

TITLE 1 GENERAL GOVERNMENT ADMINISTRATION
CHAPTER 18 EXECUTIVE RECORDS RETENTION AND DISPOSITION SCHEDULES (ERRDS)
PART 805 ERRDS, DEPARTMENT OF TRANSPORTATION

1.18.805.1 ISSUING AGENCY: State Commission of Public Records - State Records Center and Archives.
[1.18.805.1 NMAC - Rp, 1.18.805.1 NMAC, 09/29/2008]

1.18.805.2 SCOPE: department of transportation
[1.18.805.2 NMAC - Rp, 1.18.805.2 NMAC, 09/29/2008]

1.18.805.3 STATUTORY AUTHORITY: Section 14-3-1 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.
[1.18.805.3 NMAC - Rp, 1.18.805.3 NMAC, 09/29/2008]

1.18.805.4 DURATION: Permanent
[1.18.805.4 NMAC - Rp, 1.18.805.4 NMAC, 09/29/2008]

1.18.805.5 EFFECTIVE DATE: September 29, 2008 unless a later date is cited at the end of the section.
[1.18.805.5 NMAC - Rp, 1.18.805.5 NMAC, 09/29/2008]

1.18.805.6 OBJECTIVE: To establish a records retention schedule for the orderly management and retirement of records necessary for carrying out the Public Records Act per Section 14-3-6 NMSA 1978.
[1.18.805.6 NMAC - Rp, 1.18.805.6 NMAC, 09/29/2008]

1.18.805.7 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 state archives of the commission of public records.
- D. "Disadvantaged business"** means a for-profit small business that is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and whose management and daily business operation are controlled by one or more of the socially and economically disadvantaged individuals who own it.
- E. "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).
- F. "Electronic document management system"** means a system that manages electronic documents contained in an information technology system, using computer equipment and software to manage, control, locate, and retrieve information in the electronic system.
- G. "Let or Letting"** means the process of preparing bid for release on DOT construction projects.
- 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. "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).
- J. "Records custodian"** means the statutory head of the agency using or maintaining the records or the custodian's designee.

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

L. "Records retention and disposition schedule" means rules adopted by the commission pursuant to Section 14-3-6 NMSA 1978 describing records of an agency, establishing a timetable for their life cycle and providing authorization for their disposition.

M. "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.
[1.18.805.7 NMAC - Rp, 1.18.805.7 NMAC, 09/29/2008]

1.18.805.8 ABBREVIATIONS AND ACRONYMS:

A. "ARC" stands for accident, records, citation.

B. "DOT" stands for department of transportation.

C. "FAA" stands for federal aviation administration.

D. "GPS" stands for global positioning system.

E. "MPO" stands for metropolitan planning organization.

F. "NMAC" stands for New Mexico administrative code.

G. "NMSA" stands for New Mexico statutes annotated.

H. "RPO" stands for rural planning organization.

I. "TRADAS" stands for traffic data analysis system.

J. "US" stands for United States.

[1.18.805.8 NMAC - N, 1.18.805.8 NMAC, 09/29/2008]

1.18.805.9 INSTRUCTIONS:

A. For records of a general administrative nature, refer to the GRRDS, General Administrative Records Retention and Disposition Schedule, 1.15.2 NMAC.

B. For records of a financial nature, refer to the GRRDS, General Financial Records Retention and Disposition Schedule, 1.15.4 NMAC.

C. For records of a personnel nature, refer to the GRRDS, General Personnel Records Retention and Disposition Schedule, 1.15.6 NMAC.

D. For records of a medical nature, refer to the GRRDS, General Medical Records Retention and Disposition Schedule, 1.15.8 NMAC.

E. Retention periods shall be extended until six months after all current or pending litigation; current claims, audit exceptions or court orders involving a record have been resolved or concluded.

F. The descriptions of files are intended to be evocative, not complete. For example, there will always be some documents that are filed in a file that are not listed in the description, and similarly, not every file will contain an example of each document listed in the description.

G. Confidentiality is denoted for files likely to contain confidential materials, but files without a confidentiality note nonetheless may contain confidential or privileged materials, and failure to include an express confidentiality note in the description of a file does not waive the confidential or privileged nature of those materials. Some or all materials in a file may be confidential. Refer questions concerning the confidentiality of a file or portions of a file to legal counsel for the agency.

H. Access to confidential documents or confidential files shall be only by authorization of agency or attorney general or by court order, unless otherwise provided by statute. Release of confidential documents to law enforcement and other government agencies shall only be upon specific statutory authorization or court order.

I. Records, papers or documents may be photographed, microfilmed, micro-photographed or reproduced on film. Such photographs, microfilm, photographic film or microphotographs shall be deemed to be an original record for all purposes, including introduction in evidence in all courts or administrative agencies (Sections 14-1-5, 14-1-6 NMSA 1978).

J. 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.

[1.18.805.9 NMAC - Rp, 1.18.805.9 NMAC, 09/29/2008]

1.18.805.10 - 1.18.805.15 [RESERVED]

1.18.805.16 ELECTRONIC DOCUMENT MANAGEMENT SYSTEM:

- A. Program:** records management
- B. Maintenance system:** numerical by primary key
- C. Description:** document management system that stores images and electronic records produced by DOT. Data may include payroll and personnel data, contracts and agreement data, road and bridge project files, railroad and utility project files, local government project files, environment reference files, etc.
- D. Data retention:**
 - (1) **Metadata:** until related records are destroyed
 - (2) **Federal planning reports:** 10 years after close of calendar year in which report is created
 - (3) **Railroad and utility project files:** permanent, transfer to archives 25 years after project completion
 - (4) **Standard road and bridge drawing files:** permanent, transfer to archives 25 years after date superseded
 - (5) **Bridge project files:** permanent, transfer to archives 25 years after project completion
 - (6) **Road project files:** permanent, transfer to archives 25 years after project completion
 - (7) **Railroad safety project files:** permanent, transfer to archives after termination of contract
 - (8) **Local government project files:** permanent, transfer to archives 25 years after project completion
 - (9) **District maintenance project files:** permanent, transfer to archives 25 years after project completion
 - (10) **Access or median opening permit files:** permanent transfer to archives 25 years after permit issued
 - (11) **Utility installation permit files:** permanent transfer to archives 25 years after permit issued
 - (12) **Bridge files:** permanent, transfer to archives when bridge is decommissioned
 - (13) **Road transfer and exchange agreement files:** permanent, transfer to archives 25 years after agreement is executed
 - (14) **Right of way maps:** permanent, transfer to archives 30 years after map created
 - (15) **Request for property abandonment files:** permanent, transfer to archives 25 years after date of request
 - (16) **Abandonment document forms:** permanent, transfer to archives 25 years after abandonment filed
 - (17) **Encroachment files:** 30 years after final disposition of encroachment, then transfer to archives for review and final disposition
 - (18) **Property sales files:** permanent, transfer to archives 25 years after date of sale
 - (19) **Disclaimer files:** five years after date property is disclaimed, transfer to archives for review and final disposition
 - (20) **Billboard owner permit files:** permanent, transfer to archives 25 years after termination of permit
 - (21) **Parcel files:** permanent, transfer to archives 25 years after termination of permit
 - (22) **Cultural resource report files:** permanent, transfer to archives 25 years after date of letter of clearance or denial
 - (23) **Environmental reference files:** permanent, transfer to archives 25 years after file assessment conducted
 - (24) **Underground storage tank facility files:** permanent, transfer to archives 25 years after date storage tank removed
 - (25) **Certified county maintained miles report files:** permanent, transfer to archives 25 years from date of last report
 - (26) **Rock fall reports:** permanent
 - (27) **Radiation protection program files:**
 - (a) **Leak tests:** 50 years after date of leak test
 - (b) **All other documents (including license):** 50 years after date license expired or revoked
 - (28) **Airport improvement project files:** permanent, transfer to archives 25 years after date project completed
 - (29) **Airport miscellaneous files:** permanent, transfer to archives 25 years after date created
 - (30) **Contract award recommendations files:** six years after project completion date
 - (31) **Payroll records:** 10 years after end of federal fiscal year in which created

(32) **Accident reports:** seven years after end of federal fiscal year in which created

E. Output: Because the *electronic document 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.

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

1.18.805.17 - 1.18.805.21 [RESERVED]

1.18.805.22 CONSOLIDATED HIGHWAY DATABASE:

A. Program: planning

B. Maintenance system: numerical by primary key

C. Description: database that maintains roadway statistical information for US, state and many of the local roads within the state of New Mexico. Data includes New Mexico roadway information (i.e., statistics and attribute information about pavements, bridges, accidents, project development and construction, traffic counts, posted route, direction and mile point, etc.).

D. Data retention: permanent

E. Input: All data used as input for the *consolidated highway database* is submitted from various sources.

F. Output: Because the *consolidated highway 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 *federal reports*, 1.18.805.24 NMAC. Some of these reports include roadway reports (i.e., *mileage certification, total lane miles of US designated routes, total lanes miles of frontage road, total lane miles of paved and unpaved roads, etc.*), *federal aid mileage summary*, etc.

[1.18.805.22 NMAC - Rp, 1.18.805.541 NMAC, 09/29/2008]

1.18.805.23 TRADAS SYSTEM:

A. Program: planning

B. Maintenance system: numerical by primary key

C. Description: database used to capture traffic data to meet state and federally mandated reporting requirements. Data may include traffic data, vehicle class, site identification, location, county, federal highway administration functional class, axle factor group, seasonal factor group, number of standard days, plus direction, etc.

