

378 – State Personnel Office File Plan

This file plan was developed to be a guide for State Personnel Office 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.

This file plan only list records series of program's specific to the State Personnel Office. For records series of a general administrative nature, refer to the General Administrative Records File Plan. For records of a financial nature, refer to the General Financial Records File Plan. For records of a personnel or medical nature, refer to the General Personnel/Medical Records File Plan.

378-001 APPLICANT PROCESSING SYSTEM:

Division/unit: Applicant processing

Maintenance system: Numerical by primary key

Record series content: System used to maintain, monitor and track vacant positions in New Mexico state agencies, and information concerning potential candidates for these positions. System may contain applicant name; social security number; home address; phone numbers; languages applicant is capable of speaking, reading or writing; New Mexico licenses held; resident status; citizenship; felony convictions; transcripts; educational level; college major; date of birth; gender; race; processing dates; locations; job status (temporary, part or full time); veterans status; current or last employer's name and address; previous job title; supervisor's name; job duties; position description; position TOOL number; which agency position is with; etc.

Classification:

(A) **Master application data:** 1.21.2.246 NMAC, Recruitment

(B) **Job interest data:** 1.21.2.246 NMAC, Recruitment

(C) **Classified position data:** 1.21.2.247 NMAC, Positions and Classifications

File closure:

(A) **Master application data:** Date of last activity

(B) **Job interest data:** Date of entry

(C) **Classified position data:** Date entered into system

Confidentiality: Portions of record may be confidential pursuant to 1.7.1.12 NMAC Employment Records (i.e. college transcripts, etc.).

[New - 03/31/2021]

378-002 to 378-010

378-011 HUMAN RESOURCES MANAGEMENT SYSTEM:

Division/unit: Human resources

Maintenance system: Numerical by primary key

Record series content: System used to maintain, monitor and track New Mexico state employees' career status and history. System is composed of two categories of data, employee history and position control. Employee history may contain data such as employee name, social security number, home address, anniversary date, hire date, race, gender, date of birth, educational level, FLSA status, transaction codes, etc. Position control may contain data such as status, effective dates, class title, specification number, position salary range, compa-ratio, agency name, position number, full or part time work status, etc.

Classification:

(A) **Employee history data:** 1.21.2.233 NMAC, Personnel Files - Contributing

(B) **Position control data:** 1.21.2.247 NMAC, Positions and Classifications

File closure:

(A) **Employee history data:** Last date of employment with the state of NM

(B) **Position control data:** Date position terminated

Confidentiality: Portions of record may be confidential pursuant to 1.7.1.12 NMAC Employment Records (i.e. college transcripts, etc.).

[New - 03/31/2021]

378-012 EMPLOYEE PERSONNEL FILES:

Division/unit: Human resources

Maintenance system: Alphabetical by employee last name

Record series content: Record of the employment history of New Mexico state employees. File may include application, resume, college transcripts, job description, letters of recognition, exit interview, termination records, disciplinary actions, reference checks, medical and insurance forms, *employment eligibility verification* (I-9 form), safety training records, garnishment, child support records, workers' compensation claims, requests for payroll or employment verifications, credit reports, PERA forms, personal data forms, biographic information forms, tax authorization forms, United States savings bond enrollment, deduction worksheets, performance development plans, correspondence, etc.

Classification: 1.21.2.233 NMAC, Personnel Files - Contributing

File closure: Last date of employment with state of New Mexico

Confidentiality: Portions of record may be confidential pursuant to 1.7.1.12 NMAC Employment Records (i.e. college transcripts, etc.).

[New - 03/31/2021]

378-013 EXCEPTIONS TO OPEN RECRUITMENT:

Division/unit: Human resources

Maintenance system: Chronological by fiscal year created then alphabetically by agency name

Record series content: This file documents the process of filling vacant positions by means other than open recruitment. Records may contain agency request, *exception to open recruitment analysis*, approval or disapproval by the director of SPO, applicant name, social security number, home address, phone numbers, *applicant information, job interest form*, established requirements, correspondence, etc.

Classification: 1.21.2.246 NMAC, Recruitment

File closure: Close of fiscal year in which exception created

Confidentiality: Portions of record may be confidential pursuant to 1.7.1.12 NMAC Employment Records (i.e. college transcripts, etc.).

