

350 – General Services Department

This file plan was developed to be a guide for General Services Department employees. This guidance document was created to ensure consistent records classification and to provide agencies with other relevant record information. The final disposition authority resides in the Functional Records Retention and Disposition Schedule (FRRDS), 1.21.2 NMAC.

This file plan only list records series of program's specific to the General Services Department. For records series of a general administrative nature, refer to the General Administrative Records File Plan. For records of a financial nature, refer to the General Financial Records File Plan. For records of a personnel or medical nature, refer to the General Personnel/Medical Records File Plan.

350-001 RISK MANAGEMENT CLAIM INFORMATION SYSTEM:

Division/unit: Risk management

Maintenance system: Numerical by primary key

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

Classification:

(A) **Liability and property claim data:** 1.21.2.161 NMAC, Accidents and Property Damage

(B) **Disability benefit claim application data:** 1.21.2.201 NMAC, Claims - Benefits Management

(C) **Workers' compensation claim data:** 1.21.2.265 NMAC, WCA Accident Reporting

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-002 LIABILITY CLAIM FILES:

Division/unit: Risk management

Maintenance system: Chronological by fiscal year, then numerical by coverage code number, then by claim number

Record series content: Records concerning liability claims filed against governmental entities insured by RMD. These claims include general liability claims, law enforcement claims, civil rights claims, medical malpractice claims, auto liability claims and miscellaneous claims. These files are input to the *risk management claim information system*. Files may include tort notice of claim or other legal claim documents, investigative or adjustor reports and supporting documentation (e.g., photographs, medical records, witness statements, offense reports, etc.), legal pleadings, discovery related documents (e.g.,

depositions, interrogatories, requests for admissions, etc.), expense records (e.g., paid invoices, check requests, attorney billings, etc.), letter of determination, correspondence, etc.

Classification: 1.21.2.162 NMAC, General Liability - Claims

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-003 PROPERTY CLAIM FILES:

Division/unit: Risk management

Maintenance system: Chronological by fiscal year, then numerical by coverage code number, then by claim number

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

Classification: 1.21.2.161 NMAC, Accidents and Property Damage

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-004 to 350-010

350-011 WORKERS' COMPENSATION CLAIM FILES:

Division/unit: Risk management

Maintenance system: Chronological by fiscal year, then alphabetical by claim type, then numerical by claim number

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

Classification:

(A) Approved claims:

(1) Work related injury or incident resulting in death: 1.21.2.261 NMAC, Claims - Workers' Compensation and Unemployment

(2) Settlement of claim in its entirety: 1.21.2.261 NMAC, Claims - Workers' Compensation and Unemployment

(3) Claims with a non-work-related death: 1.21.2.261 NMAC, Claims - Workers' Compensation and Unemployment

(4) All other claims: 1.21.2.265 NMAC, WCA Accident Reporting

(B) Denied claims: 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-011 to 350-020

350-021 **GROUP BENEFIT ENROLLMENT FILES:**

Division/unit: Risk management

Maintenance system: Chronological by fiscal year, then alphabetical by local public body, then by employee surname

Record series content: Records concerning enrollment for health and voluntary benefits for local public body employees and their dependents. Portions of these files are input to *SHARE*. Files may include enrollment form, copies of voluntary benefit enrollment forms, correspondence, etc.

Classification: 1.21.2.202 NMAC, Enrollment - Benefits

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-022 **DISABILITY BENEFIT CLAIM APPLICATION FILES:**

Division/unit: Risk management

Maintenance system: Chronological by fiscal year, then alphabetical by employee surname

Record series content: Records concerning claim applications for short or long-term disability salary supplement benefits for government entity employees. These files are input to the *risk management claim information system*. Files may include *employer disability claim form*, *employee disability claim form*, *authorization for release of information*, *physician form*, copies of medical records, copy of history notes, payment documentation, letter of determination, correspondence, etc.

Classification: 1.21.2.201 NMAC, Claims - Benefits Management

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-023 **COBRA BENEFIT ELECTION FORMS:**

Division/unit: Risk management

Maintenance system: Chronological by fiscal year, then alphabetical by participant surname

Record series content: Forms received from employees for continuation of health care coverage when there is a qualifying event that would result in a loss of coverage under an employer plan. Portions of these forms are input to *SHARE*. Forms may include COBRA benefit selections, payment options, etc.

