

## 805 – Department of Transportation File Plan

This file plan was developed to be a guide for Department of Transportation 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 Department of Transportation. 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.

### 805-001 ELECTRONIC DOCUMENT MANAGEMENT SYSTEM:

**Division/unit:** Records management

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

#### Classification:

- (A) **Federal planning reports:** 1.21.2.413 NMAC, Federal Compliance and Reporting
- (B) **Railroad and utility project files:** 1.21.2.133 NMAC, Infrastructure Project Files
- (C) **Standard road and bridge drawing files:** 1.21.2.133 NMAC, Infrastructure Project Files
- (D) **Bridge project files:** 1.21.2.133 NMAC, Infrastructure Project Files
- (E) **Road project files:** 1.21.2.133 NMAC, Infrastructure Project Files
- (F) **Railroad safety project files:** 1.21.2.133 NMAC, Infrastructure Project Files
- (G) **Local government project files:** 1.21.2.133 NMAC, Infrastructure Project Files
- (H) **District maintenance project files:** 1.21.2.133 NMAC, Infrastructure Project Files
- (I) **Access or median opening permit files:** 1.21.2.678 NMAC, Right Of Way
- (J) **Utility installation permit files:** 1.21.2.678 NMAC, Right Of Way
- (K) **Bridge files:** 1.21.2.133 NMAC, Infrastructure Project Files
- (L) **Road transfer and exchange agreement files:** 1.21.2.678 NMAC, Right Of Way
- (M) **Right of way maps:** 1.21.2.678 NMAC, Right Of Way
- (N) **Request for property abandonment files:** 1.21.2.677 NMAC, Land and Easements
- (O) **Abandonment document forms:** 1.21.2.677 NMAC, Land and Easements
- (P) **Encroachment files:** 1.21.2.677 NMAC, Land and Easements
- (Q) **Property sales files:** 1.21.2.677 NMAC, Land and Easements
- (R) **Disclaimer files:** 1.21.2.677 NMAC, Land and Easements
- (S) **Billboard owner permit files:** 1.21.2.605 NMAC, Leases
- (T) **Parcel files:** 1.21.2.677 NMAC, Land and Easements
- (U) **Cultural resource report files:** 1.21.2.177 NMAC, Cultural Resources
- (X) **Environmental reference files:** 1.21.2.439 NMAC, Environmental Impact Statements
- (W) **Underground storage tank facility files:** 1.21.2.443 NMAC, Storage Tanks
- (X) **Certified county maintained miles report files:** 1.21.2.117 NMAC, Reports - Historical
- (Y) **Rock fall reports:** 1.21.2.117 NMAC, Reports - Historical
- (Z) **Radiation protection program files:**
  - (1) **Leak tests:** 1.21.2.472 NMAC, Equipment - Radioactive

- (2) **All other documents (including license):** 1.21.2.475 NMAC, Hazardous
- Materials
- (AA) **Airport improvement project files:** 1.21.2.133 NMAC, Infrastructure Project Files
  - (AB) **Airport miscellaneous files:** 1.21.2.111 NMAC, Planning and Development
  - (AC) **Contract award recommendations files:** 1.21.2.346 NMAC, Bids, Proposals and
- Quotes
- (AD) **Payroll records:** 1.21.2.212 NMAC, Payroll Registers
- File closure:**
- (A) **Federal planning reports:** Close of calendar year in which report is created
  - (B) **Railroad and utility project files:** Date of project completion
  - (C) **Standard road and bridge drawing files:** Date superseded
  - (D) **Bridge project files:** Date of project completion
  - (E) **Road project files:** Date of project completion
  - (F) **Railroad safety project files:** Date contract terminated
  - (G) **Local government project files:** Date of project completion
  - (H) **District maintenance project files:** Date of project completion
  - (I) **Access or median opening permit files:** Date permit issued
  - (J) **Utility installation permit files:** Date permit issued
  - (K) **Bridge files:** Date when bridge is decommissioned
  - (L) **Road transfer and exchange agreement files:** Date agreement is executed
  - (M) **Right of way maps:** Date map created
  - (N) **Request for property abandonment files:** Date of request
  - (O) **Abandonment document forms:** Date abandonment filed
  - (P) **Encroachment files:** Date of final disposition of encroachment
  - (Q) **Property sales files:** Date of sale
  - (R) **Disclaimer files:** Date property is disclaimed
  - (S) **Billboard owner permit files:** Date of termination of permit
  - (T) **Parcel files:** Date of termination of permit
  - (U) **Cultural resource report files:** Date of letter of clearance or denial
  - (V) **Environmental reference files:** Date file assessment conducted
  - (W) **Underground storage tank facility files:** Date storage tank removed
  - (X) **Certified county maintained miles report files:** Date of last report
  - (Y) **Rock fall reports:** Date report created
  - (Z) **Radiation protection program files:**
    - (1) **Leak tests:** Date of leak test
    - (2) **All other documents (including license):** Date license expired or revoked
  - (AA) **Airport improvement project files:** Date project completed
  - (AB) **Airport miscellaneous files:** Date file created
  - (AC) **Contract award recommendations files:** Date of project completion
  - (AD) **Payroll records:** Close of federal fiscal year in which created

[New - 03/31/2021]

## 805-002 to 805-010

### 805-011 CONSOLIDATED HIGHWAY DATABASE:

**Division/unit:** Planning

**Maintenance system:** Numerical by primary key

**Record series content:** 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.).

**Classification:** 1.21.2.132 NMAC, Construction Project Files - Capital Projects

**File closure:** Date of project completion

[New - 03/31/2021]

