

TITLE 1 GENERAL GOVERNMENT ADMINISTRATION
CHAPTER 18 EXECUTIVE RECORDS RETENTION AND DISPOSITION SCHEDULES (ERRDS)
PART 669 ERRDS, HEALTH POLICY COMMISSION

1.18.669.1 ISSUING AGENCY: New Mexico Commission of Public Records – State Records Center and Archives
[1.18.669.1 NMAC - Rp, 1 NMAC 3.2.93.1, 04/11/02]

1.18.669.2 SCOPE: health policy commission
[1.18.669.2 NMAC - Rp, 1 NMAC 3.2.93.2, 04/11/02]

1.18.669.3 STATUTORY AUTHORITY: Section 14-3-6 NMSA 1978. The administrator shall establish a record management program and shall establish records disposal schedules for the orderly retirement of records and adopt regulations necessary for the carrying out of the public records act.
[1.18.669.3 NMAC - Rp, 1 NMAC 3.2.93.3, 04/11/02]

1.18.669.4 DURATION: Permanent
[1.18.669.4 NMAC - Rp, 1 NMAC 3.2.93.4, 04/11/02]

1.18.669.5 EFFECTIVE DATE: April 11, 2002, unless a later date is cited at the end of a section.
[1.18.669.5 NMAC - Rp, 1 NMAC 3.2.93.5, 04/11/02]

1.18.669.6 OBJECTIVE: To establish records disposal schedules for the orderly retirement of records per Section 14-3-6 NMSA 1978.
[1.18.669.6 NMAC - Rp, 1 NMAC 3.2.93.6, 04/11/02]

1.18.669.7 DEFINITIONS:

A. "Administrator" means the state records administrator per Section 14-3-2 NMSA 1978.
B. "Agency" means any state agency, department, bureau, board, commission, institution or other organization of the state government, the territorial government and the Spanish and Mexican governments in New Mexico (Section 14-3-2 NMSA 1978).

C. "Audit" means a periodic examination of an organization to determine whether appropriate procedures and practices are followed.

D. "Commission" means the state commission of public records per Section 14-3-2 NMSA 1978.

E. "Pending litigation" means a proceeding in a court of law whose activity is in progress but not yet completed.

F. "Records management" means the systematic control of all records from creation or receipt through processing, distribution, maintenance and retrieval, to their ultimate disposition.

G. "Records retention period" means the period of time during which records must be maintained by an organization because they are needed for operational, legal, fiscal, historical or other purposes.

H. "Records retention schedule" means a document prepared as part of a records retention program that lists the period of time for retaining records.

[1.18.669.7 NMAC - N, 04/11/02]

1.18.669.8 ABBREVIATIONS AND ACRONYMS:

A. "CAHPS" stands for consumer assessment of health plans.

B. "CC-CA" stands for charity care and capital assets.

C. "FQHC" stands for federal qualified health center.

D. "GADS" stands for geographic access database system.

E. "HCFA" stands for health care financing administration or center for medicare and medicaid services (CMS).

F. "HEDIS" stand for health plan employer data and information set.

G. "HIDD" stands for hospital inpatient discharge data.

H. "HIS" stands for health information systems.

I. "ID" stands for identification number.

J. "NCBD" stands for national (consumer assessment of health plans) benchmarking database.

K. "SHE" stands for state health expenditure.
[1.18.669.8 NMAC - N, 04/11/02]

1.18.669.9 INSTRUCTIONS:

A. For records of an administrative nature, refer to the Records Retention and Disposition Schedule for General Administrative Records, 1.15.2 NMAC.

B. For records of a financial nature, refer to the Records Retention and Disposition Schedule for General Financial Records, 1.15.4 NMAC.

C. For records of a personnel nature, refer to the Records Retention and Disposition Schedule for General Personnel Records 1.15.6 NMAC.

D. For records of a medical nature, refer to the Records Retention and Disposition Schedule for General Medical Records, 1.15.8 NMAC.

E. Retention periods shall be extended until six months after all current or pending litigation, current claims, audit exceptions or court orders involving a record have been resolved or concluded.

