

## 343 – Retiree Health Care Authority File Plan

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

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

### **343-001 PARTICIPATION COMPLAINT FILE/APPEAL FILE:**

**Division/unit:** Retiree health care authority

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

**Record series content:** Records concerning complaints or appeals regarding retiree health care benefits. File may contain complaint, status, correspondence, referrals, responses, resolutions, issues, answer etc.

**Classification:** 1.21.2.142 NMAC, Complaints

**File closure:** Close of calendar year in which resolved  
[New - 03/31/2021; A - 05/19/2021]

### **343-002 DELINQUENT EMPLOYER AND LATE FEE PENALTY REPORT, MONTHLY:**

**Division/unit:** Retiree health care authority

**Maintenance system:** Chronological by year

**Record series content:** Report concerning monthly report on employer's late fee penalties. Report may show today's date, delinquency month, third party administrator, account number, delinquent entity name, month, period, days late, total contribution late fee, accessed late fee, totals, etc.

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

**File closure:** Close of fiscal year in which created  
[New - 03/31/2021; A - 05/19/2021]

### **343-003 DELINQUENT EMPLOYER AND LATE FEE PENALTY REPORT, FOLLOW UP/ACTION FILE: FILE:**

**Division/unit:** Retiree health care authority

**Maintenance system:** Chronological by year, then alphabetical by employer name

**Record series content:** Records concerning correspondence and actions regarding employers on delinquent and late fee penalties. File may contain reports, correspondence, memoranda, etc.

**Classification:** 1.21.2.105 NMAC, Correspondence - General

**File closure:** Close of calendar year in which created  
[New - 05/19/2021]

### **343-004 INSURANCE CARRIER/PROVIDER REPORTS:**

**Division/unit:** Retiree health care authority

**Maintenance system:** Chronological by year, then alphabetical by employer name

**Record series content:** Record concerning claim costs, trends and demographic profile. Report may show date, carrier or provider name, claimant name, membership identification number, payee, employee or dependent, check number, drug name, drug days or quantities, actual costs, dispense fee, co-payment, subsidized amounts, etc.

**Classification:** 1.21.2.118 NMAC, Reports - Statistical

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

[New - 03/31/2021; A - 05/19/2021]

**343-005            THIRD PARTY ADMINISTRATOR FILE:**

**Division/unit:** Retiree health care authority

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

**Record series content:** Record concerning claim costs, trends and demographic profile. Files may contain retiree enrollment form, employer or employee batching, financial documentation, etc.

**Classification:** 1.21.2.202 NMAC, Enrollment - Benefits

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

[New - 03/31/2021; A - 05/19/2021]

**343-006            ENROLLMENT FILES:**

**Division/unit:** Retiree health care authority

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

**Records series content:** Records concerning enrollment in retirement healthcare benefits. File may contain application, birth certificate, marriage certificate, work history, dependents, disability documents, loss of coverage, proof of coverage, etc.

**Classification:** 1.21.2.202 NMAC, Enrollment - Benefits

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

**Confidentiality:** Portions of record may be confidential pursuant to HIPPA and 5 USC, Section 552a (i.e., social security number)

[New - 05/19/2021]