside of the project that are required to be in place to successfully complete this project.</p>
9	<p>Constraints</p> <p>a. Identify the factors that put restrictions on the Bidder’s ability to execute the project.</p>
10	<p>Project / Deliverable Quality Management:</p> <p>a. Describe the process that will be used to ensure that the project delivers the desired outcome at the agreed to level of quality.</p>
11	<p>Success Criteria:</p> <p>a. Describe, as precisely as possible, the criteria that will be used to determine project success.</p>
12	<p>Completion Criteria:</p> <ul style="list-style-type: none"> ▪ Describe, as precisely as possible, the criteria that will be used to determine that the project work has been finished, independent of whether or not the project is successful. ▪ Please note, the outlined criteria should be Specific, Measurable, Achievable, Relevant and Time-bound.

Project Governance and Staffing	
13	<p>Project Governance:</p> <p>MainePERS is expecting the Bidder to assign a team that has significant experience working with the Solution. The team assigned will be required to come to Solution demonstrations and will be interviewed by staff. The Bidder should only present staff that are available to work on the project for an extended period. MainePERS reserves the right to designate certain members of the Bidder’s team as ‘key personnel’ who cannot be removed from the project without a prior MainePERS approval.</p> <p>Provide a governance model and staffing plan for the project that includes the items below.</p> <ol style="list-style-type: none"> a. Outline the project governance model, including the people, meetings, reporting, decision, and escalation frameworks (including definitions). b. Please note that MainePERS leaders are, and will continue to be, very active in the project. As such, we would expect a similar level of engagement from the Bidder executive assigned to the project. The individual(s) will be expected to maintain this relationship when we transition from project to operational mode. c. Provide a diagram that illustrates the proposed project organization, including both the Bidder and MainePERS. Ensure that it is clear who is leading the project.
14	<p>Bidder Resources:</p> <p>Provide a project team matrix for your resources. In the matrix include:</p> <ol style="list-style-type: none"> a. Name b. Length of employment with company c. Location d. Project role e. Role description f. Key activities g. Time allocation h. Years of experience in assigned role i. Years of experience in other relevant roles (role and years) j. Years of experience in pension administration industry k. Number of pension administration system implementations involved in l. Identify the key roles in the project and provide more detail about these roles and the people assigned to them. This should include information on their experience in a similar role on similar projects to this one, as well as their experience working with the proposed Solution. m. Who are the back-up resources for these key roles? n. At the time we identify the shortlisted Bidders, we may be requesting references for key personnel. o. Identify any subcontractors that will be used and their role(s). p. Describe the process for replacing an assigned resource.

	<p>Assignment priority:</p> <p>Include a statement that for the length of the implementation and warranty period:</p> <ul style="list-style-type: none"> a. You warrant that any key personnel identified in your Proposal and accepted by MainePERS will be dedicated to MainePERS’ project as that person’s primary assignment for the duration of such person’s employment with the Bidder and that any change in assigned key personnel is subject to MainePERS’ prior approval in writing. b. You warrant that the project manager identified in your Proposal and accepted by MainePERS will be fully dedicated to the project. <p>The key personnel identified in your Proposal will attend the product demonstrations and interviews, should you be one of the shortlisted Bidders.</p>
<p>15</p>	<p>MainePERS Resources:</p> <p>A. Provide a project team matrix for the MainePERS resources required for this implementation. In the matrix include:</p> <ul style="list-style-type: none"> i. Role ii. Role description iii. Key activities iv. Pre-requisite skills v. Time allocation vi. Number needed <p>B. Other Resource Requirements:</p> <p>Are there other resources required beyond Bidder and MainePERS resources?</p>

Business Process Improvement Analysis	
16	<p>In advance of the functional requirements, MainePERS requires a robust and comprehensive opportunity to review its current processes with the successful Bidder to ensure that processes are designed for optimal use of the Bidder’s solution, user experience, efficiency, and automation. Please explain how you are able to accommodate this request within your implementation process and ensure that your Solution Cost includes this process. Include the following information:</p> <ol style="list-style-type: none"> a. What is your approach to this process (methodology, process etc.)? b. How will the effort be structured (sequence, phases)? c. What roles will be involved in this process from your team? d. What roles will be involved and time commitment from MainePERS team? e. What do you anticipate is the duration of this phase?

Requirements Gathering and Analysis	
17	<p>Requirements Gathering:</p> <ol style="list-style-type: none"> a. Requirements analysis is an iterative and time-intensive process that requires substantial involvement by MainePERS staff. Explain in detail the process to be used for gathering, analyzing, and documenting requirements. b. Please explain how the requirements analysis will be influenced and/or impacted by the business process review and improvement process. c. How will Business Process Improvements be documented? d. Please note, MainePERS requires all requirement documentation to be in writing for review and sign-off.
18	<p>Requirements Validation and Sign-Off</p> <ol style="list-style-type: none"> a. Please explain the process of requirements review, validation, and sign-off. b. Please explain the process followed if a change is required in requirements after sign-off.

Quality Assurance and Testing	
19	<p>Please explain your approach and methodology to testing and quality assurance and include the following:</p> <ol style="list-style-type: none"> a. An overview of the testing process, all testing required, and resources involved. a. How are test cases and test scenarios identified? b. Who is responsible for identifying test cases and scenarios? b. A description of the testing tools to be used, including any automated test tools, testing matrices, documents, etc. c. Describe your practice for providing proof of readiness for testing. d. What certification do you provide for each release? e. How are the test results documented and delivered to MainePERS? f. Based on the requirements of the RFP what formal methods and disciplines will be employed for testing each build (unit, regression, system, QA, performance, stress, etc.)? g. How is converted data tested? When does this occur? How will testing of released functionality and converted data be synchronized? h. When will you test large population batch processes (payroll files, COLA, interest, annual statements, etc.) on the full data set? i. What do you consider to be a reasonable defect rate for the delivered builds? j. How do you manage version control and build releases? How are these documented? k. Describe Maine PERS' role in testing.

