

## 690 – Children, Youth and Families Department File Plan

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

This file plan only list records series of program's specific to the Children, Youth and Families Department. For records series of a general administrative nature, refer to the General Administrative Records File Plan. For records of a financial nature, refer to the General Financial Records File Plan. For records of a personnel or medical nature, refer to the General Personnel/Medical Records File Plan.

### **690-001 FAMILY AUTOMATED CLIENT TRACKING SYSTEM [FACTS]:**

**Division/unit:** Case management

**Maintenance system:** Numerical by primary key

**Record series content:** System maintains, monitors and tracks clients' cases for the family services division, protective services division and the juvenile justice division. Data may contain childcare data, family services data, juvenile probation and parole data, juvenile institution data, children's court data, etc.

**Classification:**

**(A) Protective services division:**

- (1) Client data:** 1.21.2.801 NMAC, Case Files - Child and Youth Services
- (2) Vendor data:** 1.21.2.347 NMAC, Vendor Management
- (3) Financial data:** 1.21.2.301 NMAC, Accounts Payable
- (4) Children's court data:** 1.21.2.614 NMAC, Case Files - Juvenile

**(B) Family services division: Child care data:** 1.21.2.813 NMAC, Assistance - Financial

**(C) Juvenile justice division:**

- (1) Non-adjudicated client data:** 1.21.2.805 NMAC, Juvenile Records
- (2) Adjudicated client data:** 1.21.2.805 NMAC, Juvenile Records

**File closure:**

**(A) Protective services division:**

- (1) Client data:** When client reaches age 19
- (2) Vendor data:** Date services are terminated
- (3) Financial data:** Close of fiscal year in which created
- (4) Children's court data:** Date case closed or until any minor involved attains age

21, whichever is longer

**(B) Family services division: Child care data:** Date case closed

**(C) Juvenile justice division:**

- (1) Non-adjudicated client data:** Date client reaches age 19
- (2) Adjudicated client data:** Date client reaches age 22

**Confidentiality:** Portions of record may be confidential per Section 32A-3B-22 NMSA 1978 (i.e., families in need of services records), Section 32A-4-33 NMSA 1978 (i.e., neglect or abuse records), Section 32A-5-8 NMSA 1978 (i.e., adoption records), and Section 32A-2-32 NMSA 1978 (i.e., diagnostic evaluations, pre-parole reports and supervision histories).

[New - 03/31/2021]

### **690-002 FACTS FEDERAL REPORTS:**

**Division/unit:** Federal compliance

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

**Record series content:** Output records from the FACT System detailing the monies used toward a specific federally funded program. Report may show account type, fund, organizational code, object code, revenue code, reporting category, debit amount, credit amount, warrant date, number of warrants by program, total warrants, amounts by program, total amounts, etc.

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

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

[New - 03/31/2021]

#### **690-003 PROVIDER AUDIT REPORTS:**

**Division/unit:** Provider audit

**Maintenance system:** Chronological by fiscal year, then alphabetical by program type and then by provider name

**Record series content:** Records of the examination and verification by the children, youth and families department or an independent public accounting firm of a program provider's financial and accounting records and supporting documentation. Provider programs may include: child care; domestic violence; children's behavioral health; family preservation; adoption; juvenile rehabilitation; teen parenting and adult services. Reports may show official roster of provider's staff, narrative from independent auditor, statements of financial position, statements of activities, statements of cash flows, statements of functional expenses, etc.

**Classification:** 1.21.2.414 NMAC, Financial - Audits

**File closure:** Close of the fiscal year in which the audit report is released

[New - 03/31/2021]

#### **690-004 to 690-020**

#### **690-021 CHILD PLACEMENT AGENCY (FOSTER CARE) FILES:**

**Division/unit:** Children's services

**Maintenance system:** Alphabetically by service provider's name

**Record series content:** Records concerning licensing of private agencies that provide foster care services for the state of New Mexico. Files may contain licensing materials, budget and financial information, references, correspondence, assessment of on site visits, recommendations on license, copy of license, copies of complaints, etc.

**Classification:** 1.21.2.653 NMAC, Business Licenses - Historical

**File closure:** Date facility closes

**Confidentiality:** Portions of record may be confidential per Section 32A-3B-22 NMSA 1978 (i.e., families in need of services records), Section 32A-4-33 NMSA 1978 (i.e., neglect or abuse records), 5 USC, and Section 32A-2-32 NMSA 1978 (i.e., diagnostic evaluations, pre-parole reports and supervision histories).