D. Data retention: 10 years after close of calendar year in which created

E. Input: All records used as input for the *tradas system* are electronically transmitted from field monitors strategically located throughout the state.

F. Output: Because the *tradas 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 1.18.805.24 NMAC, *federal reports*. Some of these reports include federally mandated reports and quarterly summaries.

[1.18.805.23 NMAC - Rp, 1.18.805.542 NMAC, 09/29/2008]

1.18.805.24 FEDERAL PLANNING REPORTS:

A. Program: planning

B. Maintenance system: chronological by calendar year, then by date created

C. Description: reports containing various federally mandated interstate and roadway information. Reports are output from *tradas system*, 1.18.805.23 NMAC and *accident records citation system*, 1.18.805.232 NMAC. Reports are input to *electronic document management system*, 1.18.805.16 NMAC. Some of these reports may include *highway performance monitoring system report, monthly volume summary at continuous counter sites reports, monthly and quarterly speed schedule audit reports, federal speed compliance monthly and quarterly speed summaries*, etc.

D. Retention: 10 years after close of calendar year in which created

[1.18.805.24 NMAC - Rp, 1.18.805.551, 552, 553, 554 NMAC, 09/29/2008]

1.18.805.25 - 1.18.805.30 [RESERVED]

1.18.805.31 FEDERAL AND STATE APPORTIONMENTS REPORTS FILES:

- A. **Program:** planning
- B. **Maintenance system:** chronological by federal fiscal year
- C. **Description:** reports concerning obligated federal and state funds for various highway related projects (i.e., construction, planning programs, feasibility studies, consultants, etc.). Files may include reports from the federal highway administration, departmental staff reports, correspondence, etc.
- D. **Retention:** five years after end of federal fiscal year in which created
[1.18.805.31 NMAC - Rp, 1.18.805.131 NMAC, 09/29/2008]

1.18.805.32 - 1.18.805.43 [RESERVED]

1.18.805.44 DAMAGE CLAIM FILES:

- A. **Program:** inspector general
- B. **Maintenance system:** chronological by date of final disposition, then numerical by damage claim file number
- C. **Description:** damage claims submitted by the department to individuals or representatives of individuals that have negligently damaged DOT property. File may include police reports, estimate of damage, cost reports, final demand notices, receipt of payments, correspondence, etc.
- D. **Retention:** three years after final disposition
[1.18.805.44 NMAC - Rp, 1.18.805.115 NMAC, 09/29/2008]

1.18.805.45 INTERNET SITE VISIT MONITORING REPORTS:

- A. **Program:** inspector general
- B. **Maintenance system:** chronological by calendar year, then date of report
- C. **Description:** monthly report showing DOT employee internet visits to both agency permitted and agency blocked internet addresses. Report may include DOT employee name, date, time, source, destination, internet protocol address, protocol, category, etc.
- D. **Retention:** six months after report created
[1.18.805.45 NMAC - Rp, 1.18.805.118, 119 &120 NMAC, 09/29/2008]

1.18.805.46 - 1.18.805.50 [RESERVED]

1.18.805.51 DISADVANTAGED BUSINESS FILES:

- A. **Program:** equal opportunity
- B. **Maintenance system:** chronological by calendar year, then alphabetical by company name
- C. **Description:** records concerning business owners eligibility determination to participate in the DOT disadvantaged business program. File may include disadvantaged business certification profile registration application, balance sheets, income statements, lease agreements, vehicle schedule, inventory lists, contractor's license copy, partnership agreements, organizational chart, articles of incorporation, by-laws, board of directors resolutions, stock certificates copies, correspondence, etc.
- D. **Retention:** seven years after close of calendar year in which application is denied or withdrawn
- E. **Confidentiality:** Portions of this file may contain confidential information 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).
[1.18.805.51 NMAC - Rp, 1.18.805.122 NMAC, 09/29/2008]

1.18.805.52 DISADVANTAGED BUSINESS PROJECT FILES:

- A. **Program:** equal opportunity
- B. **Maintenance system:** chronological by calendar year, then alphabetical by company name
- C. **Description:** records monitoring the progress and evaluation of a disadvantaged business that was awarded a specific highway project. File may include monthly contractor disadvantaged business participation forms, department permission to subcontract request form, subcontract agreements, individual project disadvantaged business goal analysis, copies of claims, department construction notice form, department project change order form, correspondence, etc.
- D. **Retention:** three calendar years after project completion and final payment made

E. Confidentiality: Portions of this file may contain confidential information pursuant, but not limited to Section 13-1-122 NMSA 1978 (i.e., Competitive sealed qualifications-based proposals; award of architect, engineering, landscape architect and surveying contracts).
[1.18.805.52 NMAC - Rp, 18.805.123 NMAC, 09/29/2008]

1.18.805.53 - 1.18.805.58 [RESERVED]

1.18.805.59 RAILROAD AND UTILITY PROJECT FILES:

- A. Program:** railroad and utilities
- B. Maintenance system:** chronological by completion date, then numerical by control number and project number
- C. Description:** records concerning railroad and utilities construction projects (i.e., rail runner, etc.). Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include project development files, project estimate files, location survey field books, plan and profile sheets, parcel files, right of way correspondence, road exchange files, property improvement files, drainage project files, environmental project files, bid tabulation files, as-let plans, traffic design project control files, road change and assignment files, contracts for railroad utilities, authorization for reimbursement, authorization for funding, billing documentation from utility or railroad for adjustment work, utility permits, licenses, easements, adjustment permit drawings, copies of insurance policies, correspondence, etc.
- D. Retention:** permanent, transfer to archives 25 years after project completion
- E. Confidentiality:** Portions of this file may contain confidential information pursuant, but not limited to Section 13-1-122 NMSA 1978 (i.e., Competitive sealed qualifications-based proposals; award of architect, engineering, landscape architect and surveying contracts).
[1.18.805.59 NMAC - Rp, 1.18.805.361 NMAC, 09/29/2008]

1.18.805.60 RAILROAD SAFETY PROJECT FILES:

- A. Program:** railroad and utilities
- B. Maintenance system:** chronological by contract termination date, then numerical by control number and project number
- C. Description:** records concerning the development and implementation of federal and state railroad safety programs. Files are input to *electronic document management system*, 1.18.805.16 NMAC. File may include contracts between the department and railroad, drawings showing new signalization and construction features, estimates for required railroad construction, federal and state authorizations for engineering, funding and construction, billing documentation from railroad for construction, etc.
- D. Retention:** permanent, transfer to archives 25 years after termination of contract
[1.18.805.60 NMAC - Rp, 1.18.805.362 NMAC, 09/29/2008]

1.18.805.61 - 1.18.805.63 [RESERVED]

1.18.805.64 LOCAL RAIL FREIGHT ACT PLANNING GRANT FILES:

- A. Program:** rail planning
- B. Maintenance system:** chronological by federal fiscal year
- C. Description:** records concerning grants to the DOT to perform planning functions for future rail needs. File may include contracts, consultant studies, invoices, payment vouchers, requisitions, disbursement forms, per diem vouchers, out-of-state travel voucher copies, contract briefs, grant proposals from federal railroad administration, expenditure logs, etc.
- D. Retention:** 10 years after close of federal fiscal year in which grant completed
[1.18.805.64 NMAC - Rp, 1.18.805.591 NMAC, 09/29/2008]

1.18.805.65 LOCAL RAIL FREIGHT ACT PROJECT FILES:

- A. Program:** rail planning
- B. Maintenance system:** chronological by project completion date
- C. Description:** records concerning grants obtained by DOT to upgrade branch line railroads. File may include grant requests from individual branch line railroads (i.e., Santa Fe Southern, Texas-New Mexico, etc.), grant proposals to the federal railroad administration, federal railroad administration authorizations, preliminary through final progress inspection reports, correspondence, etc.

D. Retention: 10 years after project completion
[1.18.805.65 NMAC - Rp, 1.18.805.592 NMAC, 09/29/2008]

1.18.805.66 HIGHWAY RAIL INTERSECTION DATABASE:

A. Program: rail planning
B. Maintenance system: numerical by primary key
C. Description: database that maintains information concerning the inventory and characteristics of all state railroad crossings; railroad crossings upgrade projects and all accidents that occur along any railroad tracks in New Mexico. Data includes US department of transportation national grade crossing inventory, map illustrating location of crossing, accident reports, annual summary of accident information, federal railroad administration crash and collision summary report, comments, etc.

D. Data retention: 10 years from date of annual federal down load report

E. Input: All information used as input for the *highway rail intersection database* is supplied by the federal railroad administration annually.

F. Output: Because the *highway rail intersection 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.

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

1.18.805.67 RAILROAD CROSSING FILES:

A. Program: rail planning
B. Maintenance system: chronological by date railroad removed, then alphabetical by county and operating railroad

C. Description: records concerning characteristics of each railroad crossing (public or private) in New Mexico. Files are output from *highway rail intersection database*, 1.18.805.66. Files may include US department of transportation national grade crossing inventory form, map illustrating location of crossing, correspondence, etc.

D. Retention: until operating railroad removed, then transfer to archives for review and final disposition

[1.18.805.67 NMAC - Rp, 1.18.805.527 NMAC, 09/29/2008]

1.18.805.68 RAILROAD ACCIDENT FILES:

A. Program: rail planning
B. Maintenance system: chronological by calendar year
C. Description: records concerning accidents that occur along any railroad tracks in New Mexico. Files are output from *highway rail intersection database*, 1.18.805.66. File may include copies of accident reports, medical information, annual summary of accident information, federal railroad administration crash and collision summary report, etc.