Training and User Documentation	
20	<p>Please explain your approach and methodology to training and documentation and ensure to include the following for MainePERS employees and employers:</p> <ol style="list-style-type: none"> a. What types of training are offered? Include a description of your training approach including your assumptions for numbers of MainePERS staff to be trained, train-the-trainer versus direct end-user training, and optional training available. b. Describe the training and resources provided for the various categories of users; members, employers and other external end users, administration staff, and technical staff (these categories of users are understood here to mean the commonly applied understanding of such groups). c. How is training coordinated with incremental deliveries? d. Do you offer online and in-person training? What do you recommend? Describe your online and in-person training, and how they differ. e. What online training and user documentation will be provided? Describe/provide examples of the online materials. f. To what extent is the training and user manual customized to the Solution provided to MainePERS?

	<ul style="list-style-type: none"> g. How do you ensure that training and user documentation is continually updated as the product evolves in the future? h. How will technical staff be trained? i. Is follow-up training recommended post go-live? If so, at what intervals? j. What topics are covered in your training? (reporting/analytics dashboard tool/s, member portal, employer portal and any other system component.) Are these discreet training or imbedded in a general training? k. Does your training rely on at any time whatsoever on train the trainer methodology? l. What is the best practice number of training hours an individual in each of the various user categories would receive prior to go live? Also, in the first three (3) months post launch? Also, in the first year after live operation and annually thereafter? Are all of these best practice hours included in your quality and cost proposal response? m. Is your training reliant on any resource not directly employed by you? Please describe.
21	Besides the user and training documentation described above, what other types of documentation will be provided during the project, for example functional and technical specifications, workflow diagrams etc.?
22	Please confirm if employer and/or member training is included in your proposal. If so, please outline the training approach for these populations.

Go-Live and Transition to On-Going Operations	
23	<p>Go-Live and Warranty Period:</p> <ul style="list-style-type: none"> a. Describe pre-go-live planning activities, go-live support activities and post go-live activities provided by the Bidder. b. What are your typical “go-live” criteria? c. Describe the warranty you provide after “go-live”. What is provided during this period?
24	<p>Transition and Warranty Period:</p> <ul style="list-style-type: none"> a. What is the division of support responsibilities between you and MainePERS in the production environment? b. How will you ensure that MainePERS’ IT resources understand how to maintain the system in production? c. How have you managed this transition successfully in the past?

	d. What can MainePERS do to ensure this transition will be successful?
25	MainePERS requires a parallel testing period of approximately 2 (two) months as part of the project implementation. Please provide details on how you recommend supporting this activity.

Attachment 12C – Detailed Project Schedule

This attachment is not included in the RFP package. Bidder to create attachment. Instructions are included in Attachment 12 Implementation and Staffing.

Attachment 12D – Detailed Project Schedule - PDF

This attachment is not included in the RFP package. Bidder to create attachment. Instructions are included in Attachment 12 Implementation and Staffing.

Attachment 13 - Data Conversion Questionnaire

A Word format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

MainePERS’ data conversion questions are below.

Instructions:

1. Provide your response to all questions in the space provided after each question below.
2. Provide detailed information that will allow MainePERS to better understand the Bidder’s experience and abilities related to data conversion.

Data Conversion	
1	<p>MainePERS is open to the following data conversion approaches, please specify the approach that you are recommending in your Solution and why:</p> <ul style="list-style-type: none"> • Bidder is responsible for data conversion • Bidder is responsible for data conversion through a 3rd party vendor • Bidder will support the data conversion process, but data conversion mapping from the legacy system would be a MainePERS responsibility •
2	<p>Please describe your company’s experience with data conversion. Do you have experience in converting U.S. state and local governmental pension data?</p>
3	<p>Please describe your approach to data conversion in detail.</p>
4	<p>Where in your overall implementation do you typically start the data conversion process?</p>
5	<p>Please describe your approach to mapping between data schemas and what documentation regarding the mapping process will be provided to MainePERS.</p>

6	Have time and resources for data cleansing efforts been accounted for in your project plan?
7	Do you require data to be received in a particular format prior to cleansing and conversion? If so, please provide specifications or details regarding this format.
8	How many iterations or cycles of data conversion do you recommend for this project based on the requirements? How many are included in your Proposal?
9	How many data conversion hours are included in your Proposal? Please describe the process for monitoring and reporting these hours. In addition, please describe the process followed when additional hours/work are required. If additional hours are charged based on time and materials (T&M) rates, please provide T&M rates for these resources and explain what other impacts there may be to the project should additional data conversion activities be necessary
10	Please describe your data testing and validation process. Is it automated?
11	Please describe what artifacts and/or processes are used to ensure full population data validation.
12	Please describe your data conversion import functionality and the validations performed as part of this process e.g. How do you and/or MainePERS test for the quality of the data once converted?
13	What tools or mechanisms are used to flag or identify participants where known data discrepancies exist? Can these flags be integrated with the calculation tool to ensure that data is reviewed before any calculations are completed?

14	Please describe your approach to ensure the data conversion process is repeatable and minimizes manual work.
15	Please describe what processes and steps are being taken to ensure the security of personal information and other personally identifiable information (PII) data during the conversion process.
16	Please detail what mechanisms and processes are used to ensure the quality of the data post go-live.
17	Please explain what tools and validations are in place for any ongoing import files.

Attachment 14 - Implementation Assumptions and Exceptions

A Word format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

Instructions:

1. In the following tables, please list any assumptions or clarifications you have made in the implementation section of your response to this RFP and any exceptions to the requirements (i.e. items you cannot provide from the requirements).
2. Where appropriate, reference the applicable RFP section and specific item or requirement ID.
3. Assumptions/clarifications should be written in sufficient detail to explain why it is necessary to identify and its significance either in the applicable Proposal response or listed below.
4. Exceptions should clearly state the reason for the exception to the requirement, and if there is a proposed solution or alternative either in the applicable Proposal response or listed below.

Assumptions / Clarifications	RFP Section and/or Reference

Exceptions	RFP Section and/or Reference

Attachment 15 - Maintenance and Support Questionnaire

A Word format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

MainePERS’ maintenance and support questions are below.

Instructions:

1. Provide your response to all questions in the space provided after each question below.
2. Provide detailed information that will allow MainePERS to better understand the Bidder’s experience and abilities related to maintenance and support.

