USE THIS FORM IF YOU ARE TRYING TO...

RETIREMENT FORMS:

If You Are Trying To:	Use This Form

Enrollments & Waivers

For each new permanent and temporary employee, the authorized agent must complete the on-line "Setup New Employee". See your PERSLink Employer Self Service Guide.

Did you know that employees can complete their benefit plan enrollment(s) using PERSLink Member Self Service (MSS)!

PERSLink MSS provides on-line access to benefit information, the ability to complete benefit enrollments and changes, as well as updating personal profile instead of completing paper forms and submitting to NDPERS.

Enroll a new employee in the Retirement Plan	New Hire Kit
Enroll a temporary/part-time employee in the Defined Benefit Plan	New Hire Kit
Switch an employee from mandatory participation to optional participation and employee is continuing participation in the Defined Benefit Plan	Employment Change Request Through Employer Self Service & New Hire Kit
Switch an employee from mandatory participation to optional participation and employee is electing **NOT** to continue to participate in the Defined Benefit Plan	Employment Change Request Through Employer Self Service & Agreement/Waiver of Participation for Optional Retirement SFN 17627
Switch an employee from optional participation to mandatory participation in the Defined Benefit Plan	Employment Change Request Through Employer Self Service & New Hire Kit
Waive participation in the Defined Benefit Plan for a newly elected official	Waiver of Membership for Elected Officials Only SFN 53405
Waive participation for county and state elected officials reaching normal retirement	Retirement Plan Membership Waiver SFN 54286
Waive participation for a **new** temporary/part-time employee	New Hire Kit & Agreement/Waiver of Participation for Optional Retirement SFN 17627
Waive participation for reemployed NDPERS retiree	Retirement Plan Membership Waiver SFN 54286

Designation & Changes

Name beneficiaries to receive retirement benefits in the event of an employee's death	Designation of Beneficiary for the Group Retirement Plan SFN 2560

Change a beneficiary for retirement benefits	Designation of Beneficiary for the Group Retirement Plan SFN 2560
Report a name, marital, or address change	Notice of Change SFN 10766
Report a leave of absence, leave of absence extension, or return from leave of absence	Employment Change Request Through Employer Self Service

If You Are Trying To:	**Use This Form**
Report an employee's classification change within agency	Employment Change Request Through Employer Self Service
Report an employee transferring to another NDPERS participating agency	Notice of Transfer SFN 53706
Transfer an employee's membership in the Defined Benefit Plan to TIAA-CREF	Notice of Membership Transfer to TIAA – CREF SFN 50084
Transfer an employee's membership in the Defined Benefit Plan to TFFR	Notice of Transfer SFN 53706
Transfer an employee's membership in the Defined Benefit Plan to the ND Highway Patrol Retirement	Notice of Transfer SFN 53706
Transfer an employee's membership in the Defined Benefit Plan to the ND Law Enforcement Retirement	Notice of Transfer SFN 53706
Switch an employee from a non-elected position to an elected official position	Employment Change Request Through Employer Self Service & Transfer of Unused Sick Leave Sick Leave Verification SFN 53404

Previous Service & Purchase

Notify NDPERS of an employee's previous in-or-out of state public employment or Federal service that may be counted as credited service for retirement purposes	Verification of Public Employment SFN 19397
Initiate purchase information for a Defined Benefit Plan employee	NDPERS Request for Purchase Information SFN 53718
Initiate purchase information on active military duty for a Defined Benefit Plan employee	Purchase Agreement for USERRA Covered Military Active Duty SFN 17758
Verify the amount of employee contributions paid by a reservist that may require the employer to refund	Verification of Employee Contributions Towards USERRA Active Military Duty SFN 54361
Verify final 60 days of salary for individuals terminating employment and electing to convert unused sick leave through a pre-tax direct rollover/transfer of eligible funds	Conversion of Unused Sick Leave Application – Defined Benefit SFN 58358 (within Retirement and Deferred Retirement Kits)

Separation of Employment

Notify NDPERS of an employee's separation of employment	Employment Change Request Through Employer Self Service
Report the death of an active employee	Use the "Report a Death" functionality through Employer Self Service
Initiate a refund of a terminating employee's Defined Benefit Plan	Refund/Rollover Kit
Initiate a direct rollover of a terminating employee's Defined Benefit Plan	Refund/Rollover Kit
Initiate a deferred retirement benefit for a terminating employee's Defined Benefit Plan	Deferred Retirement Kit
Initiate a retirement benefit for a terminating employee's Defined Benefit Plan	Retirement Kit
Provide retirement benefits for a surviving spouse	Application for Surviving Spouse Benefits SFN 52254
Provide retirement benefits to a non-spouse beneficiary	Statement of Beneficiary (Group Retirement Plan) SFN 51702
Initiate a disability retirement benefit for a terminating employee's Defined Benefit Plan	Disability Retirement
Initiate Direct Deposit for a refund for a terminating Defined Benefit Plan employee	Refund/Rollover Kit
Initiate Direct Deposit for a retirement benefit for a terminating Defined Benefit Plan employee	Retirement Kit
Initiate Direct Deposit for a disability benefit for a terminating Defined Benefit Plan Employee	Disability Retirement

RETIREMENT MEMBERSHIP APPLICATION
SFN 2561

All instructions, terms and conditions are in the NDPERS New Hire Kit.

The Retirement Membership Application SFN 2561 is the form used to enroll new employees in a retirement plan. THIS FORM MUST BE RECEIVED BEFORE CONTRIBUTIONS WILL BE ACCEPTED. Please send the application to NDPERS by the end of the month for which they are being enrolled. For permanent State employees who are eligible to join the Defined Contribution plan, a Defined Contribution Retirement Election SFN 52170 will be mailed to each employee by the NDPERS office. (See the Defined Contribution Retirement Plan section). For employees transferring from one participating agency to another use the Notice of Transfer Kit.