Classification: 1.21.2.202 NMAC, Enrollment - Benefits

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-024 **BENEFIT RESOLUTION FILES:**

Division/unit: Risk management

Maintenance system: Chronological by calendar year, then alphabetical by employee surname

Record series content: Records concerning employee complaints regarding benefits that were denied. Files may include appeal letter, copy of RMD determination letter, research documentation (e.g., copies of medical records, research notes, etc.), correspondence, etc.

Classification: 1.21.2.201 NMAC, Claims - Benefits Management

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-025 to 350-030

350-031 **INSURANCE POLICIES:**

Division/unit: Risk management

Maintenance system: Chronological by fiscal year, then alphabetical by insurance type
Record series content: Policies concerning coverage and specialty coverage purchased by RMD for unique assets and for claims that exceed self-insurance limits. Some policies consist of but are not limited to property, liability, boiler and machinery, crime and theft, fine arts, aircraft, fleet, workers' compensation, etc. Policies may include specifications of coverage, monetary limits, etc.
Classification: 1.21.2.164 NMAC, Insurance Policies
Confidentiality: Portions of this record may be confidential.
[New - 01/22/2021]

350-032 EVIDENCE OF COVERAGE FILES:

Division/unit: Risk management
Maintenance system: Chronological by fiscal year, then numerical by evidence of coverage number
Record series content: Records concerning requests from RMD insured governmental entities for proof of insurance coverage for foreign travel and projects and events held offsite. Files may include *evidence of coverage*, governmental entity request, copies of policy, correspondence, etc.
Classification: 1.21.2.164 NMAC, Insurance Policies
Confidentiality: Portions of this record may be confidential.
[New - 01/22/2021]

350-033 NOTARY PUBLIC SURETY BOND FILES:

Division/unit: Risk management
Maintenance system: Chronological by fiscal year, then alphabetical by governmental entity, then by requester's surname
Record series content: Records concerning surety bond coverage issued by RMD to governmental entity employees applying to become notaries public. Files may include governmental entity request, copy of *notary public surety bond*, correspondence, etc.
Classification: 1.21.2.628 NMAC, Bonds
[New - 01/22/2021]

350-034 to 350-040

350-041 COMPLAINT FILES:

Division/unit: Risk management
Maintenance system: Chronological by fiscal year, then alphabetical by complainant's surname
Record series content: Records concerning complaints about RMD services and staff. Files may include complainant's letter, research documentation (e.g., copies of claims, notes, etc.), quality assurance response letter, correspondence, etc.
Classification: 1.21.2.142 NMAC, Complaints
Confidentiality: Portions of this record may be confidential.
[New - 01/22/2021]

350-042 PHYSICIAN CREDENTIAL FILES:

Division/unit: Risk management
Maintenance system: Chronological by fiscal year, then alphabetical by physician surname
Record series content: Requests from medical facilities to RMD seeking information on any claims that may have been filed against a physician that is or was employed by the state. Files may include request letter, summary report printout, copy of RMD response letter, correspondence, etc.
Classification: 1.21.2.518 NMAC, Information Release
Confidentiality: Portions of this record may be confidential.
[New - 01/22/2021]

350-043 to 350-050

350-051 **ADR PROGRAM INFORMATION DATABASE:**

Division/unit: Risk management

Maintenance system: Numerical by primary key

Record series content: database used to track incoming inquiries and requests for alternative dispute prevention and resolution assistance. Data may include request date, governmental entity name, type of assistance requested, follow up activity, disposition, etc.

Classification: 1.21.2.208 NMAC, Programs - Employer and Labor Services

[New - 01/22/2021]

350-052 **ADR PROGRAM FILES:**

Division/unit: Risk management

Maintenance system: Chronological by fiscal year, then alphabetical by governmental entity

Record series content: Records concerning the development and marketing of ADR in RMD insured governmental entities. Files may include governmental entity profile, *New Mexico ADR survey*, *customer service interview*, *annual governmental entity statistical report*, etc.

