

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
144#:						
Schedule #: 176	1#:Federal Reports Source Data Folder					
Monthly folders containing pencil copies of Federal and Department Welfare reports and copies of computer reports and memos used in preparation of Federal and Department Welfare reports.	Paper	3/22/1976	Years 15	No Retention 0	Destroy	Current
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Schedule #: 266	16#:Services Report - Intake & Follow-up Forms - Initial Contact Forms					
Confidential, de-identified, forms relating to individual clients of alcoholism treatment facilities, funded by OADAP. The Initial Contact Form describes the circumstances of the initial contact with the client and his/her disposition. The Intake and Follow-up Form describes the demographic and socio-economic characteristics and alcoholic behavior of the alcoholic client when he/she enters treatment and 180 day later. The Services Report details the services delivered to the client for each month he/she is in treatment.	Paper	12/8/1978	Years 1	No Retention 0	Destroy	Current
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Schedule #: 446	29:4A & 4D Hearing Recordings					
Digital recordings of hearings requested by clients appealing department decisions.	Digital File	4/27/2017	Years 12	No Retention 0	Destroy	Current
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Schedule #: 446	30:4A Hearing/Decisions - Hearings Withdrawn/Abandoned					
Case records where clients withdrew or did not show up for hearings to appeal department decisions.	Mixed	3/28/2018	Years 2	Years 10	Destroy	Current
Mixed media includes paper, digital records and physical media.						
Paper records are kept in the agency for 2 years and then sent to the Records Center. They will be kept until scanned and verified by Records Management then destroyed. Full Records Center retention time of 10 years will be applied to digital records stored in OnBase at the State Records Center.						
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Schedule #: 446	31:4D Decisions - DSER					

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Case records of decisions made on amount of money responsible parent owes the State of Maine.	Mixed	3/28/2018	Years 2	Years 20	Destroy	Current

Mixed media includes paper, digital records and physical media.

Paper records are kept in the agency for 2 years and then sent to the Records Center. They will be kept until scanned and verified by Records Management then destroyed. Full Records Center retention time of 20 years will be applied to digital records stored in OnBase at the State Records Center.

Schedule #: 446 35:4A Hearing/Decisions - Hearings Actually Held

Case records where hearings are actually held to appeal department decisions.	Mixed	3/28/2018	Years 2	Years 10	Destroy	Current
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Mixed media includes paper, digital records and physical media.

Paper records are kept in the agency for 2 years and then sent to the Records Center. They will be kept until scanned and verified by Records Management then destroyed. Full Records Center retention time of 10 years will be applied to digital records stored in OnBase at the State Records Center.

Schedule #: 462 6#:Deputy Commissioners Files

General correspondence, reports, grants, resource material, etc. pertaining to the various bureaus of the Department: Health, Income Maintenance, Maine's Elderly, Medical Services, Social Services, Rehabilitation, Financial Services, and Employee Assistance Program.	Paper	4/24/1986	Years 7	No Retention 0	Destroy	Current
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Schedule #: 555 32#:Health Manpower Status Report

These reports are printouts of survey data for every two years beginning in 1976 to the present for the health occupations of dentists, allopathic physicians, osteopathic physicians, registered nurses, licensed practical nurses, optometrists, physical therapists and podiatrists along with the health facilities of hospitals, nursing homes, boarding homes and health related facilities.	Computer Printout	9/23/1986	Years 25	No Retention 0	Destroy	Current
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Schedule #: 565 4#:OPAC Publicity Photographs

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
The photographs are of past and present commissions (some deceased) and other personnel of the Department. Includes Client Informaton and Photograph Permission forms.	Roll Microfilm	6/30/1994	Years 5	No Retention 0	Archives	Current
Schedule #: 577 33#:Director, Office of Data, Research and Vital Statistics-Gen. Correspondence.						
The division works on vital statistics, population estimates & projicions, demographic informaton, health status indicators, health care expenditure figure, health manpower & resource inventories, health facility utilization and occupational health profiles. Develops an overall data system for health planning and cooperates with many other health agencies in data collection. The Division provides research, statistical and technical services within the Office and to the Bureaus Surveillance Project in cooperation with the National Institute for Occupational Safety & Health.	Paper	11/17/1986	Years 2	No Retention 0	Destroy	Current
Schedule #: 600 34#:Medicaid Cost Report System						
Nursing home cost reports and materials related to annual surveys of health facilities and biennial surveys of health manpower professions.	Paper	12/18/1986	Years 6	No Retention 0	Destroy	Current
Schedule #: 672 45#:Childhood Death Interview Study, 1986 - Surveys						
Files containing: Maine Childhood Death Survey Case Questionnaire or Maine Childhood Death Survey Control Questionnaire: Age Less Than One Year or Maine Childgood Death Survey Control Questionnaire: Ages 1-17 Years. Files also contain birth certificate search forms and Occupational/Industry code search forms. Retain in agency until updated.	Magnetic Tape	4/5/1988	Destroy When Updated	No Retention 0	Destroy	Current
Files containing: Maine Childhood Death Survey Case Questionnaire or Maine Childhood Death Survey Control Questionnaire: Age Less Than One Year or Maine Childgood Death Survey Control Questionnaire: Ages 1-17 Years. Files also contain birth certificate search forms and Occupational/Industry code search forms.	Paper	4/5/1988	Years 1	Years 5	Destroy	Current
Schedule #: 672 46#:Childhood Death Interview Study, 1986 - Coding Sheets						
Forms with data coded from Maine Childhood Death Survey Questionnaires which were used by keypunch operators to enter the data. Retain in agency until updated.	Magnetic Tape	4/5/1988	Destroy When Updated	No Retention 0	Destroy	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Forms with data coded from Maine Childhood Death Survey Questionnaires which were used by keypunch operators to enter the data.	Paper	4/5/1988	Years 1	Years 5	Destroy	Current
Schedule #: 672 47#:Childhood Death Interview Study, 1986 - Welfare Search						
Forms containing identifier data on the study child, used in conducting a search on child's and family's welfare status.	Paper	4/5/1988	Years 1	Years 5	Destroy	Current
Forms containing identifier data on the study child, used in conducting a search on child's and family's welfare status. Retain in agency until updated.	Magnetic Tape	4/5/1988	Destroy When Updated	0 No Retention	0	Destroy Current
Schedule #: 736 48#:Survey Operations Unit - Correspondence & Reports						
This unit creates survey forms for other departments. General correspondence and copies of statistical reports/forms prepared for other divisions of the Department.	Paper	4/4/1989	Years 3	No Retention	0	Destroy Current
Schedule #: 763 50#:Infant Mortality Prevention Project 1985						
Files contain Medical Record Audit Forms of children mortality aged less than one year.	Paper	5/24/1989	Years 0	Years 10	Destroy	Current
Schedule #: 871 66#:Miscellaneous Correspondence (Office of Administrative Hearings)						
Letters, hearing officer calendars/hearing lists, letters advising of employee coverage, confirmation of scheduled hearings, staff training, etc.	Paper	10/2/1990	Years 5	No Retention	0	Destroy Current
Schedule #: 1440 115:Commissioners Correspondence						
Incoming and outgoing correspondence from the Commissioner of Human Services	Paper	12/11/2002	Years 2	Years 0	Archives	Current
Schedule #: 1518 68#:Miscellaneous Statistical Information						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
	Paper	2/6/1986	No Retention	0	No Retention	Destroy Current
Schedule #: 1594 169#:DTL Tapes						
Non Record Material , these backup tapes for Human services daily work.	Magnetic Tape	12/5/2003	Destroy When Updated	0	Destroy When Updated	Destroy Current
Schedule #: 1614 170dtl:DHS Email data on Magnetic tape						
These records are being kept at the request of the Attorney General's Office in case we are involved in a lawsuit. The e-mail data on the tapes is reviewed to determine whether or not an individual or the department has taken any inappropriate action.	Magnetic Tape	5/17/2004	No Retention	0	Destroy When Updated	Destroy Current
Schedule #: 1713 180#:DHHS Major Litigation						
The files contain correspondence, court documents; reports and historic information regarding a variety of legal actions against the Department or against a private agency that we contract with to provide services. They are used by the Commissioner's Legal staff for background information when preparing for future litigation or they may also become active case files for further legal action. They may also be used to develop future DHHS policies or for program development. These records are used by potentially all programs within the Department. Below is a list of programs:	Paper	1/19/2007	Years	2	Years 10	Destroy Current
Office of Child and Family Services & Quality Improvement	Office of Integrated					
Office of Elder Services	Office of Adult with					
Cognitive & Physical Disability Services	Office of Multicultural					
Office of Advocacy Services	Audit – MaineCare and					
Office of Substance Abuse Services	DHHS Human Resources					
Social Services	Licensing and Regulatory					
Office of Adult Mental Health Services	Administrative Hearings					
DHHS Regional Operations						
Services						
Purchased Services						
Rate Setting						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Schedule #: 1713 181:Risinger v Concannon Legal Case Files</p> <p>This is file material related to the lawsuit filed by the Risinger family against the Commissioners of the Departments of Human Services and Mental Health, Mental Retardation and Substance Abuse Services in 2000. The plaintiffs asked the court to order the Departments to reviews Medicaid policies and Departmental practices and procedures. These records are being kept on advice from an Assistant Attorney General. This body of files is unique because it is the single collected body of information which includes notices to parents of children who might join the class action; provider records which include provider budgets, service charts, contracts, and e- mails otherwise not available on DHHS servers, requests for proposals for the contracted services, and the complete response to an initial request for production of documents as part of the legal case. This case was boxed with another legal case that has been released by the AG's office for destruction; a new series has been developed for this group of files.</p>	Paper	6/23/2017	Years 2	Years 23	Destroy	Current
<p>Schedule #: 2078 75:Early Care and Education Task Force Committee Records</p> <p>The Early Care and Education Task Force was established in 1997 by the Children's Cabinet (a Cabinet-level working group including the Commissioners of the Departments of Education, Corrections, Human Services and Behavioral and Developmental Services, among others) and charged with a mission to promote learning as a function that begins at birth, in order to help Maine children reach their highest potential.</p> <p>The Early Care and Education Task Force supported programs for</p> <ul style="list-style-type: none"> •The early home visiting of families with new infants by public health nurses, community health nurses and others; •The support and promotion of "parents as children's first teachers"; •The support of initiatives for parent resources and parenting education. <p>The work of the Early Care and Education Task Force informed and supported programs and initiatives related to the above-described bullets, which still are in place and functioning as of this inventory. These records provide the background that led to policies, practices and programs that continue to administer this work.</p> <p>Records include, but are not limited to, committee foundation documents (including enabling documents, initial appointments and membership lists, meeting schedules); progress reports and key documents used as guidance, resources and decision-making advisory items; sub committee meeting agendas and notes; Task Force meeting agendas and notes, and grant application supporting documents.</p>	Paper	8/4/2017	Years 15	No Retention 0	Archives	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Schedule #: 2079 76:Productivity Realization Task Force Files</p> <p>The Productivity Realization Task Force was established by PL 1995, Chapter 99, Part D, ssD-1 to identify and implement efficiencies and cost savings in state government. These files are the documented DHS response to the initiative, and are the support behind decisions to eliminate positions and modify, eliminate or create new programs or policies. These records are no longer active and would be used for historical reference only by state government agencies or members of the public. File contents include documentation of decisions regarding staff and programs in the form of correspondence, proposed org charts and budgets, meeting notes, draft policies and final reports.</p>	Paper	8/4/2017 Years	22	No Retention	0 Archives	Current
<p>Schedule #: 2080 77:Blue Ribbon Commission to Study the Regulation of Health Care Expenditures - DHHS Files</p> <p>The Blue Ribbon commission to Study the Regulation of Health Care Expenditures was established in 1987 by Public Law, Chapter 440, to study the regulation of health care expenditures and recommend appropriate health care regulations to ensure accessibility and affordability of health care.</p> <p>These files are the documented DHS response to the initiative, and are the support behind decisions to repeal laws enabling various Commissions, revise the definitions of qualifying health care facilities and types of treatment, establish revenue and reimbursement limits and apportionment methods, and other decisions that shaped health care delivery systems and payment systems in Maine. These records are no longer active and would be used for historical reference only by state government agencies or members of the public. File contents include Commission administrative evidence (such as the enabling legislation and membership), meeting schedules, agendas, notes and supporting documents, study materials gathered from other health care delivery and payment systems, reports and studies prepared by a paid consultant to the Commission, documentation of Commission deliberation and draft recommendations, testimony from public hearings, final reports and legislation adopting the recommendations of the Commission which led to the 1989 health care reform movement in Maine</p>	Paper	8/10/2017 Years	22	No Retention	0 Archives	Current
<p>Schedule #: 2082 78:Advisory Council for the Reorganization and Unification of the Department of Human Services and the Department of Behavioral and Developmental Services</p>						

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Description	Media	Last Updated	Years	In Agency Retention	15	Rec Center Retention	0	Disposition	Status
<p>The Advisory Council for the Reorganization and Unification of the Department of Human Services and the Department of Behavioral and Developmental Services (hereafter referred to as “The Council”) was established in May 2003 by Executive Order of Governor John E. Baldacci. The charge of The Council was to study the reorganization of these two departments and make recommendations for efficiencies, cost savings, improved services and enhanced external relationships that could be achieved by uniting the two Departments.</p> <p>The Council was led by a Chair and staffed by appointees, and was supported by Sub-Committees led by Council members. The Department of Human Services served as the lead and primary support to the Council including staffing, funding, and administrative resources.</p> <p>The work of the Council resulted in reports to the Legislature and Governor, which subsequently led to the creation of the Department of Health and Human Services through Maine State Statute. These records provide the background that led to the leadership structure, establishment, maintenance and/or elimination of Bureaus, Divisions, Programs and/or staff; supported the creation of frameworks for funding, policies, practices and programs that exist as of this inventory.</p> <p>Records include, but are not limited to, committee foundation documents (including enabling documents, initial appointments and membership lists, meeting schedules); progress reports and key documents used as guidance, resources and decision-making advisory items; sub committee meeting agendas and notes; Council meeting agendas and notes, financial records related to the Council such as expense accounts and purchases. These are the foundation documents creating the DHHS; they are kept as historical supporting documents of the creation of a Cabinet-level state of Maine Department.</p>	Paper	9/1/2017	Years	15		No Retention	0	Archives	Current

Schedule #: 2082 80:Commissioner's Implementation Advisory Team Records

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>The Commissioner's Implementation Advisory Committee was a team comprised of Department of Health and Human Services (DHS) and Department of Behavioral and Developmental Services (BDS) staff, as well as contracted staff from the University of Maine. This objective of this group was to implement the recommendations of the Advisory Council for the Reorganization and Unification of the Departments of Human Services and Behavioral and Developmental Services, and actualize the Public Law establishing the Department of Health and Human Services.</p> <p>This team was formed in conceptualized in June 2003 and met and produced recommendations and work products through 2005. The work of this team contributed to the formation of the Department of Health and Human Services, including the merger or sunset of programs; reorganizing, elimination or amending of staff positions; establishing the Departmental structure alignment including executive chains of command; and merging finance and technology systems into one Department.</p> <p>Records include, but are not limited to, committee foundation documents (including enabling documents, initial appointments and membership lists, meeting schedules); progress reports and key documents used as guidance, resources and decision-making advisory items; sub committee meeting agendas and notes; Task Force meeting agendas and notes, employee and Committee member surveys and response data compilations, preliminary recommendations and final reports.</p>	Paper	10/20/2017	Years 14	No Retention 0	Archives	Current

Schedule #: 2083 79:Dorothea Dix Psychiatric Center Workgroup Files

<p>Public Law 2011 Chapter 380 established a work group to develop a plan and suggest implementing legislation regarding the future role and structure of the Dorothea Dix Psychiatric Center, including transferring programs and funding elsewhere in the Department of Health and Human Services. This fileset are the working papers of that group, and they support the DHHS and the former DDPC. These are the historical records for the work of the group and provide the rationale and foundation for decisions that were made to transfer resources, patients, records and funding, and led to recommendations to the Commissioner regarding the decision to close or keep open the DDPC.</p> <p>This fileset includes the Workgroup's foundation documents, meeting minutes and agendas, architectural proposals in a series of phases, progress and final reports from the Workgroup, federal guidance documents, Medicaid data, and de-identified patient profiles that informed and assisted the group in decision making regarding the future of the hospital and the patients.</p>	Paper	9/1/2017	Years 6	No Retention 0	Archives	Current
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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Schedule #: 2086 155:Health Care Reform Files - Pre 1993</p> <p>Files result from study of the delivery of health care services in Maine. File contents also include documentation relating to health care reform in Maine, as well as Federal health care reform initiatives. Includes: copies of proposed State and Federal Legislation Research and study materials, related correspondence.</p>	Paper	9/1/2017 Years	7	No Retention	0 Archives	Current
<p>Schedule #: 2086 156:Health Care Reform Initiative 2010</p> <p>The Department of Health and Human Services undertook a study of the delivery of health care services in Maine and the reimbursement system and structure of health care service delivery in response to and in accordance with implementation of the provisions of national health care reform, known as the Affordable Care Act.</p> <p>These files are the basis and justification for the Maine DHHS response to the Affordable Care Act, and they support DHHS and the Office of MaineCare Services. These are historical documents that provide the context and rationale for changes in Maine's health care delivery and payment systems that are still in place. Included in these files are the work products of DHHS' paid contractor, Deloitte, as well as advisories from the federal branch and the Maine Governor's office, status reports, meeting notes, budget projections, financial proposals and final reports.</p>	Paper	9/1/2017 Years	7	No Retention	0 Archives	Current
144Z:Disability Determination Services						
<p>Schedule #: 649 63#:Facilities Management Files - DDS</p> <p>Physician vendor contracts (inhouse physicians) and other contractors.</p>	Paper	11/18/1987 Years	5	No Retention	0 Destroy	Current
<p>Schedule #: 649 64#:In House Reports - DDS</p> <p>Inventory of Physician Examiners (patient's evaluation); professional qualification of these physicians; quality reports on the staff; agency performance and related correspondence.</p>	Paper	8/22/1989 Years	3	No Retention	0 Destroy	Current
<p>Schedule #: 649 65#:Residual Files - DDS</p>						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Copy of Social Security Disability Claimant Decision; claim examiner's worksheet; copies of vouchers for medical vendors for services rendered; claimant travel vouchers. Keep in agency 18 months.	Hard Disk	9/9/1994	Years 2	No Retention 0	Destroy	Current
Copy of Social Security Disability Claimant Decision; claim examiner's worksheet; copies of vouchers for medical vendors for services rendered; claimant travel vouchers. Keep in agency 3 months.	Paper	8/28/1996	Retention of Less than 1 Year - See Description	No Retention 0	Destroy	Current
Schedule #: 956 67#:Disability Claim Folders						
These folders contain records on Social Security Disability applicants. Files include the application (SSA-3368), work history (SSA-3369), medical reports (hospital records, doctor's report, lab work, etc.), Psychiatric Review Form (SSA-2506), Residual Functional Capacity (SSA-4734), work sheets (RDD3), Data Transmittal Forms (831). Send to Social Security Administration after determination is made (usually about 2 months).	Paper	9/11/1991	Contingent Upon Event - See Description	No Retention 0	See Description	Current
Schedule #: 1186 66#:Payment Vouchers for Consultative Examinations, Medical Evidence of Record, and Applicant Travel						
These files include vouchers that relate to payment made by DDS (with SSA funds) for Consultative Examinations (CER 20), Medical Evidence of Record from hospitals and schools (MER R20H), doctors and other providers of medical evidence (MER R20D), and applicant travel (CTRVL). DDS and the State of Maine Bureau of Accounts and Control use this information to pay for medical evidence for Social Security disability claims. DDS electronically transfers this information to Accounts and Controls. Ergo, these retained payment vouchers are now the only "hard copies" kept by the State, making them the "official" payment document. (Accounts & Control keeps microfilm backup of all payment documents; the data entered on computer is not regarded as sufficient documentation.)	Paper	1/17/1996	Years 3	Years 4	Destroy	Current
144A:Disease Control & Prevention						
Schedule #: 83 2#:Cancer Control - Subject (General) Files						
These files cover a considerable range of subjects related to cancer control including Tumor Registry, Special Cancer Related Studies, and other miscellaneous data. The program has been discontinued and if reorganized is expected to take a different direction with revised filing structure.	Paper	1/22/1975	Years 0	Years 2	Archives	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Schedule #: 88 3A:Water Test Reports - Private Contains source, age of water source, of a well or spring how is it lined, constructed by, kinds of piping used, water used by, etc. Retain in agency for 1 year then microfilm and destroy paper.	Paper	5/22/1986	Years	1	No Retention	0 Destroy Current
Contains source, age of water source, of a well or spring how is it lined, constructed by, kinds of piping used, water used by, etc.	Roll Microfilm	5/22/1986	Years	10	No Retention	0 Destroy Current
Schedule #: 88 3B:Water Reports - Community Includes water analysis, correspondence, background documents. Retain in agency for 1 year then microfilm and destroy paper.	Roll Microfilm	5/22/1986	Years	10	No Retention	0 Destroy Current
Includes water analysis, correspondence, background documents. Retain in agency for 1 year then microfilm and destroy paper	Paper	5/22/1986	Years	1	No Retention	0 Destroy Current
Schedule #: 107 4#:Child Health Case Files Individual case file folders containing pertinent medical and social information for each client receiving services in Child Health Program. Closed cases retained in agency 2 years after calendar year.	Paper	3/4/2002	Years	2	Years	10 Destroy Current
Schedule #: 297 5#:Newborn Screening Reports of laboratory specimen submitted, lab results reported and follow up services performed on behalf of newborn clients.	Paper	4/2/1980	Years	3	No Retention	0 Destroy Current
Schedule #: 297 6#:Grant Applications Applications describe health problems and proposed related services to be provided to Department by agency, with detailed cost information and justification.	Paper	4/2/1980	Years	3	Years	2 Destroy Current
Schedule #: 297 7#:Program Reports						

