TITLE 1 GENERAL GOVERNMENT ADMINISTRATION
CHAPTER 15 GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULES (GRRDS)
PART 6 GRRDS, GENERAL PERSONNEL RECORDS

1.15.6.1 ISSUING AGENCY: State Commission of Public Records
[8/8/96; 1.15.6.1 NMAC - Rn, 1 NMAC 3.2.90.1, 10/01/2000; A, 04/13/2015]

1.15.6.2 SCOPE: All agencies
[8/8/96; 1.15.6.2 NMAC - Rn, 1 NMAC 3.2.90.2, 10/01/2000; A, 04/13/2015]

1.15.6.3 STATUTORY AUTHORITY: Public Records Act, Section 14-3-1 et seq. NMSA 1978
[8/8/96; 1.15.6.3 NMAC - Rn, 1 NMAC 3.2.90.3, 10/01/2000; A, 12/31/2012; A, 04/13/2015]

1.15.6.6 OBJECTIVE: To establish a records retention schedule for the orderly management, retention, disposition and preservation of records necessary for carrying out the Public Records Act, Section 14-3-1 et seq. NMSA 1978.
[8/8/96; 1.15.6.6 NMAC - Rn, 1 NMAC 3.2.90.6, 10/01/2000; A, 12/31/2012; A, 04/13/2015]

1.15.6.7 DEFINITIONS: For general definitions applicable to all agencies refer to 1.15.1.7 NMAC.
[8/8/96; 5/19/97; 1.15.6.7 NMAC - Rn, 1 NMAC 3.2.90.7, 10/01/2000; A, 12/31/2012; A, 04/13/2015]

1.15.6.8 ABBREVIATIONS AND ACRONYMS: For general abbreviations and acronyms applicable to all agencies refer to 1.15.1.8 NMAC.
[8/8/96; 5/19/97; 1.15.6.8 NMAC - Rn, 1 NMAC 3.2.90.8, 10/01/2000; 1.15.6.8 NMAC - N, 12/31/2012; A, 04/13/2015]

1.15.6.9 INSTRUCTIONS: For general instructions applicable to all agencies refer to 1.15.1.9 NMAC.
[1.15.6.9 NMAC - Rn & A, 1.15.6.8 NMAC, 12/31/2012; A, 04/13/2015]

1.15.6.10 - 100 [RESERVED]

1.15.6.101 EMPLOYEES PERSONNEL FILES:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: can include but not limited to personnel action forms, personal data forms, biographical information forms, benefits, authorization forms, tax authorization forms, u.s. savings bond enrollment, security access forms, deduction worksheets; performance development plans; correspondence (includes disciplinary actions, commendations, recommendations, etc.): General (includes applications, test grades, certificates, resumes, transcripts, disclaimers, etc). Some records contain both confidential and non-confidential information. This information must be separated to protect confidentiality and facilitate public access as required by SPB 2.7.
D. Retention:
   (1) state agency copy:
      (a) records (paper) dated prior to January 1, 1970:
         (i) separated employees: 55 years after employee separated from agency
         (ii) retired employees: three years after employee retired
      (b) records (paper) dated after January 1, 1970: three years after employee
   (2) state personnel office copy: see 1 NMAC 3.2.93.378
[9/30/81; 12/30/94; 1/10/97; 1.15.6.101 NMAC - Rn, 1 NMAC 3.2.90.30.P101, 10/01/2000]

1.15.6.102 APPLICATIONS FOR EMPLOYMENT:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: [RESERVED]
D. Retention:
   (1) approved application: three years after date approved
(2) rejected applications: three years after date rejected
[9/30/81; 12/30/94; 1/10/97; 1.15.6.102 NMAC - Rn, 1 NMAC 3.2.90.30.P102, 10/01/2000]

1.15.6.103 BACKGROUND INVESTIGATION RECORDS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: can include but are not limited to application, authorization, investigation final report, etc.
D. Retention:
   (1) hired employees: three years after employee terminated or retired
   (2) individuals not hired: three years after investigation
[9/30/81; 12/30/94; 1/10/97; 1.15.6.103 NMAC - Rn, 1 NMAC 3.2.90.30.P103, 10/01/2000]

1.15.6.104 PERFORMANCE AND DEVELOPMENT PLANS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: maintained in employee personnel folder
D. Retention: three years after issued
E. Confidentiality: confidential, SPB 2.7.B.6
[9/30/81; 12/30/94; 1/10/97; 1.15.6.104 NMAC - Rn, 1 NMAC 3.2.90.30.P104, 10/01/2000]

1.15.6.105 LEAVE RECORDS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: can include but are not limited to application for leave, leave balance sheets, etc
D. Retention: until audit report released for year in which record created
[9/30/81; 12/30/94; 1/10/97; 1.15.6.105 NMAC - Rn, 1 NMAC 3.2.90.30.P105, 10/01/2000]

1.15.6.106 RETIREMENT RECORDS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: can include but are not limited to application, certification, changes, refunds, financial ledger, correspondence etc
D. Retention: three years after employee terminated or retired
[9/30/81; 12/30/94; 1/10/97; 1.15.6.106 NMAC - Rn, 1 NMAC 3.2.90.30.P106, 10/01/2000]

1.15.6.107 INSURANCE RECORDS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: [RESERVED]
D. Retention:
   (1) deductions authorization, request for change, waiver and application: three years after employee terminated or retired, or three years after termination of agreement
   (2) copies of claims; correspondence, etc: until no longer needed for reference
[9/30/81; 12/30/94; 1/10/97; 1.15.6.107 NMAC - Rn, 1 NMAC 3.2.90.30.P107, 10/01/2000]

