

## 630 – Human Services Department File Plan

This file plan was developed to be a guide for Human Services Department 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 Human Services Department. 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.

### **630-001 FAIR HEARINGS CASE FILES:**

**Division/unit:** Fair hearings

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

**Record series content:** Record of hearings conducted by HSD hearing officers to review HSD actions which may have adversely affected applicants or recipients of food stamp, medical or financial public assistance programs. File may include notice of request for fair hearing, summary of evidence request, late summary of evidence request, acknowledgement letter, history profile, scheduling notice, audio recordings, exhibits, recommendations, fair hearing decision, fair hearing decision notice, fair hearings appeal, investigation reports, correspondence, etc.

**Classification:** 1.21.2.632 NMAC, Hearings and Appeals

**File closure:** Date of final decision

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

### **630-002 FAIR HEARINGS DATABASE:**

**Division/unit:** Fair hearings

**Maintenance system:** Numerical by primary key

**Record series content:** Database used to track status of fair hearings cases (i.e., denial, reduction and closure.) of client benefits for food stamp, medical or financial public assistance programs. Data may include case number, brief history profile, request date; scheduling date, recommendations, fair hearing decision and notice, fair hearings appeal, comments, etc.

**Classification:** 1.21.2.632 NMAC, Hearings and Appeals

**File closure:** Date of final decision

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

### **630-003 to 630-010**

### **630-011 FRAUD INVESTIGATION FILES:**

**Division/unit:** Investigations

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

**Record series content:** Records concerning investigations conducted by the office of inspector general into alleged fraudulent activities committed by clients, vendors, providers or state employees in connection with the public assistance programs administered by the department. File may include

investigation referral, financial documents (i.e., paychecks copies, income tax return copies, etc.), ISD printout, audio or visual recordings of activity, NCIC printout, application copy, witness statement, investigation report, district attorney final disposition, correspondence, etc.

**Classification:** 1.21.2.634 NMAC, Investigations - Legal Matter Management

**File closure:** Date case closed

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

### **630-012 FLEEING FELON FILES:**

**Division/unit:** Investigations

**Maintenance system:** Chronological by date, then alphabetical by client surname

**Record series content:** Records concerning investigations of benefit recipients classified as fleeing felons and who have existing warrants issued by law enforcement agencies. Fleeing felons are subject to benefit disqualification pending investigation. File may include ISD printout, NCIC printout, warrant copies, application copy, correspondence, etc.

**Classification:** 1.21.2.634 NMAC, Investigations - Legal Matter Management

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

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

### **630-013 INTAKE INVESTIGATION DATABASE:**

**Division/unit:** Investigations

**Maintenance system:** Numerical by primary key

**Record series content:** Database is used to maintain information on investigations conducted by the office of inspector general into alleged fraudulent activities committed by clients, vendors, providers, or state employees in connection with public assistance programs administered by the department. Data may include investigation referral, name, address, DOB, SSN, history profile data, NCIC information, investigation report data, district attorney final disposition, comments, etc.

**Classification:** 1.21.2.634 NMAC, Investigations - Legal Matter Management

**File closure:** Date case closed

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

### **630-014 to 630-020**

#### **630-021 CLIENT CLAIM CASE FILES:**

**Division/unit:** Restitution services

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by client surname

**Record series content:** Records maintained on clients who received overpayments of public assistance benefits and HSD efforts to collect the overpayments. File may include overpayment form, debtor or claim record, benefit repayment agreement, court order copy, correspondence, etc.

**Classification:** 1.21.2.305 NMAC, Collections

**File closure:** Close of federal fiscal year after date claim closed

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.  
[New - 03/31/2021]

**630-022 RESTITUTION SERVICES REPORTS:**

**Division/unit:** Restitution services

**Maintenance system:** Chronological by date

**Record series content:** Reports generated from HSD databases which provide information to the restitution bureau and are used to track and collect overpayments due to HSD by clients, contractors and vendors. Reports contain information on claim status, eligibility status, billing, collections, benefits, etc. Reports include *claims collections system delinquencies report, claims for collection report, additions to claims database printout, recoupments and offsets recorded on the claim system, claim reestablishments control report, new fraud (S33) claims added to database, possible new fraud (S34) claims added to database, list of claim debtors that have at least one suspended claim, food and nutrition service 209 report, payments on claims with cause 58 for month ending, monthly exception program change report, monthly exception accounts receivable register, status of claims against households report, aging report of accounts receivable, code 29 payment for fiscal year sorted by payment date, debtors without claims by county report, food stamp disqualified recipient report, food and nutrition service 524 disqualified recipients, overpaid (over collected) balances, claim status report a1 for the month, claim status report b1 for the month, exception accounts receivable register, summary of accounts receivable register, claims collection printout by first letter of client's last name, debtors without claims, transfer detail report of transfers out, claims system transfer analysis report, interim issuance register EBT, EBT daily purged pending accounts, daily aging report summary, state tax intercept collections, weekly update records to taxation and revenue exceptions, etc.*

**Classification:** 1.21.2.310 NMAC, Reports - Accounting

**File closure:** Close of federal fiscal year after date report created

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.  
[New - 03/31/2021]

**630-023 CLAIMS DATABASE:**

**Division/unit:** Restitution services

**Maintenance system:** Numerical by primary key

**Record series content:** Database maintains information on the collection of overpayments of public assistance benefit claims and court ordered restitution collections. Data may include debtor name, debtor SSN, client name, client SSN, address, telephone number, county identifier, program identifier, HSD staff identifier, claim amount, payment amount, claim balance, payment due, date notices sent, number of notices sent, status of claim, etc.

