

## 337 – State Investment Council File Plan

This file plan was developed to be a guide for State Investment Council 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 State Investment Council. 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.

### **337-001 INVESTMENT DETAIL TRANSACTION REPORTS:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year

**Record series content:** Report may show monthly report of transactions.

**Classification:** 1.21.2.114 NMAC, Publications

**File closure:** Date of report

[New - 03/31/2021]

### **337-002 INVESTMENT PORTFOLIO AND EARNING REPORTS:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year

**Record series content:** Report may show interest rate, face rate, yield, maturity date, par value, book value, purchase date, etc.

**Classification:** 1.21.2.342 NMAC, Statements and Reports - Investments

**File closure:** Date audit has been released

[New - 03/31/2021]

### **337-003 INVESTMENT CASE FILES:**

**Division/unit:** State investment council

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

**Record series content:** File may include investment information on SIC owned stocks, bonds, and certificates of deposit.

**Classification:** 1.21.2.341 NMAC, Investments

**File closure:** Date audit has been released

[New - 03/31/2021]

### **337-004 SMALL BUSINESS ADMINISTRATION LOAN CASE FILES:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year, then numerical

**Record series content:** File may include remittance reports.

**Classification:** 1.21.2.341 NMAC, Investments

**File closure:** Close of fiscal year in which final payment is received

[New - 03/31/2021]

### **337-005 MULTI-UNIT MORTGAGE LOAD FILES:**

**Division/unit:** State investment council

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

**Record series content:** File may include physical inspection reports, notice of payment, purchase vouchers, insurance policies, amortization schedules, correspondence, etc.

**Classification:** 1.21.2.341 NMAC, Investments

**File closure:** Date of mortgage retirement

[New - 03/31/2021]

**337-006 MORTGAGE SERVICER FILES:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year, then numerical

**Record series content:** File may include servicer approval, contract, financial statements, insurance certificates for bond, correspondence, etc.

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

**File closure:** Date contract terminated

[New - 03/31/2021]

**337-007 HOME LOAN FILES:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year, then numerical by servicer and load number

**Record series content:** File may include mortgage voucher, amortization schedule, payment record, plot, insurance claims and foreclosed loans or deeds in lieu of foreclosure, etc.

**Classification:** 1.21.2.341 NMAC, Investments

**File closure:** Date audit has been released

[New - 03/31/2021]

**337-008 DATA INPUT FILES:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year

**Record series content:** File may include copy of receipt, and any transaction or changes.

**Classification:** 1.21.2.309 NMAC, Ledgers

**File closure:** Date audit has been released

[New - 03/31/2021]

**337-009 CERTIFICATE OF DEPOSIT QUARTERLY REPORTS:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year, then alphabetical by financial institutions

**Record series content:** File may include reports.

**Classification:** 1.21.2.342 NMAC, Statements and Reports - Investments

**File closure:** Date audit has been released

[New - 03/31/2021]

**337-010 CERTIFICATE OF DEPOSIT AND SUPPORT DOCUMENTS FILES:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year, then alphabetical by financial institution

**Record series content:** File may include purchase sheet, safe keeping receipts, and correspondence.

**Classification:** 1.21.2.341 NMAC, Investments

**File closure:** Date maturity has occurred

[New - 03/31/2021]

**337-011 HOME LOAN REPORTS:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year, then alphabetical by servicer

**Record series content:** Report may show mortgage payment, amount of principal and interest, servicers name, delinquency information, etc.

**Classification:** 1.21.2.342 NMAC, Statements and Reports - Investments

**File closure:** Close of fiscal year in which payment was received

[New - 03/31/2021]

**337-012 ADVISOR FILES:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year

**Record series content:** File may include information on stock, recommendations, correspondence, etc.

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

**File closure:** Date contract terminated

[New - 03/31/2021]

**337-013 BROKERS FILES:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year, then alphabetical by broker's name

**Record series content:** File may include monthly transaction statement and broker's statement.

**Classification:** 1.21.2.342 NMAC, Statements and Reports - Investments

**File closure:** Date audit has been released

[New - 03/31/2021]

**337-014 SECURITY LENDING MONTHLY REPORT FILES:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year

**Record series content:** File may include agent statement, related documents, and correspondence.

**Classification:** 1.21.2.342 NMAC, Statements and Reports - Investments

**File closure:** Date audit has been released

[New - 03/31/2021]

**337-015 OVERNIGHT INVESTMENT WORKSHEETS FILES:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year and month

**Record series content:** File may include released cash available worksheets, investment authorization letter and correspondence.

**Classification:** 1.21.2.341 NMAC, Investments

**File closure:** Date audit has been released

[New - 03/31/2021]

**337-016 CORRESPONDENCE BANK REPORTS:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year

**Record series content:** Report may show date, credits for SIC, references, amount, funds, type, etc.

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

**File closure:** Date contract terminated

[New - 03/31/2021]

**337-017 FISCAL AGENT REPORTS:**

**Division/unit:** State investment council

**Maintenance system:** Chronological by year

**Record series content:** Report may show date, transaction description principal transaction, dollar amount, closing asset position, etc.

**Classification:** 1.21.2.342 NMAC, Statements and Reports - Investments

**File closure:** Date contract terminated

[New - 03/31/2021]