All state agencies participate in the North Dakota Public Employees Retirement System (NDPERS), except those covered by other state sponsored pension plans (not including Social Security).

Employees of political subdivisions may participate in NDPERS if their governing boards elect to participate.

Eligibility and Participation Requirements
An employee is eligible to participate in NDPERS either as a mandatory or an optional participant if they are employed by a participating employer. If eligible, the employee must be enrolled **IMMEDIATELY**.

Mandatory Participation Requirements
If an employee works a minimum of 20 hours per week for twenty (20) or more weeks of the calendar year, is at least eighteen years of age, fills a permanent position that is regularly funded and not of limited duration, the employee must participate in the defined benefit plan unless the employee waived participation in writing when the employer joined NDPERS.

If the employee meets the above requirements and is a permanent state employee, the employee may elect to participate in either the Defined Benefit Plan or the Defined Contribution Plan with the first six (6) months from date of hire. The employee must be enrolled the first month of eligible employment, even when hired subject to a probationary period. There is no maximum age limit for enrollment purposes.

A member that participants in the NDPERS Defined Contribution Retirement Plan shall remain a participant in the Plan regardless of whether the member becomes employed by a political subdivision, city, county or school district that participates in the public employees retirement system. However, this rule does not apply to participants who are re-employed and eligible for the Highway Patrol Retirement System, the Teachers Fund for Retirement or eligible for the alternate retirement plan of the board of higher education. If you hire an employee who has been a participant in the past, it will be necessary for you to continue contributing to the NDPERS Defined Contribution Plan for the individual.

Participation Requirements for State Elected and Appointed Officials
State officials elected on or after December 31, 1999 who meet the mandatory participation requirements may enroll or waive participation in the defined benefit plan within the first six (6) months of their term. If the state official elects to join NDPERS, they must be a participating member of the defined benefit plan unless an election is made within six (6) months to join the defined contribution plan. State appointed officials initially appointed on or after July 1, 1979 must be participating members of the defined benefit plan. The state appointed official must be a participating member of the defined benefit plan unless an election is made within six (6) months to join the defined contribution plan.

Participation Requirements for Other (Non-State) Elected Officials
Elected officials of participating counties, at their individual option, may enroll or waive participation in the defined benefit plan within the first six (6) months of their term. All other elected officials who meet the above mandatory participation requirements must be enrolled in the defined benefit plan within the first six (6) months of their term.

Participation Requirements for Other (Non-State) Appointed Officials
Officials of all other participating employers appointed on or after August 1, 1999 who meet the above mandatory participation requirements must be enrolled in the defined benefit plan effective with the first month of taking office.

Optional Participation Requirements (Temporary/Part-time employees)
If the employee is at least eighteen years old and is not covered under the above provisions, the employee may elect to participate in NDPERS at their own cost within the first 180 days of employment or within 180 days of changing to part-time or temporary employment.

While it is possible for an employer to pay all or part of the employee contribution for permanent full-time employees, the **law expressly prohibits the employer from paying any portion of an optional participant's contribution**. Temporary/Part-time employees MUST contribute the entire contribution amount.

An Employee has the OPTION to participate, but the employer **must give them this option**.

An employee can not participate in NDPERS if they are covered by another employer-sponsored plan. This applies to both private and public pension funds. So if an employee has both Permanent and Temporary employment, the Permanent employment takes precedence.

Employees employed at the time an employer joins may enroll or waive participation.

NOTE: A Designation of Beneficiary for the Group Retirement Plan, **SFN 2560**, should accompany the Retirement Membership Application **SFN 2562**. **HOWEVER, DO NOT DELAY SENDING THE MEMBERSHIP APPLICATION IF YOU DON'T HAVE ALL OF THE INFORMATION REQUIRED FOR THE DESIGNATION OF BENEFICIARY FORM.** It is more important for NDPERS to get the Retirement Membership Election SFN 2562-the Designation of Beneficiary SFN 2560 may be sent later.

LAW ENFORCEMENT ELIGIBILITY

If the employee is employed with Bureau of Criminal Investigation (BCI) he/she is eligible to participate in Law Enforcement Defined Benefit Plan or the Defined Contribution Plan.

If the employee is a Peace Officer or Correctional Officer of a participating political subdivision, he/she is eligible to participate in NDPERS Law Enforcement Defined Benefit Plan.

Mandatory Participation Requirements

If a Law Enforcement employee works a minimum of 32 hours per week (BCI minimum of 20 hours per week) for 20 or more weeks of the year, is at least eighteen years of age, filling a permanent position that is regularly funded and not of limited duration, he/she must participate in the defined benefit plan unless participation was waived when your employer joined NDPERS.

If the employee is a member of the Bureau of Criminal Investigation, he/she must participate in Law Enforcement Plan unless he/she elects in writing to participate in the Defined Contribution plan within six (6) months of entering permanent State employment. [Refer to the defined contribution plan section for details regarding that system.]

An employee should be enrolled the first month of eligible employment, even when hired subject to a probationary period. There is no maximum age limit applicable for enrollment purposes.

Exception: Correctional officers of a participating political subdivision must complete a course approved by the North Dakota Department of Correction and Rehabilitation and be employed by a correctional facility as defined in the North Dakota Century Code Chapter 12-44.1.

If a correctional officer has not completed an approved course, the following applies:

1. Upon a group's initial enrollment in the Law Enforcement Plan, correctional officers not certified will remain in the Defined Benefit plan or current employer sponsored plan until such a time that they become certified. Once certified, the correctional officer will be given 180 days to either elect to join or waive participation in the Law Enforcement plan. If no election is made, the correctional officer will remain a member of the Defined Benefit or employer sponsored retirement plan.

2. All correctional officers hired after the date a group adopts the Law Enforcement retirement, upon completion of the certification, must be enrolled in the Law Enforcement plan.