Maintenance and Support	
1	Please describe the general structure of your support and maintenance plan and what options are available.
2	Please describe your methodology and processes for service level management (e.g. monitoring and reporting) covering availability, incidents, reporting, stability, performance, security, and data integrity.
3	Please describe your incident management practices, including classification, severity levels as well as targets to respond and resolve.
4	If your support staff will have access to MainePERS data, please describe any monitoring or controls in place to ensure that data is only accessed as necessary to perform the support functions in accordance with the Services required under this RFP.

5	Please describe your approach to client relationship management during ongoing operations. Does your approach include regular meetings? If so, what is the frequency? Are there opportunities to meet in person?
6	How is after-hours support provided?
7	Describe how an issue gets escalated if there is not an immediate solution.
8	How would MainePERS report a new issue or problem?
9	How are existing issues tracked and prioritized?
10	How often are the major releases of the core product (software) published? How often are these updates scheduled for customers? Does MainePERS have the flexibility to implement on a pre-defined schedule?
11	<p>How would MainePERS be trained to use the product post major release? Please explain your approach and methodology to training and documentation and ensure to include the following:</p> <ol style="list-style-type: none"> a. What types of training are offered? Include a description of your training approach including your assumptions for numbers of MainePERS staff to be trained, train-the-trainer versus direct end-user training, and optional training available. b. Describe the training and resources provided for the various categories of users; members, employers and external end users, internal end users, administration staff, and technical staff (these categories of users are understood here to mean the commonly applied understanding of such group). c. What online training and user documentation will be provided? Describe/provide examples of the online materials. d. How will technical staff be trained? e. Is your training reliant on any resource not directly employed by you? Please describe.

12	Describe the process by which critical updates are made, and how involved MainePERS would need to be in the implementation of these updates.
13	<p>Please describe the process for implementing a system upgrade. Please ensure to include information on:</p> <ul style="list-style-type: none"> a. advance notice provided to clients b. adherence to established maintenance windows (weekends, holidays, after hours) c. system downtime d. the communication process e. any expectations of MainePERS for system upgrades f. environment management details g. what training and support is provided by the Bidder during this process h. efforts to schedule system upgrades to avoid interruptions in system availability to staff, members and employers.
14	Please describe your approach to regression testing when a change/fix is deployed. Is the process automated?
15	Is there testing expected of MainePERS as part of a standard upgrade process? If it is not, is MainePERS able to participate in the testing of upgrades/updates/fixes?
16	What is the procedure for requesting a small change (estimate 1-4 hours coding time)?
17	What is the procedure for requesting a medium change (estimate 5-20 hours coding time)?
18	What is the procedure for requesting a large change to the system (estimate above 20 hours coding time)?

19	What are the steps MainePERS would take to get assistance in defining requirements for a change?
20	Explain the approval procedures for a newly requested change.
21	What is the expected turnaround time for small, medium and large change requests?
22	What is the process and turnaround time for an “emergency” modification, made necessary by a significant and unexpected business rule change?
23	What is the process and turnaround time for an “emergency” unforeseen security change required?
24	In what way is the Bidder’s customer support superior to other competitors?
25	Will the Bidder guarantee that MainePERS will receive primary customer support from a staff member thoroughly trained and familiar with MainePERS’ Configuration? Will this staff member be assigned to the PAS project for at least three (3) months prior to go-live? Will the Bidder guarantee that this staff member remains MainePERS’ primary support for at least eighteen (18 months) after go-live?

26	<p>Please describe in detail what is included in your post go-live support model, annual licensing and ongoing maintenance & support fees. Please include the following:</p> <ul style="list-style-type: none">a. Is there a block of hours included for minor changes required?b. Are regular product enhancements included?c. Are all legislative changes included? Please provide examples.d. What types of items would not be included in your support model?

Attachment 16 - Administrative Independence Questionnaire

A Word format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

MainePERS would like to remain as independent in administration, configuration, and maintenance as possible. Based on your Solution, please confirm if MainePERS will be able to complete the following without support from the Bidder.

Activity	Component	Yes / No	Comments (if necessary)
Update branding	PAS (outgoing correspondence), Employer Portal, Member Portal		
Ability to create new letters, notices, and correspondence	PAS		
Add and/or modify text within letters/correspondence	PAS		
Ability to create new member packages	PAS		
Add and/or modify text within member packages	PAS		
Add and/or modify member package conditions	PAS		
Ability to create new member statements	PAS		
Add and/or modify text within member statements	PAS		

Activity	Component	Yes / No	Comments (if necessary)
Add and/or modify conditions for member statements	PAS		
Add an employer	PAS		
Terminate an employer	PAS		
Access and Query the Database	PAS		
Create custom reports	PAS		
Rates and Values Maintenance	PAS		
Update General Ledger integration related table	PAS		
Interest Posting	PAS		
Update and maintain security roles	PAS, Member Portal, Employer Portal		
Member Portal - text, image and cosmetic changes	Member Portal		
Member Portal – Add/remove documents and reference materials	Member Portal		
Employer Portal - text, image and cosmetic changes	Employer Portal		
Employer Portal – Add/remove documents and reference materials	Employer Portal		

Activity	Component	Yes / No	Comments (if necessary)
Add and/or modify workflows	Workflow		
Add or change CRM configuration	CRM		
Add or change ECM configuration	ECM		
Please indicate any other components for which MainePERS will be able to independently administer, configure, and maintain.			

Attachment 17 - Service Level Agreement

A Word format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

MainePERS is committed to maintaining the high-quality service levels that MainePERS staff and plan members have come to expect. In addition, MainePERS would like to remain agile and able to quickly respond to changes as necessary to uphold service to its members. As a result, MainePERS would like to ensure that the new PAS Solution is able to provide adequate service levels.

Please review the performance metrics listed below and confirm that you can meet these levels. If you are not able to meet a service level, identify what service level you can meet. If you can exceed the service levels requested, identify what service level you will target.

Please note, MainePERS may choose to impose financial penalties on some or all performance metrics where these levels are not met. Any financial penalties will be discussed and agreed upon during the contract negotiations.

