

TITLE 1 GENERAL GOVERNMENT ADMINISTRATION
CHAPTER 18 EXECUTIVE RECORDS RETENTION AND DISPOSITION SCHEDULES (ERRDS)
PART 369 ERRDS, STATE COMMISSION OF PUBLIC RECORDS

1.18.369.1 ISSUING AGENCY: State Commission of Public Records
[1.18.369.1 NMAC - Rp, 1.18.369.1 NMAC, 1/10/2005; A, 1/12/2015]

1.18.369.2 SCOPE: State Commission of Public Records
[1.18.369.2 NMAC - Rp, 1.18.369.2 NMAC, 1/10/2005; A, 1/12/2015]

1.18.369.3 STATUTORY AUTHORITY: Public Records Act, Section 14-3-1 et seq. NMSA 1978
[1.18.369.3 NMAC - Rp, 1.18.369.3 NMAC, 1/10/2005; A, 1/12/2015]

1.18.369.4 DURATION: permanent
[1.18.369.4 NMAC - Rp, 1.18.369.4 NMAC, 1/10/2005]

1.18.369.5 EFFECTIVE DATE: January 10, 2005, unless a later date is cited at the end of a section.
[1.18.369.5 NMAC - Rp, 1.18.369.5 NMAC, 1/10/2005]

1.18.369.6 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.
[1.18.369.6 NMAC - Rp, 1.18.369.6 NMAC, 1/10/2005; A, 1/12/2015]

1.18.369.7 DEFINITIONS: For definitions applicable to all agencies refer to 1.15.1.7 NMAC.
A. "Hygrothermograph" is a device that is used to monitor environmental conditions through the measurement of temperature and relative humidity that are recorded on a scaled paper chart.
[1.18.369.7 NMAC - Rp, 1.18.369.7 NMAC, 1/10/2005; A, 1/12/2015; A, 04/13/2015]

1.18.369.8 ABBREVIATIONS AND ACRONYMS: For abbreviations and acronyms applicable to all agencies refer to 1.15.1.8 NMAC.
[1.18.369.8 NMAC - N, 1/10/2005; A, 1/12/2015; A, 04/13/2015]

1.18.369.9 INSTRUCTIONS: For instructions applicable to all agencies refer to 1.15.1.9 NMAC.
[1.18.369.9 NMAC - Rp, 1.18.369.8 NMAC, 1/10/2005; A, 1/12/2015; A, 04/13/2015]

1.18.369.10 [RESERVED]

1.18.369.11 TRAINING AND REGISTRATION DATABASE:
A. Program: training
B. Maintenance system: numerical by primary key
C. Description: database that tracks and maintains information concerning training scheduling and attendee registration information for trainings conducted through SRCA. Information may include course data, registration data, instructor data, etc.
D. Data retention: three years from close of the calendar year from date of training
E. Input: All records used as input are key entered at the time of registration.
F. Output: Because the *training and registration database* is a data-based system, ad hoc reports may be generated upon request or demand. When produced these reports are forwarded to the requesting entity.
[1.18.369.11 NMAC - N, 1/10/2005; A, 1/12/2015]

1.18.369.12 PERFORMANCE MEASURE DATABASE:
A. Program: administration
B. Maintenance system: numerical by primary key [strategic initiative]
C. Description: System maintains and tracks the agency's planning and progress towards its annual strategic plan. Data may include strategy initiatives, action steps, performance measures, and related targets, base line information, narrative and quantitative data, etc.

- D. Retention:** 10 years after the end of the fiscal year in which created
- E. Input:** All documents used as input for the *performance measure database* are filed in the *reports* [1.15.2.117 NMAC] and *appropriations request and operating budget* [1.15.4.102 NMAC]. Some of those records may include *quarterly reports, budget submissions, etc.*
- F. Output:** Because the *performance measure database* is a data-based system, ad hoc reports such as *strategic progress report plans* may be generated upon request or demand. When produced these reports are forwarded to the requesting entity or filed in *administrative files (executive levels)* [1.15.2.106 NMAC].
[1.18.369.12 NMAC - N, 1/10/2005]
[Retention is on data only.]

1.18.369.13 ENVIRONMENTAL CONDITION FILES:

- A. Program:** preservation
- B. Maintenance system:** chronological by calendar year, then by month and day
- C. Description:** Records documenting humidity, temperature and air quality conditions within the archives, electronic and micrographics vaults. Files may contain hygrothermograph charts, air quality analysis reports, manual recordings, repair reports, etc.
- D. Retention:** five years after the calendar year in which created
[1.18.369.13 NMAC - N, 1/10/2005]

1.18.369.14 - 1.18.369.15 [RESERVED]