If "Certificates of Training Achievement" are issued after completion of training, retirement contributions should be paid retroactive to the date indicated on the certificate.

JUDGES MANDATORY PARTICIPATION REQUIREMENTS

After July 1, 1973, if each member elected or appointed to the office of justice of the Supreme Court or judge of the District Court for the first time, you must, from and after the date you took office, be a participation member of the Public Employees Retirement System.

You should be enrolled the first month of eligible employment, even when hired subject to a probationary period. There is no maximum age limit for enrollment purposes.

HIGHWAY PATROL MANDATORY PARTICIPATION REQUIREMENTS

Each member of the Highway Patrol, including the superintendent and assistant superintendent, must participate in the Highway Patrol Retirement System.

AGREEMENT/WAIVER OF PARTICIPATION FOR DEFINED BENEFIT OPTIONAL RETIREMENT PLAN SFN 17627

All instructions, terms and conditions are in the NDPERS New Hire Kit.

This form must be completed within the first six- (6) months of hire for all temporary and part-time employees who do not qualify for mandatory participation. See member handbook for definition of mandatory participation. It must also be completed for an employee whose job status is changing from permanent employment to temporary/part-time employment to indicate whether they will participate or decline to participate in the retirement plan. Failure to enroll in NDPERS will result in an irrevocable waiver of participation.

For instructions on completing the form, please refer to the back of the form.

A part-time/temporary employee may not participate in NDPERS as an optional participant if he/she is actively contributing to another employer sponsored pension plan (public or private).

FAILURE TO COMPLETE THIS FORM COULD LEAVE THE EMPLOYER VULNERABLE TO LEGAL ACTION.

FILING PROCEDURE: Original to NDPERS – Please retain a photocopy for your records.

WAIVER OF MEMBERSHIP FOR ELECTED OFFICIALS ONLY
SFN 53405

Newly elected state and county officials choosing not to join NDPERS should complete the Waiver of Membership **SFN 53405 with in the first 6 months of term**. The Waiver of Membership SFN 53405 will remain in effect for any subsequent terms unless NDPERS is notified otherwise. An elected official can elect to participate in NDPERS upon re-election. **Failure to enroll in NDPERS will result in an irrevocable waiver of participation.**

FILING PROCEDURE: Original to NDPERS – Please retain a photocopy for your records.

RETIREMENT PLAN MEMBERSHIP WAIVER
SFN 54286

This form must be completed NO EARLIER than 31 days after a severance of employment for retirees returning to eligible employment. Reminder: To be eligible for benefits, a member must terminate employment or terminate membership. "Termination of employment" means a severance of employment by not being on the payroll of a covered employer for a minimum of one month (31 days). This period is determined by counting 31 days from a member's final regular payroll payment to the date he/she begins actual employment (first day of work) with a new NDPERS participating employer.

Approved leave of absence does not constitute termination of employment.

Under N.D.C.C. 54-52-05, an employee who is eligible for normal retirement and who accepts a retirement benefit becomes reemployed with a NDPERS participating employer other than the employer with which the employee was employed at the time the employee retired may, before reenrolling in the retirement plan, elect to permanently waive future participation in the Defined Benefit or Defined Contribution plan and the retiree health insurance credit program. An employee making this election is not required to make any future employee contributions to NDPERS nor is the employer required to make any further contributions on behalf of that employee.

Under N.D.C.C. 54-52-01(8), a "Governmental unit" means the state of North Dakota, except the highway patrol for members of the retirement plan created under chapter 39-03.1, or a participating political subdivision thereof. Therefore, North Dakota state agencies are considered one employer group and any member retiring with one state agency and becoming reemployed with another state agency **would not be eligible** for this provision. The following retired members may be eligible for this provision:

Past Employer	to	New Employer
State		Political Subdivision
Political Subdivision		State
Political Subdivision		Political Subdivision

Each retired member that becomes reemployed who is eligible to decline future participation in the PERS defined benefit/defined contribution plan will be required to complete a "Retirement Plan Membership Waiver SFN 54286". **This form will only be available upon request from NDPERS and only after an employee's return to work has been reviewed.**

If a waiver of membership is received prior to reemployment, the retiree will be sent confirmation and notice that his/her retirement benefit payments will not be suspended nor will they receive retirement credit for subsequent employment

If a retirement membership application is received, NDPERS will research the retiree's age, if the retiree retired on or after their normal retirement date, he/she will be

contacted. The retiree will be given 30 days to waive enrollment in the defined benefit/defined contribution plan and continue receiving retirement benefit payments with no future contributions.

If NDPERS staff received retirement contributions without an enrollment or waiver on file, the reemployed retiree's age will be researched. If the retiree retired on or after his/her normal retirement date, the contributions will be suspended and the retiree will be contacted. The member will be given 30 days to either waive or enroll in the defined benefit/defined contribution plan.

If a retiree, under either of the above scenarios, does not respond within 30 days , the default will be to enroll the retiree as an active participant in the defined benefit/defined contribution plan and contributions will be posted accordingly. The member will be sent notice that his/her retirement benefit payments will be suspended and a second account established. Upon termination of employment, the accounts will be combined and retirement benefit payments will resume.

For instructions on completing the form, please refer to the back of the forms.

DESIGNATION OF BENEFICIARY FOR THE GROUP RETIREMENT PLAN
SFN 2560

The Designation of Beneficiary form is used to designate beneficiaries for retirement benefits. The form must be completed and returned to NDPERS along with the Retirement Membership Application **SFN 2561** when enrolling a new employee. This form is included in the New Hire Kit but should also be used when an employee previously enrolled in the plan wishes to update a beneficiary election.

For FURTHER instructions on completing the form, please refer to the back of the form.

PART A: EMPLOYEE INFORMATION

TO BE COMPLETED BY THE EMPLOYEE

1. Enter all employee information as requested.

Designation of a primary beneficiary other than a spouse or in addition to the spouse is subject to the regulations set forth in Part D of the form.