1.15.6.108 MISCELLANEOUS DEDUCTIONS RECORDS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: can include but are not limited to records relative to credit union, savings bonds, prepaid legal services, united way, garnishment, etc.
D. Retention: three years after final deduction
[9/30/81; 12/30/94; 1/10/97; 1.15.6.108 NMAC - Rn, 1 NMAC 3.2.90.30.P108, 10/01/2000]

1.15.6.109 CERTIFICATE OF ELIGIBLES:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: list applicants in order of score; shows name and address, social security number, veteran’s preference and residence points, phone number(s), agency comment codes
D. Retention: three years after date issue
[9/30/81; 12/30/94; 1/10/97; 1.15.6.109 NMAC - Rn, 1 NMAC 3.2.90.30.P109, 10/01/2000]

1.15.6.110 PROMOTIONAL AND OR TRANSFER OPPORTUNITY NOTICES (INTERNAL):
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: can show position title, range, salary, location, supervisor, qualifications, deadline, etc
D. Retention: three years after date issued
[9/30/81; 12/30/94; 1/10/97; 1.15.6.110 NMAC - Rn, 1 NMAC 3.2.90.30.P110, 10/01/2000]

1.15.6.111 JOB SPECIFICATIONS (SPB CLASSIFICATION PLAN):
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: shows job title, definition, supervision and guidelines, examples of work performed, distinguishing characteristics, minimum qualifications, and working conditions
D. Retention: until new specification issued
[9/30/81; 12/30/94; 1/10/97; 1.15.6.111 NMAC - Rn, 1 NMAC 3.2.90.30.P111, 10/01/2000]

1.15.6.112 POSITION CLASSIFICATION QUESTIONNAIRE (PCQ):
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: this form gather information on positions for a variety of uses, which include; developing performance and development plan objectives, job classification, development of selection instruments, and determination of pay. Shows agency, position, number, current and proposed classification, name of incumbent and supervisor, signatures, description of work performed, etc.
D. Retention:
   (1) personnel file copy: until new PCQ issued
   (2) for ADA (Americans with Disabilities Act) compliance: until new PCQ, (ADA) issued
[9/30/81; 12/30/94; 1/10/97; 1.15.6.112 NMAC - Rn, 1 NMAC 3.2.90.30.P112, 10/01/2000]

1.15.6.113 TABLE OF ORGANIZATIONAL LISTING (TOOL) MONTHLY PRINTOUT:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: shows index of organization units
D. Retention: until superseded by new listing
[9/30/81; 12/30/94; 1/10/97; 1.15.6.113 NMAC - Rn, 1 NMAC 3.2.90.30.P113, 10/01/2000]

1.15.6.114 STATE GOVERNMENT INTERN POSITION REQUEST:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: shows agency identification, job description, preferred education experience requirement, special job requirements, agency authorization and date
D. Retention: three years after date issued
[9/30/81; 12/30/94; 1/10/97; 1.15.6.114 NMAC - Rn, 1 NMAC 3.2.90.30.P114, 10/01/2000]

1.15.6.115 NOTICE OF CHANGE OF CLASS SPECIFICATION:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: shows manifest number, effective date, present class title and specification number, nature of action, etc.
1.15.6.115 NMAC - Rn, 1 NMAC 3.2.90.30.P115, 10/01/2000

1.15.6.116 AFFIRMATIVE ACTION PLANS, ANNUAL, (EQUAL EMPLOYMENT OPPORTUNITY):

A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: required annually by state and federal law, these are agency assessments of internal employment practices with specific policies and procedures designed to eliminate the effects of institutional discrimination.
D. Retention: until new list is issued

[9/30/81; 12/30/94; 1/10/97; 1.15.6.115 NMAC - Rn, 1 NMAC 3.2.90.30.P115, 10/01/2000]

1.15.6.116 NMAC - Rn, 1 NMAC 3.2.90.30.P116, 10/01/2000

1.15.6.117 AGENCY (EEO) STATISTIC, ANNUAL PRINTOUT:

A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: reports provided by the state personnel office (or agency generated for use in preparing affirmative action plans: they include but are not limited to minority actions report, minority groups report, (EEO) profile of employee job categories, etc.
D. Retention: until affirmative action plan has been issued

[9/30/81; 12/30/94; 1/10/97; 1.15.6.117 NMAC - Rn, 1 NMAC 3.2.90.30.P117, 10/01/2000]

1.15.6.117 NMAC - Rn, 1 NMAC 3.2.90.30.P118, 10/01/2000

1.15.6.118 GRIEVANCE/COMPLAINT FILES (UNFAIR LABOR PRACTICES):

A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: can contain but are not limited to complaint/grievance, correspondence, summary of hearing, exhibits, committee decisions, transcripts, resolution, depositions, etc.
D. Retention:
   (1) not appealed: three years after date file closed
   (2) appealed to state personnel board or human rights division: five years after date of final action

[9/30/81; 12/30/94; 1/10/97; 1.15.6.118 NMAC - Rn, 1 NMAC 3.2.90.30.P118, 10/01/2000]

1.15.6.119 AGREEMENT/NEGOTIATION FILES:

A. Program: personnel files
B. Maintenance system: by agency
C. Description: contain proposed and supplemental agreement, meeting summaries, correspondence, final agreement, etc.
D. Retention: five years after final agreement

[12/30/94; 1/10/97; 1.15.6.119 NMAC - Rn, 1 NMAC 3.2.90.30.P119, 10/01/2000]

1.15.6.120 ADVERSE ACTION FILES:

A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: contain agency copies of entire case record of a state personnel board appeal.
D. Retention: 10 years after final action.

