

644 – Division of Vocational Rehabilitation File Plan

This file plan was developed to be a guide for Division of Vocational Rehabilitation 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 Division of Vocational Rehabilitation. 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.

644-001 LOSS PREVENTION CONTROL FILES:

Division/unit: Loss control

Maintenance system: Chronological by year and month, then numerical by field area, then alphabetical by office

Record series content: Records concerning accident investigations and preventative measures regarding DVR participants and personnel. File may include incident reports, investigation notes, witness statements, police reports, pictures, drawings, investigation determination reports, thirty day follow-up investigation reports, correspondence, etc.

Classification: 1.21.2.829 NMAC, Incidents

File closure: Date that investigation closed

Confidentiality: Portions of this record may be confidential per Section 5 USC Section 552a (i.e., social security number) and 34 CFR, Section 361.38 (i.e., protection, use, and release of personal information).

[New - 03/31/2021]

644-002 to 644-010

644-011 CASE MANAGEMENT SYSTEM (AWARE):

Division/unit: Case management

Maintenance system: Numerical by primary key

Record series content: System used to manage DVR participant case files. Data may include application information (i.e., referral source, income, marital status, education status, public support, emergency contact information, etc.), eligibility information, types of services provided to participant, employment information (i.e., place of employment, immediate supervisor, position classification, salary, hire date, contact information, etc.), type of plan (i.e., IPE, IEP, IFSP, PESP, etc.), referral information, type of closure (i.e., successful, unsuccessful, other, etc.), participant financial information, case and contact notes, case summary, medical information, assessment information, vocational evaluation information, training provided to participant, staff information (i.e., name, hire date, e-mail address, date of birth, social security number, position classification, assignment type, login name, password, etc.), vendor listing, etc.

Classification:

(A) **Case data:** 1.21.2.811 NMAC, Assistance - Employment

(B) **Staff data:** 1.21.2.156 NMAC, Access and Control

File closure:

(A) **Case data:** Close of the federal fiscal year after case closed

(B) **Staff data:** Close of the federal fiscal year in which employee left agency

Confidentiality: Portions of data may be confidential information per 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 104th Congress (i.e., health information) and 34 CFR, Section 361.38 (i.e., protection, use, and release of personal information).
[New - 03/31/2021]

644-012 PARTICIPANT CASE SERVICE FILES:

Division/unit: Vocational rehabilitation services

Maintenance system:

(A) **Active cases:** Numerical by case load number, then alphabetical by participant's surname

(B) **Closed cases:** Chronological by federal fiscal year, then alphabetical by participant's surname

Record series content: Case files containing records documenting services provided by DVR to assist participants with disabilities achieve suitable employment. File may contain participant's brief sheet, participant's application, preliminary assessment, eligibility determination, comprehensive assessment, employment plan development, IPE, IEP, IFSP, PESP, medical reports, psychological reports, vocational evaluations, specialist exams, situational assessments, training reports, on the job training agreements, progress reports, transcripts, social security administration documents, copy of level of care form (MAD 378), copy of individualized service plan, copy of individualized service plan budget (MAD 046), copy of letter of long term support, contact notes, referral notes, case summary, case notes, financial needs test, copies of authorizations, copies of vouchers, copies of warrant cancellations, copy of closure data page reports, correspondence, etc.

Classification:

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

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

File closure:

(A) **Eligible cases:** Close of the federal fiscal year after case is closed

(B) **Ineligible cases:** Date of eligibility determination

Confidentiality: Portions of record may contain confidential information per 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 104th Congress (i.e., health information) and 34 CFR, Section 361.38 (i.e., protection, use, and release of personal information).

[New - 03/31/2021]

644-013 REHABILITATION SERVICES ADMINISTRATION FILES (RSA-113 REPORT):

Division/unit: Vocational rehabilitation services

Maintenance system: Chronological by federal fiscal year and by quarter

Record series content: Reports concerning cumulative caseload statistics for DVR. File may include quarterly report (i.e., reporting period, caseload item (i.e., applicants, pre-service listing, extended evaluation, service statuses, current and next federal fiscal year projections, etc.), number of current cases, number of new cases approved, number of closed cases, number of potential cases, number of total cases, etc.), RSA-113 data corrections materials, RSA instructions and forms, correspondence, etc.