Classification:

(A) **Annual governmental entity statistical report:** 1.21.2.118 NMAC, Reports - Statistical

(B) **All other documents:** 1.21.2.208 NMAC, Programs - Employer and Labor Services

[New - 01/22/2021]

350-053 to 350-060

350-061 **LOSS CONTROL PROGRAM MASTER FILES:**

Division/unit: Risk management

Maintenance system: Chronological by fiscal year, then numerical by agency code, then by district and division number

Record series content: Loss control programs established by RMD-insured governmental entities to assure that loss prevention and control are integral parts of the compliance with workplace safety and employment-related civil rights rules and regulations. Files may include *loss control plan* (e.g., list of loss prevention and control coordinators and committee members, self-inspection and audit checklist, etc.), loss control agency reports (e.g., copy of quarterly loss control meeting minutes, copy of audit report, audit response letter), correspondence, etc.

Classification:

(A) **Loss control plan:** 1.21.2.111 NMAC, Planning and Development

(B) **Loss control agency reports:** 1.21.2.112 NMAC, Program and Project Files

[New - 01/22/2021]

350-062 **INSPECTION REPORTS:**

Division/unit: Risk management

Maintenance system: Chronological by fiscal year, then alphabetical by type of inspection, then by governmental entity

Record series content: Records concerning the inspection of mechanical equipment, property and structures for RMD insured governmental entities. Files may include inspection report (e.g., hazards, safety failures, recommendations, etc.), copy of compliance letter, compliance response letter, follow up report, correspondence, etc.

Classification: 1.21.2.136 NMAC, Safety, Security and Access

[New - 01/22/2021]

350-063 to 350-070

350-071 VENDOR APPLICATION FOR REGISTRATION FILES:

Division/unit: State purchasing

Maintenance system: Chronological by year and month, then alphabetical by vendor name

Record series content: Records concerning vendor registrations for notification on future bid and proposal solicitations by state purchasing. Portions of these files are input to *SHARE*. Files may include *vendor application for registration* (e.g., legal name, business name, contact information, number of years in business, type of business, state of New Mexico tax identification number, federal tax identification number, social security number, commodity codes, etc.), urgent notice of vendor registration, correspondence, etc.

Classification: 1.21.2.347 NMAC, Vendor Management

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-072 STATE PURCHASING PROCUREMENT FILES:

Division/unit: State purchasing

Maintenance system: Numerical by state purchasing number (fiscal year, agency or statewide number and requisition number)

Record series content:

(A) **Requests for proposal:** records concerning requests for proposals solicited and awarded by state agencies to prospective vendors for specific commodities or services. Files may include *request for proposal authorization form* (e.g., procurement information, procurement justification, involved personnel, procurement events, procurement schedule, evaluation factors, etc.), *request for proposal boiler plate recommendation*, *request for proposal*, *vendor registration tracking list*, *inventory form*, proposals, agency evaluation report, contract, *agency price agreement*, *statewide price agreement*, commodity order, protest, agency complaint letter, cure notices, correspondence, etc.

(B) **Invitations to bid:** records concerning bid invitations solicited and awarded by state agencies to prospective vendors for specific commodities or services. Files may include *requisition*, specifications, *action slip purchase document*, *notice to invitation to bid*, *invitation to bid*, bid bond, subcontractors list, *request for taxpayer identification number and certification (W-9)*, copy of licenses, resumes, *bid tabulation*, contract, *agency price agreement*, *statewide price agreement*, commodity order, *cancellation notice*, protest, complaint letter, vendor complaint notification letter, amendments, correspondence, etc.

(C) **Price agreements:** records concerning the agreement between state purchasing (statewide) or state agencies and vendors for specific commodities or services. Files may include *requisition*, specifications, vendor price extension letter, GSA authorized vendor letter, letter of authorized distributor, GSA contract, state agency clarification letter, sole source vendor clarification letter, *action slip*, *agency price agreement*, *statewide price agreement*, protest, complaint letter, vendor complaint notification letter, amendments, correspondence, etc.

(D) **Contracts:** records concerning contracts between state purchasing (statewide) or state agencies and vendors for specific commodities or services. Files may include request, requisition, specifications, justification, vendor price extension letter, GSA authorized vendor letter, letter of authorized distributor, GSA contract, state agency clarification letter, sole source vendor clarification letter, quote, vendor proposal, protest, complaint letter, vendor complaint notification letter, amendments, correspondence, etc.

