

TITLE 1 GENERAL GOVERNMENT ADMINISTRATION
CHAPTER 18 EXECUTIVE RECORDS RETENTION AND DISPOSITION SCHEDULES (ERRDS)
PART 665 ERRDS, DEPARTMENT OF HEALTH

1.18.665.1 ISSUING AGENCY: State Commission of Public Records
[1.18.665.1 NMAC - Rp, 1.18.665.1 NMAC, 07/15/2010; A, 04/13/2015]

1.18.665.2 SCOPE: department of health.
[1.18.665.2 NMAC – Rp, 1.18.665.2 NMAC, 07/15/2010]

1.18.665.3 STATUTORY AUTHORITY: Public Records Act, Section 14-3-1 et seq. NMSA 1978
[1.18.665.3 NMAC - Rp, 1.18.665.3 NMAC, 07/15/2010; A, 04/13/2015]

1.18.665.4 DURATION: Permanent.
[1.18.665.4 NMAC - Rp, 1.18.665.4 NMAC, 07/15/2010]

1.18.665.5 EFFECTIVE DATE: July 15, 2010 unless a later date is cited at the end of the section.
[1.18.665.5 NMAC - Rp, 1.18.665.5 NMAC, 07/15/2010]

1.18.665.6 OBJECTIVE: To establish a records retention schedule for the orderly management, retention, disposition and preservation of records necessary for carrying out the Public Records Act, Section 14-3-1 et seq. NMSA 1978.
[1.18.665.6 NMAC - Rp, 1.18.665.6 NMAC, 07/15/2010; A, 07/29/2013; A, 04/13/2015]

1.18.665.7 DEFINITIONS: For general definitions applicable to all agencies refer to 1.15.1.7 NMAC.

A. "Facility" means any health facility or health agency required to be licensed by the licensing authority pursuant to the authority of the Public Health Act, Sections 24-1-1 to 24-1-21 NMSA 1978, as amended, or required to be certified by the licensing authority in order to be eligible to receive medicaid reimbursement for services provided to eligible recipients. This does not refer to community providers.

B. "Facility survey" means facility inspection.

C. "License" means the document issued by the licensing authority which authorizes the lawful operation of a facility. The term "license" includes an annual license and a temporary license.

D. "Licensee" means the person in whose name a license for a facility has been issued and who is legally responsible for the facility's compliance with applicable laws and regulations.

E. "Putative father" means a father who affirmatively assumes responsibility for children they may have fathered.

[1.18.665.7 NMAC - Rp, 1.18.665.7 NMAC, 07/15/2010; A, 07/29/2013; A 07/20/2014; A, 04/13/2015]

1.18.665.8 ABBREVIATIONS AND ACRONYMS: For general abbreviations and acronyms applicable to all agencies refer to 1.15.1.8 NMAC.

- A. "AED"** stands for automated external defibrillator.
- B. "AS"** stands for animal specimen.
- C. "BAC"** stands for blood alcohol content.
- D. "CDC"** stands for center for disease control.
- E. "CLIA"** stands for clinical laboratory improvement amendments.
- F. "CMS"** stands for children's medical services.
- G. "COBRA"** stands for computer online breath archive.
- H. "CPR"** stands for cardiopulmonary resuscitation.
- I. "DOH"** stands for department of health.
- J. "EMS"** stands for emergency medical services.
- K. "EMT"** stands for emergency medical technician.
- L. "EPA"** stands for environment protection agency.
- M. "HCFA"** stands for health care financing administration.
- N. "HM"** stands for heavy metal.
- O. "HPLC"** stands for high-pressure liquid chromatograph.
- P. "ICD"** stands for international classification of diseases.

- Q. "IDC" stands for initial demonstration of capability.
- R. "IFSP" stands for individual family service plan.
- S. "INPHORM" stands for integrated network for public health official records management.
- T. "QA" stands for quality assurance.
- U. "QC" stands for quality control.
- V. "SLD" stands for scientific laboratory division.
- W. "SSN" stands for social security number.
- X. "WIC" stands for women, infants and children.

[1.18.665.8 NMAC - Rp, 1.18.665.8 NMAC, 07/15/2010; A, 07/29/2013, A, 07/20/2014; A, 04/13/2015]

1.18.665.9 INSTRUCTIONS: For general instructions applicable to all agencies refer to 1.15.1.9 NMAC.
 [1.18.665.9 NMAC - Rp, 1.18.665.9 NMAC, 07/15/2010; A, 12/20/2010; A, 07/29/2013; A, 04/13/2015]

1.18.665.10 - 1.18.665.35 [RESERVED]

1.18.665.36 LEGISLATIVE ANALYSIS DATABASE:

- A. **Program:** office of the secretary
- B. **Maintenance system:** numerical by primary key
- C. **Description:** system used to capture, assign and track proposed bills for analysis that are brought before the legislature concerning issued related to health or the department. Database may contain proposed bills, assignment numbers, name of persons or team's analysis is assigned to, date of assignment, working analysis data, final analysis, etc.

D. **Data retention:** one year from the close of calendar year in which created
 [1.18.665.36 NMAC - Rp, 1.18.665.101 NMAC, 07/15/2010]

1.18.665.37 ASSIGNMENT DATABASE:

- A. **Program:** office of the secretary
- B. **Maintenance system:** numerical by primary key
- C. **Description:** system used to capture, track and process information provided to constituents in response to letters and queries for information that is received either by mail or by referral from the governor's office. Database may contain tracking database used to track assignments or tasks and the status of assigned tasks. Database may contain task name, date received, name of requester, date completed, etc.

D. **Data retention:** one year from the close of calendar year in which created
 [1.18.665.37 NMAC - Rp, 1.18.665.102 NMAC, 07/15/2010]
 [Input into this system is constituent correspondence or electronic queries.]

1.18.665.38 - 1.18.665.49 [RESERVED]

1.18.665.50 LICENSE HEARING CASE FILES:

- A. **Program:** legal services
- B. **Maintenance system:** numerical by case file number
- C. **Description:** record concerning hearings on the revocation or suspension of occupational licenses. File may contain licensee last name, decision, attorney notes, discovery, correspondence, memos, transcripts of hearing tapes, hearing tape cassettes, etc.

D. **Retention:** five years after case is closed
 [1.18.665.50 NMAC - Rp, 1.18.665.126 NMAC, 07/15/2010]

1.18.665.51 REGULATION HEARING CASE FILES:

- A. **Program:** legal services
- B. **Maintenance system:** alphabetical by division and surname
- C. **Description:** public hearings conducted prior to the issuance of DOH regulations.
- D. **Retention:** five years after case is closed

[1.18.665.51 NMAC - Rp, 1.18.665.127 NMAC, 07/15/2010]

1.18.665.52 - 1.18.665.100 [RESERVED]

1.18.665.101 LONG-TERM CARE AND MEDICAL CARE LICENSED ONLY FACILITY FILES:

- A. Program:** health facility licensing
- B. Maintenance system:** alphabetical by facility category, then numerical by license number
- C. Description:**

(1) **Application for licensure:** records concerning the licensing of long-term and medical care related facilities (i.e., hospitals, boarding homes, infirmaries, diagnostic and treatment centers, maternity homes and shelters, group homes, community residential facilities for the developmentally disabled, assisted living, etc.) in New Mexico. Portions of this record are input to the *facility electronic licensing and information exchange system (FELIX)*, 1.18.665.104 NMAC. File may include licensure application, evaluation, copy of license issued, correspondence, etc.

(2) **Facility inspection report:** inspection report conducted on entire facility upon the initial application and renewal of licensure application. Portions of this record are input to the *facility electronic licensing and information exchange system (FELIX)*, 1.18.665.104 NMAC. Report may show facility inspected, resident interviews, service provided at facility, surveyor's time spent at facility, deficiencies, correction plan, etc.

(3) **Facility drawings and specifications:** building structure and code specifications of facilities submitted for approval upon applying for licensure and structural modifications of licensed facility.

(4) **Complaint surveys:** surveys of licensed health care facilities as a result of a complaint made with the department for alleged misconduct at a facility. Portions of this record are input to the *facility (ASPEN) complaint system*. Survey may include complaint form; *plan of correction (HCFA-25671)*; plan of correction approval form; correspondence; memoranda; *survey team composition and workload report*; etc.

D. Retention:

(1) **Application for licensure:**

(a) **License issued:** five years from date of facility closure

(b) **Withdrawn or pending licensure:** one year from date of withdrawal or from

date of last activity

(2) **Facility inspection report:** 10 calendar years

(3) **Facility drawings and specifications:** 10 calendar years from date facility drawings and specifications are approved for licensure

(4) **Complaint surveys:**

(a) **Substantiated:** 10 years from date surveyed

(b) **Unsubstantiated:** one year from date surveyed

E. Confidentiality: Portions of this record are confidential pursuant to but not limited to Section 14-6-1 NMSA 1978 (i.e., medical information), Health Insurance Portability and Accountability Act of 1996 Public Law 104-191 104th Congress (i.e., health information) and Subsection M of Section 24-1-5 NMSA 1978 (i.e. unsubstantiated complaints of health facilities under investigation).

[Approved plans and specifications are maintained at facility until facility closure]

[Substantiated complaint surveys, dependant upon the nature of the complaint, are referred to incident management]

[1.18.665.101 NMAC - Rp, 1.18.665.193, 201 & 2359 NMAC, 07/15/2010]

1.18.665.102 LICENSE LOGS:

- A. Program:** health facilities licensing
- B. Maintenance system:** numerical by license number
- C. Description:** log used to track department issued facility licenses and certifications. Log may include license or certification number, date issued, type of facility, owner or administrator, expiration date, etc.
- D. Retention:** active (log will be maintained on-site)

[1.18.665.102 NMAC - Rp, 1.18.665.191 NMAC, 07/15/2010]

1.18.665.103 LONG-TERM CARE AND MEDICAL CARE CERTIFICATION FILES:

- A. Program:** health facility licensing
- B. Maintenance system:** alphabetical by category
- C. Description:**

(1) **Application for certification:** records concerning the certification of long-term and medical care facilities in New Mexico that participate in the medicare and medicaid program. Portions of this record are input to the *facility electronic licensing and information exchange system (FELIX)*, 1.18.665.104 NMAC. File may include certification application, consultation reports, reports of special visits, approval of certification letters,

certificate of need information, waivers and copy of license issued change of information form, general enrollment form, correspondence, etc.

(2) **Certification inspection report:** inspection report conducted to determine health facility or agency complies with applicable federal regulations and the conditions of participation in the medicare and medicaid program upon initial certification and recertification. Portions of this record are input to the *facility electronic licensing and information exchange system (FELIX)*, 1.18.665.104 NMAC. Report may show facility inspected, resident interviews, service provided at facility, surveyor's time spent at facility, deficiencies, correction plan, etc.

(3) **Facility drawings and specifications:** building structure and code specifications of facilities applying for certification.

(4) **Complaint surveys:** surveys of licensed health care facilities as a result of a complaint made with the department for alleged misconduct at a facility. Portions of file are input to the *facility (ASPEN) complaint system*. Survey may include medicare, medicaid, CLIA complaint form; *plan of correction* (HCFA-25671), plan of correction approval form; correspondence; memoranda; survey team composition and workload report; etc.

D. Retention:

(1) **Application for licensure:**

(a) **Certification issued:** 10 years from date license issued or certification application approved

(b) **Withdrawn or pending certification:** one year from date of withdrawal or from date of last activity

(2) **Facility inspection report:** 10 calendar years

(3) **Facility drawings and specifications:** 10 calendar years from date facility drawings and specifications are approved for certification

(4) **Complaint surveys:**

(a) **Substantiated:** 10 calendar years from date surveyed

(b) **Unsubstantiated:** one calendar year from date surveyed

E. Confidentiality: Portions of this record are confidential pursuant to but not limited to Section 14-6-1 NMSA 1978 (i.e., medical information), Health Insurance Portability and Accountability Act of 1996 Public Law 104-191 104th Congress (i.e., health information) and Subsection M of Section 24-1-5 NMSA 1978 (i.e. unsubstantiated complaints of health facilities under investigation).

[1.18.665.103 NMAC - Rp, 1.18.665.193, 210 & 2359 NMAC, 07/15/2010]

1.18.665.104 FACILITY ELECTRONIC LICENSING AND INFORMATION EXCHANGE SYSTEM (FELIX):

A. Program: health facility licensing

B. Maintenance system: numerical by primary key

C. Description: database contains information on licensed and certified health related facilities in New Mexico. Data may include facility name, location, type of facility, licensure or certification data, survey results, inspection information, etc.

D. Data retention:

(1) **Facility licensure data:** five years from date of facility closure

(2) **Certification data:** 10 calendar years from date certification application approved

(3) **Withdrawn or pending licensure or certification data:** one year from date of withdrawal or from date of last activity

(4) **Facility inspection report data:** 10 calendar years

E. Input: records used as input to the *facility electronic licensing and information exchange system (FELIX)* are filed in the *long-term care and medical care licensed only facility files*, 1.18.665.101 NMAC and the *long-term care and medical care certification files*, 1.18.665.103 NMAC.

F. Output: Because the *facility electronic licensing and information exchange system (FELIX)* is a data-based system, ad hoc reports may be generated upon request or demand. These reports include facility expiration lists, statistical reports, etc.

[1.18.665.104 NMAC - Rp, 1.18.665.181 NMAC, 07/15/2010]

1.18.665.105 - 1.18.665.200 [RESERVED]

1.18.665.201 CAREGIVER EMPLOYMENT CLEARANCE FILES:

A. Program: caregivers' criminal history screening
B. Maintenance system: numeric by sequential control number
C. Description: records concerning applicant background investigations. File may contain authorization for release of information, photocopy of picture identification, request for disposition, *record of arrest profile sheet*, caregiver notice of disqualification, facility notice of disqualification, caregiver request for reconsideration, reconsideration process documentation, caregiver notice of final determination, facility notice of final determination, invoice of charges to state facilities, record of deposit, etc.

D. Retention:

(1) Cleared applicants: five years from date of application

(2) Disqualified and reconsidered applicants: 100 years after date of birth of applicant

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 29-10-4 NMSA 1978 (i.e. arrest records), per 5 USC, Section 552a (i.e. social security number) and per Health Insurance Portability and Accountability Act of 1996 Public Law 104-191 104th Congress (i.e. health information). [1.18.665.201 NMAC - Rp, 1.18.665.226 NMAC, 07/15/2010]

1.18.665.202 CAREGIVER EMPLOYMENT CLEARANCE DATABASE:

A. Program: caregiver criminal history screening
B. Maintenance system: numeric by sequential control number
C. Description: records concerning background investigations on individuals seeking employment in a caregiver environment. Database may contain demographic information scanned from applicant fingerprint card, department of public safety record of arrest information, federal bureau of investigation record of arrest information, etc. Data is transmitted to the department of public safety via FTP (file transfer protocol) using an ISP (internet service provider) and via secure and encrypted internet transmission to the federal bureau of investigation.

D. Retention: five years from date of input

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to (29-10 NMSA 1978). [1.18.665.202 NMAC - Rp, 1.18.665.227 NMAC, 07/15/2010]

1.18.665.203 APPLICANT FINGERPRINT CARDS:

A. Program: caregiver criminal history screening
B. Maintenance system: see 1.18.665.201 NMAC caregiver employment clearance database
C. Description: hard copy input file for 1.18.665.201 NMAC caregiver employment clearance database.

D. Retention: until final determination of clearance or disqualification

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to (29-10 NMSA 1978). [1.18.665.203 NMAC - Rp, 1.18.665.228 NMAC, 07/15/2010]

1.18.665.204 - 1.18.665.300 [RESERVED]

1.18.665.301 PROGRAM REVIEW FILES:

A. Program: developmental disabilities support
B. Maintenance system: chrono-alphabetical by date and facility name
C. Description: record concerning program operations. File may contain client activity reports, client census, client record documentation forms, site visit reports, proposal review for continuation applicants, client aftercare plan, work plans, etc.

D. Retention: 10 years after close of fiscal year in which created
[1.18.665.301 NMAC - Rp, 1.18.665.241 NMAC, 07/15/2010]

1.18.665.302 COMMUNITY PROGRAM PROVIDER AGREEMENT FILES:

A. Program: developmental disabilities support
B. Maintenance system: chronological by year, then alphabetical by provider name
C. Description: records concerning contract agreements between the department of health and provider facilities that offer health care to clients eligible for services under the developmental disabilities and medically fragile waiver programs. File may include contract agreements, agreement amendments, provider

information (i.e., federal employee identification numbers, social security numbers, provider medicaid numbers, provider emergency policies, etc.), subcontractor information (i.e., names, addresses, social security numbers, background checks, business license copies, professional licensure copies, etc.), facility surveys, complaints, investigations, moratoriums, final investigation reports, correspondence, etc.

D. Retention: six years after expiration date of contract agreement

E. Confidentiality: Portions of record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number) and Section 14-6-1 NMSA 1978 (i.e., health information).
[1.18.665.302 NMAC - Rp, 1.18.665.885 NMAC, 07/15/2010]

1.18.665.303 - 1.18.665.400 [RESERVED]

1.18.665.401 CONSUMER INCIDENT FILES:

A. Program: incident management

B. Maintenance system: chrono-numerical by fiscal year and case number

C. Description: record of investigations by the department for alleged incidents of misconduct, abuse, neglect and exploitation of clients by community program agencies. Portions of file are input to the *incident management system*, 1.18.665.402 NMAC. File may contain *incident report form, case summary report, report of findings*, correspondence, memoranda, etc.

D. Retention: six years from the end of the fiscal year in which investigation closed

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978 (i.e. all health information that relates to and identifies specific individuals as patients is strictly confidential).

[1.18.665.401 NMAC - Rp, 1.18.665.2358 NMAC, 07/15/2010]

[If substantiated, a copy of the record is transferred to the proper prosecuting authority.]

1.18.665.402 INCIDENT MANAGEMENT SYSTEM:

A. Program: incident management

B. Maintenance system: numerical by primary key

C. Description: system that tracks all incidents and investigations of alleged agency misconduct for all community health programs. Data may include program name, information on incident, consumer name, medical information, information regarding investigation, mortality review information, etc.

D. Data retention: six years after date of resolution

E. Confidentiality: Portions of record may be confidential 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).

F. Input: information used as input for the *incident management system* may include portions from *consumer incident files*, 1.18.665.401 NMAC.

G. Output: Because the *incident management system* is a data based system, ad hoc reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity.

[1.18.665.402 NMAC - Rp, 1.18.665.2360 NMAC, 07/15/2010]

1.18.665.403 COMPLAINT INTAKE INFORMATION FILES:

A. Program: incident management

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

C. Description: records concerning an incident that occurred at a licensed health care facility.

Portions of the file are input to the *facility (aspen) complaint system*, 1.18.665.404 NMAC. File may include intake sheet (i.e., name of patient, social security number, medical information, type of incident, etc.), incident report, referral information, facility self report, facility self investigation, assignment of department investigator, adult protective services' summary reports, etc.

D. Retention: five years after date of compliant resolution

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number) and Section 14-6-1 NMSA 1978 (i.e., health information).

[1.18.665.403 NMAC - Rp, 1.18.665.2362 NMAC, 07/15/2010]

1.18.665.404 FACILITY (ASPEN) COMPLAINT SYSTEM:

A. Program: incident management

B. Maintenance system: numerical by primary key

C. Description: system that tracks all complaint intake information and complaint surveys for licensed healthcare facilities. Data may include incident information, investigator assignments, facility report data, referrals to appropriate agencies, etc.

D. Data retention:

- (1) **Substantiated:** 10 years after date surveyed
- (2) **Unsubstantiated:** one year after date surveyed
- (3) **Complaint intake:** five years after date of complaint resolution

E. Confidentiality: Portions of record may be confidential 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).

F. Data input: information used as input for the *facility (aspen) complaint system* may include portions from the *long-term care and medical care licensed only facility files*, 1.18.665.101 NMAC and the *long-term care and medical care certification files*, 1.18.665.103 NMAC and the *complaint intake information file*, 1.18.665.403 NMAC.

G. Data output: Because the *facility (aspen) complaint system* is a data based system, reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity. Some of these reports include complaint survey reports, intake information report, etc.
[1.18.665.404 NMAC - Rp, 1.18.665.2361 NMAC, 07/15/2010]

1.18.665.405 COMMUNITY MORTALITY REVIEW FILES:

A. Program: incident management

B. Maintenance system: chronological by incident management case number, then by date

C. Description: records concerning investigations of all deaths of developmentally disabled individuals participating in the selected waiver programs. File may include deceased medical records, medication administration records, emergency medical service health assessment, independent service plan health assessment, past physical history report, autopsy report, etc.

D. Retention: six years after date of final decision of review

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number) and Section 14-6-1 NMSA 1978 (i.e., health information).
[1.18.665.405 NMAC - Rp, 1.18.665.2363 NMAC, 07/15/2010]

1.18.665.406 - 1.18.665.500 [RESERVED]

1.18.665.501 PROVIDER FILES:

A. Program: quality management

B. Maintenance system: alpha-chronological by providers name and calendar year

C. Description: record concerning the monitoring of quality assurance of health care services by the department of health. File may contain *monitor report*, correspondence, memoranda, etc.

