

665 – Department of Health File Plan

This file plan was developed to be a guide for Department of Health 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 Health. 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.

665-001 LICENSE HEARING CASE FILES:

Division/unit: Legal services

Maintenance system: Numerical by case file number

Record series content: Record concerning hearings on the revocation or suspension of occupational licenses. File may contain licensee last name, decision, attorney notes, discovery, correspondence, memos, transcripts of hearing tapes, hearing tape cassettes, etc.

Classification: 1.21.2.632 NMAC, Hearings and Appeals

File closure: Date case closed

[New - 03/31/2021]

665-002 REGULATION HEARING CASE FILES:

Division/unit: Legal services

Maintenance system: Alphabetical by division and surname

Record series content: Public hearings conducted prior to the issuance of DOH regulations.

Classification: 1.21.2.452 NMAC, Meetings

File closure: Date case closed

[New - 03/31/2021]

665-003 to 665-010

665-011 LONG-TERM CARE AND MEDICAL CARE LICENSED ONLY FACILITY FILES:

Division/unit: Health facility licensing

Maintenance system: Alphabetical by facility category, then numerical by license number

Record series content:

(A) **Application for licensure:** Records concerning the licensing of long-term and medical care related facilities (i.e., hospitals, boarding homes, infirmaries, diagnostic and treatment centers, maternity homes and shelters, group homes, community residential facilities for the developmentally disabled, assisted living, etc.) in New Mexico. File may include licensure application, evaluation, copy of license issued, correspondence, etc.

(B) **Facility inspection report:** Inspection report conducted on entire facility upon the initial application and renewal of licensure application. Report may show facility inspected, resident interviews, service provided at facility, surveyor's time spent at facility, deficiencies, correction plan, etc.

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

(D) **Complaint surveys:** Surveys of licensed health care facilities as a result of a complaint made with the department for alleged misconduct at a facility. Survey may include complaint form; *plan*

of correction (HCFA-25671); plan of correction approval form; correspondence; *survey team composition and workload report*; etc.

Classification:

(A) Application for licensure:

- (1) License issued:** 1.21.2.661 NMAC, Facilities, Establishments and Products
- (2) Withdrawn or pending licensure:** 1.21.2.107 NMAC, Denied, Rejected or

Withdrawn Records

(B) Facility drawings, specifications or inspection report: 1.21.2.469 NMAC, Building and Construction

(C) Complaint surveys:

- (1) Substantiated:** 1.21.2.656 NMAC, Discipline and Investigations - General
- (2) Unsubstantiated:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure:

(A) Application for licensure:

- (1) License issued:** Date of facility closure
- (2) Withdrawn or pending licensure:** Date of withdrawal or from date of last

activity

(B) Facility inspection report: Close of calendar year from date facility drawings and specifications are approved for licensure or report date

(C) Complaint surveys: Close of calendar year from date surveyed

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

[New - 03/31/2021]

665-012 LICENSE LOGS:

Division/unit: Health facilities licensing

Maintenance system: Numerical by license number

Record series content: Log used to track department issued facility licenses and certifications. Log may include license or certification number, date issued, type of facility, owner or administrator, expiration date, etc.

Classification: 1.21.2.110 NMAC, Logs

File closure: Date log superseded

[New - 03/31/2021]

665-013 LONG-TERM CARE AND MEDICAL CARE CERTIFICATION FILES:

Division/unit: Health facility licensing

Maintenance system: Alphabetical by category

Record series content:

(A) Application for certification: Records concerning the certification of long-term and medical care facilities in New Mexico that participate in the medicare and medicaid program. File may include certification application, consultation reports, reports of special visits, approval of certification letters, certificate of need information, waivers and copy of license issued change of information form, general enrollment form, correspondence, etc.

(B) Certification inspection report: Inspection report conducted to determine health facility or agency complies with applicable federal regulations and the conditions of participation in the medicare and medicaid program upon initial certification and recertification. Report may show facility inspected, resident interviews, service provided at facility, surveyor's time spent at facility, deficiencies, correction plan, etc.

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

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

Classification:

(A) **Application for licensure:**

(1) **Certification issued:** 1.21.2.405 NMAC, Hospitals and Medical

(2) **Withdrawn or pending certification:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

(B) **Facility drawings, specifications or inspection report:** 1.21.2.469 NMAC, Building and Construction

(C) **Complaint surveys:**

(1) **Substantiated:** 1.21.2.656 NMAC, Discipline and Investigations - General

(2) **Unsubstantiated:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure:

(A) **Application for licensure:**

(1) **Certification issued:** Date license issued or certification application approved

(2) **Withdrawn or pending certification:** Date of withdrawal or from date of last activity

(B) **Facility drawings, specifications or inspection report:** Close of calendar year from date facility drawings and specifications are approved for certification or report date

(C) **Complaint surveys:** Close of calendar year from date surveyed

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

[New - 03/31/2021]

665-014 FACILITY ELECTRONIC LICENSING AND INFORMATION EXCHANGE SYSTEM (FELIX):

Division/unit: Health facility licensing

Maintenance system: Numerical by primary key

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

Classification:

(1) **Facility licensure data:** 1.21.2.661 NMAC, Facilities, Establishments and Products

(2) **Certification data:** 1.21.2.405 NMAC, Hospitals and Medical

(3) **Withdrawn or pending licensure or certification data:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

(4) **Facility inspection report data:** 1.21.2.469 NMAC, Building and Construction

File closure:

(1) **Facility licensure data:** Date of facility closure

(2) **Certification data:** Close of calendar year from date certification application approved

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

(4) **Facility inspection report data:** Close of calendar year from report date

[New - 03/31/2021]

665-015 to 665-020

665-021 CAREGIVER EMPLOYMENT CLEARANCE FILES:

Division/unit: Caregivers' criminal history screening

Maintenance system: Numeric by sequential control number

Record series content: Records concerning applicant background investigations. File may contain authorization for release of information, photocopy of picture identification, request for disposition, *record of arrest profile sheet*, caregiver notice of disqualification, facility notice of disqualification, caregiver request for reconsideration, reconsideration process documentation, caregiver notice of final determination, facility notice of final determination, invoice of charges to state facilities, record of deposit, etc.

Classification: 1.21.2.206 NMAC, Employment Screening

File closure: Date of application

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

[New - 03/31/2021]

665-022 CAREGIVER EMPLOYMENT CLEARANCE DATABASE:

Division/unit: Caregiver criminal history screening

Maintenance system: Numeric by sequential control number

Record series content: Records concerning background investigations on individuals seeking employment in a caregiver environment. Database may contain demographic information scanned from applicant fingerprint card, department of public safety record of arrest information, federal bureau of investigation record of arrest information, etc. Data is transmitted to the department of public safety via FTP (file transfer protocol) using an ISP (internet service provider) and via secure and encrypted internet transmission to the federal bureau of investigation.

Classification: 1.21.2.206 NMAC, Employment Screening

File closure: Date of input

Confidentiality: Portions of this record are confidential pursuant, but not limited to (29-10 NMSA 1978).

[New - 03/31/2021]

665-023 to 665-030

665-031 PROGRAM REVIEW FILES:

Division/unit: Developmental disabilities support

Maintenance system: Chrono-alphabetical by date and facility name

Record series content: Record concerning program operations. File may contain client activity reports, client census, client record documentation forms, site visit reports, proposal review for continuation applicants, client aftercare plan, work plans, etc.

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Close of fiscal year in which created

[New - 03/31/2021]

665-032 COMMUNITY PROGRAM PROVIDER AGREEMENT FILES:

Division/unit: Developmental disabilities support

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

Record series content: Records concerning contract agreements between the department of health and provider facilities that offer health care to clients eligible for services under the developmental disabilities

and medically fragile waiver programs. File may include contract agreements, agreement amendments, provider information (i.e., federal employee identification numbers, social security numbers, provider medicaid numbers, provider emergency policies, etc.), subcontractor information (i.e., names, addresses, social security numbers, background checks, business license copies, professional licensure copies, etc.), facility surveys, complaints, investigations, moratoriums, final investigation reports, correspondence, etc.

Classification: 1.21.2.601 NMAC, Agreements - Other

File closure: Date of contract agreement expires

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

[New - 03/31/2021]

665-033 to 665-040

665-041 CONSUMER INCIDENT FILES:

Division/unit: Incident management

Maintenance system: Chrono-numerical by fiscal year and case number

Record series content: Record of investigations by the department for alleged incidents of misconduct, abuse, neglect and exploitation of clients by community program agencies. File may contain *incident report form, case summary report, report of findings*, correspondence, etc.

Classification: 1.21.2.634 NMAC, Investigations - Legal Matter Management

File closure: Close of fiscal year in which investigation closed

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

[New - 03/31/2021]

665-042 INCIDENT MANAGEMENT SYSTEM:

Division/unit: Incident management

Maintenance system: Numerical by primary key

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

Classification: 1.21.2.634 NMAC, Investigations - Legal Matter Management

File closure: Date of resolution

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

[New - 03/31/2021]

665-043 COMPLAINT INTAKE INFORMATION FILES:

Division/unit: Incident management

Maintenance system: Alphabetical by facility name, then chronological by date of incident

Record series content: Records concerning an incident that occurred at a licensed health care facility. File may include intake sheet (i.e., name of patient, social security number, medical information, type of incident, etc.), incident report, referral information, facility self report, facility self investigation, assignment of department investigator, adult protective services' summary reports, etc.

Classification: 1.21.2.634 NMAC, Investigations - Legal Matter Management

File closure: Date of compliant resolution

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

[New - 03/31/2021]

665-044 FACILITY (ASPEN) COMPLAINT SYSTEM:

Division/unit: Incident management

Maintenance system: Numerical by primary key

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

Classification:

- (A) **Substantiated:** 1.21.2.656 NMAC, Discipline and Investigations - General
- (B) **Unsubstantiated:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records
- (C) **Complaint intake:** 1.21.2.634 NMAC, Investigations - Legal Matter Management

File closure:

- (A) **Substantiated:** Date of survey
- (B) **Unsubstantiated:** Date of survey
- (C) **Complaint intake:** Date of complaint resolution

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

[New - 03/31/2021]

665-045 COMMUNITY MORTALITY REVIEW FILES:

Division/unit: Incident management

Maintenance system: Chronological by incident management case number, then by date

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

Classification: 1.21.2.816 NMAC, Case Files - Family and Aging

File closure: Date of final decision of review

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

[New - 03/31/2021]

665-046 to 665-050

665-051 PROVIDER FILES:

Division/unit: Quality management

Maintenance system: Alpha-chronological by providers name and calendar year

Record series content: Record concerning the monitoring of quality assurance of health care services by the department of health. File may contain *monitor report*, correspondence, etc.

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Close of the calendar year in which created

[New - 03/31/2021]

665-052 MONITOR WORKING FILES:

Division/unit: Quality management

Maintenance system: Alpha-chronological by provider name and review date

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

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Close of the calendar year in which reviewed

Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-6-1 NMSA 1978 (i.e. all health information that relates to and identifies specific individuals as patients is strictly confidential).
[New - 03/31/2021]

665-053 to 665-060

665-061 INTEGRATED NETWORK FOR PUBLIC HEALTH OFFICIAL RECORDS MANAGEMENT (INPHORM) SYSTEM:

Division/unit: Public health division

Maintenance system: Numeric by primary key

Record series content: System tracks client information and services from the various health programs under the public health division. Application contains databases of current and historical client data, health programs available, services offered, billing information, etc. Input to this system is from records and staff to client one to one contact.

Classification: 1.21.2.121 NMAC, Tracking

File closure: Date of last update

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

[New - 03/31/2021]

665-062 INDIVIDUAL SERVICES ENCOUNTER FORMS:

Division/unit: Public health division

Maintenance system: Chronologically by month

Record series content: Hardcopy input record to the integrated network for public health official records management (INPHORM) system used by staff to collect patient information. Record may contain client name, date of birth, site code, date, program identification number, type of service provided, providers signature, diagnosis code, etc.

Classification: 1.21.2.120 NMAC, Surveys

File closure: Date audit report released

[New - 03/31/2021]

665-063 MASTER INDEX CARDS:

Division/unit: Field operations

Maintenance system: Alphabetical by patient name

Record series content: Record concerning patients treated in each field office. File may contain name, sex, date of birth, marital status, social security number, address, head of household, phone number, patient's x-ray number, identification number, file name; lists immunization history and summary of service, etc.

