

TITLE 1 GENERAL GOVERNMENT ADMINISTRATION
CHAPTER 18 EXECUTIVE RECORDS RETENTION AND DISPOSITION SCHEDULES (ERRDS)
PART 420 ERRDS, REGULATION AND LICENSING DEPARTMENT

1.18.420.1 ISSUING AGENCY: New Mexico Commission of Public Records - State Records Center and Archives.
[1.18.420.1 NMAC - Rp, 1.18.420.1 NMAC, 07/20/2014]

1.18.420.2 SCOPE: regulation and licensing department.
[1.18.420.2 NMAC - Rp, 1.18.420.2 NMAC, 07/20/2014]

1.18.420.3 STATUTORY AUTHORITY: Section 14-3-4 NMSA 1978. It shall be the duty of the commission to adopt and publish rules and regulations to carry out the purposes of the Public Records Act. Section 14-3-6 NMSA 1978, the administrator shall establish a records management program for the application of efficient and economical management methods for the creation, utilization, maintenance, retention, preservation and disposal of public records.
[1.18.420.3 NMAC - Rp, 1.18.420.3 NMAC, 07/20/2014]

1.18.420.4 DURATION: Permanent.
[1.18.420.4 NMAC - Rp, 1.18.420.4 NMAC, 07/20/2014]

1.18.420.5 EFFECTIVE DATE: July 20, 2014, unless a later date is specified at the end of a section.
[1.18.420.5 NMAC - Rp, 1.18.420.5 NMAC, 07/20/2014]

1.18.420.6 OBJECTIVE: To establish a records retention schedule for the orderly management, retention, disposition and preservation of records necessary for carrying out the Public Records Act pursuant to Section 14-3-6 NMSA 1978.
[1.18.420.6 NMAC - Rp, 1.18.420.6 NMAC, 07/20/2014]

1.18.420.7 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. "Archives"** means the permanent records of the state of New Mexico, which may include government and private collections of the Spanish, Mexican, territorial and statehood periods, assessed to have significant historical value to warrant their preservation by the state of New Mexico. The term also refers to the organizational unit of the SRCA storing these records.
- D. "Audit"** means a periodic examination of an organization to determine whether appropriate procedures and practices are followed.
- E. "Commission"** means the state commission of public records (Section 14-3-2 NMSA 1978).
- F. "Dispenser type liquor license"** means the allowance for the sale of beer, wine and spirits and it may be for on-premise consumption, off-premise consumption, or both. These are transferrable licenses from person to person or from location to location. There are limitations and restrictions of these licenses to the movement from one local option district to another.
- G. "Disposition"** means final action that puts into effect the results of an appraisal decision for a series of records (i.e., transfer to archives or destruction).
- H. "License"** means the authority granted by the provisions of the licensing authority to operate for a specified period of time.
- I. "Licensee"** means the holder of any license or permit authorizing the sale of alcoholic beverages issued under the provisions of the Liquor Control Act, but does not mean the holder of a server permit.
- J. "Microphotography"** means the transfer of images onto film and electronic imaging or other information storage techniques that meet the performance guidelines for legal acceptance of public records produced by information system technologies pursuant to regulations adopted by the commission.
- K. "Non-dispenser type liquor license"** means the allowance for the sale of beer, wine and spirits and it may be for on-premise consumption, off-premise consumption, or both. These are non-transferrable licenses

from person to person or from location to location. These licenses are issued to one specific entity for one specific location.

L. "Non-record" means extra copies of documents kept solely for convenience of reference, stocks of publications, records not usually included within the scope of the official records of an agency or government entity and library material intended only for reference or exhibition. The following specific types of materials are non-records: materials neither made nor received in pursuance of statutory requirements nor in connection with the functional responsibility of the officer or agency; extra copies of correspondence; preliminary drafts; blank forms, transmittal letters or forms that do not add information; sample letters; and reading file or informational files.

M. "Pending litigation" means a proceeding in a court of law whose activity is in progress but not yet completed.

N. "Public record" 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).

O. "Records custodian" means the statutory head of the agency using or maintaining the records or the custodian's designee.

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

Q. "Records liaison officer" means the person designated by the agency records custodian to be authorized to submit requests for the transfer, withdrawal or destruction of records created by the agency.

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

S. "Records retention and disposition schedule" means rules adopted by the commission pursuant to Section 14-3-4 NMSA 1978 describing records of an agency, establishing a timetable for their life cycle and providing authorization for their disposition.

T. "Retention" 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.

U. "State archives" means the organizational unit of the SRCA that is mandated by law to collect, preserve and make available to the public and all branches of government, permanent records, historical manuscripts, photographs and other materials that contribute to the understanding of New Mexico history.

V. "State records center" means the central records depository that is the principle state facility for the storage and disposition of inactive records of the state.

W. "Type one certification" means a notarized credential evaluation certificate for the physical therapist from the foreign credentialing commission of physical therapy.
[1.18.420.7 NMAC - Rp, 1.18.420.7 NMAC, 07/20/2014]

1.18.420.8 ABBREVIATIONS AND ACRONYMS:

- A.** "CADS" stands for certified auricular detoxification specialist.
- B.** "CEU" stands for continuing education unit.
- C.** "CFR" stands for code of federal regulations.
- D.** "CPA" stands for certified public accountant.
- E.** "CPR" stands for cardiopulmonary resuscitation.
- F.** "DOM" stands for doctor of oriental medicine.
- G.** "EDRRDS" stands for education records retention and disposition schedules.
- H.** "ERRDS" stands for executive records retention and disposition schedules.
- I.** "GRRDS" stands for general records retention and disposition schedules.
- J.** "JRRDS" stands for judicial records retention and disposition schedules.
- K.** "LGRRDS" stands local government records retention and disposition schedules.
- L.** "LRRDS" stands for legislative records retention and disposition schedules.
- M.** "NCA" stands for notice of contemplated action.
- N.** "PMP" stands for prescription monitoring program.
- O.** "PRC" stands for public regulation commission.
- P.** "SRCA" stands for state records center and archives.
- Q.** "USC" stands for United States code.

R. "WREB" stands for western regional examining board.
[1.18.420.8 NMAC - Rp, 1.18.420.8 NMAC, 07/20/2014]

1.18.420.9 INSTRUCTIONS:

A. Records retention and disposition schedules identify the types of records maintained by state agencies and specify a period of time which records must be retained. A retention period may be stated in terms of months or years and is sometimes expressed as contingent upon the occurrence of an event. There are several types of records retention and disposition schedules promulgated by the commission for state agencies. General schedules list records common to all agencies and executive schedules list records specific to an agency. Each record series will be represented in the format listed below.

- (1) **Program** - describes the function of the records.
- (2) **Maintenance system** - describes how an agency files (organizes) records.
- (3) **Description** - describes the purpose and content of a record.
- (4) **Retention** - defines the length of time records must be kept before they are eligible for destruction or archival preservation.

B. For records of a general administrative nature, refer to the GRRDS, General Administrative, 1.15.2 NMAC.

C. For records of a financial nature, refer to the GRRDS, General Financial, 1.15.4 NMAC.

D. For records of a personnel nature, refer to the GRRDS, General Personnel, 1.15.6 NMAC.

E. For records of a medical nature, refer to the GRRDS, General Medical, 1.15.8 NMAC.

F. 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.

G. The descriptions of files are intended to be evocative, not complete. For example, there will always be some documents that are included 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.

H. Confidentiality is denoted for files likely to contain confidential materials or information; however files without a confidentiality note may contain confidential or privileged information. Failure to include a confidentiality note in the description of a record series does not waive confidentiality. Refer questions concerning the confidentiality of a file to legal counsel for the agency.

I. Records may be photographed, microfilmed, digitized or converted to computer output microfilm provided a microphotography plan has been approved by the state records administrator (Section 14-3-17 NMSA 1978). Such photographs, microfilms, photographic film or microphotographs shall be deemed to be an original record for all purposes, including introduction as evidence in all courts or administrative agencies (Section 14-1-6 NMSA 1978).

J. Public records placed on magnetic tapes, disks or other data processing media shall be retained for the length of time specified in records retention and disposition schedules and are subject to the same confidentiality and access restrictions as paper records. See also 1.13.70 NMAC, Performance Guidelines for the Legal Acceptance of Public Records Produced by Information Technology Systems.

K. Email is a transmission medium for content that may or may not be a public record. Email messages that contain information sent or received by an agency in connection with the transaction of official state business or in pursuance of law are public records and are subject to retention requirements established in records retention and disposition schedules. Email messages are required to be categorized, filed and retained on the basis of content (1.13.4 NMAC, Records Management Requirements for Electronic Messaging). The content of email messages may vary considerably; therefore, each email shall be evaluated to determine if it meets the definition of a public record as defined in the Public Records Act. Non-records or transitory emails that do not provide evidence of official agency policies or business transactions may be deleted.

L. Non-scheduled public records created by an agency in pursuance of law or in connection with the transaction of public business shall have a retention period of permanent until such time the non-scheduled record has been scheduled and a retention period adhering to operational, legal, fiscal, historical or other purposes is established.]

M. When an applicant obtains a full license, the provisional, temporary or emergency licensure file shall be incorporated into the licensure file.

[1.18.420.9 NMAC - Rp, 1.18.420.9 NMAC, 07/20/2014]

1.18.420.10 - 1.18.420.90 [RESERVED]

1.18.420.91 INSPECTOR CERTIFICATION FILES:

A. Program: records common to construction industries
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and certification history of construction inspectors. Files may include copy of application from state personnel; copy of state or federal identification; copy of official transcripts; copy of international construction code certification; *exam authorization form*; copy of state examination score report; copy of *NM regulation and licensing department requirements for carrying, displaying and other wise using department issued shields, badges and other civilian credentials form*; proof of CEUs; letter of notification of non-compliance; correspondence; etc.

D. Retention:

- (1) **Certification issued:** six years from date of certification expiration or revocation
- (2) **Certification not issued:** two years from date application processed

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.91 NMAC - N, 07/20/2014]

1.18.420.92 ANNUAL PERMIT FILES:

A. Program: records common to construction industries
B. Maintenance system: chronological by date, then alphabetical by entity name
C. Description: records documenting the application, issuance and permit history of an entity to perform routine minor mechanical and electrical repair and maintenance work. Portions of this record are input into the *construction industry permitting system*, 1.18.420.93 NMAC. Files may include application, correction notices, citation history, specification of equipment, manufacturers' equipment information, list of projects completed, copy of the permit, renewal applications, correspondence, etc.

D. Retention:

- (1) **Permit issued:** five years from date of permit expiration or revocation
- (2) **Withdrawn or denied application:** two years from date application withdrawn or denied

[1.18.420.92 NMAC - N, 07/20/2014]

1.18.420.93 CONSTRUCTION INDUSTRY PERMITTING SYSTEM:

A. Program: records common to construction industries
B. Maintenance system: numerical by primary key
C. Description: database tracks and maintains information pertaining to permits issued for construction projects. Data may include permit application data, licensure data, inspection data, etc.
D. Data retention: 10 years from date of permit expiration, revocation or completion of project
E. Input: records used as input into *construction industry permitting system* are filed in the corresponding *electrical permit files*, 1.18.420.101 NMAC; *building permit files*, 1.18.420.110 NMAC; *modular unit construction permit files*, 1.18.420.113 NMAC; *annual permit files*, 1.18.420.92 NMAC; *liquid petroleum gas permit files*, 1.18.420.187 NMAC; *homeowners plumbing permit files*, 1.18.420.212 NMAC; *mechanical plumbing permit files*, 1.18.420.213 NMAC; *manufactured housing permit files*, 1.18.420.258 NMAC and extracted from *licensing system*, 1.18.420.1001 NMAC.

G. Output: Because the *construction industry permitting system* is a data-based system, ad-hoc and regularly scheduled reports are produced.

[1.18.420.93 NMAC - N, 07/20/2014]

1.18.420.94 - 1.18.420.100 [RESERVED]

1.18.420.101 ELECTRICAL PERMIT FILES:

A. Program: electrical
B. Maintenance system: chronological by date, then numerical by permit number
C. Description: records documenting the application, issuance and permit history of commercial and residential electrical work conducted by homeowners and licensed contractors. Portions of this record are input to the *construction industry permitting system*, 1.18.420.93 NMAC. Files may include application, electrical plan review checklist, electrical plans, correction notices, *medium voltage system plan review checklist form*, official letter of notification of cancellation from the contractor, correspondence, etc.

D. Retention:

- (1) **Permit issued:** 10 years from date of permit expiration or completion of project

(2) **Permit not issued:** two years from date application processed
[1.18.420.101 NMAC - Rp, 1.18.420.101 & 102 NMAC, 07/20/2014]

1.18.420.102 HOMEOWNER ELECTRICAL EXAM FILES:

- A. **Program:** electrical
 - B. **Maintenance system:** chronological by date
 - C. **Description:** records certifying an individual applying for a homeowners electrical permit whom displays basic knowledge of home electrical wiring. Files may include exam results, etc.
 - D. **Retention:**
 - (1) **Passed exam:** three years from date of superceded electrical code
 - (2) **Failed exam:** two years from date exam failed
- [1.18.420.102 NMAC - N, 07/20/2014]

1.18.420.103 - 1.18.420.109 [RESERVED]

1.18.420.110 BUILDING PERMIT FILES:

- A. **Program:** general construction
- B. **Maintenance:** chronological by date, then numerical by permit number
- C. **Description:** records documenting the application, issuance and permit history for the construction of a commercial or residential building. Portions of this record are input to the *construction industry permitting system*, 1.18.420.93 NMAC. Files may include *application for state building permit form, homeowners responsibilities form, building plans, inspection reports, American with Disabilities Act compliance form, multi-purpose state building application, foundation only permit form, New Mexico Environment Department asbestos information form, NM residential energy plan review checklist, NM commercial energy review checklist, correction notices, correspondence, etc.*
- D. **Retention:** 10 years from date of permit expiration, revocation or completion of project
[1.18.420.110 NMAC - Rp, 1.18.420.122 & 123 NMAC, 07/20/2014]

1.18.420.111 CERTIFICATES OF OCCUPANCY:

- A. **Program:** general construction
- B. **Maintenance system:** chronological by date, then alphabetical by inspector surname
- C. **Description:** record documenting the certification of occupancy issued for the completed construction of residential and commercial permitted projects. Certificate may show permit number, occupancy group, address of building, name and address of owner, description of building, signature of the inspector, etc.
- D. **Retention:** 10 years from date of certificate issuance
[1.18.420.111 NMAC - Rp, 1.18.420.124 NMAC, 07/20/2014]

1.18.420.112 MODULAR UNIT CONSTRUCTION PERMIT FILES:

- A. **Program:** general construction
- B. **Maintenance system:** chronological by date, then numerical by permit number
- C. **Description:** records documenting the application, issuance and permit history for the construction of a modular unit for residential or commercial purposes. Portions of this record are input into the *construction industry permitting system*, 1.18.420.93 NMAC. Files may include *application for plan review for modular units, building construction plans, correction notices, American with Disabilities Act compliance form, correspondence, etc.*
- D. **Retention:** 10 years from date of permit expiration, revocation or completion of project
[1.18.420.112 NMAC - Rp, 1.18.420.125 NMAC, 07/20/2014]

1.18.420.113 MODULAR MANUFACTURER LICENSURE FILES:

- A. **Program:** general construction
- B. **Maintenance system:** chronological by date, then alphabetical by company name
- C. **Description:** records documenting the application, issuance and licensure history of a modular home manufacturing company. Files may include *modular manufacturer approval application, modular units application plan review, copy of current contractor's license, affidavit from third party inspector with classification, modular structure certification bond form, building construction plans, modular inspection report, requisition for modular decal, correspondence, etc.*

D. Retention: 25 years from date of licensure expiration or revocation
[1.18.420.113 NMAC - N, 07/20/2014]

1.18.420.114 POLITICAL SUBDIVISION INSPECTOR CERTIFICATION FILES:

- A. Program:** general construction
- B. Maintenance system:** chronological by date, then alphabetical by political subdivision, then surname
- C. Description:** records documenting the application, issuance and certification history of an individual employed by a political subdivision to conduct inspections. Files may include letter of request from political subdivision, *inspector exam authorization registration* form, *political subdivision application for building inspector examination and affidavit of foreman or journeyman level experience* form, copy of examination score report, copy of certificate, renewal applications, correspondence, etc.
- D. Retention:**
 - (1) **Certification issued:** six years from date of certification expiration or revocation
 - (2) **Certification not issued:** two years from date application processed
- E. Confidentiality:** Portions of this record may be confidential.

[1.18.420.114 NMAC - N, 07/20/2014]

1.18.420.115 NEW MEXICO CODE CHANGE PROPOSAL FORMS:

- A. Program:** general construction
- B. Maintenance system:** chronological by date
- C. Description:** records documenting proposed changes to the New Mexico building code. Form may show proposed change; reason for change; applicant section table figure numbers; proponent name, address, phone and email address; action being proposed; executive summary; etc.
- D. Retention:** 10 years from date proposal approved or denied

[1.18.420.115 NMAC - N, 07/20/2014]

1.18.420.116 THIRD-PARTY MODULAR UNIT INSPECTOR CERTIFICATION FILES:

- A. Program:** general construction
- B. Maintenance system:** chronological by date, alphabetical by entity name
- C. Description:** records documenting the application, issuance and certification history for modular unit construction inspectors. Files may include *modular in-plan third-party inspector application with bond form*, proof of certifications, renewal applications, correspondence, etc.
- D. Retention:** 10 years from date of certification expiration or revocation

[1.18.420.116 NMAC - N, 07/20/2014]

1.18.420.117 - 1.18.420.122 [RESERVED]

1.18.420.123 COMPLAINT INVESTIGATION FILES:

- A. Program:** compliance
- B. Maintenance system:** chronological by date, then numerical by case number
- C. Description:**
 - (1) **Compliance investigation:** records documenting the investigation of complaints alleging code violations. Portions of this record are input to the *compliance database*, 1.18.420.124 NMAC and *licensing system*, 1.18.420.1001. Files may include complaint, copies of inspection history, copies of permits, copies of payroll records, notice of investigation, notice of violation, notification of closure, copy of the notice of contemplated action, copy of commission meeting minutes, letter of response from individual or entity, investigation summary report, *hearing request* form, copy of settlement agreement, notification of letter of receipt of compliance, copy of payment receipts, medical documentation, photos, engineer report, competent professional documentation of violation report, consumer complaint log, correspondence, etc.
 - (2) **Criminal investigation:** records documenting the investigation of complaints alleging construction performed by unlicensed individuals. Portions of this record are input to the *compliance database*, 1.18.420.124 NMAC. Files may include complaint, notice of investigation, copy of police report, copy of fire marshall report, inspection report, investigation summary report, copy of criminal complaint, copy of plea agreement, copy of judgment, notification of revocation of probation, copy of sentence issued, copy of summons,

copy of arraignment, order to show cause (non-compliance with court order), copy of subpoena, notice of trial, notice of arraignment, copy of the appeal, communication log, correspondence, etc.

D. Retention:

(1) **Investigations with merit:** 25 years from date of closing action

(2) **Investigations without merit:** five years from date determined to be without merit

[1.18.420.123 NMAC - Rp, 1.18.420.141 & 142 NMAC, 07/20/2014]

1.18.420.124 COMPLIANCE DATABASE:

A. Program: compliance

B. Maintenance system: numerical by primary key

C. Description: database tracks and maintains information concerning complaint investigations.

Data may include complaint data (e.g., type of complaint, date, location, alleged violation, etc.), licensure data (e.g., name, license number, certifications, expiration, etc.), legal case data (e.g., photos, police report, notice of investigation, notice of arraignment, final disposition, etc.), etc.