[New - 03/31/2021]

#### **690-022 to 690-030**

#### **690-031 PRIVATE AGENCY LICENSING FILES:**

**Division/unit:** Adoption

**Maintenance system:** Alphabetical by program name

**Record series content:** Records concerning the licensing of private adoption agencies. Files may contain description of personnel, personnel policy and procedures, operating procedures, copy of license, medical reports on staff, etc.

**Classification:** 1.21.2.653 NMAC, Business Licenses - Historical

**File closure:** Date of expiration or revocation of license

[New - 03/31/2021]

**690-032 CONSENT DECREE MONTHLY REPORTS:**

**Division/unit:** Adoption

**Maintenance system:** Chronological by fiscal year, quarter and month

**Record series content:** Records concerning statistical data needed to demonstrate compliance with *stipulated exit plan* (consent decree). Reports may show number of families in custody; names of clients in custody; number by ethnic groups; verification (yes or no) of temporary custody, adjudicated abuse and neglect, adjudicated delinquents, tribal court custody clients; client name, client number, date of birth, gender, race, ethnicity; custody dates; basis for custody; type of custody; adjudicated hearing date; disposition hearing date; dispositional conference; description of services; placement type; number of substitute care placements; name of legal guardian; number of adoption consultations; adoption worker; recruitment efforts; adoptive family name; number of individual interviews; number of education sessions; number of home visits; acceptable characteristics; special recruitment efforts; number of eligible families due for home studies completion; etc.

**Classification:** 1.21.2.117 NMAC, Reports - Historical

**File closure:** Date report created then transfer to archives.

**Confidentiality:** Portions of record may be confidential per Section 32A-3B-22 NMSA 1978, (i.e., families in need of services records), Section 32A-4-33 NMSA 1978 (i.e., neglect or abuse records), and Section 32A-5-8 NMSA 1978 (i.e., adoption records).

[New - 03/31/2021]

**690-033 to 690-040**

**690-041 FAMILY SERVICES CASE FILES:**

**Division/unit:** Family services

**Maintenance system:** Alphabetical by client last name

**Record series content:**

(A) **Family preservation services cases:** Records concerning the investigation with respect to short-term voluntary preventive and remedial services to a family whose child is at high risk of abuse, neglect or delinquency. Record may contain *APS-CPS intake report, risk assessment narrative, child protective services investigation study, running narrative document, correspondence, etc.*

(B) **Child-adult protective services investigation cases:** Records concerning the investigations into alleged abuse, neglect or exploitation of vulnerable adult or children. The records may also concern the monitoring of the situation after the disposition of the case. Records may contain *APS-CPS intake report, protective services investigation study, safety assessment summary, photographs, drawings, copies of court filings, copy of notice of results of investigation, etc.*

(C) **Foster home-parent cases:** Records concerning the evaluation of a foster home-parent for foster care of children in the custody of CYFD. The records also concern the monitoring of the foster home-parent for compliance of the child placement standards. Records may contain *foster home license application, foster application, foster home study, annual recertification, foster home study up-date report, authorization for release of information, criminal records check, copy of foster home license, foster parent physical examination, checklist for foster homes, correspondence, etc.*

(D) **Foster care cases:** Records concerning the investigation into abuse, neglect or exploitation of children that result in the department taking custody of a child. The record will also contain the follow-up of the child after the transfer. Record may contain *PSD intake report, police report, family registration, changing placement-payment authorization for substitute care-adoptive children and for authorizing merchant-education service payments, treatment plan, motion for appointment of guardian ad litem, neglect-abuse petition, ex parte custody order, correspondence, etc.*

(E) **Adoption cases:** Records concerning the application of families requesting to adopt a child. The record will also contain the follow-up of the child after the transfer. File may contain family

history, physical description of home, physical medical exam, FBI record check, department of public safety fingerprint record check, subsidy information, etc.

**Classification:**

(A) **Family preservation services cases:** 1.21.2.801 NMAC, Case Files - Child and Youth Services

(B) **Child-adult protective services investigation cases:** 1.21.2.801 NMAC, Case Files - Child and Youth Services

(C) **Foster home-parent cases:** 1.21.2.804 NMAC, Foster Homes

(D) **Foster care cases:** 1.21.2.802 NMAC, Case Files - Foster Care

(E) **Adoption cases:**

(1) **Approved:** 1.21.2.626 NMAC, Adoptions

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

**File closure:**

(A) **Family preservation services cases:** Date case closed

(B) **Child-adult protective services investigation cases:** Date case closed

(C) **Foster home-parent cases:** Date case closed

(D) **Foster care cases:** Date case closed

(E) **Adoption cases:**

(1) **Approved:** Date of birth of child

(2) **Denied:** Date case closed

**Confidentiality:** Portions of record may be confidential per Section 32A-3B-22 NMSA 1978, (i.e., families in need of services records), Section 32A-4-33 NMSA 1978 (i.e., neglect or abuse records) and Section 32A-5-8 NMSA 1978 (i.e., adoption records).

