

Executive Branch Information Technology
Office of Information Technology Services
900 SW Jackson St. Room 803
Topeka, KS 66612



Phone: (785) 296-3463
Fax: (785) 296-1168
oits.info@ks.gov

Jeff Maxon, Chief Information Technology Officer

Laura Kelly, Governor

April 30, 2024

Todd Herman, Director
Procurement and Contracts

Dear Mr. Herman:

The revised high-level project plan for the Public Employee Retirement System Pension Administration System (PAS) Modernization project is enclosed. Katherine Phelps is the primary contact for the project and can be reached at (785) 422-6326. This letter constitutes approval of the project pursuant to K.S.A. 75-7209.

K.S.A. 75-7209 states all specifications for bids or proposals related to an approved information technology project of one or more state agencies shall be reviewed by the chief information technology officer of each branch of state government of which the agency or agencies are a part. Requirements for agencies to obtain CITO approval of proposed IT projects are being adjusted to be in agreement with recent suggestions by the JCIT. As a result, all specifications for bids or proposals related to an approved IT project shall now be approved by the CITO before release.

If a variance of 10% or more in time or cost to the approved high-level project plan would occur with vendor selection, a revised high-level project plan must be submitted for CITO approval and the CITO's approval shall be received, prior to contract award. The CITO will notify JCIT of such events as per their request.

Once the final contracts are awarded, the high-level project plan will need to be updated with detailed information and receive final CITO approval. As required by statute and reinforced by the JCIT, the detailed project plan must receive CITO approval prior to project execution. This detailed project plan should include information found at the following link: <https://www.ebit.ks.gov/divisions/kito/it-project-oversight/proposed-it-project-plans>.

As of July 1, 2013, new CITO-reportable projects are assessed a fee to support KITO operations. The fee will be assessed against the total project cost identified in the agency's detailed project plan. The fee will be billed quarterly until the project's Post Implementation Evaluation Report (PIER) is received. Fees will be based on the following rate structure:

- Projects valued between \$250,000 and \$10,000,000 - .0035 of the Project cost
- Projects valued greater than \$10,000,001 - .0005 of the Project cost
- Infrastructure projects - .00035 of the Project cost

Todd Herman
4/20/2024
Page 2 of 2

If there is any further assistance I may provide, please contact me.

Respectfully,

DocuSigned by:

A handwritten signature in black ink that reads "Alan Conroy".

F28604FC1E3746D...
Alan D. Conroy, Executive Director
Public Employee Retirement System

DocuSigned by:

A handwritten signature in black ink that reads "Jeff Maxon".

670B8750658F441...
Jeff Maxon, CITO
Executive Branch

cc: Kelly O'Brien, CITO, Judicial Branch
Alan Weis, CITO, Legislative Branch
Adam Proffitt, Director of the Budget
James Fisher, KLRD
JCIT Membership
Kelly Johnson, OPC
Brian Reiter, OITS
John Cahill, KPERS
Susan Hancock, KPERS
Katherine Phelps, KPERS
Megan Burton, KSHS
Cole Robison, OITS
Alex Wong, CITA
Sara Spinks, KITO



Kansas Public Employee Retirement System

PENSION ADMINISTRATION SYSTEM MODERNIZATION

HIGH LEVEL PROJECT PLAN

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High-Level Project Plan

COVER LETTER REQUESTING PROJECT APPROVAL



April 19, 2024

Chief Information Technology Officer Jeff Maxon
CITO – Executive Branch
1000 SW Jackson Street, Suite 500
Topeka, KS 66612

Dear CITO Maxon:

The Kansas Public Employee Retirement System formally requests your approval of the attached updated high-level project plan for its pension administration system modernization project. The previously submitted high level plan was approved on February 21, 2023. Since that time, KPERS released an RFP and selected a vendor for this effort. The selected vendor was unable to begin the project in accordance with the initial timeline submitted or within the estimated budget. These changes have caused a variance over 10% from the original estimates which requires KPERS to resubmit the high-level plan.

If there is anything further needed for the approval of the plan, please let us know. We look forward to your response.

