



**DEPARTMENT OF PUBLIC SAFETY
POLICIES & PROCEDURES**



POLICY NUMBER	
PRS: 05	
EFFECTIVE DATE: 06/12/2007	ORIGINAL ISSUED ON: 02/05/1990
REVISION NO: 1	

SUBJECT: INACTIVE PERSONNEL FILES, MAINTENANCE AND RETENTION

1.0 PURPOSE

It is the purpose of this policy to establish guidelines for the proper maintenance and retention of inactive personnel files.

2.0 POLICY

It is the policy of the Department of Public Safety to properly maintain and retain inactive personnel files of former employees.

3.0 APPLICABILITY

This policy applies to all employees of the Department of Public Safety.

4.0 REFERENCES

- A. 1.15.6 and 1.15.7 NMAC
- B. CALEA Chapter 82, Records

5.0 DEFINITIONS

- A. **Inactive personnel files**-Personnel files for employees who are no longer employed with the Department of Public Safety. These will include commissioned and non-commissioned employees who retired, resigned, died or were terminated from service with the Department. Inactive personnel files will include materials from district or bureau files forwarded to the Personnel Management Bureau at the time the employee left.
- B. **Retention schedules** - Official schedules established by the State Records Center and Archives for state agencies that indicate, by type of record, the years for retention.
- C. **SRAC** – State Records and Archive Center

6.0 PROCEDURE

A. Maintenance and Retention

It is the policy of the Department of Public Safety to maintain personnel files in accordance with the General Personnel Records Retention and Disposition Schedule 1.15.6 and 1.15.7 NMAC.

1. Inactive files may be reviewed on the same "need to know" basis as active personnel files. Files which have been archived may be obtained for review or retrieval of specific information from the file within three to five working days of the request to the Personnel Management Bureau.

2. Inactive personnel files will be retrieved and returned to active status at any time the employee returns to service with the Department.
3. This policy will ensure the orderly maintenance of inactive personnel files. It will allow for files to be maintained within the Department for a reasonable period of time for any pending litigation or retrieval of information.

B. ARCHIVING PROCESS

Inactive personnel files will be maintained in the Personnel Management Bureau (PMB) for a period of five years after the employee has terminated or retired. After five years, the personnel files will be archived to the State Records and Archive Center in accordance with that agency's procedures.

1. When an employee leaves employment with the Department of Public Safety, the following must happen:
 - a. If applicable, the supervisor or unit secretary forwards the district, bureau, or office personnel file to the Personnel Management Bureau.
 - b. The Personnel Management Bureau staff removes employee's file from active file and:
 1. If applicable, merges district, bureau, or office file with the employee's personnel file.
 2. Places sticker on the file for the year the employee is leaving service with the Department.
 3. Places file in inactive files.
 4. After five years, prepares file for archiving and enters file on the control list for all files archived.
 5. Archives file(s) by boxing, preparing storage tickets, and notifying the Records Bureau, Technical Support Division.

NOTE: If the employee is transferring to another state agency, current payroll documents are removed and sent to the new agency.

C. RETRIEVAL PROCESS

This procedure outlines the process for retrieving archived inactive personnel files. Requests for retrieving archived personnel files or information maintained in inactive files must be directed to the Personnel Management Bureau. Personnel Management Bureau staff will follow this procedure for retrieving files from the State Records and Archive Center.

1. DPS Employee/Supervisor or Outside Individual - Requests information or file from Personnel Management Bureau.
2. Personnel Bureau Staff:

INACTIVE PERSONNEL FILES, MAINTENANCE AND RETENTION

- a. Determines that request is appropriate in accordance with "need to know" guidelines.
 - b. Determines whether file is archived. If not archived, pulls file and releases information.
 - c. If archived, checks log for box number on storage ticket.
 - d. Forwards request for the file to Records Bureau, Technical and Emergency Support Division.
3. Records Bureau Staff - Requests file by box number from State Records Center (SRC).
 4. State Records and Archive Center - Retrieves and forwards file to DPS Personnel Bureau through the Records Bureau.
 5. Personnel Records Staff - Retrieves file and releases information as authorized. Returns files to Records Bureau for storage in original box at SRAC.

7.0 ATTACHMENTS

NONE

8.0 APPROVAL

APPROVED BY: s/ John Denko
DPS Cabinet Secretary

DATE: June 12, 2007