

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
27#:							
Schedule #: 550	1#:Commissioner's Files of Dept. of Professional & Financial Regulation						
Boards information, dept. reorganization, lease purchase approval, legislation, media, uninsured motorist study, CLEAR, workers compensation files, energy. Used as resource file by the Commissioner.	Paper	1/9/1987	Years 4	No Retention 0	Destroy	Current	
Schedule #: 550	2#:General File of Commissioner's Office						
Commissioner's Activity Reports, Executive Orders, grievance procedure, general correspondence, letters referred Governor's Office, interdepartmental correspondence, press releases, department's smoking policy, telecommunications system, Trade and Industry Assoc., Vehicle Management Task Force. Used to assist the Commissioner in the conduct of his/her responsibilities.	Paper	1/9/1987	Years 4	No Retention 0	Destroy	Current	
Schedule #: 550	3#:Legislative File of Commissioner's Office						
Appraisal forms, correspondence, hearing schedules, Department's legislation, labels, testimony, approved legislation. Used to monitor and present legislation.	Paper	1/9/1987	Years 4	No Retention 0	Destroy	Current	
Schedule #: 550	4#:Licensing Boards of the Dept. of Professional & Financial Regulation						
Annual reports, commission papers, licensing boards and commissions correspondence, Arborist Board, Athletic Commission, Auctioneers Board, Commercial Drive Ed, Dietitians Board, Electricians Board, Foresters, Funeral Service, Geologists, Hearing Aid Dealers, Manufactured Housing, Nursing Home, Occupational Therapy, Oil & Solid Fuel, Pilotage Commission, Physical Therapy, Plumbers, Psychologists, Real Estate Commission, Respiratory Care, Social Worker, Speech Pathologists, Substance Abuse, Bureau of Banking, Bureau of Insurance, Consumer Credit Protection, Licensing & Enforcement Div. Used by the Commissioner to monitor board activities.	Paper	1/9/1987	Years 10	No Retention 0	Destroy	Current	
280#:Accountancy, Board of							
Schedule #: 848	1#:Licensee Files (Board of Accountancy)						
Applications, renewals, letters of recommendation, educational experience and documents related to receiving certification in accounting. Keep in agency until 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years 10	Destroy	Current

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 848 2#:Minutes of Meetings (Board of Accountancy) Monthly meetings to discuss and dispose of board business.	Paper	9/21/1990	Years 2	No Retention 0	Archives	Current	
Schedule #: 848 3#:Correspondence (Board of Accountancy) Correspondence regarding the daily activities of the board. Correspondence includes: inquiries; replies to inquiries; correspondence from other states and other correspondence to obtain a license in Accounting.	Paper	9/21/1990	Years 2	No Retention 0	Destroy	Current	
Schedule #: 848 4#:Management Report-Computer Printout (Board of Accountancy) Computer printouts to assist the board in mangaging licensees. Contains name, address, date of license, expiration date of license, phone number, date of birth, etc.	Computer Printout	9/21/1990	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 848 5#:Continuing Education Files - (Board of Accountancy) Documentation, attendance records, etc. indicating the licensee has gained continued education as part of the license renewal. Keep in agency until updated.	Digital File	9/21/1990	Destroy When Updated	0	No Retention	0	Destroy Current
Documentation, attendance records, etc. indicating the licensee has gained continued education as part of the license renewal. Keep in agency until approved by the board.	Paper	9/21/1990	Contingent Upon Event - See Description	0	No Retention	0	Destroy Current
28#:Administrative Services							
Schedule #: 551 2#:Fiscal Management Reports of Administrative Services Division #550 Cost Center - Management Reports; #530 Cash with expenses by quarter; #520 Summary Trial Balance; #510 Detail Trial Balance; #540 Vendor Purchase History; #040 Purchase Order Report. Used to provide user with better understanding of financial condition of accounts. Retain 1 month and destroy.	Computer Printout	1/9/1987	Retention of Less than 1 Year - See Description	0	No Retention	0	Destroy Current
384#:Alcohol & Drug Counselors, State Bd. of							
Schedule #: 581 67#:Licensee File for Bd. of Registration of Substance Abuse Counselors							

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Applications, renewals, related documents and correspondence, Substance Abuse Counselor. Used to license counselors. Retain in agency until 90 days after expiration.	Paper	3/6/1995	Retention of Less than 1 Year - See Description	0	Years 10	Destroy	Current
Schedule #: 581 68#:Correspondence-Bd. of Reg. of Substance Abuse Counselors							
Used to conduct the daily activities of the Board. Contains correspondence, forms, masters, expense accounts, refund requests, guidelines for rating categories, and other related documents.	Paper	9/21/1990	Years	2	No Retention	0	Destroy Current
Schedule #: 581 69#:Management Reports Bd. of Reg. of Substance Abuse Counselors							
Computer printouts to assist board in managing licensees. Contains names, addresses, date of license, date of original license, expiration date. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 581 70#:Minutes of Meetings - Bd. of Reg. of Substance Abuse Counselors							
Meetings to discuss and dispose of Board business.	Paper	1/9/1987	Years	2	No Retention	0	Archives Current
287#:Arborist Examining Board							
Schedule #: 589 105#:Licensee File - Arborists Examining Board							
Applications, certificate of insurance, exam and results, renewal notices, related correspondene. Used to license arborists.	Paper	8/26/1996	Years	2	No Retention	0	Destroy Current
Schedule #: 589 106#:Correspondence - Arborists Examining Board							
Amdinistration related documents. Used to conduct the daily activities of the Board. Contains correspondence, rules, regulations, laws, insurance certificates, cash book pages, expense accounts, and other related documents.	Paper	9/21/1990	Years	2	No Retention	0	Destroy Current
Schedule #: 589 107#:Minutes of Meetings - Arborists Examining Board							
Meetings to discuss and dispose of Board business. Meets once a year.	Paper	1/9/1987	Years	2	No Retention	0	Archives Current
Schedule #: 589 109#:Management Reports - Arborists Examining Board							

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Computer printouts to assist board in managing licensees. Contains names, addresses, date of license, date of original license, expiration of license. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy Current
288#:Architects & Landscape Architects Board							
Schedule #: 322 1#:Registrant Files							
Folders containing application, national registration booklet or examination records and grades, registration number and any pertinent information on applicant. Retain in agency 90 days after expiration.,	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years	10	Destroy Current
Schedule #: 322 2#:Correspondence (Architects & Landscape Architects)							
Inquiries and information regarding architectural registration, requests from other state boards and from registrants, exam information, applications in process, correspondence from State of Maine departments, printed information, income and expenditure records.	Paper	2/24/1982	Years	2	No Retention	0	Destroy Current
Schedule #: 322 3#:Legal Files							
Files involving legal actions against architect registrants. May be retained in office indefinitely. Files no longer being created or kept by the Board per Karen Bossee 6-8-90.	Paper	2/24/1982	Permanent or Indefinite	0	No Retention	0	Archives Current
Schedule #: 322 4#:Minutes of Board Meetings							
Minutes of Board Meetings.	Paper	9/21/1990	Years	2	No Retention	0	Archives Current
302#:Auctioneers, Board of Licensing of							
Schedule #: 588 101#:Management Reports of the Board of Licensing of Auctioneers							
Computer printouts to assist board in managing licensees. Contains names, addresses, date of license, date of original license, expiration date. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 588 102#:Minutes of Meetings of the Board of Licensing of Auctioneers							

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Meetings to discuss and dispose of Board business. Meets once a year.	Paper	1/9/1987	Years 2	No Retention 0	Archives	Current	
Schedule #: 588 103#:Correspondence-Board of Licensing of Auctioneers							
Used to conduct the daily activities of the Board. Contains correspondence, rules, regulations, laws, bonds, cash book pages, expense accounts, and other related documents.	Paper	9/21/1990	Years 2	No Retention 0	Destroy	Current	
Schedule #: 588 104#:Licensee File of the Board of Licensing of Auctioneers							
Applications, letters of reference, bonds, related documents and correspondence. Used to license auctioneers. Retain in agency 90 days after expiration.	Paper	3/6/1995	Contingent Upon Event - See Description 0	Years 10	Destroy	Current	
265#:Barbering & Cosmetology, Board of							
Schedule #: 184 2#:Inactive Licensee Folders							
General correspondence file relating to obtaining licenses via exams or reciprocity, seeking information, requests for opening beauty establishments or renewing of licenses. Every individual that has ever been issued a license by this board has a permanent card file.	Paper	6/18/1976	Years 3	No Retention 0	Destroy	Current	
Schedule #: 1182 20#:Licensee Files							
Applications, renewals, educational history, and related documents to obtain license as a barber or cosmetologist. Keep in agency until 90 days after expiration.	Paper	1/2/1996	Contingent Upon Event - See Description 0	Years 10	Destroy	Current	
Schedule #: 1182 21#:Management Reports-Computer Printout							
Computer printout of licensees. Contains name, address, phone, d.o.b., original license date, date of license expiration, etc. Retain until updated.	Computer Printout	1/2/1996	Destroy When Updated 0	No Retention 0	Destroy	Current	
Schedule #: 1182 22#:Correspondence							

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Correspondence used to conduct the daily business of the Board: letters requesting information; answers to requests, etc.	Paper	1/2/1996	Years 2	No Retention 0	Destroy	Current	
Schedule #: 1182 23#:Minutes of Meetings							
Written records of action taken by the Board.	Paper	1/2/1996	Years 2	No Retention 0	Archives	Current	
Schedule #: 1182 24#:Exam Results							
Examination result summaries.	Paper	1/2/1996	Years 2	No Retention 0	Destroy	Current	
174#:Boiler Rules, Board of							
Schedule #: 1345 63:Nonpoint Source Grant Program							
Documentation of program grants involving planning, assessment and implementation of pollution control best management practices. Files include project workplans, progress reports, deliverables, slides, photos and related correspondence. Keep in agency until project closed.	Paper	2/21/2001	Years 0	Years 5	Destroy	Current	
30#:Bureau of Consumer Credit Protection							
Schedule #: 788 11#:Insurance Finance Investigations							
Results of insurance financing investigations: correspondence regarding status of investigation Re - Disclosures. Blank forms from Creditors. Requests for information and or results of Redisclosures.	Paper	9/27/1989	Years 2	0	Destroy	Current	
Schedule #: 127 2#:Company File							
Applications and correspondence for Small Loan Companies, Retail Sellers (car dealers), Sales Finance Companies and Home Repair Contractors, Salesmen and Financing Agencies.	Paper	10/20/1975	Years 2	Years 4	Destroy	Current	
Schedule #: 127 3#:Annual Reports							
Financial statements of Small Loan Agencies submitted yearly by law.	Paper	10/20/1975	Years 6	No Retention 0	Destroy	Current	

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<p>Schedule #: 127 4A:Consumer Complaints</p> <p>The Office of Consumer Credit Regulation keeps these consumer complaint records because they verify that Maine consumers filed written complaints with the against the entities which are regulated, such as supervised lenders, debt collectors, credit services organizations, credit reporting agencies, money order issuers/money transmitters, check cashing-foreign currency compaines, debt management service provders, non-bank ATMS, and payroll processors. The files also contain resolution documentation. These records are used by the agency as historical data for inquiries from the complainant, other staes, and from attorneys.</p>	Paper	10/25/2004	Years 2	0	Destroy	Current	
<p>Schedule #: 127 4b:Hearing and Denials</p> <p>The Office of Consumer Credit Regulation maintains records of disciplinary hearings and license/registration denials of entities that our agency regulates. These records consist of formal letters, notice of hearings, orders and supporting documentation. If cases are appealed to court, a transcript of the administrative hearing is included in these records. These records are used by our agency, by other states' regulatory agencies, and by private attorneys for historical data regarding a companys compliance with licensing/registration requirements.</p>	Paper	10/25/2004	Years 10	0	Destroy	Current	
<p>Schedule #: 547 5#:General Correspondence of Bureau of Consumer Credit Protection</p> <p>Letters of inquiry to creditor industry, answers to law questions, etc. Used to answer questions from other interested parties.</p>	Paper	10/24/1986	Years 2	No Retention	0 Destroy	Current	
<p>Schedule #: 547 6#:Research Projects of Bureau of Consumer Credit Protection</p> <p>Bureau educational aids, promotion materials for agency. Contains Down Easter's pocket credit guide, lender's guide, For Sale by Owner, etc. Used to educate the public concerning credit.</p>	Paper	10/24/1986	Years 3	Years 5	Destroy	Current	
<p>Schedule #: 547 7#:Hearing Files of Bureau of Consumer Credit Protection</p> <p>Involves violations of laws administered by the Bureau. Letters of complaint, Superintendent's cease and desist orders, defendants materials, etc.</p>	Paper	10/24/1986	Years 3	Years 4	Destroy	Current	
<p>Schedule #: 547 8#:Licensing Files of Bureau of Consumer Credit Protection</p>							

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Licensing of supervised lenders, debt collectors, credit services organizations, credit reporting agencies, money order issuers/money transmitters, check cashing-foreign currency, debt management service providers, non-bank ATMs, and payroll processors. These files may contain corresponding financial statements, lending information, bonding information and correspondence to and from these licensed entities including investigation finding by the office.	Paper	10/24/1986	Years 6		Destroy	Current	

Schedule #: 547 9#:Notification Forms (MCCC-1) Bureau of Consumer Credit Protection

Filings of volume of business extended by all creditors (including banks) for each calendar year. Used to determine amount of fees paid to the State, and to determine credit trends.	Paper	10/24/1986	Years 2	Years 4	Destroy	Current	
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297#:Chiropractic Licensure, Board of

Schedule #: 850 1#:Management Reports (Board of Chiropractic Examination & Registration)

Computer printout of licenses. contains name, address, phone, date of birth, original license date, date of license expiration, etc.	Computer Printout	9/21/1990	Destroy When Updated	0	No Retention	0	Destroy	Current
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Schedule #: 850 2#:Licensee Files (Board of Chiropractic Examination & Registration)

Application, reference forms, educational data, and related documents required to obtain license as a chiropractor. Keep in agency 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years	10	Destroy	Current
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Schedule #: 850 3#:Correspondence (Board of Chiropractic Examination & Registration)

Correspondence used in the daily function of the board. Correspondence includes: inquiries; responses to inquiries; and such documents needed to obtain a license as a Chiropractic.	Paper	9/21/1990	Years	2	No Retention	0	Destroy	Current
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Schedule #: 850 4#:Minutes of Meetings (Board of Chiropractic Examination & Registration)

Written record of all action takes by the board.	Paper	9/21/1990	Years	2	No Retention	0	Archives	Current
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295#:Commercial Driver Education, Board of

Schedule #: 593 114#:Management Reports - Board of Commercial Driver Education

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Computer printouts to assist board in managing licensees. Contains name, address, date of license, date of original license, expiration date. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 593 115#:Board Meetings - Board of Commercial Driver Education							
Meetings to discuss and dispose of Board business. Meets 6 to 7 times per year.	Paper	9/21/1990	Years	2	No Retention	0	Archives Current
Schedule #: 593 117#:Licensee File - Board of Commercial Driver Education							
Applications, renewals, complaints, related documents and correspondence, schools and instructors. Used to license schools and instructors. Retention period begins when inactive. Keep in agency 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years	10	Destroy Current
Schedule #: 593 118#:Completion Documents - Board of Commercial Driver Education							
List of persons completing an approved Driver Education Course, filed by school. Used to document completion of course.	Paper	9/21/1990	Years	5	Years	20	Destroy Current
Schedule #: 593 119#:Inspection/Investigation Files-Commercial Driver Education							
School inspection reports and complaints. Inspection and investigative reports conducted by the board's inspectors. Technical and personal information and related correspondence.	Paper	9/21/1990	Years	2	Years	5	Destroy Current
502#:Complementary Health Care Providers, Board of							
Schedule #: 849 1#:Management Reports-Computer Printouts (Acupuncture Licensing Board)							
Computer Printout of licensees. Contains name, address, phone, date of birth, original license date, date of license expiration, etc.	Computer Printout	9/21/1990	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 849 2#:Licensee Files (Acupuncture Licensing Board)							
Applications, renewals, disposition sheet, educational grades, and documents related to receiving an Acupuncture license. Keep in agency 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years	10	Destroy Current