D. Retention: 10 years after date of accident, then transfer to archives for review and final disposition

E. Confidentiality: Portions of record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and Section 14-2-1 NMSA 1978 (i.e., "law enforcement records that reveal confidential sources, methods, information or individuals accused but not charged with a crime").

[1.18.805.68 NMAC - Rp, 1.18.805.593 NMAC, 09/29/2008]

1.18.805.69 - 1.18.805.70 [RESERVED]

1.18.805.71 BID LETTING SCHEDULE REPORT:

A. Program: plans, specifications and estimates
B. Maintenance system: chronological by federal fiscal year, then by letting date
C. Description: monthly report providing letting status for future highway construction projects. Report may include control number, project number, location, description, county, work type, district, program, estimated construction cost, federal share and lead and project status, etc.

D. Retention: five years after close of federal fiscal year in which report is created
[1.18.805.71 NMAC - Rp, 1.18.805.141 NMAC, 09/29/2008]

1.18.805.72 BID LETTING AND AWARD SYSTEM:

- A. Program:** plans, specifications and estimates
- B. Maintenance system:** numerical by primary key
- C. Description:** database that captures letting, bidding and award information for DOT projects.

Data may include contractor bids for a specific project, advertising documentation, district office recommendations for award, authorization from federal highway administration, bid reviews, preliminary award of contract, project estimates, cost list, items list to generate proposals for contractors, bid letting information, data used to analyze bids, etc.

D. Data retention: six years after project completion date

E. Confidentiality: Portions of this file may contain confidential information pursuant, but not limited to Section 13-1-122 NMSA 1978 (i.e., Competitive sealed qualifications-based proposals; award of architect, engineering, landscape architect and surveying contracts) and CFR 40 Subsection 53.15 (i.e., trade secrets and confidential or privileged information).

F. Input: All records used as input for the *letting and award system* are filed in *authorization file*, 1.18.805.73 NMAC and *contract award recommendations files*, 1.18.805.77 NMAC. The system also receives data through a web application.

G. Output: Because the *letting and award 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.

[1.18.805.72 NMAC - Rp, 1.18.805.293 NMAC, 09/29/2008]

1.18.805.73 AUTHORIZATION FILES:

- A. Program:** plans, specifications and estimates
- B. Maintenance system:** chronological by letting date, then numerical by control number
- C. Description:** records concerning authorization for project advertising and letting requirements

that are going to be let in a given month. Files are input to *letting and award system*, 1.18.805.72 NMAC and *electronic document management system*, 1.18.805.16 NMAC. Files may include letting schedule, licensing requirements, project information work sheet, invitation for bid, addendum to projects, preliminary design plans, work sheet for working days, disadvantaged business goal, certifications from appropriate in-house offices, etc.

D. Retention: six years after project completion date

E. Confidentiality: Portions of this file may contain confidential information pursuant, but not limited to Section 13-1-122 NMSA 1978 (i.e., Competitive sealed qualifications-based proposals; award of architect, engineering, landscape architect and surveying contracts) and CFR 40 Subsection 53.15 (i.e., trade secrets and confidential or privileged information).

[1.18.805.73 NMAC - Rp, 1.18.805.301 NMAC, 09/29/2008]

1.18.805.74 CONTRACT AWARD RECOMMENDATIONS FILES:

- A. Program:** plans, specifications and estimates
- B. Maintenance system:** chronological by letting date, then numerical by control number
- C. Description:** records concerning recommendations and award information from the DOT bid

review committee to award a contract to a particular bidder. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include advertising documentation, recommendations for award, authorization from federal highway administration, DOT contract goal for disadvantaged business in highway construction, bid review work sheets, bid tabulations, copy of preliminary award of contract letter, etc.

D. Retention: six years after project completion date

E. Confidentiality: Portions of this file may contain confidential information pursuant, but not limited to Section 13-1-122 NMSA 1978 (i.e., Competitive sealed qualifications-based proposals; award of architect, engineering, landscape architect and surveying contracts) and CFR 40 Subsection 53.15 (i.e., trade secrets and confidential or privileged information).

[1.18.805.74 NMAC - Rp, 1.18.805.292 & 294 NMAC, 09/29/2008]

1.18.805.75 - 1.18.805.80 [RESERVED]

1.18.805.81 SITE MANAGEMENT SYSTEM:

- A. Program:** project management

- B. Maintenance system:** numerical by primary key
- C. Description:** system that tracks and maintains information for all aspects of construction management. Data may include construction contract data, daily diaries, change orders, contractor payments, finalization, disputes, claims, materials used, etc.
- D. Retention:** six years after project completion date
- E. Input:** All records used as input for the *site management system* are filed in *road and bridge project files*, 1.18.805.88 NMAC; *local government project files*, 1.18.805.92 NMAC and *district maintenance project files*, 1.18.805.96 NMAC.
- F. Output:** Because the *site 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.
[1.18.805.81 NMAC - Rp, 1.18.805.946 NMAC, 09/29/2008]

1.18.805.82 - 1.18.805.84 [RESERVED]

1.18.805.85 STANDARD ROAD AND BRIDGE DRAWING FILES:

- A. Program:** standards and specifications
- B. Maintenance system:** alphabetical by title
- C. Description:** records concerning the standardization of materials and techniques for recurring use in DOT road and bridge projects. Portions of these files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include technical correspondence between various department offices and the federal highway administration used in the development of the standard drawings, drawings, etc.
- D. Retention:** permanent, transfer to archives 25 years after date superseded
[1.18.805.85 NMAC - Rp, 1.18.805.321 & 322 NMAC, 09/29/2008]

1.18.805.86 [RESERVED]

1.18.805.87 BRIDGE PROJECT FILES:

- A. Program:** project development
- B. Maintenance system:** chronological by completion date, then numerical by control number and project number
- C. Description:** entire development and construction history for DOT bridge projects. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include project development files, project estimate files, project studies files, project working files, site investigation files, traffic volume estimates files, GPS survey maps, GPS field books, location survey field books, plan and profile sheets, parcel files, right of way correspondence, road exchange agreement files, property improvement files, drainage project files, bridge design and correspondence files, bridge foundation and construction files, highway design master project files, roadside environmental project files, as-let plans, traffic design project control files, turning movement counts raw data forecast files, road change and assignment files, geotechnical project files (i.e., soil tests, R value rundown sheet and report, etc.), final pavement design reports, surface factor reports, proctor reports, raw test binder data, chemical physical test reports, mixed design reports, summary reports, bituminous mix design files, as-built plans files, correspondence, etc.
- D. Retention:** permanent, transfer to archives 25 years after project completion
- E. Confidentiality:** Portions of this file may contain confidential information pursuant, but not limited to Section 13-1-122 NMSA 1978 (i.e., Competitive sealed qualifications-based proposals; award of architect, engineering, landscape architect and surveying contracts) and CFR 40 Subsection 53.15 (i.e., trade secrets and confidential or privileged information).
[1.18.805.87 NMAC - Rp, 1.18.805.151, 152, 153, 161, 171, 173, 221, 232, 247, 248, 250, 271, 281, 313, 341, 572, 761, 766, 769, 772, 789, 800, 802, 811 & 900 NMAC, 09/29/2008]

1.18.805.88 ROAD PROJECT FILES:

- A. Program:** project development
- B. Maintenance system:** chronological by completion date, then numerical by control number and project number
- C. Description:** entire development and construction history for DOT road projects. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include project development files,

project estimate files, project studies files, project working files, site investigation files, traffic volume estimates files, GPS survey maps, GPS field books, location survey field books, plan and profile sheets, parcel files, right of way correspondence, road exchange agreement files, property improvement files, drainage project files, bridge design and correspondence files, bridge foundation and construction files, highway design master project files, roadside environmental project files, as-let plans, traffic design project control files, turning movement counts raw data forecast files, road change and assignment files, geotechnical project files (i.e., soil tests, R value rundown sheet and report, etc.), final pavement design reports, surface factor reports, proctor reports, raw test binder data, chemical physical test reports, mixed design reports, summary reports, bituminous mix design files, as-built plans files, correspondence, etc.

D. Retention: permanent, transfer to archives 25 years after project completion

E. Confidentiality: Portions of this file may contain confidential information pursuant, but not limited to Section 13-1-122 NMSA 1978 (i.e., Competitive sealed qualifications-based proposals; award of architect, engineering, landscape architect and surveying contracts) and CFR 40 Subsection 53.15 (i.e., trade secrets and confidential or privileged information).

[1.18.805.88 NMAC - Rp, 1.18.805.151, 152, 153, 161, 171, 173, 221, 232, 247, 271, 281, 313, 341, 572, 761, 766, 769, 772, 789, 800, 802, 811 & 900 NMAC, 09/29/2008]

1.18.805.89 - 1.18.805.91 [RESERVED]

1.18.805.92 LOCAL GOVERNMENT PROJECT FILES:

A. Program: project development

B. Maintenance system: chronological by completion date, then numerical by control number

C. Description: department's review and approval of proposed construction plans and contracts submitted by local governments. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include work sheets for establishing disadvantaged business goals, project development engineer's authorization to proceed with advertising, local government assistance files, federal program request for approval to proceed, department approval to local government to proceed with advertisement, road exchange agreement files, local government request for concurrence from the department to award a contract, department letter to federal highway administration requesting concurrence with proposed award of contract, department letter to local government giving permission to award contract, project development files, match waiver, final financial analysis summary, request for approval, correspondence, etc.

D. Retention: permanent, transfer to archives 25 years after project completion

E. Confidentiality: Portions of this file may contain confidential information pursuant, but not limited to Section 13-1-122 NMSA 1978 (i.e., Competitive sealed qualifications-based proposals; award of architect, engineering, landscape architect and surveying contracts) and CFR 40 Subsection 53.15 (i.e., trade secrets and confidential or privileged information).