**Classification:** 1.21.2.305 NMAC, Collections

**File closure:** Close of federal fiscal year after claim case closed

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.  
[New - 03/31/2021]

**630-024 FOOD STAMP DISQUALIFICATION HEARING FILES:**

**Division/unit:** Restitution services

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by client surname

**Record series content:** Records of administrative hearings concerning the denial or reduction of a client's food stamp benefits. File may include administrative disqualification hearing form, hearing request form, hearing decision form, debtor claim record, client identification copy, client application and supporting documentation copies, fraud investigation referral, EBT system printout, correspondence, etc.

**Classification:** 1.21.2.632 NMAC, Hearings and Appeals

**File closure:** Close of federal fiscal year after final decision rendered

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 (i.e., safeguarding information for the financial assistance programs).

[New - 03/31/2021]

#### **630-025 ADMINISTRATIVE HEARING DATABASE:**

**Division/unit:** Restitution services

**Maintenance system:** Numerical by primary key

**Record series content:** Database maintains information regarding disqualification hearings held to determine eligibility of clients receiving food stamps. Data may include hearing request data, hearing date, client information (i.e., name, DOB, SSN, address, financial and medical status, etc.), hearing decision, hearing appeals data, disqualification period, notice of waiver, comments, etc.

**Classification:** 1.21.2.632 NMAC, Hearings and Appeals

**File closure:** Close of federal fiscal year after final decision rendered

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

#### **630-026 INTERIM ASSISTANCE REIMBURSEMENT FILES:**

**Division/unit:** Restitution services

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by client surname, then numerical by social security number

**Record series content:** Records concerning reimbursement to HSD from eligible recipients granted interim assistance for supplemental security income. File may include IAR application (i.e., client's name, address, SSN, program identifier number, etc.), IAR authorization for reimbursement form, notice of receipt of payment from SSI, copy of SSI check, IAR reimbursement calculations, correspondence, etc.

**Classification:** 1.21.2.305 NMAC, Collections

**File closure:** Date reimbursement made

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

#### **630-027 INTERIM ASSISTANCE REIMBURSEMENT DATABASE:**

**Division/unit:** Restitution services

**Maintenance system:** Numerical by primary key

**Record series content:** Database maintains information regarding reimbursements to HSD from eligible recipients granted interim assistance for supplemental security income. Data may include client's name, address, SSN, program identifier number, payment from SSI data, IAR reimbursement calculations, etc.

**Classification:** 1.21.2.305 NMAC, Collections

**File closure:** Date reimbursement made

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

## 630-028 to 630-040

### 630-041 PROVIDER PARTICIPATION AGREEMENT FILES:

**Division/unit:** Medical assistance

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by provider name

**Record series content:** Records concerning provider applications and agreements for medical assistance services (i.e., nursing facilities, intermediate care facilities, independent laboratories, diagnostic and treatment centers, etc.). Files may include provider participation application and agreement, facility license copy, verifications and contract agreement specifications, rates for reimbursement, action taken against provider (i.e., termination of the provider's medicaid provider participation agreement, information on temporary management of facility, denial of payment for new admissions, civil money penalties, closure or transfer of residents, state monitoring, directed plan of correction, etc.) provider tracking reports (i.e., provider rankings, early periodic screening quarterly report, drug usage frequency analysis report, drug rebate reports, compliance reports, etc.), correspondence, etc.

**Classification:** 1.21.2.601 NMAC, Agreements - Other

**File closure:** Close of federal fiscal year after termination of provider agreement

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

### 630-042 MEDICAID CLAIMS FILES:

**Division/unit:** Medical assistance

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by provider, MCO or client surname name

**Record series content:** Records concerning claims submitted by provider, MCO or client for reimbursement from the state medicaid program. File may include documentation submitted for reimbursement on medical services and supplies, invoices, provider's billed charge, MAD fee schedule for the specific service or procedure, receipts copies, billing statements, disposition of claims report, etc.

**Classification:** 1.21.2.814 NMAC, Assistance - Medical

**File closure:** Close of federal fiscal year after date of claim reimbursement or denial

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

### 630-043 MEDICAID MANAGEMENT INFORMATION SYSTEM (MMIS):

**Division/unit:** Medical assistance

**Maintenance system:** Numerical by primary key

**Record series content:** Database maintains medicaid client, vendor and provider information used by HSD to track all types of assistance (i.e., provided by the medical assistance division. Data may include drug and pricing data; claims processing edit and audit criteria; audit trail; provider type, and provider identification number; invoice type; aid category; procedure codes; date of service; date of payment; geographic area identifier; applicant date; applicant and recipient social security number; applicant and recipient address; applicant and recipient telephone number; applicant and recipient date of birth; applicant and recipient ethnicity; applicant and recipient gender; applicant and recipient gross income; applicant and recipient household size; determination of eligibility code; provisions of medical assistance; eligibility start and end dates; insurance third party liability codes; source of payment code; insurance

company name and address; insurance policy holder name and policy number; buy-in status code; basis of discontinuing assistance, etc.

