

## 420 – Regulation and Licensing Department File Plan

This file plan was developed to be a guide for Regulation and Licensing Department 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 Regulation and Licensing Department. 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.

### **420-001 INSPECTOR CERTIFICATION FILES:**

**Division/unit:** Records common to construction industries

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** 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.

**Classification:**

(A) **Certification issued:** 1.21.2.404 NMAC, Individual Certification

(B) **Certification not issued:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **Certification issued:** Date of certification expiration or revocation

(B) **Certification not issued:** Date application processed

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

[New - 03/31/2021]

### **420-002 ANNUAL PERMIT FILES:**

**Division/unit:** Records common to construction industries

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** Records documenting the application, issuance and permit history of an entity to perform routine minor mechanical and electrical repair and maintenance work. 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.

**Classification:**

(A) **Permit issued:** 1.21.2.469 NMAC, Building and Construction

(B) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:**

(A) **Permit issued:** Date of permit expiration or revocation

(B) **Withdrawn or denied application:** Date application withdrawn or denied

[New - 03/31/2021]

### **420-003 CONSTRUCTION INDUSTRY PERMITTING SYSTEM:**

**Division/unit:** Records common to construction industries

**Maintenance system:** Numerical by primary key

**Record series content:** Database tracks and maintains information pertaining to permits issued for construction projects. Data may include permit application data, licensure data, inspection data, etc.

**Classification:** 1.21.2.469 NMAC, Building and Construction

**File closure:** Date of permit expiration, revocation or completion of project

[New - 03/31/2021]

#### 420-004 to 420-010

##### 420-011 ELECTRICAL PERMIT FILES:

**Division/unit:** Electrical

**Maintenance system:** Chronological by date, then numerical by permit number

**Record series content:** Records documenting the application, issuance and permit history of commercial and residential electrical work conducted by homeowners and licensed contractors. 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.

**Classification:**

(A) **Permit issued:** 1.21.2.469 NMAC, Building and Construction

(B) **Permit not issued:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **Permit issued:** Date of permit expiration or completion of project

(B) **Permit not issued:** Date application processed

[New - 03/31/2021]

##### 420-012 HOMEOWNER ELECTRICAL EXAM FILES:

**Division/unit:** Electrical

**Maintenance system:** Chronological by date

**Record series content:** Records certifying an individual applying for a homeowners electrical permit whom displays basic knowledge of home electrical wiring. Files may include exam results, etc.

**Classification:**

(A) **Passed exam:** 1.21.2.672 NMAC, Tests and Examinations

(B) **Failed exam:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **Passed exam:** Date of superseded electrical code

(B) **Failed exam:** Date exam failed

[New - 03/31/2021]

#### 420-013 to 420-020

##### 420-021 BUILDING PERMIT FILES:

**Division/unit:** General construction

**Maintenance system:** Chronological by date, then numerical by permit number

**Record series content:** Records documenting the application, issuance and permit history for the construction of a commercial or residential building. 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.

**Classification:** 1.21.2.469 NMAC, Building and Construction

**File closure:** Date of permit expiration, revocation or completion of project

[New - 03/31/2021]

**420-022 CERTIFICATES OF OCCUPANCY:**

**Division/unit:** General construction

**Maintenance system:** Chronological by date, then alphabetical by inspector surname

**Record series content:** 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.

**Classification:** 1.21.2.469 NMAC, Building and Construction

**File closure:** Date of certificate issuance

[New - 03/31/2021]

**420-023 MODULAR UNIT CONSTRUCTION PERMIT FILES:**

**Division/unit:** General construction

**Maintenance system:** Chronological by date, then numerical by permit number

**Record series content:** Records documenting the application, issuance and permit history for the construction of a modular unit for residential or commercial purposes. Files may include *application for plan review for modular units*, building construction plans, correction notices, American with Disabilities Act compliance form, correspondence, etc.

**Classification:** 1.21.2.469 NMAC, Building and Construction

**File closure:** Date of permit expiration, revocation or completion of project

[New - 03/31/2021]

**420-024 MODULAR MANUFACTURER LICENSURE FILES:**

**Division/unit:** General construction

**Maintenance system:** Chronological by date, then alphabetical by company name

**Record series content:** 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.

**Classification:** 1.21.2.652 NMAC, Business Licenses

**File closure:** Date of licensure expiration or revocation

[New - 03/31/2021]

**420-025 POLITICAL SUBDIVISION INSPECTOR CERTIFICATION FILES:**

**Division/unit:** General construction

**Maintenance system:** Chronological by date, then alphabetical by political subdivision, then surname

**Record series content:** 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.

**Classification:**

(A) **Certification issued:** 1.21.2.404 NMAC, Individual Certification

(B) **Certification not issued:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **Certification issued:** Date of certification expiration or revocation

(B) **Certification not issued:** Date application processed

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

[New - 03/31/2021]

**420-026 THIRD-PARTY MODULAR UNIT INSPECTOR CERTIFICATION FILES:**

**Division/unit:** General construction

**Maintenance system:** Chronological by date, alphabetical by entity name

**Record series content:** 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.

**Classification:** 1.21.2.404 NMAC, Individual Certification

**File closure:** Date of certification expiration or revocation

[New - 03/31/2021]

**420-027 to 420-030**

**420-031 COMPLAINT INVESTIGATION FILES:**

**Division/unit:** Compliance

**Maintenance system:** Chronological by date, then numerical by case number

**Record series content:**

(A) **Compliance investigation:** Records documenting the investigation of complaints alleging code violations. 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.

(B) **Criminal investigation:** Records documenting the investigation of complaints alleging construction performed by unlicensed individuals. Files may include complaint, notice of investigation, copy of police report, copy of fire marshal's 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.

**Classification:**

(A) **Investigations with merit:** 1.21.2.656 NMAC, Discipline and Investigations - General

(B) **Investigations without merit:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:**

(A) **Investigations with merit:** Date of closing action

(B) **Investigations without merit:** Date determined to be without merit

[New - 03/31/2021]

**420-032 COMPLIANCE DATABASE:**

**Division/unit:** Compliance

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:**

(A) **Investigations with merit data:** 1.21.2.656 NMAC, Discipline and Investigations - General

(B) **Investigations without merit data:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **Investigations with merit data:** Date of closing action

(B) **Investigations without merit data:** Date determined to be without merit

[New - 03/31/2021]

**420-033 to 420-040**

**420-041 CONSTRUCTION CONTRACTOR COMPANY LICENSURE FILES:**

**Division/unit:** Licensing and examination

**Maintenance system:** Chronological by date, then alphabetical by company name

**Record series content:** Records documenting the application, issuance and licensure history of a construction contracting company. 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.

**Classification:**

(A) **License issued:** 1.21.2.653 NMAC, Business Licenses - Historical

(B) **Licensed denied:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of expiration or revocation

(B) **Licensed denied:** Date of denial

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

[New - 03/31/2021]

**420-042 QUALIFYING PARTY CERTIFICATION FILES:**

**Division/unit:** Licensing and examination

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** 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. 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.

**Classification:**

(A) **Certificate issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Certificate denied or withdrawn:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:**

(A) **Certificate issued:** Date of expiration, cancellation or revocation

(B) **Certificate denied or withdrawn:** Date denied or withdrawn

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

[New - 03/31/2021]

**420-043 CONSTRUCTION JOURNEYMAN CERTIFICATION FILES:**

**Division/unit:** Licensing and examination

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and certification history of a journeyman to perform electrical and mechanical work. Files may include notarized application, *work*

*experience affidavit*, letter of compliance, proof of CEUs, copy of official transcripts, renewal applications, correspondence, etc.

**Classification:**

- (A) **Certification issued:** 1.21.2.667 NMAC, Professional Licenses
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **Certification issued:** Date of certification cancellation or revocation
- (B) **Withdrawn application:** Date application withdrawn

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

[New - 03/31/2021]

**420-044 HANDYMAN CERTIFICATION FILES:**

**Division/unit:** Licensing and examination

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and certification history of an individual to complete minor repair work. Files may include application, copy of certification, renewal applications, correspondence, etc.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Date of expiration or revocation

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

[New - 03/31/2021]

**420-045 LICENSING AND CERTIFICATION DATABASE:**

**Division/unit:** Licensing and examination

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:**

(A) **Contracting company licensure data:** 1.21.2.653 NMAC, Business Licenses - Historical

(B) **Qualifying party certification data:** 1.21.2.667 NMAC, Professional Licenses

(C) **Construction journeymen certification data:** 1.21.2.667 NMAC, Professional Licenses

**File closure:**

(A) **Contracting company licensure data:** Date of expiration or revocation

(B) **Qualifying party certification data:** Date of expiration, cancellation or revocation

(C) **Construction journeymen certification data:** Date of certification cancellation or revocation

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

[New - 03/31/2021]

**420-046 to 420-050**

**420-051 LIQUID PETROLEUM AND CERTIFIED NATURAL GAS ENTITY LICENSURE FILES:**

**Division/unit:** Liquid petroleum and gas

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** Records documenting the application, issuance and licensure history of a 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.

**Classification:**

- (A) **License issued:** 1.21.2.653 NMAC, Business Licenses - Historical
- (B) **Withdrawn applications:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of licensure expiration or revocation
- (B) **Withdrawn applications:** Date application withdrawn

[New - 03/31/2021]

**420-052 LIQUID PETROLEUM AND GAS INCIDENT REPORT FILES:**

**Division/unit:** Liquid petroleum and gas

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** 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.