D. Retention:

- (1) **Compliant:** six years from the close of the calendar year in which created
- (2) **Incompliant:** 10 years from the close of the calendar year in which created

[1.18.665.501 NMAC - Rp, 1.18.665.2356 NMAC, 07/15/2010]

[The *monitor report* is derived from the *monitor working files*.]

1.18.665.502 MONITOR WORKING FILES:

A. Program: quality management

B. Maintenance system: alpha-chronological by provider name and review date

C. Description: record concerning the review for compliance with federal and state standards that assure the health and welfare of individuals served and that identify opportunities for improvement within health care facilities. File may contain *tool questionnaire*, individual service plan of resident, interview notes, provider history, correspondence, memoranda, etc.

D. Retention:

- (1) **Compliant:** six years from the end of the calendar year in which reviewed
- (2) **Incompliant:** 10 years from the end of the calendar year in which reviewed

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978 (i.e. all health information that relates to and identifies specific individuals as patients is strictly confidential).

[1.18.665.502 NMAC - Rp, 1.18.665.2357 NMAC, 07/15/2010]

1.18.665.503 - 1.18.665.1000 [RESERVED]

1.18.665.1001 INTEGRATED NETWORK FOR PUBLIC HEALTH OFFICIAL RECORDS MANAGEMENT (INPHORM) SYSTEM:

A. Program: public health division
B. Maintenance system: numeric by primary key
C. Description: system tracks client information and services from the various health programs under the public health division. Application contains databases of current and historical client data, health programs available, services offered, billing information, etc. Input to this system is from records and staff to client one to one contact.

D. Data retention: 21 years from date of last update
E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.1001 NMAC - Rp, 1.18.665.621 NMAC, 07/15/2010]

1.18.665.1002 INDIVIDUAL SERVICES ENCOUNTER FORMS:

A. Program: public health division
B. Maintenance system: chronologically by month
C. Description: hardcopy input record to the integrated network for public health official records management (INPHORM) system used by staff to collect patient information. Record may contain client name, date of birth, site code, date, program identification number, type of service provided, providers signature, diagnosis code, etc.

D. Retention: until audit report released, but no longer than one year after close of fiscal year in which created

[1.18.665.1002 NMAC - Rp, 1.18.665.622 NMAC, 07/15/2010]

1.18.665.1003 MASTER INDEX CARDS:

A. Program: field operations
B. Maintenance system: alphabetical by patient name
C. Description: record concerning patients treated in each field office. File may contain name, sex, date of birth, marital status, social security number, address, head of household, phone number, patient's x-ray number, identification number, file name; lists immunization history and summary of service, etc.

D. Retention: until final disposition of patient medical record
E. Confidentiality: Portions of this record are confidential pursuant, but not limited to (14-6-1 NMSA 1978).

[1.18.665.1003 NMAC - Rp, 1.18.665.751 NMAC, 07/15/2010]

1.18.665.1004 PHARMACY INVENTORY AND DISPENSATION REGISTRY:

A. Program: field operations
B. Maintenance system: chronological by date
C. Description: record concerning inventory of pharmaceuticals stocked and or dispensed in field office pharmacies. File may contain inventory that lists date ordered, number of units ordered, date received, invoice number, date received, invoice number, and dispensation which lists date, patient, MD, signature of LPN-RN-RPH or MD, balance of perpetual inventory, etc.

D. Retention: three years after close of fiscal year in which created
E. Confidentiality: Portions of this record are confidential pursuant, but not limited to 14-6-1 NMSA 1978.

[1.18.665.1004 NMAC - Rp, 1.18.665.752 NMAC, 07/15/2010]

1.18.665.1005 RURAL HEALTH CARE PRACTITIONER TAX CREDIT CERTIFICATION FILES:

A. Program: primary and rural health care
B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, review and issuance of a tax credit certificate to eligible rural health care practitioners. Files may include *New Mexico rural health care practitioner tax credit application*, copy of state license, copy of tax credit certificate, correspondence, etc.

D. Retention:

(1) **Certificate issued:** 10 years from date of certification expiration

(2) **Certificate not issued:** one year from date of application processed

E. Confidentiality: Portions of this record may be confidential.

[1.18.665.1005 NMAC - N, 04/13/2015]

1.18.665.1006 NEW MEXICO HEALTH SERVICES STIPEND GRANT FILES:

A. Program: primary and rural health care

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

C. Description: records documenting the application, review, and issuance of federal grant funds awarded to medical students for performance of service hours in rural communities. Files may include *New Mexico service corps stipend application*, *New Mexico health service corps stipend reference reports*, official copy of transcript, reference letters, copy of letter of acceptance, monthly hours of service reports, evaluation rank score sheet, evaluation notes, correspondence, etc.

D. Retention:

(1) **Approved files:** seven years from the close of fiscal year from date of completion of service hour requirements or repayment of funds

(2) **Withdrawn or denied applications:** two years from date denied or withdrawn

E. Confidentiality: Portions of this record may be confidential.

[1.18.665.1006 NMAC - N, 04/13/2015]

1.18.665.1007 PROFESSIONAL HEALTH CARE ASSESSMENT FILES:

A. Program: primary and rural health care

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

C. Description: records documenting the request and performance of assessment surveys to determine designation of areas with greatest need for health care services. Files may include survey (e.g. physician name, address, type of health services, questions, comments, etc.), copy of health professional shortage area application, copy of renewal application, copy of notice to survey letter, correspondence, etc.

D. Retention: seven years from the close of fiscal year from date of assessment

[1.18.665.1007 NMAC - N, 04/13/2015]

1.18.665.1008 J-1 VISA WAIVER “STATE 30” PROGRAM FILES:

A. Program: primary and rural health care

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

C. Description: records documenting the application and support allowing a foreign medical graduate a waiver of their two year foreign residence requirement in exchange for a commitment to practice in underserved areas of the state upon completion of their training. Files may include waiver application, letter of interest from doctor, copies for certificate eligibility for exchange visitor status, copies of *I-94 forms*, copy of candidate’s curriculum vitae, copy of signed employment contract, copy of letter of support, correspondence, etc.

D. Retention: 10 years from the close of calendar year from date letter of support issued

[1.18.665.1008 NMAC - N, 04/13/2015]

1.18.665.1009 NATIONAL INTEREST WAIVER REQUEST FOR SUPPORT FILES:

A. Program: primary and rural health care

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

C. Description: records documenting the request of support for foreign medical graduates wishing to establish permanent residency to practice in rural communities. Files may include letter of interest from employer, letter of interest of supervising doctor, copy of resume, copies of community support letters, copy of professional health care assessment, copy of department’s support letter, correspondence, etc.

D. Retention: 10 years from the close of calendar year from date letter of support issued

[1.18.665.1009 NMAC - N, 04/13/2015]

1.18.665.1010 RURAL HEALTH CARE CLINIC REPORTS:

- A. **Program:** primary and rural health care
- B. **Maintenance system:** chronological by fiscal year, then alphabetical by contractor name
- C. **Description:** records documenting the services provided at state funded rural clinics. The reports support determination of funding to clinics that provide health care. Portions of this record are input to the *rural primary health care database*, 1.18.665.1011 NMAC. Reports may show health care clinic name, number of services provided, type of health service provided (e.g., medical, dental, etc.), type of insurance, patient income, correspondence, etc.
- D. **Retention:** permanent, transfer to archives six years from the close of fiscal year from date of report
[1.18.665.1010 NMAC - N, 04/13/2015]

1.18.665.1011 RURAL PRIMARY HEALTH CARE DATABASE:

- A. **Program:** primary and rural health care
- B. **Maintenance system:** numerical by primary key
- C. **Description:** database tracks and maintains information on services provided at state funded rural clinics. Information may show health care clinic data (e.g., name of clinic, address, etc.), type of health service provided data (e.g., medical, dental, etc.), insurance type data, patient income data, etc.
- D. **Data retention:** six years from close of the fiscal year from date of report
- E. **Input:** Records used as input to the *rural primary health care database* are filed in the corresponding *rural health care clinic reports*, 1.18.665.1010 NMAC.
- F. **Output:** Ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity.
[1.18.665.1011 NMAC - N, 04/13/2015]

1.18.665.1012 - 1.18.665.1050 [RESERVED]

1.18.665.1051 FAMILY PLANNING FEE COLLECTION MONTHLY REPORT PACKET:

- A. **Program:** family planning
- B. **Maintenance system:** chronological by date
- C. **Description:** record used by local health office to collect fees and track monthly billing. Packet may contain federal fee deposit register, family planning payment ledger, accounting calculator tape tallies, etc.
- D. **Retention:** three years after final audit report released
[1.18.665.1051 NMAC - Rp, 1.18.665.1047 NMAC, 07/15/2010]

1.18.665.1052 STERILIZATION FILES:

- A. **Program:** family planning
- B. **Maintenance system:** chronological by date received
- C. **Description:** record used by authorized staff to track requests and payments for sterilization services. File may contain request for sterilization or family planning services health insurance claim form, correspondence, memorandum, handwritten notes, etc.
- D. **Retention:** six years after close of state fiscal year in which created
- E. **Confidentiality:** Portions of this record are confidential pursuant, but not limited to Section 24-1-20 NMSA.
[1.18.665.1052 NMAC - 1.18.665.1048 NMAC, 07/15/2010]

1.18.665.1053 - 1.18.665.1069 [RESERVED]

1.18.665.1070 APPRENTICE MIDWIFE PERMIT FILES:

- A. **Program:** maternal health
- B. **Maintenance system:** chronological by date, then alphabetical by surname
- C. **Description:** records documenting the application, issuance and permit history of an apprentice midwife. Portions of this record are input to the *midwifery roster database*, 1.18.665.1073 NMAC. Files may include *application for midwifery student permit*, copy of high school equivalency credential or high school diploma, *student-instructor relationship* form, copy of permit, payment receipt, renewal application, correspondence, etc.
- D. **Retention:**

- (1) **Permit issued files:** 10 years from date permit expired or revoked
- (2) **Withdrawn or denied applications:** one year from date application withdrawn or

denied

E. Confidentiality: Portions of this record may be confidential.

[1.18.665.1070 NMAC - N, 04/13/2015]

[Upon licensure, permit file is incorporated into the licensure file]

1.18.665.1071 MIDWIFE LICENSURE FILES:

- A. Program:** maternal health
- B. Maintenance system:** chronological by date, then alphabetical by surname
- C. Description:**

(1) **Direct-entry midwife licensure files:** records documenting the application, issuance and licensure history of a certified professional midwife. Portions of this record are input to the *midwifery instructor database*, 1.18.665.1072 NMAC and *midwifery roster database*, 1.18.665.1073 NMAC. Files may include *direct-entry midwife license application*, copy of American midwifery board certification, copy of intravenous skills certificate, copy of CPR certificate, copy of neonatal resuscitation program certificate, credential verification report, midwife license exam results, payment receipt, peer review letters, verification of continuing education units, instructor application, quarterly summary report, renewal applications, correspondence, etc.

(2) **Certified nurse midwife licensure files:** records documenting the application, issuance and licensure history of a certified nurse midwife. Portions of this record are input to the *midwifery roster database*, 1.18.665.1073 NMAC. Files may include *nurse midwife license application*, copy of registered nurse certificate, copy of American midwifery board certification, credential verification report, payment receipt, peer review letters, verification of continuing education units, renewal applications, correspondence, etc.

D. Retention:

(1) **License issued files:** permanent, transfer to archives 25 years from the close of calendar year from date expired or revoked

(2) **Withdrawn or denied applications:** one year from date application withdrawn or denied

E. Confidentiality: Portions of this record may be confidential.

[1.18.665.1071 NMAC - N, 04/13/2015]

1.18.665.1072 MIDWIFERY INSTRUCTOR DATABASE:

- A. Program:** maternal health
- B. Maintenance system:** numerical by primary key
- C. Description:** database tracks and maintains information regarding licensed midwife instructors.

Information may show applicant data (e.g., name, phone number, date midwife license issued, date approved to be an instructor, etc.), etc.

D. Data retention: 10 years from date of midwife license expiration or revocation

E. Input: Records used as input to the *midwifery instructor database* are filed in the corresponding *midwife licensure files*, 1.18.665.1071 NMAC.

F. Output: Ad hoc and regularly scheduled reports may be generated upon request or demand.

When produced, these reports are forwarded to the requesting entity.

[1.18.665.1072 NMAC - N, 04/13/2015]

1.18.665.1073 MIDWIFERY ROSTER DATABASE:

- A. Program:** maternal health
- B. Maintenance system:** numerical by primary key
- C. Description:** database tracks and maintains information regarding permitted and licensed

midwives. Information may show license or permit data (e.g., name, date license or permit issued, date license or permit expires, city, state, etc.), etc.

D. Data retention: 25 years from the close of calendar year from date expired or revoked

E. Input: Records used as input to the *midwifery roster database* are filed in the corresponding *apprentice midwife permit files*, 1.18.665.1070 NMAC and *midwife licensure files*, 1.18.665.1071 NMAC.

F. Output: Ad hoc and regularly scheduled reports may be generated upon request or demand.

When produced, these reports are forwarded to the requesting entity.

[1.18.665.1073 NMAC - N, 04/13/2015]

1.18.665.1074 APPRENTICE AND MIDWIFE COMPLAINT AND CASE REVIEW FILES:

A. Program: maternal health
B. Maintenance system: chronological by date
C. Description: records documenting the process and resolution of a complaint against an apprentice midwife or a licensed midwife. Files may include *complaint against a midwife* form, investigation report, letter of contemplated action, copy of advisory board minutes of meeting, letter of advisory board recommendations, letter of final decision, correspondence, etc.

D. Retention:

(1) Investigations with merit: 25 years from date of final action

(2) Investigations without merit: five years from date of investigation report

E. Confidentiality: Portions of this record may be confidential

[1.18.665.1074 NMAC - N, 04/13/2015]

1.18.665.1075 MIDWIFE EXAM AND ANSWER KEY FILES:

A. Program: maternal health
B. Maintenance system: chronological by date
C. Description: records documenting the exam and answer key for midwife licensure. Files may include exam and answer key.

D. Retention: two years from date superseded

[1.18.665.1075 NMAC - N, 04/13/2015]

1.18.665.1076 BIRTHING WORKFORCE RETENTION FUND FILES:

A. Program: maternal health
B. Maintenance system: chronological by fiscal year, then alphabetical by surname
C. Description: records documenting the application, review and award of funds issued to eligible certified nurse midwives, family practice physicians and obstetricians for supplemental assistances with malpractice insurance premiums. Files may include *birthing workforce retention fund application form*, copy of nurse-midwifery or medicine certification, copy of malpractice liability insurance policy and premiums, proof of medicaid and indigent patients treated, proof of privately insured and non-indigent self-pay patients treated, copy of the award letter, copy of letter of denial, correspondence, etc.

D. Retention:

(1) Funding awarded files: six years from close of fiscal year from date funds awarded

(2) Withdrawn or denied applications: one year from date application withdrawn or

denied

[1.18.665.1076 NMAC - N, 04/13/2015]

1.18.665.1077 - 1.18.665.1100 [RESERVED]

1.18.665.1101 IMMUNIZATION BIRTH LISTING:

A. Program: immunization

B. Maintenance system: alphabetical by parent name

C. Description: record lists parent's name, address, child's name, birth date, county, etc.

D. Retention: five years after close of federal fiscal year in which created

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to 14-6-1

NMSA 1978.

[1.18.665.1101 NMAC - Rp, 1.18.665.721 NMAC, 07/15/2010]

1.18.665.1102 CERTIFICATE OF CONSCIENTIOUS OBJECTION TO IMMUNIZATION:

A. Program: immunization

B. Maintenance system: alphabetical by parent name

C. Description: record shows school, address, parent, parent's address, and religious foundation for objection, child's name, parent's signature, and notarization.

D. Retention: one year from date of objection

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to 14-6-1

NMSA 1978.

[1.18.665.1102 NMAC - Rp, 1.18.665.722 NMAC, 07/15/2010]

1.18.665.1103 INFORMED CONSENTS:

- A. **Program:** immunization
- B. **Maintenance system:** alphabetical by patient name
- C. **Description:** copy of signed parental consent for medical treatment form. Original kept in patient's medical record.
- D. **Retention:** until data entry verified
- E. **Confidentiality:** Portions of this record are confidential pursuant, but not limited to 14-6-1 NMSA 1978.

[1.18.665.1103 NMAC - Rp, 1.18.665.723 NMAC, 07/15/2010]

1.18.665.1104 SCHOOL AND DAY CARE IMMUNIZATION ROSTERS:

- A. **Program:** immunization
- B. **Maintenance system:** alphabetical by school and day care names
- C. **Description:** rosters show students and children under care who are current in their immunizations.
- D. **Retention:** five years after close of federal fiscal year in which created
- E. **Confidentiality:** Portions of this record are confidential pursuant, but not limited to 14-6-1 NMSA 1978.

[1.18.665.1104 NMAC - Rp, 1.18.665.724 NMAC, 07/15/2010]

1.18.665.1105 IMMUNIZATION SUMMARY:

- A. **Program:** immunization
- B. **Maintenance system:** chrono-alphabetical by year and school name
- C. **Description:** record of yearly student immunizations. Summary shows percentage of students with current immunizations by school.
- D. **Retention:** five years after close of federal fiscal year in which created
- E. **Confidentiality:** Portions of this record are confidential pursuant, but not limited to 14-6-1 NMSA 1978.

[1.18.665.1105 NMAC - Rp, 1.18.665.725 NMAC, 07/15/2010]

1.18.665.1106 STANDARD IMMUNIZATION SUMMARY OF TWO YEAR OLD CHILDREN:

- A. **Program:** immunization
- B. **Maintenance system:** alphabetical by patient name
- C. **Description:** record concerning immunizations required for children up to age two. File contains a summary of all children enrolled in the program and what immunizations they have gotten and those they need to get.
- D. **Retention:** five years after close of federal fiscal year in which created
- E. **Confidentiality:** Portions of this record are confidential pursuant, but not limited to 14-6-1 NMSA 1978.

[1.18.665.1106 NMAC - Rp, 1.18.665.726 NMAC, 07/15/2010]

1.18.665.1107 - 1.18.665.1200 [RESERVED]

1.18.665.1201 FAMILIES FIRST CLIENT CASE MANAGEMENT DATABASE:

- A. **Program:** families first
- B. **Maintenance system:** numerical by primary key
- C. **Description:** database tracks and maintains information concerning community outreach activities, prenatal care referrals, pediatric care referrals and client satisfaction survey responses. Data may include families first community outreach data (e.g., date of service, activity performed, contact information, type of outreach, anticipation of possible clients, outreach coordinator name, time spent on the activity, etc.), client data (e.g., name, address, demographics, SSN, date of birth, etc.), pediatric client data (e.g., name, address, demographics, SSN, date of birth, etc.), client satisfaction survey response data (e.g., survey date, date received, location, care coordinator, questionnaire, etc.), etc.
- D. **Data retention:**

- (1) **Prenatal client data:** 10 years from date of discharge
- (2) **Pediatric client data:** one year from date client reaches age 21
- (3) **Families first community outreach data:** seven years from close of federal fiscal year from date of outreach activity
- (4) **Client satisfaction survey response data:** one year from close of calendar year in which survey completed

E. Confidentiality: Portions of this record may be confidential.

F. Input: records used as input for the *client case management database* are filed in the corresponding *prenatal care coordination client files*, 1.18.665.1203 NMAC; *pediatric care coordination client files*, 1.18.665.1204 NMAC; *families first community outreach files*, 1.18.665.1205 NMAC and *families first client satisfaction survey response file*, 1.18.665.1207 NMAC.

G. Output: Because the *client case management database* is data-based system, ad hoc and regularly scheduled reports may be generated upon request. When produced, these reports are forwarded to the requesting entity.

[1.18.665.1201 NMAC - Rp, 1.18.665.911 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1202 CARE COORDINATOR ORIENTATION FILES:

A. Program: families first

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting orientation training provided to case management coordinators. Files may include *care coordinator onsite orientation checklist* (e.g., coordinators name, hire date, location, new orientation date, audit schedule date, checklist for families first project overview, care coordinator overview, entitlements and benefits assistance review, prenatal and pediatric care coordinator process comments, program evaluation comments, quality improvement comments, deliverable reports review, client and care coordinator relationship comments, review comments, etc.), correspondence, etc.

D. Retention: three years from date of separation from employment

[1.18.665.1202 NMAC - Rp, 1.18.665.912 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1203 PRENATAL CARE COORDINATION CLIENT FILES:

A. Program: families first

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting referral guidance for prenatal care assistance to qualified recipients. Portions of this record are input into the *families first client case management database*, 1.18.665.1201 NMAC. Files may include application, consent form (e.g., client name, date of birth, address, SSN, client signature, etc.), copy of medicaid card, copy of medical records, case management plan (e.g., referral dates, assessments, narrative notes, discharge summary, etc.), correspondence, etc.