F. The descriptions of files are intended to be evocative, not complete. For example, there will always be some documents that are filed in a file that are not listed in the description, and similarly, not every file will contain an example of each document listed in the description.

G. Confidentiality is denoted for files likely to contain confidential materials, but files without a confidentiality note nonetheless may contain confidential or privileged materials and failure to include an express confidentiality note in the description of a file does not waive the confidential or privileged nature of those materials. Refer questions concerning the confidentiality of a file or portions of a file to legal counsel for the agency.

H. Access to confidential documents or confidential files shall be only by authorization of agency or Attorney General or by court order, unless otherwise provided by statute. Release of confidential documents to law enforcement and other government agencies, shall only be upon specific statutory authorization or court order.

I. All records, papers or documents may be photographed, microfilmed, micro photographed or reproduced on film. Such photographs, microfilms, photographic film or microphotographs shall be deemed to be an original record for all purposes, including introduction in evidence in all courts or administrative agencies per Sections 14-1-5, 14-1-6 NMSA 1978).

J. Electronic records. Many paper records are being eliminated when the information has been placed on magnetic tapes, disks, or other data processing media. In these cases, the information on the data processing medium should be retained for the length of time specified in records retention and disposition schedules for paper records and should be subject to the same confidentiality and access restrictions as paper records. When the destruction of a record is required, all versions of said record shall be electronically over-written on machine readable media on which it is stored (or media destroyed). (See also 1.13.70 NMAC: Performance Guidelines for the Legal Acceptance of Public Records Produced by Information Technology Systems).

[1.18.669.9 NMAC - Rp, 1 NMAC 3.2.93.8, 04/11/02]

1.18.669.10 - 100 [RESERVED]

1.18.669.101 HEALTH POLICY COMMISSION TASK FORCE FILES:

A. Program: health policy commission

B. Maintenance system: chronological by date of meeting

C. Description: records concerning specific task forces and their recommendations to the commission on various health care issues affecting New Mexico residents. Files may contain health care issue background information, recommendations, reports, agendas, meeting minutes and notes, surveys, copies of environmental scans, etc.

D. Retention: permanent, task force files are to be transferred to archives 10 years after specific task force dissolved.

[1.18.669.101 NMAC - Rp, 1 NMAC 3.2.93.669.101, 04/11/02]

1.18.669.102 STATE HEALTH EXPENDITURE (SHE) ACCOUNT REPORT, ANNUAL:

A. Program: health policy commission

B. Maintenance system: chronological by year

C. Description: report of private and public health care expenditure estimates in New Mexico. Report may contain narrative, tables, expenditures, types of services provided, source of funds, etc.

D. Retention: 10 years after close of state fiscal year in which created then transfer to archives for review
[1.18.669.102 NMAC - Rp, 1 NMAC 3.2.93.669.102, 04/11/02]

1.18.669.103 TRACKING LOGS:

A. Program: health policy commission
B. Maintenance system: chronological by date received
C. Description: electronic and hardcopy output documents that record office or agency activities such as: the reporting status of required input from submitting entities, requests for information, status and integrity of electronic systems, status and integrity of media and software received, virus-infected software received, etc. Logs may contain, log name, log code, date received, name of person received by, reporting period, agency license number and type, hospital name and location, raw data medium, label number, agency receiving data, send date, virus name, aliases, length of virus, characteristics, memory resident, size, stealth, comments, creation date, date action take, etc.

D. Retention: one year after close of state fiscal year in which created
[1.18.669.103 NMAC - N, 04/11/02]

1.18.669.104 - 109 [RESERVED]

1.18.669.110 FUNDING STREAMS DATABASE:

A. Program: health information systems
B. Maintenance system: none
C. Description: this is currently an inactive system used for research that maintains information on revenues and expenditures for publicly funded health care services in New Mexico. Database may contain agency names, revenue activities, activity groups, total revenues, federal revenues, general funds, fund balances, interagency transfers, medicaid revenues, medicare revenues, county and local revenues, payroll, payments to contractors and health care providers, types of health care services and health care functions, population groups, performance measures, etc.

