

631 – Department of Workforce Solutions File Plan

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

This file plan only list records series of program's specific to the Department of Workforce Solutions. 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.

631-001 BANK CASH PICK-UP LOG:

Division/unit: Financial management

Maintenance system: Chronological by date generated, then numerical by receipt number

Record series content: Log created to track the bank deposits picked up by carrier service. Log may include pick up date, carrier service signature, total dollar amount per bag (i.e., cash, checks, bank account deposit slips etc.), total amount of all bags picked up, time, date, etc.

Classification: 1.21.2.110 NMAC, Logs

File closure: Date audit report released for fiscal year in which deposit was made
[New - 03/31/2021]

631-002 FINANCIAL STATUS REPORTS (SF9130):

Division/unit: Financial management

Maintenance system: Chronological by date generated

Record series content: Financial status report showing the status of monies received by federal grant recipients generated from the department of health and human services system. Report may show federal agency and organizational unit within the federal agency to which report is submitted, federal grant or other identifying number assigned by federal agency, recipient organization, employer identification number, recipient account number or identifying number, funding grant period, current expenditures, cumulative expenditures, un-liquidated obligations, authorized obligational authority, unexpended-unbigoted balances, etc.

Classification: 1.21.2.310 NMAC, Reports - Accounting

File closure: Close of state fiscal year in which created
[New - 03/31/2021]

631-003 to 631-020

631-021 APPEALS TRIBUNAL DAILY SCHEDULES:

Division/unit: Appeals tribunal

Maintenance system: Chronological by hearing date

Record series content: Schedule of appeal hearings for unemployment insurance claims. Schedule may show date, claimant name, SSN, time, hearing mode, administrative law judge assigned, docket number, etc.

Classification: 1.21.2.102 NMAC, Calendars and Schedules

File closure: Date appeal hearing conducted

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

[New - 03/31/2021]

631-022 DECISIONS OF APPEALS TRIBUNAL:

Division/unit: Appeals tribunal

Maintenance system: Chronological by year

Record series content: Decision rendered by appeal tribunal regarding determinations on unemployment compensation benefits and employer unemployment insurance tax. Decision may show claimant or appellant name, employer name, SSN, date of determination, date appeal filed, date and place of hearing, parties present, issue and law, statement of facts, conclusions of law, decision, administrative law judge name and signature, etc.

Classification: 1.21.2.632 NMAC, Hearings and Appeals

File closure: Date appeal decision rendered

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 5 USC, Section 552a (i.e., social security number) and Section 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-023 to 631-030

631-031 APPRENTICESHIP PROGRAM STANDARD FILES:

Division/unit: Apprenticeship

Maintenance system: Chronological by calendar year, then numerical by program number

Record series content: Records concerning the proposed program standards and the final approved standards that are presented to the apprenticeship council for the approval of apprenticeship programs. File may include selection procedure, work experience, work schedule, evaluation, etc.

Classification: 1.21.2.512 NMAC, Standards

File closure: Close of calendar year in which standard canceled or suspended

[New - 03/31/2021]

631-032 APPRENTICESHIP AGREEMENTS:

Division/unit: Apprenticeship

Maintenance system: Alphabetical by apprentice surname

Record series content: Records concerning apprenticeship (i.e., plumbing, welding, masonry etc.) agreements regarding wage and length of program periods. Agreements may include agreement date, name of local apprenticeship standards, apprentice name, DOB, trade, term of apprenticeship, probationary period, credit for previous trade experience, term remaining, other conditions, gender, SSN, ethnicity, signature, etc.

Classification: 1.21.2.601 NMAC, Agreements - Other

File closure: Date agreement terminated

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

[New - 03/31/2021]

631-033 REPORT ON APPRENTICESHIP ACTIONS:

Division/unit: Apprenticeship

Maintenance system: Alphabetical by apprentice surname

Record series content: Record concerning the progression and status of apprentices who are enrolled in apprenticeship programs. Report may include name and address of program sponsor, apprentice's name, SSN, trade, effective date, action taken, signature of chairman, date, etc.

Classification: 1.21.2.116 NMAC, Reports - General

File closure: Date apprenticeship closed

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

[New - 03/31/2021]

631-034 APPRENTICESHIP COMPLIANCE FILES:

Division/unit: Apprenticeship

Maintenance system: Chronological by fiscal year, then numerical by program number

Record series content: Records used to ensure programs are adhering to standards established by the council. File may include compliance review format, application announcement notice, correspondence, etc.