[1.18.805.92 NMAC - Rp, 1.18.805.291, 441, 752 & 900 NMAC, 09/29/2008]

1.18.805.93 - 1.18.805.95 [RESERVED]

1.18.805.96 DISTRICT MAINTENANCE PROJECT FILES:

A. Program: project development

B. Maintenance system: chronological by project completion date, then numerical by district, then by road or highway route number

C. Description: records relating to road maintenance construction projects (i.e., paving, resurfacing, lane painting, road maintenance, highway spills, etc.). Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include project development files, subcontract documentation files, contractor's estimate files, district general correspondence files, traffic volume estimate files, environmental resource files, district drainage miscellaneous files, project change orders, field books, project personnel daily reports, haul tickets, contractor equal employment opportunity labor compliance reports, etc.

D. Retention: permanent, transfer to archives 25 years after project completion

E. Confidentiality: Portions of this file may contain confidential information pursuant, but not limited to Section 13-1-122 NMSA 1978 (i.e., Competitive sealed qualifications-based proposals; award of architect, engineering, landscape architect and surveying contracts).

[1.18.805.96 NMAC - Rp, 1.18.805.900, 911 NMAC, 09/29/2008]

1.18.805.97 - 1.18.805.99 [RESERVED]

1.18.805.100 ACCESS OR MEDIAN OPENING PERMIT DATABASE:

- A. Program:** traffic engineering
- B. Maintenance system:** numerical by primary key
- C. Description:** database that maintains information concerning permit issuance for access or median openings. Data may include applicant name, address, access information (i.e., route number, location, access width, access type, access radius, etc.), posted speed, sight distance, culvert size, site threshold assessment, engineer notes, permit number, date permit issued, etc.
- D. Data retention:** permanent
- E. Input:** All records used as input for the *access or median opening permit database* are filed in *access or median opening files*, 1.18.805.101 NMAC.
- F. Output:** Because the *access or median opening 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.
[1.18.805.100 NMAC - Rp, 1.18.805.906 NMAC, 09/29/2008]

1.18.805.101 ACCESS OR MEDIAN OPENING PERMIT FILES:

- A. Program:** traffic engineering
- B. Maintenance system:** chronological by year, then numerical by permit number
- C. Description:** records concerning commercial and residential permits issued to construct access or median openings on public right of way. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include application, access information (i.e., route number, location, access width, access type, access radius, etc.), posted speed, sight distance, culvert size, diagrams, site threshold assessment, copy of permit, correspondence, etc.
- D. Retention:** permanent, transfer to archives 25 years after date permit issued
[1.18.805.101 NMAC - Rp, 1.18.805.907 NMAC, 09/29/2008]

1.18.805.102 UTILITY INSTALLATION PERMIT DATABASE:

- A. Program:** traffic engineering
- B. Maintenance system:** numerical by primary key
- C. Description:** database that maintains information concerning permits issued for the installation or relocation of utilities within public right of way. Data may include application, permit number, location, permit number, engineer notes, etc.
- D. Retention:** permanent, transfer to archives 25 years after date permit issued
- E. Input:** All records used as input for the *utility installation permit database* are filed in *utility installation permit files* 1.18.805.103 NMAC.
- F. Output:** Because the *utility installation 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.
[1.18.805.102 NMAC - N, 09/29/2008]

1.18.805.103 UTILITY INSTALLATION PERMIT FILES:

- A. Program:** traffic engineering
- B. Maintenance system:** chronological by year, then numerical by permit number
- C. Description:** records concerning permits issued for the installation of utilities on public right of way. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include application, location, plan drawings, profile drawings, cross-section drawings, approved traffic control plan, field notes, correspondence, etc.
- D. Retention:** permanent, transfer to archives 25 years after permit issued
[1.18.805.103 NMAC - N, 09/29/2008]

1.18.805.104 ROADWAY WORK PERMIT FILES:

- A. Program:** traffic engineering
- B. Maintenance system:** chronological by year, then numerical by permit number

- C. **Description:** records concerning permits issued for construction and maintenance on roadways. File may include application (i.e., route number, location, start time, end time, etc.), field notes, correspondence, etc.
 - D. **Retention:** three calendar years after permit expiration
- [1.18.805.104 NMAC - N, 09/29/2008]

1.18.805.105 SPECIAL EVENT PERMIT FILES:

- A. **Program:** traffic engineering
 - B. **Maintenance system:** chronological by year, then numerical by permit number
 - C. **Description:** records concerning permits issued for temporary closing of all or a portion of a state highway for special events (i.e., parade, movie filming, marathons, etc.). Files may include application, map and diagram of route, city or council approval, indemnification and hold harmless agreement, correspondence, etc.
 - D. **Retention:** three calendar years after date permit issued
- [1.18.805.105 NMAC - N, 09/29/2008]

1.18.805.106 - 1.18.805.109 [RESERVED]

1.18.805.110 MICROBIOLOGICAL WATER REPORTS:

- A. **Program:** district maintenance
 - B. **Maintenance system:** chronological by date, then alphabetical by location
 - C. **Description:** report on results of water samples taken on a routine basis from New Mexico rest stops. Report may include sample identification (i.e., water supply system name, county, user code number, etc.), collection information (i.e., date and time collected, collected by, collection location, etc.), type of system (i.e., community well, private well, etc.), testing required (i.e., total coliforms, fecal, etc.), reason for sampling (i.e., routine sample, special sample, repeat sample and monitoring, etc.), laboratory test results (i.e., drinking water, type of test, etc.), invalid sample, rejected sample, etc.
 - D. **Retention:** three years after close of calendar year in which report issued
- [1.18.805.110 - Rp, 1.18.805.896 NMAC, 09/29/2008]

1.18.805.111 WATER METER READINGS FORMS:

- A. **Program:** district maintenance
 - B. **Maintenance system:** chronological by date, then alphabetical by location
 - C. **Description:** form used to track daily water usage for the rest stops. Form may show file number, start date, end date, meter reading date, signature, meter reading, etc.
 - D. **Retention:** three years after close of calendar year in which created
- [1.18.805.111 NMAC - Rp, 1.18.805.897 NMAC, 09/29/2008]

1.18.805.112 - 1.18.805.113 [RESERVED]

1.18.805.114 BRIDGE MANAGEMENT SYSTEM:

- A. **Program:** bridge design
 - B. **Maintenance system:** numeric by primary key
 - C. **Description:** database that maintains information concerning New Mexico bridge specifications and maintenance history. Data may include bridge number, length, width, clearance, safety features, ratings, bridge condition, inspections, etc.
 - D. **Data retention:** permanent
 - E. **Input:** All records used as input for the *bridge management system* are filed in *bridge file*, 1.18.805.115 NMAC.
 - F. **Output:** Because the *bridge 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. These reports include *inspections due report*, *mile post report*, *conditions and ratings report*, etc.
- [1.18.805.114 NMAC - N, 09/29/2008]

1.18.805.115 BRIDGE FILES:

- A. **Program:** bridge design
- B. **Maintenance system:** chronological by project completion date, then numerical by bridge number

C. Description: records concerning the maintenance history on New Mexico bridges after construction is completed. Portions of files are input to *electronic document management system*, 1.18.805.16 NMAC and *bridge management system*, 1.18.805.114 NMAC. Files may include initial inspection form, pictures, map location, supplemental inspection form, load ratings, maintenance on bridges, condition of bridges, etc.

D. Retention: permanent, transfer to archives when bridge is decommissioned
[1.18.805.115 NMAC - Rp, 1.18.805.741, 744, 745, 746 & 747 NMAC, 09/29/2008]

1.18.805.116 CALLED IN LOAD LOG:

A. Program: bridge design
B. Maintenance system: chronological by date, then numerical by permit number
C. Description: log used to record the overload permits issued by the department of public safety to travel on state bridges. Log may show date, load number, requester, time, firm name, load type, gross weight, height, width, length, axle number, weight, distance, origin, truck unit number, destination, number of axles, route numbers, remarks, rejected, notified, etc.

D. Retention: three years after close of calendar year in which created
[1.18.805.116 NMAC - Rp, 1.18.805.742 NMAC, 09/29/2008]

1.18.805.117 - 1.18.805.120 [RESERVED]

1.18.805.121 RIGHT OF WAY MAPS:

A. Program: lands engineering
B. Maintenance system: chronological by date, then numerical by control number
C. Description: maps are input to *electronic document management system*, 1.18.805.16 NMAC
(1) **Monumentation maps:** maps showing the department's right of way property and plots (actual survey points) identifying public or private land boundaries are used to determine future right of way acquisitions. These original mylar maps illustrate monumentation (survey points) used to establish department right of way limits which have been completed by in-house or consultant surveyors and engineers.

(2) **Railroad right of way maps:** maps showing railroad right of way for DOT and private railroad companies. This is a collection of maps shows physical characteristics of railroads, stations and associated railroad property within New Mexico.

(3) **Right of way maps:** maps showing the department's right of way. These maps (original mylar) illustrate department right of way and are used to acquire property for all department purposes.

D. Retention: permanent, transfer to archives 30 years after map created
[1.18.805.121 NMAC - Rp, 1.18.805.182, 183, 211, & 574 NMAC, 09/29/2008]

1.18.805.122 AERIAL PHOTOGRAPHY LIBRARY:

A. Program: lands engineering
B. Maintenance system: chronological by date, then alphabetical by location
C. Description: library of aerial photographs used for the design and maintenance of roadways and bridges and right of way. Library may include photos of interstates, US and state routes throughout the state.

