

REQUEST FOR RECORDS RETENTION SCHEDULE

To be Submitted to the Records Management Division  
Hall of Records Commission

SCHEDULE  
NO.

382

PAGE  
NO.

1.

1. Requesting Agency

DEPARTMENT OF MENTAL HYGIENE

2. Division or Bureau of Requesting Agency

REIMBURSEMENTS PROGRAM

3. Authorization Requested (Check only one of the squares below).

**A** Dispose of present accumulation. No additional accumulation is anticipated. Records have ceased to have value to warrant retention.

**B** Establish retention schedule for records for which there is a continuing accumulation. The records will cease to have value to warrant their retention after the period of time indicated.

**C** Microfilm and destroy originals. Originals if not microfilmed would be retained for the period of time indicated.

4.  
Item  
No.

5. Description of Records  
Describe records accurately. Include title, form number, size of documents, work or activity to which the records relate, inclusive dates, and quantity (cubic or linear feet). Show recommended retention period.

6. Recommendation  
of Hall of Records  
and Board of Public  
Works.

1. PATIENTS' FOLDERS

Size: 8 1/2" x 11" in legal files

Dates: October 1958 - -

Quantity: Active Accounts - 11 drawers

Closed Accounts - 2 1/2 drawers

File Arrangement: Separate files for active and closed,  
alphabetical by name of patient therein

The Patients' Folders File is composed of records which are basic to the approval and establishment of rates of payment for the maintenance of individual patients. The records filed in a typical folder usually consist of the following:

DMH 604 Rate Establishment Form

DMH 632,  
633,634 Payment Order

DMH 623 A Change of address notices  
Transfer of Sponsor Account - utilized in  
taking over accounts from counties

DMH 623 B Transfer of Sponsor Account - for Baltimore  
County

IBM tabulation sheets - for transfer of accounts from  
Baltimore City only

Correspondence (if received or originated by Central office)

Estate bills and claim records - originate in Estate Sec-  
tion when claims are filed against patient's  
estate

These files to a certain extent duplicate the basic records maintained

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7. Agency, Division or Bureau Representative

*R. K. Barnes*  
Signature

Chief, Division of Administration  
and Finance

Title

12/5/1960

Date

Schedule Authorized as Indicated in Col. 6 by Hall of  
Records Commission.

Disposal Authorized as Indicated in Col. 6 by Board of  
Public Works.

12/7/1960

Date

*Miriam S. Bealoff*

Archivist

DEC 12 1960

Date

*Andrew H. ...*

Secretary

REQUEST FOR RECORDS RETENTION SCHEDULE  
(Continuation Sheet)

4. No.	5. Description of Records Describe records accurately. Include title, form number, size of documents, work or activity to which the records relate, inclusive dates, and quantity (cubic or linear feet) Show recommended retention period	6 Recommendation of Hall of Records and Board of Public Works
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by the Financial Agents at each mental institution. Patients for whom a "zero rate" (non-paying rate) is established are filed separately in the Patients' Folder File for zero rates (Item 2). The Financial Agents also maintain copies of the zero rate records at the Institutions. A patient's folder is removed from the active file and placed in a "Closed Patient File" whenever the patient's account falls into one of the following categories:

- a. patient discharged or deceased and the account has been paid in full--i.e. at the maximum rate
- b. deceased in hospital and account paid by estate settlement--but if estate payment does not cover outstanding balance, the account would not be closed
- c. abatement of account by Board of Public Works
- d. reduction of rate payment to "zero rate" and payment of outstanding balance

Folders will be placed in the inactive file as the account cards to which they pertain are filed in the Closed Out Ledger Card File (Item 4).