(E) **Commodity orders:** records concerning the one time purchase of commodities or services from a GSA authorized vendor or from a sole source vendor. Files may include vendor price extension letter, GSA authorized vendor letter, letter of authorized distributor, GSA contract, *requisition*, specifications, state agency clarification letter, sole source vendor clarification letter, *agency price agreement*, *statewide price agreement*, contract, copy of commodity order, etc.

Classification: 1.21.2.346 NMAC, Bids, Proposals and Quotes

[New - 01/22/2021]

350-073 to 350-080

350-081 STATE PRINTING AND GRAPHIC SERVICES WORK ORDER MANAGEMENT SYSTEM:

Division/unit: Printing and graphic services

Maintenance system: Numerical by primary key

Record series content: System generates and tracks all required quotes, work orders, invoices, and any related production documents for customer requests. Data may include quote information (i.e., customer information, graphic information, printing information, bindery information, job specifications, custom specification requirements, notes, etc.), work order information (i.e., purchase order number, shipping instructions, etc.), etc.

Classification: 1.21.2.137 NMAC, Work Orders

[New - 01/22/2021]

350-082 STATE PRINTING AND GRAPHIC SERVICES WORK ORDER FILES:

Division/unit: Printing and graphic services

Maintenance system: Chronological by fiscal year, then numerical by invoice number

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

Classification: 1.21.2.303 NMAC, Accounts Receivable

[New - 01/22/2021]

350-083 STATE PRINTING AND GRAPHIC SERVICES PROJECT LOGS:

Division/unit: Printing and graphic services

Maintenance system: Chronological by fiscal year

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

Classification: 1.21.2.110 NMAC, Logs

[New - 01/22/2021]

350-084 STATE PRINTING AND GRAPHIC SERVICES MONTHLY INVENTORY:

Division/unit: Printing and graphic services

Maintenance system: Chronological by fiscal year, then by month

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

Classification: 1.21.2.317 NMAC, Inventories

[New - 01/22/2021]

350-085 to 350-090

350-091 FACILITY AND PROPERTY MANAGEMENT SYSTEM:

Division/unit: Facilities management

Maintenance system: Numerical by primary key

Record series content: System used to track property owned and leased by state government. System also used to track maintenance of state properties and building services staff. Data may include:

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

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

Classification:

- (A) **Property control data:**
- (1) **Real property data:** 1.21.2.677 NMAC, Land and Easements
 - (2) **Capital project data:** 1.21.2.132 NMAC, Construction Project Files - Capital Projects
 - (3) **Building plan data:** 1.21.2.131 NMAC, Building Files
 - (4) **Lease data:** 1.21.2.605 NMAC, Leases
 - (5) **Space Assignment Understanding Data:** 1.21.2.601 NMAC, Agreements - Other
- (B) **Building services data:**
- (1) **Employee profile data:** 1.21.2.136 NMAC, Safety, Security and Access
 - (2) **Work order data:** 1.21.2.137 NMAC, Work Orders
 - (3) **Inventory part profile data:** 1.21.2.317 NMAC, Inventories
 - (4) **Vendor catalogue part and purchasing data:** 1.21.2.347 NMAC, Vendor

Management

[New - 01/22/2021]

350-092 REAL PROPERTY FILES:

Division/unit: Facilities management

Maintenance system: Chronological by fiscal year, then alphabetical by county, then numerical by file number

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

Classification: 1.21.2.677 NMAC, Land and Easements

[New - 01/22/2021]

350-093 LEASE FILES:

Division/unit: Facilities management

Maintenance system:

(A) **State property:** Chronological by date, then numerical by file number

(B) **Private property:** Chronological by date, then numerical by county, then by file number

Record series content: Records concerning lease agreements between state government and private property owners. Portions of these files are input to the *facility and property management system*. Files may include request for proposal, selected proposed proposal, lease record drawings, lease summary, standard lease form checklist, lease agreement, proof of insurance, lease amendments, notice of early termination, notice to vacate, correspondence, etc.