1.18.369.16 SCHOLARS PROGRAM FILES:

- A. Program:** New Mexico history
- B. Maintenance system:** chronological by fiscal year, then alphabetical by surname
- C. Description:** records documenting the application and award of funds to an individual to conduct research in any archives within the state. Files may include cover letter, abstract, letters of recommendation, copies of transcripts, resumes, score sheet, copy of approval letter, copy of denial letter, notes from committee members, articles, illustrations, letter of revocation, correspondence, etc.
- D. Retention:**
 - (1) **Approved files:** five years from date funds awarded or revoked
 - (2) **Withdrawn or denied applications:** one year from date application withdrawn or denied
- E. Confidentiality:** Portions of this record may be confidential.
[1.18.369.16 NMAC - Rp, 1.18.369.101 NMAC, 1/10/2005; Repealed, 1/12/2015; 1.18.369.16 NMAC - N, 1/12/2015]
[official scenic historic marker records are maintained by department of cultural affairs]

1.18.369.17 RESEARCH PROJECT FILES:

- A. Program:** New Mexico history
- B. Maintenance system:** alphabetical by subject
- C. Description:** Records concerning historical research projects, lectures and presentations conducted by the state historian. Files may contain copies of photographs, articles, historical research works in progress, materials collected relating to research topics, correspondence, etc.
- D. Retention:** permanent, transfer to archives when no longer needed for reference
[1.18.369.17 NMAC - Rp, 1.18.369.102 NMAC, 1/10/2005; A, 1/12/2015]

1.18.369.18 NEW MEXICO HISTORY DATABASE:

- A. Program:** New Mexico history
- B. Maintenance system:** numerical by primary key
- C. Description:** Database maintains and tracks data on historical themes, documents, calendar of events, forums, office of the state historian staff information, etc. Data may include theme narratives, events, people copies of documents; calendar of events, forums, etc.
- D. Retention:** until superceded by new data
- E. Input:** Documents used as input for the *office of the state historian database* such as copies of photographs, building architecture, etc. are filed in *archival collections or research project files.*

F. Output: Because the office of the *office of the state historian database* is a data-based system, ad hoc reports may be generated upon request or demand.
[1.18.369.18 NMAC - N, 1/10/2005]
[Retention is on data only.]

1.18.369.19 [RESERVED]

1.18.369.20 WINGENCAT SYSTEM:

- A. Program:** archival services
- B. Maintenance system:** numerical by primary key
- C. Description:** System maintains, monitors, and tracks all collection and patron activity. Data may include collection information (locations, descriptions, digital images, etc.) and patron information (registration information, records requested, records requested for duplication or publications, reference requests, etc.), etc.
- D. Retention:**
 - (1) **Patron registration data:** 10 years from the date of last activity
 - (2) **Records request data:** five years after close of calendar year in which created
 - (3) **Collection data:** permanent
- E. Confidentiality:** Portions of the data may be confidential per Section 18-9-4 NMSA 1978, *release of patron records prohibited* (i.e., patron information).
- F. Input:** All documents used as input for the *wingencat system* are filed in the corresponding *collection control files*, the *patron registration form files* and the *request for records forms*, etc. Documents filed within the *collection control files* include the following: *gift agreements; loan agreements; outgoing loan agreements; accession forms; SRCA preliminary inventory forms; processing forms; finding aids; etc.*
- G. Output:** Collection finding aids and ad hoc reports maybe generated upon request or on demand. When produced, these reports are either forwarded to the requesting entity, or filed in the *collection control files*. Some of the reports include: *patrons: out of state statistics, request; report type of contact, patrons; location list of records; collection records list; collection report, brief descriptive level report; etc.* Collection information is exported to the on-line catalog available at *wingencat* [http://www.nmcpr.state.nm.us/archives/archives_hm.htm.]
[1.18.369.20 NMAC - N, 1/10/2005]
[Retention is on data only.]

1.18.369.21 COLLECTION CONTROL FILES:

- A. Program:** archival services
- B. Maintenance system:** chronological by calendar year, then numerical by accession number
- C. Description:** Records documenting all activity pertaining to collections maintained in the state archives. Files may contain gift and loan agreements, inventories of collections accession forms, de-accession forms, purchase agreements, finding aids, conservation treatment forms, SRCA disposition orders, requests for disposition, correspondence, etc. Portions of information from these files may be input to the *wingencat system*.
- D. Retention:** permanent
[1.18.369.21 NMAC - N, 1/10/2005]

1.18.369.22 ARCHIVES ACCESSION LOG:

- A. Program:** archival services
- B. Maintenance system:** chronological by calendar year, then numerical by accession number
- C. Description:** Record of accessions from state agencies, private donations and purchases. Log contains date of accession, accession number, information on whether accession is new or an accretion, name of collection, accretion number, size or extent of accession, source of accession, etc.
- D. Retention:** permanent
[1.18.369.22 NMAC - N, 1/10/2005]

1.18.369.23 PATRON REGISTRATION FORMS [SRC 96-20]:

- A. Program:** archival services
- B. Maintenance system:** chronological by calendar year and month
- C. Description:** Records documenting registration of patrons pursuant to 1.13.11 NMAC in the custody of the SRCA. Portions of the information from these forms may be input to the *wingencat system*. Form may contain patron's name, address, home and work phone numbers, e-mail address, user description, release of

research information on topic of study to other researchers, signature of user, signature of parent or guardian [if applicable], date signed, guidelines for using materials, etc.

