

366 – Public Employees Retirement Association File Plan

This file plan was developed to be a guide for Public Employees Retirement Association 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 Public Employees Retirement Association. 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.

366-001 PERA BOARD ELECTION BALLOT FILES:

Division/unit: Membership services

Maintenance system: Chronological by date

Record series content: Records documenting the nomination and election of PERA board members. Files may include nominating petitions, voted ballots, undeliverable ballots, ballot registers, voided ballots, etc.

Classification: 1.21.2.425 NMAC, Election Administration - Local

File closure: Date election committee results are approved by the PERA board
[New - 03/31/2021]

366-002 MEMBERSHIP FILES:

Division/unit: Membership services

Maintenance system: Chronological by date

Record series content: Records concerning individual PERA memberships and pension plan histories. Files may include *application for membership; survivor beneficiary form; refund beneficiary designation form; PERA termination notice form; change in records form; benefit estimate computations; payment agreement computations; preliminary application for pension; copies of birth, baptismal and marriage certificates; detailed contribution transaction history report; contribution tabulation history summary report; final application for annuity; final benefit estimate report; IRS form 1099; requests for information; affidavit for free military service form; employer certification for free military service form; state transfer form; application for pension for volunteer firefighter; affirmation of marital status form; spousal consent form; direct deposit form; waiver of direct deposit form; tax deduction form; PERA disability retirement kit and forms; application for a reemployed PERA retiree form; contribution remittance; employer certification for retiring employees; model order dividing retirements benefits; employee exclusion from PERA membership; application for exclusion from membership at the time of employer affiliation; volunteer firefighter enrollment form; volunteer firefighter service credit qualification record; volunteer firefighter annual reporting; adjusted qualification record; correspondence; etc.*

Classification:

(A) Active members (vested or non-vested) who die before retirement: 1.21.2.242 NMAC, Member Files - Benefits Exhausted

(B) Inactive members: 1.21.2.243 NMAC, Member Files - Other

(C) Former members: 1.21.2.243 NMAC, Member Files - Other

(D) Retired members: 1.21.2.242 NMAC, Member Files - Benefits Exhausted

File closure:

(A) Active members (vested or non-vested) who die before retirement: Date survivor receives final annuity payment or refund of contributions (or refund paid to the estate if applicable)

(B) **Inactive members:** Date vested member becomes inactive or date of inactive member's death

(C) **Former members:** Date contributions are withdrawn

(D) **Retired members:** Date survivor receives final annuity payment in accordance with survivor benefit plan

Confidentiality: Portions of file may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and Section 24-14-27 NMSA 1978 Disclosure of records.

[New - 03/31/2021]

366-003 VOLUNTEER FIREFIGHTER ANNUAL REPORT FILES:

Division/unit: Membership services

Maintenance system: Chronological by date of report, then numerically by PERA number

Record series content: Annual report submitted by a fire department to PERA documenting volunteer firefighter contribution of services for a determination of qualified service credit. Files may include annual reports indicating the fire department name, address, PERA number, member enrollments, service reported, total number of firefighters reported, fire chief certification, etc.

Classification: 1.21.2.241 NMAC, Contributions

File closure: Close of calendar year in which report is received

Confidentiality: Portions of file may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number).

[New - 03/31/2021]

366-004 to 366-010

366-011 EMPLOYER'S CONTRIBUTION REPORTING FILES:

Division/unit: Membership services

Maintenance system: Chronological by date, then numerical by employer identification number

Record series content: Record of employee wages and pension plan contributions reported to PERA by affiliated PERA employers. Information is submitted electronically to the RIOS through the SHARE system for state agencies and through online submissions by other affiliated employers. Reported information may include pay period end dates, pay dates, employee names, SSN, employee contributions, employer contributions, total amount of monthly contributions, etc.

Classification: 1.21.2.241 NMAC, Contributions

File closure: Date report received

Confidentiality: Portions of file may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number).

[New - 03/31/2021]

366-012 to 366-020

366-021 ACTUARIAL VALUATION REPORTS:

Division/unit: Financial services

Maintenance system: Chronological by date

Record series content: Record of financial annual reports used to document the actuarial valuation of PERA pension funds and financial status. This file consists of three reports; actuarial valuation, CAFR and an internal audit.

Classification: 1.21.2.114 NMAC, Publications

File closure: Close of fiscal year in which reports are approved by PERA board

[New - 03/31/2021]

366-022 to 366-030

366-031 INVESTMENT COMMITTEE FILES:

Division/unit: Investments

Maintenance system: Chronological by date

Record series content: Record of official investment committee minutes of meetings and supporting documentation. Files may include reports, proposals, studies, charts, meeting agenda, minutes of meetings, and investment recommendations to the PERA board, etc.

