

## 950 – Higher Education Department File Plan

This file plan was developed to be a guide for Higher Education 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 Higher Education 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.

### **950-001 PRIVATE POST-SECONDARY INSTITUTION LICENSURE FILES:**

**Division/unit:** Private and proprietary schools

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

**Record series content:** Records documenting the application, issuance and licensure history of a private post-secondary educational institution residing and operating in the state. Files may include application, proof of institution ownership, proof of institution administration, proof of accreditation, proof of approval from other states, proof of financial stability, proof of liability insurance, fire department inspection report, proof of surety bond, proof of advisory council, enrollment agreement, plan for institution evaluation, institution catalog, faculty qualifications, list of educational programs to be offered, bachelor's and graduate's degree programs, statement of procedure assessing qualifications for student admission, renewal applications, correspondence, etc.

**Classification:**

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

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **License issued:** Date institution closes

(B) **Withdrawn application:** Date application received

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

[New - 03/31/2021]

### **950-002 REGISTERED INSTITUTION FILES:**

**Division/unit:** Private and proprietary schools

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

**Record series content:** Records documenting the application, issuance and certification history of an out of state registered institution for the purposes of recruiting potential students. Files may include application, certification of current ownership, proof of surety bond, proof of liability insurance, proof of recognition by state of residence, proof of regional accreditation, current student catalog, demographic data report, agent authorization forms, renewal applications, correspondence, etc.

**Classification:**

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

(B) **Withdrawn application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

(A) **Approved application:** Date of registration expiration or revocation

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

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

[New - 03/31/2021]

### **950-003 TAX EXEMPTION INSTITUTION FILES:**

**Division/unit:** Private and proprietary schools

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

**Record series content:** Records documenting the application, issuance and history of institutions filing for tax exemption certificate. Files may include application, certification of current ownership, proof of surety bond, proof of liability insurance, proof of recognition by state of residence, current student catalog, demographic data report, agent authorization forms, correspondence, etc.

**Classification:**

(A) **Exemption issued:** 1.21.2.351 NMAC, Exemptions

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

**File closure:**

(A) **Exemption issued:** Date certificate issued

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

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

[New - 03/31/2021]

#### **950-004 PRIVATE INSTITUTION STUDENT FILES:**

**Division/unit:** Private and proprietary schools

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

**Record series content:** Records documenting the academic history of a student previously enrolled in a closed licensed private institution. Files may include the admission application, enrollment agreement, official transcripts, test scores, up-dated transcripts, financial statements, attendance information, academic counseling records, financial aid records, correspondence, etc.

**Classification:**

(A) **Official transcripts:** 1.21.2.189 NMAC, Student Transcripts

(B) **Financial aid information:** 1.21.2.337 NMAC, Educational Financial Aid

(C) **All other information:** 1.21.2.188 NMAC, Student Records

**File closure:**

(A) **Official transcripts:** Date of birth of student

(B) **Financial aid information:** Date financial aid is paid in full

(C) **All other information:** Date of student's last activity

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

[New - 03/31/2021]

#### **950-005 STUDENT REQUEST FOR TRANSCRIPT FILES:**

**Division/unit:** Private and proprietary schools

**Maintenance system:** Chronological by date

**Record series content:** Records documenting the request for student transcripts from closed licensed institutions. Files may include the request for transcript, copy of cover letter issued, copy of transcript, correspondence, etc.

**Classification:** 1.21.2.518 NMAC, Information Release

**File closure:** Date of request

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

[New - 03/31/2021]

#### **950-006 to 950-020**

#### **950-021 SCHOLARSHIP AWARD FILES:**

**Division/unit:** Financial aid

**Maintenance system:** Chronological by date, then alphabetical by scholarship program and student surname

**Record series content:** Records documenting the application, review and issuance of state and federally funded scholarships. Files may include application, eligibility form, acceptance letter, request for payment from institution, certification from institution, copy of award letter, letter of appeal, correspondence, etc.

**Classification:**

- (A) **Scholarship awarded:** 1.21.2.337 NMAC, Educational Financial Aid
- (B) **Denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **Scholarship awarded:** Close of federal fiscal year in which award was issued
- (B) **Denied application:** Date application processed

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

[New - 03/31/2021]

**950-022 STUDENT LOAN FOR SERVICE PROGRAM FILES:**

**Division/unit:** Financial aid

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

**Record series content:** Records documenting the application, review and issuance of state funds to students through the loan for service program. Files may include application, copy of transcripts, award letters, promissory note, record of payment, loan information (e.g., interest rates, loan balances and loan provider address, contact names, etc.), copy of driver's license, acceptance letter, employment verification, copy of tax report information, employment information, copy of professional license, renewal applications, correspondence, etc.

