

## 341 – Department of Finance and Administration

This file plan was developed to be a guide for Department of Finance and Administration employees. This guidance document was created to ensure consistent records classification and to provide agencies with other relevant record information. The final disposition authority resides in the Functional Records Retention and Disposition Schedule (FRRDS), 1.21.2 NMAC.

This file plan only list records series of program's specific to the Department of Finance and Administration. For records series of a general administrative nature, refer to the General Administrative Records File Plan. For records of a financial nature, refer to the General Financial Records File Plan. For records of a personnel or medical nature, refer to the General Personnel/Medical Records File Plan.

### **341-101 EXEMPT POSITION AGENCY FILES:**

**Division/unit:** Administrative services

**Maintenance system:** Chronological by calendar year, then numerical by agency business unit

**Record series content:** Records documenting changes made to a position upon request of the governor or other appointing agency. Portions of this record are input to *SHARE*. Files may include *position action request form*, agency budget projection, supporting documentation (i.e., statutory or legislative authority, agency justification for position, comprehensive position duties, etc.), state personnel board notification of decision, correspondence, etc.

**Classification:** 1.21.2.247 NMAC, Positions and Classifications  
[New - 01/22/2021]

### **341-102 EXEMPT EMPLOYEE PERSONNEL FILES:**

**Division/unit:** Administrative services

**Maintenance system:** Chronological by date, then alphabetical by employee surname

**Record series content:** Records documenting the employment history of governor exempt or other appointing agency personnel. This record is input to *SHARE*. Files may include personnel action request form, agency budget projection, supporting documentation, state personnel board notification of decision, personnel action forms, personal data forms, biographical information forms, benefits, authorization forms, tax authorization forms, security access forms, deduction worksheets, signed acknowledgement of exempt policies, correspondence, etc.

**Classification:** 1.21.2.233 NMAC, Personnel Files - Contributing

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number) and Section 14-6-1 NMSA 1978 (i.e., health information).

[New - 01/22/2021]

### **341-103 to 341-109**

### **341-110 STATE OF NEW MEXICO SEVERANCE TAX BOND TRANSCRIPTS:**

**Division/unit:** Board of finance

**Maintenance system:** Chronological by bond extinguishment date

**Record series content:** Records documenting the transcript of issuance of severance tax bonds by the state board of finance. These transcripts serve as supporting documentation to bonds issued for financing of approved projects such as roads, sewer and water systems, government buildings, etc. Transcripts include resolutions of agencies and departments with certification of need, extracts of minutes of meetings, official bid forms, notice of sale resolutions of the state board of finance, affidavits, preliminary official statements, official statements, notices of sale, official statement certificates, letters of representation to the depository trust company, signature certificates, incumbency certificates, general and no-litigation certificates, attorney general litigation certificates, certificates regarding statutory issuance

test, requests to authenticate and deliver, delivery and cross-receipt certificates, certificates of paying agent or registrar, execution of bonds, tax compliance certificates with certificates of underwriter and tax compliance certificates of agencies attached, specimen bond certificates, attorney general opinions, bond counsel opinions, reliance letters of bond counsel, rating agency letters, internal revenue service 8038-G form with evidence of filings, concluding transcript certificates and closing memorandums.

**Classification:** 1.21.2.341 NMAC, Investments

[New - 01/22/2021]

### **341-111 STATE OF NEW MEXICO GENERAL OBLIGATION BOND TRANSCRIPTS:**

**Division/unit:** Board of finance

**Maintenance system:** Chronological by bond extinguishment date

**Record series content:** Records documenting the transcript of issuance of general obligation bonds by the state board of finance. These transcripts serve as supporting documentation to bonds issued for financing of voter approved projects. Transcripts include canvass certificates of election returns and ballot certification affidavits, certifications of need, extracts of minutes of meetings, notice of sale resolutions of the state board of finance, official bid forms, preliminary official statements, official statements, notices of sale, official statement certificates, letters of representation to the depository trust company, signature certificates, incumbency certificates, general and no-litigation certificates, attorney general litigation certificates, certificates regarding statutory issuance test, requests to authenticate and deliver, delivery and cross-receipt certificates, certificates of paying agent or registrar, execution of bonds, tax compliance certificates with certificate of underwriter and tax compliance certificates of agencies attached, specimen bond certificates, attorney general opinions, bond counsel opinions, reliance letters of bond counsel, rating agency letters, internal revenue service 8038-G form with evidence of filings, concluding transcript certificates and closing memorandums.

**Classification:** 1.21.2.341 NMAC, Investments

[New - 01/22/2021]

### **341-112 PRIVATE ACTIVITY BOND FILES:**

**Division/unit:** Board of finance

**Maintenance system:** Chronological by fiscal year, then numerical by approved private activity bond allocation

**Record series content:** Records documenting board of finance approved allocation of federal bond capacity for uses such as single family housing, multifamily housing, student loans, etc. Files may include letter from bond counsel stating when bonds were sold and bond amount, documentation of fees paid, correspondence, etc.

**Classification:** 1.21.2.341 NMAC, Investments

[New - 01/22/2021]

### **341-113 PROJECT READINESS QUESTIONNAIRE FORMS:**

**Division/unit:** Board of finance

**Maintenance system:** Chronological by fiscal year

**Record series content:** Form documenting project readiness prior to the review and funding of a project scheduled to be financed through the issuance of a bond. Forms may show project number, amount requested, amount appropriated, recipient name, project description, project ownership, operation and use of project, other funding sources, project readiness; priority and spend-down of bond proceeds, contingencies, reimbursed advances and repayment or previously incurred debt, acknowledgement of severance tax bond restrictions, signature of authorized officer, etc.

