

TITLE 1 GENERAL GOVERNMENT ADMINISTRATION
CHAPTER 18 EXECUTIVE RECORDS RETENTION AND DISPOSITION SCHEDULES (ERRDS)
PART 341 ERRDS, DEPARTMENT OF FINANCE AND ADMINISTRATION

1.18.341.1 ISSUING AGENCY: [New Mexico Commission of Public Records] - State Records Center and Archives
[5/25/95; 1.18.341.1 NMAC - Rn, 1 NMAC 3.2.93.1, 7/22/2002]

1.18.341.2 SCOPE: Department of Finance and Administration
[5/25/95; 1.18.341.2 NMAC - Rn, 1 NMAC 3.2.93.2, 7/22/2002]

1.18.341.3 STATUTORY AUTHORITY: Section 14-3-4 NMSA 1978, it shall be the duty of the commission to adopt and publish rules to carry out the purposes of the Public Records Act. Section 14-3-6 NMSA 1978, the administrator shall establish a records management program for the application of efficient and economical management methods for the creation, utilization, maintenance, retention, preservation and disposal of public records.
[5/25/95; 5/19/97; 1.18.341.3 NMAC - Rn, 1 NMAC 3.2.93.3, 7/22/2002; A, 4/22/2013]

1.18.341.4 DURATION: Permanent
[5/25/95; 5/19/97; 1.18.341.4 NMAC - Rn, 1 NMAC 3.2.93.4, 7/22/2002]

1.18.341.5 EFFECTIVE DATE: July 16, 1996, unless a different date is cited at the end of a section or paragraph.
[5/25/95; 5/19/97; 1.18.341.5 NMAC - Rn, 1 NMAC 3.2.93.5, 7/22/2002]

1.18.341.6 OBJECTIVE: To establish a records retention schedule for the orderly management, retention, disposition and preservation of records necessary for carrying out the Public Records Act pursuant to Section 14-3-6 NMSA 1978.
[5/25/95; 5/19/97; 1.18.341.6 NMAC - Rn, 1 NMAC 3.2.93.6, 7/22/2002; A, 4/22/2013]

1.18.341.7 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. "Archives"** means the permanent records of the state of New Mexico, which may include government and private collections of the Spanish, Mexican, territorial and statehood periods, assessed to have significant historical value to warrant their preservation by the state of New Mexico. The term also refers to the organizational unit of the SRCA storing these records.
- D. "Audit"** means a periodic examination of an organization to determine whether appropriate procedures and practices are followed.
- E. "Commission"** means the state commission of public records (Section 14-3-2 NMSA 1978).
- F. "Disposition"** means final action that puts into effect the results of an appraisal decision for a series of records (i.e., transfer to archives or destruction).
- G. "Microphotography"** means the transfer of images onto film and electronic imaging or other information storage techniques that meet the performance guidelines for legal acceptance of public records produced by information system technologies pursuant to regulations adopted by the commission.
- H. "Non-record"** means extra copies of documents kept solely for convenience of reference, stocks of publications, records not usually included within the scope of the official records of an agency or government entity and library material intended only for reference or exhibition. The following specific types of materials are non-records: materials neither made nor received in pursuance of statutory requirements nor in connection with the functional responsibility of the officer or agency; extra copies of correspondence; preliminary drafts; blank forms, transmittal letters or forms that do not add information; sample letters; and reading file or informational files.
- I. "Pending litigation"** means a proceeding in a court of law whose activity is in progress but not yet completed.

J. "Public record" 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. "Records custodian" means the statutory head of the agency using or maintaining the records or the custodian's designee.

L. "Record destruction" means the process of totally obliterating information on records by any method to make the information unreadable or unusable under any circumstances.

M. "Records management" means the systematic control of all records from creation or receipt through processing, distribution, maintenance and retrieval, to their ultimate disposition.

N. "Records retention and disposition schedule" means rules adopted by the commission pursuant to Section 14-3-4 NMSA 1978 describing records of an agency, establishing a timetable for their life cycle and providing authorization for their disposition.

O. "Retention" 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. [5/25/95; 5/19/97; 1.18.341.7 NMAC - Rn, 1 NMAC 3.2.93.7, 7/22/2002; A, 4/22/2013]

1.18.341.8 ABBREVIATIONS AND ACRONYMS:

A. "CFR" stands for code of federal regulations.

B. "DFA" stands for department of finance administration

C. "EDRRDS" stands for education records retention and disposition schedules.

D. "ERRDS" stands for executive records retention and disposition schedules.

E. "GRRDS" stands for general records retention and disposition schedules.

F. "JRRDS" stands for judicial records retention and disposition schedules.

G. "LRRDS" stands for legislative records retention and disposition schedules.

H. "LGRRDS" stands for local government records retention and disposition schedules.

I. "SRCA" stands for state records center and archives.

J. "USC" stands for United States code.

[1.18.341.8 NMAC - N, 4/22/2013]

1.18.341.9 INSTRUCTIONS:

A. Records retention and disposition schedules identify the types of records maintained by state agencies and specify a period of time which records must be retained. A retention period may be stated in terms of months or years and is sometimes expressed as contingent upon the occurrence of an event. There are several types of records retention and disposition schedules promulgated by the commission for state agencies. General schedules list records common to all agencies and executive schedules list records specific to an agency. Each record series will be represented in the format listed below.

(1) **Program** - describes the function of the records

(2) **Maintenance system** - describes how an agency files (organizes) records

(3) **Description** - describes the purpose and content of a record

(4) **Retention** - defines the length of time records must be kept before they are eligible for destruction or archival preservation.

B. For records of a general administrative nature, refer to the GRRDS, General Administrative, 1.15.2 NMAC.

C. For records of a financial nature, refer to the GRRDS, General Financial, 1.15.4 NMAC.

D. For records of a personnel nature, refer to the GRRDS, General Personnel, 1.15.6 NMAC.

E. For records of a medical nature, refer to the GRRDS, General Medical, 1.15.8 NMAC.

F. 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.

G. The descriptions of files are intended to be evocative, not complete. For example, there will always be some documents that are included 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.

H. Confidentiality is denoted for files likely to contain confidential materials or information; however files without a confidentiality note may contain confidential or privileged information. Failure to include a

confidentiality note in the description of a record series does not waive confidentiality. Refer questions concerning the confidentiality of a file to legal counsel for the agency.

I. Records may be photographed, microfilmed, digitized or converted to computer output microfilm provided a microphotography plan has been approved by the state records administrator (Section 14-3-17 NMSA 1978). Such photographs, microfilms, photographic film or microphotographs shall be deemed to be an original record for all purposes, including introduction as evidence in all courts or administrative agencies (Section 14-1-6 NMSA 1978).

J. Public records placed on magnetic tapes, disks or other data processing media shall be retained for the length of time specified in records retention and disposition schedules and are subject to the same confidentiality and access restrictions as paper records. See also 1.13.70 NMAC, Performance Guidelines for the Legal Acceptance of Public Records Produced by Information Technology Systems.

K. Email is a transmission medium for content that may or may not be a public record. Email messages that contain information sent or received by an agency in connection with the transaction of official state business or in pursuance of law are public records and are subject to retention requirements established in records retention and disposition schedules. Email messages are required to be categorized, filed and retained on the basis of content (1.13.4 NMAC, Records Management Requirements for Electronic Messaging). The content of email messages may vary considerably; therefore, each email shall be evaluated to determine if it meets the definition of a public record as defined in the Public Records Act. Non-records or transitory emails that do not provide evidence of official agency policies or business transactions may be deleted.

L. Non-scheduled public records created by an agency in pursuance of law or in connection with the transaction of public business shall have a retention period of permanent until such time the non-scheduled record has been scheduled and a retention period adhering to operational, legal, fiscal, historical or other purposes is established.

[5/25/95; 5/19/97; 1.18.341.9 NMAC - Rn, 1 NMAC 3.2.93.8, 7/22/2002; A, 4/22/2013]

1.18.341.10 - 100 [RESERVED]

1.18.341.101 EXEMPT POSITION AGENCY FILES:

A. Program: administrative services

B. Maintenance system: chronological by calendar year, then numerical by agency business unit

C. Description: records documenting changes made to a position upon request of the governor or other appointing agency. Portions of this record are input to *SHARE*. Files may include *position action request form*, agency budget projection, supporting documentation (i.e., statutory or legislative authority, agency justification for position, comprehensive position duties, etc.), state personnel board notification of decision, correspondence, etc.

D. Retention: 10 years from the close of the calendar year in which created
[7/16/96; 1.18.341.101 NMAC - Rn, 1 NMAC 3.2.93.341.20.101, 7/22/2002; A, 4/22/2013]

1.18.341.102 EXEMPT EMPLOYEE PERSONNEL FILES:

A. Program: administrative services

B. Maintenance system: chronological by date, then alphabetical by employee surname

C. Description: records documenting the employment history of governor exempt or other appointing agency personnel. This record is input to *SHARE*. Files may include personnel action request form, agency budget projection, supporting documentation, state personnel board notification of decision, personnel action forms, personal data forms, biographical information forms, benefits, authorization forms, tax authorization forms, security access forms, deduction worksheets, signed acknowledgement of exempt policies, correspondence, etc.

D. Retention:

(1) **Separated employees:** 55 years from date employee separated from exempt employment

(2) **Retired employees:** three years from date employee retires

E. Confidentiality: Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number) and Section 14-6-1 NMSA 1978 (i.e., health information).

[7/16/96; 1.18.341.102 NMAC - Rn, 1 NMAC 3.2.93.341.20.102, 7/22/2002; A, 4/22/2013]

1.18.341.103 - 104 [RESERVED]

1.18.341.105 JOINT POWERS AGREEMENTS FILE:

- A. Program:** contract review bureau
- B. Maintenance system:** numerical by lead party agency or alphabetical by lead party county, municipality, special district, commission, etc.
- C. Description:** records concerning DFA's approval of any joint powers agreement (JPA) in accordance with 11-1-3 NMSA 1978. File contains copies of the JPAs and associated JPA brief.
- D. Retention:** six years after close of fiscal year in which JPA was approved by the contract review bureau then transfer to archives
[7/16/96; 1.18.341.105 NMAC - Rn, 1 NMAC 3.2.93.341.20.201, 7/22/2002]

1.18.341.106 JOINT POWERS AGREEMENTS REPORT:

- A. Program:** contract review bureau
- B. Maintenance system:** chronological by month created.
- C. Description:** list of the approved joint powers agreements to be filed with the state board of finance (11-1-3 NMSA 1978). Report shows names of parties involved, brief description of the JPA, approval date and amount of federal, state or local government funds involved.
- D. Retention:** six years after close of fiscal year in which created
[7/16/96; 1.18.341.106 NMAC - Rn, 1 NMAC 3.2.93.341.20.202, 7/22/2002]
[Note: a copy of report filed in the minutes of the state board of finance.]

