

Department Series Report

14: Behavioral and Developmental Services

| Description | Media | Last Updated | In Agency Retention | Rec Center Retention | Disposition | Status | | |
|---|--|--------------|---------------------|----------------------|--------------|--------|---------|---------|
| 191#: | | | | | | | | |
| Schedule #: 15 | 1#:Admission/Termination Sheet for Patients Admitted to MH Centers | | | | | | | |
| Contain identifying personal data such as date of birth, sex, address, demographic characteristics and problems relating to psychiatric diagnoses. These are optically scannable forms sent to us for administrative statistical purposes. A copy is maintained on the patient's chart in the Center. We (Administrative Services, MH&MR) transcribe the data to tabulating cards and tape. The tape is backed up. | Paper | 10/1/1997 | Years | 1 | Years | 2 | Destroy | Current |
| Schedule #: 408 | | | | | | | | |
| 2#:Commissioner's Institutional Files - MH & MR | | | | | | | | |
| Resumes, memos, unauthorized leave reports, information bulletins, BPI correspondence, client related correspondence, monthly reports. | Paper | 10/1/1997 | Years | 8 | No Retention | 0 | Destroy | Current |
| Schedule #: 411 | | | | | | | | |
| 8#:Report of State Audit | | | | | | | | |
| Audit work program; prior audit report; final reports; CPA report, IRS 501(c)(3) exemption; chart of accounts/list of abbreviations; cash verification; contract summary; P&L for General Fund; P&L for Children's Services Unit; P&L for Winthrop Activities Center; P&L for Supervised Apartments; P&L for BMR Extension; payroll analysis; payroll tax; analysis of expenditures; depreciation schedule and analysis; analysis of G&A allocation; analysis of units. | Paper | 10/1/1997 | Years | 3 | Years | 4 | Destroy | Current |
| Schedule #: 427 | | | | | | | | |
| 10#:Contracts - Administration | | | | | | | | |
| Contracts for Special Services from all divisions of the Dept. of Mental Health & Mental Retardation. | Paper | 10/1/1997 | Years | 3 | Years | 4 | Destroy | Current |
| Schedule #: 427 | | | | | | | | |
| 9#:Correspondence - General, Administrative Services Division | | | | | | | | |
| Correspondence related to general activities of the Administrative Services Division of the Dept. of Mental Health & Mental Retardation. | Paper | 10/1/1997 | Years | 3 | Years | 4 | Destroy | Current |
| Schedule #: 432 | | | | | | | | |
| 11#:General Correspondence - Programs | | | | | | | | |
| Correspondence pertaining to program issues including such things as news clippings budget information, publications and reports. | Paper | 10/1/1997 | Years | 8 | No Retention | 0 | Destroy | Current |
| Schedule #: 432 | | | | | | | | |
| 12#:Institutions - Programs | | | | | | | | |

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| Reports, news clippings, activities, and general operating material relating to DMH&MR Institutions. | Paper | 10/1/1997 Years | 8 | No Retention | 0 Destroy | Current |
| Schedule #: 432 13#:Central Office - Programs | | | | | | |
| Reports, recommendations, memos and draft proposals pertaining to divisions of the Dept. of Mental Health and Mental Retardation. | Paper | 10/1/1997 Years | 8 | No Retention | 0 Destroy | Current |
| Schedule #: 780 14#:Legal Services-State/Federal Law/Legislation (MH & MR) | | | | | | |
| State and Federal law relating to mental health, mental illness and substance abuse. Interdepartmental memos, copy of legislature bills, supporting documentation, newsletters, analysis. | Paper | 10/1/1997 Years | 5 | No Retention | 0 Destroy | Current |
| Schedule #: 780 16#:Legal Services-Correspondence (MH & MR) | | | | | | |
| Letters & Memoranda to and from office of Legal Services. To include: letters of request for information; answers for requested information; memos to schedule meetings; arrangements for free legal assistance for patients at State Institutions. | Paper | 10/1/1997 Years | 5 | No Retention | 0 Destroy | Current |
| Schedule #: 784 22#:Licensing Files (Mental Health Agencies) | | | | | | |
| We inspect agencies for compliance with Mental Health State Regulations. Files include: program information, staff rosters, Site review reports, licensure issued, complaints and related correspondence. | Paper | 4/9/2009 Years | 10 | Years | 40 Destroy | Current |
| Schedule #: 784 3#:Quality Assurance Files | | | | | | |
| Reports, data, correspondence, references in regard to Quality Assurance of Mental Health and Mental Retardation, and Children with Special Needs agencies throughout the State of Maine. | Paper | 1/8/2010 Years | 1 | Years | 11 Destroy | Current |
| Schedule #: 794 5#:Class Action Suit (AMHI) | | | | | | |
| Suit pertains to delivery of services in institutional and community settings. Includes court documents, proposed settlements, meeting notices and minutes, correspondence related to same. In agency retention: until terminated. | Paper | 10/1/1997 | Contingent Upon Event - See Description | 0 | Years 10 | Archives Current |
| Schedule #: 924 4#:Medical Director Files | | | | | | |