**Classification:** 1.21.2.814 NMAC, Assistance - Medical

**File closure:** Date of birth of client

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

## **630-044 to 630-050**

### **630-051 MEDICAID ESTATE RECOVERY PROJECT FILES:**

**Division/unit:** Medical assistance

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by recipient surname

**Record series content:** Records concerning the recovery of funds by the department from the estate of certain medicaid recipients in accordance with Title XIX of the Social Security Act. File may include applicant information (i.e., name, SSN, DOB, pending claims, type of estate or subject for recovery, full names of any surviving children under 21, etc.), recovery notice (i.e., statement describing actions of MAD, reasons and statutory authority for action, amount to be recovered, deceased date of recipient and recipient's spouse, etc.), correspondence, etc..

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

**File closure:** Close of federal fiscal year after date in which recovery is resolved

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

## **630-052 to 630-060**

### **630-061 STATE DATA EXCHANGE SYSTEM:**

**Division/unit:** Client services

**Maintenance system:** Numerical by primary key

**Record series content:** Database maintains information collected by the social security office on the eligibility status of medicaid recipients. Data may include client name, SSN, address, application date, SSN benefit amount, living arrangement codes, state grant amount, supplemental amount, effective date, client tax information, etc.

**Classification:** 1.21.2.121 NMAC, Tracking

**File closure:** Close of federal fiscal year after termination of benefits

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

### **630-062 MANAGED CARE ORGANIZATION FILES:**

**Division/unit:** Medical assistance, contract administration

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by MCO name

**Record series content:** Records concerning organizations licensed to manage and coordinate the delivery of specified services to enrolled medicaid members. File may include MCO contract, policies and procedures; reports from MCO; listing of available providers and sub-contractors; MCO provider and sub-contractor contracts; financial performance report; funding incurred for administrative expenditures and profit report; determination of proper classification of health care service reports; administrative

expenditure reports; level of funding expended on behavioral health care-related service reports; activity reports; audit reports; evaluation forms; correspondence; etc.

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

**File closure:** Close of federal fiscal year after final payment of MCO contract

[New - 03/31/2021]

**630-063 MANAGED CARE MARKETING REQUIREMENTS FILE:**

**Division/unit:** Medical assistance, contract administration

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by MCO name

**Record series content:** Required marketing guidelines MCO's must follow to promote the medicaid program and the submitted marketing materials. File may include minimum marketing and outreach requirements, quality standards for marketing, marketing materials distributed by MCO (i.e., brochures, flyers, leaflets, newspaper clippings, etc.), HSD approval of marketing materials, accuracy of marketing materials content, etc.

**Classification:** 1.21.2.512 NMAC, Standards

**File closure:** Close of federal fiscal year in which approved or denied

[New - 03/31/2021]

**630-064 FEE FOR SERVICE AUDIT FILES:**

**Division/unit:** Medical assistance, contract administration

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by MCO or provider

**Record series content:** Records documenting periodic audit examinations of the physical and behavioral health programs to confirm compliance with the federal government auditing standards. File may include audit work papers with recommendations, internal audit reports, external audit reports from provider or MCO, audit responses, correspondence, etc.

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

**File closure:** Close of federal fiscal year after compliant audit findings

[New - 03/31/2021]

**630-065 PROVIDER, MCO AND CLIENT COMPLAINT FILES:**

**Division/unit:** Medical assistance, contract administration

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

**Record series content:** Records concerning complaints received by HSD regarding care services. File may include complaint, investigative reports, complaint resolution, correspondence, etc.

**Classification:** 1.21.2.142 NMAC, Complaints

**File closure:** Date of final resolution

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

**630-066 COMPLAINT SYSTEM:**

**Division/unit:** Medical assistance, contract administration

**Maintenance system:** Numerical by primary key

**Record series content:** Database maintains information concerning complaints received by HSD regarding care services. Data may include complaint date, complaint type, concern, resolution date, investigative comments, fair hearing request date, decisions rendered, etc.

**Classification:** 1.21.2.142 NMAC, Complaints

**File closure:** Close of calendar year after date of final resolution

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.  
[New - 03/31/2021]

#### **630-067 to 630-080**

##### **630-081 MEDICAID SCHOOL-BASED SERVICE FILES:**

**Division/unit:** Medical assistance, school health office

**Maintenance system:** Chronological by federal fiscal year, then numerical by school district

**Record series content:** Records concerning authorized medical services (i.e., speech-language pathology, physical therapy, audiology screening, etc.) provided at educational facilities by an approved provider. File may include copy of medicaid school-based services resource guide, components of program (i.e., health, behavioral health, nursing, nutrition, etc.), medicaid school based services expenditure plan and budget, educational plan for student success, needs assessment for program, etc.

