

Attachment C

Record Keeper Interface Files

NPERS and the record keeper share plan information on a daily basis using a series of interface files. The Interfaces act as a bridge between the NPERS and record keeper's systems which is intended to keep the shared data in the two systems synchronized. These files are exchanged using an ftp connection. At the end of each day, programs are executed in NPRIS to generate the interface files transfer all the files to the record keeper system using the FTP commands. All the files received from the record keeper are downloaded using FTP commands and loaded into NPRIS. The record keeper will host the FTP site and NPERS will initiate the FTP commands with scheduled scripts.

The following table provides a high level description of the current interface files. The files are delimited text files and the format of the files is determined by the Nebraska Public Employees Retirement System (NPERS).

For the purpose of this document the term "DC members" refers to the members of the Nebraska State and County Defined Contribution Plans, the Nebraska State and County Cash Balance Retirement Plans, the State Patrol Deferred Retirement Option Plan (DROP) and the State of Nebraska 457 Deferred Compensation Plans (DCP) administered by NPERS.

Interface File Name	Data Flow Direction	Description
Demographic Updates 001-DEMO	NPRIS to Record Keeper	<p>This file contains information related to changes in member demographic data such as address, name, and hire date. This interface contains demographic data for members captured in the Nebraska Public Retirement Information System (NPRIS). This interface is required in order to keep the demographic information in NPRIS in sync with the record keeper demographic information. This file consists of new and or changed data that happens for inactive DC members.</p> <p>Changes to demographic information for inactive members are made directly in NPRIS and communicated to the record keeper through the 001-DEMO file. Changes to demographic information for active members are made through the payroll files provided by the employers to the record keeper and communicated to NPERS through the 009-demo FILE.</p> <p>This file will be generated by NPRIS and NPERS will send it to the record keeper every business day.</p>

Interface File Name	Data Flow Direction	Description
Investment Options (Daily Fund Election Changes / Transfers) 002-ELEC	NPRIS to Record Keeper	<p>This file contains member information related to investment options, transfers and rebalances. This interface consists of new and or changed fund elections that are captured in Investment Options through NPRIS.</p> <p>Members may make changes to their election options by submitting those changes to NPERS. Those changes are made in NPRIS and communicated to the record keeper through the 002-ELEC interface file. Members may also make changes to their election options by submitting those changes to the record keeper. Those changes are made in the record keeper's system and communicated to NPERS through the 010-RQDE interface file.</p> <p>This file will be generated by NPRIS and NPERS will send it to the record keeper every business day.</p>
Refund Request 003-REFA	NPRIS to Record Keeper	<p>This interface consists of disbursement requests created in NPRIS for DC members. Disbursement requests include lump sum payments, rollovers, annuities and systematic withdrawals. Refund payments are made by the record keeper to the member. Annuity payments are made by NPERS. There could be multiple types of payment instructions for a member including rollover payments and lump sum payments. A separate record will be created in the interface file for each type of payment instruction.</p> <p>This file will be generated by NPRIS and NPERS will send it to the record keeper every business day.</p>
QDRO 004-QDRO	NPRIS to Record Keeper	<p>This file is generated from NPRIS and contains information related to Qualified Domestic Relations Order. This interface consists of court order split requests created in NPRIS. The record keeper will calculate the split amount according to the information included in this file. The split request will include information about the alternate payee. The record keeper will create and maintain an account for the alternate payee.</p> <p>This file will be generated by NPRIS and NPERS will send it to the record keeper every business day.</p>

Interface File Name	Data Flow Direction	Description
Merge SSN 007-MSSN	NPRIS to Record Keeper	<p>This file is generated from NPRIS and contains information related to merging incorrect social security numbers. When a SSN is reported incorrectly, all associated transactions need to be moved to the proper SSN. This interface will provide to the record keeper the information necessary to merge an incorrect SSN to a correct SSN.</p> <p>This file will be generated by NPRIS and NPERS will send it to the record keeper every business day.</p>
PIONEER Error Log File 008-PELF	NPRIS to Record Keeper	<p>This interface provides information to the record keeper on interface file records that did not get loaded into NPRIS due to errors.</p> <p>This file will be generated by NPRIS and NPERS will send it to the record keeper every business day.</p>
Demographic Changes/ Salary Remittances Posted 009-DEMO	Record Keeper To NPRIS	<p>The purpose of this interface is to provide NPRIS with the demographic changes, and salary information from the payroll files from State, County, and DCP. The record keeper receives the file(s) from the employers processes the files, and reports only the demographic changes and salary information to NPRIS. This file is also used create new members in NPRIS.</p> <p>This file will be generated by the record keeper and NPERS will retrieve it from the record keeper every business day.</p>
Request File Details 010-RQDE	Record Keeper To NPRIS	<p>This interface consists of details with respect to elections, transfers, realignment that happened in the record keeper's system. This interface is used to update NPRIS to display the correct investment options after changes are made in the record keeper system.</p> <p>This file will be generated by the record keeper and NPERS will retrieve it from the record keeper every business day.</p>
Disbursement Summary 011-DISM	Record Keeper To NPRIS	<p>Contains information related to member disbursements. Activity in this file corresponds to activity in the 003-REFA interface file. Information in the 003-REFA file triggers the disbursement by the record keeper. This file contains information about how the disbursement was executed by the record keeper. This interface will update the refund application status and the account status in NPRIS according to the type and final amount of the refund.</p> <p>This file will be generated by the record keeper and NPERS will retrieve it from the record keeper every business day.</p>

Interface File Name	Data Flow Direction	Description
PMAM 012-PMAM	Record Keeper To NPRIS	<p>This file is received from the record keeper and has member financial information that has been received or updated by the record keeper, including contributions and fees. This interface provides information on the change of shares in the member accounts to NPRIS.</p> <p>This file will be generated by the record keeper and NPERS will retrieve it from the record keeper every business day.</p>
Daily Pricing 013-DAPR	Record Keeper To NPRIS	<p>This interface is used to load the unit price per fund into NPRIS so that the account balances can be determined for DC members.</p> <p>This file will be generated by the record keeper and NPERS will retrieve it from the record keeper every business day.</p>
Error Log 014-AELF	Record Keeper To NPRIS	<p>Errors that occur in the record keeper system related to processing interface files</p> <p>This file will be generated by the record keeper and NPERS will retrieve it from the record keeper every business day.</p>
State Patrol DROP 016-DPYR	NPRIS to Record Keeper	<p>The purpose of the interface is to send DROP contributions to the record keeper. The interface is also used to enroll state patrol members in the record keeper system as DROP participants</p> <p>This file will be generated by NPRIS and NPERS will send it to the record keeper monthly, four business days before the end of the month</p>
Balance Reconciliation PIONALLOC	Record Keeper To NPRIS	<p>This file contains data on the shares in each fund for each member. It is used to verify that the member balances in the record keeper system match the member balances in NPRIS on a daily basis.</p> <p>This file will be generated by the record keeper and NPERS will retrieve it from the record keeper every business day.</p>