Sincerely,

A handwritten signature in black ink that reads "Alan D. Conroy". The signature is fluid and cursive, with the first name "Alan" and last name "Conroy" clearly distinguishable.

Alan D. Conroy
Executive Director

HIGH LEVEL PLAN CHECKLIST

State Entity: Kansas Public Employees Retirement System	
Project Name: Pension Administration System Modernization	
Greater than \$250,000/ less than \$1,000,000 (Y/N): N	
Greater than \$1,000,000 (Y/N): Y	
IT Project Plan Documents	Included (Y/N)
For forms and/or more detailed information on completion of plan: see https://ebit.ks.gov/kito/it-project-oversight/proposed-it-project-plans	
For ITEC Policy and/or more detailed information on approval of IT projects, see ITEC 2400 and 2400A https://ebit.ks.gov/itec/resources/policies	
Cover Letter Requesting Project Approval	Y
IT Project Request Explanation--DA518	Y
IT Cost Benefit Statement--DA519	Y
Work Breakdown Structure	
Task Name (tasks should be descriptive)	Y
Start	Y
Finish	Y
Milestone	Y
Architectural Statement (ITEC Policy 4010 and 9500) https://ebit.ks.gov/itec/resources/policies	
Statement of products and standards compliance	Y
If different, attach CITA waiver	N/A
Ownership of Software Code and Related Intellectual Property (ITEC Policy 1500)	
Statement of compliance	Y
If different, attach CITO waiver	N/A
Accessibility Statement (ITEC Policy 1210) https://ebit.ks.gov/itec/resources/policies/policy-1210	
Statement indicating intent to use Voluntary Product Accessibility Template® (VPAT®) to assess compliance with ITEC 1210 as part of the procurement/development and testing process, or attach exception from State ADA Coordinator. For more information see: https://www.itic.org/policy/accessibility/vpat.	Y

Attach approval letter from State Director of IT Accessibility	Y
Electronic Records Retention Statement (K.S.A. 45-403 and K.S.A. 45-213 through 45-223) For more information see -- https://www.kshs.org/p/records-management-and-the-law/11348	
1. Identify replaced paper records	Y
2. Identify new business functions	Y
3. Reasons for business functions	Y
4. Records requirements for business function	Y
5. Documents in another system?	Y
6. Public access requirements	Y
7. Access control requirements	Y
8. Identify all records with retention period of ten or more years	Y
9. Estimate three year cost of addressing records identified in No. 8	Y
Attach approval letter from State Archivist.	
Risk Identification Summary (Form ITEC PM02-11a)	Y
Risk Assessment Model (RAM) Summary - High Level Plans	Y
Fiscal Note, if appropriate	N/A
Electronic copy submitted four weeks prior to contract award and/or project execution	

This checklist is for state entity use and the completed form should be submitted with the IT Project Plan

*Rev. 09/20
(hyperlinks)*

IT PROJECT REQUEST EXPLANATION DA518

INFORMATION TECHNOLOGY PROJECT REQUEST EXPLANATION -- DA 518			
1. Project Title:	2. Project Priority	3. Estimated Dates	
Pension Administration System Modernization (PAS)	1	Planning Start:	11/28/2022

Agency:					Execution Start:		11/19/2024	
Kansas Public Employees Retirement System					Close-Out End:		10/11/2030	
4. Project Description and Justification:					Date Submitted:		4/19/2024	
KPERS' existing pension administration system is over 15 years old. Since implementation, KPERS has accommodated multiple legislative plan design changes which, while critical, have caused the existing system to become less efficient and more unstable. KPERS intends to modernize the system to not only bring the system up to date with modern technologies, but to define and deliver best practices to members and contributing employers.								
Is this an Infrastructure Project? (Y/N)								N
Will Business Process Modeling be completed during the IT project and business design? (Y/N)								Y
Will national and/or industry data standards be used? (Y/N)								Y
If yes, please specify.		ISO-8000 ITEC 8000-P ITEC 8000-A ANSI						
List any collaboration that has taken place in the planning of the IT Project, and/or will take place during execution of the project. Include tools, methods, and best practices used for providing collaboration, user input, and continued social networking.								
KPERS has engaged two consulting groups to assist with modernization and Data Governance and Data Profiling. Both groups have brought best practice from their experience as well as industry standards. KPERS has used these best practice requirements as the baseline for multiple engagements with KPERS leadership and users to refine best practices into requirements. We conduct our sessions on TEAMS, record meetings, and keep our documentation on a SharePoint site.								
5. Estimated Project Cost								
Category			Cost		KITO Rate Structure			Project Quarterly KITO Fee
Internal Cost (Salaries)			\$9,746,810					
Contractual Services			\$64,296,682		Project Value Range		Quarterly Rate	\$37,022
Commodities			\$0		\$250,000	\$10,000,000	0.00350	
Capital Outlay			\$0		\$10,000,001	Greater	0.00050	