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Grantee program reports, monthly/quarterly/year end.	Paper	4/2/1980	Years 3	Years 2	Destroy	Current
Schedule #: 327 8#:Confidential Venereal Disease Case Report V-11						
Patient's name and address, age, sex, etc., name of disease and reporting physician, results of laboratory test done, and treatment.	Paper	3/8/1995	Years 1	No Retention 0	Destroy	Current
Schedule #: 332 9#:Oral Survey Statistics						
Oral survey statistics of Maine preschool and elementary school children (1940-1975).	Paper	4/4/1984	Years 10	No Retention 0	Archives	Current
Schedule #: 391 10#:Diabetes Control Project						
Correspondence, reports, resources (articles, newsletters, etc.).	Paper	10/22/1985	Years 3	Years 3	Destroy	Current
Schedule #: 413 11#:Maine Cancer Registration Form, Form #CA005						
Reports, letters, technical information.	Paper	12/26/1985	Years 5	No Retention 0	Destroy	Current
Schedule #: 413 13#:Environmental Letters and Related Technical Information						
Environmental letters, correspondence, technical information.	Paper	12/26/1985	Years 5	Years 10	Destroy	Current
Schedule #: 414 14#:Community High Blood Pressure Program Grants/Contracts for Screening						
Original request for proposals; signed and authorized grant materials; monthly data; reports.	Paper	1/2/1986	Years 6	No Retention 0	Destroy	Current
Schedule #: 415 15#:Director's Files - Div. of Disease Control						

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Letters, correspondence, technical information. Note: Archives Advisory Board has required this series to be reviewed after 10 years.	Paper	1/8/1986	Years 5	Years 10	See Description	Current
Schedule #: 416 16#:Director of Office on AIDS Files						
Letters, correspondence, technical information, reports. Note: Archives Advisory Board has required this series to be reviewed after 10 years.	Paper	3/8/1995	Years 3	No Retention 0	Destroy	Current
Schedule #: 417 17#:Epidemiology Reports, Outbreak Reports, and Educational Material						
Disease outbreak reports, epidemiology, educational material.	Paper	7/30/1993	Years 2	Years 13	Destroy	Current
Schedule #: 418 18#:Disease Outbreak Cases, Reports & Related Correspondence						
Disease control correspondence, monthly reports, and cases on disease outbreaks.	Paper	3/30/2022	Years 1	Years 14	Destroy	Current
Schedule #: 435 20#:Confidential Laboratory Reports						
Serology, chlamydia, throat swab, gonorrhea, tuberculosis, enteric, B. pertussis, ova & parasites, fungus culture, misc. bacti identification, rubella, HSV, CMV, Toxo, aspergillus, cryptococcus, histo, blasto, coccidio, TORCH, HTLV-III, rabies, campylobacter. Laboratory determination of alcohol in blood or breath, toxicology and blood alcohol, misc. testing form letters: asbestos, drugs, Certificate of Drug Analysis, autopsy examination letter, radon. Microfilm and destroy paper.	Paper	3/8/1995	Years 1	No Retention 0	Destroy	Current
Schedule #: 475 21#:Research File						
Research on Giardia, asbestos in water and slow sand filters. Retain until updated.	Paper	5/22/1986	Destroy When Updated 0	No Retention 0	Destroy	Current
Schedule #: 483 22#:Indoor Air Quality Program						

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Case files, general correspondence, lab results from water and air testing of radon, billing, equipment lists.	Paper	5/29/1986	Years 5	No Retention 0	Destroy	Current
Schedule #: 498 25#:Community Health Promotion Program Files						
Contains grants such as stress management, cardiovascular cancer, etc. and related documents and correspondence. Programs catered to clients needs.	Paper	12/10/1986	Years 5	Years 5	Destroy	Current
Schedule #: 498 26#:Training Slides - Div. of Health Promotion & Education						
These slides are used to provide to people who need increased competencies; they are also used to train trainees.	Still Photograph	12/10/1986	Years 3	No Retention 0	Destroy	Current
Schedule #: 498 27#:Diethylstilbestrol (DES) File						
Contains correspondence, media releases, legislative reports, other states programs, workshops, etc. Includes confidential card file of names.	Paper	12/10/1986	Years 2	No Retention 0	Destroy	Current
Schedule #: 498 28#:General Office File - Div. of Health Promotion & Education						
Responses to inquiries, interfiled with nonrecord material.	Paper	12/10/1986	Years 2	No Retention 0	Destroy	Current
Schedule #: 498 29#:Community Health Promotion Program -Audio Tapes						
Employee Health Forum audio tapes. Retain until updated.	Audio Tape	12/10/1986	Destroy When Updated 0	No Retention 0	Destroy	Current
Schedule #: 498 30#:Request for Services - Alcohol and Drug Abuse Program						
Request for materials or networking.	Paper	12/10/1986	Years 1	No Retention 0	Destroy	Current
Schedule #: 501 38#:Directors Referral File - Maternal & Child Health						

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Correspondence to and from other departments and other units of Human Services. Also contains printed rules and regulations.	Paper	7/8/1986	Years 10	No Retention 0	Destroy	Current
Schedule #: 501 40#:Resource Files - Maternal & Child Health						
Materials relating to Division programs to assist in the efficient operation of the programs; printed material on Health Education; material on setting up conferences.	Paper	7/8/1986	Years 5	No Retention 0	Destroy	Current
Schedule #: 501 41#:WIC Local Agencies File						
Contains contracts, Guide cards, inspection reports, and related documents.	Paper	7/8/1986	Years 3	No Retention 0	Destroy	Current
Schedule #: 503 49#:Cancer Registry File						
Data taken from reports submitted by physicians and hospitals of incidents of diagnosed cancer. Retain until updated.	Computer Printout	7/10/1986	Destroy When Updated	No Retention 0	Destroy	Current
Data taken from reports submitted by physicians and hospitals of incidents of diagnosed cancer. Retain until updated.	Digital File	7/10/1986	Destroy When Updated	No Retention 0	Destroy	Current
Data taken from reports submitted by physicians and hospitals of incidents of diagnosed cancer. Retain until information can be updated to new media. Keep in record center 20 years or until media can be updated.	Paper	7/10/1986	Destroy When Updated	No Retention 20	Destroy	Current
Schedule #: 503 50#:Toxicology Program						
Contains documents relating to other state programs, associations, ground water, pesticides, air pollution and correspondence related.	Paper	7/10/1986	Years 10	No Retention 0	Archives	Current
Schedule #: 503 51#:Radon File						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Journal articles, mining studies, biological effects, etc.; new data on radon studies.	Paper	7/10/1986	Years 10	No Retention 0	Destroy	Current
Schedule #: 503 52#:Assistant Director's File/Environmental Health						
Subject files of cancer cluster studies, environmental investigation reports and data, and environmental health topics such as pesticides, land poisons, air pollution, food additives, etc.	Paper	7/10/1986	Years 10	No Retention 0	Destroy	Current
Schedule #: 504 53#:Tuberculosis Reports						
Contains statewide statistics on case registers, morbidity reports, etc., and related correspondence and documents.	Paper	11/1/2002	Years 3	Years 7	Destroy	Current
Schedule #: 504 54#:General Office File - TB Control						
Includes TB physicians and consultants, correspondence and documents related to tuberculosis.	Paper	7/10/1986	Years 2	No Retention 0	Destroy	Current
Schedule #: 504 55#:TB Patients Cases						
Client case files of individuals who have tuberculosis, includes typical information, lab reports, x-ray reports, physician report, etc., includes prophylaxis cases.	Paper	1/10/2002	Years 3	Years 7	Destroy	Current
Schedule #: 504 56#:TB Card File						
Contains name, address, age etc. of patient as well as summary of medications and physicians diagnosis.	Paper	7/10/1986	Years 75	No Retention 0	Destroy	Current
Schedule #: 505 57#:General File - Div. of Disease Control						
Contains vaccine requisition, delivery and receiving reports; purchase orders; purchase requisitions; physician certification forms; vaccine log sheets; vaccination authorizations; complications report forms; case investigation forms; correspondence; related documents.	Paper	7/10/1986	Years 2	No Retention 0	Destroy	Current

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Schedule #: 505 58#:Physicians Reports - Disease Control Includes reports of amount and type of vaccine used, and physicians signed receipt of vaccine received.	Paper	2/11/1992	Years 1	Years 9	Destroy	Current
Schedule #: 505 59#:Management Reports - Disease Control Varied computer reports relating to immunization program.	Computer Printout	7/10/1986	Years 10	No Retention 0	Destroy	Current
Schedule #: 505 60#:School Summary Reports Annual survey of school children immunization.	Paper	2/11/1992	Years 1	Years 4	Destroy	Current
Schedule #: 505 61#:Survey of Two Year Olds Random survey of 2 year olds to determine what vaccines have been received.	Paper	7/10/1986	Years 5	No Retention 0	Destroy	Current
Schedule #: 521 112#:Licensure for Water Treatment Plant Operators Includes applications, exams, and renewals. There are several classes of licenses - class 1, 2, 3, and 4. After a minimum period of time, an applicant can take an exam for the next higher class. Otherwise, the current license has to renewed every 2 years. Retention counted from date license becomes inactive.	Paper	12/4/1986	Years 4	No Retention 0	Destroy	Current
Schedule #: 521 113#:Minutes of Meetings-Bd. of Licensure of Water Treatment Plant Operators. Meetings to discuss, and dispose of issues, problems, and policies of the Board.	Paper	12/4/1986	Years 5	No Retention 0	Archives	Current
Schedule #: 521 114#:Reference File-Board of Licensure of Water Treatment Plant Operators						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status	
Contains exam & renewal receipts, refunds, statutes, non-record material lists of applicants that passed the test, and other varied related documents and correspondence.	Paper	12/4/1986	Years 10	No Retention	0 Destroy	Current	
Schedule #: 523 133#:Legislative Files							
Legislative documents, journals, registers, etc.	Paper	7/10/1986	Years 1	No Retention	0 Destroy	Current	
Schedule #: 568 146#:Maine WIC Program Vendor Files							
Vendor Application, a food list/price survey, a State Agency - Vendor Agreement, correspondence to and from the vendor, etc. Retain in agency for 5 years then film and destroy paper	Paper	10/17/1986	Years 5	No Retention	0 Destroy	Current	
Vendor Application, a food list/price survey, a State Agency - Vendor Agreement, correspondence to and from the vendor, etc.	Roll Microfilm	10/17/1986	Years 10	No Retention	0 Destroy	Current	
Schedule #: 663 152#:Hill-Burton Hospital Construction File							
Distribution records of hospital debt under Hill-Burton regulation and inquiries from the public. Hill-Burton rules and regulations. Program will be completed in 1990. Transfer to Archives in 1992.	Paper	2/1/1988	Contingent Upon Event - See Description	0	No Retention	0 Archives	Current
Schedule #: 663 153#:Certificate of Need Program(Hospitals)							
Application approvals, blueprints, specifications, financial reports, feasibility analyses, legal proceedings documents, correspondence and related documents. Proposals submitted for Dept. of Human Services approval by health care facilities such as hospitals, nursing homes, home health agencies, residential rehabilitation facilities. Proposals often involve construction and renovation, but also include creation of new health services through either converting existing beds to a different level of care or purchase of major medical equipment, or may involve programmatic changes through adding new health professionals to a staff. Transfers of facility ownership are also reviewed.	Paper	9/1/1995	Years 5	Years	15 Destroy	Current	
Schedule #: 669 156#:AIDS Patient Files							

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Diagnostic reports, lab reports, test result tracking forms, Personal contract sheet, and related correspondence. Retention counted from date of patient's death.	Paper	3/8/1995	Years 10	No Retention 0	Destroy	Current
<hr/>						
Schedule #: 695 157#:Nutrition Resource File						
Records and reference material related to nutrition education. Records intergrated throughout file: nutrition screening (Birth - 1yr) (1yr - 5yr), Food record.	Paper	8/19/1988	Years 10	No Retention 0	Destroy	Current
<hr/>						
Schedule #: 725 158#:Research File for Harvard University Collaborative Breast Cancer Study						
36 page women's health care questionnaire and related correspondence. in agency until 2 years after completion.	Keep Paper	12/1/1988	Contingent Upon Event - See Description 0	Years 5	Destroy	Current
<hr/>						
Schedule #: 726 159#:Environmental Health Occupational Health/Safety Program						
Surveys sent to physicians, received back for statistial information, reports of occupational diseases, information concerning occupational diseases.	Paper	5/13/1991	Years 3	No Retention 0	Destroy	Current
<hr/>						
Schedule #: 742 160#:Health Planner Reference File						
Records will be generated related to grants management and program activities of pre-school Handicapped Children Committee and sub group committees including correspondence, grants, and minutes of committee meetings.	Paper	2/1/1988	Years 5	No Retention 0	Destroy	Current
<hr/>						
Schedule #: 777 3#:Lab Results/Reports (D.E.P.)						
Results/reports of the chemical analysis of water, oil, soils, and other materials. It also includes request sheets, which are requested by D.E.P. staff as well as other state agencies.	Paper	5/15/1989	Years 2	Years 10	Archives	Current
<hr/>						
Schedule #: 777 70#:Original Charts/Traces (D.E.P.)						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Instrumentation charts and graphs used to calculate results of various tests. Tests include: gasoline, Fuel Oil, PCB's, Pb, Cr, Pesticides, etc. in order to report out toxic substances.	Paper	5/15/1989	Years 2	Years 10	Destroy	Current
Schedule #: 777 71#:Lab Record Books (D.E.P.)						
Books kept by analyst to record observations and methods of daily work about analysis of toxic substances.	Paper	5/15/1989	Years 2	Years 10	Archives	Current
Schedule #: 777 72#:Correspondence File (D.E.P. Lab)						
Transitory correspondence such as: confirmation of telephone calls; answers to inquiries; inter-office memos for possible projects; memos; letters; requests; reports	Paper	5/15/1989	Years 2	No Retention 0	Destroy	Current
Schedule #: 1275 163:Maine Breast & Cervical Health Program Client Files						
When a woman enrolls in our program, a file is created. Filed include: MBCHP Enrollment Form, MBCHP Visit Form and sometimes a breast or cervical screening follow-up report. Her file is given a number. Files for deceased women and women 65 and older will be sent to the Records Center. After 5 years RC retention, they will be destroyed.	Paper	2/5/2003	Years 2	Years 5	Destroy	Current
Schedule #: 1623 100A:Cancer Rehabilitation and Support Services Survey						
This is a survey completed by cancer survivors to determine what services they used during their treatment and to assess what other services cancer survivors need. These surveys were used to write a report that is being used by the Maine Comprehensive Cancer Control Program to determine what rehabilitation and survivorship gaps exist. The report was created since no published data exists regarding the type of rehabilitation and survivorship services being utilized by cancer survivors in Maine. During the period of rehabilitation and survivorship, individuals may be faced with physical, emotional, social and vocational challenges. Counseling, support groups, and techniques for symptom management all may influence the quality of life of the cancer survivor. Paper is destroyed after report is generated.	Paper	3/29/2005	Variable - See Description	0	0 Destroy	Current
Schedule #: 1623 100B:Cancer Rehabilitation and Support Services Survey Report						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status	
<p>This is a survey completed by cancer survivors to determine what services they used during their treatment and to assess what other services cancer survivors need. These surveys were used to write a report that is being used by the Maine Comprehensive Cancer Control Program to determine what rehabilitation and survivorship gaps exist. The report was created since no published data exists regarding the type of rehabilitation and survivorship services being utilized by cancer survivors in Maine. During the period of rehabilitation and survivorship, individuals may be faced with physical, emotional, social and vocational challenges. Counseling, support groups, and techniques for symptom management all may influence the quality of life of the cancer survivor.</p>	Paper	3/29/2005	Years 3	0	Archives	Current	
<hr/>							
<p>Schedule #: 1687 170#:Public Water System Non-Total Coliform Analyses</p> <p>Records are kept to show the compliance or non-compliance of Public Water Systems with State and Federal water testing requirements. These water analyses support the Drinking Water Program and the Health Inspection Program, two agencies of the Division of Environmental Health. The records are used by the Drinking Water Program to confirm the presence or absence of non-total-coliform contaminants in drinking water and to verify that samples are taken at required intervals. A typical file will contain information that shows the concentration of organic and inorganic chemicals in a water sample, the name and Public Water System Identification number, the name of the sampler, and the date the sample was taken.</p>	Hard Disk	7/21/2008	Years 12	No Retention	0	Destroy	Current
<hr/>							
<p>Schedule #: 1687 171#: Public Water System Total Coliform (including E.-coli) Analyses</p> <p>Records are kept to show the compliance or non-compliance of Public Water Systems with State and Federal water testing requirements. These water analyses support the Drinking Water Program and the Health Inspection Program, two agencies of the Division of Environmental Health. The records are used by the Drinking Water Program to confirm the presence or absence of Total Coliform and E.-coli in drinking water and to verify that samples are taken at required intervals. A typical file will contain information that shows the presence or absence of Total Coliform Bacteria and E-Coli Bacteria in a water sample, the name and Public Water System Identification number, the name of the sampler, and the date the sample was taken.</p>	Hard Disk	7/21/2008	Years 4	No Retention	0	Destroy	Current
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<p>Schedule #: 2066 172:HIV Test Collection Form</p>							

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>These are questionnaire-type forms used by clinicians in a patient/provider setting. They are used to gather personal identifying patient information and they are used to identify which type of tests a patient is submitting to, as well as patient risk factors. They are a two part paper form comprised of a white original top sheet and a self-duplicating bottom yellow duplicate.</p> <p>These records are kept by the agency for 5 years as directed by the US CDC. They support the HIV/STD/Niral Hepatitis Prevention Program.</p> <p>They are completed by the clinician in a meeting with a patient prior to tests for communicable diseases. They are then submitted to the HIV/STD/Niral Hepatitis Prevention Program where they are uploaded into an electronic database located at the U.S. DHHS, Centers for Disease Control. The information is used to collect data and statistics on states by the US CDC as well as for other program and budgeting purposes.</p>	Paper	5/12/2017	Years 1	Years 4	Destroy	Current

Schedule #: 2117 173:Maine CDC Institutional Review Board

<p>The Maine CDC Institutional Review Board was an internal, multidisciplinary group, operating as a registered IRB by the US Department of Health and Human Services' Office for Human Research Protections. This panel existed to review and act on requests for data by researchers both internal and external.</p> <p>Three types of file materials were kept:</p> <ul style="list-style-type: none"> • Foundational documents including IRB registration applications and renewals; assurances of compliance; the IRB guiding principles and mission statement; the IRB annual membership rosters; and the IRB Standard Operating Procedures document and Policy and Procedures Manual • Meeting Files including agendas and minutes, supporting documents for agenda items, records of IRB determinations and summaries of IRB activities and actions • Case files including applicant request forms, research protocols, correspondence associated with IRB determinations, renewals and terminations. <p>Retain in agency 3 years post conclusion of research.</p>	Paper	7/26/2018	Contingent Upon Event - See Description	0	No Retention	0	Destroy	Current
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144R: District Operations

