

TITLE 1 GENERAL GOVERNMENT ADMINISTRATION
CHAPTER 18 EXECUTIVE RECORDS RETENTION AND DISPOSITION SCHEDULES (ERRDS)
PART 350 ERRDS, GENERAL SERVICES DEPARTMENT

1.18.350.1 ISSUING AGENCY: State Commission of Public Records
[1.18.350.1 NMAC - Rp, 1.18.350.1 NMAC, 09/29/2008; A, 09/26/2014]

1.18.350.2 SCOPE: general services department
[1.18.350.2 NMAC - Rp, 1.18.350.2 NMAC, 09/29/2008]

1.18.350.3 STATUTORY AUTHORITY: Public Records Act, Section 14-3-1 et seq. NMSA 1978
[1.18.350.3 NMAC - Rp, 1.18.350.3 NMAC, 09/29/2008; A, 12/19/2011; A, 01/12/2015]

1.18.350.4 DURATION: permanent
[1.18.350.4 NMAC - Rp, 1.18.350.4 NMAC, 09/29/2008]

1.18.350.5 EFFECTIVE DATE: September 29, 2008, unless a later date is cited at the end of a section.
[1.18.350.5 NMAC - Rp, 1.18.350.5 NMAC, 09/29/2008]

1.18.350.6 OBJECTIVE: To establish a records retention schedule for the orderly management, retention, disposition and preservation of records necessary for carrying out the Public Records Act, Section 14-3-1 et seq. NMSA 1978.
[1.18.350.6 NMAC - Rp, 1.18.350.6 NMAC, 09/29/2008; A, 12/19/2011; A, 01/12/2015]

1.18.350.7 DEFINITIONS:

- A. "Administrator" refer to Public Records Act, Section 14-3-2(A) NMSA 1978.
 - B. "Agency" refer to Public Records Act, Section 14-3-2(B) NMSA 1978.
 - C. "Archives" refer to 1.13.10.7 NMAC.
 - D. "Archives and historical services division" refer to 1.13.10.7 NMAC.
 - E. "Audit" means a periodic examination of an organization to determine whether appropriate procedures and practices are followed.
 - F. "Commission" refer to Public Records Act, Section 14-3-2(C) NMSA 1978.
 - G. "Disposition" refer to 1.13.10.7 NMAC.
 - H. "Inactive record" refer to 1.13.10.7 NMAC.
 - I. "Life cycle" refer to 1.13.10.7 NMAC.
 - J. "Microphotography" refer to Public Records Act, Section 14-3-2(D) NMSA 1978.
 - K. "Non-record" refer to 1.15.2.101 NMAC.
 - L. "Public record" refer to Public Records Act, Section 14-3-2(G) NMSA 1978.
 - M. "Records center" refer to Public Records Act, Section 14-3-2(H) NMSA 1978.
 - N. "Records custodian" refer to Public Records Act, Section 14-3-2(I) NMSA 1978.
 - O. "Records liaison officer" refer to 1.13.10.19 NMAC.
 - P. "Records management division" refer to 1.13.10.7 NMAC.
 - Q. "Records retention and disposition schedule" refer to Public Records Act, Section 14-3-2(J) NMSA 1978.
 - R. "Retention" refer to 1.13.10.7 NMAC.
- [1.18.350.7 NMAC - Rp, 1.18.350.7 NMAC, 09/29/2008; A, 12/19/2011; A, 09/26/2014; A, 01/12/2015]

1.18.350.8 ABBREVIATIONS AND ACRONYMS:

- A. "ADR" stands for alternative dispute prevention and resolution.
- B. "CFR" stands for code of federal regulations.
- C. "COBRA" stands for consolidated omnibus budget reconciliation act.
- D. "EDRRDS" stands for education records retention and disposition schedules.
- E. "ERRDS" stands for executive records retention and disposition schedules.
- F. "FMD" stands for facilities management division.
- G. "GRRDS" stands for general records retention and disposition schedules.
- H. "GSA" stands for general services administration (federal entity).

- I. "ID" stands for identification number.
- J. "JRRDS" stands for judicial records retention and disposition schedules.
- K. "LGRRDS" stands for local government records retention and disposition schedules.
- L. "LRRDS" stands for legislative records retention and disposition schedules.
- M. "NMAC" stands for New Mexico administrative code.
- N. "NMSA" stands for New Mexico statutes annotated.
- O. "RMD" stands for risk management division.
- P. "RRDS" stands for records retention and disposition schedules.
- Q. "SHARE" stands for statewide human resources, accounting and management reporting system.
- R. "SRCA" stands for state records center and archives.
- S. "USC" stands for United States code.
- T. "VIN" stands for vehicle identification number.

[1.18.350.8 NMAC - N, 09/29/2008; A, 09/26/2014; A, 01/12/2015]

1.18.350.9 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 legislative schedules, judicial schedules, executive schedules and education schedules list records specific to an agency. Each record series will be itemized by NMAC section number and title 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 nature, refer to Title 1, Chapter 15 NMAC, General Records Retention and Disposition Schedules. This chapter includes schedules related to administrative, financial, personnel, and medical records.

C. Legislative entities shall also refer to Title 1, Chapter 16 NMAC, Legislative Records Retention and Disposition Schedules.

D. Judicial entities shall also refer to Title 1, Chapter 17 NMAC, Judicial Records Retention and Disposition Schedules.

E. Executive agencies shall also refer to Title 1, Chapter 18 NMAC, Executive Records Retention and Disposition Schedules.

F. Counties and municipalities may also refer to Title 1, Chapter 19 NMAC, Local Government Records Retention and Disposition Schedules.

G. Educational institutions shall also refer to Title 1, Chapter 20 NMAC, Education Records Retention and Disposition Schedules.

H. Agencies shall notify the records center of any extension of a retention period due to litigation, current claims, audit exception or court order involving a record.

I. Record series descriptions are not intended to be exhaustive. Descriptions may include records that do not appear in the files, and conversely, files may include records not listed in the description.

J. 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.

K. Records may be microfilmed or digitized provided a microphotography plan has been approved by the state records administrator. See Section 14-3-17 NMSA 1978; Title 1, Chapter 14 NMAC, Microphotography Systems. 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. See Section 14-1-6 NMSA 1978.

L. 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.

M. For guidance referring to electronic messaging, refer to 1.13.4 NMAC, Records Management Requirements for Electronic Messaging.

N. 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.

[1.18.350.9 NMAC - Rp, 1.18.350.9 NMAC, 09/29/2008; A, 12/19/2011; A, 09/26/2014; A, 01/12/2015]

1.18.350.10 - 1.18.350.100 [RESERVED]

1.18.350.101 RISK MANAGEMENT CLAIM INFORMATION SYSTEM:

A. Program: risk management

B. Maintenance system: numerical by primary key

C. Description: system used to maintain information on claims filed with RMD. Data may include claimant contact information (e.g., name, address, phone numbers, date of birth, social security number, date hired, state of hire, gender, number of dependents, marital status, occupational job title, wage information, etc.), employer information (e.g., employer name, federal identification number, phone numbers, etc.), employer insurance information (e.g., carrier name, address, phone numbers, etc.), claim occurrence information (e.g., claim type, claim status, report date, loss occurrence date and times, injury or illness occurrence date and times, date employer notified, statute of limitation date deadline, last work date, date disability began, date of death, date returned to work, loss description, injury or illness description, location of occurrence, witnesses, claim reserved, paid and recovered amounts, closed date, etc.), treatment information (e.g., physician or health care provider name and address, hospital name and address, initial treatment, etc.), lawsuit information (e.g., date filed, date served, settlement, litigation plan, case outcome, defendant information, etc.), law firm information (e.g., claimant's firm, defense's firm, assigned dates, co-counsel, etc.), disability claim benefit application information (e.g., employer information, employee information, disability history information, progress, treatment and diagnosis information, impairments, prognosis, etc.), adjustor or investigator contact information, etc.