**Classification:** 1.21.2.415 NMAC, General - Audits and Compliance

[New - 01/22/2021]

### **341-114 BOND DRAW FILES:**

**Division/unit:** Board of finance

**Maintenance system:** Chronological by fiscal year, then numerical by fund number

**Record series content:** Records documenting requests for project reimbursement. This record is input to *SHARE*. Files may include draw request forms, operating transfer, invoices, payment vouchers, correspondence, etc.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

## **341-115 to 341-120**

### **341-121      APPROPRIATION REQUEST AND OPERATING BUDGET FILES:**

**Division/unit:** State budget

**Maintenance system:** Chronological by fiscal year, then numerical by business unit

**Record series content:** Records documenting a proposed annual budget submitted by state agencies to DFA. This record is input to *SHARE*. Files may include agency level reports (i.e., operating budget certification, organizational chart, financial summary report, account code expenditure report, fund balance projection, detail of general services department and department of information technology line items, etc.), program level reports (i.e., program overview, organizational chart, financial summary report, account code expenditure report, detail of transfers from general fund, detail of non-general transfers, detail of federal revenue, etc.), expenditure forms (i.e., detail of personal services, vacancy rate report, calculation of employee benefits, group health insurance (i.e., calculation, fulltime employee by revenue source, expenditure account code justifications, etc.), expansion forms, expansion narrative, expansion detail, detail of personal services for expansion FTE, etc.), performance and accountability documentation (i.e., strategic plan, end of year performance report, full program report, performance monitoring plan, etc.), information technology requests (i.e., agency information technology plan, planning form for information technology systems costs, etc.), correspondence, etc.

**Classification:** 1.21.2.326 NMAC, Annual Budget

[New - 01/22/2021]

### **341-122      BUDGET ADJUSTMENT REQUESTS FILES:**

**Division/unit:** State budget

**Maintenance system:** Chronological by fiscal year, then numerical by business unit

**Record series content:** Records documenting approved adjustments to agency operating budgets (i.e., increase or decrease in expenditures from other state funds, internal service funds or interagency transfer; transfer of funds from one division of an agency to other divisions of that agency; transfer of funds between budget categories within an agency or a division or authorization to expend federal funds, etc.). This record is input to *SHARE*. Files include "canary" copy of budget adjustment request forms and associated justification attachments.

**Classification:** 1.21.2.304 NMAC, Account Transfers

[New - 01/22/2021]

### **341-123      CAPITAL PROJECT REQUEST FILES:**

**Division/unit:** State budget

**Maintenance system:** Chronological by fiscal year, then numerical by business unit

**Record series content:** Records documenting capital project requests submitted by state agencies to DFA. Files may include project certifications, justifications, project administration information, proposed building requirements, site description, operation and maintenance costs estimates, equipment and furniture purchase related to project, project budget summary, etc.

**Classification:**

(1) **Funded projects:** 1.21.2.326 NMAC, Annual Budget

(2) **Non-funded projects:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

[New - 01/22/2021]

**341-124 CAPITAL BUDGET INPUT FORM FILES:**

**Division/unit:** State budget

**Maintenance system:** Chronological by fiscal year, then numerical by business unit

**Record series content:** Record documenting the establishment of the budget for capital projects that have been appropriated to an agency by the New Mexico state legislature. This record is input to *SHARE*. Files may include capital budget input forms, supporting documentation, correspondence, etc.

**Classification:** 1.21.2.326 NMAC, Annual Budget

[New - 01/22/2021]

**341-125 SPECIAL, SUPPLEMENTAL AND DEFICIENCY APPROPRIATION ALLOTMENTS REQUESTS:**

**Division/unit:** State budget

**Maintenance system:** Chronological by fiscal year, then numerical by business unit

**Record series content:** Records documenting special, supplemental and deficiency appropriation allotment requests submitted by state agencies to DFA. This record is input to *SHARE*. Files may include approved allotment request forms, approved requests for lump sum or other allotments which differ from the standard 1/12th of the appropriation amount allocated monthly to state agencies, related correspondence, etc.

**Classification:** 1.21.2.326 NMAC, Annual Budget

[New - 01/22/2021]

**341-126 to 341-130**

**341-131 ANNUAL PROPERTY TAX RATE FILES:**

**Division/unit:** Local government

**Maintenance system:** Chronological by tax year, then alphabetical by county

**Record series content:** Records documenting the property valuation and property tax mill levy rates for New Mexico local governments. Files may include analysis of valuation changes, other data necessary to set annual property tax rates, annual certificate of property tax rates, correspondence, etc.

**Classification:** 1.21.2.355 NMAC, Valuations

[New - 01/22/2021]

**341-132 YEAR END LOCAL GOVERNMENT FINANCIAL REPORTS:**

**Division/unit:** Local government

**Maintenance system:** Chronological by fiscal year, then alphabetical by county

**Record series content:** New Mexico local government financial report of actual revenues, expenditures, operating transfers and cash balances. Reports may include statement of revenues and expenditures, information on changes in fund balance for all funds, supporting schedules, etc.

**Classification:** 1.21.2.117 NMAC, Reports - Historical

[New - 01/22/2021]

**341-133 ANNUAL TAX RATE DATABASE:**

**Division/unit:** Local government

**Maintenance system:** Numerical by primary key

**Record series content:** database contains yield control formula, net taxable value for school districts, counties and municipalities, residential or non-residential operational property tax rates, debt service tax rates, operational tax rates for school districts, capital improvements, tax rates for judgments and values and tax rates on oil and gas products.

**Classification:** 1.21.2.354 NMAC, Tax Assessments

[New - 01/22/2021]

**341-134 LOCAL GOVERNMENT BUDGET TRACKING SYSTEM DATABASE:**

**Division/unit:** Local government

**Maintenance system:** Numerical by primary key

**Record series content:** Database tracks local public body (counties and municipalities) financial transactions on a monthly basis for a given fiscal year. Database contains entity code, fiscal year, fund code, account code, account type, category code, department code, function code, financial totals, etc.

**Classification:** 1.21.2.309 NMAC, Ledgers

[New - 01/22/2021]

**341-135 LEGISLATIVE SPECIAL APPROPRIATIONS FILES:**

**Division/unit:** Local government

**Maintenance system:** Chronological by fiscal year, then numerical by project number

**Record series content:** Records documenting and monitoring of projects funded with state appropriations. This record is input to *SHARE*. Files may include grant agreement, copy of corresponding legislation, copies of contracts, notice of obligation, copies of cancelled checks, related financial documents, monthly reporting status, capital project monthly monitoring reports, final report, close out letter, correspondence, etc.