D. Data retention:

(1) **Investigations with merit data:** 25 years from date of closing action

(2) **Investigations without merit data:** five years from date determined to be without merit

E. Confidentiality: Portions of this record may be confidential.

F. Input: records used as input into the *compliance database* are filed in the corresponding *complaint investigation files*, 1.18.420.123 NMAC.

G. Output: Because the *compliance database* is a data-based system, ad-hoc and regularly scheduled reports are produced. Some of these reports include *cases by division, open cases, closed cases, status of cases*, etc.

[1.18.420.124 NMAC - N, 07/20/2014]

1.18.420.125 - 1.18.420.131 [RESERVED]

1.18.420.132 CONSTRUCTION CONTRACTOR COMPANY LICENSURE FILES:

A. Program: licensing and examination

B. Maintenance system: chronological by date, then alphabetical by company name

C. Description: records documenting the application, issuance and licensure history of a construction contracting company. Portions of this record are input to the *licensing and certification database*, 1.18.420.136 NMAC. Files may include application, proof of bond, proof of New Mexico tax identification registration, *status change form, certificate of liability insurance, application for qualifying party certificate*, proof of registration with the secretary of state, official copy of exam results, *work experience affidavit*, copy of certificate issued to the qualifying party, notification of rejection letter, copy of suspension of contractor's license, copy of license, correspondence, etc.

D. Retention:

(1) **License issued:** 10 years from date of expiration or revocation

(2) **Licensed denied:** two years from date of denial

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.132 NMAC - Rp, 1.18.420.151, 158, 161 & 164 NMAC, 07/20/2014]

1.18.420.133 QUALIFYING PARTY CERTIFICATION FILES:

A. Program: licensing and examination

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and certification history of an individual to act as a qualifying party for an electrical, mechanical, general construction and liquid petroleum and gas construction contracting entity. Portions of this record are input to the *licensing and certification database*, 1.18.420.136 NMAC. Files may include *application for qualifying party certificate*, official copy of exam results, *work experience affidavit*, copy of identification (e.g., driver's license, etc.), copy of company license, copy of qualifying party certificate, notification of denial, correspondence, etc.

D. Retention:

(1) **Certificate issued:** 10 years from date of expiration, cancellation or revocation

(2) **Certificate denied or withdrawn:** two years from date denied or withdrawn

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.133 NMAC - Rp, 1.18.420.152, 153, 154 & 162 NMAC, 07/20/2014]

1.18.420.134 CONSTRUCTION JOURNEYMAN CERTIFICATION FILES:

- A. **Program:** licensing and examination
- B. **Maintenance system:** chronological by date, then alphabetical by surname
- C. **Description:** records documenting the application, issuance and certification history of a journeyman to perform electrical and mechanical work. Portions of this record are input to the *licensing and certification database*, 1.18.420.136 NMAC. Files may include notarized application, *work experience affidavit*, letter of compliance, proof of CEUs, copy of official transcripts, renewal applications, correspondence, etc.
- D. **Retention:**
 - (1) **Certification issued:** five years from date of certification cancellation or revocation
 - (2) **Withdrawn application:** two years from date application withdrawn
- E. **Confidentiality:** Portions of this record may be confidential.

[1.18.420.134 NMAC - Rp, 1.18.420.153 NMAC, 07/20/2014]

1.18.420.135 HANDYMAN CERTIFICATION FILES:

- A. **Program:** licensing and examination
- B. **Maintenance system:** chronological by date, then alphabetical by surname
- C. **Description:** records documenting the application, issuance and certification history of an individual to complete minor repair work. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of certification, renewal applications, correspondence, etc.
- D. **Retention:** three years from date of expiration or revocation
- E. **Confidentiality:** Portions of this record may be confidential.

[1.18.420.135 NMAC - Rp, 1.18.420.152, 159, 160 & 163 NMAC, 07/20/2014]

1.18.420.136 LICENSING AND CERTIFICATION DATABASE:

- A. **Program:** licensing and examination
- B. **Maintenance system:** numerical by primary key
- C. **Description:** database tracks and maintains information pertaining to the licensure and certification of contracting companies, qualifying parties, journeymen and handyman. Data may include licensure data (e.g., name, license number, etc.), certification data (e.g., name, certification number, etc.), contracting company data (e.g., company contact information, location of company, certification or licensure status, bond amounts, etc.), qualifying party data (e.g., name, certification number, etc.), etc.
- D. **Data retention:**
 - (1) **Contracting company licensure data:** 10 years from date of expiration or revocation
 - (2) **Qualifying party certification data:** 10 years from date of expiration, cancellation or revocation
 - (3) **Construction journeymen certification data:** five years from date of certification cancellation or revocation
- E. **Confidentiality:** Portions of this record may be confidential.
- F. **Input:** records used as input into the *licensing and certification database* are filed in the corresponding *contracting company licensure files*, 1.18.420.132 NMAC; *qualifying party certification files*, 1.18.420.133 NMAC and *journeymen certification files*, 1.18.420.134 NMAC.
- G. **Output:** Because the *licensing and certification database* is a data-based system, ad-hoc and regularly scheduled reports are produced.

[1.18.420.136 NMAC - N, 07/20/2014]

1.18.420.137 - 1.18.420.143 [RESERVED]

1.18.420.144 LIQUID PETROLEUM AND CERTIFIED NATURAL GAS ENTITY LICENSURE FILES:

- A. **Program:** liquid petroleum and gas
- B. **Maintenance system:** chronological by date, then alphabetical by entity name
- C. **Description:** records documenting the application, issuance and licensure history of an entity authorized to provide certified natural gas and liquid petroleum products. Files may include application, certificate of insurance, copy of taxation and revenue registration certificate, copy of certificate issued by the public regulation commission, dispenser site plans, dispenser site plan revisions, renewal applications, correspondence, etc.
- D. **Retention:**

(1) **License issued:** 10 years from date of licensure expiration or revocation

(2) **Withdrawn applications:** two years from date application withdrawn

[1.18.420.144 NMAC - Rp, 1.18.420.181, 182 & 190 NMAC, 07/20/2014]

1.18.420.145 LIQUID PETROLEUM AND GAS INCIDENT REPORT FILES:

A. **Program:** liquid petroleum and gas

B. **Maintenance system:** chronological by date, then alphabetical by entity name

C. **Description:** records documenting the investigation of an incident to determine if liquid petroleum was a contributing factor. Files may include investigation report, photos, manufacturer information (e.g., water heater specifications, installation instructions, etc.), correspondence, etc.

D. **Retention:** 25 years from date of final disposition

[1.18.420.145 NMAC - Rp, 1.18.420.184 NMAC, 07/20/2014]

1.18.420.146 INCIDENT REPORT LOG:

A. **Program:** liquid petroleum and gas

B. **Maintenance system:** chronological by date

C. **Description:** log documenting the occurrence of incidents involving liquid petroleum and gas. Log may show date, incident number, name of individual, type of incident, type of building construction (e.g., residential, commercial, etc.), notation of death or injury, supplier, etc.

D. **Retention:** 25 years from date no longer needed for reference

[1.18.420.146 NMAC - Rp, 1.18.420.185 NMAC, 07/20/2014]

1.18.420.147 LIQUID PETROLEUM AND GAS PERMIT FILES:

A. **Program:** liquid petroleum and gas

B. **Maintenance system:** chronological by date, then numerical by validation number

C. **Description:** records documenting the application, issuance and permit history for entities providing installation and dispenser services of liquid petroleum gas and certified natural gas. Portions of this record are input into the *construction industry permitting system*, 1.18.420.93 NMAC. Files may include liquid petroleum gas bulk plant or dispenser inspection form, liquid petroleum gas cargo tank equipment inspection form, *record of installation, test and modification* form, correction notices, location maps, correspondence, etc.

D. **Retention:** 10 years from date of permit expiration or revocation

[1.18.420.147 NMAC - Rp, 1.18.420.186, 187, 188 & 189 NMAC, 07/20/2014]

1.18.420.148 LIQUID PETROLEUM AND GAS TRAINER CERTIFICATION FILES:

A. **Program:** liquid petroleum and gas

B. **Maintenance system:** chronological by date, then alphabetical by surname

C. **Description:** records documenting the certification of an individual to provide specialized liquid petroleum and gas training. Files may include application, correspondence, etc.

D. **Retention:** five years from date of certification expiration or revocation

E. **Confidentiality:** Portions of this record may be confidential.

[1.18.420.148 NMAC - N, 07/20/2014]

1.18.420.149 - 1.18.420.159 [RESERVED]

1.18.420.160 HOMEOWNERS MECHANICAL PERMIT FILES:

A. **Program:** mechanical

B. **Maintenance system:** chronological by date, then numerical by permit number

C. **Description:** records documenting the application, issuance and permit history of homeowners allowed to do limited plumbing on their property. Portions of this record are input into the *construction industry permitting system*, 1.18.420.93 NMAC. Files may include application, homeowner's mechanical plan drawing, inspection notes, documentation of engineered system, application checklist, copy of permit, correspondence, etc.

D. **Retention:** 10 years from date of permit expiration, revocation or project completion

[1.18.420.160 NMAC - Rp, 1.18.420.212 NMAC, 07/20/2014]

1.18.420.161 CONTRACTOR MECHANICAL PERMIT FILES:

A. **Program:** mechanical

B. Maintenance system: chronological by date, then numerical by permit number

C. Description: records documenting the application, issuance and permit history of a licensed contractor to complete mechanical installation in a residential or commercial building. Portions of this record are input into the *construction industry permitting system*, 1.18.420.93 NMAC. Files may include application, construction plans, copy of equipment specification, copy of specification of installations manual, engineering calculations (e.g. flow calculation, etc.), amended plans, correction notices, request for additional information letter, correspondence, etc.

D. Retention: 10 years from date of permit expiration or completion of project
[1.18.410.161 NMAC - Rp, 1.18.420.213 NMAC, 07/20/2014]

1.18.420.162 - 1.18.420.172 [RESERVED]

1.18.420.173 MANUFACTURER LICENSURE FILES:

A. Program: manufactured housing

B. Maintenance system: chronological by date, then alphabetical by manufacturer name

C. Description: records documenting the application, issuance and licensure history of a business to manufacture homes. Files may include application, notarized *certificate of qualifying party form*, copy of financial statements, proof of bond, copy of manufacturer warranty, copy of manufacturer installation manuals *consent to service of process form*, manufacturing plant reports, letter of intent of cancellation, bond company notification of cancellation, renewal applications, *name and address change form*, correspondence, etc.

D. Retention: 10 years from date of licensure expiration, cancellation or revocation

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.173 NMAC - Rp, 1.18.420.251 & 264 NMAC, 07/20/2014]

1.18.420.174 INSTALLER AND REPAIRMAN ENTITY LICENSURE FILES:

A. Program: manufactured housing

B. Maintenance system: chronological by date, then alphabetical by entity name

C. Description: records documenting the application, issuance and licensure history of entities providing installation and repair services on manufactured homes. Portions of this record are input into the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of taxation and revenue registration certificate, notarized *certificate of qualifying party form*, notarized financial statements, proof of consumer protection bond, copy of installer or repairman warranty, consent to service of process affidavit, *statement of authorization and release information form*, copy of exam results, work experience verification form, renewal applications, correspondence, etc.

D. Retention: five years from date of licensure expiration or revocation

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.174 NMAC - Rp, 1.18.420.252 & 265 NMAC, 07/20/2014]

1.18.420.175 ENTITY DEALER LICENSURE FILES:

A. Program: manufactured housing

B. Maintenance system: chronological by date, then alphabetical by entity name

C. Description: records documenting the application, issuance and licensure history of an entity approved to sell manufactured homes. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of taxation and revenue registration certificate, notarized *certificate of qualifying party form*, notarized copy of financial statements, proof of bond, copy of warranties, *consent to service of process affidavit form*, *statement of authorization and release of information form*, copy of exam results, name and account number of financial institution where business accounts are held, letter of intent of cancellation, bond company notification of cancellation, renewal applications, *name and address change form*, correspondence, etc.

D. Retention: 10 years from date of licensure expiration or revocation

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.175 NMAC - Rp, 1.18.420.175 & 266 NMAC, 07/20/2014]

1.18.420.176 MANUFACTURED HOUSING SALESPERSON LICENSURE FILES:

A. Program: manufactured housing

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of an individual approved to sell manufactured homes. Portions of this record are input into the *licensing system*, 1.18.420.1001 NMAC. Files may include application, *statement of authorization and release information* form, *certificate of good character and reputation* form, *notice to applicant and employing dealer* form, official copy of exam results, *name and address change* form, renewal applications, correspondence, etc.

D. Retention:

- (1) **License issued:** five years from date of licensure expiration or revocation
- (2) **Temporary license:** three years from date of licensure expiration or revocation

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.176 NMAC - Rp, 1.18.420.254 & 267 NMAC, 07/20/2014]

1.18.420.177 MANUFACTURED HOUSING BROKER LICENSURE FILES:

A. Program: manufactured housing

B. Maintenance system: chronological by date, then alphabetical by entity name

C. Description: records documenting the application, issuance and licensure history of an individual who arranges and negotiates the selling of manufactured homes on behalf of an entity. Portions of this record are input into the *licensing system*, 1.18.420.1001 NMAC. Files may include application, proof of consumer protection bond, copy of *brokers title disclosure listing arrangement* form, name of institution where trust account is held, *statement of authorization* form, copy of exam results, renewal applications, correspondence, etc.

D. Retention: five years from date of licensure expiration or revocation

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.177 NMAC - Rp, 1.18.420.255 & 268 NMAC, 07/20/2014]

1.18.420.178 MONTHLY SHIPMENT REPORT FORMS:

A. Program: manufactured housing

B. Maintenance system: chronological by date

C. Description: records documenting the shipment of new manufactured homes. Form may show date, manufacturer license number, person submitting the report, contact information, serial numbers, label numbers, home dimensions, retailer home shipped to, manufactured housing license number of the retailers, how many floors in the homes, etc.

D. Retention: five years from close of fiscal year in which audit approved

[1.18.420.178 NMAC - Rp, 1.18.420.256 NMAC, 07/20/2014]

1.18.420.179 DEALERSHIP INSPECTION REPORT FILES:

A. Program: manufactured housing

B. Maintenance system: chronological by date, then alphabetical by inspector surname, then entity name

C. Description: records documenting the inspection of a licensed manufactured home dealership lot and record keeping practices. Files may include inspection report, request of information from dealer, follow up audit report, correspondence, etc.

D. Retention: 10 years from date of dealer licensure expiration or revocation

[1.18.420.179 NMAC - Rp, 1.18.420.257 NMAC, 07/20/2014]

1.18.420.180 MANUFACTURED HOUSING PERMIT FILES:

A. Program: manufactured housing

B. Maintenance system: chronological by date, then numerical by permit number

C. Description: records documenting the application, issuance and permit history for the foundation setting and installation of a manufactured home. Portions of this record are input into the *construction industry permitting system*, 1.18.420.93 NMAC. Files may include application, engineered drawings, copy of installation guidelines, description of installation equipment being used, correction notices, correspondence, etc.

D. Retention: 10 years from date of permit expiration or revocation

[1.18.420.180 NMAC - Rp, 1.18.420.258 NMAC, 07/20/2014]

1.18.420.181 CONSTRUCTION INDUSTRIES DEPARTMENT CROSSOVER CONTRACTOR LICENSURE FILES:

A. Program: manufactured housing

- B. Maintenance system:** chronological by date, then alphabetical by entity name
 - C. Description:** records documenting the application, issuance and licensure history of a licensed contractor to do limited electrical, gas and mechanical installation and repair work on a manufactured home. Portions of this record are input into the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of construction industries department wallet license, proof of construction industries department cross over contractor consumer protection bond, renewal applications, correspondence, etc.
 - D. Retention:** five years from date of licensure expiration or revocation
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.420.181 NMAC - N, 07/20/2014]

1.18.420.182 MANUFACTURED HOUSING HOMEOWNER PERMIT FILES:

- A. Program:** manufactured housing
 - B. Maintenance system:** chronological by date, then numerical by permit number
 - C. Description:** records documenting the application, issuance and permit history of a homeowner performing limited installation and foundation work on a manufactured home. Portions of this record are input into the *construction industry permitting system*, 1.18.420.93 NMAC. Files may include *request for manufactured housing permit, manufactured homeowners waiver*, reinspection permit applications, correction notices, correspondence, etc.
 - D. Retention:** 10 years from date of permit expiration or revocation
- [1.18.420.182 NMAC - N, 07/20/2014]

1.18.420.183 MANUFACTURED HOUSING HOMEOWNERS INSTALLATION AND FOUNDATION SETTING EXAM FILES:

- A. Program:** manufactured housing
 - B. Maintenance system:** chronological by date
 - C. Description:** records certifying an individual applying for a homeowners manufactured permit displays basic knowledge of installation and foundation setting for a manufactured home. Files may include exam, exam results, etc.
 - D. Retention:**
 - (1) **Passed exam:** three years from date exam passed or integrated with permit application file
 - (2) **Failed exam:** one year from date exam taken
- [1.18.420.183 NMAC - Rp, 1.18.420.261 NMAC, 07/20/2014]

1.18.420.184 HOMEOWNERS EXAM SCORE LOG:

- A. Program:** manufactured housing
 - B. Maintenance system:** chronological by date
 - C. Description:** log documenting individuals who have taken the homeowners exam. Log may show name, exam score, date taken, type of test, passed or failed, etc.
 - D. Retention:** two years from close of calendar year last exam given
- [1.18.420.184 NMAC - N, 07/20/2014]

1.18.420.185 - 1.18.420.210 [RESERVED]

1.18.420.211 REPORT OF EXAMINATION FILES:

- A. Program:** financial institutions
- B. Maintenance system:** chronological by date, then alphabetical by entity name
- C. Description:** records documenting the review of financial institutions (e.g., New Mexico state chartered banks, state chartered trust companies, state chartered credit unions, mortgage companies, mortgage loan originators, collection agencies, escrow companies, resposseors, motor vehicle sales finance companies, endowed care cemeteries and small loan financial entities, etc.), to ensure compliance with state and federal regulations. Files may include reports of examination, first day letters, copy of work papers, *uniform bank performance report and federal performance rating report, loan line cards*, correspondence, etc.
- D. Retention:**
 - (1) **Report of examination:** 10 years from close of fiscal year in which examination completed
 - (2) **Workpapers:** 10 years from close of fiscal year in which report completed
- E. Confidentiality:** Portions of this record may be confidential.

[1.18.420.211 NMAC - Rp, 1.18.420.282 NMAC, 07/20/2014]

1.18.420.212 CONSOLIDATED REPORT OF CONDITIONS AND INCOME REPORT FILES:

- A. Program:** financial institutions
- B. Maintenance system:** chronological by date, then alphabetical by entity name
- C. Description:** quarterly report documenting the entities financial conditions and monitoring of operational procedures of state chartered banks and credit unions. Files may include consolidated report of conditions, balance sheets, income statements, classified loans, investment portfolios, amended reports, etc.
- D. Retention:** 10 years from close of fiscal year from date of report
- E. Confidentiality:** Portions of this record may be confidential.