D. Data retention:

(1) **Liability and property claim data:** 25 years after end of fiscal year in which claim closed

(2) **Disability benefit claim application data:** seven years after end of fiscal year in which claim closed

(3) **Workers' compensation claim data:** 60 years after end of fiscal year from date of injury/incident

E. Confidentiality: Portions of this record may be confidential.

F. Input: All documents used as input for the *risk management claim information system*, 1.18.350.101 NMAC are filed in *liability claim files*, 1.18.350.102 NMAC; *property claim files*, 1.18.350.103 NMAC; *workers' compensation claim files*, 1.18.350.110 NMAC; and *disability benefit claim application files*, 1.18.350.118 NMAC.

G. Output: Because the *risk management claim information system* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity. Some of these reports include *number of claims filed by RMD insured, premium calculation report, unopened claim count, open claim count by adjustor, usage report, workers' compensation quarterly report, property casualty quarterly report, workers' compensation expenditure report, workers' compensation registered open and closed claims report*, etc.

[1.18.350.101 NMAC - N, 09/29/2008; A, 12/19/2011; A, 09/26/2014]

1.18.350.102 LIABILITY CLAIM FILES:

A. Program: risk management

B. Maintenance system: chronological by fiscal year, then numerical by coverage code number, then by claim number

C. Description: records concerning liability claims filed against governmental entities insured by RMD. These claims include general liability claims, law enforcement claims, civil rights claims, medical malpractice claims, auto liability claims and miscellaneous claims. These files are input to the *risk management*

claim information system, 1.18.350.101 NMAC. Files may include tort notice of claim or other legal claim documents, investigative or adjustor reports and supporting documentation (e.g., photographs, medical records, witness statements, offense reports, etc.), legal pleadings, discovery related documents (e.g., depositions, interrogatories, requests for admissions, etc.), expense records (e.g., paid invoices, check requests, attorney billings, etc.), letter of determination, correspondence, etc.

D. Retention: three years after end of fiscal year in which claim closed

E. Confidentiality: Portions of this record may be confidential.

[1.18.350.102 NMAC - Rp, 1.18.350.722, 723, 726 & 728 NMAC, 09/29/2008; A, 09/26/2014]

[If lawsuit is filed, a copy of the record is transferred to the legal bureau.]

1.18.350.103 PROPERTY CLAIM FILES:

A. Program: risk management

B. Maintenance system: chronological by fiscal year, then numerical by coverage code number, then by claim number

C. Description: records concerning property claims filed by government entities insured by RMD. These claims include auto physical damage claims, property claims, boiler and machinery claims, fine arts claims, aircraft claims, fidelity and surety bond claims and miscellaneous claims. These files are input to the *risk management claim information system*, 1.18.350.101 NMAC. Files may include *automobile loss notice, property loss notice, museum collections notice of loss, equipment breakdown coverage notice of loss*, damage survey reports, adjustor reports and supporting documentation (e.g., photographs, witness statements, contractor bids, cost estimates, etc.), expense records (e.g., paid invoices, check requests, etc.), letter of determination, correspondence, etc.

D. Retention: three years after end of fiscal year in which claim closed

E. Confidentiality: Portions of this record may be confidential.

[1.18.350.103 NMAC - Rp, 1.18.350.724, 725 & 727 NMAC, 09/29/2008; A, 09/26/2014]

1.18.350.104 - 1.18.350.109 [RESERVED]

1.18.350.110 WORKERS' COMPENSATION CLAIM FILES:

A. Program: risk management

B. Maintenance system: chronological by fiscal year, then alphabetical by claim type, then numerical by claim number

C. Description: records concerning workers' compensation claims filed by injured employees of governmental entities insured by RMD. These claims include blood borne pathogen claims, irradiation claims, asbestos exposure claims, occupational illness claims and occupational injury claims. Portions of these files are input to the *risk management claim information system*, 1.18.350.101 NMAC. Files may include *notice of accident or occupational disease disablement, New Mexico workers' compensation administration employers' first report of injury or illness, workers' compensation claim explanation, workers' compensation benefits explanation form, worker's authorization for disclosure of protected health information for workers' compensation purposes*, copy of employee contact letter, *RMD doctor visit modified work assignment*, copies of medical records, copies of medical bills, adjustor and investigator findings (e.g., witness statements, employee and employer statements, transcribed recorded statements, notes, etc.), *change of health care provider form*, letter of determination, complaint letter, copies of legal pleadings (e.g., settlements, attorney opinion letters, etc.), correspondence, etc.

D. Retention:

(1) **Approved claims:**

(a) **Work related injury or incident resulting in death:** 14 years after end of fiscal year in which injury/incident occurred

(b) **Settlement of claim in its entirety:** six years after end of fiscal year in which settlement is reached

(c) **Claims with a non work-related death:** one year after the end of the fiscal year in which audit report released for all financial documentation pertaining to claim

(d) **All other claims:** 60 years after end of fiscal year from date of injury/incident

(2) **Denied claims:** four years after date claim is denied

E. Confidentiality: Portions of this record may be confidential.

[1.18.350.110 NMAC - Rp, 1.18.350.731 NMAC, 09/29/2008; A, 12/19/2011; A, 09/26/2014]

1.18.350.111 - 1.18.350.116 [RESERVED]

1.18.350.117 GROUP BENEFIT ENROLLMENT FILES:

- A. Program:** risk management
 - B. Maintenance system:** chronological by fiscal year, then alphabetical by local public body, then by employee surname
 - C. Description:** records concerning enrollment for health and voluntary benefits for local public body employees and their dependents. Portions of these files are input to *SHARE*. Files may include enrollment form, copies of voluntary benefit enrollment forms, correspondence, etc.
 - D. Retention:** eight years after end of fiscal year in which received
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.350.117 NMAC - Rp, 1.18.350.712 NMAC, 09/29/2008; A, 09/26/2014]

1.18.350.118 DISABILITY BENEFIT CLAIM APPLICATION FILES:

- A. Program:** risk management
 - B. Maintenance system:** chronological by fiscal year, then alphabetical by employee surname
 - C. Description:** records concerning claim applications for short or long-term disability salary supplement benefits for government entity employees. These files are input to the *risk management claim information system*, 1.18.350.101 NMAC. Files may include *employer disability claim form, employee disability claim form, authorization for release of information, physician form*, copies of medical records, copy of history notes, payment documentation, letter of determination, correspondence, etc.
 - D. Retention:** seven years after end of fiscal year in which claim closed
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.350.118 NMAC - N, 09/29/2008; A, 09/26/2014]

1.18.350.119 COBRA BENEFIT ELECTION FORMS:

- A. Program:** risk management
 - B. Maintenance system:** chronological by fiscal year, then alphabetical by participant surname
 - C. Description:** forms received from employees for continuation of health care coverage when there is a qualifying event that would result in a loss of coverage under an employer plan. Portions of these forms are input to *SHARE*. Forms may include COBRA benefit selections, payment options, etc.
 - D. Retention:** eight years after end of fiscal year in which received
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.350.119 NMAC - N, 09/29/2008; A, 09/26/2014]

1.18.350.120 BENEFIT RESOLUTION FILES:

- A. Program:** risk management
 - B. Maintenance system:** chronological by calendar year, then alphabetical by employee surname
 - C. Description:** records concerning employee complaints regarding benefits that were denied. Files may include appeal letter, copy of RMD determination letter, research documentation (e.g., copies of medical records, research notes, etc.), correspondence, etc.
 - D. Retention:** two years after close of calendar year in which final determination was made
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.350.120 NMAC - N, 09/29/2008; A, 09/26/2014]

1.18.350.121 - 1.18.350.126 [RESERVED]

1.18.350.127 INSURANCE POLICIES:

- A. Program:** risk management
- B. Maintenance system:** chronological by fiscal year, then alphabetical by insurance type
- C. Description:** policies concerning coverage and specialty coverage purchased by RMD for unique assets and for claims that exceed self insurance limits. Some policies consist of but are not limited to property, liability, boiler and machinery, crime and theft, fine arts, aircraft, fleet, workers' compensation, etc. Policies may include specifications of coverage, monetary limits, etc.
- D. Retention:** 10 years after end of fiscal year in which policy expires
- E. Confidentiality:** Portions of this record may be confidential.