D. Retention: 10 years from date of discharge

E. Confidentiality: Portions of this record may be confidential.

[1.18.665.1203 NMAC - Rp, 1.18.665.913, 915 & 917 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1204 PEDIATRIC CARE COORDINATION CLIENT FILES:

A. Program: families first

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting referral guidance for pediatric care assistance to qualified recipients ages newborn to age three. Portions of this record are input into the *families first client case management database*, 1.18.665.1201 NMAC. Files may include application, consent form (e.g., client name, date of birth, address, SSN, signature of legal guardian, etc.), copy of medicaid card, copy of medical records, case management plan (e.g., referral dates, assessments, narrative notes, discharge summary, etc.), correspondence, etc.

D. Retention: one year from date client reaches age 21

E. Confidentiality: Portions of this record may be confidential.

[1.18.665.1204 NMAC - Rp, 1.18.665.914, 916, 918 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1205 FAMILIES FIRST COMMUNITY OUTREACH FILES:

A. Program: families first

B. Maintenance system: chronological by date, then alphabetical by local health office

C. Description: records documenting families first community outreach activities. Portions of this record are input into the *families first client case management database*, 1.18.665.1201 NMAC. Files may include *families first community outreach* form (e.g., date of service, activity performed, contact information, type of outreach, anticipation of possible clients, outreach coordinator name, time spent on the activity, etc.), correspondence, etc.

D. Retention: seven years from close of federal fiscal year from date of outreach activity
[1.18.665.1205 NMAC - Rp, 1.18.665.919 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1206 [RESERVED]

[1.18.665.1206 NMAC - Rp, 1.18.665.920 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.1207 FAMILIES FIRST CLIENT SATISFACTION SURVEY RESPONSE FILES:

A. Program: families first

B. Maintenance system: chronological by date

C. Description: records documenting survey and responses concerning services provided to clients. Portions of this record are input into the *families first client case management database*, 1.18.665.1201 NMAC. Files may include client satisfaction survey responses.

D. Retention: one year from close of calendar year in which survey response received
[1.18.665.1207 NMAC - Rp, 1.18.665.921 & 922 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1208 [RESERVED]

[1.18.665.1208 NMAC - Rp, 1.18.665.923 & 924 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.1209 - 1.18.665.1300 [RESERVED]

1.18.665.1301 [RESERVED]

[1.18.665.1301 NMAC - Rp, 1.18.665.936 & 937 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.1302 - 1.18.665.1400 [RESERVED]

1.18.665.1401 WOMEN, INFANTS AND CHILDREN (WIC) SYSTEM:

A. Program: women, infants and children

B. Maintenance system: numerical by primary key

C. Description: database tracks and maintains information concerning women, infants and children program participants. Data may include participant data (e.g., name, address, demographics, etc.), approval data, denial data, nutrition chart data, dual participation data, income data, referral data, etc.

D. Data retention: four years from close of federal fiscal year from date of denial, revocation or case closed

E. Confidentiality: Portions of this record may be confidential.

F. Input: records used as input for the *women, infants and children (WIC) system* are filed in the corresponding *women, infants and children (WIC) client case files*, 1.18.665.1402 NMAC.

G. Output: Because the *women, infants and children (WIC) system* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity.

[1.18.665.1401 NMAC - Rp, 1.18.665.949 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1402 WOMEN, INFANTS AND CHILDREN (WIC) CLIENT CASE FILES:

A. Program: women, infants and children

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the application, eligibility and participation history of women requesting assistance through the WIC program. Portions of this record are input into *women, infants and children (WIC) system*, 1.18.665.1401 NMAC. Files may include copy of referrals, *rights and responsibilities* form, *proxy* forms, income affidavit, copy of medicaid card, list of current prescribed medications, nutrition assessment, proof of residency, undelivered notices, copy of notice of denial, correspondence, etc.

D. Retention: four years from close of federal fiscal year from date of denial, revocation or case closed

E. Confidentiality: Portions of this record may be confidential.
[1.18.665.1402 NMAC - Rp, 1.18.665.961 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1403 [RESERVED]

[1.18.665.1403 NMAC - Rp, 1.18.665.962 NMAC, 07/15/2010; Repealed, 07/20/2014]
[Repealed Section 1.18.665.1403 NMAC, *food frequency diet analysis forms* refer to 1.18.665.1402 NMAC, *women, infants and children (WIC) client case files*]

1.18.665.1404 [RESERVED]

[1.18.665.1404 NMAC - Rp, 1.18.665.970 NMAC, 07/15/2010; Repealed, 07/20/2014]
[Repealed Section 1.18.665.1404 NMAC, *clinic denial files* refer to 1.18.665.1402 NMAC, *women, infants and children (WIC) client case files*]

1.18.665.1405 [RESERVED]

[1.18.665.1405 NMAC - Rp, 1.18.665.971 NMAC, 07/15/2010; Repealed, 07/20/2014]
[Repealed Section 1.18.665.1405 NMAC, *dual participation files* refer to 1.18.665.1402 NMAC, *women, infants and children (WIC) client case files*]

1.18.665.1406 - 1.18.665.1424 [RESERVED]

1.18.665.1425 HOMELESS FACILITY FILES:

- A. Program:** women, infants and children
- B. Maintenance system:** chronological by date, then alphabetical by facility name
- C. Description:** records documenting the agreements between WIC and homeless facilities that provide shelter and meals to participants. Files may include *facilities where homeless institution individuals receive shelter or meal agreement*, homeless WIC participant shelter agreements, *complaint* forms (e.g., person filing the complaint, address, phone number, date, complaint, signature, etc.), investigation report, notice of non-compliance, corrective action plan, correspondence, etc.
- D. Retention:** five years from close of federal fiscal year from date agreement withdrawn, revoked or facility closed

E. Confidentiality: Portions of this record may be confidential.
[1.18.665.1425 NMAC - Rp, 1.18.665.972 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1426 WOMEN, INFANTS AND CHILDREN (WIC) COMMUNITY OUTREACH FILES:

- A. Program:** women, infants and children
- B. Maintenance system:** chronological by date
- C. Description:** records documenting WIC community outreach activities. Files may include outreach plan (e.g., date, name of clinic, name of staff conducting outreach, monthly event schedule, etc.), *outreach documentation* form, copy of training materials, correspondence, etc.
- D. Retention:** four years from close of federal fiscal year from date of outreach activity

[1.18.665.1426 NMAC - Rp, 1.18.665.973 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1427 [RESERVED]

[1.18.665.1427 NMAC - Rp, 1.18.665.974 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.1428 - 1.18.665.1450 [RESERVED]

1.18.665.1451 BREAST PUMP FILES:

- A. Program:** women, infants and children
- B. Maintenance system:** chronological by date, then alphabetical by surname
- C. Description:** records documenting the issuance or loan of breast pumps to clients. Files may include *single breast pump release* form, *multi-user breast pump loan release* form, multi-user breast pump telephone log, copy of multi-user breast pump return letter, correspondence, etc.
- D. Retention:** four years from close of federal fiscal year from date of issuance or return

E. Confidentiality: Portions of this record may be confidential.
[1.18.665.1451 NMAC - Rp, 1.18.665.975 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1452 BREASTFEEDING PEER COUNSELOR FILES:

- A. Program:** women, infants and children
- B. Maintenance system:** chronological by date, then alphabetical by surname
- C. Description:** records documenting the employment of individuals to provide breastfeeding counseling to WIC participants. Files may include peer counselor application, interview guide checklist, peer counselor contract, *confidentiality agreement* forms, training requirements checklist, breast pump log, *W-9* form, timesheet forms, *monthly invoice* forms, *work week schedule* forms, vehicle mileage logs, *clinic log-BPC referrals* form, no longer breastfeeding clinic log, closed case summary, correspondence, etc.
- D. Retention:** seven years from close of federal fiscal year from date of termination or contract expiration
- E. Confidentiality:** Portions of this record may be confidential.

[1.18.665.1452 NMAC - N, 07/20/2014]

1.18.665.1453 BREASTFEEDING PEER COUNSELOR CLIENT FILES:

- A. Program:** women, infants and children
- B. Maintenance system:** chronological by date, then alphabetical by surname
- C. Description:** records documenting clients receiving breastfeeding counseling services. Files may include *peer counselor referral* form, *initial prenatal contact* form, *initial breastfeeding contact* form, follow-up checklist (e.g., client name, discussion issues, comments, etc.), correspondence, etc.
- D. Retention:** seven years from close of federal fiscal year from date case closed
- E. Confidentiality:** Portions of this record may be confidential.

[1.18.665.1453 NMAC - N, 07/20/2014]

1.18.665.1454 - 1.18.665.1474 [RESERVED]

1.18.665.1475 WOMEN, INFANTS AND CHILDREN (WIC) VENDOR MONITOR FILES:

- A. Program:** women, infants and children
- B. Maintenance system:** chronological by date, then alphabetical by vendor name
- C. Description:** records documenting the application and monitoring of WIC vendors. Files may include vendor applications, vendor pre-authorization inspection reports, WIC transaction reports, stocking and food price records, vendor agreements, *vendor liaison monitoring* forms, *gross foods sales certification affidavit*, *retail vendor self-service in-store level III testing authorization script* forms, *summary of purchase* forms, *description of clerk* forms, letter of changes (e.g. change of bank, change of address, change of management, closure, etc.), copy of denial letters, notice of contemplated action, correspondence, etc.
- D. Retention:**
 - (1) **Approved vendor files:** seven years from close of federal fiscal year from date of agreement termination or vendor closure
 - (2) **Denied vendor files:** one year from date of denial
- E. Confidentiality:** Portions of this record may be confidential.

[1.18.665.1475 NMAC - Rp, 1.18.665.977 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1476 WOMEN, INFANTS AND CHILDREN (WIC) VENDOR TRAINING FILES:

- A. Program:** women, infants and children
- B. Maintenance system:** chronological by date
- C. Description:** records documenting training provided to approve WIC vendors. Files may include registration form, sign-in sheet, copy of presentation, etc.
- D. Retention:** seven years from close of federal fiscal year from date of training

[1.18.665.1476 NMAC - Rp, 1.18.665.979 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1477 [RESERVED]

[1.18.665.1477 NMAC - Rp, 1.18.665.980 NMAC, 07/15/2010; Repealed, 07/20/2014]

[Repealed Section 1.18.665.1477 NMAC, *compliance investigation files* refer to 1.18.665.1475 NMAC, *women, infants and children (WIC) vendor monitor files*]

1.18.665.1478 [RESERVED]

[1.18.665.1478 NMAC - Rp, 1.18.665.981 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.1479 WOMEN, INFANTS AND CHILDREN (WIC) PROGRAM COMPLAINT FILES:

- A. **Program:** women, infants and children
- B. **Maintenance system:** chronological by date, then alphabetical by facility name
- C. **Description:** records documenting complaints on services or products provided by the WIC program. Files may include *complaint* forms, investigation interview notes, copy of findings of fact, copy of final resolution letter, correspondence, etc.
- D. **Retention:** four years from close of federal fiscal year from date of final resolution
- E. **Confidentiality:** Portions of this record may be confidential.

[1.18.665.1479 NMAC - Rp, 1.18.665.978 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1480 - 1.18.665.1500 [RESERVED]

1.18.665.1501 FARMERS' MARKET AGREEMENT FILES:

- A. **Program:** farmers' market
- B. **Maintenance system:** chronological by date, then numerical by entity number
- C. **Description:** records documenting the agreement, inspection and monitoring of approved farmers' markets, farms and roadside produce stands. Files may include *farmers' market agreement* applications (e.g., market number, name of farmers' market, address, day and times of market, market location, market managers name, tax identification number, signature, etc.), *farmer or grower agreement* applications (e.g., farmer or grower identification number, name of authorized farmers' market, name of farm, address, contact person, phone number, list of all market items will be sold, signature, etc.), *farm or roadside stand agreement* applications (e.g., identification number, name of roadside produce stand, address, owner or operators name, tax identification number, signature, etc.), *field report* forms, complaints, copy of corrective action letter, follow-up evaluation, copy of final decision letter, correspondence, etc.

- D. **Retention:** six years from date of agreement expiration or termination.

[1.18.665.1501 NMAC - Rp, 1.18.665.1001 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1502 [RESERVED]

[1.18.665.1502 NMAC - Rp, 1.18.665.1003 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.1503 [RESERVED]

[1.18.665.1503 NMAC - Rp, 1.18.665.1004 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.1504 [RESERVED]

[1.18.665.1504 NMAC - Rp, 1.18.665.1005 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.1505 FARMERS' MARKET CHECK ISSUANCE LOGS:

- A. **Program:** farmers' market
- B. **Maintenance system:** chronological by date, then alphabetical by entity name
- C. **Description:** logs documenting the distribution of the allotted funds to farmers' market program participants. Logs may include issuing entity name, check number, issued date, participant identification number, participant signature, category identification, etc.

- D. **Retention:** four years from close of federal fiscal year from date of log

[1.18.665.1505 NMAC - Rp, 1.18.665.1006 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1506 - 1.18.665.1549 [RESERVED]

1.18.665.1550 COMMODITY SUPPLEMENTAL FOOD PROGRAM DATABASE:

- A. **Program:** commodity supplemental food
- B. **Maintenance system:** numerical by primary key
- C. **Description:** database tracks and maintains information concerning eligible participants enrolled in the commodity supplemental food program. Data may include participant name, address, date of birth, SSN, income data, eligibility determination data, etc.

- D. **Data retention:**

- (1) **Eligible participant data:** five years from date of discharge or disqualification
 - (2) **Ineligible participant data:** one year from date of determination
 - E. Confidentiality:** Portions of this record may be confidential.
 - F. Input:** records used as input for the *commodity supplemental food program database* are filed in the corresponding *commodity supplemental food program participant files*, 1.18.665.1551 NMAC.
 - G. Output:** Because the *commodity supplemental food program database* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request. When produced, these reports are forwarded to the requesting entity.
- [1.18.665.1550 NMAC - Rp, 1.18.665.1021 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1551 COMMODITY SUPPLEMENTAL FOOD PROGRAM PARTICIPANT FILES:

- A. Program:** commodity supplemental food
 - B. Maintenance system:** chronological by date, then alphabetical by surname
 - C. Description:** records documenting the application and eligibility determination of individuals to receive monthly food distribution. Portions of this record are input into the *commodity supplemental food program database*, 1.18.665.1550 NMAC. Files may include application (e.g., name, address, date of birth, SSN, etc.), copy of proof of income (e.g., copy of check stub, social security award letter, etc.), copy of proof of residency, copy of photo identification, *rights and responsibility* form, copy of determination notice, correspondence, etc.
 - D. Retention:**
 - (1) **Eligible participant files:** five years from date of discharge or disqualification
 - (2) **Ineligible participant files:** one year from date of determination
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.665.1551 NMAC - Rp, 1.18.665.1026 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1552 COMMODITY SUPPLEMENTAL FOOD PROGRAM FACILITY MONITORING FILES:

- A. Program:** commodity supplemental food
 - B. Maintenance system:** chronological by date, then alphabetical by entity name
 - C. Description:** records documenting the monitoring of food distribution warehouses and clinics contracted by the state. Files may include copy of contract, *monitoring review* checklist (e.g., entity name, contract number, address, date of review, entity contact person, number of food storage sites, authorized case load, number of distribution sites, summary of findings, recommendations, comments, etc.), monitoring summary reports, copy of monthly invoices, copy of corrective action letter, copy of contract termination letter, correspondence, etc.
 - D. Retention:** five years from close of federal fiscal year in which termination of contract or facility closure
 - E. Confidentiality:** Portions of this record may be confidential.
- [1.18.665.1552 NMAC - Rp, 1.18.665.1027 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1553 [RESERVED]

[1.18.665.1553 NMAC - Rp, 1.18.665.1028 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.1554 [RESERVED]

[1.18.665.1554 NMAC - Rp, 1.18.665.1029 NMAC, 07/15/2010; Repealed, 07/20/2014]
 [Repealed Section 1.18.665.1554 NMAC, *destination data for delivery of donated foods (form fns 7 (11-82) refer to 1.18.665.1552 NMAC, commodity supplemental food program facility monitoring files]*

1.18.665.1555 [RESERVED]

[1.18.665.1555 NMAC - Rp, 1.18.665.1030 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.1556 [RESERVED]

[1.18.665.1556 NMAC - Rp, 1.18.665.1031 NMAC, 07/15/2010; Repealed, 07/20/2014]
 [Repealed Section 1.18.665.1556 NMAC, *inventory reports refer to 1.18.665.1552 NMAC, commodity supplemental food program facility monitoring files]*

1.18.665.1557 [RESERVED]

[1.18.665.1557 NMAC - Rp, 1.18.665.1032 NMAC, 07/15/2010; Repealed, 07/20/2014]

[Repealed Section 1.18.665.1557 NMAC, *program outline files* refer to 1.18.665.1552 NMAC, *commodity supplemental food program facility monitoring files*]

1.18.665.1558 [RESERVED]

[1.18.665.1558 NMAC - Rp, 1.18.665.1033 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.1559 [RESERVED]

[1.18.665.1559 NMAC - Rp, 1.18.665.1034 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.1560 - 1.18.665.1600 [RESERVED]

1.18.665.1601 MEDICAL MANAGEMENT FILES:

- A. Program:** children's medical services
 - B. Maintenance system:** none
 - C. Description:** hard copy input documents used to track client feedback and areas of improvement that are needed. File may contain feedback questionnaires, handwritten reports, notice of action on referral, etc.
 - D. Retention:** six years after close of fiscal year in which created
- [1.18.665.1601 NMAC - Rp, 1.18.665.782, 805 & 807 NMAC, 07/15/2010]

1.18.665.1602 - 1.18.665.1650 [RESERVED]

1.18.665.1651 CHILDREN'S MEDICAL SERVICES CLIENT CASE FILES:

- A. Program:** children's medical services
 - B. Maintenance system:** chronological by date of birth, then alphabetical by client surname
 - C. Description:** records concerning the eligibility, registration, authorization, diagnosis and progress of clients eligible for specialty medical services (i.e., genetic, urology, vision, nutrition, etc.). File may include registration form, referral letter, agreement for services, medical release, medical eligibility (i.e., diagnosis, social worker assessment, progress notes, service plan, etc.), nutrition screening, third party MCO information, service renewal, primary appointed custodian documentation, denial letter, closure letter, correspondence, etc.
 - D. Retention:** five years from date client reaches the age of 21
 - E. Confidentiality:** Portions of this record are confidential pursuant to but not limited to Section 14-6-1 NMSA 1978 (i.e., medical information), Health Insurance Portability and Accountability Act of 1996 Public Law 104-191 104th Congress (i.e., health information) and 5 USC, Section 552a (i.e., social security number).
- [1.18.665.1651 NMAC - Rp, 1.18.665.783-785, 788-801, 803-805, 807, 828, 832-835, 839-844, 846 NMAC, 07/15/2010]

1.18.665.1652 FAMILY, INFANT, TODDLER EARLY INTERVENTION CLIENT CASE FILES:

- A. Program:** children's medical services
 - B. Maintenance system:** chronological by date of birth, then alphabetical by client surname
 - C. Description:** records concerning early intervention services provided to eligible children (birth to three years of age) with special developmental needs. File may include registration form, authorization, child and family history, family goal setting form, diagnosis and progress of clients eligible for specialty medical services (i.e., genetic, urology, vision, nutrition, etc.), referral letter, agreement for services, medical release, evaluation, medical eligibility (i.e., diagnosis, social worker assessment, progress notes, service plan, etc.), nutrition screening, third party MCO information, service renewal, primary appointed custodian documentation, denial letter, closure letter, correspondence, etc.
 - D. Retention:** five years from date client reaches the age of 21
 - E. Confidentiality:** Portions of this record are confidential pursuant to but not limited to Section 14-6-1 NMSA 1978 (i.e., medical information), Health Insurance Portability and Accountability Act of 1996 Public Law 104-191 104th Congress (i.e., health information) and 5 USC, Section 552a (i.e., social security number).
- [1.18.665.1652 NMAC - Rp, 1.18.665.862-878 NMAC, 07/15/2010]

1.18.665.1653 - 1.18.665.1700 [RESERVED]

1.18.665.1701 OUTREACH CLINIC FILES:

- A. Program:** outreach clinics

- B. Maintenance system:** none
- C. Description:** hard copy input used to determine the types of services to be provided. File contains children's medical services clinic enrollment forms, copies of billing information, copies of notes, etc.
- D. Retention:** six years after close of fiscal year in which created
[1.18.665.1701 NMAC - Rp, 1.18.665.811, 812 & 813 NMAC, 07/15/2010]

1.18.665.1702 CLINICS BILLED FILES:

- A. Program:** outreach clinics
- B. Maintenance system:** none
- C. Description:** hard copy input to track the services that are billed. File contains clinic sign-in sheet, follow up, CMS telephone clinic registry form, supporting documents, no show listings, insurance billed, etc.
- D. Retention:** six years after close of fiscal year in which created
[1.18.665.1702 NMAC - Rp, 1.18.665.814, 815 & 817 NMAC, 07/15/2010]