[1.18.420.212 NMAC - Rp, 1.18.420.283 NMAC, 07/20/2014]

1.18.420.213 OATH OF DIRECTORS FOR FINANCIAL ENTITIES:

- A. Program:** financial institutions
- B. Maintenance system:** chronological by date, then alphabetical by entity name
- C. Description:** records documenting the designation or change of directors for state chartered banks, state chartered credit unions and trust companies. Files may include oath of directors, correspondence, etc.
- D. Retention:** 10 years from close of fiscal year in which director's term ended

[1.18.420.213 NMAC - Rp, 1.18.420.285 NMAC, 07/20/2014]

1.18.420.214 FINANCIAL ENTITY COMPLAINT FILES:

- A. Program:** financial institutions
- B. Maintenance system:** chronological by date, then alphabetical by entity name
- C. Description:** records documenting complaints filed by an individual or entity for alleged misconduct against financial institutions (e.g., state credit unions, or individual employed by a state chartered banks, state chartered trust companies, state chartered credit unions, mortgage companies, mortgage loan originators, collection agencies, escrow companies, repossession, motor vehicle sales finance companies, endowed care cemeteries and small loan financial entities, etc.). Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include complaint, licensee or facility office records (e.g., receipts, contracts, etc.), investigative reports, notice of contemplated action, notice of hearing, hearing transcripts, depositions, findings of fact, board or commission decisions, orders, letters of reprimand, photographs, judicial court records, medical reports, correspondence, etc.
- D. Retention:**
 - (1) **Complaints with merit:** 25 years from date of closing action
 - (2) **Complaints with no merit:** two years from date of closing action
- E. Confidentiality:** Portions of this record may be confidential.

[1.18.420.214 NMAC - Rp, 1.18.420.287 NMAC, 07/20/2014]

1.18.420.215 FINANCIAL INSTITUTION CHARTER AND LICENSURE FILES:

- A. Program:** financial institutions
- B. Maintenance system:** chronological by date, then alphabetical by entity name
- C. Description:** records documenting the application and issuance of charter for financial institutions (e.g., banks, credit unions and trust companies and licensure of escrow companies, mortgage loan companies, mortgage loan originators, collection agencies, repossession, motor vehicle sales finance companies, and endowed care cemeteries, etc.). Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, articles of incorporation, by-laws, copy of financial board minutes, copy of corporate resolution, copy of document stating directors, shareholders, and managing members, amended by laws, amended articles of incorporation, *cease and desist orders*, investigation report, licensure renewal applications, correspondence, etc.
- D. Retention:**
 - (1) **Banks and credit unions:** 10 years from date of termination or revocation, then transfer to archives for review and final disposition
 - (2) **All other institutions:** 10 years from date of termination or revocation
- E. Confidentiality:** Portions of this record may be confidential.

[1.18.420.215 NMAC - Rp, 1.18.420.288 NMAC, 07/20/2014]

1.18.420.216 - 1.18.420.249 [RESERVED]

1.18.420.250 LIQUOR LICENSE AND LEASING FILES:

- A. Program:** alcohol bureau
- B. Maintenance system:** chronological by date, then numerical by liquor license number
- C. Description:**

(1) **Liquor license:** records documenting the purchase and issuance of a dispenser and non-dispenser type liquor license. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include instruction sheet, *liquor license application; premises, location, ownership and description form; limited partnership or general partnership information sheet; limited liability company form; corporation information sheet; trust form; designation of resident agent form; designation of resident agent form; personal data information, and affidavit form; statement of debt clearance and certification by wholesalers form; Sunday sales application; tax clearance request; expansion form; restaurant application; club application; settlement hearing order; posting certificate; notice of deficient documents; findings of fact decision and order; transfer of stockholders or corporation; application for change of officers clubs (non profit) organizations; correspondence, etc.*

(2) **Lease of license:** records documenting the leasing and issuance of a dispenser type liquor license. Files may include instruction sheet; *application for lease of liquor partnership or general partnership; information sheet; limited liability company form; corporation information sheet; trust form; designation of resident agent form; personal data information and affidavit form; statement of debt clearance and certification by wholesalers form; Sunday sales application; tax clearance request; expansion form; restaurant application; club application; settlement hearing order; posting certificate; notice of deficient documents; findings of fact decision and order; transfer of stockholders or corporation; application for change of officers clubs (non profit) organizations; correspondence, etc.*

(3) **Fingerprint and background check:** records documenting the fingerprint card and background check results of liquor license purchase and lease applicants with ten percent or greater ownership. Fingerprint cards and background check results or fingerprint cards and personal information affidavits are submitted upon licensee activity changes or every three years. Files may include fingerprint cards, fingerprint affidavit, background check results, rap sheet, law enforcement documentation, etc.

D. Retention:

- (1) **Dispenser-type liquor licenses and leases:** 50 years from date of revocation
- (2) **All other liquor licenses:** 10 years from date license is expired, revoked or lease expires
- (3) **Fingerprint and background checks:** 10 years from date license is expired or revoked
- (4) **Denied license applications:** three years from date application denied

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.250 NMAC - Rp, 1.18.420.321 NMAC, 07/20/2014]

1.18.420.251 LIQUOR LICENSE CITATION FILES:

- A. Program:** alcohol bureau
- B. Maintenance system:** chronological by date, then numerical by license number
- C. Description:** records documenting the issuance of a citation for alleged violations of the New Mexico Liquor Control Act. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include copy of police report, copy of investigation report, settlement information, copy of citation, correspondence, etc.

D. Retention: 10 years from date of final disposition

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.251 NMAC - Rp, 1.18.420.322 NMAC, 07/20/2014]

1.18.420.252 SPECIAL DISPENSER PERMIT FILES:

- A. Program:** alcohol bureau
- B. Maintenance system:** chronological by date, then numerical by permit number
- C. Description:** records documenting the issuance of a permit allowing the sale or service of liquor for one-time, private or public celebration. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include *special dispenser permit application, floor plan, list of servers, correspondence, etc.*

D. Retention: two years from date of permit expiration

[1.18.420.252 NMAC - Rp, 1.18.420.330 NMAC, 07/20/2014]

1.18.420.253 ALCOHOL SERVER PERMIT FILES:

- A. Program:** alcohol bureau
 - B. Maintenance system:** chronological by date, then numerical by server permit number
 - C. Description:** records documenting the issuance, renewal and replacement of alcohol server permits which allow an individual to sell or serve liquor on liquor licensed premises. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include a copy of the server permit, *server permit application*, server permit examination, *request for server permit replacement*, correspondence, etc.
 - D. Retention:** two years from date of permit expiration, cancellation or denial
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.420.253 NMAC - Rp, 1.18.420.331 NMAC, 07/20/2014]

1.18.420.254 ALCOHOL SERVER CITATION FILES:

- A. Program:** alcohol bureau
 - B. Maintenance system:** chronological by date, then alphabetical by surname
 - C. Description:** records documenting the issuance of a citation for alleged misconduct of individuals serving or selling liquor on liquor licensed premises. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include copy of police report, copy of investigation report, settlement information, copy of citation, correspondence, etc.
 - D. Retention:** 10 years from date of final disposition
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.420.254 NMAC - Rp, 1.18.420.332 NMAC, 07/20/2014]

1.18.420.255 PROVIDER, INSTRUCTOR AND PROGRAM CERTIFICATION FILES:

- A. Program:** alcohol bureau
 - B. Maintenance system:** chronological by date, then numerical by certificate number
 - C. Description:** records documenting the certification of providers, instructors and the instructional programs responsible for conducting the alcohol server training. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include the written proposal for certification, copy of certificates for provider, instructor and instruction program, New Mexico tax registration certificate, business license, copy of program handbook, surety bond, correspondence. etc.
 - D. Retention:** two years from date of expiration, cancellation or revocation
- [1.18.420.255 NMAC - Rp, 1.18.420.333 NMAC, 07/20/2014]

1.18.420.256 PROVIDER, INSTRUCTOR AND PROGRAM VIOLATION FILES:

- A. Program:** alcohol bureau
 - B. Maintenance system:** chronological by date, numerical by certificate number
 - C. Description:** records documenting actions taken as a result of an alleged violation of a provider, instructor or alcohol server training program. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include police report, documentation from director regarding fine, decertification or refusal to renew certification, correspondence, etc.
 - D. Retention:** 10 years from date of final disposition
- [1.18.420.256 NMAC - Rp, 1.18.420.334 NMAC, 07/20/2014]

1.18.420.257 - 1.18.420.262 [RESERVED]

1.18.420.263 SMALL BREWER, WINEGROWER OR CRAFT DISTILLER PUBLIC CELEBRATION PERMIT FILES:

- A. Program:** alcohol bureau
 - B. Maintenance system:** chronological by date, then numerical by permit number
 - C. Description:** records documenting the issuance of a one-time permit for the sale or service of liquor during a special event or celebration. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include *public celebration permit application*, floor plan, list of servers, correspondence, etc.
 - D. Retention:** two years from date of permit expiration or denial
- [1.18.420.263 NMAC - Rp, 1.18.420.351 NMAC, 07/20/2014]

1.18.420.264 IMPORTATION AND EXPORTATION PERMIT FOR ALCOHOLIC BEVERAGES FILES:

A. Program: alcohol bureau
B. Maintenance system: chronological by date, numerical by permit number
C. Description: records documenting the issuance of a permit for the importation and exportation of alcoholic beverages by common carriers, non-residents and direct shippers. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include *common carrier license application*, *direct wine shipper permit application*, *non-resident liquor license application*, federal basic permit, certificate of label approvals, copy of state liquor license, *renewal application*, correspondence, etc.

D. Retention:

- (1) **Common carriers and non-residents:** three years from date of expiration or denial
- (2) **Direct shippers:** two years from date of expiration or denial

[1.18.420.264 NMAC - Rp, 1.18.420.352 NMAC, 07/20/2014]

1.18.420.265 - 1.18.420.299 [RESERVED]

1.18.420.300 INVESTMENT ADVISOR, BROKER DEALER, REPRESENTATIVE AND ISSUER AGENT LICENSURE FILES:

A. Program: securities
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and licensure history of qualified individuals licensed as an investment advisor, broker dealer, representative or issuer agent. Portions of this record are input into *licensing system*, 1.18.420.1001 NMAC. Files may include application, financial reports (e.g., balance sheets, etc.), *consent to service* form, proof of bond, notice of non-renewal letter, correspondence, etc.

D. Retention:

- (1) **License issued:** five years from close of fiscal year from date of expiration or revocation
- (2) **License withdrawn or denied:** two years from date application withdrawn or denied

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.300 NMAC - Rp, 1.18.420.386 & 387 NMAC, 07/20/2014]

1.18.420.301 SECURITIES REGISTRATION FILES:

A. Program: securities
B. Maintenance system: chronological by date, then alphabetical by security name
C. Description: records documenting the registration of securities to be bought and sold in New Mexico. Portions of this record are input to *securities registration database*, 1.18.420.304 NMAC. Files may include *registration statement*, copy of security prospectus, copy of articles of incorporation, copy of bylaws, *consent to service* form, copy of statement of filings with the securities exchange commission, copies of agreements (e.g., underwriters, etc.), description of the security, copy of orders (e.g., court, administrative, etc.), copy of disclosure documents (e.g., complaints, reprimands, etc.), indenture or other instrument governing the issuance of the security to be registered (e.g., copy of contracts, etc.), calculations of fees, renewal applications, correspondence, etc.

D. Retention

- (1) **Registration approved:** five years from close of fiscal year from date of expiration or revocation
- (2) **Registration withdrawn or denied:** two years from date application withdrawn or denied

[1.18.420.301 NMAC - Rp, 1.18.420.388, 389, 390, 391, 392, 411 & 412 NMAC, 07/20/2014]

1.18.420.302 SECURITIES COMPLAINT INVESTIGATION FILES:

A. Program: securities
B. Maintenance system: chronological by date, then numerical by case number
C. Description: records documenting the investigation of complaints of alleged securities misconduct by licensed investment advisors, broker dealers, representatives or issuer agents or unlicensed individuals. Portions of this record are input to the *securities complaint investigation database*, 1.18.420.305 NMAC and *licensing system*, 1.18.420.1001 NMAC. Files may include complaint, investigation summary report, copy of witness statements, official affidavits, photographs, copy of video, police reports, copy of financial records (e.g., bank statements, balance sheets, etc.), copy of administrative order, copy of court order, copy of summons, copy of arraignment, copy of subpoena, notice of trial, notice of arraignment, copy of appeal, correspondence, etc.

D. Retention:

- (1) **Investigations with merit:** 25 years from date of closing action
- (2) **Investigations without merit:** five years from date determined to be without merit

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.302 NMAC - Rp, 1.18.420.393 NMAC, 07/20/2014]

1.18.420.303 ORDERS FILES:

A. Program: securities

B. Maintenance system: chronological by date, then numerical by case number

C. Description: records documenting administrative and court orders issued as a result of enforcement actions. Portions of this record are input to *securities complaint investigation database*, 1.18.420.305 NMAC. Files may include official order, copy of investigation report, correspondence, etc.

D. Retention: 25 years from date of order

[1.18.420.303 NMAC - N, 07/20/2014]

1.18.420.304 SECURITIES REGISTRATION DATABASE:

A. Program: securities

B. Maintenance system: numerical by primary key

C. Description: database tracks and maintains information pertaining to registered securities bought and sold in New Mexico. Data may include payment data, registration data, description data (e.g., type of security, etc.), company data, etc.

D. Data retention: five years from close of fiscal year from date of expiration or revocation

E. Confidentiality: Portions of this record may be confidential.

F. Input: records used as input into the *securities registration database* are filed in the corresponding *securities registration files*, 1.18.420.301 NMAC.

G. Output: Because the *securities registration database* is a data-based system, ad-hoc and regularly scheduled reports are produced. Some of these reports include *annual renewal report*, *daily balance sheet*, etc.

[1.18.420.304 NMAC - N, 07/20/2014]

1.18.420.305 SECURITIES COMPLAINT INVESTIGATION DATABASE:

A. Program: securities

B. Maintenance system: numerical by primary key

C. Description: database tracks and maintains information concerning complaint investigations. Data may include complaint data (e.g., type of complaint, date, location, alleged violation, etc.), legal case data (e.g., police report, photos, notice of arraignment, court orders, etc.), administrative hearing data, (administrative order, statements, affidavits, etc.) etc.

D. Data retention:

- (1) **Investigations with merit data:** 25 years from date of closing action
- (2) **Investigations without merit data:** five years from date of closing action

E. Confidentiality: Portions of this record may be confidential.

F. Input: records used as input into the *securities complaint investigation database* are filed in the corresponding *securities complaint investigation files*, 1.18.420.302 NMAC and *order files*, 1.18.420.303 NMAC.

G. Output: Because the *securities complaint investigation database* is a data-based system, ad-hoc and regularly scheduled reports are produced.

[1.18.420.305 NMAC - N, 07/20/2014]

1.18.420.306 - 1.18.420.325 [RESERVED]

1.18.420.326 BOARDS AND COMMISSIONS COMPLAINT FILES:

A. Program: records common to all boards and commissions of the regulation and licensing department

B. Maintenance system: alphabetical by licensee surname and by name of facility

C. Description: records concerning complaints regarding licensed or certified individuals and facilities. Portions of this record are input to *licensing system*, 1.18.420.1001 NMAC. File may contain complaint, licensee or facility office records, investigative reports, notice of contemplated action, notice of hearing, hearing

transcripts, depositions, findings of fact, board or commission decisions, orders, letters of reprimand, photographs, court records, medical reports, correspondence, memoranda, etc.

D. Retention:

- (1) **Complaints with merit:** 25 years from date of closing action
- (2) **Complaints without merit:** five years from date of closing action

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.326 NMAC - Rp, 1.18.420.421 NMAC, 07/20/2014]

1.18.420.327 - 1.18.420.331 [RESERVED]

1.18.420.332 CERTIFIED PUBLIC ACCOUNTANT EXAMINATION FILES:

A. Program: accountancy

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application and examination history of an individual testing for their certified public accounting certificate . Files may include official copy of exam scores, official copy of transcripts, candidate eligibility form, application for exam, copy of background check results, *interstate exchange of information for examination and licensure form*, correspondence, etc.

D. Retention: two years from date last exam score received

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.332 NMAC - Rp, 1.18.420.431 NMAC, 07/20/2014]

[This file is incorporated in the 1.18.420.334 NMAC, *certified public accounting licensure files* if all requirements are met.]

1.18.420.333 FIRM PERMIT FILES:

A. Program: accountancy

B. Maintenance system: chronological by date, then alphabetical by entity name

C. Description: records documenting the application and permit issuance allowing accounting firms to provide services in the state. Portions of this record are input to *licensing system*, 1.18.420.1001 NMAC. Files may include firm permit application, official copy of firm letterhead, copy of registration with the PRC, renewal applications, correspondence, etc.

D. Retention:

- (1) **Permit issued:** 10 years from date of permit expiration or revocation
- (2) **Withdrawn applications:** two years from date application withdrawn

[1.18.420.333 NMAC - Rp, 1.18.420.432 NMAC, 07/20/2014]

1.18.420.334 CERTIFIED PUBLIC ACCOUNTING LICENSURE FILES:

A. Program: accountancy

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of licensed CPAs in the state. Portions of this record are input to *licensing system*, 1.18.420.1001 NMAC. Files may include initial certificate by examination form, initial certificate by grade transfer form, initial certificate by reciprocity, official copy of transcripts, *interstate exchange of information for examination and licensure form*, verification of out-of-state licensure, copy of out-of-state CPA certificate, official copy of national association of state boards of accountancy exam scores, identification photos, work experience verification form, change of license status form, interstate notification of verifying CPA's license form, continuing professional education report form, continuing professional education credits audit letter, correspondence, etc.

D. Retention:

- (1) **License issued:** 25 years from date of licensure expiration, notification of death, or revocation, then transfer to archives for review and final disposition
- (2) **Withdrawn application:** two years from date application withdrawn

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.334 NMAC - Rp, 1.18.420.433 NMAC, 07/20/2014]

1.18.420.335 LICENSED CERTIFIED PUBLIC ACCOUNTANTS REGISTRY:

A. Program: accountancy

B. Maintenance system: chronological by date

C. Description: registry documenting all licensed certified public accountants. Registry may show names, addresses, certificate numbers, etc.

D. Retention: 10 years from close of calendar year list superseded, then transfer to archives for review and final disposition

[1.18.420.335 NMAC - Rp, 1.18.420.457 NMAC, 07/20/2014]

1.18.420.336 ACCOUNTING FIRM REGISTRY:

A. Program: accountancy

B. Maintenance system: chronological by date

C. Description: registry documenting all public accounting firms permitted in New Mexico. Registry may show names, addresses, permit numbers, etc.

D. Retention: 10 years from close of calendar year list superseded, then transfer to archives for review and final disposition

[1.18.420.336 NMAC - Rp, 1.18.420.458 NMAC, 07/20/2014]

1.18.420.337 - 1.18.420.349 [RESERVED]

1.18.420.350 ACUPUNCTURE AND ORIENTAL MEDICINE LICENSURE FILES:

A. Program: acupuncture and oriental medicine

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of qualified individuals to practice acupuncture or oriental medicine. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of transcripts, official licensure history, proof of clinical experience and practical examination, proof of national certification commission for acupuncture and oriental medicine examination scores, letter of intent, board's decision to deny or approve, renewal application, inactive application, inactive renewal or reinstatement form, *externship supervisor application*, *extern certification application*, copy of high school diploma or high school general equivalency diploma, copy of certification of a board approved auricular detoxification specialist training, copy of certification of a board approved auricular detoxification specialist training, examination scores, correspondence, etc.

D. Retention: 30 years from date licensure lapses or revocation.

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.350 NMAC - Rp, 1.18.420.471 NMAC, 07/20/2014]

1.18.420.351 EDUCATIONAL PROGRAM CERTIFICATION FILES:

A. Program: acupuncture and oriental medicine

B. Maintenance system: chronological by date, then alphabetical by program name

C. Description: records documenting the application and approval for board certification of educational programs responsible for conducting DOM or CADS training. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, program accreditation commission for acupuncture and oriental medicine accredited or equivalent for institutes, educational program catalogue, program curriculum, faculty list with biography and credentials for each faculty member, copy of instructor's license in jurisdiction of institute, *application for approval of an educational program*, correspondence, etc.