**Classification:** 1.21.2.478 NMAC, Investigations - Inspections and Monitoring

**File closure:** Date of final disposition

[New - 03/31/2021]

**420-053 INCIDENT REPORT LOG:**

**Division/unit:** Liquid petroleum and gas

**Maintenance system:** Chronological by date

**Record series content:** 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.

**Classification:** 1.21.2.110 NMAC, Logs

**File closure:** Date no longer needed for reference

[New - 03/31/2021]

**420-054 LIQUID PETROLEUM AND GAS PERMIT FILES:**

**Division/unit:** Liquid petroleum and gas

**Maintenance system:** Chronological by date, then numerical by validation number

**Record series content:** Records documenting the application, issuance and permit history for entities providing installation and dispenser services of liquid petroleum gas and certified natural gas. 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.

**Classification:** 1.21.2.469 NMAC, Building and Construction

**File closure:** Date of permit expiration or revocation

[New - 03/31/2021]

**420-055 LIQUID PETROLEUM AND GAS TRAINER CERTIFICATION FILES:**

**Division/unit:** Liquid petroleum and gas

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the certification of an individual to provide specialized liquid petroleum and gas training. Files may include application, correspondence, etc.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Date of certification expiration or revocation  
**Confidentiality:** Portions of this record may be confidential.  
[New - 03/31/2021]

#### 420-056 to 420-060

##### 420-061 HOMEOWNERS MECHANICAL PERMIT FILES:

**Division/unit:** Mechanical

**Maintenance system:** Chronological by date, then numerical by permit number

**Record series content:** Records documenting the application, issuance and permit history of homeowners allowed to do limited plumbing on their property. Files may include application, homeowner's mechanical plan drawing, inspection notes, documentation of engineered system, application checklist, copy of permit, correspondence, etc.

**Classification:** 1.21.2.469 NMAC, Building and Construction

**File closure:** Date of permit expiration, revocation or project completion

[New - 03/31/2021]

##### 420-062 CONTRACTOR MECHANICAL PERMIT FILES:

**Division/unit:** Mechanical

**Maintenance system:** Chronological by date, then numerical by permit number

**Record series content:** Records documenting the application, issuance and permit history of a licensed contractor to complete mechanical installation in a residential or commercial building. Files may include application, construction plans, copy of equipment specification, copy of specification of installations manual, engineering calculations (i.e., flow calculation, etc.), amended plans, correction notices, request for additional information letter, correspondence, etc.

**Classification:** 1.21.2.469 NMAC, Building and Construction

**File closure:** Date of permit expiration or completion of project

[New - 03/31/2021]

#### 420-063 to 420-070

##### 420-071 MANUFACTURER LICENSURE FILES:

**Division/unit:** Manufactured housing

**Maintenance system:** Chronological by date, then alphabetical by manufacturer name

**Record series content:** 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.

**Classification:** 1.21.2.652 NMAC, Business Licenses

**File closure:** Date of licensure expiration, cancellation or revocation

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

[New - 03/31/2021]

##### 420-072 INSTALLER AND REPAIRMAN ENTITY LICENSURE FILES:

**Division/unit:** Manufactured housing

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** Records documenting the application, issuance and licensure history of entities providing installation and repair services on manufactured homes. 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.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Date of licensure expiration or revocation

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

[New - 03/31/2021]

#### **420-073 ENTITY DEALER LICENSURE FILES:**

**Division/unit:** Manufactured housing

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** Records documenting the application, issuance and licensure history of an entity approved to sell manufactured homes. 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.

**Classification:** 1.21.2.652 NMAC, Business Licenses

**File closure:** Date of licensure expiration or revocation

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

[New - 03/31/2021]

#### **420-074 MANUFACTURED HOUSING SALESPERSON LICENSURE FILES:**

**Division/unit:** Manufactured housing

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of an individual approved to sell manufactured homes. 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.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Date of licensure expiration or revocation

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

[New - 03/31/2021]

#### **420-075 MANUFACTURED HOUSING BROKER LICENSURE FILES:**

**Division/unit:** Manufactured housing

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** 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. 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.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Date of licensure expiration or revocation

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

[New - 03/31/2021]

#### **420-076 MONTHLY SHIPMENT REPORT FORMS:**

**Division/unit:** Manufactured housing

**Maintenance system:** Chronological by date

**Record series content:** 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.

**Classification:** 1.21.2.121 NMAC, Tracking

**File closure:** Close of fiscal year in which audit approved

[New - 03/31/2021]

**420-077 DEALERSHIP INSPECTION REPORT FILES:**

**Division/unit:** Manufactured housing

**Maintenance system:** Chronological by date, then alphabetical by inspector surname, then entity name

**Record series content:** 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.

**Classification:** 1.21.2.415 NMAC, General - Audits and Compliance

**File closure:** Date of dealer licensure expiration or revocation

[New - 03/31/2021]

**420-078 MANUFACTURED HOUSING PERMIT FILES:**

**Division/unit:** Manufactured housing

**Maintenance system:** Chronological by date, then numerical by permit number

**Record series content:** Records documenting the application, issuance and permit history for the foundation setting and installation of a manufactured home. Files may include application, engineered drawings, copy of installation guidelines, description of installation equipment being used, correction notices, correspondence, etc.

**Classification:** 1.21.2.469 NMAC, Building and Construction

**File closure:** Date of permit expiration or revocation

[New - 03/31/2021]

**420-079 CONSTRUCTION INDUSTRIES DEPARTMENT CROSSOVER CONTRACTOR LICENSURE FILES:**

**Division/unit:** Manufactured housing

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** 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. 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.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Date of licensure expiration or revocation

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

[New - 03/31/2021]

**420-080 MANUFACTURED HOUSING HOMEOWNER PERMIT FILES:**

**Division/unit:** Manufactured housing

**Maintenance system:** Chronological by date, then numerical by permit number

**Record series content:** Records documenting the application, issuance and permit history of a homeowner performing limited installation and foundation work on a manufactured home. Files may include *request for manufactured housing permit*, *manufactured homeowners waiver*, re-inspection permit applications, correction notices, correspondence, etc.

**Classification:** 1.21.2.469 NMAC, Building and Construction  
**File closure:** Date of permit expiration or revocation  
[New - 03/31/2021]

**420-081 MANUFACTURED HOUSING HOMEOWNERS INSTALLATION AND FOUNDATION SETTING EXAM FILES:**

**Division/unit:** Manufactured housing  
**Maintenance system:** Chronological by date  
**Record series content:** 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.  
**Classification:** 1.21.2.672 NMAC, Tests and Examinations  
**File closure:** Date of exam  
[New - 03/31/2021]

**420-082 HOMEOWNERS EXAM SCORE LOG:**

**Division/unit:** Manufactured housing  
**Maintenance system:** Chronological by date  
**Record series content:** Log documenting individuals who have taken the homeowners exam. Log may show name, exam score, date taken, type of test, passed or failed, etc.  
**Classification:** 1.21.2.110 NMAC, Logs  
**File closure:** Close of calendar year last exam given  
[New - 03/31/2021]

**420-083 to 420-090**

**420-091 REPORT OF EXAMINATION FILES:**

**Division/unit:** Financial institutions  
**Maintenance system:** Chronological by date, then alphabetical by entity name  
**Record series content:** 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, repossessioners, 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.  
**Classification:** 1.21.2.414 NMAC, Financial - Audits  
**File closure:** Close of fiscal year in which examination completed  
**Confidentiality:** Portions of this record may be confidential.  
[New - 03/31/2021]

**420-092 CONSOLIDATED REPORT OF CONDITIONS AND INCOME REPORT FILES:**

**Division/unit:** Financial institutions  
**Maintenance system:** Chronological by date, then alphabetical by entity name  
**Record series content:** 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.  
**Classification:** 1.21.2.414 NMAC, Financial - Audits  
**File closure:** Close of fiscal year from date of report  
**Confidentiality:** Portions of this record may be confidential.

[New - 03/31/2021]

**420-093 OATH OF DIRECTORS FOR FINANCIAL ENTITIES:**

**Division/unit:** Financial institutions

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** 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.

**Classification:** 1.21.2.653 NMAC, Business Licenses - Historical

**File closure:** Close of fiscal year in which director's term ended

[New - 03/31/2021]

**420-094 FINANCIAL ENTITY COMPLAINT FILES:**

**Division/unit:** Financial institutions

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** 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, resposseors, motor vehicle sales finance companies, endowed care cemeteries and small loan financial entities, etc.). 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.

**Classification:**

(A) **Complaints with merit:** 1.21.2.657 NMAC, Discipline and Investigations - Historical

(B) **Complaints with no merit:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:** Date of closing action

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

[New - 03/31/2021]

**420-095 FINANCIAL INSTITUTION CHARTER AND LICENSURE FILES:**

**Division/unit:** Financial institutions

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** 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, reposseors, motor vehicle sales finance companies, and endowed care cemeteries, etc.). 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.