1.18.341.107 MONTHLY CONTRACT REPORT:

- A. Program:** contract review bureau
- B. Maintenance system:** chronological by month created
- C. Description:** summary of all professional services contracts approved by DFA's contract review bureau. Report shows agency, contractor, dollar amount of contract, total amount of contracts approved along with their total value, and total number of amendments along with their total value.
- D. Retention:** six years after close of fiscal year in which created then transfer to archives
[8/27/79...7/16/96; 1.18.341.107 NMAC - Rn, 1 NMAC 3.2.93.341.20.203, 7/22/2002]

1.18.341.108 PROFESSIONAL SERVICES CONTRACTS FILES:

- A. Program:** contract review bureau
- B. Maintenance system:** numerical by agency code
- C. Description:** records concerning professional services contracts and amendments which have been reviewed for fiscal and legal sufficiency and approved by DFA's contract review bureau. File contains original professional services contracts, amendments, and associated technical and professional services contract brief.
- D. Retention:** six years after termination of contract
[7/16/96; 1.18.341.108 NMAC - Rn, 1 NMAC 3.2.93.341.20.204, 7/22/2002]

1.18.341.109 [RESERVED]

1.18.341.110 STATE OF NEW MEXICO SEVERANCE TAX BOND TRANSCRIPTS:

- A. Program:** board of finance
- B. Maintenance system:** chronological by bond extinguishment date
- C. Description:** records documenting the transcript of issuance of severance tax bonds by the state board of finance. These transcripts serve as supporting documentation to bonds issued for financing of approved projects such as roads, sewer and water systems, government buildings, etc. Transcripts include resolutions of agencies and departments with certification of need, extracts of minutes of meetings, official bid forms, notice of sale resolutions of the state board of finance, affidavits, preliminary official statements, official statements, notices of sale, official statement certificates, letters of representation to the depository trust company, signature certificates, incumbency certificates, general and no-litigation certificates, attorney general litigation certificates, certificates regarding statutory issuance test, requests to authenticate and deliver, delivery and cross-receipt certificates, certificates of paying agent or registrar, execution of bonds, tax compliance certificates with certificates of underwriter and tax compliance certificates of agencies attached, specimen bond certificates, attorney general opinions, bond counsel opinions, reliance letters of bond counsel, rating agency letters, internal revenue service 8038-G form with evidence of filings, concluding transcript certificates and closing memorandums.
- D. Retention:** three years from the close of the fiscal year in which debt has been extinguished
[7/16/96; 1.18.341.110 NMAC - Rn, 1 NMAC 3.2.93.341.40.101, 7/22/2002; A, 4/22/2013]

1.18.341.111 STATE OF NEW MEXICO GENERAL OBLIGATION BOND TRANSCRIPTS:

A. Program: board of finance
B. Maintenance system: chronological by bond extinguishment date
C. Description: records documenting the transcript of issuance of general obligation bonds by the state board of finance. These transcripts serve as supporting documentation to bonds issued for financing of voter approved projects. Transcripts include canvass certificates of election returns and ballot certification affidavits, certifications of need, extracts of minutes of meetings, notice of sale resolutions of the state board of finance, official bid forms, preliminary official statements, official statements, notices of sale, official statement certificates, letters of representation to the depository trust company, signature certificates, incumbency certificates, general and no-litigation certificates, attorney general litigation certificates, certificates regarding statutory issuance test, requests to authenticate and deliver, delivery and cross-receipt certificates, certificates of paying agent or registrar, execution of bonds, tax compliance certificates with certificate of underwriter and tax compliance certificates of agencies attached, specimen bond certificates, attorney general opinions, bond counsel opinions, reliance letters of bond counsel, rating agency letters, internal revenue service 8038-G form with evidence of filings, concluding transcript certificates and closing memorandums.

D. Retention: three years from the close of the fiscal year in which debt has been extinguished [7/16/96; 1.18.341.111 NMAC - Rn, 1 NMAC 3.2.93.341.40.102, 7/22/2002; A, 4/22/2013]

1.18.341.112 PRIVATE ACTIVITY BOND FILES:

A. Program: board of finance
B. Maintenance system: chronological by fiscal year, then numerical by approved private activity bond allocation
C. Description: records documenting board of finance approved allocation of federal bond capacity for uses such as single family housing, multifamily housing, student loans, etc. Files may include letter from bond counsel stating when bonds were sold and bond amount, documentation of fees paid, correspondence, etc.

D. Retention: six years from the close of the fiscal year in which volume cap certification approved [7/16/96; 1.18.341.112 NMAC - Rn, 1 NMAC 3.2.93.341.40.103, 7/22/2002; A, 4/22/2013]

1.18.341.113 PROJECT READINESS QUESTIONNAIRE FORMS:

A. Program: board of finance
B. Maintenance system: chronological by fiscal year
C. Description: form documenting project readiness prior to the review and funding of a project scheduled to be financed through the issuance of a bond. Forms may shows project number, amount requested, amount appropriated, recipient name, project description, project ownership, operation and use of project, other funding sources, project readiness; priority and spend-down of bond proceeds, contingencies, reimbursed advances and repayment or previously incurred debt, acknowledgement of severance tax bond restrictions, signature of authorized officer, etc.

D. Retention: three years from the close of the fiscal year in which debt has been extinguished [1.8.341.113 NMAC - N, 4/22/2013]

1.18.341.114 BOND DRAW FILES:

A. Program: board of finance
B. Maintenance system: chronological by fiscal year, then numerical by fund number
C. Description: records documenting requests for project reimbursement. This record is input to *SHARE*. Files may include draw request forms, operating transfer, invoices, payment vouchers, correspondence, etc.

D. Retention: three years from the close of the fiscal year in which debt has been extinguished [1.18.341.114 NMAC - N, 4/22/2013]

1.18.341.115 APPROPRIATION REQUEST AND OPERATING BUDGET FILES:

A. Program: state budget
B. Maintenance system: chronological by fiscal year, then numerical by business unit
C. Description: records documenting a proposed annual budget submitted by state agencies to DFA. This record is input to *SHARE*. Files may include agency level reports (i.e., operating budget certification, organizational chart, financial summary report, account code expenditure report, fund balance projection, detail of general services department and department of information technology line items, etc.), program level reports (i.e.,

program overview, organizational chart, financial summary report, account code expenditure report, detail of transfers from general fund, detail of non-general transfers, detail of federal revenue, etc.), expenditure forms (i.e., detail of personal services, vacancy rate report, calculation of employee benefits, group health insurance (i.e., calculation, fulltime employee by revenue source, expenditure account code justifications, etc.), expansion forms, expansion narrative, expansion detail, detail of personal services for expansion FTE, etc.), performance and accountability documentation (i.e., strategic plan, end of year performance report, full program report, performance monitoring plan, etc.), information technology requests (i.e., agency information technology plan, planning form for information technology systems costs, etc.), correspondence, etc.

D. Retention: six years from the close of the fiscal year in which submitted
[5/23/86...7/16/96; 1.18.341.115 NMAC - Rn, 1 NMAC 3.2.93.341.60.101, 7/22/2002; A, 4/22/2013]

1.18.341.116 BUDGET ADJUSTMENT REQUESTS FILES:

A. Program: state budget

B. Maintenance system: chronological by fiscal year, then numerical by business unit

C. Description: records documenting approved adjustments to agency operating budgets (i.e., increase or decrease in expenditures from other state funds, internal service funds or interagency transfer; transfer of funds from one division of an agency to other divisions of that agency; transfer of funds between budget categories within an agency or a division or authorization to expend federal funds, etc.). This record is input to *SHARE*. Files include "canary" copy of budget adjustment request forms and associated justification attachments.

D. Retention: six years from the close of fiscal year in which created
[5/23/86...7/16/96; 1.18.341.116 NMAC - Rn, 1 NMAC 3.2.93.341.60.102, 7/22/2002; A, 4/22/2013]

1.18.341.117 CAPITAL PROJECT REQUEST FILES:

A. Program: state budget

B. Maintenance system: chronological by fiscal year, then numerical by business unit

C. Description: records documenting capital project requests submitted by state agencies to DFA.

Files may include project certifications, justifications, project administration information, proposed building requirements, site description, operation and maintenance costs estimates, equipment and furniture purchase related to project, project budget summary, etc.

D. Retention:

(1) **Funded projects:** six years from the close of the fiscal year in which project completed

(2) **Non-funded projects:** three years from close of fiscal year in which submitted

[5/23/86...7/16/96; 1.18.341.117 NMAC - Rn, 1 NMAC 3.2.93.341.60.103, 7/22/2002; A, 4/22/2013]

1.18.341.118 CAPITAL BUDGET INPUT FORM FILES:

A. Program: state budget

B. Maintenance system: chronological by fiscal year, then numerical by business unit

C. Description: record documenting the establishment of the budget for capital projects that have been appropriated to an agency by the New Mexico state legislature. This record is input to *SHARE*. Files may include capital budget input forms, supporting documentation, correspondence, etc.

D. Retention: six years from the close of fiscal year in which capital project completion
[7/16/96; 1.18.341.118 NMAC - Rn, 1 NMAC 3.2.93.341.60.104, 7/22/2002; A, 4/22/2013]

1.18.341.119 SPECIAL, SUPPLEMENTAL AND DEFICIENCY APPROPRIATION ALLOTMENTS REQUESTS:

A. Program: state budget

B. Maintenance system: chronological by fiscal year, then numerical by business unit

C. Description: records documenting special, supplemental and deficiency appropriation allotment requests submitted by state agencies to DFA. This record is input to *SHARE*. Files may include approved allotment request forms, approved requests for lump sum or other allotments which differ from the standard 1/12th of the appropriation amount allocated monthly to state agencies, related correspondence, etc.

D. Retention: six years after close of fiscal year in which request submitted
[7/16/96; 1.18.341.119 NMAC - Rn, 1 NMAC 3.2.93.341.60.105, 7/22/2002; A, 4/22/2013]

[Upon approval by state budget division original allotment form is sent to Financial Control Division for processing and recordkeeping]

1.18.341.120 - 124 [RESERVED]

1.18.341.125 ANNUAL PROPERTY TAX RATE FILES:

- A. Program:** local government
- B. Maintenance system:** chronological by tax year, then alphabetical by county
- C. Description:** records documenting the property valuation and property tax mill levy rates for New Mexico local governments. Files may include analysis of valuation changes, other data necessary to set annual property tax rates, annual certificate of property tax rates, correspondence, etc.
- D. Retention:** 10 years from close of tax year in which created, then transfer to archives for review and final disposition
[7/16/96; 1.18.341.125 NMAC - Rn, 1 NMAC 3.2.93.341.80.101, 7/22/2002; A, 4/22/2013]

1.18.341.126 YEAR END LOCAL GOVERNMENT FINANCIAL REPORTS:

- A. Program:** local government
- B. Maintenance system:** chronological by fiscal year, then alphabetical by county
- C. Description:** New Mexico local government financial report of actual revenues, expenditures, operating transfers and cash balances. Reports may include statement of revenues and expenditures, information on changes in fund balance for all funds, supporting schedules, etc.
- D. Retention:** permanent, transfer to archives 10 years from close of calendar year in which created
[7/16/96; A, 5/23/97; 1.18.341.126 NMAC - Rn, 1 NMAC 3.2.93.341.80.102, 7/22/2002; A, 4/22/2013]

1.18.341.127 - 129 [RESERVED]