Performance Metric	Performance Target	Definition	Frequency of Report	Confirmation of Acceptance	Proposed Level of Service (if the identified target cannot be met or can be exceeded)
Availability	99.5%	The production system will be available and fully functional to users 24 hours/day, seven (7) days/week, 365 days/year (excluding planned maintenance windows).	Monthly	<input type="checkbox"/>	
System Downtime	48 hours annually	Excluding planned maintenance windows, the production system will not be down or unusable for an extended period of time.	Monthly	<input type="checkbox"/>	
Critical Problem/Incident Support Response Time	Response and notification to MainePERS within fifteen (15) minutes Regular updates on progress	<ul style="list-style-type: none"> • Production system crashes or fails and cannot be used for most of its functionality; • Or, the issue that has an impact on a significant number of members; • Or, the issue poses a financial risk to MainePERS; 	Monthly	<input type="checkbox"/>	

Performance Metric	Performance Target	Definition	Frequency of Report	Confirmation of Acceptance	Proposed Level of Service (if the identified target cannot be met or can be exceeded)
	Resolution within one (1) hour	<ul style="list-style-type: none"> OR, the issue could damage MainePERS' reputation 			
Major Problem/Incident Support Response Time	Response within four (4) hours Resolution within one (1) business day	<ul style="list-style-type: none"> Production system does not comply with plan rules or current legislation; Or, Issue impacts service levels and timeliness of MainePERS deliverables; Or, Production system is unable to complete a business function and/or process; Or, Acceptable workaround is not available 	Monthly	<input type="checkbox"/>	
Medium Problem/Incident Support Response Time	Response within six (6) hours Resolution within two (2) business days	Issue or defect that prevents or impacts MainePERS from completing a business function or process but where an acceptable workaround is available.	Monthly	<input type="checkbox"/>	
Minor Problem/Incident Support Response Time	Response within three (3) business days Resolution within ten (10) business days or a mutually agreed upon timeframe	Issue or defect that has been raised but that does not prevent any business activities and/or processes	Quarterly	<input type="checkbox"/>	
Performance – Business Process or Query	98% of transactions within two (2) seconds	Production system to perform business functions, calculations, and queries within an acceptable period of time	Monthly	<input type="checkbox"/>	
Performance – Batch Processing	Four (4) hours	Production system to perform batch processes within an acceptable period of time	Monthly	<input type="checkbox"/>	

Performance Metric	Performance Target	Definition	Frequency of Report	Confirmation of Acceptance	Proposed Level of Service (if the identified target cannot be met or can be exceeded)
High Priority System updates, patches and cybersecurity fixes	Between one (1) to three (3) business days or a mutually agreed upon timeframe	System change required that is critical to a business function or process	Quarterly	<input type="checkbox"/>	
Medium Priority System updates, patches and cybersecurity fixes	Between three (3) to five (5) business days or a mutually agreed upon timeframe	System change required that is critical to a business function or process, but where an acceptable workaround exists	Quarterly	<input type="checkbox"/>	
Low Priority System updates, patches and cybersecurity fixes	Ten (10) business days or a mutually agreed upon timeframe	System change required or desirable that does not prevent any business activities and/or processes	Quarterly	<input type="checkbox"/>	

Attachment 18 – Maintenance and Support Assumptions and Exceptions

A Word format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

Instructions:

1. In the following tables, please list any assumptions or clarifications you have made in the Maintenance and Support section of your response to this RFP and any exceptions to the requirements (i.e. items you cannot provide from the requirements)
2. Where appropriate, reference the applicable RFP section and specific item or requirement ID.
3. Assumptions/clarifications should be written in sufficient detail to explain why it is necessary to identify and its significance either in the applicable Proposal response or listed below.
4. Exceptions should clearly state the reason for the exception to the requirement, and if there is a proposed solution or alternative either in the applicable Proposal response or listed below.

Assumptions / Clarifications	RFP Section and/or Reference

Exceptions	RFP Section and/or Reference

Attachment 19 - Technical Requirements

MainePERS’ technical requirements are described here.

This document provides an overview of the technical requirements, and instructions for completion by the Bidder.

Instructions

1. The Bidder will indicate their compliance with the technical requirements using Attachment 19B – Detailed Technical Requirements. Each requirement is identified by a reference number. There is nothing to be implied from the numbering except simple identification.
2. Each requirement has been identified with a flexibility score described below.
3. There are 2 (two) tabs that must be completed, one for MainePERS Technical Requirements and another for MainePERS Cyber Security Requirements.
4. A response column has been included and Bidders are encouraged to provide information and/or commentary describing how their Solution meets the requirement where explanation is warranted and/or necessary.
5. Indicate the ability of your Solution to implement the requirement by selecting “Y” in the appropriate column:
 - a. Column F – Full Conformance
 - b. Column G – Conformant - Configuration Extension
 - c. Column H – Partially Conformant - Refactoring Required
 - d. Column I – Non-conformant

Flexibility Scoring

All technical requirements detailed in Attachment 19B – Detailed Technical Requirements have been assigned a flexibility score by MainePERS. The table below defines these priority levels.

Rating	Type	Description
1	Mandatory	MainePERS must have this requirement. Bidders will be evaluated on their ability to satisfy these requirements.
2	Desired	MainePERS highly desires this requirement. Bidders will be evaluated on their ability to satisfy these requirements.
3	Optional	MainePERS considers this requirement to be a “nice to have.” Bidders will be evaluated on their ability to satisfy these requirements.

Conformance Level

To provide MainePERS an understanding of the degree of native out-of-box support, customization and/or configuration of the proposed Solution, complete the **Conformance Level** columns for each of the requirements in Attachment 19B – Detailed Technical Requirements.

In the first input column (Conformance Level), assign one of the following levels in the spreadsheet:

Conformance Level	Description
Full Conformance	All components, features, technologies, and processes in the application are implemented in accordance with the specification, and there are no features that are not covered by the specification.
Conformant - Configuration Extension	Most components, features, technologies, and processes in the application are implemented in accordance with specifications. Deployment and/or configuration can be extended or adjusted to meet the requirements of the control.
Partially Conformant - Refactoring Required	Some components, features, technologies, and processes in the application are implemented in accordance with specifications, but some features are implemented that are not in accordance with it. Additional technologies can be added/implemented to achieve the desired control.
Non-conformant	The technology and/or its implementation is not in accordance with the specifications. Details for alternative approaches, or compensating controls are provided if feasible or explanation of non-feasibility is provided.