**Classification:** 1.21.2.415 NMAC, General - Audits and Compliance

[New - 01/22/2021]

**341-136 COMMUNITY DEVELOPMENT BLOCK GRANT FILES:**

**Division/unit:** Local government

**Maintenance system:** Chronological by federal fiscal year, then numerical by project number

**Record series content:** Records documenting and monitoring federal housing and urban development funds distributed to local and county governments in rural and non-rural New Mexico. This record is input to *SHARE*. Files may include application and housing and urban development (HUD) disclosure reports, copy of american community survey or census data, copy of grant award letter, grant agreements, project documentation, progress reports, real property acquisition documentation, financial management documentation, professional services documentation (i.e., request for proposals, affidavit of publications, copy of minutes of meeting, contractor and subcontractor activity report, copy of notice of award, etc.), environmental requirements (i.e., certified environmental official designation form, statement of findings, certification of exemption, compliance checklist, authority to use grant funds, etc.), environmental assessment, citizen participation documentation (i.e., notices of public hearings, minutes of meetings, participation plan, resolution to adopt participation plan, etc.), fair housing documentation (i.e., fair housing self-assessment, resolution or proclamation, anti-displacement and relocation assistance plan, etc.), equal employment opportunity work force analysis, competitive sealed bids for construction, labor standards documentation (i.e., weekly payrolls and statements of compliance, monthly employee interviews, overtime violation report, final wage compliance report, etc.), closeout documentation (i.e., final progress report, architect or engineer's letter of acceptance or certificate of substantial completion, final change order, final inspection report, copy of record as-built drawings, minutes of final closeout public hearing, final inspection, etc.), correspondence, etc.

**Classification:** 1.21.2.122 NMAC, Grant Administration

[New - 01/22/2021]

**341-137 CAPITAL OUTLAY PROJECT FILES:**

**Division/unit:** Local government

**Maintenance system:** Chronological by fiscal year, then numerical by project number

**Record series content:** Records documenting the legislation of the severance tax bonds or appropriation of general funds for capital outlay projects. This record is input to *SHARE*. Files may include

corresponding legislation, grant agreement, request for payment, project related documents, close out letter, correspondence, etc.

**Classification:** 1.21.2.415 NMAC, General - Audits and Compliance

[New - 01/22/2021]

### **341-138 E - 911 FILES:**

**Division/unit:** Local government

**Maintenance system:** Chronological by fiscal year, then alphabetical by service provider

**Record series content:** Records documenting payments made by the department for point of service E-911 service providers on behalf of local governments. This record is input to *SHARE*. Files may include grant agreement, invoices, copies of warrants, correspondence, etc.

**Classification:** 1.21.2.604 NMAC, Goods and Services

[New - 01/22/2021]

### **341-139 LOCAL GOVERNMENT ADJUSTED BUDGET, ACTUAL REVENUES AND EXPENSE REPORT FILES:**

**Division/unit:** Local government

**Maintenance system:** Chronological by fiscal year, then alphabetical by county and municipality

**Record series content:** reports documenting annual budget information of local government entities.

Reports may show adjusted budget by fund, cash balances by fund, budgeted revenues including; property taxes, gasoline taxes, gross receipts taxes, motor vehicle fees, salary, debt service, insurance and all supporting schedules, copies of all related budget resolutions, etc.

**Classification:** 1.21.2.326 NMAC, Annual Budget

[New - 01/22/2021]

### **341-140 LODGERS TAX QUARTERLY REPORT FILES:**

**Division/unit:** Local government

**Maintenance system:** Chronological by tax year, then alphabetical by local government entity

**Record series content:** Report documenting occupancy and hospitality tax revenues generated within lodging establishments (i.e., hotels, motels, cottages, bed and breakfast establishments and other lodging businesses, etc.). Reports may show the percent imposed; revenue summary detailing the amount of lodgers' tax proceeds, investment income, intergovernmental transfers and other revenue received by a reporting entity as result of the occupancy tax; revenue allocation detailing the amount of revenue dedicated to the non-promotional fund; and the promotional fund; cash balance summary stating the amount of cash on hand in the non-promotional and promotional funds; expenditure summary identifying the amount expended from the non-promotional fund for contractual services, operating expenses, capital outlay, debt service and net transfers and the amount expended from the promotional fund for contractual services, tourist related events and net transfers; expenditures in the contractual services category; a description of the activity or event, the date of the activity or event, name of the contractor, etc.

**Classification:** 1.21.2.354 NMAC, Tax Assessments

[New - 01/22/2021]

### **341-141 FOREST RESERVE DISTRIBUTION PROGRAM FILES:**

**Division/unit:** Local government

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by local government entity

**Record series content:** Records documenting the annual distribution of federal funds paid to local government entities for the purpose of providing funding for schools and roads; investments in specific forest projects and to improve relationships between local governments, national forests and public related to national forest lands. This record is input to *SHARE*. File may include county election forms for the title distributions, payment distribution spreadsheet, correspondence, etc.

**Classification:** 1.21.2.304 NMAC, Account Transfers

[New - 01/22/2021]

**341-142 TAYLOR GRAZING DISTRIBUTION PROGRAM FILES:**

**Division/unit:** Local government

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by local government entity

**Record series content:** Records documenting the annual distribution of federal funds paid to local government entities with grazing districts. This record is input to *SHARE*. Files may include bureau of land management, *distribution of receipts document* (BLM BP 1300.1), report (PCN: FRD198), payment distribution spreadsheet, correspondence, etc.

**Classification:** 1.21.2.304 NMAC, Account Transfers

[New - 01/22/2021]

**341-143 LAW ENFORCEMENT PROTECTION FUND DISTRIBUTION FILES:**

**Division/unit:** Local government

**Maintenance system:** Chronological by fiscal year, then alphabetical by local government entity

**Record series content:** Records documenting the distribution of funds to municipal police, county sheriffs and tribal police departments for use in the maintenance and improvement of those departments in order to enhance the efficiency and effectiveness of law enforcement services. This record is input to *SHARE*. Files may include officer registry from the NM department of public safety, applications from local government entities, correspondence, etc.

**Classification:** 1.21.2.304 NMAC, Account Transfers

[New - 01/22/2021]

**341-144 LOCAL DRIVING WHILE INTOXICATED PROGRAM FILES:**

**Division/unit:** Local government

**Maintenance system:** Chronological by fiscal year, then alphabetical by county or municipality

**Record series content:** Records documenting and tracking funds allocated to local government entities to implement a driving while intoxicated program. Portions of this file are input to *SHARE*. Files may include grant agreement, quarterly financial narratives, evaluation plans, documentation of distributions, grant reimbursement requests, financial report with unexpended funds identified, close out letter, correspondence, etc.

