



The University of New Mexico

# University of New Mexico Records Retention Schedules

Dated: 5/22/02 Supercedes All Others

Quick List  
By Description  
with Codes

UNM Document Services  
Records Retention Schedule  
BY DESCRIPTION

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Description	Code
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<b>Description</b>	<b>Code</b>
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VEHICLE ACCIDENT REPORT FILE	1.15.3.509
VEHICLE MAINTENANCE FILE	1.15.5.315
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VOUCHER PAYMENT WARRANT REGISTER	1.15.5.313
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# Administrative Records

Title 1 Chapter 15  
Part 3  
NMAC

**TITLE 1            GENERAL GOVERNMENT ADMINISTRATION**  
**CHAPTER 15       GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULES (GRRDS)**  
**PART 3            GRRDS, GENERAL ADMINISTRATIVE RECORDS (For Use by Local Government and Educational Institutions)**

**1.15.3.1            ISSUING AGENCY:** New Mexico Commission of Public Records – State Records Center and Archives  
[8-8-96; 1.15.3.1 NMAC - Rn, 1 NMAC 3.2.90.1, 10/01/2000]

**1.15.3.2            SCOPE:** All New Mexico local governments and educational institutions  
[8-8-96; 1.15.3.2 NMAC - Rn, 1 NMAC 3.2.90.2, 10/01/2000; A, 1/6/2002]

**1.15.3.3            STATUTORY AUTHORITY:** The administrator shall establish a records management program and shall establish records disposal schedules for the orderly retirement of records and adopt regulations necessary for the carrying out of the public records act. Records disposal schedules shall not become effective until thirty days after the filing date, Section 14-3-6 NMSA 1978.  
[8-8-96; 1.15.3.3 NMAC - Rn, 1 NMAC 3.2.90.3, 10/01/2000; A, 1/6/2002]

**1.15.3.4            DURATION:** Permanent  
[8-8-96; 1.15.3.4 NMAC - Rn, 1 NMAC 3.2.90.4, 10/01/2000]

**1.15.3.5            EFFECTIVE DATE:** July 13, 1998  
[1.15.3.5 NMAC - Rn, 1 NMAC 3.2.90.5, 10/01/2000]

**1.15.3.6            OBJECTIVE:** To establish records disposal schedules for the orderly retirement of records, Section 14-3-6 NMSA 1978.  
[8-6-96; 1.15.3.6 NMAC - Rn, 1 NMAC 3.2.90.6, 10/01/2000; A, 1/6/2002]

**1.15.3.7            DEFINITIONS:**

- A.** "Administrator" means the state records administrator (Section 14-3-2 NMSA 1978).
- B.** "Agency" means any state agency, department, bureau, board, commission, institution or other organization of the state government, the territorial government and the Spanish and Mexican governments in New Mexico (Section 14-3-2, NMSA 1978).
- C.** "Audit" means a periodic examination of an organization to determine whether appropriate procedures and practices are followed.
- D.** "Commission" means the state commission of public records (Section 14-3-2 NMSA 1978).
- E.** "Pending litigation" means a proceeding in a court of law whose activity is in progress but not yet completed.
- F.** "Records management" means the systematic control of all records from creation or receipt through processing, distribution, maintenance and retrieval, to their ultimate disposition.
- G.** "Records retention period" means the period of time during which records must be maintained by an organization because they are needed for operational, legal, fiscal, historical or other purposes.
- H.** "Records retention schedule" means a document prepared as part of a records retention program that lists the period of time for retaining records.

[8-8-96; 5-19-97; 1.15.3.7 NMAC - Rn, 1 NMAC 3.2.90.7, 10/01/2000; A, 1/6/2002]

**1.15.3.8            ABBREVIATIONS AND ACRONYMS:**

- A.** "SRC" stands for state records center
  - B.** "USC" stands for United States code
- [8-8-96; 5-7-97; 1.15.3.8 NMAC - Rn, 1 NMAC 3.2.90.8, 10/01/2000; N, 1/6/2002]

**1.15.3.9            INSTRUCTIONS:**

- A.** For records of an administrative nature, refer to the Records Retention and Disposition Schedule for General Administrative Records, 1.15.3 NMAC.



**B.** For records of a financial nature, refer to the Records Retention and Disposition Schedule for General Financial Records, 1.15.5 NMAC.

**C.** For records of a personnel nature, refer to the Records Retention and Disposition Schedule for General Personnel Records, 1.15.7 NMAC.

**D.** For records of a medical nature, refer to the Records Retention and Disposition Schedule for General Medical Records, 1.15.8 NMAC.

**E.** Retention periods shall be extended until six months after all current or pending litigation, current claims, audit exceptions or court orders involving a record have been resolved or concluded.

**F.** The descriptions of files are intended to be evocative, not complete. For example, there will always be some documents that are filed in a file that are not listed in the description, and similarly, not every file will contain an example of each document listed in the description.

**G.** Confidentiality is denoted for files likely to contain confidential materials, but files without a confidentiality note nonetheless may contain confidential or privileged materials and failure to include an express confidentiality note in the description of a file does not waive the confidential or privileged nature of those materials. Refer questions concerning the confidentiality of a file or portions of a file to legal counsel for the agency.

**H.** Access to confidential documents or confidential files shall be only by authorization of agency or Attorney General or by court order, unless otherwise provided by statute. Release of confidential documents to law enforcement and other government agencies, shall only be upon specific statutory authorization or court order.

**I.** All records, papers or documents may be photographed, microfilmed, microphotographed or reproduced on film. Such photographs, microfilms, photographic film or microphotographs shall be deemed to be an original record for all purposes, including introduction in evidence in all courts or administrative agencies (Section 14-1-5, 14-1-6 NMSA 1978).

**J.** Electronic records. Many paper records are being eliminated when the information has been placed on magnetic tapes, disks, or other data processing media. In these cases, the information on the data processing medium should be retained for the length of time specified in records retention and disposition schedules for paper records and should be subject to the same confidentiality and access restrictions as paper records. When the destruction of a record is required, all versions of said record shall be electronically over-written on machine readable media on which it is stored (or media destroyed). (See also 1.13.70 NMAC: Performance Guidelines for the Legal Acceptance of Public Records Produced by Information Technology Systems).  
[1.15.3.9 NMAC – Rn, 1 NMAC 3.2.90.8 & A, 1/6/2002]

#### **1.15.3.10-100 [RESERVED]**

#### **1.15.3.101 NON-RECORD MATERIALS:**

**A. Program:** administrative records

**B. Maintenance system:** entity preference

**C. Description:** the following specific types of materials are defined as “non-record” and may be disposed of at the convenience of the agency when they have no more value/use to the agency: extra copies of correspondence and other documents preserved only for convenience of reference; blank forms, books, etc., which are outdated; materials neither made nor received in pursuance of statutory requirement nor in connection with the functional responsibility of the office/agency; preliminary drafts of letters, reports, and memoranda which do represent significant basic steps in preparation of record documents; shorthand notes, steno tapes, mechanical recordings which have been transcribed, where noted on agency retention schedule; routing and other interdepartmental forms which do not add any significant material to the activity concerned; stocks of publication already sent to archives and processed documents preserved for supply purposes only; form and guide letters, sample letters, form paragraphs. All other materials either related or received in pursuance of statutory requirements or in connection with the transaction of public business which belong to the office concerned are government property and not personal property of the officer or employees concerned. Therefore, any material not included in the above definition cannot be destroyed, given, or taken away, or sold without complying with all the statutory requirements specifically relating to said records.

**D. Retention:** none

[7-13-98; 1.15.3.101 NMAC - Rn, 1 NMAC 3.2.90.11.A101, 10/1/2000; A, 1/6/2002]

#### **1.15.3.102 SUBJECT FILES:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** correspondence, memoranda, publications, reports and other information received by agency and filed by subject. Also referred to as reading files or information files.
- D. **Retention:** until superseded or until information no longer needed for reference  
[7-13-98; 1.15.3.102 NMAC - Rn, 1 NMAC 3.2.90.11.A102, 10/1/2000; A, 1/6/2002]

**1.15.3.103 PRIMARY MISSION RECORDS:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** files concerning the establishment of the agency, its development and policies, its progress, operation summaries, plans for the future development, etc.
- D. **Retention:** permanent  
[7-13-98; 1.15.3.103 NMAC - Rn, 1 NMAC 3.2.90.11.A103, 10/1/2000; A, 1/6/2002]

**1.15.3.104 AGENCY ORGANIZATIONAL CHARTS:**

- A. **Program:** administrative records
  - B. **Maintenance system:** entity preference
  - C. **Description:** records that reflect the organizational structure of the agency and its divisions. Information includes a diagram, which shows a systematic and symbolic arrangement of an agency's divisions and program areas by name and function.
  - D. **Retention:**
    - (1) **Executive copy (agency director, deputy director, and division director):** until superseded and until no longer needed for reference, then transfer to archives
    - (2) **Non-executive copies:** until superseded by new organizational chart
- [7-13-98; 1.15.3.104 NMAC - Rn, 1 NMAC 3.2.90.11.A104, 10/1/2000; A, 1/6/2002]

**1.15.3.105 ADMINISTRATIVE RULES:**

- A. **Program:** administrative records
  - B. **Maintenance system:** entity preference
  - C. **Description:** rules, regulations, orders, statements of policy, and amendments as defined and filed in compliance with the state rules act (Section 14-4-3 NMSA 1978). Administrative rules shall be filed with state records center, rules division (Section 14-3-3 NMSA 1978).
  - D. **Retention:**
    - (1) **Agency copy:** until superseded or rescinded
    - (2) **State records center (copy filed in rules and publications division):** permanent
- [7-13-98; 1.15.3.105 NMAC - Rn, 1 NMAC 3.2.90.11.A105, 10/1/2000; A, 1/6/2002]

**1.15.3.106 ADMINISTRATIVE FILES (EXECUTIVE LEVELS):**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** records documenting actions of an agency director, deputy director, or division directors. Files may include memoranda and reports concerning agency policy, organizational and program development records, and non-routine fiscal data and personnel information. These records reflect administration of policy, coordination of agency functions, and management of program activity.
- D. **Retention:** after five years transfer to archives for appraisal and final disposal  
[7-13-98; 1.15.3.106 NMAC - Rn, 1 NMAC 3.2.90.11.A106, 10/1/2000; A, 1/6/2002]

**1.15.3.107 ADMINISTRATIVE REFERENCE FILES (NON-EXECUTIVE LEVELS):**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** routine office management files retained below the agency director, deputy director, and division director levels. Included are convenience copies of memoranda, reports, printed matter, and other

reference materials. Topics include such subjects as: job activities, program material, general office information, professional associations, charitable affairs, parking for staff, disaster preparedness, and other related topics.

**D. Retention:** until no longer needed for reference  
[7-13-98; 1.15.3.107 NMAC - Rn, 1 NMAC 3.2.90.11.A107, 10/1/2000; A, 1/6/2002]

**1.15.3.108 ADMINISTRATIVE CORRESPONDENCE FILES (EXECUTIVE LEVELS):**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** correspondence is related to the administration of an agency or division.

Communications concern coordination of programs, agency policy, and responsibilities of a non-routine nature that impact on the agency or its divisions. These letters are usually found at the agency director, deputy director, and division director levels. This record group includes the correspondence files of all elected and appointed officials.

**D. Retention:** two years after close of fiscal year in which created, then transfer to archives for appraisal and final disposal  
[7-13-98; 1.15.3.108 NMAC - Rn, 1 NMAC 3.2.90.11.A108, 10/1/2000; A, 1/6/2002]

**1.15.3.109 GENERAL CORRESPONDENCE FILES (NON-EXECUTIVE LEVELS):**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** routine correspondence created or retained below the levels of agency director, deputy director, and division director. Letters and memoranda reflect communication regarding program

procedures, general work activities, and responses to information requests.

**D. Retention:** one year after close of fiscal year in which created  
[7-13-98; 1.15.3.109 NMAC - Rn, 1 NMAC 3.2.90.11.A109, 10/1/2000; A, 1/6/2002]

**1.15.3.110 INTERSTATE COMPACTS:**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** interstate compact or other intergovernmental agreement as defined in the public records act (Section 14-3-20 NMSA 1978). Interstate compacts and intergovernmental agreements shall be filed with state records center, rules and publications division (Section 14-3-20 NMSA 1978).

- D. Retention:**
- (1) **Agency copy:** six years after termination of compact or agreement
  - (2) **State records center (copy filed in rules and publications division):** permanent

[7-13-98; 1.15.3.110 NMAC - Rn, 1 NMAC 3.2.90.11.A110, 10/1/2000; A, 1/6/2002]

**1.15.3.111 EXECUTIVE ORDERS, PROCLAMATIONS, AND LEGISLATIVE ADVISORIES:**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** instructions issued by the governor as the chief executive of state government.
- D. Retention:**

- (1) **Agency copy:** until superseded or rescinded
- (2) **Governor's office copy:** until transferred to archives for review
- (3) **Copy filed with state records center, rules and publications division (14-4-2 and 14-4-4,**

**NMSA 1978):** permanent

[7-13-98; 1.15.3.111 NMAC - Rn, 1 NMAC 3.2.90.11.A111, 10/1/2000; A, 1/6/2002]

**1.15.3.112 GOVERNING BOARD FILE:**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** records concerning agency dealings with the governing board of said agency. File may include original or copy of minutes of meetings, reports, related documentation, correspondence, etc.

**D. Retention:** five years then transfer to archives for appraisal and final disposition  
[7-13-98; 1.15.3.112 NMAC - Rn, 1 NMAC 3.2.90.11.A112, 10/1/2000; A, 1/6/2002]

**1.15.3.113 COMMITTEES OR COUNCILS FILES:**

**A. Program:** administrative records  
**B. Maintenance system:** entity preference  
**C. Description:** records concerning various committees/councils with which office or department deals. File may contain copies of minutes of meetings, reports, notifications, correspondence, memoranda, related documentation, etc.

**D. Retention:** five years after close of fiscal year in which created  
[7-13-98; 1.15.3.113 NMAC - Rn, 1 NMAC 3.2.90.11.A113, 10/1/2000; A, 1/6/2002]

**1.15.3.114 MANUALS OF PROCEDURES:**

**A. Program:** administrative records  
**B. Maintenance system:** entity preference  
**C. Description:** manuals of procedure prepared and published by state agencies for the guidance of public officers and employees engaged in operations required for the efficient operation of state and local government, including but not limited to acquiring space, budgeting, accounting, purchasing, contracting, vouchering, printing, appointment and dismissal of employees, record maintenance, etc.

**D. Retention:**  
(1) **Agency copy:** until superseded by new manual of procedure  
(2) **State records center copy (copy filed as publication with state records center):** permanent  
[7-13-98; 1.15.3.114 NMAC - Rn, 1 NMAC 3.2.90.11.A114, 10/1/2000; A, 1/6/2002]

**1.15.3.115 POLICIES AND PROCEDURES FILES:**

**A. Program:** administrative records  
**B. Maintenance system:** entity preference  
**C. Description:** reference copies of current policies and procedures of government and non-government entities with which an agency deals.

**D. Retention:** until superseded or obsolete  
[7-13-98; 1.15.3.115 NMAC - Rn, 1 NMAC 3.2.90.11.A115, 10/1/2000; A, 1/6/2002]

**1.15.3.116 LEGISLATION, AGENCY FILES:**

**A. Program:** administrative records  
**B. Maintenance system:** entity preference  
**C. Description:** documents pertaining to bills' prospective legislation. Copies of bills and proposed (drafted) legislation. Includes supporting material relating to legislation, such as newspaper clippings, reports, correspondence, memoranda, etc.

**D. Retention:**  
(1) **Enacted legislation:** four years, then transfer to archives for review and final disposal  
(2) **Failed or vetoed legislation:** four years after close of fiscal in which created  
[7-13-98; 1.15.3.116 NMAC - Rn, 1 NMAC 3.2.90.11.A116, 10/1/2000; A, 1/6/2002]

**1.15.3.117 REPORTS:**

**A. Program:** administrative records  
**B. Maintenance system:** entity preference  
**C. Description:** [RESERVED]  
**D. Retention:**  
(1) **Annual, biennial, or other periodic reports required by Article V, Section 9, N.M. Constitution, or by specific statute:** permanent  
(2) **Routine, interim, or progress reports:** two years after close of fiscal year in which created  
(3) **Ad hoc reports:** none

[7-13-98; 1.15.3.117 NMAC - Rn, 1 NMAC 3.2.90.11.A117, 10/1/2000; A, 1/6/2002]

**1.15.3.118 ACCIDENT REPORT FILE:**

**A. Program:** administrative records

- B. Maintenance system:** entity preference
- C. Description:** reports of accidents involving agency personnel.
- D. Retention:**

- (1) **Files resulting in no action/claim/litigation:** two years after date of accident
- (2) **Files resulting in action/claim/litigation:** until incorporated into workers' compensation file

[7-13-98; 1.15.3.118 NMAC - Rn, 1 NMAC 3.2.90.11.A118, 10/1/2000; A, 1/6/2002]

**1.15.3.119 MINUTES OF MEETINGS:**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** records of official proceedings of governing bodies. Information includes agenda, date, place, list of attendees, and a summary of discussion and decisions. Official minutes may also include all informational attachments such as reports, surveys, proposals, studies, and charts distributed to members for discussion and for use in making decisions on agency policy, planning, and administrative matters. Official minutes shall include only those documents and attachments that have been formally introduced as part of a record.

**D. Retention:**

- (1) **Minutes of meetings of boards, commissions, and/or other policy-making bodies, as defined in open meetings Act (10-15-1, NMSA 1978):** permanent
- (2) **Minutes of meetings of all other bodies:** five years, then transfer to archives for appraisal and final disposal
- (3) **Tapes or recordings of meetings:** after minutes have been transcribed and accepted at next meeting but no longer than two years after meeting date
- (4) **All other documentation including agenda, agenda package, etc:** after next meeting date but no longer than two years after meeting date

[7-13-98; 1.15.3.119 NMAC - Rn, 1 NMAC 3.2.90.11.A119, 10/1/2000; A, 1/6/2002]

**1.15.3.120 APPLICATIONS FOR EMPLOYMENT FILE:**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** applications for employment within particular office or department. File may contain application, resume, letters of reference or recommendation, correspondence, memoranda, related documentation, etc.

**D. Retention:**

- (1) **Applications and records for individuals hired:** transfer to personnel office when individual accepts position
- (2) **Applications and records for individuals not hired:** transfer to personnel office when position is filled
- (3) **Unsolicited applications:** transfer to personnel office when received

[7-13-98; 1.15.3.120 NMAC - Rn, 1 NMAC 3.2.90.11.A120, 10/1/2000; A, 1/6/2002]

**1.15.3.121 PUBLIC RELATIONS FILE:**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** information concerning agency publicity. File may include press releases, biographies, newspaper clippings, promotional materials, bulletins, broadcast scripts, photographs, visual documentation, and other related items.

**D. Retention:** until no longer needed for reference, then transfer to archives for appraisal and final disposal

[7-13-98; 1.15.3.121 NMAC - Rn, 1 NMAC 3.2.90.11.A121, 10/1/2000; A, 1/6/2002]

**1.15.3.122 MOTION PICTURES OR VIDEO RECORDINGS:**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** [RESERVED]

**D. Retention:**

(1) **Documentary or training films produced or funded by agency:** until informational value ends, then transfer to archives for review

(2) **Films acquired from outside sources for personnel and management training:** until informational value ends

(3) **Routine surveillance footage or recordings:** 30 days after date created

(4) **Footage or recordings that document routing meetings:** 30 days after date created

[7-13-98; 1.15.3.122 NMAC - Rn, 1 NMAC 3.2.90.11.A122, 10/1/2000; A, 1/6/2002]

**1.15.3.123 NEWSPAPER RELEASES:**

**A. Program:** administrative records

**B. Maintenance system:** entity preference

**C. Description:** includes news or press releases issued by the agency.

**D. Retention:** four years after close of fiscal year in which created, then transfer to archives for review

[7-13-98; 1.15.3.123 NMAC - Rn, 1 NMAC 3.2.90.11.A123, 10/1/2000; A, 1/6/2002]

**1.15.3.124 PHOTOGRAPHS:**

**A. Program:** administrative records

**B. Maintenance system:** entity preference

**C. Description:** photographic proofs and negatives of agency activities. Photographs may include identification according to time, place, and agency activity.

**D. Retention:** until no longer needed for reference, then transfer to archives for review

[7-13-98; 1.15.3.124 NMAC - Rn, 1 NMAC 3.2.90.11.A124, 10/1/2000; A, 1/6/2002]

**1.15.3.125 PROPERTY FILES:**

**A. Program:** administrative records

**B. Maintenance system:** entity preference

**C. Description:** records of deeds and leases to real property owned or used by agency. Information includes description and location of the property, maps, sale agreements, land acquisition forms, deeds, lease agreements, and related correspondence.

**D. Retention:**

(1) **Deeds and related documentation (property control copy):** permanent. After property is sold, disposed of, or relinquished, files may be transferred to archives

(2) **Leases and related documentation (property control copy):** six years after termination of lease, then transfer to archives for appraisal and final disposal

(3) **Deeds or leases and related documentation (agency information copy):** six years after termination of lease or six years after property is sold, or disposed of, or relinquished

[7-13-98; 1.15.3.125 NMAC - Rn, 1 NMAC 3.2.90.11.A125, 10/1/2000; A, 1/6/2002]

**1.15.3.126 BUILDING DRAWINGS, PLANS, AND BLUEPRINTS:**

**A. Program:** administrative records

**B. Maintenance system:** entity preference

**C. Description:** original of photographic reproduction of architectural plans or technical drawings. Access to documentation of restricted or security areas (i.e., correctional facilities, museum and archival vaults, etc.) shall be limited to authorized personnel only.

**D. Retention:**

(1) **Property control copy:** permanent. After no longer needed for reference, files may be transferred to archives

(2) **Agency information copy:** until no longer needed for reference, then transfer to archives for appraisal and final disposal

[7-13-98; 1.15.3.126 NMAC - Rn, 1 NMAC 3.2.90.11.A126, 10/1/2000; A, 1/6/2002]

**1.15.3.127 SURVEYS OR MAPS:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** surveys or maps developed by an agency to carry out its mission and function.

Information concerns roads, property lines, corners, monuments, road marker placements, structures, sites, and other related data.

- D. **Retention:** until no longer needed for reference, then transfer to archives for appraisal and final disposal  
[7-13-98; 1.15.3.127 NMAC - Rn, 1 NMAC 3.2.90.11.A127, 10/1/2000; A, 1/6/2002]

**1.15.3.128 MAINTENANCE SERVICE FILE:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** records concerning maintenance services conducted for office or department. File may include work orders, maintenance reports, related documentation, correspondence, memoranda, service agreements, etc.

- D. **Retention:**
  - (1) **Service agreements:** six years after termination of agreement
  - (2) **All other records:** three years after date of last entry

[7-13-98; 1.15.3.128 NMAC - Rn, 1 NMAC 3.2.90.11.A128, 10/1/2000; A, 1/6/2002]

**1.15.3.129 SUPPLIES AND EQUIPMENT FILE:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** records concerning supplies and equipment. File may contain accounting records, operating manuals, warranties, inventories, related documentation, correspondence, memoranda, etc.

- D. **Retention:**
  - (1) **Warranties:** six years after termination of warranty
  - (2) **Equipment records, including operating manuals:** until disposition of equipment
  - (3) **Supply records:** three years after audit report released

[7-13-98; 1.15.3.129 NMAC - Rn, 1 NMAC 3.2.90.11.A129, 10/1/2000; A, 1/6/2002]

**1.15.3.130 SURPLUS PROPERTY FILE:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** records concerning surplus property and its disposition. File may contain inventories, records of disposal, accounting information, related documentation, correspondence, memoranda, etc.

D. **Retention:** one year after disposition of property or three years after all audits are released, whichever is longer

[7-13-98; 1.15.3.130 NMAC - Rn, 1 NMAC 3.2.90.11.A130, 10/1/2000; A, 1/6/2002]

**1.15.3.131 TELEPHONE BILLINGS FILE:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** reference copies of monthly office telephone bills.

- D. **Retention:** until audit report released

[7-13-98; 1.15.3.131 NMAC - Rn, 1 NMAC 3.2.90.11.A131, 10/1/2000; A, 1/6/2002]

**1.15.3.132 TELEPHONE LOGS:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** listing of telephone calls made by agency personnel for a particular time period. Logs may reflect date, time, caller, recipient of call, nature of business discussed, etc.

