

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 continuing education unit (CEU's); 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(B) **Certification not issued:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 [RESERVED]

[New - 03/31/2021, Repealed, 11/07/2023]

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 420-019

420-020 CONSTRUCTION INDUSTRY PERMITTING SYSTEM:

Division/unit: 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, construction documents, 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, Rn, 420-003 to 420-020 & A, 11/07/2023]

420-021 BUILDING PERMIT FILES:

Division/unit: Construction industries

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, *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, 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, revocation or completion of project

(B) **Withdrawn or denied application:** Date application withdrawn or denied

[New - 03/31/2021, A, 11/07/2023]

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 pursuant to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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:

- (A) **Active files:** Numerical by case number
- (B) **Closed files:** Chronological by date, then numerical by case number

Record series content:

(A) **Civil investigation:** Records documenting the investigation of complaints alleging code violations. Files may include copies of inspection history, copies of permits, 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, copy of payment receipts, photos, code violation determination, request for investigation (RFI), bond requests, licensure and certificate information, correspondence, etc.

(B) **Criminal investigation:** Records documenting the investigation of complaints alleging construction performed by unlicensed individuals. Files may include notice of investigation, copy of fire marshal's report, inspection report, investigation summary report, copy of criminal complaint, copy of plea agreement, copy of judgment, copy of sentence issued, copy of summons, copy of subpoena, notice of trial, request for investigation (RFI), copy of (estimate, contracts, proof of payment, and receipts), licensure and certificate information, 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) **Civil investigation:** Date of closing action
- (B) **Criminal investigation:**
 - (1) **Investigations with merit:** Date of closing action

(2) Investigations without merit: Date determined to be without merit

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 copies of inspection history, inspection report, copies of permit, 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, copy of payment receipts, photos, code violation determination, request for investigation (RFI), bond request, licensure and certification information, copy of fire marshal's report, copy of criminal complaint, copy of plea agreement, copy of judgment, copy of sentence issued, copy of summons, copy of subpoena, notice of trial, copy of (estimates, contracts, proof of payments, receipts), 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, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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:

(A) **Active files:** Alphabetical by entity name, then chronological by fiscal year

(B) **Closed files:** Chronological by fiscal year, then alphabetical by entity name

Record series content: Records documenting the review of financial institutions to ensure compliance with state and federal regulations. Financial institutions include e.g., New Mexico state chartered banks, state chartered trust companies, state chartered credit unions, mortgage companies, mortgage loan originators, collection agencies, escrow companies, repossesses, motor vehicle sales finance companies, endowed care cemeteries and small loan financial entities, money service businesses, etc. 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*, financial records, 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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

420-092 [RESERVED]

[New - 03/31/2021, Repealed, 11/07/2023]

420-093 OATH OF DIRECTORS FOR FINANCIAL ENTITIES:

Division/unit: Financial institutions

Maintenance system:

(A) **Active files:** Alphabetical by entity name, then chronological by fiscal year

(B) **Closed files:** Chronological by fiscal year, 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 created

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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. Financial institutions include 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, repossesses, motor vehicle sales finance companies, endowed care cemeteries, money service businesses

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, director or industry manager 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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

420-095 FINANCIAL INSTITUTION CHARTER AND LICENSURE FILES:

Division/unit: Financial institutions

Maintenance system:

(A) **Active files:** Alphabetical by entity name, then chronological by date

(B) **Closed files:** Chronological by date, then alphabetical by entity name

Record series content: Records documenting the application and issuance of charter for financial institutions. Financial institutions include banks, credit unions and trust companies and licensure of escrow companies, mortgage loan companies, mortgage loan originators, collection agencies, repossession, motor vehicle sales finance companies, money services business 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, biographical and financial reports, 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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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, *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.