**Classification:** 1.21.2.814 NMAC, Assistance - Medical

**File closure:** Close of federal fiscal year in which audit is approved

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

#### **630-082 to 630-090**

##### **630-091 UTILIZATION REVIEW SYSTEM:**

**Division/unit:** Medical assistance, programs oversight and support

**Maintenance system:** Numerical by primary key

**Record series content:** Database maintains information regarding utilization review process instituted by HSD to regulate provider compliance with medicaid quality control and cost containment objectives. Data may include client medical information, authorization of medical services, development notes, etc.

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

**File closure:** Close of federal fiscal year in which claim is reviewed

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

#### **630-092 to 630-100**

##### **630-101 PREMIUM ASSISTANCE FOR KIDS AND MATERNITY FILES:**

**Division/unit:** Medical assistance, insure New Mexico

**Maintenance system:** Chronological by month, then alphabetical by client surname

**Record series content:** Records concerning program administered by HSD which provides health insurance premium assistance for children and pregnant women who meet program requirements. File may include premium assistance eligibility application, proof of citizenship and identification (i.e., birth certificate copy, social security copy, passport copy, certificate of U.S. citizenship copy, hospital birth record copy, etc.) proof of household income (i.e., copies of paychecks, income tax return copies, etc.), physician office verification of pregnancy and due date, midwife confirmation and release statement (i.e., midwife name, address, telephone number, client name, etc), letter of childcare validation, child care receipt copies, presumptive eligibility worksheet, missing documents notice copy, denial notice copy, approval notice copy, one-time premium deposit check or money order copy correspondence, etc.



**Classification:** 1.21.2.814 NMAC, Assistance - Medical

**File closure:** Close of the fiscal year in which file closed

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

**630-102 PREMIUM ASSISTANCE FOR KIDS AND MATERNITY DATABASE:**

**Division/unit:** Medical assistance, insure New Mexico

**Maintenance system:** Numerical by primary key

**Record series content:** Database maintains information regarding program administered by HSD which provides health insurance premium assistance for children and pregnant women who meet program requirements. Data may include client information (i.e., name, address, SSN, DOB, income, etc), name of MCO selected, date of application, program type, eligibility dates, dates of correspondence issued (i.e., approval, enrollment, denial, etc.), limited client medical information (i.e., maternity due date, number of weeks pregnant, etc.), one-time premium deposit amount, premium deposit date, eligibility closure date, closure reason, annual recertification date, etc.

**Classification:** 1.21.2.814 NMAC, Assistance - Medical

**File closure:** Close of the fiscal year in which file closed

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

**630-103 STATE COVERAGE INSURANCE EMPLOYER GROUP FILES:**

**Division/unit:** Medical assistance, insure New Mexico

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

**Record series content:** Records documenting employer group entities providing basic coverage health insurance benefits for employees through the state coverage insurance program. Files may include program application, proof of business documentation (e.g., state unemployment tax assessment, business taxes, business license, etc.), employee documentation (e.g., state coverage insurance application, proof of income, proof of citizenship, recertification information, etc.), correspondence, etc.

**Classification:** 1.21.2.814 NMAC, Assistance - Medical

**File closure:** Close of the calendar year in which case closed

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

[New - 03/31/2021]

**630-104 STATE COVERAGE INSURANCE CERTIFICATION BROKER AND AGENT OF THE STATE FILE:**

**Division/unit:** Medical assistance, insure New Mexico

**Maintenance system:** Chronological by calendar year

**Record series content:** Records documenting the certification of qualified individuals to facilitate client enrollment in the state coverage insurance program. Files may include agent of the state client certification and broker certification.

**Classification:** 1.21.2.404 NMAC, Individual Certification

**File closure:** Close of the calendar year in which certification terminated

[New - 03/31/2021]

**630-105 EMPLOYER GROUP STATE COVERAGE INSURANCE DATABASE:**

**Division/unit:** Medical assistance, insure New Mexico

**Maintenance system:** Numerical by primary key

**Record series content:** Database maintains information regarding employer group entities providing basic coverage health insurance benefits for employees through the state coverage insurance program. Data may include employer data (e.g., name, address, eligibility dates, etc.), employee data (e.g., name, address, eligibility dates, category of eligibility, etc.), broker and agent of the state certification data, etc.

**Classification:**

(A) **Employer group data:** 1.21.2.814 NMAC, Assistance - Medical

(B) **Certification broker and agent of the state data:** 1.21.2.404 NMAC, Individual

Certification

**File closure:**

(A) **Employer group data:** Close of the calendar year in which case closed

(B) **Certification broker and agent of the state data:** Close of the calendar year in which certification terminated

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

[New - 03/31/2021]

**630-106 to 630-110**

**630-111 PUBLIC ASSISTANCE CLIENT CASE FILES:**

**Division/unit:** Income support

**Maintenance system:** Alphabetical by case head name, then numerical by identification number

**Record series content:** Records concerning client applications for public assistance and documentation of eligibility for public assistance (i.e., food stamps, cash assistance, medicaid, low income home energy assistance, etc.). File may include application for assistance; proof of household income (i.e., paycheck copies, income tax return copies, etc.); proof of citizenship and identification (i.e., birth certificate copy, social security card copy, passport copy, certificate of U.S. citizenship copy, hospital birth record copy, etc.); application for re-determination of eligibility; application for retroactive benefit coverage; medical information; home, life or burial insurance documentation; vehicle information; utility billing copies; correspondence; etc.