1.18.665.1703 CLINICS LIST FILES:

- A. Program:** outreach clinics
- B. Maintenance system:** none
- C. Description:** hard copy input used to track the types of services available. File contains information about the specific service that will be provided, clinic's municipality, telephone clinic registry forms, supporting documents, CMS cleft palate clinic check off and client checklist, etc.
- D. Retention:** six years after close of fiscal year in which created
[1.18.665.1703 NMAC - Rp, 1.18.665.816 & 818 NMAC, 07/15/2010]

1.18.665.1704 PROVIDER PAYMENT TRACKING FORMS:

- A. Program:** outreach clinics
- B. Maintenance system:** alphabetically by provider name
- C. Description:** hard copy output used to track payments made to providers. Form may contain service date, clinic municipality, client name and address, follow up, etc.
- D. Retention:** until information has been verified but no longer than one year after audit report is released
[1.18.665.1704 NMAC - Rp, 1.18.665.819 NMAC, 07/15/2010]

1.18.665.1705 PROVIDER PAYMENT FILES:

- A. Program:** outreach clinics
- B. Maintenance system:** none
- C. Description:** hard copy input used to determine which providers will be paid for services. File contains provider list of attendance, supporting documentation, etc.
- D. Retention:** six years after close of fiscal year in which created
[1.18.665.1705 NMAC - Rp, 1.18.665.820 & 821 NMAC, 07/15/2010]

1.18.665.1706 - 1.18.665.1750 [RESERVED]

1.18.665.1751 HEALTHIER KIDS FUND CLIENT FILES:

- A. Program:** healthier kids fund
- B. Maintenance system:** chronologically by client's last name
- C. Description:** hard copy records of clients served by the children's medical services healthier kids fund program. Files contain client name, date of birth, address, parent name, care coordinator name, registration form, program summary, consultant referral, needs assessment, progress notes, etc.
- D. Retention:** six years after close of federal fiscal year in which case closed
- E. Confidentiality:** Portions of this record are confidential pursuant, but not limited to Section 24-1-20 NMSA 1978)
[1.18.665.1751 NMAC - Rp, 1.18.665.891, 892, 893, 894 & 900 NMAC, 07/15/2010]

1.18.665.1752 CONFIDENTIAL SERVICES FILES:

- A. Program:** healthier kids fund
- B. Maintenance system:** alphabetical by client's last name

- C. **Description:** file may contain children's medical services healthier kids fund registration confidential services form, program summary, needs assessment, progress notes, etc.
- D. **Retention:** six years after close of federal fiscal year in which case closed
- E. **Confidentiality:** Portions of this record are confidential pursuant, but not limited to Section 24-1-20 NMSA 1978.
[1.18.665.1752 NMAC - Rp, 1.18.665.895, 896 & 900 NMAC, 07/15/2010]

1.18.665.1753 - 1.18.665.1800 [RESERVED]

1.18.665.1801 DENTAL HEALTH LOGS:

- A. **Program:** oral health
- B. **Maintenance system:** chronological by fiscal year, then alphabetical by school name
- C. **Description:**
- (1) **Dental health services sealant log:** records documenting dental health sealant services provided to children first through twelfth grade. Log may show school name, number of eligible children, ethnicity, gender, services rendered, participation rates, number of children signed up, number of non-consent forms returned, number of children screened, number of sealants received by grade level, total number of teeth sealed, number of sealants that remain on past patients, date sealant(s) received, case management referral status, etc.
 - (2) **Dental health services fluoride varnish log:** records documenting the dental health fluoride varnish services provided to pre-school children. Log may show child name, name of school, date of service, insurance status, primary dental provider, total number receiving incentives, classifications for tooth decay, case management referral status, type of treatment needed, parent notification status, etc.
 - (3) **Dental case management sealant log:** records documenting children, first through twelfth grade, needing additional dental treatment. Log may show child name, ethnicity, insurance status, primary dental provider status, dental education received, screening status, date of sealant services, case management comments, etc.
 - (4) **Dental case management fluoride varnish log:** records documenting pre-school children needing further dental treatment. Log may show child name, ethnicity, insurance status, primary dental provider status, dental education received, screening status, history of dental treatment, incentives received, classification of care, change in diagnosis, total amount of students per visit, letter to parents, case management comments, etc.
- D. **Retention:** two years from the close of fiscal year from date of program annual report
- E. **Confidentiality:** Portions of this record may be confidential.
[1.18.665.1801 NMAC - Rp, 1.18.665.706 NMAC, 07/15/2010; A, 04/13/2015]

1.18.665.1802 ORAL HEALTH SCHOOL FILES:

- A. **Program:** oral health
- B. **Maintenance system:** chronological by fiscal year, then alphabetical by school name
- C. **Description:** records documenting clinics provided to public schools. Files may include *school information sheet for school year*, list of teachers (e.g., grade level taught, classroom number, etc.), copy of class roster, tally sheet (e.g., name of school, region, exam or sealant dates, total participants, total screened, retention check, etc.), copy of clinic completion letter, list of students recommended for further treatment, correspondence, etc.
- D. **Retention:** one year from the close of fiscal year from date clinic completed
[1.18.665.1802 NMAC - Rp, 1.18.665.707, 708, 709 & 710 NMAC, 07/15/2010; A, 04/13/2015]

1.18.665.1803 DENTAL HEALTH SEALANT CASE MANAGEMENT FILES:

- A. **Program:** oral health
- B. **Maintenance system:** chronological by fiscal year, then alphabetical by school name, then by child surname
- C. **Description:** records documenting the tracking of follow-up notification and progress to parents with children who have been identified as needing additional dental treatment. Files may include copy of consent form, copy of list of children needing further dental treatment, progress chart, correspondence, etc.
- D. **Retention:** two years from the close of fiscal year from date of last parent contact
- E. **Confidentiality:** Portions of this record may be confidential.
[1.18.665.1803 NMAC - N, 04/13/2015]

1.18.665.1804 DENTAL HEALTH SCREENING FORMS:

- A. **Program:** oral health
 - B. **Maintenance system:** chronological by date, then alphabetical by health fair name
 - C. **Description:** records documenting the participation of individuals during a health fair. Forms may show date, oral cancer examination, screener name, name of participant, primary dental provider status, insurance status, mailing address, e-mail address, phone number, comments, etc.
 - D. **Retention:** one year from date of last participant contact
- [1.18.665.1804 NMAC - N, 04/13/2015]

1.18.665.1805 - 1.18.665.1850 [RESERVED]

1.18.665.1851 CANCER SCREENING TRACKING FORMS:

- A. **Program:** cancer outreach
 - B. **Maintenance system:** alphabetical by patient name
 - C. **Description:** record concerning the tracking of cancer diagnoses reported to the program. Form shows patient name, where referred, reason for referral, follow-up, etc.
 - D. **Retention:** 10 years from date of report
 - E. **Confidentiality:** Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.
- [1.18.665.1851 NMAC - Rp, 1.18.665.736 NMAC, 07/15/2010]

1.18.665.1852 - 1.18.665.1874 [RESERVED]

1.18.665.1875 AMERICAN COUNCIL OF VOLUNTEER AGENCIES REPORTS:

- A. **Program:** refugee health care
 - B. **Maintenance system:** chronological by date
 - C. **Description:** report received from immigration services. Report lists all refugee families settled in New Mexico.
 - D. **Retention:** until refugee family moves to another state
- [1.18.665.1875 NMAC - Rp, 1.18.665.741 NMAC, 07/15/2010]

1.18.665.1876 FEDERAL REFUGEE REPORTS:

- A. **Program:** refugee health care
 - B. **Maintenance system:** chronological by date
 - C. **Description:** periodic statistical reports submitted to the federal regional office for grant compliance.
 - D. **Retention:** five years after close of federal fiscal year in which submitted
- [1.18.665.1876 NMAC - Rp, 1.18.665.742 NMAC, 07/15/2010]

1.18.665.1877 - 1.18.665.1900 [RESERVED]

1.18.665.1901 EMERGENCY MEDICAL PERSONNEL LICENSURE DATABASE:

- A. **Program:** emergency medical services
- B. **Maintenance system:** numerical by primary key
- C. **Description:** database used for tracking and maintaining information regarding licensed emergency medical dispatchers, emergency medical dispatcher instructors, emergency medical services first responders and EMTs. Data may include licensure application data (e.g., name, address, work address, etc.), parental responsibility data, certification history data, continuing education data, licensure renewal data, etc.
- D. **Data retention:**
 - (1) **License issued data:** 25 years from date of licensure expiration, revocation or withdrawal
 - (2) **Application denied data:** five years from date application is denied
- E. **Confidentiality:** Portions of this record may be confidential.
- F. **Input:** records used as input for the *emergency medical personnel licensure database* are filed in the corresponding *emergency medical personnel licensure files*, 1.18.665.1902 NMAC.

G. Output: Because the *emergency medical personnel licensure database* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request. When produced, these reports are forwarded to the requesting entity.

[1.18.665.1901 NMAC - Rp, 1.18.665.761 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1902 EMERGENCY MEDICAL PERSONNEL LICENSURE FILES:

A. Program: emergency medical services
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the application and licensure history of emergency medical dispatchers, emergency medical dispatcher instructors, emergency medical services first responders and emergency medical technicians (e.g., basic, intermediate and paramedic). Portions of this record are input to the *emergency medical personnel licensure database*, 1.18.665.1901 NMAC. Files may include application, verification of continuing education units, verification of alternative continuing education units, copy of certification in a special skill, *refresher blueprint documentation form*, copy of approved refresher certificate, copy of cardiopulmonary resuscitation card, copy of advanced cardiac life support card, EMT reciprocity application, EMT paramedic reciprocity application, copy of advanced emergency medical technician certification, workforce demographic survey, parental consent form, copy of license issued, renewal application, re-entry application, change of address form, correspondence, etc.

D. Retention:

(1) **License issued:** 25 years from date licensure expiration, revocation or withdrawal

(2) **Application denied:** five years from date application is denied

E. Confidentiality: Portions of this record may be confidential.

[1.18.665.1902 NMAC - Rp, 1.18.665.762 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1903 EMERGENCY MEDICAL SERVICES FUND ACT FILES:

A. Program: emergency medical services
B. Maintenance system: chronological by date, then alphabetical by EMS service name
C. Description: records documenting the application for funds available through the EMS Fund Act. Files may include *EMS Fund Act local funding program application, special project application* (e.g., local system improvement application, vehicle purchase application, statewide system improvement application, etc.), EMS annual service report, copy of award of funds letter, copy of check issued, request for extension, carryover requests, letter of appeal, copy of statewide advisory board decisions, correspondence, etc.

D. Retention: six years from close of fiscal year in which funds awarded or application denied

[1.18.665.1903 NMAC - Rp, 1.18.665.763 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1904 NEW MEXICO EMERGENCY MEDICAL SERVICES TRACKING AND REPORTING SYSTEM (NMEMSTARS):

A. Program: emergency medical services
B. Maintenance system: numerical by primary key
C. Description: database tracks and maintains information on pre-hospital patient care reports submitted by EMS agencies. Data may include date of response, patient's name, patient demographic information, reason for dispatch, protocols administered, name of hospital patient taken to, etc.

D. Data retention: 10 years from date of report

E. Confidentiality: Portions of this record may be confidential.

F. Input: all information used as input for the *New Mexico emergency medical services tracking and reporting system* is generated from pre-hospital patient care reports submitted electronically at time of service.

G. Output: Because the *NMEMSTARS* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity.

[1.18.665.1904 NMAC - Rp, 1.18.665.764 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.1905 EMERGENCY MEDICAL SERVICES IMPAIRED PRACTITIONER PROGRAM CONTRACT FILES:

A. Program: emergency medical services

B. Maintenance system: chronological by date, then alphabetical by practitioner surname

C. Description: records documenting contractual agreements for EMS personnel who desire to seek treatment for substance abuse in order to maintain licensure. Files may include contract, copy of complaint, medical records (e.g., treatment plan, counselor notes, drug test results, etc.), written statements, copies of support group attendance rosters (e.g., narcotics anonymous, alcoholics anonymous, etc.), correspondence, etc.

D. Retention: three years from date of contract fulfillment

E. Confidentiality: Portions of this record may be confidential.

[1.18.665.1905 NMAC - Rp, 1.18.665.765 NMAC, 07/15/2010; Repealed, 07/20/2014; 1.18.665.1905 NMAC - N, 07/20/2014]

1.18.665.1906 [RESERVED]

[1.18.665.1906 NMAC - Rp, 1.18.665.766 NMAC, 07/15/2010; Repealed, 07/20/2014]

[Repealed Section 1.18.665.1906 NMAC, *annual statistical reports* refer to 1.18.665.1903 NMAC, *emergency medical services fund act files*]

1.18.665.1907 EMERGENCY MEDICAL SERVICES CONTINUING EDUCATION PROVIDER APPROVAL FILES:

A. Program: emergency medical services

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

C. Description: records documenting the application and approval history of EMS continuing education program providers. Files may include *notification of intent to conduct a continuing education program*, continuing education program schedule, correspondence, etc.

D. Retention:

(1) **Provider approved:** six years from date of expiration, revocation or withdrawal

(2) **Application denied:** one year from date application denied

[1.18.665.1907 NMAC - Rp, 1.18.665.767 NMAC, 07/15/2010; Repealed, 07/20/2014; 1.18.665.1907 NMAC - N, 07/20/2014]

1.18.665.1908 EMERGENCY MEDICAL SERVICES CONTINUING EDUCATION PROVIDER AUDIT FILES:

A. Program: emergency medical services

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

C. Description: records documenting audits conducted on EMS continuing education program providers. Files may include attendance sheets, copies of handouts, copy of course outline or learning objectives, copy of blank exam, copies of student completed exams, approval number, letter of compliant audit, investigation report of non-compliance, letter of contemplated action, copy of letter of suspension or revocation, correspondence, etc.

D. Retention:

(1) **Compliant audit:** five years from date of audit

(2) **Non-compliant audit:** five years from date of final disposition

[1.18.665.1908 NMAC - N, 07/20/2014]

1.18.665.1909 EMERGENCY MEDICAL SERVICE AGENCY CERTIFICATION FILES:

A. Program: emergency medical services

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

C. Description: records documenting the application, issuance and certification history of emergency medical service agencies. Files may include application for certification, application for special skills, special skills annual reports, copies of personnel lists, vehicle inspection reports, copies of vehicle maintenance records, copies of insurance records, certification renewal application, correspondence, etc.

D. Retention:

(1) **Certification issued:** six years from date of certification expiration or revocation

(2) **Application withdrawn or denied:** one year from date application withdrawn or denied

[1.18.665.1909 NMAC - N, 07/20/2014]

1.18.665.1910 AIR AMBULANCE CERTIFICATION FILES:

A. Program: emergency medical services

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

C. Description: records documenting the application, issuance and certification history of air ambulance services. Files may include air ambulance service application, program information file, copy of certificates of accreditation from the commission on the accreditation of medical transport systems, copies of proof of insurance, copy of aircraft inspection certificates, copy of Federal Aviation Administration part 135 certificates, copy of board of pharmacy permits and drug enforcement agency permits, copy of temporary or full air ambulance certificates, copy of acknowledgement letter from commission on the accreditation of medical transport systems, vehicle inspection reports, copy of maintenance records, copy of insurance records, certification renewal application, complaints, correspondence, etc.

D. Retention:

(1) **Certification issued:** six years from date of certification expiration or revocation

(2) **Withdrawn or denied application:** two years from date application withdrawn or

denied

[1.18.665.1910 NMAC - N, 07/20/2014]

1.18.665.1911 EMERGENCY MEDICAL SERVICES INVESTIGATION FILES:

A. Program: emergency medical services

B. Maintenance system: chronological by date, then alphabetical by agency or surname

C. Description: records documenting investigation of complaints against a medical rescue agency, emergency medical technician, air ambulance service or designated trauma facility of alleged misconduct. Files may include complaint, investigation report, notice of hearing, hearing officer's report and recommendations, notice of contemplated action, correspondence, etc.

D. Retention:

(1) **Investigations resulting in proposal of a disciplinary action:** 25 years from date of final administrative decision

(2) **Investigations not resulting in proposal of a disciplinary action:** five years from date investigation completed

E. Confidentiality: Portions of this record may be confidential.

[1.18.665.1911 NMAC - N, 07/20/2014]

1.18.665.1912 TRAUMA FACILITY DESIGNATION FILES:

A. Program: emergency medical services

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

C. Description: records documenting the application and designation history of trauma facilities. Files may include application, inspection reports, recommendations for designation, correspondence, etc.

D. Retention:

(1) **Designation granted:** six years from date of designation expiration or revocation

(2) **Designation withdrawn:** two years from date designation withdrawn

[1.18.665.1912 NMAC - N, 07/20/2014]

1.18.665.1913 NEW MEXICO STATE TRAUMA REGISTRY DATABASE:

A. Program: emergency medical services

B. Maintenance system: numerical by primary key

C. Description: database which tracks and maintains medical and system information related to the provision of trauma care by hospitals or healthcare facilities. Data may include trauma care delivery, patient trauma facility transfer information, patient care outcome, patient death information, etc.

D. Data retention:

(1) **Data meets criteria:** permanent

(2) **Data does not meet criteria:** one year from date criteria determination is made

E. Input: all information used as input for the *New Mexico state trauma registry database* is generated from patient care reports submitted electronically at time of service.

F. Output: Because the *New Mexico state trauma registry database* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request. When produced, these reports are forwarded to the requesting entity.

[1.18.665.1913 NMAC - N, 07/20/2014]

1.18.665.1914 CARDIAC ARREST TARGETED RESPONSE PROGRAM REGISTRATION FILES:

- A. **Program:** emergency medical services
- B. **Maintenance system:** chronological by date, then alphabetical by entity
- C. **Description:** records documenting the registration history of an automated external defibrillator program to an agency, business or facility. Files may include application for registration, copy of cardiac arrest response program certificate, copy of proof of certification for targeted trained responders (e.g., copy of AED or cardiopulmonary resuscitation card), list of trained targeted responders, medical director approved medical protocols, medical director contract agreement, AED usage reports, quality assurance review documentation, copies of AED equipment purchase and maintenance records, *notification of AED program form, AED usage data collection form, guidelines for establishment of an AED program form*, renewal applications, correspondence, etc.
- D. **Retention:** four years from date of expiration or withdrawal of program
[1.18.665.1914 NMAC - N, 07/20/2014]

1.18.665.1915 - 1.18.665.2000 [RESERVED]

1.18.665.2001 NEW MEXICO RISK FACTOR SURVEILLANCE SYSTEM:

- A. **Program:** injury and behavioral health
- B. **Maintenance system:** numerical by primary key
- C. **Description:** system tracks and maintains information gathered through participant responses as a result of phone surveillance surveys. Health behaviors related to chronic health conditions is collected for statistical purposes. Data may include age, gender, location, ethnicity, marital status, income, participant responses, etc.
- D. **Data retention:** permanent
- E. **Input:** all information used as input to the *New Mexico risk factor surveillance system*,
1.18.665.2001 NMAC is submitted electronically at time of survey.
- F. **Output:** Because the *New Mexico risk factor surveillance system* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity. Some of these reports include *annual reports, behavioral health reports*, etc.
[1.18.665.2001 NMAC - Rp, 1.18.665.630 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.2002 EPIDEMIOLOGY DAILY LOGS:

- A. **Program:** epidemiology
- B. **Maintenance system:** chronological by week then year
- C. **Description:** record of 24-hour on-call activity. File contains the reports of notifiable diseases.
- D. **Retention:** three years from date on log
[1.18.665.2002 NMAC - Rp, 1.18.665.631 NMAC, 07/15/2010]

1.18.665.2003 NEW MEXICO EPIDEMIOLOGY REPORTS:

- A. **Program:** epidemiology
 - B. **Maintenance system:** chronological by month then year
 - C. **Description:** monthly newsletter publication that includes diseases reported by select notifiable districts for the month.
 - D. **Retention:**
 - (1) **Reports filed as publications with state library:** permanent.
 - (2) **Agency copies:** 10 years after date of publication.
- [1.18.665.2003 NMAC - Rp, 1.18.665.632 NMAC, 07/15/2010]

1.18.665.2004 LABORATORY REPORTS:

- A. **Program:** epidemiology
 - B. **Maintenance system:** chronological by date of report
 - C. **Description:** reports of notifiable diseases received from state and private laboratories in New Mexico and other out-of-state contract labs.
 - D. **Retention:**
 - (1) **Positive reports of notifiable diseases as established by state laboratory facilities:** 10 years from date of report.
 - (2) **All other reports (written, mailed, faxed, telephoned reports of notifiable disease):** 10 years from date of report
- [1.18.665.2004 NMAC - Rp, 1.18.665.633 NMAC, 07/15/2010]

1.18.665.2005 WEEKLY REPORT OF NOTIFIABLE DISEASES:

- A. **Program:** epidemiology
- B. **Maintenance system:** chronological by date
- C. **Description:** report on a weekly basis that is a compilation of notifiable diseases statistics submitted to the national center for disease control and prevention.