(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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 investigation and 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:

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

(B) Without merit: 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure: Date of final disposition

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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: 1.21.2.506 NMAC, Short term permit

File closure: Date of permit expiration

[New - 03/31/2021, A, 11/07/2023]

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:

(A) **Approved:** 1.21.2.667 NMAC, Professional Licenses

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

Records

File closure: Date of permit expiration, cancellation or denial

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 investigation and 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:

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

(B) **Without merit:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure: Date of final disposition

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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:

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

(B) **Without merit:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure: Date of final disposition

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).
[New - 03/31/2021, A, 11/07/2023]

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: 1.21.2.506 NMAC, Short Term Permit

File closure: Date of permit expiration or denial

[New - 03/31/2021, A, 11/07/2023]

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 TOBACCO RETAILER LICENSURE FILES:

Division/unit: Alcohol bureau

Maintenance system: Chronological by date, numerical by license number

Record series content: Records documenting the issuance of tobacco license to sell tobacco products to the public. Files may include application, tax ID number, zoning statements, location maps, list of distributors, list of manufactures, certificate of compliance, *resident agent application*, driver's license, renewal application, correspondence, etc.

Classification:

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

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

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 11/07/2023]

420-124 TOBACCO MANUFACTURER LICENSURE FILES:

Division/unit: Alcohol bureau

Maintenance system: Chronological by date, numerical by license number

Record series content: Records documenting the issuance of manufacturer license to produce tobacco products. Files may include application, tax ID number, zoning statements, location maps, list of distributors, list of manufactures, certificate of compliance, *resident agent application*, driver's license, renewal application, correspondence, etc.

Classification:

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

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

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 11/07/2023]

420-125 TOBACCO DISTRIBUTOR LICENSURE FILES:

Division/unit: Alcohol bureau

Maintenance system: Chronological by date, numerical by license number

Record series content: Records documenting a tobacco distributor licensing to receive tobacco products to the retailer. Files may include application, tax ID number, zoning statements, location maps, list of distributors, list of manufactures, certificate of compliance, *resident agent application*, driver's license, renewal application, correspondence, etc.

Classification:

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

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

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 11/07/2023]

420-126 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) **Withdrawn or denied application:** 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) **Withdrawn or denied application:** Date application withdrawn or denied

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

420-133 SECURITIES COMPLAINT INVESTIGATION FILES:

Division/unit: Securities

Maintenance system:

(A) **Active files:** Numerical by case number, then chronological by date

(B) **Closed files:** 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 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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

420-134 SECURITIES ORDERS:

Division/unit: Securities

Maintenance system: Chronological by calendar year, then numerical by case number

Record series content: Records documenting administrative and court orders issued as a result of enforcement actions. Order 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.), description data (e.g., type of security, etc.), company data, etc.

Classification: 1.21.2.632 NMAC, Hearings and Appeals

File closure: Date of final order

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

420-136 [RESERVED]

[New - 03/31/2021, Repealed, 11/07/2023]

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 or company

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 Secretary of State (SOS), renewal applications, correspondence, etc.

Classification:

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

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

[New - 03/31/2021, A, 11/07/2023]

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 or denied 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 or denied application:** Date application withdrawn or denied

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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:

(A) **License 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) **License issued::** Date licensure lapses or revocation

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.2.1.9 NMAC.

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.3.1 NMAC.

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

(A) **Permit issued:** Date of event

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.3.1 NMAC.

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.3.1 NMAC.

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.27.1.16 NMAC.

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

[New - 03/31/2021, A, 11/07/2023]

420-193 to 420-200

420-201 CHIROPRACTIC EXAMINERS LICENSURE FILES:

Division/unit: Chiropractic board

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

Records

File closure:

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

420-202 CONTINUING EDUCATION PROVIDER CERTIFICATION FILES:

Division/unit: Chiropractic board

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 or denied application:** Date application withdrawn or denied

[New - 11/07/2023]

420-203 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) **Withdrawn or denied applications:** 1.21.2.107 NMAC, Denied, Rejected or

Withdrawn Records

File closure:

(A) **Licensure approved files:** Date licensure lapses or is revoked

(B) **Withdrawn or denied applications:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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) **Withdrawn or denied applications:** 1.21.2.107 NMAC, Denied, Rejected or

Withdrawn Records

File closure:

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

(B) **Withdrawn or denied applications:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

420-213 ESTABLISHMENT AND SCHOOL 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 establishments and schools 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 establishment license number, address, name of owner, names of operators, license number and displayed, class of license, scope of work, sanitation, requirement check-off list, remarks, statement of agreed conditions, signatures of persons accepted by and inspected by, possible violation with establishment, 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, A, 11/07/2023]

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:

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

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

Withdrawn Records

File closure:

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

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

[New - 03/31/2021, A, 11/07/2023]

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:

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

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

Records

File closure:

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

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

[New - 03/31/2021, A, 11/07/2023]

420-216 STUDENT PERMIT:

Division/unit: Barbers and cosmetology

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

Record series content: Records documenting students that are enrolled in barber and cosmetology school. Files may include application, correspondence, etc.