[1.18.350.127 NMAC - Rp, 1.18.350.711, 09/29/2008; A, 09/26/2014; A, 01/12/2015]

1.18.350.128 EVIDENCE OF COVERAGE FILES:

- A. Program:** risk management
- B. Maintenance system:** chronological by fiscal year, then numerical by evidence of coverage number
- C. Description:** records concerning requests from RMD insured governmental entities for proof of insurance coverage for foreign travel and projects and events held offsite. Files may include *evidence of coverage*, governmental entity request, copies of policy, correspondence, etc.
- D. Retention:** 10 years after end of fiscal year in which evidence of coverage is issued
- E. Confidentiality:** Portions of this record may be confidential.

[1.18.350.128 NMAC - Rp, 1.18.350.713, 714, & 715, 09/29/2008; A, 09/26/2014; A, 01/12/2015]

1.18.350.129 NOTARY PUBLIC SURETY BOND FILES:

- A. Program:** risk management
- B. Maintenance system:** chronological by fiscal year, then alphabetical by governmental entity, then by requester's surname
- C. Description:** records concerning surety bond coverage issued by RMD to governmental entity employees applying to become notaries public. Files may include governmental entity request, copy of *notary public surety bond*, correspondence, etc.
- D. Retention:** four years after end of fiscal year in which bond issued

[1.18.350.129 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.130 - 1.18.350.135 [RESERVED]

1.18.350.136 COMPLAINT FILES:

- A. Program:** risk management
- B. Maintenance system:** chronological by fiscal year, then alphabetical by complainant's surname
- C. Description:** records concerning complaints about RMD services and staff. Files may include complainant's letter, research documentation (e.g., copies of claims, notes, etc.), quality assurance response letter, correspondence, etc.
- D. Retention:** five years after end of fiscal year in which complaint received
- E. Confidentiality:** Portions of this record may be confidential.

[1.18.350.136 NMAC - N, 09/29/2008; A, 09/26/2014]

1.18.350.137 PHYSICIAN CREDENTIAL FILES:

- A. Program:** risk management
- B. Maintenance system:** chronological by fiscal year, then alphabetical by physician surname
- C. Description:** requests from medical facilities to RMD seeking information on any claims that may have been filed against a physician that is or was employed by the state. Files may include request letter, summary report printout, copy of RMD response letter, correspondence, etc.
- D. Retention:** five years after end of fiscal year in which RMD response letter is sent out
- E. Confidentiality:** Portions of this record may be confidential.

[1.18.350.137 NMAC - N, 09/29/2008; A, 09/26/2014]

1.18.350.138 - 1.18.350.143 [RESERVED]

1.18.350.144 ADR PROGRAM INFORMATION DATABASE:

- A. Program:** risk management
- B. Maintenance system:** primary by numerical key
- C. Description:** database used to track incoming inquiries and requests for alternative dispute prevention and resolution assistance. Data may include request date, governmental entity name, type of assistance requested, follow up activity, disposition, etc.
- D. Data retention:** five years after end of fiscal year in which request was made
- E. Input:** sources include telephone requests, e-messages and letters (hard copy documents).

Transcripts of telephone requests, e-messages and letters are filed as *general correspondence*, 1.15.2.109 NMAC.

F. Output: Because the *ADR program information system* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity. Some of these reports include *governmental entity summary report*, etc.
[1.18.350.144 NMAC - N, 09/29/2008]

1.18.350.145 ADR PROGRAM FILES:

- A. Program:** risk management
 - B. Maintenance system:** chronological by fiscal year, then alphabetical by governmental entity
 - C. Description:** records concerning the development and marketing of ADR in RMD insured governmental entities. Files may include governmental entity profile, *New Mexico ADR survey*, *customer service interview*, *annual governmental entity statistical report*, etc.
 - D. Retention:**
 - (1) **Annual governmental entity statistical report:** one year after end of calendar year in which created
 - (2) **All other documents:** five years after end of fiscal year in which created
- [1.18.350.145 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.146 - 1.18.350.151 [RESERVED]

1.18.350.152 LOSS CONTROL PROGRAM MASTER FILES:

- A. Program:** risk management
 - B. Maintenance system:** chronological by fiscal year, then numerical by agency code, then by district and division number
 - C. Description:** loss control programs established by RMD-insured governmental entities to assure that loss prevention and control are integral parts of the compliance with workplace safety and employment-related civil rights rules and regulations. Files may include *loss control plan* (e.g., list of loss prevention and control coordinators and committee members, self-inspection and audit checklist, etc.), loss control agency reports (e.g., copy of quarterly loss control meeting minutes, copy of audit report, audit response letter), correspondence, etc.
 - D. Retention:**
 - (1) **Loss control plan:** until superseded
 - (2) **Loss control agency reports:** five years after the end of the fiscal year in which audit report released
- [1.18.350.152 NMAC - Rp, 1.18.350.741 NMAC, 09/29/2008; A, 12/19/2011; A, 01/12/2015]

1.18.350.153 INSPECTION REPORTS:

- A. Program:** risk management
 - B. Maintenance system:** chronological by fiscal year, then alphabetical by type of inspection, then by governmental entity
 - C. Description:** records concerning the inspection of mechanical equipment, property and structures for RMD insured governmental entities. Files may include inspection report (e.g., hazards, safety failures, recommendations, etc.), copy of compliance letter, compliance response letter, follow up report, correspondence, etc.
 - D. Retention:** five years after end of fiscal year in which compliance is met
- [1.18.350.153 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.154 - 1.18.350.159 [RESERVED]

1.18.350.160 VENDOR APPLICATION FOR REGISTRATION FILES:

- A. Program:** state purchasing
- B. Maintenance system:** chronological by year and month, then alphabetical by vendor name
- C. Description:** records concerning vendor registrations for notification on future bid and proposal solicitations by state purchasing. Portions of these files are input to *SHARE*. Files may include *vendor application for registration* (e.g., legal name, business name, contact information, number of years in business, type of business, state of New Mexico tax identification number, federal tax identification number, social security number, commodity codes, etc.), urgent notice of vendor registration, correspondence, etc.
- D. Retention:** three months from date of vendor withdrawal

E. Confidentiality: Portions of this record may be confidential.
[1.18.350.160 NMAC - N, 09/29/2008; A, 09/26/2014]

1.18.350.161 [RESERVED]
[1.18.350.161 NMAC - N, 09/29/2008; Repealed, 09/26/2014]

1.18.350.162 STATE PURCHASING PROCUREMENT FILES:

- A. Program:** state purchasing
- B. Maintenance system:** numerical by state purchasing number (fiscal year, agency or statewide number and requisition number)
- C. Description:**
 - (1) Requests for proposal:** records concerning requests for proposals solicited and awarded by state agencies to prospective vendors for specific commodities or services. Files may include *request for proposal authorization form* (e.g., procurement information, procurement justification, involved personnel, procurement events, procurement schedule, evaluation factors, etc.), *request for proposal boiler plate recommendation*, *request for proposal*, *vendor registration tracking list*, *inventory form*, proposals, agency evaluation report, contract, *agency price agreement*, *statewide price agreement*, commodity order, protest, agency complaint letter, cure notices, correspondence, etc.
 - (2) Invitations to bid:** records concerning bid invitations solicited and awarded by state agencies to prospective vendors for specific commodities or services. Files may include *requisition*, specifications, *action slip purchase document*, *notice to invitation to bid*, *invitation to bid*, bid bond, subcontractors list, *request for taxpayer identification number and certification (W-9)*, copy of licenses, resumes, *bid tabulation*, contract, *agency price agreement*, *statewide price agreement*, commodity order, *cancellation notice*, protest, complaint letter, vendor complaint notification letter, amendments, correspondence, etc.
 - (3) Price agreements:** records concerning the agreement between state purchasing (statewide) or state agencies and vendors for specific commodities or services. Files may include *requisition*, specifications, vendor price extension letter, GSA authorized vendor letter, letter of authorized distributor, GSA contract, state agency clarification letter, sole source vendor clarification letter, *action slip*, *agency price agreement*, *statewide price agreement*, protest, complaint letter, vendor complaint notification letter, amendments, correspondence, etc.
 - (4) Contracts:** records concerning contracts between state purchasing (statewide) or state agencies and vendors for specific commodities or services. Files may include request, requisition, specifications, justification, vendor price extension letter, GSA authorized vendor letter, letter of authorized distributor, GSA contract, state agency clarification letter, sole source vendor clarification letter, quote, vendor proposal, protest, complaint letter, vendor complaint notification letter, amendments, correspondence, etc.
 - (5) Commodity orders:** records concerning the one time purchase of commodities or services from a GSA authorized vendor or from a sole source vendor. Files may include vendor price extension letter, GSA authorized vendor letter, letter of authorized distributor, GSA contract, *requisition*, specifications, state agency clarification letter, sole source vendor clarification letter, *agency price agreement*, *statewide price agreement*, contract, copy of commodity order, etc.