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| Oversees medical questions on patients and institutions. Files include: Clozaril* (drug) preapprovals; statistics: investigative reports: quality assurance reports; death review files, including reports and related correspondence. The Medical Director advises the Commissioner on Medical questions which may arise throughout the Department. *Preapproval is required for Medicaid coverage of this drug. | Paper | 10/1/1997 | Years 2 | Years 25 | Destroy | Current |
| 191D:Developmental Disabilities | | | | | | |
| Schedule #: 409 3#:Developmental Disabilities Council Grant Files | | | | | | |
| Notice of Developmental Disabilities Services Grant Award; Developmental Disabilities Services and Facilities Construction Request for Reimbursement; application for funding; fiscal information about the project; correspondence. | Paper | 10/1/1997 | Years 10 | Years 10 | Destroy | Current |
| Schedule #: 1583 4#:Development Disabilities Council Minutes | | | | | | |
| Minutes of the Development Disabilities Council. | Paper | 5/1/2003 | Years 10 | Years 0 | Archives | Current |
| 191I:Public Information Office | | | | | | |
| Schedule #: 444 2#:Homebuilders Data Base | | | | | | |
| Primary source of income of clients served; family income of client served; categories of living arrangements; ethnic background of clients served; mental health system compare with OCS data elements; form; correspondence. | Paper | 10/1/1997 | Years 10 | No Retention 0 | Destroy | Current |
| Schedule #: 857 1#:Information and Public Affairs (News Summary) | | | | | | |
| This is a daily document put out by this office. It consists of newspaper articles published in different newspapers throughout the State. This is information pertaining to mental health and mental retardation in any way. | Paper | 10/1/1997 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 857 3#:Information and Public Affairs (Information Releases) | | | | | | |
| These are news releases put out by this division for the Department of Mental Health and Mental Retardation. Information such as: AMHI Class Action Suit: appointment of a new AMHI superintendent; bulletin on Mobile Psycho Geriatric Assessment and Consultation team contract; Governor McKernan to Present Mental Health and Mental Retardation of the Volunteer of the Year Awards and the "AMHI Suite" scheduled hearing. | Paper | 10/1/1997 | Years 2 | No Retention 0 | Destroy | Current |

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| 207#: Advocacy, Office of | | | | | | |
| Schedule #: 873 | 1#: Advocate's Investigatory Reports & Correspondence | | | | | |
| Final reports for 10 regional offices and mental health facilities. Finalized reports of investigations done by the advocates office & subpoenas to aid in investigations. Adult Protective Summary Reports: Reports submitted to chief advocates of reported incidents. Client Tracking Form: form to track reports of abuse etc. Correspondence in regards to reported abuse cases. Behavioral Guidelines: Used as informal guides for advocates office. Investigative Reports: Reports received from the 6 regions and 3 facilities from 1986-87. | Paper | 4/9/2009 | Years 5 | Years 50 | Destroy | Current |
| 199#: Aroostook Residential Center | | | | | | |
| Schedule #: 1610 | 1#: Human Services Survey - Aroostook Residential Center | | | | | |
| The Aroostook Residential Center is in an intermediate care facility for the mentally retarded, licensed for the diagnosis, treatment, or habilitation of persons with mental retardation or a related condition. The Dept. of Human Services surveys all such ICR/MRs for compliance with its regulations and with Medicaid rules. Documents include regulations, certified mail receipts, facility license, DHS survey forms, exit interviews, deficiency statements, plans for corrective action for deficiencies. Also includes exit interviews (The Clients are interview in these exit interviews before Public Safety and Human Ser. Finish the survey and the home is certified) conducted by Dept. of Public Safety with related corrective action plans, and Medicaid provider/supplier agreements. | Paper | 6/18/2004 | 0 | Years 25 | Destroy | Current |
| Schedule #: 1610 | 2#: Human Rights Committee - Aroostook Residential Center | | | | | |
| The Human Rights Committee's role is to seek out evidence of neglect, abuse and/or mistreatment of residents. To accomplish this mission the committee reviews such documents as Medication and Treatment Error Forms, Accident/Incident Reports, restraints, internal medication audits, "staff auditing staff" forms, and other reports and correspondence as needed. (Human Rights Committee Meeting Minutes Schedule 1610 Series 2B, needs to be removed from the files and send to Archives, before destruction of records.) | Paper | 4/9/2009 | 0 | Years 15 | Destroy | Current |
| Schedule #: 1610 | 2B: Human Rights Committee Meeting Minutes-Aroostook Residential Center | | | | | |

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| Human Rights Committee's Agendas and Meeting Minutes; This Committee's role is to seek out evidence of neglect, abuse and or mistreatment of our resident population. To accomplish this mission we review all the reports which include Medication and Treatment Error Forms and Accident/Incident reports which then are reviewed for recommendations. These Meeting minutes are filed with the Human Rights Committee's records Schedule 1610, Series 2 and are Archival. (The Human Rights Meeting Minutes need to be removed from the Human Rights Committee files, before they are destroyed.) | Paper | 6/18/2004 | 0 | Years 15 | Archives | Current |
| Schedule #: 1610 3#:Resident Census - Aroostook Residential Center | | | | | | |
| The Aroostook Residential Center does financial and statistical reports which includes census records. This is to include the date, number of residents at the beginning of each day, names of residents admitted, and names of residents discharged. This is done on a daily, weekly, monthly, and yearly basis which also includes statistics on day programming and attendance. The purpose is to report to the Dept. of Human Services for reimbursement under Medicaid. | Paper | 4/9/2009 | 0 | Years 20 | Destroy | Current |
| Schedule #: 1610 4#:Client Records - Aroostook Residential Center | | | | | | |
| The Aroostook Residential Center began operations in October 1972 and closed on June 12, 2004. It was an Intermediate Care Facility for mentally retarded adults, providing long-term care and training to its clients. Client records include psychological evaluations, psychiatric evaluations, speech evaluations, occupational and physical therapy, skills assessment, activity schedules, Annual Person-Centered Plan, authorization for medical treatment, and other related documents. | Paper | 4/9/2009 | 0 | Years 65 | Destroy | Current |
| Schedule #: 1617 5#:Facility Director Files-Aroostook Residential Center | | | | | | |
| Files of Facility Director: Materials relating to a day to day operation of the Aroostook residential Center, which operates on a 24 hour per day/seven days a week basis as an Intermediate Care Facility for the Mentally Retarded. These files include the development and long-range plans for the institution relating to size of the population to be served and types of services to be provided in order to develop innovative and creative approaches to problems of mental retardation and develop a plan for the acquisition of necessary resources. Institution resources including treatment, maintenance, and fiscal operation in order to ensure quality care of all patients. Developments of public information program for the assigned region in order to create better community acceptance of the mentally retarded. Records also consist of the organization, floor plans, functions, policy & procedures, decisions, essential transactions, and correspondence related thereto. | Paper | 4/9/2009 | 0 | Years 2 | Archives | Current |