**RECOMMENDATION: UPON APPROVAL AND ESTABLISHMENT OF PAYMENT RATE, TRANSFER TO THE CENTRAL OFFICE THE FOLDER MAINTAINED BY THE FINANCIAL AGENT AND COMBINE WITH PATIENT'S FOLDER (THIS ITEM), ELIMINATING UNNECESSARY DUPLICATION. AFTER ACCOUNT IS CLOSED AND AUDITED (PAID OUT), TRANSFER TO RECORD CENTER AND RETAIN THERE FOR FIVE YEARS AND THEN DESTROY.**

**2. PATIENTS' FOLDERS - ZERO RATES**

Form No.: DMH 604  
 Size: 8½" x 11"  
 Dates: 1958 - -  
 Quantity: 1 drawer (estimate)  
 File Arrangement: Alphabetical by name of patient

These folders pertain to patients for whom a "zero rate" has been established. If patients later become liable for payments due to a reinvestigation, a new folder is established and filed in the Patients' Folder File (Item 1), but records establishing the "zero Rate" are not filed in it. The financial agents at mental institutions retain copies of "zero rate" forms to substantiate their investigations. The recommendation below applies only to the Central Office copy of the "zero rate" form. The recommendation below is based on the assumption that records in the financial agent's folders will be transferred to the Central Office.

**RECOMMENDATION: RETAIN FOR THREE YEARS AND THEN DESTROY.**

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3. LEDGER CARDS - ACTIVE AND INACTIVE

Form No.: DMH 600  
 Size: 8½" x 11"  
 Dates: 1958 - -  
 Quantity: ¼ cubic feet (estimate)  
 File Arrangement: By hospital, block number, and numerical by card number  
 Annual Accumulation: 1 cubic foot (estimate)  
 Audit: State

Ledger Cards are maintained for each patient for whom a rate has been established. Accounts are considered active when the patient is in the hospital, charges on the account are accumulating, and a billing is being made monthly. Accounts are considered inactive when there is an outstanding balance, the patient has been discharged more than three months, and a quarterly bill is being rendered.

RECOMMENDATION: RETAIN PERMANENTLY.

4. LEDGER CARDS - CLOSED ACCOUNTS

Form No.: DMH 600  
 Size: 8½" x 11"  
 Dates: 1958 - -  
 Quantity: Less than ½ cubic foot  
 File Arrangement: Numerical by card number  
 Audit: State

Whenever accounts are paid out or abated, the Ledger Card for the patient's account is filed in the Closed Account File (this item). These cards are utilized by the Chief of the Estates Section in determining how much was paid on certain accounts.

RECOMMENDATION: RETAIN PERMANENTLY.

5. REIMBURSING ACCOUNTS CONTROL RECORDS

Size: varied sizes  
 Dates: Oct. 1958 - -  
 Quantity: 5 drawers  
 File Arrangement: Chronological by month and by type of record therein  
 Annual Accumulation: 2 drawers  
 Audit: State

This item is composed of records which are utilized in the control, posting, and audit of funds collected for the maintenance of individual patients. These records, which support entries on the Ledger cards, the program's Ledger accounts, are:

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(Continuation Sheet)

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**GAO-1** Report of Deposit  
Cash receipt tapes - created as cash receipts are posted to patient ledger cards

**DMH 601** Bill stubs  
**DMH 610** Remittance Received without bill stub  
**DMH 614** Proof Journal - original  
Cash receipts tabulation - totals of cash received by hospital, by day, by block number  
Certificates of deposit - duplicate  
Sponsor Certificates of Deposit

**DMH 606** Cash Receipts Record (Political Subdivisions)  
Card count sheets - count of cards received from hospitals  
Movement Journals

**DMH 605S** Social Security Cash Receipts Record  
**DMH 617** Journal Vouchers (Political Subdivisions) - cash receipts  
Sponsor Journal Vouchers - substantiating; abatements, refunds, overages and shortages, etc.  
County Detail Journal Vouchers - utilized to correct IBM cards as to balance due, unreported movements, etc.

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**RECOMMENDATION:** RETAIN FOR THREE YEARS OR UNTIL AUDITED, WHICHEVER IS LATER, AND THEN DESTROY. RETAIN IN DEPARTMENTAL OFFICES FOR ONE YEAR. THEN TRANSFER TO STATE RECORD CENTER AND RETAIN THERE FOR TWO ADDITIONAL YEARS.