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 849 3#:Correspondence (Acupuncture Licensing Board)							
Inquiries, responses to inquiries, and other such correspondence related to receiving a licence to practice acupuncture in Maine.	Paper	9/21/1990	Years 2	No Retention 0	Destroy	Current	
Schedule #: 849 4#:Minutes of Meetings (Acupuncture Licensing Board)							
Written records of all action taken by the board.	Paper	9/21/1990	Years 2	No Retention 0	Archives	Current	
514#:Counseling Professionals Licensure Board							
Schedule #: 992 1#:Management Reports-Computer Printouts							
Computer printout of licensees. Contains name, address, phone, date of birth, original license, date of license expiration, etc. Keep in agency until updated.	Computer Printout	9/1/1992	Contingent Upon Event - See Description 0	No Retention 0	Destroy	Current	
Schedule #: 992 2#:Licensee Files							
Applications, renewals, related documents. Keep in agency 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description 0	Years 10	Destroy	Current	
Schedule #: 992 3#:Correspondence							
Correspondence used to conduct the daily business of the Board.	Paper	9/1/1992	Years 2	No Retention 0	Destroy	Current	
Schedule #: 992 4#:Minutes of Meetings							
Written records of all action taken by the Board.	Paper	9/1/1992	Years 2	No Retention 0	Archives	Current	
313#:Dental Examiners, Board of							
Schedule #: 854 1#:Dentist Application Files							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Applications and corresponding documents such as: Certification of Granted Degree; jurisprudence examination; exam grades, diploma.	Paper	9/21/1990	Years 3	Years 50	Destroy	Current	
Schedule #: 1229 15#:Registration Book of Licensed Dental Practitioners	Paper		Years 20	Years 75	Destroy	Current	
Schedule #: 854 2#:Dental Hygienists Application Files	Paper	9/21/1990	Years 3	Years 30	Destroy	Current	
Applications and corresponding documents such as: Certification of matriculation, examination scores and related correspondence.	Paper	9/21/1990	Years 3	Years 30	Destroy	Current	
Schedule #: 854 3#:Dental Complaints	Paper	9/21/1990	Years 3	No Retention 0	Destroy	Current	
Complaints, responses and related correspondence. Keep in agency until resolved plus 3 years.	Paper	9/21/1990	Years 3	No Retention 0	Destroy	Current	
Schedule #: 854 4#:Correspondence (Board of Dental Examiners)	Paper	9/21/1990	Years 1	No Retention 0	Destroy	Current	
Reports, requests for applications, information lists, etc.	Paper	9/21/1990	Years 1	No Retention 0	Destroy	Current	
Schedule #: 854 5#:Minutes (Board of Dental Examiners)	Paper	9/21/1990	Years 30	No Retention 0	Archives	Current	
The Board of Dental Examiners regulates the practice of dentistry so as to maintain high professional standards. The primary responsibility is to examine and license qualified applicants for a certificate to practice dentistry. The minutes are a written report of all the Board's actions.	Paper	9/21/1990	Years 30	No Retention 0	Archives	Current	
Schedule #: 854 6#:Biennial Registration (Board of Dental Examiners)	Paper	9/21/1990	Years 4	No Retention 0	Destroy	Current	
Cards and forms for the registering and re-registering in the practice of dentistry in Maine. A continuing education log will be added in 1992.	Paper	9/21/1990	Years 4	No Retention 0	Destroy	Current	
Schedule #: 854 7#:Radiographers Applications	Paper	9/21/1990	Years 6	No Retention 0	Destroy	Current	
Applications; registration form; jurisprudence examination; certification of high school matriculation and related correspondence to receiving a license in Radiography.	Paper	9/21/1990	Years 6	No Retention 0	Destroy	Current	

344#:Dietetic Practice, Bd. of Licensure

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 596 127#:Management Reports for Bd. of Registration of Dietetic Practice							
Computer printouts to assist board in managing licensees. Contains names, addresses, original license dates and expiration dates. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 596 128#:Board Meetings of the Bd. of Registration of Dietetic Practice							
Meetings to discuss and dispose of issues relating to registration of dieticians.	Paper	6/18/1992	Years	2	No Retention	0	Archives Current
Schedule #: 596 129#:Correspondence - Board of Registration of Dietetic Practice							
Correspondence used to conduct the daily activities of the Board.	Paper	6/18/1992	Years	2	No Retention	0	Destroy Current
Schedule #: 596 130#:Licensees of the Bd. of Registration of Dietetic Practice							
Applications, transcripts, related documents and correspondence, registered and technicians. Used to license applicants. Keep in Agency until 90 days after inactive.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years	10	Destroy Current
318#:Electricians Examining Board							
Schedule #: 162 12#:Inactive Individual Electrician's Folders							
Electrician's licensing folders - Master, Journeyman, Helper. Containing correspondence relating to applications, testing, notification and licenses. These folders concern individual licenses with which no action has been taken since 1965--deceased, retired, moved or exited trade. Note: See Schedule 23.	Paper	2/20/1976	Years	3	No Retention	0	Destroy Current
Schedule #: 879 13#:Licensee Files-Electricians Examining Board							
Applications, renewals, related documents, etc. Keep in agency until 90 days after expiration. Replaces schedules 154 and 542.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years	10	Destroy Current
Schedule #: 879 14#:Daily Activity Reports-Electricians Examining Board							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Daily reports submitted by inspectors to indicate their activities in the field. These are submitted to the Chief Inspector weekly. Replaces schedules 542 and 154.	Paper	12/11/1990	Years 1	Years 5	Destroy	Current	
Schedule #: 879 15#:Investigation/Inspection Reports-Electricians Examining Board							
Reports made out by inspectors giving summary of investigations and/or inspections performed. Technical and personal information, photographs and related correspondence. Replaces schedules 154 and 542.	Paper	12/11/1990	Years 1	Years 5	Destroy	Current	
Schedule #: 879 16#:Correspondence-Electricians Examining Board							
Letters to and from the Electricians' Examining Board requesting or advising procedure for Electricians' certification. Replaces schedules 154 and 542.	Paper	12/11/1990	Years 2	No Retention 0	Destroy	Current	
Schedule #: 879 17#:Minutes of Meetings-Electricians Examining Board							
A written record of action taken by the Board. Replaces schedules 154 and 542.	Paper	12/11/1990	Years 2	No Retention 0	Archives	Current	
Schedule #: 879 18#:Management Reports - Computer Printouts (Electricians Examining Board)							
Printouts of licensees used to conduct the daily business of the board. Contains name, address, phone, DOB, original license date, date of license expiration, etc. Keep in agency until updated. Replaces schedules 154 and 542.	Computer Printout	12/11/1990	Destroy When Updated	0	No Retention 0	Destroy	Current
Schedule #: 879 19#:Permits for Electrical Installations							
Applications for installation of electrical equipment. Retain in agency 2 years from issue. Replaces schedules 154 and 542.	Paper	12/28/1993	Years 2	Years 15	Destroy	Current	
386#:Elevator and Tramway Safety, Board of							
Schedule #: 1218 1#:Inquiries & Responses (Board of Elevator and Tramway Safety)							
General correspondence generated and maintained by the Board of Elevator and Tramway Safety. Documents in a typical file are: general informational letters, responses to inquiries. Questions and responses regarding: licence renewal; variances; removal of master stampings; and elevator safety compliance.	Paper	4/23/1997	Years 2	No Retention 0	Destroy	Current	
Schedule #: 1218 2#:Licensed Elevator Inspectors							

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Licensee files (elevator inspectors) used by the Board of Elevator and Tramway Safety. Typical file includes: license application; related correspondence; exam application; exam; and exam scores.	Paper	10/21/2002	Years 2	Years 0	Destroy	Current	
Schedule #: 1218 3#:Licensed Tramway Inspectors							
Licensee files (tramway inspectors) used by the Board of Elevator and Tramway Safety. Typical file includes: license application; and related correspondence. Keep in agency 90 day after expiration.	Paper	4/23/1997	Retention of Less than 1 Year - See Description	0	Years 10	Destroy	Current
Schedule #: 1218 4#:Licensed Elevator Mechanics							
Licensee files (Elevator Mechanics) used by the Board of Elevator and Tramway Safety. Typical file includes: license application; related correspondence; exam correspondence; exam application; and exam scores.	Paper	10/21/2002	Years 2	Years 0	Destroy	Current	
Schedule #: 1218 5A:Elevator and Tramway Certification Files (Initial Inspection Report)							
Elevator and tramway certification files used by the Board of Elevator and Tramway Safety. Typical file includes: initial inspection report, current annual inspection report; and elevator/tramway blueprint. Until Terminated.	Paper	10/21/2002	Contingent Upon Event - See Description	0	No Retention 0	Destroy	Current
Schedule #: 1218 5B:Elevator and Tramway Certification Files (Annual Inspection Report)							
Elevator and tramway certification files used by the Board of Elevator and Tramway Safety. Typical file includes: initial inspection report, current annual inspection report; and elevator/tramway blueprint. Keep annual inspection report in agency until updated.	Paper	10/21/2002	Destroy When Updated	5	No Retention 0	Destroy	Current
Schedule #: 1218 5C:Elevator and Tramway Certification (Blueprint, Variances, Plans and Alternatives)							
Elevator and tramway certification files used by the Board of Elevator and Tramway Safety. Typical file includes: initial inspection report, current annual inspection report; and elevator/tramway blueprint. Kep in Agency 1 year or until microfilmed.	Paper	10/21/2002	Years 1	No Retention 0	Destroy	Current	
Elevator and tramway certification files used by the Board of Elevator and Tramway Safety. Typical file includes: initial inspection report, current annual inspection report; and elevator/tramway blueprint.	Roll Microfilm	10/21/2002	Years 100	No Retention 100	Destroy	Current	

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322#:Engineers, Bd. of Reg. for Professional							
Schedule #: 210	1#:Engineers Exams (answer sheets only)						
Any person desiring to practice professional engineering in the State of Maine may apply to the Board for a Certificate of Registration and submit evidence of qualifications to the Board on forms furnished by the Board, and upon approval of the Board, be issued a certificate as a Professional Engineer. Examinations are required of all applicants who do not qualify for registration by endorsement. Files contain the answer sheets of exams taken. The exams are retained in agency for one year and then returned to the entity that produces the exams.	Paper	4/4/2003	Years 4	Years 0	Destroy	Current	
<hr/>							
Schedule #: 317	2A:Application for Registration of Professional Engineers (approved)						
The State of Maine, Board of Registration for Professional Engineers is responsible for licensing of engineers, practicing professional engineering in the State of Maine. In order to safeguard life, health and property, any person practicing or offering to practice the profession of engineering is required to submit evidence of qualification to practice the profession of engineering and must be registered (Title 32, Chapter 19, section 1351). Applications for registration as a professional engineer or certification as an engineer-intern are on a form prescribed and furnished by the Board and contain statements made under oath, showing the applicant's education and a detailed summary of the applicant's technical experience and contains references. The files will be retained in agency for 10 years, 60 years in the State Records Center and then reviewed by the agency prior to destruction to verify no active engineer files are destroyed.	Paper	4/4/2003	Years 10	Years 60	Destroy	Current	
<hr/>							
Schedule #: 317	2B:Application for Registration of Registered Professional Engineers (denied and filed)						
The State of Maine, Board of Registration for Professional Engineers is responsible for licensing of engineers, practicing professional engineering in the State of Maine. In order to safeguard life, health and property, any person practicing or offering to practice the profession of engineering is required to submit evidence of qualification to practice the profession of engineering and must be registered (Title 32, Chapter 19, section 1351). Applications for registration as a professional engineer or certification as an engineer-intern are on a form prescribed and furnished by the Board and contain statements made under oath, showing the applicant's education and a detailed summary of the applicant's technical experience and contains references. Applications that are denied will be retained separately from those that are approved and for a shorter retention period.	Paper	4/4/2003	Years 8	Years 2	Destroy	Current	

29#:Financial Institutions

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 8 2#:Examination Reports of Financial Institutions A report to determine the soundness of assets of each financial institution.	Paper	12/11/2001	Years 5	Years 25	Destroy	Current	
Schedule #: 1809 31#:Advisory Opinions and Bulletins These records support the Administrative / Legal Division. The Bureau of Financial Institutions issues advisory opinions and bulletins. The opinions and bulletins are used by financial institutions, the general public, attorneys, and others for determining compliance with statutes. The file consists of the opinion or the bulletin. These records need to be kept in agency until no longer necessary for review. Examples of advisory opinions and bulletins include the following: Bulletin 2 requires a financial institution to provide the Bureau of Financial Institutions within 10 days of its annual meeting with the name and address of its chief executive officer. Bulletin 9 specifies the fees that the Bureau of Financial Institutions will charge for processing various types of applications. Joint Advisory Ruling 110 provides guidance to banks and credit unions that "odd days" interest should be excluded from the calculation of "points and fees" for purposes of Truth-In-Lending.	Paper	6/16/2011	Variable - See Description	0	0	Archives	Current
Schedule #: 1810 32#:Annual Audit Reports and Management Letters These records support the Supervision Division. Financial institutions are required to employ an independent public accountant to conduct an annual audit. These records are reviewed by staff to determine adequacy of the audit and to ensure that any identified internal control weaknesses are addressed sufficiently by the financial institution. These records consist of the audit report and the accompanying management letter.	Record Copy	6/16/2011	Years 2	0	Destroy	Current	
Schedule #: 1811 33#:Annual Report to the Legislature / Publication / BFI Record Copy							

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
These reports support the Administrative / Research and Analysis Division. The Superintendent is required to report to the Legislature by January 15 annually on the condition of the banking industry in Maine. The report includes a record of applications received and actions taken by the Bureau of Financial Institutions. Additionally, the report includes detailed information of number, types and legal structures of financial institutions; locations of offices and total deposits held; an analysis of the impact of applications approved on the banking structure of the State and the credit needs of the state's citizens and businesses.	Paper	6/16/2011	Variable - See Description	0	0	Archives	Current

These reports need to be kept in agency until no longer necessary for review.

Schedule #: 1812 34#:Applications / Newly formed financial institutions (De Novo)

These records support the Administrative / Legal Division of the Bureau of Financial Institutions. Financial institutions must submit an application to the Bureau when they want to form a new institution. Bureau staff reviews and evaluates the application to make sure that the proposed activities are allowed under the law. A typical application file includes description of the proposed transaction; results of board of director and stockholder votes; business plan; copies of legal agreements; list of banking offices; actual and estimated financial statements; resumes of directors and officers; Community Reinvestment Act evaluations; related correspondence; notice of the decision.	Paper	6/16/2011	Years	5	Years	10	Destroy	Current
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Schedule #: 1812 35#:Applications for all activities other than newly formed financial institutions

These records support the Administrative / Legal Division of the Bureau of Financial Institutions. Financial institutions must submit an application to the Bureau when they want to buy institutions, merge institutions, close institutions, sell institutions, or convert from a federal charter to a state charter. Bureau staff reviews and evaluates the application to make sure that the proposed activities are allowed under the law. A typical application file includes description of the proposed transaction; results of board of director and stockholder votes; business plan; copies of legal agreements; list of banking offices; actual and estimated financial statements; resumes of directors and officers; Community Reinvestment Act evaluations; related correspondence; notice of the decision.	Paper	6/16/2011	Years	5	Years	5	Destroy	Current
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Schedule #: 1813 36#:Closed Financial Institution File

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
<p>These records support the Supervision Division. These files consist of documents that are in the Bureau's files at the time that a financial institution closes and is no longer in business. A typical file will consist of articles of incorporation, bylaws, correspondence, approvals and authorizations issued by the Bureau, and any regulatory disciplinary orders in effect at time of closing. These records are kept for research purposes to respond to inquiries from attorneys, the public, regulators, and staff.</p>	Record Copy	6/16/2011	Years 7	0	Destroy	Current	
<p>Schedule #: 1814 37#:Consumer Complaints</p> <p>These records support the Administrative / Consumer Protection Division. The Bureau of Financial Institutions mediates consumer complaints against financial institutions. The complaint records summarize the nature of the complaint or the inquiry and provide a synopsis of actions taken as well as the outcome of the complaint/inquiry. Records consist of the complaint, related correspondence, and the summary of individual complaints, as well as notifications from the Office of the Comptroller of the Currency with respect to weekly transmittals and quarterly reports of resolution of referred complaints.</p>	Paper	6/16/2011	Years 2	Years 5	Destroy	Current	
<p>Schedule #: 1815 38#:Consumer Outreach - Educational Records</p> <p>These records support the Administrative / Consumer Protection Division. The Bureau conducts consumer education activities. Outreach records consist of booklets, brochures, videos, and presentations compiled by the outreach specialist for delivery to consumers.</p>	Paper	6/16/2011	Years 2	Years 5	Destroy	Current	
<p>Schedule #: 1816 39#:Cooperative Agreement Files</p> <p>These records support the Supervision Division of the Bureau. The Bureau has entered into agreements with the Federal Deposit Insurance Corporation, the Federal Reserve Bank of Boston, and the National Credit Union Administration. These agreements address such areas as sharing examination reports and work papers between agencies and determining who will be responsible for conducting an examination when a financial institution operates in more than one jurisdiction. For example, the Maine Bureau of Financial Institutions and the Federal Deposit Insurance Company are both legally responsible for conducting examinations of the same bank. These agreements allow both agencies to share the examination reports with each other and determines which agency will conduct the bank examination in any given year, as opposed to each agency conducting its own examination every year, at a duplicative cost and disruption to the bank. These contracts must be kept in agency for 5 years after the date the agreement expires.</p>	Record Copy	6/16/2011	Variable - See Description	0	0	Destroy	Current

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type	
<p>Schedule #: 1817 40#:Court Cases / Bureau of Financial Institutions internal work copy</p> <p>These records support the Administrative / Legal Division. The Bureau may be involved in court cases. The records consist of discovery, pleadings, and motions, including research and analysis prepared by Bureau staff or the Maine Office of Attorney General staff, as well as a copy of the court decision. These records are used by Bureau staff for research purposes. Case Example: Saco Valley Federal Credit Union applied to the Superintendent of the Maine Bureau of Banking (now Bureau of Financial Institutions) to change its charter and to expand its membership. The Superintendent granted such permission. The Maine Bankers Association sought judicial review of the Superintendent's decision in court.</p>	Paper	6/16/2011	0	Years	20	Destroy	Current	
<p>Schedule #: 1818 41#:Examination Reports</p> <p>These records support the Supervision Division. The Bureau must examine each financial institution at least once every 36 months. Examinations are conducted on site by Bureau field staff and a written report is generated. The written report is submitted to the Board of Directors of the financial institution. The file consists of the examination report and the Board response and follow-up correspondence. Examination reports found in this series may include reports issued by the Federal Deposit Insurance Corporation, the Office of Thrift Supervision, the National Credit Union Administration, the Federal Reserve Board or other state or federal regulatory agencies.</p>	Paper	6/16/2011	Years	5	Years	15	Destroy	Current
<p>Schedule #: 1819 42#:Examination Work Papers for 1 or 2 Rated Institutions</p> <p>These records support the Supervision Division. The Bureau is required to examine each financial institution at least once every 36 months. Examinations are conducted on site by Bureau field staff. The work paper file consists of all materials gathered by staff to support the findings and conclusions of the written examination report. The work paper file may include copies of board and committee minutes, internal policies, strategic plans, budgets, examiner and bank analysis and memoranda, internal audit reports, financial statements, analyses of and supporting documents for the evaluation of capital adequacy, management, asset quality, liquidity position, and earnings capacity, and sensitivity to market risk, compliance with various statutory mandates, salary schedules, loan trial balances, loan tabs, officer's questionnaire, copies of loan and deposit account documents. For financial institutions rated a 1 or 2, these records must be kept until the conclusion of the next examination.</p>	Record Copy	6/16/2011	Variable - See Description	0		0	Destroy	Current
<p>Schedule #: 1819 43#:Examination Work Papers – 3, 4 or 5 Rated Institutions</p>								