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|---|---|--------------|---------------------|----------------------|-------------|---------|
| 209#:Bath Children's Home | | | | | | |
| Schedule #: 694 | 14#:Military and Naval Children's Home Case Files (1866-1940) | | | | | |
| Date of entry, discharge, family history, medical and related information. | Paper | 10/1/1997 | Years 40 | Years 40 | Archives | Current |
| Schedule #: 694 | 15#:Military and Naval Children's Home Case Files (1941 to present) | | | | | |
| Date of entry, discharge, family history, medical and related information. | Paper | 10/1/1997 | Years 40 | Years 40 | Archives | Current |
| Schedule #: 694 | 16#:Correspondence (Bath Children's Home) | | | | | |
| Memo's, requests for information, job requests. | Paper | 10/1/1997 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 694 | 17#:Board of Visitors (Bath Children's Home) | | | | | |
| Minutes of meetings and related correspondence. | Paper | 10/1/1997 | Years 5 | Years 5 | Archives | Current |
| Schedule #: 856 | 18#:Inactive Referrals (Group Home) | | | | | |
| Referrals made to Bath Children's Home (Group Home) which have been denied or chosen not to pursue. Files include: child's record; offense report; court order; notice to parents or custodians; treatment service plan; psychological evaluation and related correspondence. | Paper | 10/1/1997 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 856 | 19#:Inactive Referrals (Transitional Housing Program) | | | | | |
| Referrals made to the Transitional Housing Program at the Bath Children's Home which have been denied or chosen not to pursue. Files include: referral form; application; health history; education history; family history; neuropsychological evaluation; school records. | Paper | 10/1/1997 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 1536 | 23#:Reports of the Activities of the Bath Children's Home | | | | | |
| Formal booklets of the reports on the Bath Children's Home, formally called Military and Naval Orphan Asylum. Reports included: 1866-1868, 1869,70,71,73,74,75,76,77,79, 82,83,86,87,88,89,90,92,96,97-98. 1900-1901, 03-04 through 1917-1918 and the report dated 1946-1947. | Paper | 10/1/1997 | 0 | 0 | Archives | Current |

472#:Children with Special Needs

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|---|-------|--------------|---|----------------------|-------------|---------|
| Schedule #: 393 1#:CASSP Communications Correspondence, grant applications, committee agenda and minutes, agencies and organizations, research, articles, literature. | Paper | 10/1/1997 | Years 5 | Years 5 | Destroy | Current |
| Schedule #: 393 2#:CASSP Contracts Contracts between CASSP Unit and organizations or consultants, including invoices and other communications pertaining to contract. | Paper | 10/1/1997 | Years 5 | Years 5 | Destroy | Current |
| Schedule #: 393 3#:CASSP Regional Case Coordination Records Case summary sheets; needs assessment; contact sheets on individual cases receiving referral or other coordination by regional staff. Begin retention period when inactive. | Paper | 10/1/1997 | Years 2 | Years 45 | Destroy | Current |
| Schedule #: 394 4#:Inactive Client Case Records Referral form; psychological and/orpsychiatric evaluations; academic reports and recommendations from sending school system; family assessments; program progress reports; correspondence (to and from the office); financial agreements. Retain in Office until age 21 Yrs. | Paper | 2/1/2008 | Contingent Upon Event - See Description | Years 5 | Destroy | Current |
| Schedule #: 395 5#:Communications - BCSN General correspondence to and from employees of BCSN; minutes, notes and general information about meetings; interdepartmental memos; newspaper clippings, articles, informational packets, booklets. | Paper | 10/1/1997 | Years 2 | Years 5 | Destroy | Current |
| Schedule #: 395 6#:Contractual/Financial - BCSN General information, contracts and amendments; correspondence to and from contractors of the BCSN; Quarterly Narrative Reports; Quarterly Fiscal Reports; Budgets. | Paper | 10/1/1997 | Years 2 | Years 5 | Destroy | Current |
| Schedule #: 526 7#:Client Case Files - the Maine Respite Project | | | | | | |

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|---|-------|--------------|---------------------|----------------------|-------------|---------|
| Family applications for respite care, information on special needs child (including medications, programs daily care issues); provider applications and profiles, reference, DHS licensing approval if respite will be provided in caretakers home; respite training information, mailing lists, directories of respite services available statewide. | Paper | 10/1/1997 | Years 10 | Years 20 | Destroy | Current |
| Schedule #: 526 8#:Maine Respite Project Grant Application | | | | | | |
| Respite training information, mailing lists, directories of respite services available statewide. | Paper | 10/1/1997 | Years 10 | Years 20 | Destroy | Current |
| Schedule #: 526 9#:Maine Respite Project Provider Files | | | | | | |
| Respite provider applications, provider profiles, references, DHS licensing approvals and home study, copies of certification and information pertinent to caring for special needs children. | Paper | 10/1/1997 | Years 10 | Years 20 | Destroy | Current |
| 249#:Community Support Systems | | | | | | |
| Schedule #: 570 44#:Maine State Alliance for the Mentally Ill Grant File | | | | | | |
| Invoices, correspondence, grant agreements, FY proposals, year end financial reports, MSAMI bylaws. | Paper | 10/1/1997 | Years 10 | Years 10 | Destroy | Current |
| 195#:Dorothea Dix Psychiatric Center | | | | | | |
| Schedule #: 31 1#:Invoices - Community Store and Institutional Activity Fund, BMHI | | | | | | |
| Accounts payable invoices covering checks written to pay for merchandise bought for Community Store and Institutional Activity Funds. | Paper | 10/1/1997 | Years 8 | No Retention 0 | Destroy | Current |
| Schedule #: 31 2#:Inventory Tapes of Institutional Canteen Fund, BMHI | | | | | | |
| Semi-annual tapes and cards (previously inventory sheets.) | Paper | 10/1/1997 | Years 8 | No Retention 0 | Destroy | Current |
| Schedule #: 31 3#:General Journals of Canteen Fund and Activity Fund, BMHI | | | | | | |
| Journals that hardly every involve cash--shows corrections and changes in inventory and equipment. | Paper | 10/1/1997 | Years 8 | No Retention 0 | Destroy | Current |