**Classification:**

(A) **Banks and credit unions:** 1.21.2.653 NMAC, Business Licenses - Historical

(B) **All other institutions:** 1.21.2.652 NMAC, Business Licenses

**File closure:** Date of license termination or revocation

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

[New - 03/31/2021]

**420-096 - 420-100**

**420-101 LIQUOR LICENSE AND LEASING FILES:**

**Division/unit:** Alcohol bureau

**Maintenance system:** Chronological by date, then numerical by liquor license number

**Record series content:**

(A) **Liquor license:** Records documenting the purchase and issuance of a dispenser and non-dispenser type liquor license. 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.*

(B) **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.*

(C) **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.

**Classification:**

(A) **Approved liquor licenses:** 1.21.2.653 NMAC, Business Licenses - Historical

(B) **Denied license applications:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:**

(A) **All other liquor licenses:** Date license is expired, revoked or lease expires

(B) **Denied license applications:** Date application denied

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

[New - 03/31/2021]

#### **420-102 LIQUOR LICENSE CITATION FILES:**

**Division/unit:** Alcohol bureau

**Maintenance system:** Chronological by date, then numerical by license number

**Record series content:** Records documenting the issuance of a citation for alleged violations of the New Mexico Liquor Control Act. Files may include copy of police report, copy of investigation report, settlement information, copy of citation, correspondence, etc.

**Classification:** 1.21.2.930 NMAC, Citation Management

**File closure:** Date of final disposition

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

[New - 03/31/2021]

#### **420-103 SPECIAL DISPENSER PERMIT FILES:**

**Division/unit:** Alcohol bureau

**Maintenance system:** Chronological by date, then numerical by permit number

**Record series content:** Records documenting the issuance of a permit allowing the sale or service of liquor for one-time, private or public celebration. Files may include *special dispenser permit application*, floor plan, list of servers, correspondence, etc.

**Classification:** 1.21.2.652 NMAC, Business Licenses

**File closure:** Date of permit expiration

[New - 03/31/2021]

#### **420-104 ALCOHOL SERVER PERMIT FILES:**

**Division/unit:** Alcohol bureau

**Maintenance system:** Chronological by date, then numerical by server permit number

**Record series content:** Records documenting the issuance, renewal and replacement of alcohol server permits which allow an individual to sell or serve liquor on liquor licensed premises. Files may include a copy of the server permit, *server permit application*, server permit examination, *request for server permit replacement*, correspondence, etc.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Date of permit expiration, cancellation or denial

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

[New - 03/31/2021]

#### **420-105 ALCOHOL SERVER CITATION FILES:**

**Division/unit:** Alcohol bureau

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the issuance of a citation for alleged misconduct of individuals serving or selling liquor on liquor licensed premises. Files may include copy of police report, copy of investigation report, settlement information, copy of citation, correspondence, etc.

**Classification:** 1.21.2.930 NMAC, Citation Management

**File closure:** Date of final disposition

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

[New - 03/31/2021]

#### **420-106 PROVIDER, INSTRUCTOR AND PROGRAM CERTIFICATION FILES:**

**Division/unit:** Alcohol bureau

**Maintenance system:** Chronological by date, then numerical by certificate number

**Record series content:** Records documenting the certification of providers, instructors and the instructional programs responsible for conducting the alcohol server training. 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.

**Classification:** 1.21.2.253 NMAC, Instructor Management

**File closure:** Date of expiration, cancellation or revocation

[New - 03/31/2021]

#### **420-107 PROVIDER, INSTRUCTOR AND PROGRAM VIOLATION FILES:**

**Division/unit:** Alcohol bureau

**Maintenance system:** Chronological by date, numerical by certificate number

**Record series content:** Records documenting actions taken as a result of an alleged violation of a provider, instructor or alcohol server training program. Files may include police report, documentation from director regarding fine, decertification or refusal to renew certification, correspondence, etc.

**Classification:** 1.21.2.656 NMAC, Discipline and Investigations - General

**File closure:** Date of final disposition

[New - 03/31/2021]

## 420-108 to 420-120

### 420-121 SMALL BREWER, WINEGROWER OR CRAFT DISTILLER PUBLIC CELEBRATION PERMIT FILES:

**Division/unit:** Alcohol bureau

**Maintenance system:** Chronological by date, then numerical by permit number

**Record series content:** Records documenting the issuance of a one-time permit for the sale or service of liquor during a special event or celebration. Files may include *public celebration permit application*, floor plan, list of servers, correspondence, etc.

**Classification:** 1.21.2.653 NMAC, Business Licenses - Historical

**File closure:** Date of permit expiration or denial

[New - 03/31/2021]

### 420-122 IMPORTATION AND EXPORTATION PERMIT FOR ALCOHOLIC BEVERAGES FILES:

**Division/unit:** Alcohol bureau

**Maintenance system:** Chronological by date, numerical by permit number

**Record series content:** Records documenting the issuance of a permit for the importation and exportation of alcoholic beverages by common carriers, non-residents and direct shippers. 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.

**Classification:** 1.21.2.652 NMAC, Business Licenses

**File closure:** Date of expiration or denial

[New - 03/31/2021]

## 420-123 to 420-130

### 420-131 INVESTMENT ADVISOR, BROKER DEALER, REPRESENTATIVE AND ISSUER AGENT LICENSURE FILES:

**Division/unit:** Securities

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of qualified individuals licensed as an investment advisor, broker dealer, representative or issuer agent. 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.

**Classification:**

(A) **License issued:** 1.21.2.655 NMAC, Dealers, Agents and Outfitters

(B) **License withdrawn or denied:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:**

(A) **License issued:** Close of fiscal year from date of expiration or revocation

(B) **License withdrawn or denied:** Date application withdrawn or denied

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

[New - 03/31/2021]

### 420-132 SECURITIES REGISTRATION FILES:

**Division/unit:** Securities

**Maintenance system:** Chronological by date, then alphabetical by security name

**Record series content:** Records documenting the registration of securities to be bought and sold in New Mexico. 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.

**Classification:**

(A) **Registration approved:** 1.21.2.669 NMAC, Securities

(B) **Registration withdrawn or denied:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:**

(A) **Registration approved:** Close of fiscal year from date of expiration or revocation

(B) **Registration withdrawn or denied:** Date application withdrawn or denied

[New - 03/31/2021]

**420-133 SECURITIES COMPLAINT INVESTIGATION FILES:**

**Division/unit:** Securities

**Maintenance system:** Chronological by date, then numerical by case number

**Record series content:** Records documenting the investigation of complaints of alleged securities misconduct by licensed investment advisors, broker dealers, representatives or issuer agents or unlicensed individuals. 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.

**Classification:**

(A) **Investigations with merit:** 1.21.2.656 NMAC, Discipline and Investigations - General

(B) **Investigations without merit:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:**

(A) **Investigations with merit:** Date of closing action

(B) **Investigations without merit:** Date determined to be without merit

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

[New - 03/31/2021]

**420-134 ORDERS FILES:**

**Division/unit:** Securities

**Maintenance system:** Chronological by date, then numerical by case number

**Record series content:** Records documenting administrative and court orders issued as a result of enforcement actions. Files may include official order, copy of investigation report, correspondence, etc.

**Classification:** 1.21.2.632 NMAC, Hearings and Appeals

**File closure:** Date of order

[New - 03/31/2021]

**420-135 SECURITIES REGISTRATION DATABASE:**

**Division/unit:** Securities

**Maintenance system:** Numerical by primary key

**Record series content:** 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.



**Classification:** 1.21.2.669 NMAC, Securities  
**File closure:** Close of fiscal year from date of expiration or revocation  
**Confidentiality:** Portions of this record may be confidential.  
[New - 03/31/2021]

**420-136 SECURITIES COMPLAINT INVESTIGATION DATABASE:**

**Division/unit:** Securities  
**Maintenance system:** Numerical by primary key  
**Record series content:** 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.

**Classification:**

(A) **Investigations with merit data:** 1.21.2.656 NMAC, Discipline and Investigations - General

(B) **Investigations without merit data:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:** Date of closing action  
**Confidentiality:** Portions of this record may be confidential.  
[New - 03/31/2021]

**420-137 to 420-140**

**420-141 BOARDS AND COMMISSIONS COMPLAINT FILES:**

**Division/unit:** Records common to all boards and commissions of the regulation and licensing department

**Maintenance system:** Alphabetical by licensee surname and by name of facility  
**Record series content:** Records concerning complaints regarding licensed or certified individuals and facilities. 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, etc.

**Classification:**

(A) **Complaints with merit:** 1.21.2.656 NMAC, Discipline and Investigations - General

(B) **Complaints without merit:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:** Date of closing action  
**Confidentiality:** Portions of this record may be confidential.  
[New - 03/31/2021]

**420-142 to 420-150**

**420-151 CERTIFIED PUBLIC ACCOUNTANT EXAMINATION FILES:**

**Division/unit:** Accountancy  
**Maintenance system:** Chronological by date, then alphabetical by surname  
**Record series content:** 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.  
**Classification:** 1.21.2.672 NMAC, Tests and Examinations  
**File closure:** Date last exam score received

**Confidentiality:** Portions of this record may be confidential.  
[New - 03/31/2021]

**420-152 FIRM PERMIT FILES:**

**Division/unit:** Accountancy

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** Records documenting the application and permit issuance allowing accounting firms to provide services in the state. Files may include firm permit application, official copy of firm letterhead, copy of registration with the PRC, renewal applications, correspondence, etc.