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
These records support the Supervision Division. The Bureau is required to examine each financial institution at least once every 36 months. Examinations are conducted on site by Bureau field staff. The work paper file consists of all materials gathered by staff to support the findings and conclusions of the written examination report. The work paper file may include copies of board and committee minutes, internal policies, strategic plans, budgets, examiner and bank analysis and memoranda, internal audit reports, financial statements, analyses of and supporting documents for the evaluation of capital adequacy, management, asset quality, liquidity position, and earnings capacity, and sensitivity to market risk, compliance with various statutory mandates, salary schedules, loan trial balances, loan tabs, officer's questionnaire, copies of loan and deposit account documents. For financial institutions rated a 3, 4, or 5, these records must be kept until the conclusion of the next 2 subsequent examinations.	Record Copy	6/16/2011	Variable - See Description	0	0	Destroy	Current

Schedule #: 1820 44#:Financial Research and Analysis

These records support the Administrative / Research and Analysis Division. Financial research and analysis is undertaken by Bureau staff on an ongoing basis and for a variety of reasons. It is used to assess the financial condition of individual financial institutions or the industry as a whole; to identify trends; to identify strengths or weaknesses; to measure specific quantifiers; to determine compliance with various regulatory matters. It is undertaken at the request of Bureau management, the Governor, the Legislature, the press, the public, trade associations, and other state or federal agencies. Records consist of internal memos, spreadsheets, charts, and graphs.	Record Copy	6/16/2011	Years	5	0	Destroy	Current
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Schedule #: 1821 45#:Formal Legal Memos

These records support the Administrative / Legal Division and consist of legal memos and accompanying analysis prepared by the Bureau's staff attorney as requested by Bureau personnel. An example of a formal legal memo is a memo prepared by the Bureau of Financial Institution's Staff Attorney at the request of the Superintendent to determine the legality of conduct or the meaning of a given law. An example includes an inquiry by the Superintendent and a response from the Staff Attorney regarding the ability of the Bureau of legally exchange information with a federal regulatory agency	Record Copy	6/16/2011	Years	5	0	Destroy	Current
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Schedule #: 1822 46#:Financial Institution Main Correspondence File

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
These records support the Supervision Division. These files contain correspondence and other materials sent to, received from, or about the financial institution and are used by Bureau staff. These files may contain copies of press releases issued by the institution; media business articles about the institution; financial statements, business plans, salary schedules, change in officers or directors, copies of filings sent to federal regulatory agencies, notifications of annual meetings, notification of publication of various documents required by law.	Record Copy	6/16/2011	Years 5	0	Destroy	Current	
Schedule #: 1823 47#:Financial Institution Legal File							
These records support the Supervision Division. These records contain copies of legal documents related to each bank or credit union, such as such articles of incorporation, bylaws, Bureau approval of trust powers, and Bureau approval of changes in capital, establishment of a subsidiary or a branch, branch closure, branch relocation. The files are used by Bureau staff to determine that the financial institution is operating within the powers granted to it. These records need to be retained for 7 years after the financial institution has closed.	Record Copy	6/16/2011	Variable - See Description	0	Destroy	Current	
Schedule #: 1825 48#:General Correspondence low level							
These records support the Administrative and Examination Divisions and consist of correspondence to and from staff members of the Bureau of Financial Institutions that do not fall into other correspondence records categorized elsewhere. The records may exist in paper form or in email form. Examples of these records may include of intra- and interagency memos, letters prepared by staff to attorneys or industry trade associations (so called position letters), web site linking permissions. NOTE: Bureau staff are required by Bureau policy to retain email messages in electronic form for 5 years.	Record Copy	6/16/2011	Years 5	0	Destroy	Current	
Schedule #: 1826 49#:Initial Notification Filings							
These records support the Administrative / Legal Division. Banks and credit unions must file this form before lending money to Maine consumers. The records are used by Bureau staff to determine who chartered the bank or credit union and to ensure that the type and terms of proposed credit is allowable under Maine law. Typical information includes: name, address, structure of financial institution; staff contact information; type of lending activities to be conducted; proposed marketing/distribution activities. These records need to be retained for five years after failure to keep active status.	Record Copy	6/16/2011	Variable - See Description	0	Destroy	Current	
Schedule #: 1827 50#:Bureau of Financial Institutions Legislation							

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
These records support the Administrative / Legal Division. The records consist of legislative bills, amendments, and testimony and are used by Bureau staff in their work with the Maine Legislature.	Record Copy	6/16/2011	Years 5	0	Destroy	Current	
Schedule #: 1828 51#:Orders and Certificates Issued by the Superintendent							
These records support the Administrative / Legal Division and the Supervision Division. These records consist of corporate and organizational orders and certificates issued by the Superintendent. Examples include authorization or denial to form a new financial institution; to buy, sell, merge, or close a bank or credit union; to change corporate name; to convert charter type. These records should be kept in agency until no longer necessary for review.	Paper	6/16/2011	Variable - See Description	0	Archives	Current	
Schedule #: 1829 52#:Payroll Processor Applications and License Renewals							
These records support the Administrative / Legal Division. Financial institutions that act as a payroll processor must be licensed with the Bureau every year. These records consist of the application, insurance confirmations, surety bond, internal work papers, and a copy of the license issued by the agency.	Record Copy	6/16/2011	Years 5	0	Destroy	Current	
Schedule #: 1830 53#:Periodic Reports Submitted by Financial Institutions							
These records support the Administrative and Supervision Divisions. These records consist of reports collected by the Bureau of Financial Institutions from financial institutions. The reports are used by Bureau staff for research and analysis and to collect fees and assessments.	Record Copy	6/16/2011	Years 5	0	Destroy	Current	
Schedule #: 1831 54#:Press releases							
These records support the Administrative and the Supervision Divisions. These records consist of press releases issued by the Bureau. Press releases are issued to inform the banking industry and the public at large of matters that may impact them, such as approval of a new bank, closure of an existing bank, scams, security breaches, etc.	Record Copy	6/16/2011	Years 5	0	Destroy	Current	
Schedule #: 1832 55#:Regulatory Disciplinary Orders							

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
<p>These records support the Supervision Division. These records consist of an order issued by the Bureau to a financial institution, reports, related attachments, and correspondence. Generally, regulatory disciplinary orders are issued to address safety and soundness of financial institutions. These records are a formal action by the Bureau requiring specific action or cessation of action by the financial institution. These records are used by Bureau staff after the order is issued to measure compliance with the order. These records need to be retained for 7 years after the order is lifted.</p>	Record Copy	6/16/2011	Variable - See Description	0	Destroy	Current	
<p>Schedule #: 1833 56#:Restricted Term Filings – Accompanying Documentation</p> <p>These records support the Administrative / Legal Division. If a business wants to use certain terms, such as “bank”, “savings”, or “trust”, or “credit union” in the conduct of business in the State of Maine and it is not a financial institution, then it must apply for permission to the Bureau to use the restricted term. These records consist of the form and accompanying documentation regarding a request for permission to use a restricted term, such as accompanying documents, corporate documents, and related correspondence.</p>	Record Copy	6/16/2011	Years 5	0	Destroy	Current	
<p>Schedule #: 1834 57#:Restricted Term Filings – Authorization or Denial Letter</p> <p>These records support the Administrative / Legal Division. If a business wants to use certain terms, such as “bank”, “savings”, or “trust”, or “credit union” in the conduct of business in the State of Maine and it is not a financial institution, then it must apply for permission to the Bureau to use the restricted term. These records consist of a form requesting permission to use a restricted term. The authorization or denial letter must be kept in agency until no longer necessary for review.</p>	Record Copy	6/16/2011	Variable - See Description	0	Destroy	Current	
<p>Schedule #: 1835 58#:Security Breach Notifications</p> <p>These records support the Administrative / Legal Division. If a financial institution has a security breach of personal data, it must notify the Bureau. These records consist of correspondence containing the nature of the breach, how many individuals were impacted, what the institution has done to notify those impacted individuals, and what remediation efforts have taken place.</p>	Record Copy	6/16/2011	Years 7	0	Destroy	Current	
<p>Schedule #: 1836 59#:Surveys Requested by the Legislature.</p>							

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
These records support the Administrative and Supervision Divisions. From time to time the Bureau surveys financial institutions on matters requested by the Maine Legislature. These records consist of the individual surveys, the summary results, related correspondence, and analysis. For example, in years past, the Banking and Insurance Committee requested that the Bureau of Financial Institutions survey the banking industry to determine the number and locations of all automated teller machines in Maine.	Paper	6/16/2011	Years 5	Years 5	Destroy	Current	
Schedule #: 1837 60#:Trade Association Files – Accreditation work papers							
These records support the Administrative and the Supervision Divisions. The Bureau is a member of the Conference of State Bank Supervisors, a national trade association. The Bureau is accredited by the Conference of State Bank Supervisors. The Bureau becomes accredited to obtain recognition of competency in the bank regulatory arena. These records consist of accreditation file work papers. Retain 2 most recent sets of work papers in agency until conclusion of subsequent accreditation process.	Record Copy	6/16/2011	Variable - See Description	0	0	Destroy	Current
Schedule #: 1838 61#:Trade Association Files – Membership agreements							
These records support the Administrative and the Supervision Divisions. The Bureau belongs to 2 national trade associations, the Conference of State Bank Supervisors and the National Association of State Credit Union Supervisors. These records consist of membership agreements.	Record Copy	6/16/2011	Years 5	0	0	Destroy	Current
Schedule #: 1839 62#:Trade Association Files – Profiles, Surveys, and Correspondence							
These records support the Administrative and the Supervision Divisions. The Bureau belongs to 2 national trade associations, the Conference of State Bank Supervisors and the National Association of State Credit Union Supervisors. These records consist of profiles, surveys, and other correspondence with these organizations.	Record Copy	6/16/2011	Years 5	0	0	Destroy	Current
Schedule #: 1840 63#:Work Papers for Rules, Advisory Opinions, and Bulletins							
These records support the Administrative / Legal Division. These files consist of supporting documentation such as drafts, notices, research, analysis, and correspondence that are associated with rules issued under APA and advisory opinions and bulletins issued by the Bureau. These records must be retained for 10 years once the rule, advisory opinion, or bulletin becomes inactive.	Record Copy	6/16/2011	Variable - See Description	0	0	Destroy	Current

333#:Foresters, Licensure Bd. of Professional

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 592 110#:Management Reports - Bd. of Registration of Professional Foresters							
Computer printouts to assist board in managing licensees. Contains name, address, date of license, date of original license, date of expiration. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 592 111#:Board Minutes - Bd. of Registration of Professional Foresters							
Meetings to discuss and dispose of Board business. Meets two times a year.	Paper	9/21/1990	Years	2	No Retention	0	Archives Current
Schedule #: 592 112#:Correspondence-Bd. of Registration of Professional Foresters							
Used to conduct the daily activities of the Board. Contains complaints, sunset review, annual reports, analysis sheets, cash book pages, legislation and other related documents.	Paper	9/21/1990	Years	2	No Retention	0	Destroy Current
Schedule #: 592 113#:Licensee Files - Bd. of Registration of Professional Foresters							
Applications, transcripts, related documents and correspondence. Used to license professional foresters. Retention period begins when inactive. Keep in agency until 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years	10	Destroy Current
331#:Funeral Service, State Board of							
Schedule #: 595 124#:Board Meetings - Board of Funeral Service							
Meetings to discuss and dispose of Board business. Meets once a month.	Paper	9/21/1990	Years	2	No Retention	0	Archives Current
Schedule #: 595 125#:Correspondence - Board of Funeral Service							
Used to conduct the daily activities of the Board. Contains correspondence, standard operating procedures, inspectors reports, lists of colleges, mortuary trust agreements, and other related documents.	Paper	9/21/1990	Years	2	No Retention	0	Destroy Current
Schedule #: 595 126#:Licensee Files - Board of Funeral Service							

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Applications, transcripts, exam scores, related documents and correspondence, includes practitioners, trainees, homes, attendants, livery, embalmers and directors. Note: last two are obsolete but grandfathered. Used to license funeral service personnel. Retain in agency 90 days after expiration.	Paper	3/6/1995	Contingent Upon Event - See Description	0	Years 10	Destroy	Current
Schedule #: 595 127#:Inspection/Investigation Files (Board of Funeral Service)							
Inspection and investigation reports conducted by the board's inspectors. Technical and personal information and related correspondence--complaint reports, investigation reports, daily activities of inspectors.	Paper	9/21/1990	Years	2	Years 5	Destroy	Current
70#:Geologists & Soil Scientists Cert. Board							
Schedule #: 594 119#:Management Reports - Bd. of Cert. for Geologists & Soil Scientists							
Computer printouts to assist board in managing licensees. Contains name, address, date of license, original date of license, expiration date. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 594 120#:Bd. Meeting Minutes-Bd. of Cert. for Geologists & Soil Scientists							
Meetings to discuss and dispose of Board business. Board meets 2-3 times a year.	Paper	9/21/1990	Years	2	No Retention	0	Archives Current
Schedule #: 594 121#:Correspondence-Bd. of Cert. for Geologists & Soil Scientists							
Used to conduct the daily activities of the Board. Contains correspondence, rules, regulations, laws, cash book pages, expense accounts, and other related documents.	Paper	9/21/1990	Years	2	No Retention	0	Destroy Current
Schedule #: 594 122#:Licensee File-Bd. of Cert. for Geologists & Soil Scientists							
Applications, references, transcripts, related documents and correspondence, geologists and soil scientists. Used to license geologists and soil scientists. Retain in agency 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years 10	Destroy	Current
164#:Hearing Aid Dealers and Fitters Board							
Schedule #: 541 22#:Minutes of Meetings - Board of Hearing Aid Dealers & Fitters							

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Supervises issuance of licenses; administers examinations to qualified applicatns; provides educational programs for licensees and/or trainees.	Paper	10/24/1986	Years 2	No Retention 0	Archives	Current	
Schedule #: 541 23#:Correspondence - Board of Hearing Aid Dealers & Fitters							
General correspondence, continuing ed material, related administrative materials. Used to conduct daily activities of the Board.	Paper	9/21/1990	Years 2	No Retention 0	Destroy	Current	
Schedule #: 541 24#:Trainee License Files - Board of Hearing Aid Dealers & Fitters							
Applications, birth certificates, high school diploma, correspondence. Used to license trainees. Retain in agency until 90 days after expiration.	Paper	9/21/1990	Retention of Less than 1 Year - See Description	0	Years 25	Destroy	Current
Schedule #: 541 27#:Management Reports - Board of Hearing Aid Dealers & Fitters							
Computer printouts to assist board in managing licensees. Contains names, addresses, license date, original license date. Retain until updated.	Computer Printout	10/24/1986	Destroy When Updated	0	No Retention 0	Destroy	Current
Schedule #: 541 28#:Licensee Files (Hearing Aid Dealers and Fitters)							
Applications, birth certificates, high school diploma, verification of continuing ed 10 years, renewal notice, correspondence, practical and written exams. Used to license dealers. Retain in agency until 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years 10	Destroy	Current
31#:Insurance							
Schedule #: 1576 1:Workers Compensation Residual Market Pool Deficit Reduction & Recovery Act Files							

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Purpose of project: The act established a method for funding the obligations of the residual market mechanism in the State arising from workers' compensation policies issued between January 1, 1988 and December 31, 1992. The obligation for funding of the residual market pool was required by legislation enacted in 1987. Duration of project: 1995-2001. The records were created as a result of litigation involving servicing carriers (insurers) and the Bureau of Insurance. The records are a result of exhaustive research conducted by Bureau staff at the direction of the Attorney General's office. The records contain correspondence and/or forms in regards to Workers Compensation Residual Market Pool Deficit Reduction & Recovery Act. There is not one set example of records due to the wide array of information gathered/contained. "Residual market" means the instrument to provide coverage to employers not able to obtain coverage in the voluntary market. Retain in agency through end of project, then transfer to State Records Center.	Paper	9/29/2004	Contingent Upon Event - See Description	0	Years 15	Destroy	Current
Schedule #: 62 1#:Foreign Insurance Company Annual Statements in Booklet Form							
Annual statements of insurance companies filed with this bureau in booklet form.	Paper	1/24/1975	Years	1	Years 5	Destroy	Current
Schedule #: 137 10#:Road Service Agents Licenses							
License for agents for AAA, ALA, Etc.	Paper	10/20/1975	Years	7	No Retention	0	Destroy Current
Schedule #: 137 11#:Rating Bureau and Advisory Organization Licenses							
License to operate as a Rating Organization in Maine.	Paper	10/20/1975	Years	7	No Retention	0	Destroy Current
Schedule #: 137 12#:Refunds on License Fees when Qualifications not Completed							
Refunds on license fees when qualifications not completed.	Paper	11/19/2002	Years	4	No Retention	0	Destroy Current
Schedule #: 1328 13:Utilization Review Licensing Records							
Utilization Review companies review claims of insured for insurance companies to determine medical necessity for care. The Bureau of Insurance licenses these companies. Files contain license applications, supporting documentation, correspondence and renewals. These files will be kept in agency for 1 yr. In paper form, then be scanned and kept electronically for 9 yrs.	Paper	11/5/1999	Years	1		0	Destroy Current