1.18.341.130 ANNUAL TAX RATE DATABASE:

- A. Program:** local government division annual tax rate database electronic records
- B. Maintenance system:** database used to compute property tax rates
- C. Description:** database contains yield control formula, net taxable value for school districts, counties and municipalities, residential or non-residential operational property tax rates, debt service tax rates, operational tax rates for school districts, capital improvements, tax rates for judgments and values and tax rates on oil and gas products.
- D. Retention:**
 - (1) **Data:** five years after close of tax year for which created
 - (2) **System:** one year after discontinuance of system provided all magnetic data files are authorized for disposal or transferred to new or alternate system
[7/16/96; 1.18.341.130 NMAC - Rn, 1 NMAC 3.2.93.341.80.120, 7/22/2002]

1.18.341.131 - 134 [RESERVED]

1.18.341.135 [RESERVED]

[7/16/96; 1.18.341.135 NMAC - Rn, 1 NMAC 3.2.93.341.80.130, 7/22/2002; Repealed, 4/22/2013]
[Repealed section 1.18.341.135 NMAC, *analysis of valuation changes* refer to 1.18.341.125 NMAC, *annual property tax rate files*]

1.18.341.136 - 139 [RESERVED]

1.18.341.140 [RESERVED]

[7/16/96; 1.18.341.140 NMAC - Rn, 1 NMAC 3.2.93.341.80.150, 7/22/2002; Repealed, 4/22/2013]
[Repealed section 1.18.341.140 NMAC, *certificate of tax rates, annual* refer to 1.18.341.125 NMAC, *annual property tax rate files*]

1.18.341.141 - 149 [RESERVED]

1.18.341.150 LOCAL GOVERNMENT BUDGET TRACKING SYSTEM DATABASE:

- A. Program:** local government budget tracking system database electronic records
- B. Maintenance system:** none

C. Description: database tracks local public body (counties and municipalities) financial transactions on a monthly basis for a given fiscal year. Database contains entity code, fiscal year, fund code, account code, account type, category code, department code, function code, financial totals, etc.

D. Retention:

(1) **Data:** six years after close of fiscal year in which created

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

[7/16/96; A, 5/23/97; 1.18.341.150 NMAC - Rn, 1 NMAC 3.2.93.341.80.160, 7/22/2002]

1.18.341.151 - 159 [RESERVED]

1.18.341.160 [RESERVED]

[5/5/62...7/16/96; 1.18.341.160 NMAC - Rn, 1 NMAC 3.2.93.341.80.170, 7/22/2002; Repealed, 4/22/2013]

[Repealed section 1.18.341.160 NMAC, *Annual financial reports* refer to 1.18.341.126 NMAC, *year end local government financial reports*]

1.18.341.161 LEGISLATIVE SPECIAL APPROPRIATIONS FILES:

A. Program: local government

B. Maintenance system: chronological by fiscal year, then numerical by project number

C. Description: records documenting and monitoring of projects funded with state appropriations. This record is input to *SHARE*. Files may include grant agreement, copy of corresponding legislation, copies of contracts, notice of obligation, copies of cancelled checks, related financial documents, monthly reporting status, capital project monthly monitoring reports, final report, close out letter, correspondence, etc.

D. Retention: seven years from the close of the fiscal year in which audit is released and accepted
[1.18.341.161 NMAC - N, 4/22/2013]

1.18.341.162 COMMUNITY DEVELOPMENT BLOCK GRANT FILES:

A. Program: local government

B. Maintenance system: chronological by federal fiscal year, then numerical by project number

C. Description: records documenting and monitoring federal housing and urban development funds distributed to local and county governments in rural and non-rural New Mexico. This record is input to *SHARE*. Files may include application and housing and urban development (HUD) disclosure reports, copy of american community survey or census data, copy of grant award letter, grant agreements, project documentation, progress reports, real property acquisition documentation, financial management documentation, professional services documentation (i.e., request for proposals, affidavit of publications, copy of minutes of meeting, contractor and subcontractor activity report, copy of notice of award, etc.), environmental requirements (i.e., certified environmental official designation form, statement of findings, certification of exemption, compliance checklist, authority to use grant funds, etc.), environmental assessment, citizen participation documentation (i.e., notices of public hearings, minutes of meetings, participation plan, resolution to adopt participation plan, etc.), fair housing documentation (i.e., fair housing self-assessment, resolution or proclamation, anti-displacement and relocation assistance plan, etc.), equal employment opportunity work force analysis, competitive sealed bids for construction, labor standards documentation (i.e., weekly payrolls and statements of compliance, monthly employee interviews, overtime violation report, final wage compliance report, etc.), closeout documentation (i.e., final progress report, architect or engineer's letter of acceptance or certificate of substantial completion, final change order, final inspection report, copy of record as-built drawings, minutes of final closeout public hearing, final inspection, etc.), correspondence, etc.

D. Retention: seven years from the close of the federal fiscal year in which audit is released and accepted

[1.18.341.162 NMAC - N, 4/22/2013]

1.18.341.163 [RESERVED]

1.18.341.164 CAPITAL OUTLAY PROJECT FILES:

A. Program: local government

B. Maintenance system: chronological by fiscal year, then numerical by project number

C. Description: records documenting the legislation of the severance tax bonds or appropriation of general funds for capital outlay projects. This record is input to *SHARE*. Files may include corresponding legislation, grant agreement, request for payment, project related documents, close out letter, correspondence, etc.

D. Retention: seven years from the close of the fiscal year in which audit is released
[1.18.341.164 NMAC - N, 4/22/2013]

1.18.341.165 E - 911 FILES:

A. Program: local government

B. Maintenance system: chronological by fiscal year, then alphabetical by service provider

C. Description: records documenting payments made by the department for point of service E-911 service providers on behalf of local governments. This record is input to *SHARE*. Files may include grant agreement, invoices, copies of warrants, correspondence, etc.

D. Retention: seven years from the close of the fiscal year in which audit is released and accepted
[1.18.341.165 NMAC - N, 4/22/2013]

1.18.341.166 - 169 [RESERVED]

1.18.341.170 LOCAL GOVERNMENT ADJUSTED BUDGET, ACTUAL REVENUES AND EXPENSE REPORT FILES:

A. Program: local government

B. Maintenance system: chronological by fiscal year, then alphabetical by county and municipality

C. Description: reports documenting annual budget information of local government entities.

Reports may show adjusted budget by fund, cash balances by fund, budgeted revenues including; property taxes, gasoline taxes, gross receipts taxes, motor vehicle fees, salary, debt service, insurance and all supporting schedules, copies of all related budget resolutions, etc.

D. Retention: six years after close of fiscal year in which created
[7/16/96; A, 5/23/97; 1.18.341.170 NMAC - Rn, 1 NMAC 3.2.93.341.80.180, 7/22/2002; A, 4/22/2013]

1.18.341.171 LODGERS TAX QUARTERLY REPORT FILES:

A. Program: local government

B. Maintenance system: chronological by tax year, then alphabetical by local government entity

C. Description: report documenting occupancy and hospitality tax revenues generated within lodging establishments (i.e., hotels, motels, cottages, bed and breakfast establishments and other lodging businesses, etc.). Reports may show the percent imposed; revenue summary detailing the amount of lodgers' tax proceeds, investment income, intergovernmental transfers and other revenue received by a reporting entity as result of the occupancy tax; revenue allocation detailing the amount of revenue dedicated to the non-promotional fund; and the promotional fund; cash balance summary stating the amount of cash on hand in the non-promotional and promotional funds; expenditure summary identifying the amount expended from the non-promotional fund for contractual services, operating expenses, capital outlay, debt service and net transfers and the amount expended from the promotional fund for contractual services, tourist related events and net transfers; expenditures in the contractual services category; a description of the activity or event, the date of the activity or event, name of the contractor, etc.

D. Retention: 10 years from the close of the tax year in which report created
[1.18.341.171 NMAC - N, 4/22/2013]

1.18.341.172 FOREST RESERVE DISTRIBUTION PROGRAM FILES:

A. Program: local government

B. Maintenance system: chronological by federal fiscal year, then alphabetical by local government entity

C. Description: records documenting the annual distribution of federal funds paid to local government entities for the purpose of providing funding for schools and roads; investments in specific forest projects and to improve relationships between local governments, national forests and public related to national forest lands. This record is input to *SHARE*. File may include county election forms for the title distributions, payment distribution spreadsheet, correspondence, etc.

D. Retention: seven years from the close of the federal fiscal year in which distributions are made
[1.18.341.172 NMAC - N, 4/22/2013]

1.18.341.173 TAYLOR GRAZING DISTRIBUTION PROGRAM FILES:

- A. Program:** local government
- B. Maintenance system:** chronological by federal fiscal year, then alphabetical by local government entity
- C. Description:** records documenting the annual distribution of federal funds paid to local government entities with grazing districts. This record is input to *SHARE*. Files may include bureau of land management, *distribution of receipts document* (BLM BP 1300.1), report (PCN: FRD198), payment distribution spreadsheet, correspondence, etc.
- D. Retention:** seven years from the close of the federal fiscal year in which distributions are made
[1.18.341.173 NMAC - N, 4/22/2013]

1.18.341.174 LAW ENFORCEMENT PROTECTION FUND DISTRIBUTION FILES:

- A. Program:** local government
- B. Maintenance system:** chronological by fiscal year, then alphabetical by local government entity
- C. Description:** records documenting the distribution of funds to municipal police, county sheriffs and tribal police departments for use in the maintenance and improvement of those departments in order to enhance the efficiency and effectiveness of law enforcement services. This record is input to *SHARE*. Files may include officer registry from the NM department of public safety, applications from local government entities, correspondence, etc.
- D. Retention:** seven years from the close of the fiscal year in which distributions are made
[1.18.341.174 NMAC - N, 4/22/2013]

1.18.341.175 LOCAL DRIVING WHILE INTOXICATED PROGRAM FILES:

- A. Program:** local government
- B. Maintenance system:** chronological by fiscal year, then alphabetical by county or municipality
- C. Description:** records documenting and tracking funds allocated to local government entities to implement a driving while intoxicated program. Portions of this file are input to *SHARE*. Files may include grant agreement, quarterly financial narratives, evaluation plans, documentation of distributions, grant reimbursement requests, financial report with unexpended funds identified, close out letter, correspondence, etc.
- D. Retention:** seven years from the close of the fiscal year in which audit is released and accepted
[1.18.341.175 NMAC - N, 4/22/2013]

1.18.341.176 JUVENILE ADJUDICATION PROGRAM FILES:

- A. Program:** local government
- B. Maintenance system:** chronological by fiscal year, then alphabetical by county or municipality
- C. Description:** records documenting and tracking funds allocated to local government entities to implement a juvenile adjudication program. The juvenile adjudication fund is appropriated to DFA to administer the fund and to provide an alternative adjudication process for juveniles charged with traffic offenses and other misdemeanors. Portions of this file are input to *SHARE*. Files may include grant agreement, quarterly financial narratives, evaluation plans, documentation of distributions, grant reimbursement requests, financial report with unexpended funds identified, close out letter, correspondence, etc.
- D. Retention:** seven years from the close of the fiscal year in which audit is released and accepted
[1.18.341.176 NMAC - N, 4/22/2013]

1.18.341.177 - 179 [RESERVED]

1.18.341.180 CENTRAL FINANCIAL REPORTING AND ACCOUNTING SYSTEM (C-FRAS):

- A. Program:** financial control division; central financial reporting and accounting system (C-FRAS) electronic records
- B. Maintenance system:** none
- C. Description:** the central financial reporting and accounting system processes financial and accounting information. The system contains all master tables required to process financial transactions for state agencies.
- D. Retention:**
 - (1) **Data:** 10 years after close of fiscal year in which created

(2) **System:** one year after discontinuance of system provided all magnetic data files are authorized for disposal or transferred to new or alternate system
[7/16/96; 1.18.341.180 NMAC - Rn, 1 NMAC 3.2.93.341.90.101, 7/22/2002]

1.18.341.181 - 200 [RESERVED]

1.18.341.201 PURCHASE DOCUMENT (SPD-101A):

A. Program: financial control division hard copy input records
B. Maintenance system: numerical by agency code
C. Description: form used by state agencies to reserve their budget for a specific purchase (i.e., to record encumbrances and reserve or designate fund balances). Form shows vendor code, vendor name and address, seller fund, seller agency code, page, date, I/G (inter-governmental transfer) box, PC (purchase document) box, agency code, document number, terms, delivery date, FOB (free on board) code, ship to, bill to, agency contact, phone number, line number, fund code, agency code, organization code, object code, amount, for agency use, total, purchase type, agency authorized signature, approval (internal agency), commodity line, quantity, unit, commodity code, account line, article and description, unit cost, total cost, and total.