D. **Retention:** one year from date of report

[1.18.665.2005 NMAC - Rp, 1.18.665.634 NMAC, 07/15/2010]

1.18.665.2006 ANNUAL REPORTS OF NOTIFIABLE DISEASES:

- A. **Program:** epidemiology
- B. **Maintenance system:** chronological by month then year
- C. **Description:** record on a yearly basis concerning the compilation of notifiable diseases statistics submitted to the national center for disease control and prevention. Report includes annual summary of encephalitis, annual summary of other reportable diseases, annual summary of confirmed cases of rabies, annual summary of certain notifiable diseases by age, etc.

D. **Retention:** permanent

[1.18.665.2006 NMAC - Rp, 1.18.665.635 NMAC, 07/15/2010]

1.18.665.2007 OUTBREAK FILES:

- A. **Program:** epidemiology
- B. **Maintenance system:** numerically by outbreak number
- C. **Description:** Record concerning outbreaks of notifiable diseases. File may contain reports, data, analyses, questionnaires, press releases, etc.

D. **Retention:** permanent

[1.18.665.2007 NMAC - Rp, 1.18.665.636 NMAC, 07/15/2010]

1.18.665.2008 PUBLIC HEALTH ORDERS:

- A. **Program:** epidemiology
- B. **Maintenance system:** chronologically by date
- C. **Description:** legal orders issued to prevent the spread of a disease.

D. **Retention:** 10 years after case is closed

[1.18.665.2008 NMAC - Rp, 1.18.665.637 NMAC, 07/15/2010]

1.18.665.2009 - 1.18.665.2050 [RESERVED]

1.18.665.2051 CHILD FATALITY REVIEW FILES:

- A. **Program:** epidemiology
- B. **Maintenance system:** chronological by calendar year, then numerical by case identification number

C. **Description:** records concerning the review of all reported deaths of children due to fatal injury or other undetermined cause (i.e., motor vehicle, suicide, homicide, unexpected death, abuse and neglect, etc.). Portions of file are input to the national child death review case reporting system. Files may include case reports, office of the medical investigator reports of death, police reports, school records, disciplinary histories, children, youth and family intervention records, hospital records, psychiatric evaluations, medical records, etc.

D. **Retention:** five calendar years from date of death

E. **Confidentiality:** Portions of the records may be confidential pursuant, but not limited to Section 24-14-27 NMSA 1978, Disclosure of records, 5 USC, Section 552a (i.e., social security number) and Section 14-6-1 NMSA 1978 (i.e., health information).

[1.18.665.2051 NMAC - Rp, 1.18.665.638 NMAC, 07/15/2010]

1.18.665.2052 - 1.18.665.2100 [RESERVED]

1.18.665.2101 [RESERVED]

[1.18.665.2101 NMAC - Rp, 1.18.665.676 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.2102 TUBERCULOSIS CASE FILES:

A. Program: tuberculosis prevention and control
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the confirmation, treatment and follow-up care of individuals possibly infected with the tuberculosis disease. Files may include tuberculosis report, *tuberculosis skin test screening* forms, tuberculosis contact investigation interview worksheets, laboratory reports, laboratory results, medications, x-ray results, report of tuberculosis contacts, request for radiographic services, *drug therapy for treatment* forms, patient agreement treatment care plans, direct observation therapy monthly logs, treatment of tuberculosis disease monthly monitoring flow sheets, correspondence, etc.

D. Retention:

(1) **Positive result case files:** 25 years from date of completion of treatment, then transfer to archives for review and final disposition

(2) **Negative result case files:** five years from date of result

E. Confidentiality: Portions of this record may be confidential.

[1.18.665.2102 NMAC - Rp, 1.18.665.677 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.2103 [RESERVED]

[1.18.665.2103 NMAC - Rp, 1.18.665.678 NMAC, 07/15/2010; Repealed, 07/20/2014]

[Repealed Section 1.18.665.2103 NMAC, *tuberculosis program drug applications* refer to 1.18.665.2102 NMAC, *tuberculosis case files*]

1.18.665.2104 [RESERVED]

[1.18.665.2104 NMAC - Rp, 1.18.665.679 NMAC, 07/15/2010; Repealed, 07/20/2014]

[Repealed Section 1.18.665.2104 NMAC, *tuberculosis clinic notes files* refer to 1.18.665.2102 NMAC, *tuberculosis case files*]

1.18.665.2105 - 1.18.665.2150 [RESERVED]

1.18.665.2151 VENEREAL DISEASE EPIDEMIOLOGIC REPORTS:

A. Program: sexually transmitted diseases
B. Maintenance system: alphabetical by contact and patient name
C. Description: report shows date initiated, age, race, sex, marital status, contact, source, disease suspected, referral, investigator, disposition, etc.

D. Retention:

(1) **First copy (white) and fourth copy (green):** one year from date created

(2) **Second copy (pink) and third copy (yellow):** until investigation is closed

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.2151 NMAC - Rp, 1.18.665.691 NMAC, 07/15/2010]

1.18.665.2152 SEXUALLY TRANSMITTED INFECTION SURVEILLANCE CASE FILES:

A. Program: sexually transmitted diseases
B. Maintenance system: chronological by date, then alphabetical by surname
C. Description: records documenting the report, confirmation and follow-up care of individuals confirmed with a sexually transmitted infection. Files may include *morbidity report* forms, (e.g., patients name, address, date of birth, provider information, lab results, type of infection, treatment information, etc.), partner contact information, etc.

D. Retention:

(1) **Syphilis case files:** 40 years from date of treatment

(2) **All other case files:** 10 years from date of treatment

E. Confidentiality: Portions of this record may be confidential.

[1.18.665.2152 NMAC - Rp, 1.18.665.692 NMAC, 07/15/2010; A, 07/20/2014]

1.18.665.2153 [RESERVED]

[1.18.665.2153 NMAC - Rp, 1.18.665.693 NMAC, 07/15/2010; Repealed, 07/20/2014]

[Repealed Section 1.18.665.2153 NMAC, *infectious syphilis epidemiologic control record* refer to 1.18.665.2152 NMAC, *sexually transmitted infection surveillance case files*]

1.18.665.2154 [RESERVED]

[1.18.665.2154 NMAC - Rp, 1.18.665.694 NMAC, 07/15/2010; Repealed, 07/20/2014]

[Repealed Section 1.18.665.2154 NMAC, *gonorrhea control cards* refer to 1.18.665.2152 NMAC, *sexually transmitted infection surveillance case files*]

1.18.665.2155 [RESERVED]

[1.18.665.2155 NMAC - Rp, 1.18.665.695 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.2156 [RESERVED]

[1.18.665.2156 NMAC - Rp, 1.18.665.696 NMAC, 07/15/2010; Repealed, 07/20/2014]

1.18.665.2157 - 1.18.665.3000 [RESERVED]

1.18.665.3001 MEDICAL SUPPLY INVENTORY:

- A. **Program:** pharmacy
- B. **Maintenance system:** chrono-alphabetical by year and then name
- C. **Description:** record of all medical supplies on hand. File may contain purchase information, requisition number, date of receipt, vendor, number of units, lot number, expiration date, drug repackaging information, amount repackaged and date, disbursement information, date of disbursement, clinic, lot number, expiration date, number of units, stock balance, etc. for medical supplies, drugs and vaccines.

D. **Retention:** three years after close of fiscal year in which created
[1.18.665.3001 NMAC - Rp, 1.18.665.646 NMAC, 07/15/2010]

1.18.665.3002 FEDERAL PURCHASE REQUISITIONS, COPY:

- A. **Program:** pharmacy
- B. **Maintenance system:** chronological by date
- C. **Description:** record concerning federal purchase requisitions issued by center for disease control, Atlanta, Georgia.

D. **Retention:** three years after close of fiscal year in which created
[1.18.665.3002 NMAC - Rp, 1.18.665.647 NMAC, 07/15/2010]

1.18.665.3003 AUTHORIZED DESTROYED GOODS LOGS:

- A. **Program:** pharmacy
- B. **Maintenance system:** chronological by date
- C. **Description:** record of medical supplies, drugs and vaccines destroyed when unusable and cannot be returned to manufacturer for credit or replacement.

D. **Retention:** three years after close of fiscal year in which created
[1.18.665.3003 NMAC - Rp, 1.18.665.648 NMAC, 07/15/2010]

1.18.665.3004 HIV PRESCRIPTION MEDICATION SHIPPING LOGS:

- A. **Program:** pharmacy
- B. **Maintenance system:** chronological by date of entry
- C. **Description:** record concerning the shipment of HIV prescription drugs to patients. File may show date of shipment, name and address of patient, weight of package, etc.

D. **Retention:** three years after date of last entry
E. **Confidentiality:** Portions of this record are confidential pursuant, but not limited to 14-6-1 NMSA 1978.

[1.18.665.3004 NMAC - Rp, 1.18.665.649 NMAC, 07/15/2010]

1.18.665.3005 VACCINES FOR CHILDREN (VFC) ORDERS AND SHIPPING RECORDS:

- A. **Program:** pharmacy
- B. **Maintenance system:** chrono-alphabetical by provider name and date of shipment

C. Description: record concerning VFC orders and shipment. File may contain order forms received from all health providers for immunizations, plus a record of shipment dates and to whom shipped.

D. Retention: three years after date of shipment
[1.18.665.3005 NMAC - Rp, 1.18.665.650 NMAC, 07/15/2010]

1.18.665.3006 FEDERAL EXPRESS SHIPPING LOG-CHILDREN'S VACCINE PROGRAM:

A. Program: pharmacy

B. Maintenance system: chronological by date of entry

C. Description: record concerning shipment of vaccines to field offices, clinics and physicians' offices. File may contain tracking number issued by federal express, date of shipment, physician name, health office name, field office name, clinic name, etc.

D. Retention: three years after date of last entry
[1.18.665.3006 NMAC - Rp, 1.18.665.651 NMAC, 07/15/2010]

1.18.665.3007 QSI DATA SYSTEM:

A. Program: pharmacy

B. Maintenance system:

C. Description: system tracks patient name, prescriptions, diagnoses, refills shipment date, shipment address, etc.

D. Retention: three years after date of last entry

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to 14-6-1 NMSA 1978.

[1.18.665.3007 NMAC - Rp, 1.18.665.652 NMAC, 07/15/2010]

1.18.665.3008 PATIENT DATA FORMS:

A. Program: pharmacy

B. Maintenance system: numerically by prescription number

C. Description: hard copy input form for 1.18.665.3007 NMAC QSI data system. Record concerning vital information from aids patients and the prescription medication they obtain through the pharmacy bureau. File may contain name social security number, DOB, address, eligibility status, insurance information, diagnosis, prescription medications currently taken, prescribing doctor name, caseworker name and notes, referral information, etc.

D. Retention: three years after last date of service

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to 14-6-1 NMSA 1978.

[1.18.665.3008 NMAC - Rp, 1.18.665.653 NMAC, 07/15/2010]

1.18.665.3009 HIV PRESCRIPTION FILES:

A. Program: pharmacy

B. Maintenance system: chrono-numeric by date of service and prescription number

C. Description: hard copy input form for 1.18.665.3007 NMAC QSI data system. Record concerning prescription medications issued to HIV patients. File may contain original prescription, refill log, dates and amounts issued of each drug prescribed, billing record for the medications that are covered by insurance.

D. Retention: three years after last date of service

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to 14-6-1 NMSA 1978.

[1.18.665.3009 NMAC - Rp, 1.18.665.654 NMAC, 07/15/2010]

1.18.665.3010 PHARMACY DATABASE:

A. Program: pharmacy

B. Maintenance system: numerical by primary key

C. Description: database tracks medical supplies orders and prescription drug orders by type of item ordered, quantity of supplies and prescription drugs ordered, field office location etc.

D. Retention: three years after date of last entry

[1.18.665.3010 NMAC - Rp, 1.18.665.664 NMAC, 07/15/2010]

1.18.665.3011 ORDER FORMS:

- A. Program:** pharmacy
 - B. Maintenance system:** numerically by district number
 - C. Description:** hard copy input form for 1.18.665.3010 NMAC pharmacy database. Record concerning orders from field offices for medical supplies and prescription drugs. File may contain, field office number, date of order, items ordered, quantity ordered, shipment address, etc.
 - D. Retention:** three years after close of fiscal year in which created
- [1.18.665.3011 NMAC - Rp, 1.18.665.665 NMAC, 07/15/2010]

1.18.665.3012 FORMULARY RECORDS:

- A. Program:** pharmacy
 - B. Maintenance system:**
 - C. Description:** hard copy input form for 1.18.665.3010 NMAC pharmacy database. Record concerning the list of prescription drugs maintained in the pharmacy bureau inventory and at field offices, clinics, and doctor's offices.
 - D. Retention:** until updated
- [1.18.665.3012 NMAC - Rp 1.18.665.666 NMAC, 07/15/2010]

1.18.665.3013 - 1.18.665.3099 [RESERVED]

1.18.665.3100 BIRTH RECORD FILES:

- A. Program:** vital records and health statistics
- B. Maintenance system:** chronological by date, then numerical by file number
- C. Description:** records maintained pursuant to the Vital Statistics Act which requires all live births that occur in the state to be registered with the state registrar. Birth records, information or reports may be filed and registered by photographic, electronic or other formats as prescribed by the state registrar.

(1) **Birth registrations:** records documenting the registration of births in the state of New Mexico. Portions of this record are input to *vital records system*, 1.18.665.3151 NMAC. Paper files may include imaged copy or birth certificates (i.e., date registered, birth date, hour of birth, gender, birth location, facility type, parent information, certifier name and signature, etc.). Birth information may also be transmitted electronically into the *vital records system* by authorized hospital personnel, attending physicians or midwives.

(2) **Approved delayed registrations of birth:** records documenting the issuance of a delayed certificate of birth to persons born in New Mexico but whose births were not registered within the first year of the birth. This record is input to *vital records system*, 1.18.665.3151 NMAC. File may include application for delayed birth registration, evidentiary documentation to substantiate the alleged fact of birth such as census, hospital, tribal, church and school records, etc.

(3) **Amended birth record:** records documenting the amendment of an original birth record made upon request due to evidence of adoption, determination of paternity, name change, error correction, etc. This record is input to *vital records system*, 1.18.665.3151 NMAC. File may include the original record or a duly certified copy thereof or a signed statement from the custodian of the record or document from an independent source (i.e., hospital, church, etc.), court order, original certificate of birth, amended certificate of birth, etc.

(4) **Adoption of foreign born birth record:** records documenting the establishment of certificate of a birth for a person of foreign birth adopted under New Mexico law. This record is input to *vital records system*, 1.18.665.3151 NMAC. File may include proof of adoption, court order, correspondence, etc.

D. Retention: permanent, transfer to state archives 100 years from close of the calendar year in which birth occurred

E. Confidentiality: This record is confidential pursuant to Section 24-14-27 NMSA 1978, Disclosure of records Subsection C. When 100 years have elapsed after the date of birth or 50 years have elapsed after the date of death, the vital records of these events in the custody of the state registrar shall become open public records, and information shall be made available in accordance with regulations that provide for the continued safekeeping of the records; provided that vital records of birth shall not become open public records prior to the individual's death, Section 32A-5-40 NMSA 1978, Post-decree of adoption access to records and Section 24-14-13 NMSA 1978.

[1.18.665.3100 NMAC - Rp, 1.18.665.591 & 596 NMAC, 07/15/2010; A, 12/20/2010]

1.18.665.3101 BIRTH INDEX REPORT:

- A. **Program:** vital records and health statistics
- B. **Maintenance system:** chronological by date
- C. **Description:** report listing births that occurred in the state of New Mexico for the year reported.

Report is output from the *vital records system*, 1.18.665.3151 NMAC. Report shows full name, DOB, county, etc. Reports prepared are required by the department of health of all births in the state of New Mexico.

D. **Retention:** permanent, transfer to state archives 100 years from close of the calendar year in which birth occurred

E. **Confidentiality:** This record is confidential pursuant to Section 24-14-27 NMSA 1978, Disclosure of records Subsection C. When 100 years have elapsed after the date of birth or 50 years have elapsed after the date of death, the vital records of these events in the custody of the state registrar shall become open public records, and information shall be made available in accordance with regulations that provide for the continued safekeeping of the records; provided that vital records of birth shall not become open public records prior to the individual's death.

[1.18.665.3101 NMAC - Rp, 1.18.665.592 NMAC, 07/15/2010; A, 12/20/2010]

1.18.665.3102 ACKNOWLEDGEMENT OF PATERNITY FILES:

- A. **Program:** vital records and health statistics
- B. **Maintenance system:** chronological by date, then alphabetical by child's surname
- C. **Description:** records concerning the acknowledgement of paternity pursuant to the New Mexico Uniform Parentage Act Sections 40-11A-101 through 40-11A-903 NMSA 1978. Portions of this record are input to *vital records system*, 1.18.665.3151 NMAC. File may include acknowledgement of paternity statement (i.e., father's name, address, SSN, race, ethnicity, education level, signature, notary signature, original birth certificate, court order to adjudicate parentage, denial of paternity, etc.).

D. **Retention:** permanent, transfer to state archives 100 years from close of the calendar year in which births occurred

E. **Confidentiality:** This record is confidential pursuant to Section 24-14-27 NMSA 1978, Disclosure of records Subsection C. When 100 years have elapsed after the date of birth or 50 years have elapsed after the date of death, the vital records of these events in the custody of the state registrar shall become open public records, and information shall be made available in accordance with regulations that provide for the continued safekeeping of the records; provided that vital records of birth shall not become open public records prior to the individual's death.

[1.18.665.3102 NMAC -Rp, 1.18.665.593 NMAC, 7/15/2010; A, 12/20/2010]

1.18.665.3103 REQUEST FOR INCLUSION TO THE PUTATIVE FATHER REGISTRY FILES:

- A. **Program:** vital records and health statistics
- B. **Maintenance system:** alphabetical by surname
- C. **Description:** records documenting the requests for inclusion into the putative father registry for the purpose of protecting the parental rights of fathers who affirmatively assume responsibility for children they may have fathered. This record is input to the *putative father registry*, 1.18.665.3105 NMAC. File may include notice of intent to claim paternity, acknowledgement of paternity (i.e., father's name, DOB, SSN, current address, etc.), child information (i.e., child's name, DOB, place of birth, etc.), biological mother's information (i.e., mother's name, DOB, place of birth, SSN, address, etc.), statement of putative father, court order, acknowledgement of paternity copy, etc.

D. **Retention:** permanent, transfer to state archives 100 years from close of the calendar year in which birth occurred

E. **Confidentiality:** This record is confidential pursuant to Section 32A-5-8 NMSA, 24-14-27 NMSA 1978, Disclosure of records Subsection C. When 100 years have elapsed after the date of birth or 50 years have elapsed after the date of death, the vital records of these events in the custody of the state registrar shall become open public records, and information shall be made available in accordance with regulations that provide for the continued safekeeping of the records; provided that vital records of birth shall not become open public records prior to the individual's death.

[1.18.665.3103 NMAC - Rp, 1.18.665.594 NMAC, 07/15/2010; Repealed, 12/20/2010; 1.18.665.3103 NMAC - N, 12/20/2010]

1.18.665.3104 PUTATIVE FATHER REGISTRY:

- A. **Program:** vital records and health statistics

B. Maintenance system: alphabetical by surname

C. Description: registry maintained by the department documenting the acknowledgement of paternity by fathers who are willing to assume responsibility for children they may have fathered. Registry may include putative father information (i.e., father's name, DOB, SSN, address, etc.); child information (i.e., child's name, DOB, place of birth, etc.); biological mother's information (i.e., mother's name, DOB, Place of birth, SSN, address, etc.); etc.

D. Retention: permanent, transfer to state archives 100 years from close of the calendar year in which birth occurred

E. Confidentiality: This record is confidential pursuant to Section 24-14-27 NMSA 1978, Disclosure of records Subsection C. When 100 years have elapsed after the date of birth or 50 years have elapsed after the date of death, the vital records of these events in the custody of the state registrar shall become open public records, and information shall be made available in accordance with regulations that provide for the continued safekeeping of the records; provided that vital records of birth shall not become open public records prior to the individual's death.

F. Input: records used as input to the *putative father registry* are filed in the *request for inclusion to the putative father registry files* 1.18.665.1304 NMAC.

G. Output: reports may be generated upon request or demand.
[1.18.665.3104 NMAC - Rp, 1.18.665.595 NMAC, 07/15/2010; Repealed, 12/20/2010; 1.18.665.3104 NMAC - N, 12/20/2010]

1.18.665.3105 PUTATIVE FATHER REGISTRY SEARCH FILE:

A. Program: vital records and health statistics

B. Maintenance system: chronological by date

C. Description: records documenting requests to search the *putative father registry*, 1.18.665.3105 NMAC made by the court, a state agency, the petitioner's attorney or the mother of the child. Request may include name of requestor, putative father information (i.e., father's name, DOB, SSN, address, etc.); child information (i.e., child's name, DOB, place of birth, etc.); biological mother's information (i.e., mother's name, DOB, Place of birth, SSN, address, etc.), etc.

