

**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.