

TITLE 1 GENERAL GOVERNMENT ADMINISTRATION
CHAPTER 20 EDUCATION RECORDS RETENTION AND DISPOSITION SCHEDULE
(EDRRDS)
PART 3 EDRRDS, NEW MEXICO COLLEGES AND UNIVERSITIES

1.20.3.1 ISSUING AGENCY: [Commission of Public Records] - State Records Center and Archives
[7-30-97; 1.20.3.1 NMAC - Rn, 1 NMAC 3.2.95.1, 7-22-2002]

1.20.3.2 SCOPE: All state education entities
[7-30-97; 1.20.3.2 NMAC - Rn, 1 NMAC 3.2.95.2, 7-22-2002]

1.20.3.3 STATUTORY AUTHORITY: Section 14-3-6 NMSA 1978. Administrator duties. The administrator shall establish a records management program for the application of efficient and economical management methods to the creation, utilization, maintenance, retention, preservation and disposal of official records. The administrator shall establish records disposal schedules for the orderly retirement of records and adopt regulations necessary for the carrying out of the Public Records Act. Records disposal schedules shall be filed with the librarian of the supreme court library, and shall not become effective until thirty days after the date of filing.
[7-30-97; 1.20.3.3 NMAC - Rn, 1 NMAC 3.2.95.3, 7-22-2002]

1.20.3.4 DURATION: Permanent
[7-30-97; 1.20.3.4 NMAC - Rn, 1 NMAC 3.2.95.4, 7-22-2002]

1.20.3.5 EFFECTIVE DATE: September 21, 1998
[7-30-97; 1.20.3.5 NMAC - Rn, 1 NMAC 3.2.95.5, 7-22-2002]

1.20.3.6 OBJECTIVE:
A. To establish a records management program for the application of efficient and economical management methods to the creation, utilization, maintenance, retention, preservation and disposal of official records (Section 14-3-6 NMSA 1978).
B. To establish records disposal schedules for the orderly retirement of records and adopt regulations necessary for the carrying out of the Public Records Act (Section 14-3-6 NMSA 1978).
[7-30-97; 1.20.3.6 NMAC - Rn, 1 NMAC 3.2.95.6, 7-22-2002]

1.20.3.7 DEFINITIONS:
A. **“Administrator”** means the state records administrator (Section 14-3-2 NMSA 1978).
B. **“Agency”** means any state agency, department, bureau, board, commission, institution or other organization of the state government, the territorial government and the Spanish and Mexican governments in New Mexico (Section 14-3-2 NMSA 1978).
C. **“Audit”** means a periodic examination of an organization to determine whether appropriate procedures and practices are followed.
D. **“Commission”** means the state commission of public records (Section 14-3-2 NMSA 1978).
E. **“Pending litigation”** means a proceeding in a court of law whose activity is in progress but not yet completed.
F. **“Record destruction”** means the process of totally obliterating information on records by any method to make the information unreadable or unusable under any circumstances.
G. **“Records management”** means the systematic control of all records from creation or receipt through processing, distribution, maintenance and retrieval, to their ultimate disposition.
H. **“Records retention period”** means the period of time during which records must be maintained by an organization because they are needed for operational, legal, fiscal, historical or other purposes.
I. **“Records retention schedule”** means a document prepared as part of a records retention program that lists the period of time for retaining records.
J. **“Public records”** means all books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by any agency in pursuance of law or in connection with the transaction of public business and preserved, or appropriate for preservation, by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of

the government, or because of the informational and historical value of data contained therein (Section 14-4-2 NMSA 1978).

K. “**Non-records**” means library or museum material of the state library, state institutions and state museums, extra copies of documents reserved only for convenience of reference and stocks of publications and processed documents are non-records (Section 14-3-2 C NMSA 1978). The following specific types of materials are non-records: extra copies of correspondence; documents preserved only for convenience of reference; blank forms, books which are outdated; materials neither made nor received in pursuance of statutory requirements nor in connection with the functional responsibility of the officer or agency; preliminary and non-final drafts of letters, reports and memoranda which may contain or reflect the working or deliberative process by which a final decision or position of the agency, board, department or subdivision thereof is reached: shorthand notes, steno tapes, mechanical recordings which have been transcribed, except where noted on agency retention schedules; routing and other interdepartmental forms which are not significant evidence of the activity concerned and do not otherwise have value as described above; stocks of publications already sent to archives and processed documents preserved for supply purposes only; form and guide letters, sample letters, form paragraphs; subject files, including copies of correspondence, memoranda, publications, reports and other information received by agency and filed by subject (also referred to as reading files or information files). See also Item No. 101 of Records Retention and Disposition Schedule for General Administrative Records (1.15.3 NMAC, filed 9-1-2000). [7-30-97; 1.20.3.7 NMAC - Rn, 1 NMAC 3.2.95.7, 7-22-2002]

1.20.3.8 [RESERVED]

1.20.3.9 INSTRUCTIONS:

- A.** For records of a general administrative nature, refer to the Records Retention and Disposition Schedule for the General Administrative Records, 1.15.3 NMAC.
- B.** For records of a financial nature, refer to the Records Retention and Disposition Schedule for General Financial Records, 1.15.5 NMAC.
- C.** For records of a personnel nature, refer to the Records Retention and Disposition Schedule for the General Personnel Records, 1.15.7 NMAC.
- D.** For records of medical nature, refer to the Records Retention and Disposition Schedule for the General Medical Records, 1.15.8 NMAC.
- E.** Retention periods shall be extended until six months after all current or pending litigation, current claims, audit exceptions or court orders involving a record have been resolved or concluded.
- F.** The descriptions of files are intended to be evocative, not complete. For example, there will always be some documents that are filed in a file that are not listed in the description, and similarly, not every file will contain an example of each document listed in the description.
- G.** Confidentiality is denoted as “-C-”. Not all materials in a file may be confidential. Refer to NOTE. Where portions of file may be confidential, refer to legal counsel for agency.
- H.** Access to confidential documents and/or confidential files shall be only by authorization of agency or Attorney General and/or by court order, unless otherwise provided by statute. Release of confidential documents to law enforcement and other government agencies, shall only be upon specific statutory authorization or court order.
- I.** All records, papers or documents may be photographed, microfilmed, microphotographed or reproduced on film. Such photographs, microfilms, photographic film or microphotographs shall be deemed to be an original record for all purposes, including introduction in evidence in all courts or administrative agencies (Sections 14-1-5, 14-1-6 NMSA 1978).
- J.** Data processing and other machine readable records. Many paper records are being eliminated when the information has been placed on magnetic tapes, disks, or other data processing media. In these cases, the information on the data processing medium should be retained for the length of time specified in records retention and disposition schedules for paper records and should be subject to the same confidentiality and access restrictions as paper records. When the destruction of a record is required, all versions of said record shall be electronically over-written on machine readable media on which it is stored (or media destroyed). See also 1.13.70 NMAC: Performance Guidelines for the Legal Acceptance of Public Records Produced by Information Technology Systems. [7-30-97; 1.20.3.9 NMAC - Rn, 1 NMAC 3.2.95.8, 7-22-2002]

1.20.3.10 - 100 [RESERVED]

1.20.3.101 ACCIDENT REPORT FILE:

- A. Program:** records common to all offices or departments
- B. Maintenance System:** [entity preference]
- C. Description:** reports of accidents involving office or campus personnel
- D. Retention:**

- (1) **Files resulting in no action or claim or litigation:** two years after date of accident
- (2) **Files resulting in action or claim or litigation:** two years after date of accident or until all

action completed or issues resolved

[9-21-1998; 1.20.3.101 NMAC - Rn, 1 NMAC 3.2.95.71.101, 7-22-2002]

[Note: records involving medical claims or litigation shall be transferred to business office to be incorporated into worker's compensation file.]

1.20.3.102 ADMINISTRATIVE FILE:

- A. Program:** records common to all offices or departments
- B. Maintenance System:** [entity preference]
- C. Description:** records concerning the administration of the office. File may contain reports, directives, correspondence, memoranda, related documentation, etc.
- D. Retention:** after five years transfer to institute archives for appraisal and final disposal

[9-21-1998; 1.20.3.102 NMAC - Rn, 1 NMAC 3.2.95.71.102, 7-22-2002]

1.20.3.103 APPLICATIONS FOR EMPLOYMENT FILE:

- A. Program:** records common to all offices or departments
- B. Maintenance System:** [entity preference]
- C. Description:** applications for employment within particular office or department. File may contain application, resume, letters of reference or recommendation, correspondence, memoranda, related documentation, etc.
- D. Retention:**

(1) **Applications and records for individuals hired:** transfer to personnel office when individual accepts position

(2) **Applications and records for individuals not hired:** transfer to personnel office when position is filled

- (3) **Unsolicited applications:** transfer to personnel office when received

[9-21-1998; 1.20.3.103 NMAC - Rn, 1 NMAC 3.2.95.71.103, 7-22-2002]

1.20.3.104 CALENDAR OF EVENTS FILE:

- A. Program:** records common to all offices or departments
- B. Maintenance System:** [entity preference]
- C. Description:** reference copies of college or university calendars of events.
- D. Retention:** until superseded or obsolete

[9-21-1998; 1.20.3.104 NMAC - Rn, 1 NMAC 3.2.95.71.104, 7-22-2002]

1.20.3.105 COMMITTEES OR COUNCILS FILES:

- A. Program:** records common to all offices or departments
- B. Maintenance System:** [entity preference]
- C. Description:** records concerning various committees or councils with which office or department deals. File may contain minutes of meetings, reports, notifications, correspondence, memoranda, related documentation, etc.
- D. Retention:** after five years transfer to institute archives for appraisal and final disposal

[9-21-1998; 1.20.3.105 NMAC - Rn, 1 NMAC 3.2.95.71.105, 7-22-2002]

[Note: for files of committees/councils that are defined in the Open Meetings Act (Section 10-15-1 NMSA 1978), see 1.15.3.113 NMAC.]

1.20.3.106 CONFERENCES OR WORKSHOPS ATTENDED FILE:

- A. Program:** records common to all offices or departments
- B. Maintenance System:** [entity preference]

C. Description: records of conferences or workshops attended by office or departmental personnel. File may contain agendas, programs, handouts, correspondence, memoranda, related documentation, etc.

D. Retention: until reference value ends
[9-21-1998; 1.20.3.106 NMAC - Rn, 1 NMAC 3.2.95.71.106, 7-22-2002]

1.20.3.107 CONFERENCES OR WORKSHOPS CONDUCTED FILE:

A. Program: records common to all offices or departments
B. Maintenance System: [entity preference]
C. Description: records of conferences or workshops conducted by office or departmental personnel. File may contain agendas, programs, handouts, reports, training materials, critiques, questionnaires, correspondence, memoranda, related documentation, etc.

D. Retention: after five years transfer to institute archives for appraisal and final disposal
[9-21-1998; 1.20.3.107 NMAC - Rn, 1 NMAC 3.2.95.71.107, 7-22-2002]

1.20.3.108 MAINTENANCE SERVICE FILE:

A. Program: records common to all offices or departments
B. Maintenance System: [entity preference]
C. Description: records concerning maintenance services conducted for office/department. File may include work orders, maintenance reports, related documentation, correspondence, memoranda, etc.

D. Retention: three years after date of last entry
[9-21-1998; 1.20.3.108 NMAC - Rn, 1 NMAC 3.2.95.71.108, 7-22-2002]
[Note: file does not include the records of maintenance service agreements.]