- D. Retention:**
 - (1) Requests for proposal, invitations to bid, price agreements and contracts:** six years after end of fiscal year in which contract or agreement is terminated
 - (2) Commodity orders:** six years after end of fiscal year in which purchase order is created
 - (3) Procurement cancellations:** six years after end of fiscal year in which cancellation occurs

[1.18.350.162 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.163 - 1.18.350.167 [RESERVED]

1.18.350.168 STATE PRINTING AND GRAPHIC SERVICES WORK ORDER MANAGEMENT SYSTEM:

- A. Program:** printing and graphic services
- B. Maintenance system:** numerical by primary key
- C. Description:** system generates and tracks all required quotes, work orders, invoices, and any related production documents for customer requests. Data may include quote information (i.e., customer

information, graphic information, printing information, bindery information, job specifications, custom specification requirements, notes, etc.), work order information (i.e., purchase order number, shipping instructions, etc.), etc.

D. Data retention: two years after end of fiscal year in which work order is completed

E. Input: All documents used as input for the *state printing and graphic services work order management system* are filed in *state printing and graphic services work order files*, 1.18.350.169 NMAC.

F. Output: Because the *state printing and graphic services work order management system* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity or filed in *state printing and graphic services work order files* 1.18.350.169 NMAC. Some output documents include *estimate win and lose report, sales by customer report, invoices, quotes, work order, sales order*, etc.

[1.18.350.168 NMAC - N, 09/29/2008]

1.18.350.169 STATE PRINTING AND GRAPHIC SERVICES WORK ORDER FILES:

A. Program: printing and graphic services

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

C. Description: records concerning quotes and work requests submitted by governmental entities for printing and graphic services. These files are input to the *state printing and graphic services work order management system*, 1.18.350.168 NMAC. Files may include *quote form* (e.g., customer information, graphic information, printing information, bindery information, notes, etc.), quote, purchase order, work order, designer proof notice, sales order, copy of invoice, correspondence, etc.

D. Retention: two years after end of fiscal year in which work order is completed

[1.18.350.169 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.170 STATE PRINTING AND GRAPHIC SERVICES PROJECT LOGS:

A. Program: printing and graphic services

B. Maintenance system: chronological by fiscal year

C. Description: logs tracking the progress of all printing and graphic projects. Types of logs may include graphic services log, production log, shipping log, invoicing log, etc. Logs may include date received, work order number, customer name, job description, assigned artist, date proof of notice faxed, customer approval, date out, purchase order number, agency code, quantity, cost, date delivered, etc.

D. Retention: two years after end of fiscal year from date of last entry

[1.18.350.170 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.171 STATE PRINTING AND GRAPHIC SERVICES MONTHLY INVENTORY:

A. Program: printing and graphic services

B. Maintenance system: chronological by fiscal year, then by month

C. Description: inventory of all products used for state printing and graphic services. Inventory may include supplies, size, quantity, unit cost, value, vendor, shelf number, etc.

D. Retention: one year after end of fiscal year in which audit report released

[1.18.350.171 NMAC - N, 09/29/2008]

1.18.350.172 - 1.18.350.177 [RESERVED]

1.18.350.178 FACILITY AND PROPERTY MANAGEMENT SYSTEM:

A. Program: facilities management

B. Maintenance system: numerical by primary key

C. Description: system used to track property owned and leased by state government. System also used to track maintenance of state properties and building services staff. Data may include:

(1) **Property control data:** may include project appropriation information (e.g., project use description, date of appropriation, reversion date, etc.), project budget information (e.g., estimated start date, start date, completion date, amount of appropriation, etc.), contract information (e.g., scope of work, funding amounts, money distribution, length of project, etc.), vendor project payable information (e.g., invoice amount, etc.), project information (e.g., building information, status of project, contract amount, type of project, etc.), leasing information (e.g., lessee contact information, lessor contact information, rent schedule, address of lease, start date, end date, option years, lease record number, etc.), real property information (e.g., copy of deeds, comments, etc.), property inventory information, etc.

(2) **Building services data:** may include employee profile information (e.g., employee ID, first and last names, time type, labor class, employee type, contact information, date of birth, gender, ethnicity, payroll information, emergency contact information, agency and position control number, etc.), rapid timecard entry information (e.g., work date, shop person, time type, labor class, work order number, phase, hours worked, etc.), work order information (e.g., work order description information, agency information, property information, shop information, phase information, equipment information, contractor information, shop assignment information, extra descriptions information, etc.), inventory part profile information (e.g., inventory part number, description, class, commodity, manufacturer, unit of measure, unit cost, quantity, etc.), vendor catalogue part information (e.g., contractor description, vendor part number, vendor description, etc.), purchasing information (e.g., material request, purchase order number, description, purchase order type, shipping information, warehouse or work order information, etc.).

D. Data retention:

(1) **Property control data:**

(a) **Real property, capital project and building plan data:** permanent

(b) **Lease data:** six years after termination of lease agreement

(c) **Space assignment understanding data:** until state agency vacates

(2) **Building services data:**

(a) **Employee profile data:** one year after end of fiscal year in which employee separates from agency

(b) **Customer service request summary report data:** one year after end of fiscal year in which created

(c) **Work order data:**

(i) **Access work order data:** one year after employee separates from employing agency

(ii) **Reserved parking work order data:** one year after permit relinquished or revoked

(iii) **All other work order data:** three years after end of fiscal year in which work order closed

(d) **Inventory part profile data:** until superseded or obsolete

(e) **Vendor catalogue part and purchasing data:** three years after end of fiscal year in which created

E. Input: All documents used as input for the *facility and property management system* are filed in *real property files*, 1.18.350.179 NMAC; *lease files*, 1.18.350.180 NMAC; *building plan files*, 1.18.350.182 NMAC; *capital project files*, 1.18.350.183 NMAC; *access work order files*, 1.18.350.190 NMAC; *reserved parking work order files*, 1.18.350.191 NMAC; *customer service request summary report files*, 1.18.350.192 NMAC and manual input from printouts generated from the pre-existing *work orders system*.

F. Output: Because the *facility and property management system* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity or filed in *real property files*, 1.18.350.179 NMAC; *lease files*, 1.18.350.180 NMAC; *building plan files*, 1.18.350.182 NMAC; *capital project files*, 1.18.350.183 NMAC; *access work order files*, 1.18.350.190 NMAC; *reserved parking work order files*, 1.18.350.191 NMAC and *customer service request summary report files*, 1.18.350.192 NMAC. Some of these reports include *preventative maintenance work order shop report*, *monthly lease expiration report*, *lease cost report*, etc. [1.18.350.178 NMAC - N, 09/29/2008; A, 09/26/2014; A, 01/12/2015]

1.18.350.179 REAL PROPERTY FILES:

A. Program: facilities management

B. Maintenance system: chronological by fiscal year, then alphabetical by county, then numerical by file number

C. Description: records concerning the conveyance of real property to FMD. Portions of these files are input to the *facility and property management system*, 1.18.350.178 NMAC. Files may include deeds (e.g., quitclaim deeds, warranty deeds, etc.), property appraisals (e.g., lot notices of value, tax documents, etc.), plats, pictures identifying property, easements (e.g., rights of ways, property easement, etc.), grants, topographic maps, abstracts of title (e.g., title insurance, other insurance documents, etc.), copies of legislative bills, survey notes, purchase agreements, title binders, transcribed board of finance minutes, copies of purchase orders, copies of payment vouchers, correspondence, etc.

D. Retention: permanent, transfer to archives five years from date of disposition of property
[1.18.350.179 NMAC - Rp, 1.18.350.501 & 502 NMAC, 09/29/2008; A, 09/26/2014]

1.18.350.180 LEASE FILES:

A. Program: facilities management

B. Maintenance system:

(1) **State property:** chronological by date, then numerical by file number

(2) **Private property:** chronological by date, then numerical by county, then by file number

C. Description: records concerning lease agreements between state government and private property owners. Portions of these files are input to the *facility and property management system*, 1.18.350.178 NMAC.