**805-012 TRADAS SYSTEM:**

**Division/unit:** Planning

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.413 NMAC, Federal Compliance and Reporting

**File closure:** Close of calendar year in which created

[New - 03/31/2021]

**805-013 FEDERAL PLANNING REPORTS:**

**Division/unit:** Planning

**Maintenance system:** Chronological by calendar year, then by date created

**Record series content:** Reports containing various federally mandated interstate and roadway information. 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.*

**Classification:** 1.21.2.413 NMAC, Federal Compliance and Reporting

**File closure:** Close of calendar year in which created

[New - 03/31/2021]

**805-014 FEDERAL AND STATE APPORTIONMENTS REPORTS FILES:**

**Division/unit:** Planning

**Maintenance system:** Chronological by federal fiscal year

**Record series content:** 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.

**Classification:** 1.21.2.116 NMAC, Reports - General

**File closure:** Close of federal fiscal year in which created

[New - 03/31/2021]

**805-015 to 805-020**

**805-021 DAMAGE CLAIM FILES:**

**Division/unit:** Inspector general

**Maintenance system:** Chronological by date of final disposition, then numerical by damage claim file number

**Record series content:** 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.

**Classification:** 1.21.2.161 NMAC, Accidents and Property Damage

**File closure:** Date of final disposition

[New - 03/31/2021]

**805-022 INTERNET SITE VISIT MONITORING REPORTS:**

**Division/unit:** Inspector general

**Maintenance system:** Chronological by calendar year, then date of report

**Record series content:** 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.

**Classification:** 1.21.2.156 NMAC, Access and Control

**File closure:** Date report created

[New - 03/31/2021]

## **805-023 to 805-030**

### **805-031 DISADVANTAGED BUSINESS FILES:**

**Division/unit:** Equal opportunity

**Maintenance system:** Chronological by calendar year, then alphabetical by company name

**Record series content:** 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.

**Classification:** 1.21.2.112 NMAC, Program and Project Files

**File closure:** Close of calendar year in which application is denied or withdrawn

**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).

[New - 03/31/2021]

### **805-032 DISADVANTAGED BUSINESS PROJECT FILES:**

**Division/unit:** Equal opportunity

**Maintenance system:** Chronological by calendar year, then alphabetical by company name

**Record series content:** 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.

**Classification:** 1.21.2.112 NMAC, Program and Project Files

**File closure:** Close of calendar year after project completion and final payment made

**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).

[New - 03/31/2021]

## **805-033 to 805-040**

### **805-041 RAILROAD AND UTILITY PROJECT FILES:**

**Division/unit:** Railroad and utilities

**Maintenance system:** Chronological by completion date, then numerical by control number and project number

**Record series content:** Records concerning railroad and utilities construction projects (i.e., rail runner, etc.). 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.

**Classification:** 1.21.2.133 NMAC, Infrastructure Project Files

**File closure:** Date of project completion

**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).

[New - 03/31/2021]

#### **805-042 RAILROAD SAFETY PROJECT FILES:**

**Division/unit:** Railroad and utilities

**Maintenance system:** Chronological by contract termination date, then numerical by control number and project number

**Record series content:** Records concerning the development and implementation of federal and state railroad safety programs. 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.

**Classification:** 1.21.2.133 NMAC, Infrastructure Project Files

**File closure:** Date contract terminated

[New - 03/31/2021]

#### **805-043 to 805-050**

#### **805-051 LOCAL RAIL FREIGHT ACT PLANNING GRANT FILES:**

**Division/unit:** Rail planning

**Maintenance system:** Chronological by federal fiscal year

**Record series content:** 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.

**Classification:** 1.21.2.122 NMAC, Grant Administration

**File closure:** Close of federal fiscal year in which grant completed

[New - 03/31/2021]

#### **805-052 LOCAL RAIL FREIGHT ACT PROJECT FILES:**

**Division/unit:** Rail planning

**Maintenance system:** Chronological by project completion date

**Record series content:** 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.

**Classification:** 1.21.2.112 NMAC, Program and Project Files

**File closure:** Date of project completion

[New - 03/31/2021]

#### **805-053 HIGHWAY RAIL INTERSECTION DATABASE:**

**Division/unit:** Rail planning

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.413 NMAC, Federal Compliance and Reporting

**File closure:** Date of annual federal down load report

[New - 03/31/2021]

#### **805-054 RAILROAD CROSSING FILES:**

**Division/unit:** Rail planning

**Maintenance system:** Chronological by date railroad removed, then alphabetical by county and operating railroad

**Record series content:** Records concerning characteristics of each railroad crossing (public or private) in New Mexico. Files may include US department of transportation national grade crossing inventory form, map illustrating location of crossing, correspondence, etc.

**Classification:** 1.21.2.111 NMAC, Planning and Development

**File closure:** Date operating railroad removed

[New - 03/31/2021]

#### **805-055 RAILROAD ACCIDENT FILES:**

**Division/unit:** Rail planning

**Maintenance system:** Chronological by calendar year

**Record series content:** Records concerning accidents that occur along any railroad tracks in New Mexico. File may include copies of accident reports, medical information, annual summary of accident information, federal railroad administration crash and collision summary report, etc.