1.20.3.109 OVERTIME FILE:

A. Program: records common to all offices or departments
B. Maintenance System: [entity preference]
C. Description: records of overtime by office or department personnel.
D. Retention: one year after overtime accrual date (Section 37-1-5 NMSA1978)
[9-21-1998; 1.20.3.109 NMAC - Rn, 1 NMAC 3.2.95.71.109, 7-22-2002]

1.20.3.110 PARKING ASSIGNMENTS FILE:

A. Program: records common to all offices or departments
B. Maintenance System: [entity preference]
C. Description: records concerning staff parking assignments.
D. Retention: until superseded or obsolete
[9-21-1998; 1.20.3.110 NMAC - Rn, 1 NMAC 3.2.95.71.110, 7-22-2002]

1.20.3.111 POLICIES AND PROCEDURES FILE:

A. Program: records common to all offices or departments
B. Maintenance System: [entity preference]
C. Description: reference copies of current policies and procedures.
D. Retention: until superseded or obsolete
[9-21-1998; 1.20.3.111 NMAC - Rn, 1 NMAC 3.2.95.71.111, 7-22-2002]

1.20.3.112 SUPPLIES AND EQUIPMENT FILE:

A. Program: records common to all offices or departments
B. Maintenance System: [entity preference]
C. Description: records concerning supplies and equipment. File may contain accounting records, operating manuals, warranties, inventories, related documentation, correspondence, memoranda, etc.

D. Retention:
(1) **Warranties:** six years after termination of warranty
(2) **Equipment records, including operating manuals:** until disposition of equipment
(3) **Supply records:** until audit report released
[9-21-1998; 1.20.3.112 NMAC - Rn, 1 NMAC 3.2.95.71.112, 7-22-2002]

1.20.3.113 SURPLUS PROPERTY FILE:

- A. **Program:** records common to all offices or departments
 - B. **Maintenance System:** [entity preference]
 - C. **Description:** records concerning surplus property and its disposition. File may contain inventories, records of disposal, accounting information, related documentation, correspondence, memoranda, etc.
 - D. **Retention:** one year after disposition of property or when all audits are released, whichever is longer
- [9-21-1998; 1.20.3.113 NMAC - Rn, 1 NMAC 3.2.95.71.113, 7-22-2002]

1.20.3.114 TELEPHONE BILLINGS FILE:

- A. **Program:** records common to all offices or departments
 - B. **Maintenance System:** [entity preference]
 - C. **Description:** reference copies of monthly office telephone bills.
 - D. **Retention:** until audit report released
- [9-21-1998; 1.20.3.114 NMAC - Rn, 1 NMAC 3.2.95.71.114, 7-22-2002]

1.20.3.115 WORK ORDERS FILE:

- A. **Program:** records common to all offices or departments
 - B. **Maintenance System:** [entity preference]
 - C. **Description:** work orders submitted to maintenance office or physical plant.
 - D. **Retention:**
 - (1) **Reference copy (copy maintained by entity requesting work):** until work completed
 - (2) **Maintenance office or physical plant copy:** one year after work completed
- [9-21-1998; 1.20.3.115 NMAC - Rn, 1 NMAC 3.2.95.71.115, 7-22-2002]

1.20.3.116 - 124 [RESERVED]

1.20.3.125 ALUMNI ASSOCIATION FILE:

- A. **Program:** office of the president
 - B. **Maintenance System:** [entity preference]
 - C. **Description:** records concerning university dealings with the university alumni association. File may include correspondence, reports, publications, related documentation, etc.
 - D. **Retention:** five years after close of fiscal year in which created, then transfer to institutes archives for appraisal and final disposition
- [9-21-1998; 1.20.3.125 NMAC - Rn, 1 NMAC 3.2.95.71.125, 7-22-2002]

1.20.3.126 BOARD OF REGENTS FILE:

- A. **Program:** office of the president
 - B. **Maintenance System:** [entity preference]
 - C. **Description:** records concerning university dealings with the university board of regents. File may include minutes of meetings, reports, related documentation, correspondence, etc.
 - D. **Retention:**
 - (1) **Minutes of meetings:** permanent (1.15.3.119.1 NMAC)
 - (2) **All other records:** five years after close of fiscal year in which created, then transfer to institutes archives for appraisal and final disposition
- [9-21-1998; 1.20.3.126 NMAC - Rn, 1 NMAC 3.2.95.71.126, 7-22-2002]

1.20.3.127 FRATERNITIES OR SORORITIES FILE:

- A. **Program:** office of the president
 - B. **Maintenance System:** [entity preference]
 - C. **Description:** records concerning university dealings with the university fraternities and sororities. File may include reports, publications, related documentation, correspondence, memoranda, etc.
 - D. **Retention:** five years after close of fiscal year in which created, then transfer to institutes archives for appraisal and final disposition
- [9-21-1998; 1.20.3.127 NMAC - Rn, 1 NMAC 3.2.95.71.127, 7-22-2002]

1.20.3.128 SPEECH FILES:

- A. **Program:** office of the president
- B. **Maintenance System:** [entity preference]
- C. **Description:** transcript of speeches of the president
- D. **Retention:** when the president leaves office, transfer to institute's archives for appraisal and final

disposition

[9-21-1998; 1.20.3.128 NMAC - Rn, 1 NMAC 3.2.95.71.128, 7-22-2002]

1.20.3.129 STUDENT GOVERNMENT CONSTITUTION AND BYLAWS:

- A. **Program:** office of the president
- B. **Maintenance System:** [entity preference]
- C. **Description:** official copies of the constitution, bylaws, and other related records concerning student government and the university.

D. Retention:

- (1) **Constitution and bylaws (includes revisions and amendments):** permanent
- (2) **All other records:** five years after close of fiscal year in which created, then transfer to institutes

archives for appraisal and final disposition

[9-21-1998; 1.20.3.129 NMAC - Rn, 1 NMAC 3.2.95.71.129, 7-22-2002]

1.20.3.130 UNIVERSITY CODE FILE:

- A. **Program:** office of the president
- B. **Maintenance System:** [entity preference]
- C. **Description:** official copies of university code (or other document) defining the university standards of professionalism, ethics, and operation.

D. Retention:

- (1) **Original:** permanent
- (2) **Copies:** until superseded by new code

[9-21-1998; 1.20.3.130 NMAC - Rn, 1 NMAC 3.2.95.71.130, 7-22-2002]

[Note: a copy of the University Code shall be provided to the institute's archives at the time created (issued).]

1.20.3.131 COMMISSION ON HIGHER EDUCATION INFORMATION FILES:

- A. **Program:** office of the president
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning university dealings with the commission on higher education.

File may include copies of reports submitted to the commission concerning university staff, courses, students, degrees conferred, space, etc.

- D. **Retention:** two years after close of fiscal year in which created, then transfer to institutes archives for appraisal and final disposition

[9-21-1998; 1.20.3.131 NMAC - Rn, 1 NMAC 3.2.95.71.131, 7-22-2002]

1.20.3.132 PRESIDENT'S CORRESPONDENCE FILE:

- A. **Program:** office of the president
- B. **Maintenance System:** [entity preference]
- C. **Description:** administrative and routine correspondence concerning university. Includes

correspondence and memoranda.

- D. **Retention:** two years after close of fiscal year in which created, then transfer to institutes archives for appraisal and final disposition (1.15.3.108 NMAC)

[9-21-1998; 1.20.3.132 NMAC - Rn, 1 NMAC 3.2.95.71.132, 7-22-2002]

1.20.3.133 - 150 [RESERVED]

1.20.3.151 APPLICATION FOR ADMISSION FILE:

- A. **Program:** admission's office
- B. **Maintenance System:** [entity preference]
- C. **Description:** file may contain application for admission, acceptance letters, advanced placement records, entrance examination reports (ACT, CEEB), letters of recommendation, medical records, placement scores,

readmission forms, recruitment materials, transcripts-other colleges, transcripts-high school, listings of credit hours earned, test scores (SAT, GRE, law board, etc.), related documentation, correspondence, memoranda, etc.

D. Retention:

- (1) **Accepted applicant files:** forward to registrar's office. Becomes student academic file.
- (2) **Accepted applicant "no show" files:** one year after close of calendar year in which created
- (3) **Rejected or unacted upon applicant files:** one year after close of calendar year in which created

E. Confidentiality: confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.151 NMAC - Rn, 1 NMAC 3.2.95.71.151, 7-22-2002]

[Note: admission's offices that maintain a copy of accepted applicant file after forwarding original to registrar's office, destroy copy one year after date of application term.]

1.20.3.152 - 200 [RESERVED]

1.20.3.201 REGISTRATION RECORDS:

A. Program: registrar's office

B. Maintenance System: [entity preference]

C. Description: records concerning the student registration or matriculation process. May include records that authorize the change of course (add or drop). Records may show student name and number, course request, course title and number, credit hours, instructor, etc.

D. Retention: one year after end of term for which created

[9-21-1998; 1.20.3.201 NMAC - Rn, 1 NMAC 3.2.95.71.201, 7-22-2002]

1.20.3.202 STUDENT ACADEMIC FILE:

A. Program: registrar's office

B. Maintenance System: [entity preference]

C. Description: file may contain application for admission, acceptance letters, advanced placement records, entrance examination reports (ACT, CEEB), letters of recommendation, medical records, placement scores, readmission forms, recruitment materials, transcripts (high school or other colleges), listings of credit hours earned, test scores (SAT, GRE, law board, etc.), copy of college or university transcript, requests for information, related documentation, correspondence, memoranda, etc.

D. Retention: five years after last semester attended by student

E. Confidentiality: confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.202 NMAC - Rn, 1 NMAC 3.2.95.71.202, 7-22-2002]

[Note: disciplinary documentation shall not be a part of the student's academic record.]

1.20.3.203 STUDENT TRANSCRIPT:

A. Program: registrar's office

B. Maintenance System: [entity preference]

C. Description: may show student name, student number, date of birth, date of matriculation, courses taken, grades received, degrees conferred, rank in class, etc.

D. Retention: 100 years from students date of birth

E. Confidentiality: confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.203 NMAC - Rn, 1 NMAC 3.2.95.71.203, 7-22-2002]

1.20.3.204 INSTRUCTOR'S OR PROFESSOR'S GRADE SHEETS:

A. Program: registrar's office

B. Maintenance System: [entity preference]

C. Description: official grade sheets filled out by instructor or professor. Record may show course title and section, instructor's or professor's name and signature, course identification, student name and number, grade, etc.

D. Retention: five years after term for which created

E. Confidentiality: confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.204 NMAC - Rn, 1 NMAC 3.2.95.71.204, 7-22-2002]

[Note: retention period shall not be less than time or period allowed by institution's policy statement on challenging grades submitted by instructors or professors.]

1.20.3.205 STUDENT SOCIAL SECURITY BENEFIT'S FILE:

- A. Program:** registrar's office
- B. Maintenance System:** [entity preference]
- C. Description:** records regarding students who receive social security educational benefits. File may include applications for social security educational benefits, approvals/rejections, dates of enrollment and attendance, amounts awarded, amounts received, social security certification, related documentation, correspondence, memoranda, etc.
- D. Retention:** one year after social security certification
- E. Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.205 NMAC - Rn, 1 NMAC 3.2.95.71.205, 7-22-2002]

1.20.3.206 FERPA STUDENT FILE:

- A. Program:** registrar's office
- B. Maintenance System:** [entity preference]
- C. Description:** records concerning the Family Educational Rights and Privacy Act. File may contain requests for formal hearings, requests and disclosures of personally identifiable information, student requests for nondisclosure of directory information, student statements of content of records regarding hearing panel decisions, student's written consent for records disclosure, waivers for rights of access, written decisions of hearing panels, other FERPA related documentation, correspondence, memoranda, etc.
- D. Retention:** until student academic file destroyed
- E. Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.206 NMAC - Rn, 1 NMAC 3.2.95.71.206, 7-22-2002]

[Note: registrar's office may file these documents in the student academic file, thus eliminating a separate FERPA student file.]

1.20.3.207 VETERANS' BENEFITS FILE:

- A. Program:** registrar's office
- B. Maintenance System:** [entity preference]
- C. Description:** records regarding students who receive veterans' educational benefits. File may include applications for veterans' educational benefits, approvals/rejections, dates of enrollment and attendance, amounts awarded, amounts received, enrollment certification, discharge record, related documentation, correspondence, memoranda, etc.
- D. Retention:** three years after termination of veterans enrollment (VA Regulation No. 14201)
- E. Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.207 NMAC - Rn, 1 NMAC 3.2.95.71.207, 7-22-2002]

[Note: longer retention will not be required unless a written request is received from the veterans' administration not later than 30 days prior to the end of the three-year period.]