[New - 03/31/2021]

**690-042 APS-CPS INTAKE REPORTS:**

**Division/unit:** Family services [central intake]

**Maintenance system:** Alphabetical by county name, then chronological by calendar year

**Record series content:** Records concerning referrals of alleged abuse, neglect or exploitation of vulnerable adult or children that do not meet the criteria to start an investigation. Report may show alleged victim's name, age, address, name of parent or guardian, gender, siblings; alleged action; complainant's name, address, telephone number; etc.

**Classification:** 1.21.2.801 NMAC, Case Files - Child and Youth Services

**File closure:** Date of last activity concerning client

**Confidentiality:** Portions of record may be confidential per Section 32A-3B-22 NMSA 1978 (i.e., families in need of services records) and Section 32A-4-33 NMSA 1978 (i.e., neglect or abuse records).

[New - 03/31/2021]

**690-043 to 690-050**

**690-051 CRIMINAL BACKGROUND CHECK FILES:**

**Division/unit:** Child care

**Maintenance system:** Alphabetical by last name of employee

**Record series content:** Records concerning the criminal background history of employees and volunteers of child care centers and any adults that reside at a child care home. File may contain *fingerprint cards, rapsheet*, results for FBI background check, correspondence, etc.

**Classification:**

(A) **Clearance approved:** 1.21.2.652 NMAC, Business Licenses

(B) **Clearance denied:** 1.21.2.121 NMAC, Tracking

**File closure:**

(A) **Clearance approved:** Date of termination of employment or home is no longer in operation

(B) **Clearance denied:** Date of result

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

[New - 03/31/2021]

**690-052 CHILD CARE LICENSING FILES:**

**Division/unit:** Child care

**Maintenance system:** Alphabetical by provider or business name

**Record series content:** Records concerning the licensing of facilities that provide child care services. Files may contain copy of operator license, application, correspondence, complaint intakes, survey report, corrective action responses, etc.

**Classification:** 1.21.2.652 NMAC, Business Licenses

**File closure:** Date license expired or terminated

[New - 03/31/2021]

**690-053 CHILD CARE CASE FILES:**

**Division/unit:** Child care

**Maintenance system:** Alphabetical by client last name

**Record series content:** Records concerning application for child care assistance by qualified clients. Files may contain *child care application, child care placement agreement, child care attendance report, project forward - attendance and transportation reimbursement claim, waiting list information form, notice of action - I form, notice of action - II form, contact sheet*, immunization records, in home parent computation form, TB tests, etc.

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

**File closure:** Date case closed

[New - 03/31/2021]

**690-054 to 690-060**

**690-061 JUVENILE MASTER FILES:**

**Division/unit:** Juvenile justice

**Maintenance system:** Alphabetical by client surname

**Record series content:** Juvenile master files have two categories, adjudicated and non-adjudicated. Adjudicated files concern juvenile cases processed through the court system with the judgment of the court entered as a formal record. Non-adjudicated files concern referrals of juveniles based on difficulties the child or family may be experiencing. Files may contain copy of an *offense or incident report, notice of preliminary inquiry, notice of privacy practices acknowledgement form*, copies of juvenile's identification, copies of the juvenile's report card, *petition, order of appointment, request for hearing pre-trial, consent decree, client tracking referral system master records form, client/family baseline assessment, psychological evaluation report, preliminary inquiry determination, probation agreement, judgment and disposition, community service order, petition to revoke probation, face sheet, commitment order, personal belongings form, plan of care, monthly progress reports, petition for extension of custody, discharge memo, parole or discharge certificate*, JPPO officer progress notes, correspondence, etc.

**Classification:**

(A) **Non-adjudicated:** 1.21.2.805 NMAC, Juvenile Records

(B) **Adjudicated:** 1.21.2.805 NMAC, Juvenile Records

**File closure:**

(A) **Non-adjudicated:** Date client reaches age 19

(B) **Adjudicated:** Date client reaches age 22

**Confidentiality:** Portions of record may be confidential per Section 32A-2-32 NMSA 1978 (i.e., diagnostic evaluations, psychiatric reports, medical reports, social studies reports, pre-parole reports and supervision histories, etc.).  
[New - 03/31/2021]

## **690-062 to 690-070**

### **690-071 CLIENTS' ACCOUNTS FILES:**

**Division/unit:** Institutions

**Maintenance system:** Chronological by fiscal year

**Record series content:** Records concerning the tracking of money used by the juveniles out of their own funds or a general emergency fund. File may contain copy of *purchase voucher* (client's, petty cash, general and special activity funds), copy of *request for student trust fund expenditure*, copies of receipts, correspondence, etc.