**Classification:**

(A) **Permit issued:** 1.21.2.652 NMAC, Business Licenses

(B) **Withdrawn applications:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **Permit issued:** Date of permit expiration or revocation

(B) **Withdrawn applications:** Date application withdrawn

[New - 03/31/2021]

**420-153 CERTIFIED PUBLIC ACCOUNTING LICENSURE FILES:**

**Division/unit:** Accountancy

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of licensed CPAs in the state. 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.

**Classification:**

(A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration, notification of death, or revocation

(B) **Withdrawn application:** Date application withdrawn

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

[New - 03/31/2021]

**420-154 LICENSED CERTIFIED PUBLIC ACCOUNTANTS REGISTRY:**

**Division/unit:** Accountancy

**Maintenance system:** Chronological by date

**Record series content:** Registry documenting all licensed certified public accountants. Registry may show names, addresses, certificate numbers, etc.

**Classification:** 1.21.2.117 NMAC, Reports - Historical

**File closure:** Close of calendar year list superseded

[New - 03/31/2021]

**420-155 ACCOUNTING FIRM REGISTRY:**

**Division/unit:** Accountancy

**Maintenance system:** Chronological by date

**Record series content:** Registry documenting all public accounting firms permitted in New Mexico. Registry may show names, addresses, permit numbers, etc.

**Classification:** 1.21.2.117 NMAC, Reports - Historical  
**File closure:** Close of calendar year list superseded  
[New - 03/31/2021]

#### 420-156 to 420-160

##### **420-161 ACUPUNCTURE AND ORIENTAL MEDICINE LICENSURE FILES:**

**Division/unit:** Acupuncture and oriental medicine

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** records documenting the application, issuance and licensure history of qualified individuals to practice acupuncture or oriental medicine. 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.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Date licensure lapses or revocation.

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

[New - 03/31/2021]

##### **420-162 EDUCATIONAL PROGRAM CERTIFICATION FILES:**

**Division/unit:** Acupuncture and oriental medicine

**Maintenance system:** Chronological by date, then alphabetical by program name

**Record series content:** Records documenting the application and approval for board certification of educational programs responsible for conducting DOM or CADS training. 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.

**Classification:** 1.21.2.402 NMAC, Courses and Programs

**File closure:** Date certification lapses or revocation

[New - 03/31/2021]

##### **420-163 EXAMINATION FILES:**

**Division/unit:** Acupuncture and oriental medicine

**Maintenance system:** Chronological by date

**Record series content:** Record of examinations administered for DOM or CADS licensure. Files may include examination booklets, sign-in sheets, answer keys, score reports, etc.

**Classification:** 1.21.2.672 NMAC, Tests and Examinations

**File closure:** Date of examination

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

[New - 03/31/2021]

#### 420-164 to 420-170

##### **420-171 ATHLETIC COMMISSION LICENSURE FILES:**

**Division/unit:** Athletics

**Maintenance system:** Chronological by date, then by entity or surname

**Record series content:** Records documenting the application, issuance and licensure history of event officials, unarmed combatants, corner men and promoters in the state. 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.

**Classification:**

- (A) **License issued:** 1.21.2.667 NMAC, Professional Licenses
- (B) **Licensed denied:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of licensure expiration or revocation
- (B) **Licensed denied:** Date application denied

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

[New - 03/31/2021]

**420-172 EVENT PERMIT FILES:**

**Division/unit:** Athletics

**Maintenance system:** Chronological by date

**Record series content:** 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.

**Classification:**

- (A) **Permit issued:** 1.21.2.652 NMAC, Business Licenses
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **Permit issued:** Date of event
- (B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

**420-173 to 420-180**

**420-181 ATHLETIC TRAINER LICENSURE FILES:**

**Division/unit:** Athletic trainers

**Maintenance system:** Chronological by date, then alphabetical by licensee surname

**Record series content:** Records documenting the application, issuance and licensure history for athletic trainers. 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.

**Classification:**

- (A) **License issued:** 1.21.2.667 NMAC, Professional Licenses
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of licensure expiration or revocation
- (B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

## 420-182 to 420-190

### 420-191 COUNSELING AND THERAPY PRACTICE LICENSURE FILES:

**Division/unit:** Counseling and therapy

**Maintenance system:** Chronological by date, then alphabetical by licensee surname

**Record series content:** Records documenting the application, issuance and licensure history of qualified individuals to practice counseling or therapy. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

### 420-192 CONTINUING EDUCATION UNIT PROVIDER CERTIFICATION FILES:

**Division/unit:** Counseling and therapy

**Maintenance system:** Chronological by date, then alphabetical by provider surname

**Record series content:** Records documenting the application, issuance and certification history of qualified individuals to provide CEUs. 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.

**Classification:**

(A) **Certification issued:** 1.21.2.404 NMAC, Individual Certification

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **Certification issued:** Date of certification expiration or revocation

(B) **Withdrawn application:** Date of application

[New - 03/31/2021]

## 420-193 to 420-200

### 420-201 CHIROPRACTIC EXAMINERS LICENSURE FILES:

**Division/unit:** Chiropractic examiners

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, license issuance and licensure history of qualified individuals to practice chiropractic examination or for advanced practice certification registry. 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.

**Classification:**

- (A) **License issued:** 1.21.2.667 NMAC, Professional Licenses
- (B) **No license issued:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of licensure expiration or revocation
- (B) **No license issued:** Date application received or failure of exam date, whichever is longer

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

[New - 03/31/2021]

**420-202 to 420-210**

**420-211 BARBERS AND COSMETOLOGY LICENSURE FILES:**

**Division/unit:** Barbers and cosmetology

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history for individuals qualified to practice barber and cosmetology specialties. 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.

**Classification:**

- (A) **Licensure approved files:** 1.21.2.667 NMAC, Professional Licenses
- (B) **All withdrawn applications:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:**

- (A) **Licensure approved files:** Date licensure lapses or is revoked
- (B) **All withdrawn applications:** Date of application

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

[New - 03/31/2021]

**420-212 INSTRUCTOR LICENSURE FILES:**

**Division/unit:** Barbers and cosmetology

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history for individuals qualified to instruct barber and cosmetology specialties. 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.

**Classification:**

- (A) **License issued:** 1.21.2.667 NMAC, Professional Licenses
- (B) **No license issued:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date original licensure lapses or is revoked
- (B) **No license issued:** Date of application

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

[New - 03/31/2021]

**420-213 SALON INSPECTION REPORTS:**

**Division/unit:** Barbers and cosmetology

**Maintenance system:** Chronological by date, then alphabetical by establishment name

**Record series content:** Records documenting sanitation and business operation for qualified salons to conduct business offering barber and cosmetology services. 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.

**Classification:** 1.21.2.415 NMAC, General - Audits and Compliance

**File closure:** Date inspection completed or date of board complaint resolution or hearing and fines resolved

[New - 03/31/2021]

#### **420-214 SCHOOL LICENSURE FILES:**

**Division/unit:** Barbers and cosmetology

**Maintenance system:** Chronological by date, then alphabetical by school name

**Record series content:** Records documenting the application and approval for board certification of educational programs responsible for conducting barber and cosmetology training. 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.

**Classification:** 1.21.2.652 NMAC, Business Licenses

**File closure:** Date licensure lapses or is revoked

[New - 03/31/2021]

#### **420-215 ESTABLISHMENT OR ENTERPRISE LICENSURE FILES:**

**Division/unit:** Barbers and cosmetology

**Maintenance system:** Chronological by date, then alphabetical by establishment name

**Record series content:** Records documenting the application, issuance and licensure history for establishments or enterprises qualified to practice barbering or cosmetology. Files may include application, correspondence, etc.

**Classification:** 1.21.2.652 NMAC, Business Licenses

**File closure:** Date licensure lapses or is revoked

[New - 03/31/2021]

#### **420-216 BODY ART TATTOO AND PIERCING LICENSURE FILES:**

**Division/unit:** Barbers and cosmetology

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history for individuals qualified to practice body art. 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.

**Classification:**

(A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B) **Withdrawn:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date licensure lapses or is revoked

(B) **Withdrawn:** Date of application

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

[New - 03/31/2021]

#### **420-217 APPRENTICE SPONSOR LICENSURE FILES:**

**Division/unit:** Barber and cosmetology

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** 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.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Date licensure lapses or is revoked

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

[New - 03/31/2021]

#### **420-218 BODY ART ESTABLISHMENT LICENSURE FILES:**

**Division/unit:** Barbers and cosmetology

**Maintenance system:** Chronological by date, then alphabetical by establishment name

**Record series content:** Records documenting the application, issuance and licensure history for body art establishments. Files may include application, proof supervising licensee active license, names of the body art supervising practitioners working at the establishment, correspondence, etc.

**Classification:** 1.21.2.653 NMAC, Business Licenses - Historical

**File closure:** Date licensure lapses or is revoked

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

[New - 03/31/2021]

#### **420-219 to- 420-230**

#### **420-231 DENTIST LICENSURE FILES:**

**Division/unit:** Dentistry

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, license issuance and licensure history for dentists. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **No license issued:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date license expired or is revoked

(B) **No license issued:** Date of application

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

[New - 03/31/2021]

#### **420-232 DENTAL ASSISTANT LICENSURE FILES:**

**Division/unit:** Dentistry

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history for dental assistants. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **No license issued:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**



(A) **License issued:** Date license is expired or is revoked

(B) **No license issued:** Date of application

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

[New - 03/31/2021]

#### **420-233 DENTAL HYGIENIST LICENSURE FILES:**

**Division/unit:** Dentistry

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, license issuance and licensure history for dental hygienists. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **No license issued:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date license is expired or is revoked

(B) **No license issued:** Date of application

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

[New - 03/31/2021]

#### **420-234 to 420-240**

#### **420-241 NUTRITION AND DIETETICS PRACTICE LICENSURE FILES:**

**Division/unit:** Nutrition and dietetics practices

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** 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.