1.20.3.208 IMMIGRATION AND NATURALIZATION SERVICE STUDENT FILE:

- A. Program:** registrar's office
- B. Maintenance System:** [entity preference]
- C. Description:** records used to comply with the reporting requirements of immigration and naturalization service.
- D. Retention:** until student academic file is destroyed
- E. Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.208 NMAC - Rn, 1 NMAC 3.2.95.71.208, 7-22-2002]

[Note: registrar's office may file these documents in the student academic file, thus eliminating a separate Immigration and naturalization service student file.]

1.20.3.209 HISTORICAL PUBLICATION OR STATISTICAL DATA RECORDS:

- A. Program:** registrar's office
- B. Maintenance System:** [entity preference]
- C. Description:** records with enduring value beyond the needs of the registrar's office. Records include college or university catalog, commencement program, degree statistics, enrollment statistics, grade statistics, racial and ethnic statistics, schedule of classes, etc.
- D. Retention:** permanent

[9-21-1998; 1.20.3.209 NMAC - Rn, 1 NMAC 3.2.95.71.209, 7-22-2002]

[Note: when a copy of these records has been forwarded to college or university archives, additional or working copies may be destroyed when record is superseded or obsolete.]

1.20.3.210 - 300 [RESERVED]

1.20.3.301 ACADEMIC RECORDS FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** individual student academic records.
- D. **Retention:** five years after last semester attended by student
- E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.301 NMAC - Rn, 1 NMAC 3.2.95.71.301, 7-22-2002]

[Note: transfer data concerning grades to registrar's office at the end of each grading period to be incorporated into official academic file.]

1.20.3.302 ACCREDITATION FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning departmental accreditation. File may include guides, reports, questionnaires, related records, correspondence memoranda, etc.
- D. **Retention:** after 10 years, transfer to institute's archives for appraisal and final disposition

[9-21-1998; 1.20.3.302 NMAC - Rn, 1 NMAC 3.2.95.71.302, 7-22-2002]

[Note: entry includes accreditation files of schools or divisions.]

1.20.3.303 CLASS SCHEDULES FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** reference copies of class schedules.
- D. **Retention:** five years after end of term for which created.

[9-21-1998; 1.20.3.303 NMAC - Rn, 1 NMAC 3.2.95.71.303, 7-22-2002]

1.20.3.304 COMPLETED EXAMINATIONS FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** completed student examinations.
- D. **Retention:** one year after end of term in which created
- E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.304 NMAC - Rn, 1 NMAC 3.2.95.71.304, 7-22-2002]

1.20.3.305 COMPLETED TESTS FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** completed student tests.
- D. **Retention:** one year after end of term in which created
- E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.305 NMAC - Rn, 1 NMAC 3.2.95.71.305, 7-22-2002]

1.20.3.306 COMPREHENSIVE EXAMINATION RESULTS FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** listings of student comprehensive examination scores.
- D. **Retention:** four years after date of examination
- E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.306 NMAC - Rn, 1 NMAC 3.2.95.71.306, 7-22-2002]

- 1.20.3.307 COMPREHENSIVE EXAMINATIONS FILE:**
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]
C. **Description:** completed student comprehensive examinations for degrees.
D. **Retention:** four years after date of examination
E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.307 NMAC - Rn, 1 NMAC 3.2.95.71.307, 7-22-2002]
- 1.20.3.308 COURSE LISTINGS FILE:**
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]
C. **Description:** listings of courses currently offered by department.
D. **Retention:** until superseded or obsolete
[9-21-1998; 1.20.3.308 NMAC - Rn, 1 NMAC 3.2.95.71.308, 7-22-2002]
- 1.20.3.309 COURSE SYLLABI OR OUTLINES FILE:**
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]
C. **Description:** syllabus or outline of each course offered by department.
D. **Retention:** until superseded or obsolete
[9-21-1998; 1.20.3.309 NMAC - Rn, 1 NMAC 3.2.95.71.309, 7-22-2002]
- 1.20.3.310 COURSE TITLE DIRECTORY FILE:**
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]
C. **Description:** directories of courses currently offered by department.
D. **Retention:** until superseded or obsolete
[9-21-1998; 1.20.3.310 NMAC - Rn, 1 NMAC 3.2.95.71.310, 7-22-2002]
- 1.20.3.311 CREDITS BY EXAMINATION FILE:**
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]
C. **Description:** records concerning academic credits awarded to students by special examination.
D. **Retention:** transfer to registrars office at end of grading period
[9-21-1998; 1.20.3.311 NMAC - Rn, 1 NMAC 3.2.95.71.311, 7-22-2002]
- 1.20.3.312 DEGREE LISTINGS FILE:**
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]
C. **Description:** listings of departmental students who tentatively are scheduled to receive degrees at end of semester. File includes information used to order diplomas.
D. **Retention:** until reference value ends
E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.312 NMAC - Rn, 1 NMAC 3.2.95.71.312, 7-22-2002]
- 1.20.3.313 DEPARTMENT HEAD'S FILE:**
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]
C. **Description:** records maintained by the department head concerning departmental programs and activities. File may include reports, correspondence, memoranda, directives, related records, etc.
D. **Retention:** after five years, transfer to institute archives for appraisal and final disposal
[9-21-1998; 1.20.3.313 NMAC - Rn, 1 NMAC 3.2.95.71.313, 7-22-2002]
- 1.20.3.314 DEPARTMENTAL HISTORY FILE:**
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]

C. Description: records concerning history of the department. File may include publications, newsletters, reports, photographs, related records, correspondence, memoranda, etc.

D. Retention: after five years, transfer to institute archives for appraisal and final disposal [9-21-1998; 1.20.3.314 NMAC - Rn, 1 NMAC 3.2.95.71.314, 7-22-2002]
[Note: entry includes history files of schools or divisions.]

1.20.3.315 DEPARTMENTAL PROGRAMS FILE:

A. Program: departments (academic)

B. Maintenance System: [entity preference]

C. Description: records concerning departmental academic programs. File may include program proposals and descriptions, accounting records, correspondence, memoranda, administrative documents, etc.

D. Retention: after five years, transfer to institute archives for appraisal and final disposal [9-21-1998; 1.20.3.315 NMAC - Rn, 1 NMAC 3.2.95.71.315, 7-22-2002]

1.20.3.316 DROP OR ADD FORMS FILE:

A. Program: departments (academic)

B. Maintenance System: [entity preference]

C. Description: completed student drop or add form.

D. Retention: one year after end of term for which completed.

E. Confidentiality: confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.316 NMAC - Rn, 1 NMAC 3.2.95.71.316, 7-22-2002]

1.20.3.317 ENROLLMENT FILE:

A. Program: departments (academic)

B. Maintenance System: [entity preference]

C. Description: student enrollment books for each course in department.

D. Retention: five years after end of term for which created

E. Confidentiality: confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.317 NMAC - Rn, 1 NMAC 3.2.95.71.317, 7-22-2002]

1.20.3.318 EXTRA HOUR REGISTRATION FILE:

A. Program: departments (academic)

B. Maintenance System: [entity preference]

C. Description: records concerning student registration for extra course hours. File may include notices of departmental permission for extra hour registration.

D. Retention: four years after end of term for which created

E. Confidentiality: confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.318 NMAC - Rn, 1 NMAC 3.2.95.71.318, 7-22-2002]

1.20.3.319 FACULTY AWARD AND HONORS FILE:

A. Program: departments (academic)

B. Maintenance System: [entity preference]

C. Description: records concerning awards and honors to faculty members within the department. File may include recommendations, approvals, related records, correspondence, memoranda, etc.

D. Retention: 10 years after date created

[9-21-1998; 1.20.3.319 NMAC - Rn, 1 NMAC 3.2.95.71.319, 7-22-2002]

[Note: transfer award or honor information to personnel office when award/honor becomes official.]

1.20.3.320 FACULTY LISTINGS FILE:

A. Program: departments (academic)

B. Maintenance System: [entity preference]

C. Description: listings of departmental faculty.

D. Retention: four years after date created

[9-21-1998; 1.20.3.320 NMAC - Rn, 1 NMAC 3.2.95.71.320, 7-22-2002]

1.20.3.321 FACULTY PUBLICATIONS FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** reference copies of articles and books written by departmental faculty members.
- D. **Retention:** transfer to institutes archives when reference value ends for appraisal and final

disposition

[9-21-1998; 1.20.3.321 NMAC - Rn, 1 NMAC 3.2.95.71.321, 7-22-2002]

1.20.3.322 FINANCIAL AID FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** records regarding financial aid awarded to students and student assistants within department. File may include applications, approvals, accounting records, related records, etc.

D. **Retention:** until released from all audits

E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.322 NMAC - Rn, 1 NMAC 3.2.95.71.322, 7-22-2002]

1.20.3.323 GRADE DISTRIBUTION FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** listings of student grade distributions by course and by instructor.
- D. **Retention:** one year after date created

E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.323 NMAC - Rn, 1 NMAC 3.2.95.71.323, 7-22-2002]

1.20.3.324 FACULTY RECRUITMENT FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning the recruitment of faculty members for department. File may include policies, forms, resumes, applications, correspondence, reports, interview notes, related records, correspondence, memoranda, etc.

D. **Retention:**

(1) **Applications and records for individuals hired:** transfer to personnel office when individual accepts position

(2) **Applications and records for individuals not hired:** transfer to personnel office when position is filled

(3) **Unsolicited applications:** transfer to personnel office when received

(4) **Policies and forms:** until superseded or obsolete

[9-21-1998; 1.20.3.324 NMAC - Rn, 1 NMAC 3.2.95.71.324, 7-22-2002]

[Note: see also SEARCH COMMITTEE FILES.]

1.20.3.325 GRADE LISTINGS FILE (GRADE SHEETS):

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** listings of students' grades for each course taught by department. File may include final grade rolls or other related records concerning student grades.

D. **Retention:** one year after end of term for which created

E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.325 NMAC - Rn, 1 NMAC 3.2.95.71.325, 7-22-2002]

[Note: transfer data concerning grades to registrar's office at the end of each grading period to be incorporated into official academic file. Grades also incorporated into department's Academic Record File.]

1.20.3.326 GRADUATE LISTING FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** listings of students graduated within department.
- D. **Retention:** until superseded by new listing

[9-21-1998; 1.20.3.326 NMAC - Rn, 1 NMAC 3.2.95.71.326, 7-22-2002]

1.20.3.327 INDIVIDUAL PLACEMENT TEST SCORES FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** placement test scores for each student taking test.
- D. **Retention:** after one year, transfer to appropriate academic record file

[9-21-1998; 1.20.3.327 NMAC - Rn, 1 NMAC 3.2.95.71.327, 7-22-2002]

1.20.3.328 INSTRUCTOR CLASS ROLLS AND GRADE SHEETS FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** copies of class rolls and grade sheets for each course.
- D. **Retention:** one year after end of term for which created
- E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.328 NMAC - Rn, 1 NMAC 3.2.95.71.328, 7-22-2002]

[Note: transfer data concerning grades to registrar's office at the end of each grading period to be incorporated into official academic file. Grades also incorporated into department's Academic Record File.]

1.20.3.329 INTERNSHIPS OR ASSISTANTSHIPS FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning student internships and assistantships within department. File may include applications, approvals or disapprovals, records of credit earned, accounting information, class rolls, related records, etc.

- D. **Retention:** one year after released from all audits
- E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.329 NMAC - Rn, 1 NMAC 3.2.95.71.329, 7-22-2002]

[Note: transfer information regarding individuals to registrar's office and fiscal information to business office (if applicable) at end of each grading period.]

1.20.3.330 LOAN RECIPIENTS' COLLEGE ENROLLMENT VERIFICATIONS FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning the verification of each loan recipient's enrollment, proposed major, probation status, loan stipulations, number of credit hours, etc.

- D. **Retention:** one year after released from all audits
- E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.330 NMAC - Rn, 1 NMAC 3.2.95.71.330, 7-22-2002]

1.20.3.331 MASTER COURSE FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning each course taught by department faculty. File may include course schedules.