Files may include request for proposal, selected proposed proposal, lease record drawings, lease summary, standard lease form checklist, lease agreement, proof of insurance, lease amendments, notice of early termination, notice to vacate, correspondence, etc.

D. Retention: six years after termination of lease agreement

[1.18.350.180 NMAC - Rp, 1.18.350.504 NMAC, 09/29/2008; A, 09/26/2014; A, 01/12/2015]

1.18.350.181 SPACE ASSIGNMENT UNDERSTANDING FILES:

A. Program: facilities management

B. Maintenance system: alphabetical by county name, then numerical by file number

C. Description: records concerning the assignment of state agencies to land and buildings owned by FMD. Portions of these files are input to the *facility and property management system*, 1.18.350.178 NMAC. Files may include space assignment understanding, floor plan, site plan, correspondence, etc.

D. Retention: until state agency vacates

[1.18.350.181 NMAC - N, 09/29/2008; A, 09/26/2014]

1.18.350.182 BUILDING PLAN FILES:

A. Program: facilities management

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

C. Description: building plans for state facilities. Portions of these plans may be are input to the *facility and property management system*, 1.18.350.178 NMAC. Files may include drawing plans (e.g., schematic designs, construction plans, submittals form, floor plans, interior and exterior elevations, ornamental details, structural details, mechanical details, electrical details, site and landscaping plans, etc.), project specification book, operation and maintenance manuals, correspondence, etc.

D. Retention:

(1) **Archival copy:** permanent, transfer to archives two years from close of fiscal year from date construction completed

(2) **Agency copy:** two years from close of fiscal year from date of final disposition of building, then transfer to archives for review and final disposition

[1.18.350.182 NMAC - Rp, 1.18.350.506 NMAC, 09/29/2008; A, 09/26/2014]

1.18.350.183 CAPITAL PROJECT FILES:

A. Program: facilities management

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

C. Description: records concerning capital outlay for projects executed by FMD. Portions of these files are input to the *facility and property management system*, 1.18.350.178 NMAC. Files may include contracts, capital improvement appropriation request, enabling legislation, legislative finance committee documents, abstracts of bids, surveys, soil tests, cost estimates, notice to proceed, reproducible drawings, performance bonds, labor and material bonds, certificates of insurance, warranty documents, release of liens, maintenance instructions, monthly inspections reports, final punch list, copies of voucher payments, final payment reports, project specifications, correspondence, etc.

D. Retention: permanent, transfer to archives five years from close of fiscal year from date construction complete

[1.18.350.183 NMAC - Rp, 1.18.350.503 NMAC, 09/29/2008; A, 09/26/2014]

1.18.350.184 - 1.18.350.189 [RESERVED]

1.18.350.190 ACCESS WORK ORDER FILES:

- A. Program:** facilities management
- B. Maintenance system:** chronological by date
- C. Description:** records concerning the authorization of access and assignment of keys, access badges and access codes to state employees. Portions of these files are input to the *facility and property management system*, 1.18.350.178 NMAC. Files may include *key request form*, *access code request form*, *access badge request form*, password notations, correspondence, etc.
- D. Retention:** one year after employee separates from employing agency
[1.18.350.190 NMAC - N, 09/29/2008; A, 09/26/2014]

1.18.350.191 RESERVED PARKING WORK ORDER FILES:

- A. Program:** facilities management
- B. Maintenance system:** chronological by date
- C. Description:** records concerning the authorization and assignment of reserved parking permits for carpools, vanpools and alternative fuel vehicles at state facilities. Portions of these files are input to the *facility and property management system*, 1.18.350.178 NMAC. Files may include *reserved parking request form carpools and vanpools*, *reserved parking request form alternative fuel vehicles*, correspondence, etc.
- D. Retention:** one year after permit relinquished or revoked
[1.18.644.191 NMAC - N, 09/29/2008; A, 09/26/2014]

1.18.350.192 CUSTOMER SERVICE REQUEST SUMMARY REPORT FILES:

- A. Program:** facilities management
- B. Maintenance system:** chronological by fiscal year, then alphabetical by employee surname, then chronological by date
- C. Description:** records concerning daily assignments for FMD employees. Portions of these files are input to the *facility and property management system*, 1.18.350.178 NMAC. Files may include *rapid time card entry form* (e.g., employee name, date, start and end times, morning and afternoon break times, lunch start and end times, leave type and hours taken, time types, work order numbers, phases, phase statuses, actions taken, comments, total hours reported, etc.), correspondence, etc.
- D. Retention:** one year after end of fiscal year in which created
[1.18.350.192 NMAC - N, 09/29/2008; A, 09/26/2014; A, 01/12/2015]

1.18.350.193 - 1.18.350.198 [RESERVED]

1.18.350.199 SURPLUS DATA MANAGEMENT SYSTEM:

- A. Program:** surplus property
- B. Maintenance system:** numerical by primary key
- C. Description:** system used to monitor surplus inventory and to track related transactions. Data may include employee information (e.g., first and last names, title, card number, expiration date, etc.), donee application information (e.g., name of governmental entity, address, telephone number, fax number, applicant status, etc.), donee representative information (e.g., name, title, etc.), federal or state holding information (e.g., governmental entity name, address, city, state, zip, phone number, fax number, GSA office, etc.), GSA from 123 information (e.g., New Mexico property number, transfer order number, GSA approval date, issue date, received by, etc.), federal property and state property input information (e.g., screener name, governmental entity name, property description, stock number, quantity, item number, control number, acquisition cost, unit number, quantity approved, property location, condition code, etc.), property receiving information (e.g., quantity received, warehouse location, restriction period, manufacturer, model, serial number, year, comments, completion date, received by, etc.), compliance information (e.g., property identification number, status, onsite verification, date verified, date in use, date completed, etc.), etc.
- D. Data retention:**
 - (1) **Staff data:** until employee separates from bureau
 - (2) **Donee data:** five years after end of federal fiscal year in which application closed
 - (3) **Surplus property data:** five years after end of federal fiscal year from date of final disposition of property

E. Input: All documents records used as input to the *surplus data management system* are filed in *donee files*, 1.18.350.200 NMAC; *surplus property files*, 1.18.350.201 NMAC and *federal property compliance files*, 1.18.350.203 NMAC.

F. Output: Because the *surplus data management system* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity or filed in *donee files*, 1.18.350.200 NMAC and *federal property compliance files*, 1.18.350.203 NMAC. Some of these reports include *federal receiving and donations GSA 3040 report, sales and donation report, authorized person report, federal receiving report, inventory report, property location report, determination letter, homeless report, donation by district report, compliance and utilization review form and audit letter*, etc.

[1.18.350.199 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.200 DONEE FILES:

A. Program: surplus property

B. Maintenance system: chronological by federal fiscal year, then alphabetical by organization name

C. Description: records concerning eligibility of governmental entities and nonprofit tax-exempt organizations to participate in the surplus property program. Portions of these files are input to the *surplus data management system*, 1.18.350.199 NMAC. Files may include *application for eligibility*, written description of all programs or services provided, written description of facilities operated (e.g., information on staff and staff qualifications, hours of operation, services and programs offered, pamphlets, catalogs, brochures, posters, etc.), incorporated information (e.g., copy of articles of incorporation with all filing certificates and amendments, copy of current by-laws, etc.), source of funding (e.g., list of grants, donations, contributions, etc.), copy of IRS determination letter, proof of approval (e.g., accreditation, licensure, etc.), *authorized representatives form* (e.g., applicant organization information, designation information, representative information, certification, etc.), *nondiscrimination assurance form* (e.g., applicant organization information, donee signature, authorized official signature, etc.), copy of letter of determination, *want list forms*, surplus property state and federal distribution documents, correspondence, etc.