D. Retention: six years after close of fiscal year in which created
[2/23/67...7/16/96; 1.18.341.201 NMAC - Rn, 1 NMAC 3.2.93.341.90.201, 7/22/2002]

1.18.341.202 PURCHASE DOCUMENT CONTINUATION SHEET (PD202-A2):

A. Program: financial control division hard copy input records
B. Maintenance system: none
C. Description: form used as a continuation sheet for the purchase document (form SPD-101A). Sheet shows commodity line, quantity, unit, commodity code, account line, article and description, unit cost, total cost and total.

D. Retention: attached to associated purchase document (SPD-101A), 1.18.341.201 NMAC.
[7/16/96; 1.18.341.202 NMAC - Rn, 1 NMAC 3.2.93.341.90.202, 7/22/2002]

1.18.341.203 PURCHASE DOCUMENT MODIFICATION (FCD C-FRAS-01):

A. Program: financial control division hard copy input records
B. Maintenance system: numerical by agency code
C. Description: form used to post adjustments to an existing purchase document (form SPD-101A). Form shows vendor code, vendor name and order address, seller fund, page, date, I/G (inter-governmental transfer) box, PC (purchase document) box, agency code, document number, line code, fund code, agency code, organization code, object code, amount, for agency use, total, commodity line, quantity, unit, commodity code, account line, article and description, unit cost, total cost, agency authorized signature and approval (internal agency).

D. Retention: six years after close of fiscal year in which created
[8/27/79...7/16/96; 1.18.341.203 NMAC - Rn, 1 NMAC 3.2.93.341.90.203, 7/22/2002]

1.18.341.204 PAYMENT VOUCHER (FCD C-FRAS-02):

A. Program: financial control division hard copy input records
B. Maintenance system: numerical by agency code
C. Description: form used by state agencies to pay vendors external to New Mexico state government as well as to other state agencies. Form shows vendor code, vendor name and remittance address, agency name, page, date, agency code, document number, expiration date contract number, warrant number, reference document, line, code, commodity line, invoice number, fund, organization code, object code, revenue source, balance sheet account, report category, description, amount, total, payee signature, agency approval, name/title, authorized signature and date.

D. Retention: six years after close of fiscal year in which created
[5/5/62...7/16/96; 1.18.341.204 NMAC - Rn, 1 NMAC 3.2.93.341.90.204, 7/22/2002]

1.18.341.205 OPERATING TRANSFER (C-FRAS-04):

A. Program: financial control division hard copy input records
B. Maintenance system: numerical by agency code
C. Description: record concerning C-FRAS operating transfers of cash between funds. Form shows initiating agency name and code, page, date, document number, account type, fund, agency, organization code,

object or revenue source, balance sheet account, report category, agency name, amount from (debit), amount to (credit), totals, authority and remarks, agency authorized signature, date DFA approval and date.

D. Retention: six years after close of fiscal year in which created
[5/5/62...7/16/96; 1.18.341.205 NMAC - Rn, 1 NMAC 3.2.93.341.90.205, 7/22/2002]

1.18.341.206 DISTRIBUTION PAYMENT VOUCHER (FCD C-FRAS-05):

A. Program: financial control division hard copy input records
B. Maintenance system: numerical by agency code
C. Description: record concerning expenditures for multiple payees out of a single accounting distribution (e.g., public employees retirement association paying their annuitants). Shows agency name, page, date, agency code, document number, fund, organization code, object, revenue source, balance sheet account, report category, description, total amount, for agency use, verified by, and agency authorized signature.

D. Retention: six years after close of fiscal year in which created
[3/25/74...7/16/96; 1.18.341.206 NMAC - Rn, 1 NMAC 3.2.93.341.90.206, 7/22/2002]

1.18.341.207 DISTRIBUTION PAYMENT VOUCHER CONTINUATION SHEET (FCD C-FRAS-05):

A. Program: financial control division hard copy input records
B. Maintenance system: none
C. Description: form used as a continuation sheet for the distribution payment voucher (form FCD C-FRAS-05). Sheet shows page, date, agency code, document number line, vendor code, vendor name and remittance address, invoice number, amount, payment voucher number, warrant number and total.

D. Retention: attached to distribution payment voucher (FCD C-FRAS-05), 1.18.341.206 NMAC.
[3/25/74...7/16/96; 1.18.341.207 NMAC - Rn, 1 NMAC 3.2.93.341.90.207, 7/22/2002]

1.18.341.208 JOURNAL VOUCHER (FCD C-FRAS-06):

A. Program: financial control division hard copy input records
B. Maintenance system: numerical by agency code
C. Description: record concerning correction of errors of previously posted or recorded C-FRAS transactions, summary entries, and accrual entries. Form shows DFA approval, agency name, page, date, agency code, document number, budget fiscal year, accounting period, accounting type, fund, agency code, organization code, appropriation unit code, object or revenue source, balance sheet account, report category, vendor code, description, debit amount, credit amount, totals, explanation, prepared by, date and phone number and agency authorized signature.

D. Retention: six years after close of fiscal year in which created
[5/5/62...7/16/96; 1.18.341.208 NMAC - Rn, 1 NMAC 3.2.93.341.90.208, 7/22/2002]

1.18.341.209 ITEMIZED SCHEDULE OF TRAVEL EXPENSES (FCD C-FRAS-07):

A. Program: financial control division hard copy input records
B. Maintenance system: none
C. Description: record concerning travel reimbursement for state business. Form shows agency name, page, date, agency code, voucher number, name, car license number, social security number, model, normal work day, year, post of duty, residence, proposed (advance voucher), actual (recoupment voucher), date, departure, arrival, character of expenditures, (odometer readings) enter start and finish, number of miles, mileage (amounts), per diem (amounts), miscellaneous (amounts), total (amounts), per diem basis, totals, adjusted reimbursement, notary and witness signature and jurat signature.

D. Retention: attached to associated payment voucher (FCD C-FRAS-02), 1.18.341.204 NMAC.
[2/23/67...7/16/96; 1.18.341.209 NMAC - Rn, 1 NMAC 3.2.93.341.90.209, 7/22/2002]

1.18.341.210 WARRANT CANCELLATION (FCD C-FRAS-08):

A. Program: financial control division hard copy input records
B. Maintenance system: numerical by agency code
C. Description: record concerning warrant cancellation transactions. Form shows agency name, page, cancellation date, budget fiscal year, document number, vendor code, warrant number, manual warrant, cancellation type, description, (reference document) code, (reference document) agency, (reference document), document number, (reference document) account line, fund, agency, organization, object, revenue source, balance sheet account, report category, description, amount, total, prepared by and agency authorized signature.

D. Retention: six years after close of fiscal year in which created
[2/23/67...7/16/96; 1.18.341.210 NMAC - Rn, 1 NMAC 3.2.93.341.90.210, 7/22/2002]

1.18.341.211 C-FRAS ACCOUNT MAINTENANCE FORM (FCD C-FRAS-09):

A. Program: financial control division hard copy input records
B. Maintenance system: numerical by agency code
C. Description: record concerning agency account maintenance on C-FRAS (primarily used to add, change, or delete an organization code or fund code). Shows requesting agency name, date, fund information (add, change, delete), fund code, fund type, function of government, fund name, budget, non-budgeted, agency information (add, change, delete), agency code, agency name, organizational information (add, change, delete), organizational code, organizational name, cash account information (add, change, delete), cash account code, cash account name, budgeted, non-budgeted, agency information (add, change, delete), agency code, agency name, activity information (add, change, delete), activity code, activity name, for additions establishing authority, statutory citation, executive order, court order, custodian of account, purpose, agency approval (DFA USE ONLY) C-FRAS maintenance (add, change, delete), fund code assigned, agency code assigned, organization code assigned, central encumbrance system maintenance (add, change, delete), cash account, agency code, activity code, effective date, approved, disapproved and date approved

D. Retention: three years after close of fiscal year in which created
[7/16/96; 1.18.341.211 NMAC - Rn, 1 NMAC 3.2.93.341.90.211, 7/22/2002]

1.18.341.212 VENDOR FORM (SUBSTITUTE W-9) REQUEST FOR TAXPAYER IDENTIFICATION NUMBER (TIN) VERIFICATION:

A. Program: financial control division hard copy input records
B. Maintenance system: alphabetical by business name
C. Description: record used to establish a new vendor code in the C-FRAS or update information in the vendor file in C-FRAS for entities doing business with the state of New Mexico. Form shows business name, dba (doing business as) name, address, city, state, zip, type of business designation, individual, sole proprietorship, partnership, estate/trust, corporation, tax exempt including medical services under Sec. 501(c)(3), governmental, professional corporation providing a medical service, 9 digit taxpayer identification number, TIN applied for, licensed realtor yes or no, certification name, title, signature, date, telephone, (AGENCY USE ONLY) agency name, sent by, division/bureau, office location, (DFA USE ONLY) vendor addition or change, 1099 yes or no, action completed by and date.

D. Retention: five years after close of fiscal year in which created
[7/16/96; 1.18.341.212 NMAC - Rn, 1 NMAC 3.2.93.341.90.212, 7/22/2002]

1.18.341.213 BUDGET ADJUSTMENT REQUEST FORM:

A. Program: financial control division hard copy input records
B. Maintenance system: numerical by agency code
C. Description: form used to adjust agency operating budgets. Shows initiating agency name, initiating organization name, page, date, budget fiscal year, date FCD received, budgeted appropriations, fund or agency or organization, appropriation unit code, amount increase, amount decrease, estimated revenue allocation, total increase, total decrease, budgeted revenues, fund/agency, revenue source, amount increase, amount decrease, BAR type, total increase, total decrease, (FOR DFA USE ONLY) control number, analyst review (date, accept, reject), director review (date, accept, reject), pre-audit (date, accept, reject), and agency authorized signature.