D. Retention:
(1) **data:** five years after December 2000
(2) **system:** See general records retention and disposition schedule, general administrative records item 1.15.2.301 NMAC documentation tape file or item 1.15.2.302 NMAC for operation system backup

E. Confidentiality: Data is confidential per section 24-14A-8 NMSA 1978.
[1.18.669.110 NMAC - Rp, 1 NMAC 3.2.93.669.110, 04/11/02]

1.18.669.111 HOSPITAL INPATIENT DISCHARGE DATA (HIDD) SYSTEM:

A. Program: health information systems
B. Maintenance system: chronological by year
C. Description: system captures, tracks and processes hospital inpatient discharge data at patient level from non-federal and licensed hospitals for the purpose of assisting the commission and law makers in state wide health planning and policy making. System contains the following databases: temporary file database, permanent aggregate database, quarterly medicaid paid claims database, and quarterly medicare paid claims database.

(1) **temporary file database:** raw data received as follows: patient name, patient date of birth, patient age, city code, patient county, principal diagnosis, hospital type, length of stay, major diagnostic category, patient gender, patient status, etc.

(2) **permanent aggregate database:** processed data as follows: patient age, date of birth, city code, patient county, principal diagnosis, hospital type, length of stay, major diagnostic category, patient gender, patient status, etc.

(3) **quarterly medicaid paid claims database:** captures and tracks medicaid claims paid for New Mexico residents. Database may contain provider name, provider number, facility type, city and county of provider, medicaid provider number, patient date of birth, age and age group, gender, patient zip code, first admit date, number of transfers, E code, number of physicians, physician name, etc. *Database is used for reference purposes; no further data will be entered or collected for this database.*

(4) **quarterly medicare paid claims database:** captures and tracks medicare paid claims for New Mexico residents. Database may show provider name, provider number, facility type, city and county of provider,

medicare provider number, patient date of birth, age and age group, gender, patient zip code, first admit date, number of transfers, number of physicians, physician name, etc. *Database is used for reference purposes; no further data will be entered or collected for this database.*

D. Retention:

(1) data:

(a) temporary file database: until HIDD analysis quarterly reports approved by submitting facility

(b) permanent file database: permanent

(c) quarterly medicaid paid claims database: permanent

(d) quarterly medicare paid claims database: permanent

(2) system: See general records retention and disposition schedule, general administrative records

item 1.15.2.301 NMAC documentation tape file or item 1.15.2.302 NMAC for operation system backup

E. Confidentiality: Data is confidential per section 24-14A-8 NMSA 1978.

[1.18.669.111 NMAC - Rp, 1 NMAC 3.2.92.669.230, 04/11/02]

1.18.669.112 (HIDD) RAW DATA REPORTS:

A. Program: health information systems

B. Maintenance system: chrono-alphabetical by quarter and provider name

C. Description: electronic input records for the temporary file database concerning raw data on patient discharge records from non-federal, licensed hospitals in New Mexico. Reports may contain license number, medicare and medicaid provider number, calendar quarter ending, provider zip code, patient name, patient social security number, diagnosis, length of stay, etc.

D. Retention: until HIDD analysis quarterly reports approved by submitting facility

E. Confidentiality: record is confidential per Section 24-14A-8 NMSA 1978.

[1.18.669.112 NMAC - Rp, 1 NMAC 3.2.93.669.222, 04/11/02]

1.18.669.113 GEOGRAPHIC ACCESS DATABASE SYSTEM (GADS):

A. Program: health information systems

B. Maintenance system: chrono-alphabetical by preceding year and provider name

C. Description: system contains and tracks quarterly and annual submissions by state required health professional and facility licensing authorities, non-federal licensed health care facilities, and state entities administering publicly funded programs. Input into this system is primarily electronic from submitting entities. Data is used to assist the commission, the legislature and other agencies and organizations in planning, formulating policy, administering programs and allocating resources to improve geographic access to health services. System contains the following databases:

(1) health policy commission (HPC) database: *yearly-created* database that contains the processed data submitted by required sources. Database may contain names of facilities, facilities ID, medicare provider certification number, medicaid title 19 number, name of administrator or owner, health care professionals, license numbers, dates of birth, gender, professional educational institution, professional degree, specialties, date first licensed in New Mexico, license status, telephone numbers, mailing address, physical address, types of services available, hours of operation, number of physicians, dentists, physicians' assistants, nurse practitioners, advanced practice nurses, registered nurses and professional health personnel, administering entity, program name, program funding, recipient name, amount of payment award, use of payment, total number of eligible health professionals, total expenditure by health professional discipline, etc.

