

# Department Series Report

## 14: Behavioral and Developmental Services

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|---|--|--------------|---------------------|----------------------|--------------|-------------------|
| <b>191#:</b>  |  |              |                     |                      |              |                   |
| <b>Schedule #:</b> 15   | 1#:Admission/Termination Sheet for Patients Admitted to MH Centers |              |                     |                      |              |                   |
| Contain identifying personal data such as date of birth, sex, address, demographic characteristics and problems relating to psychiatric diagnoses. These are optically scannable forms sent to us for administrative statistical purposes. A copy is maintained on the patient's chart in the Center. We (Administrative Services, MH&MR) transcribe the data to tabulating cards and tape. The tape is backed up.  | Paper  | 8/6/1974     | Years               | 1                    | Years        | 2 Destroy Current |
| <hr/>   |  |              |                     |                      |              |                   |
| <b>Schedule #:</b> 408  | 2#:Commissioner's Institutional Files - MH & MR                    |              |                     |                      |              |                   |
| Resumes, memos, unauthorized leave reports, information bulletins, BPI correspondence, client related correspondence, monthly reports.  | Paper  | 12/11/1985   | Years               | 8                    | No Retention | 0 Destroy Current |
| <hr/>   |  |              |                     |                      |              |                   |
| <b>Schedule #:</b> 411  | 8#:Report of State Audit   |              |                     |                      |              |                   |
| Audit work program; prior audit report; final reports; CPA report, IRS 501(c)(3) exemption; chart of accounts/list of abbreviations; cash verification; contract summary; P&L for General Fund; P&L for Children's Services Unit; P&L for Winthrop Activities Center; P&L for Supervised Apartments; P&L for BMR Extension; payroll analysis; payroll tax; analysis of expenditures; depreciation schedule and analysis; analysis of G&A allocation; analysis of units. | Paper  | 12/17/1985   | Years               | 3                    | Years        | 4 Destroy Current |
| <hr/>   |  |              |                     |                      |              |                   |
| <b>Schedule #:</b> 427  | 10#:Contracts - Administration                                     |              |                     |                      |              |                   |
| Contracts for Special Services from all divisions of the Dept. of Mental Health & Mental Retardation.   | Paper  | 1/15/1986    | Years               | 3                    | Years        | 4 Destroy Current |
| <hr/>   |  |              |                     |                      |              |                   |
| <b>Schedule #:</b> 427  | 9#:Correspondence - General, Administrative Services Division      |              |                     |                      |              |                   |
| Correspondence related to general activities of the Administrative Services Division of the Dept. of Mental Health & Mental Retardation.  | Paper  | 1/15/1986    | Years               | 3                    | Years        | 4 Destroy Current |
| <hr/>   |  |              |                     |                      |              |                   |
| <b>Schedule #:</b> 432  | 11#:General Correspondence - Programs                              |              |                     |                      |              |                   |

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| Correspondence pertaining to program issues including such things as news clippings budget information, publications and reports.   | Paper | 1/23/1986    | Years 8             | No Retention 0       | Destroy     | Current |
| <b>Schedule #:</b> 432 12#:Institutions - Programs  |       |              |                     |                      |             |         |
| Reports, news clippings, activities, and general operating material relating to DMH&MR Institutions.  | Paper | 1/23/1986    | Years 8             | No Retention 0       | Destroy     | Current |
| <b>Schedule #:</b> 432 13#:Central Office - Programs  |       |              |                     |                      |             |         |
| Reports, recommendations, memos and draft proposals pertaining to divisions of the Dept. of Mental Health and Mental Retardation.   | Paper | 1/23/1986    | Years 8             | No Retention 0       | Destroy     | Current |
| <b>Schedule #:</b> 780 14#:Legal Services-State/Federal Law/Legislation (MH & MR)   |       |              |                     |                      |             |         |
| State and Federal law relating to mental health, mental illness and substance abuse. Interdepartmental memos, copy of legislature bills, supporting documentation, newsletters, analysis.   | Paper | 7/10/1989    | Years 5             | No Retention 0       | Destroy     | Current |
| <b>Schedule #:</b> 780 16#:Legal Services-Correspondence (MH & MR)  |       |              |                     |                      |             |         |
| Letters & Memoranda to and from office of Legal Services. To include: letters of request for information; answers for requested information; memos to schedule meetings; arrangements for free legal assistance for patients at State Institutions. | Paper | 7/10/1989    | Years 5             | No Retention 0       | Destroy     | Current |
| <b>Schedule #:</b> 784 22#:Licensing Files (Mental Health Agencies)   |       |              |                     |                      |             |         |
| We inspect agencies for compliance with Mental Health State Regulations. Files include: program information, staff rosters, Site review reports, licensure issued, complaints and related correspondence.   | Paper | 8/3/1989     | Years 10            | Years 40             | Destroy     | Current |
| <b>Schedule #:</b> 784 3#:Quality Assurance Files   |       |              |                     |                      |             |         |
| Reports, data, correspondence, references in regard to Quality Assurance of Mental Health and Mental Retardation, and Children with Special Needs agencies throughout the State of Maine.   | Paper | 8/3/1989     | Years 1             | Years 11             | Destroy     | Current |