- D. **Retention:** five years after file superseded or obsolete

[9-21-1998; 1.20.3.331 NMAC - Rn, 1 NMAC 3.2.95.71.331, 7-22-2002]

1.20.3.332 NEW COURSE PROPOSALS FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning each proposed new course. File may include course descriptions, justifications, projected schedules, related records, etc.

- D. **Retention:** until reference value ends

[9-21-1998; 1.20.3.332 NMAC - Rn, 1 NMAC 3.2.95.71.332, 7-22-2002]

1.20.3.333 PASS OR FAIL FORMS FILE:
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]
C. **Description:** completed student pass or fail forms.
D. **Retention:** one year after end of term
E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.333 NMAC - Rn, 1 NMAC 3.2.95.71.333, 7-22-2002]

1.20.3.334 PLACEMENT TESTS FILE:
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]
C. **Description:** completed tests administered to determine each student's aptitude.
D. **Retention:** one year after end of term
E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.334 NMAC - Rn, 1 NMAC 3.2.95.71.334, 7-22-2002]

1.20.3.335 PLACEMENT TEST SCORES LISTING FILE:
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]
C. **Description:** listings of student placement test scores.
D. **Retention:** one year after end of term
E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.335 NMAC - Rn, 1 NMAC 3.2.95.71.335, 7-22-2002]

1.20.3.336 PROSPECTIVE GRADUATES FILE:
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]
C. **Description:** listings of prospective graduates at end of each semester.
D. **Retention:** one year after end of created
E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.336 NMAC - Rn, 1 NMAC 3.2.95.71.336, 7-22-2002]

1.20.3.337 RAISED GRADES FILE:
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]
C. **Description:** records concerning individual student grades which have been raised.
D. **Retention:** one year after end of term
E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.337 NMAC - Rn, 1 NMAC 3.2.95.71.337, 7-22-2002]

1.20.3.338 REPEAT COURSE FILE:
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]
C. **Description:** records concerning student's attempts to repeat courses in order to raise grades. File may include requests or disapprovals, related records, etc.
D. **Retention:** one year after end of term
E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.338 NMAC - Rn, 1 NMAC 3.2.95.71.338, 7-22-2002]

1.20.3.339 RESEARCH PROJECTS FILE:
A. **Program:** departments (academic)
B. **Maintenance System:** [entity preference]
C. **Description:** records concerning various departmental research projects. File may include reports, project descriptions, related records, correspondence, memoranda, etc.
D. **Retention:** five years after research ends or is completed, transfer to institutes archives for appraisal and final disposition

[9-21-1998; 1.20.3.339 NMAC - Rn, 1 NMAC 3.2.95.71.339, 7-22-2002]

1.20.3.340 SCHOLARSHIP AWARDS FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning individual scholarship awards to students within department.

File may include applications, recommendations, approvals, accounting records, related records, correspondence, memoranda, etc.

- D. **Retention:** after release of all audits
- E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.340 NMAC - Rn, 1 NMAC 3.2.95.71.340, 7-22-2002]

1.20.3.341 SCHOLARSHIP REFERENCE FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** reference copies of information concerning scholarship awards to students. File may include scholarship descriptions, guidelines, procedures, regulations, eligibility criteria, related records, correspondence, memoranda, etc.

File may include scholarship descriptions, guidelines, procedures, regulations, eligibility criteria, related records, correspondence, memoranda, etc.

- D. **Retention:** when reference value ends

[9-21-1998; 1.20.3.341 NMAC - Rn, 1 NMAC 3.2.95.71.341, 7-22-2002]

1.20.3.342 SEARCH COMMITTEE FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning activities of specially formed search committees charged with recruiting new or replacement faculty members. File may include resumes, applications, correspondence, related records, memoranda, etc.

File may include resumes, applications, correspondence, related records, memoranda, etc.

- D. **Retention:**

(1) **Applications and records for individuals hired:** transfer to personnel office when individual accepts position

(2) **Applications and records for individuals not hired:** transfer to personnel office when position is filled

- (3) **Unsolicited applications:** transfer to personnel office when received

[9-21-1998; 1.20.3.342 NMAC - Rn, 1 NMAC 3.2.95.71.342, 7-22-2002]

[Note: see also FACULTY RECRUITMENT FILES.]

1.20.3.343 SELF-STUDIES (DIRECTED STUDIES) FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** self-studies conducted by department.
- D. **Retention:** after five years, transfer to institute's archives for appraisal and final disposition

[9-21-1998; 1.20.3.343 NMAC - Rn, 1 NMAC 3.2.95.71.343, 7-22-2002]

1.20.3.344 STUDENT AWARDS AND HONORS FILE:

- A. **Program:** departments (academic)
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning awards and honors to students. File may include recommendations, approvals, related records, reference information, related records, correspondence, memoranda, etc.

File may include recommendations, approvals, related records, reference information, related records, correspondence, memoranda, etc.

- D. **Retention:** five years after date created
- E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.344 NMAC - Rn, 1 NMAC 3.2.95.71.344, 7-22-2002]

[Note: transfer award or honor information to registrar's office when award or honor becomes official.]

1.20.3.345 STUDENT LOANS FILE:

- A. **Program:** departments (academic)

- B. Maintenance System:** [entity preference]
- C. Description:** records concerning university loans to students within department. File may include applications, recommendations, loan authorizations, financial statements, accounting information, related records, correspondence, memoranda, etc.
- D. Retention:** until released from all audits
- E. Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.345 NMAC - Rn, 1 NMAC 3.2.95.71.345, 7-22-2002]

1.20.3.346 STUDENT LOCATOR FILE:

- A. Program:** departments (academic)
- B. Maintenance System:** [entity preference]
- C. Description:** information concerning each student in department. File may include each student's name, current address, and other pertinent data.
- D. Retention:** until superseded or obsolete
- E. Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.346 NMAC - Rn, 1 NMAC 3.2.95.71.346, 7-22-2002]

1.20.3.347 STUDENT RANKING FILE:

- A. Program:** departments (academic)
- B. Maintenance System:** [entity preference]
- C. Description:** listings of student graduate rankings in department.
- D. Retention:** five years after date created
- E. Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.347 NMAC - Rn, 1 NMAC 3.2.95.71.347, 7-22-2002]

1.20.3.348 STUDENT RECORDS CHANGES FILE:

- A. Program:** departments (academic)
- B. Maintenance System:** [entity preference]
- C. Description:** records concerning changes in student academic records. File may include requests, notices of approval or disapproval by faculty, justifications, related records, etc.
- D. Retention:** one year after end of term
- E. Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.348 NMAC - Rn, 1 NMAC 3.2.95.71.348, 7-22-2002]

1.20.3.349 STUDENT REFERENCE FILE:

- A. Program:** departments (academic)
- B. Maintenance System:** [entity preference]
- C. Description:** reference copies of records concerning students' activities with department. File may include internship records, evaluations, related records, correspondence, memoranda, etc.
- D. Retention:** five years after date last enrollment
- E. Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.349 NMAC - Rn, 1 NMAC 3.2.95.71.349, 7-22-2002]

1.20.3.350 STUDENT TEACHING CERTIFICATION FILE:

- A. Program:** departments (academic)
- B. Maintenance System:** [entity preference]
- C. Description:** records concerning student certifications for teaching. File may include applications, transcripts, check sheets, grade sheets, drop or add forms, class schedules, related records, correspondence, memoranda, etc.
- D. Retention:** four years after end of term
- E. Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.350 NMAC - Rn, 1 NMAC 3.2.95.71.350, 7-22-2002]

1.20.3.351 TENURE FILE:

- A. Program:** departments (academic)
- B. Maintenance System:** [entity preference]

C. **Description:** records concerning the awarding of tenure to university faculty members.

D. **Retention:**

(1) **Records where tenure awarded:** transfer to personnel office for filing within individual's personnel file

(2) **Records where tenure denied:** two years after tenure denied
[9-21-1998; 1.20.3.351 NMAC - Rn, 1 NMAC 3.2.95.71.351, 7-22-2002]

1.20.3.352 TEXTBOOK ORDERS FILE:

A. **Program:** departments (academic)

B. **Maintenance System:** [entity preference]

C. **Description:** records concerning orders of textbooks and other references ordered by department.

D. **Retention:** two years after end of term for which ordered

[9-21-1998; 1.20.3.352 NMAC - Rn, 1 NMAC 3.2.95.71.352, 7-22-2002]

1.20.3.353 TEXTBOOK REQUESTS FILE:

A. **Program:** departments (academic)

B. **Maintenance System:** [entity preference]

C. **Description:** requests for textbooks and other reference publications for department.

D. **Retention:** two years after end of term for which requested

[9-21-1998; 1.20.3.353 NMAC - Rn, 1 NMAC 3.2.95.71.353, 7-22-2002]

1.20.3.354 TRANSFER ADMISSIONS FILE:

A. **Program:** departments (academic)

B. **Maintenance System:** [entity preference]

C. **Description:** records concerning transfer admissions to university by students entering department.

D. **Retention:** transfer to admissions office when acceptance or rejection becomes official

E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.354 NMAC - Rn, 1 NMAC 3.2.95.71.354, 7-22-2002]

1.20.3.355 TRANSFER EQUIVALENTS FILE:

A. **Program:** departments (academic)

B. **Maintenance System:** [entity preference]

C. **Description:** records concerning grade transfer equivalents from other institutions.

D. **Retention:** until superseded or obsolete

E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.355 NMAC - Rn, 1 NMAC 3.2.95.71.355, 7-22-2002]

[Note: forward information concerning individuals to registrar's office when received.]

1.20.3.356 VETERANS' BENEFITS FILE:

A. **Program:** departments (academic)

B. **Maintenance System:** [entity preference]

C. **Description:** records concerning veterans' benefits awarded to students in department. File may include applications, approvals, date of enrollment and attendance, entitlements and awards, amounts disbursed, and other related records.

D. **Retention:** until all audits released

E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.356 NMAC - Rn, 1 NMAC 3.2.95.71.356, 7-22-2002]

1.20.3.357 - 374 [RESERVED]

1.20.3.375 ATHLETICS SCHOLARSHIPS FILE:

A. **Program:** athletics

B. **Maintenance System:** [entity preference]

C. Description: records concerning athletic scholarships awarded to university students. File may include applications, recommendations, authorizations of award, financial statements, accounting information, correspondence, and other related records.

D. Retention: five years after termination of enrollment

E. Confidentiality: confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.375 NMAC - Rn, 1 NMAC 3.2.95.71.375, 7-22-2002]

1.20.3.376 COACHES' FILE:

A. Program: athletics

B. Maintenance System: [entity preference]

C. Description: records of the coaches for various university sports. File may include play descriptions, scouting report copies, recruiting prospects information, and related information.

D. Retention: until reference value ends

[9-21-1998; 1.20.3.376 NMAC - Rn, 1 NMAC 3.2.95.71.376, 7-22-2002]

1.20.3.377 DRUG DISPENSING RECORDS FILE:

A. Program: athletics

B. Maintenance System: [entity preference]

C. Description: records documenting the daily dispensing of drugs by athletics staff.

D. Retention: three years after date created (Section 26-1-16 NMSA 1978)

E. Confidentiality: confidentiality (Sections 14-6-1 and 26-1-16 NMSA 1978)

[9-21-1998; 1.20.3.377 NMAC - Rn, 1 NMAC 3.2.95.71.377, 7-22-2002]

[Note: these records shall be open to inspection by any enforcement officer of this state (Section 26-1-16 NMSA 1978).]

1.20.3.378 PHYSICAL THERAPY FILE:

A. Program: athletics

B. Maintenance System: [entity preference]

C. Description: reference material concerning physical therapy and first aid.

D. Retention: until reference value ends

[9-21-1998; 1.20.3.378 NMAC - Rn, 1 NMAC 3.2.95.71.378, 7-22-2002]

1.20.3.379 INJURIES FILE:

A. Program: athletics

B. Maintenance System: [entity preference]

C. Description: records concerning injuries to university athletes and athletics staff. File may include accident reports, medical records, x-rays, photographs, affidavits, correspondence, billing information, and other related records.