D. Retention: until annual financial audit report is signed and released

E. Confidentiality: This record is confidential pursuant to Section 24-14-27 NMSA 1978, Disclosure of records Subsection C. When 100 years have elapsed after the date of birth or 50 years have elapsed after the date of death, the vital records of these events in the custody of the state registrar shall become open public records, and information shall be made available in accordance with regulations that provide for the continued safekeeping of the records; provided that vital records of birth shall not become open public records prior to the individual's death.

[1.18.665.3105 NMAC - Rp, 1.18.665.598 NMAC, 07/15/2010; Repealed, 12/20/2010; 1.18.665.1305 NMAC - N, 12/20/2010]

1.18.665.3106 PUTATIVE FATHER REGISTRY SEARCH LOG:

A. Program: vital records and health statistics

B. Maintenance system: alphabetical by surname

C. Description: record of a putative registry search requests made to the department. Log may show name of requestor, putative father information (i.e., father's name, DOB, SSN, address, etc.); child information (i.e., child's name, DOB, place of birth, etc.); biological mother's information (i.e., mother's name, DOB, Place of birth, SSN, address, etc.); search results, etc.

D. Retention: until annual financial audit report is signed and released

E. Confidentiality: This record is confidential pursuant to Section 24-14-27 NMSA 1978, Disclosure of records Subsection C. When 100 years have elapsed after the date of birth or 50 years have elapsed after the date of death, the vital records of these events in the custody of the state registrar shall become open public records, and information shall be made available in accordance with regulations that provide for the continued safekeeping of the records; provided that vital records of birth shall not become open public records prior to the individual's death.

[1.18.665.3106 NMAC - Rp, 1.18.665.600, 07/15/2010; Repealed, 12/20/2010; 1.18.665.3106 NMAC - N, 12/20/2010]

1.18.665.3107 DEATH INDEX REPORT:

- A. **Program:** vital records and health statistics
- B. **Maintenance system:** chronological by date, then alphabetical by surname
- C. **Description:** report listing deaths that occurred in the state of New Mexico for the year reported.

Report is output from the *vital records system*, 1.18.665.3151 NMAC. Report shows full name, date of death, county, etc.

D. **Retention:** permanent, transfer to state archives 50 years from the close of the calendar year in which death occurred

E. **Confidentiality:** This record is confidential pursuant to Section 24-14-27 NMSA 1978, Disclosure of records Subsection C. When 100 years have elapsed after the date of birth or 50 years have elapsed after the date of death, the vital records of these events in the custody of the state registrar shall become open public records, and information shall be made available in accordance with regulations that provide for the continued safekeeping of the records; provided that vital records of birth shall not become open public records prior to the individual's death.

[1.18.665.3107 NMAC - Rp, 1.18.665.601 NMAC, 07/15/2010; A, 12/20/2010]

1.18.665.3108 SEARCH APPLICATION FOR CERTIFIED BIRTH OR DEATH CERTIFICATE:

- A. **Program:** vital records and health statistics
- B. **Maintenance system:** chronological by date
- C. **Description:** record of search applications for certified birth or death certificates. Input to *vital records system*, 1.18.665.3151 NMAC. File may include application (i.e., requester name, address, birth date, death date, certificate amount, fees paid, type of payment, etc), etc.

D. **Retention:** until annual financial audit report is signed and released
[1.18.665.3108 NMAC - Rp, 1.18.665.602 NMAC, 07/15/2010; A, 12/20/2010]

1.18.665.3109 [RESERVED]

[1.18.665.3109 NMAC - Rp, 1.18.665.603 NMAC, 07/15/2010; Repealed, 12/20/2010]

1.18.665.3110 DEATH RECORD FILES:

- A. **Program:** vital records and health statistics
- B. **Maintenance system:** chronological by date, then numerical by certificate number
- C. **Description:** records maintained pursuant to the Vital Statistics Act which requires death

certificates for each death that occurs in the state to be filed with the state registrar within five days after the death and prior to final disposition.

(1) **Death registration:** records documenting each death in the state of New Mexico. This record is input to the *vital records system*, 1.18.665.3151 NMAC. Files may include imaged copy of death certificate (i.e., deceased name; social security number; birth date; date, time and cause of death; attending physician; etc.), medical certification of cause of death, amended imaged copy of death certificate, etc.

(2) **Delayed death registration:** records documenting a delayed registration of death filed in accordance with state statute. This record is input to the *vital records system*, 1.18.665.3151 NMAC. File may include certificate of death, affidavit of the person filing the certificate swearing to the accuracy of the information on the certificate, two documents which identify the decedent and his or her date and place of death, a summary of which shall be placed on the certificate

D. **Retention:** permanent, transfer to state archives 50 years from the close of the calendar year in which death occurred

E. **Confidentiality:** This record is confidential pursuant to Section 24-14-27 NMSA 1978, Disclosure of records Subsection C. When 100 years have elapsed after the date of birth or 50 years have elapsed after the date of death, the vital records of these events in the custody of the state registrar shall become open public records, and information shall be made available in accordance with regulations that provide for the continued safekeeping of the records; provided that vital records of birth shall not become open public records prior to the individual's death.

[1.18.665.3110 NMAC - Rp, 1.18.665.604 NMAC, 07/15/2010; A, 12/20/2010]

1.18.665.3111 MISSING CHILD REPORT:

- A. **Program:** vital records and health statistics
- B. **Maintenance system:** alphabetical by child's surname

C. Description: missing child report issued by law enforcement agencies to the state registrar for the purpose of flagging a missing child's birth record to restrict the processing of requests for a certified birth record. The child's birth record remains flagged until notification from law enforcement regarding the recovery of the child. File may include missing child report, correspondence, etc.

D. Retention: one year from date child is recovered
[1.18.665.3111 NMAC - Rp, 1.18.665.601 & 605 NMAC, 07/15/2010; Repealed, 12/20/2010; 1.18.665.3111 NMAC - N, 12/20/2010]

1.18.665.3112 [RESERVED]

[1.18.665.3112 NMAC - Rp, 1.18.665.606 NMAC, 07/15/2010; Repealed, 12/20/2010]

1.18.665.3113 INDUCED TERMINATION OF PREGNANCY STATISTICAL REPORT FILES:

A. Program: vital records and health statistics

B. Maintenance system: chronological by date

C. Description: report contains statistical information only pertaining to induced terminations of pregnancies for the year reported. This is a statistical report used only for medical and health purposes. Portions of this record are input to *vital records system*, 1.18.665.3151 NMAC. Report shows type of facility, location of facility, race, ethnic background, tribal affiliation, age, type of procedure used, etc.

D. Retention: 18 months after date of report.

E. Confidentiality: This record is confidential pursuant, but not limited to Section 24-14-18 Report of induced abortions.

[1.18.665.3113 NMAC - Rp, 1.18.665.608 NMAC, 07/15/2010; A, 12/20/2010]

1.18.665.3114 [RESERVED]

[1.18.665.3114 NMAC - Rp, 1.18.665.609 NMAC, 07/15/2010; Repealed, 12/20/2010]

1.18.665.3115 [RESERVED]

[1.18.665.3115 NMAC - Rp, 1.18.665.610 NMAC, 07/15/2010; Repealed, 12/20/2010]

1.18.665.3116 SPONTANEOUS FETAL DEATH REPORT FILES:

A. Program: vital records and health statistics

B. Maintenance system: chronological by fiscal year, then alphabetical by county

C. Description: report listing spontaneous fetal deaths that occurred in New Mexico for the year reported. Portions of this record are input to *vital records system*, 1.18.665.3151 NMAC. Report may include the parents name, date, time and cause of fetal death, attending physician, ethnicity, county, etc.

D. Retention: 18 months from date of report

E. Confidentiality: This record is confidential pursuant to Section 24-14-27 NMSA 1978, Disclosure of records Subsection C. When 100 years have elapsed after the date of birth or 50 years have elapsed after the date of death, the vital records of these events in the custody of the state registrar shall become open public records, and information shall be made available in accordance with regulations that provide for the continued safekeeping of the records; provided that vital records of birth shall not become open public records prior to the individual's death.

[1.18.665.3116 NMAC - Rp, 1.18.665.613 NMAC, 07/15/2010; A, 12/20/2010]

1.18.665.3117 [RESERVED]

[1.18.665.3117 NMAC - Rp, 1.18.665.614 NMAC, 07/15/2010; Repealed, 12/20/2010]

1.18.665.3118 BURIAL-TRANSIT PERMIT FILES:

A. Program: vital records and health statistics

B. Maintenance system: alphabetical by surname

C. Description: records documenting the issuance of burial-transit permit allowing the transport of a body or fetus for final disposition when the disposition is being made by a person other than a funeral service practitioner or direct disposer. File may include certificate of death, *burial transit permit authority to transport for final disposition form* (i.e., decedent's name, gender, age, DOB, method of disposition, date of death, location of disposition, funeral service facility name, etc.), correspondence, etc.

D. Retention: permanent, transfer to state archives 50 years from the close of the calendar year in which permit issued

E. Confidentiality: This record is confidential pursuant to Section 24-14-27 NMSA 1978, Disclosure of records Subsection C. When 100 years have elapsed after the date of birth or 50 years have elapsed after the date of death, the vital records of these events in the custody of the state registrar shall become open public records, and information shall be made available in accordance with regulations that provide for the continued safekeeping of the records; provided that vital records of birth shall not become open public records prior to the individual's death.

[1.18.665.3118 NMAC - N, 12/20/2010]

1.18.665.3119 DISINTERMENT AND REINTERMENT PERMIT FILES:

A. Program: vital records and health statistics

B. Maintenance system: chronological by date, then alphabetical by surname

C. Description: records documenting the issuance of permits for the disinterment and reinterment of a decedent's remains. File may include disinterment and re-interment form (i.e., funeral home name, address, funeral director's name, decedent's name, date of death, place of burial, etc.), correspondence, etc.

D. Retention: permanent, transfer to state archives 25 years from the close of the calendar year in which permit issued

E. Confidentiality: This record is confidential pursuant to Section 24-14-27 NMSA 1978, Disclosure of records Subsection C. When 100 years have elapsed after the date of birth or 50 years have elapsed after the date of death, the vital records of these events in the custody of the state registrar shall become open public records, and information shall be made available in accordance with regulations that provide for the continued safekeeping of the records; provided that vital records of birth shall not become open public records prior to the individual's death.

[1.18.665.3119 NMAC - N, 12/20/2010]

1.18.665.3120 - 1.18.665.3150 [RESERVED]

1.18.665.3151 VITAL RECORDS SYSTEM:

A. Program: vital records and health statistics

B. Maintenance system: numerical by primary key

C. Description: database maintains information regarding births, adoptions, deaths and spontaneous and induced fetal deaths within New Mexico. Data may include birth data (i.e., child's name, DOB, parent or adoptive parent information, attending physician or witness's name, place of birth, paternity information, etc.), deceased data (i.e., name, birth date, date of death, parent and adoptive parent information, cause of death, attending physician's name, etc.), spontaneous fetal death data (i.e., type of facility, date and location of spontaneous fetal death, etc.), induced termination of pregnancy statistical data, requests for birth and death records, certificate fee information, adoption data, etc.

D. Retention:

(1) **Birth, paternity acknowledgement, amendments, death and adoption data:** permanent

(2) **Spontaneous death and induced fetal death data:** 18 months from date report published

E. Confidentiality: This record is confidential pursuant to Section 24-14-27 NMSA 1978, Disclosure of records Subsection C. When 100 years have elapsed after the date of birth or 50 years have elapsed after the date of death, the vital records of these events in the custody of the state registrar shall become open public records, and information shall be made available in accordance with regulations that provide for the continued safekeeping of the records; provided that vital records of birth shall not become open public records prior to the individual's death, Section 32A-5-40 NMSA 1978, Post-decree of adoption access to records and Section 24-14-13 NMSA 1978.

F. Input: records used as input to the *vital records system* are filed in *birth record files*, 1.18.665.3100 NMAC, *acknowledgement of paternity files*, 1.18.665.3102 NMAC, *missing child report*, 1.18.665.3106 NMAC, *death record files*, 1.18.665.3110 NMAC, *induced termination of pregnancy statistical report files*, 1.18.665.3113 NMAC, *spontaneous fetal death report files*, 1.18.665.3116 NMAC, etc.

G. Output: Because the *vital records system* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. Some of these reports include the *birth index report, the death index report, etc.*

[1.18.665.3151 NMAC - N, 12/20/2010]

1.18.665.3152 - 1.18.665.4000 [RESERVED]

1.18.665.4001 ANALYTICAL REQUEST FORMS:

A. Program: scientific lab division

B. Maintenance system:

(1) **Virology and serology section:** chrono-numeric by date received and SLD accession number

(2) **All other sections:** filed in section's corresponding case file

C. Description: hardcopy input document to the chemistry, biology or toxicology database used as an intake request for specimens requiring analysis. Forms may contain SLD accession number; date and time of receipt; submitter name, code and address; analysis requested; user code, address and telephone number; patient or donor name, address, gender, race or ethnic group, date of birth, and social security or medicaid number; physician or clinician name, telephone number and signature; specimen collection date, source and type; WSS code and name; collector name, sample location, date and time collected, county, type of system, reason for sampling; producer name, code, brand name, type of product, priority and number; user site identification number; facility name, address, location, county and city; send report to name, field data and preservation(s); latitude and longitude; sampling information; field date; preparation of sample for analysis; chain of custody signatures and dates; volatile and semi-volatile analyses information; external case number; name of technician who drew and sealed specimen, deliver person name and date; receiving person name, date and time; lab remark or comments; analyst signature or initials; etc. Back of request form may contain specimen chain of custody form.

D. Retention:

(1) **Virology and serology section:** five years after date received per 21 CFR 606.160(d)

(2) **General microbiology section:** filed in Bacteriological Case File, 1.18.665.4101

NMAC

(3) **Tuberculosis and mycology section:** filed in Mycobacteriology Case File,

1.18.665.4201 NMAC

(4) **Environmental microbiology section:** filed in Environmental Microbiology Case File,

1.18.665.4301 NMAC

(5) **Air and heavy metals section:** filed in Air and Heavy Metal Case File, 1.18.665.4501

NMAC

(6) **Radiochemistry section:** filed in Radiochemistry Case File, 1.18.665.4601 NMAC

(7) **Water chemistry section:** filed in Water Chemistry Case File, 1.18.665.4701 NMAC

(8) **Organics chemistry section:** filed in Organic Chemistry Case File, 1.18.665.4801

NMAC

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4001 NMAC - Rp, 1.18.665.2000 NMAC, 07/15/2010]

1.18.665.4002 VETERINARY RABIES SUBMISSION FORMS:

A. Program: scientific lab division

B. Maintenance system:

(1) **Virology and serology section:** chrono-numeric by date received and SLD accession number

(2) **All other sections:** filed in section's corresponding case file

C. Description: hard copy input document to the biology or chemistry database used as intake form for the testing of animal specimens. Form may contain SLD accession number; user code; submitter code; date specimen collected; animal identification number, age and gender; collection location; submitter name, address and telephone number; specimen source and type; facility or supplier name; temperature at packing; type of analysis requested, etc.

D. Retention:

(1) **Virology and serology section:** five years after date received per 21 CFR 606.160(d)

- (2) **General microbiology section:** filed in Bacteriological Case File, 1.18.665.4101
- NMAC
- (3) **Tuberculosis and mycology section:** filed in Mycobacteriology Case File,
- 1.18.665.4201 NMAC
- (4) **Air and heavy metals section:** filed in Air and Heavy Metal Case File, 1.18.665.4501
- NMAC
- (5) **Water chemistry section:** filed in Water Chemistry Case File, 1.18.665.4701 NMAC
- (6) **Organics chemistry section:** filed in Organic Chemistry Case File, 1.18.665.4801

NMAC

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.
[1.18.665.4002 NMAC - Rp, 1.18.665.2001 NMAC, 07/15/2010]

1.18.665.4003 WORKSHEET:

- A. Program:** scientific lab division
- B. Maintenance system:**
 - (1) **Virology and serology section:** chrono-numeric by date received and SLD accession number
 - (2) **All other sections:** filed in section's corresponding case file
- C. Description:** hard copy input record to the biology, chemistry or toxicology database used to document analytical procedure and findings for specimens tested. Worksheet may contain date received, SLD accession number, submitter name, address and telephone number; specimen or sample requiring analysis; name of patient or person exposed, identification number and status; gonorrhea or chlamydia number; source of specimen; test date and name or number; results or findings; technicians name or initials; quality control information and check by name; AS number; species; submitter name and municipality; results, person and date contacted; comments; room temperature; rotator speed; control number; endpoint dilution; rejected specimen number and reason; collection point or location, date and time; (WSS) number, type of system; batch number; inhibitor count; plating date; medium used; reactions; TB number; date media prepared or inoculated, dilutions inoculated, sensitivity testing, results, presumptive identification name; submitting facility; reported to name(s); final identification; conventional work notes; volume or weight used; raw data; run number; BAC and average BAC; test results, report date, and analysts initials; reviewers signature, etc.

D. Retention:

- (1) **Virology and serology section:** five years after date received per 21 CFR 606.160(d)
- (2) **General microbiology section:** filed in Bacteriological Case File, 1.18.665.4101
- NMAC
- (3) **Tuberculosis and mycology section:** filed in Mycobacteriology Case File,
- 1.18.665.4201 NMAC
- (4) **Air and heavy metals section:** filed in Air and Heavy Metal Case File, 1.18.665.4501
- NMAC
- (5) **Water chemistry section:** filed in Water Chemistry Case File, 1.18.665.4701 NMAC
- (6) **Organics chemistry section:** filed in Organic Chemistry Case File, 1.18.665.4801

NMAC

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.
[1.18.665.4003 NMAC - Rp, 1.18.665.2002 NMAC, 07/15/2010]

1.18.665.4004 LEDGER (SPECIMEN LOG):

- A. Program:** scientific lab division
- B. Maintenance system:** chronological by date and SLD accession number
- C. Description:** hardcopy output record from the biology, chemistry or toxicology database used to document the verification of the accuracy of data migration, information for other testing, QC information, diet monitoring, analytical process, corrections and results, and to allocate workload, etc. Ledger may contain ledger name and date; specimen or sample names and types; donors or patient names; parent names, addresses and telephone numbers; time specimens in; collected by names; locations; WSS numbers; SLD accession numbers; dates and times collected; handwritten notes; etc.

D. Retention:

- (1) **Virology and serology section:** five years after date entered
- (2) **General microbiology section:** five years after date entered
- (3) **Tuberculosis and mycology section:** five years after date entered
- (4) **Metabolic screening section:** five years after date entered
- (5) **Environmental microbiology section:** five years after date entered
- (6) **Media preparation section:** five years after date entered
- (7) **Air and heavy metals section:** 10 years after date entered
- (8) **Water chemistry section:** 12 years after date entered
- (9) **Organics chemistry section:** 10 years after date entered
- (10) **Radiochemistry section:** 10 years after date entered
- (11) **Drug section:** 25 years after date entered
- (12) **Alcohol section:** 25 years after date entered
- (13) **Specimen receiving section:** one year after close of calendar year in which created

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.
[1.18.665.4004 NMAC - Rp, 1.18.665.2003 NMAC, 07/15/2010]

1.18.665.4005 BENCH SHEET:

- A. Program:** scientific lab division
- B. Maintenance system:** chronological by date printed
- C. Description:** hardcopy output from the biology, chemistry or toxicology database used to set priority of analytical testing or to identify those samples that need to be tested for a specific parameter(s). Sheet may contain EPA method number, units, batch number, analyst name, reviewed by, date started, SLD accession number(s), result(s), date, time, volume, dilution, initial and final weight, handwritten notes, etc.

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

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.
[1.18.665.4005 NMAC - Rp, 1.18.665.2004 NMAC, 07/15/2010]

1.18.665.4006 ANALYTICAL REPORTS:

- A. Program:** scientific lab division
- B. Maintenance system:** section preference
- C. Description:** hardcopy output record from the biology, chemistry, toxicology or OMI database used to report analytical results or findings. Report may contain SLD accession number, patient or donor name and address, submitter name, code, address and telephone number, date and time specimen received, user name and code, type of analysis requested, facility name, collected by, batch number, start and end of analysis time, result description, reason for sampling, WSS number, request identification number, laboratory test results, date out, analysts initials, distribution list, demographic data, notations and comments, reviewer signature and date, arresting officer information, reason suspect stopped, certificate of receiving employee, certificate of analyst, certificate of reviewer, certificate of mailing, etc.

D. Retention:

- (1) **Original:** delivered to submitter
- (2) **Exact copy:** may be retained with sections' corresponding case file, and a copy may be forwarded to: attending physician or veterinarian, DOH, Department of the Environment, the OMI, CDC, EPA, FDA, etc., as required.