**Classification:** 1.21.2.111 NMAC, Planning and Development

**File closure:** Date of accident

**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").

[New - 03/31/2021]

#### **805-056 to 805-060**

#### **805-061 BID LETTING SCHEDULE REPORT:**

**Division/unit:** Plans, specifications and estimates

**Maintenance system:** Chronological by federal fiscal year, then by letting date

**Record series content:** 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.

**Classification:** 1.21.2.116 NMAC, Reports - General

**File closure:** Close of federal fiscal year in which report is created

[New - 03/31/2021]

#### **805-062 BID LETTING AND AWARD SYSTEM:**

**Division/unit:** Plans, specifications and estimates

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.346 NMAC, Bids, Proposals and Quotes

**File closure:** Date of project completion

**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).

[New - 03/31/2021]

### **805-063 AUTHORIZATION FILES:**

**Division/unit:** Plans, specifications and estimates

**Maintenance system:** Chronological by letting date, then numerical by control number

**Record series content:** Records concerning authorization for project advertising and letting requirements that are going to be let in a given month. 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.

**Classification:** 1.21.2.346 NMAC, Bids, Proposals and Quotes

**File closure:** Date of project completion

**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).

[New - 03/31/2021]

### **805-064 CONTRACT AWARD RECOMMENDATIONS FILES:**

**Division/unit:** Plans, specifications and estimates

**Maintenance system:** Chronological by letting date, then numerical by control number

**Record series content:** Records concerning recommendations and award information from the DOT bid review committee to award a contract to a particular bidder. 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.

**Classification:** 1.21.2.346 NMAC, Bids, Proposals and Quotes

**File closure:** Date of project completion

**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).

[New - 03/31/2021]

### **805-065 to 805-070**

#### **805-071 SITE MANAGEMENT SYSTEM:**

**Division/unit:** Project management

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.121 NMAC, Tracking

**File closure:** Date of project completion

[New - 03/31/2021]

## **805-072 to 805-080**

### **805-081 STANDARD ROAD AND BRIDGE DRAWING FILES:**

**Division/unit:** Project development

**Maintenance system:** Alphabetical by title

**Record series content:** Records concerning the standardization of materials and techniques for recurring use in DOT road and bridge projects. Files may include technical correspondence between various department offices and the federal highway administration used in the development of the standard drawings, drawings, etc.

**Classification:** 1.21.2.133 NMAC, Infrastructure Project Files

**File closure:** Date superseded

[New - 03/31/2021]

### **805-082 BRIDGE PROJECT FILES:**

**Division/unit:** Project development

**Maintenance system:** Chronological by completion date, then numerical by control number and project number

**Record series content:** Entire development and construction history for DOT bridge projects. 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.

**Classification:** 1.21.2.133 NMAC, Infrastructure Project Files

**File closure:** Date of project completion

**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).

[New - 03/31/2021]

### **805-083 ROAD PROJECT FILES:**

**Division/unit:** Project development

**Maintenance system:** Chronological by completion date, then numerical by control number and project number

**Record series content:** Entire development and construction history for DOT road projects. 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.

**Classification:** 1.21.2.133 NMAC, Infrastructure Project Files

**File closure:** Date of project completion

**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).

[New - 03/31/2021]

#### **805-084 LOCAL GOVERNMENT PROJECT FILES:**

**Division/unit:** Project development

**Maintenance system:** Chronological by completion date, then numerical by control number

**Record series content:** Department's review and approval of proposed construction plans and contracts submitted by local governments. 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.

**Classification:** 1.21.2.133 NMAC, Infrastructure Project Files

**File closure:** Date of project completion

**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).

[New - 03/31/2021]

#### **805-085 DISTRICT MAINTENANCE PROJECT FILES:**

**Division/unit:** Project development

**Maintenance system:** Chronological by project completion date, then numerical by district, then by road or highway route number

**Record series content:** Records relating to road maintenance construction projects (i.e., paving, resurfacing, lane painting, road maintenance, highway spills, etc.). 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.

**Classification:** 1.21.2.133 NMAC, Infrastructure Project Files

**File closure:** Date of project completion

**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).

[New - 03/31/2021]

#### **805-086 to 805-090**

**805-091 ACCESS OR MEDIAN OPENING PERMIT DATABASE:**

**Division/unit:** Traffic engineering

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.678 NMAC, Right Of Way

**File closure:** Date permit issued

[New - 03/31/2021]

**805-092 ACCESS OR MEDIAN OPENING PERMIT FILES:**

**Division/unit:** Traffic engineering

**Maintenance system:** Chronological by year, then numerical by permit number

**Record series content:** Records concerning commercial and residential permits issued to construct access or median openings on public right of way. 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.

**Classification:** 1.21.2.678 NMAC, Right Of Way

**File closure:** Date permit issued

[New - 03/31/2021]

**805-093 UTILITY INSTALLATION PERMIT DATABASE:**

**Division/unit:** Traffic engineering

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.678 NMAC, Right Of Way

**File closure:** Date permit issued

[New - 03/31/2021]

**805-094 UTILITY INSTALLATION PERMIT FILES:**

**Division/unit:** Traffic engineering

**Maintenance system:** Chronological by year, then numerical by permit number

**Record series content:** Records concerning permits issued for the installation of utilities on public right of way. Files may include application, location, plan drawings, profile drawings, cross-section drawings, approved traffic control plan, field notes, correspondence, etc.