Department Series Report

2: Professional & Financial Regulation

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Utilization Review companies review claims of insured for insurance companies to determine medical necessity for care. The Bureau of Insurance licenses these companies. Files contain license applications, supporting documentation, correspondence and renewals. These files will be kept in agency for 1 yr. In paper form, then be scanned and kept electronically for 9 yrs.	Hard Disk	11/5/1999	Years 9	0	Destroy	Current	
Schedule #: 137 13#:Company and Agent Cards							
Company agent and individual cards showing company name, agent's name, year renewed and year of inactive status. Retain as long as company is licensed.	Computer Printout	1/9/1987	Contingent Upon Event - See Description	0	No Retention	0	Destroy Current
Schedule #: 1327 14:Consumer Health Care							
These are consumer complaint files against an insurance company or utilization review company. Files contain consumer complaints, investigation records, division reports, health plan reporting, provider contracts, and miscellaneous correspondence.	Hard Disk	11/25/2003	Years 10	0	Destroy	Current	
Schedule #: 194 14#:Life & Health Forms							
Policy forms submitted by licensed insurance companies for approval by Bureau of Insurance prior to use in Maine. Destroy paper 1 year after microfilmed and confirmed.	Paper	5/18/1990	Years 1	No Retention	0	Destroy	Current
Policy forms submitted by licensed insurance companies for approval by Bureau of Insurance prior to use in Maine. Destroy paper 1 year after microfilmed and confirmed.	Microfiche	5/18/1990	Years 10	No Retention	0	Destroy	Current
Schedule #: 385 16#:Workers Compensation Self-Insurance Program Files							
Evidentiary material re corporate finances; detailed financial data; information concerning claimants and claim value; trade secret and proprietary information of a business competitive nature; excess of loss workers compensation policies of self-insurers; evidentiary material regarding trust documents, letters of credit and guarantys; board meeting minutes.	Paper	6/11/1996	Years 2	Years 20	Destroy	Current	
Schedule #: 472 17#:Disapproved/Withdrawn Company Files							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Applications for Certificate of Authority to conduct business in Maine and related documents. Paper may be destroyed after microfilming.	Roll Microfilm	10/24/1986	Years	100	No Retention	0	Destroy Current
Applications for Certificate of Authority to conduct business in Maine and related documents. Paper may be destroyed after microfilming.	Paper	10/24/1986	Destroy After Conversion to Another Medium	0	No Retention	0	Destroy Current
Schedule #: 472 19#:Licensed Company Files							
Applications to sell insurance in Maine, financial data, list of officers, related documents. Paper may be destroyed after microfilming.	Paper	10/24/1986	Destroy After Conversion to Another Medium	0	No Retention	0	Destroy Current
Applications to sell insurance in Maine, financial data, list of officers, related documents. Paper may be destroyed after microfilming.	Roll Microfilm	10/24/1986	Years	100	No Retention	0	Destroy Current
Schedule #: 87 2#:Insurance Complaints							
Complaints received by Bureau of Insurance regarding companies, agents, etc. Destroy as soon as case is closed.	Hard Disk	9/21/1990	Years	10	No Retention	0	Destroy Current
Schedule #: 514 21#:Workers Compensation Rate, Form and Rate Rule Filings							
Detailed filings regarding an insurer's rates and supplementary rate information.	Hard Disk	1/11/1994	Years	10			Destroy Current
Schedule #: 778 22#:Insurance Companies in Receivership							
Companies which have gone bankrupt. Files include: Court Orders; Receivership Notification; Receivers Report; Orders for Confirmation of Transfer and related correspondence. Keep in Agency until migrated to Computer.	Paper	1/16/2002	Years	0	Years	0	Destroy Current
Companies which have gone bankrupt. Files include: Court Orders; Receivership Notification; Receivers Report; Orders for Confirmation of Transfer and related correspondence.	Hard Disk	1/16/2002	Years	17	Years	0	Destroy Current
Schedule #: 778 23#:Maine Domestic Insurance Company Takeovers							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Maine domestic insurance companies that are being bought out by a foreign insurance company. Files include: Affidavits; Statement Regarding the Acquisition of Control; related correspondence.	Paper	12/14/1989	Years 5	Years 15	Destroy	Current	
Schedule #: 778 24#:Maine Domestic Insurance Companies Annual Statements							
Yearly financial statements of Maine domestic insurance companies - balance sheet, schedules, exhibits, expenses, etc.	Paper	12/11/1990	Years 5	Years 20	Destroy	Current	
Schedule #: 817 25#:All Docketed Files (Insurance)							
Records of hearings and filings of rate increases: case files, exhibits, and data requests.	Paper	3/13/1990	Years 5	Years 15	Destroy	Current	
Schedule #: 964 29#:Property & Casualty Insurance Files							
Insurance companies must file rates, rules and forms for Bureau review. These are retained for reference by Bureau and public. Files include: correspondence, policy forms, rules, and rating structure.	Hard Disk	2/24/1992	Years 10	No Retention 0	Destroy	Current	
Schedule #: 137 3#:Insurance Company Annual Continuation							
Annual renewal application by insurance company to do business in Maine for the coming year. Obsolete per Jennifer Rice RO 11/28/01	Paper	10/20/1975	Years 2	No Retention 0	Destroy	Current	
Schedule #: 1004 30:Non-Licensed Applicants - Applications							
Incomplete applications; lack of response for requests made by Bureau regarding fees, forms; incomplete answers to questions on applications; withdrawal of applications; applications expiring after applicant failed to take examinations within 90 days of notifications (Title 24-A #1524) and/or second failure as now must refile, etc. Bureau of Insurance issues occupational insurance licenses for agents, consultants, brokers, adjusters, etc. A. Applications to keep 100 days after final request and no response received/ 0 Record Center/Destroy.	Paper	2/23/1993	Retention of Less than 1 Year - See Description	0	No Retention 0	Destroy	Current
Schedule #: 1004 31:Cash Receipts for Money							
The Bureau collects funds for fees, licenses and other charges per title 24-a 601. These files contain documents relative to receipt of these funds such as deposit sheets, refunds, etc.	Hard Disk	4/12/1996	Years 5		Destroy	Current	

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
<p>Schedule #: 1048 32#:Prior Legislative Files</p> <p>There is some information during the creation of life of L.D.'s that the Bureau is monitoring in which we have the only copy of the particular document. Therefore these records should be retained. These items include testimony, correspondence, Bureau amendments, etc.</p>	Paper	12/8/1993	Years 2	Years 6	Destroy	Current	
<p>Schedule #: 1066 33#:Doctor's Liability Claim Forms</p> <p>Claims Reports that have been filed against the Doctors of Maine must be submitted to be Bureau of Insurance for logging and storing. These claim forms are entered into the computer and files are maintained against the doctors and the insurance companies. These records are maintained in paper form until entered into a database at which time the paper copies are destroyed</p>	Hard Disk		Years 20		Destroy	Current	
<p>Schedule #: 1068 34#:Market Conduct Individual Agent Files</p> <p>Whenever a complaint is received by the Market Conduct Division, a file is set up. If a policyholder is having trouble with an individual insurance agent, Market Conduct is the division to help them. The complaint is investigated by one of our examiners and appropriate measures are taken. The file may contain copies of policies, cancelled checks, complaint and contact letter to the agent or his agency or company, etc. Also there is a computer page that is issued to every file. Keep in agency 4 years after case closed.</p>	Paper	12/2/1993	Years 4	Years 6	Destroy	Current	
<p>Schedule #: 1068 35#:Market Conduct Projects & Case Files</p> <p>When Market Conduct receives a complaint about an insurance agent or agency, it is investigated and appropriate measures are taken. These files may contain copies of policies, cancelled checks, and complaint and contact letter to the agency. Files on licensees who have been the subject of numerous complaints are considered projects. These files contain legal actions taken against the licensee, copies of correspondence, memos, policies, other documentation, and computer printouts that monitor the case. Also, possibly monetary fines and/or license restriction information documented in the case file. Case files and project files should be retained for 5yrs and at the record center 15 yrs for a total retention of 20 yrs.</p>	Paper	10/18/1999	Years 5	Years 15	Destroy	Current	
<p>Schedule #: 1079 36#:Termination Orders-Licenses of Agents, Producers, Brokers, Consultants, Adjusters</p>							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Title 24-A M.R.S.A.; The license of any agent, broker, or consultant who fails to comply with Continuing Education requirements upon the biennial expiration date shall not be renewed and shall terminate. Upon cancellation by the surety and failure of the broker, consultant, and adjuster to procure satisfactory replacement bond prior to cancellation, the license shall terminate. Title 24-A ss 1464; ss2020 Failure to respond to Superintendent; failure to pay continuation fee; failure to pay one-time license fee.	Paper	3/11/2002	Years 2	Years 18	Destroy	Current	
Schedule #: 1079 37#:Cancellation of Appointments							
Title 24-A M.R.S.A., ss 1420-N; the insurer may terminate (cancel) an appointment at any time and provide written notice (Cancellation Form L-107). Accompanying the notice of termination given the superintendent, the insurer shall file with him a statement of the cause for termination.	Paper	4/12/1996	Years 1	Years 20	Destroy	Current	
Schedule #: 1079 38#:Appointments of Agents and Staff Adjusters by Insurers							
In accordance with Title 24-A M.R.S.A., ss 1420-N; each insurer appointing an agent shall file with the superintendent the appointment in writing (Appointment Form L-104) and specify the kinds of insurance to be transacted by the agent for the insurer. The requirement as noted above for agents is also required with respect to an adjuster who is an employee of an insurer. Each insurer appointing a staff adjuster shall file in writing Appointment Form L-104A.	Paper	4/12/1996	Years 1	Years 20	Destroy	Current	
Schedule #: 1079 39#:Surety Bond Cancellations							
Title 24-A M.R.S.A., ss 1464-2020; The bond shall remain in force until released by the superintendent, or until cancelled by the surety. The surety may cancel the bond upon written notice to the superintendent and broker, consultant, or adjuster. These bonds are posted by the insurance company for which the agent works in case agent is sued.	Paper	4/12/1996	Years 1	Years 20	Destroy	Current	
Schedule #: 137 4#:Agent License and Producer Files							
Applicant's history and qualification to sell insurance.	Paper	4/12/1996	Years 1	Years 20	Destroy	Current	
Schedule #: 1079 40#:Surety Bonds							
Title 24-A M.R.S.A., ss 1464 & 2020 require that every applicant for broker, consultant, and adjuster licenses shall file and maintain in force while so licensed a bond in favor of the State of Maine executed by an authorized surety insurer. These bonds are posted by an insurer on an agent in case the agent is sued.	Paper	4/12/1996	Years 1	Years 20	Destroy	Current	

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
<p>Schedule #: 1080 41#:Insurance Company Demutualizations (Conversions)</p> <p>Files created as a result of a conversion. Back-up documents should be retained in order to know the name of the company before it was converted to another name and back-up correspondence involved during the conversion process. This conversion is from insured's owning a company to a stock corporation. UNUM is the new company. This conversion is a model for future conversions throughout the country. In addition to correspondence, files contain testimony from Bureau of Insurance hearings leading up to Union Mutual's conversion. AMENDED 12/29/94 TO INCLUDE ALL FUTURE INSURANCE COMPANY CONVERSIONS.</p>	Paper	12/29/1994	Years 1	Years 50	Archives	Current	
<p>Schedule #: 1080 42#:Miscellaneous Hearing Files (Not Rate Hearings)</p> <p>Files Containing information on Bureau of Insurance hearing that did not fall under the ALL DOCKET FILES schedules. These include several docketed legal files from 1984- 1999 for hearings other than rate hearings. This also includes all Cancellation Control Act Hearings (P&C Hearings).</p>	Paper	4/14/1994	Years 1	Years 10	Destroy	Current	
<p>Schedule #: 1080 43#:Insurance Companies Insolvencies (Non-Domestic)</p> <p>Baldwin United insolvency correspondence. This is the only Maine based insurance company to go insolvent. More are expected to follow. File consists of establishing and tracking timetable for Baldwin's liquidation.</p>	Paper	4/14/1994	Years 2	Years 20	Destroy	Current	
<p>Schedule #: 1080 44#:Guaranty Fund Files</p> <p>The Maine Insurance Guaranty Association is an Association comprised of all licensed property and casualty insurers. In the event of the insolvency of a member insurer, the Association responds to claims obligations to the extent provided for under Maine law. These files include periodic reports filed by the Association with the Maine Bureau of Insurance and miscellaneous correspondence between the association and the Bureau.</p> <p>The Maine Life and Health Insurance Guaranty Association is an Association comprised of all licensed life and health insurers. In the event of the insolvency of a member insurer, the Association responds to claims obligations to the extent provided for under Maine law. These files include periodic reports filed by the Association with the Maine Bureau of Insurance and miscellaneous correspondence between the association and the Bureau.</p>	Paper	4/14/1994	Years 2	Years 10	Archives	Current	
<p>Schedule #: 1126 45#:Company Withdrawals during the Workers' Compensation Crisis</p>							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type	
<p>Insurance companies who withdrew during the Workers' Compensation crisis. These records are of high importance and should be retained for future reference, if necessary. These records are original and much of them were created in the Bureau of Insurance. High level correspondence to and from the Bureau of Insurance from insurance companies which wanted to withdraw from workers compensation in Maine. Files include letters and legal documents, such as requests from insurance companies to be allowed to withdraw and Bureau of Insurance decisions on these requests.</p>	Paper	10/30/1997	Years 2	Years 18	Archives	Current		
<p>Schedule #: 1232 46#:Renewals of Insurance Adjusters, Consultants & Producers</p> <p>This information is kept for inquiries pertaining to licensing laws; for information regarding individuals license/ licensing section and inquiries for the public.</p>	Paper	1/16/2002	Years 1	Years 3	Destroy	Current		
<p>Schedule #: 1285 47#:Bureau Generated Paid Invoices for Company & Individual Fees</p> <p>Recent procedures changed our licensing process from requesting payment at the time of application, to a billing system. These hard copy invoices are the Bureaus only hard copy tracking of invoices sent and payment received. The number stamped on the invoice represents the cash receipt number showing the invoice was paid.</p>	Paper	10/26/1998	Years 1	Years 7	Destroy	Current		
<p>Schedule #: 1418 49:Work Papers from Financial Examinations of Insurance Companies</p> <p>The agency keeps these records as a reference and proof for the Exam Division of the various insurance companies' financial records that were thoroughly examined through the auditing process. Documents include: planning, financial statements, correspondences, minutes, assets, liabilities and capital, income statement, expenses, systems documentation, systems testing, and contracts. Keep in agency through second audit plus 5 years. Keep in Records Center 5 years after receiving boxes.</p>	Paper	5/24/2002	Contingent Upon Event - See Description	0	Variable - See Description	5	Destroy	Current
<p>Schedule #: 1431 50#:Licensing: Terminated Agencies</p> <p>A termination order is filed with the regular terminated orders, but agencies are terminated for various reasons. Some of the examples of orders are failure to pay first time license fees, failure to pay continuation fee, and notification by the agency that they are no longer in business or they no longer have an individual affiliated.</p>	Paper	4/18/2003	Years 1	Years 19	Destroy	Current		
<p>Schedule #: 1431 51#:Licensing: Penalty Letters</p>								

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Penalty letters are sent to licensed entities for failure to notify the Bureau of Insurance of address changes, discipline actions, completion of continuing education and other violations of Title 24-A.	Paper	4/18/2003	Years 1	Years 2	Destroy	Current	
Schedule #: 1431 52#:Licensing: Voluntary Terminations							
Letters received from producers, adjusters, consultants, and agencies requesting to terminate their licenses or authority.	Paper	4/18/2003	Years 1	Years 4	Destroy	Current	
Schedule #: 1592 53#:Property and Casualty Complaint Files							
Data supports the market conduct and examination responsibilities of the agency and are used for possible disciplinary action against licensees. A typical file will include the complaint form completed by the consumer, as well as any supporting documents submitted. Files need to be kept for the possible need to reopen for further investigation.	Hard Disk	1/9/2004	Years 10	0	Destroy	Current	
Schedule #: 1592 54#:Life and Disability Complaint Files							
The Bureau needs to keep these records in order to audit the nature of the complaints. The records are used to assist consumers with various types of complaints. A typical file will include the complaint form completed by the consumer, as well as any supporting documents submitted by said consumer. These files need to be kept for the possibility of a need to reopen them for further investigation.	Paper	1/9/2004	Years 1	Years 9	Destroy	Current	
Schedule #: 1608 56#:NCCI (National Council of Compensation Insurance) Rate, Rule and Form Filing							
The National Council on Compensation Insurance is an organization that submits Loss Cost Filings which insurance companies use as a guideline to base their rates. These records are held for review by the public and to satisfy policy holder inquiries. A file may include the Maine Bureau of Insurance Property/Casualty Division Filing Transmittal Form as well as correspondence between the insurance company and the Maine Bureau of insurance. NCCI stands for National Council on Compensation insurance.	Hard Disk	6/17/2004	Years 10	0	Destroy	Current	
Schedule #: 137 6#:Insurance Company Filing Fee							
Yearly filing fee by company accompanying annual statement.	Paper	10/20/1975	Years 2	No Retention	0	Destroy	Current