Classification: 1.21.2.109 NMAC, Indexes and Finding Aids

File closure: Date of final disposition of patient medical record

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

[New - 03/31/2021]

665-064 PHARMACY INVENTORY AND DISPENSATION REGISTRY:

Division/unit: Field operations

Maintenance system: Chronological by date

Record series content: Record concerning inventory of pharmaceuticals stocked and or dispensed in field office pharmacies. File may contain inventory that lists date ordered, number of units ordered, date

received, invoice number, date received, invoice number, and dispensation which lists date, patient, MD, signature of LPN-RN-RPH or MD, balance of perpetual inventory, etc.

Classification: 1.21.2.828 NMAC, Drugs and Controlled Substances

File closure: Close of fiscal year in which created

Confidentiality: Portions of this record are confidential pursuant, but not limited to 14-6-1 NMSA 1978.
[New - 03/31/2021]

665-065 RURAL HEALTH CARE PRACTITIONER TAX CREDIT CERTIFICATION FILES:

Division/unit: Primary and rural health care

Maintenance system: Chronological by date, then alphabetical by surname

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

Classification:

(A) **Certificate issued:** 1.21.2.354 NMAC, Tax Assessments

(B) **Certificate not issued:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure:

(A) **Certificate issued:** Date of certification expiration

(B) **Certificate not issued:** Date of application processed

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-066 NEW MEXICO HEALTH SERVICES STIPEND GRANT FILES:

Division/unit: Primary and rural health care

Maintenance system: Chronological by fiscal year, then alphabetical by surname

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

Classification:

(A) **Approved files:** 1.21.2.122 NMAC, Grant Administration

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

File closure:

(A) **Approved files:** Close of fiscal year from date of completion of service hour requirements or repayment of funds

(B) **Withdrawn or denied applications:** Date denied or withdrawn

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-067 PROFESSIONAL HEALTH CARE ASSESSMENT FILES:

Division/unit: Primary and rural health care

Maintenance system: Chronological by fiscal year, then alphabetical by entity name

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

Classification: 1.21.2.120 NMAC, Surveys
File closure: Close of fiscal year from date of assessment
[New - 03/31/2021]

665-068 RURAL HEALTH CARE CLINIC REPORTS:

Division/unit: Primary and rural health care

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

Record series content: Records documenting the services provided at state funded rural clinics. The reports support determination of funding to clinics that provide health care. Reports may show health care clinic name, number of services provided, type of health service provided (e.g., medical, dental, etc.), type of insurance, patient income, correspondence, etc.

Classification: 1.21.2.117 NMAC, Reports - Historical

File closure: Close of fiscal year from date of report

[New - 03/31/2021]

665-069 RURAL PRIMARY HEALTH CARE DATABASE:

Division/unit: Primary and rural health care

Maintenance system: Numerical by primary key

Record series content: Database tracks and maintains information on services provided at state funded rural clinics. Information may show health care clinic data (e.g., name of clinic, address, etc.), type of health service provided data (e.g., medical, dental, etc.), insurance type data, patient income data, etc.

Classification: 1.21.2.121 NMAC, Tracking

File closure: Close of the fiscal year from date of report

[New - 03/31/2021]

665-070 to 665-080

665-081 FAMILY PLANNING FEE COLLECTION MONTHLY REPORT PACKET:

Division/unit: Family planning

Maintenance system: Chronological by date

Record series content: Record used by local health office to collect fees and track monthly billing. Packet may contain federal fee deposit register, family planning payment ledger, accounting calculator tape tallies, etc.

Classification: 1.21.2.309 NMAC, Ledgers

File closure: Date of final audit report released

[New - 03/31/2021]

665-082 STERILIZATION FILES:

Division/unit: Family planning

Maintenance system: Chronological by date received

Record series content: Record used by authorized staff to track requests and payments for sterilization services. File may contain request for sterilization or family planning services health insurance claim form, correspondence, handwritten notes, etc.

Classification: 1.21.2.301 NMAC, Accounts Payable

File closure: Close of fiscal year in which created

Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 24-1-20 NMSA.

[New - 03/31/2021]

665-083 to 665-090

665-091 APPRENTICE MIDWIFE PERMIT FILES:

Division/unit: Maternal health

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Records documenting the application, issuance and permit history of an apprentice midwife. Files may include *application for midwifery student permit*, copy of high school equivalency credential or high school diploma, *student-instructor relationship* form, copy of permit, payment receipt, renewal application, correspondence, etc.

Classification:

(A) **Permit issued files:** 1.21.2.667 NMAC, Professional Licenses

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

File closure:

(A) **Permit issued files:** Date permit expired or revoked

(B) **Withdrawn or denied applications:** Date application withdrawn or denied

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-092 MIDWIFE LICENSURE FILES:

Division/unit: Maternal health

Maintenance system: Chronological by date, then alphabetical by surname

Record series content:

(A) **Direct-entry midwife licensure files:** Records documenting the application, issuance and licensure history of a certified professional midwife. Files may include *direct-entry midwife license application*, copy of American midwifery board certification, copy of intravenous skills certificate, copy of CPR certificate, copy of neonatal resuscitation program certificate, credential verification report, midwife license exam results, payment receipt, peer review letters, verification of continuing education units, instructor application, quarterly summary report, renewal applications, correspondence, etc.

(B) **Certified nurse midwife licensure files:** Records documenting the application, issuance and licensure history of a certified nurse midwife. Files may include *nurse midwife license application*, copy of registered nurse certificate, copy of American midwifery board certification, credential verification report, payment receipt, peer review letters, verification of continuing education units, renewal applications, correspondence, etc.

Classification:

(A) **License issued files:** 1.21.2.668 NMAC, Professional Licenses - Historical

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

File closure:

(A) **License issued files:** Close of calendar year from date expired or revoked

(B) **Withdrawn or denied applications:** Date application withdrawn or denied

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-093 MIDWIFERY INSTRUCTOR DATABASE:

Division/unit: Maternal health

Maintenance system: Numerical by primary key

Record series content: Database tracks and maintains information regarding licensed midwife instructors. Information may show applicant data (e.g., name, phone number, date midwife license issued, date approved to be an instructor, etc.), etc.

Classification: 1.21.2.667 NMAC, Professional Licenses

File closure: Date of midwife license expiration or revocation

[New - 03/31/2021]

665-094 MIDWIFERY ROSTER DATABASE:

Division/unit: Maternal health

Maintenance system: Numerical by primary key

Record series content: Database tracks and maintains information regarding permitted and licensed midwives. Information may show license or permit data (e.g., name, date license or permit issued, date license or permit expires, city, state, etc.), etc.

Classification: 1.21.2.110 NMAC, Logs

File closure: Close of calendar year from date expired or revoked

[New - 03/31/2021]

665-095 APPRENTICE AND MIDWIFE COMPLAINT AND CASE REVIEW FILES:

Division/unit: Maternal health

Maintenance system: Chronological by date

Record series content: Records documenting the process and resolution of a complaint against an apprentice midwife or a licensed midwife. Files may include *complaint against a midwife* form, investigation report, letter of contemplated action, copy of advisory board minutes of meeting, letter of advisory board recommendations, letter of final decision, correspondence, etc.

Classification:

(A) **Investigations with merit:** 1.21.2.657 NMAC, Discipline and Investigations - Historical

(B) **Investigations without merit:** 1.21.2.656 NMAC, Discipline and Investigations -

General

File closure:

(A) **Investigations with merit:** Date of final action

(B) **Investigations without merit:** Date of investigation report

Confidentiality: Portions of this record may be confidential

[New - 03/31/2021]

665-096 MIDWIFE EXAM AND ANSWER KEY FILES:

Division/unit: Maternal health

Maintenance system: Chronological by date

Record series content: Records documenting the exam and answer key for midwife licensure. Files may include exam and answer key.

Classification: 1.21.2.184 NMAC, Examination and Testing

File closure: Date superseded

[New - 03/31/2021]

665-097 BIRTHING WORKFORCE RETENTION FUND FILES:

Division/unit: Maternal health

Maintenance system: Chronological by fiscal year, then alphabetical by surname

Record series content: Records documenting the application, review and award of funds issued to eligible certified nurse midwives, family practice physicians and obstetricians for supplemental assistances with malpractice insurance premiums. Files may include *birthing workforce retention fund application form*, copy of nurse-midwifery or medicine certification, copy of malpractice liability insurance policy and premiums, proof of medicaid and indigent patients treated, proof of privately insured and non-indigent self-pay patients treated, copy of the award letter, copy of letter of denial, correspondence, etc.

Classification:

(A) **Funding awarded files:** 1.21.2.122 NMAC, Grant Administration

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

File closure:

(A) **Funding awarded files:** Close of fiscal year from date funds awarded

(B) **Withdrawn or denied applications:** Date application withdrawn or denied

[New - 03/31/2021]

665-098 to 665-110

665-111 IMMUNIZATION BIRTH LISTING:

Division/unit: Immunization

Maintenance system: Alphabetical by parent name

Record series content: Record lists parent's name, address, child's name, birth date, county, etc.

Classification: 1.21.2.109 NMAC, Indexes and Finding Aids

File closure: Close of federal fiscal year in which created

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

[New - 03/31/2021]

665-112 CERTIFICATE OF CONSCIENTIOUS OBJECTION TO IMMUNIZATION:

Division/unit: Immunization

Maintenance system: Alphabetical by parent name

Record series content: Record shows school, address, parent, parent's address, and religious foundation for objection, child's name, parent's signature, and notarization.

Classification: 1.21.2.642 NMAC, Waivers and Releases - Legal Matter Management

File closure: Date of objection

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

[New - 03/31/2021]

665-113 SCHOOL AND DAY CARE IMMUNIZATION ROSTERS:

Division/unit: Immunization

Maintenance system: Alphabetical by school and day care names

Record series content: Rosters show students and children under care who are current in their immunizations.

Classification: 1.21.2.109 NMAC, Indexes and Finding Aids

File closure: Close of federal fiscal year in which created

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

[New - 03/31/2021]

665-114 IMMUNIZATION SUMMARY:

Division/unit: Immunization

Maintenance system: Chrono-alphabetical by year and school name

Record series content: Record of yearly student immunizations. Summary shows percentage of students with current immunizations by school.

Classification: 1.21.2.118 NMAC, Reports - Statistical

File closure: Close of federal fiscal year in which created

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

[New - 03/31/2021]

665-115 STANDARD IMMUNIZATION SUMMARY OF TWO YEAR OLD CHILDREN:

Division/unit: Immunization

Maintenance system: Alphabetical by patient name

Record series content: Record concerning immunizations required for children up to age two. File contains a summary of all children enrolled in the program and what immunizations they have gotten and those they need to get.

Classification: 1.21.2.118 NMAC, Reports - Statistical

File closure: Close of federal fiscal year in which created

Confidentiality: Portions of this record are confidential pursuant, but not limited to 14-6-1 NMSA 1978.
[New - 03/31/2021]

665-116 to 665-120

665-121 FAMILIES FIRST CLIENT CASE MANAGEMENT DATABASE:

Division/unit: Families first

Maintenance system: Numerical by primary key

Record series content: Database tracks and maintains information concerning community outreach activities, prenatal care referrals, pediatric care referrals and client satisfaction survey responses. Data may include families first community outreach data (e.g., date of service, activity performed, contact information, type of outreach, anticipation of possible clients, outreach coordinator name, time spent on the activity, etc.), client data (e.g., name, address, demographics, SSN, date of birth, etc.), pediatric client data (e.g., name, address, demographics, SSN, date of birth, etc.), client satisfaction survey response data (e.g., survey date, date received, location, care coordinator, questionnaire, etc.), etc.

Classification:

(A) **Prenatal client data:** 1.21.2.816 NMAC, Case Files - Family and Aging

(B) **Pediatric client data:** 1.21.2.816 NMAC, Case Files - Family and Aging

(C) **Families first community outreach data:** 1.21.2.145 NMAC, Programs - Community and Public Relations

(D) **Client satisfaction survey response data:** 1.21.2.120 NMAC, Surveys

File closure:

(A) **Prenatal client data:** Date of discharge

(B) **Pediatric client data:** Date client reaches age 21

(C) **Families first community outreach data:** Close of federal fiscal year from date of outreach activity

(D) **Client satisfaction survey response data:** Close of calendar year in which survey completed

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-122 CARE COORDINATOR ORIENTATION FILES:

Division/unit: Families first

Maintenance system: Chronological by date, then alphabetical by surname

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

Classification: 1.21.2.252 NMAC, Employee Training Files

File closure: Date of separation from employment

[New - 03/31/2021]

665-123 PRENATAL CARE COORDINATION CLIENT FILES:

Division/unit: Families first

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Records documenting referral guidance for prenatal care assistance to qualified recipients. Files may include application, consent form (e.g., client name, date of birth, address, SSN, client signature, etc.), copy of medicaid card, copy of medical records, case management plan (e.g., referral dates, assessments, narrative notes, discharge summary, etc.), correspondence, etc.