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Date compliant review conducted

[New - 03/31/2021]

631-035 to 631-040

631-041 NEW MEXICO DEPARTMENT OF WORKFORCE SOLUTIONS SECRETARY DECISIONS:

Division/unit: Board of review

Maintenance system: Numerical by docket number

Record series content: Records concerning administrative appeal from the appeal tribunal (lower authority) to the cabinet secretary and board or review (higher authority) pursuant to section 51-1-8 NMSA 1978. Record may include claimant name, claimant's SSN, employer name, appeal number, decision, secretary signature, etc.

Classification: 1.21.2.632 NMAC, Hearings and Appeals

File closure: Date of decision

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 5 USC, Section 552a (i.e., social security number) and Section 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-042 BOARD OF REVIEW DECISIONS:

Division/unit: Board of review

Maintenance system: Numerical by docket number

Record series content: Records concerning board of review decisions on unemployment insurance claim and tax appeals. Decision may include claimant name, claimant's SSN, employer name, appeal number, lower appeal number, decision, board signature, board minutes etc.

Classification: 1.21.2.632 NMAC, Hearings and Appeals

File closure: Date of decision

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 5 USC, Section 552a (i.e., social security number) and Section 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-043 UNEMPLOYMENT INSURANCE LITIGATION FILES:

Division/unit: Office of the secretary legal section

Maintenance system: Alphabetical by appellant surname

Record series content: Records concerning an action filed in the courts, (state, federal and bankruptcy) related to unemployment insurance benefits and tax issues. File may contain unemployment insurance related pleadings, correspondence, claimant information (i.e., SSN, address), employer identification number, etc.

Classification: 1.21.2.636 NMAC, Legal Case Files

File closure: Date case closed

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 5 USC Section 552a (i.e., social security number) and Section 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-044 to 631-050

631-051 FOREIGN CERTIFICATION FILES:

Division/unit: Foreign labor

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

Record series content: Records concerning the hiring of legal foreign labor for seasonal and peak load work. File may include application for foreign labor employment certification (ETA 750) copy, federal employer identification number, resume copy, job advertisement copy, recruitment results, correspondence, etc.

Classification: 1.21.2.206 NMAC, Employment Screening

File closure: Close of calendar year in which work completed

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

[New - 03/31/2021]

631-052 to 631-060

631-061 WORK OPPORTUNITY TAX CREDIT PARTICIPANT FILES:

Division/unit: Work opportunity tax credit

Maintenance system: Chronological by year, then numerical by social security number

Record series content: Records concerning the federally mandated program incentive for employers to hire at risk employees (i.e., convicted felons, social security recipients, TANNIF recipients, DVR recipients, etc.). File may include individual characteristics for work opportunity tax credit form (ETA 9061), conditional certification (ETA 9062), employer certification (ETA 9063), pre-screening and certification request (Form 8850), verification documents, (i.e., employees name, SSN, DOB), judgment and sentence letter, US military discharge (DD 214), ineligibility form, etc.

Classification:

(A) **Eligible:** 1.21.2.811 NMAC, Assistance - Employment

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

File closure:

(A) **Eligible:** Date of certification

(B) **Ineligible:** Date ineligibility is determined

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

[New - 03/31/2021]]

631-062 to 631-070

631-071 HUMAN RIGHTS DIVISION INVESTIGATION CASE FILES:

Division/unit: Human rights

Maintenance system: Chronological by date, then numerical by case number

Record series content: Records concerning discrimination claims against an employer. File may include initial claim, mediation, settlement agreement, medical documentation, employer's policy and procedures, interview notes, orders, transcripts, findings, etc.

Classification: 1.21.2.457 NMAC, Investigations - Civil and Human Rights

File closure: Date claim closed

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 59A-46-27NMSA 1978 (confidentiality of medical information and limitation of liability).

[New - 03/31/2021]

631-072 to 631-080

631-081 WAGE DECISION FILE:

Division/unit: Public works

Maintenance system: Chronological by year, then alphabetical by county, then numerical by file number

Record series content: Records concerning contractors inquiring into using public funds for building purposes. File may include letter of request, addition and data back-up sheet, minimum wage rates, wage rate form letter, etc.