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 137 7#:Surety Power of Attorney Revocations							
Power of Attorney given to individual in connection with signing surety bond for company.	Paper	10/20/1975	Years 7	No Retention 0	Destroy	Current	
Power of Attorney given to individual in connection with signing surety bond for company. Retain until cancelled by surety.	Computer Printout	1/9/1987	Contingent Upon Event - See Description	No Retention 0	Destroy	Current	
360#:Land Surveyors, Bd. of Licensure for							
Schedule #: 845 1#:Management Reports (License for Professional Land Surveyors)							
Computer printouts of licensees. Contains name, address, phone, date of birth, original license date, date of license expiration, etc.	Computer Printout	9/21/1990	Destroy When Updated	No Retention 0	Destroy	Current	
Schedule #: 845 2#:Licensee Files (License for Professional Land Surveyors)							
Applications, renewals, related documents, etc. (transcripts, diplomas, birth certificates, references. Keep in agency 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	Years 10	Destroy	Current	
Schedule #: 845 3#:Correspondence (License for Professional Land Surveyors)							
Correspondence used to conduct the daily business of the Board. To include: inquiries, response to inquiries; dunning notices and all correspondence related to obtaining a license.	Paper	9/21/1990	Years 2	No Retention 0	Destroy	Current	
Schedule #: 845 4#:Minutes of Meetings (License for Professional Land Surveyors)							
Written records of all action taken by the Board.	Paper	9/21/1990	Years 2	No Retention 0	Archives	Current	
41#:Licensing & Registration							
Schedule #: 1170 132#:Correspondence (Massage Therapy)							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Correspondence regarding the daily activities of registered and certified massage therapists in Maine. Mostly consists of requests for information and responses.	Paper	11/30/1995	Years 2	No Retention 0	Destroy	Current	
Schedule #: 1170 133#:Licensee Files (Massage Therapy)							
Files of all certified massage therapists and registered massage therapists. Files include application form, diplomas, photograph, criminal record checks, doctors record checks, and letters of reference. Keep in agency 90 days after expiration.	Paper	11/30/1995	Years 0	Years 10	Destroy	Current	
Schedule #: 1173 134#:Legislative Files (Licensing & Enforcement)							
These files include: (1) copy of draft legislation; (2) copy of original bill and any amendments; (3) copy of fiscal; note and any amendments; (4) copy of the Legislative Appraisal Form; (5) copy of testimony on the bill; (6) any notes or correspondence regarding the legislation; and (7) a copy of the final bill/public Law if passed. Keep in agency 1 year after end of session.	Paper	11/30/1995	Years 1	Years 5	Destroy	Current	
Schedule #: 1183 135#:Contracts Between Fund Raiser and Charity (Charitable Solicitations)							
One year contacts entered into between professional fund raisers and charitable organizations. Each year the professional fund raiser submits its contracts. As the contracts are renewed, they are placed into the file of the professional fund raiser. Keep in agency 1 year after expiration.	Paper	3/22/1996	Years 1	No Retention 0	Destroy	Current	
Schedule #: 1183 136#:Yearly Financial Reports from Charities (Charitable Solicitations)							
Yearly financial reports filed by charitable organizations. Keep in agency until updated.	Paper	3/22/1996	Destroy When Updated 0	No Retention 0	Destroy	Current	
Schedule #: 1613 137P:minutes of Meeting Board of Boiler and Pressure Vessels							
The minutes of each meeting are a written record of all actions taken by the board of boiler and pressure vessels regarding complaints, licensee files etc.	Paper	5/3/2004	Years 2	0	Archives	Current	
Schedule #: 1669 140#:Minutes of Meetings Board of Elevator and Tramway Safety							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
The minutes of each meeting are a written record of all actions taken by the Board of Elevator and Tramway Safety regarding complaints, licensee files, and inspection reports. (see attached sample). The original is retained by the agency for two years and transferred to Archives for permanent preservation as the board may need to refer to the minutes as a tool to investigate incidents with elevators. The Board could refer back to the minutes in the event of an incident.	Paper	9/18/2006	Years 2	0	Archives	Current	

Schedule #: 1753 141#:Athletic Trainers: Licensee Files

An athletic trainer is a person engaged in the prevention, evaluation, treatment, management and rehabilitation of athletic injuries.The records are part of the athletic trainers licensing program. The records are used to assure that athletic trainers are properly licensed and are primarily used by program staff. Licensee records include documents relating to licensure of a specific individual, including application and renewal information, examination, continuing education and any denial proceedings. These are typically kept in the licensee's file.	Paper	12/18/2009	Years 5	0	Destroy	Current	
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Schedule #: 1753 142#: American Sign Language, English Interpreters and Transliterators: Licensee Files

Interpreters translate English into American Sign Language and vice-versa for individuals who are deaf or hard-of-hearing. Oral transliterators translate speech into speechreading supplemented by hand gestures. The records support the interpreters licensing program. The records are used to assure that interpreters are properly licensed and are primarily used by program staff. Licensee records include all documents relating to licensure of a specific individual, including application and renewal information, examination, continuing education and any denial proceedings. These are typically kept in the licensee's file.	Paper	12/18/2009	Years 5	0	Destroy	Current	
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Schedule #: 1754 143#:Charitable Solicitations: Contracts With Charitable Organizations

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
<p>This series includes contracts made by professional solicitors, professional fundraising counsel and commercial co-venturers with charities. Program staff uses these contracts to verify the dollar amounts contained in the annual fundraising activity reports that licensees submit to the agency. Program staff also uses these contracts as a cross-check to make sure that all parties to the contracts are properly licensed. The contracts have no retention value once the annual report has been prepared and a relatively reasonable period of time has elapsed for the possible receipt of any consumer complaints arising out of the solicitations that took place pursuant to the contract. For these reasons, and due to the large volume of such contracts, the agency proposes the short retention schedule appearing below.</p> <p>A typical file consists of contracts and related correspondence.</p>	Paper	10/6/2009	Years 1	0	Destroy	Current	
<p>Schedule #: 1754 144#:Charitable Solicitations: Licensee Files</p> <p>The records are used to assure that charitable organizations, professional solicitors, professional fund-raising counsel and commercial co-venturers are properly licensed and bonded and that exempt charitable organizations meet the statutory requirements for exempt status. The annual fundraising activity reports of individual licensees are used to prepare the Annual Report on Charitable Fundraising Activity (separate series).The records are primarily used by program staff.</p> <p>Licensee files include annual license applications, audited financial statements and annual fundraising activity reports filed by charities, professional solicitors, professional fundraising counsel and commercial co-venturers; bonds furnished by professional solicitors and commercial co-venturers; and annual applications and correspondence regarding exempt charitable organizations. This series does not include IRS determination letters issued to charitable organizations.</p>	Paper	10/6/2009	Years 3	4	Destroy	Current	
<p>Schedule #: 1754 145#:Charitable Solicitations: IRS Determination Letters</p> <p>The letters are kept in the charity's license file. Unlike the balance of the license file, the IRS determination letter is not re-submitted by the charity with each annual renewal application. For this reason, the agency proposes a long retention period: 3 years after expiration of the last annual license issued to the charity once the charity has become inactive.</p> <p>This series consists of IRS determination letters of tax-exempt status issued to tax-exempt charitable organizations. A charity must furnish an IRS determination letter to the agency in order to be licensed to solicit contributions in Maine. A charity furnishes its IRS determination letter to the agency as part of the charity's initial license application only. The letters are primarily used by program staff.</p>	Paper	10/6/2009	Years 3	0	Destroy	Current	

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
<p>Schedule #: 1754 146#:Charitable Solicitations: Annual Report on Charitable Fundraising Activity</p> <p>This series is a report of overall charitable activity in Maine. This report is compiled by the agency each year from the annual fundraising activity reports filed by charities, professional solicitors, professional fundraising counsel and commercial co-venturers.. The annual report shows how much money each charity raised during each of its fundraising campaigns and how much of the amount raised was kept by the professional solicitor, professional fundraising counsel or commercial co-venturer. The report is posted on the agency's web site each year and is used by members of the public.</p>	Paper	10/6/2009	Years 3	0	Archives	Current	
<p>Schedule #: 539 20#:Minutes of Meetings - Oil & Solid Fuel Board</p> <p>Meetings to discuss and dispose of Board business. Meets six times a year.</p>	Paper	10/24/1986	Years 3	No Retention	0 Archives	Current	
<p>Schedule #: 539 21#:Approved Equipment File - Oil & Solid Fuel Board</p> <p>List of approved central heating equipment. Used to certify heating equipment. Contains applications, equipment descriptions, approval letters. Destroy after lapsed or revoked.</p>	Paper	10/24/1986	Contingent Upon Event - See Description	0	No Retention	0 Destroy	Current
<p>Schedule #: 543 33#:General Office File - Charitable Solicitations</p> <p>Correspondence, rule-making proposals, complaint file, Attorney General correspondence, and related documents.</p>	Paper	10/24/1986	Years 2	No Retention	0 Destroy	Current	
<p>Schedule #: 543 35#:Professional Fund Raisers - Charitable Solicitations</p> <p>Annual registration forms, bond form, copies of contracts, copy of confirmation correspondence. Used to register fund raisers.</p>	Paper	8/13/1996	Years 3	No Retention	0 Destroy	Current	
<p>Annual registration forms, bond form, copies of contracts, copy of confirmation correspondence. Used to register fund raisers.</p>	Paper	6/3/1999	Years 2		Destroy	Current	
<p>Schedule #: 543 37#:Charitable Organizations - Charitable Solicitations</p> <p>Annual registration forms plus attachments, financial statements annually, copy of confirmation letters, correspondence. Used to register charitable organizations. Keep in agency 3 years after inactive.</p>	Paper	6/3/1999	Years 2		Destroy	Current	

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 543 38#:Management Reports - Charitable Solicitations							
Computer printouts to assist board in managing licensees. Contains name, address, original registration date, and current registration dates. Destroy after updating.	Computer Printout	10/24/1986	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 544 41#:General Office File - Plumber's Examining Board							
Correspondence, list of board members, school curriculum, reciprocal agreements, complaints, etc. Used to conduct the daily activities of the Board.	Paper	10/24/1986	Years	2	No Retention	0	Destroy Current
Schedule #: 1227 42#:Pressure Vessel Data Reports							
Yearly reports and related documentation relative to pressure vessels. A pressure vessel is like an unfired boiler. These vessels are inspected for safety by licensed inspectors.	Hard Disk	9/15/1997	Years	1	Years	20	Destroy Current
Schedule #: 544 43#:Management Reports - Plumber's Examining Board							
Computer printouts to assist board in managing licensees. Contains name, address, original license date, current license date, expiration date. Retain until updated.	Computer Printout	10/24/1986	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 552 55#:General Office Files of Computer Services							
Used to conduct the daily activities of the Computer Section. Contains correspondence, contracts, inventories, background information on boards and bureaus.	Paper	10/24/1986	Years	2	No Retention	0	Destroy Current
Schedule #: 552 56#:Management Reports of Computer Services							
Sames as information retention tapes but used for daily operations. Retain until updated.	Computer Printout	10/24/1986	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 552 57#:Information Retention Tapes of Computer Services							
Tapes are updated daily and weekly as part of a disaster plan. Contains all of the Department's word processing, budget accounting, license information, tests for various boards and bureaus, and other pertinent information. Used as insurance or disaster file. Retain until updated.	Magnetic Tape	10/24/1986	Destroy When Updated	0	No Retention	0	Destroy Current

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 553 58#:Director's Files of the Licensing & Enforcement Division Contains administrative documents relating to Boards and Computer Division. Related correspondence. Used to aid the Director in his operation of the Division. Contains reports from boards and commissions, lists of members, correspondence to and from board members, vacation schedules, and other related documents.	Paper	1/9/1987	Years 2	No Retention 0	Destroy	Current	
Schedule #: 579 64#:Itinerant Vendors Files Applications, bond, application for each employee, renewal notice, related correspondence. Used to license vendors--renewed annually. Keep in agency 90 days after expiration.	Paper	3/6/1995	Retention of Less than 1 Year - See Description	0	Years 10	Destroy	Current
Schedule #: 579 65#:Correspondence-Itinerant Vendors Administration related files. Used to conduct the daily activities of the program. Contains correspondence, cash book pages, legislation, complaints, and other related documents.	Paper	9/21/1990	Years 2	No Retention 0	Destroy	Current	
Schedule #: 579 66#:Management Reports for Itinerant Vendors Computer printouts to assist board in managing licensees. Contains name, address, date of license, date of original license, expiration date. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention 0	Destroy	Current
Schedule #: 842 67#:Correspondence (Licensing & Enforcement) Correspondence to/from commissioner, Attorney General's office, Administrative Services, Governor's office, and all boards and commissions under the jurisdiction of the Division.	Paper	9/21/1990	Years 2	No Retention 0	Destroy	Current	
Schedule #: 842 68#:Proposed Rules (Licensing & Enforcement) As Agency Liaison, the Division Administrator is responsible for maintenance of rule proposals. Contains proposal, notice of rule making, cover sheet, check list, written comments, etc.	Paper	9/21/1990	Years 2	Years 10	Destroy	Current	
Schedule #: 852 72#:Complaints (Case Compliance Coordinator)							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Pending and closed complaints relative to the boards under the jurisdiction of the Division of Licensing and Enforcement. Retain 3 years after disposition.	Paper	4/22/1996	Years 3	Years 12	Destroy	Current	
Schedule #: 852 73#:Correspondence (Case Compliance Coordinator)							
Correspondence used to conduct the daily activities surrounding the processing of complaints.	Paper	9/21/1990	Years 5	No Retention 0	Destroy	Current	
Schedule #: 1219 74#:Licensee Files, Board of Boiler Rules							
Licensee files (Boiler Operators, Stationary Steam Engineers, Boiler Inspectors, Licensed Welders) used by the Board of Boiler Rules. Typical file includes: license application; related correspondence; examination application; examination; examination score.	Paper	4/23/1997	Years 2	No Retention 0	Destroy	Current	
Schedule #: 1219 75#:Inquiries and Responses (Board of Boiler Rules)							
General correspondence generated and maintained by the Board of Boiler Rules. Documents in a typical file are: general information letters, response to inquiries. For example: questions and responses regarding test sites, information needed to certify test sites.	Paper	4/23/1997	Years 2	No Retention 0	Destroy	Current	
Schedule #: 1219 77#:Boiler Operator Permits							
Permits issued to boiler operators used by the Board of Boiler Rules. Typical file includes: one six month permit for each permit holder. Keep in Agency six months from date of issue.	Paper	4/23/1997	Retention of Less than 1 Year - See Description 0	No Retention 0	Destroy	Current	
35#:Maine Athletic Commission							
Schedule #: 585 85#:Fight Records - Maine Athletic Commission							
Card file contains individual fight records. Used to record fight results.	Paper	1/9/1987	Years 50	No Retention 0	Archives	Current	
Schedule #: 585 86#:Licensed Officials - Maine Athletic Commission							
Applications, copy of license and related correspondence, includes boxing and wrestling officials and physicians. Used to license officials.	Paper	9/21/1990	Years 5	Years 50	Destroy	Current	