Classification: 1.21.2.816 NMAC, Case Files - Family and Aging

File closure: Date of discharge

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-124 PEDIATRIC CARE COORDINATION CLIENT FILES:

Division/unit: Families first

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Records documenting referral guidance for pediatric care assistance to qualified recipients ages newborn to age three. Files may include application, consent form (e.g., client name, date of birth, address, SSN, signature of legal guardian, etc.), copy of medicaid card, copy of medical records, case management plan (e.g., referral dates, assessments, narrative notes, discharge summary, etc.), correspondence, etc.

Classification: 1.21.2.816 NMAC, Case Files - Family and Aging

File closure: Date client reaches age 21

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-125 FAMILIES FIRST COMMUNITY OUTREACH FILES:

Division/unit: Families first

Maintenance system: Chronological by date, then alphabetical by local health office

Record series content: Records documenting families first community outreach activities. Files may include *families first community outreach* form (e.g., date of service, activity performed, contact information, type of outreach, anticipation of possible clients, outreach coordinator name, time spent on the activity, etc.), correspondence, etc.

Classification: 1.21.2.145 NMAC, Programs - Community and Public Relations

File closure: Close of federal fiscal year from date of outreach activity

[New - 03/31/2021]

665-126 FAMILIES FIRST CLIENT SATISFACTION SURVEY RESPONSE FILES:

Division/unit: Families first

Maintenance system: Chronological by date

Record series content: Records documenting survey and responses concerning services provided to clients. Files may include client satisfaction survey responses.

Classification: 1.21.2.120 NMAC, Surveys

File closure: Close of calendar year in which survey response received

[New - 03/31/2021]

665-127 to 665-140

665-141 WOMEN, INFANTS AND CHILDREN (WIC) SYSTEM:

Division/unit: Women, infants and children

Maintenance system: Numerical by primary key

Record series content: Database tracks and maintains information concerning women, infants and children program participants. Data may include participant data (e.g., name, address, demographics,

etc.), approval data, denial data, nutrition chart data, dual participation data, income data, referral data, etc.

Classification: 1.21.2.813 NMAC, Assistance - Financial

File closure: Close of federal fiscal year from date of denial, revocation or case closed

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-142 WOMEN, INFANTS AND CHILDREN (WIC) CLIENT CASE FILES:

Division/unit: Women, infants and children

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Records documenting the application, eligibility and participation history of women requesting assistance through the WIC program. Files may include copy of referrals, *rights and responsibilities* form, *proxy* forms, income affidavit, copy of medicaid card, list of current prescribed medications, nutrition assessment, proof of residency, undelivered notices, copy of notice of denial, correspondence, etc.

Classification: 1.21.2.813 NMAC, Assistance - Financial

File closure: Close of federal fiscal year from date of denial, revocation or case closed

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-143 HOMELESS FACILITY FILES:

Division/unit: Women, infants and children

Maintenance system: Chronological by date, then alphabetical by facility name

Record series content: Records documenting the agreements between WIC and homeless facilities that provide shelter and meals to participants. Files may include *facilities where homeless institution individuals receive shelter or meal agreement*, homeless WIC participant shelter agreements, *complaint* forms (e.g., person filing the complaint, address, phone number, date, complaint, signature, etc.), investigation report, notice of non-compliance, corrective action plan, correspondence, etc.

Classification: 1.21.2.601 NMAC, Agreements - Other

File closure: Close of federal fiscal year from date agreement withdrawn, revoked or facility closed

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-144 WOMEN, INFANTS AND CHILDREN (WIC) COMMUNITY OUTREACH FILES:

Division/unit: Women, infants and children

Maintenance system: Chronological by date

Record series content: Records documenting WIC community outreach activities. Files may include outreach plan (e.g., date, name of clinic, name of staff conducting outreach, monthly event schedule, etc.), *outreach documentation* form, copy of training materials, correspondence, etc.

Classification: 1.21.2.145 NMAC, Programs - Community and Public Relations

File closure: Close of federal fiscal year from date of outreach activity

[New - 03/31/2021]

665-145 BREAST PUMP FILES:

Division/unit: Women, infants and children

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Records documenting the issuance or loan of breast pumps to clients. Files may include *single breast pump release* form, *multi-user breast pump loan release* form, multi-user breast pump telephone log, copy of multi-user breast pump return letter, correspondence, etc.

Classification: 1.21.2.816 NMAC, Case Files - Family and Aging

File closure: Close of federal fiscal year from date of issuance or return

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-146 BREASTFEEDING PEER COUNSELOR FILES:

Division/unit: Women, infants and children

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Records documenting the employment of individuals to provide breastfeeding counseling to WIC participants. Files may include peer counselor application, interview guide checklist, peer counselor contract, *confidentiality agreement* forms, training requirements checklist, breast pump log, *W-9* form, timesheet forms, *monthly invoice* forms, *work week schedule* forms, vehicle mileage logs, *clinic log-BPC referrals* form, no longer breastfeeding clinic log, closed case summary, correspondence, etc.

Classification: 1.21.2.604 NMAC, Goods and Services

File closure: Close of federal fiscal year from date of termination or contract expiration

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-147 BREASTFEEDING PEER COUNSELOR CLIENT FILES:

Division/unit: Women, infants and children

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Records documenting clients receiving breastfeeding counseling services. Files may include *peer counselor referral* form, *initial prenatal contact* form, *initial breastfeeding contact* form, follow-up checklist (e.g., client name, discussion issues, comments, etc.), correspondence, etc.

Classification: 1.21.2.816 NMAC, Case Files - Family and Aging

File closure: Close of federal fiscal year from date case closed

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-148 WOMEN, INFANTS AND CHILDREN (WIC) VENDOR MONITOR FILES:

Division/unit: Women, infants and children

Maintenance system: Chronological by date, then alphabetical by vendor name

Record series content: Records documenting the application and monitoring of WIC vendors. Files may include vendor applications, vendor pre-authorization inspection reports, WIC transaction reports, stocking and food price records, vendor agreements, *vendor liaison monitoring* forms, *gross foods sales certification affidavit*, *retail vendor self-service in-store level III testing authorization script* forms, *summary of purchase* forms, *description of clerk* forms, letter of changes (e.g. change of bank, change of address, change of management, closure, etc.), copy of denial letters, notice of contemplated action, correspondence, etc.

Classification:

(A) **Approved vendor files:** 1.21.2.347 NMAC, Vendor Management

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

File closure:

(A) **Approved vendor files:** Close of federal fiscal year from date of agreement termination or vendor closure

(B) **Denied vendor files:** Date of denial

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-149 WOMEN, INFANTS AND CHILDREN (WIC) VENDOR TRAINING FILES:

Division/unit: Women, infants and children

Maintenance system: Chronological by date

Record series content: Records documenting training provided to approve WIC vendors. Files may include registration form, sign-in sheet, copy of presentation, etc.

Classification: 1.21.2.251 NMAC, Course Management

File closure: Close of federal fiscal year from date of training

[New - 03/31/2021]

665-150 WOMEN, INFANTS AND CHILDREN (WIC) PROGRAM COMPLAINT FILES:

Division/unit: Women, infants and children

Maintenance system: Chronological by date, then alphabetical by facility name

Record series content: Records documenting complaints on services or products provided by the WIC program. Files may include *complaint* forms, investigation interview notes, copy of findings of fact, copy of final resolution letter, correspondence, etc.

Classification: 1.21.2.142 NMAC, Complaints

File closure: Close of federal fiscal year from date of final resolution

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-151 to 665-160

665-161 FARMERS' MARKET AGREEMENT FILES:

Division/unit: Farmers' market

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

Record series content: Records documenting the agreement, inspection and monitoring of approved farmers' markets, farms and roadside produce stands. Files may include *famers' market agreement* applications (e.g., market number, name of farmers' market, address, day and times of market, market location, market managers name, tax identification number, signature, etc.), *farmer or grower agreement* applications (e.g., farmer or grower identification number, name of authorized farmers' market, name of farm, address, contact person, phone number, list of all market items will be sold, signature, etc.), *farm or roadside stand agreement* applications (e.g., identification number, name of roadside produce stand, address, owner or operators name, tax identification number, signature, etc.), *field report* forms, complaints, copy of corrective action letter, follow-up evaluation, copy of final decision letter, correspondence, etc.

Classification: 1.21.2.601 NMAC, Agreements - Other

File closure: Date of agreement expiration or termination.

[New - 03/31/2021]

665-162 FARMERS' MARKET CHECK ISSUANCE LOGS:

Division/unit: Farmers' market

Maintenance system: Chronological by date, then alphabetical by entity name

Record series content: Logs documenting the distribution of the allotted funds to farmers' market program participants. Logs may include issuing entity name, check number, issued date, participant identification number, participant signature, category identification, etc.

Classification: 1.21.2.110 NMAC, Logs

File closure: Close of federal fiscal year from date of log

[New - 03/31/2021]

665-163 to 665-170

665-171 COMMODITY SUPPLEMENTAL FOOD PROGRAM DATABASE:

Division/unit: Commodity supplemental food

Maintenance system: Numerical by primary key

Record series content: Database tracks and maintains information concerning eligible participants enrolled in the commodity supplemental food program. Data may include participant name, address, date of birth, SSN, income data, eligibility determination data, etc.

Classification:

(A) **Eligible participant data:** 1.21.2.815 NMAC, Assistance - Nutrition

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

Records

File closure:

(A) **Eligible participant data:** Date of discharge or disqualification

(B) **Ineligible participant data:** Date of determination

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-172 COMMODITY SUPPLEMENTAL FOOD PROGRAM PARTICIPANT FILES:

Division/unit: Commodity supplemental food

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Records documenting the application and eligibility determination of individuals to receive monthly food distribution. Files may include application (e.g., name, address, date of birth, SSN, etc.), copy of proof of income (e.g., copy of check stub, social security award letter, etc.), copy of proof of residency, copy of photo identification, *rights and responsibility* form, copy of determination notice, correspondence, etc.

Classification:

(A) **Eligible participant files:** 1.21.2.815 NMAC, Assistance - Nutrition

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

Records

File closure:

(A) **Eligible participant files:** Date of discharge or disqualification

(B) **Ineligible participant files:** Date of determination

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-173 COMMODITY SUPPLEMENTAL FOOD PROGRAM FACILITY MONITORING FILES:

Division/unit: Commodity supplemental food

Maintenance system: Chronological by date, then alphabetical by entity name

Record series content: Records documenting the monitoring of food distribution warehouses and clinics contracted by the state. Files may include copy of contract, *monitoring review* checklist (e.g., entity name, contract number, address, date of review, entity contact person, number of food storage sites, authorized case load, number of distribution sites, summary of findings, recommendations, comments, etc.), monitoring summary reports, copy of monthly invoices, copy of corrective action letter, copy of contract termination letter, correspondence, etc.

Classification: 1.21.2.474 NMAC, General - Inspection

File closure: Close of federal fiscal year in which termination of contract or facility closure

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-174 to 665-180

665-181 MEDICAL MANAGEMENT FILES:

Division/unit: Children's medical services

Maintenance system: None

Record series content: Hard copy input documents used to track client feedback and areas of improvement that are needed. File may contain feedback questionnaires, handwritten reports, notice of action on referral, etc.

Classification: 1.21.2.120 NMAC, Surveys

File closure: Close of fiscal year in which created

[New - 03/31/2021]

665-182 CHILDREN'S MEDICAL SERVICES CLIENT CASE FILES:

Division/unit: Children's medical services

Maintenance system: Chronological by date of birth, then alphabetical by client surname

Record series content: Records concerning the eligibility, registration, authorization, diagnosis and progress of clients eligible for specialty medical services (i.e., genetic, urology, vision, nutrition, etc.). File may include registration form, referral letter, agreement for services, medical release, medical eligibility (i.e., diagnosis, social worker assessment, progress notes, service plan, etc.), nutrition screening, third party MCO information, service renewal, primary appointed custodian documentation, denial letter, closure letter, correspondence, etc.