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Date of decision

[New - 03/31/2021]

631-082 PUBLIC WORKS VIOLATION FILES:

Division/unit: Public works

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

Record series content: Investigative file opened on potential violators found on jobsites receiving “public working funds” (i.e., payroll, wage and hour). File may include letter of violation copy, violation resolution, correspondence, etc.

Classification: 1.21.2.478 NMAC, Investigations - Inspections and Monitoring

File closure: Date file closed

[New - 03/31/2021]

631-083 PUBLIC WORKS APPEALS BOARD FILES:

Division/unit: Public works

Maintenance system: Chronological by date of hearing

Record series content: Records documenting appeal hearings on violations (i.e., payroll, wage and hour) committed by contractors or contracting agencies. File may include appeal, briefs, exhibits, transcripts, decisions, notice of hearing, surveys, correspondence, etc.

Classification: 1.21.2.632 NMAC, Hearings and Appeals

File closure: Date of appeal board decision

[New - 03/31/2021]

631-084 PUBLIC WORKS WAGE RATE SURVEY HEARING FILES:

Division/unit: Public works

Maintenance system: Chronological by date of hearing

Record series content: records concerning annual public hearings that determine the wage rates for the succeeding calendar year. File may include notice of public works survey for voluntary submission of private wage rate data, notice of hearing, transcript of hearing, decision, correspondence, etc.

Classification: 1.21.2.632 NMAC, Hearings and Appeals

File closure: Date of hearing or date of appeal

[New - 03/31/2021]

631-085 PUBLIC WORKS MINIMUM WAGE VIOLATION REGISTER:

Division/unit: Public works

Maintenance system: Chronological by state fiscal year, then alphabetical by company name

Record series content: Register containing information about companies accused of violating the use of public work funds. Register may include notification date, contractor information (i.e., name, address etc.), dollar amounts, type of violation (i.e., payroll, wage and hour), certification number, decision number, general letter date, penalty letter date, debarment letter date, amount settled, etc.

Classification: 1.21.2.110 NMAC, Logs

File closure: Close of the state fiscal year in which created
[New - 03/31/2021]

631-086 to 631-100

631-101 PRE- AUTHORIZATION CERTIFICATES:

Division/unit: Student labor

Maintenance system: Chronological by month created

Record series content: records concerning state required certificates for children working in the film industry. Certificate may include project name, employer name, employers address, child's information (i.e., name, address, DOB, and gender) parent or guardian signature, information on certified trainer or technician, trust fund account information, background check information on trainers and teachers, etc.

Classification: 1.21.2.206 NMAC, Employment Screening

File closure: Date of issuance or cancellation

[New - 03/31/2021]

631-102 WORK PERMITS:

Division/unit: Student labor

Maintenance system: Chronological by date issued

Record series content: Records concerning permits required by the state for children under the age of 16 seeking employment. Permit may show county, date issued, gender, student name, address, age, date of birth, evidence of age, employer name and address, work description, rate of pay, parent or guardian signature, employer signature, issuing officer signature, title, address, etc.

Classification: 1.21.2.206 NMAC, Employment Screening

File closure: Date of issuance or until canceled

[New - 03/31/2021]

631-103 to 631-110

631-111 UNEMPLOYMENT INSURANCE CLAIMS SYSTEM:

Division/unit: Unemployment insurance

Maintenance system: Numerical by primary key

Record series content: System allows individuals to register for unemployment insurance and also maintains information for employee wage credits for determination of unemployment benefits. Data may include employer information (i.e., account number, name, address, etc.), employee information (i.e., name, SSN, etc.), wage information (i.e., quarterly wages paid, benefits paid, taxes paid, etc.), amount due, corrections, etc.

Classification: 1.21.2.261 NMAC, Claims - Workers' Compensation and Unemployment

File closure: Date of final disposition of case

Confidentiality: Portions of this record may be confidential pursuant but not limited to 5 USC, Section 552a (i.e., social security number) and Section 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-112 STATE OFFICE CLAIM FILES:

Division/unit: Unemployment insurance

Maintenance system: Chronological by calendar year, then numerical by social security number