**Classification:**

(A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

#### **420-242 to 420-250**

#### **420-251 LANDSCAPE ARCHITECT LICENSURE FILES:**

**Division/unit:** Landscape architecture

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a landscape architect. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-252 LANDSCAPE ARCHITECT IN TRAINING LICENSURE FILES:**

**Division/unit:** Landscape architecture

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a landscape architect in training. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-253 to 420-260**

**420-261 INTERIOR DESIGN LICENSURE FILES:**

**Division/unit:** Interior design

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of an interior designer. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

## 420-262 to 420-270

### 420-271      **MESSAGE THERAPIST LICENSURE FILES:**

**Division/unit:** Board of massage therapy

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application and issuance of a license to practice massage therapy. 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.

**Classification:**

(A)      **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B)      **No license issued:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A)      **License issued:** Date of expiration or revocation

(B)      **No license issued:** Date of application

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

[New - 03/31/2021]

### 420-272      **MESSAGE THERAPY INSTRUCTOR FILES:**

**Division/unit:** Board of massage therapy

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application for registration for the purpose of massage therapy instruction. 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.

**Classification:** 1.21.2.253 NMAC, Instructor Management

**File closure:** Date of expiration or revocation

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

[New - 03/31/2021]

### 420-273      **MESSAGE THERAPY SCHOOL FILES:**

**Division/unit:** Board of massage therapy

**Maintenance system:** Chronological by date, then alphabetical by institution name

**Record series content:** Records documenting application for registration of an institution for the purposes of massage therapy instruction. 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.

**Classification:** 1.21.2.652 NMAC, Business Licenses

**File closure:** Date of school closure

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

[New - 03/31/2021]

## 420-274 to 420-280

### 420-281      **NURSING HOME ADMINISTRATOR LICENSURE FILES:**

**Division/unit:** Nursing home administrators

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** 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.

**Classification:**

- (A) **License issued:** 1.21.2.667 NMAC, Professional Licenses
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of licensure expiration, revocation or notification of death
- (B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

**420-282 to 420-290**

**420-291 OCCUPATIONAL THERAPIST LICENSURE FILES:**

**Division/unit:** Occupational therapy

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of an occupational therapist. 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.

**Classification:**

- (A) **License issued:** 1.21.2.667 NMAC, Professional Licenses
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of licensure expiration or revocation
- (B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

**420-292 OCCUPATIONAL THERAPIST ASSISTANT LICENSURE FILES:**

**Division/unit:** Occupational therapy

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** 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.

**Classification:**

- (A) **License issued:** 1.21.2.667 NMAC, Professional Licenses
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of licensure expiration or revocation
- (B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

**420-293 to 420-300**

**420-301 OPTOMETRIST LICENSURE FILES:**

**Division/unit:** Optometry

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Record documenting the application, issuance and licensure history of an optometrist. 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.

**Classification:**

(A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B) **License denied:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration, revocation or notification of death

(B) **License denied:** Date application denied

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

[New - 03/31/2021]

**420-302 LICENSED OPTOMETRIST REGISTRATION LOG:**

**Division/unit:** Optometry

**Maintenance system:** Chronological by date

**Record series content:** Log documenting registered optometrist practicing in the state. Log may show name, address, license numbers, suspensions, revocations, renewals, etc.

**Classification:** 1.21.2.110 NMAC, Logs

**File closure:** Date log superseded

[New - 03/31/2021]

**420-303 to 420-310**

**420-311 SIGNED LANGUAGE INTERPRETER LICENSURE FILES:**

**Division/unit:** Signed language interpreting practices board

**Maintenance system:** Alphabetical by license type, then by licensee surname

**Record series content:** Records concerning the application, renewal and issuance of a community signed language interpreter's license or an educational signed language interpreter's license. 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.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Date of licensure final renewal, expiration, termination or revocation

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

[New - 03/31/2021]

**420-312 to 420-320**

**420-321 OSTEOPATHIC EXAMINER LICENSURE FILES:**

**Division/unit:** Osteopathic examiners

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of an osteopathic examiner. 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.

**Classification:**

(A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration, notification of death, notification of cancellation or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-322 OSTEOPATHIC PHYSICIAN'S ASSISTANT LICENSURE FILES:**

**Division/unit:** Osteopathic examiners

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of an osteopathic physician's assistant. 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.

**Classification:**

(A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration, notification of death, notification of cancellation or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-323 to 420-330**

**420-331 PHARMACIST LICENSURE FILES:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a pharmacist. 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.

**Classification:**

(A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration, notification of death, notification of cancellation or revocation

(B) **Withdrawn application:** Date of application  
**Confidentiality:** Portions of this record may be confidential.  
[New - 03/31/2021]

**420-332 PHARMACIST INTERN LICENSURE FILES:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a pharmacist intern. 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.

**Classification:**

(A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration, notification of cancellation, or revocation

(B) **Withdrawn application:** Date of application

**Confidentiality:** Portions of this record may be confidential.  
[New - 03/31/2021]

**420-333 WHOLESALER, MANUFACTURER AND REPACKER LICENSURE FILES:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** Records documenting the application, issuance and licensure history of a wholesaler, manufacturer, or repacker. 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.

**Classification:**

(A) **License issued:** 1.21.2.652 NMAC, Business Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration, notification of closure, or revocation

(B) **Withdrawn application:** Date of application

**Confidentiality:** Portions of this record may be confidential.  
[New - 03/31/2021]

**420-334 RESIDENT, NON-RESIDENT AND HOSPITAL PHARMACY LICENSURE FILES:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** Records documenting the application, issuance, and licensure history of a resident, non-resident and hospital pharmacy. 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.

**Classification:**

(A) **License issued:** 1.21.2.652 NMAC, Business Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration, notification of closure, notification of change of ownership, or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-335 CLINIC LICENSURE FILES:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** Records documenting the application, issuance, and licensure history of clinics.

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.

**Classification:**

(A) **License issued:** 1.21.2.652 NMAC, Business Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration, notification of closure, notification of change of ownership or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-336 CUSTODIAL LICENSURE FILES:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** Records documenting the application, issuance, and licensure history of an individual acting as a custodian of medicine for an individual.

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.

**Classification:**

(A) **Business license issued:** 1.21.2.652 NMAC, Business Licenses

(B) **Individual license issued:** 1.21.2.667 NMAC, Professional Licenses

(C) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**



(A) **Business license issued:** Date of licensure expiration, notification of death, notification of closure or revocation

(B) **Individual license issued:** Date of licensure expiration, notification of death, or revocation

(C) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

#### **420-337 PHARMACIST TECHNICIAN, FACILITY AND MEDICAL PRACTITIONER CONTROLLED SUBSTANCE LICENSURE FILES:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** Records documenting the application, issuance, and licensure history of pharmacy technician, facility and practitioner licensed to issue controlled substances. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration, notification of death, notification of cancellation, or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

#### **420-338 PHARMACIST REGISTRY:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date

**Record series content:** Registry documenting the licensed pharmacists. Registry may show name, license number, date issued, test scores, etc.

**Classification:** 1.21.2.110 NMAC, Logs

**File closure:** Close of the calendar year in which registry report superseded

[New - 03/31/2021]

#### **420-339 PHARMACIST CLINICIAN LICENSURE FILES:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a pharmacist clinician. 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.

**Classification:**

(A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of last licensure expiration, notification of cancellation, or revocation

**(B) Withdrawn application:** Date application processed  
**Confidentiality:** Portions of this record may be confidential.  
[New - 03/31/2021]

**420-340 CONTACT LENS SELLER AND DISPENSER LICENSURE FILES:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date, then alphabetical by facility name

**Record series content:** Records documenting the application, issuance and licensure history of a contact lens seller and dispenser. 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.

**Classification:**

**(A) License issued:** 1.21.2.667 NMAC, Professional Licenses

**(B) Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

**(A) License issued:** Date of licensure expiration, notification of closure, notification of change of ownership or revocation

**(B) Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-341 LAW ENFORCEMENT DRUG TAKE BACK FORM FILE:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date

**Record series content:** 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.

**Classification:** 1.21.2.828 NMAC, Drugs and Controlled Substances

**File closure:** Date of event

[New - 03/31/2021]

**420-342 LIMITED CONTROLLED SUBSTANCE REGISTRATION LICENSURE FILES:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date, then alphabetical by facility name

**Record series content:** 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.

**Classification:**

**(A) License issued:** 1.21.2.652 NMAC, Business Licenses

**(B) No license issued:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

**(A) License issued:** Date of expiration, revocation or facility closure

**(B) No license issued:** Date of application

[New - 03/31/2021]

**420-343 LIMITED DANGEROUS DRUG RESEARCH LICENSURE FILES:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date, then alphabetical by facility name

**Record series content:** 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.

**Classification:**

- (A) **License issued:** 1.21.2.652 NMAC, Business Licenses
- (B) **No license issued:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of expiration, revocation or facility closure
- (B) **No license issued:** Date of application

[New - 03/31/2021]

**420-344 ADVERSE DRUG EVENT FORM FILE:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date

**Record series content:** 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.

**Classification:** 1.21.2.829 NMAC, Incidents

**File closure:** Date of closing action

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

[New - 03/31/2021]

**420-345 PRESCRIPTION DRUG DONATION FILES:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date

**Record series content:** 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.

**Classification:** 1.21.2.828 NMAC, Drugs and Controlled Substances

**File closure:** Date of donation

**Confidentiality:** Portions of this file may be confidential.

[New - 03/31/2021]

**420-346 AUTHORIZED DELEGATE FORMS:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date

**Record series content:** 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. 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.