The response column has been included and Bidders are encouraged to provide information and/or commentary describing how their Solution meets the requirement where explanation is warranted and/or necessary. No changes may be made to the original information provided in Attachment 19B – Detailed Technical Requirements.

Attachment 19B – Detailed Technical Requirements

An Excel format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

Attachment 20 - Technical Questionnaire

A Word format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

MainePERS’ technical conversion questions are below.

Instructions:

1. Provide your response to all questions in the space provided after each question below.
2. Provide detailed information that will allow MainePERS to better understand the Bidder’s technical experience and abilities.

General Questions	
1	<p>MainePERS’ preference would be a vendor-hosted cloud Solution; however, MainePERS is open to an on-premise hosting option in the event that this is required in order to comply with the technical and functional requirements of this RFP. Please provide your recommended hosting approach and provide details on this approach. Please complete the following based on your hosting recommendation:</p> <p>Vendor Cloud Hosting:</p> <ul style="list-style-type: none"> • Bidder must complete questions 34 – 41 • Bidder can omit questions 23 - 33 below <p>On-Premise Hosting:</p> <ul style="list-style-type: none"> • Bidder must complete questions 23 – 33 below • Bidder can omit questions 34 – 41 below
2	<p>Describe the overall architecture of your Solution. This includes platform architecture which identifies servers, databases, networks, identity services, and architecture components required for sustaining MainePERS’ core business. Such architecture includes the presentation layer, application infrastructure layer as well as the storage architecture for the data. Include information on the platform technology and version proposed for this implementation (e.g. Microsoft Windows Server, Linux etc.), including overall architecture, software and hardware version requirements.</p>

General Questions	
3	Provide an overview of your approach to integration and decoupling of architectural components. This includes information on any open application programming interfaces and/or other REST/SOA-based techniques that will enable the Solution’s integration with the present architecture. Describe how this platform can manage, orchestrate, or trigger processes with external systems.
4	Describe the overall security architecture of the Solution. How will requirements and policies around safeguarding, accessing and distributing MainePERS data be enforced? How is security addressed across multiple layers (policy, perimeter network, internal network, endpoint, application layer, identity and authorization layer (RBAC), and data encryption)? What specific industry standards does your system comply with? How often is the Solution audited or reviewed by third-party security firms? Would you permit MainePERS, through an external MainePERS vendor, to conduct a security assessment of MainePERS’ instance of your System?
5	Please describe the planned lifespan of the proposed Solution including the core product, database version, operating system, and any other utility Software required for the Solution. How long into the future will the Solution continue to provide return on investment to clients in terms of business efficiencies, accommodations to legislative change, functional enhancements, customer support, and other gains? Is there a planned sunset date for the proposed product/Solution? If so, describe the potential replacement product/Solution.
6	What relational database management system (RDBMS) technologies are supported by your Solution? Which version(s)? Is your Solution compatible with cloud-native managed RDBMS (e.g. Azure SQL, Google Cloud SQL, and AWS RDS)?
7	Does your Solution support integration (both process and user interface) with other applications? Describe the application programming interfaces (APIs) available as well as the security design to ensure pass-through authentication, system accounts, and logging.

General Questions	
8	Describe your overall data model. How does your data model support scalability? Provide information on the data schema transparency and the ability to extract data for analytics purposes.
9	Please confirm whether your recommended Solution is hosted on-premise or is a cloud based Solution.

Product Questions	
10	Provide an overview of your core product configuration, and client-specific customization for your Solution. What guardrails are in place to ensure backwards compatibility?
11	Describe any integrated development environment (IDE) required to configure business logic and functionality for your application. Include detailed system requirements and a description of code/Configuration deployment procedures. Are all Configurations backwards compatible?
12	Which database connectivity standards are used by the Solution (e.g. ODBC compliance, JDBC, OLEDB, etc.)?
13	Please indicate the type of software license(s) of additional tools that will be required to support the Solution (e.g. MQ, SSIS, Red Hat, IntelliJ, Visual Studio, and Logging Tools). Please confirm that any applicable fees are included in the overall pricing of your Solution.
14	Describe your fine-grained role-based access control (RBAC) design and approach for document storage (ECM)?

Product Questions						
15	Describe your approach and controls for encryption with regard to data that is in transit between internal and external components.					
16	Describe your approach and controls for encryption at rest, including field-level encryption.					
17	Does the Solution provide the following: (any NO answers must be detailed below)					
	<table border="1"> <tr> <td rowspan="2"> <ul style="list-style-type: none"> Provide a view into the overall data model (e.g. UML) Include application programming interface/integration points for non-transactional data, such as summaries, histories, and other external data </td> <td><input type="checkbox"/> YES</td> <td><input type="checkbox"/> NO</td> </tr> <tr> <td><input type="checkbox"/> YES</td> <td><input type="checkbox"/> NO</td> </tr> </table>	<ul style="list-style-type: none"> Provide a view into the overall data model (e.g. UML) Include application programming interface/integration points for non-transactional data, such as summaries, histories, and other external data	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<ul style="list-style-type: none"> Provide a view into the overall data model (e.g. UML) Include application programming interface/integration points for non-transactional data, such as summaries, histories, and other external data	<input type="checkbox"/> YES		<input type="checkbox"/> NO			
	<input type="checkbox"/> YES	<input type="checkbox"/> NO				
	Explanation of any "NO" answers:					
18	Please describe how software version control is implemented, and how updates and upgrades will be coordinated with MainePERS' computing environment. Also, if the proposed Solution involves the products of multiple vendors, explain how version compatibility will be maintained among the various products. How is security certification maintained for new versions?					
19	Please include a description of the type of authentication and federation methods supported in the application for MainePERS business users.					
20	Please include a description of the integration with MainePERS' customer identity & access management (CIAM) provider as part of your application.					