D. **Retention:** three years after close of fiscal year in which created  
[7-13-98; 1.15.3.132 NMAC - Rn, 1 NMAC 3.2.90.11.A132, 10/1/2000; A, 1/6/2002]

**1.15.3.133 WORK ORDERS FILE:**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** work orders submitted to maintenance office or physical plant
- D. Retention:**
  - (1) **Reference copy (copy maintained by entity requesting work):** until work completed
  - (2) **Maintenance office/physical plant copy:** one year after work completed

[7-13-98; 1.15.3.133 NMAC - Rn, 1 NMAC 3.2.90.11.A133, 10/1/2000; A, 1/6/2002]

**1.15.3.134 CALENDAR OF EVENTS FILE:**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** reference copies of agency calendars of events.
- D. Retention:** until superseded or obsolete

[7-13-98; 1.15.3.134 NMAC - Rn, 1 NMAC 3.2.90.11.A134, 10/1/2000; A, 1/6/2002]

**1.15.3.135 SCHEDULES OF DAILY ACTIVITIES:**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** records used to keep track of work-related events and commitments of agency staff members. Record includes daily appointment books, calendars, and other records indicating dates for meeting and work activities
- D. Retention:** until no longer needed for reference but no longer than one year after close of calendar year in which created

[7-13-98; 1.15.3.135 NMAC - Rn, 1 NMAC 3.2.90.11.A135, 10/1/2000; A, 1/6/2002]

**1.15.3.136 LISTS OR DIRECTORIES:**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** includes mailing lists, directories, rosters, and registers compiled by the agency.
- D. Retention:** until superseded

[7-13-98; 1.15.3.136 NMAC - Rn, 1 NMAC 3.2.90.11.A136, 10/1/2000; A, 1/6/2002]

**1.15.3.137 SPEECH FILES:**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** transcript of speeches given by agency personnel. Speeches concern program procedure, work activities, and related concepts.
- D. Retention:**

(1) **Executive levels (including elected and appointed officials):** until no longer needed for reference, then transfer to archives for appraisal and final disposal

(2) **Non-executive levels:** until no longer needed for reference

[7-13-98; 1.15.3.137 NMAC - Rn, 1 NMAC 3.2.90.11.A137, 10/1/2000; A, 1/6/2002]

**1.15.3.138 CONFERENCES OR WORKSHOPS ATTENDED FILE:**

- A. Program:** administrative records
- B. Maintenance system:** entity preference
- C. Description:** records of conferences or workshops attended by office or departmental personnel. File may contain agendas, programs, handouts, correspondence, memoranda, related documentation, etc.
- D. Retention:** until no longer needed for reference

[7-13-98; 1.15.3.138 NMAC - Rn, 1 NMAC 3.2.90.11.A138, 10/1/2000; A, 1/6/2002]

**1.15.3.139 CONFERENCES OR WORKSHOPS CONDUCTED FILE:**



- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** records of conferences or workshops conducted by office or departmental personnel. File may contain agendas, programs, handouts, reports, training materials, critiques, questionnaires, correspondence, memoranda, related documentation, etc.
- D. **Retention:** after five years, transfer to archives for appraisal and disposal  
[7-13-98; 1.15.3.139 NMAC - Rn, 1 NMAC 3.2.90.11.A139, 10/1/2000; A, 1/6/2002]

**1.15.3.140 SIGNATURE AUTHORIZATIONS:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** record authorizing person to sign fiscal documents, personnel documents, etc.
- D. **Retention:** one year after close of fiscal year in which created  
[7-13-98; 1.15.3.140 NMAC - Rn, 1 NMAC 3.2.90.11.A140, 10/1/2000; A, 1/6/2002]

**1.15.3.141 ALCOHOL AND DRUG ABUSE PROGRAM FILE:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** records concerning the administration of the agency's alcohol and drug abuse program.
- D. **Retention:** three years after close of fiscal year in which created  
[7-13-98; 1.15.3.141 NMAC - Rn, 1 NMAC 3.2.90.11.A141, 10/1/2000; A, 1/6/2002]

**1.15.3.142 OVERTIME FILE:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** records of overtime by office or department personnel.
- D. **Retention:** one year after overtime accrual date  
[7-13-98; 1.15.3.142 NMAC - Rn, 1 NMAC 3.2.90.11.A142, 10/1/2000; A, 1/6/2002]

**1.15.3.143 AFFIRMATIVE ACTION OR EQUAL EMPLOYMENT OPPORTUNITY FILE:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** records concerning agency's affirmative action/equal opportunity program. File may include regulations and guidelines, policies, reports, studies, correspondence, and related records.
- D. **Retention:**
  - (1) **Annual plan:** three years after date issued, then transfer to archives for appraisal and final disposal.
  - (2) **Regulations, policies, guidelines, reference materials:** until obsolete or superseded, then transfer to archives for appraisal and final disposal
  - (3) **Grievance or complaint files:** one year after date case closed
  - (4) **Compliance reviews:** after five years, transfer to archives for appraisal and final disposal
  - (5) **Remaining records:** two years after date created
- E. **Confidentiality:** Section 10-15-1 NMSA 1978.  
[7-13-98; 1.15.3.143 NMAC - Rn, 1 NMAC 3.2.90.11.A143, 10/1/2000; A, 1/6/2002]

**1.15.3.144 SEARCH COMMITTEE FILE:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** records concerning activities of specially formed search committees charged with recruiting new or replacement agency personnel. File may include resumes, applications, correspondence, related records, memoranda, etc.
- D. **Retention:**

- (1) **Applications and records for individuals hired:** transfer to personnel office when individual accepts position
- (2) **Applications and records for individuals not hired:** transfer to personnel office when position is filled
- (3) **Unsolicited applications:** transfer to personnel office when received  
[7-13-98; 1.15.3.144 NMAC - Rn, 1 NMAC 3.2.90.11.A144, 10/1/2000; A, 1/6/2002]

**1.15.3.145 JOINT POWERS AGREEMENTS:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** written contractual agreement entered into between two or more public agencies subject to any constitutional or legislative restrictions imposed upon any of the contracting public agencies (Joint Powers Agreement Act, Section 11-1-1 to Section 11-1-7 NMSA).
- D. **Retention:** 10 years after termination of agreement, then transfer to archives for review and final disposition  
[7-13-98; 1.15.3.145 NMAC - Rn, 1 NMAC 3.2.90.11.A145, 10/1/2000; A, 1/6/2002; A, 1/6/2002]

**1.15.3.146 DISASTER RECOVERY FILE:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** records concerning the preparation of a disaster plan and the organization of salvage procedures for the agency. Records include the disaster recovery plan, salvage procedures, information on training in disaster recovery techniques, etc. A copy of this file should be maintained off-site. In the event of a disaster, all copies of this file shall be retained until any or all investigations have been concluded.
- D. **Retention:** until superseded by new plan or information  
[7-13-98; 1.15.3.146 NMAC - Rn, 1 NMAC 3.2.90.11.A146, 10/1/2000; A, 1/6/2002]

**1.15.3.147 BUILDING EMERGENCY EVACUATION FILE:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** records concerning the safe and orderly evacuation of a building. Records include evacuation plan, list of designated fire captains or coordination leaders, training information, etc.
- D. **Retention:** until superseded by new plan or information  
[7-13-98; 1.15.3.147 NMAC – Rn, 1 NMAC 3.2.90.11 A147, 10/1/2000; A, 1/6/2002]

**1.15.3.148 INTERNAL AUDIT FILE:**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** internal audits of agency programs, operations, and of external contractors and grantees. File may contain audit plan, entrance or exit conference documentation, procedure questionnaires, correspondence, memoranda, supporting documentation, and final audit report. This record series does not include agency's external audit report.
- D. **Retention:** five years after close of fiscal year audited  
[7-13-98; 1.15.3.148 NMAC - Rn, 1 NMAC 3.2.90.11.A148, 10/1/2000; A, 1/6/2002]

**1.15.3.149 FINDING AIDS (INDEXES):**

- A. **Program:** administrative records
- B. **Maintenance system:** entity preference
- C. **Description:** indexes, lists, registers, and other finding aids used to provide access to records.
- D. **Retention:** until superseded or until related records are destroyed  
[7-13-98; 1.15.3.149 NMAC - Rn, 1 NMAC 3.2.90.11.A149, 10/1/2000; A, 1/6/2002]

**1.15.3.150 PROJECT CONTROL FILE:**

- A. **Program:** administrative records

**B. Maintenance system:** entity preference  
**C. Description:** memoranda, reports, and other records documenting assignments, progress, and completion of projects. Record series does not include construction project files.

**D. Retention:** one year after close of fiscal year in which project completed or canceled  
[7-13-98; 1.15.3.150 NMAC - Rn, 1 NMAC 3.2.90.11.A150, 10/1/2000; A, 1/6/2002]

**1.15.3.151 FEASIBILITY STUDIES:**

**A. Program:** administrative records

**B. Maintenance system:** entity preference

**C. Description:** studies requested or conducted prior to the acquisition, installation, implementation, or purchase of new technologies, equipment, properties, projects, etc. Studies may be incorporated into other files (i.e., project files).

**D. Retention:**

(1) **Studies requested or conducted by agency:** five years after completion or cancellation of study

(2) **Courtesy copies received by agency:** until informational value ends

[7-13-98; 1.15.3.151 NMAC - Rn, 1 NMAC 3.2.90.11.A151, 10/1/2000; A, 1/6/2002]

**1.15.3.152 CODE OF CONDUCT:**

**A. Program:** administrative records

**B. Maintenance system:** entity preference

**C. Description:** prescribed standards which are peculiar and appropriate to the function and purpose for which the agency or institution was created and exists. "All codes approved by the governor shall be filed with the secretary of state and shall be open to public inspection" (Section 10-16-11 NMSA 1978).

**D. Retention:**

(1) **Agency copy:** until superseded by new code

(2) **Secretary of state:** permanent

[7-13-98; 1.15.3.152 NMAC - Rn, 1 NMAC 3.2.90.11.A152, 10/1/2000; A, 1/6/2002]

**1.15.3.153-200 [RESERVED]**

**1.15.3.201 INSURANCE POLICY FILE:**

**A. Program:** risk management records

**B. Maintenance system:** entity preference

**C. Description:** records concerning insurance coverage of agency property (buildings and contents, equipment, automobiles, etc.).

**D. Retention:**

(1) **Insurance policy:** 10 years after expiration of policy, provided no claims or suits pending.

(2) **Claim files:** three years after case close

[7-13-98; 1.15.3.201 NMAC - Rn, 1 NMAC 3.2.90.11.A201, 10/1/2000; A, 1/6/2002]

**1.15.3.202 GROUP INSURANCE POLICY FILE:**

**A. Program:** risk management records

**B. Maintenance system:** entity preference

**C. Description:** records concerning insurance coverage of agency employees (health, life, accident, and long-term disability).

**D. Retention:**

(1) **Group insurance policy:** 10 years after expiration of policy, provided no claims or suits pending

(2) **Individual employee policy holders' records (waiver and enrollment forms applicable to group insurance in effect):** three years after employee terminated or retired, or three years after termination of effective period

(3) **Claim file:** until informational value ends

**E. Confidentiality:** claim files containing health information are confidential. (14-6-1 NMSA 1978)  
[7-13-98; 1.15.3.202 NMAC - Rn, 1 NMAC 3.2.90.11.A202, 10/1/2000; A, 1/6/2002]

**1.15.3.203 LIABILITY CERTIFICATES OF COVERAGE FILE:**

- A. Program:** risk management records
- B. Maintenance system:** entity preference
- C. Description:** records concerning insurance coverage of agency liability.
- D. Retention:**
  - (1) **Certificate (policy):** 10 years after expiration of policy, provided no claims or suits pending
  - (2) **Claim files:** three years after case closed
- E. Confidentiality:** claim files containing health information are confidential. (Section 14-6-1

NMSA 1978)

[7-13-98; 1.15.3.203 NMAC - Rn, 1 NMAC 3.2.90.11.A203, 10/1/2000; A, 1/6/2002]

**1.15.3.204 SURETY BOND FILE:**

- A. Program:** risk management records
- B. Maintenance system:** entity preference
- C. Description:** records concerning surety bond coverage of agency employees and persons acting on behalf of or in service to the agency in any official capacity.

- D. Retention:**
  - (1) **Certificate (policy):** 10 years after expiration of policy, provided no claims or suits pending.
  - (2) **Claim files:** three years after case closed

[7-13-98; 1.15.3.204 NMAC - Rn, 1 NMAC 3.2.90.11.A204, 10/1/2000; A, 1/6/2002]

**1.15.3.205 WORKER'S COMPENSATION FILE:**

- A. Program:** risk management records
- B. Maintenance system:** entity preference
- C. Description:** records concerning workers' compensation claims against agency. File may include legal opinions and briefs, court documents, transcripts, affidavits, photographs, findings, recommendations, correspondence, related records, etc.

- D. Retention:**
  - (1) **Policy:** 10 years after expiration of policy, provided no claims or suits pending
  - (2) **Claim files:** three years after case closed
- E. Confidentiality:** claim files containing health information are confidential. (14-6-1 NMSA 1978)

[7-13-98; 1.15.3.205 NMAC - Rn, 1 NMAC 3.2.90.11.A205, 10/1/2000; A, 1/6/2002]

**1.15.3.206 TITLE INSURANCE POLICY:**

- A. Program:** risk management records
- B. Maintenance system:** entity preference
- C. Description:** records concerning the insurance coverage of titles of agency owned property.
- D. Retention:**

- (1) **Policy:** until property sold or disposed of, provided no claims or suits pending
- (2) **Claim files:** three years after case closed

[7-13-98; 1.15.3.206 NMAC - Rn, 1 NMAC 3.2.90.11.A206, 10/1/2000; A, 1/6/2002]

**1.15.3.207 INSURANCE APPRAISAL OR SURVEY FILE:**

- A. Program:** risk management records
- B. Maintenance system:** entity preference
- C. Description:** records concerning insurance appraisal or surveys.
- D. Retention:** until informational value ends

[7-13-98; 1.15.3.207 NMAC - Rn, 1 NMAC 3.2.90.11.A207, 10/1/2000; A, 1/6/2002]

**1.15.3.208-300 [RESERVED]**

**1.15.3.301 DOCUMENTATION TAPE FILE:**

- A. Program:** electronic records

**B. Maintenance system:** entity preference

**C. Description:** data processing tapes providing documentation for operation systems. Tapes include data systems specifications, systems test documentation, file specifications, user guides, output specifications, reports, and information retrieval data. Proprietary software is confidential (copyright, protection of rights, 17 USC, section 102,106, and 117). System test documentation for approved systems may be destroyed one year after completion of testing.

**D. Retention:**

(1) **Approved systems:** one year after discontinuance of system, provided all magnetic data files are authorized for disposal or transferred to new or alternate system

(2) **Disapproved proposed systems:** one year after date of final action  
[7-13-98; 1.15.3.301 NMAC - Rn, 1 NMAC 3.2.90.11.A301, 10/1/2000; A, 1/6/2002]

**1.15.3.302 OPERATIONS SYSTEM BACKUP:**

**A. Program:** electronic records

**B. Maintenance system:** entity preference

**C. Description:** operations system backups contain data concerning agency's fiscal operations and transactions, legal investigations and proceedings, studies, supply management, personnel and payroll administration, etc.

**D. Retention:**

(1) **Annual system backup:** erase or dispose of when data contained has met its retention period provided approval to destroy data has been received from office or department to which data belongs

(2) **Quarterly system backup:** after five cycles

(3) **Monthly system backup:** after four cycles

(4) **Weekly system backup:** after six cycles

(5) **Daily system backup:** after eight cycles

(6) **Incremental system backup:** until completion of next full system backup  
[7-13-98; 1.15.3.302 NMAC - Rn, 1 NMAC 3.2.90.11.A302, 10/1/2000; A, 1/6/2002]

**1.15.3.303 ELECTRONIC MAIL:**

**A. Program:** electronic records

**B. Maintenance system:** entity preference

**C. Description:** electronically transmitted information (including graphics) of a transitory nature. If electronic mail system is being utilized to transmit documentation (i.e., correspondence, memoranda, etc.) other than of a transitory nature (i.e., administrative, procedural, or policy), then print or file off and retain for required length of time for specific document.

**D. Retention:** until no longer needed for reference but no longer then 30 days after date created  
[7-13-98; 1.15.3.303 NMAC - Rn, 1 NMAC 3.2.90.11.A303, 10/1/2000; A, 1/6/2002]

**1.15.3.304-400 [RESERVED]**

**1.15.3.401 LEGAL CASE FILE:**

**A. Program:** legal office records

**B. Maintenance system:** entity preference

**C. Description:** records concerning litigation . Records may contain complaints, court order, motion, pleadings, notes, briefs, releases, investigative reports, investigative activity logs, transcripts, closing sheets, correspondence, memoranda, etc. Case files involving real property where the state has an interest shall be retained for 10 years after case closed or until state no longer has an interest, whichever is longer.

**D. Retention:**

(1) **Legal casefiles:** 10 years after case closed

(2) **Legal case files involving minors:** 10 years after case closed or until any minor involved attains age 21, whichever is longer

(3) **Legal case files involving real property:** 10 years after case closed or until state no longer has an interest, whichever is longer

**E. Confidentiality:** per Sections 14-2-1 NMSA 1978, 32A-1-3.B NMSA 1978, 32A-2-32 NMSA 1978, 32A-3B-22 NMSA 1978, 32A-4-33 NMSA 1978, 32A-5-8 NMSA 1978, and 32A-6-15 NMSA 1978 [7-13-98; 1.15.3.401 NMAC - Rn, 1 NMAC 3.2.90.11.A401, 10/1/2000; A, 1/6/2002; A, 1/6/2002]

**1.15.3.402 LEGAL BRIEF FILE (BRIEF BANK):**

- A. Program:** legal office records
- B. Maintenance system:** entity preference
- C. Description:** contains duplicate copies of legal briefs from legal case file.
- D. Retention:** until no longer needed for reference

[7-13-98; 1.15.3.402 NMAC - Rn, 1 NMAC 3.2.90.11.A402, 10/1/2000; A, 1/6/2002]

**1.15.3.403 LEGAL CASE LOG:**

- A. Program:** legal office records
- B. Maintenance system:** entity preference
- C. Description:** listing of cases. Log may be destroyed when information transferred to or is available on electronic media.
- D. Retention:** 10 years after all cases listed are closed

[7-13-98; 1.15.3.403 NMAC - Rn, 1 NMAC 3.2.90.11.A403, 10/1/2000; A, 1/6/2002]

**1.15.3.404 LEGAL CASE INDEX:**

- A. Program:** legal office records
- B. Maintenance system:** entity preference
- C. Description:** includes notations on activities related to case indexed.
- D. Retention:** 10 years after case closed

[7-13-98; 1.15.3.404 NMAC - Rn, 1 NMAC 3.2.90.11.A404, 10/1/2000; A, 1/6/2002]

**1.15.3.405 LEGAL OPINIONS AND REQUESTS FOR OPINION FILE:**

- A. Program:** legal office records
- B. Maintenance system:** entity preference
- C. Description:** records requesting legal office to render or issue an opinion. May contain request, opinion, relating documentation, correspondence, memoranda, etc. File includes attorney general opinions and requests for opinions.
- D. Retention:**

- (1) **Legal office (issuing entity):** permanent
- (2) **Office or department (requesting entity):** until no longer needed for reference

[7-13-98; 1.15.3.405 NMAC - Rn, 1 NMAC 3.2.90.11.A405, 10/1/2000; A, 1/6/2002]

**1.15.3.406-500 [RESERVED]**

**1.15.3.501 OFFENSE OR INCIDENT REPORTS:**

- A. Program:** security records
- B. Maintenance system:** entity preference
- C. Description:** shows offender's name, offender information, date and time and location of occurrence, information on incident, reporting witness name, name of investigating officer, narrative, etc. Includes bomb threat reports. Includes reports concerning victims of alleged criminal offenses occurring on agency property.
- D. Retention:** five years after date of occurrence

[7-13-98; 1.15.3.501 NMAC - Rn, 1 NMAC 3.2.90.11.A501, 10/1/2000; A, 1/6/2002]

**1.15.3.502 DISPATCH RECORDS:**

- A. Program:** security records
- B. Maintenance system:** entity preference
- C. Description:** records concerning the dispatch of agency security. Record may show offense or incident reports, complainant's name, place of occurrence, address, date and time complaint received, dispatcher's name, name of officer dispatched, etc.

**D. Retention:** 18 months from date of call  
[7-13-98; 1.15.3.502 NMAC – Rn, 1 NMAC 3.2.90.11 A502, 10/1/2000; A, 1/6/2002]

**1.15.3.503 RADIO LOGS:**

- A. Program:** security records.
- B. Maintenance system:** entity preference
- C. Description:** shows unit number, time and date of call, location of call, nature of call, etc.
- D. Retention:** one year after date created

[7-13-98; 1.15.3.503 NMAC - Rn, 1 NMAC 3.2.90.11.A503, 10/1/2000; A, 1/6/2002]

**1.15.3.504 BUILDING ENTRANCE LOG:**

- A. Program:** security records
- B. Maintenance system:** entity preference
- C. Description:** shows agency name, building, employee identification, time in, time out, time alarm reset, etc.

**D. Retention:** one year after date created  
[7-13-98; 1.15.3.504 NMAC - Rn, 1 NMAC 3.2.90.11.A504, 10/1/2000; A, 1/6/2002]

**1.15.3.505 SECURITY GATE LOG:**

- A. Program:** security records
- B. Maintenance system:** entity preference
- C. Description:** record documenting the vehicles entering and leaving monitored or secured area. Shows date, vehicle identification, driver identification, time in, time out, etc.

**D. Retention:** one year after date created  
[7-13-98; 1.15.3.505 NMAC - Rn, 1 NMAC 3.2.90.11.A505, 10/1/2000; A, 1/6/2002]

**1.15.3.506 ALARM DATA RECORDS:**

- A. Program:** security records
- B. Maintenance system:** entity preference
- C. Description:** shows date and time of alarm, alarm number, etc.
- D. Retention:** one year after date created

[7-13-98; 1.15.3.506 NMAC - Rn, 1 NMAC 3.2.90.11.A506, 10/1/2000; A, 1/6/2002]

**1.15.3.507 PARKING ASSIGNMENTS FILE:**

- A. Program:** security records
- B. Maintenance system:** entity preference
- C. Description:** records concerning staff parking assignments.
- D. Retention:** until superseded or obsolete

[7-13-98; 1.15.3.507 NMAC - Rn, 1 NMAC 3.2.90.11.A507, 10/1/2000; A, 1/6/2002]

**1.15.3.508 PARKING SERVICES CASHIER'S RECEIPT:**

- A. Program:** security records
- B. Maintenance system:** entity preference
- C. Description:** copy of receipt issued for monies received for parking on agency property
- D. Retention:** three years after close of fiscal year in which created

[7-13-98; 1.15.3.508 NMAC - Rn, 1 NMAC 3.2.90.11.A508, 10/1/2000; A, 1/6/2002]

**1.15.3.509 VEHICLE ACCIDENT REPORT FILE:**

- A. Program:** security records
- B. Maintenance system:** entity preference
- C. Description:** records concerning each vehicle accident reported on agency property. File may include medical records, offense or incident reports, affidavits, photographs, diagrams, related documentation, correspondence, memoranda, etc.

**D. Retention:**

- (1) **Fatal accidents:** 25 years after date of accident
- (2) **Non-fatal accidents:** 10 years after date of accident
- E. **Confidentiality:** (Sections 66-7-213, 66-7-215 and 14-6-1 NMSA 1978)  
[7-13-98; 1.15.3.509 NMAC - Rn, 1 NMAC 3.2.90.11.A509, 10/1/2000; A, 1/6/2002]

**1.15.3.510 WRECKER LOG:**

- A. **Program:** security records
- B. **Maintenance system:** entity preference
- C. **Description:** record of vehicles towed away. Record may show date and time, name of wrecking company, operator, make of vehicle, license number, owner, location, reason for towing vehicle, etc.
- D. **Retention:** one year after close of fiscal year in which created  
[7-13-98; 1.15.3.510 NMAC - Rn, 1 NMAC 3.2.90.11.A510, 10/1/2000; A, 1/6/2002]

**1.15.3.511 VISITOR CONTROL FILE:**

- A. **Program:** security records
- B. **Maintenance system:** entity preference
- C. **Description:** registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas.
- D. **Retention:** one year after date created  
[7-13-98; 1.15.3.511 NMAC - Rn, 1 NMAC 3.2.90.11.A511, 10/1/2000; A, 1/6/2002]

**1.15.3.512 KEY ACCOUNTABILITY RECORDS:**

- A. **Program:** security records
- B. **Maintenance system:** entity preference
- C. **Description:** records relating to accountability for keys issued.
- D. **Retention:**
  - (1) **For security areas:** three years after keys turned in
  - (2) **All other areas:** six months after keys turned in  
[7-13-98; 1.15.3.512 NMAC - Rn, 1 NMAC 3.2.90.11.A512, 10/1/2000; A, 1/6/2002]

**1.15.3.513-600 [RESERVED]**

**1.15.3.601 ACCESSION RECORDS:**

- A. **Program:** library records
- B. **Maintenance system:** entity preference
- C. **Description:** records concerning the acquisition of library monographs, films, photographs, collections, etc. Record may show accession number, author, title, publisher, date of publication, cost of acquisition, etc.
- D. **Retention:** permanent  
[7-13-98; 1.15.3.601 NMAC - Rn, 1 NMAC 3.2.90.11.A601, 10/1/2000; A, 1/6/2002]

**1.15.3.602 CATALOG OF HOLDINGS:**

- A. **Program:** library records
- B. **Maintenance system:** entity preference
- C. **Description:** record of library holdings in manuscript, printed catalog, or continuously updated catalog forms.
- D. **Retention:** until superseded  
[7-13-98; 1.15.3.602 NMAC -Rn, 1 NMAC 3.2.90.11.A602, 10/1/2000; A, 1/6/2002]

**1.15.3.603 BORROWER FILE:**

- A. **Program:** library records
- B. **Maintenance system:** entity preference
- C. **Description:** records that authorize patrons to borrow library materials (includes interlibrary loans). May show borrower name, borrower number, expiration date, etc.



- D. **Retention:** until obsolete
- E. **Confidentiality:** Section 18-9-4 NMSA 1978  
[7-13-98; 1.15.3.603 NMAC - Rn, 1 NMAC 3.2.90.11.A603, 10/1/2000; A, 1/6/2002]

**1.15.3.604 BORROWING OR LOANING RECORDS:**

- A. **Program:** library records
- B. **Maintenance system:** entity preference
- C. **Description:** records concerning the borrowing or loaning of library materials (includes interlibrary materials).
- D. **Retention:** until all borrowing or loaning transactions completed
- E. **Confidentiality:** Section 18-9-4 NMSA 1978  
[7-13-98; 1.15.3.604 NMAC - Rn, 1 NMAC 3.2.90.11.A604, 10/1/2000; A, 1/6/2002]

**1.15.3.605 PATRON'S REGISTRATION FOR USE OF SPECIAL LIBRARY MATERIALS:**

- A. **Program:** library records
- B. **Maintenance system:** entity preference
- C. **Description:** records concerning the use of rare, valuable, or other restricted library materials. Records may show patron name, patron address, patron signature, etc.
- D. **Retention:** five years after date materials used.
- E. **Confidentiality:** Section 18-9-4 NMSA 1978  
[7-13-98; 1.15.3.605 NMAC - Rn, 1 NMAC 3.2.90.11.A605, 10/1/2000; A, 1/6/2002]

**1.15.3.606 SELECTION RECORDS:**

- A. **Program:** library records
- B. **Maintenance system:** entity preference
- C. **Description:** records documenting the selection of books and other library materials (monographs, periodicals, films, etc.).
- D. **Retention:** one year after date created  
[7-13-98; 1.15.3.606 NMAC - Rn, 1 NMAC 3.2.90.11.A606, 10/1/2000; A, 1/6/2002]

**1.15.3.607 CENSORSHIP OR COMPLAINT FILES:**

- A. **Program:** library records
- B. **Maintenance system:** entity preference
- C. **Description:** records concerning library material censorship and complaints. File may include evaluations by staff, patron's complaints, final decision documentation, etc.
- D. **Retention:** five years after date of last entry  
[7-13-98; 1.15.3.607 NMAC - Rn, 1 NMAC 3.2.90.11.A607, 10/1/2000; A, 1/6/2002]

**1.15.3.608 GIFT DONORS FILE:**

- A. **Program:** library records
- B. **Maintenance system:** entity preference
- C. **Description:** records concerning the donation of publications and manuscripts to the library. Comply with applicable provisions of legal agreement regarding confidentiality of records concerning each gift.
- D. **Retention:** five years after date created  
[7-13-98; 1.15.3.608 NMAC - Rn, 1 NMAC 3.2.90.11.A608, 10/1/2000; A, 1/6/2002]

**1.15.3.609 REQUESTS FOR REPRODUCTION OF COPYRIGHTED WORKS:**

- A. **Program:** library records
- B. **Maintenance system:** entity preference
- C. **Description:** records concerning requests for copyrighted materials. Records may contain files or logs, records of requests made for copies or phonorecords of copyrighted materials, records of the fulfillment of such requests, etc. (includes interlibrary loans).
- D. **Retention:** three years after the calendar year in which created per United States Copyright Office Circular 21, p. 19

**E. Confidentiality:** Section 18-9-4 NMSA 1978  
[1.15.3.609 NMAC - N, 1/6/2002]

**1.15.3.610-699** [RESERVED]

**1.15.3.700** [RESERVED]

[7-13-98; 1.15.3.700 NMAC – Rn, 1 NMAC 3.2.90.11.A700.1, 10/1/2000; Repealed, 1/6/2002]

**1.15.3.701 RECORDS RETENTION AND DISPOSITION SCHEDULE:**

**A. Program:** records management records  
**B. Maintenance system:** entity preference  
**C. Description:** schedules shows record name, filing system, record frequency, description, retention, confidentiality, and rule filing date.

**D. Retention:** until superseded by new schedule  
[7-13-98; 1.15.3.701 NMAC - Rn, 1 NMAC 3.2.90.11.A701, 10/1/2000; A, 1/6/2002]

**1.15.3.702 STORAGE TICKET (SRC-1):**

**A. Program:** records management records  
**B. Maintenance system:** entity preference  
**C. Description:** shows agency code, shipment box number, shipment date, agency, authorizing signature and title, records description, inclusive date, schedule item number, destruction date, location, analyst signature, etc.

**D. Retention:** three years after close of calendar year in which records destroyed  
[7-13-98; 1.15.3.702 NMAC - Rn, 1 NMAC 3.2.90.11.A702, 10/1/2000; A, 1/6/2002]

**1.15.3.703 REQUEST FOR PICK-UP AND DESTRUCTION (SRC-2):**

**A. Program:** records management records  
**B. Maintenance system:** entity preference  
**C. Description:** approval request for destruction of agency records. Shows agency name and location, date, record description, inclusive dates, quantity of boxes or sacks to be destroyed, schedule item number, authorizing signatures, etc.