**Classification:** 1.21.2.122 NMAC, Grant Administration

[New - 01/22/2021]

**341-145 JUVENILE ADJUDICATION PROGRAM FILES:**

**Division/unit:** Local government

**Maintenance system:** Chronological by fiscal year, then alphabetical by county or municipality

**Record series content:** Records documenting and tracking funds allocated to local government entities to implement a juvenile adjudication program. The juvenile adjudication fund is appropriated to DFA to administer the fund and to provide an alternative adjudication process for juveniles charged with traffic offenses and other misdemeanors. Portions of this file are input to *SHARE*. Files may include grant agreement, quarterly financial narratives, evaluation plans, documentation of distributions, grant reimbursement requests, financial report with unexpended funds identified, close out letter, correspondence, etc.

**Classification:** 1.21.2.122 NMAC, Grant Administration

[New - 01/22/2021]

**341-146 to 341-150**

**341-151 CENTRAL FINANCIAL REPORTING AND ACCOUNTING SYSTEM (C-FRAS):**

**Division/unit:** Financial control division

**Maintenance system:** Numerical by primary key

**Record series content:** The central financial reporting and accounting system processes financial and accounting information. The system contains all master tables required to process financial transactions for state agencies.

**Classification:** 1.21.2.309 NMAC, Ledgers

[New - 01/22/2021]

### **341-152 PURCHASE DOCUMENT (SPD-101A):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by fiscal year, then numerical by agency code

**Record series content:** Form used by state agencies to reserve their budget for a specific purchase (i.e., to record encumbrances and reserve or designate fund balances). Form shows vendor code, vendor name and address, seller fund, seller agency code, page, date, I/G (inter-governmental transfer) box, PC (purchase document) box, agency code, document number, terms, delivery date, FOB (free on board) code, ship to, bill to, agency contact, phone number, line number, fund code, agency code, organization code, object code, amount, for agency use, total, purchase type, agency authorized signature, approval (internal agency), commodity line, quantity, unit, commodity code, account line, article and description, unit cost, total cost, and total.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

### **341-153 PURCHASE DOCUMENT CONTINUATION SHEET (PD202-A2):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by fiscal year

**Record series content:** Form used as a continuation sheet for the purchase document (form SPD-101A). Sheet shows commodity line, quantity, unit, commodity code, account line, article and description, unit cost, total cost and total.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

### **341-154 PURCHASE DOCUMENT MODIFICATION (FCD C-FRAS-01):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by fiscal year, then numerical by agency code

**Record series content:** Form used to post adjustments to an existing purchase document (form SPD-101A). Form shows vendor code, vendor name and order address, seller fund, page, date, I/G (inter-governmental transfer) box, PC (purchase document) box, agency code, document number, line code, fund code, agency code, organization code, object code, amount, for agency use, total, commodity line, quantity, unit, commodity code, account line, article and description, unit cost, total cost, agency authorized signature and approval (internal agency).

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

### **341-155 PAYMENT VOUCHER (FCD C-FRAS-02):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by fiscal year, then numerical by agency code

**Record series content:** Form used by state agencies to pay vendors external to New Mexico state government as well as to other state agencies. Form shows vendor code, vendor name and remittance address, agency name, page, date, agency code, document number, expiration date contract number, warrant number, reference document, line, code, commodity line, invoice number, fund, organization



code, object code, revenue source, balance sheet account, report category, description, amount, total, payee signature, agency approval, name/title, authorized signature and date.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

**341-156 OPERATING TRANSFER (C-FRAS-04):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by fiscal year, then numerical by agency code

**Record series content:** Record concerning C-FRAS operating transfers of cash between funds. Form shows initiating agency name and code, page, date, document number, account type, fund, agency, organization code, object or revenue source, balance sheet account, report category, agency name, amount from (debit), amount to (credit), totals, authority and remarks, agency authorized signature, date DFA approval and date.

**Classification:** 1.21.2.304 NMAC, Account Transfers

[New - 01/22/2021]

**341-157 DISTRIBUTION PAYMENT VOUCHER (FCD C-FRAS-05):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by fiscal year, then numerical by agency code

**Record series content:** Record concerning expenditures for multiple payees out of a single accounting distribution (e.g., public employees retirement association paying their annuitants). Shows agency name, page, date, agency code, document number, fund, organization code, object, revenue source, balance sheet account, report category, description, total amount, for agency use, verified by, and agency authorized signature.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

**341-158 DISTRIBUTION PAYMENT VOUCHER CONTINUATION SHEET (FCD C-FRAS-05):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by fiscal year

**Record series content:** Form used as a continuation sheet for the distribution payment voucher (form FCD C-FRAS-05). Sheet shows page, date, agency code, document number line, vendor code, vendor name and remittance address, invoice number, amount, payment voucher number, warrant number and total.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

**341-159 JOURNAL VOUCHER (FCD C-FRAS-06):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by fiscal year, then numerical by agency code

**Record series content:** Record concerning correction of errors of previously posted or recorded C-FRAS transactions, summary entries, and accrual entries. Form shows DFA approval, agency name, page, date, agency code, document number, budget fiscal year, accounting period, accounting type, fund, agency code, organization code, appropriation unit code, object or revenue source, balance sheet account, report category, vendor code, description, debit amount, credit amount, totals, explanation, prepared by, date and phone number and agency authorized signature.

**Classification:** 1.21.2.308 NMAC, Journal Entries

[New - 01/22/2021]

**341-160 ITEMIZED SCHEDULE OF TRAVEL EXPENSES (FCD C-FRAS-07):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by fiscal year

**Record series content:** Record concerning travel reimbursement for state business. Form shows agency name, page, date, agency code, voucher number, name, car license number, social security number, model, normal work day, year, post of duty, residence, proposed (advance voucher), actual (recoupment voucher), date, departure, arrival, character of expenditures, (odometer readings) enter start and finish, number of miles, mileage (amounts), per diem (amounts), miscellaneous (amounts), total (amounts), per diem basis, totals, adjusted reimbursement, notary and witness signature and jurat signature.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

### **341-161      WARRANT CANCELLATION (FCD C-FRAS-08):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by fiscal year, then numerical by agency code

**Record series content:** Record concerning warrant cancellation transactions. Form shows agency name, page, cancellation date, budget fiscal year, document number, vendor code, warrant number, manual warrant, cancellation type, description, (reference document) code, (reference document) agency, (reference document), document number, (reference document) account line, fund, agency, organization, object, revenue source, balance sheet account, report category, description, amount, total, prepared by and agency authorized signature.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

### **341-162      VENDOR FORM (SUBSTITUTE W-9) REQUEST FOR TAXPAYER IDENTIFICATION NUMBER (TIN) VERIFICATION:**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by fiscal year, then alphabetical by business name

**Record series content:** Record used to establish a new vendor code in the C-FRAS or update information in the vendor file in C-FRAS for entities doing business with the state of New Mexico. Form shows business name, dba (doing business as) name, address, city, state, zip, type of business designation, individual, sole proprietorship, partnership, estate/trust, corporation, tax exempt including medical services under Sec. 501(c)(3), governmental, professional corporation providing a medical service, 9 digit taxpayer identification number, TIN applied for, licensed realtor yes or no, certification name, title, signature, date, telephone, (AGENCY USE ONLY) agency name, sent by, division/bureau, office location, (DFA USE ONLY) vendor addition or change, 1099 yes or no, action completed by and date.