**Classification:**

- (A) **Loan issued:** 1.21.2.337 NMAC, Educational Financial Aid
- (B) **Denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **Loan issued:** Close of federal fiscal year in which contract or loan obligations fulfilled
- (B) **Denied application:** Date application processed

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

[New - 03/31/2021]

**950-023 STUDENT LOAN FOR REPAYMENT PROGRAM FILES:**

**Division/unit:** Financial aid

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

**Record series content:** Records documenting the application, and issuance of state and federal funds to students through the loan for repayment program. Files may include application, copy of transcripts, award letters, promissory note, record of payment, loan information (e.g., interest rates, loan balances and loan provider address/contact info, etc.), copy of driver's license, acceptance letter, employment verification, tax information, employment information, copy of professional license, renewal applications, correspondence, etc.

**Classification:**

- (A) **Loan issued:** 1.21.2.337 NMAC, Educational Financial Aid
- (B) **Denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **Loan issued:** Close of federal fiscal year in which loan obligations were fulfilled
- (B) **Denied application:** Date application processed

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

[New - 03/31/2021]

**950-024 LOTTERY DATABASE:**

**Division/unit:** Financial aid

**Maintenance system:** Numerical by primary key

**Record series content:** System created to track student information submitted from higher education institutions (e.g., student transcript, student awards and honors, financial aid, scholarship awards, etc.). Data may include student academic data, student financial aid data, student scholarship data, etc.

**Classification:**

- (A) **Student transcript data:** 1.21.2.189 NMAC, Student Transcripts
- (B) **Student awards and honors file data:** 1.21.2.337 NMAC, Educational Financial Aid
- (C) **Financial aid file data:** 1.21.2.337 NMAC, Educational Financial Aid
- (D) **Scholarship awards file data:** 1.21.2.337 NMAC, Educational Financial Aid

**File closure:**

- (A) **Student transcript data:** Date of graduation or disenrollment
- (B) **Student awards and honors file data:** Date student graduated
- (C) **Financial aid file data:** Date student graduated or financial aid fulfillment has been completed
- (D) **Scholarship awards file data:** Date student graduated

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

[New - 03/31/2021]

**950-025 to 950-030**

**950-031 TRANSFER AND ARTICULATION FILES:**

**Division/unit:** Policy and programs

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

**Record series content:** Records documenting the proposal and approval of core education higher institution courses. Files may include copy of proposal, acceptance or rejection letter, committee review notes, syllabus, announcement of response, correspondence, etc.

**Classification:**

- (A) **Proposal accepted:** 1.21.2.182 NMAC, Course Development and Administration
- (B) **Proposal denied:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **Proposal accepted:** Close of calendar year in which proposal was approved
- (B) **Proposal denied:** Date of denial

[New - 03/31/2021]

**950-032 TITLE II FEDERAL GRANT PROGRAM FILES:**

**Division/unit:** Policy and programs

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

**Record series content:** Records documenting the application and award of Title II federal grant funds for development of primary and secondary education instructors. Files may include request for application, application, copy of award letter, semi-annual reports, year-end report, correspondence, etc.

**Classification:**

- (A) **Grant funds issued:** 1.21.2.122 NMAC, Grant Administration
- (B) **Grant funds denied:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:**

- (A) **Grant funds issued:** Date of last expenditure report
- (B) **Grant funds denied:** Date denied

[New - 03/31/2021]

**950-033 to 950-040**

**950-041 SUB-GRANTEE APPLICATION AND EXTENSION FILES:**

**Division/unit:** Adult basic education

**Maintenance system:** Chronological by date, then alphabetical by sub-grantee name

**Record series content:** Records documenting the proposal and award of Workforce Investment Act Title II federal grant funds to sub-grantees. Sub-grantees are educational institutions awarded federal funding for adult basic education programs. Files may include application; self-study goal; professional development plan; proposed budget; budget explanation; addendum for federal funds; New Mexico higher education department adult basic education division federal programs general assurances; signature page for federal programs general assurances; certification regarding debarment, suspension, ineligibility and voluntary exclusion; equipment guidelines; agreement for the operation of an approved adult basic education program; performance measurement worksheet; extension requests; correspondence; etc.