Schedule #: 27 1#:Regional Vocational Rehabilitation Case Files

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence. The case file usually contains narrative dictation and a combination of the attached forms. This series establishes a retention period for microfiche created 1983-1989.	Microfiche	12/7/1990	Years 3	No Retention 0	Destroy	Current
Schedule #: 27 1A:Regional Rehabilitation Case Files (Successful Rehabilitation)						
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence. The case file usually contains narrative dictation and a combination of the attached forms. Retain in agency until closed plus 5 years.	Paper	12/7/1990	Years 5	No Retention 0	Destroy	Current
Schedule #: 27 1B:Regional Rehabilitation Case Files (Non-Successful Rehabilitation)						
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence. The case file usually contains narrative dictation and a combination of the attached forms. Retain in agency until closed plus 3 years.	Paper	12/7/1990	Years 3	No Retention 0	Destroy	Current
Schedule #: 115 9D:AFDC & ABD Denied Cases						
No description provided. Microfilm and destroy.	Paper	10/5/1976	Years 1	No Retention 0	Destroy	Current
Schedule #: 115 9E:MA Closed Case Records (Including Microfilm)						
These do not involve expenditure of funds.	Paper	10/5/1976	Years 3	No Retention 0	Destroy	Current
Schedule #: 428 19#:Regional Public Health Nursing Case Files						
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence. The case file usually contains narrative dictation and a combination of the attached forms.	Paper	11/2/2000	Years 1	Years 24	Destroy	Current
Schedule #: 428 9C:AABD Closed Records						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Folders or microfilm where client died prior to 7/1/72. Retention period is to satisfy possible legal action involving estate claims. Counted from closing.	Paper	10/5/1976	Years 2	No Retention 0	Destroy	Current
144E:Environmental Health						
Schedule #: 519 101#:Community Fluoridation & Chemical Record Sheets						
Daily record sheet used by community water districts to record type and amount of chemicals used in water systems. Microfilm before destroying.	Paper	7/10/1986	Years 1	No Retention 0	Destroy	Current
Daily record sheet used by community water districts to record type and amount of chemicals used in water systems.	Roll Microfilm	7/10/1986	Years 10	No Retention 0	Destroy	Current
Schedule #: 519 102#:Cross-Connections						
Industries or business using chemicals or hazardous materials applications, approvals, correspondence and related documents, includes inspection file.	Paper	7/10/1986	Years 20	No Retention 0	Destroy	Current
Schedule #: 519 103#:Non-Community Water Analysis						
Water analysis reports and correspondence and related documents.	Paper	7/10/1986	Years 10	No Retention 0	Destroy	Current
Schedule #: 519 104#:Public Water Supply Resource File						
This file consists of a combination of correspondence, engineering and technical data. It requires a long retention period and is referred to a great deal by the engineers. 300 water companies are involved.	Paper	8/31/1994	Years 3	Years 75	Destroy	Current
Schedule #: 519 105#:Swimming Pools - Public						
Bacteriological Tests. Microfilming is no longer being done.	Paper	11/21/1991	Years 3	No Retention 0	Destroy	Current
Schedule #: 520 106#:General Office File/Rad Health						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Materials, documents, reports, etc. to promote the effective conduct of the program.	Paper	7/10/1986	Years 10	No Retention	0 Destroy	Current
Schedule #: 520 107#:Monitoring Reports						
Contains reports detailing amounts of radiation in several areas. Nine stations are monitored on a monthly basis, with an additional 52 stations checked quarterly. The primary purpose of the monitoring is to determine background radiation levels within 50 miles of Maine Yankee Atomic.	Paper	7/13/1993	Years 5	Years 25	Archives	Current
Schedule #: 520 108#:NRC Licenses (Nuclear Regulatory Commission Licenses)						
Copies of license, inspection reports, correspondence and documents relating to ionizing radiation. Retain until firm is no longer in business.	Paper	7/10/1986	Contingent Upon Event - See Description	0 No Retention	0 Destroy	Current
Schedule #: 520 109#:Reference File - Rad Health						
Contains various documents, brochures, correspondence assist in the effective implementation of program policy.	Paper	7/10/1986	Years 10	No Retention	0 Destroy	Current
Schedule #: 520 110#:X-ray Registrations						
License to operate equipment, inspection reports, site plans, maintenance reports, correspondence and related documents. Retain in agency until equipment is replaced or removed.	Paper	7/10/1986	Contingent Upon Event - See Description	0 No Retention	0 Destroy	Current
Schedule #: 522 116#:Application for Licenses - Health Inspection Program						
Contains applications for a license to operate an eating or lodging place or a combination of both. Licenses are for caterers, senior citizens meals, vending machines, mobile eating places, commissaries, schools, campgrounds, body artists, mass gatherings, compressed air, tobacco, public pools and spas, and youth camps. Applications may include water test results, septic design certifications and compressed air tests.	Paper	1/16/2019	Years 3	No Retention	0 Destroy	Current

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Includes records in the electronic database	Digital Data	1/16/2019	Years 3	No Retention 0	Destroy	Current
<hr/>						
Schedule #: 522 124#:Health Inspection Program License File						
All licenses issued by the Health Inspection Program, including conditional licenses, annual renewal applications and license stubs. All applications and denials. Applications and approved applications/approved licenses will be retained for 3 years. Denied licenses will be retained for 2 years after legal action is completed provided a minimum of 3 years total retention is reached. Mixed media includes paper and electronic records.	Mixed	1/16/2019	Contingent Upon Event - See Description	0	No Retention 0	Destroy Current
<hr/>						
Schedule #: 522 128#:Health Inspector Accident Reports						
Accident and/or injury reports and related documents and correspondence. Mixed media includes paper and electronic records.	Mixed	1/16/2019	Years 3	No Retention 0	Destroy	Current
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Schedule #: 522 170:Enforcements and Compliance Documents						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>These records are used by the Health Inspection Program to request corrective actions be taken by establishments/body artists that are not meeting Health Inspection Program regulations. Enforcement action may be taken and fines assessed on establishments that have repeat violations and/or excess critical violations; do not meet statute and/or rule regulations; or are imminent health hazards. If corrective action is not taken to achieve compliance with state rules and regulations, suspension or revocation and non-renewal of license may occur.</p> <p>These documents are retention copies for the agency and the licensee. They contain establishment/body artists history, all related enforcement and compliance actions, including intra/interdepartmental correspondence, documentation of imminent health hazards, correspondence from licensees to the public, private concerns, documentation of fines and penalties, photos, and other related enforcement correspondence.</p> <p>These reports are shared with other agencies as necessary and with the media and/or public when requested. These documents are also made available under the Freedom of Access Act.</p>	Paper	1/16/2019	Years 3	No Retention 0	Destroy	Current
	Digital File	1/16/2019	Years 3	No Retention 0	Destroy	Current
<p>Schedule #: 523 135#:Director's File - Health Engineering - Administration</p> <p>Contains special reports, personnel confidential files, slides for presentations, etc.</p>	Paper	7/10/1986	Years 3	No Retention 0	Destroy	Current
<p>Schedule #: 524 136#:Exam File - Licensed Site Evaluators</p> <p>Written and field exams for applicants for licensed site evaluators.(Plumbing.)</p>	Paper	5/29/2013	Years 10	No Retention 0	Destroy	Current
<p>Schedule #: 524 137#:General Correspondence - Plumbing Program</p> <p>Correspondence related to permits from towns, including reports to towns.</p>	Paper	7/6/1986	Years 2	No Retention 0	Destroy	Current
<p>Schedule #: 524 138#:General Office File - Plumbing Program</p>						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Documents and materials to promote the efficient operations of the program.	Paper	7/6/1986	Years 10	No Retention	0 Destroy	Current

Schedule #: 524 139C:Issued Permits - Plumbing Inspectors - Subsurface Wastewater Permits

Internal and External plumbing permits are sent to the Department by local municipalities with payment of fees. Internal permits are used just to reconcile fees received and then can be destroyed. External (subsurface) permits are retained on file for future reference. Because systems can remain in the ground for long timeframes, these external subsurface permits can be referred to up to 50 years in the future. Permits issued by plumbing inspectors, including certificate of approval.

Digital File	1/27/2026	Years	50	0	Archives	Current
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This acknowledges a media change already made by DHHS - it does not change the disposition as determined by the Archives Advisory Board.

Archival digital records will be retained by the agency until records are considered closed and have fulfilled their In Agency retention time. After the In Agency retention time is met, records will be transferred to LibSafe, the Maine State Archives digital preservation system.

Schedule #: 524 139D:Issued Permits - Plumbing Inspectors - Subsurface Wastewater Permits (paper originals)

Internal and External plumbing permits are sent to the Department by local municipalities with payment of fees. Internal permits are used just to reconcile fees received and then can be destroyed. External (subsurface) permits are retained on file for future reference. Because systems can remain in the ground for long timeframes, these external subsurface permits can be referred to up to 50 years in the future. Copies of permits issued to local plumbing inspectors, including certificates of approval.

Paper	12/15/2011	Years	1	No Retention	0 Destroy	Current
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These are paper originals. Destroy 1 year after conversion to digital media.

Schedule #: 524 139E:Issued Permits - Plumbing Inspectors - Internal Permits

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Internal and External plumbing permits are sent to the Department by local municipalities with payment of fees. Internal permits are used just to reconcile fees received and then can be destroyed. External (subsurface) permits are retained on file for future reference. Because systems can remain in the ground for long timeframes, these external subsurface permits can be referred to up to 50 years in the future.	Paper	5/29/2013	Years 1	No Retention	0 Destroy	Current
<hr/>						
Schedule #: 524 140A:Licensed Site Evaluators - Application Materials						
These are the files maintained on each licensed site evaluator in maine. The files include records on: initial application materials; individual exams (both written and field); bi-annual renewal information including address changes; correspondence between the department and the site evaluator; complain and enforcement documentation. Files include those who apply for but fail to pass the examination. Series 140A contains Initial Application materials.	Paper	5/29/2013	Years 15	No Retention	0 Destroy	Current
<hr/>						
Schedule #: 524 140B:Licensed Site Evaluators - Individual Exams						
These are the files maintained on each licensed site evaluator in maine. The files include records on: initial application materials; individual exams (both written and field); bi-annual renewal information including address changes; correspondence between the department and the site evaluator; complain and enforcement documentation. Files include those who apply but fail to pass the examination. Series 140B contains Individual Exams.	Paper	5/29/2013	Years 15	No Retention	0 Destroy	Current
<hr/>						
Schedule #: 524 140C:Licensed Site Evaluators - Bi-annual Renewal and Address Change Information						
These are the files maintained on each licensed site evaluator in maine. The files include records on: initial application materials; individual exams (both written and field); bi-annual renewal information including address changes; correspondence between the department and the site evaluator; complain and enforcement documentation. Files include those who apply for but fail to pass the examination. Series 140C contains Bi-annual Renewal and Address Change Information.	Paper	5/29/2013	Years 6	No Retention	0 Destroy	Current
<hr/>						
Schedule #: 524 140D:Licensed Site Evaluators - Correspondence						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
These are the files maintained on each licensed site evaluator in maine. The files include records on: initial application materials; individual exams (both written and field); bi-annual renewal information including address changes; correspondence between the department and the site evaluator; complaint and enforcement documentation. These files include those who apply for but fail to pass the examination. Series 140D contains Correspondence. Retention contingent upon notification of retirement, death or non-renewal.	Paper	5/29/2013	Contingent Upon Event - See Description	0	No Retention	Destroy Current
Schedule #: 524 140E:Licensed Site Evaluators - Compaint and Enforcement Information						
These are the files maintained on each licensed site evaluator in maine. The files include records on: initial application materials; individual exams (both written and field); bi-annual renewal information including address changes; correspondence between the department and the site evaluator; complaint and enforcement documentation. These files include those who apply for but fail to pass the examination. Series 140D contains Correspondence. Retention contingent upon notification of retirement, death or non-renewal.	Paper	5/29/2013	Contingent Upon Event - See Description	0	No Retention	Destroy Current
Schedule #: 524 141#:Miscellaneous Plumbing Plans						
Applications, inspections, site plans, correspondence and related documents.	Paper	3/15/1999	Years	1	Years	20 Destroy Current
Applications, inspections, site plans, correspondence and related documents. and minimum lot size files.	Roll Microfilm	11/13/1991	Years	30	No Retention	0 Destroy Current
Schedule #: 524 142#:Plumbing Inspection File						
Inspector information form, appointment letters, test, test answer sheet, complaints, correspondence, related documents.	Paper	7/6/1986	Years	10	No Retention	0 Destroy Current
Schedule #: 524 143#:Product Approvals - Plumbing Program						
Plumbing-related approvals of equipment. Includes product data sheets, correspondence and related documents. Retain until equipment is no longer manufactured.	Paper	7/6/1986	Contingent Upon Event - See Description	0	No Retention	0 Destroy Current

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Schedule #: 524 144#:Rule 80K File - Plumbing Program</p> <p>District Court rule to allow Land Use Law enforcement by public appointed officials such as plumbing inspectors; includes exams and related correspondence and documents.</p>	Paper	7/6/1986 Years	20	No Retention	0 Destroy	Current
<p>Schedule #: 524 145#:Swimming Pools- Plumbing Program</p> <p>Plans, registration form, correspondence and related documents. Destroy after microfilming.</p>	Paper	7/6/1986 Years	2	No Retention	0 Destroy	Current
<p>Schedule #: 1034 146#:Radioactive Material Ownership - Applications</p> <p>Applications from facilities to own radioactive material. Anyone who wants to utilize nuclear material i.e. for nuclear medicine; moisture density gages; or belt weight gages for the lumber company must have a licence. Files include: applications, license fell information, and related information and correspondence.</p>	Paper	4/16/1993 Years	7	No Retention	0 Archives	Current
<p>Schedule #: 1034 147#:Radioactive Material Ownership - Inspection Reports</p> <p>Inspection reports for facilities that own radioactive material.</p>	Paper	4/16/1993 Years	7	No Retention	0 Archives	Current
<p>Schedule #: 1084 148#:Maine Water Well Drillers Registration Applications</p> <p>Before a well driller can become certified to dig wells, he must have experience as an apprentice and he must be registered.</p>	Paper	3/12/1994 Years	10	No Retention	0 Destroy	Current
<p>Schedule #: 1084 149#:Minutes of Bd. Meetings (Maine Water Well Drillers and Pump Installers</p> <p>It is the function of the Board to initiate the process of locating all well drillers and pump installers in the State of Maine so they may be certified. Files contain minutes and agenda of the Board.</p>	Paper	3/12/1994 Years	10	No Retention	0 Archives	Current
<p>Schedule #: 1084 150#:Pump Installers File Registration Applications</p>						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Before pump installers can work they must become certified to install pumps, they must register and have a certain amount of experience. Files contain application and related correspondence.	Paper	3/12/1994	Years 10	No Retention 0	Destroy	Current
Schedule #: 1215 161#:Drinking Water Revolving Loan Fund						
Statutory Required under EPA regulations. These records are used by the administrators of the Drinking Water State Revolving Loan fund. They will be used to centrally locate all the records of the State Revolving Loan fund. The EPA loans money to public water supply companies to bring such companies up to EPA standards. It usually means new filtering systems, but can mean other requirements. The files contain, project information, loan applications EPA correspondence and miscellaneous correspondence.	CD	2/19/1997	Years 30	No Retention 0	Destroy	Current
Statutory Required under EPA regulations. These records are used by the administrators of the Drinking Water State Revolving Loan fund. They will be used to centrally locate all the records of the State Revolving Loan fund. The EPA loans money to public water supply companies to bring such companies up to EPA standards. It usually means new filtering systems, but can mean other requirements. The files contain, project information, loan applications EPA correspondence and miscellaneous correspondence.	Paper	2/19/1997	Years 5	No Retention 0	Destroy	Current
Schedule #: 1225 163#:Drinking Water Revolving Loan Fund Project Plans						
Statutory required under EPA regulations (Environmental Protection Agency). The records are used by the administrators of the Drinking Water State Revolving Loan Fund. The series will be centrally located. Health Engineering receives money from the EPA to loan to public drinking water plants to upgrade their facilities. Health Engineering keeps a copy of these plans to monitor compliance. Project plans include system improvement to treatment plant storage, pumping stations, water mains.	Paper	5/19/1997	Years 5	No Retention 0	Destroy	Current
Schedule #: 1269 164#:Drinking Water GIS Program						
Statutory requirement under EPA regulations. The records are used by the administrators of the Drinking Water GIS Program. Files include source water protection files, reports, new well approvals, water plant engineering plans. These are requests for approval for transient non-community public water supply well.	Paper	7/22/1998	Years 5	Years 0	Destroy	Current

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10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Statutory requirement under EPA regulations. The records are used by the administrators of the Drinking Water GIS Program. Files include source water protection files, reports, new well approvals, water plant engineering plans. These are requests for approval for transient non-community public water supply well. Destroy paper after microfilming.	Roll Microfilm	7/22/1998	Years 25	Years 0	Destroy	Current
Schedule #: 1318 165#:Radon Service Provider Registration Files						
The Radon Program provides education, technical resources, and support on radon/residential radiation issues, and to regulate the radon industry. This agency registers all radon service providers. A radon service provider does radon testing, fixes radon problems, fixes radon test kits or could do all three. Files contain: registration of radon service providers, Applications, Inspection Reports, Proficiency Files and related correspondence.	Paper	7/13/1999	5	Years 0	Destroy	Current
Schedule #: 1318 166:Radon Equipment Evaluation						
The Radon Program provides education, technical resources, and support on radon/residential radiation issues, and to regulate the radon industry. Files include: radon equipment evaluation and related correspondence. Keep in Agency until equipment no longer available or in general use.	Paper	7/13/1999	Variable - See Description	0	Years 0	Destroy Current
Schedule #: 1318 167:Project Case Files						
The Radon Program provides education, technical resources, and support on radon/residential radiation issues, and to regulate the radon industry. There are many projects; the House Evaluation Program is but one project. A project now in progress is testing the wells on the islands in Penobscot Bay to evaluate if there is a correlation between types of rock and the incidence of cancer. Homeowner Agreement and Radon Assessment Forms. Keep in Agency 5 years after project complete.	Paper	7/13/1999	Years 5	Years 0	Archives	Current
Schedule #: 1441 168:Maine Yankee Operational & Decommissioning Records						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
The office of Nuclear Safety was established in 1988 to monitor Maine Yankee's day to day operation. Environmental factors and legal considerations make these records invaluable for future state business regarding the Maine Yankee Power Plant. Researchers will use these records with a view to Maine Yankee's operational history from its planning stage through decommissioning. Files include: Permits; gas releases; engineering calculation sheets; termination plan; and related correspondence, categorized by subject chronologically.	Paper	12/11/2002	Retain Until Inactive	0 Years	0 Archives	Current

Schedule #: 1726 169#:Clinical Laboratory Improvement Amendment (CLIA) Laboratory Programs Certifications & Inspections

Due to the fact that laboratory results are integral in many of the decisions healthcare providers make about a patient's health status such as obtaining a diagnosis, developing a course of action for treatment, or monitoring the response to therapy, the Division of Licensing and Regulatory Services (DLRS) monitors and reviews programs/activities of over 1600 laboratory and healthcare providers for compliance with established quality standards. It has sole responsibility for both certification (Federal) and licensure (State) of healthcare and related facilities, and several categories of healthcare professionals providing services.	Paper	2/11/2009	Years	3	Years	17	Destroy	Current
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These particular records are maintained by DLRS because the Division is also responsible for scheduling and performing initial certification, recertification, complaint and validation surveys of CLIA (Clinical Laboratory Improvement Amendment) laboratories in Maine to ensure compliance with Federal regulations. DLRS is responsible for issuing Health Screening Laboratory permits and Maine Medical Laboratories licenses as well. These records are maintained to memorialize applications, licenses, permits, surveys, complaints and related documents. These records are used by the CLIA Program's Quality Assurance Officer, who has oversight of this Program.

Schedule #: 2321 171:Carbon Monoxide Poisoning Reports

Records are considered closed once a determination of carbon monoxide exposure is made, each case has been reviewed, and their status has been finalized.	Mixed	1/6/2026	Years	1	Years	14	Destroy	Current
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Carbon Monoxide Poisoning Reports include information on the individual, location of the exposure, source of the exposure and healthcare information. From these records, the agency creates aggregate summaries of data to report the number of CO poisoning cases in a given area or time period.

Mixed media consists of paper and digital files.