D. Retention: 10 years after date of last entry

E. Confidentiality: confidentiality (Section 14-6-1 NMSA 1978)

[9-21-1998; 1.20.3.379 NMAC - Rn, 1 NMAC 3.2.95.71.379, 7-22-2002]

[Note one: transfer all pertinent material to medical facility within 24 hours of accident. Note two: billing information may be destroyed after release of audit report.]

1.20.3.380 PLAYER RECRUITING FILE:

A. Program: athletics

B. Maintenance System: [entity preference]

C. Description: records concerning recruitment for university sports programs (football, basketball, etc.). File may include scouting reports, lists of prospects, recruitment proposals, correspondence, and other related records.

D. Retention: four years, then transfer to institute archives for appraisal and final disposition

[9-21-1998; 1.20.3.380 NMAC - Rn, 1 NMAC 3.2.95.71.380, 7-22-2002]

1.20.3.381 RECRUITING RULES AND REGULATIONS FILE:

A. Program: athletics

B. Maintenance System: [entity preference]

C. Description: rules, regulations, and guidelines governing university athletics. File concerns recruiting, player eligibility, and other related matters.

D. Retention: five years after superseded or obsolete, transfer to institute archives for appraisal and final disposition

[9-21-1998; 1.20.3.381 NMAC - Rn, 1 NMAC 3.2.95.71.381, 7-22-2002]

1.20.3.382 SCOUTING REPORTS FILE:

A. Program: athletics

B. Maintenance System: [entity preference]

C. Description: scouting reports concerning opposing teams.

D. Retention: until reference value ends

[9-21-1998; 1.20.3.382 NMAC - Rn, 1 NMAC 3.2.95.71.382, 7-22-2002]

1.20.3.383 - 400 [RESERVED]

1.20.3.401 DOCUMENTATION TAPE FILE:

A. Program: electronic records

B. Maintenance System: [entity preference]

C. Description: data processing tapes providing documentation for systems described in master tape file. Tapes include data systems specifications, systems tests documentation, file specifications, user guides, output specifications, reports, and information retrieval data.

D. Retention:

(1) **Approved systems:** one year after discontinuance of system, provided all magnetic data files are authorized for disposal or transferred to new or alternate system

(2) **Disapproved proposed systems:** one year after date of final action

E. Confidentiality: proprietary software is confidential (copyright, protection of rights, 17 USC, Section 102, 106, and 117)

[9-21-1998; 1.20.3.401 NMAC - Rn, 1 NMAC 3.2.95.71.401, 7-22-2002]

[Note: system test documentation for approved systems may be destroyed one year after completion of testing.]

1.20.3.402 MASTER TAPE FILE:

A. Program: electronic records

B. Maintenance System: [entity preference]

C. Description: data processing master tape files for information stored in data processing center. Master files contain data concerning university fiscal operations and transactions, social organizations, organization memberships, legal investigations and proceedings, studies, supply management, personnel and payroll administration, etc.

D. Retention: erase or dispose when data contained has met its retention period, provided approval to destroy data has been received from office or department for which data belongs

[9-21-1998; 1.20.3.402 NMAC - Rn, 1 NMAC 3.2.95.71.402, 7-22-2002]

1.20.3.403 PROCESSING TAPE FILE:

A. Program: electronic records

B. Maintenance System: [entity preference]

C. Description: data processing tapes used to administer and operate systems described in master tape file. Tapes include work data, systems testing data, input or output data, valid transaction data, and audit trail data. (Tapes are user tapes and are updated constantly.)

D. Retention: after three update cycles (erase and reuse)

[9-21-1998; 1.20.3.403 NMAC - Rn, 1 NMAC 3.2.95.71.403, 7-22-2002]

1.20.3.404 - 450 [RESERVED]

1.20.3.451 LEGAL CASE FILE:

A. Program: legal office

B. Maintenance System: [entity preference]

C. **Description:** may contain complaints, court orders, motions, pleadings, notes, briefs, releases, investigative reports, investigator activity logs, transcripts, closing sheets, correspondence, memoranda, etc.

D. **Retention:** 10 years after case closed or until any minor involved attains age 21, whichever is longer

[9-21-1998; 1.20.3.451 NMAC - Rn, 1 NMAC 3.2.95.71.451, 7-22-2002]

1.20.3.452 LEGAL BRIEF FILE (BRIEFBANK):

A. **Program:** legal office

B. **Maintenance System:** [entity preference]

C. **Description:** contains duplicate copies of legal briefs from legal case file.

D. **Retention:** until purpose is served

[9-21-1998; 1.20.3.452 NMAC - Rn, 1 NMAC 3.2.95.71.452, 7-22-2002]

1.20.3.453 LEGAL CASE LOG:

A. **Program:** legal office

B. **Maintenance System:** [entity preference]

C. **Description:** a chronological listing of cases.

D. **Retention:** 10 years after all cases listed are closed

[9-21-1998; 1.20.3.453 NMAC - Rn, 1 NMAC 3.2.95.71.453, 7-22-2002]

1.20.3.454 LEGAL CASE INDEX:

A. **Program:** legal office

B. **Maintenance System:** [entity preference]

C. **Description:** includes notations on activities related to case indexed.

D. **Retention:** 10 years after case closed

[9-21-1998; 1.20.3.454 NMAC - Rn, 1 NMAC 3.2.95.71.454, 7-22-2002]

1.20.3.455 LEGAL OPINIONS AND REQUESTS FOR OPINION FILE:

A. **Program:** legal office

B. **Maintenance System:** [entity preference]

C. **Description:** records requesting legal office to render or issue an opinion. May contain request, opinion, relating documentation, correspondence, memoranda, etc.

D. **Retention:**

(1) **Legal office (issuing entity):** permanent

(2) **Office or department (requesting entity):** until purpose is served

[9-21-1998; 1.20.3.455 NMAC - Rn, 1 NMAC 3.2.95.71.455, 7-22-2002]

1.20.3.456 - 500 [RESERVED]

1.20.3.501 BOND ISSUE PREPARATION FILE:

A. **Program:** business office

B. **Maintenance System:** [entity preference]

C. **Description:** records relating to bond attorneys, preparation of the prospectus, prospectus distribution to bond buyers, bond printing, list of prospective buyers, bond printing bids, buyers, proof of publication of notice of estoppel, etc.

D. **Retention:** six years after bond issue retired

[9-21-1998; 1.20.3.501 NMAC - Rn, 1 NMAC 3.2.95.71.501, 7-22-2002]

1.20.3.502 BONDS, NOTES, INTEREST COUPONS, CERTIFICATES OF INDEBTEDNESS, OR SECURITIES:

A. **Program:** business office

B. **Maintenance System:** [entity preference]

C. **Description:** record of debts incurred by the institution.

D. **Retention:**

(1) **When paying agent is a bank, savings and loan association, or other third party:** until paid and certificate of destruction has been prepared (Section 6-10-62 NMSA 1978)

(2) **When paying agent is the debtor agency (i.e., college or university):** two years following payment and certificate of destruction has been prepared (Section 6-10-62 NMSA 1978)
[9-21-1998; 1.20.3.502 NMAC - Rn, 1 NMAC 3.2.95.71.502, 7-22-2002]

1.20.3.503 BOND OR NOTE ISSUE AND CANCELLATION REGISTER:

- A. **Program:** business office
- B. **Maintenance System:** [entity preference]
- C. **Description:** shows bond or note issue number, amount of issue, date bond or note canceled, coupon number, payment information, etc.
- D. **Retention:** permanent
[9-21-1998; 1.20.3.503 NMAC - Rn, 1 NMAC 3.2.95.71.503, 7-22-2002]

1.20.3.504 CERTIFICATE OF DESTRUCTION:

- A. **Program:** business office
- B. **Maintenance System:** [entity preference]
- C. **Description:** shows the number and maturity of the bond, or note, or certificate, or coupon, the date paid, and any other information required by the debtor agency.
- D. **Retention:** six years after date created (Section 6-10-62 NMSA 1978)
[9-21-1998; 1.20.3.504 NMAC - Rn, 1 NMAC 3.2.95.71.504, 7-22-2002]

1.20.3.505 - 550 [RESERVED]

1.20.3.551 AFFIRMATIVE ACTION OR EQUAL EMPLOYMENT OPPORTUNITY FILE:

- A. **Program:** personnel office
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning university affirmative action or equal opportunity programs. File may include regulations and guidelines, policies, reports, studies, correspondence, and related records.
- D. **Retention:**
 - (1) **Annual plan:** three years after date issued, then transfer to institute archives for appraisal and final disposition (1.15.6.116 NMAC)
 - (2) **Regulations, policies, guidelines, reference materials:** when obsolete or superseded, transfer to institute archives for appraisal and final disposition
 - (3) **Grievance or complaint files:** three years after date case closed (1.15.7.127 NMAC)
 - (4) **Compliance reviews:** after five years, transfer to institute archives for appraisal and final disposition
 - (5) **Remaining records:** two years after date created
- E. **Confidentiality:** confidentiality (Section 10-15-1 NMSA 1978)
[9-21-1998; 1.20.3.551 NMAC - Rn, 1 NMAC 3.2.95.71.551, 7-22-2002]

1.20.3.552 EDUCATIONAL RETIREMENT BOARD FILES:

- A. **Program:** personnel office
 - B. **Maintenance System:** [entity preference]
 - C. **Description:** records concerning the earnings and contributions of university employees to educational retirement board.
 - D. **Retention:**
 - (1) **Records created prior to July 1, 1957:** 55 years after employee terminated or retired
 - (2) **Records created as of July 1, 1957:** three years after employee terminated or retired
- [9-21-1998; 1.20.3.552 NMAC - Rn, 1 NMAC 3.2.95.71.552, 7-22-2002]

1.20.3.553 STUDENT EMPLOYEE FILES:

- A. **Program:** personnel office
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning part-time student employees.
- D. **Retention:** six years after termination date
[9-21-1998; 1.20.3.553 NMAC - Rn, 1 NMAC 3.2.95.71.553, 7-22-2002]

1.20.3.554 SOCIAL SECURITY FILES:

- A. **Program:** personnel office
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning university employees' earnings and deductions under the social security retirement plan.
- D. **Retention:** five years after close of fiscal year in which created
[9-21-1998; 1.20.3.554 NMAC - Rn, 1 NMAC 3.2.95.71.554, 7-22-2002]

1.20.3.555 FEDERAL AND STATE INCOME TAX WITHHOLDING FILES:

- A. **Program:** personnel office
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning university employees' earnings and federal and state income tax contributions.
- D. **Retention:** five years after close of fiscal year in which created
[9-21-1998; 1.20.3.555 NMAC - Rn, 1 NMAC 3.2.95.71.555, 7-22-2002]

1.20.3.556 - 600 [RESERVED]

1.20.3.601 INSURANCE POLICY FILE:

- A. **Program:** risk management office
 - B. **Maintenance System:** [entity preference]
 - C. **Description:** records concerning insurance coverage of university property (buildings and contents, equipment, automobiles, etc.).
 - D. **Retention:**
 - (1) **Insurance policy:** 10 years after expiration of policy, provided no claims or suits pending
 - (2) **Claim files:** three years after case closed
- [9-21-1998; 1.20.3.601 NMAC - Rn, 1 NMAC 3.2.95.71.601, 7-22-2002]

1.20.3.602 GROUP INSURANCE POLICY FILE:

- A. **Program:** risk management office
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning insurance coverage of university employees (health, life, accident, and long-term disability).
- D. **Retention:**
 - (1) **Group insurance policy:** 10 years after expiration of policy, provided no claims or suits pending
 - (2) **Individual employee policy holders' records (waiver and enrollment forms applicable to group insurance):** three years after employee terminated or retired, or three years after termination of effective period
 - (3) **Claim file (copies):** until informational value ends
- E. **Confidentiality:** claim files containing health information are confidential (Section 14-6-1 NMSA 1978)
[9-21-1998; 1.20.3.602 NMAC - Rn, 1 NMAC 3.2.95.71.602, 7-22-2002]

