

469 – State Racing Commission File Plan

This file plan was developed to be a guide for State Racing Commission 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 Racing Commission. 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.

469-001 INVESTIGATIVE CASE FILE:

Division/unit: Investigations and enforcement

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

Record series content: File is used to maintain investigation information obtained by racing commission on licensees (i.e., horse owners, jockeys, track personnel, etc.). File may contain written complaints, protests, copies of rulings, copies of license information, pictures of photo finishes, film footage, correspondence, investigative reports, commission findings, etc.

Classification: 1.21.2.656 NMAC, Discipline and Investigations - General

File closure: Date case file closed

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

[New - 03/31/2021]

469-002 TRACK FILE:

Division/unit: Race meet oversight

Maintenance system: Chronological by year

Record series content: File contains annual information of activity on all horse racing track associations licensed by the racing commission. File may contain commission rulings, list of officials background material (i.e., resumes, past work experience, etc.), steward cash reports, report of stake race payments, house rules, security reports, contingency plans for emergencies, pre-opening checklists, track surface reports, correspondence, inter-track wagering report, etc.

Classification:

(A) **Secondary application:** 1.21.2.652 NMAC, Business Licenses

(B) **Commission rulings:** 1.21.2.632 NMAC, Hearings and Appeals

(C) **All other documentation:** 1.21.2.415 NMAC, General - Audits and Compliance

File closure:

(A) **Secondary application:** Close of calendar year after no longer associated with track

(B) **Commission rulings:** Close of calendar year in which ruling issued

(C) **All other documentation:** Close of racing season in which created

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

[New - 03/31/2021]

469-003 MEDICATION FILE:

Division/unit: Equine drug testing

Maintenance system: Chronological by race date

Record series content: Records concerning the study and analysis of equine drug testing. File may contain Lasix bleeder list, certifications of examination, bleeder treatment report, veterinarian medication

report, urine specimen test card, test procedures, test results, purse releases, daily veterinarian report, state veterinarian seal log, laboratory seal log, receipt of samples, etc.

Classification: 1.21.2.707 NMAC, Inspections

File closure: Close of racing season in which created

[New - 03/31/2021]

469-004 TRACK-DAY RACE FILE:

Division/unit: Race meet oversight

Maintenance system: Chronological by calendar year created, then alphabetical by track name

Record series content: File contains race meet information for New Mexico race tracks. File may contain daily official programs, in-today lists, overnight lists, race results sheets, daily racing forms, etc.

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Close of racing season in which created

[New - 03/31/2021]

469-005 FINGERPRINT CARD FILE:

Division/unit: Investigation and enforcement

Maintenance system: Alphabetical by surname and by date

Record series content: File contains fingerprint cards on all individuals who possess a New Mexico racing license. File may include licensee information (i.e., name, address, date of birth, social security number, gender, race, height, eye color, hair color, place of birth, etc.), signature of person being fingerprinted, aliases, date fingerprinted, signature of official taking fingerprints, employer address, reason fingerprinted, citizenship status, track fingerprint log, federal bureau of investigations or department of public safety investigation report, etc.

Classification: 1.21.2.667 NMAC, Professional Licenses

File closure: Close of racing season in which created

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

[New - 03/31/2021]

469-006 APPRENTICE JOCKEY CERTIFICATES:

Division/unit: Licensing

Maintenance system: Chronological by date issued

Record series content: Records concerning applications and certification of apprentice jockeys. Certificate may include jockeys information (i.e., name, social security number, address, date of birth, place of birth, parents or guardians signature, guardians address, notarization, date and place of first and second mount, winning record, date of extension due to injury, etc.), etc.

Classification: 1.21.2.667 NMAC, Professional Licenses

File closure: Date of issue

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

[New - 03/31/2021]

469-007 EXAMINATION FILE:

Division/unit: Licensing

Maintenance system: Chronological by year, then numerical by category number and number assigned

Record series content: Records concerning examinations based on horse racing knowledge to determine if individuals are qualified to receive a license as a jockeys agent, farrier, trainer or assistant trainer. File may contain exam results, letters of reference, correspondence, barn test results, etc.

Classification: 1.21.2.672 NMAC, Tests and Examinations

File closure: Date of examination

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

[New - 03/31/2021]

469-008 APPLICATION FOR LICENSE:

Division/unit: License

Maintenance system: Numerical by license number

Record series content: File contains occupational license from the racing commission to engage in horse racing activity (i.e., trainer's license, stable name license, owner or lessee license, pari mutuel license, jockey agent license, etc.). License application may include the following information: license fee, year applying for, licensee information (i.e., name, age, height, weight, hair color, eye color, gender, citizenship, date and place of birth, social security number, driver's license number, permanent address, nearest living relative to notify in emergency, present employer, etc.), fingerprint date, track name, license number issued, ruling information, race track ejection or privilege denial information, conviction and arrest information, certification of statements made and agreed conditions, applicant signature and date, certification of employment, approval of recommendation on license by the board of stewards to the state racing commission, board of stewards signatures, etc.

Classification:

(A) **Approved:** 1.21.2.667 NMAC, Professional Licenses

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

File closure:

(A) **Approved:** Close of calendar year in which licensed issued

(B) **Denied:** Date application denied, rejected or withdrawn

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

[New - 03/31/2021]

469-009 PRIMARY APPLICATION FILE:

Division/unit: Licensing

Maintenance system: Numerical by track number

Record series content: Record concerning the application for license to conduct a race meet. Record may contain application, feasibility study, race track blueprints, concessionaire contracts, financial statements, marketing analysis, audited balance sheets, stockholders, race type, commissions' decision, correspondence, etc.

Classification:

(A) **Original primary application:** 1.21.2.653 NMAC, Business Licenses - Historical

(B) **Annual primary application:** 1.21.2.652 NMAC, Business Licenses

(C) **Denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure: Close of racing season in which created

[New - 03/31/2021]

469-010 LICENSING DATABASE:

Division/unit: Licensing

Maintenance system: Numerical by primary key

Record series content: Database used to maintain occupational license information. Database also tracks investigative case files. Date may include application information (i.e., name, social security number, address, license status, fingerprint date, phone number, etc), investigative case file information (i.e., case number, case status, disposition of case, comments, rulings, etc).

Classification: 1.21.2.653 NMAC, Business Licenses - Historical

File closure: Close of racing season in which created

Confidentiality: Portions of record may be confidential pursuant, but not limited to Section 5 USC 552a (i.e., social security number).
[New - 03/31/2021]