	Sub-Total Project Costs	\$74,043,492		Infrastructure Projects	0.00035	
Total KITO Rate Fee		\$888,528				
	Total Project Costs	\$74,932,020				

6. Project Subprojects (include name, start and end dates, and cost of each Subproject):

Subproject Name				Start Date	End Date	Internal Cost	External Cost	Total Cost
<i>Planning</i>				11/28/2022	12/6/2024	\$270,000	\$1,227,130	\$1,497,130
<i>Execution</i>								
PAS Implementation				11/19/2024	9/28/2029	\$9,326,053	\$56,696,924	\$69,022,977
KITO Fee							\$888,528	\$888,528
								\$0
								\$0
								\$0
								\$0
								\$0
								\$0
			Execution Sub-Total	11/19/2024	9/28/2029	\$9,326,053	\$60,585,452	\$69,911,505
<i>Close-Out</i>				10/15/2029	10/11/2030	\$150,757	\$3,372,628	\$3,523,385
			Grand Internal, External, and Total Costs			\$9,746,810	\$65,185,210	\$74,932,020

7. Amount by Source of Financing:

State Fiscal Years	KPERS Trust Fund	Total
Previous SFY(s)		\$0
SFY 2023		\$0
SFY 2024		\$0
SFY 2025	\$11,455,562	\$11,455,562
SFY 2026	\$13,139,066	\$13,139,066
SFY 2027	\$12,390,436	\$12,390,436

SFY 2028	\$14,733,328	\$14,733,328
SFY 2029	\$14,808,731	\$14,808,731
SFY 2030	\$5,620,222	\$5,620,222
SFY 2031	\$2,784,675	\$2,784,675
SFY 2032		\$0
SFY 2033		\$0
SFY 2034		\$0
Total Project Costs	\$74,932,020	\$74,932,020

Description of funds listed above
All funds are expected to come from the KPERS trust fund.

IT COST BENEFIT STATEMENT DA519

INFORMATION TECHNOLOGY PROJECT REQUEST EXPLANATION -- DA 519											
1. Project Title	2. Estimated Dates		Projected Months from Execution to Close-Out								
Pension Administration System Modernization (PAS)	Planning Start:	11/28/2022									
	Execution Start:	11/19/2024		71							
	Close-Out End:	10/11/2030									
3. Agency	4. Project Director/Project Manager										

Kansas Public Employees Retirement System				John Cahill/Susan Hancock/Katherine Phelps											
5. Qualitative and Quantitative Savings Explanation															
Modernizing the KPERS PAS will provide many advantages, however they will not necessarily be outright cost savings. The largest savings will be seen from automating business processes, removing shadow IT, moving to paperless processes, and increasing data quality. Automating processes will free up staff to assist members and allow employers time savings and efficiencies in submitting and updating their own information. Moving to paperless processes will allow for improved customer service. There are potential savings from moving the solution to the cloud, but those savings are not quantifiable at this point.															
6. Qualitative and Quantitative Savings Estimate															
Description of Savings			Previous SFY(s)	SFY 2023	SFY 2024	SFY 2025	SFY 2026	SFY 2027	SFY 2028	SFY 2029	SFY 2030	SFY 2031	SFY 2032	SFY 2033	SFY 2034
	Cost Avoidance (Soft Dollars)														
N/A															
Subtotal		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Cash Savings (Hard Dollars)														
N/A															