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.
[1.18.665.4006 NMAC - Rp, 1.18.665.2005 NMAC, 07/15/2010]

1.18.665.4007 STANDARD SCIENTIFIC METHODS FILES:

- A. Program:** scientific lab division
- B. Maintenance system:** alpha-chrono by method name and date updated
- C. Description:** records concerning the standard scientific methods used to prepare media, sample, or drug. File contains standard scientific methods consisting of name, date, instructions, drug numbers, concentrations, etc.; and modified standard scientific methods may contain preparation date, date run, compound,

drug number, concentration, instrument printout, analyst name, etc. Modifications are necessary due to environmental conditions.

D. Retention: 10 years after methodology superseded per 40 CFR 141.33
[1.18.665.4007 NMAC - Rp, 1.18.665.2006 NMAC, 07/15/2010]

1.18.665.4008 CERTIFICATE OF ANALYSIS:

A. Program: scientific lab division
B. Maintenance system: alphabetical by name
C. Description: record received from manufacturer verifying purity and concentration of calibration, solution, drug, instrument, etc. Certificate may contain name of calibration solution, drug, instrument, etc.; catalog number, lot number, expiration date, amount, storage and handling information, intended use, component, purity, prepared concentration, analyzed concentration, authorized signature, etc.

D. Retention: two years after calibration, solution, drug or instrument no longer in use
[1.18.665.4008 NMAC - Rp, 1.18.665.2007 NMAC, 07/15/2010]

1.18.665.4009 QUALITY ASSURANCE MONITOR FILES:

A. Program: scientific lab division
B. Maintenance system: chronological by year and date
C. Description: record used to maintain and track accuracy of the techniques by which the laboratory produces data of known and accepted quality based on standards. File may contain monitor sheets, handwritten notes, etc.

D. Retention: two years after close of calendar year in which created per the Clinical Laboratory Improvement Act of 1967, 42 USC 263 (a) - (d).

[1.18.665.4009 NMAC - Rp, 1.18.665.2008 NMAC, 07/15/2010]

1.18.665.4010 QUALITY CONTROL SHEETS:

A. Program: scientific lab division
B. Maintenance system: chronological by year and date created
C. Description: record used to measure the attributes and performance of a process, item or service against defined standards to verify that they meet the stated established requirements of customers and regulating agencies. Sheets consist of sterilization form, temperature check form, daily temperature check form, charts, eyewash station form, monthly balance calibration form, etc. Sheet may contain name, temperature and date, media, stain, test, acceptable pH range, incubation time and temperature, control organism, expected reaction, lot number pH, appearance, sterility, all organisms gave correct reaction, incorrect reactions, other comments, action taken, technician initials, test date, etc.

D. Retention: two years after close of calendar year in which created per the Clinical Laboratory Improvement Act of 1967, 42 USC 263 (a) - (d)

[1.18.665.4010 NMAC - Rp, 1.18.665.2009 NMAC, 07/15/2010]

[Additional exact copy may be retained with section corresponding case file, when required.]

1.18.665.4011 BATCH QC FORMS:

A. Program: scientific lab division
B. Maintenance system: chrono-numeric by date and SLD accession number
C. Description: record used to document purity from background contamination prior to analysis of all new reagents and extraction supplies. Form may contain name of reagent or extraction, beginning and ending date, material used, formula for calculation, replicates, reruns, deviation from mean, accepted or rejected, analyst signature and date, reviewer signature and date, etc.

D. Retention: two years after close of calendar year in which created per the Clinical Laboratory Improvement Act of 1967, 42 USC 263 (a) - (d)

[1.18.665.4011 NMAC - Rp, 1.18.665.2010 NMAC, 07/15/2010]

1.18.665.4012 BATCH QC REPORTS:

A. Program: scientific lab division
B. Maintenance system: chrono-numeric by date and SLD accession number

C. Description: hardcopy output record from the biology, chemistry and toxicology databases used to summarize batch analysis. Report may contain name of reagents and supplies, beginning and ending dates, material used, formula used for calculations, acceptable or rejected, etc.

D. Retention: two years after close of calendar year in which created per the Clinical Laboratory Improvement Act of 1967, 42 USC 263 (a) - (d)
[1.18.665.4012 NMAC - Rp, 1.18.665.2011 NMAC, 07/15/2010]

1.18.665.4013 EMPLOYEE TRAINING FOLDERS:

A. Program: scientific lab division

B. Maintenance system: alphabetical by employee last name

C. Description: record used to track and maintain instruction, training and proficiency information. Folders may contain proficiencies, analyst log, handwritten notes, training log, training information, work time units, etc.

D. Retention: three years after close of fiscal year in which employee separated
[1.18.665.4013 NMAC - Rp, 1.18.665.2012, 2013 & 2014 NMAC, 07/15/2010]

1.18.665.4014 CHROMATOGRAMS AND CALCULATIONS (RAW DATA SETS):

A. Program: scientific lab division

B. Maintenance system: numerical by SLD accession number

C. Description: hardcopy instrument printout of raw data demonstrating the analytical process used by the instrument that in turn is used by the analyst to confirm by examination and provision of objective evidence that the particular requirements for a specific intended use have been fulfilled. Sets may contain type of specimen, date and time of analysis, completion and review date, raw data, results, calculations, handwritten notes or comments analyst initials or signature and date, etc.

D. Retention:

- (1) **Virology and serology section:** five years after date created
- (2) **General microbiology section:** five years after date created
- (3) **Tuberculosis and mycology section:** five years after date created
- (4) **Metabolic screening section:** five years after date created
- (5) **Environmental microbiology section:** five years after date created
- (6) **Media preparation section:** five years after date created
- (7) **Air and heavy metals section:** 10 years after date created
- (8) **Water chemistry section:** 12 years after date created
- (9) **Organics chemistry section:** 10 years after date created
- (10) **Radiochemistry section:** 10 years after date created
- (11) **Drug section:** 25 years after date created
- (12) **Alcohol section:** 25 years after date created

[1.18.665.4014 NMAC - Rp, 1.18.665.2015 NMAC, 07/15/2010]

1.18.665.4015 CONTROL CHARTS:

A. Program: scientific lab division

B. Maintenance system: chronological by date created

C. Description: hardcopy output record from the analytical instrument used to plot QC parameters for analysis. Charts may contain graphic depiction of known data such as blanks, controls, spike recoveries, and relative percent difference between duplicates, run date and time, efficiency, analyst name, etc.

D. Retention:

- (1) **Virology and serology section:** five years after date created
- (2) **General microbiology section:** five years after date created
- (3) **Tuberculosis and mycology section:** five years after date created
- (4) **Metabolic screening section:** five years after date created
- (5) **Environmental microbiology section:** five years after date created
- (6) **Media preparation section:** five years after date created
- (7) **Air and heavy metals section:** 10 years after date created
- (8) **Water chemistry section:** 12 years after date created
- (9) **Organics chemistry section:** 10 years after date created
- (10) **Radiochemistry section:** 10 years after date created

- (11) **Drug section:** 25 years after date created
- (12) **Alcohol section:** 25 years after date created

[1.18.665.4015 NMAC - Rp, 1.18.665.2016 NMAC, 07/15/2010]

1.18.665.4016 INSTRUMENT USE AND MAINTENANCE LOGS:

- A. Program:** scientific lab division
- B. Maintenance system:** alpha-chronological by instrument name and date
- C. Description:** record used to document performance criteria, repair, part replacement, or other maintenance activity for instruments used in laboratory. Logs may include calibration standards, instrument response to know concentration, maintenance agreement information, service contract information, parts information, repair, date, time, instrument repair person, etc.

D. Retention: five years after instrument no longer in use
[1.18.665.4016 NMAC - Rp, 1.18.665.2017 NMAC, 07/15/2010]

1.18.665.4017 PROFICIENCY TESTING FILES:

- A. Program:** scientific lab division
- B. Maintenance system:** chrono-alphabetical by calendar year and test name
- C. Description:** record used to maintain licensure and certification of staff and culture media. File may contain copy of worksheets, statistics, copy of analytical reports, copy of summary reports, follow-up reports, etc.

D. Retention: two years from the date of participation in testing per 42 USC 263 (a) - (d)
[1.18.665.4017 NMAC - Rp, 1.18.665.2018 NMAC, 07/15/2010]

1.18.665.4018 LABORATORY CERTIFICATION FILES:

- A. Program:** scientific lab division
- B. Maintenance system:** alphabetical by laboratory name
- C. Description:** records concerning the certification information for New Mexico laboratories seeking and attaining certification. File may contain application for certification, renewal applications, lab inspection sheet, correspondence, copies of analytical methods, techniques and equipment, copies of quality control information, copies of approved proficiency testing, copy of certification, etc.

D. Retention:

- (1) **Certified:**
 - (a) **Alcohol section:** 25 years after expiration or revocation of certification
 - (b) **All other sections:** 10 years after expiration or revocation of certification
- (2) **Denied or revoked:** three years after no activities has been shown by laboratory seeking certification.

[1.18.665.4018 NMAC - Rp, 1.18.665.2019 NMAC, 07/15/2010]

1.18.665.4019 MEDIA OR SAMPLE PREPARATION LOGS:

- A. Program:** scientific lab division
- B. Maintenance system:** chrono-alphabetical by preparation date and procedure name
- C. Description:** record used to document procedure for media or sample preparation. Log may contain procedure name, procedure, sample number(s), date prepared and analysts initials, procedure and chemical(s) used to make culture media or reagent(s), lot numbers, expiration dates, cycle number, pH meter records, temperature records for the refrigerators, autoclave information, pH, etc.

D. Retention:

- (1) **Virology and serology section:** five years after date created
- (2) **General microbiology section:** five years after date created
- (3) **Tuberculosis and mycology section:** five years after date created
- (4) **Metabolic screening section:** five years after date created
- (5) **Environmental microbiology section:** five years after date created
- (6) **Media preparation section:** five years after date created
- (7) **Air and heavy metals section:** 10 years after date created
- (8) **Water chemistry section:** 12 years after date created
- (9) **Organics chemistry section:** 10 years after date created
- (10) **Radiochemistry section:** 10 years after date created

- (11) **Drug section:** 25 years after date created
- (12) **Alcohol section:** 25 years after date created

[1.18.665.4019 NMAC - Rp, 1.18.665.2020 NMAC, 07/15/2010]

[Record may be filed in section corresponding case file, see specific section]

1.18.665.4020 CALIBRATION SHEETS:

A. Program: scientific lab division
B. Maintenance system: chronological by date created
C. Description: hardcopy output record from analytical instrument used to check, adjust or standardize systematically the graduation of a quantitative measuring instrument before an analysis. Calibration may contain thermometer placement, thermometer number, reading, reference thermometer number, reading of reference thermometer, correction factor, date, analyst initials, etc.

D. Retention:

- (1) **Virology and serology section:** five years after date created
- (2) **General microbiology section:** five years after date created
- (3) **Tuberculosis and mycology section:** five years after date created
- (4) **Metabolic screening section:** five years after date created
- (5) **Environmental microbiology section:** five years after date created
- (6) **Media preparation section:** five years after date created
- (7) **Air and heavy metals section:** 10 years after date created
- (8) **Water chemistry section:** 12 years after date created
- (9) **Organics chemistry section:** 10 years after date created
- (10) **Radiochemistry section:** 10 years after date created
- (11) **Drug section:** 25 years after date created
- (12) **Alcohol section:** 25 years after date created

[1.18.665.4020 NMAC - Rp, 1.18.665.2021 NMAC, 07/15/2010]

1.18.665.4021 SPECIMEN REFERRAL FILES:

A. Program: virology and serology section
B. Maintenance system: chronological by date delivered
C. Description: hardcopy input document to the biology database used to track referrals made to other laboratories including CDC. File may contain specimen send-out log, copy of analytical request form, external lab results, copy of analytical report, etc.

D. Retention: five years after date delivered per 21 CFR 606.160(d)

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4021 NMAC - Rp, 1.18.665.2070 & 2071 NMAC, 07/15/2010]

1.18.665.4022 - 1.18.665.4100 [RESERVED]

1.18.665.4101 BACTERIOLOGY CASE FILES:

A. Program: general microbiology section
B. Maintenance system: chrono-numeric by calendar year and SLD accession number
C. Description: record used to capture, track, maintain and process information pertaining to bacteriological analysis. File may contain analytical request form, worksheet, analytical report, etc.

D. Retention: five years after analytical report created per 21 CFR 606.160(d)

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4101 NMAC - Rp, 1.18.665.2050 NMAC, 07/15/2010]

1.18.665.4102 - 1.18.665.4200 [RESERVED]

1.18.665.4201 MYCOBACTERIOLOGY CASE FILES:

A. Program: tuberculosis and mycology section

B. Maintenance system: chrono-alphabetical by date and patient name

C. Description: record used to capture, track, maintain and process information pertaining to the biochemical testing of specimens for identification and drug susceptibility. File may contain analytical request form, worksheet, amplification results of tuberculosis, quality control readings, drug susceptibility form, results, chromatogram printouts, etc.

D. Retention: five years after analytical report created per 21 CFR 606.160(d)

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4201 NMAC - Rp, 1.18.665.2120 NMAC, 07/15/2010]

1.18.665.4202 - 1.18.665.4300 [RESERVED]

1.18.665.4301 ENVIRONMENTAL MICROBIOLOGY CASE FILES:

A. Program: environmental microbiology section

B. Maintenance system: chrono-numeric by date and test number

C. Description: record used to capture, track, maintain and process information pertaining to the biological analysis of water samples from community and private wells; dairy samples from milk plants and dairy farms; or food samples. File may contain analytical request form, water analysis sheet, worksheet, analytical report, MPN coliform analysis, etc.

D. Retention: five years after analytical report created per 40 CFR 141.33

[1.18.665.4301 NMAC - Rp, 1.18.665.2140 NMAC, 07/15/2010]

1.18.665.4302 - 1.18.665.4400 [RESERVED]

1.18.665.4401 AUTOCLAVE TAPE:

A. Program: media preparation section

B. Maintenance system: alpha-chronological by instrument name and cycle date

C. Description: hardcopy output record from the analytical instrument. Tape is used to verify cycle efficiency of instrument. Printout may contain date run, exposure time and temperature, sterilization time, daily load number, etc.

D. Retention: five years after instrument no longer in use per 40 CFR 141.33

[1.18.665.4401 NMAC - Rp, 1.18.665.2160 NMAC, 07/15/2010]

1.18.665.4402 - 1.18.665.4500 [RESERVED]

1.18.665.4501 AIR AND HEAVY METALS CASE FILES:

A. Program: air and heavy metals section

B. Maintenance system: numerical by SLD number

C. Description: record used to capture, track, maintain and process information pertaining to the analysis of air and heavy metal specimens. File may contain analytical request form, worksheet, copy of analytical report, etc.

D. Retention: 10 years after testing completed per 40 CFR 141.33

[1.18.665.4501 NMAC - Rp, 1.18.665.2180 NMAC, 07/15/2010]

1.18.665.4502 AIR AND HEAVY METALS ELEMENT PRINTOUT FILES:

A. Program: air and heavy metals section

B. Maintenance system: alpha-chronological by element name and date

C. Description: record of finished data for single element analytical techniques. Printout may contain operator name, date and batch number, handwritten notes, raw data, charts, worksheet, etc. This record only generated until 2000.

D. Retention: 10 years after date created per 40 CFR 141.33

[1.18.665.4502 NMAC - Rp, 1.18.665.2181 NMAC, 07/15/2010]

1.18.665.4503 DIGESTION LOGS:

A. Program: air and heavy metals section

B. Maintenance system: chrono-numerical by test date and sample number

C. **Description:** hardcopy input record to the chemistry database used to document the rate a sample dissolves in acid. Log may contain date and analyst initials, heavy metal (HM) number, digest date, etc.

D. **Retention:** 10 years after testing completed per 40 CFR 141.33
[1.18.665.4503 NMAC - Rp, 1.18.665.2182 NMAC, 07/15/2010]

1.18.665.4504 METHOD VALIDATION DATA FILES:

A. **Program:** air and heavy metals section
B. **Maintenance system:** alphabetical by method name
C. **Description:** record used to validate accuracy of media upon inception of use. File may contain method name, date, auto run date, raw data, graph plots, etc.

D. **Retention:** 10 years after testing completed per 40 CFR 141.33
[1.18.665.4504 NMAC - Rp, 1.18.665.2183 NMAC, 07/15/2010]

1.18.665.4505 - 1.18.665.4600 [RESERVED]

1.18.665.4601 RADIOCHEMISTRY CASE FILES:

A. **Program:** radiochemistry section
B. **Maintenance system:** numerical by SLD accession number
C. **Description:** record used to capture, track, maintain and process information pertaining to environmental radio analysis. File may contain analytical request form, worksheet, calculation sheets, information on sample processing, quality control sheet, notations, memoranda, handwritten notations, analytical report, etc.

D. **Retention:** 10 years after testing completion per 40 CFR 141.33
E. **Confidentiality:** Portions of this record are confidential pursuant, but not limited to 15 USC 2661.306.
[1.18.665.4601 NMAC - Rp, 1.18.665.2200 NMAC, 07/15/2010]

1.18.665.4602 - 1.18.665.4700 [RESERVED]

1.18.665.4701 WATER CHEMISTRY CASE FILES:

A. **Program:** water chemistry section
B. **Maintenance system:** numerical by SLD accession number
C. **Description:** record used to capture, track, maintain and process information pertaining to the chemical analysis of water. File may contain notebooks, analytical report, analytical request form, raw data, calculations, worksheet, information on sample processing, quality control documentation, notations, memoranda, amended report, etc.

D. **Retention:** 12 years after close of calendar year in which created per 40 CFR 142.14 (6)
[1.18.665.4701 NMAC - Rp, 1.18.665.2230 NMAC, 07/15/2010]

1.18.665.4702 - 1.18.665.4800 [RESERVED]

1.18.665.4801 ORGANIC CHEMISTRY CASE FILES:

A. **Program:** organic chemistry section
B. **Maintenance system:** numerical by SLD accession number
C. **Description:** record used to capture, track, maintain and process information pertaining to the analysis of environmental contaminants. File may contain analytical request form, worksheet, analytical report, notations, memoranda, QC sheets, etc.

D. **Retention:** 10 years after testing complete 40 CFR 141.33
E. **Confidentiality:** Portions of this record are confidential pursuant, but not limited to 15 USC 2661.306.
[1.18.665.4801 NMAC - Rp, 1.18.665.2250 NMAC, 07/15/2010]

1.18.665.4802 - 1.18.665.4900 [RESERVED]

1.18.665.4901 TOXICOLOGY CASE FOLDERS:

A. **Program:** drug and alcohol sections
B. **Maintenance system:** numerical by SLD accession number

C. Description: record used to track, maintain and process information pertaining to specimens from death or criminal investigations involving drugs or alcohol. File may contain analytical request form, evidence description and review form, toxicology case telephone log, copy of analytical request form, copy of analytical report, toxicology analysis summary sheet, raw data sheets, instrument printouts, copies of New Mexico DRE and OMI toxicology report, copies of external lab reports, internal chain of custody form, etc.

D. Retention: 25 years after analytical report created

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4901 NMAC - Rp, 1.18.665.2270, 2271, 2272, 2273 & 2274 NMAC, 07/15/2010]

1.18.665.4902 TOXICOLOGY SPECIMEN TRANSMITTAL FILES:

A. Program: drug and alcohol sections

B. Maintenance system: chronological by year and date printed

C. Description: record used to track and maintain receipt of specimens from OMI. File may contain transmittal forms, handwritten notes, etc.

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

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4902 NMAC - Rp, 1.18.665.2275 & 2276 NMAC, 07/15/2010]

1.18.665.4903 SAVE FOR COURT FILES:

A. Program: drug and alcohol sections

B. Maintenance system: chronological by date received

C. Description: record used to track specimens that are mandated by the judicial system to be retained beyond their destruction date. File may contain copy of Save For Court Cases Listing, correspondence requesting extended specimen retention, handwritten notes, memoranda, etc.

D. Retention: one year after latest request

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4903 NMAC - Rp, 1.18.665.2277 NMAC, 07/15/2010]

1.18.665.4904 DESTROYED SAMPLE CORRESPONDENCE FILES:

A. Program: drug and alcohol sections

B. Maintenance system: chronological by date destroyed

C. Description: record used to track destroyed specimens that were mandated by the judicial system to be held beyond their retention. File may contain copy of save for court cases listing, copy of original correspondence sent to judicial system indicating date specimen destroyed, etc.

D. Retention: five years after sample destroyed

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4904 NMAC - Rp, 1.18.665.2278 & 2279 NMAC, 07/15/2010]

1.18.665.4905 OMI FROZEN STORAGE AND DESTRUCTION LOGS:

A. Program: drug and alcohol sections

B. Maintenance system: chronological by month

C. Description: hardcopy output record from the OMI database used to track the inventory of specimens tested, moved to frozen storage and date destroyed. Log may contain OMI number, specimen name, specimen number, date, etc.