**D. Retention:** three years after close of calendar year in which records destroyed  
[7-13-98; 1.15.3.703 NMAC – Rn, 1 NMAC 3.2.90.11.A703, 10/1/2000; A, 1/6/2002]

**1.15.3.704 WITHDRAWAL TICKET (SRC-5):**

**A. Program:** records management records  
**B. Maintenance system:** entity preference  
**C. Description:** record of withdrawals of documents from boxes held in storage with state records center. Shows record description, shipment box number, location, approximate date of return requested by and date, received by and date, return date, etc.

**D. Retention:**  
(1) **Temporary withdrawal:** three years close of calendar year in which records returned  
(2) **Permanent withdrawal:** three years close of calendar year in which records withdrawn  
[7-13-98; 1.15.3.704 NMAC - Rn, 1 NMAC 3.2.90.11.A704, 10/1/2000; A, 1/6/2002]

**1.15.3.705 CORRECTIONAL INDUSTRIES MICROFILM SERVICES JOB SPECIFICATION (SRC-73):**

**A. Program:** records management records  
**B. Maintenance system:** entity preference  
**C. Description:** shows agency or division, address, SRC control number, agency billing code.  
**D. Retention:** three years after close of fiscal year in which created  
[7-13-98; 1.15.3.705 NMAC - Rn, 1 NMAC 3.2.90.11.A705, 10/1/2000; A, 1/6/2002]

**1.15.3.706 MICROFILM JOB TICKET (SRC 23):**

- A. **Program:** records management records
- B. **Maintenance system:** entity preference
- C. **Description:** shows records sent for microfilming by agency, record description, received by, delivered to, etc.
- D. **Retention:** one year after close of fiscal year in which created  
[7-13-98; 1.15.3.706 NMAC - Rn, 1 NMAC 3.2.90.11.A706, 10/1/2000; A, 1/6/2002]

**1.15.3.707 MICROFILM INSPECTION SHEETS (SRC 23):**

- A. **Program:** records management records
- B. **Maintenance system:** entity preference
- C. **Description:** record shows report date, agency name, roll number, inspection date, density, resolution, remarks or comments, inspector signature, etc.
- D. **Retention:** one year after inspection date  
[7-13-98; 1.15.3.707 NMAC - Rn, 1 NMAC 3.2.90.11.A707, 10/1/2000; A, 1/6/2002]

**1.15.3.708 CUSTODIAN OF RECORD FILE:**

- A. **Program:** records management records
  - B. **Maintenance system:** entity preference
  - C. **Description:** records documenting the inspection of public records. File may include procedures, custodian of record appointment, requests to review or copy documents, copies of denial to review or copy documents, copies of memoranda extending time to respond to request, copies of memoranda stating that agency is not responsible for maintaining record requested and is forwarding request to appropriate agency, etc.
  - D. **Retention:**
    - (1) **Procedures and custodian of record appointment:** until superseded
    - (2) **Records of requests filled:** until request filled
    - (3) **Records of requests denied:** one year after date denied
- [7-13-98; 1.15.3.708 NMAC - Rn, 1 NMAC 3.2.90.11.A708, 10/1/2000; A, 1/6/2002]

**HISTORY OF 1.15.3 NMAC:**

**Pre-NMAC Filing History:** The material in this part was derived from that previously filed with the State Records Center under:

SRC Rule No. 93-09A, Records Retention and Disposition Schedule for General Administrative Records (For Use by Local Government and Educational Institutions, 7-29-94

# Financial

Title 1 Chapter 15

Part 5

NMAC

**TITLE 1            GENERAL GOVERNMENT ADMINISTRATION**  
**CHAPTER 15       GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULES (GRRDS)**  
**PART 5            GRRDS, GENERAL FINANCIAL SCHEDULE (INTERPRETIVE)**

**1.15.5.1            ISSUING AGENCY:** [New Mexico Commission of Public Records] – State Records Center and Archives  
[8-8-96; 1.15.5.1 NMAC - Rn, 1 NMAC 3.2.90.1, 10/01/2000]

**1.15.5.2            SCOPE:** general financial records.  
[8-8-96; 1.15.5.2 NMAC - Rn, 1 NMAC 3.2.90.2, 10/01/2000]

**1.15.5.3            STATUTORY AUTHORITY:** Section 14-3-6 NMSA 1978. Administrator: duties. The administrator shall establish a records management program for the application of efficient and economical management methods to the creation, utilization, maintenance, retention, preservation and disposal of official records. The administrator shall establish records disposal schedules for the orderly retirement of records and adopt regulations necessary for the carrying out of the public records act. Records disposal schedules shall be files with the librarian of the supreme court library, and shall not become effective until thirty days after the filing date.  
[8-8-96; 1.15.5.3 NMAC - Rn, 1 NMAC 3.2.90.3, 10/01/2000]

**1.15.5.4            DURATION:** permanent  
[8-8-96; 1.15.5.4 NMAC - Rn, 1 NMAC 3.2.90.4, 10/01/2000]

**1.15.5.5            EFFECTIVE DATE:** July 13, 1998  
[8-8-96; 1.15.5.5 NMAC - Rn, 1 NMAC 3.2.90.21, 10/01/2000]

**1.15.5.6            OBJECTIVE:**  
**A.** To establish a records management program for the application of and efficient and economical management methods to the creation, utilization, maintenance, retention, preservation and disposal of official records (Section 14-3-6 NMSA 1978).  
**B.** To establish records disposal schedules for the orderly retirement of records and adopt regulations necessary for the carrying out of the public records act (Section 14-3-6 NMSA 1978).  
[8-8-96; 1.15.5.6 NMAC - Rn, 1 NMAC 3.2.90.6, 10/01/2000]

**1.15.5.7            DEFINITIONS:**  
**A. Administrator:** "Administrator" means the state records administrator. (Section 14-3-2, NMSA 1978)  
**B. Agency:** "Agency" means any state agency, department, bureau, board, commission, institution or other organization of the state government, the territorial government and the Spanish and Mexican governments in New Mexico. (Section 14-3-2, NMSA 1978)  
**C. Audit:** A periodic examination of an organization to determine whether appropriate procedures and practices are followed.  
**D. Commission:** "Commission" means the state commission of public records. (Section 14-3-2, NMSA 1978)  
**E. Pending litigation:** A proceeding in a court of law whose activity is in progress but not yet completed.  
**F. Record destruction:** The process of totally obliterating information on records by any method to make the information unreadable or unusable under any circumstances.  
**G. Records management:** The systematic control of all records from creation or receipt through processing, distribution, maintenance and retrieval, to their ultimate disposition.  
**H. Records retention period:** The period of time during which records must be maintained by an organization because they are needed for operational, legal, fiscal, historical or other purposes.  
**I. Records retention schedule:** A document prepared as part of a records retention program that lists the period of time for retaining records.  
**J. Public records:** "Public records" means all books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by any agency in pursuance of law or in connection with the transaction of public business and preserved, or appropriate for preservation, by the

agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government, or because of the informational and historical value of data contained therein. (Section 14-4-2, NMSA 1978)

**K. Non-records:** Library or museum material of the state library, state institutions and state museums, extra copies of documents reserved only for convenience of reference and stocks of publications and processed documents are non-records. (Section 14-3-2 C, NMSA 1978). The following specific types of materials are non-records: extra copies of correspondence; documents preserved only for convenience of reference; blank forms/books which are outdated; materials neither made nor received in pursuance of statutory requirements nor in connection with the functional responsibility of the officer/agency; preliminary and non-final drafts of letters, reports and memoranda which may contain or reflect the working or deliberative process by which a final decision or position of the agency, board, department or subdivision thereof is reached: shorthand notes, steno tapes, mechanical recordings which have been transcribed, except where noted on agency retention schedules; routing and other interdepartmental forms which are not significant evidence of the activity concerned and do not otherwise have value as described above; stocks of publications already sent to archives and processed documents preserved for supply purposes only; form and guide letters, sample letters, form paragraphs; subject files, including copies of correspondence, memoranda, publications, reports and other information received by agency and filed by subject (also referred to as reading files or information files). [See also Item No. 1.15.2.101 of Records Retention and Disposition Schedule for General Administrative Records (1.15.2 NMAC filed 10/01/2000).] [5-19-97; 8-8-96; 1.15.5.7 NMAC - Rn, 1 NMAC 3.2.90.7, 10/01/2000]

#### **1.15.5.8 INSTRUCTIONS:**

**A.** For records of an administrative nature, refer to the Records Retention and Disposition Schedule for General Administrative Records, 1.15.2 NMAC.

**B.** For records of a financial nature, refer to the Records Retention and Disposition Schedule for General Financial Records, 1.15.4 NMAC.

**C.** For records of a personnel nature, refer to the Records Retention and Disposition Schedule for General Personnel Records, 1.15.6 NMAC.

**D.** For records of a medical nature, refer to the Records Retention and Disposition Schedule for General Medical Records, 1.15.8 NMAC.

**E.** Retention periods shall be extended until six months after all current or pending litigation, current claims, audit exceptions or court orders involving a record have been resolved or concluded.

**F.** The descriptions of files are intended to be evocative, not complete. For example, there will always be some documents that are filed in a file that are not listed in the description, and similarly, not every file will contain an example of each document listed in the description.

**G.** Confidentiality is denoted as "-C-". Not all materials in a file may be confidential. Refer to NOTE. Where portions of file may be confidential, refer to legal counsel for agency.

**H.** Access to confidential documents and/or confidential files shall be only by authorization of agency or Attorney General and/or by court order, unless otherwise provided by statute. Release of confidential documents to law enforcement and other government agencies, shall only be upon specific statutory authorization or court order.

**I.** All records, papers or documents may be photographed, microfilmed, microphotographed or reproduced on film. Such photographs, microfilms, photographic film or microphotographs shall be deemed to be an original record for all purposes, including introduction in evidence in all courts or administrative agencies. (Section 14-1-5, 14-1-6 NMSA 1978)

**J.** Data processing and other machine readable records. Many paper records are being eliminated when the information has been placed on magnetic tapes, disks, or other data processing media. In these cases, the information on the data processing medium should be retained for the length of time specified in records retention & disposition schedules for paper records and should be subject to the same confidentiality and access restrictions as paper records. When the destruction of a record is required, all versions of said record shall be electronically overwritten on machine readable media on which it is stored (or media destroyed). (See also 1.13.7 NMAC: PERFORMANCE GUIDELINES FOR THE LEGAL ACCEPTANCE OF PUBLIC RECORDS PRODUCED BY INFORMATION TECHNOLOGY SYSTEMS).

[5-19-97; 8-8-96; 1.15.5.8 NMAC - Rn, 1 NMAC 3.2.90.8, 10/01/2000]

#### **1.15.5.9-100 [RESERVED]**

**1.15.5.101 BUDGET WORK PAPERS:**

- A. Program:** budget records
- B. Maintenance system:** [RESERVED]
- C. Description:** work papers used in preparing the appropriations request and operating budget
- D. Retention:** three years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.10.F101, 07-13-98; 1.15.5.101 NMAC – Rn, 1 NMAC 3.2.90.21.F101, 10/1/2000]

**1.15.5.102 BUDGET APPROPRIATIONS REQUEST:**

- A. Program:** budget records
- B. Maintenance system:** [RESERVED]
- C. Description:** final draft of proposed budget
- D. Retention:** three years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.10.F102, 07-13-98; 1.15.5.102 NMAC – Rn, 1 NMAC 3.2.90.21.F102, 10/1/2000]

**1.15.5.103 OPERATING BUDGET:**

- A. Program:** budget records
- B. Maintenance system:** [RESERVED]
- C. Description:** printed copy of annual budget showing projected receipts and expenditures.
- D. Retention:** three years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.10.F103, 07-13-98; 1.15.5.103 NMAC – Rn, 1 NMAC 3.2.90.21.F103, 10/1/2000]

**1.15.5.104 BUDGET ADJUSTMENT REQUESTS:**

- A. Program:** budget records
- B. Maintenance system:** [RESERVED]
- C. Description:** standard form for the revision of an approved operating budget detailing money amounts by line item with explanation and justification.
- D. Retention:** three years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.10.F104, 07-13-98; 1.15.5.104 NMAC – Rn, 1 NMAC 3.2.90.21.F104, 10/1/2000]

**1.15.5.105 BUDGET STATUS REPORT, MONTHLY:**

- A. Program:** budget records
- B. Maintenance system:** [RESERVED]
- C. Description:** report generated by finance department listing approved budget by category and line item. Information includes budget adjustments, amounts expended, encumbrances outstanding, unencumbered balance, etc.
- D. Retention:** three years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.10.F105, 07-13-98; 1.15.5.105 NMAC – Rn, 1 NMAC 3.2.90.21.F105, 10/1/2000]

**1.15.5.106-200 [RESERVED]**

**1.15.5.201 ASSESSMENTS:**

- A. Program:** revenue records
- B. Maintenance system:** [RESERVED]
- C. Description:** records concerning the various levies imposed by statute to fund agency operations.

This is a minimum retention required subject to longer periods listed specifically in individual retention schedules (i.e., municipality schedule, county assessor schedule, etc.).

- D. Retention:** three years after close of fiscal year in which assessment is paid

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.20.F201, 07-13-98; 1.15.5.201 NMAC – Rn, 1 NMAC 3.2.90.21.F201, 10/1/2000]

**1.15.5.202 INVOICES (AGENCY):**

**A. Program:** revenue records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** copies of invoices used by various offices/departments supplying goods and/or services. Information includes vendor name and address, date of purchase, purchase order number, invoice number, items or services purchased, amounts, total, etc. Copies of department invoices may be filed in payment invoice file, 1.15.5.204.

**D. Retention:**  
**(1) Finance department copy:** six years after close of fiscal year in which created  
**(2) Other department copy:** three years after close of fiscal year in which created  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.20.F202, 07-13-98; 1.15.5.202 NMAC – Rn, 1 NMAC 3.2.90.21.F202, 10/1/2000]

**1.15.5.203 RECEIPTS:**

**A. Program:** revenue records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** department documents that record the receipt of any form of payment to the government entity.

**D. Retention:** three years after close of fiscal year in which created  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.20.F203, 07-13-98; 1.15.5.203 NMAC – Rn, 1 NMAC 3.2.90.21.F203, 10/1/2000]

**1.15.5.204 PAYMENT INVOICE FILES:**

**A. Program:** revenue records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** records concerning the purchase and payment of goods/services provided by the agency. File may include buyer's purchase documents, copy of agency's invoice, correspondence, memoranda, etc.

**D. Retention:**  
**(1) Finance department copy:** six years after close of fiscal year in which created  
**(2) Other department copy:** three years after close of fiscal year in which created  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.20.F204, 07-13-98; 1.15.5.204 NMAC – Rn, 1 NMAC 3.2.90.21.F204, 10/1/2000]

**1.15.5.205 DEPOSIT SLIPS:**

**A. Program:** revenue records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** receipt verifying the amount deposited into bank account or deposited with treasurer.

**D. Retention:**  
**(1) Bank deposit slips:** three years after close of fiscal year in which created  
**(2) Treasurer's deposit slips:**  
**(a) Treasurer's copy:** three years after close of fiscal year in which created  
**(b) Finance department copy:** one year after audit report released  
**(c) Other department copy:** until audit report released  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.20.F205, 07-13-98; 1.15.5.205 NMAC – Rn, 1 NMAC 3.2.90.21.F205, 10/1/2000]

**1.15.5.206 REVENUE STATUS REPORT, MONTHLY:**

**A. Program:** revenue records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** report generated by finance department listing recap of budget adjustments by category and line item. Information includes original revenue estimate, adjusted revenue estimate, actual revenue year-to-date, unrealized revenue, current month revenues, etc..

**D. Retention:** three years after close of fiscal year in which created  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.20.F206, 07-13-98; 1.15.5.206 NMAC – Rn, 1 NMAC 3.2.90.21.F206, 10/1/2000]



**1.15.5.207 CASH REPORTS, DAILY:**  
**A. Program:** revenue records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** report generated by treasurer showing daily revenues deposited with treasurer by department.  
**D. Retention:**  
**(1) Treasurer's copy:** three years after close of fiscal year in which created  
**(2) Finance department copy:** until audit report released  
**(3) Other departments copy:** until audit report released  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.20.F207, 07-13-98; 1.15.5.207 NMAC – Rn, 1 NMAC 3.2.90.21.F207, 10/1/2000]

**1.15.5.208 REVENUE CONTRACTS AND GRANTS:**  
**A. Program:** revenue records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** records concerning contracts and grants received by an agency. Records include but are not limited to block of contract or grants, negotiated grants, federal agency grants, etc. Where there is required reporting of expenditures to a federal agency, retain records for six years after termination of grant/contract or retain records for five years after submission of final expenditure report, whichever is longer.  
**D. Retention:** six years after termination of grant  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.20.F208, 07-13-98; 1.15.5.208 NMAC – Rn, 1 NMAC 3.2.90.21.F208, 10/1/2000]

**1.15.5.209-300[RESERVED]**

**1.15.5.301 VENDOR FILES:**  
**A. Program:** expenditure records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** files/listings of vendors with whom agency is currently conducting business.  
**D. Retention:** until superseded or until information is obsolete  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F301, 07-13-98; 1.15.5.301 NMAC – Rn, 1 NMAC 3.2.90.21.F301, 10/1/2000]

**1.15.5.302 REQUISITION FOR PURCHASE:**  
**A. Program:** expenditure records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** request forms from the various offices/departments, which describe goods or services to be ordered by the purchasing department. Information includes requisition number, department name, delivery location, today's date, date goods/services required, item number, quantity, description, known suppliers, authorizing signature. Requisitions for purchase may be filed in payment voucher file, 1.15.5.310 NMAC.  
**D. Retention:**  
**(1) Finance department copy:** six years after close of fiscal year in which created  
**(2) Other departments copy:** three years after close of fiscal year in which created  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F302, 07-13-98; 1.15.5.302 NMAC – Rn, 1 NMAC 3.2.90.21.F302, 10/1/2000]

**1.15.5.303 PURCHASE ORDERS (PURCHASE DOCUMENTS):**  
**A. Program:** expenditure records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** office copies of purchase orders for goods and services paid for, or for goods and services yet to be delivered. Information includes vendor number, project number, date of purchase order, department, vendor name and address, shipping instruction, quantity ordered, unit of issue, description of goods/services ordered, general ledger account number, unit price, extended price, purchasing agent signature, individual who signs for receipt of goods/services and date received, and notations regarding any shortages in shipment. This record series includes both direct and contract purchase orders. Purchase orders may be filed in payment voucher file, 1.15.5.310 NMAC.

**D. Retention:**

- (1) **Finance department copy:** six years after close of fiscal year in which created
  - (2) **Other departments copy:** three years after close of fiscal year in which created
- [08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F303, 07-13-98; 1.15.5.303 NMAC – Rn, 1 NMAC 3.2.90.21.F303, 10/1/2000]

**1.15.5.304 INVOICES (VENDOR):**

- A. Program:** expenditure records
- B. Maintenance system:** [RESERVED]
- C. Description:** invoices submitted by various vendors supplying goods and/or services. Information includes vendor name and address, date of purchase, purchase order number, invoice number, items or services purchased, amounts, total, etc. Vendor invoices may be filed in payment voucher file, 1.15.5.310 NMAC.

**D. Retention:**

- (1) **Finance department copy:** six years after close of fiscal year in which created
  - (2) **Other departments copy:** three years after close of fiscal year in which created
- [08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F304, 07-13-98; 1.15.5.304 NMAC – Rn, 1 NMAC 3.2.90.21.F304, 10/1/2000]

**1.15.5.305 CONTRACT/AGREEMENT FILES:**

- A. Program:** expenditure records
- B. Maintenance system:** [RESERVED]
- C. Description:** records concerning contracts let through bid by the purchasing department, technical/professional service contracts, lease/rental contracts and agreements, etc. File may include contract/agreement, bid information, contract/agreement specifications, correspondence, memoranda, etc..

**D. Retention:**

- (1) **Finance department copy:** six years after termination of contract or agreement
  - (2) **Purchasing department copy:** six years after termination of contract or agreement
  - (3) **Other department copy:** six years after termination of contract or agreement
- [08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F305, 07-13-98; 1.15.5.305 NMAC – Rn, 1 NMAC 3.2.90.21.F305, 10/1/2000]

**1.15.5.306 CONTRACT/AGREEMENT LOGS:**

- A. Program:** expenditure records
- B. Maintenance system:** [RESERVED]
- C. Description:** lists of all agency contracts/agreements. Show contract/agreement number, agreement contractor termination date, type of contract/agreement, etc.

**D. Retention:** six years after termination of contract or agreement

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F306, 07-13-98; 1.15.5.306 NMAC – Rn, 1 NMAC 3.2.90.21.F306, 10/1/2000]

**1.15.5.307 BIDS/QUOTES:**

- A. Program:** expenditure records
- B. Maintenance system:** [RESERVED]
- C. Description:** record of each bid submitted by vendors selling goods and/or services. Information includes request for quotation, bid spread sheet and bid award letter. Awarded bid may also be filed in payment voucher file, 1.15.5.310 NMAC, or in various contract or project files.

**D. Retention:** three years after close of fiscal year in which bid is awarded

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F307, 07-13-98; 1.15.5.307 NMAC – Rn, 1 NMAC 3.2.90.21.F307, 10/1/2000]

**1.15.5.308 REQUEST FOR PROPOSAL:**

- A. Program:** expenditure records
- B. Maintenance system:** [RESERVED]
- C. Description:** record of requests for proposal solicited by agency. Information includes description, evaluation of proposal, evaluation criteria, overview, audit objectives, scope of work, compensation, bid format, additional conditions, etc. Request for proposal may also be filed in various contract or project files.

**D. Retention:** three years after close of fiscal year in which bid is awarded  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F308, 07-13-98; 1.15.5.308 NMAC – Rn, 1 NMAC 3.2.90.21.F308, 10/1/2000]

**1.15.5.309 VOUCHERS (PAYMENT VOUCHERS):**

**A. Program:** expenditure records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** standard form used to authorize payment or reimbursement of expenses other than payroll. Information includes vendor name and address, vendor code, agency fund, quantities, description of goods/services, unit costs, total cost, authorizing signature, etc. Vouchers may be filed in payment voucher file, 1.15.5.310 NMAC.

**D. Retention:**  
**(1) Finance department copy:** six years after close of fiscal year in which created  
**(2) Other department copy:** three years after close of fiscal year in which created  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F309, 07-13-98; 1.15.5.309 NMAC – Rn, 1 NMAC 3.2.90.21.F309, 10/1/2000]

**1.15.5.310 PAYMENT VOUCHER FILE:**

**A. Program:** expenditure records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** records concerning the purchase and payment of goods and/or services for agency. File may include requisition for purchase, copy of purchase document, vendor invoices, bill of lading, correspondence, memoranda, voucher authorizing payment, etc.

**D. Retention:**  
**(1) Finance department copy:** six years after close of fiscal year in which created  
**(2) Other department copy:** three years after close of fiscal year in which created  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F310, 07-13-98; 1.15.5.310 NMAC – Rn, 1 NMAC 3.2.90.21.F310, 10/1/2000]

**1.15.5.311 WARRANTS:**

**A. Program:** expenditure records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** canceled or voided warrants issued for payment of goods and/or services. Information include date, warrant number, to whom paid, amount, signature of finance officer, etc.

**D. Retention:**  
**(1) Canceled warrants:** six years after close of fiscal year in which created  
**(2) Voided warrants:** until audit report released  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F311, 07-13-98; 1.15.5.311 NMAC – Rn, 1 NMAC 3.2.90.21.F311, 10/1/2000]

**1.15.5.312 CHECKS:**

**A. Program:** expenditure records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** canceled or voided checks issued for payment of goods and/or services. Information includes date, check number, to whom paid, amount, signature of finance officer, etc.

**D. Retention:**  
**(1) Canceled checks:** six years after close of fiscal year in which created  
**(2) Voided checks:** until audit report released  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F312, 07-13-98; 1.15.5.312 NMAC – Rn, 1 NMAC 3.2.90.21.F312, 10/1/2000]

**1.15.5.313 VOUCHER PAYMENT WARRANT REGISTER:**

**A. Program:** expenditure records  
**B. Maintenance system:** [RESERVED]

**C. Description:** record of warrants (checks) issued for payment of voucher. Register may show warrant number, vendor name, vendor code, voucher number, voucher date, vendor invoice number, fund (account) number, payment amounts, warrant date, etc.

**D. Retention:** six years after close of fiscal year in which created  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F313, 07-13-98; 1.15.5.313 NMAC – Rn, 1 NMAC 3.2.90.21.F313, 10/1/2000]

**1.15.5.314 TRIP TICKET FILE:**

**A. Program:** expenditure records

**B. Maintenance system:** [RESERVED]

**C. Description:** records concerning in-state and out-of-state travel requests.

**D. Retention:**

(1) **Finance department copy:** six years after close of fiscal year in which created

(2) **Other department copy:** three years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F314, 07-13-98; 1.15.5.314 NMAC – Rn, 1 NMAC 3.2.90.21.F314, 10/1/2000]

**1.15.5.315 VEHICLE MAINTENANCE FILE:**

**A. Program:** expenditure records

**B. Maintenance system:** [RESERVED]

**C. Description:** records concerning vehicle maintenance. File may include receipts for gasoline credit cards, maintenance, repairs, etc.

**D. Retention:**

(1) **Finance department copy:** six years after close of fiscal year in which created

(2) **Motor pool copy:** one year after audit report released

(3) **Other department copy:** three years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F315, 07-13-98; 1.15.5.315 NMAC – Rn, 1 NMAC 3.2.90.21.F315, 10/1/2000]

**1.15.5.316 ENCUMBRANCE DOCUMENTS:**

**A. Program:** expenditure records

**B. Maintenance system:** [RESERVED]

**C. Description:** standard form for encumbering expenses. Shows line item, amount, encumbrance number, etc.

**D. Retention:**

(1) **Finance department copy:** three years after close of fiscal year in which created

(2) **Other department copy:** until audit report released

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F316, 07-13-98; 1.15.5.316 NMAC – Rn, 1 NMAC 3.2.90.21.F316, 10/1/2000]

**1.15.5.317 DETAILED LIST OF ENCUMBRANCES:**

**A. Program:** expenditure records

**B. Maintenance system:** [RESERVED]

**C. Description:** monthly printout showing encumbrances by line item, vendor, encumbrance number, and amount for previous month activity.

**D. Retention:**

(1) **Finance department copy:**

(a) **Year end report:** three years after close of fiscal year in which created

(b) **All other months:** until audit report released

(2) **Other department copy:** until audit report released

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F317, 07-13-98; 1.15.5.317 NMAC – Rn, 1 NMAC 3.2.90.21.F317, 10/1/2000]

**1.15.5.318 SUPPLEMENTARY ANALYSIS OF PRIOR YEAR ENCUMBRANCE:**

**A. Program:** expenditure records

**B. Maintenance system:** [RESERVED]

C. **Description:** monthly printout showing year-to-date encumbrance activity.

D. **Retention:**

(1) **Finance department copy:**

(a) **Year-end report:** three years after close of fiscal year in which created

(b) **All other months:** until audit report released

(2) **Other department copy:** until audit report released

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F318, 07-13-98; 1.15.5.318 NMAC – Rn, 1 NMAC 3.2.90.21.F318, 10/1/2000]

**1.15.5.319 CONTRACT TAX FILE:**

A. **Program:** expenditure records

B. **Maintenance system:** [RESERVED]

C. **Description:** records concerning the reporting to the IRS on monies paid out by agency on technical and professional service contracts.

