

103 – General Personnel Records File Plan

This file plan was developed to be a guide for public employees. This guidance document was created to ensure consistent records classification and to provide agencies with other relevant record information. The final disposition authority resides in the Functional Records Retention and Disposition Schedule (FRRDS), 1.21.2 NMAC. The file plan applies to all media formats (i.e., paper, digital, microforms, magnetic, etc.).

103-001 EMPLOYEES PERSONNEL RECORDS:

Division/unit: Personnel records

Maintenance system: Alphabetical by surname, then chronological by year

Record series content: File may include personnel action forms, personal data forms, biographical information forms, benefit authorization forms, tax authorization forms, security access forms, deduction worksheets; performance development plans; disciplinary actions, commendations, recommendations, application, test grades, certificates, resumes, transcripts, disclaimers, correspondence, etc.

Classification: 1.21.2.233 NMAC, Personnel records – Contributing

Confidentiality: Portions of this record may be confidential

[New – 01/22/2021]

103-002 EMPLOYEE MEDICAL FILES:

Division/unit: Personnel records

Maintenance system: Alphabetical by surname, then chronological by year

Record series content: File may contain forms, reports and other medical treatment records. These records may be pertinent and essential health case records for long-term medical history and physical condition.

Classification:

(A) **Files with employees exposed to hazardous materials:** 1.21.2.226 NMAC, Employee Medical Records - Hazardous Materials

(B) **All other files:** 1.21.2.225 NMAC, Employee Medical Records

Confidentiality: Portions of this record may be confidential per Section 1-4-2-1.A NMSA 1978 and SPB 2.7.B.1.

[New – 01/22/2021]

103-003 INTERVIEW RECORDS:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: File may include applications, list of applicants, interview questionnaires and rating forms, physical examinations, correspondence, etc.

Classification: 1.21.2.246 NMAC, Recruitment

Confidentiality: Portions of this record may be confidential

[New – 01/22/2021]

103-004 SEARCH COMMITTEE FILE:

Division/unit: administrative records

Maintenance system: Chronological by year

Record series content: Records concerning activities of specially formed search committees charged with recruiting new or replacement agency personnel. File may include resumes, applications, correspondence, related records, etc.

Classification: 1.21.2.246 NMAC, Recruitment

Confidentiality: Portions of this record may be confidential

[New – 01/22/2021]

103-005 LEAVE RECORDS:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: File may include application for leave, leave balance sheets, etc.

Classification: 1.21.2.231 NMAC, Leave Records

[New – 01/22/2021]

103-006 JOB SPECIFICATIONS:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: Record may show job title, definition, supervision and guidelines, examples of work performed, distinguishing characteristics, minimum qualifications, working conditions, etc.

Classification: 1.21.2.247 NMAC, Positions and Classifications

[New – 01/22/2021]

103-007 POSITION CLASSIFICATION:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: Record may show agency name, position, number, current and proposed classification, name of incumbent and supervisor, signatures, description of work performed, etc.

Classification: 1.21.2.247 NMAC, Positions and Classifications

[New – 01/22/2021]

103-008 MISCELLANEOUS DEDUCTIONS RECORDS:

Division/unit: Personnel records

Maintenance system: Chronological by year, then alphabetical by surname

Record series content: File may include but are not limited to records relative to credit union, savings bonds, prepaid legal services, united way, garnishment, etc.

Classification: 1.21.2.211 NMAC, Deductions and Garnishments

[New – 01/22/2021]

103-009 BENEFITS AUTHORIZATION FORM:

Division/unit: Personnel records

Maintenance system: Chronological by year, then alphabetical by surname

Record series content: This form is used to authorize employee for enrollment in retirement, health, life insurance, leave accrual plans and direct deposit. This form is used to establish personnel data which is used by the payroll process to verify that information for retirement, health insurance, and life insurance is entered correctly. This form is not used to create payroll deduction records for employee benefits enrollment, this is done on the pay roll deduction (benefits) update worksheet.

Classification: 1.21.2.202 NMAC, Enrollment – Benefits

Confidentiality: Portions of this record may be confidential

[New – 01/22/2021]

103-010 TAX AUTHORIZATION FORM:

Division/unit: Personnel records

Maintenance system: Chronological by year, then alphabetical by surname

Record series content: This form is used to establish or to change an employee's federal and state tax information in the employee database.

Classification: 1.21.2.214 NMAC, Taxes - Payroll

Confidentiality: Portions of this record may be confidential
[New – 01/22/2021]

103-011 DEDUCTION (BENEFITS) UPDATE TRANSACTION WORKSHEET:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: This is a department of finance and administration form. The form is used to start or cancel an employee's deductions. Access restricted to authorized personnel.

Classification: 1.21.2.211 NMAC, Deductions and Garnishments

[New – 01/22/2021]

103-012 FINANCIAL DISCLOSURE RECORDS:

Division/unit: Personnel records

Maintenance system: Chronological by year, then alphabetical by surname

Record series content: File may include financial disclosure statements, amendments and related documents submitted by individuals

Classification: 1.21.2.227 NMAC, Employment - Disclosure

[New – 01/22/2021]

103-013 PERSONNEL COUNSELING RECORDS:

Division/unit: Personnel records

Maintenance system: Chronological by year, then alphabetical by surname

Record series content: File may include reports of interview, counseling statements, analyses and related records.