**Classification:** 1.21.2.347 NMAC, Vendor Management

[New - 01/22/2021]

### **341-163      BUDGET ADJUSTMENT REQUEST FORM:**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by fiscal year, then numerical by agency code

**Record series content:** Form used to adjust agency operating budgets. Shows initiating agency name, initiating organization name, page, date, budget fiscal year, date FCD received, budgeted appropriations, fund or agency or organization, appropriation unit code, amount increase, amount decrease, estimated revenue allocation, total increase, total decrease, budgeted revenues, fund/agency, revenue source, amount increase, amount decrease, BAR type, total increase, total decrease, (FOR DFA USE ONLY) control number, analyst review (date, accept, reject), director review (date, accept, reject), pre-audit (date, accept, reject), and agency authorized signature.

**Classification:** 1.21.2.304 NMAC, Account Transfers

[New - 01/22/2021]

**341-164 STATE TREASURER DEPOSIT SLIP FORM (STATE TREASURER-01):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by fiscal year, then numerical by agency code

**Record series content:** Record verifying deposit of an agency's revenues (budgeted or other source) with the state treasurer. Form shows type of deposit (cash, check, wire transfer), agency name, division name, prepared by, phone number, date, budget fiscal year, cash account or agency code, amount, total, fund, agency, organization, revenue source, appropriation unit code, object, balance sheet account, report category, vendor code, amount, total, and (for agency use).

**Classification:** 1.21.2.303 NMAC, Accounts Receivable

[New - 01/22/2021]

**341-165 MONTHLY BUDGET STATUS REPORT (NM02):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by month

**Record series content:** Record concerning monthly budget information by fund and organization for each agency. Report shows approved budget, budget adjustments, adjusted budget, expenditures to date, outstanding encumbrances, unencumbered budget balances, and amounts expended in the current month.

**Classification:** 1.21.2.310 NMAC, Reports - Accounting

[New - 01/22/2021]

**341-166 MONTHLY REVENUE STATUS REPORT (A203NM):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by month

**Record series content:** Record concerning revenue budget information by fund. Report shows original approved budgets, budget adjustments, adjusted budget amount, current revenues realized, fiscal year-to-date revenues realized and unrealized budget balance.

**Classification:** 1.21.2.310 NMAC, Reports - Accounting

[New - 01/22/2021]

**341-167 TRIAL BALANCE BY ACCOUNTING DISTRIBUTION (A611):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by month

**Record series content:** Record concerning each accounting transaction processed during the period. Shows information by balance sheet account, object, revenue source, opening balances, detail of activity during the period and ending balances.

**Classification:** 1.21.2.310 NMAC, Reports - Accounting

[New - 01/22/2021]

**341-168 SUMMARY LISTING OF PRIOR YEAR ENCUMBRANCES (NM01):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by month

**Record series content:** Report concerning an agency's prior year encumbrances. Summary shows object code, encumbrance number, balance at July 1, current month activity, year-to-date activity and unliquidated encumbrance amounts.

**Classification:** 1.21.2.310 NMAC, Reports - Accounting

[New - 01/22/2021]

**341-169 SUMMARY LISTING OF ENCUMBRANCES (NM03):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by month

**Record series content:** Report concerning information on all encumbrance activity through the end of the month for current and prior year encumbrances. Summary shows object code, encumbrance number, line number, vendor code, original encumbrance amount, current month activity, year-to-date activity and unliquidated encumbrance amounts.

**Classification:** 1.21.2.310 NMAC, Reports - Accounting

[New - 01/22/2021]

**341-170 BALANCE SHEET (F100):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by month

**Record series content:** Record concerning an agency's balance sheet account balances. Balance sheet shows assets, liabilities and fund balances.

**Classification:** 1.21.2.310 NMAC, Reports - Accounting

[New - 01/22/2021]

**341-171 DISTRIBUTION VOUCHER RECONCILIATION REPORT (DV01):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by month

**Record series content:** Report used by agencies to reconcile individual payees on distribution vouchers to the distribution voucher number. Report shows distribution law(s), verified by, approved by, title, vendor number, payee, amount due, voucher number, warrant number and voucher total.

**Classification:** 1.21.2.331 NMAC, Reconciliations and Balancing

[New - 01/22/2021]

**341-172 VOUCHER PAYMENT WARRANT REGISTER (A657NM):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by date produced

**Record series content:** Record documenting all warrants issued to each agency by DFA based on related payment vouchers submitted by agencies. Report is produced daily for each agency that receives warrants on that day. Report shows warrant number, vendor name, vendor code, voucher number, voucher date, vendor invoice, fund, payment amount, delivered or mailed signature, date, received warrants signature and date, and total number of warrants.

**Classification:** 1.21.2.310 NMAC, Reports - Accounting

[New - 01/22/2021]

**341-173 CASH RECEIPT REGISTER (A690NM):**

**Division/unit:** Financial control division

**Maintenance system:** Chronological by fiscal year

**Record series content:** report concerning DFA's reconciliation of daily deposits made with the State Treasurer by state agencies. Register shows cash receipt transaction ID, date of deposit, bank, bank account, fund, cash account and amount received.

**Classification:** 1.21.2.331 NMAC, Reconciliations and Balancing

[New - 01/22/2021]

**341-174 to 341-180**

**341-181 PAYROLL FOLDER:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** Chronological by pay period

**Record series content:** Records concerning summary totals of payroll for state agencies. Folder may contain copy of deduction register (FAPR0954), third party payroll deduction warrants copies, public

employees retirement association (PERA) remittance stubs, transmittal sheets (PERA Form 1131), direct deposit warrant copies, warrant copy and remittance stub for payment of federal and state taxes, payroll register totals, summary of transfer orders charged to agencies, refund memorandum, deduction warrant register (FAPR0951), etc.