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
144M:Finance						
Schedule #: 36 22#:Purchase Authorization - Fourth Copy - Child Welfare						
Form G-16A, Rev. 8/60. A four part form to record purchase of (articles) commodities or services for committed children.	Paper	11/22/1974	Years 2	No Retention 0	Destroy	Current
<hr/>						
Schedule #: 57 23#:Welfare Bills						
Form G 16, white - Vendor copy (submit with invoice). The G 16 is a purchase authorization prior the billing for articles on services provided to a child committed to the care of the department. A copy or the vendor invoice is attached to the G 16 and become part of the file. Note: Retain in agency for 2 fiscal years from original Date	Paper	11/22/1974	Years 2	No Retention 0	Destroy	Current
<hr/>						
Schedule #: 79 2#:Purchase of Service Contracts - Audit Files						
These files are ordered by name of contractor. Copies of contracts are those subjected to audit. Each folder contains (1) Copy of each contract or grant audited, miscellaneous work papers, (3) Memos, (4) Correspondence.	Paper	2/11/1992	Years 5	Years 5	Destroy	Current
<hr/>						
Schedule #: 104 3#:Data Entry Tape						
Contains line items of medical bills in provider sequence, used for input to the medicaid payment system. Retain in agency 2 months.	Paper	4/14/1975	Retention of Less than 1 Year - See Description	0	No Retention 0	Destroy
<hr/>						
Schedule #: 104 4#:Medicaid Back-Up Tape						
Record of payment of a medical providers, used as vendor master file back-up. Retain in agency 1 month.	Paper	4/14/1975	Retention of Less than 1 Year - See Description	0	No Retention 0	Destroy
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Schedule #: 104 5#:Medicaid History File						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
History of paid medicaid transactions, used to determine duplicate payments. Retain in agency 1 month.	Paper	4/14/1975	Retention of Less than 1 Year - See Description	0	No Retention	0 Destroy Current
Schedule #: 104 6#:Medicaid Purge File						
Contains transactions over three years old on history file. History file is purge annually to update this file. Retain permanently in CCS.	Paper	4/14/1975	Permanent or Indefinite	0	No Retention	0 See Description Current
Schedule #: 104 7#:Medicaid Payment Tape						
Contains provider identification for mailing, client information, and check amount, used to print checks. Retain in agency 3 months.	Paper	4/14/1975	Retention of Less than 1 Year - See Description	0	No Retention	0 Destroy Current
Schedule #: 173 8#:Region I-A, Food Stamp Files.						
Material collected on an individual recipient basis (Food Stamp Program-Income Maintenance Case File) and relating to the national program of the U.S. Department of Agriculture Food Stamp Program. The file consists of individual folders containing the following documents, but not necessarily all documents are to be found in each case-folder. Applications, Declaration Statements, Eligibility Notification, Disposition Sheets, Certification or Notice of Change. Retain in agency for life of record and 2 years after closing.	Paper	5/28/1975	Years	2	No Retention	0 Destroy Current
Schedule #: 373 14#:URESAs Collection Records						
(United Reciprocal Enforcement Support Act) Detailed listing of absent parents by state, court, Docket No., URESA, No., and amount collected. These lists are printed for payments to other states. Child support payments from absent parents living in Maine for children living out of state with their custodial parent. Retain 3 months in agency, then destroy.	Paper	8/21/1985	Retention of Less than 1 Year - See Description	0	No Retention	0 Destroy Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status	
(United Reciprocal Enforcement Support Act) Detailed listing of absent parents by state, court, Docket No., URESA, No., and amount collected. These lists are printed for payments to other states. Child support payments from absent parents living in Maine for children living out of state with their custodial parent.	Microfiche	8/21/1985	Years 100	No Retention	0 Destroy	Current	
Schedule #: 485 11A:Audits of Community Agencies, Medicaid Programs and External Reviews on the Department							
Records are closed once all appeal rights have expired. Examinations/Audits of Community Agencies as well as Maine Medicaid Programs such as nursing homes, residential care facilities, private nonmedical institutions, boarding homes and their related documentation including, but not limited to, workpapers, cost reports, and financial statements. Records also consist of Audits/Reviews performed on the Department and related documentation including, but not limited to, engagement letters, entrance and exit conference notes, and corrective action plans.	Digital File	11/4/2024	Years 10	No Retention	0 Destroy	Current	
Schedule #: 485 11B:Audits of Hospitals							
Records are closed once all appeal rights have expired. Audits Maine Medicaid Program in hospitals, and their related documentation including, but not limited to, workpapers, cost reports, and financial statements.	Digital File	11/4/2024	Years 15	No Retention	0 Destroy	Current	
Schedule #: 485 13#:Management Reports							
Varied reports generated by the Human Services MMIS. Retain until updated.	Computer Printout	6/5/1986	Destroy When Updated	0	No Retention	0 Destroy	Current
Varied reports generated by the Human Services MMIS. Retain until updated.	Computer Output Microfilm	6/5/1986	Destroy When Updated	0	No Retention	0 Destroy	Current
Schedule #: 494 29#:Human Services Training File							
Contract for services; registration forms; application forms; evaluations by instructor and by registrants; instructional material summaries such as learning objectives, course outlines, etc., may contain correspondence. Material is for all courses taught by the Unit and contracted trainers, i.e., Child Abuse, Report Writing, case file completions, etc.	Paper	6/20/1986	Years 2	No Retention	0 Destroy	Current	

Department Series Report

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Contains course title, training region, registrants names. Retain until updated.	Computer Printout	6/20/1986	Destroy When Updated	0	No Retention	0 Destroy Current
Schedule #: 494 30#:Human Services Trainer File						
Contains name, address, trainer I.D., and telephone number. Retain until inactive.	Paper	6/20/1986	Retain Until Inactive	0	No Retention	0 Destroy Current
Contains name, address, trainer I.D., and telephone number. Retain until updated.	Computer Printout	6/20/1986	Destroy When Updated	0	No Retention	0 Destroy Current
Schedule #: 494 31#:State Training Advisory Council						
Minutes of meetings, agendas, correspondence and related material. Council is made up of Human Services employees to evaluate training and education needs of its employees.	Paper	6/20/1986	Years	3	No Retention	0 Destroy Current
Schedule #: 494 32#:SETU Correspondence						
Correspondence to and from various agencies relating to training or education of personnel. Includes brochures and other related materials.	Paper	6/20/1986	Years	2	No Retention	0 Destroy Current
Schedule #: 494 33#:Educational Leave File						
Contains applications for educational leave, letters of approval or denial, amount approved and other related documents. Retain until completed and audited.	Paper	6/20/1986	Contingent Upon Event - See Description	0	No Retention	0 Destroy Current
Schedule #: 603 34#:Administration Correspondence						
General administrative correspondence with departmental bureaus and divisions, other departments and federal government.	Paper	1/16/1987	Years	5	No Retention	0 Destroy Current

Department Series Report

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Schedule #: 603 35#:Grants The Departmental copy of grants made by the Department to outside community agencies.	Paper	1/16/1987 Years	3	No Retention	0 Destroy	Current
Schedule #: 603 36#:Contracts The Departmental copy of all contracts for special services.	Paper	1/16/1987 Years	3	No Retention	0 Destroy	Current
Schedule #: 603 37#:Audit Reports Reports of audits performed on the Dept. of Human Services.	Paper	1/16/1987 Years	10	No Retention	0 Destroy	Current
Schedule #: 603 38#:Leases Departmental copy of all leases for space occupied by the Dept. statewide. Correspondence related to leased space. Monthly rent payments. Retention period begins at termination.	Paper	1/16/1987 Years	6	No Retention	0 Destroy	Current
Schedule #: 608 40#:Workers Compensation Records Workers compensation agreements, payment authorizations, doctors' reports. Retention period begins when case becomes inactive.	Paper	3/13/1987 Years	10	No Retention	0 Destroy	Current
Schedule #: 608 41#:Grievance and Arbitration Records Grievance and outside complaints, investigations and arbitration cases. Grievance records (no arbitration), retain 5 years; arbitration records, retain 10 years.	Paper	3/13/1987 Years	10	No Retention	0 Destroy	Current
Schedule #: 620 42#:DSER Collections						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
The records are kept in case of future court action. Records are used by anyone with a need to work with the case, including support staff, case agents, supervisors and regional managers, the Child Support Division of the Office of the Attorney General, and occasionally DSER upper management. Materials in the file may include payment and disbursement history.	Digital File	9/29/2014	Years 20	No Retention 0	Destroy	Current
Schedule #: 735 44#:IV-D Client Payroll Record						
Weekly/monthly record of support payments sent to clients. Destroy after microfiched and verified.	Microfiche	8/28/1996	Years 100	No Retention 0	Destroy	Current
Schedule #: 735 44A:IV-D Client Payroll Record (prior to July 1991)						
Weekly/monthly record of support payments sent to clients.	Paper	8/28/1996	Years 50	Years 50	Destroy	Current
Schedule #: 735 44B:IV-D Client Payroll Record (July 1991 and after).						
Weekly/monthly record of support payments sent to clients. Destroy after microfiched and verified.	Paper	8/28/1996	Contingent Upon Event - See Description	No Retention 0	Destroy	Current
Schedule #: 744 45#:Monthly AFDC Payroll (MF)						
Monthly payroll of AFDC recipients received from Accounts and Control	Microfiche	4/20/1989	Years 50	No Retention 0	Destroy	Current
Schedule #: 1009 46#:Maine Medicaid Information Systems (Microfiche Backup)						
Medicaid reimbursement system and management of programs, including: claims history; financial reports; remittance statements; purge inventory; prior authorization status; drug reference; Medicaid eligibility reports; return claims; surveillance & utilization review; Management and Reporting System. Keep paper in agency 6 months. Microfiche, verify and destroy.	Paper	12/2/1992	Retention of Less than 1 Year - See Description	No Retention 0	Destroy	Current
Schedule #: 1009 46A:Maine Medicaid Information Systems - Microfiche						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Medicaid reimbursement system and management of programs, including: claims history; financial reports; remittance statements; purge inventory; prior authorization status; drug reference; Medicaid eligibility reports; return claims; surveillance & utilization review; Management and Reporting System.	Microfiche	12/2/1992	Years 5	No Retention 0	Destroy	Current
Schedule #: 1009	46B:Maine Medicaid Information Systems - Backup Microfiche					
Medicaid reimbursement system and management of programs, including: claims history; financial reports; remittance statements; purge inventory; prior authorization status; drug reference; Medicaid eligibility reports; return claims; surveillance & utilization review; Management and Reporting System.	Microfiche	12/2/1992	Years 0	Years 5	Destroy	Current
Schedule #: 1175	47#:Complaint Case Files (Human Services)					
Someone who receives services from, is employed by, or deals with Human Services and who, in some way, thinks their rights have been infringed upon, can complain to the Civil Rights Office. A typical file contains: allegation; investigatory document; conclusionary document and related correspondence. Keep in agency until closed plus 5 years.	Paper	9/25/1995	Years 5	No Retention 0	Destroy	Current
Schedule #: 1175	48#:Request for Accommodation					
An employer is responsible for mental and physical accommodation of its employees who may need such accommodation. Can be chair types, lighting, pounds to be carried, etc. Keep in agency until accommodated plus 10 years.	Paper	9/25/1995	Years 10	No Retention 0	Destroy	Current
Schedule #: 1175	49#:Medical Records of DHS Employees					
If an employee is absent for more than five days a medical statement may be asked for. If medical leave is asked for medical records must be kept. And when employee comes back to work they must have medical approval.	Paper	9/25/1995	Years 3	No Retention 0	Destroy	Current
Schedule #: 1311	50#:Child Welfare Income Records					
Verified income received, and expenditures per child, used by Human Services Auditors. Monthly expenditures and receipts. Keep in agency until filmed and verified.	Paper	3/4/1999	Variable - See Description 0	Years 0	Destroy	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
The verified income received and expenditures per child used by Human Services Auditors. Monthly expenditures and receipts.	Roll Microfilm	3/4/1999	Variable - See Description	18 Years	0	Destroy Current
The verified income received and expenditures per child used by Human Services Auditors. Monthly expenditures and receipts. (Backup microfilm)	Roll Microfilm	3/4/1999	Variable - See Description	0 Years	18	Destroy Current
Schedule #: 1411 51:Hospital Base Year Files						
This is critical audit information from the MMIS claims system which can never be duplicated. It is source documentation of the hospital Medicaid reimbursement system. The reimbursement system continued until 2011. Any legal appeal by a hospital for settlements during this period may require us to rely on the documentation in these boxes.	Digital File	6/19/2018	Contingent Upon Event - See Description	0	No Retention	Destroy Current
Program closed in 2011 but records will be retained until all outstanding audits have been met or any legal issues have been resolved.						
Paper records will be retained by the agency until scanned and verified for quality assurance.						
144Y:Health & Environmental Testing Laboratory						
Schedule #: 507 62A:Director's File - Correspondence						
Correspondence to and from the Director of the Public Health Laboratory pertaining to requests for information concerning what type of services the Laboratory performs, and laboratory results.	Paper	10/22/1986	Years	15	No Retention	0 Destroy Current
Schedule #: 507 62B:Director's File - Metabolic Disease Screening						
Pertains to newborn screening and lead screening program, with related correspondence. The Laboratory provides laboratory support to the Bureau of Health program, Child Health, provides screening and diagnosis of diseases; Erythroprotoporphyrin and Blood Lead analysis.	Paper	10/22/1986	Years	25	No Retention	0 Destroy Current
Schedule #: 507 63#:Standard File for Private Agencies						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Test results, inspection forms, certificates, correspondence and related documents. Destroy after microfilming.	Paper	10/22/1986	Years 2	No Retention 0	Destroy	Current
Test results, inspection forms, certificates, correspondence and related documents.	Roll Microfilm	10/22/1986	Years 10	No Retention 0	Destroy	Current
Schedule #: 507 65#:General Office Reference File - Public Health Laboratory						
Contains copies of all correspondence from the lab, Maine Lab committee material, LAB GAB (newsletter), records summaries, and other general material related to the accomplishment of the Laboratory's responsibilities.	Paper	10/22/1986	Years 2	No Retention 0	Destroy	Current
Schedule #: 507 66#:Water Analysis Requests						
Includes receipt and application for water testing.	Paper	10/22/1986	Years 3	No Retention 0	Destroy	Current
Schedule #: 507 67#:Chromatographs						
Graph chart indicating organic analysis.	Paper	10/22/1986	Years 6	No Retention 0	Destroy	Current
Schedule #: 821 69#:Blood Lead Reports						
Laboratory results, instrument printouts, quality control records, specimen requisitions, and accession records of blood testing for lead poisoning in children.	Paper	6/12/2025	Years 2	0	Destroy	Current
Laboratory results, instrument printouts, quality control records, specimen requisitions, and accession records of blood testing for lead poisoning in children.	Digital File	6/12/2025	Years 10	0	Destroy	Current
Schedule #: 821 71#:Microbiological Reports						
Laboratory results, instrument printouts, quality control records, specimen requisitions, and accession records of tests done to determine if illness is caused by microbiological agents.	Paper	6/12/2025	Years 2	0	Destroy	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Laboratory results, instrument printouts, quality control records, specimen requisitions, and accession records of tests done to determine if illness is caused by microbiological agents.	Digital File	6/12/2025	Years 10	0	Destroy	Current

Schedule #: 1439 72:Forensic Case Files

Records are closed at the completion of testing. Case files containing lab report, analytical data and chain-of-custody for the prosecution of drug and alcohol related crimes. These files are used by State and County Court Officers in the prosecution of drug and alcohol cases. A typical file contains: the final report; any preliminary, supplementary or corrected reports; worksheets; evidence receipt; chain of evidence; all instrument printouts (both control and questioned samples), photographs, photocopies, etc.; copies of reference, standard or library spectra used for identification; technical and administrative review.

Mixed	2/23/2024	Years	2	Years	18	Destroy	Current
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Unless otherwise required by law, records that are in paper format and subject to one or more of the department's retention schedules are retained in that format unless and until they are converted into digital format, after which conversion the records in paper format may be destroyed. The digital copies of such records are retained for the remainder of the applicable retention period. See 16 M.R.S. § 456-A(4).

Schedule #: 1439 76:Forensic Quality Records

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10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Records are closed at the end of the calendar year.</p> <p>Quality Records include any document required by American National Standards Institute National Accreditation Board (ANAB) to maintain accreditation as a Forensic Testing Laboratory. These records also serve to validate case file results and verify the laboratory was following accreditation requirements while performing testing. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> -Instrument Repair, Maintenance, and Calibration Records -Equipment Calibration Records -Raw Data from Instruments -Standard Operating Procedures -Validations and Verifications -Temperature Logs -Technical Monitoring Records -Proficiency Tests -Internal Audit Records -Management Review Records -Deviations, Quality Issue Reporting Forms, Preventative Action, and Corrective Action Records -External Assessment Records -Analyst Training Records and Authorizations -Standard and Reagent Approval and Check Records -Certificate of Analysis Records for Standards and Reagents <p>Unless otherwise required by law, records that are in paper format and subject to one or more of the department's retention schedules are retained in that format unless and until they are converted into digital format, after which conversion the records in paper format may be destroyed. The digital copies of such records are retained for the remainder of the applicable retention period. See 16 M.R.S. § 456-A(4).</p>	Mixed	2/23/2024	Years 2	Years 18	Destroy	Current

Schedule #: 1439 77:Forensic Case Batch Files

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Records are closed at the completion of testing. Case Batch Files include all the Quality Control results for any calibrations, standards, and/or controls run on an instrument that would not be included in the case file. These results ensure the instrument was working as expected for analysis of case samples and are required to validate the case sample results.	Mixed	2/23/2024	Years 2	Years 18	Destroy	Current

Unless otherwise required by law, records that are in paper format and subject to one or more of the department's retention schedules are retained in that format unless and until they are converted into digital format, after which conversion the records in paper format may be destroyed. The digital copies of such records are retained for the remainder of the applicable retention period. See 16 M.R.S. § 456-A(4).

Schedule #: 1605 73#:Inorganics Data from Testing for Inorganic Substances

Collected data from instruments that are used to analyze water and environmental samples for inorganic chemicals and microorganisms. These samples are tested for many different reasons, including drinking water safety (chemical and bacteriological), compliance with the Maine Drinking Water Program and inorganic environmental contamination. Occasionally data may need to be retrieved to verify analytical results. Also, this data maybe demanded by the courts for criminal and civil litigation. The HETL is required to retain these records by the Environmental Protection Agency (EPA) and the National Environmental Laboratory Accreditation Program (NELAP). These records must be produced when requested by these agencies. Instrument data (calibration curves, chromatograms, etc.) may be found in a typical file.	Paper	12/6/2024	Years 2	Years 10	Destroy	Current
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Schedule #: 1605 74#:Instrument Data from Testing for Organic Substances

Data packets and other relevant paperwork related to organic and environmental metals (OEM) analysis at the Health and Environmental Testing Lab (HETL). Metals data may be included in the inorganic records retention stream if the filing date was prior to 2022. The HETL is required to retain these records by the Environmental Protection Agency (EPA), the Maine Laboratory Accreditation Program (MLAP), and the American Industrial Hygiene Association (AIHA). These records must be produced when requested by these agencies. Data packets may contain raw chromatograms, acquisition software printouts, analyst worksheets, traceability sheets, sample chain of custodies, and peer review sheets.	Paper	11/25/2024	Years 2	Years 10	Destroy	Current
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Schedule #: 1605 75#:Radio Chemistry Data and Records

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Records include client reports, instrument data, SOP's manuals, methods, and any other documentation used to analyze drinking water for the Drinking Water Program (DWP), Radon air and water samples for private testing, and environmental samples for the Radiological Environmental Monitoring Program (REMP) to include Gamma, Alpha, and Beta emitter analysis in multi-matrices. This series will also include Environmental Protection Agency (EPA), Maine Laboratory Accreditation Program (MLAP), and Radiation Control Program (RCP) records as well as radioactive materials licensing documentation.	Paper	10/28/2024	Years 2	Years 10	Destroy	Current
Data may be retrieved to obtain historical data, recalculate results, or satisfy court demands for civil or criminal litigation. The Health and Environmental Testing Laboratory (HETL) is required to retain these records according to federal and state regulations dictated by the EPA and MLAP. Refer to 40 CFR 141.33.						