D. Retention: 10 years from the date of last activity

E. Confidentiality: Portions of the records may be confidential per Section 18-9-4 NMSA 1978, *release of patron records prohibited* (i.e., patron information).

[1.18.369.23 NMAC - N, 1/10/2005]

1.18.369.24 CONDITIONS FOR PUBLICATION OR REPRODUCTION FILES:

A. Program: archival services

B. Maintenance system: chronological by fiscal year

C. Description: Records documenting patron requests to reproduce or publish materials from SRCA collections. Files may contain patron letter of intent, *conditions for publication or reproduction form*, correspondence, etc.

D. Retention:

(1) **Approved requests:** 20 years after the close of the fiscal year in which created

(2) **Denied requests:** five years after the close of the fiscal year in which denied

[1.18.369.24 NMAC - N, 1/10/2005]

1.18.369.25 REQUEST FOR RECORDS FORMS [SRCA FORM 11A]:

A. Program: archival services

B. Maintenance system: chronological by calendar year and month

C. Description: Records documenting patron requests to access collections in the custody of the SRCA. Portions of information from these forms may be input to the *wingencat system*. Form may contain name of collection, file name, number of documents, number of items pulled, patron's name and signature, archivist's signature, date and time accession materials are out, date and time accession materials are returned, etc.

D. Retention: five years after close of calendar year in which created

E. Confidentiality: Portions of the records may be confidential per Section 18-9-4 NMSA 1978, *release of patron records prohibited* (i.e., patron information).

[1.18.369.25 NMAC - Rp, 1.18.369.307 NMAC, 1/10/2005]

1.18.369.26 ARCHIVAL COLLECTIONS:

A. Program: archival services

B. Maintenance system: numerical by accession number

C. Description: Collections of records created by state agencies, elected officials, private individuals and organizations, deemed to have historical and informational value in the custody of the SRCA.. Collections include records from the Spanish colonial government, Mexican Republic government, U.S. territorial government, New Mexico state government, etc.

D. Retention: permanent

E. Confidentiality: Portions may be confidential pursuant to: Subsection A of Section 14-2-1 NMSA 1978. (attorney-client privileged information; physical or mental examinations of persons confined to any institution; letters of reference concerning employment; matters of opinion in personnel files; tactical response plans); Section 31-21-6 NMSA 1978 (probation and parole information); Section 24-1-20 NMSA 1978 (medical treatment records); Section 29-10-4 NMSA 1978 (arrest record information concerning those not charged with a crime); Section 32A-3B-32 NMSA 1978 (juvenile records); Section 32A-5-8 NMSA 1978 (adoption records); Section 41-8-4 NMSA 1978 (arson reports); Section 43-2-11 NMSA 1978 (substance abuse treatment) and 5 USC, Section 552a (i.e., social security number).

[1.18.369.26 NMAC - Rp, 1.18.369.308 NMAC, 1/10/2005]

1.18.369.27 LIBRARY REFERENCE COLLECTION:

A. Program: archival services

B. Maintenance system: numerical by Dewey decimal system

C. Description: books, monographs, serials, unpublished dissertations, microfilm used for research and reference by patrons, etc.

D. Retention: permanent

[1.18.369.27 NMAC - Rp, 1.18.369.309 NMAC, 1/10/2005]

1.18.369.28 VOLUNTEER APPLICATION FORMS:

- A. Program:** archival services
- B. Maintenance system:** chronological by year, then date application is submitted
- C. Description:** Record of applicants interested in volunteering to assist at the SRCA. Application may contain date of application, applicant's name, address, home and work telephone numbers, occupation, employer address, birth date, education, emergency contact information, interests, skills, hobbies, fluency in foreign languages, knowledge of New Mexico history or genealogy, days available for work, reasons for interest in volunteer work, references, etc.
- D. Retention:** one fiscal year from the date in which application is rejected or volunteer services work is terminated
[1.18.369.28 NMAC - N, 1/10/2005]