D. Retention: 6 years after close of fiscal year in which created
[5/5/62...7/16/96; 1.18.341.213 NMAC - Rn, 1 NMAC 3.2.93.341.90.213, 7/22/2002]

1.18.341.214 STATE TREASURER DEPOSIT SLIP FORM (STATE TREASURER-01):

A. Program: financial control division hard copy input records
B. Maintenance system: numerical by agency code
C. Description: record verifying deposit of an agency's revenues (budgeted or other source) with the state treasurer. Form shows type of deposit (cash, check, wire transfer), agency name, division name, prepared by, phone number, date, budget fiscal year, cash account or agency code, amount, total, fund, agency, organization, revenue source, appropriation unit code, object, balance sheet account, report category, vendor code, amount, total, and (for agency use).

D. Retention: one year after audit report released

[5/5/62...7/16/96; 1.18.341.214 NMAC - Rn, 1 NMAC 3.2.93.341.90.214, 7/22/2002]

1.18.341.215 OPERATING BUDGET INPUT FORM (OPBUD-3):

- A. Program:** financial control division hard copy input records
- B. Maintenance system:** numerical by agency code
- C. Description:** record concerning an agency's request to DFA to adopt the overall annual revenue and appropriation budget. Form shows page, date, fiscal year, fund, agency name, fund or agency, revenue source, source of funds, amount, total, sequence number, fund or agency or organization, and amount.
- D. Retention:** until audit report is released

[5/5/62...7/16/96; 1.18.341.215 NMAC - Rn, 1 NMAC 3.2.93.341.90.215, 7/22/2002]

[Note: this is a copy of the OPBUD-3 used by the financial control division for input into the C-FRAS. See also appropriation request and operating budget files, 1.18.341.115 NMAC.]

1.18.341.216 - 300 [RESERVED]

1.18.341.301 MONTHLY BUDGET STATUS REPORT (NM02):

- A. Program:** financial control division hard copy output records
- B. Maintenance system:** chronological by month
- C. Description:** record concerning monthly budget information by fund and organization for each agency. Report shows approved budget, budget adjustments, adjusted budget, expenditures to date, outstanding encumbrances, unencumbered budget balances, and amounts expended in the current month.
- D. Retention:**
 - (1) **June report (last report of fiscal year):** 10 years after close of fiscal year in which created
 - (2) **All other months:** one year after audit report released

[5/5/62...7/16/96; 1.18.341.301 NMAC - Rn, 1 NMAC 3.2.93.341.90.301, 7/22/2002]

1.18.341.302 MONTHLY REVENUE STATUS REPORT (A203NM):

- A. Program:** financial control division hard copy output records
- B. Maintenance system:** chronological by month
- C. Description:** record concerning revenue budget information by fund. Report shows original approved budgets, budget adjustments, adjusted budget amount, current revenues realized, fiscal year-to-date revenues realized and unrealized budget balance.
- D. Retention:**
 - (1) **June report (last report of fiscal year):** 10 years after close of fiscal year in which created
 - (2) **All other months:** one year after audit report released

[5/5/62...7/16/96; 1.18.341.302 NMAC - Rn, 1 NMAC 3.2.93.341.90.302, 7/22/2002]

1.18.341.303 TRIAL BALANCE BY ACCOUNTING DISTRIBUTION (A611):

- A. Program:** financial control division hard copy output records
- B. Maintenance system:** chronological by month
- C. Description:** record concerning each accounting transaction processed during the period. Shows information by balance sheet account, object, revenue source, opening balances, detail of activity during the period and ending balances.
- D. Retention:**
 - (1) **June report (last report of fiscal year):** 10 years after close of fiscal year in which created
 - (2) **All other months:** one year after audit report released

[5/5/62...7/16/96; 1.18.341.303 NMAC - Rn, 1 NMAC 3.2.93.341.90.303, 7/22/2002]

1.18.341.304 SUMMARY LISTING OF PRIOR YEAR ENCUMBRANCES (NM01):

- A. Program:** financial control division hard copy output records
- B. Maintenance system:** chronological by month
- C. Description:** report concerning an agency's prior year encumbrances. Summary shows object code, encumbrance number, balance at July 1, current month activity, year-to-date activity and unliquidated encumbrance amounts.
- D. Retention:**
 - (1) **June report (last report of fiscal year):** 10 years after close of fiscal year in which created

(2) **All other months:** one year after audit report released
[5/5/62...7/16/96; 1.18.341.304 NMAC - Rn, 1 NMAC 3.2.93.341.90.304, 7/22/2002]

1.18.341.305 SUMMARY LISTING OF ENCUMBRANCES (NM03):

A. Program: financial control division hard copy output records
B. Maintenance system: chronological by month
C. Description: report concerning information on all encumbrance activity through the end of the month for current and prior year encumbrances. Summary shows object code, encumbrance number, line number, vendor code, original encumbrance amount, current month activity, year-to-date activity and unliquidated encumbrance amounts.

D. Retention:

(1) **June report (last report of fiscal year):** 10 years after close of fiscal year in which created

(2) **All other months:** one year after audit report released

[5/5/62...7/16/96; 1.18.341.305 NMAC - Rn, 1 NMAC 3.2.93.341.90.305, 7/22/2002]

1.18.341.306 BALANCE SHEET (F100):

A. Program: financial control division hard copy output records
B. Maintenance system: chronological by month
C. Description: record concerning an agency's balance sheet account balances. Balance sheet shows assets, liabilities and fund balances.

D. Retention:

(1) **June report (last report of fiscal year):** 10 years after close of fiscal year in which created

(2) **All other months:** one year after audit report released

[5/5/62...7/16/96; 1.18.341.306 NMAC - Rn, 1 NMAC 3.2.93.341.90.306, 7/22/2002]

1.18.341.307 DISTRIBUTION VOUCHER RECONCILIATION REPORT (DV01):

A. Program: financial control division hard copy output records
B. Maintenance system: chronological by month
C. Description: report used by agencies to reconcile individual payees on distribution vouchers to the distribution voucher number. Report shows distribution law(s), verified by, approved by, title, vendor number, payee, amount due, voucher number, warrant number and voucher total.

D. Retention: until audit report released

[7/16/96; 1.18.341.307 NMAC - Rn, 1 NMAC 3.2.93.341.90.307, 7/22/2002]

1.18.341.308 VOUCHER PAYMENT WARRANT REGISTER (A657NM):

A. Program: financial control division hard copy output records
B. Maintenance system: chronological by date produced
C. Description: record documenting all warrants issued to each agency by DFA based on related payment vouchers submitted by agencies. Report is produced daily for each agency that receives warrants on that day. Report shows warrant number, vendor name, vendor code, voucher number, voucher date, vendor invoice, fund, payment amount, delivered or mailed signature, date, received warrants signature and date, and total number of warrants.

D. Retention: until audit report is released

[7/16/96; 1.18.341.308 NMAC - Rn, 1 NMAC 3.2.93.341.90.308, 7/22/2002]

1.18.341.309 RECONCILIATION CONFIRMATION FORM AND INSTRUCTIONS:

A. Program: financial control division hard copy output records
B. Maintenance system: chronological by month
C. Description: record concerning agencies' reconciliation confirmation of C-FRAS monthly reports (e.g., budget status report, balance sheet, etc.). Form is required to be submitted by agencies to DFA as soon as possible after the C-FRAS reports have been reconciled by the agency. Form shows agency code, agency name, fund or agency or organization, document type, document identification number, amount, explanation, month, date, preparer's signature and phone number.

D. Retention: until audit report is released

[7/16/96; 1.18.341.309 NMAC - Rn, 1 NMAC 3.2.93.341.90.309, 7/22/2002]

1.18.341.310 IRS FORM 1099:

- A. Program:** financial control division hard copy output records
- B. Maintenance system:** none
- C. Description:** record concerning an agency's reporting of payments made to vendors for any products or services provided to the state. Form shows payer's mailing address, payer's federal identification number, recipient's identification number, recipient's name and address, rents, royalties, other income, federal income tax withheld, medical and health care payments, substitute payments in lieu to dividends or interest, crop insurance proceeds, state or payer's state number, fishing boat proceeds, nonemployee compensation, payer made direct sales of \$5,000 or more of consumer products to a buyer (recipient) or resale, and state income tax withheld.
- D. Retention:** until forwarded to appropriate agency for distribution to associated vendor (recipient) [7/16/96; 1.18.341.310 NMAC - Rn, 1 NMAC 3.2.93.341.90.310, 7/22/2002]

1.18.341.311 CASH RECEIPT REGISTER (A690NM):

- A. Program:** financial control division hard copy output records
- B. Maintenance system:** none
- C. Description:** report concerning DFA's reconciliation of daily deposits made with the State Treasurer by state agencies. Register shows cash receipt transaction ID, date of deposit, bank, bank account, fund, cash account and amount received.
- D. Retention:** until audit report released [8/27/79...7/16/96; 1.18.341.311 NMAC - Rn, 1 NMAC 3.2.93.341.90.311, 7/22/2002]

1.18.341.312 - 400 [RESERVED]

1.18.341.401 PAYROLL FOLDER:

- A. Program:** financial control division central payroll bureau
- B. Maintenance system:** chronological by pay period
- C. Description:** records concerning summary totals of payroll for state agencies. Folder may contain copy of deduction register (FAPR0954), third party payroll deduction warrants copies, public employees retirement association (PERA) remittance stubs, transmittal sheets (PERA Form 1131), direct deposit warrant copies, warrant copy and remittance stub for payment of federal and state taxes, payroll register totals, summary of transfer orders charged to agencies, refund memorandum, deduction warrant register (FAPR0951), etc.
- D. Retention:** two years after close of fiscal year in which created [7/16/96; 1.18.341.401 NMAC - Rn, 1 NMAC 3.2.93.341.90.401, 7/22/2002]

1.18.341.402 GARNISHMENT FILES:

- A. Program:** financial control division central payroll bureau
- B. Maintenance system:** alphabetical by employee name
- C. Description:** records concerning determination and initiation of garnishment deductions to employee payroll. File may contain writ of garnishment, check-write gross-to-net record, IRS Levy, form letters to paralegal, correspondence, etc.
- D. Retention:** three years after termination of employment
- E. Confidentiality:** portions of this record may be confidential due to nature of garnishment. [1/10/87...7/16/96; 1.18.341.402 NMAC - Rn, 1 NMAC 3.2.93.341.90.402, 7/22/2002]

1.18.341.403 ORDER SUMMARY FOR PURCHASES OF PAYROLL SAVINGS BONDS FILES FORM SD380-1):

- A. Program:** financial control division central payroll bureau
- B. Maintenance system:** chronological by order date
- C. Description:** form concerning purchase of savings bonds for state employees by DFA from the federal reserve bank. Summary shows date ordered, payroll period ending, bonds to bear issue date of, quantity for denomination, total pieces, total issue price, authorized signature, order submitted by, contact name and number, type of media submitted and method of payment.
- D. Retention:** six years after close of fiscal year in which created [7/16/96; 1.18.341.403 NMAC - Rn, 1 NMAC 3.2.93.341.90.403, 7/22/2002]

1.18.341.404 NEW MEXICO RETIREE HEALTH CARE AUTHORITY BENEFITS (FORM NMRHCA #001) FILES:

- A. Program:** financial control division central payroll bureau
- B. Maintenance system:** chronological by pay period
- C. Description:** form concerning remittal of premiums to the New Mexico retiree health care authority by DFA with third party warrants. Form shows reporting entity, employer number, payroll period, beginning, ending, total payroll, employee contributions, total remitted, certifying signature, title, date, phone, date received and amount.
- D. Retention:** one year after close of fiscal year in which created
[7/16/96; 1.18.341.404 NMAC - Rn, 1 NMAC 3.2.93.341.90.404, 7/22/2002]