Classification: 1.21.2.814 NMAC, Assistance - Medical

File closure: Date client reaches the age of 21

Confidentiality: Portions of this record are confidential pursuant to but not limited to Section 14-6-1 NMSA 1978 (i.e., medical information), Health Insurance Portability and Accountability Act of 1996 Public Law 104-191 104th Congress (i.e., health information) and 5 USC, Section 552a (i.e., social security number).

[New - 03/31/2021]

665-183 FAMILY, INFANT, TODDLER EARLY INTERVENTION CLIENT CASE FILES:

Division/unit: Children's medical services

Maintenance system: Chronological by date of birth, then alphabetical by client surname

Record series content: Records concerning early intervention services provided to eligible children (birth to three years of age) with special developmental needs. File may include registration form, authorization, child and family history, family goal setting form, diagnosis and progress of clients eligible for specialty medical services (i.e., genetic, urology, vision, nutrition, etc.), referral letter, agreement for services, medical release, evaluation, medical eligibility (i.e., diagnosis, social worker assessment, progress notes, service plan, etc.), nutrition screening, third party MCO information, service renewal, primary appointed custodian documentation, denial letter, closure letter, correspondence, etc.

Classification: 1.21.2.814 NMAC, Assistance - Medical

File closure: Date client reaches the age of 21

Confidentiality: Portions of this record are confidential pursuant to but not limited to Section 14-6-1 NMSA 1978 (i.e., medical information), Health Insurance Portability and Accountability Act of 1996 Public Law 104-191 104th Congress (i.e., health information) and 5 USC, Section 552a (i.e., social security number).

[New - 03/31/2021]

665-184 to 665-190

665-191 OUTREACH CLINIC FILES:

Division/unit: Outreach clinics

Maintenance system: None

Record series content: Hard copy input used to determine the types of services to be provided. File contains children's medical services clinic enrollment forms, copies of billing information, copies of notes, etc.

Classification: 1.21.2.145 NMAC, Programs - Community and Public Relations

File closure: Close of fiscal year in which created

[New - 03/31/2021]

665-192 CLINICS BILLED FILES:

Division/unit: Outreach clinics

Maintenance system: None

Record series content: Hard copy input to track the services that are billed. File contains clinic sign-in sheet, follow up, CMS telephone clinic registry form, supporting documents, no show listings, insurance billed, etc.

Classification: 1.21.2.303 NMAC, Accounts Receivable

File closure: Close of fiscal year in which created

[New - 03/31/2021]

665-193 CLINICS LIST FILES:

Division/unit: Outreach clinics

Maintenance system: None

Record series content: Hard copy input used to track the types of services available. File contains information about the specific service that will be provided, clinic's municipality, telephone clinic registry forms, supporting documents, CMS cleft palate clinic check off and client checklist, etc.

Classification: 1.21.2.121 NMAC, Tracking

File closure: Close of fiscal year in which created

[New - 03/31/2021]

665-194 PROVIDER PAYMENT TRACKING FORMS:

Division/unit: Outreach clinics

Maintenance system: Alphabetically by provider name

Record series content: Hard copy output used to track payments made to providers. Form may contain service date, clinic municipality, client name and address, follow up, etc.

Classification: 1.21.2.301 NMAC, Accounts Payable

File closure: Date audit report is released

[New - 03/31/2021]

665-195 PROVIDER PAYMENT FILES:

Division/unit: Outreach clinics

Maintenance system: None

Record series content: Hard copy input used to determine which providers will be paid for services. File contains provider list of attendance, supporting documentation, etc.

Classification: 1.21.2.301 NMAC, Accounts Payable

File closure: Close of fiscal year in which created

[New - 03/31/2021]

665-196 to 665-200

665-201 HEALTHIER KIDS FUND CLIENT FILES:

Division/unit: Healthier kids fund

Maintenance system: Chronologically by client's last name

Record series content: Hard copy records of clients served by the children's medical services healthier kids fund program. Files contain client name, date of birth, address, parent name, care coordinator name, registration form, program summary, consultant referral, needs assessment, progress notes, etc.

Classification: 1.21.2.814 NMAC, Assistance - Medical

File closure: Close of federal fiscal year in which case closed

Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 24-1-20 NMSA 1978)

[New - 03/31/2021]

665-202 CONFIDENTIAL SERVICES FILES:

Division/unit: Healthier kids fund

Maintenance system: Alphabetical by client's last name

Record series content: File may contain children's medical services healthier kids fund registration confidential services form, program summary, needs assessment, progress notes, etc.

Classification: 1.21.2.814 NMAC, Assistance - Medical

File closure: Close of federal fiscal year in which case closed

Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 24-1-20 NMSA 1978.

[New - 03/31/2021]

665-203 to 665-210

665-211 DENTAL HEALTH LOGS:

Division/unit: Oral health

Maintenance system: Chronological by fiscal year, then alphabetical by school name

Record series content:

(A) **Dental health services sealant log:** Records documenting dental health sealant services provided to children first through twelfth grade. Log may show school name, number of eligible children, ethnicity, gender, services rendered, participation rates, number of children signed up, number of non-consent forms returned, number of children screened, number of sealants received by grade level, total number of teeth sealed, number of sealants that remain on past patients, date sealant(s) received, case management referral status, etc.

(B) **Dental health services fluoride varnish log:** Records documenting the dental health fluoride varnish services provided to pre-school children. Log may show child name, name of school, date of service, insurance status, primary dental provider, total number receiving incentives, classifications for tooth decay, case management referral status, type of treatment needed, parent notification status, etc.

(C) **Dental case management sealant log:** Records documenting children, first through twelfth grade, needing additional dental treatment. Log may show child name, ethnicity, insurance status, primary dental provider status, dental education received, screening status, date of sealant services, case management comments, etc.

(D) **Dental case management fluoride varnish log:** Records documenting pre-school children needing further dental treatment. Log may show child name, ethnicity, insurance status, primary dental provider status, dental education received, screening status, history of dental treatment, incentives received, classification of care, change in diagnosis, total amount of students per visit, letter to parents, case management comments, etc.

Classification: 1.21.2.121 NMAC, Tracking

File closure: Close of fiscal year from date of program annual report

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-212 ORAL HEALTH SCHOOL FILES:

Division/unit: Oral health

Maintenance system: Chronological by fiscal year, then alphabetical by school name

Record series content: Records documenting clinics provided to public schools. Files may include *school information sheet for school year*, list of teachers (e.g., grade level taught, classroom number, etc.), copy of class roster, tally sheet (e.g., name of school, region, exam or sealant dates, total participants, total screened, retention check, etc.), copy of clinic completion letter, list of students recommended for further treatment, correspondence, etc.

Classification: 1.21.2.108 NMAC, Distribution, Mailing and Contact Lists

File closure: Close of fiscal year from date clinic completed

[New - 03/31/2021]

665-213 DENTAL HEALTH SEALANT CASE MANAGEMENT FILES:

Division/unit: Oral health

Maintenance system: Chronological by fiscal year, then alphabetical by school name, then by child surname

Record series content: Records documenting the tracking of follow-up notification and progress to parents with children who have been identified as needing additional dental treatment. Files may include copy of consent form, copy of list of children needing further dental treatment, progress chart, correspondence, etc.

Classification: 1.21.2.121 NMAC, Tracking

File closure: Close of fiscal year from date of last parent contact

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-214 DENTAL HEALTH SCREENING FORMS:

Division/unit: Oral health

Maintenance system: Chronological by date, then alphabetical by health fair name

Record series content: Records documenting the participation of individuals during a health fair. Forms may show date, oral cancer examination, screener name, name of participant, primary dental provider status, insurance status, mailing address, e-mail address, phone number, comments, etc.

Classification: 1.21.2.145 NMAC, Programs - Community and Public Relations

File closure: Date of last participant contact

[New - 03/31/2021]

665-215 to 665-220

665-221 CANCER SCREENING TRACKING FORMS:

Division/unit: Cancer outreach

Maintenance system: Alphabetical by patient name

Record series content: Record concerning the tracking of cancer diagnoses reported to the program. Form shows patient name, where referred, reason for referral, follow-up, etc.

Classification: 1.21.2.121 NMAC, Tracking

File closure: Date of report

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

[New - 03/31/2021]

665-222 to 665-230

665-231 FEDERAL REFUGEE REPORTS:

Division/unit: Refugee health care

Maintenance system: Chronological by date

Record series content: Periodic statistical reports submitted to the federal regional office for grant compliance.

Classification: 1.21.2.413 NMAC, Federal Compliance and Reporting

File closure: Close of federal fiscal year in which submitted

[New - 03/31/2021]

665-232 to 665-240

665-241 EMERGENCY MEDICAL PERSONNEL LICENSURE DATABASE:

Division/unit: Emergency medical services

Maintenance system: Numerical by primary key

Record series content: Database used for tracking and maintaining information regarding licensed emergency medical dispatchers, emergency medical dispatcher instructors, emergency medical services first responders and EMTs. Data may include licensure application data (e.g., name, address, work address, etc.), parental responsibility data, certification history data, continuing education data, licensure renewal data, etc.

Classification:

(A) **License issued data:** 1.21.2.667 NMAC, Professional Licenses

(B) **Application denied data:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure:

(A) **License issued data:** Date of licensure expiration, revocation or withdrawal

(B) **Application denied data:** Date application is denied

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-242 EMERGENCY MEDICAL PERSONNEL LICENSURE FILES:

Division/unit: Emergency medical services

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Records documenting the application and licensure history of emergency medical dispatchers, emergency medical dispatcher instructors, emergency medical services first responders and emergency medical technicians (e.g., basic, intermediate and paramedic). Files may include application, verification of continuing education units, verification of alternative continuing education units, copy of certification in a special skill, *refresher blueprint documentation form*, copy of approved refresher certificate, copy of cardiopulmonary resuscitation card, copy of advanced cardiac life support card, EMT reciprocity application, EMT paramedic reciprocity application, copy of advanced emergency medical technician certification, workforce demographic survey, parental consent form, copy of license issued, renewal application, re-entry application, change of address form, correspondence, etc.

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Application denied ata:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure:

(A) **License issued:** Date of licensure expiration, revocation or withdrawal

(B) **Application denied:** Date application is denied

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-243 EMERGENCY MEDICAL SERVICES FUND ACT FILES:

Division/unit: Emergency medical services

Maintenance system: Chronological by date, then alphabetical by EMS service name

Record series content: Records documenting the application for funds available through the EMS Fund Act. Files may include *EMS Fund Act local funding program application, special project application* (e.g., local system improvement application, vehicle purchase application, statewide system improvement application, etc.), EMS annual service report, copy of award of funds letter, copy of check issued, request for extension, carryover requests, letter of appeal, copy of statewide advisory board decisions, correspondence, etc.

Classification: 1.21.2.122 NMAC, Grant Administration

File closure: Close of fiscal year in which funds awarded or application denied
[New - 03/31/2021]

665-244 NEW MEXICO EMERGENCY MEDICAL SERVICES TRACKING AND REPORTING SYSTEM (NMEMSTARS):

Division/unit: Emergency medical services

Maintenance system: Numerical by primary key

Record series content: Database tracks and maintains information on pre-hospital patient care reports submitted by EMS agencies. Data may include date of response, patient's name, patient demographic information, reason for dispatch, protocols administered, name of hospital patient taken to, etc.

Classification: 1.21.2.121 NMAC, Tracking

File closure: Date of report

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-245 EMERGENCY MEDICAL SERVICES IMPAIRED PRACTITIONER PROGRAM CONTRACT FILES:

Division/unit: Emergency medical services

Maintenance system: Chronological by date, then alphabetical by practitioner surname

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

Classification: 1.21.2.208 NMAC, Programs - Employer and Labor Services

File closure: Date of contract fulfillment

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-246 EMERGENCY MEDICAL SERVICES CONTINUING EDUCATION PROVIDER APPROVAL FILES:

Division/unit: Emergency medical services

Maintenance system: Chronological by date, then alphabetical by provider name

Record series content: Records documenting the application and approval history of EMS continuing education program providers. Files may include *notification of intent to conduct a continuing education program*, continuing education program schedule, correspondence, etc.