D. Retention: permanent, transfer to archives after no longer needed for reference
[1.18.805.122 NMAC - Rp, 1.18.805.191 & 416 NMAC, 09/29/2008]

1.18.805.123 - 1.18.805.129 [RESERVED]

1.18.805.130 ROAD TRANSFER AND EXCHANGE AGREEMENT FILES:

A. Program: local government
B. Maintenance system: chronological by date, then numerical by district number
C. Description: records concerning the agreements between the DOT and other entities for the transfer or exchange of New Mexico roadways. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include agreement, copy of deed, maps, drawings, correspondence, etc.

D. Retention: permanent, transfer to archives 25 years after agreement is executed
[1.18.805.130 NMAC - Rp, 1.18.805.481 NMAC, 09/29/2008]

1.18.805.131 REQUEST FOR PROPERTY ABANDONMENT FILES:

A. Program: property management

B. Maintenance system: chronological by date, then numerical by US highway or state road number

C. Description: records concerning DOT's recommendations and decisions regarding incoming requests from entities on properties owned and abandoned by DOT. Files are input to *electronic document management system*, 1.18.805.16 NMAC. File may include right of way maps showing parcels of land, copy of associated easement, survey of intended abandonment, legal land description, interdepartmental comments and recommendations for or against abandonment, declaration of vacation and abandonment, etc.

D. Retention: permanent, transfer to archives 25 years after date of request
[1.18.805.131 NMAC - Rp, 1.18.805.371 NMAC, 09/29/2008]

1.18.805.132 ABANDONMENT DOCUMENT FORMS:

A. Program: property management

B. Maintenance system: chronological by date, then numerical by US highway or state road number

C. Description: form that documents property abandonment. Form is input to *electronic document management system*, 1.18.805.16 NMAC.

D. Retention: permanent, transfer to archives 25 years after abandonment filed
[1.18.805.132 NMAC - Rp, 1.18.805.371 NMAC, 09/29/2008]

1.18.805.133 ENCROACHMENT FILES:

A. Program: property management

B. Maintenance system: chronological by date, then numerical by district

C. Description: records concerning encroachments onto the DOT right of way. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include surveys, copies of deeds, contracts, notice of encroachment on highway right of way, license for encroachment, correspondence, etc.

D. Retention:

(1) **Structural encroachment files:** 25 years after final disposition of encroachment, then transfer to archives for review and final disposition

(2) **All others:** transfer to archives 25 years after disposition of encroachment for review and final disposition

[1.18.805.133 NMAC - Rp, 1.18.805.372 NMAC, 09/29/2008]

1.18.805.134 PROPERTY SALES FILES:

A. Program: property management

B. Maintenance system: chronological by date, then numerical by district

C. Description: records concerning the sale of DOT property. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include right of way maps, quitclaim deeds, correspondence, etc.

D. Retention: permanent, transfer to archives 25 years after date of sale
[1.18.805.134 NMAC - Rp, 1.18.805.376 NMAC, 09/29/2008]

1.18.805.135 DISCLAIMER FILES:

A. Program: property management

B. Maintenance system: chronological by date, then numerical by district

C. Description: records concerning the DOT's disclaimer of interest or ownership of specific property. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include right of way maps, disclaimer, correspondence, etc.

D. Retention: five years after date property is disclaimed, transfer to archives for review and final disposition

[1.18.805.135 NMAC - Rp, 1.18.805.375 NMAC, 09/29/2008]

1.18.805.136 AIRSPACE FILES:

A. Program: property management

B. Maintenance system: chronological by date, then numerical by district number, then by lease agreement

C. Description: records concerning the leasing of the DOT right of way airspace. File may include lease agreements, right of way maps, correspondence, etc.

D. Retention: six years after termination of lease agreement
[1.18.805.136 NMAC - Rp, 1.18.805.378 NMAC, 09/29/2008]

1.18.805.137 BILLBOARD OWNER PERMIT FILES:

A. Program: property management
B. Maintenance system: chronological by date, then alphabetical by owner surname
C. Description: records concerning the approved issuance of permits to erect or maintain outdoor advertising along the interstate and other federally funded primary highways. File is input to 1.18.805.16 NMAC *electronic document management system*. File may include application for permit, inspection documentation of proposed advertising location, check copies, billing information, plats, local government permit copy, renewal notice copy, copy of permit plates issued, correspondence, etc.

D. Retention:
(1) **Approved permit:** permanent, transfer to archives 25 years after termination of permit
(2) **Rejected application:** five years after date of rejection
[1.18.805.137 NMAC - Rp, 1.18.805.703 NMAC, 09/29/2008]

1.18.805.138 JUNKYARD LICENSING FILES:

A. Program: property management
B. Maintenance system: chronological by date, then alphabetical by junkyard owner surname
C. Description: records concerning all junkyard licenses issued by the DOT pursuant to the enforcement and administration of the Highway Beautification Act Section 67-12-1 NMSA 1978. Files may include license application, annual billing information, check copies, junkyard site photos, correspondence, etc.

D. Retention: 10 years after date license expired or revoked
[1.18.805.138 NMAC - Rp, 1.18.805.705 NMAC, 09/29/2008]

1.18.805.139 TOURIST ORIENTED DIRECTIONAL SIGN FILES:

A. Program: property management
B. Maintenance system: chronological by year, then alphabetical by business name
C. Description: records of permits issued and fees collected from business for roadway signs providing business identification and directional information. Files may include application, notification of approval or denial, annual renewal, check copies, location site, contract, correspondence, etc.

D. Retention: 10 years after date of expiration or denial
[1.18.805.139 NMAC - N, 09/29/2008]

1.18.805.140 PARCEL FILES:

A. Program: right of way
B. Maintenance system: chronological by date, then numerical by control number
C. Description: records concerning parcels of land acquired by DOT. File is input to *electronic document management system*, 1.18.805.16 NMAC. Files may include notice of offer to purchase land, DOT appraisal, contracts, deeds, easements, release of mortgage, negotiator's report, title report, right of way correspondence, etc.

D. Retention: permanent, transfer to archives 25 years after project completion
E. Confidentiality: confidential until entire project let to construction
[1.18.805.140 NMAC - Rp, 1.18.805.351 NMAC, 9/29/2008]

1.18.805.141 - 1.18.805.144 [RESERVED]

1.18.805.145 CULTURAL RESOURCE REPORT FILES:

A. Program: cultural resource
B. Maintenance system: chronological by date, then numerical by highway route number
C. Description: records concerning investigation and assessments conducted to determine any historic or archeological site issues affecting proposed or existing DOT right of way. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include site investigation report, surveys, clearance letter, denial letter, correspondence, etc.

- D. **Retention:** permanent, transfer to archives 25 years after date of letter of clearance or denial
- E. **Confidentiality:** Portions of record may be confidential pursuant, but not limited to Section 18-6-11.1 NMSA 1978, Confidentiality of site location.
[1.18.805.145 NMAC - Rp, 1.18.805.156 NMAC, 09/29/2008]

1.18.805.146 ENVIRONMENTAL REFERENCE FILES:

- A. **Program:** environmental geology
- B. **Maintenance system:** chronological by date, then alphabetical by site name and road number
- C. **Description:** environmental assessments conducted on DOT properties and potential property acquisitions. Files may include site investigation reports (i.e., detailed site investigation, field notes, drill logs, laboratory results, disposal manifest, etc.), hazardous materials assessments, photos, clean up report, correspondence, etc.
- D. **Retention:** permanent, transfer to archives 25 years after file assessment conducted
[1.18.805.146 NMAC - Rp, 1.18.805.155, 161, 164 & 721 NMAC, 09/29/2008]

1.18.805.147 UNDERGROUND STORAGE TANK FACILITY FILES:

- A. **Program:** environmental geology
- B. **Maintenance system:** chronological by date, then alphabetical by maintenance patrol name
- C. **Description:** records concerning the maintenance, inspection and removal of underground storage tanks located on the grounds of each highway district's patrol yard, service center, right of way area or other DOT property. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include contracts for removal, work plans and approvals, photos, authorizations to work, correspondence, etc.
- D. **Retention:** permanent, transfer to archives 25 years after date storage tank removed
[1.18.805.147 NMAC - Rp, 1.18.805.162 & 751 NMAC, 09/29/2008]

1.18.805.148 - 1.18.805.152 [RESERVED]

1.18.805.153 PRECIPITATION TABLE FILES:

- A. **Program:** drainage
- B. **Maintenance system:** chronological by date, then numerical by district, then alphabetical by station
- C. **Description:** printout contains readings of maximum rainfall per month at each rainfall gauge station throughout the state.
- D. **Retention:** five years after date created
[1.18.805.153 NMAC - Rp, 1.18.805.234 NMAC 09/29/2008]

1.18.805.154 - 1.18.805.172 [RESERVED]

1.18.805.173 CERTIFIED COUNTY MAINTAINED MILES REPORT FILES:

- A. **Program:** pavement evaluation
- B. **Maintenance system:** chronological by date, then alphabetical by county name
- C. **Descriptions:** records concerning the certification by DOT of the annual county maintained miles report. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include county reports issued to the DOT of the annual certified county maintained miles (i.e., county, location, roadway number, miles, etc.), DOT verification of report, correspondence, etc.
- D. **Retention:** permanent, transfer to archives 25 years after date of last report
[1.18.805.173 NMAC - Rp, 1.18.805.525 NMAC, 09/29/2008]

1.18.805.174 - 1.18.805.175 [RESERVED]

1.18.805.176 LABORATORY INFORMATION MANAGEMENT SYSTEM:

- A. **Program:** materials
- B. **Maintenance system:** numerical by primary key
- C. **Description:** database that maintains information regarding the testing of materials used for highway maintenance and construction projects. Data may include test sample name, lab number, project number, hours worked, materials used, maintenance activity, date reported, district number, test, date sampled, nature of

source, location of source, date received, test results, identifiable marks, manufactured by, district number, refinery source, weekly asphalt report number, tested by, approved by, etc.