**Classification:** 1.21.2.678 NMAC, Right Of Way

**File closure:** Date permit issued

[New - 03/31/2021]

**805-095 ROADWAY WORK PERMIT FILES:**

**Division/unit:** Traffic engineering

**Maintenance system:** Chronological by year, then numerical by permit number

**Record series content:** 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.

**Classification:** 1.21.2.506 NMAC, Short-Term Permits

**File closure:** Close of calendar year after permit expiration

[New - 03/31/2021]

**805-096 SPECIAL EVENT PERMIT FILES:**

**Division/unit:** Traffic engineering

**Maintenance system:** Chronological by year, then numerical by permit number

**Record series content:** 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.

**Classification:** 1.21.2.506 NMAC, Short-Term Permits

**File closure:** Close of calendar year after date permit issued

[New - 03/31/2021]

**805-097 to 805-100**

**805-101 MICROBIOLOGICAL WATER REPORTS:**

**Division/unit:** District maintenance

**Maintenance system:** Chronological by date, then alphabetical by location

**Record series content:** 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.

**Classification:** 1.21.2.843 NMAC, Reports - Laboratory

**File closure:** Close of calendar year in which report issued

[New - 03/31/2021]

**805-102 WATER METER READINGS FORMS:**

**Division/unit:** District maintenance

**Maintenance system:** Chronological by date, then alphabetical by location

**Record series content:** 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.

**Classification:** 1.21.2.121 NMAC, Tracking

**File closure:** Close of calendar year in which created

[New - 03/31/2021]

**805-103 to 805-110**

**805-111 BRIDGE MANAGEMENT SYSTEM:**

**Division/unit:** Bridge design

**Maintenance system:** Numeric by primary key

**Record series content:** 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.

**Classification:** 1.21.2.133 NMAC, Infrastructure Project Files

**File closure:** Date bridge is decommissioned

[New - 03/31/2021]

**805-112 BRIDGE FILES:**

**Division/unit:** Bridge design

**Maintenance system:** Chronological by project completion date, then numerical by bridge number

**Record series content:** Records concerning the maintenance history on New Mexico bridges after construction is completed. Files may include initial inspection form, pictures, map location, supplemental inspection form, load ratings, maintenance on bridges, condition of bridges, etc.

**Classification:** 1.21.2.133 NMAC, Infrastructure Project Files

**File closure:** Date bridge is decommissioned

[New - 03/31/2021]

### **805-113 CALLED IN LOAD LOG:**

**Division/unit:** Bridge design

**Maintenance system:** Chronological by date, then numerical by permit number

**Record series content:** 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.

**Classification:** 1.21.2.110 NMAC, Logs

**File closure:** Close of calendar year in which created

[New - 03/31/2021]

### **805-114 to 805-120**

### **805-121 RIGHT OF WAY MAPS:**

**Division/unit:** Lands engineering

**Maintenance system:** Chronological by date, then numerical by control number

**Record series content:**

(A) **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.

(B) **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.

(C) **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.

**Classification:** 1.21.2.678 NMAC, Right Of Way

**File closure:** Date map created

[New - 03/31/2021]

### **805-122 AERIAL PHOTOGRAPHY LIBRARY:**

**Division/unit:** Lands engineering

**Maintenance system:** Chronological by date, then alphabetical by location

**Record series content:** 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.

**Classification:** 1.21.2.133 NMAC, Infrastructure Project Files

**File closure:** Date no longer needed for reference

[New - 03/31/2021]

### **805-123 to 805-130**

### **805-131 ROAD TRANSFER AND EXCHANGE AGREEMENT FILES:**

**Division/unit:** Local government

**Maintenance system:** Chronological by date, then numerical by district number

**Record series content:** Records concerning the agreements between the DOT and other entities for the transfer or exchange of New Mexico roadways. Files may include agreement, copy of deed, maps, drawings, correspondence, etc.

**Classification:** 1.21.2.603 NMAC, Cooperative Agreements

**File closure:** Date agreement is executed

[New - 03/31/2021]

**805-132      REQUEST FOR PROPERTY ABANDONMENT FILES:**

**Division/unit:** Property management

**Maintenance system:** Chronological by date, then numerical by US highway or state road number

**Record series content:** Records concerning DOT's recommendations and decisions regarding incoming requests from entities on properties owned and abandoned by DOT. 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.

**Classification:** 1.21.2.677 NMAC, Land and Easements

**File closure:** Date of request

[New - 03/31/2021]

**805-133      ABANDONMENT DOCUMENT FORMS:**

**Division/unit:** Property management

**Maintenance system:** Chronological by date, then numerical by US highway or state road number

**Record series content:** Form that documents property abandonment.

**Classification:** 1.21.2.677 NMAC, Land and Easements

**File closure:** Date abandonment filed

[New - 03/31/2021]

**805-134      ENCROACHMENT FILES:**

**Division/unit:** Property management

**Maintenance system:** Chronological by date, then numerical by district

**Record series content:** Records concerning encroachments onto the DOT right of way. Files may include surveys, copies of deeds, contracts, notice of encroachment on highway right of way, license for encroachment, correspondence, etc.

**Classification:**

**(A) Structural encroachment files:** 1.21.2.677 NMAC, Land and Easements

**(B) All others:** 1.21.2.678 NMAC, Right Of Way

**File closure:** Date of final disposition of encroachment

[New - 03/31/2021]

**805-135      PROPERTY SALES FILES:**

**Division/unit:** Property management

**Maintenance system:** Chronological by date, then numerical by district

**Record series content:** Records concerning the sale of DOT property. Files may include right of way maps, quitclaim deeds, correspondence, etc.