144N:Health Planning & Development

Schedule #: 663	150#:Cooperative Agreement for the Development of Primary Care Services						
Under this Cooperative Agreement, the Dept. produces an annual grant application, periodic progress reports, daily correspondence letters, planning and research reports, and a variety of primary health care and manpower statistics. Retention period begins at conclusion of federal funding.	Paper	2/1/1988	Years 3	No Retention	0	Destroy	Current

Schedule #: 663	154#:Administrative File - Project Review for OHP&D						
Certificate of Need (CON) Advisory Committee membership correspondence/meeting schedules/activities.	Paper	2/1/1988	Years 2	Years	6	Destroy	Current

144P:Health Promotion and Education

Schedule #: 804	1#:PATCH (Planned Approach to Community Health)						
Community organizing model for health priorities. Files include: workshops program development; mortality data; work plans; evaluations; quarterly reports and related correspondence. program ends.	Paper	11/28/1989	Contingent Upon Event - See Description	0	Years 2	Destroy	Current
			Keep in agency until				

Schedule #: 804	2#:CCDPP (Community Chronic Disease Prevention Program)					
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Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Development; implementation and evaluation. Quarterly reports; program documentation; evaluation form; work plans; progress reports; community survey data and related correspondence. Hold in agency until program ends.	Paper	11/28/1989	Contingent Upon Event - See Description	0	Years 2	Destroy Current
144V:Infectious Disease						
Schedule #: 749 161#:AIDS/HIV Surveillance Files						
These files contain highly confidential materials relating to CDC Case Definition AIDS Reports, including copies of case reporting forms, death certificate data, correspondence, investigation records and non-aggregated HIV. Review after 5 years.	Paper	5/15/1989	Years	15	No Retention	0 Destroy Current
Schedule #: 866 162#:Knowledge, Attitude & Behavior Surveys						
These surveys sample the knowledge and attitude of the general public of AIDS to better target educational activity. Retain until updated.	Floppy Disk	10/25/1990	Years	10	No Retention	0 Destroy Current
Schedule #: 893 163#:Chronic Disease Program						
These surveys sample the knowledge and attitude of the general public of AIDS to better target educational activity.	Paper	10/25/1990	Years	5	No Retention	0 Archives Current
Schedule #: 893 163#:Chronic Disease Program						
Contains chronic disease scientific and epidemiologic research reports and papers. Confidential files of hard copy, follow-up investigations, data quality research projects and administrative files relating to chronic disease.	Paper	12/17/1990	Years	10	No Retention	0 Archives Current
Schedule #: 1035 164#:Occupational Health Care Files						
Occupational case files, individual case files are logged in and filed alphabetically by year. Files include: medical records, disease reports, medical laboratory reports, case abstracts and related correspondence. Maine Agricultural Safety & Health Program series 165 has been assumed to Occupational Health Care Files. 7/11/01.	Paper	4/14/1993	Years	20	Years	100 Archives Current
Schedule #: 1140 167#:Refugee Health Assessment Client Files						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
This Division provides health assessment for newly arrived official refugees and Amerasian immigrants. Files include: Reception and Placement POrogram Assurance Form, Medical Examination, Refugee Program Report. This health information is needed for program surveillance activities relating to AIDS, sexually transmitted diseases and tuberculosis. The Assurance Form tells DHS what sponsor is responsible for each refugee.	Paper	1/16/1995	Years 5	Years 2	Destroy	Current
<hr/>						
Schedule #: 1184 168#:Report on Maine's Health Objectives by the Year 2000						
Reports containing analysis and presentation or data from various public health surveillance systems. Reports are called "Healthy Maine 2000, A Health Agenda for the Decade". Issues include: Maternal and Child Health; Chronic Disease Prevention and Control; HIV/AIDS; Teen and Young Adult Health; Oral Health; Tobacco Prevention; Substance Abuse; Mental Health; etc.	Paper	12/8/1995	Years 1	No Retention 0	Archives	Current
<hr/>						
Schedule #: 1277 3#:Commissioner's Correspondence						
Correspondence from the Commisioner of Administrative and Financial Services	Paper	6/12/1998	Years 10	Years 0	Archives	Current
<hr/>						
144ZZ:Interdepartmental Committee						
Schedule #: 642 10#:Minutes of IDC Committee and Sub-committee Meetings						
Describes activities and discussions of all subcommittee and committee meetings. Retain in agency until updated.	Digital File	10/6/1987	Destroy When Updated	0	No Retention 0	Destroy Current
<hr/>						
Describes activities and discussions of all subcommittee and committee meetings.	Paper	10/6/1987	Years 1	Years 5	Archives	Current
<hr/>						
Schedule #: 642 11#:Issue papers and reports from Subcommittee and IDC Committee						
Issue papers and reports on specific topics are generated by the various subcommittees. Topic areas vary substantially from administrative issues (insurance & training) to service development.	Paper	10/6/1987	Years 1	Years 5	Archives	Current
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10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Issue papers and reports on specific topics are generated by the various subcommittees. Topic areas vary substantially from administrative issues (insurance & training) to service development. Retain until updated.	Digital File	10/6/1987	Destroy When Updated	0	No Retention	0 Destroy Current
Schedule #: 642 12#:Correspondence - IDC Committee & Subcommittee						
Includes correspondence relating to specific activities of committees and subcommittees. Includes requests for information.	Paper	10/6/1987	Years	1	Years	3 Destroy Current
Schedule #: 642 13#:Raw Data Collected from Surveys Sponsored by IDC						
Includes completed survey instrument for services needs assessment, agency surveys, etc.Includes requests for information.	Paper	10/6/1987	Years	1	Years	3 Archives Current
Schedule #: 707 18#:Rate Setting - Documentation IDC						
List of budgeted costs, analysis sheets and related correspondence.	Paper	11/7/1988	Years	3	No Retention	0 Destroy Current

144D:MaineCare Services

Schedule #: 120 1#:Maine Medical Assistance Program Fiscal Records Paper Claims						
Medicaid Assistance Fiscal Records (Medicaid Health Services Bills). Vendor Billing to State for payment of Health Services provided to Medicaid Recipients: 1. Hospital inpatient and outpatient - filed by Vendor Number; 2. Home Health Services - Filed by Vendor Number; 3. Professional Services - Filed alphabetically by name of professional; 4. Extended Care Billing - Filed by Vendor Number; 5. Child Health Billing - Filed by Vendor Number; 6. Medical Eye Care Billing - Filed by Vendor Number; 7. Hand Paed Drug (Prescription Billing - Non Computer) - Ended Aug. 1, 1974 - Filed by Vendor Name, alphabetically. Note: Retain in agency for current year then destroy 30 days after adjudication & microfilming.	Paper	4/28/1985	Destroy After Conversion to Another Medium	0	No Retention	0 Destroy Current
Schedule #: 120 4#:Maine Medical Assistance Program Fiscal Records Paper Claims						

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10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Medicaid Assistance Fiscal Records (Medicaid Health Services Bills). Vendor Billing to State for payment of Health Services provided to Medicaid Recipients: 1. Hospital inpatient and outpatient - filed by Vendor Number; 2. Home Health Services - Filed by Vendor Number; 3. Professional Services - Filed alphabetically by name of professional; 4. Extended Care Billing - Filed by Vendor Number; 5. Child Health Billing - Filed by Vendor Number; 6. Medical Eye Care Billing - Filed by Vendor Number; 7. Hand Paed Drug (Prescription Billing - Non Computer) - Ended Aug. 1, 1974 - Filed by Vendor Name, alphabetically.	Roll Microfilm	4/28/1985	Years 3	Years 10	Destroy	Current
Schedule #: 304 2#:Recipient Third Party Resource File						
File for storage and retrieval of primary resource information for recoupment of Medicaid funds. Contains health insurance coverage records, all correspondence, copies of Medicaid claims and claims payment history, and referral and recoupment records. Destroy paper after filmed and verified.	Paper	1/26/1999	Years 0	Years 0	Destroy	Current
File for storage and retrieval of primary resource information for recoupment of Medicaid funds. Contains health insurance coverage records, all correspondence, copies of Medicaid claims and claims payment history, and referral and recoupment records.	Roll Microfilm	1/26/1999	Years 6	Years 0	Destroy	Current
Schedule #: 310 3#:Licensure & Certification Health Care Facilities						
C & T; Title 18 Certification Letter; Provider Agreement; copy of license; application for licensure; various inspection reports; various kinds of correspondence.	Paper	5/28/1981	Years 6	Years 14	Destroy	Current
Schedule #: 376 5#:Correspondence to and from the Director of Bur. of Medical Services						
Medical Services Bureau Director is responsible for Office of Health Planning and Development, Office of Medical Services, and Medical Claims Review and Surveillance and Utilization Review offices.	Paper	9/23/1985	Years 10	No Retention 0	Destroy	Current
Schedule #: 469 11#:Management Reports						
Varied reports from MMIS. Retain until updated.	Computer Printout	6/2/1986	Destroy When Updated	0	No Retention 0	Destroy Current

Department Series Report

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Schedule #: 469 12#:Prior Authorization						
Includes Long Term Care classifications and authorizations for medical care services. Includes classification forms, prior authorization forms, correspondence, and related documents.	Roll Microfilm	6/2/1986 Years	7	No Retention	0 Destroy	Current
Includes Long Term Care classifications and authorizations for medical care services. Includes classification forms, prior authorization forms, correspondence, and related documents. Destroy after filming.	Microfiche	12/2/1988 Years	7	No Retention	0 Destroy	Current
Schedule #: 469 13#:Provider File						
Agreements and related correspondence. Destroy after filming.	Paper	6/2/1986 Years	3	No Retention	0 Destroy	Current
Agreements and related correspondence.	Roll Microfilm	6/2/1986 Years	7	No Retention	0 Destroy	Current
Schedule #: 492 10#:Administrative File - Surveillance & Utilization Review						
Correspondence to and from other units of Human Services and other agencies, i.e., Attorney General. Contains information on fraud cases.	Paper	6/11/1986 Years	5	No Retention	0 Destroy	Current
Schedule #: 492 7#:Management Reports - Surveillance & Utilization Review						
Maine Medicaid Provider Category of Services by physicians, chiropractors, hospitals, and other health care persons and facilities; explanation of medical benefits (lists services received by patients); explanation of medical benefits (E.O.M.B.).	Computer Output Microfilm	6/11/1986 Years	10	No Retention	0 Destroy	Current
Various computer generated reports to assist the agency in the efficient and effective performance of their duties. Retain until updated.	Computer Printout	6/11/1986 Destroy When Updated	0	No Retention	0 Destroy	Current
Schedule #: 492 8#:Recipient Surveillance File						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Tracking sheets generated in office. Specific recipient profile reports requested by agency and produced by CCS. Retention counted from date inactive.	Paper	6/11/1986	Years 2	No Retention 0	Destroy	Current
Tracking sheets generated in office. Specific recipient profile reports requested by agency and produced by CCS. Retention counted from date inactive.	Computer Printout	6/11/1986	Years 2	No Retention 0	Destroy	Current
Schedule #: 492 9#:Provider Surveillance File						
Provider Tracking form and computer printout Provider Profiles for Maine Medicaid Program. Includes related correspondence.	Paper	6/11/1986	Years 10	No Retention 0	Destroy	Current
Provider Tracking form and computer printout Provider Profiles for Maine Medicaid Program.	Computer Printout	6/11/1986	Years 2	No Retention 0	Destroy	Current
Schedule #: 495 15#:Project Files						
Project documents, correspondence, supporting data for fee schedules.	Paper	6/23/1986	Years 5	No Retention 0	Destroy	Current
Schedule #: 495 16#:Cost Containment Management Reports						
Various computer generated reports. Abstracted form claims paid through MMIS.	Computer Printout	6/23/1986	Years 3	No Retention 0	Destroy	Current
Various computer generated reports. Abstracted form claims paid through MMIS.	Microfiche	6/23/1986	Years 5	No Retention 0	Destroy	Current
Schedule #: 499 26#:Division Director's File - Licensing & Cert., Medical Services						
Correspondence relating to the licensing and certification of nursing homes and hospitals; instructional materials for supervisory skills; reports/memos from other bureaus, divisions, etc.; Federal guidance documents, program brochures, and other related materials.	Paper	1/13/1993	Years 2	Years 8	Destroy	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Schedule #: 499 28#:Employee Itineraries - Licensing & Cert., Medical Services Used to inform agency where employee will be working during the following week. Not used for audit purposes. Destroy after one week.	Paper	7/3/1986	Retention of Less than 1 Year - See Description	0	No Retention	0 Destroy Current
Schedule #: 499 29#:Staffing File - Licensing & Cert., Medical Services Weekly time schedules for nursing homes and quarterly reports of ratio of personnel to census of patients.	Paper	7/3/1986	Years	3	Years	3 Destroy Current
Schedule #: 499 30#:Health Care Facilities Licensing and Certification File Includes license, correspondence, application, State Fire Marshall's report, exit interviews, licensure surveys, complaints and related documents.	Paper	2/19/1992	Years	2	Years	17 Destroy Current
Schedule #: 500 17#:Bureau of Medical Services Rules & Regulations Contains current proposed new and active obsolete rules, regulations, work papers and related correspondence and documents. Retain until inactive.	Paper	6/11/1986	Retain Until Inactive	0	No Retention	0 Destroy Current
Schedule #: 500 18#:Medical Advisory Committee Includes minutes, correspondence, etc.	Paper	6/11/1986	Years	1	No Retention	0 Archives Current
Schedule #: 500 19#:Federal Correspondence Correspondence and documents, i.e. assessments, reports, surveys relating to general issues.	Paper	6/11/1986	Years	2	No Retention	0 Destroy Current
Schedule #: 500 21#:Bureau Correspondence - Medical Services (Administration)						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Correspondence, memos, etc., written/received from Bureau Directors, Assistant Directors, etc.	Paper	6/11/1986	Years 1	No Retention 0	Destroy	Current
Schedule #: 500 22#:Federal/State Plan - Medicaid						
Documents and correspondence relating to State Plan for Medicaid. Includes federal material. Approved for microfilming, but destruction of paper documents not approved.	Paper	6/11/1986	Years 5	No Retention 0	Destroy	Current
Schedule #: 535 24#:Director's Administrative File						
The Director's files contain documentation to back up licensing inspections for adult foster care and boarding home care, including a file on terminations of residential care and correspondence to and from other units of the Department, and with homes in relation to their licenses and reimbursements for their services. The material must be kept long enough to cover possible legal action, and to track past history in case a home reopens after closing.	Paper	5/17/1995	Years 2	Years 8	Destroy	Current
Schedule #: 646 31#:Robert Wood Johnson Foundation Managed Care Program						
Correspondence, surveys and supporting data. A comprehensive managed care health insurance demonstration program.	Paper	10/28/1987	Years 5	Years 5	Destroy	Current
Schedule #: 914 32#:BMR Waiver Foster Home						
Waivered cases are exempted from rules in order to qualify for care. The Bureau of Consumer Services is responsible for determining medical eligibility of Medicaid clients needing long-term care services. Individual Program Plan; checklist; choice letter; BMS-85 etc. These are BMR clients needing foster home care or sheltered workshop placements. Retention begins after case is closed.	Paper	1/28/1991	Years 1	Years 4	Destroy	Current
Schedule #: 914 33#:Acute Psychiatric Medicaid Clients						
The Bureau of Consumer Services is responsible for determining medical eligibility of Medicaid clients needing long-term care services. Files include: Application, IMU Message form etc. These clients require care at an acute psychiatric facility. Retention begins where case is closed.	Paper	1/28/1991	Years 0	Years 5	Destroy	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Schedule #: 914 34#:Nursing Home Medicaid Clients</p> <p>The Bureau of Consumer Services is responsible for determining medical eligibility of Medicaid clients needing long-term care services. Files include: Application; IMU Message form; SWMA 122; Consumer Services Message From and related correspondence. These clients require nursing home care. Retention begins when case is closed.</p>	Paper	1/28/1991	Years 1	Years 4	Destroy	Current
<p>Schedule #: 921 36#:Multi-State Long-Term Care Case Mix Quality Assurance Demo. Project</p> <p>A case-mix reimbursement system for nursing facilities in which facilities are paid based on the severity of their residents. Severity is determined through annual assessments with quarterly reports. Files contain reference and resource material, correspondence, surveys, assessment material and supporting data.</p>	Paper	11/7/1990	Years 5	Years 2	Destroy	Current
<p>Schedule #: 1005 153#:CNA (Certified Nursing Assistant) Registry Files</p> <p>To comply with State and Federal Laws, these files contain: Criminal Record files; copies of CNA certificate; testing results (D.H.S.); testing results (Dept of Ed.); curriculum outlines. Retention period counted from non-renewal.</p>	Paper	9/23/1992	Years 5	Years 50	Destroy	Current
<p>Schedule #: 1027 37#:Cost Report - Rate Computations</p> <p>This unit sets rates at which providers are reimbursed: reports described are used for this purpose. Files include: nursing home cost reports; federally qualified health care centers cost reports and rate data; private non-medical institutions cost reports and rate data; transportation rate data.</p>	Paper	2/10/1993	Years 3	Years 3	Destroy	Current
<p>Schedule #: 1054 39#:Medicaid Policy & Programs APA Files</p> <p>These files contain all data submitted for consideration in revising Medicaid Policy. They also contain any comments made relating to Public Hearings. These records are the basis for proposals to rule changes. Keep in agency 1 year microfilm, verify and destroy.</p>	Roll Microfilm	7/15/1993	Years 10	No Retention 0	Destroy	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
These files contain all data submitted for consideration in revising Medicaid Policy. They also contain any comments made relating to Public Hearings. These records are the basis for proposals to rule changes. Keep in agency 1 year microfilm, verify and destroy.	Paper	7/15/1993	Years	1	No Retention	0 Destroy Current
Schedule #: 1061 40#:Provider Relations Unit- Regional Offices						
This is the information unit for providers of Medicaid. They answer questions dealing with billing, clarification of policy and basically how to work with the system. Files contain: copies of enrollment doc., records of phone inq., doc. around difficult claims, outside information on provider and related correspondence.	Paper	8/31/1993	Years	5	No Retention	0 Destroy Current
Schedule #: 1063 150#:Eye Care Client Files						
To provide eye care services to low-income clients who have specific medical eye conditions. Files include: application, medical reports and related correspondence. Hold in agency until case closed. Bureau change from 10-144 F effective 7/95 per Linda Poulin.	Paper	9/13/1993	Contingent Upon Event - See Description	0	Years	2 Destroy Current
Schedule #: 1128 41#:Nursing Home Inspection of Care						
Inspection of Care information pertaining to Intermediate Care Facilities and Skilled Care Facilities including BMS-85s, exit sheets, patient lists, and quarterly showings. This information was necessary in order to comply with Federal and State regulations. Effective in 1990, this information is no longer necessary. These will be no additions to this series. A BMS-85 is a client referral form. Hold files in Records Center and destroy after 1999.	Paper	10/27/1994	Years	0	Destroy When Updated	0 Destroy Current
Schedule #: 1137 42#:Medical Evaluation Forms, Intermediate Care Facilities for MR (BMS85s)						
Medical evaluation forms (BMS-85s) completed bi-annually on patients residing in Intermediate Care Facilities for the Mentally Retarded. These forms are necessary in order to comply with Federal and State requirements. These forms are for both State and private facilities. Forms are used to record each patient's diagnosis, medications, treatments, etc.	Paper	10/27/1994	Years	4	Years	16 Destroy Current
Schedule #: 1139 44#:Nursing Home Inspection of Care						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Inspection of Care information pertaining to Intermediate Care Facilities and Skilled Care Facilities including BMS-85s, exit sheets, patient lists, and quarterly showings. This information was necessary in order to comply with Federal and State regulations. Effective in 1990, this information is no longer necessary. There will be no additions to this series.	Paper	5/7/1999	Years	0	Years 10	Destroy Current
Schedule #: 1166 45#:Never On Program Files						
This agency classifies medical eligibility for Nursing Homes, Elderly Waivers (for home care), Private Duty Nursing, etc. Never on Program files are files which never materialize due to not meeting medical criteria, death, withdrawal, etc. Files include: Financial statement, medical assessment, and related correspondence.	Paper	6/20/1995	Years	1	No Retention	0 Destroy Current
Schedule #: 1166 46#:Pre-Admission Screening MI/MR						
For Mental Illness/Mental Retardation. This agency must screen all clients seeking admission to a Nursing Home. Files include: Pre-Admission Screening application, related correspondence.	Paper	6/20/1995	Years	3	No Retention	0 Destroy Current
Schedule #: 1283 154#:PNMI (Private Non-Medical Institution) Clients						
Mediacl evaluation forms (BMSLC/RC) completed annually on patients residing in Residential Care Facilities. These forms are necessary in order to comply with Federal and State requirements. This requirement was discontinued 7/1/96. Therefore, no further records will be incurred.	Paper	6/26/1998	Years	0	Years 5	Destroy Current
Schedule #: 1292 155#:Boarding Home Residents						
Housing and Urban Development sends to the state what charges are for specific patients in a nursing home. Keep in agency until microfilmed and verified.	Paper	11/18/1998	Variable - See Description	1	Years	0 Destroy Current
Housing and Urban Development sends to the state what charges are for specific patients in a nursing home.	Roll Microfilm	11/18/1998	Years	10	Years	0 Destroy Current
Housing and Urban Development sends to the state what charges are for specific patients in a nursing home. (Back up microfilm)	Roll Microfilm	11/18/1998	Years	0	Years	10 Destroy Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Schedule #: 1312 156#:Supervisors' Meeting Notes</p> <p>Minutes from monthly Supervisors Meetings. Personnel updates, Best Nursing practices, how to handle incident notifications, how legislation affects jobs, updates of public hearings affecting jobs. These supervisors may be supervisors of clerks, supervisors of health care workers, or any such supervisory meetings.</p>	Paper	2/25/1999	Years 5	Years 0	Destroy	Current
<p>Schedule #: 1312 157#:Monthly Completed Survey Schedules</p> <p>Each month a completed survey schedule is sent to the Health Care Finance Administration in Baltimore, MD. This document lists all surveys conducted by the Division in a month. Location of facility, bed capacity, dates and types of surveys.</p>	Hard Disk	2/25/1999	Years 2	Years 0	Destroy	Current
<p>Schedule #: 1312 158#:Consumer Surveys</p> <p>Questionnaires are sent randomly selected facilities after an annual survey by the Division of Licensing and Certification. These questionnaires inquire about the survey process, satisfaction with surveyor performance,etc. these surveys give hospitals, nursing care facilities, boarding homes and chance to give feedback to the Department on any problems these facilities may be having with Medical Services.</p>	Paper	2/25/1999	Years 3	Years 0	Destroy	Current
<p>Schedule #: 1312 159#:Clerical Log Sheet for Facility Activity</p> <p>Each program clerk in the Division maintains a log to track receipt of fees, applications and other forms required for each facility's operation. Also recorded are dates survey packets are received from District Offices and dates the surveys are data entered into the HCFA/OSCAR/ODIE system.</p>	Paper	2/25/1999	Years 2	Years 0	Destroy	Current
<p>Schedule #: 1312 160#:Hospital Licensing Review Board Meeting Notes</p> <p>Minutes of quarterly meetings of the Hospital Licensing Review Board. The information found in these minutes sets policy, regulation, etc. and cannot be found in any other place.</p>	Paper	2/25/1999	Years 4	Years 0	Archives	Current