**Classification:**

- (A) **Approved form:** 1.21.2.101 NMAC, Authorization
- (B) **Denied form:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **Approved form:** Date delegate no longer authorized or revocation of authorization
- (B) **Denied form:** Date form processed

[New - 03/31/2021]

**420-347      PRESCRIPTION MONITORING PROGRAM REQUEST FOR AUTHORIZATION APPLICATION FILES:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date, then alphabetical by entity or surname

**Record series content:** Records documenting the application and approval of a practitioner, delegate of a practitioner, pharmacist, pharmacy technician, dispenser agent, dispenser reporting service, law enforcement regulatory board to have access to the PMP database. 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.

**Classification:**

(A) **Application approved:** 1.21.2.101 NMAC, Authorization

(B) **Application denied:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **Application approved:** Date individual is no longer authorized to access the database

(B) **Application denied:** Date application processed

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

[New - 03/31/2021]

**420-348      PRESCRIPTION MONITORING PROGRAM REQUEST FOR REPORT FILES:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date

**Record series content:** 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.

**Classification:**

(A) **Approved request files:** 1.21.2.518 NMAC, Information Release

(B) **Denied request files:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **Approved request files:** Date request processed

(B) **Denied request files:** Date request processed

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

[New - 03/31/2021]

**420-349      PRESCRIPTION MONITORING PROGRAM WAIVER FORMS:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date, then alphabetical by company name

**Record series content:** 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.

**Classification:**

(A) **Waiver approved:** 1.21.2.652 NMAC, Business Licenses

(B) **Waiver denied:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **Waiver approved:** Date waiver is removed or entity closes

(B) **Waiver denied:** Date form processed

[New - 03/31/2021]

**420-350      DELINQUENT PHARMACY AND ISSUING PRACTITIONER LIST:**

**Division/unit:** Pharmacy

**Maintenance system:** Chronological by date

**Record series content:** Records documenting non-compliance with reporting practices by pharmacies and issuing practitioners. 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.

**Classification:** 1.21.2.116 NMAC, Reports - General

**File closure:** Date of report

[New - 03/31/2021]

#### **420-351 NEW MEXICO PRESCRIPTION MANAGEMENT INFORMATION**

##### **DATABASE:**

**Division/unit:** Pharmacy

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.828 NMAC, Drugs and Controlled Substances

**File closure:** Date file created

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

[New - 03/31/2021]

#### **420-352 to 420-360**

#### **420-361 PHYSICAL THERAPIST AND PHYSICAL THERAPIST ASSISTANT**

##### **LICENSURE FILES:**

**Division/unit:** Physical therapy

**Maintenance system:** Chronological by date, alphabetical by surname

**Record series content:** 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.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Date of expiration or revocation of licensure

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

[New - 03/31/2021]

#### **420-362 TEMPORARY LICENSURE FOR FOREIGN PHYSICAL THERAPISTS AND PHYSICAL THERAPIST ASSISTANTS INSTRUCTOR FILES:**

**Division/unit:** Physical therapy

**Maintenance system:** Chronological by date, alphabetical by surname

**Record series content:** 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. Files may include notarized applications, passport quality photographs, verification of licensure, misconduct information, correspondence, etc.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Close of the calendar year in which license expired

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

[New - 03/31/2021]

#### **420-363 to 420-370**

#### **420-371      PODIATRY LICENSURE FILES:**

**Division/unit:** Podiatry

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a podiatrist. 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.

**Classification:**

(A)    **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B)    **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A)    **License issued:** Date of licensure expiration, revocation or notification of death

(B)    **Withdrawn application:** Date of application

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

[New - 03/31/2021]

#### **420-372 to 420-380**

#### **420-381      POLYGRAPH EXAMINER LICENSURE FILES:**

**Division/unit:** Private investigations

**Maintenance system:** Chronological by calendar year, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history for polygraph examiners. 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.

**Classification:**

(A)    **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B)    **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A)    **License issued:** Date of licensure expiration, revocation or notification of death

(B)    **Withdrawn application:** Date of application

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

[New - 03/31/2021]

#### **420-382      PRIVATE INVESTIGATOR LICENSURE FILES:**

**Division/unit:** Private investigations

**Maintenance system:** Chronological by calendar year, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history for private investigators. 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.

**Classification:**

(A)    **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B)    **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration, revocation or notification of death

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-383 PRIVATE INVESTIGATION EMPLOYEE LICENSURE FILES:**

**Division/unit:** Private investigations

**Maintenance system:** Chronological by calendar year, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of individuals employed by a licensed private investigation company. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Close of calendar year in which license is expired, revoked or terminated

(B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

**420-384 PRIVATE INVESTIGATION MANAGER LICENSURE FILES:**

**Division/unit:** Private investigations

**Maintenance system:** Chronological by calendar year, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a qualified individual to be employed as a manager of a licensed private investigation company. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Close of calendar year in which license is expired, revoked or terminated

(B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

**420-385 PRIVATE INVESTIGATION COMPANY LICENSURE FILES:**

**Division/unit:** Private investigations

**Maintenance system:** Chronological by calendar year, then alphabetical by company name

**Record series content:** Records documenting the application, issuance and licensure history of a qualified individual or entity operating a private investigation company. 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.

**Classification:**

- (A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of licensure expiration, revocation or notification of death
- (B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-386 PRIVATE PATROL OPERATOR LICENSURE FILES:**

**Division/unit:** Private investigations

**Maintenance system:** Chronological by calendar year, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of an individual to be employed by a licensed private patrol company. 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.

**Classification:**

- (A) **License issued:** 1.21.2.667 NMAC, Professional Licenses
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Close of calendar year in which license is expired, revoked or terminated

- (B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

**420-387 PRIVATE PATROL OPERATOR MANAGER LICENSURE FILES:**

**Division/unit:** Private investigations

**Maintenance system:** Chronological by calendar year, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of qualified individual employed as a manager by a licensed private patrol company. 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.

**Classification:**

- (A) **License issued:** 1.21.2.667 NMAC, Professional Licenses
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Close of calendar year in which license is expired, revoked or terminated

- (B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

**420-388 PRIVATE PATROL COMPANY LICENSURE FILES:**

**Division/unit:** Private investigations

**Maintenance system:** Chronological by calendar year, then alphabetical by company name

**Record series content:** Records documenting the application, issuance and licensure history of a qualified individual or entity operating a private patrol company. 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.

**Classification:**

- (A) **License issued:** 1.21.2.652 NMAC, Business Licenses
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Close of calendar year in which license expired or is revoked
- (B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

**420-389 SECURITY GUARD LICENSURE FILES:**

**Division/unit:** Private investigations

**Maintenance system:** Chronological by calendar year, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a qualified security guard. 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.

**Classification:**

- (A) **License issued:** 1.21.2.667 NMAC, Professional Licenses
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Close of calendar year in which license is expired, revoked or terminated
- (B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

**420-390 to 420-400**

**420-401 PSYCHOLOGIST EXAMINER LICENSURE FILES:**

**Division/unit:** Psychologist examiners

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a psychologist examiner. 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.

**Classification:**

- (A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of licensure expiration, notification of death, or revocation
- (B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-402 CONDITIONAL PSYCHOPHARMACOLOGY PSYCHOLOGIST EXAMINER LICENSURE FILES:**

**Division/unit:** Psychologist examiners

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a conditional psychopharmacology psychologist examiner. 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.

**Classification:**

(A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

#### **420-403 PSYCHOPHARMACOLOGY PSYCHOLOGIST EXAMINER LICENSURE**

**FILES:**

**Division/unit:** Psychologist examiners

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a psychopharmacology psychologist examiner. 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.

**Classification:**

(A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration, notification of death, or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

#### **420-404 PSYCHOLOGIST ASSOCIATE LICENSURE FILES:**

**Division/unit:** Psychologist examiners

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a psychologist associate. 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.

**Classification:**

- (A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical
- (B) **Provisional license issued:** 1.21.2.667 NMAC, Professional Licenses
- (C) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of licensure expiration, notification of death, or revocation
- (B) **Provisional license issued:** Date of licensure expiration or revocation
- (C) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-405 PSYCHOLOGIST BOARD ANNUAL REPORT FILE:**

**Division/unit:** Psychology

**Maintenance system:** Chronological by date

**Record series content:** 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.

**Classification:** 1.21.2.117 NMAC, Reports - Historical

**File closure:** Close of the calendar year in which superseded

[New - 03/31/2021]

**420-405 to 420-410**

**420-411 REAL ESTATE BROKER LICENSURE FILES:**

**Division/unit:** Real estate

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a real estate broker. 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.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Date of licensure expiration, revocation or notification of death

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

[New - 03/31/2021]

**420-412 REAL ESTATE ASSOCIATE BROKER LICENSURE FILES:**

**Division/unit:** Real estate

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a real estate associate broker. 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.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Date of licensure expiration, revocation or notification of death

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

[New - 03/31/2021]

**420-413 CERTIFIED INSTRUCTOR FILES:**

**Division/unit:** Real estate

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the certification of individuals to teach courses for real estate brokers and assistant brokers. Files may include application, course documentation, copy of certificates, outline of courses, renewal application, correspondence, etc.