**Classification:** 1.21.2.307 NMAC, Funds Management

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

[New - 03/31/2021]

### **690-072 CANTEEN FILES:**

**Division/unit:** Institutions

**Maintenance system:** Chronological by month

**Record series content:** Records concerning the monitoring of purchases and inventory of items maintained for the canteen. File may contain *canteen order slips*, *canteen inventory sheets*, *canteen distribution forms*, *canteen coupon issue log*, etc.

**Classification:** 1.21.2.317 NMAC, Inventories

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

[New - 03/31/2021]

### **690-073 DAILY POPULATION SHEETS:**

**Division/unit:** Institutions

**Maintenance system:** Chronological by day

**Record series content:** Records concerning the tracking of the population in a juvenile facility and for each specific unit within it. Sheet may show date, name and title of person completing sheet, unit name, previous day grand total, present in unit, admitted, released, escape, pass, hospital, area grand total, out of facility placement and residential treatment centers - center and city, previous day total, present day total, grand total, special program, hospital, detention, unit transfer, return date and time, destination place and county, etc.

**Classification:** 1.21.2.911 NMAC, Unit Files

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

[New - 03/31/2021]

### **690-074 UNIT FILES:**

**Division/unit:** Institutions

**Maintenance system:** Chronological by date

**Record series content:** Records concerning the activities and security of the clients in each unit within an institution. File may contain *shift schedule for staff*, *off campus work details and activities*, *juvenile grievance*, *behavior change agreement*, *request for repairs* (work order), *daily adjustment unit chart*, *daily shift checklist*, *disciplinary report*, *conversation record*, *shakedown report*, *daily unit roster*, *use of force report*, *daily housing unit safety and sanitation inspection*, *counselor's log sheet*, *fire drill report*, etc.

**Classification:** 1.21.2.911 NMAC, Unit Files

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

**Confidentiality:** Portions of record may be confidential per Section 32A-2-32 NMSA 1978 (i.e., diagnostic evaluations, psychiatric reports, medical reports, social studies reports, pre-parole reports and supervision histories, etc.).

[New - 03/31/2021]

**690-075 RECREATION FILES:**

**Division/unit:** Institutions

**Maintenance system:** Chronological by day

**Record series content:** Records concerning the scheduling, tracking and reporting of leisure and recreation time of juveniles. File may contain *recreation schedule, daily recreation log, recreation reports*, etc.

**Classification:** 1.21.2.907 NMAC, Programs - Correctional Institution

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

[New - 03/31/2021]

**690-076 to 690-090**

**690-091 ACA ACCREDITATION FILES:**

**Division/unit:** Accreditation

**Maintenance system:** Numerical by standard number

**Record series content:** Records concerning accreditation of a juvenile correctional institution by the American correctional association. Files may contain copies of personnel documents, financial documentation, maintenance documentation, security documentation, training documentation, educational documentation, medical documentation, recreation documentation, copy of audit results, etc.

**Classification:** 1.21.2.403 NMAC, Correctional Facilities

**File closure:** Date of compliant ACA audit

**Confidentiality:** Portions of record may be confidential per Section 32A-2-32 NMSA 1978 (i.e., diagnostic evaluations, psychiatric reports, medical reports, social studies reports, pre-parole reports and supervision histories, etc.).

[New - 03/31/2021]

**690-092 to 690-100**

**690-101 CHILD DEVELOPMENT ASSOCIATE GRANT FILES:**

**Division/unit:** Child development

**Maintenance system:** Chrono-alphabetical by federal fiscal year and by name

**Record series content:** Records concerning application for funding to attend child development associate training. Files may contain application, income verification, copies of review of narrative portion, assessment, grant award letter, correspondence, etc.

**Classification:** 1.21.2.122 NMAC, Grant Administration

**File closure:** Date training received

**Confidentiality:** Portions of record may be confidential per Section 32A-2-32 NMSA 1978 (i.e., diagnostic evaluations, psychiatric reports, medical reports, social studies reports, pre-parole reports and supervision histories, etc.).