Classification:

(A) **Issued:** 1.21.2.506 NMAC, Short-Term Permit

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

Records

File closure:

(A) **Issued:** Date of expiration

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

Confidentiality: Portions of this record may be confidential pursuant to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 11/07/2023]

420-217 to- 420-220

420-221 BODY ART TATTOO AND PIERCING LICENSURE FILES:

Division/unit: Body art practitioner board

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, Rn, 420-216 to 420-221 & A, 11/07/2023]

420-222 BODY ART TATTOO AND PIERCING APPRENTICE APPLICATION FILES:

Division/unit: Body art practitioner board

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 as an apprentice 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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 11/07/2023]

420-223 APPRENTICE SPONSOR LICENSURE FILES:

Division/unit: Body art practitioner board

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:

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

Records

File closure:

- (A) **License issued:** Date licensure lapses or is revoked
- (B) **Withdrawn or denied application:** Date application withdrawn or denied

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, Rn, 420-217 to 420-223 & A, 11/07/2023]

420-224 BODY ART ESTABLISHMENT LICENSURE FILES:

Division/unit: Body art practitioner board

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:

- (A) **License 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) **License issued:** Date licensure lapses or is revoked
- (B) **Withdrawn or denied application:** Date of application withdrawn or denied

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, Rn, 420-218 to 420-224 & A, 11/07/2023]

420-225 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 *clinical exam 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) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

- (A) **License issued:** Date license expired or is revoked
- (B) **Withdrawn or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.5.1.14 NMAC.

[New - 03/31/2021, A, 11/07/2023]

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

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.5.1.14 NMAC.

[New - 03/31/2021, A, 11/07/2023]

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 *clinical exam 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*, *clinical exam*, *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) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.5.1.14 NMAC.

[New - 03/31/2021, A, 11/07/2023]

420-234 COMMUNITY DENTAL HEALTH COORDINATOR 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 community dental health coordinator. Files may include application, physician's statement, verification from other states where licensed, school certification, copy of *clinical exam 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*, *clinical exam*, *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) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

- (A) **License issued:** Date license is expired or is revoked
- (B) **Withdrawn or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.5.1.14 NMAC.

[New - 11/07/2023]

420-235 EXPANDED FUNCTION DENTAL AUXILIARY 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 expanded function dental auxiliary. Files may include application, physician's statement, verification from other states where licensed, school certification, copy of clinical exam 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*, *clinical exam 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) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

- (A) **License issued:** Date license is expired or is revoked
- (B) **Withdrawn or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.5.1.14 NMAC.

[New - 11/07/2023]

420-236 NON-DENTIST OWNER APPLICATION 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 non-dentist. Files may include application, physician's statement, verification from other states where licensed, school certification, copy of *clinical exam 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*, *clinical exam 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) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

- (A) **License issued:** Date license is expired or is revoked
- (B) **Withdrawn or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.5.1.14 NMAC.

[New - 11/07/2023]

420-237 DENTAL HYGIENTIST 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 clinical exam 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*, *clinical exam 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) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.5.1.14 NMAC.

[New - 11/07/2023]

420-238 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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.14.1.14 NMAC.

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application: 1.21.2.107 NMAC, Denied, Rejected or Withdrawn
Records

File closure:

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

(B) Withdrawn or denied application: Date application received

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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) Withdrawn or denied application: 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

(A) License issued: Date of expiration or revocation

(B) Withdrawn or denied application: Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.7.1.12 NMAC.