Classification: 1.21.2.230 NMAC, Grievances and Investigations

Confidentiality: Portions of this record may be confidential

[New – 01/22/2021]

103-014 OCCUPATIONAL INJURY AND ILLNESS FILES:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: File may include reports and logs, including OSHA forms to document all recordable injuries and illnesses

Classification: 1.21.2.263 NMAC, Reports-Injury

[New – 01/22/2021]

103-015 DRUG AND ALCOHOL FILES:

Division/unit: Personnel records

Maintenance system: Chronological by year, then alphabetical by surname

Record series content: File may include drug and alcohol test results report, request to review of test results, medical review officer's review of test results report, explanations/challenges of confirmed positive test results determinations, etc.

Classification: 1.21.2.224 NMAC, Drug and Alcohol Testing

Confidentiality: Portions of this record may be confidential per Section 14-2-1.A. NMSA 1978 and SPB 2.7.B.1.

[New – 01/22/2021]

103-016 ALCOHOL AND DRUG ABUSE PROGRAM:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: records created in planning, coordinating and directing an alcohol and drug abuse program

Classification: 1.21.2.208 NMAC, Programs - Employer and Labor Services
[New – 01/22/2021]

103-017 AFFIRMATIVE ACTION PLANS:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: Agency assessments of internal employment practices with specific policies and procedures designed to eliminate the effects of institutional discrimination.

Classification: 1.21.2.111 NMAC, Planning and Development
[New – 01/22/2021]

103-018 GRIEVANCE/COMPLAINT FILES (UNFAIR LABOR PRACTICES):

Division/unit: Personnel records

Maintenance system: Chronological by year, then alphabetical by surname

Record series content: File may include complaint/grievance, correspondence, summary of hearing, exhibits, committee decisions, transcripts, resolution, depositions, etc.

Classification: 1.21.2.207 NMAC, Labor Relations
[New – 01/22/2021]

103-019 AGREEMENT/NEGOTIATION FILES:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: File may include proposed and supplemental agreement, meeting summaries, correspondence, final agreement, etc.

Classification: 1.21.2.601 NMAC, Agreements - Other
[New – 01/22/2021]

103-020 ADVERSE ACTION FILES:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: File may include agency copies of entire case record of a state personnel board appeal.

Classification: 1.21.2.222 NMAC, Adverse Action and Reduction in Force
[New – 01/22/2021]

103-021 AGENCY ADA COMPLIANCE PLAN:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: Plan may include self-evaluation check-list, self-evaluation, ADA transition plan outline, ADA grievance procedure, policies, correspondence, etc.

Classification: 1.21.2.208 NMAC, Programs - Employer and Labor Services
[New – 01/22/2021]

103-022 TRAINING/EDUCATIONAL MATERIALS:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: File may include record copy of manuals, syllabuses, text-books, training plans, notices, catalogs, etc.

Classification: 1.21.2.254 NMAC, Training Materials

[New – 01/22/2021]

103-023 TRAINING RECORDS:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: File may include, agreements, authorizations, reports, studies, plan and objectives relating to the establishment and operation of training courses and conferences, training evaluations, correspondence, etc.

Classification: 1.21.2.251 NMAC, Course Management

[New – 01/22/2021]

103-024 EMPLOYEE TRAINING RECORDS:

Division/unit: Personnel records

Maintenance system: Chronological by year, then alphabetical by surname

Record series content: File may include reports and other records relating to the availability of training and employee participation in training programs, registration, attendance records, correspondence, etc.

Classification: 1.21.2.252 NMAC, Employee Training Files

[New – 01/22/2021]

103-025 EMPLOYEE AWARDS FILES:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: Files may include recommendations, approved nomination, outstanding performance, reports, computations of service, letter recognizing length of service and retirement, correspondence, etc.

Classification: 1.21.2.221 NMAC, Awards - Personnel Management

[New – 01/22/2021]

103-026 EMPLOYEE ELIGIBILITY VERIFICATION, (FORM I-9) FILES:

Division/unit: Personnel records

Maintenance system: Chronological by year, then numerical by employee identification number

Record series content: File may include *form I-9* (i.e., employee name, address, date of birth, social security number, attestation of citizenship, etc.), copy of social security card, copy of employment authorization with photo, copy of driver's license, copy of birth certificate, copy of U.S. citizenship identification card, etc.

Classification: 1.21.2.228 NMAC, Employment Eligibility Verification (I-9)

Confidentiality: Portions of this record may be confidential pursuant, but not limited to, 5 USC, Section 552a (i.e., social security number).

[New – 01/22/2021]

103-027 CLASSIFICATION STUDY FILES:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: File may include job descriptions, task statements, methodology, description of study, salary surveys, relative correspondence, etc.

Classification: 1.21.2.247 NMAC, Positions and Classifications

[New – 01/22/2021]

103-028 PERSONNEL RECORDS LEGAL AND PHYSICAL CUSTODY TRANSFER FORM:

Division/unit: Personnel records

Maintenance system: Chronological by year

Record series content: Form shows agency information (i.e., agency name, department of finance agency code, address, contact name, etc.), box number, folder number, employee name, employee identification number, employee social security number, records custodian signature, state personnel office director signature, etc.

Classification: 1.21.2.520 NMAC, Records Custody

Confidentiality: Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number).

[New – 01/22/2021]