Classification: 1.21.2.605 NMAC, Leases

[New - 01/22/2021]

350-094 SPACE ASSIGNMENT UNDERSTANDING FILES:

Division/unit: Facilities management

Maintenance system: Alphabetical by county name, then numerical by file number

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

Classification: 1.21.2.601 NMAC, Agreements - Other

[New - 01/22/2021]

350-095 BUILDING PLAN FILES:

Division/unit: Facilities management

Maintenance system: Chronological by fiscal year, then numerical by building number, then by project number

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

Classification: 1.21.2.131 NMAC, Building Files

[New - 01/22/2021]

350-096 CAPITAL PROJECT FILES:

Division/unit: Facilities management

Maintenance system: Chronological by fiscal year, then numerical by project number, then alphabetical by building name

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

Classification: 1.21.2.132 NMAC, Construction Project Files - Capital Projects

[New - 01/22/2021]

350-097 ACCESS WORK ORDER FILES:

Division/unit: Facilities management

Maintenance system: Chronological by date

Record series content: Records concerning the authorization of access and assignment of keys, access badges and access codes to state employees. Portions of these files are input to the *facility and property management system*. Files may include *key request form*, *access code request form*, *access badge request form*, password notations, correspondence, etc.

Classification: 1.21.2.137 NMAC, Work Orders

[New - 01/22/2021]

350-098 RESERVED PARKING WORK ORDER FILES:

Division/unit: Facilities management

Maintenance system: Chronological by date

Record series content: Records concerning the authorization and assignment of reserved parking permits for carpools, vanpools and alternative fuel vehicles at state facilities. Portions of these files are input to the *facility and property management system*. Files may include *reserved parking request form carpools and vanpools*, *reserved parking request form alternative fuel vehicles*, correspondence, etc.

Classification: 1.21.2.137 NMAC, Work Orders

[New - 01/22/2021]

350-099 CUSTOMER SERVICE REQUEST SUMMARY REPORT FILES:

Division/unit: Facilities management

Maintenance system: Chronological by fiscal year, then alphabetical by employee surname, then chronological by date

Record series content: Records concerning daily assignments for FMD employees. Portions of these files are input to the *facility and property management system*. Files may include *rapid time card entry form* (e.g., employee name, date, start and end times, morning and afternoon break times, lunch start and end times, leave type and hours taken, time types, work order numbers, phases, phase statuses, actions taken, comments, total hours reported, etc.), correspondence, etc.

Classification: 1.21.2.116 NMAC, Reports - General

[New - 01/22/2021]

350-100 to 350-110

350-111 SURPLUS DATA MANAGEMENT SYSTEM:

Division/unit: Surplus property

Maintenance system: Numerical by primary key

Record series content: System used to monitor surplus inventory and to track related transactions. Data may include employee information (e.g., first and last names, title, card number, expiration date, etc.), donee application information (e.g., name of governmental entity, address, telephone number, fax number, applicant status, etc.), donee representative information (e.g., name, title, etc.), federal or state holding information (e.g., governmental entity name, address, city, state, zip, phone number, fax number, GSA office, etc.), GSA from 123 information (e.g., New Mexico property number, transfer order number, GSA approval date, issue date, received by, etc.), federal property and state property input information (e.g., screener name, governmental entity name, property description, stock number, quantity, item number, control number, acquisition cost, unit number, quantity approved, property location, condition code, etc.), property receiving information (e.g., quantity received, warehouse location, restriction period, manufacturer, model, serial number, year, comments, completion date, received by, etc.), compliance information (e.g., property identification number, status, onsite verification, date verified, date in use, date completed, etc.), etc.

Classification:

(A) **Staff data:** 1.21.2.156 NMAC, Access and Control

(B) **Donee data:** 1.21.2.318 NMAC, Surplus and Disposal

(C) **Surplus property data:** 1.21.2.318 NMAC, Surplus and Disposal

[New - 01/22/2021]

350-112 DONEE FILES:

Division/unit: Surplus property

Maintenance system: Chronological by federal fiscal year, then alphabetical by organization name

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

Classification: 1.21.2.318 NMAC, Surplus and Disposal

[New - 01/22/2021]

350-113 SURPLUS PROPERTY FILES:

Division/unit: Surplus property

Maintenance system: Chronological by federal fiscal year, then numerical by inventory number