D. **Retention:** one year after termination of contract, provided audit report released

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.30.F319, 07-13-98; 1.15.5.319 NMAC – Rn, 1 NMAC 3.2.90.21.F319, 10/1/2000]

**1.15.5.320-400[RESERVED]**

**1.15.5.401 TIME CARDS:**

A. **Program:** payroll records

B. **Maintenance system:** [RESERVED]

C. **Description:** record of hours worked by employee. Information includes employee name, date, and hours worked.

D. **Retention:**

(1) **Finance department copy:** three years after close of fiscal year in which created

(2) **Other department copy:** until proved to payroll register

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.40.F401, 07-13-98; 1.15.5.401 NMAC – Rn, 1 NMAC 3.2.90.21.F401, 10/1/2000]

**1.15.5.402 TIME SHEETS:**

A. **Program:** payroll records

B. **Maintenance system:** [RESERVED]

C. **Description:** verification of the number of hours worked by employee. Information includes employee's name, employee number, hourly wage, days and hours worked, department head approval, etc.

D. **Retention:**

(1) **Finance department copy:** three years after close of fiscal year in which created

(2) **Other department copy:** until proved to payroll register

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.40.F402, 07-13-98; 1.15.5.402 NMAC – Rn, 1 NMAC 3.2.90.21.F402, 10/1/2000]

**1.15.5.403 TRIAL PAYROLL:**

A. **Program:** payroll records

B. **Maintenance system:** [RESERVED]

C. **Description:** weekly, bi-weekly or monthly printout showing breakdown of projected employee payroll.

D. **Retention:**

(1) **Finance/payroll department copy:** until proved to payroll register

(2) **Other department copy:** until proved to payroll register

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.40.F403, 07-13-98; 1.15.5.403 NMAC – Rn, 1 NMAC 3.2.90.21.F403, 10/1/2000]

**1.15.5.404 PAYROLL REGISTER:**

A. **Program:** payroll records

B. **Maintenance system:** [RESERVED]

**C. Description:** documents wages paid to employees for services rendered. Information includes name of employee, social security number, date of check, hourly or salaried amount, overtime, number of hours worked, deductions, etc.

**D. Retention:**

(1) **Finance/payroll department (year end payroll register):** sixty years after date created

(2) **Finance/payroll department (weekly, bi-weekly or monthly copies of payroll register):** until audit report released

(3) **Other department copies:** until audit report released

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.40.F404, 07-13-98; 1.15.5.404 NMAC – Rn, 1 NMAC 3.2.90.21.F404, 10/1/2000]

**1.15.5.405 EMPLOYEE YEAR-TO-DATE INFORMATION:**

**A. Program:** payroll records

**B. Maintenance system:** [RESERVED]

**C. Description:** bi-weekly printout showing year-to-date totals by employee includes gross pay and deductions, etc.

**D. Retention:**

(1) **Finance department copy:** three years after close of fiscal year in which created

(2) **Other department copy:** until audit report released

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.40.F405, 07-13-98; 1.15.5.405 NMAC – Rn, 1 NMAC 3.2.90.21.F405, 10/1/2000]

**1.15.5.406 VOUCHERS (PAYROLL):**

**A. Program:** payroll records

**B. Maintenance system:** [RESERVED]

**C. Description:** standard form used to authorize payment (release of funds) for payroll.

**D. Retention:**

(1) **Finance department copy:** six years after close of fiscal year in which created

(2) **Other department copy:** three years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.40.F406, 07-13-98; 1.15.5.406 NMAC – Rn, 1 NMAC 3.2.90.21.F406, 10/1/2000]

**1.15.5.407 WARRANTS (PAYROLL):**

**A. Program:** payroll records

**B. Maintenance system:** [RESERVED]

**C. Description:** canceled or voided warrants (checks) issued for payment of goods and/or services. Information includes date, warrant number, to whom paid, amount, signature of finance officer, etc.

**D. Retention:**

(1) **Canceled warrants:** six years after close of fiscal year in which created

(2) **Voided warrants:** until audit report released

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.40.F407, 07-13-98; 1.15.5.407 NMAC – Rn, 1 NMAC 3.2.90.21.F407, 10/1/2000]

**1.15.5.408 PAYROLL WARRANT REGISTER:**

**A. Program:** payroll records

**B. Maintenance system:** [RESERVED]

**C. Description:** registers summarizing the information on payroll warrants (checks) issued. Information includes employee name, social security number, amount of warrant (check), state and federal income tax deductions, other deductions, year-to-date totals per pay period, etc.

**D. Retention:** six years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.40.F408, 07-13-98; 1.15.5.408 NMAC – Rn, 1 NMAC 3.2.90.21.F408, 10/1/2000]

**1.15.5.409 W-2 FORMS:**

**A. Program:** payroll records

**B. Maintenance system:** [RESERVED]

**C. Description:** employer's copy of employee's total earnings and withholdings for the calendar year reported to the internal revenue service. Information includes employer's identification number, employer's name and address, employee's social security number, federal income tax withheld, FICA taxes withheld, total FICA wages and state income tax withheld.

**D. Retention:** five years after close of calendar year for which created  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.40.F409, 07-13-98; 1.15.5.409 NMAC – Rn, 1 NMAC 3.2.90.21.F409, 10/1/2000]

#### **1.15.5.410-500[RESERVED]**

##### **1.15.5.501 JOURNALS:**

**A. Program:** general financial records

**B. Maintenance system:** [RESERVED]

**C. Description:** department machine or hand posted books of original entry.

**D. Retention:** six years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.50.F501, 07-13-98; 1.15.5.501 NMAC – Rn, 1 NMAC 3.2.90.21.F501, 10/1/2000]

##### **1.15.5.502 LEDGERS, GENERAL:**

**A. Program:** general financial records

**B. Maintenance system:** [RESERVED]

**C. Description:** department machine or hand posted books of final entry.

**D. Retention:** six years after close of fiscal year in which created.

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.50.F502, 07-13-98; 1.15.5.502 NMAC – Rn, 1 NMAC 3.2.90.21.F502, 10/1/2000]

##### **1.15.5.503 TRANSACTION REGISTER, MONTHLY:**

**A. Program:** general financial records

**B. Maintenance system:** [RESERVED]

**C. Description:** computer generated equivalent to a general which shows the opening cash balance, items adding to the balance in detail, items decreasing the balance in detail, etc.

**D. Retention:**

(1) **Finance department copy:** six years after close of fiscal year in which created

(2) **Other department copy:** three years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.50.F503, 07-13-98; 1.15.5.503 NMAC – Rn, 1 NMAC 3.2.90.21.F503, 10/1/2000]

##### **1.15.5.504 ACCOUNT TRANSFER ORDER:**

**A. Program:** general financial records

**B. Maintenance system:** [RESERVED]

**C. Description:** shows account names and codes, item codes, amounts to and from for the transfer of cash. Record series includes special purpose transfer orders that include encumbrance detail.

**D. Retention:**

(1) **Finance department copy:** six years after close of fiscal year in which created

(2) **Treasurer's copy:** three years after close of fiscal year in which created

(3) **Other department copy:** three years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.50.F504, 07-13-98; 1.15.5.504 NMAC – Rn, 1 NMAC 3.2.90.21.F504, 10/1/2000]

##### **1.15.5.505 VOUCHERS (JOURNAL):**

**A. Program:** general financial records

**B. Maintenance system:** [RESERVED]

**C. Description:** standard form used to correct (adjust) journal entries. Shows date, account, department, activity, line codes, reference numbers, amounts, etc.

**D. Retention:**

(1) **Finance department copy:** six years after close of fiscal year in which created

(2) **Other department copy:** three years after close of fiscal year in which created  
[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.50.F505, 07-13-98; 1.15.5.505 NMAC – Rn, 1 NMAC  
3.2.90.21.F505, 10/1/2000]

**1.15.5.506 RECONCILIATION OF CASH TRANSACTIONS, MONTHLY:**

**A. Program:** general financial records  
**B. Maintenance system:** [RESERVED]  
**C. Description:** record which reconciles the cash balance per the finance department accounting with the cash balance per the treasurer's accounting and provides a detailed listing of all outstanding items.

**D. Retention:**

(1) **Finance department copy:** six years after close of fiscal year in which created

(2) **Treasurer's copy:** three years after close of fiscal year in which created

(3) **Other department copy:** three years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.50.F506, 07-13-98; 1.15.5.506 NMAC – Rn, 1 NMAC  
3.2.90.21.F506, 10/1/2000]

**1.15.5.507[RESERVED]**

**1.15.5.508 BANK STATEMENTS:**

**A. Program:** general financial records

**B. Maintenance system:** [RESERVED]

**C. Description:** records showing historical record of cash receipts and disbursements.

**D. Retention:** six years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.50.F508, 07-13-98; 1.15.5.508 NMAC – Rn, 1 NMAC  
3.2.90.21.F508, 10/1/2000]

**1.15.5.509 INVENTORY OF FIXED ASSETS:**

**A. Program:** general financial records

**B. Maintenance system:** [RESERVED]

**C. Description:** records concerning holdings of furniture and equipment. Record shows item description, item location, identification number, serial number, model number, date of acquisition, original cost, etc.

**D. Retention:** six years after close of fiscal year in which created

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.50.F509, 07-13-98; 1.15.5.509 NMAC – Rn, 1 NMAC  
3.2.90.21.F509, 10/1/2000]

**1.15.5.510 AUDIT REPORTS:**

**A. Program:** general financial records

**B. Maintenance system:** [RESERVED]

**C. Description:** printed report documenting the annual audit of funds. These reports, prepared by an outside accounting firm, are categorized by the various offices and further classified by accounts to which they relate. This series also includes semiannual and special audits. Information includes balance sheet, summary of revenue and expenditures, cash balances, statement of taxes, statement of delinquent taxes, statement of other receipts, statement of fines and fees.

**D. Retention:** permanent

[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.50.F510, 07-13-98; 1.15.5.510 NMAC – Rn, 1 NMAC  
3.2.90.21.F510, 10/1/2000]

**1.15.5.511 PETTY CASH FUND FILES:**

**A. Program:** general financial records

**B. Maintenance system:** [RESERVED]

**C. Description:** records concerning the use of petty cash monies. File may include petty cash request, petty cash vouchers, petty cash canceled checks, petty cash bank statements, receipts, cash reconciliation, etc.

**D. Retention:** until audit report released



[08-29-94, 01-10-97; Rn, 1 NMAC 3.2.90.21.50.F511, 07-13-98; 1.15.5.511 NMAC – Rn, 1 NMAC 3.2.90.21.F511, 10/1/2000]

### **HISTORY OF 1.15.5 NMAC**

**Pre-NMAC History:** The material in this part was derived from that previously filed with the State Records Center under:

SRC Rule No. 93-11, Records Retention and Disposition Schedule For General Financial Records [For Use By All State Agencies That Do Not Voucher Through The NM Department of Finance and Administration], 7-29-94.

# Personnel

Title 1 Chapter 15

Part 7

NMAC

**TITLE 1            GENERAL GOVERNMENT ADMINISTRATION**  
**CHAPTER 15       GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULES (GRRDS)**  
**PART 7            GRRDS, GENERAL PERSONNEL RECORDS (INTERPRETIVE)**

**1.15.7.1            ISSUING AGENCY:** [New Mexico Commission of Public Records] State Records Center and Archives  
[8-8-96; 1.15.7.1 NMAC - Rn, 1 NMAC 3.2.90.1, 10/01/2000]

**1.15.7.2            SCOPE:** (For use by Counties, Municipalities, Universities and Public Schools)  
[8-8-96; 1.15.7.2 NMAC - Rn, 1 NMAC 3.2.90.2, 10/01/2000]

**1.15.7.3            STATUTORY AUTHORITY:** Section 14-3-6 NMSA 1978. Administrator: duties. The administrator shall establish a record management program for the application of efficient and economical management methods of the creation, utilization, maintenance, retention, preservation and disposal of official records. The administrator shall establish records disposal schedules for the orderly retirement of records and adopt regulations necessary for the carrying out of the public records act. Records disposal schedules shall be filed with the librarian of the supreme court library, and shall not become effective until thirty days after the filing date.  
[8-8-96; 1.15.7.3 NMAC - Rn, 1 NMAC 3.2.90.3, 10/01/2000]

**1.15.7.4            DURATION:** permanent  
[8-8-96; 1.15.7.4 NMAC - Rn, 1 NMAC 3.2.90.4, 10/01/2000]

**1.15.7.5            EFFECTIVE DATE:** July 30, 1997  
[1.15.7.5 NMAC - Rn, 1 NMAC 3.2.90.31, 10/01/2000]

**1.15.7.6            OBJECTIVE:**

**A.** To establish a records management program for the application of and efficient and economical management methods to the creation, utilization, maintenance, retention, preservation and disposal of official records (Section 14-3-6 NMSA 1978).

**B.** To establish records disposal schedules for the orderly retirement of records and adopt regulations necessary for the carrying out of the public records act (Section 14-3-6 NMSA 1978).  
[8-8-96; 1.15.7.6 NMAC - Rn, 1 NMAC 3.2.90.6, 10/01/2000]

**1.15.7.7            DEFINITIONS:**

**A.            Administrator:** "Administrator" means the state records administrator. (Section 14-3-2, NMSA 1978)

**B.            Agency:** "Agency" means any state agency, department, bureau, board, commission, institution or other organization of the state government, the territorial government and the Spanish and Mexican governments in New Mexico. (Section 14-3-2, NMSA 1978)

**C.            Audit:** A periodic examination of an organization to determine whether appropriate procedures and practices are followed.

**D.            Commission:** "Commission" means the state commission of public records. (Section 14-3-2, NMSA 1978)

**E.            Pending litigation:** A proceeding in a court of law whose activity is in progress but not yet completed.

**F.            Record destruction:** The process of totally obliterating information on records by any method to make the information unreadable or unusable under any circumstances.

**G.            Records management:** The systematic control of all records from creation or receipt through processing, distribution, maintenance and retrieval, to their ultimate disposition.

**H.            Records retention period:** The period of time during which records must be maintained by an organization because they are needed for operational, legal, fiscal, historical or other purposes.

**I.            Records retention schedule:** A document prepared as part of a records retention program that lists the period of time for retaining records.

**J.            Public records:** "Public records" means all books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by any agency in pursuance of law or in connection with the transaction of public business and preserved, or appropriate for preservation, by the

agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government, or because of the informational and historical value of data contained therein. (Section 14-4-2, NMSA 1978)

**K. Non-records:** Library or museum material of the state library, state institutions and state museums, extra copies of documents reserved only for convenience of reference and stocks of publications and processed documents are non-records. (Section 14-3-2 C, NMSA 1978). The following specific types of materials are non-records: extra copies of correspondence; documents preserved only for convenience of reference; blank forms/books which are outdated; materials neither made nor received in pursuance of statutory requirements nor in connection with the functional responsibility of the officer/agency; preliminary and non-final drafts of letters, reports and memoranda which may contain or reflect the working or deliberative process by which a final decision or position of the agency, board, department or subdivision thereof is reached: shorthand notes, steno tapes, mechanical recordings which have been transcribed, except where noted on agency retention schedules; routing and other interdepartmental forms which are not significant evidence of the activity concerned and do not otherwise have value as described above; stocks of publications already sent to archives and processed documents preserved for supply purposes only; form and guide letters, sample letters, form paragraphs; subject files, including copies of correspondence, memoranda, publications, reports and other information received by agency and filed by subject (also referred to as reading files or information files). [See also Item No. 1.15.2.101 NMAC of Records Retention and Disposition Schedule for General Administrative Records (1.15.2 NMAC filed 10/01/2000).] [8-8-96; 5-19-97; 1.15.2.7 NMAC - Rn, 1 NMAC 3.2.90.7, 10/01/2000]

#### **1.15.2.8 INSTRUCTIONS:**

**A.** For records of an administrative nature, refer to the Records Retention and Disposition Schedule for General Administrative Records, 1.15.2. NMAC

**B.** For records of a financial nature, refer to the Records Retention and Disposition Schedule for General Financial Records, 1.15.4. NMAC

**C.** For records of a personnel nature, refer to the Records Retention and Disposition Schedule for General Personnel Records, 1.15.6. NMAC

**D.** For records of a medical nature, refer to the Records Retention and Disposition Schedule for General Medical Records, 1.15.8. NMAC

**E.** Retention periods shall be extended until six months after all current or pending litigation, current claims, audit exceptions or court orders involving a record have been resolved or concluded.

**F.** The descriptions of files are intended to be evocative, not complete. For example, there will always be some documents that are filed in a file that are not listed in the description, and similarly, not every file will contain an example of each document listed in the description.

**G.** Confidentiality is denoted as "-C-". Not all materials in a file may be confidential. Refer to NOTE. Where portions of file may be confidential, refer to legal counsel for agency.

**H.** Access to confidential documents and/or confidential files shall be only by authorization of agency or Attorney General and/or by court order, unless otherwise provided by statute. Release of confidential documents to law enforcement and other government agencies, shall only be upon specific statutory authorization or court order.

**I.** All records, papers or documents may be photographed, microfilmed, microphotographed or reproduced on film. Such photographs, microfilms, photographic film or microphotographs shall be deemed to be an original record for all purposes, including introduction in evidence in all courts or administrative agencies. (Section 14-1-5, 14-1-6 NMSA 1978)

**J.** Data processing and other machine readable records. Many paper records are being eliminated when the information has been placed on magnetic tapes, disks, or other data processing media. In these cases, the information on the data processing medium should be retained for the length of time specified in records retention & disposition schedules for paper records and should be subject to the same confidentiality and access restrictions as paper records. When the destruction of a record is required, all versions of said record shall be electronically overwritten on machine readable media on which it is stored (or media destroyed). (See also 1.13.70 NMAC: PERFORMANCE GUIDELINES FOR THE LEGAL ACCEPTANCE OF PUBLIC RECORDS PRODUCED BY INFORMATION TECHNOLOGY SYSTEMS).

[8-8-96; 5-19-97; 1.15.2.8 NMAC - Rn, 1 NMAC 3.2.90.8, 10/01/2000]

**1.15.7.9-100 [RESERVED]**

**1.15.7.101 PERSONNEL FOLDERS:**

- A. Program:** personnel files
  - B. Maintenance system:** alphabetical by employee
  - C. Description:** can include but are not limited to personnel action requests. Salary adjustment notices. Employee payroll information sheets, performance evaluations, correspondence (includes disciplinary actions, commendations, recommendation, etc.). General (includes applications, job descriptions, test grades, certificates, resumes, transcripts, disclaimers, etc.)
  - D. Retention:**
    - (1) other department copies:** three years after employee terminated or retired
    - (2) personnel department copy:** 55 years after employee terminated or retires
- [7-30-97; 1.15.7.101 NMAC – Rn, 1 NMAC 3.2.90.31.P101, 10/01/2000]

**1.15.7.102 REJECTED APPLICATIONS:**

- A. Program:** personnel files
  - B. Maintenance system:** [RESERVED]
  - C. Description:** [RESERVED]
  - D. Retention:** three years after rejected
- [7-30-97; 1.15.7.102 NMAC – Rn, 1 NMAC 3.2.90.31.P102, 10/01/2000]

**1.15.7.103 BACKGROUND INVESTIGATION RECORD:**

- A. Program:** personnel files
  - B. Maintenance system:** [RESERVED]
  - C. Description:** can include but are not limited to application, authorization, investigation, final report, etc
  - D. Retention:**
    - (1) hired employees:** three years after employee terminated or rehired
    - (2) individual not hired:** three years after investigation
- [7-30-97; 1.15.7.103 NMAC – Rn, 1 NMAC 3.2.90.31.P103, 10/01/2000]

**1.15.7.104 PERSONNEL EVALUATIONS:**

- A. Program:** personnel files
  - B. Maintenance system:** [RESERVED]
  - C. Description:** [RESERVED]
  - D. Retention:** three years after issued
- [7-30-97; 1.15.7.104 NMAC – Rn, 1 NMAC 3.2.90.31.P104, 10/01/2000]

**1.15.7.105 LEAVE RECORDS:**

- A. Program:** personnel files
  - B. Maintenance system:** [RESERVED]
  - C. Description:** can include but are not limited to application for leave, leave balance sheets, etc
  - D. Retention:** until audit report released for year in which records created
- [7-30-97; 1.15.7.105 NMAC – Rn, 1 NMAC 3.2.90.31.P105, 10/01/2000]

**1.15.7.106 RETIREMENT RECORDS:**

- A. Program:** personnel files
  - B. Maintenance system:** [RESERVED]
  - C. Description:** can include but are not limited to application, certification, changes, refunds, financial ledger, correspondence, etc
  - D. Retention:**
    - (1) personnel department copy:** three years after employee terminated or rehired
    - (2) retirement association or board copy:**
      - (a) inactive employees:** 70 years after employee's date of birth
      - (b) deceased retirees:** six years after deceased
- [7-30-97; 1.15.7.106 NMAC – Rn, 1 NMAC 3.2.90.31.P106, 10/01/2000]

**1.15.7.107 INSURANCE RECORDS:**

- A. **Program:** personnel files
  - B. **Maintenance system:** [RESERVED]
  - C. **Description:** deduction authorization, request for change, waiver and copies of claims, correspondence, etc
  - D. **Retention:**
    - (1) **deduction authorization, request for change, waiver:** three years after employee terminated or retired or three years after termination of agreement
    - (2) **copies of claims, correspondence, etc.:** until purpose is served
- [7-30-97; 1.15.7.107 NMAC – Rn, 1 NMAC 3.2.90.31.P107, 10/01/2000]

**1.15.7.108 MISCELLANEOUS DEDUCTION RECORDS:**

- A. **Program:** personnel files
  - B. **Maintenance system:** [RESERVED]
  - C. **Description:** can include but are not limited to records relative to credit union, savings bonds, prepaid legal services, united way, garnishment, etc
  - D. **Retention:** three years after final deduction
- [7-30-97; 1.15.7.108 NMAC – Rn, 1 NMAC 3.2.90.31.P108, 10/01/2000]

**1.15.7.109 REQUEST FOR CERTIFICATE OF ELIGIBLES:**

- A. **Program:** personnel files
  - B. **Maintenance system:** [RESERVED]
  - C. **Description:** shows department name, proposed hire date, title position, name of interviewer, kind of certificate, number of vacancies, authorization signatures, etc
  - D. **Retention:** three years after issued
- [7-30-97; 1.15.7.109 NMAC – Rn, 1 NMAC 3.2.90.31.P109, 10/01/2000]

**1.15.7.110 CERTIFICATE OF ELIGIBLES:**

- A. **Program:** personnel files
  - B. **Maintenance system:** lists applicants in order of score
  - C. **Description:** shows name and address, social security number, veteran's preference and residence points, phone number(s), department comment codes
  - D. **Retention:** three years after issued
- [7-30-97; 1.15.7.110 NMAC – Rn, 1 NMAC 3.2.90.31.P110, 10/01/2000]

**1.15.7.111 PROMOTIONAL AND TRANSFER OPPORTUNITY NOTICES (INTERNAL):**

- A. **Program:** personnel files
  - B. **Maintenance system:** [RESERVED]
  - C. **Description:** can show position title, range, salary, location, supervisor, qualifications, deadline, etc
  - D. **Retention:** three years after issued
- [7-30-97; 1.15.7.111 NMAC – Rn, 1 NMAC 3.2.90.31.P111, 10/01/2000]

**1.15.7.112 EMPLOYEE NUMBER LOGS:**

- A. **Program:** personnel files
  - B. **Maintenance system:** [RESERVED]
  - C. **Description:** can show number, name, date hired, etc
  - D. **Retention:** until purpose is served
- [7-30-97; 1.15.7.112 NMAC – Rn, 1 NMAC 3.2.90.31.P112, 10/01/2000]

**1.15.7.113 EMPLOYEE LISTING (PERSONNEL ROSTER):**

- A. **Program:** personnel files
- B. **Maintenance system:** [RESERVED]
- C. **Description:** can list name, number, position, location, hire date, salary, etc
- D. **Retention:**
  - (1) **other department:** until new listing is issued
  - (2) **personnel department:**

(a) **bi-weekly:** until new listing is issued

(b) **quarterly:** five years after issued

[7-30-97; 1.15.7.113 NMAC – Rn, 1 NMAC 3.2.90.31.P113, 10/01/2000]

**1.15.7.114 CONTROL LOGS:**

A. **Program:** personnel files

B. **Maintenance system:** [RESERVED]

C. **Description:** include logs for controlling each step of personnel actions from initiation through completion of action

D. **Retention:** until all actions are completed

[7-30-97; 1.15.7.114 NMAC – Rn, 1 NMAC 3.2.90.31.P114, 10/01/2000]

**1.15.7.115 ACTION REMINDER LISTING, MONTHLY PRINTOUT:**

A. **Program:** personnel files

B. **Maintenance system:** [RESERVED]

C. **Description:** shows personnel actions due to occur during the upcoming month

D. **Retention:** until new listing is issued

[7-30-97; 1.15.7.115 NMAC – Rn, 1 NMAC 3.2.90.31.P115, 10/01/2000]

**1.15.7.116 JOB SPECIFICATION:**

A. **Program:** personnel files

B. **Maintenance system:** [RESERVED]

C. **Description:** shows job title, definition, supervision and guidelines, examples of work performed, distinguishing characteristics, minimum qualifications, working conditions

D. **Retention:**

(1) **other department:** once new specification is issued

(2) **personnel department:** 10 years after job specification is replaced

[7-30-97; 1.15.7.116 NMAC – Rn, 1 NMAC 3.2.90.31.P116, 10/01/2000]

**1.15.7.117 JOB DESCRIPTION QUESTIONNAIRE:**

A. **Program:** personnel files

B. **Maintenance system:** [RESERVED]

C. **Description:** shows department, position, number, current and proposed classification, name of incumbent and supervisor, personnel department signature, description of work performed, etc

D. **Retention:**

(1) **other department:** until new listing is issued

(2) **personnel department:** 10 years after replaced

[7-30-97; 1.15.7.117 NMAC – Rn, 1 NMAC 3.2.90.31.P117, 10/01/2000]

**1.15.7.118 TABLE OF ORGANIZATIONAL LISTING (TOOL'S) MONTHLY PRINTOUT:**

A. **Program:** personnel files

B. **Maintenance system:** [RESERVED]

C. **Description:** shows index of organizational units

D. **Retention:**

(1) **other department:** until new listing is issued

(2) **personnel department:**

(a) **monthly:** until new listing is issued

(b) **quarterly:** permanent

[7-30-97; 1.15.7.118 NMAC – Rn, 1 NMAC 3.2.90.31.P118, 10/01/2000]

**1.15.7.119 CLASSIFICATION STUDY FILES:**

A. **Program:** personnel files

B. **Maintenance system:** [RESERVED]

C. **Description:** special studies for proposed classifications; can include but are not limited to job description, task statements, methodology, description of study, salary surveys, relative correspondence, etc

D. **Retention:**

- (1) **other department:** three years after created
- (2) **personnel department:** 10 years after study is superseded

[7-30-97; 1.15.7.119 NMAC – Rn, 1 NMAC 3.2.90.31.P119, 10/01/2000]

**1.15.7.120 STATE GOVERNMENT INTERN POSITION REQUEST:**

- A. **Program:** personnel files
- B. **Maintenance system:** [RESERVED]
- C. **Description:** shows department identification, job description, preferred education/experience requirement, special requirements of job, department authorization and date
- D. **Retention:**
  - (1) **other department:** three years after issued
  - (2) **personnel department:** three years after issued

[7-30-97; 1.15.7.120 NMAC – Rn, 1 NMAC 3.2.90.31.P120, 10/01/2000]

**1.15.7.121 POSITION CHANGE REQUEST:**

- A. **Program:** personnel files
- B. **Maintenance system:** [RESERVED]
- C. **Description:** shows type and identification of proposed change, department identification, approved or disapproved signature of personnel office and finance department
- D. **Retention:**

- (1) **approved request:**
  - (a) **finance department copy:** five years after close of fiscal year in which created
  - (b) **key punch copy:** until key punched and verified
  - (c) **other department:** three years after issued
  - (d) **personnel office:** see item 1.15.7.117 NMAC
- (2) **disapproved request:**
  - (a) **other department:** three years after issued
  - (b) **second copy (if disapproved by personnel office):** three years after issued
  - (c) **third (canary) personnel office copy:** until action is completed

[7-30-97; 1.15.7.121 NMAC – Rn, 1 NMAC 3.2.90.31.P121, 10/01/2000]

**1.15.7.122 LIST OF APPROVED CLASS SPECIFICATIONS (CLASSIFICATION AND COMPENSATION PLAN):**

- A. **Program:** personnel files
- B. **Maintenance system:** [RESERVED]
- C. **Description:** shows specification number, range, abbreviated title, full title
- D. **Retention:**
  - (1) **other department:** until new list is issued
  - (2) **personnel office:** 10 years after replaced

[7-30-97; 1.15.7.122 NMAC – Rn, 1 NMAC 3.2.90.31.P122, 10/01/2000]

**1.15.7.123 NOTICE OF CHANGE OF CLASS SPECIFICATION:**

- A. **Program:** personnel files
- B. **Maintenance system:** [RESERVED]
- C. **Description:** shows manifest number, effective date, present class title and specification number, nature of action, etc
- D. **Retention:**

- (1) **other department:** until new list is issued
- (2) **personnel office:** 10 years after replaced

[7-30-97; 1.15.7.123 NMAC – Rn, 1 NMAC 3.2.90.31.P123, 10/01/2000]

**1.15.7.124 PERSONNEL OFFICE MEMORANDUMS:**

- A. **Program:** personnel files
- B. **Maintenance system:** [RESERVED]
- C. **Description:** [RESERVED]
- D. **Retention:**



(1) **other department:** until rescinded

(2) **personnel office:** permanent

[7-30-97; 1.15.7.124 NMAC – Rn, 1 NMAC 3.2.90.31.P124, 10/01/2000]

**1.15.7.125 EQUAL EMPLOYMENT OPPORTUNITY AFFIRMATIVE ACTION PLANS, ANNUAL:**

**A. Program:** personnel files

**B. Maintenance system:** [RESERVED]

**C. Description:** required annual by state and federal law, these are department assessments of internal employment practices with specific policies and procedures designed to eliminate the effects of institutional discrimination.