Subtotal	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other (Include Intangible Benefits)														
Increased trust in clean and secure data														
Automation of business processes														
Improved reporting tools														
Data Correction tools														
Better communication with members														
Subtotal	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Quantitative Savings	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
7. Summary*		Previous SFY(s)	SFY 2023	SFY 2024	SFY 2025	SFY 2026	SFY 2027	SFY 2028	SFY 2029	SFY 2030	SFY 2031	SFY 2032	SFY 2033	SFY 2034
Project Costs Total	\$74,932,020	\$0	\$0	\$0	\$11,455,562	\$13,139,066	\$12,390,436	\$14,733,328	\$14,808,731	\$5,620,222	\$2,784,675	\$0	\$0	\$0
Net Cost Benefit Total	\$74,932,020	\$0	\$0	\$0	-\$11,455,562	\$13,139,066	\$12,390,436	\$14,733,328	\$14,808,731	-\$5,620,222	-\$2,784,675	\$0	\$0	\$0
Cost Benefit per Month	\$0													
Calendar Months to Break Even	#DIV/0!													
8. Ongoing Cost		Previous SFY(s)	SFY 2023	SFY 2024	SFY 2025	SFY 2026	SFY 2027	SFY 2028	SFY 2029	SFY 2030	SFY 2031	SFY 2032	SFY 2033	SFY 2034
Operational Cost for three ensuing SFYs										\$2,604,500	\$2,702,225	\$2,804,836	\$2,912,578	\$3,025,703
* Project Costs = Total Cost of Project over all Fiscal Years from all Funding Sources														
Net Cost Benefit = Total Qualitative & Quantitative Savings minus Total Project Costs														
Cost Benefit per Month = Total Qualitative & Quantitative Savings divided by Length of Project in months														
Calendar Months to Break Even = Total Project Costs divided by Cost Benefit per Month														

WORK BREAKDOWN STRUCTURE WITH MAJOR MILESTONES

Task Name	Duration	Start	Finish
PAS Modernization	2055 days	Mon 11/28/22	Fri 10/11/30
Planning	530 days	Mon 11/28/22	Fri 12/6/24
Feasibility Study & High-Level Project Plan	60 days	Mon 11/28/22	Fri 2/17/23
Prepare Request for Proposal	79 days	Tue 12/6/22	Fri 3/24/23
RFP Approval from CITO	26 days	Mon 3/27/23	Mon 5/1/23
Issue RFP	1 day	Thu 5/18/23	Thu 5/18/23
RFP Process	132 days	Thu 5/18/23	Fri 11/17/23
Vendor Selection	1 day	Fri 11/17/23	Fri 11/17/23
Contract Negotiation	161 days	Fri 11/17/23	Fri 6/28/24
Update High Level Project Plan	37 days	Thu 2/1/24	Fri 3/22/24
High Level Project Plan Approval	20 days	Mon 3/25/24	Fri 4/19/24
Prepare Detailed Project Plan	44 days	Wed 5/1/24	Mon 7/1/24
Detailed Project Plan Approval	20 days	Tue 7/2/24	Mon 7/29/24
Contract Execution	8 days	Wed 10/2/24	Fri 10/11/24
Start Up	39 days	Tue 10/15/24	Fri 12/6/24
Establish Project Reporting	20 days	Tue 10/15/24	Mon 11/11/24
Establish Project Meeting Schedule	20 days	Tue 10/15/24	Mon 11/11/24
Develop Project Documentation	20 days	Tue 10/15/24	Mon 11/11/24
Infrastructure & Hosting Setup	30 days	Mon 10/28/24	Fri 12/6/24
Milestone - Project Start Up Complete	0 days	Fri 12/6/24	Fri 12/6/24
Execution	1269 days	Tue 11/19/24	Fri 9/28/29
Construction	1146 days	Tue 11/19/24	Tue 4/10/29
Review Electronic Records Retention with KS Historical Society	25 days	Mon 1/8/29	Fri 2/9/29