Record series content: Records concerning unemployment insurance claims for individuals receiving temporary partial wage replacement for a limited time period. File may include claim for benefits-intrastate (ES-400), claim for benefits-unemployment compensation for federal employees (ES-400), claim for benefits-unemployment compensation for ex-military personnel (ES-400), claimant's and employer's statement (ES-442), initial interstate claim (IB-1), initial interstate claim-unemployment

compensation for federal employees (IB-1), claim for benefits-combined wage claim intra-state (IB-4), request for transfer of wages inter-state arrangement for combining employment and wages (IB-4), report on determination of combined wage claim (IB-5), statement of benefits paid to combined wage claimants (IB-6), wage reconsideration (ES-414R), notice to employer of claim determination (ES-957), notice of initial determination of benefits (ES-405), notice of claim determination (ES-484), notice of collection BPC (NCA), BPC request to county clerk to record warrant of levy and lien, warrant of levy and lien, sheet summary, acknowledgment of debt, employment and wage verification request (ES-454-A), earning information sheet for audit of UI claim (ES-454-F), request for claim investigation (ES-1612), report for investigation (ES-1613), non-fraud report of investigation (ES-1613-NF), job search verification form (BPC-JBRCH), overpayment fields earning non-fraud (BPC-NF), weekly certification (ES-408), repayment control receipt, change of address notification, test development reports, correspondence, etc.

Classification:

(A) **Approved claims:** 1.21.2.261 NMAC, Claims - Workers' Compensation and Unemployment

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

File closure: Close of calendar year in which claim closed

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 5 USC Section 552a (i.e., social security number) and Section 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-113 AGENT SUMMARY WEEKLY REPORTS:

Division/unit: Unemployment insurance

Maintenance system: Chronological by date report generated

Record series content: Reports containing the count and status of claims reported to the United States department of labor. Report may include initial claim, transfer claim, re-opened claims, weeks claimed, etc.

Classification: 1.21.2.118 NMAC, Reports - Statistical

File closure: Date report is generated

[New - 03/31/2021]

631-114 TRADE ADJUSTMENT FILES:

Division/unit: Unemployment insurance

Maintenance system: Numerical by social security number

Record series content: Records concerning individuals receiving job skill training because their jobs were outsourced. File may include request for determination of entitlement to *trade adjustment assistance-trade readjustment assistance* (ETA 855), request for employment information (ETA 855A), determination of entitlement for *trade adjustment assistance-trade readjustment assistance* (ETA 857), job prospect classification eligibility requirements form, claimant affidavit and request for retroactive benefits form, weekly certification (ES 408), claim for benefits (ES 400), fact finding report school attendance report (IB 11), etc.

Classification: 1.21.2.811 NMAC, Assistance - Employment

File closure: Close of calendar year in which file closed

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 5 USC Section 552a (i.e., social security number) and Section 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-115 TRADE ADJUSTMENT ASSISTANCE, WORK SEARCH, RELOCATION FILES:

Division/unit: Unemployment insurance

Maintenance system: Numerical by social security number

Record series content: Records concerning relocation and educational assistance for individuals transitioning from out-sourced jobs. File may include contract, waiver form, payment documentation (i.e., invoices, warrant copies, etc.) correspondence, etc.

Classification: 1.21.2.811 NMAC, Assistance - Employment

File closure: Date of submission of final expenditure report

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

[New - 03/31/2021]

631-116 TRADE ADJUSTMENT ASSISTANCE REPORT FILES:

Division/unit: Unemployment insurance

Maintenance system: Chronological by date report generated

Record series content: Report concerning progress of participants and status of assistance funding. File may include copies of waiver report number 9027, training waivers issues and revoked, correspondence, etc.

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Date of submission of final expenditure report

[New - 03/31/2021]

631-117 ADJUSTMENT OF CONTRIBUTIONS AND WAGE FILE MAINTENANCE FORM:

Division/unit: Unemployment insurance

Maintenance system: Chronological by date, then numerical by batch number

Record series content: Form used to transfer wages and payments from one employer to another and to correct data entry errors. Form may include employer name, tax rate, transaction code, date, account number, quarter and year, exempt wages, taxable wages, amount paid, batch number, total wage transfer, individual wage transfer, etc.

Classification: 1.21.2.304 NMAC, Account Transfers

File closure: Close of calendar year in which adjustment made.

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-118 UI AUDIT FILES:

Division/unit: Unemployment insurance

Maintenance system: Chronological by date, then numerical by employer identification number

Record series content: records of audits performed on employers to ensure compliance with state statutes. File may include audit findings, employer audit report (ES-801A), audit schedules, etc.