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

Classification: 1.21.2.318 NMAC, Surplus and Disposal

[New - 01/22/2021]

350-114 FEDERAL PROPERTY AUCTION FILES:

Division/unit: Surplus property

Maintenance system: Chronological by federal fiscal year

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

Classification: 1.21.2.318 NMAC, Surplus and Disposal

[New - 01/22/2021]

350-115 FEDERAL PROPERTY COMPLIANCE FILES:

Division/unit: Surplus property

Maintenance system: Chronological by federal fiscal year, then alphabetical by organization name

Record series content: Records concerning compliance with federal property use regulations (property valued \$5,000 or higher and property with wheels) by eligible governmental entities and nonprofit tax exempt organizations. Portions of these files are input to the *surplus data management system*. Files may include copy of compliance and utilization review letter, compliance and utilization review form (e.g.,

contact name, title, property identification number, agency number, acquisition cost, issue and invoice number, date acquired, description of property, date placed in use, restrictions expire, location of property, present function or use, comments, reviewed prepared by, etc.), copy of surplus property federal distribution document, copy of second notice letter, copy of final notice letter, pictures, correspondence, etc.

Classification: 1.21.2.413 NMAC, Federal Compliance and Reporting
[New - 01/22/2021]

350-116 to 350-120

350-121 AIRCRAFT LOGS:

Division/unit: Aviation

Maintenance system: Numerical by aircraft number

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

Classification: 1.21.2.153 NMAC, Vehicle Files
[New - 01/22/2021]

350-122 AIRCRAFT RESERVATION LOGS:

Division/unit: Aviation

Maintenance system: Chronological by calendar year

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

Classification: 1.21.2.110 NMAC, Logs
[New - 01/22/2021]

350-123 PILOT AIRCRAFT UTILIZATION REPORT FILES:

Division/unit: Aviation

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

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

Classification: 1.21.2.153 NMAC, Vehicle Files
[New - 01/22/2021]

350-124 to 350-130

350-131 FLEET MANAGEMENT SYSTEM:

Division/unit: Central fleet

Maintenance system: Numerical by primary key

Record series content: System tracks short and long-term vehicle usage and maintenance. Data may include operator information (e.g., name, department, work phone number, date of birth, social security number, gender, driver license number and expiration date, defensive driving course completion date, etc.), confirmed motor pool reservation information (e.g., pickup location, vehicle type requested, vehicle

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

Classification:

- (A) **Operator data:** 1.21.2.121 NMAC, Tracking
- (B) **Work order data:** 1.21.2.137 NMAC, Work Orders
- (C) **State vehicle data:** 1.21.2.153 NMAC, Vehicle Files

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-132 SHORT-TERM LEASE FILES:

Division/unit: Central fleet

Maintenance system: Chronological by fiscal year, then numerical by reservation ID number

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

Classification: 1.21.2.605 NMAC, Leases

[New - 01/22/2021]

350-133 LONG-TERM LEASE FILES:

Division/unit: Central fleet

Maintenance system: Chronological by fiscal year, then numerical by agency code

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

Classification: 1.21.2.605 NMAC, Leases

[New - 01/22/2021]

350-134 AGENCY FILES:

Division/unit: Central fleet

Maintenance system: Chronological by fiscal year, then numerical by agency code

Record series content: Records concerning a state agency's request for the purchase, lease, exchange and disposal of state vehicles and monthly statements to state agencies with long-term lease agreements.

Files may include *state central fleet authority for purchase, lease and disposal of state vehicles application* (e.g., date, fiscal year, agency name, contact information, agency activity code, funding source, type of application, type of vehicle requested, number of vehicles requested, estimated yearly mileage, travel demand and need for purchase and lease description, physical location of vehicle, program unit assigned to, number of vehicles agency has on inventory, alternative fuel information, special use vehicle information, special equipment information, replacement and disposal information, priority level, approved and disapproved information, etc.); alternative fuel justification; equipment need justification; *long-term lease billing report* (e.g., division codes, vehicle plate numbers, vehicle classes, total miles used, additional mileage rates and charges, monthly lease rates, current monthly charges, totals, etc.); copies of invoices; correspondence; etc.