**Classification:**

(A) **Grant funds issued:** 1.21.2.122 NMAC, Grant Administration

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

**File closure:**

(A) **Grant funds issued:** Close of the federal fiscal year in which grant closed

(B) **Grant funds denied:** Close of federal fiscal year in which grant denied

[New - 03/31/2021]

#### **950-042 SUB-GRANTEE SITE OVERSITE FILES:**

**Division/unit:** Adult basic education

**Maintenance system:** Chronological by date, then alphabetical by sub-grantee name

**Record series content:** Records documenting the site visits of education institutions awarded funds through Workforce Investment Act Title II grant for adult basic education programs. Files may include notes from program director, checklist of federal goals, agenda, audit questions, business procedures, statewide training receipts, miscellaneous lesson plans, proof of effort, maintenance of effort, summary of site visits, requests for reimbursement, correspondence, etc.

**Classification:** 1.21.2.413 NMAC, Federal Compliance and Reporting

**File closure:** Close of federal fiscal year in which grant closed

[New - 03/31/2021]

#### **950-043 INTEGRATED BASIC EDUCATION AND SKILLS TRAINING PROGRAM FILES:**

**Division/unit:** Adult basic education

**Maintenance system:** Chronological by date, then alphabetical by sub-grantee name

**Record series content:** Records documenting education activities of educational institutions awarded the Title II Workforce Investment Act grant funds. Files may include invoices and supporting documentation, requests for reimbursement, contracts, copy of receipts, correspondence, etc.

**Classification:** 1.21.2.122 NMAC, Grant Administration

**File closure:** Close of the federal fiscal year in which grant closed

[New - 03/31/2021]

#### **950-044 FEDERAL CARRYOVER FILES:**

**Division/unit:** Adult basic education

**Maintenance system:** Chronological by date, then alphabetical by sub-grantee name

**Record series content:** Records documenting the amount of carryover federal funds awarded by the Workforce Investment Act Title II federal grant not utilized by sub-grantees. Files may include carryover letter, budget adjustment, statement of adjustment, funding formula worksheet, correspondence, etc.

**Classification:** 1.21.2.304 NMAC, Account Transfers

**File closure:** Close of the federal fiscal year in which grant closed

[New - 03/31/2021]

**950-045 FUNDING WORKSHEET FILES:**

**Division/unit:** Adult basic education

**Maintenance system:** Chronological by date, then alphabetical by sub-grantee name

**Record series content:** Records documenting the process as to the distribution of the Workforce Investment Act Title II federal grant funds. Files may include funding formula spreadsheet, correspondence, etc.

**Classification:** 1.21.2.304 NMAC, Account Transfers

**File closure:** Close of the federal fiscal year in which distribution was granted

[New - 03/31/2021]

**950-046 ADULT BASIC EDUCATION DATABASE SYSTEM:**

**Division/unit:** Adult basic education

**Maintenance system:** Numerical by primary key

**Record series content:** Database tracks information submitted by secondary educational institutions for the purpose of tracking student performance and measuring goal attainment. Data may include student cumulative education data, pupil personnel cumulative (guidance folder) data, student employment certificate data, school census data, curriculum data, teachers lesson plan data, teachers class rolls and grade sheets data, federal grant data, etc.

**Classification:**

(A) **Student data:** 1.21.2.188 NMAC, Student Records

(B) **Course data:** 1.21.2.182 NMAC, Course Development and Administration

(C) **Grant data:** 1.21.2.122 NMAC, Grant Administration

**File closure:**

(A) **Student data:** Date of student's last attendance

(B) **Course data:** Close of school year in which created

(C) **Grant data:** Close of fiscal year in which grant is terminated

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

[New - 03/31/2021]

**950-047 to 950-060**

**950-061 SCHOOL DISTRICT ACTIVITY REPORTS:**

**Division/unit:** GEAR UP

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

**Record series content:** Reports submitted by secondary educational institutions documenting activities accomplished through utilizing federal grant funds. Report may show hours spent on activity, number of attendants for student, staff and parent activities, active category (e.g., support services, comprehensive monitoring, financial aid counseling, advising, etc.), etc.

**Classification:** 1.21.2.122 NMAC, Grant Administration

**File closure:** Date of report

[New - 03/31/2021]

**950-062 GAINING EARLY AWARENESS AND READINESS FOR UNDERGRADUATE PROGRAMS (GEAR UP) GRANT FILES:**

**Division/unit:** GEAR UP

**Maintenance system:** Chronological by date

**Record series content:** Records documenting the application for funds to secondary educational institutions provided by the gaining early awareness and readiness for undergraduate programs grant.

Files may include proposal, request for application, copy of award letter, scoring sheets, correspondence, etc.

**Classification:** 1.21.2.122 NMAC, Grant Administration  
**File closure:** Close of federal fiscal year in which grant closed  
[New - 03/31/2021]

**950-063 SCIENCE, TECHNOLOGY, ENGINEERING AND MATH (STEM) GRANT FILES:**

**Division/unit:** GEAR UP

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

**Record series content:** Records documenting the application for additional funds to secondary educational institutions for specific disciplines through GEAR UP. Files may include proposal, request for application, copy of award letter, scoring sheets, correspondence, etc.