**Classification:** 1.21.2.677 NMAC, Land and Easements

**File closure:** Date of sale

[New - 03/31/2021]

**805-136      DISCLAIMER FILES:**

**Division/unit:** Property management  
**Maintenance system:** Chronological by date, then numerical by district  
**Record series content:** Records concerning the DOT's disclaimer of interest or ownership of specific property. Files may include right of way maps, disclaimer, correspondence, etc.  
**Classification:** 1.21.2.677 NMAC, Land and Easements  
**File closure:** Date property is disclaimed  
[New - 03/31/2021]

**805-137 AIRSPACE FILES:**

**Division/unit:** Property management  
**Maintenance system:** Chronological by date, then numerical by district number, then by lease agreement  
**Record series content:** Records concerning the leasing of the DOT right of way airspace. File may include lease agreements, right of way maps, correspondence, etc.  
**Classification:** 1.21.2.605 NMAC, Leases  
**File closure:** Date lease agreement terminated  
[New - 03/31/2021]

**805-138 BILLBOARD OWNER PERMIT FILES:**

**Division/unit:** Property management  
**Maintenance system:** Chronological by date, then alphabetical by owner surname  
**Record series content:** Records concerning the approved issuance of permits to erect or maintain outdoor advertising along the interstate and other federally funded primary highways. 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.  
**Classification:**  
    **(A) Approved permit:** 1.21.2.605 NMAC, Leases  
    **(B) Rejected application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records  
**File closure:**  
    **(A) Approved permit:** Date permit terminated  
    **(B) Rejected application:** Date of rejection  
[New - 03/31/2021]

**805-139 JUNKYARD LICENSING FILES:**

**Division/unit:** Property management  
**Maintenance system:** Chronological by date, then alphabetical by junkyard owner surname  
**Record series content:** 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.  
**Classification:** 1.21.2.667 NMAC, Professional Licenses  
**File closure:** Date license expired or revoked  
[New - 03/31/2021]

**805-140 TOURIST ORIENTED DIRECTIONAL SIGN FILES:**

**Division/unit:** Property management  
**Maintenance system:** Chronological by year, then alphabetical by business name  
**Record series content:** 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.

**Classification:** 1.21.2.604 NMAC, Goods and Services

**File closure:** Date of expiration or denial

[New - 03/31/2021]

**805-141 PARCEL FILES:**

**Division/unit:** Right of way

**Maintenance system:** Chronological by date, then numerical by control number

**Record series content:** Records concerning parcels of land acquired by DOT. 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.

**Classification:** 1.21.2.677 NMAC, Land and Easements

**File closure:** Date of project completion

**Confidentiality:** confidential until entire project let to construction

[New - 03/31/2021]

**805-142 to 805-150**

**805-151 CULTURAL RESOURCE REPORT FILES:**

**Division/unit:** Cultural resource

**Maintenance system:** Chronological by date, then numerical by highway route number

**Record series content:** Records concerning investigation and assessments conducted to determine any historic or archeological site issues affecting proposed or existing DOT right of way. Files may include site investigation report, surveys, clearance letter, denial letter, correspondence, etc.

**Classification:** 1.21.2.177 NMAC, Cultural Resources

**File closure:** Date of letter of clearance or denial

**Confidentiality:** Portions of record may be confidential pursuant, but not limited to Section 18-6-11.1 NMSA 1978, Confidentiality of site location.

[New - 03/31/2021]

**805-152 ENVIRONMENTAL REFERENCE FILES:**

**Division/unit:** Environmental geology

**Maintenance system:** Chronological by date, then alphabetical by site name and road number

**Record series content:** 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.

**Classification:** 1.21.2.439 NMAC, Environmental Impact Statements

**File closure:** Date file assessment conducted

[New - 03/31/2021]

**805-153 UNDERGROUND STORAGE TANK FACILITY FILES:**

**Division/unit:** Environmental geology

**Maintenance system:** Chronological by date, then alphabetical by maintenance patrol name

**Record series content:** 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 may include contracts for removal, work plans and approvals, photos, authorizations to work, correspondence, etc.

**Classification:** 1.21.2.443 NMAC, Storage Tanks

**File closure:** Date storage tank removed

[New - 03/31/2021]

## **805-154 to 805-160**

### **805-161        PRECIPITATION TABLE FILES:**

**Division/unit:** Drainage

**Maintenance system:** Chronological by date, then numerical by district, then alphabetical by station

**Record series content:** Printout contains readings of maximum rainfall per month at each rainfall gauge station throughout the state.

**Classification:** 1.21.2.474 NMAC, General - Inspection

**File closure:** Date file created

[New - 03/31/2021]

## **805-162 to 805-170**

### **805-171        CERTIFIED COUNTY MAINTAINED MILES REPORT FILES:**

**Division/unit:** Pavement evaluation

**Maintenance system:** Chronological by date, then alphabetical by county name

**Record series content:** Records concerning the certification by DOT of the annual county maintained miles report. 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.

**Classification:** 1.21.2.117 NMAC, Reports - Historical

**File closure:** Date of last report

[New - 03/31/2021]

## **805-172 to 805-180**

### **805-181        LABORATORY INFORMATION MANAGEMENT SYSTEM:**

**Division/unit:** Materials

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.133 NMAC, Infrastructure Project Files

**File closure:** Date of project completion

[New - 03/31/2021]

## **805-182 to 805-190**

### **805-191        ROCK FALL REPORTS:**

**Division/unit:** Geotechnical

**Maintenance system:** Chronological by date, then numerical by district number

**Record series content:** Reports describing and prioritizing hazardous rock fall sites in New Mexico.

Reports may contain maintenance rock fall site inspection, district number, site location, quantity of rock fall in cubic yards, site evaluation, etc.