1.18.369.29 REGRANT PROGRAM FILES:

- A. Program:** archival services
- B. Maintenance system:** chronological by fiscal year
- C. Description:** records documenting the application for and issuance of grant funds to eligible applicants through the regrant program in support of records preservation projects. The New Mexico historical records advisory board, an adjunct board to the commission of public records, receives funds from the New Mexico legislature and the national historic publications and records commission to fund its historical records grant program for improving preservation of and access to New Mexico's historical records. Files may include completed application form (i.e., name of applicant, address, project type, budget amounts for project, summary statement, project work plan, project summary budget, budget worksheet, proposals, scope of work, etc.), copy of 501(c) 3 certification, resumes, department of finance and administration certification, governor's guidelines certification, substitute W-9 form, contract, grant agreement, interim reports, invoices, financial reporting form, final report, correspondence, etc.
- D. Retention:**
 - (1) **Funded projects:** seven years from the end of fiscal year in which grant is closed
 - (2) **Non-funded projects:** three years from the end of the fiscal year in which application submitted
- E. Confidentiality:** Portions of file may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number) and Section 7-1-8 NMSA 1978, Confidentiality of Returns and Other Information.
[1.18.369.29 NMAC - N, 5/2/2011]

1.18.369.30 RULE HISTORY DATABASE:

- A. Program:** administrative law
- B. Maintenance system:** numerical by primary key (chronological by entry date)
- C. Description:** database tracks and maintains all state rules promulgated and filed by executive or special select agencies. Data may include agency code, agency name, date of filing, status, sequence number, action, code, citation, rule description, register volume and issue number, effective date, duration, comments, etc.
- D. Data retention:** permanent, transfer to archives five years from close of fiscal year in which repealed or otherwise replaced
- E. Input:** Records used as input to the *rule history database* are filed in the corresponding *state rules collection files*, 1.18.369.32 NMAC.
- F. Output:** Ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity. Some of the reports include *rule history listings*; *all current rule filing (by agency) listings*; NMAC website updates; etc.
[1.18.369.30 NMAC - Rp, 1.18.369.420 NMAC, 1/10/2005; A, 5/4/2009; A, 04/13/2015]

1.18.369.31 NEW MEXICO ADMINISTRATIVE CODE:

- A. Program:** administrative law
- B. Maintenance system:** numerical by NMAC number
- C. Description:** NMAC is an electronic publication of all current rules adopted by executive or special select agencies and filed with the SRCA. The code is compiled, indexed and published on the agency's website and is updated once a month. The paper copy of the rule text filed in the state rules collection is the official version of the rule.

D. Retention: permanent
[1.18.369.31 NMAC - N, 1/10/2005; A, 5/4/2009]

1.18.369.32 STATE RULES COLLECTION FILES:

A. Program: administrative law
B. Maintenance system:
(1) **Pre NMAC:** chronological by fiscal year then numerical by agency business unit number
(2) **NMAC:** chronological by fiscal year then numerical by NMAC title, chapter and part number
C. Description: records documenting all state rules promulgated and filed by executive or special select agencies. Portions of this record are input to the *rule history database*, 1.18.369.30 NMAC. Files may include *NMAC transmittal form*, delegation of rule filing authority, *notice of errata change form*, rule, copy of court decisions, correspondence, etc.

D. Retention:
(1) **Rule:** permanent, transfer to archives five years from close of fiscal year in which repealed or otherwise replaced
(2) **Delegation of rule filing authority:** permanent, transfer to archives one year from close of fiscal year from date superseded
[1.18.369.32 NMAC - Rp, 1.18.369.405 NMAC, 1/10/2005; A, 5/4/2009; A, 04/13/2015]

1.18.369.33 RULE CONTROL LOG:

A. Program: administrative law
B. Maintenance system: chronological by date received
C. Description: record used to track rules that have been promulgated by various state agencies and filed with administrative law. Log may include date of rule receipt, date inspected, filing entity, rule number, number of pages, date rejected, date accepted, type or class of rule, date key entered, date proofed, date history copy filed, date listing filed, etc.
D. Retention: permanent
[1.18.369.33 NMAC - Rp, 1.18.369.403 NMAC, 1/10/2005; A, 5/4/2009]

1.18.369.34 [RESERVED]

[1.18.369.34 NMAC - Rp, 1.18.369.409 NMAC, 1/10/2005; Repealed, 5/4/2009]
[NMAC Conversion Files transferred to Archives 5/4/2009.]

1.18.369.35 RECOMPILATION NMAC FILES:

A. Program: administrative law
B. Maintenance system: numerical by NMAC number, then chronological by date of action
C. Description: records concerning old rules that have yet to be adopted into the official NMAC style and format but have been recompiled and formatted so they can be published in the NMAC for informational purposes. Files may include recompilation of pre-NMAC and NMAC rules as they appear in the official NMAC style, reports, status reports of rule renumbering, etc.
D. Retention: until rule is adopted in the official NMAC style and format or rule is repealed.
[1.18.369.35 NMAC - N, 1/10/2005; A, 5/4/2009]

1.18.369.36 NEW MEXICO REGISTER LOG:

A. Program: administrative law
B. Maintenance system: chronological by issue date, and numerical by issue number
C. Description: records used to track notices of rulemaking and rules filed with the SRCA for publication in the New Mexico register. Log may include volume number, issue number, publication date, control number, agency name, comments, notice, type of rule, rule number, etc.
D. Retention: permanent
[1.18.369.36 NMAC - Rp, 1.18.369.401 NMAC, 1/10/2005; A, 5/4/2009]

1.18.369.37 [RESERVED]

[1.18.369.37 NMAC - N, 1/10/2005; A, 5/4/2009; Repealed, 04/13/2015]

[Repealed Section 1.18.369.37 NMAC, *New Mexico register work papers* refer to Section 1.15.2.107 NMAC, *administrative reference files (non-executive levels)*.]