1.20.3.603 LIABILITY CERTIFICATES OF COVERAGE FILE:

- A. **Program:** risk management office
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning insurance coverage of university liability.
- D. **Retention:**
 - (1) **Certificate (policy):** 10 years after expiration of policy, provided no claims or suits pending
 - (2) **Claim files:** three years after case closed
- E. **Confidentiality:** claim files containing health information are confidential (Section 14-6-1 NMSA 1978)
[9-21-1998; 1.20.3.603 NMAC - Rn, 1 NMAC 3.2.95.71.603, 7-22-2002]

1.20.3.604 SURETY BOND FILE:

- A. **Program:** risk management office

- B. Maintenance System:** [entity preference]
 - C. Description:** records concerning surety bond coverage of university employees and persons acting on behalf of or in service to the university in any official capacity.
 - D. Retention:**
 - (1) **Certificate (policy):** 10 years after expiration of policy, provided no claims or suits pending
 - (2) **Claim files:** three years after case closed
- [9-21-1998; 1.20.3.604 NMAC - Rn, 1 NMAC 3.2.95.71.604, 7-22-2002]

1.20.3.605 WORKER'S COMPENSATION FILE:

- A. Program:** risk management office
 - B. Maintenance System:** [entity preference]
 - C. Description:** records concerning workers' compensation claims against university. File may include legal opinions and briefs, court documents, transcripts, affidavits, photographs, findings, recommendations, correspondence, related records, etc.
 - D. Retention:**
 - (1) **Policy:** 10 years after expiration of policy, provided no claims or suits pending
 - (2) **Claim files:** three years after case closed
 - E. Confidentiality:** claim files containing health information are confidential (Section 14-6-1 NMSA 1978)
- [9-21-1998; 1.20.3.605 NMAC - Rn, 1 NMAC 3.2.95.71.605, 7-22-2002]

1.20.3.606 TITLE INSURANCE POLICY:

- A. Program:** risk management office
 - B. Maintenance System:** [entity preference]
 - C. Description:** records concerning the insurance coverage of titles of university owned property.
 - D. Retention:**
 - (1) **Policy:** until property sold or disposed, provided no claims or suits pending
 - (2) **Claim files:** three years after case closed
- [9-21-1998; 1.20.3.606 NMAC - Rn, 1 NMAC 3.2.95.71.606, 7-22-2002]

1.20.3.607 INSURANCE APPRAISAL OR SURVEY FILE:

- A. Program:** risk management office
 - B. Maintenance System:** [entity preference]
 - C. Description:** records concerning insurance appraisal or surveys.
 - D. Retention:** until informational value ends
- [9-21-1998; 1.20.3.607 NMAC - Rn, 1 NMAC 3.2.95.71.607, 7-22-2002]

1.20.3.608 - 650 [RESERVED]

1.20.3.651 STUDENT FINANCIAL ASSISTANCE FILES:

- A. Program:** student financial aid office
 - B. Maintenance System:** [entity preference]
 - C. Description:** records kept on students who receive scholarships, awards, loans, grants, or any other form of financial assistance.
 - D. Retention:** five years after date of students last attendance
 - E. Confidentiality:** confidentiality (20 USCA 1232g)
- [9-21-1998; 1.20.3.651 NMAC - Rn, 1 NMAC 3.2.95.71.651, 7-22-2002]

1.20.3.652 SCHOLARSHIP OR FELLOWSHIP FUND FILES:

- A. Program:** student financial aid office
 - B. Maintenance System:** [entity preference]
 - C. Description:** records concerning scholarship or fellowship guidelines.
 - D. Retention:** until award monies exhausted, then transfer to college or university archives for review
- [9-21-1998; 1.20.3.652 NMAC - Rn, 1 NMAC 3.2.95.71.652, 7-22-2002]

- 1.20.3.653 SCHOLARSHIP OR FELLOWSHIP FILES:**
A. Program: student financial aid office
B. Maintenance System: [entity preference]
C. Description: record of awards given to undergraduate/graduate students. Source may be federal or non-federal.
D. Retention: six years after termination of grant from which scholarship or fellowship is awarded
E. Confidentiality: confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.653 NMAC - Rn, 1 NMAC 3.2.95.71.653, 7-22-2002]

- 1.20.3.654 STUDENT WORK-STUDY FILES:**
A. Program: student financial aid office
B. Maintenance System: [entity preference]
C. Description: record of students hired under federal or state work-study programs.
D. Retention: five years after submission of final expenditure report
E. Confidentiality: confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.654 NMAC - Rn, 1 NMAC 3.2.95.71.654, 7-22-2002]

- 1.20.3.655 STUDENT GRANT FILES:**
A. Program: student financial aid office
B. Maintenance System: [entity preference]
C. Description: record of students awarded educational grants. May include PELL grants, basic educational opportunity grants, supplemental educational grants, New Mexico student incentive grants, etc.
D. Retention: six years after termination of grant
E. Confidentiality: confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.655 NMAC - Rn, 1 NMAC 3.2.95.71.655, 7-22-2002]

- 1.20.3.656 STUDENT LOAN FILES:**
A. Program: student financial aid office
B. Maintenance System: [entity preference]
C. Description: record of students awarded student loans. May include national direct student loans, federally insured loans, NM student loans, student loan Promissory notes, etc.
D. Retention: six years after date of final transaction
E. Confidentiality: confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.656 NMAC - Rn, 1 NMAC 3.2.95.71.656, 7-22-2002]
[Note: original note returned to student upon full payment of note.]

1.20.3.657 - 700 [RESERVED]

- 1.20.3.701 ACCESSION RECORDS:**
A. Program: library
B. Maintenance System: [entity preference]
C. Description: records concerning the acquisition of library monographs, films, photographs, collections, etc. Record may show accession number, author, title, publisher, date of publication, cost of acquisition, etc.
D. Retention: permanent
[9-21-1998; 1.20.3.701 NMAC - Rn, 1 NMAC 3.2.95.71.701, 7-22-2002]

- 1.20.3.702 CATALOG OF HOLDINGS:**
A. Program: library
B. Maintenance System: [entity preference]
C. Description: record of library holdings in manuscript, printed catalog, or continuously updated catalog forms.
D. Retention: until superseded
[9-21-1998; 1.20.3.702 NMAC - Rn, 1 NMAC 3.2.95.71.702, 7-22-2002]

1.20.3.703 BORROWER FILE:

- A. **Program:** library
 - B. **Maintenance System:** [entity preference]
 - C. **Description:** records that authorize patrons to borrow library materials (includes interlibrary loans). May show borrower name, borrower number, expiration date, etc.
 - D. **Retention:** until obsolete
 - E. **Confidentiality:** confidentiality (Section 18-9-4 NMSA 1978)
- [9-21-1998; 1.20.3.703 NMAC - Rn, 1 NMAC 3.2.95.71.703, 7-22-2002]

1.20.3.704 BORROWING OR LOANING RECORDS:

- A. **Program:** library
 - B. **Maintenance System:** [entity preference]
 - C. **Description:** records concerning the borrowing and loaning of library materials.
 - D. **Retention:** until all borrowing or loaning transactions completed
 - E. **Confidentiality:** confidentiality (Section 18-9-4 NMSA 1978)
- [9-21-1998; 1.20.3.704 NMAC - Rn, 1 NMAC 3.2.95.71.704, 7-22-2002]

1.20.3.705 PATRON'S REGISTRATION FOR USE OF SPECIAL LIBRARY MATERIALS:

- A. **Program:** library
 - B. **Maintenance System:** [entity preference]
 - C. **Description:** records concerning the use of rare, valuable, or other restricted library materials. Records may show patron name, patron address, patron signature, etc.
 - D. **Retention:** five years after date materials used
 - E. **Confidentiality:** confidentiality (Section 18-9-4 NMSA 1978)
- [9-21-1998; 1.20.3.705 NMAC - Rn, 1 NMAC 3.2.95.71.705, 7-22-2002]

1.20.3.706 SELECTION RECORDS:

- A. **Program:** library
 - B. **Maintenance System:** [entity preference]
 - C. **Description:** records documenting the selection of books and other library materials (monographs, periodicals, films, etc.).
 - D. **Retention:** one year after date created
- [9-21-1998; 1.20.3.706 NMAC - Rn, 1 NMAC 3.2.95.71.706, 7-22-2002]

1.20.3.707 CENSORSHIP OR COMPLAINT FILES:

- A. **Program:** library
 - B. **Maintenance System:** [entity preference]
 - C. **Description:** records concerning library material censorship and complaints. File may include evaluations by staff, patrons' complaints. Final decision documentation, etc.
 - D. **Retention:** five years after date of last entry
- [9-21-1998; 1.20.3.707 NMAC - Rn, 1 NMAC 3.2.95.71.707, 7-22-2002]

1.20.3.708 GIFT DONORS FILE:

- A. **Program:** library
 - B. **Maintenance System:** [entity preference]
 - C. **Description:** records concerning the donation of publications and manuscripts to the university library.
 - D. **Retention:** after five years, transfer to institutes archives for appraisal and final disposition
- [9-21-1998; 1.20.3.708 NMAC - Rn, 1 NMAC 3.2.95.71.708, 7-22-2002]
 [Note: comply with applicable provisions of legal agreement regarding confidentiality of records concerning each gift.]

1.20.3.709 - 750 [RESERVED]

1.20.3.751 ARREST AND BOOKING RECORDS:

- A. **Program:** campus security or police
- B. **Maintenance System:** [entity preference]

C. Description: records concerning arrests of university students and other individuals on campus. Record may show name, arrest number, date and time of arrest, physical characteristics, location of arrest, name of arresting officer, charges, etc.

D. Retention: five years after date of arrest

E. Confidentiality: confidentiality (20 USCA 1232g and Section 29-10-4 NMSA 1978)
[9-21-1998; 1.20.3.751 NMAC - Rn, 1 NMAC 3.2.95.71.751, 7-22-2002]

[Note: "Upon satisfactory verification of his identity, any individual may inspect, in person, through counsel or through his authorized agent, arrest record information maintained by [a] law enforcement agency concerning him." (Section 29-10-6 A NMSA 1978).]

1.20.3.752 ARREST HISTORY FILE:

A. Program: campus security or police

B. Maintenance System: [entity preference]

C. Description: records concerning the arrests of college or university students and other individuals on campus.

D. Retention:

(1) **Felony arrests:** 20 years after date of arrest

(2) **Misdemeanor arrests:** five years after date of arrest

E. Confidentiality: confidentiality (20 USCA 1232g and Section 29-10-4 NMSA 1978)
[9-21-1998; 1.20.3.752 NMAC - Rn, 1 NMAC 3.2.95.71.752, 7-22-2002]

1.20.3.753 OFFENSE OR INCIDENT REPORTS:

A. Program: campus security or police

B. Maintenance System: [entity preference]

C. Description: shows offender's name, offender information, time and location of occurrence, information on incident, reporting witness name, name of investigating officer, narrative, etc.

D. Retention: five years after date of occurrence

E. Confidentiality: confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.753 NMAC - Rn, 1 NMAC 3.2.95.71.753, 7-22-2002]

[Note: includes bomb threat reports. Includes reports concerning victims of alleged criminal offenses occurring on campus.]

1.20.3.754 DISPATCH RECORDS:

A. Program: campus security or police

B. Maintenance System: [entity preference]

C. Description: records concerning the dispatch of campus security or police. Record may show offense or incident reported, complainant's name, place of occurrence, address, time complaint received, dispatcher's name, name of officer dispatched, etc.