[New - 03/31/2021]

378-014 DISCIPLINARY PERSONNEL ACTIONS CHECK LIST:

Division/unit: Human resources

Maintenance system: Chronological

Record series content: list sent to the state personnel office by a state agency regarding disciplinary action taken by that agency. List may show date the list is received by the state personnel office, employee name, status, action date, whether demotion for cause, dismissal, layoff, suspension, supporting documents, etc.

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Date of final action

[New - 03/31/2021]

378-015 to 378-020

378-021 POSITION FILE:

Division/unit: Classification and compensation

Maintenance system: Numerical by position number

Record series content: Records concerning the description of each individual position within the classified job system. This file is composed of information gathered from New Mexico state agencies regarding actual tasks associated with particular job positions, then analyzed and approved for a specific family group. File may include agency name, position number, current and proposed classification, name of incumbent and supervisor, justification, working conditions, SPO and agency signature, description of work performed, etc.

Classification: 1.21.2.247 NMAC, Positions and Classifications

File closure: Date superseded, or until position is eliminated
[New - 03/31/2021]

378-022 FAMILY GROUP DESCRIPTION FILE:

Division/unit: Classification and compensation

Maintenance system: Alphabetical by job title

Record series content: Records concerning the description of roles, competencies, knowledge, skills and abilities of a job category. File may include technical occupation group titles, technical occupation group codes, technical occupation group descriptors, examples of work performed, distinguishing characteristics, minimum qualifications, working conditions, etc.

Classification: 1.21.2.247 NMAC, Positions and Classifications

File closure: Date superseded by new family group description, or until family group is eliminated
[New - 03/31/2021]

378-023 NOTICE OF CHANGE OF FAMILY GROUP DESCRIPTION:

Division/unit: Classification and compensation

Maintenance system: Chronological by date mailed out

Record series content: Record of notification to state agencies of changes to a family group description. Notice may show manifest number, effective date, family group title, family group number, nature of action, etc.

Classification: 1.21.2.105 NMAC, Correspondence - General

File closure: Effective date of new family group description
[New - 03/31/2021]

378-024 APPROVED FAMILY GROUP AND PAY LIST:

Division/unit: Classification and compensation

Maintenance system: Alphabetical by family group title

Record series content: This publication lists all family group descriptors and related pay ranges. List may include technical occupation group title, job code, pay band, year pay band expires, hourly rate, annual rate, etc.

Classification: 1.21.2.247 NMAC, Positions and Classifications

File closure: Date superseded by new family group and pay list
[New - 03/31/2021]

378-025 FAMILY GROUP DESCRIPTIONS STUDY FILES:

Division/unit: Classification and compensation

Maintenance system: Alphabetical by family group title

Record series content: Records concerning newly proposed, or modifications to existing, family group descriptions. These study files are developed by the job evaluation committee, and are submitted for approval to the state personnel board. Records may contain job descriptions, approval date, task statements, methodology, description of study, salary surveys, correspondence, etc.

Classification: 1.21.2.247 NMAC, Positions and Classifications

File closure: Date created
[New - 03/31/2021]

378-026 COMPARATIVE MARKET PRICING REVIEW FILE:

Division/unit: Classification and compensation

Maintenance system: Alphabetical by family group title

Record series content: Record concerning comparisons made between New Mexico classified system and other labor markets that could result in the modification in pay bands. File may contain comparative pricing reviews, reports from other states, private sector reports, reports from consulting firms, surveys, state agencies requests for reviews, correspondence, etc.

Classification: 1.21.2.247 NMAC, Positions and Classifications

File closure: Close of fiscal year in which created
[New - 03/31/2021]

378-027 JOB EVALUATION COMMITTEE FILES:

Division/unit: Classification and compensation

Maintenance system: Chronological by fiscal year

Record series content: Records concerning the evaluation of classified family groups to determine the relative job skills and abilities compared to similar family groups. File may contain committee appointment letters, copies of comparative pricing reviews, evaluations and recommendations, correspondence, etc.

Classification: 1.21.2.247 NMAC, Positions and Classifications

File closure: Close of fiscal year in which created
[New - 03/31/2021]

378-028 - 378-040

378-041 REDUCTION IN FORCE FILE:

Division/unit: Workers' rights

Maintenance system: Chronological by date of RIF, then alphabetically by agency name

Record series content: Records concerning an agency's reduction in work force to ensure that affected employees are afforded any reemployment rights according to 1.7.10.9 NMAC, Reduction In Force. File is divided into an agency section and an employees impacted by the RIF section. Agency section may include the *state personnel board's approval of the layoff; performance appraisal and time-in-service notice; identification of exception to open recruitment title(s); job code(s) and location(s) for reduction-in-force; right of first refusal within the layoff agency memorandum; list of employees affected by a RIF; RIF procedures memorandum*, correspondence; etc. The employees impacted by the RIF section may contain screen prints of state positions applied for; final status of impacted employees; correspondence; etc.