[12/30/94; 1/10/97; 1.15.6.120 NMAC - Rn, 1 NMAC 3.2.90.30.P120, 10/01/2000]

1.15.6.121 DRUG AND ALCOHOL REPORTS OF TEST RESULTS:

A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: drug and alcohol test results reported to the drug abuse coordinator (as per SPB 11.8).
D. Retention: one year after date of test or one year after agency determination

[12/30/94; 1/10/97; 1.15.6.121 NMAC - Rn, 1 NMAC 3.2.90.30.P121, 10/01/2000]
1.15.6.122 REVIEW OF TEST RESULTS, REQUEST:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: request by the applicant or employee for review of positive test results by the medical review officer
D. Retention: one year from date of agency determination
[12/30/94; 1/10/97; 1.15.6.122 NMAC - Rn, 1 NMAC 3.2.90.30.P122, 10/01/2000]

1.15.6.123 MEDICAL REVIEW OFFICER'S REVIEW OF TEST RESULTS REPORT:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: examination of any proffered or possible explanations concerning the validity of the confirmed positive test results. May include medical interview, review of the medical history, review of chain of custody and discussions with the collector or laboratory personnel (as per SPB 11.9).
D. Retention: one year from date of agency determination
E. Confidentiality: 14-2-1-A. NMSA 1978 and SPB 2.7.B.1
[12/30/94; 1/10/97; 1.15.6.123 NMAC - Rn, 1 NMAC 3.2.90.30.P123, 10/01/2000]

1.15.6.124 EXPLANATIONS/CHALLENGES OF CONFIRMED POSITIVE TEST RESULTS DETERMINATIONS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: the final determination by the agency of the applicant’s or employee’s explanations or challenges, the medical review officer’s findings and other inquiries or facts (as per SPB 11.9)
D. Retention: one year from date of determination.
E. Confidentiality: 14-2-1-A. NMSA 1978 and SPB 2.7.B.1
[12/30/94; 1/10/97; 1.15.6.124 NMAC - Rn, 1 NMAC 3.2.90.30.P124, 10/01/2000]

1.15.6.125 ALCOHOL AND DRUG ABUSE PROGRAM:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: records created in planning, coordinating and directing an alcohol and drug abuse program
D. Retention: three years after close of fiscal year in which created
[12/30/94; 1/10/97; 1.15.6.125 NMAC - Rn, 1 NMAC 3.2.90.30.P125, 10/01/2000]

1.15.6.126 AGENCY ADA COMPLIANCE PLAN:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: contains self evaluation check-list, self evaluation, ADA transition plan outline, ADA grievance procedure, policies and correspondence
D. Retention: 10 years from date of plan
[12/30/94; 1/10/97; 1.15.6.126 NMAC - Rn, 1 NMAC 3.2.90.30.P126, 10/01/2000]

1.15.6.127 CANDIDATE HISTORY AND PHYSICAL FORM SUPPLEMENT (RECOMMENDATIONS FOR EMPLOYMENT):
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: this form will be used with job offer contingent on passing a physical examination. The medical exam must be based on the essential functions of the job. This form may be kept in the personnel file.
D. Retention: three years after the date of hire or one year after the date the individual’s employment is terminated, whichever is later (8 CFR 274A. 6)
[12/30/94; 1/10/97; 1.15.6.127 NMAC - Rn, 1 NMAC 3.2.90.30.P127, 10/01/2000]
1.15.6.128 PHYSICAL EXAMINATIONS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: examinations performed after an offer of employment and prior to final selection for appointment or reemployment in the classified service (as per SPB 8.6)
D. Retention: 10 years after date of examination
E. Confidentiality: 14-2-1.A. NMSA 1978 and SPB 2.7.B.1
[12/30/94; 1/10/97; 1.15.6.128 NMAC - Rn, 1 NMAC 3.2.90.30.P128, 10/01/2000]

1.15.6.129 OCCUPATIONAL INJURY AND ILLNESS FILES:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: may contain reports and logs, including OSHA forms to document all recordable injuries and illnesses
D. Retention: five years from end of fiscal year in which created
[12/30/94; 1/10/97; 1.15.6.129 NMAC - Rn, 1 NMAC 3.2.90.30.P129, 10/01/2000]

1.15.6.130 EMPLOYEE MEDICAL FILES:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: may contain forms, reports and other medical treatment records. These records may be pertinent and essential health case records for long-term medical history and physical condition.
D. Retention: three years from last treatment or three years from separation from employment, whichever is later
[12/30/94; 1/10/97; 1.15.6.130 NMAC - Rn, 1 NMAC 3.2.90.30.P130, 10/01/2000]

1.15.6.131 TRAINING/EDUCATIONAL MATERIALS:
A. Program: personnel files
B. Maintenance system: by course subject
C. Description: may contain record copy of manuals, syllabuses, text-books, training plans, notices, catalogs, etc. These are considered non-record materials.
D. Retention: when superseded or obsolete
12/30/94; 1/10/97; 1.15.6.131 NMAC - Rn, 1 NMAC 3.2.90.30.P131, 10/01/2000]