D. Retention: five years after specimen destroyed

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4905 NMAC - Rp, 1.18.665.2280 NMAC, 07/15/2010]

1.18.665.4906 - 1.18.665.4950 [RESERVED]

1.18.665.4951 DISCOVERY ORDER FILES:

- A. **Program:** alcohol section
 - B. **Maintenance system:** chrono-alphabetical by calendar year and subject name
 - C. **Description:** record used to track and maintain requests for evidential documentation by judicial system. File may contain subpoena duces tecum, discovery order, copies of requested documents, correspondence, handwritten notes, copy of certified mail receipt, etc.
 - D. **Retention:** seven years after close of calendar year in which created
 - E. **Confidentiality:** Portions of this record are confidential pursuant, but not limited to Section 14-2-1 NMSA 1978.
- [1.18.665.4951 NMAC - Rp, 1.18.665.2300 NMAC, 07/15/2010]

1.18.665.4952 SIMULATOR STANDARDS AND PROFICIENCY FILES:

- A. **Program:** alcohol section
 - B. **Maintenance system:** chrono-alphabetical by calendar year and agency name
 - C. **Description:** hardcopy input document to the direct breath alcohol testing instrument database used to record and track quality control data for breathalyzers used by law enforcement agencies. File may contain on-site breath test inspection sheet, worksheet, spectrometer printout, gas-chromatograph printout, instrument maintenance and repair record, breath alcohol proficiency report, etc.
 - D. **Retention:** 10 years after close of calendar year in which created
- [1.18.665.4952 NMAC - Rp, 1.18.665.2301 & 2302 NMAC, 07/15/2010]

1.18.665.4953 ON-SITE INSTRUMENT INSPECTION SHEETS:

- A. **Program:** alcohol section
 - B. **Maintenance system:** alpha-numerical by agency name and inspection date
 - C. **Description:** hardcopy input document to the direct breath alcohol testing instrument database used to document the inspection, maintenance and repair of breath test instruments. Sheet may contain instrument name, instrument serial number, location, inspector name, date, diagnostic analysis information, results, comments, etc.
 - D. **Retention:** five years after instrument no longer in use
- [1.18.665.4953 NMAC - Rp, 1.18.665.2303 NMAC, 07/15/2010]

1.18.665.4954 DIRECT BREATH ALCOHOL TESTING INSTRUMENT LOGS:

- A. **Program:** alcohol section
 - B. **Maintenance system:** chrono-alphabetical by calendar year and agency name
 - C. **Description:** hardcopy output record from the instrument used by specific agencies to perform breath alcohol testing. Log is used to track proficiency standards and instrument maintenance. Log may contain instrument and simulator serial numbers, page number, testing agency name, subject name, date of birth, driver's license or social security number, gender, citation number, testing officer name, arresting agency name, date and time, simulator temperature, test results, etc.
 - D. **Retention:** 10 years after close of calendar year in which created
 - E. **Confidentiality:** Record contains confidential information per Section 14-2-1 NMSA 1978.
- [1.18.665.4954 NMAC - Rp, 1.18.665.2304 NMAC, 07/15/2010]

1.18.665.4955 BREATHALYZER OPERATOR CERTIFICATION TEST:

- A. **Program:** alcohol section
 - B. **Maintenance system:** chrono-alphabetical by test date and officer name
 - C. **Description:** hardcopy input record to the direct breath alcohol testing instrument database used to test law enforcement officers for certification in breathalyzer testing. Test may include answer sheet containing officer name, date and signature, class location, instructor name, multiple choice questions, fill in the blanks, matching words, true or false questions, etc.
 - D. **Retention:** 30 days after test date
- [1.18.665.4955 NMAC - Rp, 1.18.665.2305 NMAC, 07/15/2010]

1.18.665.4956 CERTIFICATION EXAMINATION LIST:

- A. **Program:** alcohol section
- B. **Maintenance system:** chrono-alphabetical by exam date and officer name

C. Description: record of officers requesting certification and outcome. File may contain date of exam, user name, instrument code, certification number, agency, certification date, instrument type, pass or fail information, etc.

D. Retention: 25 years after certification expires
[1.18.665.4956 NMAC - Rp, 1.18.665.2306 NMAC, 07/15/2010]

1.18.665.4957 BREATH ALCOHOL TEST OPERATOR CERTIFICATE:

A. Program: alcohol section

B. Maintenance system: not applicable

C. Description: record delivered to certified breath alcohol test operator. Certificate may contain officer name, instrument(s) certified in, certification number, date of issue, date of expiration, alcohol section supervisor signature, etc.

D. Retention: delivered to officer
[1.18.665.4957 NMAC - Rp, 1.18.665.2307 NMAC, 07/15/2010]

1.18.665.4958 BREATH ALCOHOL INSTRUCTOR FILES:

A. Program: alcohol section

B. Maintenance system: alphabetical by agency name

C. Description: record used to maintain information regarding breath alcohol operator instructor and training activities. File may contain training schedule, copy of exam used, copy of breath alcohol operator certificate, correspondence, memorandum, handwritten notes, etc.

D. Retention: 10 years after certification expires
[1.18.665.4958 NMAC - Rp, 1.18.665.2308 NMAC, 07/15/2010]

1.18.665.4959 BREATH ALCOHOL OPERATOR INSTRUCTOR CERTIFICATE:

A. Program: alcohol section

B. Maintenance system: not applicable

C. Description: record delivered to certified breath alcohol operator instructor used to verify certification. Certificate may contain instructor name, instrument certified in, date of issue and expiration date, SLD division director signature, authorized SLD representative,

D. Retention: delivered to certified instructor
[1.18.665.4959 NMAC - Rp, 1.18.665.2309 NMAC, 07/15/2010]

1.18.665.4960 PARENTAL RESPONSIBILITY ACT FILES:

A. Program: alcohol section

B. Maintenance system: chronological by calendar year and date received

C. Description: record of alcohol operator, key operator or instructor that have been denied or revoked certification for alcohol operator, key operator or instructor pursuant to the Parental Responsibility Act per Section 40-5A-13 NMSA 1978. File may contain copy of certified list of obligors, copy of certified letters to revoked or denied officers, copy of report sent to the children's youth and family department, etc.

D. Retention: one year after close of calendar year in which created
[1.18.665.4960 NMAC - Rp, 1.18.665.2310 NMAC, 07/15/2010]

1.18.665.4961 COBRA COMMUNICATIONS REPORTS:

A. Program: alcohol section

B. Maintenance system: chrono-numerical by date created and instrument serial number

C. Description: hardcopy output record from the COBRA database used to verify accuracy of information downloaded from agencies to the COBRA database. Report may contain instrument serial number(s), activity, status, date printed, handwritten notes, analyst initials, etc.

D. Retention: one year after close of calendar year in which created
[1.18.665.4961 NMAC - Rp, 1.18.665.2311 NMAC, 07/15/2010]

1.18.665.4962 APD REPORT OF BLOOD ALCOHOL ANALYSIS:

A. Program: alcohol section

B. Maintenance system: chronological by date received

C. Description: record of blood alcohol analysis performed by the Albuquerque police department used as input to the APD bloods database. Analysis may contain arresting officer name, date, department, arrest time, remarks, blood drawer's name, title and employer, date and time drawn, witness name, donors name, address, gender, weight, date of birth, social security number, place of arrest, driver's license number, reason subject stopped, analyzed by name, reviewer name, etc.

D. Retention: one year after date received

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4962 NMAC - Rp, 1.18.665.2312 NMAC, 07/15/2010]

1.18.665.4963 IMPLIED CONSENT SUPPLY LOGS:

A. Program: alcohol section

B. Maintenance system: chrono-alphabetical by date received and agency name

C. Description: record used to track and bill for implied consent supplies that are requested and issued to agencies. Log may contain date of request, agency name, name of requestor, item(s) requested, date delivered, sent by name, pending items, etc. Log is also used for billing purposes.

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

[1.18.665.4963 NMAC - Rp, 1.18.665.2313 NMAC, 07/15/2010]

1.18.665.4964 IMPLIED CONSENT LOGS:

A. Program: alcohol section

B. Maintenance system: chrono-alphabetical by date received and agency name

C. Description: record of tests run to measure blood alcohol content of persons arrested for drunk driving as mandated by the Implied Consent Act per Section 66-8-105 through 66-8-112 NMSA 1978. Log may contain subject name, municipality, type of analysis, specimen type, remarks, etc.

D. Retention: 25 years after date received

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4964 NMAC - Rp, 1.18.665.2314 NMAC, 07/15/2010]

1.18.665.4965 - 1.18.665.4974 [RESERVED]

1.18.665.4975 MONITOR STUDIES FILES:

A. Program: sld, quality control office

B. Maintenance system: chronological by calendar year and date received

C. Description: record used to monitor and track quality assurance problems and solutions in the various sections. File may contain monitor sheets, remedial action form, complaints and copy of response, correspondence, memorandum, etc.

D. Retention: two years after close of calendar year in which created per the Clinical Laboratory Improvement Act of 1967, 42 USC 263 (a) - (d)

[1.18.665.4975 NMAC - Rp, 1.18.665.2330, 2331 & 2332 NMAC, 07/15/2010]

1.18.665.4976 QUALITY ASSURANCE PLAN:

A. Program: sld, quality control office

B. Maintenance system: chronological by calendar year

C. Description: record used by each bureau to provide a baseline of consistency for the analytical process in order to ensure data accountability and reliability. Plan may contain table of contents, preface, introduction, professional qualifications, program description, organizational chart, personnel requirements, sample handling, collection and custody guidelines, chain of custody policy and procedures, calibration and data validation procedures, preventive maintenance contracts, equipment and instrument inventory, corrective action policies, computer facilities, appendices, exhibits, glossary, references, etc.

D. Retention: 10 years after close of calendar year in which created per 21 CFR 141.33

[1.18.665.4976 NMAC - Rp, 1.18.665.2333 NMAC, 07/15/2010]

1.18.665.4977 CHEMICAL WASTE DISPOSAL FILES:

A. Program: sld, quality control office

- B. Maintenance system:** chronological by calendar year and date received
- C. Description:** record used to track the disposal of chemicals and hazardous waste. File may contain uniform hazardous waste manifest sheet and continuation sheet, non hazardous waste manifest sheet, correspondence, facsimile, etc.
- D. Retention:** 10 years after close of calendar year in which created per 21 CFR 141.33
[1.18.665.4977 NMAC - Rp, 1.18.665.2334 NMAC, 07/15/2010]

1.18.665.4978 QA AND QC SUMMARY FILES:

- A. Program:** quality control office
- B. Maintenance system:** chrono-alphabetical by calendar year and section name
- C. Description:** record used to summarize and record statistical proficiency information. File may contain proficiency summary data that is graphed by section
- D. Retention:** two years after close of calendar year in which created per the Clinical Laboratory Improvement Act of 1967, 42 USC 263 (a) - (d)
[1.18.665.4978 NMAC - Rp, 1.18.665.2335 NMAC, 07/15/2010]

1.18.665.4979 ANNUAL PROFICIENCY SUMMARY:

- A. Program:** SLD, quality control office
- B. Maintenance system:** chronological by calendar year
- C. Description:** record used to report status of work performed in the laboratory. Summary may contain section summaries, bureau summaries, tables and graphs, etc.
- D. Retention:** 10 years after date created per 40 CFR 141.33
[1.18.665.4979 NMAC - Rp, 1.18.665.2336 NMAC, 07/15/2010]

1.18.665.4980 STANDARD OPERATING PROCEDURES:

- A. Program:** SLD, quality control office
- B. Maintenance system:** alpha-chronological by standard name and date received
- C. Description:** record developed in accordance with the requirement of applicable regulatory programs used to standardize described procedures or actions within thoroughly prescribed techniques and steps that are officially approved as the method for performing certain routine or repetitive tasks. Procedures may include instrument instructions or published methods, scope and application, summary method, definitions, sample handling and preservation calibrations and calculations, method performance, method name, procedure, effective date, section supervisor's signatures, bureau chief signature and date reviewed, etc.
- D. Retention:** 10 years after procedure or action no longer in use per 40 CFR 141.33
[1.18.665.4980 NMAC - Rp, 1.18.665.2337 NMAC, 07/15/2010]

1.18.665.4981 - 1.18.665.4990 [RESERVED]

1.18.665.4991 BIOLOGY DATABASE:

- A. Program:** SLD information systems
- B. Maintenance system:** numerical by primary key
- C. Description:** database used to capture, track, maintain and process related data pertaining to the biological analysis of specimens or samples. Database may contain specimen SLD accession numbers, date of samples, dates received, types of specimens, patient or source names, addresses or locations, telephone numbers, genders, race or ethnic groups, date of births, zip codes, social security or medicaid numbers, demographic information, physicians or referral sources, submitter names, submitter codes, user codes, clinician names and telephone numbers, dates specimens collected, specimen sources and types, QC information, etc.
- D. Retention:** five years after date entered
- E. Confidentiality:** Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.
[1.18.665.4991 NMAC - Rp, 1.18.665.2350 NMAC, 07/15/2010]

1.18.665.4992 CHEMISTRY DATABASE:

- A. Program:** SLD information services
- B. Maintenance system:** numerical by primary key

C. Description: database used to capture, track, maintain and process related data pertaining to the chemical analysis of specimens or samples. Database may contain specimens collected, specimen sources and types, WSS codes and names, collector names, sample locations, dates and times collected, counties, types of systems, reasons for sampling, producer names or codes, brand names, types of products, priority numbers, user site identification numbers, facility locations, city names, sample locations, dates and times, collected by, names and addresses of facilities to report to, field data, sample purposes and types, preservation(s), lab remarks, latitude and longitude, sampling information, field dates, sample sources, sample types, preservation, preparations of sample for analysis, analysis requested, remarks, QC information, etc.

D. Retention:

(1) **Air and heavy metals section:** 10 years after date entered

(2) **Water chemistry section:** 12 years after date entered

(3) **Organics chemistry section:** 10 years after date entered

(4) **Radiochemistry section:** 10 years after date entered

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4992 NMAC - Rp, 1.18.665.2351 NMAC, 07/15/2010]

1.18.665.4993 TOXICOLOGY DATABASE:

A. Program: SLD information services

B. Maintenance system: numerical by primary key

C. Description: database used to track, maintain and process related data pertaining to specimens from death or criminal investigations involving drugs or alcohol. Database may contain subject's demographic information, sample types, blood alcohol or drug analysis information, analytical information, raw data, calculations, chain of custody information, QC information, etc.

D. Retention: 25 years after date entered

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4993 NMAC - Rp, 1.18.665.2352 NMAC, 07/15/2010]

1.18.665.4994 DIRECT BREATH ALCOHOL TESTING INSTRUMENT DATABASE:

A. Program: SLD information services

B. Maintenance system: numerical by primary key

C. Description: database used to track and maintain related data from agencies that utilize breath alcohol testing instruments. Database may contain instruments names, serial numbers, agency names, addresses, telephone numbers, contact person names and telephone numbers, certified officer names, certified instructor names, dates of certification, dates certification expire, types of analysis, subjects tested names, addresses and telephone numbers, specimen types, analytical test results, quality control data, etc.

D. Retention: 25 years after date entered

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4994 NMAC - Rp, 1.18.665.2353 NMAC, 07/15/2010]

1.18.665.4995 APD BLOODS DATABASE:

A. Program: SLD information services

B. Maintenance system: numerical by primary key

C. Description: database serves as the statistical repository for blood alcohol analysis performed by the Albuquerque police department. Database may contain arresting officer's names, dates, departments, arrest times, remarks, blood drawer's names, titles and employers, dates and times drawn, witnesses names, donor's name, addresses, genders, weights, date of births, social security numbers, places of arrest, driver's license numbers, reason subjects stopped, analyzed by names, reviewer's names, etc.

D. Retention: 25 years after date entered

E. Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978.

[1.18.665.4995 NMAC - Rp, 1.18.665.2354 NMAC, 07/15/2010]

1.18.665.4996 COBRA DATABASE:

- A. **Program:** SLD information services
- B. **Maintenance system:** numerical by primary key
- C. **Description:** database used to gather and maintain quality control information on all breath test instruments. Database may contain instrument sign-on number, instrument status, download initiation time and date, calibration information, diagnostic information, errors, download completion time, etc. Data is electronically transferred into database by modem from all agencies that use breathalyzer test instruments.

D. **Retention:** 25 years after date entered
 [1.18.665.4996 NMAC - Rp, 1.18.665.2355 NMAC, 07/15/2010]

1.18.665.4997 - 1.18.665.4999 [RESERVED]

1.18.665.5000 PATIENT ENROLLMENT FILES:

- A. **Program:** medical cannabis
- B. **Maintenance system:** chronological by date, then alphabetical by surname
- C. **Description:** records documenting application, issuance and enrollment history of qualified individuals for the purpose to allow the beneficial use of medical cannabis. Files may include *enrollment, re-enrollment information form*, medical certification form, *release of medical information form*, copy of photo identification card or driver's license, medical health history records, *information change or replacement card form*, correspondence, etc.

D. **Retention:**
 (1) **Enrollment Approved:** five years from date of enrollment expiration or revocation
 (2) **Withdrawn, denied or expired application:** three years from date of withdrawal, denial or expiration of application

E. **Confidentiality:** Portions of this record may be confidential.
 [1.18.665.5000 NMAC - N, 07/29/2013]

1.18.665.5001 CAREGIVER ENROLLMENT FILES:

- A. **Program:** medical cannabis
- B. **Maintenance system:** chronological by date, then alphabetical by surname
- C. **Description:** records documenting application, issuance and enrollment history of qualified individuals for the purpose of providing and monitoring the use of medical cannabis in a regulated system. Files may include *caregiver information form*, *release of medical information to caregiver form*, parental consent form, copy of photo identification card or driver's license, federal background check, correspondence, etc.

D. **Retention:**
 (1) **Enrollment Approved:** five years from date of enrollment expiration or revocation
 (2) **Withdrawn, denied or expired application:** three years from date of withdrawal, denial or expiration of application

E. **Confidentiality:** Portions of this record may be confidential.
 [1.18.665.5001 NMAC - N, 07/29/2013]

1.18.665.5002 PRODUCER LICENSURE FILES:

- A. **Program:** medical cannabis
- B. **Maintenance system:** chronological by date then alphabetical by surname
- C. **Description:** records documenting application, issuance and licensure history of qualified entities for the purposes of producing medical cannabis for distribution to enrolled patients. Files may include organizational information and materials, production and distribution information and materials, facility information, educational methods and materials, sales records, policies and procedures, assessment report, personnel records, correspondence, etc.

D. **Retention:**
 (1) **License issued:** five years from date of license expiration or revocation
 (2) **Withdrawn, denied or expired application:** three years from date of withdrawal, denial or expiration of application

E. **Confidentiality:** Portions of this record may be confidential.
 [1.18.665.5002 NMAC - N, 07/29/2013]

1.18.665.5003 PERSONAL PRODUCTION LICENSURE FILES:

A. Program: medical cannabis
B. Maintenance system: chronological by date then alphabetical by surname
C. Description: records documenting application, issuance and licensure history of a qualified patient or a qualified patient's primary caregiver to permit a qualified patient or primary caregiver to produce medical cannabis for the qualified patient's personal use. Files may include personal production license application, location information, proof of residence, written plans and acknowledgements, etc.

D. Retention:
(1) License issued: five years from date of license expiration or revocation
(2) Withdrawn, denied or expired application: three years from date of withdrawal, denial or expiration of the application.

E. Confidentiality: Portions of this record may be confidential.
[1.18.665.5002 NMAC - N, 07/29/2013]

HISTORY OF 1.18.665 NMAC:

Pre-NMAC History: Material in this part was derived from that previously filed with the Commission of Public Records - State Records Center and Archives under:

SRC Rule 67-7, New Mexico Commission on Alcoholism, Records Retention and Disposition Schedule, filed 6/20/67;

SRC Rule 73-1, Records Retention and Disposition Schedule for Commission on Alcoholism, filed 2/5/73;

SRC Rule No. 83-08, Records Retention and Disposition Schedule for Health and Environment Department, Behavioral Health Services Division, filed 4/29/83;

SRC Rule No. 83-13, Records Retention and Disposition Schedule for Health and Environment Department, Health Services Division, filed 4/29/83 and amended 5/23/86, 12/22/88, 5/24/91;

SRC Rule No. 83-12, Records Retention and Disposition Schedule for Health and Environment Department, Health Planning and Development Division, filed 5/31/83;

SRC Rule No. 85-02, Records Retention and Disposition Schedule for Health and Environment Department, Administrative Offices, filed 12/14/84;

SRC Rule No. 86-22, Records Retention and Disposition Schedule for Health and Environment Department, Behavioral Health Services Division, filed 12/10/86; and

SRC Rule No. 92-11, Records Retention and Disposition Schedule for Department of Health, Los Lunas Hospital and Training School, filed 4/11/94.

History of Repealed Material:

1 NMAC 3.2.93.665, Executive Records Retention and Disposition Schedule, Department of Health - repealed 4/9/2000;

1.18.665.730 - 740 NMAC, Los Lunas Center for Persons with Developmental Disabilities, Repealed, 1/6/2002;

1.18.665.281 - 583 NMAC, Scientific Laboratory Division, Repealed, 7/22/2002;

1.18.665 NMAC, ERRDS, Department of Health, filed 12/07/2001 - Repealed, 07/15/2010.