1.18.341.405 TRANSMITTAL OF PREMIUMS FOR EMPLOYEE ON LWOPOR DISABILITY CONTINUANCE:

- A. Program:** financial control division central payroll bureau
- B. Maintenance system:** chronological by pay period
- C. Description:** form which allows employees to remit insurance payments to providers when the employee is on leave without pay (LWOP), family medical leave (FML) or disability leave. Form shows payroll unit, agency/entity name, agency code, submitted by, phone, employee name, social security number, employee's annualized salary, for (name of company or policy number), payment for period ending, amount, etc.
- D. Retention:** two years after close of calendar year in which created
[7/16/96; 1.18.341.405 NMAC - Rn, 1 NMAC 3.2.93.341.90.405, 7/22/2002]

1.18.341.406 AFFIDAVIT FOR DUPLICATE STATE WARRANT:

- A. Program:** financial control division central payroll bureau
- B. Maintenance system:** chronological by date created
- C. Description:** record concerning request by state employees to DFA central payroll bureau to make a duplicate warrant due to either loss or damage of original warrant. Affidavit shows principal, warrant number, date, name of state account, A/C code, voucher number, amount, payee, lost/destroyed/never received, principal's signature and notarization.
- D. Retention:** two years after close of calendar year in which created
[7/16/96; 1.18.341.406 NMAC - Rn, 1 NMAC 3.2.93.341.90.406, 7/22/2002]

1.18.341.407 NM STATE TREASURER'S OFFICE FOR M FOR STOPPAYMENT ON "A" WARRANTS FILES:

- A. Program:** financial control division central payroll bureau
- B. Maintenance system:** chronological by date created
- C. Description:** records concerning request by central payroll bureau to the state treasurer to place stop payment on a payroll warrant. File may contain stop payment on "A" warrants form, copy of payment voucher, copy of replacement check, copy of affidavit from employee, copy of payroll register, copy of TR01 bank table, payment vouchers paying for direct deposit with the fiscal agent (bank), garnishment refunds, etc.
- D. Retention:** two years after close of fiscal year in which created
[7/16/96; 1.18.341.407 NMAC - Rn, 1 NMAC 3.2.93.341.90.407, 7/22/2002]

1.18.341.408 AUTOMATIC CLEARING HOUSE (ACH) BANK CORRECTIONS AND RETURNS PRINTOUT FILES:

- A. Program:** financial control division central payroll bureau
- B. Maintenance system:** chronological by date created
- C. Description:** print-out concerning notification from fiscal agent to DFA on bank account corrections and money returns. Printout shows run date, customer name, route and transit, sender name, entry date, trace number, transaction code, receiver, receiver A/C (account) number, return information, endpoint identification, A/C number, sender identification, effective date, original trace number, amount, receiver identification, receiver route and transit, and reason code.
- D. Retention:** three years after close of fiscal year in which created
[7/16/96; 1.18.341.408 NMAC - Rn, 1 NMAC 3.2.93.341.90.408, 7/22/2002]

1.18.341.409 DFA PAYROLL REVERSALS AND CREDITS SUMMARY FILES:

A. Program: financial control division central payroll bureau
B. Maintenance system: chronological by month
C. Description: print-out concerning corrections summary of DFA payroll reversals (credits) and debits made to the payroll account at the state treasurer's office. Summary shows month and year, faxed to bank date, statement date, name, amount, bank returns, total DFA authorization signature and date.

D. Retention: two years after close of fiscal year in which created
[7/16/96; 1.18.341.409 NMAC - Rn, 1 NMAC 3.2.93.341.90.409, 7/22/2002]

1.18.341.410 CORRECTION AND REVERSAL REQUEST FORM FILES:

A. Program: financial control division central payroll bureau
B. Maintenance system: chronological by pay period
C. Description: this form is DFA's request to the fiscal agent (bank) to cancel an employee's direct deposit. Form shows employee name, bank account number, net amount of advice, transit number and associated agency.

D. Retention: three years after close of fiscal year in which created
[7/16/96; 1.18.341.410 NMAC - Rn, 1 NMAC 3.2.93.341.90.410, 7/22/2002]

1.18.341.411 CANCELLED PAYROLL WARRANTS AND ADVICES FILES:

A. Program: financial control division central payroll bureau
B. Maintenance system: chronological by pay period
C. Description: records concerning original payroll warrants and advices that the agency is requesting to be cancelled (e.g., incorrect hours, incorrect pay rate, employee terminated). File contains original payroll warrants and advices.

D. Retention: until audit report is released
[2/23/67...7/16/96; 1.18.341.411 NMAC - Rn, 1 NMAC 3.2.93.341.90.411, 7/22/2002]

1.18.341.412 VOIDED PAYROLL WARRANTS FILE:

A. Program: financial control division central payroll bureau
B. Maintenance system: chronological by date voided
C. Description: records concerning original payroll warrants that have been voided by central payroll because of calculation or typographical error. Warrant may show pay date, payee, warrant number, pay period ending and amount.

D. Retention: until audit report is released
[2/23/67...7/16/96; 1.18.341.412 NMAC - Rn, 1 NMAC 3.2.93.341.90.412, 7/22/2002]

1.18.341.413 REDEMPTION OF FORCED PAYROLL "A" WARRANTS FILES:

A. Program: financial control division central payroll bureau
B. Maintenance system: chronological by date created
C. Description: records concerning force redemption of a payroll warrant not on file at the state treasurer. File contains redemption of forced payroll (A) warrants form and copy of associated check.

D. Retention: two years after close of fiscal year in which created
[7/16/96; 1.18.341.413 NMAC - Rn, 1 NMAC 3.2.93.341.90.413, 7/22/2002]

1.18.341.414 W-4 INFORMATION FILES:

A. Program: financial control division central payroll bureau
B. Maintenance system: chronological by pay period
C. Description: records concerning information used to establish tax with holding, state status and FICA status. File contains tax authorization form (HRS payroll form) and may contain copy of W-4 which shows name, social security number, marital status, total number of allowances, additional amount withheld, exemption claimed, employee's signature and date, employer's name and address, office code and employer identification number.

D. Retention: two years after close of calendar year in which created
E. Confidentiality: confidential per 7-1-8 NMSA 1978.
[7/16/96; 1.18.341.414 NMAC - Rn, 1 NMAC 3.2.93.341.90.414, 7/22/2002]

1.18.341.415 EMPLOYER'S QUARTERLY FEDERAL TAX RETURN FILES:

- A. **Program:** financial control division central payroll bureau
- B. **Maintenance system:** chronological by reporting date
- C. **Description:** records concerning DFA's reporting of federal taxes withheld. File contains employer's quarterly federal tax return (form 941) and associated worksheet.
- D. **Retention:** 10 years after close of calendar year in which created
[7/16/96; 1.18.341.415 NMAC - Rn, 1 NMAC 3.2.93.341.90.415, 7/22/2002]

1.18.341.416 MANUAL WARRANT CONTROL LOG (FOR PRE-NUMBERED "A" WARRANTS):

- A. **Program:** financial control division central payroll bureau
- B. **Maintenance system:** numerical by warrant number
- C. **Description:** record concerning manual warrants made outside the regular and supplemental payroll. Log shows warrant number, warrant date, payee name, warrant amount, agency code, fund code, organization code, pay number, prepared by, date logged, document identification, P.V. (payment voucher), HRS (human resource system), and comments or reasons.
- D. **Retention:** six years after close of fiscal year in which created
[7/16/96; 1.18.341.416 NMAC - Rn, 1 NMAC 3.2.93.341.90.416, 7/22/2002]

1.18.341.417 MANUAL WARRANT CONTROL LOG (FOR CONTROL WARRANTS):

- A. **Program:** financial control division central payroll bureau
- B. **Maintenance system:** numerical by warrant number
- C. **Description:** records concerning all control warrants that are used by central payroll. Log shows warrant date, payee name, control number, warrant number, amount, voucher number, agency, date logged in, JE (journal entry) number and entered by.
- D. **Retention:** six years after close of fiscal year in which created
[7/16/96; 1.18.341.417 NMAC - Rn, 1 NMAC 3.2.93.341.90.417, 7/22/2002]

1.18.341.418 REGULAR/SUPPLEMENTAL PAYROLL VERIFICATION LOG:

- A. **Program:** financial control division central payroll bureau
- B. **Maintenance system:** chronological by pay period
- C. **Description:** checklist showing internal verification that all required payroll output media has been generated.
- D. **Retention:** until all output media has been accounted for
[7/16/96; 1.18.341.418 NMAC - Rn, 1 NMAC 3.2.93.341.90.418, 7/22/2002]

1.18.341.419 - 500 [RESERVED]

1.18.341.501 HUMAN RESOURCES MANAGEMENT SYSTEM (HRMS) PAYROLL MODULE:

- A. **Program:** human resource management system - payroll module electronic records
- B. **Maintenance system:** none
- C. **Description:** the HRMS payroll module uses the HRMS updated control tables and the employee database to process personnel records, time reports or sheets and payroll adjustment forms. Reports or checks or advises are outputs from the system.
- D. **Retention:**
 - (1) **Data:** four years after close of calendar year in which employee separated or retired
 - (2) **System:** one year after discontinuance of system provided all magnetic data files are authorized for disposal or transferred to new or alternate system
[7/16/96; 1.18.341.501 NMAC - Rn, 1 NMAC 3.2.93.341.90.501, 7/22/2002]

1.18.341.502 - 600 [RESERVED]

1.18.341.601 TIME REPORTS:

- A. **Program:** human resource management system - payroll module electronic input records
- B. **Maintenance system:** none
- C. **Description:** electronic reporting of employee's time for payroll purposes by "positive reporting" agencies. Report shows batch number, pay period ending, schedule number, address, contact name and phone

number, employee name, social security number, transaction code, week ending, earnings type, time, rate of pay, job, job classification, range, fund, activity, cost center, control totals, authorized signature and date.

D. Retention: none

[3/25/74...7/16/96; 1.18.341.601 NMAC - Rn, 1 NMAC 3.2.93.341.90.601, 7/22/2002]

[Note: information from the time report resides in the human resource system in electronic format and eventually results in the production of the transaction holding file list, 1.18.341.702 NMAC.]

1.18.341.602 TIME SHEETS (PRINT-OUT):

A. Program: human resource management system - payroll module hard copy input records

B. Maintenance system: chronological by pay period

C. Description: print-out used by an "exception" agency to document employee payroll hours to DFA. Printout shows agency cost account, pay period end date, payroll schedule number, page, social security number, organization, employee name, salary, regular hours, term leave hours, overtime, shift, additional gross and paid sick leave.

D. Retention: two years after close of fiscal year in which created

[3/25/74...7/16/96; 1.18.341.602 NMAC - Rn, 1 NMAC 3.2.93.341.90.602, 7/22/2002]

1.18.341.603 RETROACTIVE PAY ADJUSTMENT TRANSACTION FORM FILES:

A. Program: human resource management system - payroll module hard copy input records

B. Maintenance system: chronological by pay period

C. Description: form used to adjust pay, time, dollars, or type of pay (overtime, regular, etc.) for prior pay periods. Form shows schedule number, batch number, pay period, agency, address, social security number, name, account number, job classification, earnings type, gross amount, +/- (increase/decrease) indicator, time, week ending, adjustment code, prepared by and date.