2. Enter all spouse's information, if applicable.

PART B: PRIMARY BENEFICIARY DESIGNATION

1. List the name(s) of each primary beneficiary.

2. Indicate the beneficiary's relationship to the member, beneficiary's social security number, birth date, percent of shares designated, and address. **NOTE: If the primary beneficiary's social security number, date of birth, or designated percentage is not provided, the form will be returned.**

PART C: CONTINGENT (SECONDARY) BENEFICIARY DESIGNATION

1. The member may designate contingent beneficiaries who will receive the benefits if the primary beneficiary (ies) predeceases the member. Enter all information as requested. Shares for all contingent beneficiaries must equal 100%.

2. DESIGNATED BENEFICIARIES: All beneficiary designations shall equal 100% of the benefit. If the benefit is being divided amongst multiple beneficiaries and the total share does not equal 100%, NDPERS shall amend the designations in order to reach the 100% total, but in no circumstance will NDPERS amend the beneficiary designation by more than (1) %. If an amendment is necessary, the additional percentage shall be credited to the eldest beneficiary. If shares are not designated, NDPERS will distribute benefits equally to the named beneficiary (ies). As this distribution may not reflect the member's preference, we recommend the member be sure to designate the percent of share for each listed beneficiary.

3. The member must sign and date the form. The member's signature must reflect the name as entered in Part A. The designation will be effective when received and executed by the NDPERS office.

PART D: SPOUSAL CONSENT

1. Under North Dakota law, if a member designates a primary beneficiary other than a spouse or in addition to the spouse, the spouse must consent to this designation by signing and dating this section of the form. If spousal consent is not given, notification will be sent to the employee along with a copy of the applicable law.

2. If spouse's consent is given and if a member's primary beneficiary election is someone in addition to or in lieu of a spouse, there is no monthly pre-retirement death benefit provision.

FILING PROCEDURE: Original to NDPERS – Please retain a photocopy for your records.

NDPERS REQUEST FOR PURCHASE INFORMATION
SFN 53718

This form should be used to notify NDPERS that an employee is interested in receiving information about the cost to purchase eligible service credit. The form also allows the employee to indicate if they are interested in paying for the purchase by utilizing a rollover/transfer of funds from an eligible source.

Eligible types of service to be purchased may include:

- Additional Service Credit/Generic Credit
- Leave of Absence/Seasonal Months
- Legislative Service
- Active Duty Military Service
- Previous Public Employment
- Unused Sick Leave Upon Termination

For questions about eligible types of service to be purchased, please refer the employee to the **Provisions for the Purchase of Service Credit and Conversion of Unused Sick Leave** brochure on the NDPERS website or the NDPERS office at (800) 803-7377.

For instructions on completing the form, please refer to the back of the form.

PURCHASE AGREEMENT FOR USERRA COVERED MILITARY ACTIVE DUTY
SFN 17758

This form should be used to notify NDPERS that an employee has returned from active military duty that interrupted NDPERS covered employment and is interested in receiving information about the cost to purchase the months missed during the approved leave of absence. A copy of the employee's DD214 or NGB22 Discharge Form is also required to verify the interruption of service qualifies under the Uniform Services Employment and Re-employment Rights Act (USERRA).

USERRA's Impact on the Defined Benefit Plan

An Employment Change Request for a leave of absence **must** be completed through Employer Self Service indicating the date the member leaves active employment. This should also be completed to notify NDPERS of the member's return to employment from active duty.

Upon return from active duty, the member may be entitled to have their credit while on active duty recognized by NDPERS for vesting in retirement benefits, the PEP vesting schedule and benefit eligibility purposes (i.e. meeting the Rule of 85/Rule of 80). A reservist should make application to NDPERS by submitting a written request for the above along with a photocopy of their DD214 form.

In addition, a returning reservist has the option to purchase the service credit not accrued during the leave for the purpose of determining benefit calculation. Retirement credit may be granted for this purpose upon proper documentation and receipt of past contributions.

If application is made to the employer, the employer is required to pay the employer portion of the retirement contributions in a lump sum on behalf of a reservist. The employer is also required to pay any portion of the employee contribution in the same manner that it would have been paid had the reservist not been activated. If the employer does not pay any or all of the employee contribution on behalf of its employees, the reservist is required to pay the employee contribution in order to receive the service credit

The salary to be used in determining the cost to receive the credit must be based on the salary that would have accrued had the reservist not been called into active duty, rather than the salary the reservist is earning at the time of inquiry. If the salary can not be determined, the employee's average rate of compensation during the 12-month period immediately preceding their call to active duty should be used. The following applies to the payment of purchased credit:

1) The timeframe that the reservist has to pay any required employee contributions to the plan is 3 times the period of active duty or 5 years, whichever is less. If the reservist does not apply and/or purchase during this timeframe, then USERRA no longer applies. The reservist would have to pay an actuarial cost to receive the service credit.

2) If a reservist chooses to make installment payments to the plan to purchase the service, the plan can not charge interest on the unpaid balance.

3) If the reservist chooses to purchase the service and begins payment, NDPERS will send a billing to the present employer for the required employer contributions. These contributions must be paid by the employer in a lump sum. As part of this billing, if any of the employee contributions are employer paid, they will be included.

Upon receipt of the Purchase Agreement for USERRA Covered Military Active Duty **SFN 17758**, NDPERS will compute the cost for the reservist to receive the credit and will send written notification to the reservist and/or the employer.

For instructions on completing the form, please refer to the back of the form.

FILING PROCEDURE: Original to NDPERS – Please retain a photocopy for your records.

VERIFICATION OF EMPLOYEE CONTRIBUTION TOWARDS
USERRA ACTIVE MILITARY DUTY
SFN 54361

The Verification of Employee Contributions Towards USERRA Active Military Duty SFN 54361 should be used to verify the amount of employee contributions paid by an individual that may be the responsibility of the employer to pay as a result of NDCC 54-52-17.14 (Main) or 39-03.1-10.3 (HP).