1.15.6.132 TRAINING/EVALUATIONS:
A. Program: personnel files
B. Maintenance system: by course subject
C. Description: completed by training participants, used by instructors and training administrators to assess and plan training
D. Retention: one year after end of fiscal year in which created
[12/30/94; 1/10/97; 1.15.6.132 NMAC - Rn, 1 NMAC 3.2.90.30.P132, 10/01/2000]

1.15.6.133 TRAINING RECORDS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: general file of agency-sponsored training: may include, correspondence, memoranda, agreements, authorizations, reports, studies, plan and objectives relating to the establishment and operation of training courses and conferences.
D. Retention: five years after end of fiscal year in which created or five years after completion of specific training program
[9/30/81; 12/30/94; 1/10/97; 1.15.6.133 NMAC - Rn, 1 NMAC 3.2.90.30.P133, 10/01/2000]

1.15.6.134 EMPLOYEE TRAINING RECORDS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. **Description:** may contain correspondence, memoranda, reports and other records relating to the availability of training and employee participation in training programs: registration/completion/attendance records. [Course certificates placed in official personnel file].
D. **Retention:** five years after end of fiscal year in which created

[12/30/94; 1/10/97; 1.15.6.134 NMAC - Rn, 1 NMAC 3.2.90.30.P134, 10/01/2000]

### 1.15.6.135 FINANCIAL DISCLOSURE RECORDS:

A. **Program:** personnel files
B. **Maintenance system:** [RESERVED]
C. **Description:** may contain financial disclosure statements, amendments and related documents submitted by individuals as required under financial disclosure act [10-16A-1 to 10-16A-7] [NMSA 1978].
D. **Retention:**
   1. *individuals not confirmed by the senate:* one year after individual ceases to be under consideration for appointment
   2. *all other record:* six years from filing date

[12/30/94; 1/10/97; 1.15.6.135 NMAC - Rn, 1 NMAC 3.2.90.30.P135, 10/01/2000]

### 1.15.6.136 PERSONNEL COUNSELING RECORDS:

A. **Program:** personnel files
B. **Maintenance system:** [RESERVED]
C. **Description:** may contain reports of interview, counseling statements, analyses and related records. Access restricted to authorized personnel.
D. **Retention:** three years after termination of counseling

[12/30/94; 1/10/97; 1.15.6.136 NMAC - Rn, 1 NMAC 3.2.90.30.P136, 10/01/2000]

### 1.15.6.137 INTERVIEW RECORDS:

A. **Program:** personnel files
B. **Maintenance system:** [RESERVED]
C. **Description:** may contain correspondence reports and completed questionnaires and rating forms, used for hiring selection
D. **Retention:** three years after selection is made

[12/30/94; 1/10/97; 1.15.6.137 NMAC - Rn, 1 NMAC 3.2.90.30.P137, 10/01/2000]

### 1.15.6.138 SUPERVISOR’S PERSONNEL FILES AND DUPLICATE OFFICIAL PERSONNEL FILE DOCUMENTATION:

A. **Program:** personnel files
B. **Maintenance system:** [RESERVED]
C. **Description:** may contain correspondence, forms authorization, pending actions; position descriptions and records on individual employees duplicated in or not appropriate for the official personnel file
D. **Retention:** review annually and destroy, superseded or obsolete documents; or destroy file one year after separation or transfer

[12/30/94; 1/10/97; 1.15.6.138 NMAC - Rn, 1 NMAC 3.2.90.30.P138, 10/01/2000]

### 1.15.6.139 EMPLOYEE AWARDS FILES:

A. **Program:** personnel files
B. **Maintenance system:** [RESERVED]
C. **Description:** case files may include: recommendations, approved nomination, correspondence, reports and related handbooks pertaining to agency-sponsored cash and non-cash awards, such as incentive awards within grade increases, outstanding performance, etc. Length of service and sick leave awards files may include correspondence, reports, computations of service and sick leave and lists of awardees. Letters of commendation and appreciation: copies of letter recognizing length of service and retirement, excluding copies filed in official personnel folder.
D. **Retention:**
   1. *case files:* two years after approval or disapproval
   2. *length of service and sick leave awards files:* one year after end of fiscal year in which created

[12/30/94; 1/10/97; 1.15.6.139 NMAC - Rn, 1 NMAC 3.2.90.30.P139, 10/01/2000]
letters of recommendation and appreciation: two years after end of fiscal year in which created
[12/30/94; 1/10/97; 1.15.6.139 NMAC - Rn, 1 NMAC 3.2.90.30.P139, 10/01/2000]

1.15.6.140 INCENTIVE AWARD PROGRAM REPORTS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: reports pertaining to the operation of the incentive award program
D. Retention: three years after end of fiscal year in which created
[12/30/94; 1/10/97; 1.15.6.140 NMAC - Rn, 1 NMAC 3.2.90.30.P140, 10/01/2000]

1.15.6.141 HRMS DATA INPUT AND SOURCES PERSONNEL ACTION FORM, SPB FORM 1:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: the personnel action form (PAF) is the primary forms used for initial employment, promotions, transfers, leaves of absence, and other personnel actions. This is a “turn-around” document which validates data entry.
D. Retention: three years after employee terminated or retired
[12/30/94; 1/10/97; 1.15.6.141 NMAC - Rn, 1 NMAC 3.2.90.30.P141, 10/01/2000]

1.15.6.142 PERSONAL DATA FORM:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: the personnel data is used for gathering information that is not directly job related, i.e. employee information, contact information, citizenship, education level, sex, date of birth, ethnicity, etc.
D. Retention: three years after employee terminated or retired
E. Confidentiality: SPB 2.7 B.10.
[12/30/94; 1/10/97; 1.15.6.142 NMAC - Rn, 1 NMAC 3.2.90.30.P142, 10/01/2000]