Data Migration	626 days	Thu 4/17/25	Thu 9/9/27
Image Migration	85 days	Wed 2/23/28	Tue 6/20/28
Milestone - Construction Completion	0 days	Wed 4/11/29	Wed 4/11/29
Test	385 days	Thu 4/6/28	Wed 9/26/29
Regression Testing	70 days	Thu 4/12/29	Wed 7/18/29
Parallel Testing	40 days	Thu 4/12/29	Wed 6/6/29
Stress/Load/Recovery Testing	30 days	Thu 7/19/29	Wed 8/29/29
ADA Compliance Testing	10 days	Mon 4/10/28	Fri 4/21/28
Security Testing	20 days	Thu 8/30/29	Wed 9/26/29
Milestone - Test Completion	0 days	Fri 4/21/28	Fri 4/21/28
UAT	54 days	Mon 4/24/28	Fri 7/7/28
System Demonstration	5 days	Mon 4/24/28	Fri 4/28/28
Milestone - System Demonstration	1 day	Fri 4/28/28	Fri 4/28/28
Conduct UAT	46 days	Mon 5/1/28	Mon 7/3/28
Milestone - UAT Completion	0 days	Wed 7/5/28	Wed 7/5/28
Milestone - Release Acceptance	0 days	Fri 7/7/28	Fri 7/7/28
Training	271 days	Thu 4/6/28	Fri 4/20/29
Training Documentation	231 days	Thu 4/6/28	Thu 2/22/29
Training Delivery	40 days	Fri 2/23/29	Thu 4/19/29
Milestone - Training Completion	0 days	Fri 4/20/29	Fri 4/20/29
Production Release Approval	1 day	Thu 9/27/29	Thu 9/27/29
Milestone - Production Release	0 days	Fri 9/28/29	Fri 9/28/29
Close Out	260 days	Mon 10/15/29	Fri 10/11/30
Conduct Retrospective	4 days	Mon 10/15/29	Thu 10/18/29
Prepare PIER	4 days	Fri 10/19/29	Wed 10/24/29
Holdback Payment	1 day	Fri 10/11/30	Fri 10/11/30
Milestone - Retrospective/PIER Completion	0 days	Fri 10/11/30	Fri 10/11/30

ARCHITECTURAL STATEMENT

KPERS follows ITEC Policies 4010 and 9500. Architectural information for the PAS modernization follows the Kansas Information Technology Architecture Plan. Development by any KPERS developer or vendor supplied technologies will be implemented in accordance with the State of Kansas architecture standards.

OWNERSHIP OF SOFTWARE CODE & RELATED INTELLECTUAL PROPERTY

KPERS follows ITEC Policy 1500. Code generated during the project will be the sole property of the state.

PRIVACY COMPLIANCE STATEMENT

There is no routine provision for public access to individual KPERS' member files. KSA 74-4909(10) states: Each member's account and records shall be administered in a confidential manner and specific data regarding the member shall not be released unless authorized in writing by the member; however, the board may release information to the employer or to other state and federal agencies as the board deems necessary.

Access to the member file is limited to KPERS employees. On the Imaging system in general, access to objects (files, menus etc.) by KPERS employees is granted on an object-by-object basis as determined by the employee's department head. Three levels of authority can be granted; inquiry only, change and delete. Most employees have inquiry only authorization; fewer employees have change authority while delete authority is severely restricted. Employees make extensive use of shredders to destroy old computer printouts that contain member's information.

This project will abide by the Privacy Act of 1974. No additional costs will be associated with the project for privacy as the current privacy policies will remain in place.

ACCESSIBILITY STATEMENT

The project will follow ITEC policies governing accessibility. A VPAT 2.3 will be required from the selected vendor and will be included in the detailed project plan. ADA compliance testing is included in the high-level work breakdown structure on line 28. Any accessibility requirements within KPERS currently will not be affected by this project and will remain in their current state.