D. Retention: 25 years from date certification lapses or revocation
[1.18.420.351 NMAC - Rp, 1.18.420.474 NMAC, 07/20/2014]

1.18.420.352 EXAMINATION FILES:

A. Program: acupuncture and oriental medicine

B. Maintenance system: chronological by date

C. Description: record of examinations administered for DOM or CADS licensure. Files may include examination booklets, sign-in sheets, answer keys, score reports, etc.

D. Retention: five years from examination date

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.352 NMAC - Rp, 1.18.420.475 NMAC, 07/20/2014]

1.18.420.353 - 1.18.420.359 [RESERVED]

1.18.420.360 ATHLETIC COMMISSION LICENSURE FILES:

A. Program: athletics
B. Maintenance system: chronological by date, then by entity or surname
C. Description: records documenting the application, issuance and licensure history of event officials, unarmed combatants, corner men and promoters in the state. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, proof of training certificates, proof of association of boxing commission certification, copy of athletic commission exam scores, copy of contracts, identification photos, copy of blood work paperwork, copy of eye examination, copies of federal identification application, copies of federal identification cards, proof of surety bond, copy of certified financial statement, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued:** 10 years from date of licensure expiration or revocation

(2) **Licensed denied:** two years from date application denied

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.360 NMAC - Rp, 1.18.420.497 NMAC, 07/20/2014]

1.18.420.361 EVENT PERMIT FILES:

A. Program: athletics
B. Maintenance system: chronological by date
C. Description: records documenting the application, issuance and permit history of athletic commission approved events. Files may include copy of event permit, copy of contract for location, proof of fighter and spectator insurance, copy of fight card, verification of security for event, verification of ambulance and emergency medical technician services, copy of fight fact sheet from the association of boxing commissions, copy of contracts, copy of pre and post-fight physicals, score sheets, score cards, list of payment sheets for officials, bout results sheet, copy of financial statement report, correspondence, etc.

D. Retention:

(1) **Permit issued:** five years from date of event

(2) **Withdrawn application:** two years from date application received

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.361 NMAC - Rp, 1.18.420.500 NMAC, 07/20/2014]

1.18.420.362 - 1.18.420.369 [RESERVED]

1.18.420.370 ATHLETIC TRAINER LICENSURE FILES:

A. Program: athletic trainers
B. Maintenance system: chronological by date, then alphabetical by licensee surname
C. Description: records documenting the application, issuance and licensure history for athletic trainers. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for licensure, copy of official transcripts, copies of automated external defibrillator and cardiopulmonary resuscitation certification, copies of national athletic trainers association board of certification certificate, jurisprudence examination results, renewal applications, proof of CEU's, correspondence, etc.

D. Retention:

(1) **License issued:** seven years from date of licensure expiration or revocation

(2) **Withdrawn application:** three years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.370 NMAC - Rp, 1.18.420.511 NMAC, 07/20/2014]

1.18.420.371 - 1.18.420.374 [RESERVED]

1.18.420.375 COUNSELING AND THERAPY PRACTICE LICENSURE FILES:

A. Program: counseling and therapy
B. Maintenance system: chronological by date, then alphabetical by licensee surname
C. Description: records documenting the application, issuance and licensure history of qualified individuals to practice counseling or therapy. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for licensure, current photo, official copy of transcripts, exam scores sheets, verification of out of state licensure, renewal application, proof of CEU's, correspondence, etc.

D. Retention:

- (1) **License issued:** 30 years from date of licensure expiration or revocation
- (2) **Withdrawn application:** three years from date application received

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.375 NMAC - Rp, 1.18.420.531 NMAC, 07/20/2014]

1.18.420.376 CONTINUING EDUCATION UNIT PROVIDER CERTIFICATION FILES:

A. Program: counseling and therapy

B. Maintenance system: chronological by date, then alphabetical by provider surname

C. Description: records documenting the application, issuance and certification history of qualified individuals to provide CEUs. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include CEU provider application, photocopy of presenter's current license, proof of CEUs, resume of all presenters, complete course descriptions and objectives, copy of course attendance sheets, sample certificates of attendance, copy of participant evaluation documents, renewal application, correspondence, etc.

D. Retention:

- (1) **Certification issued:** 15 years from date of certification expiration or revocation
- (2) **Withdrawn application:** three years from date of application

[1.18.420.376 NMAC - Rp, 1.18.420.541 NMAC, 07/20/2014]

1.18.420.377 - 1.18.420.384 [RESERVED]

1.18.420.385 CHIROPRACTIC EXAMINERS LICENSURE FILES:

A. Program: chiropractic examiners

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, license issuance and licensure history of qualified individuals to practice chiropractic examination or for advanced practice certification registry. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for licensure, current photo, copy of chiropractic college diploma, certified pre-chiropractic transcript, certified chiropractic college transcript, national board transcript, written verification from chiropractic college acknowledging anticipated graduation and date, letters of recommendation, verification from other state boards, federation of chiropractic licensing board report, national practitioner date bank report, certificate of state board, exam documentation, copy of licensing certificate, confirmation of completed ninety clinical and didactic hours for advanced practice registry applicants along with copy of American chiropractic physician credentialing center exam certificate, renewal application, correspondence, etc.

D. Retention:

- (1) **License issued:** 30 years from date of licensure expiration or revocation
- (2) **No license issued:** three years from date application received or three years after failure of exam date, whichever is longer

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.385 NMAC - Rp, 1.18.420.551 NMAC, 07/20/2014]

1.18.420.386 - 1.18.420.399 [RESERVED]

1.18.420.400 BARBERS AND COSMETOLOGY LICENSURE FILES:

A. Program: barbers and cosmetology

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history for individuals qualified to practice barber and cosmetology specialties. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include school registration application, proof of age, proof of education, transcript, reciprocity application, affidavit, photo, application for exam, copy of exam notice, exam results, record of junior permit, student externship application, *booth establishment application*, *special event permit application*, correspondence, etc.

D. Retention:

- (1) **Barber:** 15 years from date licensure lapses or is revoked
- (2) **Cosmetologist:** 15 years from date licensure lapses or is revoked
- (3) **Manicurist-pedicurist:** 15 years from date licensure lapses or is revoked

- (4) **Esthetician:** 30 years from date licensure lapses or is revoked
- (5) **Electrologist:** 30 years from date licensure lapses or is revoked
- (6) **All withdrawn applications:** one year from date of application

E. **Confidentiality:** Portions of this record may be confidential.

[1.18.420.400 NMAC - Rp, 1.18.420.571 NMAC, 07/20/2014]

1.18.420.401 INSTRUCTOR LICENSURE FILES:

A. **Program:** barbers and cosmetology

B. **Maintenance system:** chronological by date, then alphabetical by surname

C. **Description:** records documenting the application, issuance and licensure history for individuals qualified to instruct barber and cosmetology specialties. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, proof of age, proof of education, notarized statement from employer, photo, transcript, reciprocity application, application for exam, copy of exam notice, exam results, correspondence, etc.

D. **Retention:**

(1) **License issued:** 30 years from date original licensure lapses or is revoked

(2) **No license issued:** one year from date of application

E. **Confidentiality:** Portions of this record may be confidential.

[1.18.420.401 NMAC - Rp, 1.18.420.572 NMAC, 07/20/2014]

1.18.420.402 SALON INSPECTION REPORTS:

A. **Program:** barbers and cosmetology

B. **Maintenance system:** chronological by date, then alphabetical by establishment name

C. **Description:** records documenting sanitation and business operation for qualified salons to conduct business offering barber and cosmetology services. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Reports may include the date, time of inspection starting and ending, establishment name, establishment license number, annual salon license number, address, name of owner, names of operators, license number and displayed, class of license, perm wave endorsement, sanitation, requirement check-off list, remarks, statement of agreed conditions, signatures of persons accepted by and inspected by, etc.

D. **Retention:**

(1) **Inspection passed:** one year from inspection date completed

(2) **Inspection failed:** one year from date of board complaint resolution or hearing and fines

resolved

[1.18.420.402 NMAC - Rp, 1.18.420.579 NMAC, 07/20/2014]

1.18.420.403 SCHOOL LICENSURE FILES:

A. **Program:** barbers and cosmetology

B. **Maintenance system:** chronological by date, then alphabetical by school name

C. **Description:** records documenting the application and approval for board certification of educational programs responsible for conducting barber and cosmetology training. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include *school application*, program accreditation for barber accredited or equivalent for institutes, educational program catalogue, program curriculum, faculty list with biography and credentials for each faculty member, copy of instructor's license in jurisdiction of institute, *school expansion campus facility license application*, copy of surety bond, blueprint of facility, correspondence, etc.

D. **Retention:** 25 years from date licensure lapses or is revoked

[1.18.420.403 NMAC - Rp, 1.18.420.585 NMAC, 07/20/2014]

1.18.420.404 ESTABLISHMENT OR ENTERPRISE LICENSURE FILES:

A. **Program:** barbers and cosmetology

B. **Maintenance system:** chronological by date, then alphabetical by establishment name

C. **Description:** records documenting the application, issuance and licensure history for establishments or enterprises qualified to practice barbering or cosmetology. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, correspondence, etc.

D. **Retention:** two years from date licensure lapses or is revoked

[1.18.420.404 NMAC - Rp, 1.18.420.587 NMAC, 07/20/2014]

1.18.420.405 BODY ART TATTOO AND PIERCING LICENSURE FILES:

A. Program: barbers and cosmetology
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and licensure history for individuals qualified to practice body art. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, proof of training hours, current work experience, copy of certificates for completed trainings, jurisprudence exam, proof of age, proof of education, transcript, photos, apprentice sponsorship form, proof of completion of occupational safety and health administration blood borne pathogens standard, CPR and first-aid certification, proof of current immunizations, copy of exam notice, exam results, special event application, correspondence, etc.

D. Retention:

- (1) **License issued:** 30 years from date licensure lapses or is revoked
- (2) **Withdrawn:** one year from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.405 NMAC - Rp, 1.18.420.593 NMAC, 07/20/2014]

1.18.420.406 APPRENTICE SPONSOR LICENSURE FILES:

A. Program: barber and cosmetology
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and licensure history for individuals qualified to sponsor an apprentice to practice body art. Files may include application, documentation of legally practicing tattoo or body piercing for at least five years without any board sanctioned disciplinary action, apprentice curriculum, correspondence, etc.

D. Retention: 30 years from date licensure lapses or is revoked

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.406 NMAC - Rp, 1.18.420.594 NMAC, 07/20/2014]

1.18.420.407 BODY ART ESTABLISHMENT LICENSURE FILES:

A. Program: barbers and cosmetology
B. Maintenance system: chronological by date, then alphabetical by establishment name
C. Description: records documenting the application, issuance and licensure history for body art establishments. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, proof supervising licensee active license, names of the body art supervising practitioners working at the establishment, correspondence, etc.

D. Retention: 30 years from date licensure lapses or is revoked

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.407 NMAC - Rp, 1.18.420.595 NMAC, 07/20/2014]

1.18.420.408 - 1.18.420.419 [RESERVED]

1.18.420.420 DENTIST LICENSURE FILES:

A. Program: dentistry
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, license issuance and licensure history for dentists. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for licensure, out of state licensure verification, copy of physician's statement, school certification, copy of WREB certificate, copy of diploma, copy of official transcripts, copy of birth certificate, copy of CPR card, copy of national board grade card or certificate, photograph, anesthesia certification application, licensee data form, renewal application, change of name or address form, background check, correspondence, etc.

D. Retention:

- (1) **License issued:** 30 years from date license expired or is revoked
- (2) **No license issued:** three years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.420 NMAC - Rp, 1.18.420.611 NMAC, 07/20/2014]

1.18.420.421 DENTAL ASSISTANT LICENSURE FILES:

- A. Program:** dentistry
 - B. Maintenance system:** chronological by date, then alphabetical by surname
 - C. Description:** records documenting the application, issuance and licensure history for dental assistants. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include dental assisting application, expanded function application, dental assisting national board exam certificate, verification of experience, renewal application, change of name or address form, background check, correspondence, etc.
 - D. Retention:**
 - (1) **License issued:** 30 years from date license is expired or is revoked
 - (2) **No license issued:** three years from date of application
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.420.421 NMAC - Rp, 1.18.420.612 NMAC, 07/20/2014]

1.18.420.422 DENTAL HYGIENIST LICENSURE FILES:

- A. Program:** dentistry
 - B. Maintenance system:** chronological by date, then alphabetical by surname
 - C. Description:** records documenting the application, license issuance and licensure history for dental hygienists. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, physician's statement, verification from other states where licensed, school certification, copy of western regional examining board certificate, copy of diploma, copy of official transcripts, copy of birth certificate, copy of CPR card, copy of national board grade card or certificate, photograph, verification of experience, local anesthesia application, WREB local anesthesia certificate, pit and fissure sealant course verification, licensee data form, renewal application, change of name or address form, copy of license certificate, background check, correspondence, etc.
 - D. Retention:**
 - (1) **License issued:** 30 years from date license is expired or is revoked
 - (2) **No license issued:** three years from date of application
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.420.422 NMAC - Rp, 1.18.420.613 NMAC, 07/20/2014]

1.18.420.423 - 1.18.420.434 [RESERVED]

1.18.420.435 NUTRITION AND DIETETICS PRACTICE LICENSURE FILES:

- A. Program:** nutrition and dietetics practices
 - B. Maintenance system:** chronological by date, then alphabetical by surname
 - C. Description:** records documenting the application, license issuance and licensure history for nutritionists, dietitians and nutrition associates. Files may include application for licensure, copy of official transcripts, copy of license, verification of other state licenses, exam results, copy of commission on dietetic registration card, American dietetics association verification statement, letter of supervised qualifying hours, employment verification, copy of letter of denial or approval, renewal application, copy of CEUs, correspondence, etc.
 - D. Retention:**
 - (1) **License issued:** 10 years from date of licensure expiration or revocation, then transfer to archives for review and final disposition
 - (2) **Withdrawn application:** two years from date of application
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.420.435 NMAC - Rp, 1.18.420.691 NMAC, 07/20/2014]

1.18.420.436 - 1.18.420.439 [RESERVED]

1.18.420.440 LANDSCAPE ARCHITECT LICENSURE FILES:

- A. Program:** landscape architecture
- B. Maintenance system:** chronological by date, then alphabetical by surname
- C. Description:** records documenting the application, issuance and licensure history of a landscape architect. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, official copy of council of landscape architectural registration boards certification, verification of

practical experience, landscape architectural work samples, official copy of transcripts, verification of out-of-state landscape architect licensure, letters of reference, proof of CEUs, landscape architecture registration examination request form, landscape architect uniform reciprocity verification form, official copy of landscape architecture registration exam results, renewal applications, correspondence, etc.

D. Retention:

- (1) **License issued:** five years from date of licensure expiration or revocation
- (2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.440 NMAC - Rp, 1.18.420.731 NMAC, 07/20/2014]

1.18.420.441 LANDSCAPE ARCHITECT IN TRAINING LICENSURE FILES:

A. Program: landscape architecture

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of a landscape architect in training. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, verification of practical experience, landscape architecture in training work samples, official copy of transcripts, verification of out-of-state landscape architect in training licensure, letters of reference, proof of CEUs, landscape architecture registration examination request form, official copy of landscape architecture registration exam results, renewal applications, correspondence, etc.

D. Retention:

- (1) **License issued:** five years from date of licensure expiration or revocation
- (2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.441 NMAC - Rp, 1.18.420.732 NMAC, 07/20/2014]

1.18.420.442 - 1.18.420.449 [RESERVED]

1.18.420.450 INTERIOR DESIGN LICENSURE FILES:

A. Program: interior design

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of an interior designer. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, official copy of transcripts, letters of reference, candidate experience form, official national council of interior design qualifications exam verification, copy of design curriculum program, identification photos, verification of out-of-state licensure, renewal applications, correspondence, etc.

D. Retention:

- (1) **License issued:** 10 years from date of licensure expiration or revocation
- (2) **Withdrawn application:** two years from date application received

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.450 NMAC - Rp, 1.18.420.751 NMAC, 07/20/2014]

1.18.420.451 - 1.18.420.459 [RESERVED]

1.18.420.460 MESSAGE THERAPIST LICENSURE FILES:

A. Program: board of massage therapy

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application and issuance of a license to practice massage therapy. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for licensure (i.e., applicant information, massage therapy education, transcripts, applicant personal history questionnaire, temporary license, applicant attestation, etc.), photo of applicant, examination results, documentation of fees paid, correspondence, etc.

D. Retention:

- (1) **License issued:** five years from date of expiration or revocation
- (2) **No license issued:** 18 months from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.460 NMAC - Rp, 1.18.420.771 NMAC, 07/20/2014]

1.18.420.461 MESSAGE THERAPY INSTRUCTOR FILES:

- A. Program:** board of massage therapy
 - B. Maintenance system:** chronological by date, then alphabetical by surname
 - C. Description:** records documenting the application for registration for the purpose of massage therapy instruction. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for registration (i.e., applicant information, massage therapy education, transcripts, instructional experience, applicant history questionnaire, applicant attestation, school attestation, etc.), photo of applicant, examination results, documentation of fees paid, correspondence, etc.
 - D. Retention:**
 - (1) **Instructor files:** five years from date of expiration or revocation
 - (2) **Visiting instructor files:** five years from date of application
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.420.461 NMAC - Rp, 1.18.420.778 NMAC, 07/20/2014]

1.18.420.462 MESSAGE THERAPY SCHOOL FILES:

- A. Program:** board of massage therapy
 - B. Maintenance system:** chronological by date, then alphabetical by institution name
 - C. Description:** records documenting application for registration of an institution for the purposes of massage therapy instruction. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, school curriculum, school syllabi, school calendar, copy of enrollment agreement, copy of advertisement catalog, copy of teach-out policy, list of faculty and instructors, institution floor plan, correspondence, etc.
 - D. Retention:** 25 calendar years from date of school closure
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.420.462 NMAC - Rp, 1.18.420.779 NMAC, 07/20/2014]

1.18.420.463 - 1.18.420.469 [RESERVED]

1.18.420.470 NURSING HOME ADMINISTRATOR LICENSURE FILES:

- A. Program:** nursing home administrators
 - B. Maintenance system:** chronological by date, then alphabetical by surname
 - C. Description:** records documenting the application, issuance and licensure history of a nursing home administrator. Files may include application, background check results, verification of out-of-state licensure, *national release of information* form, non-conviction statement, copy of resume, copy of degree, official copy of transcripts, list of other professional licenses, identification photos, proof of identity (e.g., birth certificate, driver's license, etc.), correspondence, etc.
 - D. Retention:**
 - (1) **License issued:** 15 years from date of licensure expiration, revocation or notification of death
 - (2) **Temporary permit issued:** seven years from date of permit expiration or revocation
 - (3) **Withdrawn application:** two years from date application received
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.420.470 NMAC - Rp, 1.18.420.791 NMAC, 07/20/2014]

1.18.420.471 - 1.18.420.484 [RESERVED]

1.18.420.485 OCCUPATIONAL THERAPIST LICENSURE FILES:

- A. Program:** occupational therapy
- B. Maintenance:** chronological by date, then alphabetical by surname
- C. Description:** records documenting the application, issuance and licensure history of an occupational therapist. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, identification photographs, copy of *jurisprudence* exam scores, verification of national board of certification in occupational therapy certification, verification of out-of-state licensure, official copy of exam scores from national board of certification in occupational therapy certification, *verification of employment* form, proof of CEUs, renewal applications, correspondence, etc.
- D. Retention:**

- (1) **License issued:** 25 years from date of licensure expiration or revocation
- (2) **Provisional permit issued:** 15 years from date of licensure expiration or revocation
- (3) **Withdrawn application:** two years from date application received

E. **Confidentiality:** Portions of this record may be confidential.

[1.18.420.485 NMAC - Rp, 1.18.420.809 NMAC, 07/20/2014]

1.18.420.486 OCCUPATIONAL THERAPIST ASSISTANT LICENSURE FILES:

A. **Program:** occupational therapy

B. **Maintenance:** chronological by date, then alphabetical by surname

C. **Description:** records documenting the application, issuance and licensure history of an occupational therapist assistant. Files may include application, identification photographs, copy of *jurisprudence* exam scores, verification of national board of certification in occupational therapy certification, verification of out-of-state licensure, official copy of exam scores from national board of certification in occupational therapy certification, *verification of employment form, supervision log, supervision form*, proof of CEUs, renewal applications, correspondence, etc.