Classification: 1.21.2.413 NMAC, Federal Compliance and Reporting

File closure: Close of the federal fiscal year after report submitted

Confidentiality: Portions of record may contain confidential information per 5 USC Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., medical information) and 34 CFR, Section 361.38 (i.e., protection, use, and release of personal information).

[New - 03/31/2021]

644-014 REHABILITATION SERVICES ADMINISTRATION FILES (RSA-911 REPORT):

Division/unit: Vocational rehabilitation services

Maintenance system: Chronological by federal fiscal year

Record series content: Reports concerning case service statistics for DVR. File may include RSA annual report (i.e., social security number, status date, date of birth, race and ethnicity, level of education, application and closure, living arrangement at application, primary and secondary disabilities, employment status, hours worked and wages at application and closure, public support receipt information, medical insurance coverage information, services provided and cost information, reason for closure, veteran status, special program status, etc.), transmittal letter, error logs, anomaly logs, RSA-911 instructions, RSA-911 data corrections materials, correspondence, etc.

Classification: 1.21.2.413 NMAC, Federal Compliance and Reporting

File closure: Close of the federal fiscal year after report submitted

Confidentiality: Portions of record may contain confidential information per 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 104th Congress (i.e., health information) and 34 CFR, Section 361.38 (i.e., protection, use, and release of personal information).

[New - 03/31/2021]

644-015 REHABILITATION SERVICES ADMINISTRATION FILES (RSA-722 REPORT):

Division/unit: Legal

Maintenance system: Chronological by federal fiscal year

Record series content: Annual reports concerning the resolution of applicant and participant appeals. Report may contain total number of appeals filed with fair hearing officer, total number of decisions reviewed by DVR director, number of appeals resolved during the year, number of reviews conducted during the year, number of reviews still unresolved, description of procedures for review, correspondence, etc.

Classification: 1.21.2.413 NMAC, Federal Compliance and Reporting

File closure: Close of the federal fiscal year after report submitted

[New - 03/31/2021]

644-016 to 644-020

644-021 PSYCHOLOGIST EVALUATION FILES:

Division/unit: Psychological services

Maintenance system: Chronological by federal fiscal year and month, then alphabetical by participant's surname

Record series content: The psychological evaluation of a participant to determine eligibility for vocational rehabilitation services. File may include counselor case notes, participant's history notes, psychologist's history determination report, tests, test scores, copy of medical records, consultation form, copy of psychologist diagnostic determination report, correspondence, etc.

Classification: 1.21.2.811 NMAC, Assistance - Employment

File closure: Close of the federal fiscal year after diagnostic determination report submitted

Confidentiality: Portions of record may contain confidential information per 34 CFR, Section 361.38 (i.e., protection, use, and release of personal information), Section 14-6-1 NMSA 1978 (i.e., medical information) and Health Insurance Portability and Accountability Act of 1996 Public Law 104-191 104th Congress (i.e., health information).

[New - 03/31/2021]

644-022 to 644-030

644-031 DISABILITY DETERMINATION FOR MEDICAID FILES:

Division/unit: Disability determination

Maintenance system: Chronological by determination date, then numerical by medicaid category number

Record series content: Records concerning the determination of a participant's disability for medicaid services. File may include copy of disability determination services referral (*MAD 299*), copy of medical records, copy of approval or denial summary for medicaid services, case notes, medical release form (*MAD 093*), printouts from both social security beneficiary data exchange system (*BENDEX*) and state data exchange system (*SDX*), correspondence, etc.

Classification: 1.21.2.814 NMAC, Assistance - Medical

File closure: Date of eligibility determination

Confidentiality: Portions of record may contain confidential information per 5 USC Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., medical information) and Health Insurance Portability and Accountability Act of 1996 Public Law 104-191 104th Congress (i.e., health information). [New - 03/31/2021]

644-032 SOCIAL SECURITY REIMBURSEMENT CLAIM FILES:

Division/unit: Vocational services reimbursement

Maintenance system: Chronological by state fiscal year, then alphabetical by client's surname

Record series content: Records concerning reimbursement claims filed by DVR with SSA for services rendered to participants who have earned substantial gainful activity and who receive supplemental security income or social security disability insurance. File may include a copy of the vocational rehabilitation provider claim form (*form SSA-199*), social security administration notice of determination for vocational rehabilitation claim, correspondence, etc.