Accessibility Approval

Executive Branch Information Technology
Office of Information Technology Services
2800 SW Topeka Blvd., Building 100
Topeka, KS 66611



Phone: (785) 296-3463
Fax: (785) 296-1168
oits.info@ks.gov

DeAngela Burns-Wallace, Chief Information Technology Officer

Laura Kelly, Governor

January 4, 2023

Alan Conroy, Executive Director
Kansas Public Employees Retirement System
611 S Kansas Ave., Suite 100
Topeka, KS 66603-3869

Dear Dir. Conroy:

As part of the approval process for information technology projects over \$250,000, a statement indicating compliance with State Information Technology Executive Council (ITEC) Policy 1210 *Information and Communication Technology Accessibility Standards* must be filed with the Branch Chief Information Technology Officer and approved by the Director of Information Technology (IT) Accessibility. I recently received from Katherine Phelps an Accessibility Statement for the PAS Modernization project for review in compliance with this process.

This statement affirms that the project will comply with the requirements of ITEC Policy 1210, that the Voluntary Product Accessibility Template® (VPAT®) will be required from the selected vendor to access compliance, and that compliance testing is included in the work breakdown structure.

The Accessibility Statement for the PAS Modernization high-level project plan is approved. A copy of this letter should be included with the submittal of the PAS Modernization high-level project plan for Branch CITO approval.

Sincerely,

DocuSigned by:
A blue ink signature of Cole D. Robison.
B7372BF57AD54B7...

Cole D. Robison
Director of IT Accessibility

cc: John Cahill, Kansas Public Employees Retirement System
Anthony Fadale, State Americans with Disabilities Act Coordinator
Katherine Phelps, Kansas Public Employees Retirement System
Sara Spinks, Director, Kansas Information Technology Office

ELECTRONIC RECORD RETENTION STATEMENT

Record retention information:

1. For each business function supported by the proposed system, what paper records are being replaced and which will continue to exist in both paper and electronic form.

KPERs intends to move towards being as paperless as possible. At a minimum this includes allowing for the electronic submission of member retirement and withdrawal applications. Members will still have the option of submitting paper forms.
2. What new business functions will be implemented?
No new business functions are planned outside of allowing for electronic submission of forms as much as possible.
3. For each business function identified in 1. and 2. above, what are the legal, regulatory or operational reasons for performing it?
N/A
4. What legal, regulatory or operational requirements, including State Records Board approved retention schedules, exist for keeping records related to each business function? Revised: April 12, 2019
 - The current KPERs approved retention schedule can be found at https://www.kshs.org/recmgmt/retention_schedule_entries/search/agency:365/submit:SEARCH/searchtype:state/limit:1000
 - Kansas Statute No. 74-4909, Section 3, 1961 states: "The (KPERs) board shall be responsible for the installation of a complete and adequate system of accounts and records." KSA 74-4909 led to the establishment of the member file in 1962.
5. Will any of the data necessary to document the business functions either be maintained in another system within the state entity or in a system outside the state entity? If so, please specify.
No, all data will be maintained within the Pension Administration System.
6. What are the legal, regulatory or operational requirements to providing public access to the records?
 - **There is no routine provision for public access to individual KPERs' member files. KSA 74-4909(10) states**
Each member's account and records shall be administered in a confidential manner and specific data regarding the member shall not be released unless authorized in writing by the member; however, the board may release information to the employer or to other state and federal agencies as the board deems necessary.
7. What are the legal, regulatory or operational requirements for controlling access to the records in order to ensure confidentiality?
 - **There is no routine provision for public access to individual KPERs' member files. KSA 74-4909(10) states**
Each member's account and records shall be administered in a confidential manner and specific data regarding the member shall not be released unless authorized in writing by the member; however, the board may release information to the employer or to other state and federal agencies as the board deems necessary.

Access to the member file is limited to KPERS employees. On the Imaging system in general, access to objects (files, menus etc.) by KPERS employees is granted on an object-by-object basis as determined by the employee's department head. Three levels of authority can be granted; inquiry only, change and delete. Most employees have inquiry only authorization; fewer employees have change authority while delete authority is severely restricted. Employees make extensive use of shredders to destroy old computer printouts that contain member's information.

8. Identify all records with retention periods of ten or more years that will be affected by the project or indicate that the project has no such records involved.