D. **Retention:**

- (1) **License issued:** 25 years from date of licensure expiration or revocation
- (2) **Provisional permit issued:** 15 years from date of licensure expiration or revocation
- (3) **Withdrawn application:** two years from date application received

E. **Confidentiality:** Portions of this record may be confidential.

[1.18.420.486 NMAC - Rp, 1.18.420.810 NMAC, 07/20/2014]

1.18.420.487 - 1.18.420.499 [RESERVED]

1.18.420.500 OPTOMETRIST LICENSURE FILES:

A. **Program:** optometry

B. **Maintenance system:** chronological by date, then alphabetical by surname

C. **Description:** record documenting the application, issuance and licensure history of an optometrist. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include notarized exam, letter of intent, official copy of birth certificate, letters of reference, official transcripts, verification of out-of-state licensure, copy of cardio pulmonary resuscitation certificate, proof of ocular therapeutic pharmacology, proof of clinical pharmacology, report from national board of examiners in optometry, correspondence, etc.

D. **Retention:**

(1) **License issued:** 25 years from date of licensure expiration, revocation or notification of death, then transfer to archives for review and final disposition

(2) **License denied:** two years from date application denied

E. **Confidentiality:** Portions of this record may be confidential.

[1.18.420.500 NMAC - Rp, 1.18.420.821 NMAC, 07/20/2014]

1.18.420.501 LICENSED OPTOMETRIST REGISTRATION LOG:

A. **Program:** optometry

B. **Maintenance system:** chronological by date

C. **Description:** log documenting registered optometrist practicing in the state. Log may show name, address, license numbers, suspensions, revocations, renewals, etc.

D. **Retention:** permanent, transfer to archives 10 years from date log superseded

[1.18.420.501 NMAC - Rp, 1.18.420.826 NMAC, 07/20/2014]

1.18.420.502 - 1.18.420.512 [RESERVED]

1.18.420.513 SIGNED LANGUAGE INTERPRETER LICENSURE FILES:

A. **Program:** signed language interpreting practices board

B. **Maintenance system:** alphabetical by license type, then by licensee surname

C. **Description:** records concerning the application, renewal and issuance of a community signed language interpreter's license or an educational signed language interpreter's license. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC.. Files may include application for licensure (i.e., applicant's name,

address, SSN, personal history, etc.), proof of age, applicant's photo, copy of valid registry of interpreters of the deaf membership card, official transcripts, unofficial transcripts, recommendation from director of interpreter program, correspondence, etc.

D. Retention:

- (1) **Provisional licensure:** six years from date of licensure final renewal, expiration, termination or revocation
- (2) **Educational licensure:** three years from date of licensure final renewal, expiration, termination or revocation
- (3) **Community licensure:** three years from date of licensure final renewal, expiration, termination or revocation

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.513 NMAC - Rp, 1.18.420.840 NMAC, 07/20/2014]

1.18.420.514 - 1.18.420.524 [RESERVED]

1.18.420.525 OSTEOPATHIC EXAMINER LICENSURE FILES:

A. Program: osteopathic examiners

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of an osteopathic examiner. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, identification photos, official copy of osteopathic college degree, official copy of internship certificate, official copy of residency certificate, certified copy of post graduate training form, certified copy of medical education form, official copy of exam forms, hospital affiliations form, copy of American osteopathic association exam report form, letters of recommendation, verification of out-of-state licensure, federation of state medical boards exam form, proof of CEUs, reinstatement applications, renewal applications, correspondence, etc.

D. Retention:

- (1) **License issued:** 50 years from date of licensure expiration, notification of death, notification of cancellation or revocation, then transfer to archives for review and final disposition
- (2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.525 NMAC - Rp, 1.18.420.851 NMAC, 07/20/2014]

1.18.420.526 OSTEOPATHIC PHYSICIAN'S ASSISTANT LICENSURE FILES:

A. Program: osteopathic examiners

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of an osteopathic physician's assistant. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, identification photos, copy of drug formulary, copy of plan of supervision, completed physician assistant supervisory form, copy of official transcript from national commission on certification of physician assistant, copy of federation of state medical boards exam form, official copy of physician assistant diploma, verification of out-of-state licensure, renewal applications, correspondence, etc.

D. Retention:

- (1) **License issued:** 50 years from date of licensure expiration, notification of death, notification of cancellation or revocation, then transfer to archives for review and final disposition
- (2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.526 NMAC - Rp, 1.18.420.852 NMAC, 07/20/2014]

1.18.420.527 - 1.18.420.537 [RESERVED]

1.18.420.538 PHARMACIST LICENSURE FILES:

A. Program: pharmacy

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of a pharmacist. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include pharmacist application, pharmacist application by examination form, official copy of the North American pharmacist licensure

examination scores, pharmacy intern registration, pharmacist affidavit, official copy of multistate pharmacy jurisprudence examination scores, preceptor application, letters of results, evaluation by preceptor, evaluation by pharmacist intern, copy of intern hours, letters from school concerning intern hours, intern renewal forms, initial intern application form, application for computer use, official copies of transcripts, copy of judgments, renewal applications, changes reporting form, correspondence, etc.

D. Retention:

(1) **License issued:** 50 years from date of licensure expiration, notification of death, notification of cancellation or revocation, then transfer to archives for review and final disposition

(2) **Temporary license:** 25 years from date of licensure expiration or revocation, then transfer to archives for review and final disposition

(3) **Withdrawn application:** five years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.538 NMAC - Rp, 1.18.420.871 NMAC, 07/20/2014]

1.18.420.539 PHARMACIST INTERN LICENSURE FILES:

A. Program: pharmacy

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of a pharmacist intern. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, pharmacy intern registration, copy of foreign pharmacy graduates committee certificate, official copies of transcripts, official copy of the north American pharmacist licensure examination scores, official copy of multistate pharmacy jurisprudence examination scores, letters of results, application by examination form, copy of judgments, changes reporting forms, renewal application, correspondence, etc.

D. Retention:

(1) **License issued:** 25 years from date of licensure expiration, notification of cancellation, or revocation, then transfer to archive for review and final disposition

(2) **Withdrawn application:** three years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.539 NMAC - Rp, 1.18.420.873 NMAC, 07/20/2014]

1.18.420.540 WHOLESALER, MANUFACTURER AND REPACKER LICENSURE FILES:

A. Program: pharmacy

B. Maintenance system: chronological by date, then alphabetical by entity name

C. Description: records documenting the application, issuance and licensure history of a wholesaler, manufacturer, or repacker. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of existing licenses, copy of customer lists, list of owners, copy of description of type of business, listing of company representatives, contact information, change of ownership form, address change forms, change in personnel forms, judgments, facility controlled substance registration application, limited retail and wholesale veterinary drug permit, remodel or relocation application, wholesale drug distributor application, theft or loss of drugs or devices notification, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued:** 10 years from date of licensure expiration, notification of closure, or revocation

(2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.540 NMAC - Rp, 1.18.420.875 NMAC, 07/20/2014]

1.18.420.541 RESIDENT, NON-RESIDENT AND HOSPITAL PHARMACY LICENSURE FILES:

A. Program: pharmacy

B. Maintenance system: chronological by date, then alphabetical by entity name

C. Description: records documenting the application, issuance, and licensure history of a resident, non-resident and hospital pharmacy. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include resident application, non-resident application, policy and procedures, copy of description of business, copy of floor plans with dimensions, self-assessment reports, copy of request for inspection, inspection reports, notification of change of ownership, notification of personnel changes, copy of existing licenses, facility controlled substance registration application, hospital pharmacy self-assessment form, non-resident pharmacy self-assessment form, notice of pharmacy closure, retail pharmacy self-assessment form, sterile products compounding

self-assessment form, remodel or relocation application, adverse drug event form, copy of judgments, renewal applications, theft or loss of drugs or devices notification, correspondence, etc.

D. Retention:

(1) **License issued:** 25 years from date of licensure expiration, notification of closure, notification of change of ownership, or revocation

(2) **Temporary license issued:** 15 years from date of licensure expiration or revocation

(3) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.541 NMAC - Rp, 1.18.420.878 NMAC, 07/20/2014]

1.18.420.542 CLINIC LICENSURE FILES:

A. Program: pharmacy

B. Maintenance system: chronological by date, then alphabetical by entity name

C. Description: records documenting the application, issuance, and licensure history of clinics.

Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of policy and procedures, description of business, copy of floor plans with dimensions, controlled substance license, inspection reports, copy of request for inspection, notification of change of ownership, notification of personnel changes, personnel list, applications of waiver, copy of existing licenses, animal control clinic application, changes reporting form, emergency medical services clinic application, facility controlled substance registration application, homecare service application, limited drug permit clinic application, narcotic treatment program facility controlled substance registration application, remodel or relocation application, clinic self-assessment form, copy of judgments, theft or loss of drugs or devices notification, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued:** 10 years from date of licensure expiration, notification of closure, notification of change of ownership or revocation

(2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.542 NMAC - Rp, 1.18.420.880 NMAC, 07/20/2014]

1.18.420.543 CUSTODIAL LICENSURE FILES:

A. Program: pharmacy

B. Maintenance system: chronological by date, then alphabetical by entity name

C. Description: records documenting the application, issuance, and licensure history of an individual acting as a custodian of medicine for an individual. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include applications, copy of policy and procedures, copy of description of business, notification of change of ownership, notification of personnel changes, personnel list, applications of waiver, boarding and residential care home application, changes reporting form, custodial procedures manual and pharmacist agreement, intermediate care facility or skilled nursing facility drug permit application, copy of judgments, theft or loss of drugs or devices notification, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued:** 10 years from date of licensure expiration, notification of death, notification of closure or revocation

(2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.543 NMAC - Rp, 1.18.420.881 NMAC, 07/20/2014]

1.18.420.544 PHARMACIST TECHNICIAN, FACILITY AND MEDICAL PRACTITIONER CONTROLLED SUBSTANCE LICENSURE FILES:

A. Program: pharmacy

B. Maintenance system: chronological by date, then alphabetical by entity name

C. Description: records documenting the application, issuance, and licensure history of pharmacy technician, facility and practitioner licensed to issue controlled substances. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for certified pharmacy technician, application for non-certified pharmacy technician, training records, official copy of pharmacy technician certification exam certificate, application for controlled substance license, official copy of exam for the certification of pharmacy technician certificate, copy of professional licenses, changes reporting forms, practitioners controlled

substance registration application, technician training record form, copy of judgments, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued:** 10 years from date of licensure expiration, notification of death, notification of cancellation, or revocation

(2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.544 NMAC - Rp, 1.18.420.882 NMAC, 07/20/2014]

1.18.420.545 PHARMACIST REGISTRY:

A. Program: pharmacy

B. Maintenance system: chronological by date

C. Description: registry documenting the licensed pharmacists. Registry may show name, license number, date issued, test scores, etc.

D. Retention: permanent, transfer to archives 10 years from the close of the calendar year in which registry report superseded

[1.18.420.545 NMAC - Rp, 1.18.420.884 NMAC, 07/20/2014]

1.18.420.546 PHARMACIST CLINICIAN LICENSURE FILES:

A. Program: pharmacy

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of a pharmacist clinician. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of protocol signed by physician, list of patient contacts, proof of CEUs, copy of controlled substance license, practitioners controlled substance registration application, judgments, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued:** 25 years from date of last licensure expiration, notification of cancellation, or revocation, then transfer to archives for review and final disposition

(2) **Withdrawn application:** three years from date application processed

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.546 NMAC - Rp, 1.18.420.895 NMAC, 07/20/2014]

1.18.420.547 CONTACT LENS SELLER AND DISPENSER LICENSURE FILES:

A. Program: pharmacy

B. Maintenance system: chronological by date, then alphabetical by facility name

C. Description: records documenting the application, issuance and licensure history of a contact lens seller and dispenser. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, policy and procedures, copy of floor plans with dimensions, copy of request for inspection, copy of inspection reports, notification of change of ownership, notification of personnel changes, copy of existing licenses, copy of judgments, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued:** 10 years from date of licensure expiration, notification of closure, notification of change of ownership or revocation

(2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.547 NMAC - Rp, 1.18.420.896 NMAC, 07/20/2014]

1.18.420.548 LAW ENFORCEMENT DRUG TAKE BACK FORM FILE:

A. Program: pharmacy

B. Maintenance system: chronological by date

C. Description: records documenting the sponsorship of a prescription drug take back event. Form may show date, location, who is sponsoring the event, when the event is taking place, correspondence, etc.

D. Retention: seven years from date of event

[1.18.420.548 NMAC - Rp, 1.18.420.897 NMAC, 07/20/2014]

- 1.18.420.549 LIMITED CONTROLLED SUBSTANCE REGISTRATION LICENSURE FILES:**
- A. Program:** pharmacy
 - B. Maintenance system:** chronological by date, then alphabetical by facility name
 - C. Description:** records documenting the application, issuance, and licensure history of a facility to have controlled substances on property. Files may include application, request for inspection, policy and procedures, copy of floor plans and dimensions, renewal application, correspondence, etc.
 - D. Retention:**
 - (1) **License issued:** 10 years from date of expiration, revocation or facility closure
 - (2) **No license issued:** three years from date of application
- [1.18.420.549 NMAC - Rp, 1.18.420.898 NMAC, 07/20/2014]

- 1.18.420.550 LIMITED DANGEROUS DRUG RESEARCH LICENSURE FILES:**
- A. Program:** pharmacy
 - B. Maintenance system:** chronological by date, then alphabetical by facility name
 - C. Description:** records documenting the application, issuance, and licensure history of a facility to have dangerous drugs for research on property. Files may include application, request for inspection, policy and procedures, copy of plans and dimensions, correspondence, etc.
 - D. Retention:**
 - (1) **License issued:** 10 years from date of expiration, revocation or facility closure
 - (2) **No license issued:** three years from date of application
- [1.18.420.550 NMAC - Rp, 1.18.420.899 NMAC, 07/20/2014]

- 1.18.420.551 ADVERSE DRUG EVENT FORM FILE:**
- A. Program:** pharmacy
 - B. Maintenance system:** chronological by date
 - C. Description:** records documenting the occurrence of an adverse reaction to a prescription medication. Form may show patient information (e.g., date, gender, age, type of injury, symptoms, etc.), prescription information (e.g., brand, dosage form, strength, instructions, etc.), root cause analysis, report of closing action, correspondence, etc.
 - D. Retention:** 10 years from date of closing action
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.420.551 NMAC - Rp, 1.18.420.900 NMAC, 07/20/2014]

- 1.18.420.552 PRESCRIPTION DRUG DONATION FILES:**
- A. Program:** pharmacy
 - B. Maintenance system:** chronological by date
 - C. Description:** records documenting the donation of drugs to entities or individuals in need. Files may include participating practitioner information form, participating clinic information form, recipient of drug information form, donor of drug information form, correspondence, etc.
 - D. Retention:** seven years from date of donation
 - E. Confidentiality:** Portions of this file may be confidential.
- [1.18.420.552 NMAC - Rp, 1.18.420.901 NMAC, 07/20/2014]

- 1.18.420.553 AUTHORIZED DELEGATE FORMS:**
- A. Program:** pharmacy
 - B. Maintenance system:** chronological by date
 - C. Description:** records documenting practitioner approval of an individual to access the prescription management program on behalf of an individual practitioner for an individual, group or residency practice. Portions of this record is input to the *New Mexico prescription management information database*, 1.18.420.558 NMAC. Form may show practitioner name, business address, drug enforcement agency number, name of authorized delegate, relationship to the practitioner, signature of practitioner, date, notarization, etc.
 - D. Retention:**
 - (1) **Approved form:** 15 years from date delegate no longer authorized or revocation of authorization
 - (2) **Denied form:** one year from date form processed
- [1.18.420.553 NMAC - N, 07/20/2014]

1.18.420.554 PRESCRIPTION MONITORING PROGRAM REQUEST FOR AUTHORIZATION APPLICATION FILES:

A. Program: pharmacy
B. Maintenance system: chronological by date , then alphabetical by entity or surname
C. Description: records documenting the application and approval of a practioner, delegate of a practitioner, pharmacist, pharmacy technician, dispenser agent, dispenser reporting service, law enforcement regulatory board to have access to the PMP database. Portions of this record is input to the *New Mexico prescription management information database*, 1.18.420.558 NMAC. Files may include application, copy of New Mexico controlled substance license, copy of professional licenses, drug enforcement agency number, *pmp registration identity confirmation form*, correspondence, etc.

D. Retention:

(1) **Application approved:** 10 years from date individual is no longer authorized to access the database

(2) **Application denied:** one year from date application processed

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.554 NMAC - N, 07/20/2014]

1.18.420.555 PRESCRIPTION MONITORING PROGRAM REQUEST FOR REPORT FILES:

A. Program: pharmacy
B. Maintenance system: chronological by date
C. Description: records documenting the request for a PMP report. Files may include notarized request form, copy of requested report, copy of identification (e.g., driver's license, etc.), correspondence, etc.

D. Retention:

(1) **Approved request files:** 10 years from date request processed

(2) **Denied request files:** one year from date request processed

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.555 NMAC - N, 07/20/2014]

1.18.420.556 PRESCRIPTION MONTORING PROGRAM WAIVER FORMS:

A. Program: pharmacy
B. Maintenance system: chronological by date, then alphabetical by company name
C. Description: records documenting the application and issuance of a waiver for an entity to be excluded from reporting to the PMP. Entities that do not dispense controlled substances can be excluded from this reporting. Form may show pharmacy name, pharmacy drug enforcement agency number, pharmacy license number, pharmacy national council for prescription drug programs address, pharmacy contact information, authorized representative information, etc.

D. Retention:

(1) **Waiver approved:** 10 years from date waiver is removed or entity closes

(2) **Waiver denied:** one year from date form processed

[1.18.420.556 NMAC - N, 07/20/2014]

1.18.420.557 DELINQUENT PHARMACY AND ISSUING PRACTITIONER LIST:

A. Program: pharmacy
B. Maintenance system: chronological by date
C. Description: records documenting non-compliance with reporting practices by pharmacies and issuing practioners. Lists may show last upload, date notice sent, store name, address, contact information, person of contact, issue with reporting, drug enforcement administration number, national council for prescription drug programs number, etc.

D. Retention: 18 months from date of report

[1.18.420.557 NMAC - N, 07/20/2014]

1.18.420.558 NEW MEXICO PRESCRIPTION MANAGEMENT INFORMATION DATABASE:

A. Program: pharmacy

B. Maintenance system: numerical by primary key

C. Description: database monitors controlled substance prescriptions issued and filled by pharmacies and dispensing practitioners. Data may include pharmaceutical data, prescribing physician data, delegate information data, patient data, etc.

D. Data retention: permanent

E. Confidentiality: Portions of this record may be confidential.

F. Input: records used as input into the *new mexico prescription management information database* are directly input into database at time of approval and dispensure of precriptions by pharmacies and dispensing practioners.

G. Output: Because the *new mexico prescription management information database* is a data-based system, ad-hoc and regularly scheduled reports are produced. Some of these reports include statistical reports, delinquent pharmacy reports, etc.