Classification:

(A) **Provider approved:** 1.21.2.402 NMAC, Courses and Programs

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

File closure:

(A) **Provider approved:** Date of expiration, revocation or withdrawal

(B) **Application denied:** Date application denied

[New - 03/31/2021]

**665-247 EMERGENCY MEDICAL SERVICES CONTINUING EDUCATION PROVIDER
AUDIT FILES:**

Division/unit: Emergency medical services

Maintenance system: Chronological by date, then alphabetical by provider name

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

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Date of audit or date of final disposition

[New - 03/31/2021]

665-248 EMERGENCY MEDICAL SERVICE AGENCY CERTIFICATION FILES:

Division/unit: Emergency medical services

Maintenance system: Chronological by date, then alphabetical by service agency name

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

Classification:

(A) **Certification issued:** 1.21.2.405 NMAC, Hospitals and Medical

(B) **Application withdrawn or denied:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

(A) **Certification issued:** Date of certification expiration or revocation

(B) **Application withdrawn or denied:** Date application withdrawn or denied

[New - 03/31/2021]

665-249 AIR AMBULANCE CERTIFICATION FILES:

Division/unit: Emergency medical services

Maintenance system: Chronological by date, then alphabetical by company name

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

Classification:

(A) **Certification issued:** 1.21.2.652 NMAC, Business Licenses

(B) **Withdrawn or denied application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn

Records

File closure:

(A) **Certification issued:** Date of certification expiration or revocation

(B) **Withdrawn or denied application:** Date application withdrawn or denied

[New - 03/31/2021]

665-250 EMERGENCY MEDICAL SERVICES INVESTIGATION FILES:

Division/unit: Emergency medical services

Maintenance system: Chronological by date, then alphabetical by agency or surname

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

Classification:

(A) Investigations resulting in proposal of a disciplinary action: 1.21.2.656 NMAC, Discipline and Investigations - General

(B) Investigations not resulting in proposal of a disciplinary action: 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure:

(A) Investigations resulting in proposal of a disciplinary action: Date of final administrative decision

(B) Investigations not resulting in proposal of a disciplinary action: Date investigation completed

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-251 TRAUMA FACILITY DESIGNATION FILES:

Division/unit: Emergency medical services

Maintenance system: Chronological by date, then alphabetical by facility name

Record series content: Records documenting the application and designation history of trauma facilities. Files may include application, inspection reports, recommendations for designation, correspondence, etc.

Classification:

(A) Designation granted: 1.21.2.405 NMAC, Hospitals and Medical

(B) Designation withdrawn: 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure:

(A) Designation granted: Date of designation expiration or revocation

(B) Designation withdrawn: Date designation withdrawn

[New - 03/31/2021]

665-252 NEW MEXICO STATE TRAUMA REGISTRY DATABASE:

Division/unit: Emergency medical services

Maintenance system: Numerical by primary key

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

Classification: 1.21.2.121 NMAC, Tracking

File closure: Date criteria determination is made

[New - 03/31/2021]

665-253 CARDIAC ARREST TARGETED RESPONSE PROGRAM REGISTRATION FILES:

Division/unit: Emergency medical services

Maintenance system: Chronological by date, then alphabetical by entity

Record series content: Records documenting the registration history of an automated external defibrillator program to an agency, business or facility. Files may include application for registration, copy of cardiac arrest response program certificate, copy of proof of certification for targeted trained responders (e.g., copy of AED or cardiopulmonary resuscitation card), list of trained targeted responders,

medical director approved medical protocols, medical director contract agreement, AED usage reports, quality assurance review documentation, copies of AED equipment purchase and maintenance records, *notification of AED program form, AED usage data collection form, guidelines for establishment of an AED program form, renewal applications, correspondence, etc.*

Classification: 1.21.2.834 NMAC, Programs - Hospital and Medical

File closure: Date of expiration or withdrawal of program

[New - 03/31/2021]

665-254 to 665-260

665-261 NEW MEXICO RISK FACTOR SURVEILLANCE SYSTEM:

Division/unit: Injury and behavioral health

Maintenance system: Numerical by primary key

Record series content: System tracks and maintains information gathered through participant responses as a result of phone surveillance surveys. Health behaviors related to chronic health conditions is collected for statistical purposes. Data may include age, gender, location, ethnicity, marital status, income, participant responses, etc.

Classification: 1.21.2.120 NMAC, Surveys

File closure: Date file created

[New - 03/31/2021]

665-262 EPIDEMIOLOGY DAILY LOGS:

Division/unit: Epidemiology

Maintenance system: Chronological by week then year

Record series content: Record of 24-hour on-call activity. File contains the reports of notifiable diseases.

Classification: 1.21.2.110 NMAC, Logs

File closure: Date on log

[New - 03/31/2021]

665-263 NEW MEXICO EPIDEMIOLOGY REPORTS:

Division/unit: Epidemiology

Maintenance system: Chronological by month then year

Record series content: Monthly newsletter publication that includes diseases reported by select notifiable districts for the month.

Classification: 1.21.2.114 NMAC, Publications

File closure: Date of publication.

[New - 03/31/2021]

665-264 LABORATORY REPORTS:

Division/unit: Epidemiology

Maintenance system: Chronological by date of report

Record series content: Reports of notifiable diseases received from state and private laboratories in New Mexico and other out-of-state contract labs.

Classification: 1.21.2.827 NMAC, Disease Management - Hospital and Medical

File closure: Date of report

[New - 03/31/2021]

665-265 WEEKLY REPORT OF NOTIFIABLE DISEASES:

Division/unit: Epidemiology

Maintenance system: Chronological by date

Record series content: Report on a weekly basis that is a compilation of notifiable diseases statistics submitted to the national center for disease control and prevention.

Classification: 1.21.2.118 NMAC, Reports - Statistical

File closure: Date of report

[New - 03/31/2021]

665-266 ANNUAL REPORTS OF NOTIFIABLE DISEASES:

Division/unit: Epidemiology

Maintenance system: Chronological by month then year

Record series content: Record on a yearly basis concerning the compilation of notifiable diseases statistics submitted to the national center for disease control and prevention. Report includes annual summary of encephalitis, annual summary of other reportable diseases, annual summary of confirmed cases of rabies, annual summary of certain notifiable diseases by age, etc.

Classification: 1.21.2.117 NMAC, Reports - Historical

File closure: Date of report

[New - 03/31/2021]

665-267 OUTBREAK FILES:

Division/unit: Epidemiology

Maintenance system: Numerically by outbreak number

Record series content: Record concerning outbreaks of notifiable diseases. File may contain reports, data, analyses, questionnaires, press releases, etc.

Classification: 1.21.2.827 NMAC, Disease Management - Hospital and Medical

File closure: Date file created

[New - 03/31/2021]

665-268 PUBLIC HEALTH ORDERS:

Division/unit: Epidemiology

Maintenance system: Chronologically by date

Record series content: Legal orders issued to prevent the spread of a disease.

Classification: 1.21.2.495 NMAC, Orders and Proclamations

File closure: Date order issued

[New - 03/31/2021]

665-269 CHILD FATALITY REVIEW FILES:

Division/unit: Epidemiology

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

Record series content: Records concerning the review of all reported deaths of children due to fatal injury or other undetermined cause (i.e., motor vehicle, suicide, homicide, unexpected death, abuse and neglect, etc.). Files may include case reports, office of the medical investigator reports of death, police reports, school records, disciplinary histories, children, youth and family intervention records, hospital records, psychiatric evaluations, medical records, etc.

Classification: 1.21.2.121 NMAC, Tracking

File closure: Date of death

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

[New - 03/31/2021]

665-270 to 665-280

665-281 TUBERCULOSIS CASE FILES:

Division/unit: Tuberculosis prevention and control

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Records documenting the confirmation, treatment and follow-up care of individuals possibly infected with the tuberculosis disease. Files may include tuberculosis report, *tuberculosis skin test screening* forms, tuberculosis contact investigation interview worksheets, laboratory reports, laboratory results, medications, x-ray results, report of tuberculosis contacts, request for radiographic services, *drug therapy for treatment* forms, patient agreement treatment care plans, direct observation therapy monthly logs, treatment of tuberculosis disease monthly monitoring flow sheets, correspondence, etc.

Classification: 1.21.2.827 NMAC, Disease Management - Hospital and Medical

File closure: Date of completion of treatment or date of result

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-282 to 665-290

665-291 VENEREAL DISEASE EPIDEMIOLOGIC REPORTS:

Division/unit: Sexually transmitted diseases

Maintenance system: Alphabetical by contact and patient name

Record series content: Report shows date initiated, age, race, sex, marital status, contact, source, disease suspected, referral, investigator, disposition, etc.

Classification: 1.21.2.118 NMAC, Reports - Statistical

File closure: Close of calendar year from date created

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

[New - 03/31/2021]

665-292 SEXUALLY TRANSMITTED INFECTION SURVEILLANCE CASE FILES:

Division/unit: Sexually transmitted diseases

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Records documenting the report, confirmation and follow-up care of individuals confirmed with a sexually transmitted infection. Files may include *morbidity report* forms, (e.g., patients name, address, date of birth, provider information, lab results, type of infection, treatment information, etc.), partner contact information, etc.

Classification: 1.21.2.827 NMAC, Disease Management - Hospital and Medical

File closure: Date of treatment

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-293 to 665-300

665-301 MEDICAL SUPPLY INVENTORY:

Division/unit: Pharmacy

Maintenance system: Chrono-alphabetical by year and then name

Record series content: Record of all medical supplies on hand. File may contain purchase information, requisition number, date of receipt, vendor, number of units, lot number, expiration date, drug repackage information, amount repackaged and date, disbursement information, date of disbursement, clinic, lot number, expiration date, number of units, stock balance, etc. for medical supplies, drugs and vaccines.

Classification: 1.21.2.317 NMAC, Inventories

File closure: Close of fiscal year in which created

[New - 03/31/2021]

665-302 AUTHORIZED DESTROYED GOODS LOGS:

Division/unit: Pharmacy

Maintenance system: Chronological by date

Record series content: Record of medical supplies, drugs and vaccines destroyed when unusable and cannot be returned to manufacturer for credit or replacement.

Classification: 1.21.2.318 NMAC, Surplus and Disposal

File closure: Close of fiscal year in which created

[New - 03/31/2021]

665-303 HIV PRESCRIPTION MEDICATION SHIPPING LOGS:

Division/unit: Pharmacy

Maintenance system: Chronological by date of entry

Record series content: Record concerning the shipment of HIV prescription drugs to patients. File may show date of shipment, name and address of patient, weight of package, etc.

Classification: 1.21.2.110 NMAC, Logs

File closure: Date of last entry

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

[New - 03/31/2021]

665-304 VACCINES FOR CHILDREN (VFC) ORDERS AND SHIPPING RECORDS:

Division/unit: Pharmacy

Maintenance system: Chrono-alphabetical by provider name and date of shipment

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

Classification: 1.21.2.828 NMAC, Drugs and Controlled Substances

File closure: Date of shipment

[New - 03/31/2021]

665-305 FEDERAL EXPRESS SHIPPING LOG-CHILDREN'S VACCINE PROGRAM:

Division/unit: Pharmacy

Maintenance system: Chronological by date of entry

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

Classification: 1.21.2.110 NMAC, Logs

File closure: Date of last entry

[New - 03/31/2021]

665-306 QSI DATA SYSTEM:

Division/unit: Pharmacy

Maintenance system:

Record series content: System tracks patient name, prescriptions, diagnoses, refills shipment date, shipment address, etc.

Classification: 1.21.2.121 NMAC, Tracking

File closure: Date of last entry

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

[New - 03/31/2021]

665-307 PATIENT DATA FORMS:

Division/unit: Pharmacy

Maintenance system: Numerically by prescription number

Record series content: Record concerning vital information from aids patients and the prescription medication they obtain through the pharmacy bureau. File may contain name social security number, DOB, address, eligibility status, insurance information, diagnosis, prescription medications currently taken, prescribing doctor name, caseworker name and notes, referral information, etc.

Classification: 1.21.2.828 NMAC, Drugs and Controlled Substances

File closure: Date of last of service

Confidentiality: Portions of this record are confidential pursuant, but not limited to 14-6-1 NMSA 1978.
[New - 03/31/2021]

665-308 HIV PRESCRIPTION FILES:

Division/unit: Pharmacy

Maintenance system: Chrono-numeric by date of service and prescription number

Record series content: Record concerning prescription medications issued to HIV patients. File may contain original prescription, refill log, dates and amounts issued of each drug prescribed, billing record for the medications that are covered by insurance.

Classification: 1.21.2.828 NMAC, Drugs and Controlled Substances

File closure: Date of last of service

Confidentiality: Portions of this record are confidential pursuant, but not limited to 14-6-1 NMSA 1978.
[New - 03/31/2021]

665-309 PHARMACY DATABASE:

Division/unit: Pharmacy

Maintenance system: Numerical by primary key

Record series content: Database tracks medical supplies orders and prescription drug orders by type of item ordered, quantity of supplies and prescription drugs ordered, field office location etc.