Classification: 1.21.2.452 NMAC, Meetings

File closure: Close of fiscal year in which minutes were approved
[New - 03/31/2021]

366-032 INVESTMENT FILES:

Division/unit: Investments

Maintenance system: Chronological by federal fiscal year, then alphabetical by provider name

Record series content: Records documenting investment transactions made for PERA by staff and contracted investment consultants and managers. Files may include provider contracts, letters of authorization to buy and sell securities, confirmations of trade, overnight repurchase agreements, state treasurer's confirmation letters of investments made and income earned, copy of state treasurer's validated deposit slips with attached sale transactions, broker's month-end statements indicating trade date; commission and security fees; number of shares; par value; net dollar amount, monthly transaction reports reconciling assets between PERA and the custodial bank, quarterly investment fund reports showing amount invested; quarterly return for investment; portfolio characteristics; equity holdings, correspondence, etc.

Classification: 1.21.2.341 NMAC, Investments

File closure: Close of the federal fiscal year in which financial audit is released
[New - 03/31/2021]

366-033 CUSTODIAL BANK FILES:

Division/unit: Investments

Maintenance system: Chronological by federal fiscal year, then alphabetical by custodial bank name

Record series content: Records documenting all transactions conducted by custodial banks on behalf of PERA. Files may include custodial bank contracts, letters of authorization to buy and sell securities, confirmations of trade, overnight repurchase agreements, state treasurer's confirmation letters of investments made and income earned, copies of state treasurer's validated deposit slips with attached sale transactions, broker's month-end statements, monthly transaction reports reconciling assets between PERA and the custodial bank, quarterly investment fund reports, correspondence, etc.

Classification: 1.21.2.321 NMAC, Bank Relationship

File closure: Close of the federal fiscal year in which contract terminated
[New - 03/31/2021]

366-034 to 366-040

366-041 EMPLOYER AFFILIATION FILES:

Division/unit: Administrative services

Maintenance system: Chronological by year, then alphabetical by employer name

Record series content: records documenting employers' affiliation agreements, contributions and employers' history with PERA. Files may include employers' affiliations retirement plan resolutions, tax deferred contribution resolutions, employer pick-up resolutions, tally sheets to adopt a different coverage plan, department of finance budget approvals, correspondence, etc.

Classification: 1.21.2.603 NMAC, Cooperative Agreements

File closure: Close of fiscal year in which created
[New - 03/31/2021]

366-042 SOCIAL SECURITY ACT AGREEMENT AND MODIFICATIONS FILES:

Division/unit: Administrative services

Maintenance system: Chronological by date of agreement or modification of agreement, then alphabetical by entity

Record series content: Records documenting agreements of state and local government agencies and the social security administration to withhold social security contributions for employees in accordance with Section 218 of the Social Security Act. File may include agreements, modifications of agreements, correspondence, etc.

Classification: 1.21.2.603 NMAC, Cooperative Agreements

File closure: Close of fiscal year in which created
[New - 03/31/2021]

366-043 SOCIAL SECURITY CONTRIBUTIONS REPORT FILES:

Division/unit: Administrative services

Maintenance system: Chronological by date, then alphabetical by entity

Record series content: Report documents employee social security contributions made by state agencies to the former PERA social security division. Files may include state quarterly report of wages paid, state reports of adjustments, recapitulation reports, yearly contribution reports, etc.

Classification: 1.21.2.241 NMAC, Contributions

File closure: Close of fiscal year in which created

Confidentiality: Portions of file may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number).

[New - 03/31/2021]

366-044 to 366-050

366-051 RETIREMENT INFORMATION ONLINE SYSTEM (RIOS):

Division/unit: Information systems

Maintenance system: Numerical by primary key

Record series content: RIOS is an information system that interfaces with an internal document management system and with SHARE and is used to capture, receive, manage and provides access to data and digital images. Data may include membership information, volunteer firefighter annual report information, employer's monthly contributions information, employer affiliation information, administrative metadata, descriptive metadata, etc. Digital images may include membership documents, IRS form 1099-R documents, actuarial valuation annual financial report documents, investment committee documents, investment documents, custodial bank documents, etc.

Classification:

(A) **Metadata:** 1.21.2.242 NMAC, Member Files - Benefits Exhausted

(B) **Membership data and images:**

(1) **Active members who die before retirement:** 1.21.2.242 NMAC, Member Files - Benefits Exhausted

(2) **Inactive members:** 1.21.2.243 NMAC, Member Files - Other

(3) **Former members:** 1.21.2.243 NMAC, Member Files - Other

(4) **Retired members:** 1.21.2.242 NMAC, Member Files - Benefits Exhausted

(C) **Volunteer firefighter annual report data:** 1.21.2.241 NMAC, Contributions

(D) **IRS form 1099-R data:** 1.21.2.242 NMAC, Member Files - Benefits Exhausted

(E) **Actuarial valuation reports images:** 1.21.2.114 NMAC, Publications

(F) **Employer's monthly contribution report data:** 1.21.2.241 NMAC, Contributions

- (G) Investment committee images:** 1.21.2.452 NMAC, Meetings
- (H) Investment images:** 1.21.2.341 NMAC, Investments
- (I) Custodial bank images:** 1.21.2.341 NMAC, Investments
- (J) Employer affiliation data:** 1.21.2.603 NMAC, Cooperative Agreements

Confidentiality: Portions of file may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and Section 24-14-27 NMSA 1978 Disclosure of records.

[New - 03/31/2021]