D. Retention: five years after end of federal fiscal year in which application is denied or file is closed

[1.18.350.200 NMAC - Rp, 1.18.350.202 & 205 NMAC, 09/29/2008; A, 01/12/2015]

1.18.350.201 SURPLUS PROPERTY FILES:

A. Program: surplus property

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

C. Description: records concerning property transferred from GSA and state agencies to the surplus property bureau. Portions of these files are input to the *surplus data management system*, 1.18.350.199 NMAC. Files may include *transfer order* (e.g., GSA information, ordering agency information, location of property information, ordering agency approval, GSA approval, item list information, etc.), item list, GSA form 123, state form, overage and shortage report, specification sheet, correspondence, etc.

D. Retention: five years after end of federal fiscal year from date of final disposition of property

[1.18.350.201 NMAC - Rp, 1.18.350.201 NMAC, 09/29/2008; A, 01/12/2015]

1.18.350.202 FEDERAL PROPERTY AUCTION FILES:

A. Program: surplus property

B. Maintenance system: chronological by federal fiscal year

C. Description: records concerning federal property auctioned by state surplus bureau. Files may include list of auction lots, copy of GSA release property form (i.e., lot description, lot cost, awarded individual, etc.), copy of check or receipt, auction summary, copy of federal title standard form 97, refund GSA form 363, correspondence, etc.

D. Retention: five years after end of federal fiscal year in which auction occurred

[1.18.350.202 NMAC - Rp, 1.18.350.203 NMAC, 09/29/2008]

1.18.350.203 FEDERAL PROPERTY COMPLIANCE FILES:

A. Program: surplus property

B. Maintenance system: chronological by federal fiscal year, then alphabetical by organization name

C. Description: records concerning compliance with federal property use regulations (property valued \$5,000 or higher and property with wheels) by eligible governmental entities and nonprofit tax exempt organizations. Portions of these files are input to the *surplus data management system*, 1.18.350.199 NMAC. Files may include copy of compliance and utilization review letter, compliance and utilization review form (e.g., contact name, title, property identification number, agency number, acquisition cost, issue and invoice number, date acquired, description of property, date placed in use, restrictions expire, location of property, present function or use, comments, reviewed prepared by, etc.), copy of surplus property federal distribution document, copy of second notice letter, copy of final notice letter, pictures, correspondence, etc.

D. Retention: seven federal fiscal years after organization is determined in compliance [1.18.350.203 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.204 - 1.18.350.209 [RESERVED]

1.18.350.210 AIRCRAFT LOGS:

A. Program: aviation

B. Maintenance system: numerical by aircraft number

C. Description: logs concerning the ownership and maintenance history on aircrafts owned by the general services department. Logs may contain aircraft record information (i.e., manufacturer, serial number, manufacture date, model, aircraft number, engine information, propeller information, etc.), registered owner record information (i.e., name, city, address, etc.), maintenance information, notes, etc.

D. Retention: until aircraft is sold or goes out of service [1.18.350.210 NMAC - N, 09/29/2008]

1.18.350.211 AIRCRAFT RESERVATION LOGS:

A. Program: aviation

B. Maintenance system: chronological by calendar year

C. Description: logs recording reserved flights for governmental entities. Logs may include governmental entity names, departure and arrival times, destinations, passenger list, assigned aircraft, pilot names, contact information, etc.

D. Retention: six years after end of calendar year from date of last entry [1.18.350.211 NMAC - N, 09/29/2008]

1.18.350.212 PILOT AIRCRAFT UTILIZATION REPORT FILES:

A. Program: aviation

B. Maintenance system: chronological by fiscal year, then numerical by aircraft number, then chronological by date created

C. Description: records concerning the usage of aircrafts owned by the general services department. Files may include *pilot aircraft utilization report* form (e.g., flight date, aircraft number, pilot names, airport information, pilot instructions and remarks, passenger information, aircraft times and cycles, total hours, cost per hour, fuel surcharge, using governmental entity names, account numbers, etc.), *aircraft utilization monthly report* (e.g., aircraft numbers, flight dates, revenues, etc.), correspondence, etc.

D. Retention: six years after end of fiscal year in which monthly report created [1.18.350.212 NMAC - Rp, 1.18.350.407 NMAC, 09/29/2008; A, 01/12/2015]

1.18.350.213 - 1.18.350.218 [RESERVED]

1.18.350.219 FLEET MANAGEMENT SYSTEM:

A. Program: central fleet

B. Maintenance system: numerical by primary key

C. Description: system tracks short and long-term vehicle usage and maintenance. Data may include operator information (e.g., name, department, work phone number, date of birth, social security number, gender, driver license number and expiration date, defensive driving course completion date, etc.), confirmed motor pool reservation information (e.g., pickup location, vehicle type requested, vehicle type assigned, date and time required, date and time of estimated return, destination, number of passengers, etc.), dispatched motor pool

reservation information (e.g., date and time out, plate number, beginning mileage, etc.), state transportation pool trip ticket information (e.g., return end mileage, gas expense total, date and time returned, etc.), state transportation motor pool work order information (e.g., date time in, plate number, odometer reading, technician name, labor hours, parts ordered, maintenance performed, etc.), state vehicle file information (e.g., year, make, model and VIN, vehicle cost, etc.), vehicle status change worksheet information (e.g., plate number, pickup date, department code number, division number, vehicle color, VIN, beginning and end mileage, status change information, exchange plate number, comments, person updated, etc), etc.

D. Data retention:

- (1) **Agency data:** until superseded or obsolete
- (2) **Operator data:** 15 years after date of defensive driving class completion
- (3) **Reservation data:** one year after end of fiscal year in which created
- (4) **Work order data:** three years after end of fiscal year in which created
- (5) **State vehicle data:** three years after disposition of vehicle

E. Confidentiality: Portions of this record may be confidential.

F. Input: All documents used as input for the *fleet management system* are filed in *short-term lease files*, 1.18.350.220 NMAC; *long-term lease files*, 1.18.350.221 NMAC; *state vehicle files*, 1.18.350.224 NMAC and *auction vehicle sales reports*, 1.18.350.228 NMAC.

G. Output: Because the *fleet management system* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity or filed in *short-term lease files*, 1.18.350.220 NMAC. Some of these reports include *confirmed motor pool reservation*, *dispatched motor pool reservation*, *monthly billing report*, *short-term lease billing report*, etc.

[1.18.350.219 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.220 SHORT-TERM LEASE FILES:

- A. Program:** central fleet
- B. Maintenance system:** chronological by fiscal year, then numerical by reservation ID number
- C. Description:** records concerning state vehicles leased for short-term periods to state agencies.

These files are input to the *fleet management system*, 1.18.350.219 NMAC. Files may include *short-term lease request printout*, *confirmed motor pool reservation printout* (e.g., reservation ID number, pickup location, vehicle type requested, vehicle type assigned, date and time booked, date and time required, date and time of estimated return, department name, account, destination, number of passengers, comments, operators, etc.), *daily motor pool lease agreement* (e.g., plate number, reservation ID number, date of inspection, description of damage or problem, name of operator, department or division, beginning mileage, operator signature, etc.), *state transportation pool trip ticket* (e.g., agency, department code, division code, return date, destination, date, supervisor, driver's license number, date of defensive driver course, driver name and phone number, reservation number, plate number, beginning mileage, cost per day or month, number of days used, daily charges, return end mileage, total mileage used, gas expense total, total charges, etc.), *dispatched motor pool reservation printout* (e.g., date and time out, plate number, beginning mileage, etc.), gas receipts, short-term lease billing report (e.g., reservation numbers, using agencies, vehicles, dates used, starting and ending mileages, days used, daily rates, fuel cost, total miles, total charges, etc.), correspondence, etc.

D. Retention: three years after end of fiscal year in which lease is terminated
[1.18.350.220 NMAC - Rp, 1.18.350.401 & 403 NMAC, 09/29/2008; A, 01/12/2015]

1.18.350.221 LONG-TERM LEASE FILES:

- A. Program:** central fleet
- B. Maintenance system:** chronological by fiscal year, then numerical by agency code
- C. Description:** records concerning long-term lease agreements for state vehicles. These files are

input to the *fleet management system*, 1.18.350.219 NMAC. Files may include state transportation pool trip ticket (e.g., agency, department code, division code, destination, date, driver's license number, date of defensive driver course, date, driver signature, driver's contact information, beginning mileage, plate number, etc.), vehicle status change worksheet (e.g., plate number, pickup date, department, division, vehicle color, VIN, beginning mileage, status change information, exchange plate number, ending mileage, comments, person updating, etc.), long-term lease agreement, leased vehicle identification and information sheet (e.g., leased vehicle information, lessee information, monthly lease fee information, acknowledgements, etc.), correspondence, etc.