1.15.6.143 BIOGRAPHIC INFORMATION FORM:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: all information on this form is optional. This form is for entering information regarding an employee’s education, 3.2.90 professional organizations, languages, licenses and honors, etc.
D. Retention: once verified to HRMS
[12/30/94; 1/10/97; 1.15.6.143 NMAC - Rn, 1 NMAC 3.2.90.30.P143, 10/01/2000]

1.15.6.144 BENEFITS AUTHORIZATION FORM:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: this form is used to authorize employee for enrollment in retirement, health, life insurance, leave accrual plans and direct deposit. This form is used to establish personnel data which is used by the payroll process to verify that information for retirement, health insurance, and life insurance is entered correctly. This form is not used to create payroll deduction records for employee benefits enrollment, this is done on the payroll deduction (benefits) update worksheet. Access restricted to authorized personnel.
D. Retention: three years after change or cancellation of benefit
[12/30/94; 1/10/97; 1.15.6.144 NMAC - Rn, 1 NMAC 3.2.90.30.P144, 10/01/2000]

1.15.6.145 TAX AUTHORIZATION FORM:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: this form is used to establish or to change an employee’s federal and state tax information in the employee database. This form is a source document for data entry and does not replace the W-4 form which is required by the IRS. Access restricted to authorized personnel.
D. Retention: three years after change or three years after employee terminated or retired.
[12/30/94; 1/10/97; 1.15.6.145 NMAC - Rn, 1 NMAC 3.2.90.30.P145, 10/01/2000]
1.15.6.146 U.S. SAVING BOND ENROLLMENT FORM:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: this form is used to establish or to change an employee’s bond information on the employee data base. Access restricted to authorized personnel.
D. Retention: three years after deduction terminated
[12/30/94; 1/10/97; 1.15.6.146 NMAC - Rn, 1 NMAC 3.2.90.30.P146, 10/01/2000]

1.15.6.147 DEDUCTION (BENEFITS) UPDATE TRANSACTION WORKSHEET:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: this is a department of finance and administration form. The form is used to start or cancel an employee’s deductions. Access restricted to authorized personnel.
D. Retention: three years after deduction terminated.
[12/30/94; 1/10/97; 1.15.6.147 NMAC - Rn, 1 NMAC 3.2.90.30.P147, 10/01/2000]

1.15.6.148 DAILY REPORTS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: these are daily transactions, edit, suspense, error resolution and job control listings.
D. Retention: until corrected and validated by HRMS.
[12/30/94; 1/10/97; 1.15.6.148 NMAC - Rn, 1 NMAC 3.2.90.30.P148, 10/01/2000]

1.15.6.149 BIWEEKLY REPORTS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: these are biweekly edit, error resolution and job control listings. Employee listings and classification/specification listings
D. Retention: until corrected and validated to HRMS
[12/30/94; 1/10/97; 1.15.6.149 NMAC - Rn, 1 NMAC 3.2.90.30.P149, 10/01/2000]

1.15.6.150 MID-MONTH REPORTS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: these are invalid codes, error resolution and job control listings.
D. Retention: until corrected and validated to HRMS
[12/30/94; 1/10/97; 1.15.6.150 NMAC - Rn, 1 NMAC 3.2.90.30.P150, 10/01/2000]

1.15.6.151 DEPARTMENT/SECTION TABLE, DATA LISTING:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: shows division, bureau, section unit, sub-unit: department name, agency name, location and function
D. Retention: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.151 NMAC - Rn, 1 NMAC 3.2.90.30.P151, 10/01/2000]

1.15.6.152 TERMINATED EMPLOYEES WITH ZEROED VOLUNTARY DEDUCTIONS:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: shows agency code, agency name, employee I.D. number, name, terminated date; GTN no., IND and amount
D. Retention: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.152 NMAC - Rn, 1 NMAC 3.2.90.30.P152, 10/01/2000]

1.15.6.153 PERMANENT POSITION NUMBERS BY INCUMBENT NAME:
A. Program: personnel files
B. Maintenance system: alphabetical
C. Description: shows incumbent name, permanent position no., tool no., job class and position status
D. Retention: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.153 NMAC - Rn, 1 NMAC 3.2.90.30.P153, 10/01/2000]

1.15.6.154 PERMANENT POSITION NUMBER BY TOOL NUMBER:
A. Program: personnel files
B. Maintenance system: numerical
C. Description: lists tool no., permanent position no., incumbent name, job classification and position status, etc.
D. Retention: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.154 NMAC - Rn, 1 NMAC 3.2.90.30.P154, 10/01/2000]

1.15.6.155 EXEMPT POSITION LISTING:
A. Program: personnel files
B. Maintenance system: numerical
C. Description: lists agency code, agency title, position number, position title, range, job classification, 3.2.90 incumbent name, job beginning date, range, salary and whether vacant
D. Retention: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.155 NMAC - Rn, 1 NMAC 3.2.90.30.P155, 10/01/2000]

1.15.6.156 POSITION VACANCY COUNT BY AGENCY:
A. Program: personnel files
B. Maintenance system: alphabetical
C. Description: lists agency, total vacancies and final totals
D. Retention: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.156 NMAC - Rn, 1 NMAC 3.2.90.30.P156, 10/01/2000]