**Classification:** 1.21.2.253 NMAC, Instructor Management

**File closure:** Date of certification expiration or revocation

[New - 03/31/2021]

**420-414 SPONSOR CERTIFICATION FILES:**

**Division/unit:** Real estate

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** Records documenting the certification of an entity to offer courses related to real estate education. 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.

**Classification:**

(A) **Certificate issued:** 1.21.2.404 NMAC, Individual Certification

(B) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:**

(A) **Certificate issued:** Date of certificate expiration or revocation

(B) **Withdrawn or denied application:** Date application withdrawn or denied

[New - 03/31/2021]

**420-415 APPROVED COURSES FILES:**

**Division/unit:** Real estate

**Maintenance system:** Chronological by date, then alphabetical by course name

**Record series content:** Records documenting the approval of real estate education courses. Files may include application, copy of class outline, copy of evaluation by committee members, etc.

**Classification:**

(A) **Course approved:** 1.21.2.251 NMAC, Course Management

(B) **Course withdrawn or denied:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:**

(A) **Course approved:** Date of last course instruction

(B) **Course withdrawn or denied:** Date application withdrawn or denied

[New - 03/31/2021]

**420-416 REAL ESTATE OFFICE INSPECTION FILES:**

**Division/unit:** Real estate

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** Records documenting the routine audit of offices of real estate entities. Files may include survey form, inspection form, letter stating compliance or noncompliance, correspondence, etc.

**Classification:** 1.21.2.415 NMAC, General - Audits and Compliance

**File closure:** Date of compliant inspection or date of final disposition of inspection

[New - 03/31/2021]

**420-417 TIME SHARE CERTIFICATE OF REGISTRATION FILES:**

**Division/unit:** Real estate

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** 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.

**Classification:**

(A) **Registration issued:** 1.21.2.652 NMAC, Business Licenses

(B) **Registration denied or withdrawn:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:**

(A) **Registration issued:** Date of registration expiration or revocation

(B) **Registration denied or withdrawn:** Date application denied or withdrawn

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

[New - 03/31/2021]

**420-418 REGISTER OF LICENSED REAL ESTATE BROKERS AND ASSOCIATE BROKERS:**

**Division/unit:** Real estate

**Maintenance system:** Chronological by date

**Record series content:** 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.

**Classification:** 1.21.2.108 NMAC, Distribution, Mailing and Contact Lists

**File closure:** Date superseded

[New - 03/31/2021]

**420-419 to 420-430**

**420-431 RESPIRATORY CARE PRACTITIONER LICENSURE FILES:**

**Division/unit:** Respiratory care

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a respiratory care practitioner. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **Withdrawn application:** Date application withdrawn

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

[New - 03/31/2021]

**420-432 TEMPORARY TRAINING PERMIT FILES:**

**Division/unit:** Respiratory care

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and permit history of a respiratory care practitioner student and graduate in training. 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.

**Classification:**

(A) **Permit issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **Permit issued:** Date of permit expiration or revocation

(B) **Withdrawn application:** Date application withdrawn

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

[New - 03/31/2021]

**420-433 to 420-440**

**420-441 APPRENTICE IN SPEECH LANGUAGE PATHOLOGY LICENSURE FILES:**

**Division/unit:** Speech, language, pathology, audiology and hearing aid dispensing practices

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of an apprentice in speech language. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-442 CLINICAL FELLOW SPEECH LANGUAGE PATHOLOGIST AUDIOLOGIST LICENSURE FILES:**

**Division/unit:** Speech, language, pathology, audiology and hearing aid dispensing practices

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a clinical fellow speech language pathologist audiologist. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records  
**File closure:**  
(A) **License issued:** Date of licensure expiration or revocation  
(B) **Withdrawn application:** Date of application  
**Confidentiality:** Portions of this record may be confidential.  
[New - 03/31/2021]

**420-443 SPEECH LANGUAGE PATHOLOGIST LICENSURE FILES:**

**Division/unit:** Speech, language, pathology, audiology and hearing aid dispensing practices  
**Maintenance system:** Chronological by date, then alphabetical by surname  
**Record series content:** Records documenting the application, issuance and licensure history of a speech language pathologist. 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.  
**Classification:**  
(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses  
(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records  
**File closure:**  
(A) **License issued:** Date of licensure expiration or revocation  
(B) **Withdrawn application:** Date of application  
**Confidentiality:** Portions of this record may be confidential.  
[New - 03/31/2021]

**420-444 AUDIOLOGIST LICENSURE FILES:**

**Division/unit:** Speech, language, pathology, audiology and hearing aid dispensing practices  
**Maintenance system:** Chronological by date, then alphabetical by surname  
**Record series content:** Records documenting the application, issuance and licensure history of an audiologist. 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.  
**Classification:**  
(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses  
(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records  
**File closure:**  
(A) **License issued:** Date of licensure expiration or revocation  
(B) **Withdrawn application:** Date of application  
**Confidentiality:** Portions of this record may be confidential.  
[New - 03/31/2021]

**420-445 AUDIOLOGIST WITH ENDORSEMENT TO DISPENSE LICENSURE FILES:**

**Division/unit:** Speech, language, pathology, audiology and hearing aid dispensing practices  
**Maintenance system:** Chronological by date, then alphabetical by surname  
**Record series content:** Records documenting the application, issuance and licensure history of an audiologist with endorsement to dispense. 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.  
**Classification:**

- (A) **License issued:** 1.21.2.667 NMAC, Professional Licenses
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of licensure expiration or revocation
- (B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-446 HEARING AID DISPENSER TRAINING LICENSURE FILES:**

**Division/unit:** Speech, language, pathology, audiology and hearing aid dispensing practices

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a hearing aid dispenser in training. Files may include application, copy of high school diploma or equivalent, training plan, copy of *jurisprudence exam* results, correspondence, etc.

**Classification:**

- (A) **License issued:** 1.21.2.667 NMAC, Professional Licenses
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of licensure expiration or revocation
- (B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-447 HEARING AID DISPENSER LICENSURE FILES:**

**Division/unit:** Speech, language, pathology, audiology and hearing aid dispensing practices

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a hearing aid dispenser. 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.

**Classification:**

- (A) **License issued:** 1.21.2.667 NMAC, Professional Licenses
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of licensure expiration or revocation
- (B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-448 OTOLARYNGOLOGIST LICENSURE FILES:**

**Division/unit:** Speech, language, pathology, audiology and hearing aid dispensing practices

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of otolaryngologist. 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.

**Classification:**

- (A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records



**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-449 to 420-460**

**420-461 FUNERAL SERVICE PRACTITIONER LICENSURE FILES:**

**Division/unit:** Funeral services

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a funeral service practitioner. 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.

**Classification:**

**File closure:**

(A) **License issued:** 1.21.2.668 NMAC, Professional Licenses - Historical

(B) **No license issued:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **No license issued:** Date of application

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

[New - 03/31/2021]

**420-462 FUNERAL SERVICE INTERN LICENSURE FILES:**

**Division/unit:** Funeral services

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of funeral service interns. 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.

**Classification:**

(A) **Licensed issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:**

(A) **Licensed issued:** Date of licensure expiration or revocation

(B) **Withdrawn or denied application:** Date of application

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

[New - 03/31/2021]

**420-463 DIRECT DISPOSER LICENSURE FILES:**

**Division/unit:** Funeral services

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of direct disposers. 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.

**Classification:**

(A) **Licensed issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:**

(A) **Licensed issued:** Date of licensure expiration or revocation

(B) **Withdrawn or denied application:** Date of denial

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

[New - 03/31/2021]

**420-464 ESTABLISHMENT LICENSURE FILES:**

**Division/unit:** Funeral services

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** Records documenting the application, issuance and licensure history of funeral establishments, commercial establishments, direct disposition establishments and crematories. 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.