Classification: 1.21.2.317 NMAC, Inventories

File closure: Date of last entry

[New - 03/31/2021]

665-310 ORDER FORMS:

Division/unit: Pharmacy

Maintenance system: Numerically by district number

Record series content: Record concerning orders from field offices for medical supplies and prescription drugs. File may contain, field office number, date of order, items ordered, quantity ordered, shipment address, etc.

Classification: 1.21.2.317 NMAC, Inventories

File closure: Close of fiscal year in which created

[New - 03/31/2021]

665-311 FORMULARY RECORDS:

Division/unit: Pharmacy

Maintenance system:

Record series content: Record concerning the list of prescription drugs maintained in the pharmacy bureau inventory and at field offices, clinics, and doctor's offices.

Classification: 1.21.2.317 NMAC, Inventories

File closure: Date updated

[New - 03/31/2021]

665-312 to 665-320

665-321 BIRTH RECORD FILES:

Division/unit: Vital records and health statistics

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

Record series content: Records maintained pursuant to the Vital Statistics Act which requires all live births that occur in the state to be registered with the state registrar. Birth records, information or reports may be filed and registered by photographic, electronic or other formats as prescribed by the state registrar.

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

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

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

(D) **Adoption of foreign born birth record:** Records documenting the establishment of certificate of a birth for a person of foreign birth adopted under New Mexico law. File may include proof of adoption, court order, correspondence, etc.

Classification: 1.21.2.851 NMAC, Births and Deaths

File closure: Close of the calendar year in which birth occurred

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

[New - 03/31/2021]

665-322 BIRTH INDEX REPORT:

Division/unit: Vital records and health statistics

Maintenance system: Chronological by date

Record series content: Report listing births that occurred in the state of New Mexico for the year reported. Report shows full name, DOB, county, etc. Reports prepared are required by the department of health of all births in the state of New Mexico.

Classification: 1.21.2.851 NMAC, Births and Deaths

File closure: Close of the calendar year in which birth occurred

Confidentiality: This record is confidential pursuant to Section 24-14-27 NMSA 1978, Disclosure of records Subsection C. When 100 years have elapsed after the date of birth or 50 years have elapsed after the date of death, the vital records of these events in the custody of the state registrar shall become open public records, and information shall be made available in accordance with regulations that provide for

the continued safekeeping of the records; provided that vital records of birth shall not become open public records prior to the individual's death.

[New - 03/31/2021]

665-323 ACKNOWLEDGEMENT OF PATERNITY FILES:

Division/unit: Vital records and health statistics

Maintenance system: Chronological by date, then alphabetical by child's surname

Record series content: Records concerning the acknowledgement of paternity pursuant to the New Mexico Uniform Parentage Act Sections 40-11A-101 through 40-11A-903 NMSA 1978. File may include acknowledgement of paternity statement (i.e., father's name, address, SSN, race, ethnicity, education level, signature, notary signature, original birth certificate, court order to adjudicate parentage, denial of paternity, etc.).

Classification: 1.21.2.851 NMAC, Births and Deaths

File closure: Close of the calendar year in which births occurred

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

[New - 03/31/2021]

665-324 REQUEST FOR INCLUSION TO THE PUTATIVE FATHER REGISTRY FILES:

Division/unit: Vital records and health statistics

Maintenance system: Alphabetical by surname

Record series content: Records documenting the requests for inclusion into the putative father registry for the purpose of protecting the parental rights of fathers who affirmatively assume responsibility for children they may have fathered. File may include notice of intent to claim paternity, acknowledgement of paternity (i.e., father's name, DOB, SSN, current address, etc.), child information (i.e., child's name, DOB, place of birth, etc.), biological mother's information (i.e., mother's name, DOB, place of birth, SSN, address, etc.), statement of putative father, court order, acknowledgement of paternity copy, etc.

Classification: 1.21.2.851 NMAC, Births and Deaths

File closure: Close of the calendar year in which birth occurred

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

[New - 03/31/2021]

665-325 PUTATIVE FATHER REGISTRY:

Division/unit: Vital records and health statistics

Maintenance system: Alphabetical by surname

Record series content: Registry maintained by the department documenting the acknowledgement of paternity by fathers who are willing to assume responsibility for children they may have fathered.

Registry may include putative father information (i.e., father's name, DOB, SSN, address, etc.); child information (i.e., child's name, DOB, place of birth, etc.); biological mother's information (i.e., mother's name, DOB, Place of birth, SSN, address, etc.); etc.

Classification: 1.21.2.851 NMAC, Births and Deaths

File closure: Close of the calendar year in which birth occurred

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

[New - 03/31/2021]

665-326 PUTATIVE FATHER REGISTRY SEARCH FILE:

Division/unit: Vital records and health statistics

Maintenance system: Chronological by date

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

Classification: 1.21.2.518 NMAC, Information Release

File closure: Date annual financial audit report is signed and released

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

[New - 03/31/2021]

665-327 PUTATIVE FATHER REGISTRY SEARCH LOG:

Division/unit: Vital records and health statistics

Maintenance system: Alphabetical by surname

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

Classification: 1.21.2.110 NMAC, Logs

File closure: Date annual financial audit report is signed and released

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

[New - 03/31/2021]

665-328 DEATH INDEX REPORT:

Division/unit: Vital records and health statistics

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Report listing deaths that occurred in the state of New Mexico for the year reported. Report is output from the *vital records system*, 665-03151 NMAC. Report shows full name, date of death, county, etc.

Classification: 1.21.2.851 NMAC, Births and Deaths

File closure: Close of the calendar year in which death occurred

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

[New - 03/31/2021]

665-329 SEARCH APPLICATION FOR CERTIFIED BIRTH OR DEATH CERTIFICATE:

Division/unit: Vital records and health statistics

Maintenance system: Chronological by date

Record series content: Record of search applications for certified birth or death certificates. Input to *vital records system*, 665-03151 NMAC. File may include application (i.e., requester name, address, birth date, death date, certificate amount, fees paid, type of payment, etc), etc.

Classification: 1.21.2.518 NMAC, Information Release

File closure: Date annual financial audit report is signed and released

[New - 03/31/2021]

665-330 DEATH RECORD FILES:

Division/unit: Vital records and health statistics

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

Record series content: Records maintained pursuant to the Vital Statistics Act which requires death certificates for each death that occurs in the state to be filed with the state registrar within five days after the death and prior to final disposition.

(A) Death registration: Records documenting each death in the state of New Mexico. Files may include imaged copy of death certificate (i.e., deceased name; social security number; birth date; date, time and cause of death of death; attending physician; etc.), medical certification of cause of death, amended imaged copy of death certificate, etc.

(B) Delayed death registration: Records documenting a delayed registration of death filed in accordance with state statute. File may include certificate of death, affidavit of the person filing the certificate swearing to the accuracy of the information on the certificate, two documents which identify the decedent and his or her date and place of death, a summary of which shall be placed on the certificate

Classification: 1.21.2.851 NMAC, Births and Deaths

File closure: Close of the calendar year in which death occurred

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

[New - 03/31/2021]

665-331 MISSING CHILD REPORT:

Division/unit: Vital records and health statistics

Maintenance system: Alphabetical by child's surname

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

Classification: 1.21.2.638 NMAC, Missing Person Files

File closure: Date child is recovered
[New - 03/31/2021]

665-332 INDUCED TERMINATION OF PREGNANCY STATISTICAL REPORT FILES:

Division/unit: Vital records and health statistics

Maintenance system: Chronological by date

Record series content: Report contains statistical information only pertaining to induced terminations of pregnancies for the year reported. This is a statistical report used only for medical and health purposes. Report shows type of facility, location of facility, race, ethnic background, tribal affiliation, age, type of procedure used, etc.

Classification: 1.21.2.117 NMAC, Reports - Historical

File closure: Date of report

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

[New - 03/31/2021]

665-333 SPONTANEOUS FETAL DEATH REPORT FILES:

Division/unit: Vital records and health statistics

Maintenance system: Chronological by fiscal year, then alphabetical by county

Record series content: Report listing spontaneous fetal deaths that occurred in New Mexico for the year reported. Report may include the parents name, date, time and cause of fetal death, attending physician, ethnicity, county, etc.

Classification: 1.21.2.117 NMAC, Reports - Historical

File closure: Date of report

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

[New - 03/31/2021]

665-334 BURIAL-TRANSIT PERMIT FILES:

Division/unit: Vital records and health statistics

Maintenance system: Alphabetical by surname

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

Classification: 1.21.2.653 NMAC, Business Licenses - Historical

File closure: Close of the calendar year in which permit issued

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

[New - 03/31/2021]

665-335 DISINTERMENT AND REINTERMENT PERMIT FILES:

Division/unit: Vital records and health statistics

Maintenance system: Chronological by date, then alphabetical by surname

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

Classification: 1.21.2.851 NMAC, Births and Deaths

File closure: Close of the calendar year in which permit issued

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

[New - 03/31/2021]

665-336 VITAL RECORDS SYSTEM:

Division/unit: Vital records and health statistics

Maintenance system: Numerical by primary key

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

Classification: 1.21.2.851 NMAC, Births and Deaths

File closure:

(A) **Birth data:** Close of the calendar year in which birth occurred

(B) **Death data:** Close of the calendar year in which death occurred

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

[New - 03/31/2021]

665-337 to 665-350

665-351 ANALYTICAL REQUEST FORMS:

Division/unit: Scientific lab division

Maintenance system:

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

(B) **All other sections:** Filed in section's corresponding case file

Record series content: Forms may contain SLD accession number; date and time of receipt; submitter name, code and address; analysis requested; user code, address and telephone number; patient or donor name, address, gender, race or ethnic group, date of birth, and social security or medicaid number; physician or clinician name, telephone number and signature; specimen collection date, source and type;

WSS code and name; collector name, sample location, date and time collected, county, type of system, reason for sampling; producer name, code, brand name, type of product, priority and number; user site identification number; facility name, address, location, county and city; send report to name, field data and preservation(s); latitude and longitude; sampling information; field date; preparation of sample for analysis; chain of custody signatures and dates; volatile and semi-volatile analyses information; external case number; name of technician who drew and sealed specimen, deliver person name and date; receiving person name, date and time; lab remark or comments; analyst signature or initials; etc. Back of request form may contain specimen chain of custody form.

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date file created

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

[New - 03/31/2021]

665-352 VETERINARY RABIES SUBMISSION FORMS:

Division/unit: Scientific lab division

Maintenance system:

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

(B) **All other sections:** Filed in section's corresponding case file

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

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date file create

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

[New - 03/31/2021]

665-353 WORKSHEET:

Division/unit: Scientific lab division

Maintenance system:

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

(B) **All other sections:** Filed in section's corresponding case file

Record series content: Worksheet may contain date received, SLD accession number, submitter name, address and telephone number; specimen or sample requiring analysis; name of patient or person exposed, identification number and status; gonorrhea or chlamydia number; source of specimen; test date and name or number; results or findings; technicians name or initials; quality control information and check by name; AS number; species; submitter name and municipality; results, person and date contacted; comments; room temperature; rotator speed; control number; endpoint dilution; rejected specimen number and reason; collection point or location, date and time; (WSS) number, type of system; batch number; inhibitor count; plating date; medium used; reactions; TB number; date media prepared or inoculated, dilutions inoculated, sensitivity testing, results, presumptive identification name; submitting facility; reported to name(s); final identification; conventional work notes; volume or weight used; raw data; run number; BAC and average BAC; test results, report date, and analysts initials; reviewers signature, etc.

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date file created

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

[New - 03/31/2021]

665-354 LEDGER (SPECIMEN LOG):

Division/unit: Scientific lab division

Maintenance system: Chronological by date and SLD accession number

Record series content: hardcopy output record from the biology, chemistry or toxicology database used to document the verification of the accuracy of data migration, information for other testing, QC information, diet monitoring, analytical process, corrections and results, and to allocate workload, etc.

Ledger may contain ledger name and date; specimen or sample names and types; donors or patient names; parent names, addresses and telephone numbers; time specimens in; collected by names; locations; WSS numbers; SLD accession numbers; dates and times collected; handwritten notes; etc.

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date file created

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

[New - 03/31/2021]

665-355 BENCH SHEET:

Division/unit: Scientific lab division

Maintenance system: Chronological by date printed

Record series content: Hardcopy output from the biology, chemistry or toxicology database used to set priority of analytical testing or to identify those samples that need to be tested for a specific parameter(s). Sheet may contain EPA method number, units, batch number, analyst name, reviewed by, date started, SLD accession number(s), result(s), date, time, volume, dilution, initial and final weight, handwritten notes, etc.