**Classification:** 1.21.2.813 NMAC, Assistance - Financial

**File closure:** Date of birth of case head

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

**630-112 CLIENT CASE MANAGEMENT FILES:**

**Division/unit:** Income support

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by client surname

**Record series content:** Records concerning TANF clients required participation in employment training and support service programs. File may include individual responsibility plan, work participation agreement, activity time sheets, client assessment, client referrals, correspondence, etc.

**Classification:**

(A) **TANF client files:** 1.21.2.811 NMAC, Assistance - Employment

(B) **Refugee client files:** 1.21.2.812 NMAC, Assistance - Employment (Refugee)

**File closure:** Close of federal fiscal year after case closed

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

[New - 03/31/2021]

**630-113 PUBLIC ASSISTANCE ELIGIBILITY SYSTEM:**

**Division/unit:** Income support

**Maintenance system:** Numerical by primary key

**Record series content:** Database maintains information regarding client eligibility and case management of individuals applying and receiving public assistance (i.e., food stamps, cash assistance, medicaid, low-income energy assistance, emergency food assistance, etc.). Data may include client name; client address; social security number; date of birth; client income, aid code categories; month, year, type of aid and program; number of clients enrolled in each aid category and program; eligibility status; eligibility amount; comments; etc.

**Classification:** 1.21.2.813 NMAC, Assistance - Financial

**File closure:** Date of birth of case head

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

## **630-114 to 630-120**

### **630-121 QUALITY CONTROL CASE FILES:**

**Division/unit:** Quality assurance

**Maintenance system:** Chronological by federal fiscal year, then numerical by case number

**Record series content:** Records concerning HSD fulfillment of federally mandated quality control requirements to determine HSD compliance with the public assistance program and federal regulations. File may include work sheets, history profile (i.e., applicant name, telephone number, address, list of house hold members and relationship to person applying, gender, race, DOB, etc.) supporting documents (i.e., proof of citizenship, SSN card copy, proof of financial information, etc.), settlement agreement, correspondence, etc.

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

**File closure:** Close of federal fiscal year after case closed or final disposition of settlement agreement

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and 45 CFR 205.50 (i.e., safeguarding information for the financial assistance programs).

[New - 03/31/2021]

### **630-122 MANAGEMENT EVALUATION REPORT FILES:**

**Division/unit:** Quality assurance

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by location

**Record series content:** Report of findings and recommended corrective actions concerning errors made by service agents and centers within the department regarding client benefits. File may include diagnostic analysis of findings and recommendations report, client application (i.e., name, address, SSN, type of benefit, etc.), corrective actions taken report, correspondence, etc.

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

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

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and 45 CFR 205.50 (i.e., safeguarding information for the financial assistance programs).

[New - 03/31/2021]

### **630-123 CIVIL RIGHTS COMPLAINT INVESTIGATION FILES:**

**Division/unit:** Quality assurance

**Maintenance system:** Chronological by federal fiscal year, then numerical by client identification number

**Record series content:** Records documenting investigations of complaints made by program applicants alleging violation of their civil rights. Files may include complaint, case narrative, client contact log,

client contact letter, program contact letter, policy information, interviews, site visit information, medical review information, program application information, final case determination letter, copy of letter for concurrence to USDA food and nutrition service, corrective action plan, correspondence, etc.

**Classification:** 1.21.2.457 NMAC, Investigations - Civil and Human Rights

**File closure:** Date case closed

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

[New - 03/31/2021]

## **630-124 to 630-130**

### **630-131 COMMODITY DISTRIBUTION FILES:**

**Division/unit:** Food and nutrition services

**Maintenance system:**

(A) **Commodities:** Chronological by federal fiscal year, then alphabetical by recipient

(B) **Summer lunch program:** Chronological by federal fiscal year, then alphabetical by service area

**Record series content:** Records concerning commodity distribution to New Mexico schools, food banks and summer food programs. File may include invoice copies, current distribution agreement, correspondence, etc.

**Classification:** 1.21.2.813 NMAC, Assistance - Financial

**File closure:** Close of the federal fiscal year from distribution date

[New - 03/31/2021]

### **630-132 COMMODITY DISTRIBUTION SYSTEM:**

**Division/unit:** Food and nutrition services

**Maintenance system:** Numerical by primary key

**Record series content:** Database maintains and tracks the allocation, inventory, entitlement and food distribution to New Mexico food banks, schools and summer food programs. Data may include food bank, school and summer food program information (i.e., name, address, year commodity availability, entitlement amount, etc.), commodity inventory by food group, size and price, commodity code, etc.

**Classification:** 1.21.2.813 NMAC, Assistance - Financial

**File closure:** Close of the federal fiscal year from distribution date

[New - 03/31/2021]

## **630-133 to 630-140**

### **630-141 FTANF AGGREGATE REPORT FILES:**

**Division/unit:** Income support

**Maintenance system:** Chronological by report date

**Record series content:** Statistical report showing client benefit information (i.e., FTANF and food stamp) for federal quality control verification of work related activities. Report shows client demographics (i.e., gender, age, ethnicity, etc.), type of assistance (TANF, FTANF and food stamps), time period of assistance, benefit amount, child care assistance information, CSES information, etc.