D. Retention: two years after close of fiscal year in which created

[7/16/96; 1.18.341.603 NMAC - Rn, 1 NMAC 3.2.93.341.90.603, 7/22/2002]

1.18.341.604 ADDITIONAL PAY TRANSACTION FORM FILES:

A. Program: human resource management system - payroll module hard copy input records

B. Maintenance system: chronological by pay period

C. Description: form used to report pay that is an additional amount generated outside of the employee's regular pay (e.g., additional gross, overtime not previously paid). Form shows schedule number, batch number, pay period ending, agency, address, contact, phone number, week ending, earning type, time, separate check, rate or amount, voluntary deduction, job classification, account number, control totals, prepared by and date.

D. Retention: two years after close of fiscal year in which created

[7/16/96; 1.18.341.604 NMAC - Rn, 1 NMAC 3.2.93.341.90.604, 7/22/2002]

1.18.341.605 LUMPSUM PAYMENT FORM FILES:

A. Program: human resource management system - payroll module hard copy input records

B. Maintenance system: chronological by pay period

C. Description: form used to initiate a lump sum payment, bonus pay, etc., for employees. Form shows schedule number, batch number, pay period ending, agency, address, contact, phone number, week ending, earning type, time, rate or amount, job classification, account number, control totals, prepared by and date.

D. Retention: two years after close of fiscal year in which created

[7/16/96; 1.18.341.605 NMAC - Rn, 1 NMAC 3.2.93.341.90.605, 7/22/2002]

1.18.341.606 CENTRAL PAYROLL BATCH HEADER SHEET:

A. Program: human resource management system - payroll module hard copy input records

B. Maintenance system: chronological by pay period.

C. Description: DFA internal form used to batch "exception" time sheets for key entry. Sheet shows pay period end date, number of transactions, DFA batch number, entered by and verified by.

D. Retention: two years after close of fiscal year in which created

[2/23/67...7/16/96; 1.18.341.606 NMAC - Rn, 1 NMAC 3.2.93.341.90.606, 7/22/2002]

1.18.341.607 PAYROLL BATCH CONTROL FORM FILES:

A. Program: human resource management system - payroll module hard copy input records

B. Maintenance system: chronological by pay period
C. Description: form used by DFA and agencies to batch transactions for key entry (e.g., time reporting, payroll adjustments, corrections and automatic cancellations). Form shows schedule number, pay period ending, agency address, batch, origin, transaction count, hours hash total, rate hash total, prepared by and date.

D. Retention: two years after close of fiscal year in which created
[2/23/67...7/16/96; 1.18.341.607 NMAC - Rn, 1 NMAC 3.2.93.341.90.607, 7/22/2002]

1.18.341.608 AGENCY BATCH NUMBERS PRINT-OUT:

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period
C. Description: batch numbers are assigned to each agency by DFA and are used for time entry and payroll input forms. Print-out shows agency code and batch numbers assigned.

D. Retention: two years after close of fiscal year in which created
[2/23/67...7/16/96; 1.18.341.608 NMAC - Rn, 1 NMAC 3.2.93.341.90.608, 7/22/2002]

1.18.341.609 PERSONNEL ACTION FORM (SPB FORM 1) FILES:

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: alphabetical by employee name
C. Description: record concerning initial employment, promotions, transfers, leaves of absence and other personnel actions of employees. Form shows employee name, social security number, department name/address, personnel action code, reason, description, effective date, payroll status information, job assignment information, account number, earning type, rate or amount, start date, stop date, job history information, job performance information and approvals.

D. Retention: three years after close of fiscal year in which created
[3/25/74...7/16/96; 1.18.341.609 NMAC - Rn, 1 NMAC 3.2.93.341.90.609, 7/22/2002]

1.18.341.610 PERSONAL DATA FORM (SPB FORM 3) FILE:

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period.
C. Description: form which provides personal information that is needed for payroll purposes. Form shows social security number, department name and address, contact information, citizenship, educational level, referral source, sex, date of birth, ethnicity, handicap and military status.

D. Retention: two years after close of fiscal year in which created
[3/25/74...7/16/96; 1.18.341.610 NMAC - Rn, 1 NMAC 3.2.93.341.90.610, 7/22/2002]

1.18.341.611 PAYROLL ADJUSTMENT WORKSHEET FILES:

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period
C. Description: worksheet used to establish one-time adjustments to an employee's existing deductions or employer's contributions. Worksheet is also prepared for refunding of deductions and/or contributions that were taken in error. Worksheet shows schedule number, batch number, pay period ending, employee's social security number, name, element number, +/R indicator (amount added or replaced), amount, prepared by and date.

D. Retention: four years after close of fiscal year in which created
[5/8/88...7/16/96; 1.18.341.611 NMAC - Rn, 1 NMAC 3.2.93.341.90.611, 7/22/2002]

1.18.341.612 DEDUCTION (BENEFITS) UPDATE TRANSACTION WORKSHEET FILES:

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period
C. Description: worksheet used to establish mandatory or change voluntary deductions, reductions and contributions. Worksheet shows schedule number, batch number, pay period ending, agency or department, address, contact person, phone number, employee name, social security number, element number, balance code, amount, total amount, certification and date.

D. Retention: two years after close of fiscal year in which created
[7/16/96; 1.18.341.612 NMAC - Rn, 1 NMAC 3.2.93.341.90.612, 7/22/2002]

1.18.341.613 BENEFITS AUTHORIZATION FORM (DFA FORM 5) FILES:

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period
C. Description: record concerning payroll sort for time sheets, payroll warrants and advices including payroll payment disposition information. Form shows employee name, social security number, effective date, department name and address, payroll routing code, retirement plan, health insurance plan, life insurance plan, leave accruals, prepared by and date.

D. Retention: two years after close of fiscal year in which created
[7/16/96; 1.18.341.613 NMAC - Rn, 1 NMAC 3.2.93.341.90.613, 7/22/2002]

1.18.341.614 U.S. SAVINGS BOND ENROLLMENT FORM FILES:

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period
C. Description: record used to gather employee enrollment information for U.S. Savings Bonds. Form shows employee's social security number, name, effective date, bond purchase price, bond owner information, co-owner or beneficiary information, employee social security number and total bond deduction amount.

D. Retention: four years after close of fiscal year in which created
[7/16/96; 1.18.341.614 NMAC - Rn, 1 NMAC 3.2.93.341.90.614, 7/22/2002]

1.18.341.615 BALANCE ADJUSTMENT WORKSHEET FILES:

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period
C. Description: record concerning payroll adjustments made to update any hours balance maintained in the employee database (EDB) record. Record also used to adjust dollar balances and gross-to-net balances in the EDB record. Worksheet shows schedule number, batch number, pay period ending, employee's social security number, name, transaction code or screen number, hours balance adjustments, dollar balance adjustments, gross-to-net balance adjustments, prepared by, date, etc.

D. Retention: two years after close of fiscal year in which created
[7/16/96; 1.18.341.615 NMAC - Rn, 1 NMAC 3.2.93.341.90.615, 7/22/2002]

1.18.341.616 TAX AUTHORIZATION FORM FILES:

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period
C. Description: form used to document tax withholding information for an employee's tax status as well as IRS tax levy exemptions. Form shows employee name, social security number, department name and address, state of employment, state of residence, marital status, regular allowances, FICA eligibility, IRS tax levy exemptions, prepared by and date.

D. Retention: two years after close of fiscal year in which created
[7/16/96; 1.18.341.616 NMAC - Rn, 1 NMAC 3.2.93.341.90.616, 7/22/2002]

1.18.341.617 REFUNDS MEMORANDUM:

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: none
C. Description: memorandum concerning employee requests for refunds of any type of payroll deduction (e.g., bonds, insurance, taxes and/or contributions). Memorandum shows date, employee name, social security number, agency pay period, cost center, employee share, code, amount, total, state share, amount, total, and explanation as to why refund is requested.

D. Retention: filed in the payroll folder 1.18.341.401 NMAC
[7/16/96; 1.18.341.617 NMAC - Rn, 1 NMAC 3.2.93.341.90.617, 7/22/2002]

1.18.341.618 AUTOMATIC CHECK CANCELLATION TRANSACTIONS FORM:

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period
C. Description: record used to input warrants and advices to be cancelled. Form shows schedule number, batch number, agency, department, contact, phone number, checks to be cancelled, employee name, social security number, transaction code, check number, pay period end date, prepared by and date.

D. Retention: two years after close of fiscal year in which created

[7/16/96; 1.18.341.618 NMAC - Rn, 1 NMAC 3.2.93.341.90.618, 7/22/2002]

1.18.341.619 CANCELLATIONS, HAND-DRAWN CHECKS AND OVERPAYMENTS FORM:

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period
C. Description: record used to input manual warrant cancellations, hand-drawn checks and overpayments. Form shows schedule number, batch number, pay period ending, employee's social security number, name, prepared by, date, cancellation, hand-drawn check, overpayment, check number, check date, gross pay, net pay, transaction date, FWT (federal withholding) gross, FICA gross, state tax gross, gross-to-net elements, and account distribution.

D. Retention: two years after close of fiscal year in which created
[7/16/96; 1.18.341.619 NMAC - Rn, 1 NMAC 3.2.93.341.90.619, 7/22/2002]

1.18.341.620 - 700 [RESERVED]

1.18.341.701 TIME REPORT CHECK-OFF (PAYR008), BI-WEEKLY:

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period
C. Description: summary report of on-line payroll input pages for positive time sheet location. Report shows run date, check date, organization identification, department name, sort key, pages, lines with control and lines without control.

D. Retention: one year after close of fiscal year in which created
[7/16/96; 1.18.341.701 NMAC - Rn, 1 NMAC 3.2.93.341.90.701, 7/22/2002]

1.18.341.702 TRANSACTION HOLDING FILE LIST (PAYR030):

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period
C. Description: summary listing of all payroll transactions entered for a particular payroll. List shows sequence number, employee identification, name, transaction code, date, earnings, time, pay/rate, job, account number, etc.

D. Retention: two years after close of fiscal year in which created
[8/27/79...7/16/96; 1.18.341.702 NMAC - Rn, 1 NMAC 3.2.93.341.90.702, 7/22/2002]

1.18.341.703 PAYROLL INPUT REGISTER (PAYR035):

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period
C. Description: detailed listing of all transactions entered and accepted for processing in a given pay cycle. Register shows run date, check date, employee identification, name, batch number, transaction code, end date, account or description, job class, rate or amount, earnings types, time, etc.

D. Retention: two years after close of fiscal year in which created
[5/8/88...7/16/96; 1.18.341.703 NMAC - Rn, 1 NMAC 3.2.93.341.90.703, 7/22/2002]

1.18.341.704 CONSOLIDATED ERRORS AND WARNINGS (PAYR036):

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period
C. Description: listing of any input transactions which do not meet the editing standards specified for the consolidation process. Shows run date, check date, THF (transaction holding file) sequence, employee ID and name, action taken, transaction code, transaction image, severity code, generation, batch number and control number.