As a result of legislation, an employer is responsible for refunding employee contributions to a reservist who submitted payment to NDPERS to obtain USERRA covered active military duty if the employer would have paid the contributions on behalf of the individual had they not been activated. The law is retroactive to October 1, 1994.

1. The employee must complete Part A to authorize the sharing of this type of information between the employer and NDPERS.

2. The employer must complete Part B to provide NDPERS with notification of the reservist and employers intent. Also, they must answer the questions in Part B to assist NDPERS with determining if the provisions of NDCC 54-52-17.14 or 39-03.1-10.3 apply.

3. Upon receipt, NDPERS will review the member record and will complete Part C. A copy of the completed verification form will be provided to the member and the employer.

4. The employer is responsible for refunding the returning reservist based on the information provided by NDPERS.

VERIFICATION OF PUBLIC EMPLOYMENT
SFN 19397

The Verification of Public Employment is used to verify previous in & out of state public employment or Federal government service, when employment dates require documentation at NDPERS.

An employee must meet the following criteria to be eligible to claim previous public employment:

- Must have been employed by a state agency, political subdivision, or the Federal Government.
- Must be at least 18 years old.
- Must have been in a full-time position--i.e., the employee worked at least 20 hours a week for at least 20 weeks in employment year.
- Must have been in a permanent position--i.e., regularly funded and not of limited duration.

For instructions on completing the form, please refer to the back of the form.

NOTICE OF CHANGE
SFN 10766

This form is to be completed to notify NDPERS of:

- Name change
- Address change
- Marital Status change
- Telephone Number change
- E-mail Address change
- Contact change

Whenever the Notice of Change SFN 10766 is completed and sent to NDPERS, the accuracy of the information must be certified by the authorized agent or the member and the form must be dated. If someone other than the authorized agent or member signs the form, it will be returned for the proper signature.

For **FURTHER** instructions on completing the form, please refer to the back of the form.

1. Complete a martial status change whether there is a name change or not.

2. In cases of marital status change, it is necessary that the member complete a new Designation of Beneficiary **SFN 2560** and Life Insurance Designation of Beneficiary **SFN 53855**

3. Name changes should match the name the member has filed with Social Security.

4. The authorized agent or the member **must** sign Part F for this form to be valid.

FILING PROCEDURE: Original to NDPERS – Please retain a photocopy for your records.

NOTICE OF TRANSFER
SFN 53706

All instructions, terms and conditions are in the NDPERS Notice of Transfer Kit.

If the employee will not begin employment with a new participating agency within 31 days from the day of employee's last regular pay check with your agency, a separation of employment kit must be completed by both the employee and the authorized agent.

Administrative Code Chapter 71-02-01-01(24): "Termination of employment" means a severance of employment by not being on the payroll of a <u>covered</u> employer for a minimum of one month. Approved leave of absence does not constitute termination of employment.

Often employees will terminate their position with an employer participating in NDPERS and take a job with another employer who is also participating in NDPERS. Please note, if you have an employee who is transferring into or out of your agency during the month, it is required that you make a contribution for the partial month. Therefore, NDPERS will receive contributions from both employers during the month that the transfer occurs.

1. Retirement service record will transfer if new employer participates with NDPERS.

2. If employee transfers employment from one participating employer to another participating employer terminating eligible employment, NDPERS will record unused sick leave of a participating member if the new employer certifies that it will not transfer that leave. The certification must include documentation from the previous employer detailing the number of hours of sick leave. NDPERS must receive the certification within sixty days from the date the member leaves employment with the former employer.

3. In recognition of the fact that the current employer may not be aware of the circumstances regarding a departing employee's employment plans and subsequently a new employer will not receive any transfer information, NDPERS has developed a series of scenarios along with the required administrative procedures to follow depending on the particular situation.

These procedures are designed to ensure transfers are processed consistently based on "what the employer knows at the time of separation of employment."

Situation: Current employer knows the employee is transferring to another covered employer:

1. Complete the Notice of Transfer Kit, which contains the NOTICE OF TRANSFER FORM
2. Send the NOTICE OF TRANSFER FORM to the new employer

Situation: Current employer has no knowledge that terminating employee is transferring to another covered employer:

1. Current employer and employee completes the appropriate separation of employment kit
2. Send the complete kit to NDPERS
3. NDPERS will process accordingly in absence of any other information.

Situation: New employer receives a Notice of Transfer SFN 53706 from a participating employer.

1. Do not have transferring employee complete new enrollment forms for plans indicated in Part C of the NOTICE OF TRANSFER FORM
2. Set up employee with benefits according to information provided in Part C of the NOTICE OF TRANSFER FORM
3. Have employee complete enrollment forms for programs not previously enrolled in through previous employer
4. Submit any enrollment forms to NDPERS

Situation: New employer is not aware a new employee is a transfer from another participating employer. Previous employer processed as a separation of employment and employee does not provide the information.

1. Have new employee complete all required enrollment forms
2. Send the enrollment forms to NDPERS
3. If there is an existing record, and the hire date is within 31 days of separation from previous employer, NDPERS will notify you that employee is a transfer from another participating employer and will:
    a. Void the enrollment forms for any programs that employee previously participated in.
    b. Complete Parts A-D of the Notice of Transfer form and send it to new employer.
    c. Employer will set up benefit record according to information provided in Part C of the NOTICE OF TRANSFER FORM
    d. Employer must complete Parts E and F on the NOTICE OF TRANSFER FORM and return it to NDPERS

Situation: New employer is aware a new employee is a transfer but previous employer treated as a separation of employment and did not complete a NOTICE OF TRANSFER FORM

1. Complete Parts A, E, and F of the NOTICE OF TRANSFER FORM
2. Send the NOTICE OF TRANSFER FORM to NDPERS
3. If hire date is within 31 days of separation from previous employer, NDPERS will complete Part C based on existing record and return the form to the new employer
4. Have employee complete enrollment forms for programs not previously enrolled in through previous employer
5. Employer will set up the benefit record accordingly

For FURTHER instructions on completing the form, please refer to the back of the form.