Primary Record Series

Agency Number: 365-003

Member Services Division

SERIES ID 0059-365

TITLE KPERS Membership Records

DESCRIPTION Any document created or submitted to the Agency relating to the maintenance of a person's membership account with the Kansas Public Employees Retirement System. These include, but are not limited to, KPERS forms, correspondence, phone logs, and/or vital records maintained by the Agency.

RETENTION 150 calendar years from date of last retrieval

COMMENTS Records are stored electronically in KPERS Integrated Technology Solution database and on microfilm or microfiche. Records not accessed 150 years from the last retrieval date will be permanently purged/deleted from the system.

DISPOSITION Destroy

RESTRICTIONS K.S.A. 74-4909(10)

APPROVED 2014-01-23

K.A.R. NUMBER 53-2-179

Secondary Record Series

SERIES ID 0004-365

TITLE Qualified Domestic Relations Orders (QDROs)

DESCRIPTION Court orders and supporting records providing for division of retirement account assets in divorce cases.

RETENTION See Comments

COMMENTS Retain until satisfaction of payment to alternate payee or death of alternate payee then destroy.

DISPOSITION See Comments

RESTRICTIONS KSA 74-4909(10)

APPROVED 2002-04-11

K.A.R. NUMBER 53-2-130

SERIES ID 0005-365

TITLE 15% Employer Files

DESCRIPTION Documents relating to members files whose excess contributory assessments at retirement increase their final average salary about 15%.

RETENTION See Comments

COMMENTS Retain paper copy 3 calendar years then transfer to Employer Files and retain accordingly. Retain electronic format until no longer useful.

DISPOSITION See Comments

RESTRICTIONS KSA 74-4909(10)

APPROVED 2002-04-11

K.A.R. NUMBER 53-2-130

SERIES ID 0007-365

TITLE Arrearage Adjustments

DESCRIPTION Adjustments computed to member's records for previous years including form K-17.

RETENTION See comments

COMMENTS Retain paper format 2 calendar years then microfilm and destroy paper original. Retain microfilm permanently.

DISPOSITION See Comments

RESTRICTIONS KSA 74-4909(10)

APPROVED 2002-04-11

K.A.R. NUMBER 53-2-130

Although there is not a single over-arching record series for employer submitted data, these series too may be considered linked to membership activity for retention purposes (i.e., they are fed into and stored in the KPERS System).

SERIES ID 0043-365

TITLE Employer Contributions--Electronic Funds Transfers

DESCRIPTION Employer contribution breakdown records generated on all payments made via Automated Clearing House debit (Electronic Funds Transfers) from inception to present.

RETENTION 010 cldr yrs

COMMENTS Information stored electronically on pc, FS mini server, summary info on AS400, and the vendor has records.

DISPOSITION Destroy

RESTRICTIONS KSA 74-4909(10)

APPROVED 2003-04-10

K.A.R. NUMBER 53-2-134

SERIES ID 0010-365

TITLE Employer Files

DESCRIPTION All pertinent employer information such as affiliation documents, contribution rate letters, designations of agent, and period of service letters.

RETENTION Permanent

DISPOSITION Office Storage

RESTRICTIONS KSA 74-4909(10)

APPROVED 2002-04-11

K.A.R. NUMBER 53-2-130

TITLE Penalties Files

DESCRIPTION Late penalty assessments assessed to contributing local employers which made late payments of contributions.

RETENTION See Comments

COMMENTS Keep paper 2 calendar years then microfilm and destroy paper original. Keep microfilm permanently.

DISPOSITION See comments

RESTRICTIONS KSA 74-4909(10)

APPROVED 2002-04-11

K.A.R. NUMBER 53-2-130

SERIES ID 0021-365

TITLE Annual Member Contribution Reports

DESCRIPTION Employer reports generated on each member's 4%, 6% or 7.5% contribution and adjustments.

RETENTION See comments

COMMENTS Retain paper format 5 calendar years then microfilm and destroy original. Retain microfilm permanently. Information is also entered on AS400 member records.

DISPOSITION See Comments

RESTRICTIONS KSA 74-4909

APPROVED 2002-04-11

K.A.R. NUMBER 53-2-130

9. Estimate of the three-year total cost of addressing records identified in No. 8 above and included on the DA519, Item #8.
To be determined during project execution.