[1.18.420.558 NMAC - N, 07/20/2014]

1.18.420.559 - 1.18.420.574 [RESERVED]

1.18.420.575 PHYSICAL THERAPIST AND PHYSICAL THERAPIST ASSISTANT LICENSURE FILES:

A. Program: physical therapy

B. Maintenance system: chronological by date, alphabetical by surname

C. Description: records documenting the licensing of physical therapists and physical therapist assistants. Files may include application, national score report, transcripts, jurisprudence exam, copy of license, renewal application, continuing education documentation, passport quality photographs, misconduct information, type one certificate or credentialing report for foreign-educated applicants, copy of temporary license, verification of employment, verification of licensure, correspondence, etc.

D. Retention:

(1) **License issued:** 10 years from date of expiration or revocation of licensure

(2) **Expired license application:** three years from date of expiration

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.575 NMAC - Rp, 1.18.420.911 NMAC, 07/20/2014]

1.18.420.576 TEMPORARY LICENSURE FOR FOREIGN PHYSICAL THERAPISTS AND PHYSICAL THERAPIST ASSISTANTS INSTRUCTOR FILES:

A. Program: physical therapy

B. Maintenance system: chronological by date, alphabetical by surname

C. Description: records documenting the issuance of temporary licensure for physical therapists and physical therapist assistants as instructors for the purpose of teaching an educational seminar in New Mexico. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include notarized applications, passport quality photographs, verification of licensure, misconduct information, correspondence, etc.

D. Retention: two years from the close of the calendar year in which license expired

E. Confidentiality: portions of this record may be confidential.

[1.18.420.576 NMAC - Rp, 1.18.420.912 NMAC, 07/20/2014]

1.18.420.577 - 1.18.420.587 [RESERVED]

1.18.420.588 PODIATRY LICENSURE FILES:

A. Program: podiatry

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of a podiatrist. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include notarized application, notarized application for temporary podiatry license, application checklist (temporary), identification photos, official copy of transcripts, letters of recommendation, certified copy of residency certificate, official copy of American podiatric medical examiner national board exam scores, official copy of federation of podiatric medical examiners pm lexis exam scores, proof of active practice, verification of out-of-state licensure, copy of *jurisprudence exam* scores, copy of report from national practitioners data bank, copy of report from federation of podiatric medical boards, proof of CEUs, renewal applications, copy of license, correspondence, etc.

D. Retention:

(1) **License issued:** 25 years from date of licensure expiration, revocation or notification of death, then transfer to archives for review and final disposition

(2) **Withdrawn application:** three years from date of application

E. **Confidentiality:** Portions of this record may be confidential.
[1.18.420.588 NMAC - Rp, 1.18.420.931 NMAC, 07/20/2014]

1.18.420.589 - 1.18.420.599 [RESERVED]

1.18.420.600 POLYGRAPH EXAMINER LICENSURE FILES:

A. **Program:** private investigations

B. **Maintenance system:** chronological by calendar year, then alphabetical by surname

C. **Description:** records documenting the application, issuance and licensure history for polygraph examiners. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for licensure, photos, copy of polygraph school diploma or certificate of completion, copy of *jurisprudence examination results*, release of information forms, fingerprint cards, sponsor's report, proof of CEUs, copy of high school diploma or equivalent, proof of age (e.g., copy of driver's license), renewal applications, correspondence, etc.

D. **Retention:**

(1) **License issued:** 10 years from close of calendar year in which license expired or is revoked

(2) **Withdrawn application:** one year from date application received

E. **Confidentiality:** Portions of this record may be confidential.
[1.18.420.600 NMAC - Rp, 1.18.420.951 NMAC, 07/20/2014]

1.18.420.601 PRIVATE INVESTIGATOR LICENSURE FILES:

A. **Program:** private investigations

B. **Maintenance system:** chronological by calendar year, then alphabetical by surname

C. **Description:** records documenting the application, issuance and licensure history for private investigators. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for licensure, photos, certification of experience, proof of age (e.g., copy of driver's license), release of information forms, finger print cards, copy of *jurisprudence exam* results, firearms certification, correspondence, etc.

D. **Retention:**

(1) **License issued:** 10 years from close of calendar year in which license expired or is revoked

(2) **Withdrawn application:** one year from date application received

E. **Confidentiality:** Portions of this record may be confidential.
[1.18.420.601 NMAC - Rp, 1.18.420.952 NMAC, 07/20/2014]

1.18.420.602 PRIVATE INVESTIGATION EMPLOYEE LICENSURE FILES:

A. **Program:** private investigations

B. **Maintenance system:** chronological by calendar year, then alphabetical by surname

C. **Description:** records documenting the application, issuance and licensure history of individuals employed by a licensed private investigation company. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for licensure, photos, copy of certification of employment, proof of age (e.g., copy of driver's license), release of information forms, fingerprint cards, copy of *jurisprudence exam* results, firearms certification, notice of termination, renewal applications, copy of high school diploma or equivalent, correspondence, etc.

D. **Retention:**

(1) **License issued:** 10 years from close of calendar year in which license is expired, revoked or terminated

(2) **Withdrawn application:** one year from date application received

E. **Confidentiality:** Portions of this record may be confidential.
[1.18.420.602 NMAC - Rp, 1.18.420.953 NMAC, 07/20/2014]

1.18.420.603 PRIVATE INVESTIGATION MANAGER LICENSURE FILES:

A. **Program:** private investigations

B. **Maintenance system:** chronological by calendar year, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of a qualified individual to be employed as a manager of a licensed private investigation company. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for licensure, release of information forms, copy of current private investigator license, copy of *jurisprudence exam* results, certification of employment with the private investigation company, fingerprint cards, renewal applications, proof of CEUs, correspondence, etc.

D. Retention:

(1) **License issued:** 10 years from close of calendar year in which license is expired, revoked, or terminated

(2) **Withdrawn application:** one year from date application received

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.603 NMAC - Rp, 1.18.420.954 NMAC, 07/20/2014]

1.18.420.604 PRIVATE INVESTIGATION COMPANY LICENSURE FILES:

A. Program: private investigations

B. Maintenance system: chronological by calendar year, then alphabetical by company name

C. Description: records documenting the application, issuance and licensure history of a qualified individual or entity operating a private investigation company. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for licensure, fingerprint cards, branch applications, copies of private investigator licenses, release of information forms, proof of surety bond, proof of general liability certificate of insurance, renewal applications, notice of change of private investigation manager, correspondence, etc.

D. Retention:

(1) **License issued:** 10 years from close of calendar year in which license expired or is revoked

(2) **Withdrawn application:** one year from date application received

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.604 NMAC - Rp, 1.18.420.955 NMAC, 07/20/2014]

1.18.420.605 PRIVATE PATROL OPERATOR LICENSURE FILES:

A. Program: private investigations

B. Maintenance system: chronological by calendar year, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of an individual to be employed by a licensed private patrol company. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for licensure, certificate of experience forms, photos, release of information forms, copy of *jurisprudence exam* results, proof of age (e.g. copy of license), finger print cards, firearms certification, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued:** 10 years from close of calendar year in which license expired or is revoked

(2) **Withdrawn application:** one year from date application received

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.605 NMAC - Rp, 1.18.420.956 NMAC, 07/20/2014]

1.18.420.606 PRIVATE PATROL OPERATOR MANAGER LICENSURE FILES:

A. Program: private investigations

B. Maintenance system: chronological by calendar year, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of qualified individual employed as a manager by a licensed private patrol company. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for licensure, release of authorization forms, renewal applications, fingerprint cards, copy of private patrol operator or third level security guard licensure, certification of employment form, correspondence, etc.

D. Retention:

(1) **License issued:** 10 years from close of calendar year in which license is expired, revoked or terminated

(2) **Withdrawn application:** one year from date application received

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.606 NMAC - Rp, 1.18.420.957 NMAC, 07/20/2014]

1.18.420.607 PRIVATE PATROL COMPANY LICENSURE FILES:

- A. Program:** private investigations
- B. Maintenance system:** chronological by calendar year, then alphabetical by company name
- C. Description:** records documenting the application, issuance and licensure history of a qualified

individual or entity operating a private patrol company. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for licensure, fingerprint cards, copies of private patrol operator licenses, private patrol operations manager licenses, *release of information* forms, questionnaire forms, proof of general liability certificate of insurance, photos, renewal applications, notice of change of private patrol operations manager, correspondence, etc.

D. Retention:

- (1) **License issued:** 10 years from close of calendar year in which license expired or is revoked
- (2) **Withdrawn application:** one year from date application received

- E. Confidentiality:** Portions of this record may be confidential.

[1.18.420.607 NMAC - Rp, 1.18.420.958 NMAC, 07/20/2014]

1.18.420.608 SECURITY GUARD LICENSURE FILES:

- A. Program:** private investigations
- B. Maintenance system:** chronological by calendar year, then alphabetical by surname
- C. Description:** records documenting the application, issuance and licensure history of a qualified

security guard. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application for licensure, photos, copy of the certificate of completion of a training program, copy of high school diploma or equivalent, proof of age (e.g., driver's license), release of information forms, copy of *jurisprudence exam* results, weapon certification, firearm certification, fingerprint cards, correspondence, etc.

D. Retention:

- (1) **License issued:** 10 years from close of calendar year in which license expired or is revoked
- (2) **Withdrawn application:** one year from date application received

- E. Confidentiality:** Portions of this record may be confidential.

[1.18.420.608 NMAC - Rp, 1.18.420.959 NMAC, 07/20/2014]

1.18.420.609 - 1.18.420.619 [RESERVED]

1.18.420.620 PSYCHOLOGIST EXAMINER LICENSURE FILES:

- A. Program:** psychologist examiners
- B. Maintenance system:** chronological by date, then alphabetical by surname
- C. Description:** records documenting the application, issuance and licensure history of a

psychologist examiner. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include psychologist application, copy of letters of recommendation, official copy of transcripts, letters of references, identification photos, official copy of the examination for professional practice in psychology exam scores, official copy of the *jurisprudence exam* score, *practicum verification* form, *practicum experience documentation* form, *psychologist pre and post-doctoral experience verification* form, proof of CEUs, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued:** 50 years from date of licensure expiration, notification of death, or revocation, then transfer to archives for review and final disposition

(2) **Temporary license issued:** 25 years from date of licensure expiration or revocation, then transfer to archives for review and final disposition

- (3) **Withdrawn application:** three years from date of application

- E. Confidentiality:** Portions of this record may be confidential.

[1.18.420.620 NMAC - Rp, 1.18.420.981 NMAC, 07/20/2014]

1.18.420.621 CONDITIONAL PSYCHOPHARMACOLOGY PSYCHOLOGIST EXAMINER LICENSURE FILES:

- A. Program:** psychologist examiners
- B. Maintenance system:** chronological by date, then alphabetical by surname
- C. Description:** records documenting the application, issuance and licensure history of a conditional

psychopharmacology psychologist examiner. Portions of this record are input to the *licensing system*, 1.18.420.1001

NMAC. Files may include official notarized copy of conditional prescribing psychologist application, letters of recommendation, official notarized copy of transcripts, official copy of work in psychopharmacology, letters of reference, identification photos, official copy of the psychopharmacology examination for psychologists exam scores, official copy of the *jurisprudence exam* score, copy of verification of malpractice insurance coverage, verification of experience by training form, supervisory verification eighty-hour practicum in primary health care form, supervisory verification four hundred-hour treating a minimum of one hundred people with pharmacotherapy form, eighty-hour evaluation by supervisor in primary health care setting form, midterm and final evaluation forms completed by a supervisor of four hundred-hour practicum, proposed supervisory plan for conditional prescribing psychologist form, proof of CEUs, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued:** 25 years from date of licensure expiration or revocation, then transfer to archives for review and final disposition

(2) **Withdrawn application:** three years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.621 NMAC - Rp, 1.18.420.982 NMAC, 07/20/2014]

1.18.420.622 PSYCHOPHARMACOLOGY PSYCHOLOGIST EXAMINER LICENSURE FILES:

A. Program: psychologist examiners

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of a psychopharmacology psychologist examiner. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include psychologist application for unrestricted prescribing, identification photos, official copy of conditional prescriptive certificate, copy of active New Mexico psychologist examiner license, evaluation form by primary supervisor, log of hours of supervision by supervisors, log of patient contacts, verification of malpractice insurance coverage, official copy of the *jurisprudence exam* score, proof of CEUs, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued:** 25 years after date of licensure expiration, notification of death, or revocation, then transfer to archives for review and final disposition

(2) **Withdrawn application:** three years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.622 NMAC - Rp, 1.18.420.983 NMAC, 07/20/2014]

1.18.420.623 PSYCHOLOGIST ASSOCIATE LICENSURE FILES:

A. Program: psychologist examiners

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of a psychologist associate. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include psychologist application, letters of recommendation, official copy of transcripts, letters of references, identification passport photos, official copy of the examination for professional practice in psychology exam scores, official copy of the *jurisprudence exam* score, *practicum verification* form, *practicum experience documentation* form, *psychologist pre and post-doctoral experience verification* form, proof of CEUs, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued:** 25 years after date of licensure expiration, notification of death, or revocation, then transfer to archives for review and final disposition

(2) **Provisional license issued:** 15 years from date of licensure expiration or revocation, then transfer to archives for review and final disposition

(3) **Withdrawn application:** three years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.623 NMAC - Rp, 1.18.420.984 NMAC, 07/20/2014]

1.18.420.624 PSYCHOLOGIST BOARD ANNUAL REPORT FILE:

A. Program: psychology

B. Maintenance system: chronological by date

C. Description: report documenting activities performed by the board of psychology. Report may show names of psychologists and psychologist associates to whom licenses have been granted, cases heard and decisions rendered in relation to the work of the board, the recommendations of the board as to future policies, account of all money received and expended by the board, correspondence, etc.

D. Retention: permanent, transfer to archive 10 years from close of the calendar year in which superseded

[1.18.420.624 NMAC - Rp, 1.18.420.989 NMAC, 07/20/2014]

1.18.420.625 - 1.18.420.635 [RESERVED]

1.18.420.636 REAL ESTATE BROKER LICENSURE FILES:

A. Program: real estate

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of a real estate broker. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, certificates of course completion, character references, *eligibility and examination registration* form, official copy of national broker exam scores, official copy of new Mexico broker exam scores, copy of original license, proof of CEUs, proof of error of omissions and insurance, certified licensure history, *fingerprint certification form*, verification of out-of-state licensure, transfer of information form, identification photos, documentation of disciplinary action, renewal applications, correspondence, etc.

D. Retention: 25 years from date of licensure expiration, revocation or notification of death

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.636 NMAC - Rp, 1.18.420.1002 NMAC, 07/20/2014]

1.18.420.637 REAL ESTATE ASSOCIATE BROKER LICENSURE FILES:

A. Program: real estate

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of a real estate associate broker. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, errors and omissions insurance verification, certificates of completion, fingerprint certification form, licensure history, renewals, verification of out-of-state licensure, transfer of information forms, proof of CEUs, documentation of disciplinary action, correspondence, etc.

D. Retention: 25 years from date of licensure expiration, revocation or notification of death

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.637 NMAC - Rp, 1.18.420.1003 NMAC, 07/20/2014]

1.18.420.638 CERTIFIED INSTRUCTOR FILES:

A. Program: real estate

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the certification of individuals to teach courses for real estate brokers and assistant brokers. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, course documentation, copy of certificates, outline of courses, renewal application, correspondence, etc.

D. Retention: five years from date of certification expiration or revocation

[1.18.420.638 NMAC - Rp, 1.18.420.1004 NMAC, 07/20/2014]

1.18.420.639 SPONSOR CERTIFICATION FILES:

A. Program: real estate

B. Maintenance system: chronological by date, then alphabetical by entity name

C. Description: records documenting the certification of an entity to offer courses related to real estate education. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include notarized application, copy of student evaluation form, copy of certificate of completion, copy of letter of approval or denial, *one-time continuing education course sponsor application*, sponsor renewal application, correspondence, etc.

D. Retention:

(1) **Certificate issued:** 25 years from date of certificate expiration or revocation

(2) **Withdrawn or denied application:** two years from date application withdrawn or denied
[1.18.420.639 NMAC - Rp, 1.18.420.1005 NMAC, 07/20/2014]

1.18.420.640 APPROVED COURSES FILES:

- A. **Program:** real estate
- B. **Maintenance system:** chronological by date, then alphabetical by course name
- C. **Description:** records documenting the approval of real estate education courses. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of class outline, copy of evaluation by committee members, etc.
- D. **Retention:**
 - (1) **Course approved:** five years from date of last course instruction
 - (2) **Course withdrawn or denied:** two years from date application withdrawn or denied

[1.18.420.640 NMAC - Rp, 1.18.420.1006 NMAC, 07/20/2014]

1.18.420.641 REAL ESTATE OFFICE INSPECTION FILES:

- A. **Program:** real estate
- B. **Maintenance system:** chronological by date, then alphabetical by entity name
- C. **Description:** records documenting the routine audit of offices of real estate entities. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include survey form, inspection form, letter stating compliance or non-compliance, correspondence, etc.
- D. **Retention:**
 - (1) **Compliant inspection:** three years from date of compliant inspection
 - (2) **Non-compliant inspection:** five years from date of final disposition of inspection

[1.18.420.641 NMAC - Rp, 1.18.420.1009 NMAC, 07/20/2014]

1.18.420.642 TIME SHARE CERTIFICATE OF REGISTRATION FILES:

- A. **Program:** real estate
- B. **Maintenance system:** chronological by date, then alphabetical by entity name
- C. **Description:** records documenting the registration of a purchased time share project. Files may include application; copy of power of attorney; corporate resolution; legal description of the recorded plat, survey, map or location plan; copy of recorded plat, survey, map or location plan; copy of preliminary or final title report; copies of declaration of covenants, conditions and restrictions; declaration of timesharing restrictions; copies of leases, options, contracts of purchase, liens, encumbrances, mortgages and trust agreements; list of names of partners, co-venture, director, officer, principal shareholders, brokers, associate brokers, project manager, property manager, sales director and marketing director; copy of contracts for individuals providing services for the timeshares; history of employment for individuals providing services to the timeshares; copies of any advertising, promotional mailings promotional entry boxes and other promotional materials; copies of disclosure statements; description of all terms and conditions of each charter membership, owner referral, rental, resale and in-house exchange, correspondence, etc.
- D. **Retention:**
 - (1) **Registration issued:** 10 years from date of registration expiration or revocation
 - (2) **Registration denied or withdrawn:** two years from date application denied or withdrawn
- E. **Confidentiality:** Portions of this record may be confidential.

[1.18.420.642 NMAC - Rp, 1.18.420.1011 NMAC, 07/20/2014]

1.18.420.643 REGISTER OF LICENSED REAL ESTATE BROKERS AND ASSOCIATE BROKERS:

- A. **Program:** real estate
- B. **Maintenance system:** chronological by date
- C. **Description:** register documenting all associate and brokers whose licensure has been issued, denied, suspended or revoked. Register may show name, place of business, date, license number, etc.
- D. **Retention:** 10 years from date superseded

[1.18.420.643 NMAC - Rp, 1.18.420.1020 NMAC, 07/20/2014]

1.18.420.644 - 1.18.420.654 [RESERVED]

1.18.420.655 RESPIRATORY CARE PRACTITIONER LICENSURE FILES:

A. Program: respiratory care
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and licensure history of a respiratory care practitioner. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of identification photographs, copy of the official transcript for the completed respiratory care program, copy of the respiratory care program completion certificate or diploma, copy of certificate from national board of respiratory care, copy of exam card from national board of respiratory care, personal history supporting documentation (e.g., copy of court orders, copy of certificate of compliance, etc.), copy of resume, official copy of validation of out-of-state licensure, copy of extended practice certification, copy of CEUs, correspondence, etc.