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| Schedule #: 31 4#:General Ledger Cards of Canteen Fund and Activity Fund, BMHI Used for posting to attain monthly trial balance. | Paper | 10/1/1997 | Years 8 | No Retention 0 | Destroy | Current |
| Schedule #: 31 5#:Federal and State Tax Forms, BMHI Federal and State income taxes, Sales tax, W-2 Forms. | Paper | 10/1/1997 | Years 8 | No Retention 0 | Destroy | Current |
| Schedule #: 31 6#:Community Store Employee Forms, BMHI These cover all Community Store employees, including any applications for employment, W-4 forms, physician's statement of health, etc. Retention period begins at termination of employee. | Paper | 10/1/1997 | Years 7 | No Retention 0 | Destroy | Current |
| Schedule #: 33 10#:Pre-Numbered Receipt Books White original given to person received from, yellow is attached to money and filed by resident's last name, green left in book for auditing. | Paper | 10/1/1997 | Years 4 | No Retention 0 | Destroy | Current |
| Schedule #: 33 11#:Duplicated Deposit Slips and Bank Deposit Receipts Original sent to bank with cash, they send back bank deposit receipt which is attached to our duplicate. | Paper | 10/1/1997 | Years 4 | No Retention 0 | Destroy | Current |
| Schedule #: 33 12#:Pre-Numbered Receipts White, pink and yellow copies of receipts of all incoming cash. White given out when requested, yellow kept by date according to account funds received for, pink strictly by number. Indicated retention period is for pink copy--retention for white is 1 year plus current; retention for yellow is 3 years and destroy. | Paper | 10/1/1997 | Years 4 | Years 3 | Destroy | Current |
| Schedule #: 33 13#:Daily Cash Log Typewritten list of cash received by Business Office. | Paper | 10/1/1997 | Years 4 | No Retention 0 | Destroy | Current |
| Schedule #: 33 14#:Statement of Income | | | | | | |

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| Incoming cash to treasury account, broken down by character and object or income source code. | Paper | 10/1/1997 Years | 3 | No Retention | 0 Destroy | Current |
| Schedule #: 33 7#:Duplicate Occupational Therapy Sales Slips Shows all sales from Occupational Therapy sales room. | Paper | 10/1/1997 Years | 4 | No Retention | 0 Destroy | Current |
| Schedule #: 33 8#:Monthly Cash Log Shows all cash received per day, subtalled by week. | Paper | 10/1/1997 Years | 4 | No Retention | 0 Destroy | Current |
| Schedule #: 33 9#:Daily Community Store Cash Sheet Single sheet made up by store keeper when cashing up receipts for day. | Paper | 10/1/1997 Years | 4 | No Retention | 0 Destroy | Current |
| Schedule #: 46 15#:Personal Fund Cards Shows all incoming and outgoing cash for each resident. Retention period begins at discharge or decease of resident. | Paper | 10/1/1997 Years | 3 | Years | 3 Destroy | Current |
| Schedule #: 46 16#:Bankbook Cards Shows all incoming, outgoing and interest on residents bank accounts. Retention period begins when balance shows 0. | Paper | 10/1/1997 Years | 3 | Years | 3 Destroy | Current |
| Schedule #: 46 17#:Stock & Bond Cards Shows approximate value of stocks and/or bonds held in safekeeping for residents. | Paper | 10/1/1997 Years | 3 | Years | 3 Destroy | Current |
| Schedule #: 99 18#:Duplicate BPI Repair Program This is our copy of the quarterly report sent to Bureau of Public Improvements. | Paper | 10/1/1997 Years | 8 | No Retention | 0 Destroy | Current |
| Schedule #: 100 19#:Consolidated and Equipment Receiving | | | | | | |

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| Originals of consolidated & equipment receivings, itemizing goods received through institutional store. | Paper | 10/1/1997 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 125 20#:Forms 106, 104 - Requests from Resident for Use of Personal Funds | | | | | | |
| Requests from resident for use of personal funds in accordance with authorization cards. | Paper | 10/1/1997 | Years 8 | No Retention 0 | Destroy | Current |
| Schedule #: 125 21#:Disbursement Slips - Duplicated Records of Cash Received, Resident | | | | | | |
| Duplicate record of cash received by or for a resident. | Paper | 10/1/1997 | Years 8 | No Retention 0 | Destroy | Current |
| Schedule #: 125 22#:Bank Statements | | | | | | |
| Cancelled checks, duplicate bank receipts and reconciliation sheets. | Paper | 10/1/1997 | Years 8 | No Retention 0 | Destroy | Current |
| Schedule #: 125 23#:Check Stubs | | | | | | |
| Shows incoming and outgoing cash. | Paper | 10/1/1997 | Years 8 | No Retention 0 | Destroy | Current |
| Schedule #: 125 24#:Cash Books | | | | | | |
| Cash journal sheets showing receipt and disbursement of cash in the residents personal fund, Treasurer, State of Maine, Institutional Activity fund and Community Store accounts. | Paper | 10/1/1997 | Years 8 | No Retention 0 | Destroy | Current |
| Schedule #: 258 32A:Terminated Outpatient Medical Records-Superior Court/District Court | | | | | | |
| Superior Court/District Court Title 15. | Paper | 10/1/1997 | Years 10 | Years 75 | Destroy | Current |
| Schedule #: 258 32B:Terminated Outpatient Medical Records-Noncourt w. Evidence. of Legal Action | | | | | | |
| Non-court, with evidence of legal action. | Paper | 10/1/1997 | Years 10 | Years 75 | Destroy | Current |
| Schedule #: 258 32C:Terminated Outpatient Medical Records - Noncourt | | | | | | |
| Non-court. | Paper | 10/1/1997 | Years 10 | Years 15 | Destroy | Current |