144B:Office for Family Independence

Schedule #: 115 9:TANF/SNAP/MaineCare Case Files

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Case files established for the purpose of maintaining applications, supporting documentation, and related correspondence.	Digital File	3/15/2021 Years	3	No Retention	0 Destroy	Current
Schedule #: 183 11#:Quality Control Reviews						
Quality Control Reviews on TANF, SNAP, and MaineCare which contain federally required forms/data fields and back-up material are stored electronically. QC records must be retained for a minimum of three years following fiscal closure to meet SNAP federal record retention requirements. For states in liability status, record retention begins on the date their liabilities are resolved.	Digital File	3/15/2021 Years	3	No Retention	0 Destroy	Current
Schedule #: 237 13#:General Assistance Municipal Payroll						
General Assistance (GA) Municipal Payroll is a payroll that is used to reimburse the various municipalities for the General Assistance they have expended to eligible recipients in their municipality. The information for this payroll is obtained through use of the form SWGA-004. Records are scanned and retained electronically for three years. Social Security regulations require that paper files of GA recipients who apply for Social Security benefits be retained for two years.	Mixed	3/15/2021 Variable - See Description	0	No Retention	0 Destroy	Current
Schedule #: 237 14#:General Assistance Direct Vendor Payment						
These bills represent General Assistance payments to various vendors throughout the state for General Assistance payments authorized by the state in place of local GA agents in unorganized townships. Records are scanned and retained electronically for three years. Social Security regulations require that paper files of GA recipients who apply for Social Security benefits be retained for two years.	Mixed	3/15/2021 Variable - See Description	0	No Retention	0 Destroy	Current
Schedule #: 375 24#:SSI-Related Medical Review Team (MRT) Case Files						
Case records contain confidential medical evidence from medical providers describing clients' conditions and diagnoses which are used in disability determinations for the SSI-Related Medicaid Program. Positive MRT decisions are retained in the agency until client reaches age 65 or MaineCare closes. Denied or otherwise closed cases are retained for 3 years.	Digital File	3/15/2021 Variable - See Description	0	No Retention	0 Destroy	Current
Schedule #: 383 25#:Emergency Assistance (TANF) Program Case Records						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status	
Emergency Assistance (EA) application; notice of Eligibility decisions; vendor invoices and receipts, home insurance policy, utility bills, eviction notices, lease/rental agreements and other EA related documents and correspondence.	Digital File	3/15/2021	Years 3	No Retention 0	Destroy	Current	
Schedule #: 421 26#:ASPIRE Case Files							
Case files established for the purpose of maintaining documentation of a case narrative, program documents, and correspondence. Retain in agency while case is open and 3 years following case closure.	Digital File	3/15/2021	Years 3	No Retention 0	Destroy	Current	
Schedule #: 442 28#:DSER Case Files							
The records are kept in case of future court action. Records are used by anyone with a need to work with the case, including support staff, case agents, supervisors and regional managers, the Child Support Division of the Office of the Attorney General, and occasionally DSER upper management. Materials in the file may include birth certificates, support orders, notices, proof of service, correspondence, Income Withholding Orders, etc.	Digital File	9/29/2014	Years 20	No Retention 0	Destroy	Current	
Schedule #: 496 53#:Daily Issuance & Returns							
This includes reports on issuance of EBT cards and benefits and a log on returned EBT cards.	Digital File	3/15/2021	Years 3	No Retention 0	Destroy	Current	
Schedule #: 496 54#:Management Reports							
OFI Management Reports are used for internal monitoring and management of statewide eligibility work. This includes reports mined from the statewide task management system, Siebel.	Digital File	3/15/2021	Years 3	No Retention 0	Destroy	Current	
Schedule #: 496 56#:TANF and SNAP Overpayment Claims							
Documentation related to claims against clients for recoupment. Records must be kept until a full debt on the household, regardless of program type, is paid.	Digital File	3/15/2021	Variable - See Description	0	No Retention 0	Destroy	Current
Schedule #: 554 64#:Fraud Investigation Referral Cases							

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Contains TANF, SNAP and MaineCare records of recipient suspected of committing program fraud. These records may contain a fraud referral report, correspondence, instructions to fraud investigators, and related documents and are stored within OFI's electronic systems (ACES and FORTIS). Fraud cases referred to the Office of the Attorney General (OAG) for criminal proceeding are retained by the OAG.	Digital File	3/15/2021	Years 3	No Retention 0	Destroy	Current
Schedule #: 561 65#:OFI Director's Files						
Material relating to conferences, policy, personnel, TANF, SNAP, MaineCare eligibility, General Assistance, DSER, Fraud and related correspondence and documents.	Digital File	3/15/2021	Years 3	No Retention 0	Destroy	Current
Schedule #: 565 1#:Legislative Files						
Copies of legislative documents, correspondence, supportive information, and testimonies regarding legislative documents.	Digital File	3/15/2021	Years 4	No Retention 0	Destroy	Current
Schedule #: 565 3#:Office for Family Independence (OFI) Publicity Materials						
Departmental press releases, newsletters, speeches, news summaries and related correspondence. Mixed media includes digital and paper records.	Mixed	3/15/2021	Years 6	No Retention 0	Destroy	Current
Schedule #: 1124 68#:IEVS (Income and Eligibility Verification System)						
IEVS reports include data reports which come from a variety of sources. Reports and sources include: the BENDEX Income Discrepancy Report, Deceased Member Report and the Prisoner Verification Report from the Social Security Administration; the Unemployment Discrepancy Report and Quarterly Earnings Discrepancy Report from the Maine Department of Labor and the Buy-In Discrepancy Report from the Center for Medicare and Medicaid Services (CMS).	Digital File	3/15/2021	Years 3	No Retention 0	Destroy	Current

144G:Office of Aging & Disability Services

Schedule #: 1889 181:Legal Services-Grievance (OADS/Disability Services)

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status			
Grievance files and correspondence relating to various levels of Grievance. These include grievances by consumers against staff or other consumers OADS and denial of specific services or eligibility for services from OADS, up to and including director level appeal decisions.	Mixed	2/14/2022	Years	2	Years	21	Destroy	Current	
Mixed media includes paper and tape cassettes or similar materials.									
Schedule #: 1956	1#:OADS Policy and Compliance Publications and Manuals								
Reports, agency reviews, data, Quality of Life Surveys, and correspondence for Policy and Compliance in the Office of Aging & Disability Services.	Digital File	11/25/2019	Years	12	No Retention	0	Destroy	Current	
Schedule #: 1957	2#:Resource Files - Guardianship								
Contain policy material, meeting notes, conference agendas and notes, correspondence. The meeting notes refer to staff meetings within the Office of Aging & Disability Services to Discuss cases.	Paper	1/7/2015	Years	1	Years	9	Destroy	Current	
Schedule #: 1958	3#:Resource Materials								
Requests for information and brochures, interfiled with printed materials. Six months in agency, then destroy.	Paper	1/7/2015	Months	6	No Retention	0	Destroy	Current	
Schedule #: 1959	4A:Agency Correspondence Files								
Contain news releases, standards, publications, institutions, legislation, office service requests, Attorney General, outside agencies, and related correspondence and documents.	Mixed	1/7/2015	Years	5	No Retention	0	Destroy	Current	
Schedule #: 1959	4B:Administrative Correspondence and Funding Decisions								
General Administrative files containing memos, correspondence, records of grant applications, award decisions, and other relate documents used to conduct the day to day operation of the Office.	Mixed	1/7/2015	Years	5	No Retention	0	Destroy	Current	
Schedule #: 1960	5#:OADS Training Material								

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10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Includes registration forms, evaluations by instructor and registrants, instructional material summaries: (such as learning objectives and course outlines) correspondence, and other miscellaneous training forms. Material is for all courses taught by the Office.	Paper	5/27/2015	Years 5	No Retention 0	Destroy	Current
Schedule #: 1961 6A:Crisis Services Files - Crisis Charting and Inventory						
All files not listed in Schedule 1961, Series 6B. However, once client is deceased or case is closed, follow Schedule 1961, Series 6B.	Paper	7/27/2016	Years 5	No Retention 0	Destroy	Current
Schedule #: 1961 6B:Crisis Evaluations, Plans and Legal Documents						
Medical Documents: Medical Evaluations (Occupational Therapy, Physical Therapy, Psychological, Dental, Optometry, Hearing, etc.), Annual Physical, Blood Work, Labs, Appointment Visit Notes, ER Discharge, Insurance Cards. Plans: Crisis Plans, Support Plans, Behavior Plans, Crisis House Intake, Residential Movement Sheet, Referral Form, Crisis House Rules Contract. Legal: Guardianship Documents, Birth Certificate, Social Security Card, Restraining Orders, Protective Orders, Police Reports. Retention begins when the client is deceased or case is closed.	Paper	7/27/2016	Years 1	Years 20	Destroy	Current
Schedule #: 1962 7A:Resource Coordinator Files - Historical						
Includes Transportation Contracts, Client Waiver Status, Correspondence regarding rates, Approvals to provide counseling services, Summary of Services, Application for funds, Special Circumstance Allowance, Agreement to Purchase Services, Payment Audits, Waiver Checklists, Performance Indicator and Outcome Reporting Forms, and Open Payment Billing Form.	Paper	6/4/2015	Years 7	No Retention 0	Destroy	Current
Schedule #: 1962 7B:Resource Coordinator Files - Plan Classification/Reclassification						
Includes the most current Person Centered Plan Face Sheet and corresponding Summary of Authorized Service (SAS).	Paper	6/4/2015	Years 1	No Retention 0	Destroy	Current
Schedule #: 1962 7C:Resource Coordinator Files - Service Proposals						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Includes Service Proposals with any related documentation or correspondence along with the corresponding Summary of Authorized Services (SAS).	Paper	6/4/2015	Years	3	No Retention	0 Destroy Current
<hr/>						
Schedule #: 1963	8#:Supporting Individual Success Initiative and Supports Intensity Scale (SIS) Assessment					
Includes all Forms outlined in SIS Policy & Procedure Manual; Documentation submitted to the Supplemental Verification Team (SVT), as well as any associated correspondence and applicable notes from SVT meetings; and Documentation submitted to the Extraordinary Review Committee (ERC) regarding both Requests for Review Based on Major Life Changes and Requests for Review Based on Extraordinary Support Needs, as well as any associated correspondence and applicable notes from ERC meetings.	Paper	5/9/2017	Years	1	Years	21 Destroy Current
<p>The SIS is a nationally recognized, valid and reliable assessment tool developed by the American Association on Intellectual and Developmental Disabilities. The SIS focuses on a person's daily support needs and is strengths-based.</p>						
<hr/>						
Schedule #: 1964	9A:Case Files - Kept Until Case Closed or Deceased					
DNR (Do Not Resuscitate), DNH (Do Not Hospitalize), DNI (Do Not Intubate), Advance Directives; Bills of Sale, Mortgage, Rent & Lease Agreements; Auto, Home Owners, & Life Insurance Correspondence; Restraining, Protective and Court Orders; Divorce Settlements, Birth, Death and Marriage Certificates; POA (Power of Attorney), DPOA (Durable Power of Attorney), and Wills. Correspondence: Eligibility determination letters issued by the Office of Aging & Disability Services, Waiver award letter, intake related documents. Professional Assessments: All reports, evaluations, and record material, such as medical documents, psychological reports, occupational therapy reports, physical therapy reports, speech and language reports, behavioral consultations, developmental evaluations, psychosocial evaluations, audiologic examinations, oral needs assessments, and immunization records. Referrals: cases opened for study (investigation or guardianship/ conservatorship study), as well as associated correspondence and documentation. Retention begins when the client is deceased or case is closed.	Mixed	2/11/2019	Years	1	Years	20 Destroy Current
<p>Mixed media includes paper, digital records and physical media.</p> <p>Paper records are kept in the agency for one year and then sent to the Records Center. They will be kept until scanned and verified by Records Management then destroyed. Full Records Center retention time of 20 years will be applied to digital records stored in OnBase at the State Records Center.</p>						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Schedule #: 1964 9B:Case Files - Destroyed After 6 Years</p> <p>All documents not listed in Schedule 1964 Series 9A, 9D, 9E, 9F or 9G. This includes Releases of Information. Retention begins when the document was created or when it is no longer in effect, whichever is later. However, once client is deceased or case is closed, follow Schedule 1964, Series 9A.</p>	Mixed	5/17/2017	Years 6	No Retention 0	Destroy	Current
<p>Schedule #: 1964 9D:Case Files - Eligibility</p> <p>Eligibility determination letters issued by the Office of Aging & Disability Services and assessments related to eligibility determination. This includes letters issued for both ineligible and eligible applicants. Retention begins once eligibility determination has been made. If there are subsequent applications, retention will begin once the most recent redetermination has been made.</p>	Paper	12/28/2016	Years 2	Years 80	Destroy	Current
<p>Schedule #: 1964 9E:Case Files - Guardianship/Conservatorship/Representative Payee</p> <p>Referral, intake, application, face sheet, petitions to court, court studies, case summary, correspondence, and appointment of DHHS as guardian, permission for service, annual report, medical authorizations, and financial data. Retention begins at death or when guardianship, conservatorship, or rep payee status is terminated.</p>	Paper	5/17/2017	Years 1	Years 9	Destroy	Current
<p>Schedule #: 1964 9F:Case Files - Pineland</p> <p>All files generated by the formerly operational Pineland Center (formerly Maine School for the Feeble-Minded, Pownal State School, and Pineland Hospital and Training Center). Retention begins when the client is deceased or case is closed.</p>	Paper	6/4/2015	Years 1	Years 20	Destroy	Current
<p>Schedule #: 1964 9G:Case Files - Substantiated Adult Protective Services Investigations</p> <p>All adult protective services investigations that resulted in a substantiation of abuse, neglect, or exploitation. Retention begins when case is closed. If client is deceased prior to case closure or before in agency retention has been met follow retention 1964 9A.</p>	Paper	5/17/2017	Years 5	Years 76	Destroy	Current
<p>Schedule #: 1964 9H:Case Files - Unsubstantiated Adult Protective Services Investigations</p>						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
All adult protective services investigations that resulted in an unsubstantiation of abuse, neglect, or exploitation. Retention begins when case is closed. If client is deceased prior to case closure follow retention schedule 1964, series 9A.	Paper	8/29/2016	Years 5	No Retention	0 Destroy	Current
Schedule #: 1965 10#:OADS Director's Files						
Files of the Director of the Office of Aging & Disability Services- materials relating to the day-to-day operations of the Office, including records of its organization, functions, policies, procedures, decisions, essential transactions, consumer-related initiatives, and correspondence related thereto.	Mixed	6/4/2015	Years 2	Years 6	Archives	Current
Schedule #: 2025 11:Contracts						
Agreements, documents, Request for Proposals, rental subsidies and other materials relating to programs conducted by OADS associated agencies.	Paper	5/17/2017	Years 1	Years 7	Destroy	Current
Schedule #: 2026 12:Long Term Care Case Review and Appeals						
Case Review: Documentation for client record review, required by the Health Care Finance Administration. These are appeal cases that have been downgraded from another level of care. Appeals Records: Client records of appeals to Medical Eligibility denials to long term care in accordance with Public Law Chapter 170 of Maine Medical Assistance Manual. Files include: Copy of denial letter, appeal request, fair hearing report, recommended decisions, final decisions, and correspondence. These are appeals of OADS decisions concerning specific clients. Retention begins when case is closed.	Mixed	7/27/2016	Years 1	Years 7	Destroy	Current
Schedule #: 2026 13:Long Term Services and Support Community Programs						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Records generated by such assessments and evaluations to determine community programs that may be available to a consumer before a nursing care facility placement. Documents include: complaint logs, reportable event logs, death and mortality logs/reviews, site reviews of providers while in community, days awaiting placement documentation, hospice documentation, daily batch sheets (program/movement and payment from Goold assessments), transmittals, Adult family care Home documentation, Long Term Care Message forms (program/movement and payment - Nursing facility and Private Non-Medical Institution portals), Homeward Bound documentation (consumer files).	Paper	7/27/2016	Years 3	No Retention 0	Destroy	Current
Schedule #: 2027 14:Housing						
Boarding Homes and Foster Homes, contains license, applications, correspondence, State Fire Marshal's reports, exit interviews, licensure surveys, investigation findings, complains, incident reports and related documents. Retention begins when home is inactive.	Paper	7/27/2016	Years 2	Years 18	Destroy	Current
Schedule #: 2028 15:Community Living and Long Term Services and Supports Management Reports						
Reports relating to the following programs: Home Based Care, Area Agencies on Aging, Senior Community Service Employment Program, Senior Health Insurance Program, Senior Medicare Patrol, Medicare Improvements for Patients and Providers Act, National Aging Program Information System and Semi-Annual Reports. Retention is based on date of document.	Paper	7/27/2016	Years 5	No Retention 0	Destroy	Current
Schedule #: 2028 16:Community Living and Long Term Services and Supports Management Special Projects						
Projects funds by special, designated funds, such as: Alzheimer's, Home Equity Conversion, Area Health education Center, Legal Service Training Project, Savvy Caregiver, Money Follows the Person, Legal Services for the Elderly, and Maine Dementia Capable Services System. Retention is based on date of document.	Paper	7/27/2016	Years 5	No Retention 0	Destroy	Current
Schedule #: 2029 17:Area Agencies on Aging Reports						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Audit reports completed by a certified auditor of the contracted area agencies on aging to provide services to older adults. Audit reports are completed yearly for compliance with federal rules and policies. Other Reports: Quarterly and/or biannual reports as indicated by the State Plan.	Paper	7/27/2016	Years 5	No Retention	0 Destroy	Current
144F:Population Health						
Schedule #: 658 147#:Adolescent Health Care Services Grants						
Standard agreemtn between Maternal & Child Health and provider of health services, including objectives of program, budget, contracts/agreements/subcontracts, appropriation from which payment should be made, amount of contract, type of agreement.	Paper	12/17/1987	Years 10	No Retention	0 Destroy	Current
Schedule #: 658 148#:Adolescent Health Care Grantee Site Reports						
Notes summarizing information obtained during agency staff visits to grantees. Information typically includes clients targeted; geographic area served; number of clients served; staff in-service training provided; client records maintained.	Paper	12/17/1987	Years 10	No Retention	0 Destroy	Current
Schedule #: 658 149#:Adolescent Health Care Policy File						
Grant Policy Manual, Div. of Maternal and Child Health; form letter used to provide information to inquiring institutions concerning grant requirements; legislative documents affecting agency programs; various nonrecord materials, such as newspaper articles.	Paper	12/17/1987	Years 2	No Retention	0 Destroy	Current
144S:Programs, Office of						
Schedule #: 172 10#:Municipal Expenditure Statements						
SWGA 004, Itemized Expenditure Forms, SWGA 015, Statistical Reports SWGA 099	Paper	7/3/1986	Years 2	No Retention	0 Destroy	Current