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Close of calendar year in which audit completed

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-119 EMPLOYER FILES:

Division/unit: Unemployment insurance

Maintenance system: Chronological by calendar year, then numerical by employer identification number

Record series content: Records concerning employers registered with the department of workforce solutions for tax and unemployment contribution purposes. File may include employer audit report (ES-801A), report to determine liability (ES-802), request to place delinquent amount in uncollectible

suspense (ES-813), notice of employer contribution rate (ES-952), notice of employer eligibility (ES-1741), tax audit assignments, warrants of notification of delinquency and application of lien or levy, release of warrant, correspondence, etc.

Classification: 1.21.2.262 NMAC, Employer Account Files

File closure: Close of calendar year in which accounts closed

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 51-1-32 NMSA 1978 (benefit rights).

[New - 03/31/2021]

631-120 EMPLOYERS QUARTERLY WAGE AND CONTRIBUTION REPORTS (ES-903A):

Division/unit: Unemployment insurance

Maintenance system: Chronological by report date

Record series content: Tax report submitted by employers that lists employee's wages, so that taxes can be calculated. Report may include date received, employer's number, tax rate, quarter ending date, due date, federal internal revenue service number, batch number, date deposited, total wages, excess wages, taxable wages, tax due, interest due, late report penalty, late payment penalty, amount of remittance, employee's SSN, employee name, current quarter wages, signatures, etc.

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Close of calendar year in which report filed

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 5 USC Section 552a (i.e., social security number).and Section 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-121 QUARTERLY NOTICE OF POTENTIAL BENEFIT CHARGES (ES-952Q):

Division/unit: Unemployment insurance

Maintenance system: Chronological by calendar year, then numerical by employer identification number

Record series content: State mandated notification sent to employers of potential benefit charges. Notice may include date issued, period date for which benefit charges are applicable to account, employer number, claim date, claimant name, SSN, base period wages, benefit charges, employer name and address, date liable, etc.

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Date that benefit charges become effective

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 5 USC Section 552a (i.e., social security number) and Section 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-122 STATEMENT TO CORRECT INFORMATION REPORTED ON FORM ES-903A (ES-903C):

Division/unit: Unemployment insurance

Maintenance system: Chronological by date processed

Record series content: Form completed by employers correcting wages reported, taxes due, penalties and interest. Form may include transaction code, excess wages, taxable wages, amount paid, date, account number, quarter and year, employer name, explanation, type of remittance, examined by, date of deposit, etc.

Classification: 1.21.2.262 NMAC, Employer Account Files

File closure: Close of calendar year in which adjustment was made

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-123 TAX ACCOUNTING-REFUND VOUCHERS, "H" AND "V" WARRANT REGISTER, WEEKLY REPORT (TA4130):

Division/unit: Unemployment insurance

Maintenance system: Chronological by fiscal year, then numerical by employer identification number

Record series content: Register report of warrants used to pay all claims and refund or credit an employer's account for overpayment of unemployment insurance. Register and warrant may include date, account number, business name, claimants name, tax, interest, penalties, total amounts, check number, issue date, etc.

Classification: 1.21.2.309 NMAC, Ledgers

File closure: Close of fiscal year in which created

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-124 UNEMPLOYMENT INSURANCE TAX SYSTEM:

Division/unit: Unemployment insurance

Maintenance system: Numerical by primary key

Record series content: System used by employers to register for the purpose of reporting wages and determining UI taxes. Data may include employer information (i.e., account number, name, address, etc.), employee information (i.e., name, SSN, etc.), quarterly wages paid, amount due (i.e., taxes, interest, penalties, etc.), corrections (i.e., adjustments to erroneous information, etc.), etc.

Classification:

(A) **Employers quarterly wage and contribution reports (ES-903A) data:** 1.21.2.415 NMAC, General - Audits and Compliance

(B) **Statement to correct information reported on form ES-903A (ES-903C) data:** 1.21.2.415 NMAC, General - Audits and Compliance

(C) **Employer file data:** 1.21.2.262 NMAC, Employer Account Files

File closure:

(A) **Employers quarterly wage and contribution reports (ES-903A) data:** Close of calendar year in which wages reported

(B) **Statement to correct information reported on form ES-903A (ES-903C) data:** Close of calendar year in which adjustment was made

(C) **Employer file data:** Close of calendar year in which terminated

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 5 USC, Section 552a (i.e., social security number) and Section 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-125 to 631-140

631-141 WAGE CLAIM FILES:

Division/unit: Wage and hour

Maintenance system: Chronological by fiscal year, then numerical by claim number

Record series content: Records documenting a claim against an employer for unpaid wages. File may include statement of wage claim, copy of employer notification, case status sheet, correspondence, settlement agreements, etc.