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| <p><b>Schedule #:</b> 794 5#:Class Action Suit (AMHI)</p> <p>Suit pertains to delivery of services in institutional and community settings. Includes court documents, proposed settlements, meeting notices and minutes, correspondence related to same. In agency retention: until terminated.</p>  | Paper | 10/17/1989   | Contingent Upon Event - See Description | 0                    | Years 10    | Archives Current |
| <p><b>Schedule #:</b> 924 4#:Medical Director Files</p> <p>Oversees medical questions on patients and institutions. Files include: Clozaril* (drug) preapprovals; statistics: investigative reports: quality assurance reports; death review files, including reports and related correspondence. The Medical Director advises the Commissioner on Medical questions which may arise throughout the Department. *Preapproval is required for Medicaid coverage of this drug.</p> | Paper | 4/24/1991    | Years 2                                 | Years 25             | Destroy     | Current          |
| <b>191D:Developmental Disabilities</b>   |       |              |   |                      |             |                  |
| <p><b>Schedule #:</b> 409 3#:Developmental Disabilities Council Grant Files</p> <p>Notice of Developmental Disabilities Services Grant Award; Developmental Disabilities Services and Facilities Construction Request for Reimbursement; application for funding; fiscal information about the project; correspondence.</p>  | Paper | 4/1/1986     | Years 10                                | Years 10             | Destroy     | Current          |
| <p><b>Schedule #:</b> 1583 4#:Development Disabilities Council Minutes</p> <p>Minutes of the Development Disabilities Council.</p>   | Paper | 5/20/1998    | Years 10                                | Years 0              | Archives    | Current          |
| <b>191I:Public Information Office</b>  |       |              |   |                      |             |                  |
| <p><b>Schedule #:</b> 444 2#:Homebuilders Data Base</p> <p>Primary source of income of clients served; family income of client served; categories of living arrangements; ethnic background of clients served; mental health system compare with OCS data elements; form; correspondence.</p>  | Paper | 2/24/1986    | Years 10                                | No Retention 0       | Destroy     | Current          |
| <p><b>Schedule #:</b> 857 1#:Information and Public Affairs (News Summary)</p>   |       |              |   |                      |             |                  |

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| This is a daily document put out by this office. It consists of newspaper articles published in different newspapers throughout the State. This is information pertaining to mental health and mental retardation in any way.  | Paper | 7/30/1990    | Years 2                                 | No Retention 0       | Destroy     | Current |
| <b>Schedule #:</b> 857 3#:Information and Public Affairs (Information Releases)  |       |              |   |                      |             |         |
| These are news releases put out by this division for the Department of Mental Health and Mental Retardation. Information such as: AMHI Class Action Suit: appointment of a new AMHI superintendent; bulletin on Mobile Psycho Geriatric Assessment and Consultation team contract; Governor McKernan to Present Mental Health and Mental Retardation of the Volunteer of the Year Awards and the "AMHI Suite" scheduled hearing. | Paper | 7/30/1990    | Years 2                                 | No Retention 0       | Destroy     | Current |
| <b>472#:Children with Special Needs</b>  |       |              |   |                      |             |         |
| <b>Schedule #:</b> 393 1#:CASSP Communications   |       |              |   |                      |             |         |
| Correspondence, grant applications, committee agenda and minutes, agencies and organizations, research, articles, literature.  | Paper | 11/20/1985   | Years 5                                 | Years 5              | Destroy     | Current |
| <b>Schedule #:</b> 393 2#:CASSP Contracts  |       |              |   |                      |             |         |
| Contracts between CASSP Unit and organizations or consultants, including invoices and other communications pertaining to contract.   | Paper | 11/20/1985   | Years 5                                 | Years 5              | Destroy     | Current |
| <b>Schedule #:</b> 393 3#:CASSP Regional Case Coordination Records   |       |              |   |                      |             |         |
| Case summary sheets; needs assessment; contact sheets on individual cases receiving referral or other coordination by regional staff. Begin retention period when inactive.  | Paper | 11/20/1985   | Years 2                                 | Years 45             | Destroy     | Current |
| <b>Schedule #:</b> 394 4#:Inactive Client Case Records   |       |              |   |                      |             |         |
| Referral form; psychological and/orpsychiatric evaluations; academic reports and recommendations from sending school system; family assessments; program progress reports; correspondence (to and from the office); financial agreements. Retain in Office until age 21 Yrs.   | Paper | 9/22/1999    | Contingent Upon Event - See Description | Years 5              | Destroy     | Current |