**6. COUNTY BILLS AND SUPPORTING RECORDS**

Form No.: DMH 615  
Size: 8 1/2" x 11" and IBM card size  
Dates: 1958 - -  
Quantity: 1 drawer (1 cubic foot) - (does not include IBM cards)  
File Arrangement: By county and by quarter  
Audit: State

This item is composed of copies of quarterly machine-prepared bills to Counties for the cost of care given residents who are patients in State mental institutions. Each bill gives the name of the subdivision, the date ending the quarter, the county number, hospital number, patient number, the patient's name, the number of days of care, the charge for the quarter, reimbursement credit, and the balance due to the State. Other records in the file which relate to or facilitate the billing procedure include the following:

**DMH 617** Journal Vouchers (Political Subdivisions) - 2nd copy

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Supporting media for adjustments - claim memos and adjust memos.

County adjustments of residency

Movement Journals - IBM tabulation showing date, hospital, patient number, and the type of movement. Basic for posting to patients' ledger cards

Movement cards (IBM) - used in preparation of Movement Journal

Intermediate audit and balance cards (IBM) - used in internal audit

Admission cards - mark sensed cards prepared by hospital to record any movement. These are not needed after patient's ledger card is prepared based on admission card information.

RECOMMENDATION: RETAIN FOR THREE YEARS OR UNTIL AUDITED, WHICHEVER IS LATER, AND THEN DESTROY. RETAIN MOVEMENT AND INTERMEDIATE AUDIT CARDS (IBM) IN DEPARTMENTAL OFFICES FOR TWO QUARTERS (CURRENT PLUS PREVIOUS QUARTER). THEN TRANSFER TO STATE RECORD CENTER.

7. BILLING LISTS (PATIENT ROSTER OR CENSUS LISTS)

Size: 12" x 16" binders (approx.)  
Dates: 1958-1959  
Quantity: 2 cubic feet  
File Arrangement: Chronological  
Annual Accumulation: Discontinued  
Disposable Amount: 2 cubic feet

This item consists of IBM tabulation sheets which were utilized in locating billing errors. The mental hospitals and tabulating service also retained copies of these lists. The lists give the date patient was hospitalized, patient's number and name, race, sex, type of commitment, status, and the number of days in the hospital. The Billing Lists are non-record within the meaning of the statute governing non-record material (Article 41, Section 179, Annotated Code of Maryland, 1957 Edition) and may be destroyed when they are no longer needed.

8. PROOF JOURNAL - AUDIT COPY

Form No.: DMH 611  
Size: 8 1/2" x 11"  
Dates: 1958 --  
Quantity: 1/2 cubic foot  
File Arrangement: Chronological  
Disposable Amount: 1/2 cubic foot  
Audit: State

This machine-prepared form summarizes the status of patient accounts.

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The original is filed with other supporting records in the Reimbursing Accounts Control File (Item 5), where it is audited by the State Auditor. The first carbon (yellow) is the "audit copy" and is retained by the Supervisor of Reimbursements to facilitate a determination of the necessity for account reinvestigations. The second carbon (salmon) was forwarded to the institutional financial agents to report delinquencies, a procedure no longer in effect. The form gives the date, patient number, code designation, the amount of the delinquent balance, the current charge on the account, adjustments, the current balance, and the calculated proof on each account. The "audit copy" is non-record within the meaning of the statute governing non-record material (Article 41, Section 179, Annotated Code of Maryland, 1957 Edition) and may be destroyed when it is no longer needed.

9. TRANSFER OF ACCOUNTS FILE

Size: 8 1/2" x 11"  
Dates: 1958 - -  
Quantity: 3 drawers (6 cubic feet)  
File Arrangement: By county

Data in this file was utilized during the transfer of patient accounts from the various political subdivisions to the Department of Mental Hygiene. Records in the file substantiate the status of each account when taken over by the Department and are useful in estate claims work. These records include:

- DMH 623 Transfer of Sponsor Account - for all patients
- Summary sheets - designating hospital and ledger card block at time of transfer
- Data form summarizing information to go on 623's
- Reports on account payments, abatements, charges, and balances during the transfer period

RECOMMENDATION: TRANSFER TO STATE RECORD CENTER AND RETAIN THERE FOR TWELVE YEARS. THEN DESTROY.