**Classification:** 1.21.2.117 NMAC, Reports - Historical

**File closure:** Date report created

[New - 03/31/2021]

## **805-192 to 805-200**



**805-201 LOGO FILES:**

**Division/unit:** Traffic services

**Maintenance system:** Chronological by calendar year, then alphabetical by customer surname

**Record series content:** Records concerning placement of business logos on interstate highway exit signs. File may include application, approval, payment record, copies of checks, correspondence, etc.

**Classification:**

(A) **Approved applications:** 1.21.2.145 NMAC, Programs - Community and Public Relations

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

**File closure:**

(A) **Approved applications:** Date of non-payment or non-renewal of application

(B) **Rejected applications:** Date of rejection

[New - 03/31/2021]

**805-0184 SIGNAL TIMING LOGS:**

**Division/unit:** Traffic services

**Maintenance system:** Chronological by date, then alphabetical by cross street names

**Record series content:** Log recording periodic timing of all traffic signals maintained by the DOT. Log may include date, location of signal, timing results, etc.

**Classification:** 1.21.2.110 NMAC, Logs

**File closure:** Date of last entry

[New - 03/31/2021]

**805-202 SPEED LIMIT DATABASE:**

**Division/unit:** Traffic services

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.121 NMAC, Tracking

**File closure:** Date superseded by new resolution

[New - 03/31/2021]

**805-203 SPEED LIMIT RESOLUTIONS FILES:**

**Division/unit:** Traffic services

**Maintenance system:** Chronological by date, then numerical by district and resolution number

**Record series content:** Records concerning speed limit resolutions adopted by the highway commission. Files may include roadway characteristics, engineering studies, conclusion, recommendations, resolution, correspondence, etc.

**Classification:** 1.21.2.496 NMAC, Ordinances and Resolutions

**File closure:** Date of resolution superseded

[New - 03/31/2021]

**805-204 SIGNAL, SPEED AND SCHOOL CROSSING STUDY FILES:**

**Division/unit:** Traffic services

**Maintenance system:** Chronological by date, then numerical by district

**Record series content:** 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.

**Classification:** 1.21.2.111 NMAC, Planning and Development

**File closure:** Date of completion of study  
[New - 03/31/2021]

## 805-205 to 805-210

### 805-211 PRODUCT EVALUATION DATABASE:

**Division/unit:** Maintenance management

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.468 NMAC, Construction Material Samples

**File closure:** Date product is no longer approved or use is discontinued  
[New - 03/31/2021]

### 805-212 PRODUCT FILES:

**Division/unit:** Maintenance management

**Maintenance system:** Chronological by date, then numerical by file number

**Record series content:** Records concerning approved products available for construction projects. Files may include application for product evaluation, data sheet on use of product, product specifications, material safety sheets, correspondence, etc.

**Classification:**

(A) **Approved products:** 1.21.2.468 NMAC, Construction Material Samples

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

**File closure:**

(A) **Approved products:** Date product evaluation approved

(B) **Rejected products:** Date of rejection

[New - 03/31/2021]

## 805-213 to 805-220

### 805-221 TRAFFIC SIGNAL MAINTENANCE SYSTEM:

**Division/unit:** Signal lab

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.151 NMAC, Equipment Files

**File closure:** Date equipment is replaced  
[New - 03/31/2021]

### 805-222 TEST RESULTS FORMS:

**Division/unit:** Signal lab

**Maintenance system:** Chronological by date, then numerical by district number

**Record series content:** 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.

**Classification:** 1.21.2.151 NMAC, Equipment Files

**File closure:** Date equipment is replaced

[New - 03/31/2021]

**805-223 TRAFFIC SIGNAL FILES:**

**Division/unit:** Signal lab

**Maintenance system:** Chronological by date, then alphabetical by city and intersection location

**Record series content:** 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.

**Classification:** 1.21.2.134 NMAC, Maintenance and Repair Records

**File closure:** Date of completion of new signal plan

[New - 03/31/2021]

**805-224 SCHOOL ZONE SIGNAL FORMS:**

**Division/unit:** Signal lab

**Maintenance system:** Chronological by date, then numerical by district number, then alphabetical by school name

**Record series content:** 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.

**Classification:** 1.21.2.134 NMAC, Maintenance and Repair Records

**File closure:** Close of calendar year in which created

[New - 03/31/2021]

**805-225 to 805-230**

**805-231 HERBICIDE APPLICATION RECORD FORMS:**

**Division/unit:** Vegetation management

**Maintenance system:** Chronological by date sprayed, then numerical by district number

**Record series content:** 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.

**Classification:** 1.21.2.441 NMAC, Reviews and Monitoring

**File closure:** Close of calendar year in which environmental audit completed

[New - 03/31/2021]

**805-232 to 805-240**

**805-241 EQUIPMENT MANAGEMENT SYSTEM:**

**Division/unit:** Equipment

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.153 NMAC, Vehicle Files  
**File closure:** Date of disposition of heavy equipment or vehicle  
[New - 03/31/2021]