(2) map files database: system contains HPC database files that have been geographically coded for mapping purposes.

D. Retention:

(1) (HPC) database data: 50 years after close of calendar year in which created

(2) map files database: until superseded by new data, but no longer than 10 years after date coded.

(3) system: See general records retention and disposition schedule, general administrative records

item 1.15.2.301 NMAC documentation tape file or item 1.15.2.302 NMAC for operation system backup

E. Confidentiality: Data is confidential per Section 24-14A-8 NMSA 1978.

[1.18.669.113 NMAC - N, 04/11/02]

1.18.669.114 (GADS) RAW DATA REPORTS:

A. Program: health information systems

B. Maintenance system: chronological by calendar year and facility type

C. Description: electronic or hardcopy input records to the GADS system. Reports may include: form A company data may contain company ID, company name, profit status, company owner, administrative address, administrator, reporting contact, etc.; form B services data may contain average service hours per week, clinic ID and status, license number, facility type, clinic location, primary care services, radiology, diagnostic services, emergency services, urgent care, family planning, gynecology, obstetrics, prenatal care, dental care, mental health, substance abuse, pharmaceuticals, etc.; form C staff data may contain full time equivalent FTE, clinic ID and name, number of medical doctors, physician's assistants, dentists, hygienists, other clinical staff, registered nurses, licensed practical nurses, advanced practice nurses, other nurses, etc.

D. Retention: until raw data entered and processed into the GADS system

E. Confidentiality: record is confidential per Section 24-14A-8 NMSA 1978.

[1.18.669.114 NMAC -N, 04/11/02]

1.18.669.115 CHARITY CARE AND CAPITAL ASSETS (CC-CA) REPORTING SYSTEM:

A. Program: health information systems

B. Maintenance system: chrono-alphabetical by fiscal year and provider name

C. Description: system consists of databases that contain and track charity care cost shifting, health facility capacity and equipment expansion or reduction by all non-federal health care facilities, licensed non-federal general and specialty inpatient healthcare facilities, licensed diagnostic and treatment centers, limited diagnostic and treatment centers and rural health clinics that is used to assist the commission, the legislature and other agencies and organizations in planning, formulating policy, administering programs and allocating resources. Input into this system is primarily electronic from submitting entities' and HCFA medicare cost report. System contains the following databases:

(1) **charity care database:** contains bad debts, charity care charges, cost to charge ratios, county indigent revenues, emergency room charity care inpatient revenues, emergency room charity care outpatient revenues, facility controls, facility IDs, facility license numbers, fund balances or equities, governmental appropriations, medicaid charges, medicaid discharges, net medicaid revenues, net medicare revenues, total discharges, audited FQHC rate(s), charity care encounters, county indigent fund revenues, federal funds, medicaid and medicare encounters, net patient revenues, rural primary health care funds, supplemental medicaid revenues, total expenses, total patient costs, etc.

(2) **capital asset disposal and retirements database:** contains facility license number, facility name, fiscal year ending, net income (loss), owner(s) of facility, total capital asset ending balance, total new capital asset purchases, etc.

D. Retention:

(1) **charity care database data:** 10 years from close of fiscal year in which created

(2) **capital asset disposal and retirements database data:** 10 years from close of fiscal year in which created

(3) **system:** See general records retention and disposition schedule, general administrative records item 1.15.2.301 NMAC documentation tape file or item 1.15.2.302 NMAC for operation system backup

E. Confidentiality: Data is confidential per Section 24-14A-8 NMSA 1978.

[1.18.669.115 NMAC - N, 04/11/02]

1.18.669.116 (CC-CA) RAW DATA REPORTS:

A. Program: health information systems

B. Maintenance system: chrono-alphabetical by fiscal year and provider name

C. Description: electronic or hardcopy input records of the required data by non-federal health care facilities, licensed non-federal general and specialty inpatient healthcare facilities, licensed diagnostic and treatment centers, limited diagnostic and treatment centers and rural health clinics. Reports may contain facility name, fiscal year end date, facility ID, facility license number facility owner, facility control type, medicare and medicaid patient days, total patient days, medicare and medicaid discharges, total discharges, total expenses incurred by facility, total new capital assets purchased, long term assets, total capital ending balance, cost to charge ration, etc.