D. Retention:

- (1) **License issued:** 25 years from date of licensure expiration or revocation
- (2) **Withdrawn application:** two years after date application withdrawn

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.655 NMAC - Rp, 1.18.420.1031 NMAC, 07/20/2014]

1.18.420.656 TEMPORARY TRAINING PERMIT FILES:

A. Program: respiratory care
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and permit history of a respiratory care practitioner student and graduate in training. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of identification photos, official copy of *training supervisor's agreement* form, official copy of employment verification form, copy of official verification of current respiratory care program enrollment, personal history supporting documentation (e.g., copy of court orders, copy of certificate of compliance, etc.), copy of renewal application, correspondence, etc.

D. Retention:

- (1) **Permit issued:** 10 years from date of permit expiration or revocation
- (2) **Withdrawn application:** two years from date application withdrawn

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.656 NMAC - Rp, 1.18.420.1032 NMAC, 07/20/2014]

1.18.420.657 - 1.18.420.667 [RESERVED]

1.18.420.668 APPRENTICE IN SPEECH LANGUAGE PATHOLOGY LICENSURE FILES:

A. Program: speech, language, pathology, audiology and hearing aid dispensing practices
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and licensure history of an apprentice in speech language. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of official transcripts, verification of employment form, verification of education form, copy of *jurisprudence exam* results, verification of out-of-state licensure, renewal application, correspondence, etc.

D. Retention:

- (1) **License issued:** 50 years from date of licensure expiration or revocation
- (2) **Withdrawn application:** three years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.668 NMAC - Rp, 1.18.420.1051 NMAC, 07/20/2014]

1.18.420.669 CLINICAL FELLOW SPEECH LANGUAGE PATHOLOGIST AUDIOLOGIST LICENSURE FILES:

A. Program: speech, language, pathology, audiology and hearing aid dispensing practices
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and licensure history of a clinical fellow speech language pathologist audiologist. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of official transcripts, clinical fellow plan, copy of *jurisprudence exam* results, verification of out-of-state licensure, renewal applications, correspondence, etc.

D. Retention:

- (1) **License issued:** 10 years from date of licensure expiration or revocation
- (2) **Withdrawn application:** three years from date of application

E. Confidentiality: Portions of this record may be confidential.
[1.18.420.669 NMAC - Rp, 1.18.420.1052 NMAC, 07/20/2014]

1.18.420.670 SPEECH LANGUAGE PATHOLOGIST LICENSURE FILES:

A. Program: speech, language, pathology, audiology and hearing aid dispensing practices
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and licensure history of a speech language pathologist. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of official transcripts, certified copy of certificate of clinical competency, proof of completion of clinical fellowship year, copy of results from American speech language hearing association examination, copy of *jurisprudence exam* results, verification of out-of-state licensure, renewal applications, proof of CEUs, correspondence, etc.

D. Retention:

- (1) **License issued:** 50 years from date of licensure expiration or revocation
- (2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.
[1.18.420.670 NMAC - Rp, 1.18.420.1053 NMAC, 07/20/2014]

1.18.420.671 AUDIOLOGIST LICENSURE FILES:

A. Program: speech, language, pathology, audiology and hearing aid dispensing practices
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and licensure history of an audiologist. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of official transcripts, certified copy of certificate of clinical competency, proof of completion of clinical fellowship year, copy of results from American speech language hearing association examination, copy of *jurisprudence exam* results, verification of out-of-state licensure, renewal applications, proof of CEUs, correspondence, etc.

D. Retention:

- (1) **License issued:** 50 years from date of licensure expiration or revocation
- (2) **Withdrawn application:** three years from date of application

E. Confidentiality: Portions of this record may be confidential.
[1.18.420.671 NMAC - Rp, 1.18.420.1054 NMAC, 07/20/2014]

1.18.420.672 AUDIOLOGIST WITH ENDORSEMENT TO DISPENSE LICENSURE FILES:

A. Program: speech, language, pathology, audiology and hearing aid dispensing practices
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and licensure history of an audiologist with endorsement to dispense. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of official transcripts, certified copy of certificate of clinical competency, proof of completion of clinical fellowship year, copy of results from American speech language hearing association examination, copy of *jurisprudence exam* results, proof of evidence of six months in dispensing hearing aids, copy of proof of evidence of business location, verification of out-of state-licensure, renewal applications, proof of CEUs, correspondence, etc.

D. Retention:

- (1) **License issued:** 50 years from date of licensure expiration or revocation
- (2) **Withdrawn application:** three years from date of application

E. Confidentiality: Portions of this record may be confidential.
[1.18.420.672 NMAC - Rp, 1.18.420.1055 NMAC, 07/20/2014]

1.18.420.673 HEARING AID DISPENSER TRAINING LICENSURE FILES:

A. Program: speech, language, pathology, audiology and hearing aid dispensing practices
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and licensure history of a hearing aid dispenser in training. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of high school diploma or equivalent, training plan, copy of *jurisprudence exam* results, correspondence, etc.

D. Retention:

- (1) **License issued:** 15 years from date of licensure expiration or revocation
- (2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.673 NMAC - Rp, 1.18.420.1057 NMAC, 07/20/2014]

1.18.420.674 HEARING AID DISPENSER LICENSURE FILES:

A. Program: speech, language, pathology, audiology and hearing aid dispensing practices

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of a hearing aid dispenser. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of high school diploma or equivalent, copy of exam scores from a board approved nationally recognized hearing aid dispenser program, official copy of international hearing society or national board for certification in hearing instrument sciences written exam scores, notarized letter verifying completion of training, copy of *jurisprudence exam* results, verification of out-of-state licensure, proof of CEUs, renewal applications, correspondence, etc.

D. Retention:

- (1) **License issued:** 50 years from date of licensure expiration or revocation
- (2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential

[1.18.420.674 NMAC - Rp, 1.18.420.711, 712, 717 & 1058 NMAC, 07/20/2014]

1.18.420.675 OTOLARYNGOLOGIST LICENSURE FILES:

A. Program: speech, language, pathology, audiology and hearing aid dispensing practices

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of otolaryngologist. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, proof of six months experience in the dispensing of hearing aids, proof of evidence of business location, copy of *jurisprudence exam* results, verification of out-of-state licensure, correspondence, etc.

D. Retention:

(1) **License issued:** 50 years from date of licensure expiration or revocation, then transfer to archives for review and final disposition

- (2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.675 NMAC - Rp, 1.18.420.1059 NMAC, 07/20/2014]

1.18.420.676 - 1.18.420.686 [RESERVED]

1.18.420.687 FUNERAL SERVICE PRACTITIONER LICENSURE FILES:

A. Program: funeral services

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of a funeral service practitioner. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of photo identification, official copy of transcript, official copy of national board exam scores, copy of certificate of completion for the contagious and infectious disease course, internship report, *jurisprudence exam*, copy of CEUs, arranging and directing quarterly reports, preparation and embalming quarterly reports, verification of out-of-state licensure, verification of employment, letters of reprimand, status letters, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued:** 10 years from date of licensure expiration or revocation, then transfer to archives for review and final disposition

- (2) **No license issued:** two years from date of application
- (3) **Denied application:** five years from date of denial

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.687 NMAC - Rp, 1.18.420.1071 NMAC, 07/20/2014]

1.18.420.688 FUNERAL SERVICE INTERN LICENSURE FILES:

A. Program: funeral services
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and licensure history of funeral service interns. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of diploma or general education diploma, copy of photo identification, copy of certificate of completion for the contagious and infectious disease course, jurisprudence exam, copy of CEUs, verification of out-of-state licensure, letters of reprimand, status letter, renewal applications, correspondence, etc.

D. Retention:

- (1) **Licensed issued:** 10 years from date of licensure expiration or revocation
- (2) **Withdrawn or denied application:** two years from date of application

E. Confidentiality: Portions of this record may be confidentiality.

[1.18.420.688 NMAC - Rp, 1.18.420.1074 NMAC, 07/20/2014]

1.18.420.689 DIRECT DISPOSER LICENSURE FILES:

A. Program: funeral services
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and licensure history of direct disposers. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of photo identification, copy of completion certificate of contagious and infectious disease course, copy of diploma or general education diploma, verification of out-of-state licensure, verification of employment, *jurisprudence* exam, copy of CEUs, proof of continuing education, letters of reprimand, status letter, renewal applications, correspondence, etc.

D. Retention:

- (1) **Licensed issued:** 10 years from date of licensure expiration or revocation
- (2) **Withdrawn application:** two years from date of application
- (3) **Denied application:** five years from date of denial

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.689 NMAC - Rp, 1.18.420.1075 NMAC, 07/20/2014]

1.18.420.690 ESTABLISHMENT LICENSURE FILES:

A. Program: funeral services
B. Maintenance system: chronological by date, then alphabetical by entity name
C. Description: records documenting the application, issuance and licensure history of funeral establishments, commercial establishments, direct disposition establishments and crematories. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, floor plan, city or county permits, contract or agreements of regular removal of infectious waste, certificate of good standing from PRC, inspection reports, status letters, letters of reprimand, renewal applications, correspondence, etc.

D. Retention:

(1) **Licensed issued:** 10 years from date of licensure expiration or revocation, then transfer to archives for review and final disposition

- (2) **Withdrawn or denied application:** two years from date of application

[1.18.420.690 NMAC - Rp, 1.18.420.1076 NMAC, 07/20/2014]

1.18.420.691 - 1.18.420.701 [RESERVED]

1.18.420.702 SOCIAL WORK EXAMINER LICENSURE FILES:

A. Program: social work examiners
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and licensure history of a social work examiner. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, official copy of transcripts, verification of out-of-state licensure, identification photos, past licensure history, supervisor verification, letters of recommendation, copy of approval from association of social work boards, official copy of association of social work board's examination scores, official copy of *jurisprudence exam* results scores, provisional license for bachelors in social work application checklist, provisional license for masters in social

work application checklist, provisional license for independent in social work application checklist, proof of CEUs, renewal applications, correspondence, etc.

D. Retention:

- (1) **License issued:** 50 years from date of licensure expiration, revocation, or notification of death
- (2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.702 NMAC - Rp, 1.18.420.1116 NMAC, 07/20/2014]

1.18.420.703 SOCIAL WORK EXAMINERS BOARD ANNUAL REPORT FILE:

A. Program: social work examiners

B. Maintenance system: chronological by date

C. Description: report documenting activities performed by the board of social work examiners.

Report may show names of social workers and provisional social work examiners to whom licenses have been granted, cases heard and decisions rendered in relation to the work of the board, the recommendations of the board as to future policies, account of all money received and expended by the board, correspondence, etc.

D. Retention: permanent, transfer to archive 10 years from close of calendar year in which superseded

[1.18.420.703 NMAC - Rp, 1.18.420.1119 NMAC, 07/20/2014]

1.18.420.704 - 1.18.420.714 [RESERVED]

1.18.420.715 LICENSED APPRAISER LICENSURE FILES:

A. Program: real estate appraiser

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of a real estate appraiser. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, identification photos, personal history questionnaire, letters of verification, proof of appraising hours, copies of appraisal requests, copies of appraisals sent to reviewers, copies of approved appraisals, copy of examination card, copy of examination results, copy of written real estate appraiser state exam, proof of CEUs, renewal applications, correspondence, etc.

D. Retention:

- (1) **License issued:** 50 years from date of licensure expiration or revocation
- (2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.715 NMAC - Rp, 1.18.420.1136 NMAC, 07/20/2014]

1.18.420.716 APPRENTICE APPRAISER LICENSURE FILES:

A. Program: real estate appraiser

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of an apprentice real estate appraiser. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, identification photos, personal history questionnaire, letters of verification, proof of educational credits, copy of real estate appraiser state exam, supervisor declaration, proof of supervisor and trainee course, renewal applications, correspondence, etc.

D. Retention:

- (1) **License issued:** 50 years from date of licensure expiration or revocation
- (2) **Withdrawn application:** two years from of date application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.716 NMAC - Rp, 1.18.420.1137 NMAC, 07/20/2014]

1.18.420.717 RESIDENTIAL CERTIFIED APPRAISER LICENSURE FILES:

A. Program: real estate appraiser

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance, and licensure history of a residential certified appraiser. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, identification photos, personal history questionnaire, letters of verification, official copy of

transcripts, proof of appraising hours, copy of New Mexico real estate appraiser exams, appraisal requests, copies of appraisals sent to reviewers, copies of approved appraisals, copy of exam card, copy of exam card results, proof of CEUs, renewal applications, correspondence, etc.

D. Retention:

- (1) **License issued:** 50 years from date of licensure expiration or revocation
- (2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.717 NMAC - Rp, 1.18.420.1138 NMAC, 07/20/2014]

1.18.420.718 GENERAL CERTIFIED APPRAISER LICENSURE FILES:

A. Program: real estate appraiser

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, issuance and licensure history of a general certified appraiser. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, identification photos, personal history questionnaire, letters of verification, proof of appraising hours, copy of New Mexico real estate appraiser exams, appraisal requests, copies of appraisals sent to reviewers, copies of approved appraisals, copy of exam card, copy of exam card results, proof of CEUs, renewal applications, correspondence, etc.

D. Retention:

- (1) **License issued:** 50 years from date of license expiration or revocation
- (2) **Withdrawn application:** two years from date of application

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.718 NMAC - Rp, 1.18.420.1139 NMAC, 07/20/2014]

1.18.420.719 TEMPORARY PRACTICE PERMIT FILES:

A. Program: real estate appraiser

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application and temporary permit issuance to an out-of-state certified real estate appraiser. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of appraisal assignments, correspondence, etc.

D. Retention:

- (1) **License issued:** 50 years from date of permit expiration
- (2) **Withdrawn application:** two years from date application received

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.719 NMAC - Rp, 1.18.420.1140 NMAC, 07/20/2014]

1.18.420.720 REAL ESTATE EDUCATION AND CONTINUING EDUCATION PROGRAM CERTIFICATION FILES:

A. Program: real estate appraiser

B. Maintenance system: chronological by date, then alphabetical by sponsor name

C. Description: records documenting the application and certification history of real estate educational sponsored programs. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include application, copy of educational curriculum, correspondence, etc.

D. Retention:

- (1) **Certificate issued:** six years from date of curriculum certification expiration
- (2) **Withdrawn application:** two years from date application received

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.720 NMAC - Rp, 1.18.420.1143 NMAC, 07/20/2014]

1.18.420.721 APPRAISAL MANAGEMENT COMPANY LICENSURE FILES:

A. Program: real estate appraiser

B. Maintenance system: chronological by date, then alphabetical by company name

C. Description: records documenting the application, issuance and licensure history of appraisal management companies. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include notarized application; applications for background checks; copies of service of process forms; copy of surety bond; proof of national uniform standards of professional appraisal practice course; copies of list identifying owners,

controlling person and employee in charge; authorization for agent forms; renewal applications; correspondence; etc.

D. Retention:

- (1) **License issued:** 50 years from date of license expiration or revocation
- (2) **Withdrawn application:** two years from date application received

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.721 NMAC - Rp, 1.18.420.1156 NMAC, 07/20/2014]

1.18.420.722 REGISTRY OF REAL ESTATE APPRAISERS FILE:

A. Programs: real estate appraiser

B. Maintenance system: chronologically by date

C. Description: registry documenting persons registered, licensed or certified as state apprentice real estate appraisers, state licensed real estate appraisers or state certified real estate appraisers. Registry may show name, license or certificate number, effective date, expiration date, etc.

D. Retention: permanent, transfer to archives 10 years from the close of the calendar year in which registry report superseded

[1.18.420.722 NMAC - Rp, 1.18.420.1159 NMAC, 07/20/2014]

1.18.420.723 - 1.18.420.733 [RESERVED]

1.18.420.734 EUTHANASIA AGENCY LICENSURE FILES:

A. Program: animal sheltering

B. Maintenance system: chronological by year, then alphabetical by agency name

C. Description: records documenting the licensure of an euthanasia agency to perform animal euthanasia of shelter animals. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include *application for licensure as a euthanasia agency*, current list of agency employed licensed euthanasia technicians, contingency plan, correspondence, etc.

D. Retention: three years from date of license expiration or revocation

[1.18.420.734 NMAC - Rp, 1.18.420.1200 NMAC, 07/20/2014]

1.18.420.735 EUTHANASIA INSTRUCTOR CERTIFICATION FILES:

A. Program: animal sheltering

B. Maintenance system: chronological by year, then alphabetical by surname

C. Description: records documenting the certification of individuals to instruct board approved euthanasia technician training courses. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include *application for licensure as a euthanasia technician*, copy of driver's license, photographs, copy of high school diploma or equivalent, copy of certificate of completion of a board approved euthanasia training course, transcripts, completed jurisprudence exam, background check, verification of practical experience, correspondence, etc.

D. Retention: three years from date of certification expiration or revocation

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.735 NMAC - Rp, 1.18.420.1201 NMAC, 07/20/2014]

1.18.420.736 EUTHANASIA TECHNICIAN LICENSURE FILES:

A. Program: animal sheltering

B. Maintenance system: chronological by year, then alphabetical by surname

C. Description: records documenting the licensure of individuals, other than a veterinarian, to perform animal euthanasia of shelter animals for a licensed euthanasia agency. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include *application for licensure as a euthanasia technician*, copy of driver's license, photographs, copy of high school diploma or equivalent, copy of certificate of completion of a board approved euthanasia training course, transcripts, completed jurisprudence exam, background check, correspondence, etc.

D. Retention: three years from date of license expiration or revocation

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.736 NMAC - Rp, 1.18.420.1202 NMAC, 07/20/2014]

1.18.420.737 EUTHANASIA AGENCY INVESTIGATION FILES:

A. Program: animal sheltering
B. Maintenance system: chronological by calendar year, then alphabetical by agency name
C. Description: records documenting euthanasia agency investigations. Portions of this record are input to the *licensing system*, 1.18.420.1001 NMAC. Files may include complaint, investigation reports, notice of contemplated action, request for hearing, final disposition, settlement agreement, correspondence, etc.

D. Retention: 10 calendar years from date investigation closed
[1.18.420.737 NMAC - Rp, 1.18.420.1203 NMAC, 07/20/2014]

1.18.420.738 - 1.18.420.748 [RESERVED]

1.18.420.749 HOISTING OPERATOR LICENSURE FILES:

A. Program: licensed hoisting operator
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and licensure history for hoisting operators. Files may include application for licensure, training certificate, written examination results, practical examination results, notarized form documenting required experience, copy of certificate of physical examination, copy of nationally accredited certification, results of drug screening report, statement of compliance with Parental Responsibility Act, renewal applications, correspondence, etc.

D. Retention:
(1) **License issued:** three years from date of licensure expiration or revocation
(2) **Withdrawn application:** two years from date of application
E. Confidentiality: Portions of this record may be confidential.
[1.18.420.749 NMAC - Rp, 1.18.420.217 NMAC, 07/20/2014]

1.18.420.750 HOISTING OPERATOR INCIDENT REPORT FILES:

A. Program: licensed hoisting operator
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting incidents involving hoisting operators. Files may include incident report, disposition of incident, correspondence, etc.

D. Retention:
(1) **Fatal incident:** 25 years from date of final disposition
(2) **All other incidents:** 10 years from date of final disposition
E. Confidentiality: Portions of this record may be confidential.
[1.18.420.750 NMAC - Rp, 1.18.420.218 NMAC, 07/20/2014]

1.18.420.751 - 1.18.420.761 [RESERVED]

1.18.420.762 EMPLOYEE LEASING COMPANY REGISTRATION FILES:

A. Program: employee leasing
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application, issuance and registration history of employee leasing companies. Files may include notarized application, copy of the *certificate of incorporation*, copy of the *certificate of authority*, copy of the *certificate of organization*, copy of the *certificate of registration*, copy of insurance certificate, copy of bond documentation, *employee leasing act assignment of cash collateral deposit form*, renewal applications, correspondence, etc.