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 585 87#:Licensed Wrestlers - Maine Athletic Commission Applications, license, related correspondence. Used to license wrestlers.	Paper	9/21/1990	Years 5	Years 50	Destroy	Current	
Schedule #: 585 88#:Management Reports - Maine Athletic Commission Computer printouts to assist board in managing licensees. Contains name, address, date of license, and original license date. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 585 89#:Boxers - Maine Athletic Commission Annual applications, copy of license, related correspondence. Used to license boxers.	Paper	9/21/1990	Years 5	Years 50	Destroy	Current	
Schedule #: 585 90#:Minutes of Meetings - Maine Athletic Commission Meetings to discuss and dispose of Commission business.	Paper	1/9/1987	Years 2	No Retention	0	Archives	Current
Schedule #: 585 91#:Correspondence - Maine Athletic Commission Contains correspondence, rule making proposals, insurance correspondence, contracts and other related documents. Used to conduct the daily activities of the Commission.	Paper	9/21/1990	Years 2	No Retention	0	Destroy	Current
Schedule #: 585 92#:Commissioners Reports of Boxing, Wrestling and Kickboxing Commissioner's report of boxing, wrestling, or kickboxing matches held throughout the State. Includes: report forms, judges cards, physicians forms and correspondence, and other material related to the match.	Paper		Years 5	Years 20	Archives	Current	
385#:Manufactured Housing Board							
Schedule #: 546 48#:Management Reports - Manufactured Housing Board Computer printouts to assist board in managing licensees. Contains names, addresses, number sites, mailing address, business address, original license, licensing fee. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 546 49#:Minutes of Meetings - Manufactured Housing Board							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Board is responsible for the certification of all modular housing manufactured for delivery and installation in Maine; the licensing of dealers, mechanics, and manufacturers who engage in the business of manufacturing, selling, installing or servicing manufactured housing; the investigation of any complaint of alleged violations of any licensee or regulations adopted by the Board; being a State Administrative Agency to enforce the U.S. Dept. of Housing and Urban Development mobile home standard; the licensing of mobile home parks.	Paper	9/21/1990	Years 2	No Retention 0	Archives	Current	
Schedule #: 546 50#:Correspondence - Manufactured Housing Board							
Includes correspondence and other general administrative documents. Contains correspondence, deposit slips, income analysis and HUD correspondence, and inspection criteria.	Paper	9/21/1990	Years 2	No Retention 0	Destroy	Current	
Schedule #: 546 51#:Licensed Manufacturers Dealers & Mechanics-Manufactured Housing Board							
Dealers and mechanics, application forms, changes in offices, renewals, reprimands, correspondence. Used to license manufacturers. Keep in agency 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description 0	Years 10	Destroy	Current	
Schedule #: 546 52#:Certification of Modular Housing - Manufactured Housing Board							
Correspondence of manufacturers approved to do business, includes specifications and inspection. Used to certify modular homes. Retain until manufacturer is defunct.	Paper	1/9/1987	Contingent Upon Event - See Description 0	No Retention 0	Destroy	Current	
Schedule #: 546 53#:Licensed Mobile Home Parks - Manufactured Housing Board							
Records relating to sites statewide approvals, plumbing, etc. Used to regulate mobile home parks. Retain in agency 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description 0	Years 10	Destroy	Current	
Schedule #: 546 54#:Complaint Files - Manufactured Housing Board							
Mobile homes on federal program complaints by customers, correspondence and related documents. Used to investigate complaints.	Paper	8/11/1995	Years 3	Years 7	Destroy	Current	
Schedule #: 546 55#:Installation Reports							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Reports from dealers and/or mechanics on the installation of mobile or modular homes - typically 2-3 page forms and related correspondence. Keep in agency until updated.	Hard Disk	10/18/1991	Destroy When Updated	0	No Retention	0	Destroy Current
Reports from dealers and/or mechanics on the installation of mobile or modular homes - typically 2-3 page forms and related correspondence.	Paper	10/18/1991	Years	4	No Retention	0	Destroy Current
373#:Medicine, Bd. of Licensure in							
Schedule #: 368	10#:Complaint/Report Files						
Complaints received either from the public or initiated by the Board after review of mandated reports and/or other information which the Board dismissed on the basis that no cause for further action could be found.	Paper	1/6/2015	Months	6	No Retention	0	Destroy Current
Schedule #: 368	11#:Minutes of Meetings of Maine Board of Registration in Medicine						
Official minutes of board meetings.	Paper	12/29/1994	Years	2	No Retention	0	Archives Current
Schedule #: 1148	13#:Completed Surveillance Files						
Completed investigative files for physicians or physician assistants resulting in board action.	Paper	3/15/1995	Years	1	Years	79	Destroy Current
Schedule #: 1148	14#: Public Meeting Materials						
Public materials presented for consideration to the Board of Licensure in Medicine. The CD provides a record of public material presented to the Board at its monthly meetings.	CD	3/15/1995	Years	6		0	Destroy Current
Schedule #: 1148	15#:RECORDINGS OF ADJUDICATORY HEARINGS AND PUBLIC PORTIONS OF BOARD OF LICENSURE IN MEDICINE MEETINGS.						
Recordings of Adjudicatory Hearings are retained at the Board until the 30 day appeal period has expired. If an appeal is filed, the recordings are retained until the appeal has been adjudicated.	Audio Tape	3/15/1995	Contingent Upon Event - See Description	0	No Retention	0	Destroy Current
Recordings of public portions of meetings are retained until the minutes have been approved and then destroyed.							
Schedule #: 1667	16#:Complaint Files Containing Letters of Guidance						

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
<p>Upon receipt, the Board of Licensure in Medicine sends a copy of the complaint to the licensee. The licensee has 30 days to respond in writing. A copy of this response is provided to the complainant, unless doing so would jeopardize their health. The complaint, response, and investigative materials are reviewed approximately 3 months after receipt of the complaint. Based on its review the Board determines if grounds for disciplinary action exist. If no, the complaint is closed. If yes, the complaint remains open pending further Board action. The complainant is notified of the outcome in writing. Possible results of a Complaint: Closure with no action; Closure with a Letter of Guidance (non disciplinary); Disciplinary Action which may include warning, censure, reprimand, fine, education, specific conditions of probation, Consent Agreement, suspension, or loss of license.</p> <p>Files contain: Letter of Guidance, Report to Complainant, Records Release Form, Notice of Complaint, Receipt to Complainant, Notice of Complaint to Physician/Physician Assistant, internal records of past complaints, Medical Records Request, Confidential Medical Records, Complaint File as submitted to the Board of Licensure in Medicine for review.</p>	Paper	8/28/2006	Years 1	Years 10	Destroy	Current	

Schedule #: 1727 17#:Physician Assistant Registration Application – Re-registration Application

<p>Records are used to verify eligibility of Physician Assistant requesting renewal of PA License. Records are reviewed by the PA Licensure & Registration Specialist, the Asst Ex. Director, and by the PA subcommittee and Board when necessary. Records may also be requested by the licensee and by attorneys.</p>	Paper	6/18/2009	Years 5	Years 20	Destroy	Current	
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Biennial Re-registration Application; Form B - Approval to Supervise a Physician's Assistant*; Form C - Agreement to accept responsibility for performance of a Physician's Assistant; Form D - Delegating Responsibility for Supervision of a Physician's Assistant*; Form E - Supervising Physician's authorization to prescribe*, Form B2 - Approval to supervise a Physician Extender*; Form C2 - Agreement to accept responsibility for performance of a Physician Extender; Form D2 - Delegating Responsibility for Supervision of a Physician Extender*; PA Schedule II Application Plan of Supervision; Physician's Plan of Supervision.

Schedule #: 1946 18#:Assessment and Direction Files

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Upon receipt of a report pursuant to 24 MRS §2505 or §2506 Board staff investigates the allegations contained in the report by obtaining pertinent information and records. The report and all materials gathered are presented to the Board for review. If the Board determines that a basis for further action exists, the Board will issue a complaint and the Assessment and Direction Report becomes a complaint and proceeds through the complaint process. If the Board determines that no basis for further action exists, the Board will "file" (dismiss) the Assessment and Direction Report.	Paper	1/6/2015	Months	6	No Retention	0	Destroy Current
Schedule #: 368 2#:Diplomas - Originals							
Diplomas issued to licensees of the Board of Registration in Medicine. These are sent through certified mail - if they are not signed for, they are returned to the Board of licensure Medicine.	Paper	5/14/1986	Years	3		0	Destroy Current
Schedule #: 368 3#:Applications for Permanent Licensure to Practice Medicine							
Applicants' Qualifications, Credentials, for license to practice medicine on the basis of examination; applicant's qualifications for license to practice medicine based on endorsement of credentials. Paper is to be retained 2 years in Records Center even if filming has been done. Duplicate microfilm in Records Center for 75 years.	Roll Microfilm	5/14/1986	Years	75	No Retention	0	Archives Current
Applicants' Qualifications, Credentials, for license to practice medicine on the basis of examination; applicant's qualifications for license to practice medicine based on endorsement of credentials. Destroy paper after 1 year plus microfilming and verifying.	Paper	12/29/1994	Years	1	No Retention	0	Destroy Current
Schedule #: 368 3A:App. for Permanent Licensure to Practice Medicine - Microfilm							
Applicants' Qualifications, Credentials, for license to practice medicine on the basis of examination; applicant's qualifications for license to practice medicine based on endorsement of credentials. Paper is to be retained 2 years in Records Center even if filming has been done.	Roll Microfilm	12/29/1994	Years	75	No Retention	0	Destroy Current
Schedule #: 368 3B:App. for Permanent Licensure to Practice Medicine - Backup Microfilm							
Applicants' Qualifications, Credentials, for license to practice medicine on the basis of examination; applicant's qualifications for license to practice medicine based on endorsement of credentials. Paper is to be retained 2 years in Records Center even if filming has been done.	Roll Microfilm	12/29/1994	Years	0	Years	75	Archives Current

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 368 4#:Applications for Temporary Licensure to Practice Medicine Application for license to practice medicine and surgery at summer camps; application for locum tenens license before September, 1996; application for temporary educational permit to practice medicine and surgery as a resident in a training program affiliated with a Maine hospital.	Paper	5/14/1986	Years 5	Years 5	Destroy	Current	
Schedule #: 368 5#:Registration Applications Biennial reregistration of medical doctors.	Paper	12/29/1994	Years 4	Years 20	Destroy	Current	
Schedule #: 368 6#:Correspondence - Board of Licensure in Medicine Requests for information about licensure and other board functions, requests for services.	Paper	5/14/1986	Years 2	No Retention 0	Destroy	Current	
Schedule #: 368 7#:Application for Physician's Assistant Form A – Registration of Physician Assistants; PA Diplomas and Certificates; Written Exam; Form B - Approval to Supervise a Physician's Assistant; Form C - Agreement to accept responsibility for performance of a Physician's Assistant; Form D - Delegating Responsibility for Supervision of a Physician's Assistant*; Form E - Supervising Physician's authorization to prescribe*; Form B2 - Approval to supervise a Physician Extender*; Form C2 - Agreement to accept responsibility for performance of a Physician Extender; Form D2 - Delegating Responsibility for Supervision of a Physician Extender*; PA Schedule II Application Plan of Supervision; Physician's Plan of Supervision. After 5 years microfilm and destroy paper.	Roll Microfilm	12/29/1994	Years 0	Years 75	Destroy	Current	
Form A – Registration of Physician Assistants; PA Diplomas and Certificates; Written Exam; Form B - Approval to Supervise a Physician's Assistant; Form C - Agreement to accept responsibility for performance of a Physician's Assistant; Form D - Delegating Responsibility for Supervision of a Physician's Assistant*; Form E - Supervising Physician's authorization to prescribe*; Form B2 - Approval to supervise a Physician Extender*; Form C2 - Agreement to accept responsibility for performance of a Physician Extender; Form D2 - Delegating Responsibility for Supervision of a Physician Extender*; PA Schedule II Application Plan of Supervision; Physician's Plan of Supervision. After 5 years microfilm and destroy paper.	Paper	12/29/1994	Years 5	Years 0	Destroy	Current	

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Form A – Registration of Physician Assistants; PA Diplomas and Certificates; Written Exam; Form B - Approval to Supervise a Physician's Assistant; Form C - Agreement to accept responsibility for performance of a Physician's Assistant; Form D - Delegating Responsibility for Supervision of a Physician's Assistant*; Form E - Supervising Physician's authorization to prescribe*; Form B2 - Approval to supervise a Physician Extender*; Form C2 - Agreement to accept responsibility for performance of a Physician Extender; Form D2 - Delegating Responsibility for Supervision of a Physician Extender*; PA Schedule II Application Plan of Supervision; Physician's Plan of Supervision. After 5 years microfilm and destroy paper.	Roll Microfilm	12/29/1994	Years 75		Destroy	Current	
Schedule #: 368 9#:Docket Files: Official Board Actions							
Disciplinary Actions: Revocations, suspensions, probation, censure, reprimand, consent agreements, voluntary surrenders of license, voluntary surrenders of controlled substance certificate. Denial of Licensure: Denied applications.	Paper	12/29/1995	Years	1	No Retention	0	Archives Current
371#:Nursing Home Administrators Licensing Bd							
Schedule #: 583 76#:Board Meetings of Nursing Home Administrators Licensing Board							
Meetings to discuss and dispose of Board business.	Paper	9/21/1990	Years	2	No Retention	0	Archives Current
Schedule #: 583 77#:Correspondence (Nursing Home Administrators)							
Used to conduct the daily activities of the Board. Contains correspondence, exam results, rules, regulations, laws, national examination forms, board appointments, and related documents.	Paper	9/21/1990	Years	2	No Retention	0	Destroy Current
Schedule #: 583 78#:Licensee File Nursing Home Administrators Licensing Board							
Applications, renewals, related documents and correspondence. Used to license Nursing Home Administrators. Keep in agency until 90 days after expiration.	Paper	3/6/1995	Retention of Less than 1 Year - See Description	0	Years	10	Destroy Current
Schedule #: 583 79#:Continuing Education Units Nursing Home Administrators Licensing Bd.							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Certificate or transcript proving completion of course. Used to certify course completion. Retain until Nursing Home Board approval of training.	Paper	1/9/1987	Contingent Upon Event - See Description	0	No Retention	0	Destroy Current
Schedule #: 583 80#:Management Reports Nursing Home Administrators Licensing Bd.							
Computer printouts to assist board in managing licensees. Contains name, address, license date, original license date, expiration date. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy Current
380#:Nursing, Maine State Board of							
Schedule #: 140 1#:License Applications - Board of Nursing							
Application forms for licensed nurses including: State Board Test Pool Examination results; records of qualifications when applicable; correspondence related to license qualifications. Keep in Agency 3 years then microfilm.	Paper	10/30/1995	Years	3	Years	0	Destroy Current
Application forms for licensed nurses including: State Board Test Pool Examination results; records of qualifications when applicable; correspondence related to license qualifications. (Agency Copy)	Roll Microfilm	10/30/1997	Years	95	Years	0	Destroy Current
Application forms for licensed nurses including: State Board Test Pool Examination results; records of qualifications when applicable; correspondence related to license qualifications. (Original copy)	Roll Microfilm	10/30/1997	Years	0	Years	96	Destroy Current
Schedule #: 615 10#:Nurse Practitioner Files							
Credentials, protocols, Board approval to practice and related correspondence.	Paper	4/19/1989	Years	50	No Retention	0	Destroy Current
Schedule #: 615 11#:Board of Nursing Members Files							
Appointments, resumes, related correspondence.	Paper	4/19/1989	Years	25	No Retention	0	Destroy Current
Schedule #: 615 12#:Board of Nursing State, Regional & National Correspondence							
General correspondence with state, regional and national organizations.	Paper	4/19/1989	Years	1	No Retention	0	Destroy Current

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 615 13#:National Council Files, Board of Nursing Documents, procedures, examination information, exam contract and related correspondance.	Paper	4/19/1989	Years 5	No Retention 0	Destroy	Current	
Schedule #: 615 14#:Schools of Nursing Files Site visit reports, Board actions, faculty resumes and related correspondence	Paper	4/19/1989	Years 10	No Retention 0	Destroy	Current	
Schedule #: 1203 15#:Abandoned Applications Original applications filled out by nurses from other states seeking licensure in Maine; original applications filled by nursing students wanting to take licensure exam in Maine. Applicants did not take exam after applying.	Paper	7/1/1996	Years 2	No Retention 0	Destroy	Current	
Schedule #: 1203 16#:Examination Results Verification to check that the name, social security, date of birth, etc. are proper as well as passing the exam.	Paper	7/1/1996	Years 99	No Retention 0	Destroy	Current	
Schedule #: 1203 17#:Nursing Statistics To provide information for annual reports, National Council of State Boards of nursing, schools of nursing and outside agencies. Information included: number and type of licensed individuals, number from out of State, number of endorsements, different nursing specialities etc. Keep in agency until computerized and verified.	Paper	7/1/1996	Contingent Upon Event - See Description 0	No Retention 0	Destroy	Current	
Schedule #: 1203 18#:Unrenewed Licenses These are licenses not renewed by registered nurses. These licenses are printed, but not sent our due ot non-renewal and are valid for only 2 years.	Paper	7/1/1996	Years 2	No Retention 0	Destroy	Current	
Schedule #: 345 2#:Renewal Applications and License Copies Renewal applications for licensed nurses and copies of licenses. Correspondence and Consent Agreements related to penalties for unlicensed practice	Paper	10/9/1987	Years 2	No Retention 0	Destroy	Current	
Schedule #: 350 3#:Computer Printouts of Licensing Information							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Computer printouts of licensed nurses (RN & LPN), green-bar and journal size.	Computer Printout	6/21/1985	Years 2	No Retention 0	Destroy	Current	
Schedule #: 366 4#:Office Copies of Authorization Cards							
Copies of authorization cards issued to new graduates of nursing education programs permitting them to be employed as professional or practical nurses pending results of the licensing examination.	Paper	8/16/1985	Years 2	No Retention 0	Destroy	Current	
Schedule #: 433 6#:Correspondence Related to Practice of Nursing							
Letters requesting copies of law, rules and regulations, information regarding practice of nursing, licensure and nursing education.	Paper	2/28/1986	Years 2	No Retention 0	Destroy	Current	
Schedule #: 615 7#:Disciplinary Files - Board of Nursing							
Complaints, response to complaints, investigations, Board action, and related correspondence. Hold until Board action plus 10 years then microfilm, verify and destroy paper.	Paper	10/30/1997	Years 10	No Retention 0	Destroy	Current	
Complaints, response to complaints, investigations, Board action, and related correspondence.(Original copy microfilm)	Roll Microfilm	10/30/1997	Years 0	Years 40	Destroy	Current	
Complaints, response to complaints, investigations, Board action, and related correspondence.(Reference copy microfilm)	Roll Microfilm	10/30/1997	Years 40	Years 0	Destroy	Current	
Schedule #: 615 8#:Pharmacology Courses							
Curriculums, resumes, Board approvals and related correspondence.	Paper	4/19/1989	Years 5	No Retention 0	Destroy	Current	
Schedule #: 615 9#:I.V. Therapy Courses							
Curriculums, resumes, Board approvals and related correspondence.	Paper	4/19/1989	Years 5	No Retention 0	Destroy	Current	
477#:Occupational Therapy Practice, Bd. of							
Schedule #: 545 44#:Management Reports - Board of Occupational Therapy Practice							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Computer printouts to assist board in managing licensees. Contains name, address, date of license, and original license date. Retain until updated.	Computer Printout	10/24/1986	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 545 45#:Correspondence - Board of Occupational Therapy Practice							
Correspondence, rule-making proposals, exam results, and other related documents.	Paper	9/21/1990	Years	2	No Retention	0	Destroy Current
Schedule #: 545 46#:Minutes of Meetings - Board of Occupational Therapy Practice							
Provides for the regulation of persons offering occupational therapy services in order to safeguard the public health, safety and welfare, to protect the public from incompetent and unauthorized persons; to assure the highest degree of professional conduct on the part of occupational therapists and occupational therapy assistants; and to assure the availability of occupational therapy services of high quality to persons in need of those services.	Paper	10/24/1986	Years	2	No Retention	0	Archives Current
Schedule #: 545 47#:Licensee Files - Board of Occupational Therapy Practice							
Applications, yearly registration cards, yearly renewals, correspondence. Used to license therapists. Retention period begins after expiration. Retain in agency until 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years	10	Destroy Current
381#:Oil & Solid Fuel Board							
Schedule #: 1118 10#:Product Approvals (Oil & Solid Fuel Board)							
Records concerning products and equipment that burn oil or solid fuel. These must be approved by the Board prior to being sold in the State of Maine. Files include: application; installation, maintenance and operational manuals; testing lab certifications; and other related correspondence. Retention counted from receipt of application.	Paper	11/15/1994	Years	1	Years	25	Destroy Current
Schedule #: 155 2#:Licensee Files (Oil & Solid Fuel Board)							
Carbon copy of licenses issued to Master, Journeyman and Apprentice Oil Burner Licencees. Retain in agency until 90 days after expiration.	Paper	3/6/1995	Contingent Upon Event - See Description	0	Years	10	Destroy Current