D. Retention: until raw data entered and processed into charity care and capital assets database

E. Confidentiality: record is confidential per Section 24-14A-8 NMSA 1978.

[1.18.669.116 NMAC - N, 04/11/02]

[Additional required data includes copies of facilities HCFA medicare cost report for fiscal year, copies of facility formal charity care policy or policies and copies of any notice program reimbursement indicating a five percent or greater cost adjustment.]

1.18.669.117 HEALTH PLAN EMPLOYER DATA AND INFORMATION SET (HEDIS) DATABASE:

- A. Program:** health information systems
- B. Maintenance system:** chrono-alphabetical by year and employer name
- C. Description:** database tracks and maintains information on health care plans submitted by licensed health care organizations in New Mexico and is used in the publication of consumer guides to managed care, additional brochures as prescribed by the editorial board and electronic web guides.
- D. Retention:**
 - (1) **data:** five years after close of calendar year in which created
 - (2) **system:** See general records retention and disposition schedule, general administrative records item 1.15.2.301 NMAC documentation tape file or item 1.15.2.302 NMAC for operation system backup
- E. Confidentiality:** Data is confidential per Section 24-14A-8 NMSA 1978.

[1.18.669.117 NMAC - N, 04/11/02]

[Input into this database is primarily information extracted from data sets and NCBD.]

1.18.669.118 DATA SETS:

- A. Program:** health information systems
- B. Maintenance system:** chrono-alphabetical by fiscal year and organization name
- C. Description:** electronic input to the HEDIS system of the required data by licensed health care organizations in New Mexico. Sets may contain information on child and adolescent immunization status, breast cancer screening, chlamydia screening in women, controlling high blood pressure, beta blocker treatment after a heart attack, cholesterol management, comprehensive diabetes, medication management and follow-up, smoking, access and availability of care, health plan stability, well child and adolescent visits, ambulatory care, discharges and average length of stay, maternity care, mental health utilization, chemical dependency utilization, cost of care, informed health care choices, health plan descriptions, etc.
- D. Retention:** five years after close of state fiscal year in which received
- E. Confidentiality:** record is confidential per Section 24-14A-8 NMSA 1978.

[1.18.669.118 NMAC - N, 04/11/02]

1.18.669.119 NATIONAL CONSUMER ASSESSMENT OF HEALTH PLANS BENCHMARKING DATABASE (NCBD):

- A. Program:** health information systems
- B. Maintenance system:** chronological by year published
- C. Description:** hardcopy technical publication input document to the HEDIS system used for benchmarking and research related to consumer assessments of health care.
- D. Retention:** five years after close of calendar year in which published
- E. Confidentiality:** record is confidential per Section 24-14A-8 NMSA 1978.

[1.18.669.119 NMAC - N, 04/11/02]

1.18.669.120 - 130 [RESERVED]

1.18.669.131 COUNTY INDIGENT FUND DATABASE:

- A. Program:** policy and planning
- B. Maintenance system:** chronological by fiscal year
- C. Description:** electronic system used to collect, track, compile and analyze the information needed for the indigent health care report as provided through the Indigent Hospital and County Health Care Act 27-5-1 to 27-5-18 NMSA 1978. Database contains information extracted from health care surveys.
- D. Retention:**
 - (1) **data:** five years after close of fiscal year in which created
 - (2) **system:** See general records retention and disposition schedule, general administrative records item 1.15.2.301 NMAC documentation tape file or item 1.15.2.302 NMAC for operation system backup
- E. Confidentiality:** Data is confidential per Section 24-14A-8 NMSA 1978.