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

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

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

**630-142 FEDERAL TEMPORARY ASSISTANCE TO NEEDY FAMILIES (FTANF) DATABASE:**

**Division/unit:** Income support

**Maintenance system:** Numerical by primary key

**Record series content:** Database that maintains statistical client information concerning FTANF benefits for electronic transmission of data to the federal government. Data may include client demographics (i.e., gender, age, ethnicity, etc.), type of assistance (temporary assistance to needy families and food stamp benefits), time period of assistance, benefit amount, child care assistance data, CSES information, etc.

**Classification:** 1.21.2.813 NMAC, Assistance - Financial

**File closure:** Close of federal fiscal year in which data is transmitted

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information) and per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

**630-143 to 630-150**

**630-151 CHILD SUPPORT ENFORCEMENT CLIENT CASE FILES:**

**Division/unit:** Child support enforcement

**Maintenance system:** Numerical by case number

**Record series content:** Records concerning the enforcement of child support. File may include application (i.e., SSN of parents and children, DOB of parents and children, address and phone numbers, etc.), activity summary sheets, support payments, court orders, paternity acknowledgment, paternity questionnaire, federal tax information (i.e., tax return copies, etc.), photos, national medical support notice, certificate of compliance, CSED license suspension fact sheet, amounts due and amounts received summary, case financial summary, obligation summary, license revocation summary, correspondence, etc.

**Classification:** 1.21.2.803 NMAC, Child Support Services

**File closure:** Date of termination of ongoing support amount

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC Section 552a (i.e., social security number) and 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

**630-152 COST ALLOCATION PLAN FILES:**

**Division/unit:** Child support enforcement, grants management

**Maintenance system:** Chronological by federal fiscal year, then by quarter

**Record series content:** Record of approved cost allocation plan to support claims under the Social Security Act. File may include cost allocation plan, number of claims for year, correspondence with federal government, cost sheets, random moment samples, time and effort reports, training reports, journal vouchers, expenditure reports, payroll register, etc.

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

**File closure:** Close of federal fiscal year after submission of cost allocation plan to federal government

[New - 03/31/2021]

**630-153 CHILD SUPPORT ENFORCEMENT SYSTEM (CSES):**

**Division/unit:** Child support enforcement

**Maintenance system:** Numerical by primary key

**Record series content:** Federally mandated system that maintains information on case management for child support enforcement. Data may include legal case information, federal and state tax information, client and absent parent demographics, application (i.e., SSN of parents and children, DOB of parents and

children, address and phone numbers, employer name, etc.), summary of activity data, support payment data, court order data, paternity acknowledgment data, paternity data, federal tax data, national medical support data, compliance data, CSED license suspension data, amounts due and amounts received data, financial summary data, obligation summary data, license revocation data, electronic correspondence, etc.

**Classification:** 1.21.2.803 NMAC, Child Support Services

**File closure:** Date of termination of ongoing support amount

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), 45 CFR 307.13 (“The state IV-D agency shall...have safeguards on the integrity, accuracy, completeness of access to, and use of data...”), 26 USC, section 6103 (“Returns and return information shall be confidential, and except as authorized...”) and 42 USC, Section 453 (“Information in the federal parent locator service...shall not be used or disclosed except as expressly provided in this section, subject to Section 6103 of the internal revenue code...”).

[New - 03/31/2021]

## **630-154 to 630-160**

### **630-161 DIRECT DEPOSIT REQUEST AND AUTOMATIC WITHDRAWAL FILE:**

**Division/unit:** State disbursement

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by custodial parent’s surname

**Record series content:** Records of direct deposit of child support payments issued to the custodial parent’s bank account. File may include direct deposit authorization and automatic withdrawal authorization (i.e., custodial parent’s name, SSN, address, phone numbers, financial institution name, financial institution address, account number, routing number, account holder’s signature, non-custodial parent’s name, amount withdrawn, withdrawal frequency, etc.), voided check, etc.

**Classification:** 1.21.2.101 NMAC, Authorization

**File closure:** Close of federal fiscal year in which request received

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC Section 552a (i.e., social security number) and 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

### **630-162 DAILY DISBURSEMENT REPORT:**

**Division/unit:** State disbursement

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

**Record series content:** Report documenting monies collected and disbursed for child support. Report may include warrant number, case number, date check issued, payee full name and address, detail amounts, check number, page totals, grand total, batch number, and register may also show federal information processing standards number, recipient's full name and SSN, payee number and SSN, interstate identifying number, amount paid, total collections, total monies, etc.

**Classification:** 1.21.2.310 NMAC, Reports - Accounting

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

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

[New - 03/31/2021]

### **630-163 PAYMENT TRANSMITTAL LOG:**

**Division/unit:** State disbursement

**Maintenance system:** Chronological by federal fiscal year, then numerical case number

**Record series content:** Record of child support payments deposited at local county offices. Log may show region, transmittal date, case number, payer's identification number, payer's full name, check,

money order or cash receipt number, payment amount, total number of checks, grand total dollar amount, deposit amount, CSED payment receipt amount, etc.