Classification: 1.21.2.222 NMAC, Adverse Action and Reduction in Force

File closure: Date all affected employee's RIF rights have expired

Confidentiality: Portions of this file may be confidential pursuant to 5 USC, Section 552a (i.e. social security number).

[New - 03/31/2021]

378-042 - 378-050

378-051 ADVERSE ACTION CASE FILES:

Division/unit: Adjudication

Maintenance system: Chronological by docket number

Record series content: Records documenting the appeal of adverse actions (e.g., demotion, suspension, dismissal, separation without prejudice, etc.), taken against non-probationary classified employees and complaints against workers' compensation judges. Files may include notice of appeal, notice of final

action, notice of final separation, notice of contemplated action, denial of appeal, acceptance of appeal and scheduling order, stipulated pre-hearing order, subpoenas, entries of appearance, associated motions and orders, exhibits, witness lists, notices of hearing, written closing arguments, proposed findings of facts and conclusions of law, audio or hearing recordings, recommended decisions of administrative law judge, settlement agreements, withdrawals of appeal, final state personnel board order, etc.

Classification: 1.21.2.222 NMAC, Adverse Action and Reduction in Force

File closure: Date case closed and all appeals exhausted

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

378-052 - 378-060

378-061 COLLECTIVE BARGAINING NEGOTIATION AND AGREEMENT FILES:

Division/unit: Labor relations

Maintenance system: Chronological by date

Record series content: Records documenting labor contract negotiations between the state and union entities. Files may include session notes, tentative agreements, official copy of contract, correspondence, etc.

Classification: 1.21.2.603 NMAC, Cooperative Agreements

File closure: Date superseded by new agreement

[New - 03/31/2021]

378-062 LABOR RELATIONS AND COLLECTIVE BARGAINING AGREEMENT TRAININGS:

Division/unit: Labor relations

Maintenance system: Chronological by date, then by training type

Record series content: Trainings created to inform agencies, union employers and union stewards of terms and agreements agreed upon through the collective bargaining agreement. Trainings on the topic labor relations are also conducted. Files may include presentation, list of attendees, etc.

Classification: 1.21.2.254 NMAC, Training Materials

File closure: Date training superseded in accordance with new CBA agreement

[New - 03/31/2021]

378-063 DISCIPLINARY ACTIONS REPORT FILES:

Division/unit: Labor relations

Maintenance system: Chronological by date

Record series content: Records documenting ongoing grievances and disciplinary actions (e.g., demotion, suspension, termination, grievance, etc.) pending within state government executive branch union covered employees. Files may include agency reports, supporting documentation (e.g., grievances, notice of contemplated disciplinary actions, prohibited practices, etc.), quarterly report, etc.

Classification: 1.21.2.116 NMAC, Reports - General

File closure: Date of quarterly report

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

378-064 DISCIPLINARY ACTION OVERSIGHT CASE FILES:

Division/unit: Labor relations

Maintenance system: Chronological by year, then by agency, then by type

Record series content: Records documenting the review and oversight process involving disciplinary actions regarding CBA employees. Files may include copies of grievances and disciplinary actions (e.g.,

demotion, suspension, termination, grievance, etc.), case assessment, case briefs, copies of responses, copy of final arbitrator's ruling, correspondence, etc.

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Date of final resolution of case

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

378-065 to 378-070

378-071 STATE PERSONNEL TRAINING FILES:

Division/unit: Training

Maintenance system: Chronological by date

Record series content:

(A) Core training: records documenting the design, implementation, evaluation and tracking of mandatory, statutory, train the trainer online and instructor led courses for state employees. Files may include surveys, queries, course development outlines, lesson plans, power point presentations and handouts, class evaluations, student rosters, test scores, etc.

(B) Organizational development: records documenting the development of detail organizational training conducted upon the request of state agencies. Files may include agency request, initial assessment report, survey questionnaires, aggregate reports, agency perspective report, *individual 360 degree feedback reports*, customized training solutions and coaching sessions for directors and employees, post assessment, follow-up report, etc.

Classification: 1.21.2.251 NMAC, Course Management

File closure: Date training superseded

[New - 03/31/2021]