**Classification:** 1.21.2.122 NMAC, Grant Administration

**File closure:** Close of federal fiscal year in which grant closed  
[New - 03/31/2021]

**950-064 GRANT MAINTENANCE FILES:**

**Division/unit:** GEAR UP

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

**Record series content:** Records documenting all aspects of activities funded by the GEAR UP grant. Files may include copy of award letters, copy of draw requests, correspondence, etc.

**Classification:** 1.21.2.122 NMAC, Grant Administration

**File closure:** Close of federal fiscal year in which grant closed  
[New - 03/31/2021]

**950-065 to 950-070**

**950-071 INSTITUTION DISCIPLINARY FILES:**

**Division/unit:** Institution compliance

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

**Record series content:** Records documenting disciplinary action taken against a higher education institution for lack of compliance with specified rules and statute requirements. Files may include notes of discussion regarding disciplinary actions, supporting documentation, letter of opinion or acknowledgement from director or cabinet secretary, correspondence, etc.

**Classification:**

(A) **Action taken:** 1.21.2.415 NMAC, General - Audits and Compliance

(B) **No action taken:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

**File closure:** Date of closing action  
[New - 03/31/2021]

**950-072 to 950-080**

**950-081 DATA REQUEST FORM FILES:**

**Division/unit:** Research and development

**Maintenance system:** Chronological by date

**Record series content:** Records documenting the requests by internal and external entities for data reports created by the research and development division. Files may include original request, document created for request, correspondence, etc.

**Classification:** 1.21.2.518 NMAC, Information Release

**File closure:** Date last request processed

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

[New - 03/31/2021]

**950-082 CLASSIFICATION OF INSTRUCTIONAL PROGRAM FILES:**

**Division/unit:** Research and development

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

**Record series content:** Records documenting the analysis of course completion and graduation rates to determine funding to higher education institutions. Files may include course syllabus, educational program description, copy of minutes of meetings from board of regents, research and development approval signature page, classification of instructional program request form, approval letter, correspondence, etc.

**Classification:** 1.21.2.111 NMAC, Planning and Development

**File closure:** Date superseded

[New - 03/31/2021]

**950-083 to 950-090**

**950-091 DATA EDITING AND REPORTING SYSTEM (e-DEAR):**

**Division/unit:** Information systems

**Maintenance system:** Numerical by primary key

**Record series content:** Database tracks information electronically submitted from New Mexico higher education institutions for funding purposes. Data may include course data, course transfer data, degree data, student course data, student financial aid data, student services data, etc.

**Classification:**

(A) **Master course data:** 1.21.2.182 NMAC, Course Development and Administration

(B) **Transfer admissions data:** 1.21.2.183 NMAC, Enrollment - Education

(C) **Transfer equivalent data:** 1.21.2.188 NMAC, Student Records

(D) **Historical publication or statistical data records data:** 1.21.2.114 NMAC,

Publications

(E) **Student academic data:** 1.21.2.188 NMAC, Student Records

(F) **Academic records data:** 1.21.2.188 NMAC, Student Records

(G) **Grade listings (grade sheets) data:** 1.21.2.188 NMAC, Student Records

(H) **Pass or fail forms data:** 1.21.2.337 NMAC, Educational Financial Aid

(I) **Student awards and honors data:** 1.21.2.188 NMAC, Student Records

(J) **Student reference data:** 1.21.2.188 NMAC, Student Records

(K) **Financial aid data:** 1.21.2.337 NMAC, Educational Financial Aid

(L) **Scholarship awards data:** 1.21.2.337 NMAC, Educational Financial Aid

(M) **Student grant data:** 1.21.2.337 NMAC, Educational Financial Aid

**File closure:**

(A) **Master course data:** Date file superseded or obsolete

(B) **Transfer admissions data:** Date last semester attended by student

(C) **Transfer equivalent data:** Date last semester attended by student

(D) **Historical publication or statistical data records data:** Date created

(E) **Student academic data:** Date of graduation or disenrollment

(F) **Academic records data:** Date last semester attended by student

(G) **Grade listings (grade sheets) data:** Date of the end of term in which created

(H) **Pass or fail forms data:** Date of the end of term in which created

(I) **Student awards and honors data:** Date financial aid fulfillment has been completed

(J) **Student reference data:** Date of student's last enrollment

(K) **Financial aid data:** Date financial aid fulfillment has been completed

(L) **Scholarship awards data:** Date file created

(M) **Student grant data:** Date of grant termination

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



[New - 03/31/2021]