**Classification:** 1.21.2.110 NMAC, Logs

**File closure:** Close of the federal fiscal year in which payment is made

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

**630-164 AFFIDAVIT FOR DUPLICATE STATE WARRANT FILE:**

**Division/unit:** State disbursement

**Maintenance system:** Chronological by federal fiscal year, then by month

**Record series content:** Records documenting the duplicate issuance of CSED warrants to custodial parents. File may include affidavit with supporting documents (i.e., check copy, CSES screen prints, state treasurer screen print, etc.), correspondence, etc.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

**File closure:** Close of federal fiscal year in which duplicate warrant issued

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 45 CFR 205.50 (i.e., checks).

[New - 03/31/2021]

**630-165 INSUFFICIENT FUNDS PAYMENT FILE:**

**Division/unit:** State disbursement

**Maintenance system:** Chronological by federal fiscal year, then by month

**Record series content:** Records concerning insufficient funds paid by non-custodial parent. File may include insufficient check copies, state treasurer system printout, CSES printout, correspondence, etc.

**Classification:** 1.21.2.303 NMAC, Accounts Receivable

**File closure:** Close of the federal fiscal year in which payment is cleared

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

**630-166 APPROVED REFUND FILE:**

**Division/unit:** State disbursement

**Maintenance system:** Chronological by federal fiscal year, the by month

**Record series content:** Records concerning refunds for overpayment of child support by the non-custodial parent. File may include canceled check copies, CSES printout, payment advice, correspondence, etc.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

**File closure:** Close of federal fiscal year in which refund issued

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 45 CFR 205.50 (i.e., checks).

[New - 03/31/2021]

**630-167 STATE DISBURSEMENT UNIT RECONCILIATION FILE:**

**Division/unit:** State disbursement

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

**Record series content:** Records concerning the reconciliation of CSED funds collected from non-custodial parents. File may include summary of collections worksheet, payment summary, correspondence, etc.

**Classification:** 1.21.2.331 NMAC, Reconciliations and Balancing

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

**Confidentiality:** Portions of record may be confidential pursuant, but not limited to 45 CFR 205.50 (i.e., checks).

[New - 03/31/2021]

**630-168 RECOUPMENT ANALYSIS REPORT FILE:**

**Division/unit:** State disbursement

**Maintenance system:** Chronological by federal fiscal year, then by month

**Record series content:** Reports and supporting documentation showing the recoupment of payments made in error and cause of error. File may include recoupment summary, CSES printout, recoupment analysis (i.e., amount, error reason, error location, recipient name, etc.), check copy, correspondence, etc.

**Classification:** 1.21.2.310 NMAC, Reports - Accounting

**File closure:** Close of the federal fiscal year after date of report closed

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

**630-169 RECEIPT REVERSAL, REAPPLICATION AND ADJUSTMENT FILE:**

**Division/unit:** State disbursement

**Maintenance system:** Chronological by federal fiscal year, then by month

**Record series content:** Records documenting adjustments correcting errors in CSES. File may include check copies, screen prints, correspondence, etc.

**Classification:** 1.21.2.309 NMAC, Ledgers

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

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

**630-170 to 630-180**

**630-181 DAILY CASH RECEIPTS BATCH FILE:**

**Division/unit:** Child support enforcement

**Maintenance system:** Chronological by federal fiscal year, then numerical by batch

**Record series content:** Record of daily cash receipts received and processed by CSED central office. File may include transaction document, non-custodial payment order, application for child support copies, wage withholding report copies, original envelopes, CSED payment tracking system screen prints (i.e., payment code, payment method code, payment source code, etc.) check copies, correspondence, etc.

**Classification:** 1.21.2.301 NMAC, Accounts Payable

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

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited per 45 CFR 205.50 safeguarding information for the financial assistance programs.

[New - 03/31/2021]

**630-182 to 630-190**

**630-191 LICENSE SUSPENSION CASE FILE:**

**Division/unit:** License suspension

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by non-custodial parent surname

**Record series content:** Record of the suspension of a non-custodial parent's license fro financial non-compliance of child support obligations. File may include CSED license suspension fact sheet, CSES



screen printout for enforcement override, case financial summary, obligation summary, license suspension summary, certificate of compliance, correspondence, etc.

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

**File closure:** Close of federal fiscal year in which certificate of compliance issued

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited per 45 CFR 205.50 (i.e., name, address, medical information, social and economic conditions, amount of assistance), 5 USC, Section 552a (i.e., social security number) and 26 USC 6103a (i.e., personal income tax return information).

[New - 03/31/2021]

### **630-192 FINANCIAL INSTITUTION DATA MATCH CASE FILES:**

**Division/unit:** Financial institution data match

**Maintenance system:** Chronological by federal fiscal year, then numerical by CSED member number

**Record series content:** Record of agreements with financial institutions to conduct data matches to identify accounts of delinquent child support obligors. File may include CSED case summary sheet; check copies; CSES screen printouts for inquire update; copies of envelopes; seize order - financial institution subpoena to surrender assets; copies of certified mail envelopes returned unopened; United States postal service certified mail receipt copies; fact sheet; CSES notepad screen printout; CSES member to case inquiry screen printout; case member addition update screen printout; case financial summary screen printout; support order obligation information screen printout; CSES amounts due-amounts received screen printout; member demographics screen printout; address history screen printout; case information screen printout; formal answer by financial institution; financial institution freeze order subpoena to freeze assets; summary of attached audits; payment record and interest calculation sheets; child support court order copy; stipulated order modifying child support copy; worksheet for basic visitation monthly child support obligation; etc.