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| Schedule #: 258 34#:Emergency Treatment of Non-Patient 1-page form no. 450. Documents treatment given and recommendations made. | Paper | 10/1/1997 | Years 10 | Years 15 | Destroy | Current |
| Schedule #: 258 35#:Terminated Inpatient Clothing Records 1-page form no. 37. Lists clothing and how disposed of. Note: After 6/1/94 these records will be kept in regular patient files. | Paper | 10/1/1997 | Years 7 | No Retention 0 | Destroy | Current |
| Schedule #: 258 36#:Terminated Inpatient Valuables Records 1-page form no. 74. Lists valuables in patient's possession and those in the Cashier's office and the disposition of both. Note: After 6/1/94 these records will be retained as part of the patient's regular file. | Paper | 10/1/1997 | Years 7 | No Retention 0 | Destroy | Current |
| Schedule #: 258 37#:Terminated Inpatient Medical Records Discharge, admission data sheet, psychiatric and medical discharge summary, history, immunization sheet. This series applies to all Inpatient Medical Records generated by this facility. | Paper | 12/1/2011 | Years 10 | Years 65 | Destroy | Current |
| Schedule #: 652 48#:Structural and Utility Construction Blue Prints Architectual drawings of each building and the utilities. Retain for life of building. | Paper | 10/1/1997 | Contingent Upon Event - See Description 0 | No Retention 0 | Destroy | Current |
| Schedule #: 1363 51:Superintendent's Correspondence and Historical Records of the Bangor Mental Health Institute All Superintendent's correspondence and any historical records that could be found at the Bangor Mental Health Institute. Files include, but are not limited to: Health plan processing questions, Superintendent's correspondence, management development plans, Executive Committee Minutes, programs and procedures, reports, progress reports on various programs, litigation and related correspondence. | Paper | 2/23/2001 | Years 5 | Years 0 | Archives | Current |
| 200#:Elizabeth Levinson Center | | | | | | |
| Schedule #: 671 17#:Client Financial Records (Levinson Center) | | | | | | |

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| Ledger cards and journal. Retain 5 years after termination. | Paper | 10/1/1997 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 671 18#:Client Paid Invoices (Levinson Center) | | | | | | |
| Requisition forms, purchase orders, and copy of paid invoices. | Paper | 10/1/1997 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 671 19#:Human Rights Committee Files (Levinson Center) | | | | | | |
| Minutes, agenda and related correspondence for Human Rights Committee, which monitors and has the right to challenge client behavioral care including medication. | Paper | 10/1/1997 | Years 3 | No Retention 0 | Destroy | Current |
| Schedule #: 671 20#:Board of Visitors File (Levinson Center) | | | | | | |
| Minutes, agendas, notices of meetings and related correspondence. Visitors Board monitors education and treatment programs; resource and support needs; and quality assurance of services. | Paper | 10/1/1997 | Years 3 | No Retention 0 | Destroy | Current |
| Schedule #: 671 21#:Population Reports (Levinson Center) | | | | | | |
| Daily population reports, client names, monthly population reports and census sheets. | Paper | 10/1/1997 | Years 7 | No Retention 0 | Destroy | Current |
| Schedule #: 671 22#:Client Dietary Consultant Files (Levinson Center) | | | | | | |
| Dietary forms, program notes, memos and related correspondence. Retain 2 years after consultation. | Paper | 10/1/1997 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 671 23#:Client Referral Records (Not Accepted) - Levinson Center | | | | | | |
| Copies of medical records, application, meeting minutes and related correspondence. Retain 1 year after nonacceptance. | Paper | 10/1/1997 | Years 1 | No Retention 0 | Destroy | Current |
| Schedule #: 671 24#:Client Records - Levinson Center | | | | | | |

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| Admission sheet, discharge form, patient movement form, judicial certification, rights of MR persons, resident council, service agreement, parent voluntary admission, permission/release forms, nurse's pink sheet, clothing list, parent application, nurses admission summary, discharge physical assessment, social service reports, program plan material, activity reports, school reports, medical authorizations, physician's orders, physician's progress notes, history/physical exam, nurses notes, rehab/therapy notes, lab/special reports/miscellaneous reports, medication/treatment sheets, developmental/behavioral reports and coordinated progress notes. Retain until client is 20 years old or deceased, whichever occurs first. | Paper | 4/9/2009 | Contingent Upon Event - See Description | 0 | Years 10 | Destroy Current |
| 193#:Mental Health | | | | | | |
| Schedule #: 420 26#:Licensing (Mental Health Centers) | | | | | | |
| Correspondence to; correspondence from; site reports; licensing applications; notes. | Paper | 10/1/1997 | Years | 6 | No Retention | 0 Destroy Current |
| Schedule #: 420 27#:Contract/Correspondence | | | | | | |
| Contracts, bills, correspondence to; correspondence from; budget worksheets. | Paper | 10/1/1997 | Years | 6 | No Retention | 0 Destroy Current |
| Schedule #: 420 28#:Correspondence Files - Director, Bureau of Mental Health | | | | | | |
| Correspondence to; correspondence from. | Paper | 10/1/1997 | Years | 5 | No Retention | 0 Destroy Current |
| Schedule #: 559 43#:Maine-Vermont Research Project: Protection of Human Subjects | | | | | | |
| Correspondence between Project Director, Commissioner, and the National Institutes of Health, Office of Protection from Research Risks; Minutes of meetings of the Human Subjects Research Committee and the AMHI Research Review Committee; OPRR Reports on the Protection of Human Subjects. Additional records: medical records of former AMHI patients, including case summary, AMHI statistical data sheet, and doctors' notes. | Paper | 10/1/1997 | Years | 0 | No Retention | 0 Archives Current |
| Schedule #: 723 50#:Contracts (FAS) | | | | | | |
| Files contain: Contract, Correspondence, Articles concerning Fetal Alcohol Syndrome programs. | Paper | 10/1/1997 | Years | 7 | No Retention | 0 Destroy Current |