**D. Retention:** three years after issued

[7-30-97; 1.15.7.125 NMAC – Rn, 1 NMAC 3.2.90.31.P125, 10/01/2000]

**1.15.7.126 AGENCY EEO STATISTICS, ANNUAL PRINTOUTS:**

**A. Program:** personnel files

**B. Maintenance system:** [RESERVED]

**C. Description:** reports provided by the personnel office (or department generated) for use in preparing affirmative action plans. They include but are not limited to minority actions report, minority groups report, EEO profile of employee job categories.

**D. Retention:**

(1) **other department:** until affirmative action plan (item no. 1.15.7.125) has been issued

(2) **personnel office:** permanent

[7-30-97; 1.15.7.126 NMAC – Rn, 1 NMAC 3.2.90.31.P126, 10/01/2000]

**1.15.7.127 GRIEVANCE AND COMPLAINT FILES:**

**A. Program:** personnel files

**B. Maintenance system:** [RESERVED]

**C. Description:** can contain but are not limited to complaint and grievance, correspondence, summary of hearing, exhibits, committee, decisions, transcripts, resolutions, depositions, etc

**D. Retention:** one year after closed

[7-30-97; 1.15.7.127 NMAC – Rn, 1 NMAC 3.2.90.31.P127, 10/01/2000]

**1.15.7.128 EDUCATION AND TRAINING FILES:**

**A. Program:** personnel files

**B. Maintenance system:** [RESERVED]

**C. Description:** can contain but are not limited to material relative to education of training, test booklets, answer sheets, lists of attending employees, course brochures, synopsis, copies of contracts, relative correspondence, etc.

**D. Retention:** three years after course conducted

[7-30-97; 1.15.7.128 NMAC – Rn, 1 NMAC 3.2.90.31.P128, 10/01/2000]

**History of 1.15.7 NMAC:**

Pre-NMAC History: the material in the part was derived from that previously filed with the State Records Center under:

SRC Rule 81-4 Records Retention and Disposition Schedule for the General Personnel Records, 8-31-81,

SRC Rule 94-17 Records Retention and Disposition Schedule for the General Personnel Records, 6-30-97.

# Medical Records

Title 1 Chapter 15

Part 8

NMAC

**TITLE 1            GENERAL GOVERNMENT ADMINISTRATION**  
**CHAPTER 15      GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULES (GRRDS)**  
**PART 8            (GRRDS) GENERAL MEDICAL RECORDS**

**1.15.8.1            ISSUING AGENCY:** [New Mexico Commission of Public Records] State Records Center and Archives  
[8-8-96; 1.15.8.1 NMAC - Rn, 1 NMAC 3.2.90.1, 10/01/2000]

**1.15.8.2            SCOPE:** all state agencies, local government entities, college, universities, and public schools  
[7-16-96; 1.15.8.2 NMAC - Rn, 1 NMAC 3.2.90.2, 10/01/2000]

**1.15.8.3            STATUTORY AUTHORITY:** Section 14-3-6 NMSA 1978. Administrator: duties. The administrator shall establish a record management program for the application of efficient and economical management methods of the creation, utilization, maintenance, retention, preservation and disposal of official records. The administrator shall establish records disposal schedules for the orderly retirement of records and adopt regulations necessary for the carrying out of the public records act. Records disposal schedules shall be filed with the librarian of the supreme court library, and shall not become effective until thirty days after the filing date.  
[8-8-96; 1.15.8.3 NMAC - Rn, 1 NMAC 3.2.90.3, 10/01/2000]

**1.15.8.4            DURATION:** permanent  
[1.15.8.4 NMAC - Rn, 1 NMAC 3.2.90.4, 10/01/2000]

**1.15.8.5            EFFECTIVE DATE:** July 16, 1996  
[1.15.8.5 NMAC - Rn, 1 NMAC 3.2.90.5, 10/01/2000]

**1.15.8.6            OBJECTIVE:**  
**A.** To establish a records management program for the application of and efficient and economical management methods to the creation, utilization, maintenance, retention, preservation and disposal of official records (14-3-6 NMSA 1978).  
**B.** To establish records disposal schedules for the orderly retirement of records and adopt regulations necessary for the carrying out of the public records act (14-3-6 NMSA 1978).  
[8-8-96; 1.15.8.6 NMAC - Rn, 1 NMAC 3.2.90.6, 10/01/2000]

**1.15.8.7            DEFINITIONS:**  
**A. Administrator:** "Administrator" means the state records administrator. (Section 14-3-2, NMSA 1978)  
**B. Agency:** "Agency" means any state agency, department, bureau, board, commission, institution or other organization of the state government, the territorial government and the Spanish and Mexican governments in New Mexico. (Section 14-3-2, NMSA 1978)  
**C. Audit:** A periodic examination of an organization to determine whether appropriate procedures and practices are followed.  
**D. Commission:** "Commission" means the state commission of public records. (Section 14-3-2, NMSA 1978)  
**E. Pending litigation:** A proceeding in a court of law whose activity is in progress but not yet completed.  
**F. Record destruction:** The process of totally obliterating information on records by any method to make the information unreadable or unusable under any circumstances.  
**G. Records management:** The systematic control of all records from creation or receipt through processing, distribution, maintenance and retrieval, to their ultimate disposition.  
**H. Records retention period:** The period of time during which records must be maintained by an organization because they are needed for operational, legal, fiscal, historical or other purposes.  
**I. Records retention schedule:** A document prepared as part of a records retention program that lists the period of time for retaining records.  
**J. Public records:** "Public records" means all books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by any agency in pursuance

of law or in connection with the transaction of public business and preserved, or appropriate for preservation, by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government, or because of the informational and historical value of data contained therein. (Section 14-4-2, NMSA 1978)

**K. Non-records:** Library or museum material of the state library, state institutions and state museums, extra copies of documents reserved only for convenience of reference and stocks of publications and processed documents are non-records. (Section 14-3-2 C, NMSA 1978). The following specific types of materials are non-records: extra copies of correspondence; documents preserved only for convenience of reference; blank forms/books which are outdated; materials neither made nor received in pursuance of statutory requirements nor in connection with the functional responsibility of the officer/agency; preliminary and non-final drafts of letters, reports and memoranda which may contain or reflect the working or deliberative process by which a final decision or position of the agency, board, department or subdivision thereof is reached: shorthand notes, steno tapes, mechanical recordings which have been transcribed, except where noted on agency retention schedules; routing and other interdepartmental forms which are not significant evidence of the activity concerned and do not otherwise have value as described above; stocks of publications already sent to archives and processed documents preserved for supply purposes only; form and guide letters, sample letters, form paragraphs; subject files, including copies of correspondence, memoranda, publications, reports and other information received by agency and filed by subject (also referred to as reading files or information files). [See also Item No. 1.15.2.101 NMAC of Records Retention and Disposition Schedule for General Administrative Records (1.15.2 NMAC filed 10/01/2000).] [8-8-96; 5-19-97; 1.15.8.7 NMAC - Rn, 1 NMAC 1 NMAC 3.2.90.7, 10/01/2000]

#### **1.15.8.8 INSTRUCTIONS:**

**A.** For records of an administrative nature, refer to the Records Retention and Disposition Schedule for General Administrative Records, 1.15.2. NMAC

**B.** For records of a financial nature, refer to the Records Retention and Disposition Schedule for General Financial Records, 1.15.4. NMAC

**C.** For records of a personnel nature, refer to the Records Retention and Disposition Schedule for General Personnel Records, 1.15.6. NMAC

**D.** For records of a medical nature, refer to the Records Retention and Disposition Schedule for General Medical Records, 1.15.8. NMAC

**E.** Retention periods shall be extended until six months after all current or pending litigation, current claims, audit exceptions or court orders involving a record have been resolved or concluded.

**F.** The descriptions of files are intended to be evocative, not complete. For example, there will always be some documents that are filed in a file that are not listed in the description, and similarly, not every file will contain an example of each document listed in the description.

**G.** Confidentiality is denoted as "-C-". Not all materials in a file may be confidential. Refer to NOTE. Where portions of file may be confidential, refer to legal counsel for agency.

**H.** Access to confidential documents and/or confidential files shall be only by authorization of agency or Attorney General and/or by court order, unless otherwise provided by statute. Release of confidential documents to law enforcement and other government agencies, shall only be upon specific statutory authorization or court order.

**I.** All records, papers or documents may be photographed, microfilmed, microphotographed or reproduced on film. Such photographs, microfilms, photographic film or microphotographs shall be deemed to be an original record for all purposes, including introduction in evidence in all courts or administrative agencies. (Section 14-1-5, 14-1-6 NMSA 1978)

**J.** Data processing and other machine readable records. Many paper records are being eliminated when the information has been placed on magnetic tapes, disks, or other data processing media. In these cases, the information on the data processing medium should be retained for the length of time specified in records retention & disposition schedules for paper records and should be subject to the same confidentiality and access restrictions as paper records. When the destruction of a record is required, all versions of said record shall be electronically overwritten on machine readable media on which it is stored (or media destroyed). (See also 1.13.70 NMAC: PERFORMANCE GUIDELINES FOR THE LEGAL ACCEPTANCE OF PUBLIC RECORDS PRODUCED BY INFORMATION TECHNOLOGY SYSTEMS).

[8-8-96; 5-19-97; 1.15.8.8 NMAC - Rn, 1 NMAC 1 NMAC 3.2.90.8, 10/01/2000]

**1.15.8.9-100** [RESERVED]

**1.15.8.101 MEDICAL RECORDS:**

- A. Program:** all state agencies, local government entities, college, universities, and public schools
  - B. Maintenance:** [RESERVED]
  - C. Description:** records which document the illness, treatment, care and diagnostic studies of individual
  - D. Retention:**
    - (1) **adult medical records:** inactive records shall be kept 10 years
    - (2) **minor medical records:** inactive records shall be kept 10 years, or one year after the person reaches the age of majority; whichever period of time is greater
- [2-12-79; 1.15.8.101 NMAC - Rn, 1 NMAC 3.2.90.40.M101, 10/01/2000]

**History of 1.15.8 NMAC:**

Pre-NMAC History:

SRC Rule 79-1, SRC Regulation Prohibiting the destruction of Medical Records, 1-12-79

SRC Rule no. 80-1, Retention Schedule for Medical Records, 1-18-80.

# Colleges & Universities

Title 1 Chapter 20

Part 3

NMAC

**TITLE 1            GENERAL GOVERNMENT ADMINISTRATION**  
**CHAPTER 20       EDUCATION RECORDS RETENTION AND DISPOSITION SCHEDULES (EDRRDS)**  
**PART 3            EDRRDS, NEW MEXICO COLLEGES AND UNIVERSITIES**

**1.20.3.1 ISSUING AGENCY:** [New Mexico Commission of Public Records] State Records Center and Archives  
[7-30-97; 1.20.3.1 NMAC - Rn, 1 NMAC 3.2.95.1, 11/30/2001]

**1.20.3.2 SCOPE:** All state education entities  
[7-30-97; 1.20.3.2 NMAC - Rn, 1 NMAC 3.2.95.2, 11/30/2001]

**1.20.3.3 STATUTORY AUTHORITY:** Section 14-3-6 NMSA 1978. Administrator: duties. The administrator shall establish a records management program for the application of efficient and economical management methods to the creation, utilization, maintenance, retention, preservation and disposal of official records. The administrator shall establish records disposal schedules for the orderly retirement of records and adopt regulations necessary for the carrying out of the Public Records Act. Records disposal schedules shall be filed with the librarian of the supreme court library, and shall not become effective until thirty days after the date of filing.  
[7-30-97; 1.20.3.3 NMAC - Rn, 1 NMAC 3.2.95.3, 11/30/2001]

**1.20.3.4 DURATION:** Permanent  
[7-30-97; 1.20.3.4 NMAC - Rn, 1 NMAC 3.2.95.4, 11/30/2001]

**1.20.3.5 EFFECTIVE DATE:** unless a different date is cited at the end of a section or paragraph.  
[7-30-97; 1.20.3.5 NMAC - Rn, 1 NMAC 3.2.95.5, 11/30/2001]

**1.20.3.6 OBJECTIVE:**

**A.** To establish a records management program for the application of efficient and economical management methods to the creation, utilization, maintenance, retention, preservation and disposal of official records. (Section 14-3-6, NMSA 1978)

**B.** To establish records disposal schedules for the orderly retirement of records and adopt regulations necessary for the carrying out of the Public records Act. (Section 14-3-6, NMSA 1978)  
[7-30-97; 1.20.3.6 NMAC - Rn, 1 NMAC 3.2.95.6, 11/30/2001]

**1.20.3.7 DEFINITIONS:**

**A.** "administrator" means the state records administrator. (Section 14-3-2, NMSA 1978)      **B.** "agency" means any state agency, department, bureau, board, commission, institution or other organization of the state government, the territorial government and the Spanish and Mexican governments in New Mexico. (Section 14-3-2, NMSA 1978)

**C.** "audit" means a periodic examination of an organization to determine whether appropriate procedures and practices are followed.

**D.** "commission" means the state commission of public records. (Section 14-3-2, NMSA 1978)

**E.** "pending litigation" means a proceeding in a court of law whose activity is in progress but not yet completed.

**F.** "record destruction" means the process of totally obliterating information on records by any method to make the information unreadable or unusable under any circumstances.

**G.** "records management" means the systematic control of all records from creation or receipt through processing, distribution, maintenance and retrieval, to their ultimate disposition.

**H.** "records retention period" means the period of time during which records must be maintained by an organization because they are needed for operational, legal, fiscal, historical or other purposes.

**I.** "records retention schedule" means a document prepared as part of a records retention program that lists the period of time for retaining records.

**J.** "public records" means all books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by any agency in pursuance of law or in connection with the transaction of public business and preserved, or appropriate for preservation, by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government, or because of the informational and historical value of data contained therein. (Section 14-4-2, NMSA 1978) [7-30-97]

**K.** "non-records" means library or museum material of the state library, state institutions and state museums, extra copies of documents reserved only for convenience of reference and stocks of publications and processed documents are non-records. (Section 14-3-2 C, NMSA 1978) The following specific types of materials are non-records: extra copies of correspondence; documents preserved only for convenience of reference; blank forms/books which are outdated; materials neither made nor received in pursuance of statutory requirements nor in connection with the functional responsibility of the officer/agency; preliminary and non-final drafts of letters, reports and memoranda which may contain or reflect the working or deliberative process by which a final decision or position of the agency; board; department; or subdivision thereof is reached: shorthand notes, steno tapes, mechanical recordings which have been transcribed, except where noted on agency retention schedules; routing and other interdepartmental forms which are not significant evidence of the activity concerned and do not otherwise have value as described above; stocks of publications already sent to archives and processed documents preserved for supply purposes only; form and guide letters, sample letters, form paragraphs; subject files, including copies of correspondence, memoranda, publications, reports and other information received by agency and filed by subject (also referred to as reading files or information files). See also 1.15.2.101 NMAC of Records Retention and Disposition Schedule for General Administrative Records. [7-30-97; 1.20.3.7 NMAC - Rn, 1 NMAC 3.2.95.7, 11/30/2001]

### **1.20.3.8 INSTRUCTIONS:**

**A.** For records of a general administrative nature, refer to the Records Retention and Disposition Schedule for the General Administrative Records, 1.15.2 NMAC.

**B.** For records of a financial nature, refer to the Records Retention and Disposition Schedule for General Financial Records, 1.15.4 NMAC.

**C.** For records of a personnel nature, refer to the Records Retention and Disposition Schedule for the General Personnel Records, 1.15.6 NMAC.

**D.** For records of medical nature, refer to the Records Retention and Disposition Schedule for the General Medical Records, 1.15.8 NMAC.

**E.** Retention periods shall be extended until six months after all current or pending litigation, current claims, audit exceptions or court orders involving a record have been resolved or concluded.

**F.** The descriptions of files are intended to be evocative, not complete. For example, there will always be some documents that are filed in a file that are not listed in the description, and similarly, not every file will contain an example of each document listed in the description.

**G.** Confidentiality is denoted as "-C-". Not all materials in a file may be confidential. Refer to note. Where portions of file may be confidential, refer to legal counsel for agency.

**H.** Access to confidential documents and/or confidential files shall be only by authorization of agency or attorney general and/or by court order, unless otherwise provided by statute. Release of confidential documents to law enforcement and other government agencies, shall only be upon specific statutory authorization or court order.

**I.** All records, papers or documents may be photographed, microfilmed, microphotographed or reproduced on film. Such photographs, microfilms, photographic film or microphotographs shall be deemed to be an original record for all purposes, including introduction in evidence in all courts or administrative agencies. (Section 14-1-5, 14-1-6 NMSA 1978)

**J.** Data processing and other machine readable records. Many paper records are being eliminated when the information has been placed on magnetic tapes, disks, or other data processing media. In these cases, the information on the data processing medium should be retained for the length of time specified in records retention and disposition schedules for paper records and should be subject to the same confidentiality and access restrictions as paper records. When the destruction of a record is required, all versions of said record shall be electronically over-written on machine readable media on which it is stored (or media destroyed). See also 1 NMAC 3.2.70.1 [1.13.70 NMAC]: Performance Guidelines for the Legal Acceptance of Public Records Products by Information Technology Systems. [7-30-97; 1.20.3.8 NMAC - Rn, 1 NMAC 3.2.95.8, 11/30/2001]

**1.20.3.9 -1.20.3.100:** [reserved]

#### **1.20.3.101 ACCIDENT REPORT FILE:**

**A. Program:** records common to all offices/departments

**B. Maintenance system:** none



**C. Description:** Reports of accidents involving office/campus personnel. Records involving medical claims or litigation shall be transferred to Business Office to be incorporated into worker's compensation file.

**D. Retention:**

- (1) Files resulting in no action/claim/litigation: 2 years after date of accident
- (2) Files resulting in action/claim/litigation: 2 years after date of accident or until all action completed

or issues resolved

[9-21-98; 1.20.3.101 NMAC-Rn 1 NMAC 3.2.95.71.101, 11/30/2001]

**1.20.3.102 ADMINISTRATIVE FILE:**

**A. Program:** records common to all offices/departments

**B. Maintenance system:** none

**C. Description:** Records concerning the administration of the office. File may contain reports, directives, correspondence, memoranda, related documentation, etc.

**D. Retention:** After 5 years transfer to institute archives for appraisal and final disposal

[9-21-98; 1.20.3.102 NMAC-Rn 1 NMAC 3.2.95.71.102, 11/30/2001]

**1.20.3.103 APPLICATIONS FOR EMPLOYMENT FILE:**

**A. Program:** records common to all offices/departments

**B. Maintenance system:** none

**C. Description:** Applications for employment within particular office/department. File may contain application, resume, letters of reference/recommendation, correspondence, memoranda, related documentation, etc.

**D. Retention:**

(1) Applications and records for individuals hired: Transfer to personnel office when individual accepts position

(2) Applications and records for individuals not hired: Transfer to personnel office office when position is filled

(3) Unsolicited applications: Transfer to personnel office when received

[9-21-98; 1.20.3.103 NMAC-Rn 1 NMAC 3.2.95.71.103, 11/30/2001]

**1.20.3.104 CALENDAR OF EVENTS FILE:**

**A. Program:** records common to all offices/departments

**B. Maintenance system:** none

**C. Description:** Reference copies of college/university calendars of events.

**D. Retention:** Until superseded or obsolete

[9-21-98; 1.20.3.104 NMAC-Rn 1 NMAC 3.2.95.71.104, 11/30/2001]

**1.20.3.105 COMMITTEES/COUNCILS FILES:**

**A. Program:** records common to all offices/departments

**B. Maintenance system:** none

**C. Description:** Records concerning various committees/councils with which office/department deals. File may contain minutes of meetings, reports, notifications, correspondence, memoranda, related documentation, etc. For files of committees/councils that are defined in the Open Meetings Act (10-15-1, NMSA 1978), see 10.A113 (1NMAC 3.2.90.10).

**D. Retention:** After 5 yearstransfer to insti tute archives for appraisal and final disposal

[9-21-98; 1.20.3.105 NMAC-Rn 1 NMAC 3.2.95.71.105, 11/30/2001]

**1.20.3.106 CONFERENCES/WORKSHOPS ATTENDED FILE:**

**A. Program:** records common to all offices/departments

**B. Maintenance system:** none

**C. Description:** Records of conferences/workshops attended by office/departmental personnel. File may contain agendas, programs, handouts, correspondence, memoranda, related documentation, etc.

**D. Retention:** Until reference value ends

[9-21-98; 1.20.3.106 NMAC-Rn 1 NMAC 3.2.95.71.106, 11/30/2001]

**1.20.3.107 CONFERENCES/WORKSHOPS CONDUCTED FILE:**

**A. Program:** records common to all offices/departments

**B. Maintenance system:** none

**C. Description:** Records of conferences/workshops conducted by office/departmental personnel.

File may contain agendas, programs, handouts, reports, training materials, critiques, questionnaires, correspondence, memoranda, related documentation, etc.

**D. Retention:** After 5 years transfer to institute archives for appraisal and final disposal  
[9-21-98; 1.20.3.107 NMAC-Rn 1 NMAC 3.2.95.71.107, 11/30/2001]

**1.20.3.108 MAINTENANCE SERVICE FILE:**

**A. Program:** records common to all offices/departments

**B. Maintenance system:** none

**C. Description:** Records concerning maintenance services conducted for office/department. File may include work orders, maintenance reports, related documentation, correspondence, memoranda, etc. File does not include the records of maintenance service agreements.

**D. Retention:** 3 years after date of last entry  
[9-21-98; 1.20.3.108 NMAC-Rn 1 NMAC 3.2.95.71.108, 11/30/2001]

**1.20.3.109 OVERTIME FILE:**

**A. Program:** records common to all offices/departments

**B. Maintenance system:** none

**C. Description:** Records of overtime by office/department personnel.

**D. Retention:** 1 year after overtime accrual date (37-1-5, NMSA1978)  
[9-21-98; 1.20.3.109 NMAC-Rn 1 NMAC 3.2.95.71.109, 11/30/2001]

**1.20.3.110 PARKING ASSIGNMENTS FILE:**

**A. Program:** records common to all offices/departments

**B. Maintenance system:** none

**C. Description:** Records concerning staff parking assignments.

**D. Retention:** Until superseded or obsolete  
[9-21-98; 1.20.3.110 NMAC-Rn 1 NMAC 3.2.95.71.110, 11/30/2001]

**1.20.3.111 POLICIES and PROCEDURES FILE:**

**A. Program:** records common to all offices/departments

**B. Maintenance system:** none

**C. Description:** Reference copies of current policies and procedures.

**D. Retention:** Until superseded or obsolete  
[9-21-98; 1.20.3.111 NMAC-Rn 1 NMAC 3.2.95.71.111, 11/30/2001]

**1.20.3.112 SUPPLIES AND EQUIPMENT FILE:**

**A. Program:** records common to all offices/departments

**B. Maintenance system:** none

**C. Description:** Records concerning supplies and equipment. File may contain accounting records, operating manuals, warranties, inventories, related documentation, correspondence, memoranda, etc.

**D. Retention:**

(1) Warranties 6 years after termination of warranty

(2) Equipment records, including operating manuals: Until disposition of equipment

(3) Supply records: Until audit report released

[9-21-98; 1.20.3.112 NMAC-Rn 1 NMAC 3.2.95.71.112, 11/30/2001]

**1.20.3.113 SURPLUS PROPERTY FILE:**

**A. Program:** records common to all offices/departments

**B. Maintenance system:** none

**C. Description:** Records concerning surplus property and its disposition. File may contain inventories, records of disposal, accounting information, related documentation, correspondence, memoranda, etc.

**D. Retention:** 1 year after disposition of property or when all audits are released whichever is longer

[9-21-98; 1.20.3.113 NMAC-Rn 1 NMAC 3.2.95.71.113, 11/30/2001]

**1.20.3.114 TELEPHONE BILLINGS FILE:**

- A. Program:** records common to all offices/departments
- B. Maintenance system:** none
- C. Description:** Reference copies of monthly office telephone bills.
- D. Retention:** Until audit report released

[9-21-98; 1.20.3.114 NMAC-Rn 1 NMAC 3.2.95.71.114, 11/30/2001]

**1.20.3.115 WORK ORDERS FILE:**

- A. Program:** records common to all offices/departments
- B. Maintenance system:** none
- C. Description:** Work orders submitted to Maintenance Office/Physical Plant.
- D. Retention:**
  - (1) Reference copy (copy maintained by entity requesting work): Until work completed
  - (2) Maintenance Office/Physical Plant copy: 1 year after work completed

[9-21-98; 1.20.3.115 NMAC-Rn 1 NMAC 3.2.95.71.115, 11/30/2001]

**1.20.3.116-1.20.3.124:** [reserved]

**1.20.3.125 ALUMNI ASSOCIATION FILE:**

- A. Program:** office of the president
- B. Maintenance system:** none
- C. Description:** Records concerning university dealings with the university alumni association. File may include correspondence, reports, publications, related documentation, etc.
- D. Retention:** 5 years after close of fiscal year in which created, then transfer to institute's archives for appraisal and final disposition

[9-21-98; 1.20.3.125 NMAC-Rn 1 NMAC 3.2.95.71.125, 11/30/2001]

**1.20.3.126 BOARD OF REGENTS FILE:**

- A. Program:** office of the president
- B. Maintenance system:** none
- C. Description:** Records concerning university dealings with the university board of regents. File may include minutes of meetings, reports, related documentation, correspondence, etc.
- D. Retention:**
  - (1) Minutes of meetings: Permanent (10 A113,1NMAC 3.2.90.10)
  - (2) All other records: 5 years after close of fiscal year in which created, then transfer to institute's archives for appraisal and final disposition

[9-21-98; 1.20.3.126 NMAC-Rn 1 NMAC 3.2.95.71.126, 11/30/2001]

**1.20.3.127 FRATERNITIES/SORORITIES FILE:**

- A. Program:** office of the president
- B. Maintenance system:** none
- C. Description:** Records concerning university dealings with the university fraternities and sororities. File may include reports, publications, related documentation, correspondence, memoranda, etc.
- D. Retention:** 5 years after close of fiscal year in which created, then transfer to institute's archives for appraisal and final disposition

[9-21-98; 1.20.3.127 NMAC-Rn 1 NMAC 3.2.95.71.127, 11/30/2001]

**1.20.3.128 SPEECH FILES:**

- A. Program:** office of the president
- B. Maintenance system:** none
- C. Description:** Transcript of speeches of the president.
- D. Retention:** When the president leaves office, transfer to institute's archives for appraisal and final disposition

[9-21-98; 1.20.3.128 NMAC-Rn 1 NMAC 3.2.95.71.128, 11/30/2001]

**1.20.3.129 STUDENT GOVERNMENT CONSTITUTION AND BYLAWS:**

- A. Program:** office of the president
- B. Maintenance system:** none
- C. Description:** Official copies of the constitution, bylaws, and other related records concerning student government and the university.