FILING PROCEDURE: Original to NDPERS – Please retain a photocopy for your records.

(Rev. 05-2015)

NOTICE OF MEMBERSHIP TRANSFER TO TIAA-CREF
SFN 50084

(This form only applies to state colleges, universities, and certain positions in the N.D. Department of Higher Education.)

If an employee is switching his or her membership from NDPERS to TIAA-CREF, the Notice of Membership Transfer to TIAA-CREF SFN 50084 must be completed. The authorized agent and the employee must complete this form.

If an employee is transferring in from another participating agency and was covered under NDPERS and now will be covered under TIAA-CREF, the new agency must follow the above procedures.

For instructions on completing the form, please refer to the back of the form.

1. Employee may transfer of both employer and employee retirement contributions from NDPERS to TIAA-CREF; he/she must have at least three (3) years of credited service between NDPERS and the ND Board of Higher Education (TIAA-CREF). He/she also must be employed in an eligible position with the ND Board of Higher Education at the time of the transfer.

2. Employee may defer his/her NDPERS account.

3. Employee may NOT make application for a refund or rollover until a termination of employment has occurred.

FILING PROCEDURE: Original to NDPERS – Please retain a photocopy for your records.

EMPLOYMENT CHANGE REQUESTS
THROUGH EMPLOYER SELF SERVICE

Use to notify NDPERS of:

- Employee leave of absence/leave without pay
- Extending leave of absence/leave without pay
- Employee's return from leave of absence
- Employee's classification change within agency
- Employment type change
- Employee's reduction in hours/change from permanent to part time/temporary
- Employee's termination of employment

EMPLOYMENT STATUS CHANGES:

LEAVE OF ABSENCE

1. NDPERS must be notified whenever an employee is taking a leave without pay and the reason for the leave.
2. A leave of absence cannot exceed one year without being recertified. If an employee is taking an unpaid leave in excess of two years, the employee's membership in NDPERS should be terminated unless the leave is due to an interruption of covered employment due to military activation. However, since the employee has not separated employment with the employer, the employee is not entitled to a distribution of their retirement benefits.
3. NDPERS must be notified of a return from leave prior to the employer resuming retirement contributions for the employee.

EMPLOYMENT CHANGES

1. Job Class (This may affect their eligibility for benefits, as well as, how the employee is reported to NDPERS.)
2. Employment Type (example: Temporary to Permanent)
3. Participation Status (example: Contributing to Non-Contributing)
4. Hourly or Seasonal Status

REDUCTION IN HOURS OR PERMANENT TO PART-TIME/TEMPORARY

If notifying NDPERS of an employee's change from permanent to temporary service, have employee complete an Agreement/Waiver of Participation for Defined Benefit Optional Participants **SFN 17627.**

SEPARATION OF EMPLOYMENT

1. A NDPERS separation of employment kit includes all necessary forms the employee is required to complete.

   The employer or employee may obtain the following Kits:
   - Refund/Rollover Kit
   - Deferred Retirement Kit
   - Disability Retirement Kit
   - Retirement Kit
   - Transfer Kit

APPLICATION FOR REFUND OR DIRECT ROLLOVER
SFN 53789

All instructions, terms and conditions are in the NDPERS Refund/Rollover Kit

Administrative Code Chapter 71-02-01-01(24): "Termination of employment" means a severance of employment by not being on the payroll of a covered employer for a minimum of one month. Approved leave of absence does not constitute termination of employment.

A terminating employee MUST read the "Safe Harbor Explanation" regarding federal income tax on plan payments. Under Federal regulations, the "Safe Harbor Explanation" must be given to the terminating employee a minimum of 30 days prior to a refund or rollover, but not more than 120 days prior. The date that the terminating employee signs the Application for Refund and Direct Rollover SFN 53725 will be the start of the "minimum 30 day notification requirement."

Processing of refunds or rollovers will take approximately 60 to 90 days from the employee's last regular paycheck, depending on when the terminating employee signs his or her form and whether there is non-taxable income being rolled over. Refunds and rollovers are only issued on the first working day of each month.

If terminating member has less than three (3) years of service credit and an account balance less than $1000, the member will be automatically refunded his or her retirement monies, unless a completed separation of employment kit is submitted to NDPERS.

If the employee wishes to have his/her payment directly deposited:

If the terminating employee wishes to have his or her payment deposited directly into a checking or savings account, the employee and the financial institution must complete an Authorization for Direct Deposit for Annuity Payments SFN 18379 by the 10th of the month prior to the month in which payment will be made. Direct deposit forms received after the 10th will be delayed and effective one month later. NDPERS cannot accept alternate direct deposit forms.

FILING PROCEDURE: Original to NDPERS - Please photocopy for your records.

APPLICATION FOR DEFERRED RETIREMENT BENEFITS
SFN 59044

All instructions, terms and conditions are in the Deferred Retirement Kit.

N.D.A.C. Chapter 71-02-04-03 provides, in part: "……Notwithstanding any other provision in this article, benefits must begin no later than April first of the calendar year after the calendar year in which the member retires or attains the age of seventy and one-half years, whichever is later. If the member is employed but ineligible for active participation in the retirement plan, the member's benefits must begin no later than April first of the calendar year after the calendar year in which the member attains the age of seventy and one-half years. In the absence of a retirement application, benefits shall be paid based on a single life payment option. Benefits must be sent to the member's last-known address. If the benefit checks are returned with no forwarding information, the benefits will remain in the fund, and will be distributed in a lump sum retroactive to the required beginning date upon location of the member.