Classification: 1.21.2.843 NMAC, Reports - Laboratory

File closure: Close of calendar year in which created

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

[New - 03/31/2021]

665-356 STANDARD SCIENTIFIC METHODS FILES:

Division/unit: Scientific lab division

Maintenance system: Alpha-chrono by method name and date updated

Record series content: Records concerning the standard scientific methods used to prepare media, sample, or drug. File contains standard scientific methods consisting of name, date, instructions, drug numbers, concentrations, etc.; and modified standard scientific methods may contain preparation date, date run, compound, drug number, concentration, instrument printout, analyst name, etc. Modifications are necessary due to environmental conditions.

Classification: 1.21.2.512 NMAC, Standards

File closure: Date methodology superseded

[New - 03/31/2021]

665-357 CERTIFICATE OF ANALYSIS:

Division/unit: Scientific lab division

Maintenance system: Alphabetical by name

Record series content: Record received from manufacturer verifying purity and concentration of calibration, solution, drug, instrument, etc. Certificate may contain name of calibration solution, drug, instrument, etc.; catalog number, lot number, expiration date, amount, storage and handling information,

intended use, component, purity, prepared concentration, analyzed concentration, authorized signature, etc.

Classification: 1.21.2.841 NMAC, Calibration

File closure: Date calibration, solution, drug or instrument no longer in use

[New - 03/31/2021]

665-358 QUALITY ASSURANCE MONITOR FILES:

Division/unit: Scientific lab division

Maintenance system: Chronological by year and date

Record series content: Record used to maintain and track accuracy of the techniques by which the laboratory produces data of known and accepted quality based on standards. File may contain monitor sheets, handwritten notes, etc.

Classification: 1.21.2.479 NMAC, Laboratory

File closure: Close of calendar year in which created

[New - 03/31/2021]

665-359 QUALITY CONTROL SHEETS:

Division/unit: Scientific lab division

Maintenance system: Chronological by year and date created

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

Classification: 1.21.2.479 NMAC, Laboratory

File closure: Close of calendar year in which created

[New - 03/31/2021]

665-360 BATCH QC FORMS:

Division/unit: Scientific lab division

Maintenance system: Chrono-numeric by date and SLD accession number

Record series content: Record used to document purity from background contamination prior to analysis of all new reagents and extraction supplies. Form may contain name of reagent or extraction, beginning and ending date, material used, formula for calculation, replicates, reruns, deviation from mean, accepted or rejected, analyst signature and date, reviewer signature and date, etc.

Classification: 1.21.2.479 NMAC, Laboratory

File closure: Close of calendar year in which created

[New - 03/31/2021]

665-361 BATCH QC REPORTS:

Division/unit: Scientific lab division

Maintenance system: Chrono-numeric by date and SLD accession number

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

Classification: 1.21.2.843 NMAC, Reports - Laboratory

File closure: Close of calendar year in which created

[New - 03/31/2021]

665-362 EMPLOYEE TRAINING FOLDERS:

Division/unit: Scientific lab division

Maintenance system: Alphabetical by employee last name

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

Classification: 1.21.2.252 NMAC, Employee Training Files

File closure: Close of fiscal year in which employee separated

[New - 03/31/2021]

665-363 CHROMATOGRAMS AND CALCULATIONS (RAW DATA SETS):

Division/unit: Scientific lab division

Maintenance system: Numerical by SLD accession number

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

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date file created

[New - 03/31/2021]

665-364 CONTROL CHARTS:

Division/unit: Scientific lab division

Maintenance system: Chronological by date created

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

Classification: 1.21.2.841 NMAC, Calibration

File closure: Date file created

[New - 03/31/2021]

665-365 INSTRUMENT USE AND MAINTENANCE LOGS:

Division/unit: Scientific lab division

Maintenance system: Alpha-chronological by instrument name and date

Record series content: Record used to document performance criteria, repair, part replacement, or other maintenance activity for instruments used in laboratory. Logs may include calibration standards, instrument response to known concentration, maintenance agreement information, service contract information, parts information, repair, date, time, instrument repair person, etc.

Classification: 1.21.2.841 NMAC, Calibration

File closure: Date instrument no longer in use

[New - 03/31/2021]

665-366 PROFICIENCY TESTING FILES:

Division/unit: Scientific lab division

Maintenance system: Chrono-alphabetical by calendar year and test name

Record series content: Record used to maintain licensure and certification of staff and culture media. File may contain copy of worksheets, statistics, copy of analytical reports, copy of summary reports, follow-up reports, etc.

Classification: 1.21.2.479 NMAC, Laboratory

File closure: Date of participation in testing
[New - 03/31/2021]

665-367 LABORATORY CERTIFICATION FILES:

Division/unit: Scientific lab division

Maintenance system: Alphabetical by laboratory name

Record series content: Records concerning the certification information for New Mexico laboratories seeking and attaining certification. File may contain application for certification, renewal applications, lab inspection sheet, correspondence, copies of analytical methods, techniques and equipment, copies of quality control information, copies of approved proficiency testing, copy of certification, etc.

Classification:

(A) **Certified:** 1.21.2.405 NMAC, Hospitals and Medical

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

File closure:

(A) **Certified:** Date of expiration or revocation of certification

(B) **Denied or revoked:** Date no activities has been shown by laboratory seeking certification.

[New - 03/31/2021]

665-368 MEDIA OR SAMPLE PREPARATION LOGS:

Division/unit: Scientific lab division

Maintenance system: Chrono-alphabetical by preparation date and procedure name

Record series content: Record used to document procedure for media or sample preparation. Log may contain procedure name, procedure, sample number(s), date prepared and analysts initials, procedure and chemical(s) used to make culture media or reagent(s), lot numbers, expiration dates, cycle number, pH meter records, temperature records for the refrigerators, autoclave information, pH, etc.

Classification: 1.21.2.110 NMAC, Logs

File closure: Date file created

[New - 03/31/2021]

665-369 CALIBRATION SHEETS:

Division/unit: Scientific lab division

Maintenance system: Chronological by date created

Record series content: Hardcopy output record from analytical instrument used to check, adjust or standardize systematically the graduation of a quantitative measuring instrument before an analysis. Calibration may contain thermometer placement, thermometer number, reading, reference thermometer number, reading of reference thermometer, correction factor, date, analyst initials, etc.

Classification: 1.21.2.841 NMAC, Calibration

File closure: Date file created

[New - 03/31/2021]

665-370 SPECIMEN REFERRAL FILES:

Division/unit: Virology and serology section

Maintenance system: Chronological by date delivered

Record series content: Hardcopy input document to the biology database used to track referrals made to other laboratories including CDC. File may contain specimen send-out log, copy of analytical request form, external lab results, copy of analytical report, etc.

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date delivered

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

[New - 03/31/2021]

665-371 to 665-380

665-381 BACTERIOLOGY CASE FILES:

Division/unit: General microbiology section

Maintenance system: Chrono-numeric by calendar year and SLD accession number

Record series content: Record used to capture, track, maintain and process information pertaining to bacteriological analysis. File may contain analytical request form, worksheet, analytical report, etc.

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date analytical report created

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

[New - 03/31/2021]

665-382 - 665-390

665-391 MYCOBACTERIOLOGY CASE FILES:

Division/unit: Tuberculosis and mycology section

Maintenance system: Chrono-alphabetical by date and patient name

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

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date analytical report created

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

[New - 03/31/2021]

665-392 to 665-400

665-401 ENVIRONMENTAL MICROBIOLOGY CASE FILES:

Division/unit: Environmental microbiology section

Maintenance system: Chrono-numeric by date and test number

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

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date analytical report created

[New - 03/31/2021]

665-402 to 665-410

665-411 AUTOCLAVE TAPE:

Division/unit: Media preparation section

Maintenance system: Alpha-chronological by instrument name and cycle date

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

Classification: 1.21.2.151 NMAC, Equipment Files

File closure: Date instrument no longer in use

[New - 03/31/2021]

665-412 to 665-420

665-421 AIR AND HEAVY METALS CASE FILES:

Division/unit: Air and heavy metals section

Maintenance system: Numerical by SLD number

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

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date testing completed

[New - 03/31/2021]

665-422 DIGESTION LOGS:

Division/unit: Air and heavy metals section

Maintenance system: Chrono-numerical by test date and sample number

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

Classification: 1.21.2.110 NMAC, Logs

File closure: Date testing completed

[New - 03/31/2021]

665-423 METHOD VALIDATION DATA FILES:

Division/unit: Air and heavy metals section

Maintenance system: Alphabetical by method name

Record series content: Record used to validate accuracy of media upon inception of use. File may contain method name, date, auto run date, raw data, graph plots, etc.

Classification: 1.21.2.479 NMAC, Laboratory

File closure: Date testing completed

[New - 03/31/2021]

665-424 to 665-430

665-431 RADIOCHEMISTRY CASE FILES:

Division/unit: Radiochemistry section

Maintenance system: Numerical by SLD accession number

Record series content: Record used to capture, track, maintain and process information pertaining to environmental radio analysis. File may contain analytical request form, worksheet, calculation sheets, information on sample processing, quality control sheet, notations, memoranda, handwritten notations, analytical report, etc.

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date testing completion

Confidentiality: Portions of this record are confidential pursuant, but not limited to 15 USC 2661.306.

[New - 03/31/2021]

665-432 to 665-440

665-441 WATER CHEMISTRY CASE FILES:

Division/unit: Water chemistry section

Maintenance system: Numerical by SLD accession number

Record series content: Record used to capture, track, maintain and process information pertaining to the chemical analysis of water. File may contain notebooks, analytical report, analytical request form, raw data, calculations, worksheet, information on sample processing, quality control documentation, notations, memoranda, amended report, etc.

Classification: 1.21.2.826 NMAC, Analysis - X-Ray and Chemical

File closure: Close of calendar year in which created

[New - 03/31/2021]

665-442 to 665-450

665-451 ORGANIC CHEMISTRY CASE FILES:

Division/unit: Organic chemistry section

Maintenance system: Numerical by SLD accession number

Record series content: Record used to capture, track, maintain and process information pertaining to the analysis of environmental contaminants. File may contain analytical request form, worksheet, analytical report, notations, memoranda, QC sheets, etc.

Classification: 1.21.2.826 NMAC, Analysis - X-Ray and Chemical

File closure: Date testing complete

Confidentiality: Portions of this record are confidential pursuant, but not limited to 15 USC 2661.306.

[New - 03/31/2021]

665-452 to 665-460

665-461 TOXICOLOGY CASE FOLDERS:

Division/unit: Drug and alcohol sections

Maintenance system: Numerical by SLD accession number

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

Classification: 1.21.2.844 NMAC, Forensic Analysis

File closure: Date analytical report created

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

[New - 03/31/2021]

665-462 TOXICOLOGY SPECIMEN TRANSMITTAL FILES:

Division/unit: Drug and alcohol sections

Maintenance system: Chronological by year and date printed

Record series content: Record used to track and maintain receipt of specimens from OMI. File may contain transmittal forms, handwritten notes, etc.

Classification: 1.21.2.844 NMAC, Forensic Analysis

File closure: Close of calendar year in which created

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

[New - 03/31/2021]

665-463 SAVE FOR COURT FILES:

Division/unit: Drug and alcohol sections

Maintenance system: Chronological by date received

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

Classification: 1.21.2.121 NMAC, Tracking

File closure: Date latest request

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

[New - 03/31/2021]

665-464 DESTROYED SAMPLE CORRESPONDENCE FILES:

Division/unit: Drug and alcohol sections

Maintenance system: Chronological by date destroyed

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

Classification: 1.21.2.121 NMAC, Tracking

File closure: Date sample destroyed

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

[New - 03/31/2021]

665-465 OMI FROZEN STORAGE AND DESTRUCTION LOGS:

Division/unit: Drug and alcohol sections

Maintenance system: Chronological by month

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

Classification: 1.21.2.110 NMAC, Logs

File closure: Date specimen destroyed

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

[New - 03/31/2021]

665-466 to 665-470

665-471 DISCOVERY ORDER FILES:

Division/unit: Alcohol section

Maintenance system: Chrono-alphabetical by calendar year and subject name

Record series content: Record used to track and maintain requests for evidential documentation by judicial system. File may contain subpoena duces tecum, discovery order, copies of requested documents, correspondence, handwritten notes, copy of certified mail receipt, etc.