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 155 3#:Daily Activity Report - Oil and Solid Fuel Board							
Inspector's daily contact and information concerning inspections.	Paper	9/21/1990	Years 1	Years 5	Destroy	Current	
Schedule #: 155 5#:Inspections							
Reports made out by Inspectors giving summary of their inspection concerning their findings. Technical and personal information regarding persons concerned. Photographs and related correspondence. These activities are not carried out on a yearly basis but from complaints and requests by various State departments.	Paper	9/21/1990	Years 1	Years 5	Destroy	Current	
Schedule #: 155 6#:Investigations - Oil and Solid Fuel Board							
Reports made out by Inspectors giving summary of their inspection concerning their findings. Technical and personal information regarding persons concerned. Witness statements, photographs and related correspondence. These activities are not carried out on a yearly basis but from complaints and requests by various State departments.	Paper	9/21/1990	Years 2	Years 5	Destroy	Current	
Schedule #: 155 7#:Correspondence (Oil & Solid Fuel Board)							
Correspondence used to conduct the daily activities of the Board. Requests, answers to requests; inter-office memo's etc.	Paper	9/21/1990	Years 2	No Retention 0	Destroy	Current	
Schedule #: 155 8#:Management Reports-Computer Printout (Oil & Solid Fuel Board)							
Computer printouts of licensees used to conduct the daily business of the Board. Contains name, address, phone number, DOB, original license date, date of license expiration, etc. Keep in agency until updated.	Computer Printout	9/21/1990	Destroy When Updated 0	No Retention 0	Destroy	Current	
Schedule #: 155 9#:Minutes of Meetings (Oil & Solid Fuel Board)							
Written record of the action taken by the Board.	Paper	9/21/1990	Years 2	No Retention 0	Archives	Current	
382#:Optometry, Maine State Board of							
Schedule #: 935 1#:Registration Record Cards (Board of Optometry)							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
The State Board of Optometry was established to protect the public through regulation of the practice of optometry. These cards contain name, address, registration number and license renewal dates. Keep in agency until inactive plus 1 year.	Paper	8/20/1991	Years 1	No Retention 0	Destroy	Current	
Schedule #: 935 2#:Temporary Correspondence (Board of Optometry)							
The State Board of Optometry was established to protect the public through regulation of the practice of optometry. Files include: letters asking for information; responses.	Paper	8/20/1991	Years 1	No Retention 0	Destroy	Current	
Schedule #: 936 3#:Active Licensing Files (Board of Optometry)							
The State Board of Optometry was established to protect the public through regulation of the practice of optometry. Active licensing files include: application; college transcripts; national board scores and three letters of recommendation. Keep in agency 5 years after lapsing.	Paper	8/20/1991	Years 5	No Retention 0	Destroy	Current	
Schedule #: 936 4#:Minutes (Board of Optometry)							
The State Board of Optometry was established to protect the public through regulation of the practice of optometry. These are the minutes of the board.	Paper	8/20/1991	Years 5	No Retention 0	Archives	Current	
Schedule #: 936 5#:Licensing Renewal Applications (Board of Optometry)							
The State Board of Optometry was established to protect the public through regulation of the practice of optometry. Files include: applications to renew optometrists license and the required continuing education credit slips.	Paper	8/20/1991	Years 1	No Retention 0	Destroy	Current	
Schedule #: 936 6#:Optometrists Complaints							
The State Board of Optometry was established to protect the public through regulation of the practice of optometry. Files include: letters of complaint and Board responses. Keep in agency until complaint resolved plus 5 years.	Paper	8/20/1991	Years 5	No Retention 0	Destroy	Current	
Schedule #: 936 7#:Unsuccessful Candidates for the State Boards (Board of Optometry)							
The Board of Optometry was established to protect the public through regulation of the practice of optometry. Files include: Applications; transcripts; letters of recommendation; national board scores.	Paper	8/20/1991	Years 5	No Retention 0	Destroy	Current	

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
383#:Osteopathic Licensure, Board of							
Schedule #: 713 1#:Licensure Application to practice Osteopathic Medicine							
Application form, reference letters, certification of licensure from other states, National Board or FLEX exam scores, correspondence between physician and board. Continuing Medical Education evidence.	Roll Microfilm	2/13/1989	Years 100	No Retention 0	Destroy	Current	
Application form, reference letters, certification of licensure from other states, National Board or FLEX exam scores, correspondence between physician and board. Continuing Medical Education evidence.	Paper	2/13/1989	Years 10	Years 40	Destroy	Current	
Schedule #: 713 2#: Application for Registration for Physician Assistant							
Application form includes primary supervisors application, reference letters, copy of National Board exam scores, correspondence between PA and board. Microfilm paperbefore destroying and keep microfile 100 years.	Roll Microfilm	2/13/1989	Years 100	No Retention 0	Destroy	Current	
Application form includes primary supervisors application, reference letters, copy of National Board exam scores, correspondence between PA and board. Microfilm paperbefore destroying and keep microfile 100 years.	Paper	2/13/1989	Years 5	Years 45	Destroy	Current	
Schedule #: 713 3#:Locum Tenens Application to practice Osteopathic Medicine							
Application form/National Board or FLEX exam sheets; evidence of Continuing Medical Education and related correspondence.	Paper	2/13/1989	Years 5	No Retention 0	Destroy	Current	
Schedule #: 713 4#:Reregistration Cards (O.E.& R.)							
Reregistration application, addendum sheet, continuing medical education information; correspondence between physician and board.	Paper	2/13/1989	Years 20	No Retention 0	Destroy	Current	
Schedule #: 713 5#:Continuing Education Reports/Loga (O.E.& R.)							
List of medical education activities accrued each year as a prerequisite for reregistration of osteopathic physicians.	Paper	2/13/1989	Years 5	No Retention 0	Destroy	Current	
Schedule #: 713 6#:Board Correspondence (O.E.& R.)							
Letters from public requesting info/physicians requesting certifications or verification of licensure. General correspondence.	Paper	2/13/1989	Years 2	No Retention 0	Destroy	Current	

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 713 7#:Complaint Records on Osteopathic Physicians Record includes complaint's report as well as supporting documentation. Physicians and any pertinent records. Keep in agency 6 months after conclusion of outcome.	Paper	4/9/2015	Months 6	No Retention 0	Destroy	Current	
Schedule #: 713 8#:Docket files on Osteopathic physicians Disciplinary action: revocation/suspension/probations/censure/reprimand/consent agreement/voluntary surrender/voluntary surrender of DEA license/denial of licensure.	Paper	2/13/1989	Years 5	Years 45	Archives	Current	
Schedule #: 713 9#:Board minutes (O.E.& R.) Official minutes of meetings for the Board contained in Books and files.	Paper	2/13/1989	Years 5	Years 45	Archives	Current	
392#:Pharmacy - Board of Commissioners							
Schedule #: 847 1#:Management Reports-Computer Printouts (Profession of Pharmacy) Computer printout of licensees. Contains name, address, phone, date of birth, original license date, date of license expiration.	Computer Printout	9/21/1990	Destroy When Updated	0	No Retention 0	Destroy	Current
Schedule #: 847 2#:Licensee Files (Profession of Pharmacy) Applications, renewals, transcripts, diplomas, birth certificates, references. Keep in agency 90 days after expiration.	Paper	3/6/1995	Contingent Upon Event - See Description	0	Years 10	Destroy	Current
Schedule #: 847 3#:Correspondence (Profession of Pharmacy) Inquiries, responses to inquiries and other correspondence related to obtaining a license in Pharmacy.	Paper	9/21/1990	Years 2	No Retention 0	Destroy	Current	
Schedule #: 847 4#:Minutes of Meetings (Profession of Pharmacy) Written records af all action taken by the board.	Paper	9/21/1990	Years 2	No Retention 0	Archives	Current	

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 1014 5#:Inspection/Investigation Reports Reports made out by inspectors giving summary of investigations and/or inspections performed. Files include: technical and personal information, photographs and related materials. Inspectors inspect alarms; proper tools used; prescription records, etc. Investigators check complaints, thefts, etc.	Paper	2/23/1993	Years 1	Years 5	Destroy	Current	
393#:Physical Therapy - Bd. of Examiners							
Schedule #: 584 2#:Licensee Files Bd. of Examiners in Physical Therapy Applications, transcripts, related documents and correspondence, therapists and assistants. Used to license applicants. Retain in agency 90 days after expiration.	Paper	3/9/1995	Retention of Less than 1 Year - See Description	0	Years 10	Destroy	Current
Schedule #: 584 81#:Management Reports Bd. of Examiners in Physical Therapy Computer printouts to assist board in managing licensees. Contains names, addresses, original license dates, expiration dates. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 584 82#:Minutes of Meetings Bd. of Examiners in Physical Therapy Meetings to discuss and dispose of issues relating to physical therapists.	Paper	1/9/1987	Years	2	No Retention	0	Archives Current
Schedule #: 584 83#:Correspondence Bd. of Examiners in Physical Therapy Used to conduct the daily activities of the Board. Contains exam scores, Attorney General material, refund forms, code of ethics, and other related documents and correspondence.	Paper	9/21/1990	Years	2	No Retention	0	Destroy Current
395#:Plumbers Examining Board							
Schedule #: 851 1#:Licensee Files (Plumbers' Examining Board) Applications, renewals, complaints, receipts, and documents related to receiving a plumbers' licence. Keep in agency 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years 10	Destroy	Current

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 851 2#:Minutes of Meetings (Plumbers' Examining Board) Written record of all actions taken by the board.	Paper	9/21/1990	Years	2	No Retention	0	Archives Current
Schedule #: 851 3#:Correspondence (Plumbers' Examining Board) Correspondence used to conduct the daily busness of the board. Inter-office memo's; requests for information; responses to requests for information.	Paper	9/21/1990	Years	2	No Retention	0	Destroy Current
Schedule #: 544 39#:Exam Booklets - Plumbers Examining Board Contains questions for exams of all classes of plumbers. Used to ascertain qualifications of applicants. Destroy after updating.	Paper	10/24/1986	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 851 4#:Management Reports - Computer Printouts (Plumbers' Examining Board) Computer printouts to assist the board in its daily activities. Contains name, address, date of birth, license dates, etc. Retain until updated.	Computer Printout	9/21/1990	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 544 40#:Board Minutes - Plumbers Examining Board Examines and licenses persons performing plumbing in the State of Maine; investigates all complaints of noncompliance with or violation of the law or Board standards; recommends suspension of revocation to the Administrative Court under the APA of all licensees found to be guilty of fraud, deceit, negligency or misconduct.	Paper	10/24/1986	Years	20	No Retention	0	Archives Current
Schedule #: 544 42#:Licensed Plumbers File - Plumber's Examining Board Contains applications for exams, copy of license, renewals, correspondence, etc. Includes master, journeyman, trainees, journeyman in training and reciprocal licensing. Used to license plumbers. Retention period begins when lapsed or revoked.	Paper	10/24/1986	Years	1	No Retention	0	Destroy Current
Schedule #: 851 5#:Daily Activity Reports (Plumbers' Examining Board) Inspectors daily contact and information concerning activities.	Paper	9/21/1990	Years	1	Years	5	Destroy Current

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 851 6#:Inspections (Plumbers' Examining Board) Reports made out by inspectors giving summary of inspection. Technical and personal information, photographs and related material.	Paper	9/21/1990	Years 1	Years 5	Destroy	Current	
Schedule #: 851 7#:Investigations (Plumbers' Examining Board) Reports made out by inspectors regarding investigations. Technical and personal information, witness statements, photographs, and related correspondence.	Paper	9/21/1990	Years 2	Years 5	Destroy	Current	
396#:Podiatrists - Board of Licensure							
Schedule #: 940 1#:Licensure Index Cards Quick references to application and renewal materials.	Paper	8/20/1991	Years 100	No Retention 0	Destroy	Current	
Schedule #: 1116 10#:Management Reports (Podiatry Board) Computer printout of licenses. Contains name, address, phone number, date of birth, original license date, date of expiration, etc. Retain until updated.	Paper	11/15/1994	Destroy When Updated	No Retention 0	Destroy	Current	
Schedule #: 940 2#:Temporary Correspondence (Board of Podiatry) Request for licensure verification; request for licensure applications; requests for list of current podiatrists. Keep in agency 1 week then destroy.	Paper	8/20/1991	Retention of Less than 1 Year - See Description	No Retention 0	Destroy	Current	
Schedule #: 940 3#:Minutes of Board Meetings (Board of Podiatry) The Board of Podiatrists regulates the practice of Podiatry. This is the file on the minutes of these meetings.	Paper	8/20/1991	Years 20	No Retention 0	Archives	Current	
Schedule #: 942 4#:Podiatrists Renewal Applications Requests of Podiatrists to provide updated information for licensure renewal. Files include: renewal application; proof of continuing education and related correspondence.	Paper	8/20/1991	Years 2	Years 98	Destroy	Current	

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
<p>Schedule #: 942 5#:Complaints Against Podiatrists</p> <p>Complaints of unethical or unprofessional conduct. Files include: letters of complaint; response from doctor; medical records and related correspondence.Keep in agency until resolved plus 5 years.</p>	Paper	8/20/1991	Years 5	No Retention 0	Destroy	Current	
<p>Schedule #: 942 6#:Podiatry Continuing Medical Education Course Approval</p> <p>The Board of Podiatric Examiners approves programs which podiatrists must attend for renewal of license.</p>	Paper	8/20/1991	Years 2	No Retention 0	Destroy	Current	
<p>Schedule #: 942 7#:Podiatrists Surveillance File</p> <p>Podiatrists monitored by the Board for various reasons (i.e.) substance abuse; physical illness; mental illness; etc. Keep in agency until resolved plus 25 years.</p>	Paper	8/20/1991	Years 25	No Retention 0	Destroy	Current	
<p>Schedule #: 942 8#:Application for Licensure (Podiatrists)</p> <p>The application is a way to regulate the practice of podiatry. Investigate complaints and discipline, if necessary. Files include: application for licensure; higher education diplomas; national exam scores; letters of reference; materials from other jurisdictions; and related correspondence.</p>	Paper	8/20/1991	Years 5	No Retention 0	Destroy	Current	
<p>Schedule #: 942 8A:Application for Licensure (Podiatrists)</p> <p>The application is a way to regulate the practice of podiatry. Investigate complaints and discipline, if necessary. Files include: application for licensure; higher education diplomas; national exam scores; letters of reference; materials from other jurisdictions; and related correspondence.</p>	Roll Microfilm	8/20/1991	Years 100	No Retention 0	Destroy	Current	
<p>Schedule #: 942 8B:Application for Licensure (Podiatrists) Backup Copies</p> <p>The application is a way to regulate the practice of podiatry. Investigate complaints and discipline, if necessary. Files include: application for licensure; higher education diplomas; national exam scores; letters of reference; materials from other jurisdictions; and related correspondence.</p>	Roll Microfilm	8/20/1991	Years 0	Years 100	Destroy	Current	
<p>Schedule #: 1116 9#:Licensee Files (Podiatry Board)</p>							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Applications for licensure as podiatrist in Maine. File includes application, required documentation of schooling, and other related materials required for licensure. Also include renewals, continuing education documentation, correspondence between the Board and the licensee, etc. Keep in agency until 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years 10	Destroy	Current
415#:Psychologists, Board of Examiners of							
Schedule #: 587 100#:Licensee File of Bd. of Examiners of Psychologists							
Applications, transcripts, work samples, correspondence and related documents, psychologists and psychological examiners. Used to license applicants. Retain in agency 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years 10	Destroy	Current
Schedule #: 587 96#:Management Reports of Bd. of Examiners of Psychologists							
Computer printouts to assist board in managing licensees. Consists of names, addresses, original license date, expiration date. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 587 97#:Board Meetings of Bd. of Examiners of Psychologists							
Meetings to discuss and dispose of issues relating to psychologists. Meets monthly.	Paper	9/21/1990	Years	2	No Retention	0	Archives Current
Schedule #: 587 98#:Correspondence-Bd. of Examiners of Psychologists							
Documents used to conduct the daily administrative actions of the Board. Correspondence, directory of psychological programs, terms of board members, material relating to school psychologists, and other related documents and correspondence.	Paper	9/21/1990	Years	2	No Retention	0	Destroy Current
465#:Radiologic Technology Bd of Examiners							
Schedule #: 525 17#:License File - Radiologic Technology Board of Examiners							
Contains applications, receipts, some test results, certification letters, correspondence and related documents. Used to license Radiological Technicians. Keep in agency until 90 days after expiration.	Paper	3/9/1995	Retention of Less than 1 Year - See Description	0	Years 10	Destroy	Current