D. Data retention: permanent

E. Input: All records used as input for the *laboratory information management system* are filed in *road and bridge project files*, 1.18.805.88 NMAC; *local government project files*, 1.18.805.92 NMAC and *district maintenance project files*, 1.18.805.96 NMAC.

F. Output: Because the *laboratory information 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.

[1.18.805.176 NMAC - Rp, 1.18.805.795 NMAC, 09/29/2008]

1.18.805.177 - 1.18.805.180 [RESERVED]

1.18.805.181 ROCK FALL REPORTS:

A. Program: geotechnical

B. Maintenance system: chronological by date, then numerical by district number

C. Description: reports describing and prioritizing hazardous rock fall sites in New Mexico. File is input to *electronic document management system*, 1.18.805.16 NMAC. Reports may contain maintenance rock fall site inspection, district number, site location, quantity of rock fall in cubic yards, site evaluation, etc.

D. Retention: permanent

[1.18.805.181 NMAC - Rp, 1.18.805.763 & 764 NMAC, 09/29/2008]

1.18.805.182 [RESERVED]

1.18.805.183 LOGO FILES:

A. Program: traffic services

B. Maintenance system: chronological by calendar year, then alphabetical by customer surname

C. Description: records concerning placement of business logos on interstate highway exit signs. File may include application, approval, payment record, copies of checks, correspondence, etc.

D. Retention:

(1) **Rejected applications:** three years after date of rejection

(2) **Approved applications:** five years after non-payment or non-renewal of application

[1.18.805.183 NMAC - Rp, 1.18.805.342 NMAC, 09/29/2008]

1.18.805.184 SIGNAL TIMING LOGS:

A. Program: traffic services

B. Maintenance system: chronological by date, then alphabetical by cross street names

C. Description: log recording periodic timing of all traffic signals maintained by the DOT. Log may include date, location of signal, timing results, etc.

D. Retention: 10 years after date of last entry

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

1.18.805.185 SPEED LIMIT DATABASE:

A. Program: traffic services

B. Maintenance system: numerical by primary key

C. Description: database that maintains information concerning the legal speed limits by route for all DOT highways. Data may include geometric description of roadway, speed limit resolution number, comments, district number, etc.

D. Data retention: until superseded by new resolution

E. Input: All documents used as input for the *speed limit database* are filed in *speed limit resolutions files* 1.18.805.186 NMAC.

F. Output: Because the *speed limit 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.

[1.18.805.185 NMAC - Rp, 1.18.805.711 NMAC, 09/29/2008]

1.18.805.186 SPEED LIMIT RESOLUTIONS FILES:

- A. **Program:** traffic services
- B. **Maintenance system:** chronological by date, then numerical by district and resolution number
- C. **Description:** records concerning speed limit resolutions adopted by the highway commission.

Files are input to *speed limit database*, 1.18.805.185 NMAC. Files may include roadway characteristics, engineering studies, conclusion, recommendations, resolution, correspondence, etc.

D. **Retention:** permanent, transfer to archives 25 years after date of resolution superseded
[1.18.805.186 NMAC - Rp, 1.18.805.712 NMAC, 09/29/2008]

1.18.805.187 SIGNAL, SPEED AND SCHOOL CROSSING STUDY FILES:

- A. **Program:** traffic services
- B. **Maintenance system:** chronological by date, then numerical by district
- C. **Description:** records concerning engineering studies on roadways for justification of changes to speed limit or additions of signals and school crossings. Files may contain study, pictures, computer generated analysis, hand calculations, letter of recommendation, correspondence, traffic counts, etc.
- D. **Retention:** 20 years after completion of study

[1.18.805.187 NMAC - Rp, 1.18.805.708 NMAC, 09/29/2008]

1.18.805.188 - 1.18.805.191 [RESERVED]

1.18.805.192 PRODUCT EVALUATION DATABASE:

- A. **Program:** maintenance management
- B. **Maintenance system:** numerical by primary key
- C. **Description:** database that maintains information on products available for construction projects.

Data may include product name, evaluation of product, approved date and status, product specifications, representative name and demographic information, comments, etc.

- D. **Data retention:** until product is no longer approved or use is discontinued
- E. **Input:** All records used as input for the *product evaluation database* are filed in *product files*

1.18.805.193 NMAC.

F. **Output:** Because the *product evaluation 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.

[1.18.805.192 NMAC - Rp, 1.18.805.726 NMAC, 09/29/2008]

1.18.805.193 PRODUCT FILES:

- A. **Program:** maintenance management
- B. **Maintenance system:** chronological by date, then numerical by file number
- C. **Description:** records concerning approved products available for construction projects. Files are input to *product evaluation database*, 1.18.805.192. Files may include application for product evaluation, data sheet on use of product, product specifications, material safety sheets, correspondence, etc.

- D. **Retention:**
 - (1) **Approved products:** 20 years after product evaluation approved
 - (2) **Rejected products:** three years from date of rejection

[1.18.805.193 NMAC - Rp, 1.18.805.725 & 730 NMAC, 09/29/2008]

1.18.805.194 - 1.18.805.196 [RESERVED]

1.18.805.197 TRAFFIC SIGNAL MAINTENANCE SYSTEM:

- A. **Program:** signal lab
- B. **Maintenance system:** numerical by primary key
- C. **Description:** system that tracks information on signal equipment activity at traffic intersections maintained by the DOT. Data may include intersection location, turn movements, green time seconds, green time, movements, level of service, delay, volumes, minimum green, distance, speed, detector system (sensor in road), alarm system, preemptor phase, coordinator cycle, non-interconnect coordination program steps, mode definition, traffic signal controller timing, traffic signal controller phase zero, preemptor options, non-interconnect coordination holiday programming, program, hour, minute, cycle, offset, split, special, phase, program bit, weekly programs, etc.

- D. **Data retention:** three years after date equipment is replaced
 - E. **Input:** data is automatically relayed from electronic data monitors on signal equipment
 - F. **Output:** Because the *traffic signal maintenance 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.
- [1.18.805.197 NMAC - Rp, 1.18.805.824 NMAC, 09/29/2008]

1.18.805.198 TEST RESULTS FORMS:

- A. **Program:** signal lab
 - B. **Maintenance system:** chronological by date, then numerical by district number
 - C. **Description:** records that document the performance of signal equipment. Form may contain equipment location, contractor name, date received, date started, test results (i.e., cabinet type, visual inspection, specified phasing, fuse type, indication per load switch, flash sequence, panel switches, flash transfer relays, etc.), date completed, tested by, received by, etc.
 - D. **Retention:** three years after date equipment is replaced
- [1.18.805.198 NMAC - Rp, 1.18.805.823 NMAC, 09/29/2008]

1.18.805.199 TRAFFIC SIGNAL FILES:

- A. **Program:** signal lab
 - B. **Maintenance system:** chronological by date, then alphabetical by city and intersection location
 - C. **Description:** records concerning the determination of different timing plans and signal progression for equipment at intersections maintained by the DOT. File may include intersection timing forms, request for maintenance sheets, timing plans, correspondence, etc.
 - D. **Retention:** three years after completion of new signal plan
- [1.18.805.199 NMAC - Rp, 1.18.805.821, 822, 825 & 826 NMAC, 09/29/2008]

1.18.805.200 SCHOOL ZONE SIGNAL FORMS:

- A. **Program:** signal lab
 - B. **Maintenance system:** chronological by date, then numerical by district number, then alphabetical by school name
 - C. **Description:** form used to record information concerning school zone signals maintained by DOT. Form may contain school name, step number, active signal times, inactive signal times, days of week signals is active, etc.
 - D. **Retention:** five years after close of calendar year in which created
- [1.18.805.200 NMAC - Rp, 1.18.805.820 NMAC, 09/29/2008]

1.18.805.201 - 1.18.805.202 [RESERVED]

1.18.805.203 HERBICIDE APPLICATION RECORD FORMS:

- A. **Program:** vegetation management
 - B. **Maintenance system:** chronological by date sprayed, then numerical by district number
 - C. **Description:** forms used to record herbicides sprayed on DOT right of way. Form may include applicator name, application date, mixture date, product code, product amount, area code, location, beginning and ending times, wind direction, etc.
 - D. **Retention:** three years after year in which environmental audit completed
- [1.18.805.203 NMAC - N, 09/29/2008]

1.18.805.204 - 1.18.805.209 [RESERVED]

1.18.805.210 EQUIPMENT MANAGEMENT SYSTEM:

- A. **Program:** equipment
- B. **Maintenance system:** numerical by primary key
- C. **Description:** database that maintains information on all heavy equipment and fleet vehicles. Data may include district information, class unit, item number, contract number, vendor, base price, options to be ordered, total cost, date paid, budget balance, warranties, serial number, dealer name, body style, fuel type, shipping weight, vehicle description, activity code, mileage (beginning and end), daily miles, project code, account code, part

number, labor, parts (i.e., task code, part number, vendor, quantity, unit price and part description, etc.), fixed assets number, inventory value, mile or hour readings, servicing information, inspections, book value, resale value, etc.

D. Data retention: two years after date of disposition of heavy equipment or vehicle

E. Input: All records used as input for the *equipment management system* are filed in *fixed asset (equipment) acquisition history files*, 1.18.805.211 NMAC.