[New - 03/31/2021, A, 11/07/2023]

420-272 [RESERVED]

[New - 03/31/2021, Repealed, 11/07/2023]

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, instructor qualifications, institution floor plan, correspondence, etc.

Classification:

(A) Issued: 1.21.2.652 NMAC, Business Licenses

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

Records

File closure:

(A) Issued: Date of expiration or revocation

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.7.1.12 NMAC.

[New - 03/31/2021, A, 11/07/2023]

420-274 CONTINUING EDUCATION PROVIDER CERTIFICATION FILES:

Division/unit: Board of massage therapy

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

Record series content: Records documenting the application, issuance and certification history of qualified individuals or institutes 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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

[New - 11/07/2023]

420-275 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.), *administrator in training (AIT) documents*, correspondence, etc.

Classification:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn
Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.15.1.14 NMAC.

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.15.1.14 NMAC.

[New - 03/31/2021, A, 11/07/2023]

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 CLINICAL EXAMINATION FILES:

Division/unit: Optometry

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Record documenting the NM clinical exam issued to an applicant to obtain licensure. Exam may show date, final scoring, topics or scenarios, individuals name, etc.

Classification: 1.21.2.672 NMAC, Tests and Examinations

File closure: Date of exam

[New - 11/07/2023]

420-304 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:

(A) **License 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) **License issued:** Date of licensure final renewal, expiration, termination or revocation

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

420-312 to 420-320

420-321 to 420-322 [RESERVED]

[New - 03/31/2021, Repealed, 11/07/2023]

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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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*, 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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

420-334 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 and hospital pharmacy. Files may include *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*, 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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

420-335 NON-RESIDENT 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 non-resident. Files may include *non-resident application*, policy and procedures, copy of description of business, self-assessment reports, inspection reports, notification of change of ownership, notification of personnel changes, copy of existing licenses, *facility controlled substance registration application*, *non-resident pharmacy self-assessment form*, notice of pharmacy closure, *sterile products compounding self-assessment form*, *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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New – 11/07/2023]

420-336 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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, Rn, 420-335 to 420-336 & A, 11/07/2023]

420-337 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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, Rn, 420-336 to 420-337 & A, 11/07/2023]

420-338 PHARMACIST TECHNICIAN, FACILITY AND MEDICAL PRACTITIONER CONTROLLED SUBSTANCE LICENSURE FILES:

Division/unit: Pharmacy

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

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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, Rn, 420-337 to 420-338 & A, 11/07/2023]

420-339 PHARMACIST REGISTRY:

Division/unit: Pharmacy

Maintenance system: Chronological by date, then alphabetical by surname

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, Rn, 420-338 to 420-339 & A, 11/07/2023]

420-340 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 or denied 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 or denied application:** Date application processed

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, Rn, 420-339 to 420-340 & A, 11/07/2023]

420-341 [RESERVED]

[New - 03/31/2021, Repealed, 11/07/2023]

420-342 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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, Rn, 420-340 to 420-342 & A, 11/07/2023]

420-343 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) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, Rn, 420-342 to 420-343 & A, 11/07/2023]

420-344 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) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

- (A) **License issued:** Date of expiration, revocation or facility closure
- (B) **Withdrawn or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, Rn, 420-343 to 420-344 & A, 11/07/2023]

420-345 ADVERSE DRUG EVENT FORMS:

Division/unit: Pharmacy

Maintenance system: Chronological by date

Record series content: A form documenting report of the occurrence of an adverse event from a prescription medication when dispensing differed from prescribing. 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 pursuant, but not limited to, 16.19.29.9 NMAC, 14-2-1.1 NMSA 1978 (personal identifier information), and 42 USC 1320-6 (i.e., health information).

[New - 03/31/2021, Rn, 420-344 to 420-345 & A, 11/07/2023]

420-346 PRESCRIPTION DRUG DONATION APPLICATION FILES:

Division/unit: Pharmacy

Maintenance system: Chronological by date

Record series content: Records documenting application to accept the donation of drugs from patients by the prescribing practitioner of a clinic. Files may include application, 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 pursuant, but not limited to, 16.19.29.9 NMAC, 14-2-1.1 NMSA 1978 (personal identifier information), and 42 USC 1320-6 (i.e., health information).