**805-242 EQUIPMENT MAINTENANCE FILES:**

**Division/unit:** Equipment

**Maintenance system:** Chronological by date, then numerical by fixed asset number

**Record series content:** 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.

**Classification:** 1.21.2.153 NMAC, Vehicle Files

**File closure:** Date of disposition of heavy equipment or vehicle  
[New - 03/31/2021]

**805-243 PUBLIC ENTITY BUDGET AUTHORIZATION FILES:**

**Division/unit:** Equipment

**Maintenance system:** Chronological by date, then alphabetical by entity name

**Record series content:** 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.

**Classification:** 1.21.2.303 NMAC, Accounts Receivable

**File closure:** Close of fiscal year in which authorization received  
[New - 03/31/2021]

**805-244 AUCTION DATABASE:**

**Division/unit:** Equipment

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.318 NMAC, Surplus and Disposal

**File closure:** Date of sale  
[New - 03/31/2021]

**805-245 AUCTIONEER REPORT FILES:**

**Division/unit:** Equipment

**Maintenance system:** Chronological by date of auction, then numerical by equipment serial number

**Record series content:** 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.

**Classification:** 1.21.2.318 NMAC, Surplus and Disposal

**File closure:** Date of sale  
[New - 03/31/2021]

**805-246 to 805-250**

**805-251 RADIATION PROTECTION PROGRAM FILES:**

**Division/unit:** Risk management

**Maintenance system:** Chronological by date, then alphabetical by subject

**Record series content:** Records concerning the tracking of tests and calibrations of radiation equipment to ensure compliance with radioactive safety program. 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.

**Classification:**

(A) **Leak tests:** 1.21.2.472 NMAC, Equipment - Radioactive

(B) **All other documents (including license):** 1.21.2.475 NMAC, Hazardous Materials

**File closure:**

(A) **Leak tests:** Date of leak test

(B) **All other documents (including license):** Date license expired or revoked

[New - 03/31/2021]

**805-252 to 805-260**

**805-261 FACILITY INSPECTION FILES:**

**Division/unit:** Risk management

**Maintenance system:** Chronological by date, then geographical by location

**Record series content:** 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.

**Classification:** 1.21.2.474 NMAC, General - Inspection

**File closure:** Date of inspection

[New - 03/31/2021]

**805-262 SAFETY RESEARCH FILES (STUDIES):**

**Division/unit:** Risk management

**Maintenance system:** Chronological by date, then alphabetical by subject

**Record series content:** 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.

**Classification:** 1.21.2.415 NMAC, General - Audits and Compliance

**File closure:** Date research is completed

[New - 03/31/2021]

**805-263 to 805-270**

**805-271 ACCIDENT RECORDS CITATION SYSTEM:**

**Division/unit:** Traffic safety

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:** 1.21.2.926 NMAC, Accidents and Incidents

**File closure:** Close of federal fiscal year in which created

**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").  
[New - 03/31/2021]

**805-272 DRIVER'S EDUCATION SCHOOL AND INSTRUCTOR CERTIFICATION DATABASE:**

**Division/unit:** Traffic safety

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:**

(A) **Approved data:**

(1) **Drivers and instructors data:** 1.21.2.404 NMAC, Individual Certification

(2) **School data:** 1.21.2.402 NMAC, Courses and Programs

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

**File closure:**

(A) **Approved data:** Date of expiration of certification

(B) **Rejected data:** Date of rejection

[New - 03/31/2021]

**805-273 DRIVER'S EDUCATION SCHOOL AND INSTRUCTOR CERTIFICATION FILES:**

**Division/unit:** Traffic safety

**Maintenance system:** Chronological by date, then alphabetical by school name

**Record series content:** Certification of driver education schools and instructors for drivers under the age of majority. File may include application for registration, copy of certification, copy of instructor certification, list of instructors, copy of checks from school, correspondence, etc.

**Classification:**

(A) **Approved files:**

(1) **Drivers and instructors files:** 1.21.2.404 NMAC, Individual Certification

(2) **School files:** 1.21.2.402 NMAC, Courses and Programs

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

**File closure:**

(A) **Approved files:** Date of expiration of certification

(B) **Rejected files:** Date of rejection

[New - 03/31/2021]

**805-274 MOTORCYCLE PROGRAM DATABASE:**

**Division/unit:** Traffic safety

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:**

(A) **Organization data:**

(1) **Program certification data:** 1.21.2.402 NMAC, Courses and Programs

(2) **Instructor certification data:** 1.21.2.253 NMAC, Instructor Management

(B) **Participant data:** 1.21.2.404 NMAC, Individual Certification

**File closure:**

- (A) **Organization data:**  
(1) **Program certification data:** Close of calendar in which contract expired or terminated  
(2) **Instructor certification data:** Close of calendar in which certified  
(B) **Participant data:** Date of course  
[New - 03/31/2021]

**805-275 MOTORCYCLE TRAINING PROGRAM FILES:**

**Division/unit:** Traffic safety

**Maintenance system:** Chronological by date

**Record series content:** Records concerning the DOT's administration of the motorcycle training program. File may include copy of organization insurance policy, list of certified instructors, copies of contracts with US air force base, correspondence, etc.

**Classification:** 1.21.2.402 NMAC, Courses and Programs

**File closure:** Close of calendar in which contract expired or terminated

[New - 03/31/2021]

**805-276 MOTORCYCLE PROGRAM PARTICIPANT CERTIFICATION FILES:**

**Division/unit:** Traffic safety

**Maintenance system:** Chronological by date, then alphabetical by training program

**Record series content:** Record of student participation in the motorcycle training program. 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.