[1.18.669.131 NMAC - N, 04/11/02]

1.18.669.132 HEALTH CARE SURVEYS:

A. Program: policy and planning
B. Maintenance system: chrono-alphabetical by fiscal year and county name
C. Description: hardcopy input records to the county indigent fund database used to collect statistical information from the local government division of the department of finance and administration on indigent health care provided through the Indigent Hospital and County Health Care Act 27-5-1 to 27-5-18 NMSA 1978. Surveys may contain county's eligibility criteria, services provided, restriction on services, conditions for reimbursement to providers, revenue sources used to pay, etc.

D. Retention: two years after close of state fiscal year in which survey administered

E. Confidentiality: record is confidential per Section 24-14A-8 NMSA 1978.

[1.18.669.132 NMAC - N, 04/11/02]

1.18.669.133 - 140 [RESERVED]

1.18.669.141 HOUSEHOLD SURVEY DATABASE:

A. Program: policy and research
B. Maintenance system: chronological by fiscal year
C. Description: electronic system used to collect, track, compile, and analyze information specific to access of health insurance in New Mexico. Database contains data extracted from household surveys.

D. Retention:

(1) **data:** 10 years after close of fiscal year in which data entered

(2) **system:** See general records retention and disposition schedule, general administrative records item 1.15.2.301 NMAC documentation tape file or item 1.15.2.302 NMAC for operation system backup

E. Confidentiality: Data is confidential per section 24-14A-8 NMSA 1978.

[1.18.669.141 NMAC - N, 04/11/02]

1.18.669.142 HOUSEHOLD SURVEY QUESTIONNAIRE:

A. Program: policy and research
B. Maintenance system: chronological by fiscal year
C. Description: electronic input records to the household survey database used to collect information from randomly selected households on access of health insurance in New Mexico. Questionnaire may contain educational level, age, county, ethnic group, number and ages of adult and child household members, overall health status, number of days unable to work, marital status, employment, months employed previous year, type of insurance, additional insurance if any, monthly insurance premium, medicaid or medicare coverage (if applicable), out of pocket health care expenses, types of services and treatment received, services attained where, how were services paid for, etc.

D. Retention: two years after close of state fiscal year in which survey administered

E. Confidentiality: record is confidential per Section 24-14A-8 NMSA 1978.

[1.18.669.142 NMAC - N, 04/11/02]

1.18.669.143 EMPLOYER DATABASE:

A. Program: policy and research
B. Maintenance system: chronological by fiscal year
C. Description: system used to collect, track, compile and analyze information on employers in New Mexico and the types of health insurance provided. Database may contain company or employer name, number of locations, number of full-time and part-time employees, type of business, health insurance plan provided, care provided under plan, employer and employee contributions, etc.

D. Retention:

(1) **data:** 10 years after close of fiscal year in which survey administered

(2) **system:** See general records retention and disposition schedule, general administrative records item 1.15.2.301 NMAC documentation tape file or item 1.15.2.302 NMAC for operation system backup

E. Confidentiality: Data is confidential per section 24-14A-8 NMSA 1978.

[1.18.669.143 NMAC - N, 04/11/02]

[Data is collected every other year from randomly selected employers.]

1.18.669.144 GENERIC SHORT TERM PROJECT SPECIFIC DATABASES:

A. Program: policy and research
B. Maintenance system: alphabetical by project name
C. Description: system used to collect, track, compile and analyze information on short term projects assigned by the health policy commission task force or the legislature relating to health care issues in New Mexico. Databases may contain primary and secondary data from databases within the health policy commission, mailing lists, healthcare surveys, HCFA databases, miscellaneous federal databases, etc.

D. Retention:
(1) data: two years after close of fiscal year in which project completed
(2) system: See general records retention and disposition schedule, general administrative records item 1.15.2.301 NMAC documentation tape file or item 1.15.2.302 NMAC for operation system backup

E. Confidentiality: Data is confidential per Section 24-14A-8 NMSA 1978.
[1.18.669.143 NMAC - N, 04/11/02]

HISTORY OF 1.18.669 NMAC:

History of repealed material:

1 NMAC 3.2.93.669, ERRDS, Health Policy Commission - Repealed, 04/11/02.