[New - 03/31/2021, Rn, 420-345 to 420-346 & A, 11/07/2023]

420-347 AUTHORIZED DELEGATE FORMS:

Division/unit: Pharmacy

Maintenance system: Chronological by date

Record series content: Form 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, Rn, 420-346 to 420-347 & A, 11/07/2023]

420-348 PRESCRIPTION MONITORING PROGRAM (PMP) 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 pursuant, but not limited to, 16.19.29.9 NMAC, 14-2-1.1 NMSA 1978 (personal identifier information), and 42 USC 1320-6 (i.e., health information).

[New - 03/31/2021, Rn, 420-347 to 420-348 & A, 11/07/2023]

420-349 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 pursuant, but not limited to, 16.19.29.9 NMAC, 14-2-1.1 NMSA 1978 (personal identifier information), and 42 USC 1320-6 (i.e., health information).

[New - 03/31/2021, Rn, 420-348 to 420-349 & A, 11/07/2023]

420-350 [RESERVED]

[New - 03/31/2021, Repealed, 11/07/2023]

420-351 PRESCRIPTION MONITORING PROGRAM WAIVER FORMS:

Division/unit: Pharmacy

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

Record series content: Form 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:** 1.21.2.642 NMAC, Waivers and Releases - Legal Matter Management

(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, Rn, 420-349 to 420-351 & A, 11/07/2023]

420-352 NEW MEXICO PRESCRIPTION MANAGEMENT PROGRAM (PMP)

DATABASE:

Division/unit: Pharmacy

Maintenance system: Numerical by primary key

Record series content: Database to which dispensing of controlled substance prescriptions in or into New Mexico reported to. Data may include dispensed controlled substance information data, prescribing physician 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 pursuant, but not limited to, 30-31-16F NMSA, 14-2-1(A) and (H) NMSA, and 16.19.29.9 NMAC.

[New - 03/31/2021, Rn, 420-351 to 420-352 & A, 11/07/2023]

420-353 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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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:** 1.21.2.668 NMAC, Professional Licenses - Historical
- (B) **Withdrawn or denied 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 or denied application:** Date application received

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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:** 1.21.2.668 NMAC, Professional Licenses - Historical
- (B) **Withdrawn or denied 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 or denied application:** Date application received

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied 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 or denied application:** Date application received

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied 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 or denied application:** Date application received

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied 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 or denied application:** Date application received

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied 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 or denied application:** Date application received

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied 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:** Close of calendar year in which license is expired, revoked or terminated

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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

[New - 03/31/2021, A, 11/07/2023]

420-406 to 420-410

420-411 REAL ESTATE QUALIFIED 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 qualified broker. Files may include application, certificates of course completion, character references, *eligibility and examination registration form*, official copy of *national qualified broker exam scores*, official copy of *New Mexico qualified 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:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 qualified brokers and assistant brokers. Files may include application, course documentation, copy of certificates, outline of courses, renewal application, correspondence, etc.

Classification:

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

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

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application: 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

(B) Withdrawn or denied application: Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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:

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

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

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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:** Date of licensure expiration or revocation

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

[New - 03/31/2021, A, 11/07/2023]

420-465 LICENSED FUNERAL ARRANGER 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 arrangers. 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 application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 11/07/2023]

420-466 LICENSED FUNERAL EMBALMER 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 embalmers. 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 application

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 11/07/2023]

420-467 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 or denied 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 or denied application:** Date of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information) and 16.63.1.10 NMAC.

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

420-482 TRAINEE 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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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) **Permit issued:** 1.21.2.506 NMAC, Short-Term Permits

(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 of application

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

(A) **Certificate issued:** Date of curriculum certification expiration

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

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

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

Confidentiality: Portions of this record may be confidential pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).
[New - 03/31/2021, A, 11/07/2023]

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 to 420-504 [RESERVED]

[New - 03/31/2021, Repealed, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

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 pursuant, to but not limited to 14-2-1.1 NMSA 1978 (personal identifier information).