(1) Constitution and bylaws (includes revisions and amendments): Permanent

(2) All other records: 5 years after close of fiscal year in which created, then transfer to institute's archives for appraisal and final disposition

[9-21-98; 1.20.3.129 NMAC-Rn 1 NMAC 3.2.95.71.129, 11/30/2001]

**1.20.3.130 UNIVERSITY CODE FILE:**

- A. Program:** office of the president
- B. Maintenance system:** none
- C. Description:** Official copies of university code (or other document) defining the university standards of professionalism, ethics, and operation. A copy of the University Code shall be provided to the institute's archives at the time created (issued).

**D. Retention:**

(1) Original: Permanent

(2) Copies: Until superseded by new code

[9-21-98; 1.20.3.130 NMAC-Rn 1 NMAC 3.2.95.71.130, 11/30/2001]

**1.20.3.131 COMMISSION ON HIGHER EDUCATION INFORMATION FILES:**

- A. Program:** office of the president
- B. Maintenance system:** none
- C. Description:** Records concerning university dealings with the Commission on Higher Education. File may include copies of reports submitted to the commission concerning university staff, courses, students, degrees conferred, space, etc.

**D. Retention:** 2 years after close of fiscal year in which created, then transfer to institutes archives for appraisal and final disposition

[9-21-98; 1.20.3.131 NMAC-Rn 1 NMAC 3.2.95.71.131, 11/30/2001]

**1.20.3.132 PRESIDENT'S CORRESPONDENCE FILE:**

- A. Program:** office of the president
- B. Maintenance system:** none
- C. Description:** Administrative and routine correspondence Concerning university. Includes correspondence and memoranda.

**D. Retention:** 2 years after close of fiscal year in which created, then transfer to institute's archives for appraisal and final disposition (A108, 1NMAC 3.2.90.10)

[9-21-98; 1.20.3.132 NMAC-Rn 1 NMAC 3.2.95.71.132, 11/30/2001]

**1.20.3.133-1.20.3.150: [reserved]**

**1.20.3.151 APPLICATION FOR ADMISSION FILE:**

- A. Program:** admissions office
- B. Maintenance system:** none
- C. Description:** File may contain application for admission, acceptance letters, advanced placement records, entrance examination reports (ACT,CEEB), letters of recommendation, medical

records, placement scores, readmission forms, recruitment materials, transcripts-other colleges, transcripts-high school, listings of credit hours earned, test scores (SAT, GRE, Law Board, etc.), related documentation, correspondence, memoranda, etc. Admission's offices that maintain a copy of accepted applicant file after forwarding original to Registrar's office, destroy copy 1 year after date of application term.

**D. Retention:**

(1) Accepted applicant files: Forward to Registrar's Office. Becomes Student Academic File.

(2) Accepted applicant "no show" files: 1 year after close of calendar year in which created

(3) Rejected/unacted upon applicant files: 1 year after close of calendar year in which created

**E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.151 NMAC-Rn 1 NMAC 3.2.95.71.151, 11/30/2001]

**1.20.3.152-1.20.3.200: [reserved]**

**1.20.3.201 REGISTRATION RECORDS:**

- A. Program:** registrar's office
- B. Maintenance system:** none
- C. Description:** Records concerning the student registration/ Matriculation process. May include records that authorize the change of course (add/drop). Records may show student name and number, course request, course title and number, credit hours, instructor, etc.
- D. Retention:** 1 year after end of term for which created  
[9-21-98; 1.20.3.201 NMAC-Rn 1 NMAC 3.2.95.71.201, 11/30/2001]

**1.20.3.202 STUDENT ACADEMIC FILE:**

- A. Program:** registrar's office
- B. Maintenance system:** none
- C. Description:** File may contain application for admission, acceptance letters, advanced placement records, entrance examination reports (ACT, CEEB), letters of recommendation, medical records, placement scores, readmission forms, recruitment materials, transcripts (high school/other colleges), listings of credit hours earned, test scores (SAT, GRE, Law Board, etc.), copy of college/university transcript, requests for information, related documentation, correspondence, memoranda, etc. Disciplinary documentation shall not be a part of the student's academic record
- D. Retention:** 5 years after last semester attended by student
- E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.202 NMAC-Rn 1 NMAC 3.2.95.71.202, 11/30/2001]

**1.20.3.203 STUDENT TRANSCRIPT:**

- A. Program:** registrar's office
- B. Maintenance system:** none
- C. Description:** May show student name, student number, date of birth, date of matriculation, courses taken, grades received, degrees conferred, rank in class, etc.
- D. Retention:** 100 years from students date of birth
- E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.203 NMAC-Rn 1 NMAC 3.2.95.71.203, 11/30/2001]

**1.20.3.204 INSTRUCTOR'S/PROFESSOR'S GRADE SHEETS:**

- A. Program:** registrar's office
- B. Maintenance system:** none
- C. Description:** Official grade sheets filled out by instructor/professor. Record may show course title and section, instructor's/ professor's name and signature, course identification, student name and number, grade, etc. Retention period shall not be less than time/period allowed by institution's policy statement on challenging grades submitted by instructors/professors.
- D. Retention:** 5 years after term for which created
- E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.204 NMAC-Rn 1 NMAC 3.2.95.71.204, 11/30/2001]

**1.20.3.205 STUDENT SOCIAL SECURITY BENEFIT'S FILE:**

- A. Program:** registrar's office
- B. Maintenance system:** none
- C. Description:** Records regarding students who receive social Security educational benefits. File may include applications for social security educational benefits, approvals/rejections, dates of enrollment/attendance, amounts awarded, amounts received, social security certification, related documentation, correspondence, memoranda, etc.
- D. Retention:** 1 year after social security certification
- E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.205 NMAC-Rn 1 NMAC 3.2.95.71.205, 11/30/2001]

**1.20.3.206 FERPA STUDENT FILE:**

**A. Program:** registrar's office  
**B. Maintenance system:** none  
**C. Description:** Records concerning the Family Educational Rights and Privacy Act. File may contain requests for formal hearings, requests and disclosures of personally identifiable information, student requests for non-disclosure of directory information, student statements of content of records regarding hearing panel decisions, student's written consent for records disclosure, waivers for rights of access, written decisions of hearing panels, other FERPA related documentation, correspondence, memoranda, etc. Registrar's office may file these documents in the Student Academic File, thus eliminating a separate FERPA Student File.

**D. Retention:** Until Student Academic File destroyed

**E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.206 NMAC-Rn 1 NMAC 3.2.95.71.206, 11/30/2001]

**1.20.3.207 VETERANS' BENEFITS FILE:**

**A. Program:** registrar's office  
**B. Maintenance system:** none  
**C. Description:** Records regarding students who receive veterans' educational benefits. File may include applications for veterans' educational benefits, approvals/rejections, dates of enrollment/attendance, amounts awarded, amounts received, enrollment certification, discharge record, related documentation, correspondence, memoranda, etc. Longer retention will not be required unless a written request is received from the Veterans' Administration not later than 30 days prior to the end of the three-year period.

**D. Retention:** 3 years after termination of veterans enrollment (VA Regulation No. 14201)

**E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.201 NMAC-Rn 1 NMAC 3.2.95.71.201, 11/30/2001]

**1.20.3.208 IMMIGRATION AND NATURALIZATION SERVICE STUDENT FILE:**

**A. Program:** registrar's office  
**B. Maintenance system:** none  
**C. Description:** Records used to comply with the reporting requirements of Immigration and Naturalization Service. Registrar's office may file these documents in the Student Academic File, thus eliminating a separate Immigration and Naturalization Service Student File.

**D. Retention:** Until Student Academic File is destroyed

**E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.208 NMAC-Rn 1 NMAC 3.2.95.71.208, 11/30/2001]

**1.20.3.209 HISTORICAL PUBLICATION/STATISTICAL DATA RECORDS:**

**A. Program:** registrar's office  
**B. Maintenance system:** none  
**C. Description:** Records with enduring value beyond the needs of the registrar's office. Records include college/university catalog, commencement program, degree statistics, enrollment statistics, grade statistics, racial/ethnic statistics, schedule of classes, etc. When a copy of these records has been forwarded to college/university archives, additional or working copies may be destroyed when record is superseded or obsolete.

**D. Retention:** Permanent

[9-21-98; 1.20.3.209 NMAC-Rn 1 NMAC 3.2.95.71.209, 11/30/2001]

**1.20.3.210-1.20.3.300: [reserved]**

**1.20.3.301 ACADEMIC RECORDS FILE:**

**A. Program:** departments (academic)  
**B. Maintenance system:** none  
**C. Description:** Individual student academic records. Transfer data concerning grades to registrar's office at the end of each grading period to be incorporated into official academic file.

- D. **Retention:** 5 years after last semester attended by student
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.301 NMAC-Rn 1 NMAC 3.2.95.71.301, 11/30/2001]

**1.20.3.302 ACCREDITATION FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Records concerning departmental accreditation. File may include guides, reports, questionnaires, related records, correspondence, memoranda, etc. Entry includes accreditation files of schools/divisions.
- D. **Retention:** After 10 years, transfer to institutes archives for appraisal and final disposition  
[9-21-98; 1.20.3.302 NMAC-Rn 1 NMAC 3.2.95.71.302, 11/30/2001]

**1.20.3.303 CLASS SCHEDULES FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Reference copies of class schedules.
- D. **Retention:** 5 years after end of term for which created.  
[9-21-98; 1.20.3.303 NMAC-Rn 1 NMAC 3.2.95.71.303, 11/30/2001]

**1.20.3.304 COMPLETED EXAMINATIONS FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Completed student examinations.
- D. **Retention:** 1 year after end of term in which created
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.304 NMAC-Rn 1 NMAC 3.2.95.71.304, 11/30/2001]

**1.20.3.305 COMPLETED TESTS FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Completed student tests.
- D. **Retention:** 1 year after end of term in which created
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.305 NMAC-Rn 1 NMAC 3.2.95.71.305, 11/30/2001]

**1.20.3.306 COMPREHENSIVE EXAMINATION RESULTS FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Listings of student comprehensive examination scores.
- D. **Retention:** 4 years after date of examination
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.306 NMAC-Rn 1 NMAC 3.2.95.71.306, 11/30/2001]

**1.20.3.307 COMPREHENSIVE EXAMINATIONS FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Completed student comprehensive examinations for degrees.
- D. **Retention:** 4 years after date of examination
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.307 NMAC-Rn 1 NMAC 3.2.95.71.307, 11/30/2001]

**1.20.3.308 COURSE LISTINGS FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Listings of courses currently offered by department.

**D. Retention:** Until superseded or obsolete  
[9-21-98; 1.20.3.308 NMAC-Rn 1 NMAC 3.2.95.71.308, 11/30/2001]

**1.20.3.309 COURSE SYLLABI/OUTLINES FILE:**

**A. Program:** departments (academic)

**B. Maintenance system:** none

**C. Description:** Syllabus or outline of each course offered by department.

**D. Retention:** Until superseded or obsolete

[9-21-98; 1.20.3.309 NMAC-Rn 1 NMAC 3.2.95.71.309, 11/30/2001]

**1.20.3.310 COURSE TITLE DIRECTORY FILE:**

**A. Program:** departments (academic)

**B. Maintenance system:** none

**C. Description:** Directories of courses currently offered by department.

**D. Retention:** Until superseded or obsolete

[9-21-98; 1.20.3.310 NMAC-Rn 1 NMAC 3.2.95.71.310, 11/30/2001]

**1.20.3.311 CREDITS BY EXAMINATION FILE:**

**A. Program:** departments (academic)

**B. Maintenance system:** none

**C. Description:** Records concerning academic credits awarded to students by special examination.

**D. Retention:** Transfer to registrars office at end of grading period

[9-21-98; 1.20.3.311 NMAC-Rn 1 NMAC 3.2.95.71.311, 11/30/2001]

**1.20.3.312 DEGREE LISTINGS FILE:**

**A. Program:** departments (academic)

**B. Maintenance system:** none

**C. Description:** Listings of departmental students who tentatively are scheduled to receive degrees at end of semester. File includes information used to order diplomas.

**D. Retention:** Until reference value ends

**E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.312 NMAC-Rn 1 NMAC 3.2.95.71.312, 11/30/2001]

**1.20.3.313 DEPARTMENT HEAD'S FILE:**

**A. Program:** departments (academic)

**B. Maintenance system:** none

**C. Description:** Records maintained by the department head concerning departmental programs and activities. File may include reports, correspondence, memoranda, directives, related records, etc.

**D. Retention:** After 5 years, transfer to institute archives for appraisal and final disposal

[9-21-98; 1.20.3.313 NMAC-Rn 1 NMAC 3.2.95.71.313, 11/30/2001]

**1.20.3.314 DEPARTMENTAL HISTORY FILE:**

**A. Program:** departments (academic)

**B. Maintenance system:** none

**C. Description:** Records concerning history of the department. File may include publications, newsletters, reports, photographs, related records, correspondence, memoranda, etc. Entry includes history files of schools/divisions.

**D. Retention:** After 5 years, transfer to institute archives for appraisal and final disposal

[9-21-98; 1.20.3.314 NMAC-Rn 1 NMAC 3.2.95.71.314, 11/30/2001]

**1.20.3.315 DEPARTMENTAL PROGRAMS FILE:**

**A. Program:** departments (academic)

**B. Maintenance system:** none

**C. Description:** Records concerning departmental academic programs. File may include program proposals and descriptions, accounting records, correspondence, memoranda, administrative documents, etc.



**D. Retention:** After 5 years, transfer to institute archives for appraisal and final disposal  
[9-21-98; 1.20.3.315 NMAC-Rn 1 NMAC 3.2.95.71.315, 11/30/2001]

**1.20.3.316 DROP/ADD FORMS FILE:**

- A. Program:** departments (academic)
- B. Maintenance system:** none
- C. Description:** Completed student drop/add form.
- D. Retention:** 1 year after end of term for which completed
- E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.316 NMAC-Rn 1 NMAC 3.2.95.71.316, 11/30/2001]

**1.20.3.317 ENROLLMENT FILE:**

- A. Program:** departments (academic)
- B. Maintenance system:** none
- C. Description:** Student enrollment books for each course in department.
- D. Retention:** 5 years after end of term for which created
- E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.317 NMAC-Rn 1 NMAC 3.2.95.71.317, 11/30/2001]

**1.20.3.318 EXTRA HOUR REGISTRATION FILE:**

- A. Program:** departments (academic)
- B. Maintenance system:** none
- C. Description:** Records concerning student registration for extra course hours. File may include notices of departmental permission for extra hour registration.

- D. Retention:** 4 years after end of term for which created
- E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.318 NMAC-Rn 1 NMAC 3.2.95.71.318, 11/30/2001]

**1.20.3.319 FACULTY AWARD AND HONORS FILE:**

- A. Program:** departments (academic)
- B. Maintenance system:** none
- C. Description:** Records concerning awards and honors to faculty members within the department.

File may include recommendations, approvals, related records, correspondence, memoranda, etc. Transfer award/honor information to personnel office when award/honor becomes official.

- D. Retention:** 10 years after date created

[9-21-98; 1.20.3.319 NMAC-Rn 1 NMAC 3.2.95.71.319, 11/30/2001]

**1.20.3.320 FACULTY LISTINGS FILE:**

- A. Program:** departments (academic)
- B. Maintenance system:** none
- C. Description:** Listings of departmental faculty.
- D. Retention:** 4 years after date created

[9-21-98; 1.20.3.320 NMAC-Rn 1 NMAC 3.2.95.71.320, 11/30/2001]

**1.20.3.321 FACULTY PUBLICATIONS FILE:**

- A. Program:** departments (academic)
- B. Maintenance system:** none
- C. Description:** Reference copies of articles and books written by departmental faculty members.
- D. Retention:** Transfer to institutes archives when reference value ends for appraisal and final

disposition

[9-21-98; 1.20.3.321 NMAC-Rn 1 NMAC 3.2.95.71.321, 11/30/2001]

**1.20.3.322 FINANCIAL AID FILE:**

- A. Program:** departments (academic)
- B. Maintenance system:** none

C. **Description:** Records regarding financial aid awarded to students and student assistants within department. File may include applications, approvals, accounting records, related records, etc.

D. **Retention:** Until released from all audits

E. **Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.322 NMAC-Rn 1 NMAC 3.2.95.71.322, 11/30/2001]

**1.20.3.323 GRADE DISTRIBUTION FILE:**

A. **Program:** departments (academic)

B. **Maintenance system:** none

C. **Description:** Listings of student grade distributions by course and by instructor.

D. **Retention:** 1 year after date created

E. **Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.323 NMAC-Rn 1 NMAC 3.2.95.71.323, 11/30/2001]

**1.20.3.324 FACULTY RECRUITMENT FILE:**

A. **Program:** departments (academic)

B. **Maintenance system:** none

C. **Description:** Records concerning the recruitment of faculty members for department. File may include policies, forms, resumes, applications, correspondence, reports, interview notes, related records, correspondence, memoranda, etc. See also SEARCH COMMITTEE FILES.

(1) Applications and records for individuals hired: Transfer to personnel office when individual accepts position

(2) Applications and records for individuals not hired: Transfer to personnel office when position is filled

(3) Unsolicited applications: Transfer to personnel office when received

(4) Policies and forms: Until superseded or obsolete

[9-21-98; 1.20.3.324 NMAC-Rn 1 NMAC 3.2.95.71.324, 11/30/2001]

**1.20.3.325 GRADE LISTINGS FILE (GRADE SHEETS):**

A. **Program:** departments (academic)

B. **Maintenance system:** none

C. **Description:** Listings of students' grades for each course taught by department. File may include final grade rolls or other related records concerning student grades. Transfer data concerning grades to registrar's office at the end of each grading period to be incorporated into official academic file. [Grades also incorporated into department's Academic Record File.]

D. **Retention:** 1 year after end of term for which created

E. **Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.325 NMAC-Rn 1 NMAC 3.2.95.71.325, 11/30/2001]

**1.20.3.326 GRADUATE LISTING FILE:**

A. **Program:** departments (academic)

B. **Maintenance system:** none

C. **Description:** Listings of students graduated within department.

D. **Retention:** Until superseded by new listing

[9-21-98; 1.20.3.326 NMAC-Rn 1 NMAC 3.2.95.71.326, 11/30/2001]

**1.20.3.327 INDIVIDUAL PLACEMENT TEST SCORES FILE:**

A. **Program:** departments (academic)

B. **Maintenance system:** none

C. **Description:** Placement test scores for each student taking test.

D. **Retention:** After 1 year, Transfer to appropriate Academic Record File  
[9-21-98; 1.20.3.327 NMAC-Rn 1 NMAC 3.2.95.71.327, 11/30/2001]

**1.20.3.328 INSTRUCTOR CLASS ROLLS/GRADE SHEETS FILE:**

A. **Program:** departments (academic)

B. **Maintenance system:** none

**C. Description:** Copies of class rolls and grade sheets for each course. Transfer data concerning grades to registrar's office at the end of each grading period to be incorporated into official academic file. [Grades also incorporated into department's Academic Record File.]

**D. Retention:** 1 year after end of term for which created

**E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.328 NMAC-Rn 1 NMAC 3.2.95.71.328, 11/30/2001]

**1.20.3.329 INTERNSHIPS/ASSISTANTSHIPS FILE:**

**A. Program:** departments (academic)

**B. Maintenance system:** none

**C. Description:** Records concerning student internships and Assistantships within department. File may include applications, approvals/disapprovals, records of credit earned, accounting information, class rolls, related records, etc. Transfer information regarding individuals to Registrar's Office and fiscal information to Business Office (if applicable) at end of each grading period.

**D. Retention:** 1 year after released from all audits

**E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.329 NMAC-Rn 1 NMAC 3.2.95.71.329, 11/30/2001]

**1.20.3.330 LOAN RECIPIENTS' COLLEGE ENROLLMENT VERIFICATIONS FILE:**

**A. Program:** departments (academic)

**B. Maintenance system:** none

**C. Description:** Records concerning the verification of each loan recipient's enrollment, proposed major, probation status, loan stipulations, number of credit hours, etc.

**D. Retention:** 1 year after released from all audits

**E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.330 NMAC-Rn 1 NMAC 3.2.95.71.330, 11/30/2001]

**1.20.3.331 MASTER COURSE FILE:**

**A. Program:** departments (academic)

**B. Maintenance system:** none

**C. Description:** Records concerning each course taught by department faculty. File may include course schedules.

**D. Retention:** 5 years after file superseded or obsolete

[9-21-98; 1.20.3.331 NMAC-Rn 1 NMAC 3.2.95.71.331, 11/30/2001]

**1.20.3.332 NEW COURSE PROPOSALS FILE:**

**A. Program:** departments (academic)

**B. Maintenance system:** none

**C. Description:** Records concerning each proposed new course. File may include course descriptions, justifications, projected schedules, related records, etc.

**D. Retention:** Until reference value ends

[9-21-98; 1.20.3.332 NMAC-Rn 1 NMAC 3.2.95.71.332, 11/30/2001]

**1.20.3.333 PASS/FAIL FORMS FILE:**

**A. Program:** departments (academic)

**B. Maintenance system:** none

**C. Description:** Completed student pass/fail forms.

**D. Retention:** 1 year after end of term

**E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.333 NMAC-Rn 1 NMAC 3.2.95.71.333, 11/30/2001]

**1.20.3.334 PLACEMENT TESTS FILE:**

**A. Program:** departments (academic)

**B. Maintenance system:** none

**C. Description:** Completed tests administered to determine each student's aptitude.

**D. Retention:** 1 year after end of term

E. **Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.334 NMAC-Rn 1 NMAC 3.2.95.71.334, 11/30/2001]

**1.20.3.335 PLACEMENT TEST SCORES LISTING FILE:**

A. **Program:** departments (academic)  
B. **Maintenance system:** none  
C. **Description:** Listings of student placement test scores.  
D. **Retention:** 1 year after end of term  
E. **Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.335 NMAC-Rn 1 NMAC 3.2.95.71.335, 11/30/2001]

**1.20.3.336 PROSPECTIVE GRADUATES FILE:**

A. **Program:** departments (academic)  
B. **Maintenance system:** none  
C. **Description:** Listings of prospective graduates at end of each semester.  
D. **Retention:** 1 year after date created  
E. **Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.336 NMAC-Rn 1 NMAC 3.2.95.71.336, 11/30/2001]

**1.20.3.337 RAISED GRADES FILE:**

A. **Program:** departments (academic)  
B. **Maintenance system:** none  
C. **Description:** Records concerning individual student grades which have been raised.  
D. **Retention:** 1 year after end of term  
E. **Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.337 NMAC-Rn 1 NMAC 3.2.95.71.337, 11/30/2001]

**1.20.3.338 REPEAT COURSE FILE:**

A. **Program:** departments (academic)  
B. **Maintenance system:** none  
C. **Description:** Records concerning student's attempts to repeat courses in order to raise grades. File may include requests/disapprovals, related records, etc.  
D. **Retention:** 1 year after end of term  
E. **Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.338 NMAC-Rn 1 NMAC 3.2.95.71.338, 11/30/2001]

**1.20.3.339 RESEARCH PROJECTS FILE:**

A. **Program:** departments (academic)  
B. **Maintenance system:** none  
C. **Description:** Records concerning various departmental research projects. File may include reports, project descriptions, related records, correspondence, memoranda, etc.  
D. **Retention:** 5 years after research ends or is completed, transfer to institutes archives for appraisal and final disposition  
[9-21-98; 1.20.3.339 NMAC-Rn 1 NMAC 3.2.95.71.339, 11/30/2001]

**1.20.3.340 SCHOLARSHIPAWARDS FILE:**

A. **Program:** departments (academic)  
B. **Maintenance system:** none  
C. **Description:** Records concerning individual scholarship awards to students within department. File may include applications, recommendations, approvals, accounting records, related records, correspondence, memoranda, etc.  
D. **Retention:** After release of all audits  
E. **Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.340 NMAC-Rn 1 NMAC 3.2.95.71.340, 11/30/2001]

**1.20.3.341 SCHOLARSHIP PREFERENCE FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Reference copies of information concerning scholarship awards to students. File may include scholarship descriptions, guidelines, procedures, regulations, eligibility criteria, related records, correspondence, memoranda, etc.

D. **Retention:** When reference value ends  
[9-21-98; 1.20.3.341 NMAC-Rn 1 NMAC 3.2.95.71.341, 11/30/2001]

**1.20.3.342 SEARCH COMMITTEE FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Records concerning activities of specially formed search committees charged with recruiting new or replacement faculty members. File may include resumes, applications, correspondence, related records, memoranda, etc. See also FACULTY RECRUITMENT FILES.