1.15.6.157 POSITIONS TO BE AUDITED:
A. Program: personnel files
B. Maintenance system: numerical
C. Description: lists agency, tool number, create date, end date and job class
D. Retention: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.157 NMAC - Rn, 1 NMAC 3.2.90.30.P157, 10/01/2000]

1.15.6.158 POSITION COUNT:
A. Program: personnel files
B. Maintenance system: numerical
C. Description: lists agency, totals; classified, exempt, permanent, term, temporary and vacant
D. Retention: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.158 NMAC - Rn, 1 NMAC 3.2.90.30.P158, 10/01/2000]

1.15.6.159 EXPIRATION DATED FOR TERM AND TEMP POSITIONS:
A. Program: personnel files
B. Maintenance system: numerical
C. Description: lists agency tool number, position status, position expiration date, employee name, SSN, employee status and expiration date
D. Retention: until superseded by new listing.
[12/30/94; 1/10/97; 1.15.6.159 NMAC - Rn, 1 NMAC 3.2.90.30.P159, 10/01/2000]

1.15.6.160 PERSONNEL ACTION HISTORY:
A. Program: personnel files
B. Maintenance system: numerical by action type
1.15.6.161 VACANT POSITIONS BY LOCATION:
A. Program: personnel files
B. Maintenance system: alphabetical
C. Description: lists title, range, agency name, number, temporary status, division name, position, status, and vacant since date.
D. Retention: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.161 NMAC - Rn, 1 NMAC 3.2.90.30.P161, 10/01/2000]

1.15.6.162 AGENCY VACANCY LIST:
A. Program: personnel files
B. Maintenance system: alphabetical
C. Description: alphabetical, lists tool no., job class title, location, position status, and vacant since date.
D. Retention: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.162 NMAC - Rn, 1 NMAC 3.2.90.30.P162, 10/01/2000]

1.15.6.163 POSITION PROFILE FORM (DFA-SPB 2):
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: a turn-around document which provides information about a position in the position control function of the HRMS database. It is designed and utilized to control and maintain the state of New Mexico’s classified and exempt positions.
D. Retention: until validated to HRMS
[12/30/94; 1/10/97; 1.15.6.163 NMAC - Rn, 1 NMAC 3.2.90.30.P163, 10/01/2000]

1.15.6.164 DEPARTMENT TABLE UPDATE FORM (SPB 13):
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: initiated by authorized agency personnel officers to establish the database for the organizational structure of an agency. The process adds, deletes and/or changes information.
D. Retention: until validated to HRMS.
[12/30/94; 1/10/97; 1.15.6.164 NMAC - Rn, 1 NMAC 3.2.90.30.P164, 10/01/2000]

1.15.6.165 SECTION TABLE UPDATE FORM (SPB 14):
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: this form is for agency user to add, delete and/or change members of the section table database.
D. Retention: until validated to HRMS.
[12/30/94; 1/10/97; 1.15.6.165 NMAC - Rn, 1 NMAC 3.2.90.30.P165, 10/01/2000]

1.15.6.166 SINGLE POSITION CHANGE FORM (SPB 11):
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: this form is normally used for a reorganization: transfer or inactive (delete) individual tool numbers.
D. Retention: until validated to HRMS
[12/30/94; 1/10/97; 1.15.6.166 NMAC - Rn, 1 NMAC 3.2.90.30.P166, 10/01/2000]

1.15.6.167 MULTIPLE POSITION CHANGE FORM (SPB 12):
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: this form is used for a reorganization; to transfer or inactive all tool number in an organization (agency, division, bureau, section, unit or sub-unit).
D. Retention: until validated to HRMS
[12/30/94; 1/10/97; 1.15.6.167 NMAC - Rn, 1 NMAC 3.2.90.30.P167, 10/01/2000]

1.15.6.168 DEPARTMENT TABLE REPORT, DAILY/MONTHLY:
A. Program: personnel files
B. Maintenance system: [RESERVED]
C. Description: position control - output records; the SPO distributes a department table update report to the affected agencies whenever a change is made to the department table database; SPO also distributes a department table update report to all agencies monthly, regardless of whether an agency has initiated an update or not.
D. Retention: (1) agency edit report: until validated to HRMS
(2) agency monthly report: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.168 NMAC - Rn, 1 NMAC 3.2.90.30.P168, 10/01/2000]

1.15.6.169 ADDITIONAL PAY TRANSACTION:
A. Program: personnel files
B. Maintenance system: chronological
C. Description: payroll - data input and sources (by other state agencies); shows agency contact, phone number, schedule number, batch number, pay period ending, employee name, social security number, week ending, earning type, time, rate amount, job classification, and account number.
D. Retention: until validated to payroll register
[12/30/94; 1/10/97; 1.15.6.169 NMAC - Rn, 1 NMAC 3.2.90.30.P169, 10/01/2000]

1.15.6.170 BALANCE ADJUSTMENT WORKSHEET:
A. Program: personnel files
B. Maintenance system: chronological
C. Description: shows schedule number, batch number, pay period ending, employee’s social security number, name transaction code/screen number, hours balance adjustment, transaction code and screen number, dollar balance adjustments, transactions code and screen number, gross-to-net balance adjustments, prepared by and date
D. Retention: until validated to payroll register
[12/30/94; 1/10/97; 1.15.6.170 NMAC - Rn, 1 NMAC 3.2.90.30.P170, 10/01/2000]