**Classification:** 1.21.2.213 NMAC, Reports - Payroll

[New - 01/22/2021]

### **341-182 GARNISHMENT FILES:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** Alphabetical by employee name

**Record series content:** Records concerning determination and initiation of garnishment deductions to employee payroll. File may contain writ of garnishment, check-write gross-to-net record, IRS Levy, form letters to paralegal, correspondence, etc.

**Classification:** 1.21.2.211 NMAC, Deductions and Garnishments

**Confidentiality:** portions of this record may be confidential due to nature of garnishment.

[New - 01/22/2021]

### **341-183 ORDER SUMMARY FOR PURCHASES OF PAYROLL SAVINGS BONDS FILES FORM SD380-1):**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** Chronological by order date

**Record series content:** Form concerning purchase of savings bonds for state employees by DFA from the federal reserve bank. Summary shows date ordered, payroll period ending, bonds to bear issue date of, quantity for denomination, total pieces, total issue price, authorized signature, order submitted by, contact name and number, type of media submitted and method of payment.

**Classification:** 1.21.2.211 NMAC, Deductions and Garnishments

[New - 01/22/2021]

### **341-184 NEW MEXICO RETIREE HEALTH CARE AUTHORITY BENEFITS (FORM NMRHCA #001) FILES:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** Chronological by pay period

**Record series content:** Form concerning remittance of premiums to the New Mexico retiree health care authority by DFA with third party warrants. Form shows reporting entity, employer number, payroll period, beginning, ending, total payroll, employee contributions, total remitted, certifying signature, title, date, phone, date received and amount.

**Classification:** 1.21.2.202 NMAC, Enrollment - Benefits

[New - 01/22/2021]

### **341-185 TRANSMITTAL OF PREMIUMS FOR EMPLOYEE ON LWOPOR DISABILITY CONTINUANCE:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** Chronological by pay period

**Record series content:** Form which allows employees to remit insurance payments to providers when the employee is on leave without pay (LWOP), family medical leave (FML) or disability leave. Form shows payroll unit, agency/entity name, agency code, submitted by, phone, employee name, social security number, employee's annualized salary, for (name of company or policy number), payment for period ending, amount, etc.

**Classification:** 1.21.2.211 NMAC, Deductions and Garnishments

[New - 01/22/2021]

**341-186        AFFIDAVIT FOR DUPLICATE STATE WARRANT:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** Chronological by date created

**Record series content:** Record concerning request by state employees to DFA central payroll bureau to make a duplicate warrant due to either loss or damage of original warrant. Affidavit shows principal, warrant number, date, name of state account, A/C code, voucher number, amount, payee, lost/destroyed/never received, principal's signature and notarization.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

**341-187        NM STATE TREASURER'S OFFICE FOR M FOR STOPPAYMENT ON "A" WARRANTS FILES:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** Chronological by date created

**Record series content:** Records concerning request by central payroll bureau to the state treasurer to place stop payment on a payroll warrant. File may contain stop payment on "A" warrants form, copy of payment voucher, copy of replacement check, copy of affidavit from employee, copy of payroll register, copy of TR01 bank table, payment vouchers paying for direct deposit with the fiscal agent (bank), garnishment refunds, etc.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

**341-188        AUTOMATIC CLEARING HOUSE (ACH) BANK CORRECTIONS AND RETURNS PRINTOUT FILES:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** chronological by date created

**Record series content:** print-out concerning notification from fiscal agent to DFA on bank account corrections and money returns. Printout shows run date, customer name, route and transit, sender name, entry date, trace number, transaction code, receiver, receiver A/C (account) number, return information, endpoint identification, A/C number, sender identification, effective date, original trace number, amount, receiver identification, receiver route and transit, and reason code.

**Classification:** 1.21.2.322 NMAC, Statements and Reports - Bank Administration

[New - 01/22/2021]

**341-189        DFA PAYROLL REVERSALS AND CREDITS SUMMARY FILES:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** chronological by month

**Record series content:** print-out concerning corrections summary of DFA payroll reversals (credits) and debits made to the payroll account at the state treasurer's office. Summary shows month and year, faxed to bank date, statement date, name, amount, bank returns, total DFA authorization signature and date.

**Classification:** 1.21.2.310 NMAC, Reports - Accounting

[New - 01/22/2021]

**341-190        CORRECTION AND REVERSAL REQUEST FORM FILES:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** chronological by pay period

**Record series content:** this form is DFA's request to the fiscal agent (bank) to cancel an employee's direct deposit. Form shows employee name, bank account number, net amount of advice, transit number and associated agency.

**Classification:** 1.21.2.321 NMAC, Bank Relationship

[New - 01/22/2021]

**341-191 CANCELLED PAYROLL WARRANTS AND ADVICES FILES:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** chronological by pay period

**Record series content:** records concerning original payroll warrants and advices that the agency is requesting to be cancelled (e.g., incorrect hours, incorrect pay rate, employee terminated). File contains original payroll warrants and advices.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

**341-192 VOIDED PAYROLL WARRANTS FILE:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** chronological by date voided

**Record series content:** records concerning original payroll warrants that have been voided by central payroll because of calculation or typographical error. Warrant may show pay date, payee, warrant number, pay period ending and amount.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

**341-193 REDEMPTION OF FORCED PAYROLL "A" WARRANTS FILES:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** chronological by date created

**Record series content:** records concerning force redemption of a payroll warrant not on file at the state treasurer. File contains redemption of forced payroll (A) warrants form and copy of associated check.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

**341-194 W-4 INFORMATION FILES:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** chronological by pay period

**Record series content:** records concerning information used to establish tax with holding, state status and FICA status. File contains tax authorization form (HRS payroll form) and may contain copy of W-4 which shows name, social security number, marital status, total number of allowances, additional amount withheld, exemption claimed, employee's signature and date, employer's name and address, office code and employer identification number.

**Classification:** 1.21.2.214 NMAC, Taxes - Payroll

**Confidentiality:** confidential per 7-1-8 NMSA 1978.

[New - 01/22/2021]

**341-195 EMPLOYER'S QUARTERLY FEDERAL TAX RETURN FILES:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** chronological by reporting date

**Record series content:** records concerning DFA's reporting of federal taxes withheld. File contains employer's quarterly federal tax return (form 941) and associated worksheet.