Product Questions	
21	<p>Please provide information on overall login and password handling defaults for the Solution, including but not limited to:</p> <ul style="list-style-type: none"> • Integration with customer identity & access management (CIAM) provider • Password lengths and general password requirements • Login handling – e.g. how many unsuccessful attempts will result in a locked account, etc. • Audit trail and logging information • Notifications, reporting and monitoring • Multi-factor authentication options
22	<p>Please disclose the full breadth of batch processes below, along with the reasons for these batch jobs. For each job, please also list the estimated impact on normal MainePERS operations.</p>

On-Premise Hosting

(ONLY to be completed if the Bidder is presenting an On-Premise Solution)

On-Premise Hosting	
23	<p>Please outline the security architecture for an externally hosted Solution and explain how secure communications between the clients located at MainePERS and the system/server that is hosted at the Bidder site or at a third- party provider will be ensured. If parts of the system will be accessed via a web browser outside of the MainePERS network, please indicate details of your data protection controls (encryption in transit) for secure communication.</p>
24	<p>Please provide a shared responsibility matrix covering areas including network, identity, data protection, vulnerability management, logging, etc. between your firm and all third-party providers (e.g. cloud, colocation, network, etc.).</p>
25	<p>Please describe how MainePERS application and components will be isolated from other customers (identity layer, perimeter layer, network layer, platform layer). Would MainePERS have dedicated servers and/or test environments?</p>

On-Premise Hosting											
26	Please include recommendations and requirements for any other software and hardware components that are required to support the proposed Solution (see below):										
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%; text-align: left;">SYSTEM AREA:</th> <th style="width: 50%; text-align: left;">RECOMMENDATIONS:</th> </tr> </thead> <tbody> <tr> <td>Backup Services</td> <td></td> </tr> <tr> <td>Printers and Peripheral Equipment</td> <td></td> </tr> <tr> <td>Scanners</td> <td></td> </tr> <tr> <td>Other (please specify)</td> <td></td> </tr> </tbody> </table>	SYSTEM AREA:	RECOMMENDATIONS:	Backup Services		Printers and Peripheral Equipment		Scanners		Other (please specify)	
SYSTEM AREA:	RECOMMENDATIONS:										
Backup Services											
Printers and Peripheral Equipment											
Scanners											
Other (please specify)											
27	Please describe the general support model for the hosted Solution, i.e. what type of support will be provided. In addition, please provide patching and upgrade schedule for a hosted environment. As part of this, please describe how MainePERS would go about requesting changes to the Solution and what type of resources would be required both from MainePERS's side and from the Bidder's side to process a change request.										
28	Please describe how the migration of the Bidder-hosted environment to a MainePERS-hosted environment can be achieved, i.e. what additional Software and hardware requirements would MainePERS have to consider? Are there additional licensing fees that MainePERS would incur? What would be the additional fees/costs involved in moving the application to a MainePERS-hosted environment?										
29	<p>How is business continuity ensured in case of a disaster? What are the backup strategies and what type of site redundancy is in place? How often do backups of the data and system take place? Do you maintain a hot site or warm site? Please take the following three types of recovery into consideration:</p> <ul style="list-style-type: none"> • High Availability – For isolated server failures: Windows crash, RAID controller failure, SQL or Windows patch fails, C drive full, bad memory chip, wrong box unplugged. • Disaster Recovery – For widespread outages: Data center power or network outage, domain controller failure, SAN failure, fire or earthquake. 										

On-Premise Hosting	
	Human Error – For SQL error: DELETE without a where clause, bug in stored procedure for updates, end user needing a restore due to human error.
30	If your hosting service could not be provided in the future / had to be terminated in the future, e.g. due to bankruptcy, buyout, consolidation, etc., explain how you would ensure continuity of service.
31	Please describe how administrative access will be handled in your hosted environment (i.e. is MainePERS required to have its own administrative team, or will you or a third-party vendor fill the administrative role)? If an administrative resource is provided, please outline how MainePERS will be able to request changes to the existing security roles. Additionally, please describe how MainePERS can perform an audit of the existing roles and review existing audit trails.
32	Please include any pertinent information about your hosted Solution that was not addressed by the questions above.

Environment Configuration Questions

(ONLY to be completed if the Bidder is presenting an On-Premise Solution)

Please include the number of units and other commentary as required in the answers to the questions below in order to fully explain your recommendation. Please provide a listing of ALL hardware components and accessories needed (servers, printers, cables, connection equipment, routers, storage devices, etc.) to fully implement the Solution.

Environment Configuration Questions	
33	<p>Please include the number and type of servers needed to support an environment of 500 concurrent user sessions (including members and employers). Include information on recommended architecture setup, i.e. production, UAT/staging and development servers both for the application as well as for any databases needed. Please include an explanation to the recommended number of servers.</p> <p>Please also include the following information with each server:</p> <ul style="list-style-type: none"> • Number of servers • Number of processors (Intel Xeon vCPUs) • Processor speed • Memory • Storage requirements (including HDD/SSD and read/write IOPS)

Cloud Hosting

(ONLY to be completed if the Bidder is presenting a Cloud Hosted Solution)

Cloud Hosting	
34	What type of cloud deployment models do you offer? If the cloud is shared, how do you segregate data between different clients within the cloud environment?
35	How often do you undergo third-party security assessments, audits and/or penetration tests? Can you provide the latest results?
36	Are you able to integrate with MainePERS' Active Directory federated identity system to provide SSO functionality to your cloud service from MainePERS staff workstations?

Cloud Hosting	
37	What is your organization’s approach to cybersecurity?
38	What is your plan for notifying customers of potential security incidents or data breaches?
39	How do you support scaling of services as the needs of MainePERS change over time?
40	What Cloud provider are you proposing?
41	What datacenters/regions will be used as the Primary and Secondary locations?

System Recoverability and Business Continuity Plans

System Recoverability and Business Continuity Plans	
42	<p>What types of recovery strategies are available and what levels of recovery are they equipped to solve? This discussion should cover:</p> <ul style="list-style-type: none"> • Services offered for recovery protection (i.e., 24-hour emergency coverage) • The response protocol in the wake of malfunctions covering every step from repair to replacement • Restoration and recovery procedures • Local or geographically redundant replication • Tools used to recover the database and application to a known state
43	Please describe your business continuity plans and/or disaster recovery plans based on the recommended hosting options.