D. Retention: three years after end of fiscal year in which lease expires

[1.18.350.221 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.222 AGENCY FILES:

A. Program: central fleet
B. Maintenance system: chronological by fiscal year, then numerical by agency code
C. Description: records concerning a state agency's request for the purchase, lease, exchange and disposal of state vehicles and monthly statements to state agencies with long-term lease agreements. Files may include *state central fleet authority for purchase, lease and disposal of state vehicles application* (e.g., date, fiscal year, agency name, contact information, agency activity code, funding source, type of application, type of vehicle requested, number of vehicles requested, estimated yearly mileage, travel demand and need for purchase and lease description, physical location of vehicle, program unit assigned to, number of vehicles agency has on inventory, alternative fuel information, special use vehicle information, special equipment information, replacement and disposal information, priority level, approved and disapproved information, etc.); alternative fuel justification; equipment need justification; *long-term lease billing report* (e.g., division codes, vehicle plate numbers, vehicle classes, total miles used, additional mileage rates and charges, monthly lease rates, current monthly charges, totals, etc.); copies of invoices; correspondence; etc.

D. Retention: three years after end of fiscal year in which created
[1.18.350.222 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.223 VEHICLE COORDINATOR LOGS:

A. Program: central fleet
B. Maintenance system: alphabetical by account manager name, then by agency name, then by vehicle coordinator surname
C. Description: log maintains information on all vehicle coordinators assigned by agency to coordinate long-term lease vehicle usage. Logs may include agency name, number of vehicles, coordinator contact information, etc.

D. Retention: until superseded or obsolete
[1.18.350.223 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.224 STATE VEHICLE FILES:

A. Program: central fleet
B. Maintenance system: chronological by date, then numerical by plate number
C. Description: records documenting the life cycle of state vehicles. Portions of these files are input to the *fleet management system*, 1.18.350.219 NMAC and *state vehicle accident and vandalism database*, 1.18.350.234 NMAC. Files may include vehicle title, vehicle registration, vehicle inspection forms (e.g., date of inspection, name of inspector, license plate number, year of vehicle, vehicle color, make and model of vehicle, VIN, location of vehicle, fuel type, mileage, user agency, department code, exterior information, body information, tire information, glass information, interior information, mechanical information, questions for the operator and user, title of inspector, signature of inspector, etc.), vehicle status change worksheets (e.g., plate number, pickup date, department code number, division number, vehicle color, VIN, beginning and end mileage, status change information, exchange plate number, comments, person updated, etc.), automobile loss notice, copies of police reports, copies of incident reports and pictures, driver statements, agency statements, copies of quotes and estimates, copy of checks, state vehicle accident and vandalism report, certificate of vehicle origin, odometer disclosure statement, copy of purchase invoice, correspondence, etc.

D. Retention: three years after vehicle disposition
E. Confidentiality: Portions of this record may be confidential.
[1.18.350.224 NMAC - N, 09/29/2008; A, 09/26/2014; A, 01/12/2015]

1.18.350.225 VEHICLE PREVENTIVE MAINTENANCE REPORT FILES:

A. Program: central fleet
B. Maintenance system: chronological by fiscal year, then by month, then alphabetical by agency name
C. Description: monthly reporting showing the vehicle preventive maintenance schedule for long-term leases. Files may include *vehicle preventive maintenance report* (e.g., department code, vehicle plate, vehicle schedule, mileage reported, mileage at last preventive maintenance, due mileage, preventive maintenance mileage overdue, preventive maintenance flag, etc.), correspondence, etc.

D. Retention: three years after end of fiscal year in which lease expires
[1.18.350.225 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.226 STATE TRANSPORTATION POOL WORK ORDER FILES:

A. Program: central fleet
B. Maintenance system: chronological by date, then alphabetical by agency name, then numerical by plate number

C. Description: records concerning state vehicle work orders submitted by state agencies. These files are input to the *fleet management system*, 1.18.350.219 NMAC. Files may include *state transportation pool work order form* (e.g., department, division, department and division contact information, vehicle year, make and model, mileage, date, plate number, list of services to be performed, mechanic name, mechanic notes, etc.), receipt copies, correspondence, etc.

D. Retention: three years after end of fiscal year in which work order is completed
[1.18.350.226 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.227 STATE VEHICLE UTILIZATION REPORTS:

A. Program: central fleet
B. Maintenance system: chronological by fiscal year, then numerical by agency code
C. Description: reports showing state agencies yearly state vehicle usage. Reports may include vehicle plate numbers, vehicle years, class codes, odometer readings, miles driven, gasoline charges, gallons used, etc.

D. Retention: two years after end of fiscal year in which created
[1.18.350.227 NMAC - Rp, 1.18.350.402 & 404 NMAC, 09/29/2008; A, 01/12/2015]

1.18.350.228 AUCTION VEHICLE SALES REPORTS:

A. Program: central fleet
B. Maintenance system: chronological by fiscal year, then numerical by plate number
C. Description: reports that list central fleet vehicles sold at auction. These files are input to the *fleet management system*, 1.18.350.219 NMAC. Reports may include license plate number, year, make, model, VIN, sale price, sales date, etc.

D. Retention: three years after end of fiscal year in which sold
[1.18.350.228 NMAC - Rp, 1.18.350.405 NMAC, 09/29/2008; A, 01/12/2015]

1.18.350.229 DEFENSIVE DRIVING COURSE DATABASE:

A. Program: central fleet
B. Maintenance system: numerical by primary key
C. Description: database used to maintain information on employee registration and completion of defensive driving courses. Data may include student information (e.g., driver's license number, date of last class, agency name and code, driver's license check information, etc.), course information (e.g., class date, instructor name, instructor department, instructor contact information, instructor number, etc.), GSD control number, etc.

D. Data retention: four years after end of fiscal year in which class was conducted
E. Input: All documents used as input for the *defensive driving course database* are filed in *defensive driving course registration files*, 1.18.350.230 NMAC.

F. Output: Because the *defensive driving course database* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity or filed in *defensive driving course registration files*, 1.18.350.230 NMAC. Some of these reports include *defensive driving course certificate of completion*, *defensive driving course training roster*, etc.

G. Confidentiality: Portions of this record may be confidential.
[1.18.350.229 NMAC - N, 09/29/2008; A, 09/26/2014]

1.18.350.230 DEFENSIVE DRIVING COURSE REGISTRATION FILES:

A. Program: central fleet
B. Maintenance system: chronological by fiscal year, then by class date
C. Description: records concerning the registration and completion of defensive driving courses. Portions of these files are input to the *defensive driving course database*, 1.18.350.229 NMAC. Files may include defensive driving registration printouts (e.g., student information, agency information, class information, contact

information, method of payment, etc.), driver's license check printouts, class roster, tests, copies of certificates of completion, copies of purchase orders, correspondence, etc.

D. Retention: four years after end of fiscal year in which class was conducted

E. Confidentiality: Portions of this record may be confidential.

[1.18.350.230 NMAC - N, 09/29/2008; A, 09/26/2014]

1.18.350.231 TRANSPORTATION WAIVER DATABASE:

A. Program: central fleet

B. Maintenance system: numerical by primary key

C. Description: database used to track waivers for out of state travel, out of country travel, transport of non-state employee travel and travel prior to defensive driving course certification of completion. Data may include date request received, department, contact information, type of waiver, drivers' names, license plate number, driver's license check information, passengers, destination, dates of travel, date faxed or e-mailed, comments, etc.

D. Data retention: two years after end of fiscal year of final determination

E. Confidentiality: Portions of this record may be confidential.

F. Input: All documents used as input for the *transportation waiver database* are filed in *transportation waiver files*, 1.18.350.232 NMAC.

G. Output: Because the *transportation waiver database* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity.

[1.18.350.231 NMAC - N, 09/29/2008; A, 09/26/2014]

1.18.350.232 TRANSPORTATION WAIVER FILES:

A. Program: central fleet

B. Maintenance system: chronological by fiscal year, then alphabetical by agency name, then by employee surname

C. Description: records concerning waivers for out of state travel, out of country travel, transport of non-state employee travel and travel prior to defensive driving course certificate of completion. Portions of these files are input to the *transportation waiver database*, 1.18.350.231 NMAC. Files may include waiver request, driver's license check printout, copy of current defensive driving course certificate of completion, letter of determination, correspondence, etc.