- D. **Retention:**
    - (1) Applications and records for individuals hired: Transfer to personnel office when individual accepts position
    - (2) Applications and records for individuals not hired: Transfer to personnel office when position is filled
    - (3) Unsolicited applications: Transfer to personnel office when received
- [9-21-98; 1.20.3.342 NMAC-Rn 1 NMAC 3.2.95.71.342, 11/30/2001]

**1.20.3.343 SELF-STUDIES (DIRECTED STUDIES) FILE:**

- A. **Program:** departments (academic)
  - B. **Maintenance system:** none
  - C. **Description:** Self-studies conducted by department.
  - D. **Retention:** After 5 years, transfer to institute's archives for appraisal and final disposition
- [9-21-98; 1.20.3.301 NMAC-Rn 1 NMAC 3.2.95.71.301, 11/30/2001]

**1.20.3.344 STUDENT AWARDS AND HONORS FILE:**

- A. **Program:** departments (academic)
  - B. **Maintenance system:** none
  - C. **Description:** Records concerning awards and honors to students. File may include recommendations, approvals, related records, reference information, related records, correspondence, memoranda, etc. Transfer award/honor information to registrar's office when award/honor becomes official.
  - D. **Retention:** 5 years after date created
  - E. **Confidentiality:** Confidentiality (20 USCA 1232g).
- [9-21-98; 1.20.3.344 NMAC-Rn 1 NMAC 3.2.95.71.344, 11/30/2001]

**1.20.3.345 STUDENT LOANS FILE:**

- A. **Program:** departments (academic)
  - B. **Maintenance system:** none
  - C. **Description:** Records concerning university loans to students within department. File may include applications, recommendations, loan authorizations, financial statements, accounting information, related records, correspondence, memoranda, etc.
  - D. **Retention:** Until released from all audits
  - E. **Confidentiality:** Confidentiality (20 USCA 1232g).
- [9-21-98; 1.20.3.345 NMAC-Rn 1 NMAC 3.2.95.71.345, 11/30/2001]

**1.20.3.346 STUDENT LOCATOR FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Information concerning each student in department. File may include each student's name, current address, and other pertinent data.
- D. **Retention:** Until superseded or obsolete
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.346 NMAC-Rn 1 NMAC 3.2.95.71.346, 11/30/2001]

**1.20.3.347 STUDENT RANKING FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Listings of student graduate rankings in department.
- D. **Retention:** 5 years after date created
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.347 NMAC-Rn 1 NMAC 3.2.95.71.347, 11/30/2001]

**1.20.3.348 STUDENT RECORDS CHANGES FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Records concerning changes in student academic records. File may include requests, notices of approval/disapproval by faculty, justifications, related records, etc.
- D. **Retention:** 1 year after end of term
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.348 NMAC-Rn 1 NMAC 3.2.95.71.348, 11/30/2001]

**1.20.3.349 STUDENT REFERENCE FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Reference copies of records concerning students' activities with department. File may include internship records, evaluations, related records, correspondence, memoranda, etc.
- D. **Retention:** 5 years after date last enrollment
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.349 NMAC-Rn 1 NMAC 3.2.95.71.349, 11/30/2001]

**1.20.3.350 STUDENT TEACHING CERTIFICATION FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Records concerning student certifications for teaching. File may include applications, transcripts, check sheets, grade sheets, drop/add forms, class schedules, related records, correspondence, memoranda, etc.
- D. **Retention:** 4 years after end of term
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.350 NMAC-Rn 1 NMAC 3.2.95.71.351, 11/30/2001]

**1.20.3.351 TENURE FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Records concerning the awarding of tenure to university faculty members.
- D. **Retention:**
  - (1) Records where tenure awarded: Transfer to personnel office for filing within individual's personnel file
  - (2) Records where tenure denied: 2 years after tenure denied

[9-21-98; 1.20.3.351 NMAC-Rn 1 NMAC 3.2.95.71.351, 11/30/2001]

**1.20.3.352 TEXTBOOK ORDERS FILE:**

- A. **Program:** departments (academic)
- B. **Maintenance system:** none
- C. **Description:** Records concerning orders of textbooks and other references ordered by department.
- D. **Retention:** 2 years after end of term for which ordered

[9-21-98; 1.20.3.352 NMAC-Rn 1 NMAC 3.2.95.71.352, 11/30/2001]

**1.20.3.353 TEXTBOOK REQUESTS FILE:**

- A. Program:** departments (academic)
- B. Maintenance system:** none
- C. Description:** Requests for textbooks and other reference publications for department.
- D. Retention:** 2 years after end of term for which requested

[9-21-98; 1.20.3.353 NMAC-Rn 1 NMAC 3.2.95.71.353, 11/30/2001]

**1.20.3.354 TRANSFER ADMISSIONS FILE:**

- A. Program:** departments (academic)
- B. Maintenance system:** none
- C. Description:** Records concerning transfer admissions to university by students entering department.
- D. Retention:** Transfer to admissions office when acceptance or rejection becomes official
- E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.354 NMAC-Rn 1 NMAC 3.2.95.71.354, 11/30/2001]

**1.20.3.355 TRANSFER EQUIVALENTS FILE:**

- A. Program:** departments (academic)
- B. Maintenance system:** none
- C. Description:** Records concerning grade transfer equivalents from other institutions. Forward information concerning individuals to registrar's office when received.
- D. Retention:** Until superseded or obsolete
- E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.355 NMAC-Rn 1 NMAC 3.2.95.71.355, 11/30/2001]

**1.20.3.356 VETERANS' BENEFITS FILE:**

- A. Program:** departments (academic)
- B. Maintenance system:** none
- C. Description:** Records concerning veterans' benefits awarded to students in department. File may include applications, approvals, date of enrollment and attendance, entitlements and awards, amounts disbursed, and other related records.

- D. Retention:** Until all audits released
- E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.356 NMAC-Rn 1 NMAC 3.2.95.71.356, 11/30/2001]

**1.20.3.357-1.20.3.374: [reserved]**

**1.20.3.375 ATHLETICS SCHOLARSHIPS FILE:**

- A. Program:** athletics
- B. Maintenance system:** none
- C. Description:** Records concerning athletic scholarships awarded to university students. File may include applications, recommendations, authorizations of award, financial statements, accounting information, correspondence, and other related records.

- D. Retention:** 5 years after termination of enrollment
- E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.375 NMAC-Rn 1 NMAC 3.2.95.71.375, 11/30/2001]

**1.20.3.376 COACHES' FILE:**

- A. Program:** athletics
- B. Maintenance system:** none
- C. Description:** Records of the coaches for various university sports. File may include play descriptions, scouting report copies, recruiting prospects information, and related information.

- D. Retention:** Until reference value ends

[9-21-98; 1.20.3.376 NMAC-Rn 1 NMAC 3.2.95.71.376, 11/30/2001]

**1.20.3.377 DRUG DISPENSING RECORDS FILE:**

- A. Program:** athletics
- B. Maintenance system:** none
- C. Description:** Records documenting the daily dispensing of drugs by athletics staff.
- D. Retention:** 3 years after date Created (26-1-16, NMSA 1978)
- E. Confidentiality:** Confidentiality (14-6-1 and 26-1-16, NMSA 1978). These records shall be open

to inspection by any enforcement officer of this state (26-1-16, NMSA 1978).

[9-21-98; 1.20.3.377 NMAC-Rn 1 NMAC 3.2.95.71.377, 11/30/2001]

**1.20.3.378 PHYSICAL THERAPY FILE:**

- A. Program:** athletics
- B. Maintenance system:** none
- C. Description:** Reference material concerning physical therapy and first aid.
- D. Retention:** Until reference value ends

[9-21-98; 1.20.3.378 NMAC-Rn 1 NMAC 3.2.95.71.378, 11/30/2001]

**1.20.3.379 INJURIES FILE:**

- A. Program:** athletics
- B. Maintenance system:** none
- C. Description:** Records concerning injuries to university athletes and athletics staff. File may

include accident reports, medical records, x-rays, photographs, affidavits, correspondence, billing information, and other related records.

(1) Transfer all pertinent material to medical facility within 24 hours of accident.

(2) Billing information may be destroyed after release of audit report.

- D. Retention:** 10 years after date of last entry
- E. Confidentiality:** Confidentiality (14-6-1, NMSA 1978).

[9-21-98; 1.20.3.379 NMAC-Rn 1 NMAC 3.2.95.71.379, 11/30/2001]

**1.20.3.380 PLAYER RECRUITING FILE:**

- A. Program:** athletics
- B. Maintenance system:** none
- C. Description:** Records concerning recruitment for university sports programs (football, basketball, etc.). File may include scouting reports, lists of prospects, recruitment proposals, correspondence, and other related records.

**D. Retention:** 4 years, then transfer to institute archives for appraisal and final disposition

[9-21-98; 1.20.3.380 NMAC-Rn 1 NMAC 3.2.95.71.380, 11/30/2001]

**1.20.3.381 RECRUITING RULES AND REGULATIONS FILE:**

- A. Program:** athletics
- B. Maintenance system:** none
- C. Description:** Rules, regulations, and guidelines governing university athletics. File concerns recruiting, player eligibility, and other related matters.

**D. Retention:** 5 years after superseded or obsolete, transfer to institute archives for appraisal and final disposition

[9-21-98; 1.20.3.381 NMAC-Rn 1 NMAC 3.2.95.71.381, 11/30/2001]

**1.20.3.382 SCOUTING REPORTS FILE:**

- A. Program:** athletics
- B. Maintenance system:** none
- C. Description:** Scouting reports concerning opposing teams.
- D. Retention:** Until reference value ends

[9-21-98; 1.20.3.382 NMAC-Rn 1 NMAC 3.2.95.71.382, 11/30/2001]

**1.20.383-1.20.3.400:** [reserved]

**1.20.3.401 DOCUMENTATION TAPE FILE:**



**A. Program:** electronic records  
**B. Maintenance system:** none  
**C. Description:** Data processing tapes providing documentation for systems described in Master Tape File. Tapes include data systems specifications, systems tests documentation, file specifications, user guides, output specifications, reports, and information retrieval data.

(1) System test documentation for approved systems may be destroyed 1 year after completion of testing.

(2) Proprietary software is confidential (copyright, protection of rights, 17 USC, Section 102, 106, and 117).

**D. Retention:**

(1) Approved systems: 1 year after discontinuance of system, provided all magnetic data files are authorized for disposal or transferred to new or alternate system

(2) Disapproved proposed systems 1 year after date of final action  
[9-21-98; 1.20.3.401 NMAC-Rn 1 NMAC 3.2.95.71.401, 11/30/2001]

**1.20.3.402 MASTER TAPE FILE:**

**A. Program:** electronic records

**B. Maintenance system:** none

**C. Description:** Data processing master tape files for information stored in Data Processing Center. Master files contain data concerning university fiscal operations and transactions, social organizations, organization memberships, legal investigations and proceedings, studies, supply management, personnel and payroll administration, etc.

**D. Retention:** Erase or dispose when data contained has met its retention period, provided approval to destroy data has been received from office or department for which data belongs  
[9-21-98; 1.20.3.402 NMAC-Rn 1 NMAC 3.2.95.71.402, 11/30/2001]

**1.20.3.403 PROCESSING TAPE FILE:**

**A. Program:** electronic records

**B. Maintenance system:** none

**C. Description:** Data processing tapes used to administer and operate systems described in Mastercycles Tape File. Tapes include work data, systems testing data, input/output data, valid transaction data, and audit trail data. (Tapes are user tapes and are updated constantly.)

**D. Retention:** After 3 update(erase and reuse)  
[9-21-98; 1.20.3.403 NMAC-Rn 1 NMAC 3.2.95.71.403, 11/30/2001]

**1.20.3.404-1.20.3.450: [reserved]**

**1.20.3.451 LEGAL CASE FILE:**

**A. Program:** legal office

**B. Maintenance system:** none

**C. Description:** May contain complaints, court orders, motions, pleadings, notes, briefs, releases, investigative reports, investigator activity logs, transcripts, closing sheets, correspondence, memoranda, etc.

**D. Retention:** 10 years after case closed or until any minor involved attains age 21, whichever is longer  
[9-21-98; 1.20.3.451 NMAC-Rn 1 NMAC 3.2.95.71.451, 11/30/2001]

**1.20.3.452 LEGAL BRIEF FILE (BRIEFBANK):**

**A. Program:** legal office

**B. Maintenance system:** none

**C. Description:** Contains duplicate copies of legal briefs from Legal Case File.

**D. Retention:** Until purpose is served  
[9-21-98; 1.20.3.452 NMAC-Rn 1 NMAC 3.2.95.71.452, 11/30/2001]

**1.20.3.453 LEGAL CASE LOG:**

**A. Program:** legal office

**B. Maintenance system:** none

- C. **Description:** A chronological listing of cases.
  - D. **Retention:** 10 years after all cases listed are closed
- [9-21-98; 1.20.3.453 NMAC-Rn 1 NMAC 3.2.95.71.453, 11/30/2001]

**1.20.3.454 LEGAL CASE INDEX:**

- A. **Program:** legal office
  - B. **Maintenance system:** none
  - C. **Description:** Includes notations on activities related to case indexed.
  - D. **Retention:** 10 years after case closed
- [9-21-98; 1.20.3.454 NMAC-Rn 1 NMAC 3.2.95.71.454, 11/30/2001]

**1.20.3.455 LEGAL OPINIONS AND REQUESTS FOR OPINION FILE:**

- A. **Program:** legal office
  - B. **Maintenance system:** none
  - C. **Description:** Records requesting legal office to render/issue an opinion. May contain request, opinion, relating documentation, correspondence, memoranda, etc.
  - D. **Retention:**
    - (1) Legal Office (issuing entity): Permanent
    - (2) Office/department (requesting entity): Until purpose is served
- [9-21-98; 1.20.3.455 NMAC-Rn 1 NMAC 3.2.95.71.455, 11/30/2001]

**1.20.3.455-1.20.3.500: [reserved]**

**1.20.3.501 BOND ISSUE PREPARATION FILE:**

- A. **Program:** business office
  - B. **Maintenance system:** none
  - C. **Description:** Records relating to bond attorneys, preparation of the prospectus, prospectus distribution to bond buyers, bond printing, list of prospective buyers, bond printing bids, buyers, proof of publication of notice of estoppel, etc.
  - D. **Retention:** 6 years after bond issue retired
- [9-21-98; 1.20.3.501 NMAC-Rn 1 NMAC 3.2.95.71.501, 11/30/2001]

**1.20.3.502 BONDS, NOTES, INTEREST COUPONS, CERTIFICATES OF INDEBTEDNESS, OR SECURITIES:**

- A. **Program:** business office
  - B. **Maintenance system:** none
  - C. **Description:** Record of debts incurred by the institution.
  - D. **Retention:**
    - (1) When paying agent is a bank, savings and loan association, or other third party: Until paid and Certificate of Destruction has been prepared (6-10-62, NMSA 1978)
    - (2) When paying agent is the debtor agency (i.e., college/university): 2 years following payment and Certificate of Destruction has been prepared (6-10-62, NMSA 1978)
- [9-21-98; 1.20.3.502 NMAC-Rn 1 NMAC 3.2.95.71.502, 11/30/2001]

**1.20.3.503 BOND OR NOTE ISSUE AND CANCELLATION REGISTER:**

- A. **Program:** business office
  - B. **Maintenance system:** none
  - C. **Description:** Shows bond/note issue number, amount of issue, Date bond/note canceled, coupon number, payment information, etc.
  - D. **Retention:** Permanent
- [9-21-98; 1.20.3.503 NMAC-Rn 1 NMAC 3.2.95.71.503, 11/30/2001]

**1.20.3.504 CERTIFICATE OF DESTRUCTION:**

- A. **Program:** business office
- B. **Maintenance system:** none

**C. Description:** Shows the number and maturity of the bond/note/certificate/coupon, the date paid, and any other information required by the debtor agency.

**D. Retention:** 6 years after date created (6-10-62 NMSA 1978)  
[9-21-98; 1.20.3.504 NMAC-Rn 1 NMAC 3.2.95.71.504, 11/30/2001]

**1.20.3.505-1.20.3.550:** [reserved]

**1.20.3.551 AFFIRMATIVE ACTION/EQUAL EMPLOYMENT OPPORTUNITY FILE:**

**A. Program:** personnel office

**B. Maintenance system:** none

**C. Description:** Records concerning university affirmative action/ equal opportunity programs. File may include regulations and guidelines, policies, reports, studies, correspondence, and related records.

**D. Retention:**

(1) Annual plan: 3 years after date issued, then transfer to institute archives for appraisal and final disposition (30.P116, 1 NMAC 3.2.90.30)

(2) Regulations, policies, guidelines, reference materials: When obsolete or superseded, transfer to institute archives for appraisal and final disposition

(3) Grievance/Complaint files: 1 year after date case closed (30.P118, 1 NMAC 3.2.90.30)

(4) Compliance reviews: After 5 years, transfer to institute archives for appraisal and final disposition

(5) Remaining records: 2 years after date created

**E. Confidentiality:** Confidentiality (10-15-1 NMSA 1978)  
[9-21-98; 1.20.3.551 NMAC-Rn 1 NMAC 3.2.95.71.551, 11/30/2001]

**1.20.3.552 EDUCATIONAL RETIREMENT BOARD FILES:**

**A. Program:** personnel office

**B. Maintenance system:** none

**C. Description:** Records concerning the earnings and contributions of university employees to Educational Retirement Board.

(1) Records created prior to July 1, 1957: 5 years after employee terminated or retired

(2) Records created as of July 1, 1957: 3 years after employee terminated or retired

[9-21-98; 1.20.3.552 NMAC-Rn 1 NMAC 3.2.95.71.552, 11/30/2001]

**1.20.3.553 STUDENT EMPLOYEE FILES:**

**A. Program:** personnel office

**B. Maintenance system:** none

**C. Description:** Records concerning part-time student employees.

**D. Retention:** 6 years after termination date

[9-21-98; 1.20.3.553 NMAC-Rn 1 NMAC 3.2.95.71.553, 11/30/2001]

**1.20.3.554 SOCIAL SECURITY FILES:**

**A. Program:** personnel office

**B. Maintenance system:** none

**C. Description:** Records concerning university employees' earnings/Deductions under the Social Security Retirement Plan.

**D. Retention:** 5 years after close of fiscal year in which created

[9-21-98; 1.20.3.554 NMAC-Rn 1 NMAC 3.2.95.71.554, 11/30/2001]

**1.20.3.555 FEDERAL/STATE INCOME TAX WITHHOLDING FILES:**

**A. Program:** personnel office

**B. Maintenance system:** none

**C. Description:** Records concerning university employees' earnings and federal/state income tax contributions

**D. Retention:** 5 years after close of .fiscal year in which created

[9-21-98; 1.20.3.555 NMAC-Rn 1 NMAC 3.2.95.71.555, 11/30/2001]

**1.20.3.556-1.20.3.600: [reserved]**

**1.20.3.601 INSURANCE POLICY FILE:**

- A. Program:** risk management office
  - B. Maintenance system:** none
  - C. Description:** Records concerning insurance coverage of university property [buildings and contents, equipment, automobiles, etc.].
  - D. Retention:**
    - (1) Insurance policy: 10 years after expiration of policy, provided no claims/suits pending
    - (2) Claim files: 3 years after case closed
- [9-21-98; 1.20.3.601 NMAC-Rn 1 NMAC 3.2.95.71.601, 11/30/2001]

**1.20.3.602 GROUP INSURANCE POLICY FILE:**

- A. Program:** risk management office
  - B. Maintenance system:** none
  - C. Description:** Records concerning insurance coverage of university employees [health, life, accident, and long-term disability]. Claim files containing health information are confidential. (14-6-1, NMSA 1978)
  - D. Retention:**
    - (1) Group insurance policy: 10 years after expiration of policy, provided no claims/suits pending
    - (2) Individual employee policy holders' records (waiver and enrollment forms applicable to group insurance in effect): 3 years after employee terminated or retired, or 3 years after termination of effective period
    - (3) Claim file (copies): Until informational value ends
- [9-21-98; 1.20.3.602 NMAC-Rn 1 NMAC 3.2.95.71.602, 11/30/2001]

**1.20.3.603 LIABILITY CERTIFICATES OF COVERAGE FILE:**

- A. Program:** risk management office
  - B. Maintenance system:** none
  - C. Description:** Records concerning insurance coverage of university liability.
  - D. Retention:**
    - (1) Certificate (Policy): 10 years after expiration of policy, provided no claims/suits pending
    - (2) Claim files: 3 years after case closed
  - E. Confidentiality:** Claim files containing health information are confidential. (14-6-1, NMSA 1978)
- [9-21-98; 1.20.3.603 NMAC-Rn 1 NMAC 3.2.95.71.603, 11/30/2001]

**1.20.3.604 SURETY BOND FILE:**

- A. Program:** risk management office
  - B. Maintenance system:** none
  - C. Description:** Records concerning surety bond coverage of university employees and persons acting on behalf of or in service to the university in any official capacity.
  - D. Retention:**
    - (1) Certificate (Policy): 10 years after expiration of policy, provided no claims/suits pending
    - (2) Claim files: 3 years after case closed
- [9-21-98; 1.20.3.604 NMAC-Rn 1 NMAC 3.2.95.71.604, 11/30/2001]

**1.20.3.605 WORKER'S COMPENSATION FILE:**

- A. Program:** risk management office
- B. Maintenance system:** none
- C. Description:** Records concerning workers' compensation claims Against university. File may include legal opinions and briefs, court documents, transcripts, affidavits, photographs, findings, recommendations, correspondence, related records, etc.
- D. Retention:**
  - (1) Policy: 10 years after expiration of policy, provided no claims/suits pending
  - (2) Claim files: 3 years after case closed

E. **Confidentiality:** Claim files containing health information are: confidential. (14-6-1, NMSA 1978)  
[9-21-98; 1.20.3.605 NMAC-Rn 1 NMAC 3.2.95.71.605, 11/30/2001]

**1.20.3.606 TITLE INSURANCE POLICY:**

A. **Program:** risk management office

B. **Maintenance system:** none

C. **Description:** Records concerning the insurance coverage of titles of university owned property.

D. **Retention:**

(1) Policy: Until property sold/disposed, provided no claims/suits pending

(2) Claim files: 3 years after case closed

[9-21-98; 1.20.3.606 NMAC-Rn 1 NMAC 3.2.95.71.606, 11/30/2001]

**1.20.3.607 INSURANCE APPRAISAL AND/OR SURVEY FILE:**

A. **Program:** risk management office

B. **Maintenance system:** none

C. **Description:** Records concerning insurance appraisal and/or surveys.

D. **Retention:** Until informational value ends

[9-21-98; 1.20.3.607 NMAC-Rn 1 NMAC 3.2.95.71.607, 11/30/2001]

**1.20.3.608-1.20.3.650: [reserved]**

**1.20.3.651 STUDENT FINANCIAL ASSISTANCE FILES:**

A. **Program:** student financial aid office

B. **Maintenance system:** none

C. **Description:** Records kept on students who receive scholarships, awards, loans, grants, or any other form of financial assistance.

D. **Retention:** 5 years after date of students last attendance

E. **Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.651 NMAC-Rn 1 NMAC 3.2.95.71.651, 11/30/2001]

**1.20.3.652 SCHOLARSHIP/FELLOWSHIPFUND FILES:**

A. **Program:** student financial aid office

B. **Maintenance system:** none

C. **Description:** Records concerning scholarship/fellowship guidelines.

D. **Retention:** Until award monies exhausted, then transfer to college/university archives for review

[9-21-98; 1.20.3.652 NMAC-Rn 1 NMAC 3.2.95.71.652, 11/30/2001]

**1.20.3.653 SCHOLARSHIP/FELLOWSHIPFILES:**

A. **Program:** student financial aid office

B. **Maintenance system:** none

C. **Description:** Record of awards given to undergraduate/graduate students. Source may be federal or non-federal.

D. **Retention:** 6 years after termination of grant from which scholarship/ fellowship is awarded

E. **Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.653 NMAC-Rn 1 NMAC 3.2.95.71.653, 11/30/2001]

**1.20.3.654 STUDENT WORK-STUDY FILES:**

A. **Program:** student financial aid office

B. **Maintenance system:** none

C. **Description:** Record of students hired under federal and/or state work-study programs.

D. **Retention:** 5 years after submission of final expenditure report

E. **Confidentiality:** Confidentiality (20 USCA 1232g)

[9-21-98; 1.20.3.654 NMAC-Rn 1 NMAC 3.2.95.71.654, 11/30/2001]

**1.20.3.655 STUDENT GRANT FILES:**  
**A. Program:** student financial aid office  
**B. Maintenance system:** none  
**C. Description:** Record of students awarded educational grants. May include PELL Grants, Basic Educational Opportunity Grants, Supplemental Educational Grants, New Mexico Student Incentive Grants, etc.  
**D. Retention:** 6 years after termination of grant  
**E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.655 NMAC-Rn 1 NMAC 3.2.95.71.655, 11/30/2001]

**1.20.3.656 STUDENT LOAN FILES:**  
**A. Program:** student financial aid office  
**B. Maintenance system:** none  
**C. Description:** Record of students awarded student loans. May include National Direct Student Loans, Federally Insured Loans, NM Student Loans, Student Loan Promissory Notes, etc.  
Original note returned to student upon full payment of note.  
**D. Retention:** 6 years after date of final transaction  
**E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.656 NMAC-Rn 1 NMAC 3.2.95.71.656, 11/30/2001]

**1.20.3.657-1.20.3.700: [reserved]**

**1.20.3.701 ACCESSION RECORDS:**  
**A. Program:** library  
**B. Maintenance system:** none  
**C. Description:** Records concerning the acquisition of library monographs, films, photographs, collections, etc. Record may show accession number, author, title, publisher, date of publication, cost of acquisition, etc.  
**D. Retention:** Permanent  
[9-21-98; 1.20.3.701 NMAC-Rn 1 NMAC 3.2.95.71.701, 11/30/2001]

**1.20.3.702 CATALOG OF HOLDINGS:**  
**A. Program:** library  
**B. Maintenance system:** none  
**C. Description:** Record of library holdings in manuscript, printed catalog, or continuously updated catalog forms.  
**D. Retention:** Until superseded  
[9-21-98; 1.20.3.702 NMAC-Rn 1 NMAC 3.2.95.71.702, 11/30/2001]

**1.20.3.703 BORROWER FILE:**  
**A. Program:** library  
**B. Maintenance system:** none  
**C. Description:** Records that authorize patrons to borrow library Materials (includes interlibrary loans). May show borrower name, borrower number, expiration date, etc.  
**D. Retention:** Until obsolete  
**E. Confidentiality:** Confidentiality (18-9-4, NMSA 1978).  
[9-21-98; 1.20.3.703 NMAC-Rn 1 NMAC 3.2.95.71.703, 11/30/2001]

**1.20.3.704 BORROWING/LOANING RECORDS:**  
**A. Program:** library  
**B. Maintenance system:** none  
**C. Description:** Records concerning the borrowing and loaning of Library materials.  
**D. Retention:** Until all borrowing/loaning transactions completed  
**E. Confidentiality:** Confidentiality (18-9-4, NMSA 1978).  
[9-21-98; 1.20.3.704 NMAC-Rn 1 NMAC 3.2.95.71.704, 11/30/2001]

**1.20.3.705 PATRON'S REGISTRATION FOR USE OF SPECIAL LIBRARY MATERIALS:**

- A. **Program:** library
- B. **Maintenance system:** none
- C. **Description:** Records concerning the use of rare, valuable, or other restricted library materials. Records may show patron name, patron address, patron signature, etc.
- D. **Retention:** 5 years after date materials used
- E. **Confidentiality:** Confidentiality (18-9-4, NMSA 1978).  
[9-21-98; 1.20.3.705 NMAC-Rn 1 NMAC 3.2.95.71.705, 11/30/2001]

**1.20.3.706 SELECTION RECORDS:**

- A. **Program:** library
- B. **Maintenance system:** none
- C. **Description:** Records documenting the selection of books and other library materials (monographs, periodicals, films, etc.).
- D. **Retention:** 1 year after date created  
[9-21-98; 1.20.3.706 NMAC-Rn 1 NMAC 3.2.95.71.706, 11/30/2001]

**1.20.3.707 CENSORSHIP/COMPLAINT FILES:**

- A. **Program:** library
- B. **Maintenance system:** none
- C. **Description:** Records concerning library material censorship and complaints. File may include evaluations by staff, patrons' complaints. Final decision documentation, etc.
- D. **Retention:** 5 years after date of last entry  
[9-21-98; 1.20.3.707 NMAC-Rn 1 NMAC 3.2.95.71.707, 11/30/2001]

**1.20.3.708 GIFT DONORS FILE:**

- A. **Program:** library
- B. **Maintenance system:** none
- C. **Description:** Records concerning the donation of publications and manuscripts to the university library. Comply with applicable provisions of legal agreement regarding confidentiality of records concerning each gift.
- D. **Retention:** After 5 years, transfer to institutes archives for appraisal and final disposition  
[9-21-98; 1.20.3.708 NMAC-Rn 1 NMAC 3.2.95.71.708, 11/30/2001]

**1.20.3.709-1.20.3.750: [reserved]**

**1.20.3.751 ARREST/BOOKING RECORDS:**

- A. **Program:** campus security/police
- B. **Maintenance system:** none
- C. **Description:** Records concerning arrests of university students and other individuals on campus. Record may show name, arrest number, date/time of arrest, physical characteristics, location of arrest, name of arresting officer, charges, etc.
- D. **Retention:** 5 years after date of arrest
- E. **Confidentiality:** Confidentiality (20 USCA 1232g and 29-10-4, NMSA 1978) "Upon satisfactory verification of his identity, any individual may inspect, in person, through counsel or through his authorized agent, arrest record information maintained by [a] law enforcement agency concerning him." (29-10-6 A, NMSA 1978).  
[9-21-98; 1.20.3.751 NMAC-Rn 1 NMAC 3.2.95.71.751, 11/30/2001]

**1.20.3.752 ARREST HISTORY FILE:**

- A. **Program:** campus security/police
- B. **Maintenance system:** none
- C. **Description:** Records concerning the arrests of college/ university students and other individuals on campus.
- D. **Retention:**
  - (1) Felony arrests: 20 years after date of arrest
  - (2) Misdemeanor arrests: 5 years after date of arrest
- E. **Confidentiality:** Confidentiality (20 USCA 1232g and 29-10-4, NMSA 1978)

[9-21-98; 1.20.3.752 NMAC-Rn 1 NMAC 3.2.95.71.752, 11/30/2001]

**1.20.3.753 OFFENSE/INCIDENT REPORTS:**

- A. **Program:** campus security/police
- B. **Maintenance system:** none
- C. **Description:** Shows offender's name, offender information, time/location of occurrence, information on incident, reporting witness name, name of investigating officer, narrative, etc. Includes bomb threat reports. Includes Reports concerning victims of alleged criminal Offenses occurring on campus.
- D. **Retention:** 5 years after date of occurrence
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.753 NMAC-Rn 1 NMAC 3.2.95.71.753, 11/30/2001]

**1.20.3.754 DISPATCH RECORDS:**

- A. **Program:** campus security/police
- B. **Maintenance system:** none
- C. **Description:** Records concerning the dispatch of campus security/ police. Record may show offense/incident reported, complainant's name, place of occurrence, address, time complaint received, dispatcher's name, name of officer dispatched, etc.