F. Output: Because the *equipment 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.

[1.18.805.210 NMAC - Rp, 1.18.805.845 NMAC, 09/29/2008]

1.18.805.211 EQUIPMENT MAINTENANCE FILES:

A. Program: equipment

B. Maintenance system: chronological by date, then numerical by fixed asset number

C. Description: complete service and maintenance history on heavy equipment and vehicles. Files may include equipment inspection report, equipment registration, equipment transfer form, change report, preventative maintenance report, inspection condemnation report, certificate of property loss, equipment usage report, copy of authorization to purchase surplus equipment, copy of verification of public entity funds for purchase of surplus equipment, etc.

D. Retention: two years after date of disposition of heavy equipment or vehicle

[1.18.805.211 NMAC - Rp, 1.18.805.840, 851, 852, 853, 854, 857, 858, 859, 860, 861 & 899 NMAC, 09/29/2008]

1.18.805.212 PUBLIC ENTITY BUDGET AUTHORIZATION FILES:

A. Program: equipment

B. Maintenance system: chronological by date, then alphabetical by entity name

C. Description: records relating to purchase of DOT equipment by public entities. Files may include authorization to purchase surplus equipment, verification of public entity funds for purchase of surplus equipment form, copy of memo of charge, request for waiver, hardship analysis report from department of finance and administration, correspondence, etc.

D. Retention: three years after close of fiscal year in which authorization received

[1.18.805.212 NMAC - Rp, 1.18.805.753, 841, 862, 863 & 864 NMAC, 09/29/2008]

1.18.805.213 AUCTION DATABASE:

A. Program: equipment

B. Maintenance system: numerical by primary key

C. Description: database maintains information pertaining to the auction of DOT equipment. Data may include inventory lot number, description, fixed asset number, serial number, meter reading, location, inspection and condemnation number, transfer number, bid number, bid amount, bidder name, bidder address, etc.

D. Data retention: five fiscal years after date in which sale occurred

E. Input: All records used as input for the *auction database* are filed in *auctioneer report*

1.18.805.214 NMAC.

F. Output: Because the *auction 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.

[1.18.805.213 NMAC - Rp, 1.18.805.865 NMAC, 09/29/2008]

1.18.805.214 AUCTIONEER REPORT FILES:

A. Program: equipment

B. Maintenance system: chronological by date of auction, then numerical by equipment serial number

C. Description: report listing all equipment sold at auction. File may include equipment acquisition packet (i.e., dealer name, registration, equipment inspection report, etc.) and disposal packet (i.e., inventory lot, description, fixed asset number, serial number, meter reading, location, inspection and condemnation number, transfer number, bid number, bid amount, sold with, bidder name, bidder address, transfer title request, etc.), copy of memo of charge, etc.

D. Retention: five fiscal years after date of sale

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

1.18.805.215 - 1.18.805.218 [RESERVED]

1.18.805.219 RADIATION PROTECTION PROGRAM FILES:

A. Program: risk management
B. Maintenance system: chronological by date, then alphabetical by subject
C. Description: records concerning the tracking of tests and calibrations of radiation equipment to ensure compliance with radioactive safety program. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include designation of personnel who can perform leak tests, reference copy of state law, license and amendments, calibration certificates, leak test certificates, training records, radiation protection manual, quarterly exposure reports, etc.

D. Retention:

(1) **Leak tests:** 50 years after date of leak test

(2) **All other documents (including license):** 50 years after date license expired or revoked

[1.18.805.219 NMAC - Rp, 1.18.805.662 & 663 NMAC, 09/29/2008]

1.18.805.220 - 1.18.805.224 [RESERVED]

1.18.805.225 FACILITY INSPECTION FILES:

A. Program: risk management
B. Maintenance system: chronological by date, then geographical by location
C. Description: routine inspections of the department facilities. Files may include inspection reports, cover letter to supervisor of facility, listing of areas inspected, discrepancies noted, response from supervisor on corrective action, correspondence, etc.

D. Retention: five years after date of inspection

[1.18.805.225 NMAC - Rp, 1.18.805.656 NMAC, 09/29/2008]

1.18.805.226 SAFETY RESEARCH FILES (STUDIES):

A. Program: risk management
B. Maintenance system: chronological by date, then alphabetical by subject
C. Description: records concerning research conducted on safety issues (i.e., workplace violence, safety vests, safety processes, etc.). File may include study, employee safety analysis, notes, etc.

D. Retention: 10 years after research is completed

[1.18.805.226 NMAC - Rp, 1.18.805.667 NMAC, 09/29/2008]

1.18.805.227 - 1.18.805.231 [RESERVED]

1.18.805.232 ACCIDENT RECORDS CITATION SYSTEM:

A. Program: traffic safety
B. Maintenance system: numerical by primary key
C. Description: database that maintains accident report information for statistical purposes. Data may include personal identifiers of individuals involved in an accident (i.e., name, social security number, address, license number, age, etc.), location of accident, accident detailed information, etc.

D. Data retention: seven years after end of federal fiscal year in which created

E. Confidentiality: Portions of record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 66-7-508 NMSA 1978 Confidentiality of records, Section 29-10-4 NMSA 1978 (i.e., arrest records) and Section 14-2-1 NMSA 1978 (i.e., "law enforcement records that reveal confidential sources, methods, information or individuals accused but not charged with a crime").

F. Input: All records used as input for the *accident records citation system* are destroyed once input to system is verified and complete.

G. Output: Because the *accident records citation 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.

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

[Input for this system is copies of accident reports and considered non-record material. For the official declared copy of record see *accident report forms*, 1.18.790.155 NMAC.]

1.18.805.233 DRIVER'S EDUCATION SCHOOL AND INSTRUCTOR CERTIFICATION DATABASE:

- A. Program:** traffic safety
- B. Maintenance system:** numerical by primary key
- C. Description:** database that maintains information on all DOT certifications of driver education schools and instructors. Data may include school name, school qualifications, certification or rejection information, instructor name, instructor qualifications, certification or rejection information, etc.
- D. Data retention:**
 - (1) **Approved data:** five years after expiration of certification
 - (2) **Rejected data:** three years after date of rejection
- E. Input:** All records used as input for the *driver's education and instructor certification database* are filed in *driver's education school and instructor certification files*, 1.18.805.234 NMAC.
- F. Output:** Because the *driver's education and instructor certification 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.
[1.18.805.233 NMAC - N, 09/29/2008]

1.18.805.234 DRIVER'S EDUCATION SCHOOL AND INSTRUCTOR CERTIFICATION FILES:

- A. Program:** traffic safety
 - B. Maintenance system:** chronological by date, then alphabetical by school name
 - C. Description:** certification of driver education schools and instructors for drivers under the age of majority. Files are input to *driver's education school and instructor database*, 1.18.805.233. File may include application for registration, copy of certification, copy of instructor certification, list of instructors, copy of checks from school, correspondence, etc.
 - D. Retention:**
 - (1) **Approved application:** five years after expiration of certification
 - (2) **Rejected application:** three years after date of rejection
- [1.18.805.234 NMAC - Rp, 1.18.805.616 & 617 NMAC, 09/29/2008]

1.18.805.235 MOTORCYCLE PROGRAM DATABASE:

- A. Program:** traffic safety
- B. Maintenance system:** numerical by primary key
- C. Description:** database that maintains information regarding motorcycle program contracts and certifications administered by US air force base on behalf of DOT. Data may include participant information (i.e., name, student evaluation scores, etc), instructor information (i.e., name, certification data, etc.), insurance policy information, etc.
- D. Data retention:**
 - (1) **Organization data:**
 - (a) **Program certification data:** six years after close of calendar in which contract expired or terminated
 - (b) **Instructor certification data:** six years after close of calendar in which certified
 - (2) **Participant data:** five years after date of date of course
- E. Input:** All records used as input for the *motorcycle training database* are filed in *motorcycle training program files*, 1.18.805.236 NMAC and *motorcycle program participant certification files*, 1.18.805.237 NMAC.
- F. Output:** Because the *motorcycle program 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.
[1.18.805.235 NMAC - N, 09/29/2008]

1.18.805.236 MOTORCYCLE TRAINING PROGRAM FILES:

- A. Program:** traffic safety
- B. Maintenance system:** chronological by date
- C. Description:** records concerning the DOT's administration of the motorcycle training program. Files are input to the *motorcycle program database*, 1.18.805.235. File may include copy of organization insurance policy, list of certified instructors, copies of contracts with US air force base, correspondence, etc.

D. Retention: six years after close of calendar in which contract expired or terminated
[1.18.805.236 NMAC - Rp, 1.18.805.618 NMAC, 09/29/2008]

1.18.805.237 MOTORCYCLE PROGRAM PARTICIPANT CERTIFICATION FILES:

A. Program: traffic safety
B. Maintenance system: chronological by date, then alphabetical by training program
C. Description: record of student participation in the motorcycle training program. Files are input to the *motorcycle program database*, 1.18.805.235. Files may include student roster, copy of checks for course fees, certification of completion copies, student evaluations and critique of instructor, insurance carrier' waiver and release from liability, group evaluation score sheets, etc.

D. Retention: five years after date of course
[1.18.805.237 NMAC - Rp, 1.18.805.619 & 620 NMAC, 09/29/2008]

1.18.805.238 DRIVER SAFETY CERTIFICATION DATABASE:

A. Program: traffic safety
B. Maintenance system: numerical by primary key
C. Description: database that maintains information concerning the DOT certifications of adult driver safety schools and instructors. Data may include school name, school qualifications, certification or rejection information, school location, instructor name, instructor qualifications, etc.