N.D.A.C 71-02-04-03.1 providers: 'Payment date- Retirement benefit for late retirees. Except for retirement options provided in sections 71-02-04-02 and 71-02-0403, for members who are terminated and older than the normal retirement age, but who have delayed or inadvertently failed to apply for retirement benefits, the regular accrued annuity benefits will commence with a lump sum equal to the amount of missed payments, without interest, retroactive to the normal retirement age unless otherwise approved by the North Dakota public employees retirement system board. There will be no retroactive payment for the retiree health insurance credit program."

N.D.C.C. 54-52-17(3) provides:
A deferred member who has delayed or inadvertently failed to apply for retirement benefits to commence on their normal retirement date may choose to receive either a lump sum payment equal to the amount of missed payments, or an actuarial increase to the form of benefit the member has selected, which increase must reflect the missed payments.

1. Whether vested or not, a member can leave his/her Member Account Balance intact with NDPERS and take a refund or rollover at a later date.

2. A vested member may elect a Deferred Vested Benefit. Under this option, he/she leaves his/her account with NDPERS and elects to receive a monthly benefit at a later date. The earliest age a member can begin to receive a monthly benefit is age 55 or Rule of 85, whichever happens first. Under the Deferred Vested Benefit Option, monthly benefits should begin no later than age 65 or the Rule of 85, whichever happens first. Interest continues to compound on the member's Member Account Balance until monthly benefits begin.

3. **If deferring retirement**, the member should also select a retirement option and a health credit option.

4. If the member is converting (purchasing) accumulated sick leave to retirement credit, the member must complete a "**CONVERSION OF UNUSED SICK LEAVE APPLICATION– DEFINED BENEFIT SFN 58358".**

FILING PROCEDURE: Original to NDPERS – Please retain a photocopy for your records.

APPLICATION FOR DEFINED BENEFIT PLAN MONTHLY PAYMENTS
SFN 2562

All instructions, terms and conditions are in the NDPERS Retirement Kit.

N.D.C.C. Chapter 54-52-01(16): "Retirement" means the acceptance of a retirement allowance under this chapter upon either termination of employment or termination of participation in the retirement plan and meeting the normal retirement date.

ND Administrative Code Chapter 71-02-01-01(25): "Termination of employment" means a severance of employment by not being on the payroll of a covered employer for a minimum of one month. Approved leave of absence does not constitute termination of employment.

ND Administrative Code Chapter 71-02-01-01(26): "Termination of participation" means termination of eligibility to participate in the retirement plan.

N.D.C.C. Chapter 54-52-05 provides, in part: "….An employee who is eligible for normal retirement who accepts a retirement benefit under this chapter and who subsequently becomes employed with a participating employer other than the employer with which the employee was employed at the time the employee retired under this chapter may, before reenrolling in the retirement plan, elect to permanently waive future participation in the retirement plan and the retiree health program and maintain that employee's retirement status. An employee making this election is not required to make any future employee contributions to the public employees retirement system nor is the employee's employer required to make any further contributions on behalf of that employee."

<u>For Political Subdivisions:</u> The ND Administrative Code Chapter 71-02-04-02.1 provides-"The termination date for purposes of processing an application for retirement benefits must be the last date for which a member receives salary except for a member who is on an approved leave of absence. For members who are paid salary in any month following actual separation from employment where the salary is received after the normal processing date, the termination date for purposes of processing the application must the same date as the date that the last paycheck was issued as salary."

1. The NDPERS retirement effective date is the first of the month following the date member leaves employment. (Last day of employment may be any day of the month and after annual/sick leave used, I.A.). The first payment will be issued the month following retirement effective date and will contain two months of benefits (the current month and the month following the last day of employment). If last day of employment is prior to the end of the month, member still receives a full month of service credit and **retirement benefits are not prorated**.

2. A retiree, who is under age 65 and, **not** deferring the receipt of a pension to a

later time, should indicate Early Retirement. Indicate normal retirement if the retiree is at the Rule of 85 or age 65 or older.

3. The retiree must select one Health Credit Option at the time of termination/retirement whether the retiree will, or will not, participate in the NDPERS Group Health Insurance Plan.

4. If the member is converting (purchasing) accumulated sick leave to retirement credit, the member must complete a "**CONVERSION OF UNUSED SICK LEAVE APPLICATION– DEFINED BENEFIT SFN 58358"**.

The retiree must submit a legible copy of his or her birth certificate, and if married, spouse's birth certificate and marriage certificate. Certified copies not necessary if the certification is shown on a photocopy.

If a retiring employee wishes to have his or her annuity payment deposited directly into a checking or savings account, the employee and the financial institution must complete an Authorization for Direct Deposit for Annuity Payments SFN 18379 by the 10th of the month prior to the month in which payment will be made. Direct deposit forms received after the 10th will be delayed and effective one month later. NDPERS cannot accept alternate direct deposit forms.

FILING PROCEDURE: Original to NDPERS – Please retain a photocopy for your records.

CONVERSION OF UNUSED SICK LEAVE APPLICATION –DEFINED BENEFIT
SFN 58358

All instructions, terms and conditions are in the NDPERS Retirement Kit and/or the Deferred Retirement Kit.

N.D.C.C. Chapter 54-52-27: "At termination of eligible employment a member is entitled to credit in the retirement system for each month of unused sick leave, as certified by the member's employer, if the member or the member's employer pays an amount equal to the member's final average salary, times the number of months of sick leave converted, times the percent of employer and employee contributions to the retirement program of the member, plus 1.14% for the retiree health benefits program." Please note that employer payment is subject to N.D.A.C. Chapter 71-02-03-07.

ND Administrative Code Chapter 71-02-03-06 provides detail about payment options that the member has regarding submitting after-tax payment (i.e. personal check) and pre-tax payment (i.e. direct rollover or transfer from an eligible fund).