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| <p><b>Schedule #:</b> 395 5#:Communications - BCSN</p> <p>General correspondence to and from employees of BCSN; minutes, notes and general information about meetings; interdepartmental memos; newspaper clippings, articles, informational packets, booklets.</p>   | Paper | 11/20/1985   | Years 2             | Years 5              | Destroy     | Current |
| <p><b>Schedule #:</b> 395 6#:Contractual/Financial - BCSN</p> <p>General information, contracts and amendments; correspondence to and from contractors of the BCSN; Quarterly Narrative Reports; Quarterly Fiscal Reports; Budgets.</p>   | Paper | 11/20/1985   | Years 2             | Years 5              | Destroy     | Current |
| <p><b>Schedule #:</b> 526 7#:Client Case Files - the Maine Respite Project</p> <p>Family applications for respite care, information on special needs child (including medications, programs daily care issues); provider applications and profiles, reference, DHS licensing approval if respite will be provided in caretakers home; respite training information, mailing lists, directories of respite services available statewide.</p> | Paper | 8/6/1986     | Years 10            | Years 20             | Destroy     | Current |
| <p><b>Schedule #:</b> 526 8#:Maine Respite Project Grant Application</p> <p>Respite training information, mailing lists, directories of respite services available statewide.</p>   | Paper | 8/6/1986     | Years 10            | Years 20             | Destroy     | Current |
| <p><b>Schedule #:</b> 526 9#:Maine Respite Project Provider Files</p> <p>Respite provider applications, provider profiles, references, DHS licensing approvals and home study, copies of certification and information pertinent to caring for special needs children.</p>  | Paper | 8/6/1986     | Years 10            | Years 20             | Destroy     | Current |
| <b>198#:Pineland Center</b>   |       |              |                     |                      |             |         |
| <p><b>Schedule #:</b> 530 6#:Clinical Records - Pineland Center</p>   |       |              |                     |                      |             |         |

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| <p>Face sheet, address sheet, discharge summary, admission history, admission physical, social service reports, dietitian reports, psychologicals, psychiatric notes, program reports, recreation reports, education reports, speech and hearing reports, occupational therapy reports, building reports, annual physical examinations, doctors progress notes, physicians orders, x-ray reports, dental, lab reports, immunizations, EEG &amp; EKG reports, clinical referral slips, nursing personnel reports monthly medication review, monthly medications sheet, personal property inventory.</p> <p>The retention for these records will follow schedule 1964 series 9F Case Files - Pineland under DHHS/OADS. Retention begins when the client is deceased or case is closed.</p> | Paper | 10/3/2019    | Years 1             | Years 20             | Destroy     | Current |
| <hr/> <p><b>Schedule #:</b> 929      19#:Discharge Charts (Pineland Center)</p>  |       |              |                     |                      |             |         |
| <p>Admission and summary information, clinical reports, medical reports, reports by correspondence, discharge reports and any reports received for consultation on the client.</p> <p>The retention for these records will follow schedule 1964 series 9F Case Files - Pineland under DHHS/OADS. Retention begins when the client is deceased or case is closed.</p>   | Paper | 10/3/2019    | Years 1             | Years 20             | Destroy     | Current |
| <hr/> <p><b>Schedule #:</b> 929      20#:Deceased Charts (Pineland Center)</p>   |       |              |                     |                      |             |         |
| <p>These are charts where the client has died. These will include admission and summary information, reports of clinical services, medical file including: all reports, doctors orders, doctor's progress notes, nursing notes, discharge summary and any reports related to the client.</p> <p>The retention for these records will follow schedule 1964 series 9F Case Files - Pineland under DHHS/OADS. Retention begins when the client is deceased or case is closed.</p>   | Paper | 10/3/2019    | Years 1             | Years 20             | Destroy     | Current |
| <hr/> <p><b>Schedule #:</b> 929      21#:Medical File (Pineland Center)</p>  |       |              |                     |                      |             |         |

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| Full active treatment plan year reports such as: EKG's, laboratory, physicals, X-rays and any other medical related reports. | Paper | 10/3/2019    | Years 1             | Years 20             | Destroy     | Current |

The retention for these records will follow schedule 1964 series 9F Case Files - Pineland under DHHS/OADS. Retention begins when the client is deceased or case is closed.

**Schedule #:** 954 26#:Legal Documents (Pineland Center)

|  |       |           |         |          |         |         |
|--|-------|-----------|---------|----------|---------|---------|
| These are the legal documents for the clients of Pineland Center. Included are: birth certificates; mortuary trust; emergency admission form; certification docket; living wills; guardianship papers. | Paper | 10/3/2019 | Years 1 | Years 20 | Destroy | Current |
|--|-------|-----------|---------|----------|---------|---------|

The retention for these records will follow schedule 1964 series 9F Case Files - Pineland under DHHS/OADS. Retention begins when the client is deceased or case is closed.