Operational Support

Operational Support	
44	<p>Please list the administrative tools (including their functions) that will assist staff in managing everyday operations. This includes tools used to recover the database and application to a known state. Please take the following three types of recovery into consideration:</p> <ul style="list-style-type: none"> • High Availability – For isolated server failures: Windows crash, RAID controller failure, SQL or Windows patch fails, C drive full, bad memory chip, wrong box unplugged. • Disaster Recovery – For widespread outages: data center power or network outage, domain controller failure, SAN failure, fire or earthquake. • Human Error – For SQL error: DELETE without a where clause, bug in stored procedure for updates, end user needing a restore due to human error.
45	<p>Please describe your firecall procedures for your support teams to access the Solution on an emergency basis. Include details on the tools used (e.g. privileged account management, logging). Describe your implementation of least-privilege, just-in-time (JIT) and just-enough-access (JEA) for remote support and administrative functions. How does your Solution and implementation ensure that support staff cannot access MainePERS data without explicit approval, and only for limited duration?</p>
46	<p>Please list tools and/or processes you would recommend to periodically test the system’s operational performance.</p>
47	<p>Please describe the technical skills required to support and maintain the system.</p>
48	<p>Please describe your systems audits and what information and/or access would be provided to MainePERS to review system audits and audit transactions.</p>
49	<p>Please provide details on how your Solution would integrate and exchange information with MainePERS accounting system.</p>

Reporting

Reporting	
50	Please describe how reporting is implemented in your Solution and describe how running reports will not impact the customer experience. Is a third-party module used or does your Solution support integration of external business intelligence tools such as (PowerBI, Looker, Domo, etc.)? What level of expertise is needed to create a new report or query? Please provide detail regarding the ease-of-use of the reporting module and the skill level needed to use the different features it provides.

ECM

ECM	
51	Please explain your ECM capabilities, the product or system used, and how it is integrated with your PAS Solution. Please provide detail regarding the ease-of-use of the reporting module and the skill level needed to use the different features it provides.
52	Please describe what level of Configuration MainePERS would be able to access in your ECM.
53	Please describe your experience in converting image files from other solutions and providers.

Workflow

Workflow	
54	Please explain your workflow, the product or system used and how it is integrated with your PAS Solution.
55	Would MainePERS be capable of making changes to a workflow? Could MainePERS add workflows, or would this require support from your company?

CRM

CRM	
56	Please explain your CRM, the product or system used, and how it is integrated with your PAS Solution.
57	Please describe what level of configuration MainePERS would be able to access in your CRM.
58	Please provide details on your Solution’s IVR capabilities and integration.

Attachment 21 - Artificial Intelligence (AI) Questionnaire

A Word format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

In today's ever-evolving technological landscape, we recognize that the use of Artificial Intelligence (AI) is becoming increasingly prevalent and transformative across industries. To this end, we are eager to gain a comprehensive understanding of how each Bidder leverages AI within their project implementations and/or how AI is seamlessly woven into their product offerings. MainePERS seeks to assess the depth and breadth of your AI integration today and planned innovations on the roadmap, to determine the quality and security of the products used.

Instructions:

1. Provide your response to all questions in the space provided after each question below.
2. Provide detailed information that will allow MainePERS to better understand the Bidder’s use of AI.

Artificial Intelligence (AI)	
1	Please describe how your company utilizes AI for your project implementations (e.g., AI code generation and quality tools, AI generated meeting minutes, AI assisted deliverable writing, AI assisted test case writing, AI assisted design documentation).
2	Please provide details on what AI products/platforms/tools/services are used within your project implementations and provide details on the types of data passed through these tools and any compliance standards that these products meet (e.g. HIPAA compliance, SOC 2 compliance, etc.).
3	Please describe the AI products/platforms/ tools/services that are used within your Solution (PAS, CRM, ECM, Workflow, and other tools). For each, note what PAS capabilities they empower and their compliance with standards like HIPAA, SOC 2, etc.

Artificial Intelligence (AI)	
4	What are some of the high value use cases, features, or capabilities powered by AI in your Solution? Please share any success stories or case studies showcasing AI innovations into your PAS roadmap & offerings.
5	Please confirm your company’s process in evaluating and integrating new AI tools into your Solution.
6	MainePERS would like to ensure that non-public MainePERS information, including Personal Identifiable Information/PII and, or Protected Health Information/PHI data, is or any non-public MainePERS materials are not being shared to generative AI tools that utilize third party large language models. Please confirm your company’s ability to comply with this requirement. Please outline your policies, procedures, and safeguards to ensure member privacy and security as it relates to AI products.
7	As AI technology emerges, please describe how you will keep your clients informed of changes to your company’s AI policy, uses, and products used.

Attachment 22 - Organization and References

A Word format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

Complete the following sections to provide MainePERS with information about your organization and references from past, similar engagements.

Contact Information

Organization Name:	
Organization Address:	
Contact Name:	
Contact Person Title:	
Contact Telephone:	
Contact Email:	
Organization Website:	

Organization Information

For the purposes of understanding more about your organization and your ability to successfully fulfill the requirements of this RFP, please complete the information requested below. Please identify any major differentiators between your organization and other possible Bidders.

1	Attach an organization chart and label as Attachment 22E – Organization Chart	Attached
2	Provide a brief organization history, including how long you have been in business and form of business entity.	
3	Who owns the organization?	
4	Has your organization been sued or involved in any legal action in the last five (5) years? If yes, identify the court and docket number for each action and briefly describe the nature of the allegations,	

	context of the issue, and status (e.g. resolved and if so how, unresolved).	
5	Has your organization had any cybersecurity events or breaches (including data breaches, phishing attacks, vishing, ransomed ware, etc.) in the last five (5) years that have breached your cybersecurity defenses? Please describe the incidents and mitigations.	
6	How many employees does the organization have associated with pension administration Solutions? How many are full-time versus contract?	
7	List the locations of the organization’s offices and the primary function(s) performed at each.	
8	How many employees associated with the recommended Solution does the organization have in the following categories?	<p>Customer support: # employees</p> <p>Installation and training: # employees</p> <p>Product development: # employees</p> <p>System maintenance # employees and support</p> <p>Sales, marketing: # employees</p>
9	What is your average annual staff turnover rate (percentage) for employees within the PAS Implementation and PAS Application Support teams? Is your current annual percentage materially different from your typical experience of the last 5 years?	
10	If the Bidder is a subsidiary as part of a group of companies, will your ultimate parent organization offer MainePERS a parent guarantee to guarantee the performance of the obligations and liabilities of the Bidder?	Yes <input type="checkbox"/> No <input type="checkbox"/>

Financial Information

MainePERS will evaluate the financial information below and may also, at its sole discretion, reject the Bidder’s Proposal if the information indicates that completion of a contract resulting from this RFP may be jeopardized.