1.18.369.38 [RESERVED]

[1.18.369.38 NMAC - Rp, 1.18.369.402 NMAC, 1/10/2005; A, 5/4/2009; A, 04/13/2015]

[Repealed Section 1.18.369.38 NMAC, *New Mexico register* refer to Section 1.15.2.307 NMAC, *publications*.]

1.18.369.39 [RESERVED]

[1.18.369.39 NMAC - N, 1/10/2005; A, 5/4/2009; Repealed, 04/13/2015]

[Repealed Section 1.18.369.39 NMAC, *register billing system* refer to Section 1.15.2.107 NMAC, *administrative reference files (non-executive levels)*.]

1.18.369.40 [RESERVED]

[1.18.369.40 NMAC - N, 1/10/2005; Repealed, 04/13/2015]

1.18.369.41 INTERSTATE COMPACT FILES:

- A. Program:** administrative law
- B. Maintenance system:** alphabetical by agency name, subject description, then chronological by filing date
- C. Description:** records documenting agreements between two or more governmental entities. Portions of this record are input to the *interstate compact database*, 1.18.369.43 NMAC. Files may include agreements, renewal agreements, transmittal correspondence, etc.
- D. Retention:** permanent, transfer to archives 10 years from date compact amended, superseded, expired or revoked

[1.18.369.41 NMAC - Rp, 1.18.369.407 NMAC, 1/10/2005; A, 5/4/2009; A, 04/13/2015]

1.18.369.42 COUNTY SUBDIVISION REGULATION FILES:

- A. Program:** administrative law
- B. Maintenance system:** alphabetical by name of county, then chronological by filing date
- C. Description:** records documenting local government entity subdivision regulations filed with the administrative law division. Portions of this record are input to the *county subdivision regulation database*, 1.18.369.44 NMAC. Files may include copy of ordinance (e.g., county name, ordinance number, regulation, penalties, etc.), correspondence, etc.
- D. Retention:** permanent, transfer to archives 10 years from date regulation amended, superseded, expired or revoked

[1.18.369.42 NMAC - Rp, 1.18.369.408 NMAC, 1/10/2005; A, 5/4/2009; A, 04/13/2015]

1.18.369.43 INTERSTATE COMPACT DATABASE:

- A. Program:** administrative law
- B. Maintenance system:** numerical by primary key
- C. Description:** database tracks and maintains information concerning interstate compacts filed. Data may include entity name, filing date, status, etc.
- D. Data retention:** permanent, transfer to archives 10 years from date compact amended, superseded, expired or revoked
- E. Input:** Records used as input for the *interstate compact database* are filed in the corresponding *interstate compact files*, 1.18.369.41 NMAC.
- F. Output:** Ad hoc and regularly scheduled reports may be generated upon request. When produced, these reports are forwarded to the requesting entity.

[1.18.369.43 NMAC - N, 04/13/2015]

1.18.369.44 COUNTY SUBDIVISION REGULATION DATABASE:

- A. Program:** administrative law
- B. Maintenance system:** numerical by primary key
- C. Description:** database tracks and maintains information concerning local government entity subdivision regulations filed. Data may include entity name, filing date, status, county clerk filing date, etc.

D. Data retention: permanent, transfer to archives 10 years from date regulation amended, superseded, expired or revoked

E. Input: Records used as input for the *county subdivision regulation database* are filed in the corresponding *county subdivision regulation files*, 1.18.369.42 NMAC.

F. Output: Ad hoc and regularly scheduled reports may be generated upon request. When produced, these reports are forwarded to the requesting entity.
[1.18.369.44 NMAC - N, 04/13/2015]

1.18.369.45 - 1.18.369.50 [RESERVED]

1.18.369.51 ELECTRONIC VAULT ACCESS FILES:

A. Program: records management

B. Maintenance system: chronological by calendar year, then numerical by assigned electronic key number

C. Description: Records documenting requests and authorizations to store electronic media in the SRCA electronic vault, primarily for agency disaster recovery purposes. Files may contain *state records center and archives request to store electronic disaster recovery files* form, agency letters requesting authorization to store or retrieve electronic information within the electronic vault and purchase of electronic keys for those purposes, authorized personnel key card number log, request to replace lost or broken cards, correspondence, etc.