[New - 03/31/2021, A, 11/07/2023]

420-554 to 420-560

420-561 CANNABIS PRODUCER LICENSE:

Division/unit: Cannabis control division

Maintenance system:

(A) **Active files:** Alphabetical by business name, the chronological by date

(B) **Closed files:** Chronological by date, then alphabetical by business name

Record series content: Records documenting application, issuance and licensure history of qualified entities for the purposes of producing medical cannabis and/or commercial cannabis for distribution to the general public. Files may include proof of age (older than 21), *water qualification documentation*, *application*, certification of *good standing with Secretary of State*, criminal background check, list of business owners, social and economic equity plan, local business license, premise diagram, confidential trade secret, correspondence, etc.

Classification:

- (A) **Issued License:** 1.21.2.652 NMAC, Business Licenses - Historical
- (B) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

- (A) **Issued License:** Date of license expiration or revocation
- (B) **Withdrawn or denied application:** Date of withdrawal, denial or expiration of

application

Confidentiality: Portions of this record may be confidential pursuant uniform trade secrets act, section 57-3A-1-7 NMSA 1978.

[New - 11/07/2023]

420-562 CANNABIS PRODUCER MICROBUSINESS LICENSE:

Division/unit: Cannabis control division

Maintenance system:

- (A) **Active files:** Alphabetical by business name, the chronological by date
- (B) **Closed files:** Chronological by date, then alphabetical by business name

Record series content: Records documenting application, issuance and licensure history of qualified entities for the purposes of producing medical cannabis and/or commercial cannabis with a smaller plant count for distribution to the general public. Files may include proof of age (older than 21), *water qualification documentation*, application, certification of *good standing with Secretary of State*, criminal background check, list of business owners, social and economic equity plan, local business license, *plant count form*, premise diagram, confidential trade secret, correspondence, etc.

Classification:

- (A) **Issued License:** 1.21.2.652 NMAC, Business Licenses - Historical
- (B) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

- (A) **Issued License:** Date of license expiration or revocation
- (B) **Withdrawn or denied application:** Date of withdrawal, denial or expiration of

application

Confidentiality: Portions of this record may be confidential pursuant uniform trade secrets act, section 57-3A-1-7 NMSA 1978.

[New - 11/07/2023]

420-563 CANNABIS MANUFACTURER LICENSE:

Division/unit: Cannabis control division

Maintenance system:

- (A) **Active files:** Alphabetical by business name, the chronological by date
- (B) **Closed files:** Chronological by date, then alphabetical by business name

Record series content: Records documenting application, issuance and licensure history of manufacturers with license type 1, 2, 3, and 4. License types are class 1 regarding packaging, class 2 is manufacturing edibles/topicals, class 3 is regarding extracts using mechanical method/nonvolatile and class 4 is manufacturing extracts using volatile solvents/supercritical CO2. File may include type of license (Class 1, 2, 3, 4), application, proof of age (older than 21), designation of ownership, *water qualification documentation*, certification of *good standing with Secretary of State*, criminal background check, list of business owners, social and economic equity plan, local business license, premise diagram, confidential trade secret, correspondence, etc.

Classification:

- (A) **Issued License:** 1.21.2.652 NMAC, Business Licenses - Historical
- (B) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

- (A) **Issued License:** Date of license expiration or revocation
- (B) **Withdrawn or denied application:** Date of withdrawal, denial or expiration of application

Confidentiality: Portions of this record may be confidential pursuant uniform trade secrets act, section 57-3A-1-7 NMSA 1978.

[New - 11/07/2023]

420-564 CANNABIS RETAILER LICENSE:

Division/unit: Cannabis control division

Maintenance system:

- (A) **Active files:** Alphabetical by business name, the chronological by date
- (B) **Closed files:** Chronological by date, then alphabetical by business name

Record series content: Records documenting application, issuance and licensure history of qualified business for the purpose of selling medical cannabis and/or commercial cannabis products. File may include application, proof of age (older than 21), designation of ownership, certification of *good standing with Secretary of State*, criminal background check, list of business owners, social and economic equity plan, local business license, premise diagram, confidential trade secret, correspondence, etc.

