

464 – State Board of Licensure for Professional Engineers and Surveyors File Plan

This file plan was developed to be a guide for State Board of Licensure for Professional Engineers and Surveyors 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 State Board of Licensure for Professional Engineers and Surveyors. 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.

464-001 **INTERN FILES:**

Division/unit: Licensure

Maintenance system: Chronological by year, then alphabetical by applicant surname

Record series content: Records documenting application for professional engineer or surveyor intern status for qualified individuals. Files may include applications, transcripts, fundamentals of engineering exam score sheets, fundamentals of surveying exam score sheets, correspondence, etc.

Classification: 1.21.2.234 NMAC, Personnel Files - Non-Contributing

File closure: Date of application or last examination date

Confidentiality: Portions of this record may contain confidential information pursuant, but not limited to, 5 USC Section 552a (i.e., social security number) and Section 61-23-12 NMSA, 1978 Records and reports (i.e., "letters of inquiry and reference concerning applicants").

[New - 03/31/2021]

464-002 **LICENSURE FILES:**

Division/unit: Licensure

Maintenance system: Chronological by year, then alphabetical by applicant surname

Record series content: Records documenting the application and licensure history of professional engineers and surveyors. Files may include applications for certification, transcripts, letters of reference, professional licensure notification letters, application for licensure, *abstract of applicant statement form*, *reference form*, licensure renewal application, copy of letter of audit notice, response and documentation, letter of contemplated action, correspondence, etc.

Classification: 1.21.2.667 NMAC, Professional Licenses

File closure: Date licensure lapses, revocation or notification of death of licensee

Confidentiality: Portions of this record may contain confidential information pursuant, but not limited to, 5 USC Section 552a (i.e., social security number) and Section 61-23-12 NMSA, 1978 Records and reports (i.e., "letters of inquiry and reference concerning applicants").

[New - 03/31/2021]

464-003 to 464-010

464-011 **SURVEYOR INTERN EXAMINATION FILES:**

Division/unit: Testing

Maintenance system: Chronological by year

Record series content: Record of examinations administered for intern surveyors. Files may include examination booklets, sign-in sheets, answer keys, score reports, etc.

Classification: 1.21.2.672 NMAC, Tests and Examinations

File closure: Date of examination

Confidentiality: Portions of this record may contain confidential information pursuant, but not limited to, Section 61-23-12 NMSA, 1978 Records and reports (i.e., "file records of examination problem solutions").

[New - 03/31/2021]

464-012 COMPLAINT FILES:

Division/unit: Licensure

Maintenance system: Chronological by year, then numerical by case number

Record series content: Record of complaints filed against a certified intern, licensed professional engineers or surveyors or individuals practicing engineering or surveying without certification or licensure. Files may include notarized *affidavit of witness form, complaint form, complainant's exhibits form, statement continuation form*, investigation reports, notices of contemplated action, board decisions, correspondence, etc.

Classification:

(A) **Complaints resulting in disciplinary action:** 1.21.2.656 NMAC, Discipline and Investigations - General

(B) **Complaints dismissed:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure:

(A) **Complaints resulting in disciplinary action:** Date case closed

(B) **Complaints dismissed:** Date complaint dismissed

Confidentiality: Portions of this record may contain confidential information pursuant, but not limited to, 5 USC Section 552a (i.e., social security number) and Section 61-23-12 NMSA, 1978 Records and reports (i.e., "investigation files where any investigation is ongoing or is still pending").

[New - 03/31/2021]