D. Retention: 18 months from date of call

[9-21-1998; 1.20.3.754 NMAC - Rn, 1 NMAC 3.2.95.71.754, 7-22-2002]

1.20.3.755 RADIO LOGS:

A. Program: campus security or police

B. Maintenance System: [entity preference]

C. Description: shows unit number, time and date of call, location of call, nature of call, etc.

D. Retention: one year after end of school year

[9-21-1998; 1.20.3.755 NMAC - Rn, 1 NMAC 3.2.95.71.755, 7-22-2002]

1.20.3.756 BUILDING ENTRANCE LOG:

A. Program: campus security or police

B. Maintenance System: [entity preference]

C. Description: shows school, building, employee identification, time in, time out, time alarm reset, etc.

D. Retention: one year after end of school year

[9-21-1998; 1.20.3.756 NMAC - Rn, 1 NMAC 3.2.95.71.756, 7-22-2002]

1.20.3.757 ALARM DATA RECORDS:

- A. **Program:** campus security or police
- B. **Maintenance System:** [entity preference]
- C. **Description:** shows date and time of alarm, alarm number, etc.
- D. **Retention:** one year after end of school year

[9-21-1998; 1.20.3.757 NMAC - Rn, 1 NMAC 3.2.95.71.757, 7-22-2002]

1.20.3.758 PARKING ASSIGNMENTS FILE:

- A. **Program:** campus security or police
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning staff parking assignments.
- D. **Retention:** until superseded or obsolete

[9-21-1998; 1.20.3.758 NMAC - Rn, 1 NMAC 3.2.95.71.758, 7-22-2002]

1.20.3.759 PARKING SERVICES CASHIER'S RECEIPT:

- A. **Program:** campus security or police
- B. **Maintenance System:** [entity preference]
- C. **Description:** copy of receipt issued for monies received for parking on campus.
- D. **Retention:** three years after close of fiscal year in which created (1.15.5.203 NMAC)

[9-21-1998; 1.20.3.759 NMAC - Rn, 1 NMAC 3.2.95.71.759, 7-22-2002]

1.20.3.760 TRAFFIC CITATIONS FILE:

- A. **Program:** campus security or police
- B. **Maintenance System:** [entity preference]
- C. **Description:** citations for traffic violation on campus. File includes parking violations.
- D. **Retention:**

(1) **Resolved citations:** until audit report released for fiscal year in which resolved

(2) **Unresolved citations:** three years after date created

[9-21-1998; 1.20.3.760 NMAC - Rn, 1 NMAC 3.2.95.71.760, 7-22-2002]

1.20.3.761 VEHICLE ACCIDENT REPORT FILE:

- A. **Program:** campus security or police
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning each vehicle accident reported on campus. File may include medical records, offense or incident reports, affidavits, photographs, diagrams, related documentation, correspondence, memoranda, etc.

D. **Retention:**

(1) **Fatal accidents:** 25 years after date of accident

(2) **Non-fatal accidents:** 10 years after date of accident

E. **Confidentiality:** confidentiality (Sections 66-7-213, 66-7-215, and 14-6-1 NMSA 1978 and 20 USCA 1232g)

[9-21-1998; 1.20.3.761 NMAC - Rn, 1 NMAC 3.2.95.71.761, 7-22-2002]

1.20.3.762 VEHICLE REGISTRATION FILE:

- A. **Program:** campus security or police
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning the registration of vehicles and bicycles on campus.
- D. **Retention:** one year after date file becomes obsolete
- E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.762 NMAC - Rn, 1 NMAC 3.2.95.71.762, 7-22-2002]

[Note: file includes temporary registrations of vehicles.]

1.20.3.763 VISITOR PARKING FILES:

- A. **Program:** campus security or police
- B. **Maintenance System:** [entity preference]

C. **Description:** records concerning visitor parking on campus. File may include visitor registration sheets or forms.

D. **Retention:** until audit report released
[9-21-1998; 1.20.3.763 NMAC - Rn, 1 NMAC 3.2.95.71.763, 7-22-2002]

1.20.3.764 WRECKER LOG:

A. **Program:** campus security or police

B. **Maintenance System:** [entity preference]

C. **Description:** record of vehicles towed away from campus. Record may show date and time, name of wrecking company, operator, make of vehicle, license number, owner, location, reason for towing vehicle, etc.

D. **Retention:** one year after close of fiscal year in which created
[9-21-1998; 1.20.3.764 NMAC - Rn, 1 NMAC 3.2.95.71.764, 7-22-2002]

1.20.3.765 COMPLAINT OR GRIEVANCE FILE:

A. **Program:** campus security or police

B. **Maintenance System:** [entity preference]

C. **Description:** records concerning complaints against officers or department not resulting in investigation.

D. **Retention:** three years after date of complaint
[9-21-1998; 1.20.3.765 NMAC - Rn, 1 NMAC 3.2.95.71.765, 7-22-2002]

1.20.3.766 INTERNAL AFFAIRS INVESTIGATION FILES:

A. **Program:** departments (campus security or police)

B. **Maintenance System:** [entity preference]

C. **Description:** records concerning complaints against officers or department resulting in investigation.

D. **Retention:**

(1) **Disciplinary records:** three years after termination of officer

(2) **Dismissed or cleared complaints:** three years after complaint dismissed or cleared

[9-21-1998; 1.20.3.766 NMAC - Rn, 1 NMAC 3.2.95.71.766, 7-22-2002]

1.20.3.767 CRIME AWARENESS AND CAMPUS SECURITY FILES:

A. **Program:** campus security or police

B. **Maintenance System:** [entity preference]

C. **Description:** records concerning campus security policy and campus crime statistics (20 USC 101, Section 204).

D. **Retention:**

(1) **Policy:** until superseded by new policy

(2) **"Timely" (periodic) statistical reports:** until annual report released

(3) **Annual statistical report:** two years after end of school year for which created

[9-21-1998; 1.20.3.767 NMAC - Rn, 1 NMAC 3.2.95.71.767, 7-22-2002]

1.20.3.768 INVESTIGATION FILES:

A. **Program:** campus security or police

B. **Maintenance System:** [entity preference]

C. **Description:** records concerning investigations by campus police of criminal violations occurring on campus

D. **Retention:** five years after date of prosecution or five years after case closed, whichever applies

E. **Confidentiality:** these records are confidential

[9-21-1998; 1.20.3.768 NMAC - Rn, 1 NMAC 3.2.95.71.768, 7-22-2002]

1.20.3.769 - 800 [RESERVED]

1.20.3.801 CAREER PLANNING OR PLACEMENT FILE:

A. **Program:** placement office

- B. Maintenance System:** [entity preference]
 - C. Description:** records maintained to assist students in locating employment after graduation, as well as career counsel undecided students. File may include resumes, job interview forms, student profile data sheets, related documentation, correspondence, memoranda, etc.
 - D. Retention:** five years after date file inactivated
 - E. Confidentiality:** confidentiality (20 USCA 1232g)
- [9-21-1998; 1.20.3.801 NMAC - Rn, 1 NMAC 3.2.95.71.801, 7-22-2002]

1.20.3.802 - 850 [RESERVED]

1.20.3.851 CODE OF CONDUCT (STANDARDS OR GRIEVANCE) VIOLATIONS FILE:

- A. Program:** student affairs
- B. Maintenance System:** [entity preference]
- C. Description:** records concerning reported violations of university standards. File may include investigations for those violations and records of hearings before disciplinary hearing body.
- D. Retention:**
 - (1) **Cases dismissed:** after dismissal
 - (2) **Cases with disciplinary action taken:** 10 years after date of action taken
 - (3) **Records not concerning cases:** four years after date created
- E. Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.851 NMAC - Rn, 1 NMAC 3.2.95.71.851, 7-22-2002]

[Note: disclosure of disciplinary proceeding outcomes to crime victim (20 USC 101, Sec. 203). "Nothing in this section shall be construed to prohibit an institution of post secondary education from disclosing, to an alleged victim of any crime of violence the results of any disciplinary proceeding conducted by such institution against the alleged perpetrator of such crime with respect to such crime."]

1.20.3.852 OFF-CAMPUS HOUSING FILE:

- A. Program:** student affairs
- B. Maintenance System:** [entity preference]
- C. Description:** records concerning approved off-campus housing available for students. File may include listings of approved housing, correspondence, related documentation, etc.
- D. Retention:** until superseded or obsolete

[9-21-1998; 1.20.3.852 NMAC - Rn, 1 NMAC 3.2.95.71.852, 7-22-2002]

1.20.3.853 RESIDENCE HALL HOUSING FILE:

- A. Program:** student affairs
- B. Maintenance System:** [entity preference]
- C. Description:** records concerning student residence hall housing. File may include contracts, rules and regulations, related documentation, correspondence, memoranda, etc.
- D. Retention:**
 - (1) **Contracts:** six years after termination of contract
 - (2) **All other records:** until superseded or obsolete
- E. Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.853 NMAC - Rn, 1 NMAC 3.2.95.71.853, 7-22-2002]

[Note: disclosure of disciplinary proceeding outcomes to crime victim (20 USC 101, Sec. 203). "Nothing in this section shall be construed to prohibit an institution of post secondary education from disclosing, to an alleged victim of any crime of violence the results of any disciplinary proceeding conducted by such institution against the alleged perpetrator of such crime with respect to such crime."]

1.20.3.854 RESIDENCE HALL DAMAGES FILE:

- A. Program:** student affairs
- B. Maintenance System:** [entity preference]
- C. Description:** records concerning damages to student residence hall and damage assessments to individual students.
- D. Retention:** five years after date of last entry
- E. Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.854 NMAC - Rn, 1 NMAC 3.2.95.71.854, 7-22-2002]

[Note: transfer data concerning individual damage assessments to business office when damage is assessed for incorporation into appropriate individual file.]

1.20.3.855 STUDENT ASSOCIATION FILE:

- A. Program:** student affairs
 - B. Maintenance System:** [entity preference]
 - C. Description:** records concerning the college or university student association. File may include regulations, publications, reports, fiscal records, related documentation, correspondence, memoranda, etc.
 - D. Retention:** after five years, transfer to institutes archives for appraisal and final disposition
- [9-21-1998; 1.20.3.855 NMAC - Rn, 1 NMAC 3.2.95.71.855, 7-22-2002]

1.20.3.856 STUDENT GOVERNMENT FILE:

- A. Program:** student affairs
 - B. Maintenance System:** [entity preference]
 - C. Description:** records concerning student government at university. File may include constitution, bylaws, minutes of meetings, reports, related documentation, correspondence, memoranda, etc.
 - D. Retention:** after five years, transfer to institutes archives for appraisal and final disposition
- [9-21-1998; 1.20.3.856 NMAC - Rn, 1 NMAC 3.2.95.71.856, 7-22-2002]
[Note: constitution, bylaws, and minutes of meetings have a permanent retention.]

1.20.3.857 STUDENT LEGAL SERVICES:

- A. Program:** student affairs
 - B. Maintenance System:** [entity preference]
 - C. Description:** records concerning the administration of student legal services. File may include regulations, publications, reports, fiscal records, related documentation, correspondence, memoranda, etc.
 - D. Retention:** after five years, transfer to institutes archives for appraisal and final disposition
- [9-21-1998; 1.20.3.857 NMAC - Rn, 1 NMAC 3.2.95.71.857, 7-22-2002]

1.20.3.858 STUDENT LEGAL SERVICES CASE FILE:

- A. Program:** student affairs
 - B. Maintenance System:** [entity preference]
 - C. Description:** records concerning each student's legal services case. File may include reports, transcripts, opinions, related records.
 - D. Retention:**
 - (1) **Cases (action initiated):** after completion of action and resolution of issues involved
 - (2) **Cases (no action initiated):** 10 years after date of last entry
 - E. Confidentiality:** confidentiality (20 USCA 1232g and common-law principles of attorney-client privilege)
- [9-21-1998; 1.20.3.858 NMAC - Rn, 1 NMAC 3.2.95.71.858, 7-22-2002]

1.20.3.859 STUDENT ORGANIZATIONS FILE:

- A. Program:** student affairs
 - B. Maintenance System:** [entity preference]
 - C. Description:** records concerning the various university student organizations. File may include regulations, publications, reports, fiscal records, related documentation, correspondence, memoranda, etc.
 - D. Retention:** after five years, transfer to institutes archives for appraisal and final disposition
- [9-21-1998; 1.20.3.859 NMAC - Rn, 1 NMAC 3.2.95.71.859, 7-22-2002]
[Note: organization charters and constitutions have a permanent retention.]

1.20.3.860 STUDENT UNION FILE:

- A. Program:** student affairs
- B. Maintenance System:** [entity preference]
- C. Description:** records concerning the student union. File may include bylaws, calendars of events, related documentation, correspondence, memoranda, etc.
- D. Retention:** after five years, transfer to institutes archives for appraisal and final disposition

[9-21-1998; 1.20.3.860 NMAC - Rn, 1 NMAC 3.2.95.71.860, 7-22-2002]
[Note: union bylaws have a permanent retention.]