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| Schedule #: 785 72#:Special Projects Director Requests for Proposals | | | | | | |
| Ad notices, Bidder's Conference Minutes, rating sheets, and related correspondence. | Paper | 10/1/1997 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 785 73#:Special Projects Director General Information | | | | | | |
| Letters of thanks, letters of general information; minutes from committee meetings; memos of future meetings, positions available. | Paper | 10/1/1997 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 785 74#:Special Projects Director Contracts/Correspondence/Bills | | | | | | |
| Contracts for Mental Health and Mental Retardation services; bills for services; and related correspondence. | Paper | 10/1/1997 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 1179 75#:Consent Decree Class Member File | | | | | | |
| Court order to get in touch with all A.M.H.I. patients who were patients from 1988 on and maintain records for the duration of the Consent Decree. A typical file includes: Individual Support Plan (ISP); Survey; any correspondence. Keep in Agency until Decree adjudicated. | Paper | 10/1/1997 | Contingent Upon Event - See Description | 0 Years 7 | Destroy | Current |
| 193X:Mental Health - State Forensic Service | | | | | | |
| Schedule #: 515 31#:Superior Court/District Court Title 15 Out-Patient Records | | | | | | |
| Stage I: Court Order; form requesting investigative material; cover letter to psychologist; psychological report; cover letter to judge with Title 15 evaluation. Stage II: Court Order; form requesting investigative material; original psychological report; memo to Commissioner with Title 15 evaluation; cover letter to Court from Commissioner. Keep in agency 1 year plus current year. | Paper | 7/9/2015 | Years 1 | Years 14 | Destroy | Current |
| Schedule #: 747 51#:Contracts (State Forensic Services) | | | | | | |
| Contracts are between Vendors(Dr's) and Maine for mental health service. Contract form; citizenship identification forms and related correspondence. Citizenship forms are to be sure vendor is U.S. Citizen in order to work in Maine. Keep in Agency until termination plus one year. | Paper | 10/1/1997 | Variable - See Description | 0 No Retention 0 | Destroy | Current |
| Schedule #: 747 53#:Correspondence (State Forensic Unit) | | | | | | |

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| Routine correspondence, such as: letters/memos; setting up meetings; response to requests for information; replies to surveys. | Paper | 10/1/1997 Years | 1 | No Retention | 0 Destroy | Current |
| 194#:Riverview Psychiatric Center | | | | | | |
| Schedule #: 431 29#:Workers Compensation Files/Records | | | | | | |
| All materials involved in the processing/paying/tracking of Workers Compensation claims, i.e., doctors bills, pharmacy bills, medical reports, office notes, correspondence, Workers Compensation forms/correspondence/decisions. Retention period starts when employees leaves AMHI employment. | Paper | 10/1/1997 Years | 10 | No Retention | 0 Destroy | Current |
| Schedule #: 516 38#:Terminated Inpatient Medical Records | | | | | | |
| Admission data sheet, commitment and all legal papers, patient rights forms, problem lists, psychosocial and discharge summary, admission notes, medical summaries, clinical resumes, treatment plan narratives, treatment plans, patient care supplements, nursing assessments, diagnostic sheets, handwritten progress notes, various certifications of need for admission, denial letters, charges for care and treatment, health assessment data base, medical history, health history, physical examination, neurological examination, medical problem list, laboratory slips, immunization records, patient identification photograph, admission treatment orders, physician orders, standard PRN orders, psychotropic medication flow sheet, weight and blood pressure chart, psychological assessment, social assessment, aftercare plan and referral, CMHC follow-up form, information received from outside sources. | Paper | 10/1/1997 Years | 5 | Years | 60 Destroy | Current |
| Schedule #: 516 39#:Terminated Outpatient Medical Records | | | | | | |
| Medical records, without formalized format, maintained as individual typed notes recording visits to the outpatient clinic. | Paper | 10/1/1997 Years | 15 | No Retention | 0 Destroy | Current |
| Schedule #: 516 40#:Emergency Treatment of Non-Patients/Clinical Contacts | | | | | | |
| Treatment of nonpatients in an emergency situation as well as professional contacts with nonpatients for brief evaluative session of grounds of AMHL. | Paper | 10/1/1997 Years | 15 | No Retention | 0 Destroy | Current |
| Schedule #: 516 41#:Terminated Inpatient Clothing Records | | | | | | |

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| <p>Clothing records are maintained in order that each patient may leave at discharge with all his/her belongings plus any new purchases. Discarded and/or destroyed clothing and belongings are deleted. Records are maintained to assure that patients retain all that is rightfully theirs.</p> | Paper | 10/1/1997 | Years 7 | No Retention 0 | Destroy | Current |
| <p>Schedule #: 516 42#:Terminated Inpatient Valuables Records</p> <p>Valuables records are maintained in order that each patient may leave at discharge with all his/her belongings plus any new purchases. Discarded and/or destroyed clothing and belongings are deleted. Records are maintained to assure that patients retain all that is rightfully theirs.</p> | Paper | 10/1/1997 | Years 7 | No Retention 0 | Destroy | Current |
| <p>Schedule #: 614 46#:Reimbursement Client Files</p> <p>Admission Records Cards are to be retained 75 years. Other items are: Admission data sheet; recommendation and remark sheets; financial forms; various correspondence; insurance forms; authorization forms; mortuary trust agreements; lawyers' papers; Medicaid eligibility forms; Social Security eligibility forms; Medicare eligibility forms.</p> | Paper | 10/1/1997 | Years 5 | No Retention 0 | Destroy | Current |
| <p>Schedule #: 614 47#:Reimbursement Coding Sheets</p> <p>Income/benefit; client name and address; other case-related persons name and address; insurance company name and address; policyholder masterfile maintenance; rate tracking. Retention is 5 years after final payment.</p> | Paper | 10/1/1997 | Years 5 | No Retention 0 | Destroy | Current |
| <p>Schedule #: 702 49#:Forensic Unit/Legal Hold Patients</p> <p>Court Orders, Petitions for Release; Copies of Annual Reports to the Courts; Correspondence with the Commissioner of the Department of Mental Health and Retardation.</p> | Paper | 4/9/2009 | Years 40 | Years 20 | Destroy | Current |
| <p>Schedule #: 760 54#:Book Receiving (AMHI)</p> <p>Consolidated receivings-issuings form for books</p> | Paper | 10/1/1997 | Years 2 | No Retention 0 | Destroy | Current |
| <p>Schedule #: 760 55#:Book Requisitions (AMHI)</p> <p>Book requisitions and related correspondence.</p> | Paper | 10/1/1997 | Years 2 | No Retention 0 | Destroy | Current |