D. Retention: two years after end of fiscal year of final determination

E. Confidentiality: Portions of this record may be confidential.

[1.18.350.232 NMAC - N, 09/29/2008; A, 09/26/2014]

1.18.350.233 DRIVING PRIVILEGES FILES:

A. Program: central fleet

B. Maintenance system: chronological by fiscal year

C. Description: records concerning driving privilege revocation and reinstatement. Files may include complaint, citation copy, copy of state vehicle abuse notification letter, response letter, driver's license check printout, revocation letter copy and reinstatement instructions, request for reinstatement letter, copy of current defensive driving course certification, copy of proof of clearance from courts, copy of proof of clearance from motor vehicle division, copy of driver's license, final determination letter, correspondence, etc.

D. Retention: two years after end of fiscal year in which privileges are reinstated

E. Confidentiality: Portions of this record may be confidential.

[1.18.350.233 NMAC - N, 09/29/2008; A, 09/26/2014]

1.18.350.234 STATE VEHICLE ACCIDENT AND VANDALISM DATABASE:

A. Program: central fleet

B. Maintenance system: numerical by primary key

C. Description: database used to maintain information on accidents and vandalism on GSD owned state vehicles. Data may include date received, occurrence date, plate number, agency name, driver's name, driver's license number, driver's contact information, location of accident, police involvement information, description of accident or vandalism, vehicle damage information, responsible party and deductible information, responsible insurance information, citation number, repair estimate amount information, vehicle status, comments, etc.

D. Data retention: three years after vehicle disposition

E. Input: All documents used as input for the *state vehicle accident and vandalism database* are filed in the corresponding *state vehicle files*, 1.18.350.224 NMAC.

F. Output: Because the *state vehicle accident and vandalism database* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity or filed in *state vehicle files*, 1.18.350.224 NMAC. Some of these reports include *state vehicle accident and vandalism report*, etc.

[1.18.350.234 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.235 VEHICLE ABUSE REPORTING DATABASE:

A. Program: central fleet

B. Maintenance system: numerical by primary key

C. Description: database used to maintain information on vehicle abuse complaints. Data may include plate number, agency name, violation date, time of incident, date letter sent, date of response, citation number, action taken, closed, etc.

D. Data retention: two years after end of fiscal year in which response letter is received

E. Input: All documents used as input for the *vehicle abuse reporting database* are filed in the corresponding *vehicle abuse reporting files*, 1.18.350.236 NMAC.

F. Output: Because the *vehicle abuse reporting database* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity.

[1.18.350.235 NMAC - N, 09/29/2008; A, 01/12/2015]

1.18.350.236 VEHICLE ABUSE REPORTING FILES:

A. Program: central fleet

B. Maintenance system: chronological by fiscal year, then alphabetical by agency name

C. Description: records concerning vehicle abuse reported to central fleet. Portions of these files are input to the *vehicle abuse reporting database*, 1.18.350.235 NMAC. Files may include vehicle abuse complaint, copy of citation, copy of state vehicle abuse notification letter, response letter, driver's license check printout, correspondence, etc.

D. Retention: two years after end of fiscal year in which response letter received

E. Confidentiality: Portions of this record may be confidential.

[1.18.350.236 NMAC - N, 09/29/2008; A, 09/26/2014; A, 01/12/2015]

1.18.350.237 DRIVER AUDIT FILES:

A. Program: central fleet

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

C. Description: records documenting the compliance audit of authorized to drive a state vehicle.

Files may include copy of defensive driving certificate, copy of driver's license, copy of driving record, agency list of authorized drivers', copy of letter of appeal to director, copy of letter of decision, correspondence, etc.

D. Retention: two years from close of fiscal year from date in which audit complete

E. Confidentiality: Portions of this record may be confidential.

[1.18.350.237 NMAC - N, 09/26/2014]

1.18.350.238 REQUEST FOR DRIVER'S LICENSE FILES:

A. Program: central fleet

B. Maintenance system: chronological by date, then alphabetical by agency

C. Description: records documenting the status check of authorized driver's driving record conducted at the request of an agency or national safety council certified instructor. Files may include request for driver's record, copy of driving record, correspondence, etc.

D. Retention: one year from close of fiscal year in which date request completed

E. Confidentiality: Portions of this record may be confidential.

[1.18.350.238 NMAC - N, 09/26/2014]

1.18.350.239 TRANSPORTATION SERVICES DIVISION DRIVER'S INSTRUCTOR CERTIFICATION FILES:

A. Program: central fleet

B. Maintenance system: chronological by date, then alphabetical by agency, then by surname
C. Description: records documenting the certification of a state employee to teach defensive driving classes to state employees. Files may include letter of interest, copy of student defensive driving certificate, proof of registration for a national safety council instructor class, copy of class rosters, notes from evaluations, copies of instructor certificates, copy of transportation services division certification certificate, copy of driving record, letter of approval, letter of denial, letter of appeal, decision of director, correspondence, etc.

D. Retention:
(1) **Certification issued:** two years from date of certification expiration, notification of separation from state employment or revocation

(2) **Certification withdrawn or denied:** one year from date withdrawn or denied

E. Confidentiality: Portions of this record may be confidential.
[1.18.350.239 NMAC - N, 09/26/2014]

1.18.350.240 DRIVING PRIVILEGES DATABASE:

A. Program: central fleet
B. Maintenance system: numerical by primary key
C. Description: database tracks and maintains information on state authorized drivers who have driving privileges suspended or revoked. Data may include driver's license data (e.g., name, address, license number, etc.), agency data (e.g. name, address, etc.), suspension data (e.g., suspension date, reason for suspension, date of reinstatement, comments data, etc.), etc.

D. Data retention: two years from close of fiscal year from date privileges reinstated

E. Confidentiality: Portions of this record may be confidential.

F. Input: records used as input into *driving privileges database* are filed in the corresponding *driving privileges files*, 1.18.350.233 NMAC.

G. Output: Because the *driving privileges database* is a data-based system, ad-hoc and regularly scheduled reports are produced. Some of these reports include *suspension report*, etc.
[1.18.350.240 NMAC - N, 09/26/2014]

HISTORY OF 1.18.350 NMAC:

Pre-NMAC History: The materials in this part were derived from the previously filed with the State Records Center under:

SRC Rule 69-9, Records Retention and Disposal Schedule for Purchasing Agent, filed 7/2/69,

SRC Rule 74-32, Records Retention and Disposal Schedule for State Purchasing Agent, filed 11/27/74,

SRC Rule 72-2, Records Retention and Disposal Schedule for Department of Automated Data Processing, filed 4/26/72,

SRC Rule 76-12 Records Retention and Disposal Schedule for Department of Automated Data Processing, filed 12/22/76,

SRC Rule No. 82-21, Records Retention and Disposal Schedule for Department of Finance and Administration, Risk Management Division, filed 11/16/82,

SRC Rule No. 83-19, Records Retention and Disposition Schedule for General Services Department, Telecommunications and Radio Bureau, filed 8/30/83,

SRC Rule No. 84-01, Records Retention and Disposition Schedule for General Services Department, Property Control Division, filed 2/28/84,

SRC Rule 84-23, Records Retention and Disposition Schedule for General Services Department, Federal Property Assistance Agency, filed 8/28/84,

SRC Rule No. 85-12, Records Retention and Disposition Schedule for General Services Department, Telecommunications Bureau, filed 4/19/85,

SRC Rule No. 83-18, Records Retention and Disposition Schedule for General Services Department, Building Services Division, State Motor Transportation, filed 8/30/83,

SRC Rule No. 85-13, Records Retention and Disposition Schedule for General Services Department, Building Services Division, State Motor Transportation, filed 8/27/85,

SRC Rule No. 88-02, Records Retention and Disposition Schedule for General Services Department, Information Systems Council, filed 4/8/88.

History of Repealed Material: 1.18.350 NMAC ERRDS, General Services Department, filed 03/12/2002, repealed 09/29/2008.

REPEALED