If a terminating employee would like to pay for their unused sick leave by utilizing a direct rollover or transfer of eligible funds, then the member's employer must certify the member's projected salaries for the final 60 days of employment.

FILING PROCEDURE: Original to NDPERS – Please retain a photocopy for your record

APPLICATION FOR RETIREMENT DISABILITY SFN 18000
DISABILITY RETIREMENT OCCUPATIONAL DEMANDS SFN 54398
DISABILITY RETIREMENT- ATTENDING PHYSICIANS STATEMENT SFN 54399

N.D.C.C. Chapter 54-52-01(14): "Retirement" means the acceptance of a retirement allowance under this chapter upon termination of employment.

N.D.C.C Chapter 54-52-17(f) provides, in part: "…a member is eligible to receive disability retirement benefits only if the member: (1) became disabled during the period of eligible employment; and (2) applies for disability retirement benefits within **12 months of the date the member terminates employment**.

ND Administrative Code Chapter 71-02-01-01(24): "Termination of employment" means a severance of employment by not being on the payroll of a covered employer for a minimum of one month. Approved leave of absence does not constitute termination of employment.

For Political Subdivisions: The ND Administrative Code Chapter **71-02-04-02.1** provides-"The termination date for purposes of processing an application for retirement benefits must be the last date for which a member receives salary except for a member who is on an approved leave of absence. For members who are paid salary in any month following actual separation from employment where the salary is received after the normal processing date, the termination date for purposes of processing the application must the same date as the date that the last paycheck was issued as salary."

1. The date disability retirement benefits are effective is the first of the month following the date member leaves employment. (Last day of employment may be any day of the month and after annual/sick leave used, I.A.). The first payment will be issued the month following retirement effective date and will contain two months of benefits (the current month and the month following the last day of employment). If last day of employment is prior to the end of the month, member still receives a full month of service credit and **retirement benefits are not prorated**.
2. Application for disability retirement benefits can be submitted up to four (4) month prior to a member's actual date of termination of employment.
3. The disability applicant must select one of the Retirement options.
4. The disability applicant must select a Retiree Health Insurance Credit option at the time of termination/retirement.

If a disability retiree wishes to have his or her annuity payment deposited directly into a checking or savings account, the employee and the financial institution must complete an Authorization for Direct Deposit for Annuity payments **SFN 18379** by the 10th of the month prior to the month in which payment will be made. Direct deposit forms received after the 10th will be delayed and effective one month later. NDPERS cannot accept alternate direct deposit forms.

FILING PROCEDURE: Original to NDPERS – Please retain a photocopy for your records.

APPLICATION FOR SURVIVING SPOUSE BENEFITS
SFN 52254

All instructions, terms and conditions will be provided by the NDPERS office upon notice of death. To notify NDPERS of an active employee's death (single or married), complete the Report a Death link through Employer Self Service.

When Reporting the death of an employee through Employer Self Service, please make sure that you provide the PERSLink ID number of the deceased employee on your contact ticket. This will ensure that NDPERS is notified of the correct individual's death. If you need to report the death of a spouse or dependent, you will need to contact the member service unit at NDPERS by calling (800) 803-7377 or (701)328-3900.

The surviving spouse of a deceased active employee, who has three (3) or more years of credited service, is entitled to select among two (2) surviving spouse benefit options. A Surviving Spouse of a deceased active employee, who has less than three (3) years of credited service, is entitled Option 1 only.

Option 1: A lump sum distribution of the member's retirement account. This includes employee's contributions, any vested employer contributions, and accrued interest. The spouse must also select how the payment is to be distributed. **If the benefit is paid direct, the taxable portion will be subject to the 20% federal withholding requirement. If a direct rollover is selected, PART C must be completed also. NDPERS DOES NOT ACCEPT ROLLOVERS INTO NDPERS ACCOUNTS.**

Option 2: Lifetime Benefit equal to one-half of the Single Life Benefit the deceased employee would have received at age 65.

The surviving spouse must submit a legible copy of his or her birth certificate, spouse's birth certificate, and marriage certificate. Certified copies not necessary if the certification is shown on a photocopy.

The surviving spouse must submit a certified copy of the Certificate of Death. If there is no life insurance, the certified copy will be returned after the member's account has been processed.

If a surviving spouse wishes to have his or her beneficiary payment deposited directly into a checking or savings account, the surviving spouse and the financial institution must complete an Authorization for Direct Deposit for Annuity Payments SFN 18379 by the 10th of the month prior to the month in which payment will be made. Direct deposit forms received after the 10th will be delayed and effective one month later. [NDPERS cannot accept alternate direct deposit forms.]

STATEMENT OF BENEFICIARY (GROUP RETIREMENT PLAN)
SFN 51702

All instructions, terms and conditions will be provided by the NDPERS office upon notice of death. To notify NDPERS of an active employee's death (single or married), complete the Report a Death link through Employer Self Service.

When Reporting the death of an employee through Employer Self Service, please make sure that you provide the PERSLink ID number of the deceased employee on your contact ticket. This will ensure that NDPERS is notified of the correct individual's death. If you need to report the death of a spouse or dependent, you will need to contact the member service unit at NDPERS by calling (800) 803-7377 or (701)328-3900.

If a deceased active employee is single at the time of death or his/her spouse has consented in writing to waive an right to a death benefit, the employee's member account balance will be available to be refunded in a single lump sum payment to the beneficiary or beneficiaries on record.

The designated beneficiary may have the option to elect to have the member's account balance paid directly to them or have the funds rolled over directly into an inherited Traditional or Roth IRA.

If the employer has no beneficiary on record, the member's account balance will be refunded to his/her estate.

The beneficiary must submit a certified copy of the Certificate of Death. If there is no life insurance, the certified copy will be returned after the member's account has been processed.

NDPERS is required to send the IRS "Special Tax Notice Regarding Plan Payments" to recipients of eligible rollover distributions a minimum of 30 days, but no more than 120 days prior to a distribution.