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|--|-------|-----------------|---|----------------------|-----------------|---------|
| Schedule #: 760 56#:Inter-Library Loans Interlibrary loan request | Paper | 10/1/1997 Years | 2 | No Retention | 0 Destroy | Current |
| Schedule #: 761 57#:X-Rays (AMHI) X-Rays film, copy of x-ray reports. | Paper | 10/1/1997 Years | 5 | No Retention | 0 Destroy | Current |
| Schedule #: 762 58#:Volunteer Personnel Records Registration form, related correspondence, sign-in sheet | Paper | 10/1/1997 Years | 5 | No Retention | 0 Destroy | Current |
| Schedule #: 762 59#:Volunteer Office Public Service Records These volunteers serve at AMHI for a specified poeriod of time as an alternative to incarceration. Sign-in sheet, Registration Forms and related correspondence. | Paper | 10/1/1997 Years | 5 | No Retention | 0 Destroy | Current |
| Schedule #: 767 60#:Electroencephalographs-AMHI Electroencephalographs reports, tracings (100 - 125 pages) | Paper | 10/1/1997 Years | 7 | No Retention | 0 Destroy | Current |
| Schedule #: 769 61#:Transitory Correspondence (AMHI) Short term correspondence such as inter-departmental memo's, inquiries, answers to inquiries etc. | Paper | 10/1/1997 Years | 2 | No Retention | 0 Destroy | Current |
| Schedule #: 770 62#:General Benefit Fund Statement of Income and Expenditures, receipts, commission statements, saving statement, classification of accounts, invoices, Open Market Purchase Orders. To be retained in agency until dissolution of fund. | Paper | 10/1/1997 | Retention of Less than 1 Year - See Description | 0 | Years 7 Destroy | Current |
| Schedule #: 770 63#:Representative Payee Account Files (Business Office) | | | | | | |

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|---|-------|--------------|---|----------------------|-------------|---------|
| Representative payee's are lawyers, relatives, AMHI business office, etc. who look after financial patient welfare, pays bills etc. | Paper | 10/1/1997 | Years 3 | No Retention 0 | Destroy | Current |
| Schedule #: 770 64#:Explanation of Medicare Benefits | | | | | | |
| Federal statements of what has been paid toward patient's medical bills. | Paper | 10/1/1997 | Years 1 | No Retention 0 | Destroy | Current |
| Schedule #: 771 65#:Non-Admitted Patient Records - AMHI | | | | | | |
| Potential patients who are not accepted by AMHI staff. Records include: Admission Office Contract, Emergency Application, Back-up Reports. | Paper | 10/1/1997 | Years 25 | Years 25 | Archives | Current |
| Schedule #: 771 66#:Unnecessary Commitment Papers - AMHI | | | | | | |
| Unnecessary Commitment Papers are made out in the community (usually at the direction of police) to transport patient to AMHI. If patient is admitted to AMHI as a volunteer or is already a patient on the loose or on leave the commitment papers become unnecessary and are not put in the patient medical record. | Paper | 10/1/1997 | Years 25 | Years 25 | Archives | Current |
| Schedule #: 771 67#:Anniversary List - AMHI | | | | | | |
| List of patients who are scheduled for annual physicals, x-rays, etc. | Paper | 10/1/1997 | Years 1 | No Retention 0 | Destroy | Current |
| Schedule #: 775 68#:Prescriptions for AMHI Patients | | | | | | |
| Prescriptions ordered and filled; Physician's Order Form; prescription, Pharmacy requisition. | Paper | 10/1/1997 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 776 69#:Medicare/Medicaid Programs Certifications (AMHI) | | | | | | |
| Certification of facility by Medicare or Medicaid. Medicaid request form, statement of deficiencies/plan of correction form. | Paper | 10/1/1997 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 776 70#:Nursing Assignment Sheets (AMHI) | | | | | | |
| Indicates people assigned to charge nurse and assignments. Nursing Activities Assignment sheet. Keep in agency 2 months. | Paper | 10/1/1997 | Retention of Less than 1 Year - See Description 0 | No Retention 0 | Destroy | Current |

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|---|-------|--------------|---------------------|----------------------|-------------|---------|
| <p>Schedule #: 776 71#:Daily Census Report - Nursing Home (AMHI)</p> <p>Reporting how many patients on each ward. Census Report Sheet. Keep through Medicaid audit plus one year.</p> | Paper | 10/1/1997 | Years 1 | No Retention 0 | Destroy | Current |
| <p>Schedule #: 962 72#:Patient Incident Files</p> <p>Records of response to patient complaints, actions taken or a request for action. Files include: notes, correspondence, responses, and grievance forms.(Patient complaints may allege abuse by staff members, and may be initiated by someone else on behalf of the patient. Complaints may also be of neglect, allowing the patient to harm him/herself, or of abuse to the patient by other patients.) Keep in agency 2 years after discharge.</p> | Paper | 10/1/1997 | Years 2 | Years 25 | Destroy | Current |
| <p>Schedule #: 962 73#:Affirmative Action Investigations</p> <p>Notes taken during investigation of sexual harrassment of employees by employees. Files include: notes, allegations, and reports, and related correspondence. Keep in agency until offender is seperated plus 2 years.</p> | Paper | 10/1/1997 | Years 2 | No Retention 0 | Destroy | Current |
| <p>Schedule #: 962 74#:Consent Decree, Plus Class Action Case</p> <p>Settlement agreement between Departments of MH/MR in the class action case, Bates vs. Clover. Files include: Evidence of task completion, reports and related correspondence. Keep in agency until resolved plus 2 years.</p> | Paper | 10/1/1997 | Years 2 | No Retention 0 | Destroy | Current |
| <p>Schedule #: 1572 65:AMHI Historical Records</p> <p>Sanitorium Annual Reports, Board of Trustee Minutes, patient property receipts, register of patients, regulations notebook, case files, court observation cases.</p> | Paper | 5/24/2002 | Years 0 | No Retention 0 | Archives | Current |
| <p>Schedule #: 1590 77#:Temperature Records for Hazard Analysis Critical Control Points</p> | | | | | | |