1.20.3.861 STUDENT SURVEYS FILE:

- A. Program:** student affairs
 - B. Maintenance System:** [entity preference]
 - C. Description:** completed student surveys. File may include reports summarizing results and conclusions of surveys.
 - D. Retention:** after five years, transfer to institutes archives for appraisal and final disposition
- [9-21-1998; 1.20.3.861 NMAC - Rn, 1 NMAC 3.2.95.71.861, 7-22-2002]

1.20.3.862 - 900 [RESERVED]

1.20.3.901 STUDENT INFORMATION FILE:

- A. Program:** dean of students
 - B. Maintenance System:** [entity preference]
 - C. Description:** records maintained to assist or counsel university students. File may include student profile data sheets, correspondence, related documentation, etc.
 - D. Retention:** two years after date of last entry
 - E. Confidentiality:** confidentiality (20 USCA 1232g)
- [9-21-1998; 1.20.3.901 NMAC - Rn, 1 NMAC 3.2.95.71.901, 7-22-2002]

1.20.3.902 STUDENT DISCIPLINARY ACTION FILE:

- A. Program:** dean of students
 - B. Maintenance System:** [entity preference]
 - C. Description:** records concerning disciplinary actions.
 - D. Retention:** five years after date of last disciplinary action taken provided all conditions of action have been satisfied
 - E. Confidentiality:** confidentiality (20 USCA 1232g)
- [9-21-1998; 1.20.3.902 NMAC - Rn, 1 NMAC 3.2.95.71.902, 7-22-2002]
[Note: see also note on confidentiality on CODE OF CONDUCT (STANDARDS OR GRIEVANCE) VIOLATIONS FILE, item 1.20.3.851 NMAC. Note two: files where conditions of disciplinary action have not been satisfied maintain 10 years after date of last disciplinary action.]

1.20.3.903 - 925 [RESERVED]

1.20.3.926 ALUMNI ACTIVITY FILE:

- A. Program:** alumni office
 - B. Maintenance System:** [entity preference]
 - C. Description:** records concerning the activities of the alumni association. File may include reports, plans, pictures, activity documentation, correspondence, memoranda, etc.
 - D. Retention:** two years after close of fiscal year, then transfer to institute archives for review and final disposition
- [9-21-1998; 1.20.3.926 NMAC - Rn, 1 NMAC 3.2.95.71.926, 7-22-2002]

1.20.3.927 - 950 [RESERVED]

1.20.3.951 FOUNDATIONS FILE:

- A. Program:** foundations office
- B. Maintenance System:** [entity preference]
- C. Description:** records concerning the administration of university foundations and the programs of each foundation. File may include correspondence, reports, proposals, surveys, accounting information, justifications, and other related records.
- D. Retention:**
 - (1) **Fiscal records:** three years after close offiscal year in which created
 - (2) **Remaining records:** five years, then transfer to institute archives for appraisal and final disposal

[9-21-1998; 1.20.3.951 NMAC - Rn, 1 NMAC 3.2.95.71.951, 7-22-2002]

1.20.3.952 GRANT PROPOSALS FILE:

- A. **Program:** foundations office
- B. **Maintenance System:** [entity preference]
- C. **Description:** proposals for grants to the foundations office.
- D. **Retention:**
 - (1) **Approved grants:** transfer to grants file
 - (2) **Rejected or withdrawn proposals:** four years after date rejected or withdrawn

[9-21-1998; 1.20.3.952 NMAC - Rn, 1 NMAC 3.2.95.71.952, 7-22-2002]

1.20.3.953 GRANTS FILE:

- A. **Program:** foundations office
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning grants awarded to or administered by the university. File may include administrative documents, reports, regulations and guidelines, correspondence, audits, and other related records.
- D. **Retention:** six years after termination of grant, then transfer to institute archives for appraisals and final disposal

[9-21-1998; 1.20.3.953 NMAC - Rn, 1 NMAC 3.2.95.71.953, 7-22-2002]

1.20.3.954 SPECIAL GIFTS FILE:

- A. **Program:** foundations office
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning special gifts of funds to the university. File may include correspondence, reports, accounting records, special stipulations or provisions, and other related records.
- D. **Retention:** 15 years after date created, then transfer to institute archives for appraisal and final disposal

[9-21-1998; 1.20.3.954 NMAC - Rn, 1 NMAC 3.2.95.71.954, 7-22-2002]

[Note: comply with applicable provisions of legal agreement regarding confidentiality of records concerning each gift.]

1.20.3.955 - 975 [RESERVED]

1.20.3.976 MEDICAL RECORDS FILE:

- A. **Program:** medical clinic or dispensary
- B. **Maintenance System:** [entity preference]
- C. **Description:** records that document the illness, treatment, care, and diagnostic studies of individuals.
- D. **Retention:** 10 years after date of last visit (date inactivated)
- E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.976 NMAC - Rn, 1 NMAC 3.2.95.71.976, 7-22-2002]

1.20.3.977 IN-PATIENT RECORDS FILE:

- A. **Program:** medical clinic or dispensary
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning in-patient care for minor illness or injuries not resulting in the opening of medical case file.
- D. **Retention:** one year after date created
- E. **Confidentiality:** confidentiality (20 USCA 1232g)

[9-21-1998; 1.20.3.977 NMAC - Rn, 1 NMAC 3.2.95.71.977, 7-22-2002]

1.20.3.978 PATIENT ADMISSION SLIPS:

- A. **Program:** medical clinic or dispensary
- B. **Maintenance System:** [entity preference]
- C. **Description:** patient admission slips for individuals receiving clinic or dispensary services.

- D. **Retention:** one year after date created
- E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.978 NMAC - Rn, 1 NMAC 3.2.95.71.978, 7-22-2002]

1.20.3.979 CLINIC ADMISSIONS FILE:

- A. **Program:** medical clinic or dispensary
- B. **Maintenance System:** [entity preference]
- C. **Description:** daily listing of patients admitted to medical clinic or dispensary.
- D. **Retention:** three years after date created
- E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.979 NMAC - Rn, 1 NMAC 3.2.95.71.979, 7-22-2002]

1.20.3.980 ALCOHOL AND DRUG ABUSE PROGRAM FILE:

- A. **Program:** medical clinic or dispensary
- B. **Maintenance System:** [entity preference]
- C. **Description:** records concerning the administration of the university's alcohol and drug abuse program.
- D. **Retention:** three years after close of fiscal year in which created
- E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.980 NMAC - Rn, 1 NMAC 3.2.95.71.980, 7-22-2002]

1.20.3.981 CONTROLLED DRUG ADMINISTRATIVE FILE:

- A. **Program:** medical clinic or dispensary
- B. **Maintenance System:** [entity preference]
- C. **Description:** records accounting for the receipt and control of controlled drugs by health services personnel.
- D. **Retention:** three years after close of fiscal year in which created
- E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.981 NMAC - Rn, 1 NMAC 3.2.95.71.981, 7-22-2002]

1.20.3.982 CONTROLLED DRUG AUDIT FORMS FILE:

- A. **Program:** medical clinic or dispensary
- B. **Maintenance System:** [entity preference]
- C. **Description:** completed audit forms recording the periodic inventory of controlled drugs maintained by and stored in medical clinic or dispensary.
- D. **Retention:** three years after close of fiscal year in which created
- E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.982 NMAC - Rn, 1 NMAC 3.2.95.71.982, 7-22-2002]

1.20.3.983 CONTROLLED DRUG DISPENSING FILE:

- A. **Program:** medical clinic or dispensary
- B. **Maintenance System:** [entity preference]
- C. **Description:** records documenting the daily dispensing of controlled drugs by medical clinic or dispensary.
- D. **Retention:** three years after close of fiscal year in which created
- E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.983 NMAC - Rn, 1 NMAC 3.2.95.71.983, 7-22-2002]

1.20.3.984 DAILY DRUG DISPENSING FILE:

- A. **Program:** medical clinic or dispensary
- B. **Maintenance System:** [entity preference]
- C. **Description:** records documenting the daily dispensing of drugs by medical clinic or dispensary.
- D. **Retention:** three years after close of fiscal year in which created
- E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.984 NMAC - Rn, 1 NMAC 3.2.95.71.984, 7-22-2002]

1.20.3.985 EMERGENCY ROOM DRUG DISPENSING FILE:
A. **Program:** medical clinic or dispensary
B. **Maintenance System:** [entity preference]
C. **Description:** daily record of non-prescribed drugs administered by emergency room personnel.
D. **Retention:** three years after close of fiscal year in which created
[9-21-1998; 1.20.3.985 NMAC - Rn, 1 NMAC 3.2.95.71.985, 7-22-2002]

1.20.3.986 CONTROLLED DRUG AUDIT FORMS FILE:
A. **Program:** medical clinic or dispensary
B. **Maintenance System:** [entity preference]
C. **Description:** completed audit forms recording the periodic inventory of controlled drugs maintained by and stored in medical clinic or dispensary.
D. **Retention:** three years after close of fiscal year in which created
[9-21-1998; 1.20.3.986 NMAC - Rn, 1 NMAC 3.2.95.71.986, 7-22-2002]

1.20.3.987 PRESCRIPTION FILE:
A. **Program:** medical clinic or dispensary
B. **Maintenance System:** [entity preference]
C. **Description:** completed prescription forms used to record all drugs prescribed for patients.
D. **Retention:** three years after close of fiscal year in which created
E. **Confidentiality:** confidentiality (20 USCA 1232g)
[9-21-1998; 1.20.3.987 NMAC - Rn, 1 NMAC 3.2.95.71.987, 7-22-2002]

1.20.3.988 - 990 [RESERVED]

1.20.3.991 ACCESSIONS FILE:
A. **Program:** archives
B. **Maintenance System:** [entity preference]
C. **Description:** records concerning each accession. May include title of records, name of donor, name of transferring department, date accession, type of accession (gift, loan, transfer, etc.), call number, size of collection, and other related information.
D. **Retention:** permanent
[9-21-1998; 1.20.3.991 NMAC - Rn, 1 NMAC 3.2.95.71.991, 7-22-2002]

1.20.3.992 BIBLIOGRAPHY FILE:
A. **Program:** archives
B. **Maintenance System:** [entity preference]
C. **Description:** reference file containing bibliographies concerning special subjects.
D. **Retention:** until reference value ends
[9-21-1998; 1.20.3.992 NMAC - Rn, 1 NMAC 3.2.95.71.992, 7-22-2002]

1.20.3.993 ICONOGRAPHIC CATALOG FILE:
A. **Program:** archives
B. **Maintenance System:** [entity preference]
C. **Description:** record of each photograph in the possession of the archives. Information may include subject of photograph, catalog number, date taken, name of photographer, source information, and usage restrictions (if any).
D. **Retention:** permanent
[9-21-1998; 1.20.3.993 NMAC - Rn, 1 NMAC 3.2.95.71.993, 7-22-2002]

1.20.3.994 - 995 [RESERVED]

1.20.3.996 NATIONAL DIRECT STUDENT LOAN PROMISSORY NOTE
A. **Program:** student aids
B. **Maintenance System:** [entity preference]
C. **Description:** original

D. Retention: return to student upon full payment
[9-21-1998; 1.20.3.996 NMAC - Rn, 1 NMAC 3.2.95.71.996, 7-22-2002]

HISTORY OF 1.20.3 NMAC:

PRE-NMAC REGULATORY FILING HISTORY: The material in this part was derived from that previously filed with the State Records Center under:

SRC Rule 74-26, Records Retention and Disposal Schedule for New Mexico Colleges and Universities, filed 10/3/74;

SRC Rule 75-5, Records Retention and Disposal Schedule for New Mexico Colleges and Universities, filed 3/18/75;

SRC Rule No. 86-18, General Records Retention and Disposition Schedule for New Mexico Colleges and Universities, filed 9/11/86; and

SRC 92-07, Records Retention and Disposition Schedule for New Mexico Colleges and Universities, filed 12/14/92.

HISTORY OF REPEALED MATERIALS: [Reserved]