148#:Child and Family Services

Schedule #: 212 12#:Adoptive Home Records

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Adoptive Home Records are confidential records (by Law of State) of a couple and the child to be adopted. These folders are kept in the District Office only until the adoption has been completed. It is then sent to OCFS Records Management Center to be recorded. The folders may consist of the following information: Application to Adopt a Child; Verification of Birth Data; Notice of Reclassification; Confidential Records; Adoptive Home Study; Child's record; Vital Statistics Records; Health and Medical Record; Adoptive Home Placement Agreement; Newborn Record; Completion of Adoption. Records were retained in agency until closed.</p> <p>The State Records Center transferred 701 boxes to the DHHS storage facility at 64 Royal St., Winthrop, Maine. The records will live out their 100-year retention at this facility, retention begins from date of completion of adoption. Any new adoption records created at the agency will be recorded and managed under schedule 430 series 27C Adoption Cases.</p>	Paper	8/30/2021	Contingent Upon Event - See Description	No Retention 0	Destroy	Current
<hr/> <p>Schedule #: 430 27C:Adoption Case Files</p>						
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence for adoption cases. Keep in agency three years after adoption is final.	Microfiche	5/15/1992	Years 3	Years 100	Destroy	Current
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence for adoption cases. Keep in agency until 3 years after adoption is final.	Paper	5/15/1992	Years 3	Years 100	Destroy	Current
<hr/> <p>Schedule #: 430 35:Child Welfare Non-Adoption Case Files</p>						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Records are considered closed, and retention begins upon most recent case closure/activity. Client records created and document agency involvement and services provided for individuals and families involved with Child Welfare Services in the following programs: Child Protection Investigation, Prevention Services, Foster Care (Children in DHHS custody), Permanency Guardianship, and Youth Transition Services. Records contain intake referrals; client contact documentation; child/family plans; correspondence; medical, mental health, substance use disorder, and educational information; criminal information; court orders; and other program documents.</p> <p>This series is for those records being transferred after February 2023. Records received and stored at the State Records Center prior to this date will be managed by obsolete Schedule 430, Series 27A&B. (No new records will be received under 27A&B.)</p>	Paper	2/7/2023	Years 2	Years 73	Destroy	Current
<hr/> <p>Schedule #: 601 13A:Child Care Licensing - Licensing Unit - A. Regular Cases</p>						
<p>Day Care Homes, Day Care Center, Nursery Schools, Childrens Foster Homes, Shelter for Homeless Youth, Emergency Shelter, and Children’s Residential Child placing agencies, contains license approval letter, application medical form, five reports, references, evaluations visits certificate of Standards, Insurance Certificate, educational qualifications, floor plans, correspondence and related documents. Retain in agency until inactive.</p>	Paper	4/17/1997	Contingent Upon Event - See Description	0 Years	8 Destroy	Current
<hr/> <p>Schedule #: 601 13B:Child Care Licensing - Licensing Unit - B. Denials, Revocation</p>						
<p>Day Care Homes, Day Care Center, Nursery Schools, Childrens Foster Homes, Child placing agencies, contains license approval letter, application medical form, five reports, references, evaluations visits certificate of Standards, Insurance Certificate, educational qualifications, floor plans, correspondence and related documents. Keep in agency 10 years after license denied/revoked.</p>	Paper	4/17/1997	Years 10	Years 10	Destroy	Current
<hr/> <p>Schedule #: 601 14#:Day Care Registrations - Licensing Unit</p>						
<p>Includes Residential facilities and Home baby setting services: Includes applications, approvals, licenses, medical forms, references, evaluations, correspondence and related documents. Retain in agency 5 years after inactive, unless license revoked--then retain 30 years after revoked.</p>	Paper	3/19/1987	Variable - See Description	0 No Retention	0 Destroy	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Includes Residential facilities and Home baby setting services: Includes applications, approvals, licenses, medical forms, references, evaluations, correspondence and related documents. Retain in agency until updated.	Computer Printout	3/19/1987	Destroy When Updated	0	No Retention	0 Destroy Current
Schedule #: 601 22#:Interstate Compact Files - Bureau of Social Services						
Contains information on abused and neglected children: case studies, home studies, progress reports, custody order, ICPC forms, correspondence and related documents. Retain in agency until microfiched.	Paper	5/8/1987	Destroy After Conversion to Another Medium	0	No Retention	0 Destroy Current
Contains information on abused and neglected children: case studies, home studies, progress reports, custody order, ICPC forms, correspondence and related documents. Retain in agency until age of majority for youngest family member.	Microfiche	5/8/1987	Contingent Upon Event - See Description	0	No Retention	0 Destroy Current
Schedule #: 601 27#:CFS Institutional Child Abuse files - Child Family Services						
Child protective report, intake sheet, medical reports, police reports, correspondence, and related documents.	Paper	5/8/1987	Years	10	No Retention	0 Destroy Current
Schedule #: 601 28#:Residential Group Services Files						
Social summaries, prepared evaluation team, psych. evaluations, correspondence and related documents. Deals with emotionally or behaviorally disturbed children. Retain in agency until 25 years of age.	Paper	5/8/1987	Contingent Upon Event - See Description	0	No Retention	0 Destroy Current
Schedule #: 601 31#:Directors File - Bureau of Social Services						
Contains letters, memos, reports and other documents relating to Bureau programs.	Paper	5/8/1987	Years	5	No Retention	0 Archives Current
Schedule #: 1436 31:Adoption Assistance Payment Cases						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
The Bureau monitors monies sent to children from the Federal Adoption Assistance Program, which disperses for board and care for children in special needs adoptive placement. Keep in agency until closed.	Paper	4/24/2002	Years 0	Years 0	Destroy	Current
Schedule #: 1436 32:Social Security Payment Cases						
This Bureau monitors monies sent to children from the Social Security Administration which DHS disburses for board and care for children in the Department's custody. Keep in agency until case closed, then destroy.	Paper	4/24/2002	Retain Until Inactive 2	Years 0	Destroy	Current
Schedule #: 1644 33#:Certified Residential Medication Aide & Personal Support Specialist Training						
These records support the Certified Residential Medication Aide & Personal Support Specialist training records. These records are used by the Assistant Director, Health Services Consultant and clerical staff to retrieve information on students, instructors and providers. These records will be used as part of a future database registry to be scheduled at a later date (when completed) to track students work history and prior certification. These files hold personal student, provider and instructor information as listed: Notification form, Validation form, Student Information form, Final Grade form, Checklist form, CRMA Trainer form, copy of State Board of Nursing License form, Course Evaluation, student's previous certificates. This is a training for students to be able to service medications in assisted living homes. PSS is trained to do bedside care of residents.	Hard Disk	2/13/2006	Years 1	Years 7	Destroy	Current
These records support the Certified Residential Medication Aide & Personal Support Specialist training records. These records are used by the Assistant Director, Health Services Consultant and clerical staff to retrieve information on students, instructors and providers. These records will be used as part of a future database registry to be scheduled at a later date (when completed) to track students work history and prior certification. These files hold personal student, provider and instructor information as listed: Notification form, Validation form, Student Information form, Final Grade form, Checklist form, CRMA Trainer form, copy of State Board of Nursing License form, Course Evaluation, student's previous certificates. This is a training for students to be able to service medications in assisted living homes. PSS is trained to do bedside care of residents.	Paper	2/13/2006	Years 1	Years 7	Destroy	Current
Schedule #: 1879 34#:Substantiation Files						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Child Welfare pertinent to District Operations. Records are used by Child Welfare to review findings as appropriate. File consists of original request for review letter/materials submitted by appellant, attorney letters/material. Administrative Hearings material and reviewer's findings. These records are appeals only. In agency until review is complete.	Record Copy	1/4/2012	Contingent Upon Event - See Description	0	Years 5	Destroy Current
203#:Dental Health						
Schedule #: 508 68#:General Office Files - Office of Dental Health						
Contains general correspondence to and from this office, requests for information, applications to Maternal & Child Health for grants, expense accounts, purchase orders, dental health materials for preschool, school, and school age children, miscellaneous other materials related to daily operations.	Paper	10/15/1986	Years	3	No Retention	0 Destroy Current
Schedule #: 508 70#:Well Child Clinic Dental Program						
Card file: abstracted information from Public Health Nursing files.	Paper	10/15/1986	Years	5	No Retention	0 Destroy Current
282#:Dental Health Council						
Schedule #: 827 1#:Minutes (Maine Dental Health Council)						
Meeting announcements; attendance; discussions; decisions; recommendations. The Council advises and consults on matters related to dental health. And it promotes and assists activities designed to meet the problems of dental health.	Paper	4/25/1990	Years	3	No Retention	0 Archives Current
Schedule #: 827 2#:Correspondence (Maine Dental Health Council)						
Correspondence from the Council regarding: new employees; agenda; information regarding meetings; answers to iniquities; letters of awards.	Paper	4/25/1990	Years	1	No Retention	0 Destroy Current
9999#:Division of Community Services						
Schedule #: 1348 1#:Federal Grants for Social Services						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
These are Federal grants to provide services to vulnerable population groups such as child care, family violence, etc. Files include: applicable laws, grants, and any related correspondence.	Paper	7/13/2000	Years 2	Years 2	Destroy	Current
195#:Dorothea Dix Psychiatric Center						
Schedule #: 46 15#:Patient Fund Report						
Shows all incoming and outgoing cash for each resident. Retention period begins at discharge or decease of resident.	Paper	12/28/2020	Years 6	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	6/30/1975	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	6/30/1975	Years 8	No Retention	0 Destroy	Current
Schedule #: 125 22#:Bank Statements						
Cancelled checks, duplicate bank receipts and reconciliation sheets.	Paper	6/30/1975	Years 8	No Retention	0 Destroy	Current
Schedule #: 125 23#:Check Stubs						
Shows incoming and outgoing cash.	Paper	6/30/1975	Years 8	No Retention	0 Destroy	Current
Schedule #: 258 32#:Terminated Outpatient Case Files						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Records include: Superior Court/District Court Title 15 files; Non-court, with Evidence of Legal Action and; Non-court files.</p> <p>Records are considered closed once a patient is discharged or deceased. Records will be kept at the facility for 10 years after records are closed (discharged/deceased).</p> <p>Mixed media includes paper and digital records.</p>	Mixed	12/17/2020	Years 10	No Retention 0	Destroy	Current
<hr/> <p>Schedule #: 258 34#:Emergency Treatment of Non-Patient</p> <p>Documents treatment given and recommendations made.</p>						
	Mixed	12/17/2020	Years 10	No Retention 0	Destroy	Current
<hr/> <p>Schedule #: 258 37#:Terminated Inpatient Medical Records</p> <p>Discharge, admission data sheet, psychiatric and medical discharge summary, history, immunization sheet. This series applies to all Inpatient Medical Records generated by this facility.</p> <p>Records are considered closed once a patient is discharged or deceased. Records will be kept at the facility for 10 years after records are closed (discharged/deceased).</p> <p>Mixed media includes paper and digital records.</p>						
	Mixed	12/17/2020	Years 10	No Retention 0	Destroy	Current
<hr/> <p>Schedule #: 652 48#:Structural and Utility Construction Blue Prints</p> <p>Architectual drawings of each building and the utilities. Retain for life of building.</p>						
	Paper	11/23/1987	Contingent Upon Event - See Description	0	No Retention 0	Destroy
<hr/> <p>Schedule #: 1363 51:Superintendent's Correspondence and Historical Records of the Bangor Mental Health Institute</p>						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
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	11/2/2000	Years 5	Years 0	Archives	Current
Schedule #: 2203 52:Master Index Cards						
Dorothea Dix maintains master index cards for all patients which may include the following information: name, date of birth, town patient was from, date admitted, date discharged.	Paper	12/17/2020	Permanent or Indefinite	0	No Retention	0 See Description Current
These records will be retained permanently in the agency.						
149#:Elder and Adult Services						
Schedule #: 1241 25:DHS AMHI Consent Decree Evidence Files						
Agency retained an evidence file because Superior Court Civil Action requires it. The records are used when the court master asked the Department to prove any action related to the settlement agreement between the plaintiffs and the defendants. Documents found in the files are AMHI investigations and the results of the investigations. Files include: the interrogatories of the original lawsuit; the General Consent Decree's document; the Settlement agreement; the the fiscal supplements and the implementation plan and report; the assessment of all AMHI wards and the ISP Committee notes; general facts and information related to BMHI and Judge Mitchell reports. These documents are required to be kept until the final order to release the State of ME from the Settlement Agreement and the end of the Consent Decree.	Paper	2/11/1997	Years 1	Years 20	Archives	Current
339#:Environmental Health Advisory Committee						
Schedule #: 828 1#:Minutes (Environmental Health Advisory Committee)						
The EHAC assists and consults with DHS on public health implications of hazardous elements in the environment and make recommendations for a more healthful environment. Disk file - retain until updated.	Digital File	5/2/1990	Destroy When Updated	0	No Retention	0 Destroy Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
The EHAC assists and consults with DHS on public health implications of hazardous elements in the environment and make recommendations for a more healthful environment.	Paper	5/2/1990	Years	10	No Retention	Archives Current
193#:Office of Behavioral Health						
Schedule #: 420 26#:Licensing (Mental Health Centers)						
Correspondence to; correspondence from; site reports; licensing applications; notes.	Paper	1/8/1986	Years	6	No Retention	Destroy Current
Schedule #: 420 27#:Contract/Correspondence						
Contracts, bills, correspondence to; correspondence from; budget worksheets.	Paper	1/8/1986	Years	6	No Retention	Destroy Current
Schedule #: 420 28#:Correspondence Files - Director, Bureau of Mental Health						
Correspondence to; correspondence from.	Paper	1/8/1986	Years	5	No Retention	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	5/8/1991	Years	0	No Retention	Archives Current
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	10/22/1986	Years	10	Years	10 Destroy Current
Schedule #: 723 50#:Contracts (FAS)						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Files contain: Contract, Correspondence, Articles concerning Fetal Alcohol Syndrome programs.	Paper	2/8/1989	Years 7	No Retention 0	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	11/17/1992	Retention of Less than 1 Year - See Description	0	Years 5	Destroy Current
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	11/17/1992	Variable - See Description	0	No Retention 0	Destroy Current
Schedule #: 785 72#:Special Projects Director Requests for Proposals						
Ad notices, Bidder's Conference Minutes, rating sheets, and related correspondence.	Paper	8/4/1989	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	8/4/1989	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	8/4/1989	Years 5	No Retention 0	Destroy	Current

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10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Schedule #: 1179 75#:AMHI Consent Decree Class Member File</p> <p>Records are considered closed as of December 3, 2024 when the Augusta Mental Health Institute (AMHI) consent decree was resolved.</p> <p>A class action lawsuit in 1990 brought on behalf of residents of the former Augusta Mental Health Institute (AMHI) resulted in a federal Consent Decree. The legally binding agreement required the State to rectify problems at AMHI and over time establish and maintain a community mental health system responsive to the needs and rights of individual consumers. The Consent Decree ended on December 3, 2024. This collection contains records pertaining to the history of institutional care in Maine.</p>	Paper	10/9/2025	0	0	Archives	Current

193X:Office of Behavioral Health - State Forensic Service

<p>Schedule #: 515 31#:Superior Court/District Court Title 15 Defendant Records</p> <p>Records are considered closed when all active court ordered evaluations have been completed, submitted to the court, and invoiced to the Administrative Office of the Courts.</p> <p>Title 15 Court order, legal records, case correspondence to/from the Courts, Commissioner, examiners, Attorney General, District Attorneys, defendant attorneys; medical records requests and medical records, interpreter request forms, archive request forms, psychological reports, investigative materials.</p>	Mixed	8/20/2025	Years	1	Years	14	Destroy	Current
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<p>Schedule #: 515 54:Murder, Class M Charges, Title 15 Defendant and Case Records</p> <p>Records are considered closed when all active court ordered evaluations have been completed, submitted to the court, and invoiced to the Administrative Office of the Courts.</p> <p>Title 15 Court order, legal records, case correspondence to/from the Courts, Commissioner, examiners, Attorney General, District Attorneys, defendant attorneys; medical records requests and medical records, interpreter request forms, archive request forms, psychological reports, investigative materials. Records in this series are to be kept longer than series 31# Superior Court/District Court Title 15 Defendant Records due to the nature of the crime. The difference lies in the extended timeframe it takes the court to complete the trial and appeals process.</p>	Mixed	6/17/2025	Years	3	Years	22	Destroy	Current
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<p>Schedule #: 747 51#:Contracts and Applications</p>								
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Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Records are considered closed when the Vendor contract expires. A contract expires when the contractually determined duration of the contract ends.	Mixed	8/20/2025	Variable - See Description	0	0	Destroy Current
<p>Contracts with the Dept. of Administrative and Financial Services (DAFS) that have been encumbered will be kept in the form of electronic records for proof of current employment and billing eligibility. Contracts will be kept for the current contract cycle plus immediate prior cycle. Original contracts are kept by DAFS.</p> <p>Applications to provide court ordered mental health evaluations include the application itself, current license to practice, proof of liability insurance, Curriculum Vitae, citizenship identification forms for proof of eligibility to work in Maine, and work samples in the form of deidentified evaluation reports. Applications will remain on site in the form of paper and electronic records until Vendor contract expires plus one year.</p>						
193SU:Office of Behavioral Health - Substance Use						
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	8/9/1989	Months	1	Years	7 Destroy Current
Schedule #: 277	17#:Grants					
Grant applications, award letters, quarterly financial and progress reports, requests and inquiries.	Paper	8/4/2000	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	12/1/1992	Years	3	Years	7 Destroy Current
Schedule #: 712	19#:Position and White papers for Office of Substance Abuse					

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Agency positions on issues relating to misuse/abuse of alcohol and drugs, and planning for treatment and preventions services.	Paper	12/1/1992	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	12/1/1992	Years 3	Years 3	Destroy	Current
Schedule #: 712 22#:Prevention Conference Planning Committee Materials - OADAP						
Minutes/materials developed by committee planning annual substance abuse conference.	Paper	12/1/1992	Years 3	No Retention 0	Destroy	Current
Schedule #: 712 23#:Correspondence of Office of Substance Abuse						
Correspondence on Alcohol and Drug Prevention.	Paper	12/1/1992	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	12/1/1992	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	12/1/1992	Years 2	Years 8	Destroy	Current
Schedule #: 1167 50#:Methadone Records						

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10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
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	7/3/1995	Contingent Upon Event - See Description	0	Years 3	Archives Current
<hr/>						
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	4/3/2003	Years	5	No Retention	0 Destroy Current
<hr/>						
147#:Public Health Nursing						
Schedule #: 13 1#:Immunization Permission Slips						
File consists of immunization permission forms signed by parent or guardian of children granting right to inoculate child against various diseases. Forms also contain certain health history for child. Forms contained in file are: PHN 43, HDC 3,6,10,11,12, and 14.	Paper	4/17/2002	Years	3	Years	20 Destroy Current
<hr/>						
Schedule #: 512 72#:Memos, Staff Meetings - Public Health Nursing						
Memos to Nursing Supervisors and staff; notices to staff of meetings and minutes.	Paper	4/17/2002	Years	5	No Retention	0 Destroy Current
<hr/>						
Schedule #: 512 74#:Director's File - Public Health Nursing						
Correspondence to and from other units of Bureau or Department; Bureau of Health Plan objectives to promote health; related material and correspondence. Updated every 6 months.	Paper	7/14/1986	Destroy When Updated	0	No Retention	0 Destroy Current