D. Retention:
(1) **License issued:** five years from date of licensure expiration or revocation
(2) **Withdrawn application:** two years from date of application
E. Confidentiality: Portions of this record may be confidential.
[1.18.420.762 NMAC - Rp, 1.18.420.231 NMAC, 07/20/2014]

1.18.420.763 - 1.18.420.773 [RESERVED]

1.18.420.774 CARNIVAL RIDE COMPANY LICENSURE FILES:

A. Program: carnival ride insurance

B. Maintenance system: chronological by date, then alphabetical by company name
C. Description: records documenting the application, issuance and licensure history of carnival ride companies. Files may include notarized application for licensure, copy of insurance policy, copy of inspection reports, copy of national association of amusement ride safety officials inspectors certification card, copy of daily inspection sheet, copy of certificate issued by carnival ride insurance program office, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued:** five years from date of licensure expiration or revocation

(2) **Withdrawn application:** two years from date of application

[1.18.420.774 NMAC - Rp, 1.18.420.241 NMAC, 07/20/2014]

1.18.420.775 CARNIVAL RIDE COMPANY INCIDENT REPORT FILES:

A. Program: carnival ride insurance

B. Maintenance system: chronological by date, then alphabetical by company name

C. Description: records documenting incidents involving a carnival ride company. Files may include incident report, disposition of incident, correspondence, etc.

D. Retention:

(1) **Fatal incident:** 25 years from final disposition of incident

(2) **All other incidents:** 10 years from disposition of incident

[1.18.420.775 NMAC - Rp, 1.18.420.242 NMAC, 07/20/2014]

1.18.420.776 - 1.18.420.786 [RESERVED]

1.18.420.787 SECONDHAND METAL DEALER'S REGISTRATION APPLICATION FILES:

A. Program: recycled metals

B. Maintenance system: chronological by date received, then numerical by identification number

C. Description: records documenting the registration of secondhand dealers that purchase and sell regulated materials pursuant to the Sale of Recycled Materials Act. Portions of this file are input to the *licensing system*, 1.18.420.1000 NMAC and *secondhand metal dealer's registration database*, 1.18.420.1216 NMAC. File may include *secondhand metal dealer's registration application* (i.e., name, social security number, address, name of business, list of all locations for registration, description of regulated materials that will be purchased; obtained or collected; requirements and compliance, etc.), copy of check, etc.

D. Retention: seven years from close of the calendar year in which certification is expired or revoked

E. Confidentiality: Portions of this record may be confidential.

[1.18.420.787 NMAC - Rp, 1.18.420.1215 NMAC, 07/20/2014]

1.18.420.788 SECONDHAND METAL DEALER'S REGISTRATION DATABASE:

A. Program: recycled metals

B. Maintenance system: numerical by primary key

C. Description: database that tracks all registration information for dealers that purchase and sell regulated materials pursuant to the Sale of Recycled Materials Act. Data may include name of dealer, SSN, address, name of business, list of all locations for registration, description of regulated materials that will be purchased; obtained or collected; requirements and compliance, etc.

D. Data retention: seven years from close of the calendar year in which certification is expired or revoked

E. Confidentiality: Portions of this record may be confidential.

F. Input: records used as input for the *secondhand metal dealer's registration database* is filed in the corresponding *secondhand metal dealer's registration application files*, 1.18.420.787 NMAC.

G. Output: Because the *secondhand metal dealer's registration application database* is a data based system, adhoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity.

[1.18.420.788 NMAC - Rp, 1.18.420.1216 NMAC, 07/20/2014]

1.18.420.789 SECONDHAND METAL DEALER'S PURCHASE RECORD FILES:

A. Program: recycled metals

- B. Maintenance system:** chronological by calendar year, then numerical by identification number
- C. Description:** records documenting a secondhand metal dealer's purchase record information for regulated metals. Files may include secondhand metal dealer's purchase record form (i.e., business name, address, name of person reporting, seller name, address type of identification, identification number, vehicle license plate number, type of regulated material purchased, statement of ownership, etc.
- D. Retention:** seven years from close of calendar year in which record created
[1.18.420.789 NMAC - Rp, 1.18.420.1217 NMAC, 07/20/2014]

1.18.420.790 SECONDHAND METAL DEALER'S PURCHASE RECORD DATABASE:

- A. Program:** recycled metals
- B. Maintenance system:** numerical by primary key
- C. Description:** web based database that maintains secondhand metal dealer's purchase record information for regulated metals. Data may include dealer information (i.e., business name, address, name of person reporting, etc.), seller information (i.e., name, address type of identification, identification number, vehicle license plate number, etc.), type of regulated material, statement of ownership, etc.
- D. Data retention:** seven years from close of calendar year in which record created
- E. Input:** records used as input for the *secondhand metal dealer's purchase record database* is filed in the corresponding *secondhand metal dealer's purchase record files*, 1.18.420.789 NMAC.
- F. Output:** Because the *secondhand metal dealer's purchase record database* is a data based system, adhoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity.
[1.18.420.790 NMAC - Rp, 1.18.420.1218 NMAC, 07/20/2014]

1.18.420.791 - 1.18.420.999 [RESERVED]

1.18.420.1000 EXAM AND ANSWER KEY FILES:

- A. Program:** records common to regulation and licensing department
- B. Maintenance system:** chronological by date
- C. Description:** records documenting required exams and answer keys administered by the department. Files may include exam, answer key, etc.
- D. Retention:** until superceded by new exam
[1.18.420.1000 NMAC - N, 07/20/2014]

1.18.420.1001 LICENSING SYSTEM:

- A. Program:** records common to regulation and licensing department
- B. Maintenance system:** numerical by primary key
- C. Description:** database tracks and maintains licensure and certification information regulation and licensing. Data may include licensure data, certification data, renewal data, compliance data, financial data, etc.
- D. Data retention:** 50 years from date of permit, certification or licensure expiration, revocation or notification of death, then transfer to archives for review and final disposition
- E. Confidentiality:** Portions of this record may be confidential.
- F. Input:** records used as input to the *licensing system* are filed in the corresponding *complaint investigation files*, 1.18.420.123 NMAC; *handyman certification files*, 1.18.420.135 NMAC; *installer and repairman entity licensure files*, 1.18.420.174 NMAC; *entity dealer licensure files*, 1.18.420.175 NMAC; *manufactured housing salesperson licensure files*, 1.18.420.176 NMAC; *manufactured housing broker licensure files*, 1.18.420.177 NMAC; *construction industries department crossover contractor licensure files*, 1.18.420.181 NMAC; *financial entity complaint files*, 1.18.420.214 NMAC; *financial institution charter and licensure files*, 1.18.420.215 NMAC; *liquor license and leasing files*, 1.18.420.250 NMAC; *liquor license citation files*, 1.18.420.251 NMAC; *special dispenser permit files*, 1.18.420.252 NMAC, *alcohol server permit files*, 1.18.420.253 NMAC; *alcohol server citation files*, 1.18.420.254 NMAC; *provider, instructor and program certification files*, 1.18.420.255 NMAC; *provider, instructor and program violation files*, 1.18.420.256 NMAC; *small brewer, winegrower or craft distiller public celebration permit files*, 1.18.420.263 NMAC; *importation and exportation permit for alcoholic beverages files*, 1.18.420.264 NMAC; *investment advisor, broker dealer, representative and issuer agent licensure files*, 1.18.420.300 NMAC; *securities complaint investigation files*, 1.18.420.302 NMAC; *boards and commissions complaint files*, 1.18.420.326 NMAC; *firm permit files*, 1.18.420.333 NMAC; *certified public accounting licensure files*, 1.18.420.334 NMAC; *acupuncture and oriental medicine licensure files*,

1.18.420.350 NMAC; *educational program certification files*, 1.18.420.351 NMAC; *athletic commission licensure files*, 1.18.420.360 NMAC; *athletic trainer licensure files*, 1.18.420.370 NMAC; *counseling and therapy practice licensure files*, 1.18.420.375 NMAC; *continuing education unit provider certification files*, 1.18.420.376 NMAC; *chiropractic examiners licensure files*, 1.18.420.385 NMAC; *barbers and cosmetology licensure files*, 1.18.420.400 NMAC; *instructor licensure files*, 1.18.420.401 NMAC; *salon inspection reports*, 1.18.420.402 NMAC; *school licensure files*, 1.18.420.403 NMAC; *establishment or enterprise licensure files* 1.18.420.404 NMAC; *body art tattoo and piercing licensure files*, 1.18.420.405 NMAC; *apprentice sponsor licensure files*, 1.18.420.406 NMAC; *body art establishment licensure files*, 1.18.420.407 NMAC; *dentist licensure files*, 1.18.420.420 NMAC; *dental assistant licensure files*, 1.18.420.421 NMAC; *dental hygienist licensure files*, 1.18.420.422 NMAC; *nutrition and dietetics practice licensure files*, 1.18.420.435 NMAC; *landscape architect licensure files*, 1.18.420.440 NMAC; *landscape architect in training licensure files*, 1.18.420.441 NMAC; *interior design licensure files*, 1.18.420.450 NMAC; *massage therapist licensure files*, 1.18.420.460 NMAC; *massage therapy instructor files*, 1.18.420.461 NMAC; *nursing home administrator licensure files*, 1.18.420.470 NMAC; *occupational therapist licensure files*, 1.18.420.485 NMAC; *occupational therapist assistant licensure files*, 1.18.420.486 NMAC; *optometrist licensure files*, 1.18.420.500 NMAC; *signed language interpreter licensure files*, 1.18.420.513 NMAC; *osteopathic examiner licensure files*, 1.18.420.525 NMAC; *osteopathic physician's assistant licensure files*, 1.18.420.526 NMAC; *pharmacist licensure files*, 1.18.420.538 NMAC; *pharmacist intern licensure files*, 1.18.420.539 NMAC; *wholesaler, manufacturer and repacker licensure files*, 1.18.420.540 NMAC; *resident, non-resident and hospital pharmacy licensure files*, 1.18.420.541 NMAC; *clinic licensure files*, 1.18.420.542 NMAC; *custodial licensure files*, 1.18.420.543 NMAC; *pharmacist technician, facility and medical practitioner controlled substance licensure files*, 1.18.420.544 NMAC; *pharmacist clinician licensure files*, 1.18.420.546 NMAC; *contact lens seller and dispenser licensure files*, 1.18.420.547 NMAC; *physical therapist and physical therapist assistants licensure files*, 1.18.420.575 NMAC; *temporary licensure for foreign physical therapists and physical therapist assistants instructor files*, 1.18.420.576 NMAC; *podiatry licensure files*, 1.18.420.588 NMAC; *polygraph examiner licensure files*, 1.18.420.600 NMAC; *private investigator licensure files*, 1.18.420.601 NMAC; *private investigation employee licensure files*, 1.18.420.602 NMAC; *private investigation manager licensure files*, 1.18.420.603 NMAC; *private investigation company licensure files*, 1.18.420.604 NMAC; *private patrol operator licensure files*, 1.18.420.605 NMAC; *private patrol operator manager licensure files*, 1.18.420.606 NMAC; *private patrol company licensure files*, 1.18.420.607 NMAC; *security guard licensure files*, 1.18.420.608 NMAC; *psychologist examiner licensure files*, 1.18.420.620 NMAC; *conditional psychopharmacology psychologist examiner licensure files*, 1.18.420.621 NMAC; *psychopharmacology psychologist examiner licensure files*, 1.18.420.622 NMAC; *psychologist associate licensure files*, 1.18.420.623 NMAC; *real estate broker licensure files*, 1.18.420.636 NMAC; *real estate associate broker licensure files*, 1.18.420.637 NMAC; *certified instructor files*, 1.18.420.638 NMAC; *sponsor certification files*, 1.18.420.639 NMAC; *approved courses files*, 1.18.420.640 NMAC; *real estate office inspection files*, 1.18.420.641 NMAC; *respiratory care practitioner licensure files*, 1.18.420.655 NMAC; *temporary training permit files*, 1.18.420.656 NMAC; *apprentice in speech language pathology licensure files*, 1.18.420.668 NMAC; *clinical fellow speech language pathologist audiologist licensure files*; 1.18.420.669 NMAC; *speech language pathologist licensure files*, 1.18.420.670 NMAC; *audiologist licensure files*, 1.18.420.671 NMAC; *audiologist with endorsement to dispense licensure files*, 1.18.420.672 NMAC; *hearing aid dispenser training licensure files*, 1.18.420.673 NMAC; *hearing aid dispenser licensure files*, 1.18.420.674 NMAC; *otolaryngologist licensure files*, 1.18.420.675 NMAC; *funeral service practitioner licensure files*, 1.18.420.687 NMAC; *funeral service intern licensure files*, 1.18.420.688 NMAC; *direct disposer licensure files*, 1.18.420.689 NMAC; *establishment licensure files*, 1.18.420.690 NMAC; *social work examiner licensure files*, 1.18.420.702 NMAC; *licensed appraiser licensure files*, 1.18.420.715 NMAC; *apprentice appraiser licensure files*, 1.18.420.716 NMAC; *residential certified appraiser licensure files*, 1.18.420.717 NMAC; *general certified appraiser licensure files*, 1.18.420.718 NMAC; *temporary practice permit files*, 1.18.420.719 NMAC; *real estate education and continuing education program certification files*, 1.18.420.720 NMAC; *appraisal management company licensure files*, 1.18.420.721 NMAC; *euthanasia agency licensure files*, 1.18.420.734 NMAC; *euthanasia instructor certification files*, 1.18.420.735 NMAC; *euthanasia technician licensure files*, 1.18.420.736 NMAC; *euthanasia agency investigation files*, 1.18.420.737 NMAC and *second hand metal dealer registration application files*, 1.18.420.787 NMAC.

G. Output: Because the *licensing system* is a data-based system, ad-hoc and regularly scheduled reports are produced. Some of these reports include *licensure renewal report*, *new licensure report*, *expired licensure report*, *licensee listing report*, etc.

[1.18.420.1001 NMAC - N, 07/20/2014]

1.18.420.1002 CALL CENTER MANAGEMENT DATABASE:

- A. **Program:** records common to regulation and licensing department
 - B. **Maintenance system:** numerical by primary key
 - C. **Description:** database tracks and maintains information on complaints and requests for construction inspections. Data may include call data (e.g, number, duration of call, etc.), permit data, renewal data, complaint data, deposit data, payment data, etc.
 - D. **Data retention:**
 - (1) **Complaint investigation data:** 25 years from date of closing action
 - (2) **Permit issued data:** 10 years from date of permit expiration, revocation or completion of project
 - E. **Confidentiality:** Portions of this record may be confidential.
 - F. **Input:** All information used as input to the *call center management database*, 1.18.420.1002 NMAC is submitted electronically at time of call.
 - G. **Output:** Because the *call center management database* is a data-based system, ad-hoc and regularly scheduled reports are produced. Some of these reports include *construction industries inspection request monthly reports* etc.
- [1.18.420.1002 NMAC - N, 07/20/2014]

HISTORY OF 1.18.420 NMAC:

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

- SRC Rule 67-12, Optometry Board Records Retention and Disposition Schedule, 12/13/67.
- SRC Rule 69-2, Records Retention and Disposal Schedule for Department of Banking, 1/30/69.
- SRC Rule 69-10, Records Retention and Disposal Schedule for Real Estate Commission, 7/2/69.
- SRC Rule 69-12, Records Retention and Disposal Schedule for Construction Industries Commission, 9/11/69.
- SRC Rule 70-16, Records Retention and Disposal Schedule for Department of Alcoholic Beverage Control, 8/28/70.
- SRC Rule 71-13, Records Retention and Disposal Schedule for Barbers Examining Board, 11/29/71.
- SRC Rule 72-11, Records Retention and Disposal Schedule for Accountancy Board, 7/19/72.
- SRC Rule 72-18, Records Retention and Disposal Schedule for Optometry Board, 7/19/72.
- SRC Rule 72-20, Records Retention and Disposal Schedule for Cosmetology Board, 9/8/72.
- SRC Rule 72-22, Records Retention and Disposal Schedule for Board of Osteopathy, 9/8/72.
- SRC Rule 72-23, Records Retention and Disposal Schedule for Board of Pharmacy, 9/8/72.
- SRC Rule 73-7, Records Retention and Disposal Schedule for Construction Industries Commission, 9/5/73.
- SRC Rule 73-9, Records Retention and Disposal Schedule for Podiatry Board, 9/5/73.
- SRC Rule 74-7, Records Retention and Disposal Schedule for Polygraphy Examiners Board, 2/25/74.
- SRC Rule 74-12, Records Retention and Disposal Schedule Massage Board, 4/29/74.
- SRC Rule 74-14, Records Retention and Disposal Schedule Physical Therapists Licensing Board, 4/29/74.
- SRC Rule 74-20A, Records Retention and Disposal Schedule for Psychologist Examiners Board, 7/30/74.
- SRC Rule 74-21, Records Retention and Disposal Schedule for Real Estate Commission, 7/30/74.
- SRC Rule 74-28, Records Retention and Disposal Schedule for Department of Banking, 11/27/74.
- SRC Rule 74-30, Records Retention and Disposal Schedule for Nursing Home Administration Board, 11/27/74.
- SRC Rule 75-2, Records Retention and Disposal Schedule for Department of Alcohol Beverage Control, 3/18/75.
- SRC Rule 75-4, Records Retention and Disposal Schedule for Chiropractic Examiners Board, 3/18/75.
- SRC Rule 75-6, Records Retention and Disposal Schedule for Embalmers and Funeral Directors, 3/18/75.
- SRC Rule 75-10, Records Retention and Disposal Schedule for Dental Examiners Board, 5/19/75.
- SRC Rule 75-20, Records Retention and Disposal Schedule for Hearing Aid Dealers and Fitters Board, 9/15/75.
- SRC Rule 77-12, Records Retention and Disposal Schedule for Mobile Housing Commission, 12/16/77.
- SRC Rule 72-23, Records Retention and Disposal Schedule for Board of Pharmacy, 9/8/82.
- SRC Rule No. 82-10, Records Retention and Disposition Schedule for Real Estate Commission, 3/16/82.
- SRC Rule No. 82-14, Records Retention and Disposition Schedule for Department of Alcohol Beverage Control, 11/16/82.
- SRC Rule No. 82-17, Records Retention and Disposition Schedule for Dental Examiners Board, 8/31/82.
- SRC Rule No. 83-10, Records Retention and Disposition Schedule for New Mexico State Board of Thanatopractice, 4/29/83.
- SRC Rule No. 84-09, Records Retention and Disposition Schedule for Regulation and Licensing Department, Financial Institutions Division, 5/1/84.
- SRC Rule No. 84-15, Records Retention and Disposition Schedule for Regulation and Licensing Department, Manufactured Housing Division, 8/27/84.

SRC Rule No. 84-19, Records Retention and Disposition Schedule for Law Enforcement Academy, Bureau of Private Investigators, 8/28/84.

SRC Rule No. 84-20, Records Retention and Disposition Schedule for Law Enforcement Academy, Bureau of Polygraphy, 8/28/84.

SRC Rule No. 86-07, Records Retention and Disposition Schedule for Regulation and Licensing Department, Construction Industries Division, 9/11/86.

SRC Rule No. 89-12, Records Retention and Disposition Schedule for Regulation and Licensing Department, New Mexico Real Estate Commission, 12/18/89.

SRC Rule No. 89-15, Records Retention and Disposition Schedule for Regulation and Licensing Department, New Mexico Board of Accountancy, 12/18/89.

SRC Rule No. 89-17, Records Retention and Disposition Schedule for Regulation and Licensing Department, New Mexico Board of Pharmacy, 12/18/89.

SRC Rule No. 93-10, Records Retention and Disposition Schedule for Regulation and Licensing Department, 7/29/94.

History of Repealed Material: [RESERVED]

1.18.420 NMAC, ERRDS, Regulation and Licensing Department, filed 3/12/2002 - Repealed, 07/20/2014.