**Classification:** 1.21.2.214 NMAC, Taxes - Payroll

[New - 01/22/2021]

**341-196 MANUAL WARRANT CONTROL LOG (FOR PRE-NUMBERED "A" WARRANTS):**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** numerical by warrant number

**Record series content:** record concerning manual warrants made outside the regular and supplemental payroll. Log shows warrant number, warrant date, payee name, warrant amount, agency code, fund code, organization code, pay number, prepared by, date logged, document identification, P.V. (payment voucher), HRS (human resource system), and comments or reasons.

**Classification:** six years after close of fiscal year in which created  
[7/16/96; 341-416 NMAC - Rn, 1 NMAC 3.2.93.341.90.416, 7/22/2002]

#### **341-197        MANUAL WARRANT CONTROL LOG (FOR CONTROL WARRANTS):**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** numerical by warrant number

**Record series content:** records concerning all control warrants that are used by central payroll. Log shows warrant date, payee name, control number, warrant number, amount, voucher number, agency, date logged in, JE (journal entry) number and entered by.

**Classification:** 1.21.2.110 NMAC, Logs  
[New - 01/22/2021]

#### **341-198        REGULAR/SUPPLEMENTAL PAYROLL VERIFICATION LOG:**

**Division/unit:** Financial control division - central payroll bureau

**Maintenance system:** chronological by pay period

**Record series content:** checklist showing internal verification that all required payroll output media has been generated.

**Classification:** 1.21.2.110 NMAC, Logs  
[New - 01/22/2021]

#### **341-199 to 341-210**

#### **341-211        HUMAN RESOURCES MANAGEMENT SYSTEM (HRMS) PAYROLL MODULE:**

**Division/unit:** Human resource - payroll

**Maintenance system:** none

**Record series content:** the HRMS payroll module uses the HRMS updated control tables and the employee database to process personnel records, time reports or sheets and payroll adjustment forms. Reports or checks or advises are outputs from the system.

**Classification:** 1.21.2.213 NMAC, Reports - Payroll  
[New - 01/22/2021]

#### **341-212        TIME SHEETS (PRINT-OUT):**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Print-out used by an "exception" agency to document employee payroll hours to DFA. Printout shows agency cost account, pay period end date, payroll schedule number, page, social security number, organization, employee name, salary, regular hours, term leave hours, overtime, shift, additional gross and paid sick leave.

**Classification:** 1.21.2.213 NMAC, Reports - Payroll  
[New - 01/22/2021]

#### **341-213        RETROACTIVE PAY ADJUSTMENT TRANSACTION FORM FILES:**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Form used to adjust pay, time, dollars, or type of pay (overtime, regular, etc.) for prior pay periods. Form shows schedule number, batch number, pay period, agency, address, social



security number, name, account number, job classification, earnings type, gross amount, +/- (increase/decrease) indicator, time, week ending, adjustment code, prepared by and date.

**Classification:** 1.21.2.235 NMAC, Time and Attendance

[New - 01/22/2021]

### **341-214        ADDITIONAL PAY TRANSACTION FORM FILES:**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Form used to report pay that is an additional amount generated outside of the employee's regular pay (e.g., additional gross, overtime not previously paid). Form shows schedule number, batch number, pay period ending, agency, address, contact, phone number, week ending, earning type, time, separate check, rate or amount, voluntary deduction, job classification, account number, control totals, prepared by and date.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

### **341-215        LUMP SUM PAYMENT FORM FILES:**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Form used to initiate a lump sum payment, bonus pay, etc., for employees. Form shows schedule number, batch number, pay period ending, agency, address, contact, phone number, week ending, earning type, time, rate or amount, job classification, account number, control totals, prepared by and date.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

[New - 01/22/2021]

### **341-216        PERSONNEL ACTION FORM (SPB FORM 1) FILES:**

**Division/unit:** Human resource - payroll

**Maintenance system:** Alphabetical by employee name

**Record series content:** Record concerning initial employment, promotions, transfers, leaves of absence and other personnel actions of employees. Form shows employee name, social security number, department name/address, personnel action code, reason, description, effective date, payroll status information, job assignment information, account number, earning type, rate or amount, start date, stop date, job history information, job performance information and approvals.

**Classification:** 1.21.2.233 NMAC, Personnel Files - Contributing

[New - 01/22/2021]

### **341-217        PAYROLL ADJUSTMENT WORKSHEET FILES:**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Worksheet used to establish one-time adjustments to an employee's existing deductions or employer's contributions. Worksheet is also prepared for refunding of deductions and/or contributions that were taken in error. Worksheet shows schedule number, batch number, pay period ending, employee's social security number, name, element number, +/-R indicator (amount added or replaced), amount, prepared by and date.

**Classification:** 1.21.2.211 NMAC, Deductions and Garnishments

[New - 01/22/2021]

### **341-218        DEDUCTION (BENEFITS) UPDATE TRANSACTION WORKSHEET FILES:**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Worksheet used to establish mandatory or change voluntary deductions, reductions and contributions. Worksheet shows schedule number, batch number, pay period ending, agency or department, address, contact person, phone number, employee name, social security number, element number, balance code, amount, total amount, certification and date.

**Classification:** 1.21.2.211 NMAC, Deductions and Garnishments

[New - 01/22/2021]

**341-219 BENEFITS AUTHORIZATION FORM (DFA FORM 5) FILES:**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Record concerning payroll sort for time sheets, payroll warrants and advices including payroll payment disposition information. Form shows employee name, social security number, effective date, department name and address, payroll routing code, retirement plan, health insurance plan, life insurance plan, leave accruals, prepared by and date.

**Classification:** 1.21.2.202 NMAC, Enrollment - Benefits

[New - 01/22/2021]

**341-220 U.S. SAVINGS BOND ENROLLMENT FORM FILES:**

**Division/unit:** Human resource – payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Record used to gather employee enrollment information for U.S. Savings Bonds. Form shows employee's social security number, name, effective date, bond purchase price, bond owner information, co-owner or beneficiary information, employee social security number and total bond deduction amount.

**Classification:** 1.21.2.202 NMAC, Enrollment - Benefits

[New - 01/22/2021]

**341-221 TAX AUTHORIZATION FORM FILES:**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Form used to document tax withholding information for an employee's tax status as well as IRS tax levy exemptions. Form shows employee name, social security number, department name and address, state of employment, state of residence, marital status, regular allowances, FICA eligibility, IRS tax levy exemptions, prepared by and date.