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Schedule #: 512 75#:Historical File - Public Health Nursing Documents relating to early activities of the Division.	Paper	7/14/1986 Years	20	No Retention	0 Archives	Current
Schedule #: 512 79#:SIDS File Medical examiner's reports, autopsy reports, correspondence (bereavement issues).	Paper	7/14/1986 Years	5	No Retention	0 Destroy	Current
Schedule #: 512 80#:SIDS General File Contains general material relating to SIDS, such as workshops, brochures, other States, etc.; correspondence, evaluation sheets, assessments, training notes, statistics.	Paper	4/17/2002 Years	5	No Retention	0 Destroy	Current
Schedule #: 512 81#:Well Child Clinic Program Includes lead screening material, fluoride, work agreements. Workshops, etc., plus related correspondence.	Paper	7/14/1986 Years	2	No Retention	0 Destroy	Current
Schedule #: 512 82#:General Resource File - Well Child Program Copies of bills processed for physicians and laboratory technicians who work in well-child clinics, working agreements with agencies and physicians, workshop material. Retain 1 to 5 years depending on content.	Paper	7/14/1986 Years	5	No Retention	0 Destroy	Current
Schedule #: 512 83#:Childhood Mortality Prevention Program Research material; interviews with parents of deceased children and parents of children not deceased as a control and supporting documents and related correspondence. Retention period begins upon project completion.	Paper	7/14/1986 Years	4	No Retention	0 Destroy	Current
Schedule #: 1019 84#:Childhood Lead Poisoning Program						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
This program screens, provides medical nursing and environmental services for children under 6 years, who are at risk for/or have elevated blood lead levels. Files contain: violation notices; evaluation reports, violation follow-up and miscellaneous correspondence.	Paper	1/25/1993	Years 2	Years 18	Destroy	Current
<hr/>						
Schedule #: 1734 85#: Accepted Referral for Public Health Nursing (PHN) Services						
When a referral for services for Public Health Nursing (PHN) is made, information about the referral is documented on a referral for PHN Services form. This form becomes part of the client record. These documents are used by the Public Health Nurses to provide services to the client. The record supports what services are needed for the client of the PHN program and is the beginning of the client's medical record. This series includes Referral for PHN Services Forms.	Paper	5/19/2009	Years 1	Years 24	Destroy	Current
<hr/>						
Schedule #: 1734 86#: Non – Acceptance of Referral for Public Health Nursing (PHN) Services						
When a referral for services for Public Health Nursing (PHN) is made, information about the referral is documented on a referral for PHN Services form. When a client does not accept services from PHN the record has transitory value. The record supports what services are needed for the client. This record indicates the client did not accept services. This series includes the Referral for PHN Services form. The PHN intake staff uses this document non acceptance of services. Retain for 2 months.	Paper	5/19/2009	Retain Until Inactive 0	0	Destroy	Current
<hr/>						
Schedule #: 1735 87#:Immunization Clinic Records - Child						
Individuals who receive vaccines at immunization clinics must have a parent sign a consent for services and have a health screen done. Records are kept on individuals that receive vaccine at immunization clinics, such as influenza vaccine. The Public Health Nurses use the form to keep track of who received the vaccine, the lot number of the vaccine and the number receiving the vaccine. The Centers for Disease Control and Prevention, the National Immunization Program and the Maine Immunization program require this information be obtained. This series includes an Health Screen Record, Consent Form, Refusal to Remain at Clinic Form and Clinic Roster.	Paper	5/19/2009	Years 3	Years 22	Destroy	Current
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Schedule #: 1735 88#:Immunization Clinic Records - Adult						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Individuals who receive vaccine at immunization clinics must sign a consent for services and have a health screen performed. Records are kept on individuals that receive vaccine at immunization clinics, such as influenza vaccine. The Public Health nurses use the forms to keep track of who received the vaccine, the lot number of the vaccine and the number receiving the vaccine. The Centers for Disease Control and Prevention (CDC), National Immunization Program and the Maine Immunization Program require the previous information be obtained. This service includes the Health Screen Record, the Consent, the Refusal to Remain at the Clinic form and Clinic Roster.</p>	Paper	5/19/2009	Years 3	Years 4	Destroy	Current
<hr/> <p>Schedule #: 1736 89#: Focused Record Reviews</p>						
<p>Clinical Records are reviewed periodically to evaluate compliance with program procedures and the quality of Care given to clients. The community Health Accreditation Process requires that Public Health Nursing (PHN) perform audits on clinical records to determine if charts are complete and that the standard of care is being provided to clients. Once audits are completed reports are reviewed by the management team to determine if programmatic changes are needed to improve services. The PHN management team uses the records to make decision to improve PHN services to clients. The Safety and Risk Management Committee uses the forms to make decisions when needed to reduce incidence of cross contamination and lessen the risk of infection to staff and clients. Documents include Focused Review Report.</p>	Paper	5/19/2009	Years 5	0	Destroy	Current
<hr/> <p>Schedule #: 1737 90#: Public Health Nursing (PHN) Event Documentation and Reporting Forms</p>						
<p>The PHN Consultant uses these documents to support the Safety and Risk Management program to reduce injuries and losses. These records are used to record events that occur within Public Health Nursing (PHN) and are not client related or do not result in an injury to an employee. An example would be the refrigerator that stores vaccine is found to be either too hot or too cold to safely store vaccine. The event would be documented on this form. The Safety and Risk Management consultant and the Safety Committee review these events to identify trends in order to prevent these events from occurring again. Documents in the series are Event Documentation and Reporting Form.</p>	Paper	5/19/2009	Years 5	0	Destroy	Current
<hr/> <p>Schedule #: 1738 91#: Public Health Nursing (PHN) Complaint Form and Log</p>						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>The Director of Public Health Nursing uses the forms to support the Quality Improvement Committee goals of providing the highest standards of care. When a client complaint is received in Public Health Nursing it is recorded on this form. Complaints are investigated and appropriate action is taken. A copy is faxed to the Department of Health and Human Services Personnel Department. The Director of Public Health Nursing reviews any complaints that are received and follows up on them. The data is also used to see if there are trends and if there is a systems failure that needs to be addressed and amended. Documents in this file are Complaint and / or Client Concerns Log, Complaint and / or Concern Intake Form; PHN Staff Nurse Response to Complaint and / or Concern Form.</p>	Paper	5/19/2009	Years 4	0	Destroy	Current
<hr/> <p>Schedule #: 1739 92#: Infection Control Reports</p>						
<p>Records are maintained on all infectious diseases for staff and clients. All supervisors keep track of any clients / staff that are infectious and report these to Public Health Nursing (PHN) Central Office on the PHN Infection Report. The results are analyzed and reviewed by the Safety and Risk Management Public Health Consultant and Committee to determine if any cross contamination has occurred between staff and clients or staff and staff. Documents include PHN Infection Report.</p>	Paper	5/19/2009	Years 5	0	Destroy	Current
<hr/> <p>Schedule #: 1740 93#:Refrigerator/Freezer Temperature logs</p>						
<p>Public Health Nursing (PHN) does immunization Clinics. The records are used to record the temperature of the refrigerator / cooler when vaccine is stored in it. The Immunization program and Centers for Disease Control and Prevention (CDC) require that a record be kept of temperature of the refrigerator. The temperature must be recorded twice a day. A log is used to record the temperatures. Records are also kept during transport from one location to another as well as during immunization clinics. Vaccines are temperature sensitive. The Director of PHN uses the records to support documentation that the integrity of the vaccine has not been compromised.</p> <p>The series includes the Record of Transport of Vaccine Sheet, Refrigerator Temperature Log, Freezer Temperature Log.</p>	Paper	5/19/2009	Years 3	0	Destroy	Current
<hr/> <p>Schedule #: 1741 94#: Clinical affiliation agreement / Memorandum of Understanding (MOU)</p>						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Students from various universities participate in clinical experiences in Public Health Nursing (PHN) as part of their educational process. Public Health Nursing provides opportunities for student nurses to gain valuable experience in Public Health to learn, to advocate, case manage, assess needs and provide services to clients. Clinical agreements / MOU define the duties and responsibilities of each institution. These records document PHN's practice to support the education of future nurses. Clinical agreements are used by the Director of Public Health Nursing to provide oversight to ensure that the rules of the Maine State Board of Nursing are maintained. The documents are also kept to maintain a record of each party's responsibilities since agreements are not signed yearly. This series will include Clinical Affiliation agreements and Memorandum of Understanding agreements.</p>	Paper	5/19/2009	Years 3	0	Destroy	Current
<hr/>						
<p>Schedule #: 1742 95#: Medication Disposal Record</p> <p>Medications are given to Public Health Nursing (PHN) Clients. At times there is left over medication that needs to be disposed of. Riverview Psychiatric Hospital Pharmacy disposes of our left over medications. Records are kept to show that the meds are being disposed of properly. Medication disposal records keep track of the name of the medication the amount of medication and the date of the disposal. The Director of PHN uses these records to show proof that medications are being disposed of properly. A typical file contains medication disposal records.</p>	Paper	5/19/2009	Years 2	0	Destroy	Current
<hr/>						
<p>Schedule #: 1742 96#: Biomedical Waste Disposal</p> <p>Public Health Nurses (PHN) generate biomedical waste, such as dirty syringes and needles, in performance of some of their duties. The Department of Environmental Protection (DEP) outlines the procedures for disposal of biomedical waste. These records include the type of biomedical waste, the amount of waste, the date of disposal and the location of disposal. The Director of Public Health Nurses uses these records to show proof of PHN's practice for the proper disposal of biomedical waste. This record series includes Waste Disposal Logs and Biomedical Waste Receipt Forms.</p>	Paper	5/19/2009	Years 3	0	Destroy	Current
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<p>Schedule #: 1743 97#: Vaccine, Antigen and Medication Inventory logs and worksheets</p>						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Public Health Nursing (PHN) conducts immunization clinics throughout the year in collaboration with the Maine Immunization Program and Athem Blue Cross and Blue Shield Vaccines are used for the clinics.</p> <p>To keep track of inventory of vaccine, purified protein derivative antigen and some medication. The Public Health Immunization Nurse Consultant uses these records to support PHN practice and help to ensure that all vaccine is accounted for vaccine etc. that arrived in Public Health Nursing offices. It also shows how many were used, where they were distributed and how many remain on hand.</p> <p>The Public Health Immunization Nurse Consultant these records support PHN practice and help to ensure that all vaccine is accounted for. This series contains the PHN Vaccine Worksheet.</p>	Paper	5/19/2009	Years 3	0	Destroy	Current

<p>Schedule #: 1744 98#: Sharps Injury Log</p> <p>The Occupational Safety and Health Administration (OSHA) requires that programs maintain a list of injuries that occur due to needle – sticks and other sharp objects. These documents are kept to have a record of needle stick injuries that have occurred in Public Health Nursing (PHN). The Safety and Risk Management Consultant and Safety Committee analyze the data to look for trends in order to decrease this type of injury. Type of Records in the series are the SHARPS Injury Log. The PHN consultant uses these records to support the Safety and Risk Management Program Mission to reduce injuries and losses</p>	Paper	5/19/2009	Years 5	0	Destroy	Current
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<p>Schedule #: 1745 99#: Health Insurance Portability and Accountability Act (HIPAA) Audits & Results</p> <p>The Health Insurance Portability and Accountability Act (HIPAA) Requires programs to conduct audits to look for compliance issues and vulnerabilities in the Public Health Nursing program.</p> <p>Worksheets are created to facilitate the audits as well as record the results of the findings. The information is used to strengthen Public Health Nursing's (PHN) compliance with HIPAA. The management teams of PHN review and analyze the data and make recommendations for change in order to strengthen PHN practice concerning confidentiality practices. Documents in the file include: Individual Work Practice Audit Worksheet; Results of HIPAA Audit; HIPAA Office Audit Worksheet.</p> <p>The PHN Management team uses the documents to support the Quality Improvement Committee to maintain Confidentiality of Client Information.</p>	Paper	5/19/2009	Years 6	0	Destroy	Current
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Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Schedule #: 1746 100#: Public Health Nursing Client Incident Reports</p> <p>If a nurse enters a client's home without permission, the incident is recorded and given to the supervisor. The incident is reviewed to determine if and how the incident could have been avoided in order to prevent similar incidents from reoccurring to other clients. The Safety and Risk Management consultant and the Safety and Risk Committee review and analyze the data to identify trends in order to reduce these types of incidents from happening to PHN clients. Types of documents are the Public Health Nursing Client Incident Reporting Form. The PHN Consultant uses these records to support the Safety and Risk Management Program to prevent injuries to clients and reduce losses.</p>	Paper	5/19/2009	Years 5	0	Destroy	Current
<p>Schedule #: 1747 101#: Roster of trainings for outside agencies; results of training</p> <p>Public Health Nursing (PHN) conducts trainings for individuals on various health related topics. Records are kept of who attends the trainings and results of training if applicable. These records show who attended which training and allows PHN to track number of trainings done, the locations and type of trainings done. At times participants request verification that they attended training and the records support that. The PHN Consultant uses the records to verify attendance at training if requested. This series includes Sign In Sheets and Roster.</p>	Paper	5/19/2009	Years 5	0	Destroy	Current
<p>Schedule #: 1747 102#: Evaluation of training</p> <p>After training is completed the participant completes an evaluation of the program. The Public Health Nurse Consultant uses the information to make improvements to program content. The participants evaluate the content of the program as to whether it meets the objectives of the course. They also evaluate the presenters and offer comments for improvements. The information is reviewed by Public health Nursing to see if they are meeting the goals of the course and if changes are needed. This series includes Evaluation Forms. Retain for 6 mo.</p>	Paper	5/19/2009	Variable - See Description	0	Destroy	Current
<p>Schedule #: 1748 103#: Targeted Case Management Record Review Reports</p>						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Public Health Nurses provide services to specific groups of the population such as post partum mothers. Public Health Nursing (PHN) perform Targeted Case Management Services for clients. Services must meet certain criteria. These records are reviewed by PHN Consultants for quality assurance purposes. The results of the review are recorded and analyzed for further action in order to improve Public Health Nursing Services to clients and for reimbursement purposes. Document includes Public Health Nursing TCM Review. The PHN Consultant uses the records to show proof that services were provided for reimbursement purposes.	Paper	5/19/2009	Years 5	0	Destroy	Current
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Schedule #: 1749 104#: Adverse Event Reporting						
If a client receives a shock from a piece of medical equipment Public Health Nursing (PHN) is responsible to report to the Centers for Disease Control and Prevention (CDC) and to the Food and Drug Administration (FDA) if an adverse event occurs to a client after receiving a vaccine or if an individual is injured due to a malfunctioning of equipment. This form provides documentation that the reports were filed. The Director of PHN uses the document to report the event. The series includes the Adverse Event Reporting Form and the Med Watch Form.	Paper	5/19/2009	Years 3	0	Destroy	Current
<hr/>						
194#:Riverview Psychiatric Center						
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.	Mixed	12/16/2020	Years 10	No Retention	0 Destroy	Current
Records are considered closed once a patient is discharged or deceased. Records will be kept at the facility for 10 years after the records are closed.						
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Schedule #: 516 39#:Terminated Outpatient Medical Records						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Medical records, without formalized format, maintained as individual typed notes recording visits to the outpatient clinic.</p> <p>Records are considered closed once a patient is discharged or deceased. Records will be kept at the facility for 10 years after the records are closed.</p>	Mixed	12/16/2020	Years 10	No Retention 0	Destroy	Current
<hr/>						
<p>Schedule #: 776 69#:Medicare/Medicaid Programs Certifications (AMHI)</p> <p>Certification of facility by Medicare or Medicaid. Medicaid request form, statement of deficiencies/plan of correction form.</p>	Paper	6/26/1989	Years 2	No Retention 0	Destroy	Current
<hr/>						
<p>Schedule #: 776 70#:Nursing Assignment Sheets</p> <p>Indicates people assigned to charge nurse and assignments. Records also include daily census report (how many patients on each ward).</p>	Paper	7/9/2020	Years 1	No Retention 0	Destroy	Current
<hr/>						
<p>Schedule #: 962 72A:Patient Incident Reports</p> <p>Records of incidents, facts, investigation reports and corrective measures.</p>	Digital File	7/22/2020	Years 27	No Retention 0	Destroy	Current
<hr/>						
<p>Schedule #: 962 72B:Patient Grievance Reports</p> <p>Reports of patient grievance complaints, actions taken, and all responses.</p>	Digital File	7/22/2020	Years 27	No Retention 0	Destroy	Current
<hr/>						
<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	9/6/1991	Years 2	No Retention 0	Destroy	Current
<hr/>						
<p>Schedule #: 962 74#:Consent Decree, Plus Class Action Case</p>						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
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.	Paper	9/6/1991	Years 2	No Retention 0	Destroy	Current
Schedule #: 1572 65:AMHI Historical Records						
Sanitorium Annual Reports, Board of Trustee Minutes, patient property receipts, register of patients, regulations notebook, case files, court observation cases.	Paper	11/8/2002	Years 0	No Retention 0	Archives	Current
Schedule #: 1590 77#:Temperature Records 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. 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	8/14/2003	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	8/14/2003	Years 3	Years 0	Destroy	Current
Schedule #: 2162 79:Riverview Master Index Cards						
Riverview maintains master index cards for all patients which may include the following information: name, date of birth, town patient was from, date admitted, date discharged.	Paper	3/4/2020	Permanent or Indefinite 0	No Retention 0	See Description	Current
These records will be retained permanently in the agency.						

Department Series Report

10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
476#:Scientific Advisory Panel						
Schedule #: 830 1#:Minutes (Scientific Advisory Panel)						
Meeting announcements, Summary (Minutes), and related correspondence.	Paper	4/18/1990	Years	10	No Retention	Archives Current
Meeting announcements, Summary (Minutes), and related correspondence. Retain disk file until updated.	Digital File	4/18/1990	Destroy When Updated	0	No Retention	Destroy Current
146#:Vital Statistics, Office of						
Schedule #: 336 4#:Scrap Book of News Clippings, State Bd. of Embalmers Case Book, 1922						
Scrap book of news clippings; State Board of Embalmers cash book, 1922; Manual of the International Statistical Classification of Diseases, Injuries, and Causes of Death, Volumes 1 & 2; and Crippled Children Plan, 1952.	Paper	1/22/1985	Years	0	No Retention	Archives Current
Schedule #: 456 5#:Vital Statistics Key punch Cards						
Marriages 1955-59; Adoptions 1952-65; Divorces & Annulments 1954-59; Births 1954-65; Deaths 1951-66. Destroy 1/88 (already in Records Center).	Paper	3/7/1986	Years	0	Contingent Upon Event - See Description	Destroy Current
Schedule #: 638 35#:Vital Records Index						
Index of all births deaths, marriages, divorces from 1956 to present.	Paper	9/21/1987	Years	100	No Retention	Archives Current
Schedule #: 638 36A:State Copy - License & Certificate of Marriage						
State copies of all marriage certificates filed in State of Maine. Prepared by Municipal Clerks. Original kept by Municipal Clerks. Microfilmed at MSA for security only--samples sent to NCHS.	Paper	9/21/1987	Years	100	No Retention	Archives Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
State copies of all marriage certificates filed in State of Maine. Prepared by Municipal Clerks. Original kept by Municipal Clerks. Microfilmed at MSA for security only--samples sent to NCHS.	Roll Microfilm	9/21/1987	Years 100	No Retention 100	Archives	Current
Schedule #: 638 36B:State Copy - License & Certificate of Marriage (1892-1922)						
State copies of all marriage certificates filed in State of Maine. Prepared by Municipal Clerks. Original kept by Municipal Clerks.	Paper	7/30/1990	Years 68	No Retention 0	Archives	Current
Schedule #: 638 37#:Divorces & Annulments - Clerk of Courts Book 1892-1963						
Record of all divorces and annulments in the State of Maine from Superior/District Courts.	Paper	9/21/1987	Years 100	No Retention 0	Archives	Current
Schedule #: 638 38#:Record of Divorce or Annulment						
Record of all divorces and annulments in the State of Maine from Superior/District Courts.	Paper	9/21/1987	Years 100	No Retention 0	Archives	Current
Schedule #: 638 39A:State Copy - Certificate of Live Birth 1892-1956						
Original certificate of all live births in the State of Maine from 1892 to 1956 sent to Municipal Clerks. Copy kept in Municipal Clerks Office. Security film only at Archives.	Paper	9/21/1987	Years 100	No Retention 0	Archives	Current
Schedule #: 638 39B:State Copy - Certificate of Live Birth 1892-1922						
Original certificate of all live births in the State of Maine from 1892 to 1956 sent from Municipal Clerks. Copy kept in Municipal Clerks Office.	Paper	7/30/1990	Years 68	No Retention 0	Archives	Current
Schedule #: 638 40#:State Copy - Certificate of Live Birth 1956 and After						
Original State Copy of all live births in the State of Maine prepared by hospitals, midwives, etc. Sent to Municipal Clerk for filing. Original forwarded to agency. Filmed at MSA for security only; copy sent to NCHS.	Paper	9/21/1987	Years 100	No Retention 0	Archives	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Schedule #: 638 41#:Certificate of Live Birth - Medical Record Fourth copy of Birth Certificate containing all medical information completed by hospitals. Sent to agency on a weekly basis. Security film at Archives; reference copy in agency.	Roll Microfilm	9/21/1987	Years	100	No Retention	0 Destroy Current
Fourth copy of Birth Certificate containing all medical information completed by hospitals. Sent to agency on a weekly basis. Destroy paper after microfilming.	Paper	9/21/1987	Destroy After Conversion to Another Medium	0	No Retention	0 Destroy Current
Schedule #: 638 42#:Report of Abortion Original report of all abortions occurring in the State of Maine prepared by physician. Filmed at MSA for security only; copy sent to NCHS.	Paper	9/21/1987	Years	3	No Retention	0 Destroy Current
Schedule #: 638 43A:State Copy - Certificate of Death Original certificate of all deaths in the State of Maine. Copy filed by funeral director with Municipal Clerk and place of resident if different from place of event. Filmed at MSA for security only; copy sent to NCHS. Paper is returned to agency.	Paper	9/21/1987	Years	100	No Retention	0 Archives Current
Original certificate of all deaths in the State of Maine. Copy filed by funeral director with Municipal Clerk and place of resident if different from place of event. Filmed at MSA for security only; copy sent to NCHS. Paper is returned to agency.	Roll Microfilm	9/21/1987	Years	100	Years	100 Archives Current
Schedule #: 638 43B:State Copy - Certificate of Death (1892-1922) Original certificate of all deaths in the State of Maine. Copy filed by funeral director with Municipal Clerk and place of residence if different from place of event.	Paper	7/30/1990	Years	68	No Retention	0 Archives Current
Schedule #: 638 44#:State Certificate of Fetal Death						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Original of all certificates of fetal deaths in the State of Maine prepared by physician. Copy kept by Municipal Clerk at place of occurrence. Filmed at MSA for security only; copy sent to NCHS.	Paper	9/21/1987	Years	100	No Retention	0 Archives Current
Schedule #: 797 45#:Birth Clerk - Correspondence						
Correspondence mostly related to requests for birth record copies (including forms used for this purpose). Files include copies of birth certificates, working papers, and general correspondence.	Paper	10/31/1989	Years	5	No Retention	0 Destroy Current
Schedule #: 820 46#:Adoption Task Force Opinion Questionnaire						
Opinion surveys for the Adoption Task Force.	Magnetic Tape	3/12/1990	Years	50	No Retention	0 Destroy Current
Opinion surveys for the Adoption Task Force.	Paper	3/12/1990	Years	0	Years	25 Destroy Current
Schedule #: 831 47#:PRAMS Surveys						
Maine Pregnancy Risk Assessment Monitoring System (PRAMS) Survey of the Health of Mothers and Babies in Maine, mail and telephone variations of same survey.	Digital File	5/8/1990	Years	75	No Retention	0 Destroy Current
Maine Pregnancy Risk Assessment Monitoring System (PRAMS) Survey of the Health of Mothers and Babies in Maine, mail and telephone variations of same survey.	Paper	3/20/1995	Years	1	No Retention	0 Destroy Current
Schedule #: 862 48A:Depositions-Vital Records						
Amendments to birth, death and marriage records.	Paper	8/3/1990	Years	100	No Retention	0 Archives Current
Schedule #: 862 48B:Depositions-Vital Records (1892-1922)						

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10: Health and Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Amendments to birth, death and marriage records.	Paper	8/3/1990	Years 0	No Retention 0	Archives	Current

Schedule #: 1428 49:Pregnancy Risk Assessment Monitoring System (PRAMS) History and Protocol.

<p>The PRAMS Project was initiated in 1987 to survey new mothers in the state on their health behaviors before, during, and after pregnancy. The information is used to develop new programs, improve existing maternal and child health programs. Women who have had children are sampled from the birth certificate, surveyed, the data computerized, and used by state staff for reports, presentations, policy and program development. The Centers for Disease Control and Prevention in Atlanta are sent the data monthly, ODRVS sends the birth certificate file to them, the data are compiled for the year, an analysis dataset is sent back to ODRVS, and then used for data analysis purposes. Reports are created, disseminated to public health professionals, physicians, libraries, etc. Included in the program are applications, State of Maine protocols, and related correspondence.</p>	Paper	2/25/2002	Years 5	Years 15	Destroy	Current
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