D. Retention: three years after date superseded by new letter of authorization
[1.18.369.51 NMAC - Rp, 1.18.369.501 NMAC, 1/10/2005]

1.18.369.52 REQUEST FOR DISPOSITION [SRC-2]:

A. Program: records management

B. Maintenance system: chronological by year and month

C. Description: Record documenting requests for disposition or records maintained by agencies on-site. Disposition request may be for destruction of records through the Santa Fe or Albuquerque SRC, or transfer of records to archives. Portions of this form may be input to the *records inventory management system*. Form may contain agency code, agency or division name, contact person name, address, e-mail address, phone number, fax number, destruction or transfer to archives information, description of records, NMAC number for the records, number of boxes, liaison signature, analyst signature, inclusive dates of records, etc.

D. Retention: 25 years after date of destruction or transfer to archives
[1.18.369.52 NMAC - Rp, 1.18.369.502 NMAC, 1/10/2005]

1.18.369.53 AGENCY RECORDS DISPOSITION FILES:

A. Program: records management

B. Maintenance system: chronological by year, then date of disposition

C. Description: Records documenting the disposition of records stored at the SRC that have met their retention and have been identified for destruction or transfer to archives. Files may contain *agency records disposition memo*, *destruction detail listings*, *transfer to archives detail listings*, *records destruction orders*, *transfer to archives orders*, SRCA letter to agencies, correspondence, etc.

D. Retention: 25 years after date of disposition or transfer to archives
[1.18.369.53 NMAC - Rp, 1.18.369.503 NMAC, 1/10/2005]

1.18.369.54 RECORDS INVENTORY MANAGEMENT SYSTEM:

A. Program: records management

B. Maintenance system: numerical by primary key

C. Description: System maintains, monitors, tracks and calculates retention data on boxes in storage at the SRC, location of boxes in storage, box activity, authorized withdrawals, returned records, etc. Data may include record series information (e.g., NMAC number, record series title, record description, retention length, etc.); storage transmittal data (department number, record series number and title, barcode and permanent box number, shipment box number, trigger date, disposition date, etc.); record access personnel data (e.g., names of record liaison officer, withdrawal personnel and pickup only personnel, department name and number, etc.); record withdrawal information, disposition information, etc.

D. Data retention:

(1) **Storage transmittal data:** 25 years from final date of disposition of storage

- (2) **Record access data:** 10 years after the end of the last fiscal year of activity
- (3) **Record withdrawal data:** 25 years from date of withdrawal
- (4) **Disposition data:** 25 years after date of disposition
- (5) **Record series data:** until record series has been repealed in the RRDS or until all

affected boxes' retention has been met

E. Input: Records used as input to the *records inventory management system*, are filed in the corresponding *agency records disposition files*, 1.18.369.53 NMAC; *storage transmittal forms (src-1)*, 1.18.369.55 NMAC and *record of withdrawal forms*, 1.18.369.56 NMAC.

F. Output: Because the *records inventory management system* is a data-based system, required and ad hoc reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity. Some of these reports include *agency records disposition memo; destruction detail listing; records destruction order; SRCA disposition order; routing slip and routing return slip; delivery listing; managerial reports; tracking documents; etc.*

[1.18.369.54 NMAC - Rp, 1.18.369.515 NMAC, 1/10/2005; A, 1/12/2015]

1.18.369.55 STORAGE TRANSMITTAL FORMS [SRC-1]:

A. Program: records management

B. Maintenance system: numerical by agency code, then chronological by shipment date

C. Description: record documenting approved requests for storage into the Santa Fe or Albuquerque SRC. Portions of these forms may be input to the *records inventory management system*. Form may contain agency code, agency name, division name, date prepared, office location, street address, room number, records liaison officer name and signature, contact phone number, agency fax number, permanent box number, shipment box number, record schedule item number [NMAC citation], records series title, disposition trigger date, destroy date, analyst's signature of approved forms, data entry information, shipment delivery information, etc.

D. Retention: 25 years after date of disposition
[1.18.369.55 NMAC - Rp, 1.18.369.525 NMAC, 1/10/2005]

1.18.369.56 RECORD OF WITHDRAWAL FORMS:

A. Program: records management

B. Maintenance system: numerical by agency code number and withdrawal number

C. Description: record of temporary or permanent withdrawal of records placed into storage at the Santa Fe or Albuquerque SRC. Portions of this record may be input to the *records inventory management system*, 1.18.369.54 NMAC. Forms may show agency name, business unit code, address, permanent box number, records liaison officer name, etc.

D. Retention: 25 years from date of withdrawal
[1.18.369.56 NMAC - Rp, 1.18.369.526 NMAC, 1/10/2005; A, 1/12/2015]

1.18.369.57 - 1.18.369.60 [RESERVED]

1.18.369.61 MICROPHOTOGRAPHY PLAN FILES:

A. Program: microphotography

B. Maintenance system: alphabetical by agency or entity name, then chronological by calendar year and date of approval

C. Description: records concerning agency plans in compliance with the *Microphotography Systems, Microphotography Standards* 1.14.2 NMAC for maintaining government records on electronic or microfilm media. Files may contain agency or entity name, plan to maintain records on electronic or microfilm media, SRCA approval, correspondence, etc.