Classification: 1.21.2.303 NMAC, Accounts Receivable

File closure: Close of the fiscal year after payment occurred

Confidentiality: Portions of record may contain confidential information per 5 USC Section 552a (i.e., social security number), Section 14-6-1 NMSA 1978 (i.e., medical information) and Health Insurance Portability and Accountability Act of 1996 Public Law 104-191 104th Congress (i.e., health information). [New - 03/31/2021]

644-033 TICKET TO WORK FILES:

Division/unit: Vocational services reimbursement

Maintenance system: Alphabetical by participant's surname

Record series content: Records concerning a participant's request and ticket assignment through SSA for DVR services. File may include state agency ticket assignment form (*form SSA-1365*), letter confirmation of ticket or no ticket assignment, fax confirmation of ticket or no ticket assignment, copy of IPE, copy of IEP, copy of IFSP, copy of PESP, correspondence, etc.

Classification: 1.21.2.811 NMAC, Assistance - Employment

File closure: Date that ticket taken out of assignment

Confidentiality: Portions of record may contain confidential information per 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 104th Congress (i.e., health information) and 34 CFR, Section 361.38 (i.e., protection, use, and release of personal information). [New - 03/31/2021]

644-034 SOCIAL SECURITY ADMINISTRATION DEPOSIT FOLDERS:

Division/unit: Vocational services reimbursement

Maintenance system: Chronological by state fiscal year, then by date

Record series content: Records concerning SSA approval or denial of reimbursement to DVR for services rendered to supplemental security income and social security disability insurance participants. File may include wire transfer summary (i.e., list of all claims reviewed, approved claims, denied claims,

vocational rehabilitation payment action sheet, etc.) from social security administration, validation form, correspondence, etc.

Classification: 1.21.2.303 NMAC, Accounts Receivable

File closure: Close of the fiscal year after reimbursement was made or denied

Confidentiality: Portions of this record may be confidential per 5 USC 552a (i.e., social security number) and 34 CFR, Section 361.38 (i.e., protection, use, and release of personal information).

[New - 03/31/2021]

644-035 to 644-040

644-041 GRANT SYSTEMS:

Division/unit: Grant functions and tracking

Maintenance system: Numerical by primary key

Record series content: Systems maintain, monitor, and track data on participants served under federal and state grants. System tracks authorized grant expenditures and information on services provided to participants. Data may include participant information, employment information, services provided, case notes, case status, equipment donor information, financial information, etc.

Classification: 1.21.2.122 NMAC, Grant Administration

File closure: Close of the federal fiscal year after final grant expenditure report approved

Confidentiality: Portions of data may be confidential information per 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 104th Congress (i.e., health information) and 34 CFR, Section 361.38 (i.e., protection, use, and release of personal information).

[New - 03/31/2021]

644-042 GRANT FILES:

Division/unit: Grant functions and tracking

Maintenance system: Chronological by grant period, then alphabetical by name of program or grant

Record series content: Records concerning DVR grants funded by federal and state governments. These files contain administrative and participant sections. The administrative section may contain requirements of grant and program procedures, grant award, stipulations for financial expenditures, reimbursement documentation, budget logs, financial status report section 110 (federal form 269), social security administration 4513 federal report, RSA-2 report (rehabilitation services administration form OMB 1820-0017), audit reports, contract information, contractor information, evaluator information, grant tracking binders, correspondence, etc. Participant case files may include intake form, needs assessment form, copy of IPE, copy of IEP, copy of IFSP, copy of PESP, job application copies, referral, release of information forms, case notes, correspondence, etc.

Classification: 1.21.2.122 NMAC, Grant Administration

File closure: Close of the federal fiscal year after grant closed

Confidentiality: Portions of data may be confidential information per 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 104th Congress (i.e., health information) and 34 CFR, Section 361.38 (i.e., protection, use, and release of personal information).

[New - 03/31/2021]