Classification: 1.21.2.605 NMAC, Leases

[New - 01/22/2021]

350-135 VEHICLE COORDINATOR LOGS:

Division/unit: Central fleet

Maintenance system: Alphabetical by account manager name, then by agency name, then by vehicle coordinator surname

Record series content: Log maintains information on all vehicle coordinators assigned by agency to coordinate long-term lease vehicle usage. Logs may include agency name, number of vehicles, coordinator contact information, etc.

Classification: 1.21.2.110 NMAC, Logs

[New - 01/22/2021]

350-136 STATE VEHICLE FILES:

Division/unit: Central fleet

Maintenance system: Chronological by date, then numerical by plate number

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

Classification: 1.21.2.153 NMAC, Vehicle Files

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-137 VEHICLE PREVENTIVE MAINTENANCE REPORT FILES:

Division/unit: Central fleet

Maintenance system: Chronological by fiscal year, then by month, then alphabetical by agency name
Record series content: Monthly reporting showing the vehicle preventive maintenance schedule for long-term leases. Files may include *vehicle preventive maintenance report* (e.g., department code, vehicle plate, vehicle schedule, mileage reported, mileage at last preventive maintenance, due mileage, preventive maintenance mileage overdue, preventive maintenance flag, etc.), correspondence, etc.

Classification: 1.21.2.153 NMAC, Vehicle Files

[New - 01/22/2021]

350-138 STATE TRANSPORTATION POOL WORK ORDER FILES:

Division/unit: Central fleet

Maintenance system: Chronological by date, then alphabetical by agency name, then numerical by plate number

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

Classification: 1.21.2.137 NMAC, Work Orders

[New - 01/22/2021]

350-139 STATE VEHICLE UTILIZATION REPORTS:

Division/unit: Central fleet

Maintenance system: Chronological by fiscal year, then numerical by agency code

Record series content: Reports showing state agencies yearly state vehicle usage. Reports may include vehicle plate numbers, vehicle years, class codes, odometer readings, miles driven, gasoline charges, gallons used, etc.

Classification: 1.21.2.116 NMAC, Reports - General

[New - 01/22/2021]

350-140 AUCTION VEHICLE SALES REPORTS:

Division/unit: Central fleet

Maintenance system: Chronological by fiscal year, then numerical by plate number

Record series content: Reports that list central fleet vehicles sold at auction. These files are input to the *fleet management system*. Reports may include license plate number, year, make, model, VIN, sale price, sales date, etc.

Classification: 1.21.2.318 NMAC, Surplus and Disposal

[New - 01/22/2021]

350-141 DEFENSIVE DRIVING COURSE DATABASE:

Division/unit: Central fleet

Maintenance system: Numerical by primary key

Record series content: Database used to maintain information on employee registration and completion of defensive driving courses. Data may include student information (e.g., driver's license number, date of last class, agency name and code, driver's license check information, etc.), course information (e.g., class date, instructor name, instructor department, instructor contact information, instructor number, etc.), GSD control number, etc.

Classification: 1.21.2.251 NMAC, Course Management

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-142 DEFENSIVE DRIVING COURSE REGISTRATION FILES:

Division/unit: Central fleet

Maintenance system: Chronological by fiscal year, then by class date

Record series content: Records concerning the registration and completion of defensive driving courses. Portions of these files are input to the *defensive driving course database*. Files may include defensive driving registration printouts (e.g., student information, agency information, class information, contact information, method of payment, etc.), driver's license check printouts, class roster, tests, copies of certificates of completion, copies of purchase orders, correspondence, etc.

Classification: 1.21.2.251 NMAC, Course Management

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-143 TRANSPORTATION WAIVER DATABASE:

Division/unit: Central fleet

Maintenance system: Numerical by primary key

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

Classification: 1.21.2.642 NMAC, Waivers and Releases - Legal Matter Management

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-144 TRANSPORTATION WAIVER FILES:

Division/unit: Central fleet

Maintenance system: Chronological by fiscal year, then alphabetical by agency name, then by employee surname

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

Classification: 1.21.2.642 NMAC, Waivers and Releases - Legal Matter Management

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-145 DRIVING PRIVILEGES FILES:

Division/unit: Central fleet

Maintenance system: Chronological by fiscal year

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

Classification: 1.21.2.634 NMAC, Investigations - Legal Matter Management

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-146 STATE VEHICLE ACCIDENT AND VANDALISM DATABASE:

Division/unit: Central fleet

Maintenance system: Numerical by primary key

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

Classification: 1.21.2.153 NMAC, Vehicle Files

[New - 01/22/2021]

350-147 VEHICLE ABUSE REPORTING DATABASE:

Division/unit: central fleet

Maintenance system: Numerical by primary key

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

Classification: 1.21.2.142 NMAC, Complaints

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-148 VEHICLE ABUSE REPORTING FILES:

Division/unit: Central fleet

Maintenance system: Chronological by fiscal year, then alphabetical by agency name

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

Classification: 1.21.2.142 NMAC, Complaints

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-149 DRIVER AUDIT FILES:

Division/unit: Central fleet

Maintenance system: Chronological by fiscal year, then alphabetical by agency

Record series content: Records documenting the compliance audit of authorized to drive a state vehicle. Files may include copy of defensive driving certificate, copy of driver's license, copy of driving record, agency list of authorized drivers', copy of letter of appeal to director, copy of letter of decision, correspondence, etc.

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-150 REQUEST FOR DRIVER'S LICENSE FILES:

Division/unit: Central fleet

Maintenance system: Chronological by date, then alphabetical by agency

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

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

**350-151 TRANSPORTATION SERVICES DIVISION DRIVER'S INSTRUCTOR
CERTIFICATION FILES:**

Division/unit: Central fleet

Maintenance system: Chronological by date, then alphabetical by agency, then by surname

Record series content: Records documenting the certification of a state employee to teach defensive driving classes to state employees. Files may include letter of interest, copy of student defensive driving certificate, proof of registration for a national safety council instructor class, copy of class rosters, notes from evaluations, copies of instructor certificates, copy of transportation services division certification certificate, copy of driving record, letter of approval, letter of denial, letter of appeal, decision of director, correspondence, etc.

Classification:

(A) **Certification issued:** 1.21.2.223 NMAC, Certifications

(B) **Certification withdrawn or denied:** 1.21.2.107 NMAC, Denied, Rejected or
Withdrawn Records

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-152 DRIVING PRIVILEGES DATABASE:

Division/unit: Central fleet

Maintenance system: Numerical by primary key

Record series content: Database tracks and maintains information on state authorized drivers who have driving privileges suspended or revoked. Data may include driver's license data (e.g., name, address, license number, etc.), agency data (e.g. name, address, etc.), suspension data (e.g., suspension date, reason for suspension, date of reinstatement, comments data, etc.), etc.

Classification: 1.21.2.634 NMAC, Investigations - Legal Matter Management

Confidentiality: Portions of this record may be confidential.

[New - 01/22/2021]

350-153 to 350-160

350-161 JOINT POWERS AGREEMENTS FILE:

Division/unit: Contract review bureau

Maintenance system: Numerical by lead party agency or alphabetical by lead party county, municipality, special district, commission, etc.

Record series content: Records concerning DFA's approval of any joint powers agreement (JPA) in accordance with 11-1-3 NMSA 1978. File contains copies of the JPAs and associated JPA brief.

Classification: 1.21.2.603 NMAC, Cooperative Agreements

[New - 01/22/2021]

350-162 JOINT POWERS AGREEMENTS REPORT:

Division/unit: Contract review bureau

Maintenance system: Chronological by month created.

Record series content: List of the approved joint powers agreements to be filed with the state board of finance (11-1-3 NMSA 1978). Report shows names of parties involved, brief description of the JPA, approval date and amount of federal, state or local government funds involved.

Classification: 1.21.2.112 NMAC, Program and Project Files

[New - 01/22/2021]

350-163 PROFESSIONAL SERVICES CONTRACTS FILES:

Division/unit: Contract review bureau

Maintenance system: Numerical by agency code

Record series content: Records concerning professional services contracts and amendments which have been reviewed for fiscal and legal sufficiency and approved by DFA's contract review bureau. File contains original professional services contracts, amendments, and associated technical and professional services contract brief.

Classification: 1.21.2.604 NMAC, Goods and Services

[New - 01/22/2021]