D. Retention: permanent
[1.18.369.61 NMAC - N, 1/10/2005; A, 1/12/2015]

1.18.369.62 METHYLENE BLUE TEST FORMS:

A. Program: microphotography

B. Maintenance system: chronological by month and date, then alphabetical by agency or entity name

C. Description: records on the amount of residual thiosulfate existing in master microfilm produced by agencies for permanent records. Form may contain agency or vendor name, address, contact person, telephone

number, test readings, test dates, agencies or offices processed for, inclusive microfilm roll numbers, record series name and NMAC section number, address of New Mexico records center and archives, correspondence, etc.

D. Retention:

(1) **Micrographics copy:** until superseded by new test results

(2) **Custodian of record copy [archives]:** for the retention of the original records or until microfilm is regenerated per Subsection F of 1.14.2.10 NMAC
[1.18.369.62 NMAC - Rp, 1.18.369.602 NMAC, 1/10/2005]

1.18.369.63 [RESERVED]

[1.18.369.63 NMAC - Rp, 1.18.369.604 NMAC, 1/10/2005; Repealed, 1/12/2015]

[Inspection information is located on storage transmittal forms refer to *storage transmittal forms (src-1)*, 1.18.369.55 NMAC.]

1.18.369.64 STEP TEST FORMS:

A. Program: microphotography

B. Maintenance system: alphabetical by agency

C. Description: records documenting step tests conducted by state agencies or entities to ensure accurate camera exposure settings and microfilm densities. Form may contain agency name, camera make and model, microfilm format, used setting, emulsion number, test date, inspector, exposure setting, density, resolution, etc.

D. Retention: until film developed passes inspection or disposition of documentation is met
[1.18.369.64 NMAC - Rp, 1.18.369.605 NMAC, 1/10/2005]

1.18.369.65 MICROFILM CAMERA LOG:

A. Program: microphotography

B. Maintenance system: chronological by year, then by month and day

C. Description: record maintained by the SRCA indicating the collection, record series, or documents microfilmed by the micrographics staff. Log may list type of camera used, microfilm roll number, type of record filmed, starting microfilm roll name or number, agency name, date, operator, remarks, etc.

D. Retention: one year after close of calendar year in which created
[1.18.369.65 NMAC - Rp, 1.18.369.606 NMAC, 1/10/2005]

1.18.369.66 MICROFILM PROCESSING LOG:

A. Program: microphotography

B. Maintenance system: chronological by year, then by month and day

C. Description: record of original film processed by the micrographics staff. Log may contain microfilm roll number, agency or entity name of microfilm being processed, record type, quantity of film processed, date processed, operator, etc.

D. Retention: until annual report released
[1.18.369.66 NMAC - Rp, 1.18.369.607 NMAC, 1/10/2005]

1.18.369.67 MICROFILM DUPLICATION LOG:

A. Program: microphotography

B. Maintenance system: chronological by year, then by month and day

C. Description: record of microfilm duplicates processed by the micrographics staff from original microfilm. Log may contain agency or entity name that duplicate microfilm rolls were created for, microfilm roll numbers, total number of duplicates created, date of duplication, operator, etc.

D. Retention: until annual report released
[1.18.369.67 NMAC - Rp, 1.18.369.608 NMAC, 1/10/2005]

1.18.369.68 MICROPHOTOGRAPHY INVENTORY FORM:

A. Program: microphotography

B. Maintenance system: chronological by date of notification from agency

C. Description: inventory records of all microfilm equipment owned or leased by state agencies. Files may contain agency name, response (yes or no), approved by SRC (yes or no), excess equipment to be transferred, equipment listing, and quantity.

D. Retention: three years after date of depreciation and removal from fixed asset inventory list
[1.18.369.68 NMAC - Rp, 1.18.369.620 NMAC, 1/10/2005]

1.18.369.69 MICROPHOTOGRAPHY EQUIPMENT STATUS FORM-TRANSFER ORDER FORMS:

A. Program: microphotography

B. Maintenance system: chronological fiscal year by month and date received, then alphabetical by agency name

C. Description: records concerning the annual inventory conducted by the SRCA of microphotography equipment maintained by state agencies and the tracking of transfers of that equipment from one agency to another. Form may contain agency or division name, telephone number, equipment make and model, serial number, working, non-working, condition, present value, repair cost, correspondence, etc.

D. Retention: one year after close of fiscal year in which created
[1.18.369.69 NMAC - Rp, 1.18.369.603 NMAC, 1/10/2005]

1.18.369.70 - 1.18.369.71 [RESERVED]

1.18.369.72 [RESERVED]

[1.18.369.72 NMAC - Rp, 1.18.369.702 NMAC, 1/10/2005; A, 5/4/2009; A, 1/12/2015; Repealed, 04/13/2015]
[Repealed Section 1.18.369.72 NMAC, *rrds work papers* refer to Section 1.15.2.107 NMAC, *administrative reference files (non-executive levels)*.]