D. Data retention:
(1) **Approved data:** five years after expiration of certification
(2) **Rejected data:** three years after date of rejection
E. Input: All records used as input for the *drive safety database* are filed in *driver safety school certification files*, 1.18.805.239 NMAC.

F. Output: Because the *driver safety certification 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.

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

1.18.805.239 DRIVER SAFETY SCHOOL CERTIFICATION FILES:

A. Program: traffic safety
B. Maintenance system: chronological by date, then alphabetical by school name
C. Description: records concerning the certification of adult driver safety schools and instructors by the DOT. Files are input to *driver safety certification database*, 1.18.805.238. Files may include application for registration, copy of certification, copy of instructor certification, list of instructors, copy of checks from school, correspondence, etc.

D. Retention:
(1) **Approved application:** five years after expiration of certification
(2) **Rejected application:** three years after date of rejection

[1.18.805.239 NMAC - Rp, 1.18.805.621 NMAC, 09/29/2008]

1.18.805.240 DRIVING WHILE IMPAIRED SCHOOLS DATABASE:

A. Program: traffic safety
B. Maintenance system: numerical by primary key
C. Description: database that maintains information concerning schools and instructors certified to teach driver rehabilitation courses (DWI). Data may include school name, school qualifications, certification or rejection information, name and location of schools, instructor name, instructor qualifications, etc.

D. Data retention:
(1) **Approved data:** five years after expiration of certification
(2) **Rejected data:** three years after date of rejection

E. Input: All records used as input for the *driving while impaired schools database* are filed in *driving while impaired school files*, 1.18.805.241 NMAC.

F. Output: Because the *driving while impaired school 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.

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

1.18.805.241 DRIVING WHILE IMPAIRED SCHOOL CERTIFICATIONS FILES:

A. Program: traffic safety
B. Maintenance system: chronological by date, then alphabetical by school name
C. Description: records concerning schools and instructors certified to teach driver rehabilitation courses (DWI). Files are input to *driving while impaired schools database*, 1.18.805.240. Files may include application for registration, copy of certification, copy of instructor certification, list of instructors, copy of checks from school, correspondence, etc.

D. Retention:

(1) **Approved application:** five years after expiration of certification

(2) **Rejected application:** three years after date of rejection

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

1.18.805.242 IGNITION INTERLOCK LICENSING FILES:

A. Program: traffic safety
B. Maintenance system: chronological by date, then alphabetical by manufacturer and service center
C. Description: records concerning licenses issued to individuals to operate a service center and certificates issued to instructors - installers and service technicians of ignition interlock devices.. Files may include application for license, individual background check, copy of license, contracts, fee schedules, list of service centers, correspondence, etc.

D. Retention: six federal fiscal years after date license issued

E. Confidentiality: Portions of record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number) and Section 29-10-4 NMSA 1978 (i.e., arrest records).

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

1.18.805.243 IGNITION INTERLOCK DEVICE FUND FILES:

A. Program: traffic safety
B. Maintenance system: chronological by fiscal year, then alphabetical by manufacturer and service centers
C. Description: records concerning fee reimbursement to manufacturer and service centers for the installation and the removal of ignition interlock systems for offenders that are deemed indigent as well as the collection of fees for offenders that are not deemed indigent. File may include submittal forms, service invoice copies, proof of indigence, manufacturer summary service reports, reimbursement and deposit documentation, etc.

D. Retention: seven fiscal years after date of device removal

E. Confidentiality: Portions of record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number).

[1.18.805.243 - N, 09/29/2008]

1.18.805.244 - 1.18.805.248 [RESERVED]

1.18.805.249 AIRCRAFT REGISTRATION SYSTEM:

A. Program: aviation
B. Maintenance system: numerical by primary key
C. Description: database used to track and maintain information on instate aircraft registration, fees and issuance of registration certificates. Data may include name and address of registrant, federal aviation administration number, aircraft manufacturer's serial number, model year, make and model, maximum gross weight, type of aircraft (i.e., single engine, twin engine, etc.), number of seats, aircraft base location (i.e., airport, nearest city, county, etc.), amounts due and paid, lien holder, etc.

D. Retention:

(1) **Aircraft registration data:** three years after close of calendar year in which registration issued

(2) **Aircraft lien data:** five years after close of calendar year in which associated lien removed

E. Input: All records used as input for the *aircraft registration system* are filed in *aircraft registration files*, 1.18.805.256 NMAC and *aircraft lien file*, 1.18.805.257 NMAC.

F. Output: Because the *aircraft registration 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 daily, monthly and annual detail accounting reports and expired registrations monthly report.

[1.18.805.249 NMAC - Rp, 1.18.805.402 NMAC, 09/29/2008]

1.18.805.250 AIRCRAFT REGISTRATION FILES:

A. Program: aviation

B. Maintenance system: chronological by calendar year, then by FAA number

C. Description: records concerning administration of instate aircraft registrations. Portions of files are input to the *aircraft registration system*, 1.18.805.249. Files may include aircraft deposit receipt and aircraft registration application.

D. Retention: three years after close of calendar year in which registration issued

[1.18.805.250 NMAC - Rp, 1.18.805.401 NMAC, 09/29/2008]

1.18.805.251 AIRCRAFT LIEN FILES:

A. Program: aviation

B. Maintenance system: chronological by calendar year, then numerical by aircraft registration number

C. Description: records concerning liens placed by the DOT for nonpayment of aircraft registration fees. Files are input to *aircraft registration files*, 1.18.805.249. Files may include copy of aircraft registration application, notice of intent to file a lien for nonpayment of aircraft registration fees, notice of lien, correspondence, etc.

D. Retention: five years after close of calendar year in which associated lien removed

[1.18.805.251 NMAC - Rp, 1.18.805.404 NMAC, 09/29/2008]

1.18.805.252 - 1.18.805.255 [RESERVED]

1.18.805.256 AIRPORT IMPROVEMENT PROJECT FILES:

A. Program: aviation

B. Maintenance system: chronological by date, then alphabetical by airport name

C. Description: records concerning DOT's review and approval of airport improvement projects. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include application for aid from a municipality (i.e., map of airport property, municipality's estimate of total cost of project, etc.), grant agreements and amendments, billing documents from municipality and contractor, disbursement data sheet, preliminary design correspondence, construction plans, change orders, final project report, as-built construction plans, copy of enacted legislative grant appropriating funds for project, federal aviation administration disadvantaged business approval, department engineer's estimate on acceptable engineering and inspection costs, correspondence, etc.

D. Retention: permanent, transfer to archives 25 years after date project completed

[1.18.805.256 NMAC - Rp, 1.18.805.411, 412 & 413 NMAC, 09/29/2008]

1.18.805.257 AVIATION MISCELLANEOUS FILES:

A. Program: aviation

B. Maintenance system: chronological by date, then alphabetical by name of airport

C. Description: records concerning miscellaneous non-project related matters at individual airports. Files are input to *electronic document management system*, 1.18.805.16 NMAC. Files may include site investigations, engineering studies, correspondence, etc.

D. Retention: permanent, then transfer to archives 25 years after date created

[1.18.805.257 NMAC - Rp, 1.18.805.414 NMAC, 09/29/2008]

1.18.805.258 AERONAUTICAL CHART DEVELOPMENT FILES:

A. Program: aviation

B. Maintenance system: chronological by year of edition

C. Description: records concerning development of New Mexico aeronautical charts. Files may include request for proposal, bid packages, copy of contract with engineering contractor and printing firm, printing specifications, recommended changes for next generation of chart, chart history, completed engineering artwork for chart, copy of invoice, etc.

D. Retention: six years after close of fiscal year in which chart produced
[1.18.805.258 NMAC - Rp, 1.18.805.426 & 427 NMAC, 09/29/2008]

HISTORY OF 1.18.805 NMAC:

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SRC Rule 73-6, Records Retention and Disposal Schedule for New Mexico State Highway Department, filed 7/26/73.

SRC Rule 73-6, Amendment No. 1, filed 2/25/74.

SRC Rule 73-6, Amendment No. 2, filed 9/9/74.

SRC Rule 73-6, Amendment No. 3, filed 9/15/75.

SRC Rule 73-6, Amendment No. 4, filed 4/25/80.

SRC Rule 73-6, Amendment No. 5, filed 12/14/81.

SRC Rule 80-4, Retention and Disposition Schedule for the Planning Division of the State Highway Department, filed 4/25/80.

SRC Rule 80-4, Amendment No. 1, filed 5/4/80.

SRC Rule 82-2, Records Retention and Disposition Schedule for Administrative Division, Finance Bureau, New Mexico State Highway Department, filed 12/14/81.

SRC Rule No. 89-04, Records Retention and Disposition Schedule for New Mexico State Highway and Transportation Department, Office of the Secretary, filed 8/25/89.

SRC Rule 89-06, Records Retention and Disposition Schedule for New Mexico State Highway and Transportation Department, Administrative Division, Finance Bureau, filed 12/18/89.

SRC Rule No. 91-01, Records Retention and Disposition Schedule for New Mexico State Highway and Transportation Department, Field Operations Division, Maintenance Support Bureau, filed 8/30/91.

SRC Rule No. 93-01, Records Retention and Disposition Schedule for New Mexico State Highway and Transportation Department, Office of the Inspector General, filed 5/7/93.

SRC Rule No. 93-02, Records Retention and Disposition Schedule for New Mexico State Highway and Transportation Department, Office of the Secretary, filed 5/7/93.

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1.18.805 NMAC, ERRDS, New Mexico State Highway and Transportation, filed 6-8-2000 - Repealed 9/29/2008.