10. GENERAL FILE

Size: 8 1/2" x 11"  
Dates: 1958 - -  
Quantity: 1 cubic foot  
File Arrangement: Alphabetical by name, subject, or type of record

The General File of the Supervisor of Reimbursements contains the categories of records listed below:

A Category - Referrals to the Attorney General - matters relating to enforcement of regulations, suits, appeals on rates

A. RECOMMENDATION: RETAIN AS LONG AS OPINIONS ARE IN EFFECT AND THEN DESTROY, PROVIDED THAT THEY ARE AT LEAST THREE YEARS OLD.

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**B. Category** Correspondence with county officials, financial agents, State officials, hospital staff members, etc.  
Expense account vouchers and reports by financial agents  
Fiscal and statistical reports  
Hospital Census Reports  
Personnel records - employees and applicants  
Information on postage costs  
Rules and regulations concerning Reimbursements and Central Office procedures  
Agents training program material - schedules of training  
Requisitions for supplies and materials - duplicates  
Means tests

**B. RECOMMENDATION:** RETAIN FOR THREE YEARS AND THEN DESTROY.

**11. SOCIAL SECURITY CLEARANCE ACCOUNT LEDGER**

Size: 8 1/2" x 11" (approximate)  
Dates: 1958 - -  
Quantity: 1 ledger book  
File Arrangement: Chronological  
Audit: State

The Commissioner of Mental Hygiene is the payee for all Social Security payments made to the Department on behalf of patients in State mental institutions. The Account Ledger records receipts and disbursements of funds received. Subsidiary records include check stubs and canceled checks for funds transferred to the superintendents of State mental institutions or refunded to the Social Security Administration. The "A" recommendation below applies only to the Ledger. The "B" recommendation applies to check stubs and canceled checks.

**A. RECOMMENDATION:** RETAIN PERMANENTLY.

**B. RECOMMENDATION:** RETAIN FOR THREE YEARS OR UNTIL AUDITED, WHICHEVER IS LATER, AND THEN DESTROY.

**12. MEMO ACCOUNT: PATIENT SOCIAL SECURITY**

Form No.: DMH 630  
Size: 5" x 8"  
Dates: 1958 - -  
Quantity: 1 card drawer (1/2 cubic foot)  
File Arrangement: Alphabetical by patient name  
Audit: State

This is a card record on which are recorded Social Security benefit checks received by the Reimbursements Division on behalf of patients. Each card gives the patient's name, hospital number, the monthly benefit amount, the patient's number, the amount to be received by

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the patient, the amount to be received by Reimbursements as payment on the patient's account, and an entry for each month for a six-year period as to the patient's movement and the date, amount, and cash receipt voucher number of any checks received.

RECOMMENDATION: RETAIN FOR THREE YEARS AFTER DATE OF LAST ENTRY, OR UNTIL AUDITED, WHICHEVER IS LATER, AND THEN DESTROY.

13. AGENTS WEEKLY AND MONTHLY REPORTS

Size: 8 1/2" x 11"  
Dates: 1958-1959  
Quantity: 1 cubic foot  
File Arrangement: Chronological  
Annual Accumulation: Discontinued

This file is composed of reports which summarize the activities of institutional financial agents. The preparation of these weekly reports has been discontinued and monthly reports will replace them. The recommendation below applies to both weekly and monthly reports.

RECOMMENDATION: RETAIN FOR THREE YEARS AND THEN DESTROY.

11. REIMBURSEMENT CORRESPONDENCE

Size: 8 1/2" x 11" in legal folders  
Dates: 1951 - -  
Quantity: 1 drawer  
File Arrangement: Alphabetical by name or subject

This file is composed of correspondence pertaining to the reimbursement of counties for collections on patients' accounts, the abatement of accounts (Board of Public Works), and reimbursement policy (Attorney General); authorizations for changes in sponsor rates; material on reimbursement procedures, rules and regulations, complaints, costs, and legislation, and hearings and decisions on hardship cases.

A. RECOMMENDATION: RETAIN PERMANENTLY THE ABATEMENT OF ACCOUNTS, REIMBURSEMENT POLICY, MATERIAL ON REIMBURSEMENT PROCEDURES, RULES AND REGULATIONS, AND HEARINGS AND DECISIONS ON HARDSHIP CASES.

B. RECOMMENDATION: RETAIN ALL OTHER MATERIAL FOR THREE YEARS AND THEN DESTROY.

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