1.18.369.73 RRDS TRACKING SYSTEM:

A. Program: record management

B. Maintenance system: numerical by primary key

C. Description: system used to track the length of time between surveys done on records of an agency or an entity. The system also tracks any amendments done to the schedules. Date may include tracking number, agency code, agency name, assigned analyst, part number, percentage of agency surveyed, survey result to schedule, original number of records, number of program records surveyed, number of program records modified, number of program records added, number of program records repealed, resulting number of records, date schedule presented, schedule status, etc.

D. Retention: six months after the end of the fiscal year in which a new schedule is filed

E. Hardcopy input documents: All documents used as input for the *RRDS tracking system* are filed in the corresponding *state rules collection*. Those documents may include *transmittal form, records retentions and disposition schedule* (rule), etc.

F. Hardcopy output documents: The *RRDS tracking system* is a data based system. Ad hoc reports may be generated upon request or on demand. When produced, these reports are either forwarded to the requesting entity or filed in the corresponding file.

[1.18.369.73 NMAC - N, 1/10/2005]

[Retention is on the data only.]

1.18.369.74 HISTORY FILES:

A. Program: agency analysis

B. Maintenance system: alphabetical by state agency or local government category name, then chronological by year

C. Description: records documenting the activities Between the SRCA and state agencies, judicial and local governments enties. Files may contain copies of SRCA letters to state agencies that order the destruction of records for on-site requests, *request for disposition* forms for on-site destruction requests, SRCA letters to agencies requesting to conduct a survey, final reports on surveys conducted, on-site destruction requests, local government notices of destruction, memoranda, correspondence, etc.

D. Retention:

(1) **Correspondence:** five calendar years after the year in which created, then transfer to archives for review and final disposition

(2) **Agency on-site dispositions and local government notices of destruction:** 25 years after date of SRCA administrator's order of destruction, transfer to archives or replevin of records

[1.18.369.74 NMAC - Rp, 1.18.369.703 & 704 NMAC, 1/10/2005]

1.18.369.75 AUTHORIZED RECORDS ACCESS PERSONNEL FORMS:

- A. Program:** agency analysis
 - B. Maintenance system:** geographical by type, then chronological fiscal year, then numerical by agency code
 - C. Description:** forms used to designate record liaison officers and personnel authorized to access and pick-up agency records stored at the SRCA. Information may be input to the records inventory management system. Forms may include name of designee, agency code, telephone number, fax number, cabinet secretary or executive director's title and signature, effective period of authorization, date etc.
 - D. Retention:**
 - (1) Record liaison officer forms:** 25 years after close of fiscal year in which record liaison officer designated
 - (2) Pick-up personnel forms:** two years after close of fiscal year in which pick-up personnel designated
- [1.18.369.75 NMAC - Rp, 1.18.369.730 NMAC, 1/10/2005; A, 5/4/2009]

1.18.369.76 AGENCY ANALYSIS TRACKING SYSTEM:

- A. Program:** record management
 - B. Maintenance system:** numerical by primary key
 - C. Description:** system used to track the storage transmittals, request for disposition and notice of destructions by public entities. The system also tracks number of consultations given to public entities pertaining to record management. Data may include tracking number, analyst initials, date received, department number, phone number, agency's address, number of boxes, shipment date, sent out, time used, comment, sent to, record liaison officer's name, received by, email, fax number, type of request, etc.
 - D. Retention:** five years after the end of the fiscal year in which created
 - E. Hardcopy input documents:** all documents used as input for the *agency analysis ticket tracking system* are filed in the corresponding *request for disposition files, storage transmittal forms and history files*. Those documents may include *storage transmittals forms, request for dispositions, notice of destructions*, etc.
 - F. Hardcopy output documents:** the *agency analysis ticket tracking system* is a data based system. Ad hoc reports may be generated upon request or on demand. When produced, these reports are either forwarded to the requesting entity or filed in the corresponding file.
- [1.18.369.76 NMAC - N, 1/10/2005]
[Retention is on the data only.]

HISTORY OF 1.18.369 NMAC:

Pre-NMAC Filing History: The material in this part was derived from that previously filed with the State Records Center under:
SRC Rule No. 81-2, Records Retention and Disposition Schedule for State Records Center and Archives, filed 3/23/1981,
SRC Rule No. 84-05, Records Retention and Disposition Schedule for State Records Center and Archives, filed 2/29/1984, and
SRC Rule No. 92-05, Records Retention and Disposition Schedule for State Records Center and Archives, filed 8/27/1992.

History of Repealed Material:

1.18.369 NMAC ERRDS, State Records Center and Archives, filed 5/16/2001, repealed 1/10/2005.