**Classification:** 1.21.2.214 NMAC, Taxes - Payroll

[New - 01/22/2021]

**341-222 REFUNDS MEMORANDUM:**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Memorandum concerning employee requests for refunds of any type of payroll deduction (e.g., bonds, insurance, taxes and/or contributions). Memorandum shows date, employee name, social security number, agency pay period, cost center, employee share, code, amount, total, state share, amount, total, and explanation as to why refund is requested.

**Classification:** 1.21.2.213 NMAC, Reports - Payroll

[New - 01/22/2021]

**341-223 AUTOMATIC CHECK CANCELLATION TRANSACTIONS FORM:**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Record used to input warrants and advices to be cancelled. Form shows schedule number, batch number, agency, department, contact, phone number, checks to be cancelled, employee name, social security number, transaction code, check number, pay period end date, prepared by and date.

**Classification:** 1.21.2.301 NMAC, Accounts Payable  
[New - 01/22/2021]

**341-224 CANCELLATIONS, HAND-DRAWN CHECKS AND OVERPAYMENTS FORM:**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Record used to input manual warrant cancellations, hand-drawn checks and overpayments. Form shows schedule number, batch number, pay period ending, employee's social security number, name, prepared by, date, cancellation, hand-drawn check, overpayment, check number, check date, gross pay, net pay, transaction date, FWT (federal withholding) gross, FICA gross, state tax gross, gross-to-net elements, and account distribution.

**Classification:** 1.21.2.301 NMAC, Accounts Payable  
[New - 01/22/2021]

**341-225 TIME REPORT CHECK-OFF (PAYR008), BI-WEEKLY:**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Summary report of on-line payroll input pages for positive time sheet location. Report shows run date, check date, organization identification, department name, sort key, pages, lines with control and lines without control.

**Classification:** 1.21.2.213 NMAC, Reports - Payroll  
[New - 01/22/2021]

**341-226 PAYROLL REGISTER (PPAY0286):**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Payroll report produced to document gross pay, payroll deductions, state contributions, net pay and identifies proper line items to be charged. Register shows period end date, pay date, agency fund, activity, cost center, social security number, marital status, bi-weekly hours, hours paid, gross, federal tax, EIC (earned income credit) state tax, other deductions, employee net, warrant number and line item charges.

**Classification:**

(1) **Payroll register (hard copy regular payroll):** 1.21.2.213 NMAC, Reports - Payroll

(2) **Payroll register (hard copy supplemental payroll):** 1.21.2.213 NMAC, Reports - Payroll

(3) **Payroll register (computer output microfilm copy - net result of the regular and supplemental payroll):** 1.21.2.212 NMAC, Payroll Registers

[New - 01/22/2021]

**341-227 EMPLOYEE DEDUCTIONS REPORT:**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Bi-weekly listing of employees by agency enrolled in the savings bond program. Report shows department, employee name, employee identification, deduction code, amount and agency totals.

**Classification:** 1.21.2.213 NMAC, Reports - Payroll  
[New - 01/22/2021]

**341-228            GARNISHMENT RECORD UNLOAD (PPE R1410):**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Bi-weekly listing of current and past garnishment information. Listing shows run date, social security number, GTN (gross-to net) code, payee-name, percent, cumulative to-date, cap amount, year-to-date amount, GTN amount, effective date, payroll status and garnishment status.

**Classification:** 1.21.2.213 NMAC, Reports - Payroll

[New - 01/22/2021]

**341-229            CANCEL TRANSACTIONS PROCESSED (PAYR190):**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Bi-weekly report concerning summary of all employee warrant and advice cancellations processed for a payroll. Report shows run number, run date, schedule, pay period, employee identification, employee name, check or advice number, gross amount and net amount.

**Classification:** 1.21.2.310 NMAC, Reports - Accounting

[New - 01/22/2021]

**341-230            TAX SHELTER ANNUITY REPORT (FAPR2301):**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Bi-weekly summary of deferred compensation deductions for the pay period. Report shows period end date, pay date, social security number, name, deduction code, gross pay, tax shelter annuity, tax shelter year to date amount, organization, etc.

**Classification:** 1.21.2.213 NMAC, Reports - Payroll

[New - 01/22/2021]

**341-231            DEDUCTION WARRANT REGISTER (FAPR0951):**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Bi-weekly summary of deduction warrants issued for the pay period. Register shows period end date, pay date, warrant number, warrant date, payee name, warrant amount, etc.

**Classification:** 1.21.2.213 NMAC, Reports - Payroll

[New - 01/22/2021]

**341-232            DEDUCTION REGISTER (FAPR0954):**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Bi-weekly summary of employee deductions and state contributions made for the pay period. Register shows period end date, pay date, deduction code, deduction description, social security number, employee name, state share, employee deduction amount, total deduction, warrant number, etc.

**Classification:** 1.21.2.212 NMAC, Payroll Registers

[New - 01/22/2021]

**341-233            AGENCY TRANSFER ORDER (FAPR1121):**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Bi-weekly summary report of how an agency was charged for a particular payroll by line item. Transfer order shows period ending date, pay date, account code, item code, transfer from, transfer to, division totals, total transfer from amount, etc.

**Classification:** 1.21.2.310 NMAC, Reports - Accounting

[New - 01/22/2021]

**341-234 PAYROLL INPUT RECONCILIATION (PAYR071):**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by pay period

**Record series content:** Bi-weekly report concerning information used to prepare employer's quarterly federal tax return. Report shows run date, check date, schedule, ending date, organization date, transaction code, type, record count, dollars and hours.

**Classification:** 1.21.2.213 NMAC, Reports - Payroll

[New - 01/22/2021]

**341-235 EMPLOYER'S QUARTERLY WAGE & CONTRIBUTION REPORT (PPAYZ590):**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by quarter

**Record series content:** Report concerning detail of wages and assessments for state unemployment reporting purposes. Report shows employer's number, quarter ending, employee social security number and name, gross wages, exempt wages, assessment amount, agency-division, account, totals and base wages.

**Classification:** 1.21.2.213 NMAC, Reports - Payroll

[New - 01/22/2021]

**341-236 EMPLOYER'S QUARTERLY WAGE & CONTRIBUTION REPORT (PPAYZ592):**

**Division/unit:** Human resource - payroll

**Maintenance system:** Chronological by quarter

**Record series content:** Summary of wages and assessments for state unemployment reporting purposes. Report shows employer's number, quarter ending, employee social security number and name, gross wages, exempt wages, assessment amount, agency-division, account, totals and base wages.

**Classification:** 1.21.2.213 NMAC, Reports - Payroll

[New - 01/22/2021]