[New - 03/31/2021]

**690-102 REFERRAL FILES:**

**Division/unit:** children's behavioral health and community services

**Maintenance system:** Alphabetical by clients' surname

**Record series content:** Records concerning the referral and eligibility of children and young adults, under protective service division, for behavioral health services. Files may contain referral, client's hospital or medical center medical record, psychological evaluation, *medical summary list*, *service plan*, progress notes, *treatment plan* and updates, correspondence, etc.

**Classification:** 1.21.2.801 NMAC, Case Files - Child and Youth Services

**File closure:** Date case closed

**Confidentiality:** Portions of record may be confidential per Section 32A-2-32 NMSA 1978 (i.e., diagnostic evaluations, psychiatric reports, medical reports, social studies reports, pre-parole reports and supervision histories, etc.), and Health Insurance Portability and Accountability Act of 1996 Public Law 104-191 104th Congress (i.e., health information).

[New - 03/31/2021]

#### **690-103 PROVIDER SERVICES FILES:**

**Division/unit:** Children's behavioral health and community services

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

**Record series content:** Records concerning the review of services provided by contractors for children's behavioral health services. File may contain copies of the contract, site visit reports, corrective action plans, correspondence, etc.

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

**File closure:** Date contract terminated

[New - 03/31/2021]

#### **690-104 to 690-110**

#### **690-111 CHILDREN AND ADULT CARE FOOD PROGRAM SYSTEM [CACFP]:**

**Division/unit:** Family nutrition

**Maintenance system:** Numerical by primary key

**Record series content:** System maintains, monitors and tracks clients' cases in the children and adult care food program. Data may include demographics, assignments, client information, client names, vendor number, parents' names, etc.

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

**File closure:** Date case closed

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

[New - 03/31/2021]

#### **690-112 APPLICATION FOR PARTICIPATION FILES:**

**Division/unit:** Family nutrition

**Maintenance system:** Numerical by sponsor number

**Record series content:** Records concerning the eligibility for participation in child and adult care food program and summer food program. Portions of the information from these files maybe input into the *CACFP system*. Files may contain application, correspondence, documentation of menu review, documentation of administrative review, update and amendments to application, etc.

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

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

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

[New - 03/31/2021]

#### **690-113 to 690-120**



**690-121 JUVENILE PAROLE HEARINGS:**

**Division/unit:** Juvenile parole

**Maintenance system:** Chronological by hearing date

**Record series content:** List of decisions made by the parole board on juveniles at the parole board hearings. Record may show board members present, juvenile's name, juvenile's facility number, county, type of discharge, effective date, parole term, special conditions, date of hearing, etc.

**Classification:** 1.21.2.805 NMAC, Juvenile Records

**File closure:** Date of hearing

**Confidentiality:** Confidential per Section 32A-2-32 NMSA 1978

[New - 03/31/2021]

**690-122 PAROLE REVOCATION HEARING PROCEEDINGS:**

**Division/unit:** Juvenile parole

**Maintenance system:** Chrono-alphabetical by hearing date and then juvenile name

**Record series content:** Verbatim record of the revocation hearing

**Classification:** 1.21.2.805 NMAC, Juvenile Records

**File closure:** Date of hearing

**Confidentiality:** Confidential as per Section 32A-2-32 NMSA 1978

[New - 03/31/2021]

**690-123 to 690-130**

**690-131 JUVENILE CASE FILES:**

**Division/unit:** Juvenile public safety advisory board

**Maintenance system:** Alphabetical by juvenile's surname

**Record series content:** Record concerning juvenile's case history and activities acquired by the board for determination of released supervision. File may include plan of care, administrative review, judgment and disposition, petition, case record sheet, chronological offense report, base line assessment, education report, home study report, commitment addendum, notice of action, certificate of discharge, juveniles information (i.e., name, date of birth, social security number, address, etc.), school transcripts, psychological reports, medical units medical records.

**Classification:**

(A) **Short or long commitment:** 1.21.2.805 NMAC, Juvenile Records

(B) **Youthful offender:** 1.21.2.805 NMAC, Juvenile Records

**File closure:**

(A) **Short or long commitment:** Date juvenile reaches age 19

(B) **Youthful offender:** Date juvenile reaches age 22

**Confidentiality:** Portions of record may be confidential pursuant, but not limited to Section 32A-2-32 NMSA 1978 (i.e., diagnostic evaluations, pre-parole reports and supervision histories), Section 552a (i.e., social security number), and Section 59A-46-27NMSA 1978 confidentiality of medical information and limitation of liability.

[New - 03/31/2021]