- D. **Retention:** 18 months from date of call

[9-21-98; 1.20.3.754 NMAC-Rn 1 NMAC 3.2.95.71.754, 11/30/2001]

**1.20.3.755 RADIO LOGS:**

- A. **Program:** campus security/police
- B. **Maintenance system:** none
- C. **Description:** Shows unit number, time/date of call, location of call, nature of call, etc.
- D. **Retention:** 1 year after end of school year

[9-21-98; 1.20.3.755 NMAC-Rn 1 NMAC 3.2.95.71.755, 11/30/2001]

**1.20.3.756 BUILDING ENTRANCE LOG:**

- A. **Program:** campus security/police
- B. **Maintenance system:** none
- C. **Description:** Shows school, building, employee identification, time in, time out, time alarm reset, etc.

- D. **Retention:** 1 year after end of school year

[9-21-98; 1.20.3.756 NMAC-Rn 1 NMAC 3.2.95.71.756, 11/30/2001]

**1.20.3.757 ALARM DATA RECORDS:**

- A. **Program:** campus security/police
- B. **Maintenance system:** none
- C. **Description:** Shows date/time of alarm, alarm number, etc.
- D. **Retention:** 1 year after end of school year

[9-21-98; 1.20.3.757 NMAC-Rn 1 NMAC 3.2.95.71.757, 11/30/2001]

**1.20.3.758 PARKING ASSIGNMENTS FILE:**

- A. **Program:** campus security/police
- B. **Maintenance system:** none
- C. **Description:** Records concerning staff parking assignments.
- D. **Retention:** Until superseded or obsolete

[9-21-98; 1.20.3.758 NMAC-Rn 1 NMAC 3.2.95.71.758, 11/30/2001]

**1.20.3.759 PARKING SERVICES CASHIER'S RECEIPT:**

- A. **Program:** campus security/police
- B. **Maintenance system:** none
- C. **Description:** Copy of receipt issued for monies received for parking on campus.
- D. **Retention:** 3 years after close of Fiscal year in which created (20.F2031NMAC 3.2.90.20)

[9-21-98; 1.20.3.759 NMAC-Rn 1 NMAC 3.2.95.71.759, 11/30/2001]



**1.20.3.760 TRAFFIC CITATIONS FILE:**

- A. Program:** campus security/police
- B. Maintenance system:** none
- C. Description:** Citations for traffic violation on campus. File includes parking violations.
- D. Retention:**
  - (1) Resolved citations: Until audit report released for fiscal year in which resolved
  - (2) Unresolved citations: 3 years after date created

[9-21-98; 1.20.3.760 NMAC-Rn 1 NMAC 3.2.95.71.760, 11/30/2001]

**1.20.3.761 VEHICLE ACCIDENT REPORT FILE:**

Records concerning each vehicle accident reported on campus. File may include medical records, offense/incident reports, affidavits, photographs, diagrams, related documentation, correspondence, memoranda, etc.

- D. Retention:**
  - (1) Fatal accidents: 25 years after date of accident
  - (2) Non-fatal accidents: 10 years after date of accident
- E. Confidentiality:** Confidentiality (66-7-213, 66-7-215, and 14-6-1, NMSA 1978 and 20 USCA

1232g)

[9-21-98; 1.20.3.761 NMAC-Rn 1 NMAC 3.2.95.71.761, 11/30/2001]

**1.20.3.762 VEHICLE REGISTRATION FILE:**

- A. Program:** campus security/police
- B. Maintenance system:** none
- C. Description:** Records concerning the registration of vehicles and bicycles on campus. File includes temporary registrations of vehicles.
- D. Retention:** 1 year after date file becomes obsolete

- E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.762 NMAC-Rn 1 NMAC 3.2.95.71.762, 11/30/2001]

**1.20.3.763 VISITOR PARKING FILES:**

- A. Program:** campus security/police
- B. Maintenance system:** none
- C. Description:** Records concerning visitor parking on campus. File may include visitor registration sheets/forms.
- D. Retention:** Until audit report released

[9-21-98; 1.20.3.763 NMAC-Rn 1 NMAC 3.2.95.71.763, 11/30/2001]

**1.20.3.764 WRECKER LOG:**

- A. Program:** campus security/police
- B. Maintenance system:** none
- C. Description:** Record of vehicles towed away from campus. Record may show date/time, name of wrecking company, operator, make of vehicle, license number, owner, location, reason for towing vehicle, etc.
- D. Retention:** 1 year after close of fiscal year in which created

[9-21-98; 1.20.3.764 NMAC-Rn 1 NMAC 3.2.95.71.764, 11/30/2001]

**1.20.3.765 COMPLAINT/GRIEVANCE FILE:**

- A. Program:** campus security/police
- B. Maintenance system:** none
- C. Description:** Records concerning complaints against officers/department not resulting in investigation.
- D. Retention:** 3 years after date of complaint

[9-21-98; 1.20.3.765 NMAC-Rn 1 NMAC 3.2.95.71.765, 11/30/2001]

**1.20.3.766 INTERNAL AFFAIRS INVESTIGATION FILES:**

- A. Program:** campus security/police
- B. Maintenance system:** none

**C. Description:** Records concerning complaints against officers/department resulting in investigation.

**D. Retention:**

- (1) Disciplinary records: 3 years after termination of officer
- (2) Dismissed/cleared complaints: 3 years after complaint dismissed/cleared

[9-21-98; 1.20.3.766 NMAC-Rn 1 NMAC 3.2.95.71.766, 11/30/2001]

**1.20.3.767 CRIME AWARENESS AND CAMPUS SECURITY FILES:**

**A. Program:** campus security/police

**B. Maintenance system:** none

**C. Description:** Records concerning campus security policy and campus crime statistics. (20 USC 101, Section 204)

**D. Retention:**

- (1) Policy: Until superseded by new policy
- (2) "Timely" (periodic) statistical reports: Until annual report released
- (3) Annual statistical report: 2 years after end of school year for which created

[9-28-98; 1.20.3.767 NMAC-Rn 1 NMAC 3.2.95.71.767, 11/30/2001]

**1.20.3.768 INVESTIGATION FILES:**

**A. Program:** campus security/police

**B. Maintenance system:** none

**C. Description:** Records concerning investigations by campus police of criminal violations occurring on campus.

**D. Retention:** 5 years after date of prosecution or 5 years after case closed, whichever applies

[9-21-98; 1.20.3.768 NMAC-Rn 1 NMAC 3.2.95.71.768, 11/30/2001]

**1.20.3.767-1.20.3.800: [reserved]**

**1.20.3.801 CAREER PLANNING/PLACEMENT FILE:**

**A. Program:** placement office

**B. Maintenance system:** none

**C. Description:** Records maintained to assist students in locating employment after graduation, as well as career counsel undecided students. File may include resumes, job interview forms, student profile data sheets, related documentation, correspondence, memoranda, etc.

**D. Retention:** 5 years after date file inactivated

**E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.801 NMAC-Rn 1 NMAC 3.2.95.71.801, 11/30/2001]

**1.20.3.802-1.20.3.850: [reserved]**

**1.20.3.851 CODE OF CONDUCT (STANDARDS/GRIEVANCE) VIOLATIONS FILE:**

**A. Program:** student affairs

**B. Maintenance system:** none

**C. Description:** Records concerning reported violations of university standards. File may include investigations for those violations and records of hearings before disciplinary hearing body.

**D. Retention:**

- (1) Cases dismissed: After dismissal
- (2) Cases with disciplinary action taken: 10 years after date of action taken
- (3) Records not concerning cases: 4 years after date created

**E. Confidentiality:** Confidentiality (20 USCA 1232g). Disclosure of disciplinary proceeding outcomes to crime victim (20 USC 101, Sec. 203). "Nothing in this section shall be construed to prohibit an institution of post secondary education from disclosing, to an alleged victim of any crime of violence the results of any disciplinary proceeding conducted by such institution against the alleged perpetrator of such crime with respect to such crime."

[9-21-98; 1.20.3.851 NMAC-Rn 1 NMAC 3.2.95.71.851, 11/30/2001]

**1.20.3.852 OFF-CAMPUS HOUSING FILE:**

- A. Program:** student affairs
- B. Maintenance system:** none
- C. Description:** Records concerning approved off-campus housing available for students. File may include listings of approved housing, correspondence, related documentation, etc.
- D. Retention:** Until superseded or obsolete  
[9-21-98; 1.20.3.852 NMAC-Rn 1 NMAC 3.2.95.71.852, 11/30/2001]

**1.20.3.853 RESIDENCE HALL HOUSING FILE:**

- A. Program:** student affairs
- B. Maintenance system:** none
- C. Description:** Records concerning student residence hall housing. File may include contracts, rules and regulations, related documentation, correspondence, memoranda, etc.
- D. Retention:**
  - (1) Contracts: 6 years after termination of contract
  - (2) All other records: Until superseded or obsolete
- E. Confidentiality:** Confidentiality (20 USCA 1232g). Disclosure of disciplinary proceeding outcomes to crime victim (20 USC 101, Sec. 203). "Nothing in this section shall be construed to prohibit an institution of post secondary education from disclosing, to an alleged victim of any crime of violence the results of any disciplinary proceeding conducted by such institution against the alleged perpetrator of such crime with respect to such crime."  
[9-21-98; 1.20.3.853 NMAC-Rn 1 NMAC 3.2.95.71.853, 11/30/2001]

**1.20.3.854 RESIDENCE HALL DAMAGES FILE:**

- A. Program:** student affairs
- B. Maintenance system:** none
- C. Description:** Records concerning damages to student residence hall and damage assessments to individual students. Transfer data concerning individual damage assessments to business office when damage is assessed for incorporation into appropriate individual file.
- D. Retention:** 5 years after date of last entry
- E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.854 NMAC-Rn 1 NMAC 3.2.95.71.854, 11/30/2001]

**1.20.3.855 STUDENT ASSOCIATION FILE:**

- A. Program:** student affairs
- B. Maintenance system:** none
- C. Description:** Records concerning the college/university student association. File may include regulations, publications, reports, fiscal records, related documentation, correspondence, memoranda, etc.
- D. Retention:** After 5 years, transfer to institutes archives for appraisal and final disposition  
[9-21-98; 1.20.3.855 NMAC-Rn 1 NMAC 3.2.95.71.855, 11/30/2001]

**1.20.3.856 STUDENT GOVERNMENT FILE:**

- A. Program:** student affairs
- B. Maintenance system:** none
- C. Description:** Records concerning student government at university. File may include constitution, bylaws, minutes of meetings, reports, related documentation, correspondence, memoranda, etc. Constitution, bylaws, and minutes of meetings have a permanent retention.
- D. Retention:** After 5 years transfer to institutes archives for final appraisal and disposition  
[9-21-98; 1.20.3.856 NMAC-Rn 1 NMAC 3.2.95.71.856, 11/30/2001]

**1.20.3.857 STUDENT LEGAL SERVICES:**

- A. Program:** student affairs
- B. Maintenance system:** none
- C. Description:** Records concerning the administration of student legal services. File may include regulations, publications, reports, fiscal records, related documentation, correspondence, memoranda, etc.
- D. Retention:** After 5 years, transfer to institutes archives for appraisal and final disposition

[9-21-98; 1.20.3.857 NMAC-Rn 1 NMAC 3.2.95.71.857, 11/30/2001]

**1.20.3.858 STUDENT LEGAL SERVICES CASE FILE:**

- A. Program:** student affairs
- B. Maintenance system:** none
- C. Description:** Records concerning each student's legal services case. File may include reports, transcripts, opinions, related records.
- D. Retention:**
  - (1) Cases (action initiated): After completion of action and resolution of issues involved
  - (2) Cases (no action initiated): 10 years after date of last entry
- E. Confidentiality:** Confidentiality (20 USCA 1232g and common-law principles of attorney-client privilege)

[9-21-98; 1.20.3.858 NMAC-Rn 1 NMAC 3.2.95.71.858, 11/30/2001]

**1.20.3.859 STUDENT ORGANIZATIONS FILE:**

- A. Program:** student affairs
- B. Maintenance system:** none
- C. Description:** Records concerning the various university student organizations. File may include regulations, publications, reports, fiscal records, related documentation, correspondence, memoranda, etc. Organization charters and constitutions have a permanent retention.
- D. Retention:** After 5 years, transfer to institutes archives for appraisal and final disposition

[9-21-98; 1.20.3.859 NMAC-Rn 1 NMAC 3.2.95.71.859, 11/30/2001]

**1.20.3.860 STUDENT UNION FILE:**

- A. Program:** student affairs
- B. Maintenance system:** none
- C. Description:** Records concerning the Student Union. File may include bylaws, calendars of events, related documentation, correspondence, memoranda, etc. Union bylaws have a permanent retention.
- D. Retention:** After 5 years, transfer to institutes archives for appraisal and final disposition

[9-21-98; 1.20.3.860 NMAC-Rn 1 NMAC 3.2.95.71.860, 11/30/2001]

**1.20.3.861 STUDENT SURVEYS FILE:**

- A. Program:** student affairs
- B. Maintenance system:** none
- C. Description:** Completed student surveys. File may include reports summarizing results and conclusions of surveys.
- D. Retention:** After 5 years, transfer to institutes archives for appraisal and final disposition

[9-21-98; 1.20.3.861 NMAC-Rn 1 NMAC 3.2.95.71.861, 11/30/2001]

**1.20.3.862-1.20.3.900:** [reserved]

**1.20.3.901 STUDENT INFORMATION FILE:**

- A. Program:** dean of students
- B. Maintenance system:** none
- C. Description:** Records maintained to assist/counsel university students. File may include student profile data sheets, correspondence, related documentation, etc.
- D. Retention:** 2 years after date of last entry
- E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.901 NMAC-Rn 1 NMAC 3.2.95.71.901, 11/30/2001]

**1.20.3.902 STUDENT DISCIPLINARY ACTION FILE:**

- A. Program:** dean of students
- B. Maintenance system:** none
- C. Description:** Records concerning disciplinary actions. Files where conditions of disciplinary action have not been satisfied maintain 10 years after date of last disciplinary action.

**D. Retention:** 5 years after date of last disciplinary action taken provided all conditions of action have been satisfied

**E. Confidentiality:** Confidentiality (20 USCA 1232g). See also note on confidentiality on CODE OF CONDUCT (STANDARDS/GRIEVANCE) VIOLATIONS FILE, item #1.20.3.851. [9-21-98; 1.20.3.902 NMAC-Rn 1 NMAC 3.2.95.71.902, 11/30/2001]

**1.20.3.903-1.20.3.925:** [reserved]

**1.20.3.926 ALUMNI ACTIVITY FILE:**

- A. Program:** alumni office
- B. Maintenance system:** none
- C. Description:** Records concerning the activities of the Alumni Association. File may include reports, plans, pictures, activity documentation, correspondence, memoranda, etc.
- D. Retention:** 2 years after close of fiscal year, then transfer to institute archives for review and final disposition [9-21-98; 1.20.3.926 NMAC-Rn 1 NMAC 3.2.95.71.926, 11/30/2001]

**1.20.3.927-1.20.3.950:** [reserved]

**1.20.3.951 FOUNDATIONS FILE:**

- A. Program:** foundations office
- B. Maintenance system:** none
- C. Description:** Records concerning the administration of university foundations and the programs of each foundation. File may include correspondence, reports, proposals, surveys, accounting information, justifications, and other related records.
- D. Retention:**
  - (1) Fiscal records: 3 years after close of fiscal year in which created
  - (2) Remaining records: 5 years, then transfer to institute archives for appraisal and final disposal [9-21-98; 1.20.3.951 NMAC-Rn 1 NMAC 3.2.95.71.951, 11/30/2001]

**1.20.3.952 GRANT PROPOSALS FILE:**

- A. Program:** foundations office
- B. Maintenance system:** none
- C. Description:** Proposals for grants to the Foundations Office.
- D. Retention:**
  - (1) Approved grants: Transfer to Grants File
  - (2) Rejected/withdrawn proposals: 4 years after date rejected or withdrawn [9-21-98; 1.20.3.952 NMAC-Rn 1 NMAC 3.2.95.71.952, 11/30/2001]

**1.20.3.953 GRANTS FILE:**

- A. Program:** foundations office
- B. Maintenance system:** none
- C. Description:** Records concerning grants awarded to and/or administered by the university. File may include administrative documents, reports, regulations and guidelines, correspondence, audits, and other related records.
- D. Retention:** 6 years after termination of grant, then transfer to institute archives for appraisals and final disposal [9-21-98; 1.20.3.953 NMAC-Rn 1 NMAC 3.2.95.71.953, 11/30/2001]

**1.20.3.954 SPECIAL GIFTS FILE:**

- A. Program:** foundations office
- B. Maintenance system:** none
- C. Description:** Records concerning special gifts of funds to the university. File may include correspondence, reports, accounting records, special stipulations or provisions, and other related records. Comply with applicable provisions of legal agreement regarding confidentiality of records concerning each gift.

**D. Retention:** 15 years after date created, then transfer to institute archives for appraisal and final disposal  
[9-21-98; 1.20.3.954 NMAC-Rn 1 NMAC 3.2.95.71.954, 11/30/2001]

**1.20.3.955-1.20.3.975:** [reserved]

**1.20.3.976 MEDICAL RECORDS FILE:**

**A. Program:** medical clinic/dispensary  
**B. Maintenance system:** none  
**C. Description:** Records that document the illness, treatment, care, and diagnostic studies of individuals.

**D. Retention:** 10 years after date of last visit (date inactivated)

**E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.976 NMAC-Rn 1 NMAC 3.2.95.71.976, 11/30/2001]

**1.20.3.977 IN-PATIENT RECORDS FILE:**

**A. Program:** medical clinic/dispensary  
**B. Maintenance system:** none  
**C. Description:** Records concerning in-patient care for minor illness or injuries not resulting in the opening of medical case file.

**D. Retention:** 1 year after date created

**E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.977 NMAC-Rn 1 NMAC 3.2.95.71.977, 11/30/2001]

**1.20.3.978 PATIENT ADMISSION SLIPS:**

**A. Program:** medical clinic/dispensary  
**B. Maintenance system:** none  
**C. Description:** Patient admission slips for individuals receiving clinic/dispensary services.

**D. Retention:** 1 year after date created

**E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.978 NMAC-Rn 1 NMAC 3.2.95.71.978, 11/30/2001]

**1.20.3.979 CLINIC ADMISSIONS FILE:**

**A. Program:** medical clinic/dispensary  
**B. Maintenance system:** none  
**C. Description:** Daily listing of patients admitted to Medical Clinic/Dispensary.

**D. Retention:** 3 years after date created

**E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.979 NMAC-Rn 1 NMAC 3.2.95.71.979, 11/30/2001]

**1.20.3.980 ALCOHOL AND DRUG ABUSE PROGRAM FILE:**

**A. Program:** medical clinic/dispensary  
**B. Maintenance system:** none  
**C. Description:** Records concerning the administration of the university's alcohol and drug abuse program.

**D. Retention:** 3 years after close of fiscal year in which created

**E. Confidentiality:** Confidentiality (20 USCA 1232g).  
[9-21-98; 1.20.3.980 NMAC-Rn 1 NMAC 3.2.95.71.980, 11/30/2001]

**1.20.3.981 CONTROLLED DRUG ADMINISTRATIVE FILE:**

**A. Program:** medical clinic/dispensary  
**B. Maintenance system:** none  
**C. Description:** Records accounting for the receipt and control of controlled drugs by health services personnel.

**D. Retention:** 3 years after close of fiscal year in which created

**E. Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.981 NMAC-Rn 1 NMAC 3.2.95.71.981, 11/30/2001]

**1.20.3.982 CONTROLLED DRUG AUDIT FORMS FILE:**

- A. **Program:** medical clinic/dispensary
- B. **Maintenance system:** none
- C. **Description:** Completed audit forms recording the periodic inventory of controlled drugs maintained by and stored in Medical Clinic/Dispensary.
- D. **Retention:** 3 years after close of fiscal year in which created
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.982 NMAC-Rn 1 NMAC 3.2.95.71.982, 11/30/2001]

**1.20.3.983 CONTROLLED DRUG DISPENSING FILE:**

- A. **Program:** medical clinic/dispensary
- B. **Maintenance system:** none
- C. **Description:** Records documenting the daily dispensing of controlled drugs by Medical Clinic/Dispensary.
- D. **Retention:** 3 years after close of fiscal year in which created
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.983 NMAC-Rn 1 NMAC 3.2.95.71.983, 11/30/2001]

**1.20.3.984 DAILY DRUG DISPENSING FILE:**

- A. **Program:** medical clinic/dispensary
- B. **Maintenance system:** none
- C. **Description:** Records documenting the daily dispensing of drugs by Medical Clinic/Dispensary.
- D. **Retention:** 3 years after close of fiscal year in which created
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.984 NMAC-Rn 1 NMAC 3.2.95.71.984, 11/30/2001]

**1.20.3.985 EMERGENCY ROOM DRUG DISPENSING FILE:**

- A. **Program:** medical clinic/dispensary
- B. **Maintenance system:** none
- C. **Description:** Daily record of non-prescribed drugs administered by emergency room personnel.
- D. **Retention:** 3 years after close of fiscal year in which created

[9-21-98; 1.20.3.985 NMAC-Rn 1 NMAC 3.2.95.71.985, 11/30/2001]

**1.20.3.986 CONTROLLED DRUG AUDIT FORMS FILE:**

- A. **Program:** medical clinic/dispensary
- B. **Maintenance system:** none
- C. **Description:** Completed audit forms recording the periodic inventory of controlled drugs maintained by and stored in Medical Clinic/Dispensary.
- D. **Retention:** 3 years after close of fiscal year in which created

[9-21-98; 1.20.3.986 NMAC-Rn 1 NMAC 3.2.95.71.986, 11/30/2001]

**1.20.3.987 PRESCRIPTION FILE:**

- A. **Program:** medical clinic/dispensary
- B. **Maintenance system:** none
- C. **Description:** Completed prescription forms used to record all drugs prescribed for patients.
- D. **Retention:** 3 years after close of fiscal year in which created
- E. **Confidentiality:** Confidentiality (20 USCA 1232g).

[9-21-98; 1.20.3.987 NMAC-Rn 1 NMAC 3.2.95.71.987, 11/30/2001]

**1.20.3.988-1.20.3.990: [reserved]**

**1.20.3.991 ACCESSIONS FILE:**

- A. **Program:** archives
- B. **Maintenance system:** none

**C. Description:** Records concerning each accession. May include title of records, name of donor, name of transferring department, date accession, type of accession [gift, loan, transfer, etc.], call number, size of collection, and other related information.

**D. Retention:** Permanent  
[9-21-98; 1.20.3.991 NMAC-Rn 1 NMAC 3.2.95.71.991, 11/30/2001]

**1.20.3.992 BIBLIOGRAPHY FILE:**

- A. Program:** archives
- B. Maintenance system:** none
- C. Description:** Reference file containing bibliographies concerning special subjects.
- D. Retention:** Until reference value ends

[9-21-98; 1.20.3.992 NMAC-Rn 1 NMAC 3.2.95.71.992, 11/30/2001]

**1.20.3.993 ICONOGRAPHIC CATALOG FILE:**

- A. Program:** archives
- B. Maintenance system:** none
- C. Description:** Record of each photograph in the possession of the archives. Information may include subject of photograph, catalog number, date taken, name of photographer, source information, and usage restrictions [if any].

**D. Retention:** Permanent  
[9-21-98; 1.20.3.993 NMAC-Rn 1 NMAC 3.2.95.71.993, 11/30/2001]

**1.20.3.994-1.20.3.995: [reserved]**

**1.20.3.996 NATIONAL DIRECT STUDENT LOAN PROMISSORY NOTE -**

- A. Program:** student aids
- B. Maintenance system:** none
- C. Description:** Original
- D. Retention:** Return to student upon full payment

[9-21-98; 1.20.3.996 NMAC-Rn 1 NMAC 3.2.95.71.996, 11/30/2001]

**HISTORY of 1.20.3 NMAC:**

**Pre-NMAC History:**

The material in this section was derived from that previously filed with the State Records Center under: SRC Rule 74-26, Records Retention and Disposal Schedule for New Mexico Colleges and Universities, filed 10/3/74; SRC Rule 75-5, Records Retention and Disposal Schedule for New Mexico Colleges and Universities, filed 3/18/75; SRC Rule No. 86-18, General Records Retention and Disposition Schedule for New Mexico Colleges and Universities, filed 9/11/86; and SRC 92-07, Records Retention and Disposition Schedule for New Mexico Colleges and Universities, filed 12/14/92.



# Forms & Guidelines

**UNM Document Services Records Storage Transmittal Form**

1. Org Code	2. Department Name	3. Official Use Only	4. Date Prepared	5. Page No. _____ of _____
6. Office Location (Building and room number)		7. Contact Name (typed/printed only)		
		8. Signature		
11. Serial #	13. Retention Code	14. Description (MUST MATCH EXACT WORDING ON RETENTION CODE SCHEDULE)		
12. Box # _____ of _____		Notes: (Secondary Description)		
11. Serial #	13. Retention Code	14. Description (MUST MATCH EXACT WORDING ON RETENTION CODE SCHEDULE)		
12. Box # _____ of _____		Notes: (Secondary Description)		
11. Serial #	13. Retention Code	14. Description (MUST MATCH EXACT WORDING ON RETENTION CODE SCHEDULE)		
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11. Serial #	13. Retention Code	14. Description (MUST MATCH EXACT WORDING ON RETENTION CODE SCHEDULE)		
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11. Serial #	13. Retention Code	14. Description (MUST MATCH EXACT WORDING ON RETENTION CODE SCHEDULE)		
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<b>Please leave all shaded areas blank, for Official Use Only by UNM Document Services</b>				
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