Electronic Record Retention Approval

State Archives Division
6425 SW 6th Avenue
Topeka KS 66615-1099



785-272-8681, ext. 272
megan.burton@ks.gov
kshs.org

Patrick Zollner, Acting Executive Director

Laura Kelly, Governor

December 21, 2022

Alan Conroy
Executive Director
Kansas Public Employees Retirement System
611 S. Kansas Ave., Suite 100
Topeka, KS 66603-3869

Dear Director Conroy,

As part of the approval process for information technology projects over \$250,000, the State Archivist is required to evaluate the impact of information technology projects on government records with long-term (10+ year) retention requirements. If the project impacts long-term records, the State Archivist must ensure that appropriate provisions have been made for these records in the high-level and detailed project plans, in the system design, and for their ingestion, if prudent and feasible, into the Kansas Enterprise Electronic Preservation (KEEP) system. An Electronic Records Retention Statement and approval letter from the State Archivist must accompany high-level and detailed project plans submitted to the Executive Branch Chief Information Technology Officer.

In compliance with this process, Katherine Phelps, Project Manager, recently sent to me for review an Electronic Records Retention Statement for the KPERS Pension Administration System (PAS) Modernization high-level plan. From my review of the project plan materials, I have determined that the project will affect long-term records. Project staff have indicated their willingness to meet with State Archives staff to discuss the records management tasks associated with this project. They have included this task on the Work Breakdown Structure.

The Electronic Records Retention Statement for the high-level plan is approved. A copy of this approval letter should be included when submitting the project plan to the Executive Branch CITO for approval.

Sincerely,



Ethan Anderson
Government Records Archivist

Cc: Cole Robison, Director of IT Accessibility, OITS
Katherine Phelps, Project Manager, KPERS

RISK IDENTIFICATION SUMMARY

A description of project risks, the probability of the risk occurring, the impact of the risk on the project, and the suggested mitigation activities.

Last Risk Assessment Date: April 18, 2024

Prepared by: Katherine Phelps

<i>Category</i>	<i>Prob</i>	<i>Imp</i>	<i>Risk</i>	<i>Mitigation Approaches</i>
Internal Resources	High	High	KPERS business staffing levels may not be sufficient to support the project in Modernization.	Dedicated modernization team members have been appointed. Backfill staff and additional project team members have been hired or are in the process of being hired.
Technical	High	High	Legacy data has not been maintained to industry standards and will need to be cleansed.	Data cleansing plans and a Master Data Model have been started and will be incorporated into the project early.
Communication	High	High	There are numerous stakeholders who will need communication throughout the project and at different levels.	A comprehensive communication plan with a communication manager is in the process of being established.
Training	High	High	KPERS does not currently have a comprehensive training program. All end users will need thorough training as well as training for employers and members.	Training plans are being established with an established training team who will be involved early in the project to ensure appropriate training is developed along with user guides.
Documentation	High	High	KPERS lacks business process documentation and Standard Operating Procedure with a centralized strategy for managing content.	KPERS has put significant effort into documenting current business process and standard operating procedures. This will be carried forward into the modernization effort to ensure this continues. A knowledge manager will be appointed who will be involved early in the project.

Legend

Prob = Probability of Occurrence (High: probable to occur, Medium: reasonable probability of occurring, Low: not expected to occur)

Imp = Impact (High: significant risk to project cost/schedule/scope that requires adjustment and approval of project plan by leadership, Medium: moderate impact to project that can be mitigated by change management within cost/schedule/scope, Low: small impact and can be mitigated within project cost/schedule/scope)

RISK ASSESSMENT

Date of current RAM	12/7/2022
Prepared by	John Cahill, Susan Hancock & Katherine Phelps

Risk Assessment Model (RAM)	Score	Rating
Strategic Risk	1.0	Low
Financial Risk	4.0	High
Project Management Risk	3.0	Medium
Technology Risk	2.3	Medium
Change Management & Operation Risk	1.0	Low
OVERALL RISK SCORE	2.26	Medium