**Classification:** 1.21.2.601 NMAC, Agreements - Other

**File closure:** Close of federal fiscal year in which data match case file closed

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), 45 CFR 307.13 (“The state IV-D agency shall...have safeguards on the integrity, accuracy, completeness of access to, and use of data...”), 26 USC, section 6103 (“Returns and return information shall be confidential, and except as authorized...”) and 42 USC, Section 453 (“Information in the federal parent locator service...shall not be used or disclosed except as expressly provided in this section, subject to Section 6103 of the internal revenue code...”).

[New - 03/31/2021]

### **630-193 to 630-200**

#### **630-201 PROVIDER FILES:**

**Division/unit:** Long term services

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by provider name

**Record series content:** Records concerning approved facilities and organizations that provide various services (i.e., legal aide, counseling, construction services, home health care, etc.) for HSD clients. File may include provider participation agreement, facility license copy, verifications, contract agreement specifications, rates for reimbursement, action taken against provider, provider tracking reports (i.e., provider rankings, early periodic screening quarterly report, drug usage frequency analysis report, drug rebate reports, compliance reports, etc.), correspondence, etc.

**Classification:** 1.21.2.601 NMAC, Agreements - Other

**File closure:** Close of federal fiscal year after termination of provider agreement

[New - 03/31/2021]

#### **630-202 PROVIDER AND CLIENT DISPUTE RESOLUTION FILES:**

**Division/unit:** Long term services

**Maintenance system:** Chronological by federal fiscal year, then numerical by provider or client identification number

**Record series content:** Records concerning resolutions of disputes between client services and providers. File may include complaint (i.e., nature of dispute, provider number, client identification number, etc.); resolution; correspondence between HSD, provider and client; etc.

**Classification:** 1.21.2.606 NMAC, Settlements

**File closure:** Close of federal fiscal year in which dispute resolved

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information), 45 CFR 205.50 (i.e., safeguarding information for the financial assistance programs) and Section 9-23-11 NMSA 1978 (i.e., access to information).

[New - 03/31/2021]

### **630-203 CLIENT SERVICE COORDINATION FILES:**

**Division/unit:** Long term services

**Maintenance system:** Chronological by federal fiscal year, then numerical by client identification number

**Record series content:** Records concerning coordination of program services (i.e., prescription drug assistance, short term personal care, environmental modifications, traumatic brain injury, counseling, legal aide services, mental health care, long term support services, etc.) for clients by HSD licensed providers. File may include assistance application referral (i.e., name, address, date of birth, type of assistance, etc.), provider letter for type of services required, provider's client assessment, life skills coaching plan, medical bills, medical documentation, call data sheet, cost estimate, secondary freedom of choice form, correspondence, etc.

**Classification:** 1.21.2.814 NMAC, Assistance - Medical

**File closure:** Close of federal fiscal year after date of ineligibility

**Confidentiality:** Portions of this record may contain confidential information pursuant, but not limited to Section 27-7-29 NMSA 1978 Confidentiality of records; penalty, 5 USC Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., medical information), Health Insurance Portability and Accountability Act of 1996 Public Law 104-191, 45 CFR 205.50 (i.e., safeguarding information for the financial assistance programs) and Section 9-23-11 NMSA 1978 (i.e., access to information).

[New - 03/31/2021]

### **630-204 PERSONAL CARE OPTION CONSUMER LIAISON FILES:**

**Division/unit:** Long term services

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by consumer surname

**Record series content:** Records documenting the monitoring of approved personal care services received at the consumer's residence. The goal of personal care is to avoid institutionalization, maintain or increase the consumer's functional level, and maintain or increase the consumer's independence. File may include power of attorney, medical documentation of client needs, personal care service plan, service monitoring plan, schedule of services, correspondence, etc.

**Classification:** 1.21.2.816 NMAC, Case Files - Family and Aging

**File closure:** Close of federal fiscal year after termination of services

**Confidentiality:** Portions of this record may be confidential pursuant, but not limited to Section 27-7-29 NMSA 1978 Confidentiality of records; penalty, 5 USC, Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., health information), 45 CFR 205.50 (i.e., safeguarding information for the financial assistance programs) and Section 9-23-11 NMSA 1978 (i.e., access to information).

[New - 03/31/2021]

### **630-205 CENTER FOR MEDICAID AND MEDICARE ACCOUNTABILITY REPORT:**

**Division/unit:** Long term services

**Maintenance system:** Chronological by federal fiscal year, then alphabetical by waiver type

**Record series content:** Federally mandated accountability summary report. File includes final summary report, correspondence, etc.

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

**File closure:** Close of federal fiscal year after date report created

[New - 03/31/2021]