11	Provide the Organization’s annual gross revenue during the last three (3) fiscal years.	
12	What percentage of gross revenue is invested in research and development for the Solution?	
13	What was the average annual organization sales volume for pension administration software for the previous three (3) fiscal years?	
14	What percentage of gross revenue does the sales volume for pension administration Solution represent?	
15	Attach (as Attachment 22B – Financial Statements) a copy of the organization’s financial statements for the last three (3) years.	<input type="checkbox"/> Attached
16	Attach (as Attachment 22C – Ability to Finance) a description of the organization’s ability to finance additional costs that would be incurred by the organization in the event your firm is awarded a contract resulting from this RFP. State the amount the organization would need to borrow and provide documentation from the organization’s lender stating its willingness to lend such amount to the organization.	<input type="checkbox"/> Attached
17	Attach (as Attachment 22D – Insurance Certificate) a copy of your insurance certificate.	<input type="checkbox"/> Attached
18	Attach (as Attachment 22E – Organization Chart) a copy of your organization chart	<input type="checkbox"/> Attached

	including the roles that will service MainePERS.	
19	Confirm Bidder has not filed for bankruptcy, insolvency, or creditor protection proceedings in the country of corporate registration within the past five (5) years. If so, please indicate the jurisdiction in which they were filed and the docket number.	
20	Confirm any third-party certifications (e.g. SOC 2 Type 2, ISO 27001, NIST CSF, and NIST 800-53). Please include the latest reports for any of the above certifications as part of your Proposal.	

Organization Experience

List all contracts with similar scope and magnitude held within the previous **seven (7) years** using the same format as the sample table below, adding additional rows as required. Provide the information outlined in the table below for each contract.

Name	Size	Duration	Project Scope

Organization References

List at least three (3) references below using the same format as the sample table below, adding additional tables as required. MainePERS would prefer References from clients of similar size, complexity, and with similar requirements.

The clients listed by the Bidder may be contacted and used as references, along with other sources that may be provided to MainePERS in your Proposal or that are otherwise known to MainePERS. Although MainePERS anticipates completing reference checks during the final round of the process, MainePERS' Evaluation Team may contact, at any time, the Bidder's clients or other sources in addition to those specifically provided by the Bidder, to assist MainePERS in understanding the product/services.



Client's name:	
Project name:	
Contact name and title:	
Contact telephone:	
Contract start date:	
Contract completion date:	
Description of what service or product was provided:	
How was the contract similar in size, scope, and complexity to MainePERS?	

Current Commitments

List **at least five (5)** of the highest dollar contracts currently held by the organization. If the organization has less than five (5) contracts, list all current contracts with a note indicating that there are no other current contracts. For each contract, provide the information noted in the sample table below, adding additional tables as required.

Include information that addresses how these or other current commitments affect the organization's ability to support MainePERS' scope of work. Explain any staffing and schedule overlaps, and how the Bidder proposes to ensure that such commitments or potential overlaps will not affect MainePERS' schedule and project delivery.

Client's name:	
Project name:	
Description of what is being provided:	
Dollar value of contract (a range is fine):	
Approximate share of current income derived from contract:	
Expected contract completion date	

Terminations

List any contracts together with the client’s name that have been terminated before the project completion in last five (5) years. Indicate whether contract was terminated for default (defined as a notice to Bidder to stop performance due to Bidder’s non-performance or poor performance) and whether the issue was (a) not litigated or (b) litigated and whether such litigation determined the organization to be in default. Provide a description of the deficiencies in performance and describe whether and how the deficiencies were remedied. These clients may be contacted as a resource to MainePERS for assessing references and responsibility.

Have you had any early contract terminations?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If yes, provide termination descriptions and include client name.	

Attachment 22B – Financial Statements

This attachment is not included in the RFP package. Bidder to create attachment. Instructions are included in Attachment 22 – Organization and References.

Attachment 22C – Ability to Finance

This attachment is not included in the RFP package. Bidder to create attachment. Instructions are included in Attachment 22 – Organization and References.

Attachment 22D – Insurance Certificate

This attachment is not included in the RFP package. Bidder to create attachment. Instructions are included in Attachment 22 – Organization and References.

Attachment 22E – Organization Chart

This attachment is not included in the RFP package. Bidder to create attachment. Instructions are included in Attachment 22 – Organization and References.

Attachment 23 – Teaming Approach

A Word format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.

Instructions:

1. Provide your response to all questions in the space provided after each question below.
2. Provide detailed information that will allow MainePERS to better understand the Bidder’s team culture, approach to work, and day-to-day interactions with the MainePERS team.

Teaming Approach	
1	Provide an overview of your company culture, including a summary of your corporate values.
2	Describe an example of how your team handled a difficult project challenge that occurred mid-project and how your team worked with your client to resolve the situation.
3	Which aspects of your corporate culture would be a good fit with MainePERS? Anything unique that would elevate your company above other Bidders?
4	Give us a sense of your team’s approach to work and how you see the partnership with the MainePERS team working. How would you apply your corporate values? Provide real examples to demonstrate your key points.
5	How have you established strong working partnerships in the past? Please provide examples.
6	What are your approaches to team collaboration and cohesion when working remotely vs. on-site?

7	What planning and collaboration tools do you use on a project? Provide information on what has worked well, and any lessons learned. If these tools differ from those already used by MainePERS, will your team provide necessary training on these tools?
8	What is your communication strategy for a project of this magnitude as it relates to project sponsors, the steering committee, working groups, etc.?
9	<p>If your proposal includes use of 3rd party partners, please describe:</p> <ul style="list-style-type: none"> a. whether or not they will be held to your corporate values how you will build them into the partnership in terms of engagement and communication approaches b. approaches to team collaboration and cohesion when working remotely vs. on-site.

Attachment 24 – Solution Cost

An Excel format version of this document has been provided for completion through the Supplementary RFP Information Secure Site made available through Bidder Registration as described in Section 4.3 of this RFP. All Word and Excel format files for completion will be provided in a folder entitled “Bidder Completion Materials”.