

## 378 – State Personnel Office File Plan

This file plan was developed to be a guide for State Personnel Office employees. This guidance document was created to ensure consistent records classification and to provide agencies with other relevant record information. The final disposition authority resides in the Functional Records Retention and Disposition Schedule (FRRDS), 1.21.2 NMAC.

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

### **378-001 EMPLOYEE PERSONNEL FILES:**

**Division/unit:** Human resources

**Maintenance system:** Alphabetical by employee last name

**Record series content:** Record of the employment history of a New Mexico state employee. File may include application, resume, college transcripts, letters of recognition, exit interview, termination records, final formal disciplinary actions, offer letters, letters of resignation, *acknowledgment forms*, direct deposit with supporting documents, insurance and benefits documentation, training records, request for information on personnel file, compensation action request, background authorization, Public Employees Retirement Association (PERA) forms, *personal data forms*, *biographic information forms*, *tax authorization forms*, performance development plans, employee evaluation, correspondence, etc.

**Classification:** 1.21.2.233 NMAC, Personnel Files - Contributing

**File closure:** Hire date of employment with state of New Mexico

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

[378.001 - Rp, 378.012, 06/06/2023]

### **378-002 to 378-010**

### **378-011 EXCEPTIONS TO OPEN RECRUITMENT (RECRUITMENT WAIVER):**

**Division/unit:** Workforce

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

**Record series content:** This file documents the process of filling vacant positions by means other than open recruitment. Records may contain agency request, *exception to open recruitment analysis*, approval or disapproval by the director of State Personnel Office (SPO), compensation action request, resume, correspondence, etc.

**Classification:** 1.21.2.246 NMAC, Recruitment

**File closure:** Close of fiscal year in which exception created

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

[378.011 - Rp, 378.013, 06/06/2023]

### **378-012 to 378-020**

### **378-021 EXCEPTIONS TO OPEN RECRUITMENT (HIRING EVENTS):**

**Division/unit:** Recruitment

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

**Record series content:** This file documents the process of filling vacant positions by means other than open recruitment. Records may contain agency request, *exception to open recruitment analysis*, approval or disapproval by the director of SPO, position number, job classification, established requirements, correspondence, etc.

**Classification:** 1.21.2.246 NMAC, Recruitment

**File closure:** Close of fiscal year in which exception created

[New - 06/06/2023]

### **378-022 to 378-030**

#### **378-031 FAMILY GROUP DESCRIPTION FILES:**

**Division/unit:** Classification and compensation

**Maintenance system:** Alphabetical by job code

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

**Classification:** 1.21.2.247 NMAC, Positions and Classifications

**File closure:** Date superseded by new family group description, or until family group is eliminated

[378.031 - Rp, 378.022, 06/06/2023]

#### **378-032 NOTICE OF CHANGE OF FAMILY GROUP DESCRIPTION:**

**Division/unit:** Classification and compensation

**Maintenance system:** Chronological by date mailed out

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

**Classification:** 1.21.2.105 NMAC, Correspondence - General

**File closure:** Date superseded by new family group description, or until family group is eliminated

[378.032 - Rp, 378.023, 06/06/2023]

#### **378-033 APPROVED PAY LIST:**

**Division/unit:** Classification and compensation

**Maintenance system:** Alphabetical by job title

**Record series content:** This publication lists all job titles and related pay ranges. List may include job title, job code, pay band, year pay band expires, hourly rate, annual rate, etc.

**Classification:** 1.21.2.247 NMAC, Positions and Classifications

**File closure:** Date superseded by new pay list

[378.033 - Rp, 378.024, 06/06/2023]

#### **378-034 CLASSIFICATION STUDY FILES:**

**Division/unit:** Classification and compensation

**Maintenance system:** Chronological by date received or study completion date

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

**Classification:**

(A) **Approved:** 1.21.2.247 NMAC, Positions and Classifications

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

**File closure:**

(A) **Approved:** Date of approval

**(B) Denied or Withdrawn:** Date of denied or withdrawn  
[378.034 - Rp, 378.025, 06/06/2023]

**378-035 COMPENSATION REPORT FILES:**

**Division/unit:** Classification and compensation

**Maintenance system:** Chronological by calendar year

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

**Classification:** 1.21.2.247 NMAC, Positions and Classifications

**File closure:** Close of calendar year in which created

[378.035 - Rp, 378.026, 06/06/2023]

**378-036 JOB EVALUATION COMMITTEE FILES:**

**Division/unit:** Classification and compensation

**Maintenance system:** Chronological by calendar year

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

**Classification:** 1.21.2.247 NMAC, Positions and Classifications

**File closure:** Close of calendar year in which created

[378.036 - Rp, 378.027, 06/06/2023]