Classification: 1.21.2.632 NMAC, Hearings and Appeals

File closure: Close of fiscal year in which claim closed

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

[New - 03/31/2021]

631-142 WAGE CLAIM REGISTER:

Division/unit: Wage and hour

Maintenance system: Chronological by date filed

Record series content: Report generated for department secretary that lists all wage claims and the status of each one. Register may include claims filed, claims closed, closing status, etc.

Classification: 1.21.2.116 NMAC, Reports - General

File closure: Date register created

[New - 03/31/2021]

631-143 to 631-160

631-161 MONITORING AND EVALUATION REPORT FILES:

Division/unit: Workforce grant auditing

Maintenance system: Chronological by federal fiscal year, alphabetical by program number

Record series content: Reports concerning evaluations conducted on state and federal workforce programs (e.g., employment trainings programs). File may include contract reviews, time agreements, corrective actions of sub-grantees and field officer, participant information (i.e., SSN, DOB, etc.), copies of pay stubs, etc.

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Close of federal fiscal year in which created

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

[New - 03/31/2021]

631-162 to 631-170

631-171 WORKFORCE INVESTMENT ACT FILES:

Division/unit: Workforce services

Maintenance system: Chronological by year, then numerical by social security number

Record series content: Records concerning individuals receiving employment and training services through the state of New Mexico (i.e., occupational training, tuition, etc.). File may include application for program, determination of eligibility, copy of social security card, copy of birth certificate, employability development plan, etc.

Classification: 1.21.2.811 NMAC, Assistance - Employment

File closure: Date file closed

Confidentiality: Portions of this record may be confidential pursuant, but not limited to Section 5 USC Section 552a (i.e., social security number) and 51-1-32 NMSA 1978 (i.e., benefit rights).

[New - 03/31/2021]

631-172 VIRTUAL ONE STOP SYSTEM:

Division/unit: State administrative

Maintenance system: Numerical by primary key

Record series content: Case management system used to maintain information on the trade adjustment, workforce services and veterans programs. The system also maintains information concerning employment opportunities (i.e., employment searches, applicant information, resume postings, employer job postings, etc.). Data may include applicant information (i.e., name, date of birth, social security number, address, employment history, education history, etc.) and employer information (i.e., name, address, federal identification number, etc.) job posting data, trade adjustment files data, workforce investment act files data, intensive service files data, etc.

Classification:

(A) **Employer data:** 1.21.2.262 NMAC, Employer Account Files

(B) **All other data:** 1.21.2.811 NMAC, Assistance - Employment

File closure: Date of last activity

Confidentiality: Portions of this record may be confidential pursuant but not limited to Section 9-26-14 NMSA 1978 (disclosure of information) and USC 26, Section 6109 (identifying numbers).

[New - 03/31/2021]

631-173 INTENSIVE SERVICE FILES:

Division/unit: Veterans program

Maintenance system: Alphabetical by surname

Record series content: Records concerning employment assistance for veterans with employment barriers (i.e., housing assistance, clothing assistance, educational assistance, etc.). Files may include referral form, training documents (i.e., certifications, licenses, diplomas, etc.), case notes, resume copy, assessments, correspondence, discharge papers-report of separation (DD214), etc.

Classification: 1.21.2.811 NMAC, Assistance - Employment

File closure: Date of service discontinued

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

[New - 03/31/2021]

631-174 to 631-180

631-181 QUALITY CONTROL AUDIT CASE FILE:

Division/unit: Quality control

Maintenance system: Chronological by federal fiscal year and week assigned

Record series content: Records concerning internal audits conducted on unemployment insurance benefit claim records. File may include earning verifications, last employer information, determination of investigation, claimant questionnaire, statement of facts, employer information transmittal, benefits payment information, registration and work search, separation information, statement of understanding, fact finding report, correspondence, etc.

Classification: 1.21.2.416 NMAC, Insurance

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

[New - 03/31/2021]