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 525 18#:Minutes of Meetings - Radiologic Technology Board of Examiners							
Board examines and licenses radiographers, nuclear medicine technologists, and radiation therapy technologists upon payment of specified fees; renews all licenses biennially; investigates all complaints and all cases of noncompliance with the law relating to licensing; makes and adopts rules consistent with the law.	Paper	9/21/1990	Years 2	No Retention 0	Archives	Current	
Schedule #: 525 19#:Correspondence - Radiologic Technology Board of Examiners							
Variety of documents and correspondence to aid and assist the Board in the effective operation of their program as well as the daily ongoing routine of administration.	Paper	9/21/1990	Years 2	No Retention 0	Destroy	Current	
42#:Railroad Personnel Bd. of Licensure							
Schedule #: 853 1#:Management Reports-Computer Printout (Bd. of Railroad Personnel)							
Computer printout of licenses. Contains name, address, phone, date of birth, original license date, date of license expiration, etc. Retain until updated.	Computer Printout	9/21/1990	Destroy When Updated	0	No Retention 0	Destroy	Current
Schedule #: 853 3#:Correspondence (Bd. of Railroad Personnel)							
Correspondence used to conduct the daily business of the board: memos, transitory correspondence such as requests for information and responses.	Paper	9/21/1990	Years 2	No Retention 0	Destroy	Current	
Schedule #: 853 4#:Minutes of Meetings (Bd. of Railroad Personnel)							
Written records of all action taken by the board.	Paper	9/21/1990	Years 2	No Retention 0	Archives	Current	
298#:Real Estate Appraisers, Board of							
Schedule #: 907 1#:Management Reports - Computer Printouts (Real Estate Appraisers)							
Computer printouts of licensees. Contains names, addresses, phone numbers, dates of birth, original license date, date of expiration, etc. Retain until updated.	Computer Printout	3/11/1991	Destroy When Updated	0	No Retention 0	Destroy	Current
Schedule #: 907 2#:Licensee Files - Real Estate Appraisers							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Applications, renewal notices, supporting documents, etc. Retain in agency until 90 days after expiration.	Paper	3/6/1995	Contingent Upon Event - See Description	0	Years 10	Destroy	Current
Schedule #: 907 3#:Correspondence - Board of Real Estate Appraisers							
Correspondence used to conduct the daily business of the Board such as: inter-office memos and other routine correspondence.	Paper	3/11/1991	Years	2	No Retention	0	Destroy Current
Schedule #: 907 4#:Minutes of Meetings - Board of Real Estate Appraisers							
Written record of all action taken by the Board at their meetings.	Paper	3/11/1991	Years	2	No Retention	0	Archives Current
39#:Real Estate Commission							
Schedule #: 123 1#:Duplicate & Voided Licenses - Real Estate Commission							
The actual duplicate of the license sent to the licensee. Voided licenses are licenses sent in because a change of address etc. has to be typed on a new license.	Paper	8/15/1975	Years	2	No Retention	0	Destroy Current
Schedule #: 540 10#:Test Questions - Real Estate Commission							
Consists of questions used to test applicants for a Real Estate license. Retain until updated.	Paper	10/24/1986	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 540 11#:Real Estate Commission Meeting Minutes							
Meetings to discuss and dispose of Commission business. Meets two times a month.	Paper	10/24/1986	Years	5	No Retention	0	Archives Current
Schedule #: 540 12#:Real Estate School (Continuing Education)							
List of approved courses, application for approval to offer real estate continuing educational program and for program re-approval, schedule of course offerings, course descriptions, program outlines, program attendance lists, program objectives, instructor information, and program advertising.	Paper	10/24/1986	Years	2	No Retention	0	Destroy Current
Schedule #: 540 13#:Examination Result Files - Real Estate Commission							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
List of applicants and exams. Used to ascertain qualifications of applicants.	Paper	10/24/1986	Years 2	No Retention 0	Destroy	Current	
Schedule #: 644 14#:Real Estate Commission Meeting Agenda							
Agenda of Real Estate Commission Meeting (list of items to be discussed at bi-weekly meeting).	Paper	12/16/1987	Years 2	No Retention 0	Destroy	Current	
Schedule #: 644 15#:Telephone Calls and Office Visits Records							
List of each phone call and office visit received in Real Estate Commission office.	Paper	12/16/1987	Years 2	No Retention 0	Destroy	Current	
Schedule #: 644 16#:Former Continuing Education Courses							
Files containing applications, attendance lists, evaluation summaries and miscellaneous correspondence.	Paper	12/16/1987	Years 2	No Retention 0	Destroy	Current	
Schedule #: 644 17#:Continuing Education Applications Not Approved							
Applications, letters of denial, and refunds requested where applicable.	Paper	12/16/1987	Years 2	No Retention 0	Destroy	Current	
Schedule #: 644 18#:Continuing Education Members							
Files containing member resumes, a copy of SS-C3 certificate.	Paper	12/16/1987	Years 2	No Retention 0	Destroy	Current	
Schedule #: 644 19A:Current Agency Real Estate License							
Current licensee's license applications and information: renewal notices; change of licensure applications; Associate Broker License Applications; Real Estate Broker Examination Applications; License Exam Deletions; and related	Paper	11/19/1990	Years 80	No Retention 0	Destroy	Current	
Schedule #: 644 19B:Current Broker Real Estate License							
Current licensee's license applications and information: renewal notices; change of licensure applications; Associate Broker License Applications; Real Estate Broker Examination Applications; License Exam Deletions; and related	Paper	11/19/1990	Years 80	No Retention 0	Destroy	Current	

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 123 2#:Failed Examination File - Real Estate Commission Application and actual exam taken by unsuccessful candidate.	Paper	10/24/1986	Years 2	No Retention 0	Destroy	Current	
Schedule #: 682 20#:Criminal Records NOT Added to Investigation Folder Individual State Police conviction reports that do not result in an investigation or hearing before Real Estate Commission. Retain one week.	Paper	6/28/1988	Retention of Less than 1 Year - See Description	0	No Retention 0	Destroy	Current
Schedule #: 123 3#:Refunded Applications - Real Estate Commission Applications of individuals who ask for a refund prior to exam scheduling.	Paper	8/15/1975	Years 2	No Retention 0	Destroy	Current	
Schedule #: 123 4#:Miscellaneous Correspondence - Real Estate Commission Series contains incoming and outgoing correspondence relating to acknowledgements, requests for application, laws and regulations, out of state requests for information and letters of complaints.	Paper	8/15/1975	Years 2	No Retention 0	Destroy	Current	
Schedule #: 129 5#:Lapsed Licensee Folders Actual folders of brokers and salesmen who have let their licenses lapse. (Real Estate Commission.)	Paper	8/15/1975	Years 2	No Retention 0	Destroy	Current	
Schedule #: 329 6#:Commission Tape Recordings (Real Estate) Tape recordings of Commission meetings and recordings of hearings held before the Commission resulting from complaints filed or issues brought to the Commission's attention. Both cassette and reel-to-reel tapes.	Audio Tape	10/24/1986	Years 3	No Retention 0	Destroy	Current	
Schedule #: 330 7#:Complaint/Investigation Folders Actual folders containing complaint petition, copies of evidence presented, investigation reports and commission decision.	Paper	2/24/1984	Years 3	No Retention 0	Destroy	Current	
Schedule #: 540 8#:Real Estate Schools (Prelicensing)							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Course outlines and objectives, program, syllabus, class schedule, Application for Commission Approval, and Certificate of Approval.	Paper	10/24/1986	Years	2	No Retention	0	Destroy Current
Schedule #: 540 9#:Management Reports - Real Estate Commission							
Six various report, i.e. licensing statistics, test statistics, score statistics, investigation statistics. Used to assist management in the compliance of rules, regulations and statutes; retain 1 day.	Computer Printout	10/24/1986	Retention of Less than 1 Year - See Description	0	No Retention	0	Destroy Current
343#:Respiratory Care Practitioners, Bd. of							
Schedule #: 844 1#:Licensee Files (Respiratory Care Practitioners)							
Applications, renewals, related documents and correspondence to receiving a license as a respiratory care practitioner. Keep in agency 90 days after license expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years	10	Destroy Current
Schedule #: 844 2#:Minutes of Meetings (Respiratory Care Practitioners)							
Meetings to discuss and dispose of board business.	Paper	9/21/1990	Years	2	No Retention	0	Archives Current
Schedule #: 844 3#:Correspondence (Respiratory Care Practitioners)							
Correspondence used to conduct the daily activities of the Board. Inquiries; responses to inquiries about obtaining a license as a Respiratory Care Practitioner.	Paper	9/21/1990	Years	2	No Retention	0	Destroy Current
Schedule #: 844 4#:Management Reports-Computer Printout (Respiratory Care Practitioners)							
Computer printouts to assist the board in managing licensees. Contains name, address, date of license, expiration of license; phone number, date of birth etc.	Computer Printout	9/21/1990	Destroy When Updated	0	No Retention	0	Destroy Current
32#:Securities Division							
Schedule #: 548 19#:Business Opportunities - Securities Division							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Business Opportunities files include regulations, communication, notification of filing, disclosure statement, evidence of a bond or escrow account, description of services provided, copies of contracts, and Consent to Service of Process. Used to determine if applicant should be licensed.	Paper	1/9/1987	Years 1	Years 7	Destroy	Current	
Schedule #: 548 20#:Investigative Records - Securities Division							
Investigative records include correspondence, notes, offering materials, complaints, registration and licensing applications, consent agreements, cease and desist orders, subpoenas, denials of licensing or registration, revocation or suspension of licensing or registration, transcripts of administrative hearings, exhibits presented at administrative hearings, and administrative orders and final decisions. Used to investigate complaints. Transfer to Records Center as soon as inactive.	Paper	1/9/1987	Years 0	Years 10	Destroy	Current	
Schedule #: 548 21#:Licensing Records - Securities Division							
Licensing records include for brokers-dealers, sales representatives and investment advisors, the following: regulations, correspondence, application forms, Consent to Service of Process, description of business organization, public disclosure documents, business history, disciplinary history, fee schedules, description of services provided to the public, photographs, fingerprints, educational history, employment history, and annual reports of financial condition. Used to license sellers of securities.	Paper	1/9/1987	Years 1	Years 7	Destroy	Current	
Schedule #: 548 21A:Licensing Records - Securities Division - Fingerprints							
Licensing records include for brokers-dealers, sales representatives and investment advisors, the following: regulations, correspondence, application forms, Consent to Service of Process, description of business organization, public disclosure documents, business history, disciplinary history, fee schedules, description of services provided to the public, photographs, fingerprints, educational history, employment history, and annual reports of financial condition. Used to license sellers of securities. 21A applies only to fingerprints - the rest of this series is 21B.	Record Copy	12/1/2011	Years 1	No Retention 0	Destroy	Current	
Schedule #: 548 21B:Licensing Records - Securities Division							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Licensing records include for brokers-dealers, sales representatives and investment advisors, the following: regulations, correspondence, application forms, Consent to Service of Process, description of business organization, public disclosure documents, business history, disciplinary history, fee schedules, description of services provided to the public, photographs, educational history, employment history, and annual reports of financial condition. Used to license sellers of securities. Please note that fingerprints, only, are now covered by Series 21A.	Record Copy	12/1/2011	Years 1	Years 7	Destroy	Current	
Schedule #: 548 22A:Investment Company Filings – Office of Securities							
cover letter from investment company; a Uniform Investment Company Notice Filing; Uniform Consent to Service of Process; letter confirming registration effective date with the U.S. Securities and Exchange Commission; and notice from the Office to the investment company that filing is effective in Maine.	Paper	1/9/1987	Years 0	Years 2	Destroy	Current	
Schedule #: 548 22B:Securities Registration - Office of Securities							
Correspondence; application form and exhibits, including a Uniform Consent to Service of Process, articles of organization, bylaws, specimen copy of securities, Registration Statement, contract with underwriters; and prospectus (public disclosure document).	Paper	1/9/1987	Years 1	Years 7	Destroy	Current	
Schedule #: 548 23#:Securities Registration Exemptions - Securities Division							
Securities registration exemption files include regulations, correspondence, notification of exemption and exhibits, including a Consent to Service of Process, articles of organization, bylaws, specimen copy of securities, public or private disclosure documents, and other documents or instruments governing the issuer organization and/or its securities. Used to apply for exemption from registration of securities sold in State of Maine.	Paper	1/9/1987	Years 1	Years 7	Destroy	Current	
Schedule #: 548 24#:General Office Files - Securities Division							
General office files include general correspondence, subject matter files, statute interpretation correspondence, and legislative information files including statutory changes and written and oral testimony. Used to conduct the daily activities of the Division, retain current year.	Paper	1/9/1987	Years 0	Years 2	Destroy	Current	
Schedule #: 1666 25#:Examination Records - Office of Securities							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type	
These records are part of the Office's on-site inspection or audit program, which is authorized by 32 M.R.S.A. §16410(4). The Office conducts on-site examinations of its licensees (broker-dealers, agents, investment advisers, and investment adviser representatives) and drafts reports and correspondence detailing the deficiencies observed during the examinations, i.e. areas where the licensees are not meeting the regulatory requirements imposed on them by state and federal laws and rules. Employees of the Office use the records when preparing for subsequent audits, researching complaints against licensees, and compiling statistics about licensees. Files may contain: a report of the Office's examination; correspondence between the Office and the licensee examined; interview notes; an exhibit list of documents obtained during the examination; copies of any enforcement actions taken as a result of the examination.	Paper	9/18/2006	Years 5	Years 10	Destroy	Current		
416#:Social Worker Licensure, Board of								
Schedule #: 582	71#:Licensee Folders of Board of Social Worker Registration							
Applications, renewal license, and related documentation, correspondence. Used to license social workers. Retain in agency 90 days after expiration.	Paper	3/9/1995	Retention of Less than 1 Year - See Description	0	Years 10	Destroy	Current	
Schedule #: 582								
72#:Correspondence-Board of Social Worker Registration								
Used to conduct the daily activities of the Board. Contains correspondence, rules, regulations, laws, cash book pages, expense accounts, and other related documents.	Paper	9/21/1990	Years	2	No Retention	0	Destroy	Current
Schedule #: 582								
73#:Minutes of Meetings Board of Social Worker Registration								
Meetings to discuss and dispose of Board business. Meets once a month.	Paper	1/9/1987	Years	2	No Retention	0	Archives	Current
Schedule #: 582								
74#:Continuing Education of Board of Social Worker Registration								
Continuing education documents, certificates, diplomas, etc. Used to renew license (required by law). Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy	Current
Continuing education documents, certificates, diplomas, etc. Used to renew license (required by law). Retain until Board approves issuance of license.	Paper	1/9/1987	Contingent Upon Event - See Description	0	No Retention	0	Destroy	Current

Department Series Report

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Schedule #: 582 75#:Management Reports Board of Social Worker Registration							
Computer printouts to assist board in managing licensees. Contains name, address, date of registration, date of original registration, expiration date. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy Current
296#:Speech Pathology/Audiology Bd. of Exam.							
Schedule #: 578 59#:Correspondence Bd. of Examiners on Speech Pathology & Audiology							
Correspondence, other states statutes, rule making proposals, continuing ed materials, and related documents. Used to conduct the daily activities of the Board.	Paper	9/21/1990	Years	2	No Retention	0	Destroy Current
Schedule #: 578 60#:Deleted File Bd. of Examiners on Speech Pathology & Audiology							
Inactive applications, licensees, etc.	Paper	1/9/1987	Years	2	No Retention	0	Destroy Current
Schedule #: 578 61#:Minutes of Meetings Bd. of Examiners on Speech Pathology & Audiology							
Meetings to discuss and dispose of Board business. Meets once each month.	Paper	1/9/1987	Years	2	No Retention	0	Archives Current
Schedule #: 578 62#:Licensee Files - Bd. of Examiners on Speech Pathology & Audiology							
Applications, transcripts, biannual continuing education, correspondence speech pathologists, audiologists, temporaries. Used to license applicants. Retain in agency 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years	10	Destroy Current
Schedule #: 578 63#:Management Reports Bd. of Examiners on Speech Pathology & Audiology							
Computer printouts to assist board in managing licensees. Consists of names, addresses, original license date, expiration date. Retain until updated.	Computer Printout	1/9/1987	Destroy When Updated	0	No Retention	0	Destroy Current
285#:Veterinary Medicine, State Board of							
Schedule #: 846 1#:Management Reports-Computer Printouts (Board of Veterinary Medicine)							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Computer printout of licenses. Contains name, address, phone, date of birth, original license date, date of license expiration, etc.	Computer Printout	9/21/1990	Destroy When Updated	0	No Retention	0	Destroy Current
Schedule #: 846 2#:Licensee Files (Board of Veterinary Medicine)							
Applications, renewals, educational transcripts, and documents related to obtaining a license in veterinary medicine. Keep in agency 90 days after expiration.	Paper	3/9/1995	Contingent Upon Event - See Description	0	Years	10	Destroy Current
Schedule #: 846 3#:Correspondence (Board of Veterinary Medicine)							
Correspondence used to conduct the daily business of the board. To include inquiries; responses to inquiries, exam dates and other documents to obtain a license in veterinary medicine.	Paper	9/21/1990	Years	2	No Retention	0	Destroy Current
Schedule #: 846 4#:Minutes of Meetings (Board of Veterinary Medicine)							
Written records of all action taken by the board.	Paper	9/21/1990	Years	2	No Retention	0	Archives Current