D. Retention: two years after close of fiscal year in which created
[5/8/88...7/16/96; 1.18.341.704 NMAC - Rn, 1 NMAC 3.2.93.341.90.704, 7/22/2002]

1.18.341.705 GROSS PAY DERIVATION-ERRORS (PAYR059), BI-WEEKLY:

A. Program: human resource management system - payroll module hard copy input records
B. Maintenance system: chronological by pay period

C. Description: report concerning errors in gross pay processing. Report shows run date, check date, organization ID, employee ID and name, message number, message severity and message text.

D. Retention: two years after close of fiscal year in which created
[7/16/96; 1.18.341.705 NMAC - Rn, 1 NMAC 3.2.93.341.90.705, 7/22/2002]

1.18.341.706 PAYROLL REGISTER (PPAY0286):

A. Program: human resource management system - payroll module hard copy input records

B. Maintenance system: chronological by pay period

C. Description: payroll report produced to document gross pay, payroll deductions, state contributions, net pay and identifies proper line items to be charged. Register shows period end date, pay date, agency fund, activity, cost center, social security number, marital status, bi-weekly hours, hours paid, gross, federal tax, EIC (earned income credit) state tax, other deductions, employee net, warrant number and line item charges.

D. Retention:

(1) **Payroll register (hard copy regular payroll):** three years after close of fiscal year in which created

(2) **Payroll register (hard copy supplemental payroll):** three years after close of fiscal year in which created

(3) **Payroll register (computer output microfilm copy - net result of the regular and supplemental payroll):** 55 years after close of fiscal year in which created then transfer to archives for appraisal and final disposal

[3/25/74...7/16/96; 1.18.341.706 NMAC - Rn, 1 NMAC 3.2.93.341.90.706, 7/22/2002]

1.18.341.707 BOND DEDUCTION REPORT (PAYR160):

A. Program: human resource management system - payroll module hard copy input records

B. Maintenance system: chronological by pay period

C. Description: bi-weekly summary of bond deductions. Report shows run date, check date, employee identification number and name, previous balance, total deducted, balance before purchase, purchase price, number of bonds purchased, total cost, and current balance.

D. Retention: one year after close of calendar year in which created
[3/25/74...7/16/96; 1.18.341.707 NMAC - Rn, 1 NMAC 3.2.93.341.90.707, 7/22/2002]

1.18.341.708 BOND PURCHASE REPORT (PAYR161):

A. Program: human resource management system - payroll module hard copy input records

B. Maintenance system: chronological by pay period

C. Description: bi-weekly summary of bond purchases. Report shows run date, check date, organization ID, bond denomination, purchase price, owner's name and address, owner's social security number, co-owner or beneficiary, number of bonds purchased, total cash, purchaser or ID, etc.

D. Retention: one year after close of calendar year in which created
[5/8/88...7/16/96; 1.18.341.708 NMAC - Rn, 1 NMAC 3.2.93.341.90.708, 7/22/2002]

1.18.341.709 EMPLOYEE DEDUCTIONS REPORT:

A. Program: human resource management system - payroll module hard copy input records

B. Maintenance system: chronological by pay period

C. Description: bi-weekly listing of employees by agency enrolled in the savings bond program. Report shows department, employee name, employee identification, deduction code, amount and agency totals.

D. Retention: one year after close of calendar year in which created
[3/25/74...7/16/96; 1.18.341.709 NMAC - Rn, 1 NMAC 3.2.93.341.90.709, 7/22/2002]

1.18.341.710 GARNISHMENT RECORD UNLOAD (PPE R1410):

A. Program: human resource management system - payroll module hard copy input records

B. Maintenance system: chronological by pay period

C. Description: bi-weekly listing of current and past garnishment information. Listing shows run date, social security number, GTN (gross-to net) code, payee-name, percent, cumulative to-date, cap amount, year-to-date amount, GTN amount, effective date, payroll status and garnishment status.

D. Retention: one year after close of calendar year in which created
[5/8/88...7/16/96; 1.18.341.710 NMAC - Rn, 1 NMAC 3.2.93.341.90.710, 7/22/2002]

1.18.341.711 CANCEL TRANSACTIONS PROCESSED (PAYR190):

- A. Program:** human resource management system - payroll module hard copy input records
- B. Maintenance system:** chronological by pay period
- C. Description:** bi-weekly report concerning summary of all employee warrant and advice cancellations processed for a payroll. Report shows run number, run date, schedule, pay period, employee identification, employee name, check or advice number, gross amount and net amount.
- D. Retention:** one year after close of calendar year in which created
[7/16/96; 1.18.341.711 NMAC - Rn, 1 NMAC 3.2.93.341.90.711, 7/22/2002]

1.18.341.712 TAX SHELTER ANNUITY REPORT (FAPR2301):

- A. Program:** human resource management system - payroll module hard copy input records
- B. Maintenance system:** chronological by pay period
- C. Description:** bi-weekly summary of deferred compensation deductions for the pay period. Report shows period end date, pay date, social security number, name, deduction code, gross pay, tax shelter annuity, tax shelter year to date amount, organization, etc.
- D. Retention:** one year after close of calendar year in which created
[5/8/88...7/16/96; 1.18.341.712 NMAC - Rn, 1 NMAC 3.2.93.341.90.712, 7/22/2002]

1.18.341.713 DEDUCTION WARRANT REGISTER (FAPR0951):

- A. Program:** human resource management system - payroll module hard copy input records
- B. Maintenance system:**
- C. Description:** bi-weekly summary of deduction warrants issued for the pay period. Register shows period end date, pay date, warrant number, warrant date, payee name, warrant amount, etc.
- D. Retention:** filed in the payroll folder 1.18.341.401 NMAC
[5/8/88...7/16/96; 1.18.341.713 NMAC - Rn, 1 NMAC 3.2.93.341.90.713, 7/22/2002]

1.18.341.714 DEDUCTION REGISTER (FAPR0954):

- A. Program:** human resource management system - payroll module hard copy input records
- B. Maintenance system:** chronological by pay period
- C. Description:** bi-weekly summary of employee deductions and state contributions made for the pay period. Register shows period end date, pay date, deduction code, deduction description, social security number, employee name, state share, employee deduction amount, total deduction, warrant number, etc.
- D. Retention:** 55 years after close of fiscal year in which created
[3/25/74...7/16/96; 1.18.341.714 NMAC - Rn, 1 NMAC 3.2.93.341.90.714, 7/22/2002]
[Note: produced on computer output microfilm.]

1.18.341.715 AGENCY TRANSFER ORDER (FAPR1121):

- A. Program:** human resource management system - payroll module hard copy input records
- B. Maintenance system:** chronological by pay period
- C. Description:** bi-weekly summary report of how an agency was charged for a particular payroll by line item. Transfer order shows period ending date, pay date, account code, item code, transfer from, transfer to, division totals, total transfer from amount, etc.
- D. Retention:** six years after close of fiscal year in which created
[3/25/74...7/16/96; 1.18.341.715 NMAC - Rn, 1 NMAC 3.2.93.341.90.715, 7/22/2002]

1.18.341.716 PAYROLL INPUT RECONCILIATION (PAYR071):

- A. Program:** human resource management system - payroll module hard copy input records
- B. Maintenance system:** chronological by pay period
- C. Description:** bi-weekly report concerning information used to prepare employer's quarterly federal tax return. Report shows run date, check date, schedule, ending date, organization date, transaction code, type, record count, dollars and hours.
- D. Retention:** one year after close of calendar year in which created
[7/16/96; 1.18.341.716 NMAC - Rn, 1 NMAC 3.2.93.341.90.716, 7/22/2002]

1.18.341.717 EMPLOYER'S QUARTERLY WAGE & CONTRIBUTION REPORT (PPAYZ590):

- A. **Program:** human resource management system - payroll module hard copy input records
- B. **Maintenance system:** chronological by quarter
- C. **Description:** report concerning detail of wages and assessments for state unemployment reporting purposes. Report shows employer's number, quarter ending, employee social security number and name, gross wages, exempt wages, assessment amount, agency-division, account, totals and base wages.
- D. **Retention:** one year after close of calendar year in which created
[7/16/96; 1.18.341.717 NMAC - Rn, 1 NMAC 3.2.93.341.90.717, 7/22/2002]

1.18.341.718 EMPLOYER'S QUARTERLY WAGE & CONTRIBUTION REPORT (PPAYZ592):

- A. **Program:** human resource management system - payroll module hard copy input records
- B. **Maintenance system:** chronological by quarter
- C. **Description:** summary of wages and assessments for state unemployment reporting purposes. Report shows employer's number, quarter ending, employee social security number and name, gross wages, exempt wages, assessment amount, agency-division, account, totals and base wages.
- D. **Retention:** one year after close of calendar year in which created
[7/16/96; 1.18.341.718 NMAC - Rn, 1 NMAC 3.2.93.341.90.718, 7/22/2002]

1.18.341.719 W-2 FORM, WAGE & EARNING STATEMENTS (EMPLOYER COPY):

- A. **Program:** human resource management system - payroll module hard copy input records
- B. **Maintenance system:** chrononumeric by calendar year then by agency and social security number
- C. **Description:** form concerning summary of year end earnings and tax deductions. Form shows control number, tax year, employer's identification number, employer's name and address, employee's social security number, employee's name and address, earnings and tax deductions.
- D. **Retention:** five years after close of calendar year for which created
[3/25/74...7/16/96; 1.18.341.719 NMAC - Rn, 1 NMAC 3.2.93.341.90.719, 7/22/2002]

HISTORY OF 1.18.341 NMAC:

Pre-NMAC History: The material in this part was derived from that previously filed with the State Records Center under:

- SRC Rule 67-4, Retention and Disposition Schedule Department of Finance and Administration, 1/23/67.
- SRC Rule 74-3, Records Retention and Disposal Schedule Department of Finance and Administration, 2/25/74.
- SRC Rule 74-17, Records Retention and Disposal Schedule for State Planning Office, 7/12/74.
- SRC Rule 76-2, Records Retention and Disposal Schedule for Board of Finance, 5/5/76.
- SRC Rule No. 82-7, Records Retention and Disposition Schedule for Public School Finance Division, Department of Finance and Administration, 3/16/82.
- SRC Rule 74-15, Records Retention and Disposal Schedule for Department of Radio Communications Bureau, 4/29/74.
- SRC Rule No. 82-18, Records Retention and Disposition Schedule for Department of Finance and Administration, Radio Communications Bureau, 8/31/82.
- SRC Rule No. 82-21, Records Retention and Disposition Schedule for Department of Finance and Administration, Risk Management Division, 11/16/82.
- SRC Rule No. 83-21, Records Retention and Disposition Schedule for Department of Finance and Administration, Local Government Division, 8/30/83.
- SRC Rule No. 86-12, Records Retention and Disposition Schedule for Department of Finance and Administration, Local Government Division, 5/23/86.
- SRC Rule No. 86-19, Records Retention and Disposition Schedule for Department of Finance and Administration, Budget Division, 9/11/86.
- SRC Rule No. 86-24, Records Retention and Disposition Schedule for Department of Finance and Administration, Financial Control and Central Payroll Divisions, 12/10/86.
- SRC Rule No. 88-03, Records Retention and Disposition Schedule for Department of Finance and Administration, Financial Control and Central Payroll Divisions, 4/8/88.

History of Repealed Material: [RESERVED]