**Classification:**

(A) **Licensed issued:** 1.21.2.653 NMAC, Business Licenses - Historical

(B) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

**File closure:**

(A) **Licensed issued:** Sate of licensure expiration or revocation

(B) **Withdrawn or denied application:** Date of application

[New - 03/31/2021]

**420-465 to 420-470**

**420-471 SOCIAL WORK EXAMINER LICENSURE FILES:**

**Division/unit:** Social work examiners

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a social work examiner. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration, revocation, or notification of death

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-472 SOCIAL WORK EXAMINERS BOARD ANNUAL REPORT FILE:**

**Division/unit:** Social work examiners

**Maintenance system:** Chronological by date

**Record series content:** 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.

**Classification:** 1.21.2.117 NMAC, Reports - Historical

**File closure:** Close of calendar year in which superseded  
[New - 03/31/2021]

**420-473 to 420-480**

**420-481 LICENSED APPRAISER LICENSURE FILES:**

**Division/unit:** Real estate appraiser

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a real estate appraiser. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-482 APPRENTICE APPRAISER LICENSURE FILES:**

**Division/unit:** Real estate appraiser

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of an apprentice real estate appraiser. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-483 RESIDENTIAL CERTIFIED APPRAISER LICENSURE FILES:**

**Division/unit:** Real estate appraiser

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance, and licensure history of a residential certified appraiser. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-484 GENERAL CERTIFIED APPRAISER LICENSURE FILES:**

**Division/unit:** Real estate appraiser

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application, issuance and licensure history of a general certified appraiser. 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-485 TEMPORARY PRACTICE PERMIT FILES:**

**Division/unit:** Real estate appraiser

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting the application and temporary permit issuance to an out-of-state certified real estate appraiser. Files may include application, copy of appraisal assignments, correspondence, etc.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

(B) **Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-486 REAL ESTATE EDUCATION AND CONTINUING EDUCATION PROGRAM CERTIFICATION FILES:**

**Division/unit:** Real estate appraiser

**Maintenance system:** Chronological by date, then alphabetical by sponsor name

**Record series content:** Records documenting the application and certification history of real estate educational sponsored programs. Files may include application, copy of educational curriculum, correspondence, etc.

**Classification:**

- (A) **Certificate issued:** 1.21.2.402 NMAC, Courses and Programs
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **Certificate issued:** Date of curriculum certification expiration
- (B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

**420-487 APPRAISAL MANAGEMENT COMPANY LICENSURE FILES:**

**Division/unit:** Real estate appraiser

**Maintenance system:** Chronological by date, then alphabetical by company name

**Record series content:** Records documenting the application, issuance and licensure history of appraisal management companies. 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.

**Classification:**

- (A) **License issued:** 1.21.2.652 NMAC, Business Licenses
- (B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **License issued:** Date of license expiration or revocation
- (B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

**420-488 REGISTRY OF REAL ESTATE APPRAISERS FILE:**

**Division/unit:** Real estate appraiser

**Maintenance system:** Chronologically by date

**Record series content:** 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.

**Classification:** 1.21.2.117 NMAC, Reports - Historical

**File closure:** Close of the calendar year in which registry report superseded

[New - 03/31/2021]

**420-489 to 420-500**

**420-501 EUTHANASIA AGENCY LICENSURE FILES:**

**Division/unit:** Animal sheltering

**Maintenance system:** Chronological by year, then alphabetical by agency name

**Record series content:** Records documenting the licensure of an euthanasia agency to perform animal euthanasia of shelter animals. Files may include *application for licensure as a euthanasia agency*, current list of agency employed licensed euthanasia technicians, contingency plan, correspondence, etc.

**Classification:** 1.21.2.652 NMAC, Business Licenses

**File closure:** Date of license expiration or revocation

[New - 03/31/2021]

**420-502 EUTHANASIA INSTRUCTOR CERTIFICATION FILES:**

**Division/unit:** Animal sheltering

**Maintenance system:** Chronological by year, then alphabetical by surname

**Record series content:** Records documenting the certification of individuals to instruct board approved euthanasia technician training courses. 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.

**Classification:** 1.21.2.404 NMAC, Individual Certification

**File closure:** Date of certification expiration or revocation

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

[New - 03/31/2021]

**420-503 EUTHANASIA TECHNICIAN LICENSURE FILES:**

**Division/unit:** Animal sheltering

**Maintenance system:** Chronological by year, then alphabetical by surname

**Record series content:** Records documenting the licensure of individuals, other than a veterinarian, to perform animal euthanasia of shelter animals for a licensed euthanasia agency. 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.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Date of license expiration or revocation

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

[New - 03/31/2021]

**420-504 EUTHANASIA AGENCY INVESTIGATION FILES:**

**Division/unit:** Animal sheltering

**Maintenance system:** Chronological by calendar year, then alphabetical by agency name

**Record series content:** Records documenting euthanasia agency investigations. Files may include complaint, investigation reports, notice of contemplated action, request for hearing, final disposition, settlement agreement, correspondence, etc.

**Classification:** 1.21.2.656 NMAC, Discipline and Investigations - General

**File closure:** Close of calendar year from date investigation closed

[New - 03/31/2021]

**420-505 to 420-510**

**420-511 HOISTING OPERATOR LICENSURE FILES:**

**Division/unit:** Licensed hoisting operator

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** 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.

**Classification:**

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date of licensure expiration or revocation

**(B) Withdrawn application:** Date of application  
**Confidentiality:** Portions of this record may be confidential.  
[New - 03/31/2021]

**420-512 HOISTING OPERATOR INCIDENT REPORT FILES:**

**Division/unit:** Licensed hoisting operator

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** Records documenting incidents involving hoisting operators. Files may include incident report, disposition of incident, correspondence, etc.

**Classification:** 1.21.2.656 NMAC, Discipline and Investigations - General

**File closure:** Date of final disposition

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

[New - 03/31/2021]

**420-513 to 420-520**

**420-521 EMPLOYEE LEASING COMPANY REGISTRATION FILES:**

**Division/unit:** Employee leasing

**Maintenance system:** Chronological by date, then alphabetical by surname

**Record series content:** 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.

**Classification:**

**(A) License issued:** 1.21.2.652 NMAC, Business Licenses

**(B) Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

**(A) License issued:** Date of licensure expiration or revocation

**(B) Withdrawn application:** Date of application

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

[New - 03/31/2021]

**420-522 to 420-530**

**420-531 CARNIVAL RIDE COMPANY LICENSURE FILES:**

**Division/unit:** Carnival ride insurance

**Maintenance system:** Chronological by date, then alphabetical by company name

**Record series content:** 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.

**Classification:**

**(A) License issued:** 1.21.2.652 NMAC, Business Licenses

**(B) Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

**(A) License issued:** Date of licensure expiration or revocation

**(B) Withdrawn application:** Date of application

[New - 03/31/2021]

**420-532 CARNIVAL RIDE COMPANY INCIDENT REPORT FILES:**

**Division/unit:** Carnival ride insurance

**Maintenance system:** Chronological by date, then alphabetical by company name

**Record series content:** Records documenting incidents involving a carnival ride company. Files may include incident report, disposition of incident, correspondence, etc.

**Classification:** 1.21.2.478 NMAC, Investigations - Inspections and Monitoring

**File closure:** Date of final disposition of incident

[New - 03/31/2021]

**420-533 to 420-540**

**420-541 SECONDHAND METAL DEALER'S REGISTRATION APPLICATION FILES:**

**Division/unit:** Recycled metals

**Maintenance system:** Chronological by date received, then numerical by identification number

**Record series content:** Records documenting the registration of secondhand dealers that purchase and sell regulated materials pursuant to the Sale of Recycled Materials Act. 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.

**Classification:** 1.21.2.652 NMAC, Business Licenses

**File closure:** Close of the calendar year in which certification is expired or revoked

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

[New - 03/31/2021]

**420-542 SECONDHAND METAL DEALER'S REGISTRATION DATABASE:**

**Division/unit:** Recycled metals

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.652 NMAC, Business Licenses

**File closure:** Close of the calendar year in which certification is expired or revoked

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

[New - 03/31/2021]

**420-543 SECONDHAND METAL DEALER'S PURCHASE RECORD FILES:**

**Division/unit:** Recycled metals

**Maintenance system:** Chronological by calendar year, then numerical by identification number

**Record series content:** 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.

**Classification:** 1.21.2.474 NMAC, General - Inspection

**File closure:** Close of calendar year in which record created

[New - 03/31/2021]

**420-544 SECONDHAND METAL DEALER'S PURCHASE RECORD DATABASE:**

**Division/unit:** Recycled metals

**Maintenance system:** Numerical by primary key



**Record series content:** 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.

**Classification:** 1.21.2.474 NMAC, General - Inspection

**File closure:** Close of calendar year in which record created

[New - 03/31/2021]

#### **420-545 to 420-550**

##### **420-551 EXAM AND ANSWER KEY FILES:**

**Division/unit:** Records common to regulation and licensing department

**Maintenance system:** Chronological by date

**Record series content:** Records documenting required exams and answer keys administered by the department. Files may include exam, answer key, etc.

**Classification:** 1.21.2.672 NMAC, Tests and Examinations

**File closure:** Date superseded by new exam

[New - 03/31/2021]

##### **420-552 LICENSING SYSTEM:**

**Division/unit:** Records common to regulation and licensing department

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:**

(A) **Business license data:** 1.21.2.653 NMAC, Business Licenses - Historical

(B) **Individual license data:** 1.21.2.668 NMAC, Professional Licenses - Historical

**File closure:** Date of permit, certification or licensure expiration, revocation or notification of death

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

[New - 03/31/2021]

##### **420-553 CALL CENTER MANAGEMENT DATABASE:**

**Division/unit:** Records common to regulation and licensing department

**Maintenance system:** Numerical by primary key

**Record series content:** Database tracks and maintains information on complaints and requests for construction inspections. Data may include call data (i.e., number, duration of call, etc.), permit data, renewal data, complaint data, deposit data, payment data, etc.

**Classification:**

(A) **Complaint investigation data:** 1.21.2.656 NMAC, Discipline and Investigations - General

(B) **Permit issued data:** 1.21.2.469 NMAC, Building and Construction

**File closure:**

(A) **Complaint investigation data:** Date of closing action

(B) **Permit issued data:** Date of permit expiration, revocation or completion of project

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

[New - 03/31/2021]