Classification:

- (A) **Issued License:** 1.21.2.652 NMAC, Business Licenses - Historical
- (B) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

- (A) **Issued License:** Date of license expiration or revocation
- (B) **Withdrawn or denied application:** Date of withdrawal, denial or expiration of application

Confidentiality: Portions of this record may be confidential pursuant uniform trade secrets act, section 57-3A-1-7 NMSA 1978.

[New - 11/07/2023]

420-565 VERTICALLY INTERGRATED CANNABIS ESTABLISHMENT

DESIGNATION:

Division/unit: Cannabis control division

Maintenance system:

- (A) **Active files:** Alphabetical by business name, the chronological by date
- (B) **Closed files:** Chronological by date, then alphabetical by business name

Record series content: Records documenting the business that is authorized to act as any of the following: a cannabis courier, cannabis manufacture, cannabis producer, and cannabis retailer. File may include application for designation, application of cannabis licensure (Courier, manufacture, producer, and retailer licenses), proof of age (older than 21), designation of ownership, *water qualification documentation*, certification of *good standing with Secretary of State*, criminal background check, list of business owners, social and economic equity plan, local business license, premise diagram, *plant count form*, confidential trade secret, correspondence, etc.

Classification:

- (A) **Issued License:** 1.21.2.652 NMAC, Business Licenses - Historical
- (B) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

- (A) **Issued License:** Date of license expiration or revocation
- (B) **Withdrawn or denied application:** Date of withdrawal, denial or expiration of application

Confidentiality: Portions of this record may be confidential pursuant uniform trade secrets act, section 57-3A-1-7 NMSA 1978.

[New - 11/07/2023]

420-566 INTERGRATED CANNABIS MICROBUSINESS DESIGNATION:

Division/unit: Cannabis control division

Maintenance system:

(A) **Active files:** Alphabetical by business name, the chronological by date

(B) **Closed files:** Chronological by date, then alphabetical by business name

Record series content: Records documenting a business authorized to conductor one or more of the following singler license: production, courier, manufacture, and retail. File may include application for designation, application of *cannabis singler licensure* (Courier, manufacture, producer, and retailer license), proof of age (older than 21), designation of ownership, *water qualification documentation*, certification of *good standing with Secretary of State*, criminal background check, list of business owners, social and economic equity plan, local business license, premise diagram, *plant count form*, confidential trade secret, correspondence, etc.

Classification:

(A) **Issued License:** 1.21.2.652 NMAC, Business Licenses - Historical

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

Records

File closure:

(A) **Issued License:** Date of license expiration or revocation

(B) **Withdrawn or denied application:** Date of withdrawal, denial or expiration of application

Confidentiality: Portions of this record may be confidential pursuant uniform trade secrets act, section 57-3A-1-7 NMSA 1978.

[New - 11/07/2023]

420-567 CANNABIS TESTING LABORATORY LICENSE:

Division/unit: Cannabis control division

Maintenance system:

(A) **Active files:** Alphabetical by business name, the chronological by date

(B) **Closed files:** Chronological by date, then alphabetical by business name

Record series content: Records documenting application, issuance and licensure history of businesses authorized to sample, collect, and test cannabis produces and transports cannabis produces for the purpose of testing. File may include application, proof of age (older than 21), initial demonstration capability (IDC), continuing demonstration of capability (CDC), designation of ownership, certification of *good standing with Secretary of State*, criminal background check, list of business owners, social and economic equity plan, local business license, premise diagram, confidential trade secret, correspondence, etc.

Classification:

(A) **Issued License:** 1.21.2.652 NMAC, Business Licenses - Historical

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

Records

File closure:

(A) **Issued License:** Date of license expiration or revocation

(B) **Withdrawn or denied application:** Date of withdrawal, denial or expiration of application

Confidentiality: Portions of this record may be confidential pursuant uniform trade secrets act, section 57-3A-1-7 NMSA 1978.