**378-037 - 378-050**

**378-051 REDUCTION IN FORCE (RIF) FILES:**

**Division/unit:** Workers' rights

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

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

**Classification:** 1.21.2.222 NMAC, Adverse Action and Reduction in Force

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

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

[378.051 - Rp, 378.041, 06/06/2023]

**378-052 - 378-060**

**378-061 ADVERSE ACTION CASE FILES:**

**Division/unit:** Adjudication

**Maintenance system:** Chronological by docket number

**Record series content:** Records documenting the appeal of adverse actions (e.g., demotion, suspension, dismissal, separation without prejudice, etc.), taken against non-probationary classified employees and

complaints against workers' compensation judges. Files may include *notice of appeal*, *notice of final action*, *notice of final separation*, *notice of contemplated action*, denial of appeal, acceptance of appeal and scheduling order, stipulated pre-hearing order, subpoenas, entries of appearance, associated motions and orders, exhibits, witness lists, notices of hearing, written closing arguments, proposed findings of facts and conclusions of law, audio or hearing recordings, recommended decisions of administrative law judge, settlement agreements, withdrawals of appeal, final state personnel board order, back pay disputes documents, appellate court documents, *alternative dispute resolution (ADR) documents*, etc.

**Classification:** 1.21.2.222 NMAC, Adverse Action and Reduction in Force

**File closure:** Date case closed and all appeals exhausted

**Confidentiality:** Portions of this record may be confidential pursuant to 1.7.1.12C NMAC Employment Records.

[378.061 - Rp, 378.051, 06/06/2023]

## **378-062 - 378-070**

### **378-071 COLLECTIVE BARGAINING NEGOTIATION AND AGREEMENT FILES:**

**Division/unit:** Labor relations

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

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

**Classification:** 1.21.2.603 NMAC, Cooperative Agreements

**File closure:** Date superseded by new agreement

[378.071 - Rp, 378.061, 06/06/2023]

### **378-072 LABOR RELATIONS AND COLLECTIVE BARGAINING AGREEMENT (CBA) TRAININGS:**

**Division/unit:** Labor relations

**Maintenance system:** Chronological by date, then by training type

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

**Classification:** 1.21.2.251 NMAC, Course Management

**File closure:** Close of fiscal year

[378.072 - Rp, 378.062, 06/06/2023]

### **378-073 AGENCY LABOR RELATIONS FILES:**

**Division/unit:** Labor relations

**Maintenance system:** Chronological by date

**Record series content:** Records documenting ongoing grievances and labor relations issues within state government executive branch agencies concerning union covered employees. Files may include *agency reports*, supporting documentation (e.g., grievances, *notice of contemplated disciplinary actions*, prohibited practices, etc.), quarterly report, correspondence etc.

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

**File closure:** Date of quarterly report

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

[378.073 - Rp, 378.063, 06/06/2023]

### **378-074 DISCIPLINARY APPEALS TO ARBITRATOR FILES:**

**Division/unit:** Labor relations

**Maintenance system:** Chronological by year, then by date

**Record series content:** Records documenting the review and oversight process involving disciplinary appeals to arbitrators regarding CBA employees. Files may include copies of *disciplinary actions* (e.g., demotion, suspension, termination, etc.), case assessment, case briefs, copies of responses, copy of final arbitrator's ruling, notice of appeal, certified mail receipts, correspondence, etc.

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

**File closure:** Date of final resolution of arbitration case

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

[378.074 - Rp, 378.064, 06/06/2023]

### **378-075 COLLECTIVE BARGAINING AGREEMENT (CBA) ADMINISTRATION**

#### **FILES:**

**Division/unit:** Labor relations

**Maintenance system:** Chronological by due dates

#### **Record series content:**

(A) **Data Reports:** Reports documenting information required by CBA. Files may include reports, correspondence, etc.

(B) **Change Requests:** Records documenting the request to change employee's union status. File may include request, correspondence, etc.

#### **Classification:**

(A) **Data Reports:** 1.21.2.116 NMAC, Reports – General

(B) **Change Requests:** 1.21.2.207 NMAC, Labor Relations

#### **File closure:**

(A) **Data Reports:** Date of due date

(B) **Change Requests:** Date request processed

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

[New - 06/06/2023]

### **378-076 to 378-080**

#### **378-081 STATE PERSONNEL TRAINING FILES:**

**Division/unit:** Training

**Maintenance system:** Alphabetical by course name, then chronological by date

**Record series content:** Records documenting the design, implementation, evaluation and tracking of mandatory, statutory, train the trainer, online and instructor led courses for state employees. File may include surveys, queries, course development outlines, lesson plans, power point presentations and handouts, class evaluations, student rosters, test scores, reports, quarterly reports, etc.

**Classification:** 1.21.2.251 NMAC, Course Management

**File closure:** Close of fiscal year

[378.081 - Rp, 378.071, 06/06/2023]

#### **History of Repealed Plan:**

378 - State Personnel Office File Plan, posted 03/31/2021, repealed 06/06/2023.