1.15.6.171 PAYROLL BATCH CONTROL FORM:
A. Program: personnel files
B. Maintenance system: chronological
C. Description: shows agency, contact, phone number, schedule number, pay period ending, time report forms, payroll adjustment forms, corrections, automatic check cancellation forms, prepared by and date
D. Retention: until transactions have been validated to payroll register
[12/30/94; 1/10/97; 1.15.6.171 NMAC - Rn, 1 NMAC 3.2.90.30.P171, 10/01/2000]

1.15.6.172 TIME REPORT AND SHEET:
A. Program: personnel files
B. Maintenance system: chronological
C. Description: shows agency, phone number, schedule, number, batch number, pay period ending, employee name, social security number, transaction code, week ending, earning type, time, rate of pay, job classification, account number, control totals, signature and date
D. Retention: until validated to payroll register
[12/30/94; 1/10/97; 1.15.6.172 NMAC - Rn, 1 NMAC 3.2.90.30.P172, 10/01/2000]

1.15.6.173 PAYROLL BATCH CORRECTIONS AND DELETIONS:
A. Program: personnel files
B. Maintenance system: chronological
C. Description: shows agency, contact, phone number, schedule number, batch control corrections sequence number, type, transaction count, hours hash, rate hash total, batch control deletions, prepared by and date
D. Retention: until batch has been validated to payroll register

1.15.6.174 PAYROLL ADJUSTMENT WORKSHEET:
A. Program: personnel files
B. Maintenance system: chronological
C. Description: show schedule number, batch number, employee’s social security number, name, overtime adjustment, total amounts, refunds, total amount, prepared by and date
D. Retention: until validated to payroll register

1.15.6.175 PAYROLL - OUTPUT RECORDS BATCH STATUS REPORT:
A. Program: personnel files
B. Maintenance system: numerical
C. Description: shows schedule number, ending date; batch number, generation number, generation number of last activity, status, and action required
D. Retention: until all incorrect batches have been corrected

1.15.6.176 BALANCE AND EDIT:
A. Program: personnel files
B. Maintenance system: numerical
C. Description: shows batch number, originator, organization identification; C/D generation number, sequence number, transaction code, period ending date, earning type, time, rate or amount, job number, job classification, account number, control number and batch control information
D. Retention: until all incorrect batches have been corrected

1.15.6.177 TRANSACTION HOLDING FILE LIST:
A. Program: personnel files
B. Maintenance system: numerical
C. Description: shows batch number, originator, schedule, ending date, organization identification, batch, sequence number, employee identification, name, transaction code, period ending date, earning time, pay rate, job, account number, generation, batch number and control number
D. Retention: until all incorrect transactions have been corrected

1.15.6.178 LIST OF NEW APPOINTMENTS, BIWEEKLY:
A. Program: personnel files
B. Maintenance system: numerical
C. Description: this is an employee reporting system printout that shows agency code, agency title, employee name, class title, kind of appointment, date of appointment, salary or rate, range and step number
D. Retention: until superseded by new listing

1.15.6.179 TERMINATED EMPLOYEES, BIWEEKLY:
A. Program: personnel files
B. Maintenance system: numerical by agency, then alphabetical by employee
C. Description: this is an employee reporting system printout that shows agency title, employee name, class, title status, reason for separation, date of separation, length of service in years and months in class and agency.
D. Retention: until superseded by new listing
1.15.6.180 ROSTER OF STATE EMPLOYEES, BIWEEKLY:
A. Program: personnel files
B. Maintenance system: alphabetical
C. Description: this is an employee reporting system printout which lists employee name, social security number, title, agency, agency code, position number, date hired, status and salary or rate.
D. Retention: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.180 NMAC - Rn, 1 NMAC 3.2.90.30.P180, 10/01/2000]

1.15.6.181 EXEMPT SPEC NUMBER LISTING, BIWEEKLY:
A. Program: personnel files
B. Maintenance system: numerical by specification - statewide
C. Description: this is an employee reporting system printout that shows specification number, agency code, abbreviated title, full title, exemption category and date of SPB approval.
D. Retention: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.181 NMAC - Rn, 1 NMAC 3.2.90.30.P181, 10/01/2000]

1.15.6.182 EXEMPT CLASS LISTING, BIWEEKLY:
A. Program: personnel files
B. Maintenance system: numerical by specification - within agency
C. Description: this is an employee reporting system printout that shows specification number, agency code, abbreviated title, full title, exemption category, and date of SPB approval.
D. Retention: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.182 NMAC - Rn, 1 NMAC 3.2.90.30.P182, 10/01/2000]

1.15.6.183 TOTAL EMPLOYEE COUNT, MONTHLY:
A. Program: personnel files
B. Maintenance system: numerical
C. Description: this is an employee reporting system printout which shows agency code, total employees; after exclusion, exempt, permanent, promotional, probationary, provisional, term, temporary, emergency, part-time, hourly; gives statewide totals for each of the above categories.
D. Retention: until updated
[12/30/94; 1/10/97; 1.15.6.183 NMAC - Rn, 1 NMAC 3.2.90.30.P183, 10/01/2000]

1.15.6.184 PERSONNEL TRANSACTION REPORT, ANNUAL (EOFY):
A. Program: personnel files
B. Maintenance system: numerical
C. Description: this is an employee reporting system printout which shows agency code, agency title, number of transactions by month, by type of transaction, and given agency totals by month and by type of transaction
D. Retention: until superseded by new listing
[12/30/94; 1/10/97; 1.15.6.184 NMAC - Rn, 1 NMAC 3.2.90.30.P184, 10/01/2000]