**Classification:** 1.21.2.404 NMAC, Individual Certification

**File closure:** Date of course

[New - 03/31/2021]

**805-277 DRIVER SAFETY CERTIFICATION DATABASE:**

**Division/unit:** Traffic safety

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:**

(A) **Approved data:** 1.21.2.406 NMAC, Schools

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

**File closure:**

(A) **Approved data:** Date certification expires

(B) **Rejected data:** Date of rejection

[New - 03/31/2021]

**805-278 DRIVER SAFETY SCHOOL CERTIFICATION FILES:**

**Division/unit:** Traffic safety

**Maintenance system:** Chronological by date, then alphabetical by school name

**Record series content:** Records concerning the certification of adult driver safety schools and instructors by the DOT. Files may include application for registration, copy of certification, copy of instructor certification, list of instructors, copy of checks from school, correspondence, etc.

**Classification:**

(A) **Approved application:** 1.21.2.406 NMAC, Schools

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

**File closure:**

(A) **Approved application:** Date certification expires

(B) **Rejected application:** Date of rejection

[New - 03/31/2021]

**805-279 DRIVING WHILE IMPAIRED SCHOOLS DATABASE:**

**Division/unit:** Traffic safety

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:**

(A) **Approved data:** 1.21.2.415 NMAC, General - Audits and Compliance

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

**File closure:**

(A) **Approved data:** Date certification expires

(B) **Rejected data:** Date of rejection

[New - 03/31/2021]

**805-280 DRIVING WHILE IMPAIRED SCHOOL CERTIFICATIONS FILES:**

**Division/unit:** Traffic safety

**Maintenance system:** Chronological by date, then alphabetical by school name

**Record series content:** Records concerning schools and instructors certified to teach driver rehabilitation courses (DWI). Files may include application for registration, copy of certification, copy of instructor certification, list of instructors, copy of checks from school, correspondence, etc.

**Classification:**

(A) **Approved data:** 1.21.2.415 NMAC, General - Audits and Compliance

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

**File closure:**

(A) **Approved data:** Date certification expires

(B) **Rejected data:** Date of rejection

[New - 03/31/2021]

**805-281 IGNITION INTERLOCK LICENSING FILES:**

**Division/unit:** Traffic safety

**Maintenance system:** Chronological by date, then alphabetical by manufacturer and service center

**Record series content:** 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.

**Classification:** 1.21.2.667 NMAC, Professional Licenses

**File closure:** Close of federal fiscal year after date license issued

**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).

[New - 03/31/2021]

**805-282 IGNITION INTERLOCK DEVICE FUND FILES:**

**Division/unit:** Traffic safety

**Maintenance system:** Chronological by fiscal year, then alphabetical by manufacturer and service centers



**Record series content:** 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.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

**File closure:** Close of fiscal year after date of device removal

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

[New - 03/31/2021]

## **805-283 to 805-290**

### **805-291 AIRCRAFT REGISTRATION SYSTEM:**

**Division/unit:** Aviation

**Maintenance system:** Numerical by primary key

**Record series content:** 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.

**Classification:**

(A) **Aircraft registration data:** 1.21.2.663 NMAC, Motor Vehicles - Registration

(B) **Aircraft lien data:** 1.21.2.305 NMAC, Collections

**File closure:**

(A) **Aircraft registration data:** Close of calendar year in which registration issued

(B) **Aircraft lien data:** Close of calendar year in which associated lien removed

[New - 03/31/2021]

### **805-292 AIRCRAFT REGISTRATION FILES:**

**Division/unit:** Aviation

**Maintenance system:** Chronological by calendar year, then by FAA number

**Record series content:** Records concerning administration of instate aircraft registrations. Files may include aircraft deposit receipt and aircraft registration application.

**Classification:** 1.21.2.663 NMAC, Motor Vehicles - Registration

**File closure:** Close of calendar year in which registration issued

[New - 03/31/2021]

### **805-293 AIRCRAFT LIEN FILES:**

**Division/unit:** Aviation

**Maintenance system:** Chronological by calendar year, then numerical by aircraft registration number

**Record series content:** Records concerning liens placed by the DOT for nonpayment of aircraft registration fees. 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.

**Classification:** 1.21.2.305 NMAC, Collections

**File closure:** Close of calendar year in which associated lien removed

[New - 03/31/2021]

## **805-294 to 805-300**

### **805-301 AIRPORT IMPROVEMENT PROJECT FILES:**

**Division/unit:** Aviation

**Maintenance system:** Chronological by date, then alphabetical by airport name

**Record series content:** Records concerning DOT's review and approval of airport improvement projects. 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.

**Classification:** 1.21.2.133 NMAC, Infrastructure Project Files

**File closure:** Date project completed

[New - 03/31/2021]

### **805-302 AVIATION MISCELLANEOUS FILES:**

**Division/unit:** Aviation

**Maintenance system:** Chronological by date, then alphabetical by name of airport

**Record series content:** Records concerning miscellaneous non-project related matters at individual airports. Files may include site investigations, engineering studies, correspondence, etc.

**Classification:** 1.21.2.111 NMAC, Planning and Development

**File closure:** Date file created

[New - 03/31/2021]

### **805-303 AERONAUTICAL CHART DEVELOPMENT FILES:**

**Division/unit:** Aviation

**Maintenance system:** Chronological by year of edition

**Record series content:** 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.

**Classification:** 1.21.2.604 NMAC, Goods and Services

**File closure:** Close of fiscal year in which chart produced

[New - 03/31/2021]