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|---|-------|--------------|---|----------------------|-------------|---------|---------|
| These records are kept to comply with Federal and State requirements regarding food safety. The Hazard Analysis Critical Control Points (HACCP) program, which is within Federal standards, is a program that has been implemented to assure that the food being consumed is not going to cause illness. Temperatures of all refrigerators/freezer in the main kitchen and on the unit kitchens as well as temperatures of the water in the dish machines are recorded. Temperatures of potentially hazardous foods such as dairy and meat are recorded upon delivery, storage, preparation and service of the item. All temperatures that are outside of normal limits are recorded and corrective action is documented. | Paper | 1/13/2004 | Years 3 | 0 | Destroy | Current | |
| Schedule #: 1590 78#:Cleaning Agent Testing for Hazard Analysis Critical Control Points | | | | | | | |
| These records are kept to comply with Federal and State requirements regarding food safety. The Hazard Analysis Critical Control Points (HACCP) program, which is within Federal standards, is a program that has been implemented to assure that the food being consumed is not going to cause illness. The sanitation solution mixture must be calibrated and recorded using Hydrion qt test paper. All measurements that are outside of normal limits (200ppm) are recorded and corrective action is documented. | Paper | 1/13/2004 | Years 3 | Years 0 | Destroy | Current | |
| 118#:Substance Abuse, Office of | | | | | | | |
| Schedule #: 252 15#:Driver Education & Evaluation Programs | | | | | | | |
| Registration sheets; test and evaluation documents. Registration form identifying data on individual, date of arrest and conviction, Mortimer-Filkins test result, blood alcohol results, site of participation, satisfactory completion of program, medical release, and referral data regarding treatment component. KEEP IN AGENCY UNTIL DRIVER EDUCATION COMPLETE PLUS ONE MONTH. This series supercedes and combines 15A & 15B. | Paper | 3/4/2003 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy | Current |
| Schedule #: 277 17#:Grants | | | | | | | |
| Grant applications, award letters, quarterly financial and progress reports, requests and inquiries. | Paper | 8/16/2000 | Years 3 | Years 7 | Destroy | Current | |
| Schedule #: 712 18#:Contracts for Treatment and Prevention Services | | | | | | | |
| Contracts with agencies which provide services wholly or partially funded by OADAP. | Paper | 10/1/1997 | Years 3 | Years 7 | Destroy | Current | |
| Schedule #: 712 19#:Position and White papers for Office of Substance Abuse | | | | | | | |

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|---|-------|--------------|---|----------------------|-------------|---------|
| Agency positions on issues relating to misuse/abuse of alcohol and drugs, and planning for treatment and preventions services. | Paper | 10/1/1997 | Years 2 | Years 3 | Archives | Current |
| Schedule #: 712 21#:Requests for Proposals - OSA | | | | | | |
| Specifications and advertisements for training on substance abuse issues and the maintenance and expansion of existing substance abuse treatment services, or development of new services plus selected proposals. | Paper | 10/1/1997 | Years 3 | Years 3 | Destroy | Current |
| Schedule #: 712 23#:Correspondence of Office of Substance Abuse | | | | | | |
| Correspondence on Alcohol and Drug Prevention. | Paper | 10/1/1997 | Years 1 | No Retention 0 | Destroy | Current |
| Schedule #: 712 24#:Records of Certification of DEEP Private Practitioners | | | | | | |
| Material required for certification of persons doing evaluation and treatment of clients from the Driver Education Evaluation Programs. Also, for annual monitoring of these people. Certificates are renewable every three years. | Paper | 10/1/1997 | Years 3 | Years 7 | Destroy | Current |
| Schedule #: 712 25#:Records of Licensure/Certification Done by Office of Substance Abuse | | | | | | |
| Material required for licensure/certification/monitoring of substance abuse treatment agencies, including complaints, investigations, reviews, inspection reports, applications, copies of licenses and certificates, correspondence. | Paper | 10/1/1997 | Years 2 | Years 8 | Destroy | Current |
| Schedule #: 750 49#:Maine Addiction Treatment System (MATS) | | | | | | |
| Files will consist of data collected from the alcohol and drug abuse management system agency files/records, along with statistical and aggregate data compiled from that data. Forms include: Admission Form; Readmission Form and termination Forms. Data gathered from these forms is entered into the computer and analyzed for such information as trends and demographics. This information then goes back to submitting agencies. Submitting agencies are any which receive substance abuse funds within the Department of MH & MR, Corrections and Human Services. Keep in agency 3 months. | Paper | 10/1/1997 | Retention of Less than 1 Year - See Description 0 | Years 5 | Destroy | Current |

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|--|---------------|--------------|---|----------------------|--------------|------------|---------|
| files will consist of data collected from the alcohol and drug abuse management system agency files/records, along with statistical and aggregate data compiled from that data. Forms include: Admission Form; Readmission Form and termination Forms. Data gathered from these forms is entered into the computer and analyzed for such information as trends and demographics. This information then goes back to submitting agencies. Submitting agencies are any which receive substance abuse funds within the Department of MH & MR, Corrections and Human Services. Keep magnetic tape until updated. | Magnetic Tape | 10/1/1997 | Variable - See Description | 0 | No Retention | 0 Destroy | Current |
| Schedule #: 1167 50#:Methadone Records | | | | | | | |
| The purpose of these records are to assist in the development of state-wide methadone detoxification/maintenance regulations. Files include: correspondence; history of policy and rulemaking for methadone treatment in Maine; records of lawsuits; public hearings; minutes of methadone task group findings; regulations. Keep in agency until regulations set plus 3 years. | Paper | 10/1/1997 | Contingent Upon Event - See Description | 0 | Years | 3 Archives | Current |
| Schedule #: 1580 58#:Synar Amendment Inspections (tobacco) | | | | | | | |
| In 1992, congress amended the Public Health Service Act to include Section 1926, which is also known as the Synar Amendment. States that are noncompliant with that law can have their Substance Abuse Prevention and Treatment Block Grant reduced by up to 40%. Maine must report yearly to the Secretary of the Dept of Health and Human Services on progress in reducing tobacco sales to youth. Requirements of this law include restricting access to youth of tobacco products and conducting annual, random, unannounced inspections of tobacco sellers. These files contain the raw data of the inspections done (inspection reports, complaint reports and inspection results). These files serve as proof that the inspections were done as required (on an annual basis) and demonstrate the method of inspection in the event of a Federal audit. | Paper | 4/23/2003 | Years | 5 | No Retention | 0 Destroy | Current |