Classification: 1.21.2.518 NMAC, Information Release

File closure: Close of calendar year in which created

Confidentiality: Portions of this record are confidential pursuant, but not limited to Section 14-2-1 NMSA 1978.

[New - 03/31/2021]

665-472 SIMULATOR STANDARDS AND PROFICIENCY FILES:

Division/unit: Alcohol section

Maintenance system: Chrono-alphabetical by calendar year and agency name

Record series content: Hardcopy input document to the direct breath alcohol testing instrument database used to record and track quality control data for breathalyzers used by law enforcement agencies. File may contain on-site breath test inspection sheet, worksheet, spectrometer printout, gas-chromatograph printout, instrument maintenance and repair record, breath alcohol proficiency report, etc.

Classification: 1.21.2.479 NMAC, Laboratory

File closure: Close of calendar year in which created

[New - 03/31/2021]

665-473 ON-SITE INSTRUMENT INSPECTION SHEETS:

Division/unit: Alcohol section

Maintenance system: Alpha-numerical by agency name and inspection date

Record series content: Hardcopy input document to the direct breath alcohol testing instrument database used to document the inspection, maintenance and repair of breath test instruments. Sheet may contain instrument name, instrument serial number, location, inspector name, date, diagnostic analysis information, results, comments, etc.

Classification: 1.21.2.151 NMAC, Equipment Files

File closure: Date instrument no longer in use

[New - 03/31/2021]

665-474 DIRECT BREATH ALCOHOL TESTING INSTRUMENT LOGS:

Division/unit: Alcohol section

Maintenance system: Chrono-alphabetical by calendar year and agency name

Record series content: Hardcopy output record from the instrument used by specific agencies to perform breath alcohol testing. Log is used to track proficiency standards and instrument maintenance. Log may contain instrument and simulator serial numbers, page number, testing agency name, subject name, date of birth, driver's license or social security number, gender, citation number, testing officer name, arresting agency name, date and time, simulator temperature, test results, etc.

Classification: 1.21.2.479 NMAC, Laboratory

File closure: Close of calendar year in which created

Confidentiality: Record contains confidential information per Section 14-2-1 NMSA 1978.

[New - 03/31/2021]

665-475 BREATHALYZER OPERATOR CERTIFICATION TEST:

Division/unit: Alcohol section

Maintenance system: Chrono-alphabetical by test date and officer name

Record series content: Hardcopy input record to the direct breath alcohol testing instrument database used to test law enforcement officers for certification in breathalyzer testing. Test may include answer sheet containing officer name, date and signature, class location, instructor name, multiple choice questions, fill in the blanks, matching words, true or false questions, etc.

Classification: 1.21.2.404 NMAC, Individual Certification

File closure: Date of test

[New - 03/31/2021]

665-476 CERTIFICATION EXAMINATION LIST:

Division/unit: Alcohol section

Maintenance system: Chrono-alphabetical by exam date and officer name

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

Classification: 1.21.2.109 NMAC, Indexes and Finding Aids

File closure: Date certification expires

[New - 03/31/2021]

665-477 BREATH ALCOHOL INSTRUCTOR FILES:

Division/unit: Alcohol section

Maintenance system: Alphabetical by agency name

Record series content: Record used to maintain information regarding breath alcohol operator instructor and training activities. File may contain training schedule, copy of exam used, copy of breath alcohol operator certificate, correspondence, handwritten notes, etc.

Classification: 1.21.2.404 NMAC, Individual Certification

File closure: Date certification expires

[New - 03/31/2021]

665-478 PARENTAL RESPONSIBILITY ACT FILES:

Division/unit: Alcohol section

Maintenance system: Chronological by calendar year and date received

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

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Close of calendar year in which created

[New - 03/31/2021]

665-479 APD REPORT OF BLOOD ALCOHOL ANALYSIS:

Division/unit: Alcohol section

Maintenance system: Chronological by date received

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

Classification: 1.21.2.843 NMAC, Reports - Laboratory

File closure: Date received

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

[New - 03/31/2021]

665-480 IMPLIED CONSENT SUPPLY LOGS:

Division/unit: Alcohol section

Maintenance system: Chrono-alphabetical by date received and agency name

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

Classification: 1.21.2.110 NMAC, Logs

File closure: Close of fiscal year in which created

[New - 03/31/2021]

665-481 IMPLIED CONSENT LOGS:

Division/unit: Alcohol section

Maintenance system: Chrono-alphabetical by date received and agency name

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

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date received

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

[New - 03/31/2021]

665-482 to 665-490

665-491 MONITOR STUDIES FILES:

Division/unit: SLD, quality control office

Maintenance system: Chronological by calendar year and date received

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

Classification: 1.21.2.479 NMAC, Laboratory

File closure: Close of calendar year in which created

[New - 03/31/2021]

665-492 QUALITY ASSURANCE PLAN:

Division/unit: SLD, quality control office

Maintenance system: Chronological by calendar year

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

Classification: 1.21.2.479 NMAC, Laboratory

File closure: Close of calendar year in which created

[New - 03/31/2021]

665-493 CHEMICAL WASTE DISPOSAL FILES:

Division/unit: SLD, quality control office

Maintenance system: Chronological by calendar year and date received

Record series content: Record used to track the disposal of chemicals and hazardous waste. File may contain uniform hazardous waste manifest sheet and continuation sheet, non hazardous waste manifest sheet, correspondence, facsimile, etc.

Classification: 1.21.2.821 NMAC, Hazardous Waste

File closure: Close of calendar year in which created

[New - 03/31/2021]

665-494 QA AND QC SUMMARY FILES:

Division/unit: SLD, quality control office

Maintenance system: Chrono-alphabetical by calendar year and section name

Record series content: Record used to summarize and record statistical proficiency information. File may contain proficiency summary data that is graphed by section

Classification: 1.21.2.479 NMAC, Laboratory

File closure: Close of calendar year in which created

[New - 03/31/2021]

665-495 ANNUAL PROFICIENCY SUMMARY:

Division/unit: SLD, quality control office

Maintenance system: Chronological by calendar year

Record series content: Record used to report status of work performed in the laboratory. Summary may contain section summaries, bureau summaries, tables and graphs, etc.

Classification: 1.21.2.479 NMAC, Laboratory

File closure: Date created

[New - 03/31/2021]

665-496 STANDARD OPERATING PROCEDURES:

Division/unit: SLD, quality control office

Maintenance system: Alpha-chronological by standard name and date received

Record series content: Record developed in accordance with the requirement of applicable regulatory programs used to standardize described procedures or actions within thoroughly prescribed techniques and steps that are officially approved as the method for performing certain routine or repetitive tasks. Procedures may include instrument instructions or published methods, scope and application, summary method, definitions, sample handling and preservation calibrations and calculations, method performance, method name, procedure, effective date, section supervisor's signatures, bureau chief signature and date reviewed, etc.

Classification: 1.21.2.512 NMAC, Standards

File closure: Date procedure or action no longer in use

[New - 03/31/2021]

665-497 to 665-510

665-511 BIOLOGY DATABASE:

Division/unit: SLD information systems

Maintenance system: Numerical by primary key

Record series content: Database used to capture, track, maintain and process related data pertaining to the biological analysis of specimens or samples. Database may contain specimen SLD accession numbers, date of samples, dates received, types of specimens, patient or source names, addresses or locations, telephone numbers, genders, race or ethnic groups, date of births, zip codes, social security or medicaid numbers, demographic information, physicians or referral sources, submitter names, submitter codes, user codes, clinician names and telephone numbers, dates specimens collected, specimen sources and types, QC information, etc.

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date entered

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

[New - 03/31/2021]

665-512 CHEMISTRY DATABASE:

Division/unit: SLD information services

Maintenance system: Numerical by primary key

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

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date file created

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

[New - 03/31/2021]

665-513 TOXICOLOGY DATABASE:

Division/unit: SLD information services

Maintenance system: Numerical by primary key

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

Classification: 1.21.2.842 NMAC, Case Files - Laboratory

File closure: Date entered

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

[New - 03/31/2021]

665-514 DIRECT BREATH ALCOHOL TESTING INSTRUMENT DATABASE:

Division/unit: SLD information services

Maintenance system: Numerical by primary key

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

Classification: 1.21.2.479 NMAC, Laboratory

File closure: Date entered

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

[New - 03/31/2021]

665-515 APD BLOODS DATABASE:

Division/unit: SLD information services

Maintenance system: Numerical by primary key

Record series content: Database serves as the statistical repository for blood alcohol analysis performed by the Albuquerque police department. Database may contain arresting officer's names, dates, departments, arrest times, remarks, blood drawer's names, titles and employers, dates and times drawn, witnesses names, donor's name, addresses, genders, weights, date of births, social security numbers,

places of arrest, driver's license numbers, reason subjects stopped, analyzed by names, reviewer's names, etc.

Classification: 1.21.2.121 NMAC, Tracking

File closure: Date entered

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

[New - 03/31/2021]

665-516 COBRA DATABASE:

Division/unit: SLD information services

Maintenance system: Numerical by primary key

Record series content: Database used to gather and maintain quality control information on all breath test instruments. Database may contain instrument sign-on number, instrument status, download initiation time and date, calibration information, diagnostic information, errors, download completion time, etc. Data is electronically transferred into database by modem from all agencies that use breathalyzer test instruments.

Classification: 1.21.2.479 NMAC, Laboratory

File closure: Date entered

[New - 03/31/2021]

665-517 - 665-530

665-531 PATIENT ENROLLMENT FILES:

Division/unit: Medical cannabis

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Records documenting application, issuance and enrollment history of qualified individuals for the purpose to allow the beneficial use of medical cannabis. Files may include *enrollment, re-enrollment information form, medical certification form, release of medical information form, copy of photo identification card or driver's license, medical health history records, information change or replacement card form, correspondence, etc.*

Classification:

(A) **Enrollment Approved:** 1.21.2.834 NMAC, Programs - Hospital and Medical

(B) **Withdrawn, denied or expired application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure:

(A) **Enrollment Approved:** Date of enrollment expiration or revocation

(B) **Withdrawn, denied or expired application:** Date of withdrawal, denial or expiration of application

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-532 CAREGIVER ENROLLMENT FILES:

Division/unit: Medical cannabis

Maintenance system: Chronological by date, then alphabetical by surname

Record series content: Records documenting application, issuance and enrollment history of qualified individuals for the purpose of providing and monitoring the use of medical cannabis in a regulated system. Files may include *caregiver information form, release of medical information to caregiver form, parental consent form, copy of photo identification card or driver's license, federal background check, correspondence, etc.*

Classification:

(A) **Enrollment Approved:** 1.21.2.206 NMAC, Employment Screening

(B) **Withdrawn, denied or expired application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure:

(A) **Enrollment Approved:** Date of enrollment expiration or revocation

(B) **Withdrawn, denied or expired application:** Date of withdrawal, denial or expiration of application

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-533 PRODUCER LICENSURE FILES:

Division/unit: Medical cannabis

Maintenance system: Chronological by date then alphabetical by surname

Record series content: Records documenting application, issuance and licensure history of qualified entities for the purposes of producing medical cannabis for distribution to enrolled patients. Files may include organizational information and materials, production and distribution information and materials, facility information, educational methods and materials, sales records, policies and procedures, assessment report, personnel records, correspondence, etc.

Classification:

(A) **License issued:** 1.21.2.653 NMAC, Business Licenses - Historical

(B) **Withdrawn, denied or expired application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure:

(A) **License issued:** Date of license expiration or revocation

(B) **Withdrawn, denied or expired application:** Date of withdrawal, denial or expiration of application

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]

665-534 PERSONAL PRODUCTION LICENSURE FILES:

Division/unit: Medical cannabis

Maintenance system: Chronological by date then alphabetical by surname

Record series content: Records documenting application, issuance and licensure history of a qualified patient or a qualified patient's primary caregiver to permit a qualified patient or primary caregiver to produce medical cannabis for the qualified patient's personal use. Files may include personal production license application, location information, proof of residence, written plans and acknowledgements, etc.

Classification:

(A) **License issued:** 1.21.2.667 NMAC, Professional Licenses

(B) **Withdrawn, denied or expired application:** 1.21.2.107 NMAC, Denied, Rejected or Withdrawn Records

File closure:

(A) **License issued:** Date of license expiration or revocation

(B) **Withdrawn, denied or expired application:** Date of withdrawal, denial or expiration of the application.

Confidentiality: Portions of this record may be confidential.

[New - 03/31/2021]