1.15.6.185 ROSTER OF STATE EMPLOYEES, ANNUAL (EOFY):
A. Program: personnel files
B. Maintenance system: alphabetical
C. Description: this is an employee reporting system printout which shows employee name, social security number, title, agency, agency code, position number, date hired, status and salary or rate.
D. Retention: until superseded by new listings
[12/30/94; 1/10/97; 1.15.6.185 NMAC - Rn, 1 NMAC 3.2.90.30.P185, 10/01/2000]

1.15.6.186 EEO PROFILE OF PERSONNEL, ANNUAL (EOFY):
A. Program: personnel files
B. Maintenance system: numerical
1.15.6.187  EEO PROFILE OF EMPLOYEE JOB CATEGORIES, ANNUAL (EOFY):
A. Program: personnel files
B. Maintenance system: numerical
C. Description: this is an employee reporting system printout which shows agency code, agency title, employees, male/female, Anglo, Spanish, Indian, Black; percent male/female, Anglo Spanish, Indian, Black by job category.
D. Retention: until affirmative action plan has been issued
[12/30/94; 1/10/97; 1.15.6.187 NMAC - Rn, 1 NMAC 3.2.90.30.P187, 10/01/2000]

1.15.6.188  MINORITY GROUPS REPORT ANNUAL (EOFY):
A. Program: personnel files
B. Maintenance system: numerical
C. Description: this is an employee reporting system printout which shows agency code, agency title, Anglo male/female total, oriental male/female total, unspecified male/female total number, percent, salary, education, location.
D. Retention: until affirmative action plan has been issued
[12/30/94; 1/10/97; 1.15.6.188 NMAC - Rn, 1 NMAC 3.2.90.30.P188, 10/01/2000]

1.15.6.189  MINORITY ACTIONS REPORT, ANNUAL (EOFY):
A. Program: personnel files
B. Maintenance system: numerical
C. Description: this is an employee reporting system printout which shows agency code, agency name, Anglo, Spanish, Indian, Black, unspecified male/female, total by type of appointment, range, extra merit increases, promotions, demotions, demotions for cause, demotions without prejudice, dismissals, layoffs, expirations of appointments, resignations by type, separations, suspensions, leave by type, separations.
D. Retention: until affirmative action plan has been issued
[12/30/94; 1/10/97; 1.15.6.189 NMAC - Rn, 1 NMAC 3.2.90.30.P189, 10/01/2000]

1.15.6.190  EMPLOYMENT LIST:
A. Program: personnel files
B. Maintenance system: by agency
C. Description: this is the certification system printout used as input to the system after returned by agency. Shows position title, range, requesting agency, location, organizational unit, number of vacancies, type of certification, specification number, date issued, agency code, certification number, revision number, expiration date, it then lists applicant’s name and address, score, social security number, veterans and residence points, phone number, hand posted agency commend, agency personnel officer signature, signature of agency director and date. [Retention on SPO certification copy.]
D. Retention: three years from date of issue
[12/30/94; 1/10/97; 1.15.6.190 NMAC - Rn, 1 NMAC 3.2.90.30.P190, 10/01/2000]

1.15.6.191  EMPLOYEE ELIGIBILITY VERIFICATION, (FORM I-9) FILES:
A. Program: personnel files
B. Maintenance system: chronological by year, then numerical by employee identification number
C. Description: records documenting the employer’s determination, verification and re-verification of eligibility that an employee is authorized to work in the United States. File may include form I-9 (i.e., employee name, address, date of birth, social security number, attestation of citizenship, etc.), copy of social security card, copy of employment authorization with photo, copy of driver’s license, copy of birth certificate, copy of U.S. citizenship identification card, etc.
D. Retention: three years from date of hire or one year from date of separation of employment, whichever is later (8 CFR 274A.2)
E. **Confidentiality:** Portions of this record may be confidential pursuant, but not limited to, 5 USC, Section 552a (i.e., social security number).

[12/30/94; 1/10/97; 1.15.6.191 NMAC - Rn, 1 NMAC 3.2.90.30.P191, 10/01/2000; A, 12/31/2012]

1.15.6.192 **CLASSIFICATION STUDY FILES:**
   A. **Program:** personnel files
   B. **Maintenance system:** [RESERVED]
   C. **Description:** special studies for proposed classifications, can include but are not limited to job descriptions, task statements, methodology, description of study, salary surveys, relative correspondence, etc.
   D. **Retention:** three years after superseded by new study

[9/30/81; 12/30/94; 1/10/97; 1.15.6.192 NMAC - Rn, 1 NMAC 3.2.90.30.P192, 10/01/2000]

1.15.6.193 **PERSONNEL RECORDS LEGAL AND PHYSICAL CUSTODY TRANSFER FORM:**
   A. **Program:** personnel files
   B. **Maintenance system:** agency preference
   C. **Description:** form documenting the legal and physical transfer of agency personnel files to the state personnel office. Form shows agency information (i.e., agency name, department of finance agency code, address, contact name, etc.), box number, folder number, employee name, employee identification number, employee social security number, records custodian signature, state personnel office director signature, etc.
   D. **Retention:** 55 years from date of transfer
   E. **Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number).

[1.15.6.193 NMAC - N, 12/31/2012]

**History of 1.15.6 NMAC:**
Pre-NMAC History: The material in this part was derived from that previously filed with the State Records Center under:
SRC Rule No. 81-4, Records Retention and Disposition Schedule for the General Personnel Records, 8/31/81.
SRC Rule No. 94-17, Records Retention and Disposition Schedule for the General Personnel Records, 11/30/94.