[New - 11/07/2023]

420-568 CANNABIS RESEARCH LABORATORY LICENSE:

Division/unit: Cannabis Control Division

Maintenance system:

- (A) **Active files:** Alphabetical by business name, the chronological by date
- (B) **Closed files:** Chronological by date, then alphabetical by business name

Record series content: Records documenting application, issuance and licensure history of facility that produces or possess cannabis produces and all parts of the plant for the purpose of studying cannabis cultivation characteristics or uses. File may include application, proof of age (older than 21), initial demonstration capability (IDC), continuing demonstration of capability (CDC), designation of ownership, certification of *good standing with Secretary of State*, criminal background check, list of business owners, social and economic equity plan, local business license, premise diagram, confidential trade secret, detailed research plan, proof of compressed gas extraction equipment approval, correspondence, etc.

Classification:

- (A) **Issued License:** 1.21.2.652 NMAC, Business Licenses - Historical
- (B) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

- (A) **Issued License:** Date of license expiration or revocation
- (B) **Withdrawn or denied application:** Date of withdrawal, denial or expiration of

application

Confidentiality: Portions of this record may be confidential pursuant uniform trade secrets act, section 57-3A-1-7 NMSA 1978.

[New - 11/07/2023]

420-569 CANNABIS COURIER LICENSE:

Division/unit: Cannabis control division

Maintenance system:

- (A) **Active files:** Alphabetical by business name, the chronological by date
- (B) **Closed files:** Chronological by date, then alphabetical by business name

Record series content: Records documenting application, issuance and licensure history of business that are authorized to transport cannabis to qualified patients, primary care givers, reciprocal participants or directly to consumers. File may include application, proof of age (older than 21), designation of ownership, criminal background check, list of business owners, local business license, correspondence, etc.

Classification:

- (A) **Issued License:** 1.21.2.652 NMAC, Business Licenses - Historical
- (B) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

- (A) **Issued License:** Date of license expiration or revocation
- (B) **Withdrawn or denied application:** Date of withdrawal, denial or expiration of

application

Confidentiality: Portions of this record may be confidential pursuant uniform trade secrets act, section 57-3A-1-7 NMSA 1978.

[New - 11/07/2023]

420-570 CANNABIS CONSUMPTION AREA LICENSE:

Division/unit: Cannabis control division

Maintenance system:

- (A) **Active files:** Alphabetical by business name, the chronological by date
- (B) **Closed files:** Chronological by date, then alphabetical by business name

Record series content: Records documenting application, issuance and licensure history of authorized businesses to allow cannabis to be served and/or consumed. File may include application, proof of age (older than 21), designation of ownership, certification of *good standing with Secretary of State*, criminal background check, list of business owners, social and economic equity plan, local business license, premise diagram, correspondence, etc.

Classification:

(A) **Issued License:** 1.21.2.652 NMAC, Business Licenses - Historical

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

Records

File closure:

(A) **Issued License:** Date of license expiration or revocation

(B) **Withdrawn or denied application:** Date of withdrawal, denial or expiration of application

Confidentiality: Portions of this record may be confidential pursuant uniform trade secrets act, section 57-3A-1-7 NMSA 1978.

[New - 11/07/2023]

420-571 INSPECTION FILES:

Division/unit: Cannabis control division

Maintenance system:

(A) **Active files:** Alphabetical by licensee name, the chronological by date

(B) **Closed files:** Chronological by date, then alphabetical by licensee name

Record series content: Records concerning inspection of facilities to meet standards and compliance with state laws. File may contain inspection check list, photographs, audio/video recordings, notice of non-compliance, corrective action plans, letters, correspondence, etc.

Classification: 1.21.2.474 NMAC, General - Inspection

File closure: Date of final compliance

Confidentiality: Portions of this record may be confidential pursuant uniform trade secrets act, section 57-3A-1-7 NMSA 1978.

[New - 11/07/2023]

420-572 COMPLAINT FILES:

Division/unit: Cannabis control division

Maintenance system:

(A) **Active files:** Alphabetical by business name, the chronological by date

(B) **Closed files:** Chronological by date, then alphabetical by business name

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, orders, letters of reprimand, photographs, court records, medical reports, settlement agreements, correspondence, etc.

Classification:

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

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

Records

File closure: Date of final action

Confidentiality: Portions of this record may be confidential pursuant uniform trade secrets act, section 57-3A-1-7 NMSA 1978.

[New - 11/07/2023]