

Department Series Report

90: Independent Agencies - Regulatory

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
21#:Animal Welfare Board							
Schedule #: 739 24#:Dog Licensing Claims/Reports							
Kennel activity reports; animal disposition claims; list of animal control officers; Animal Welfare Board time sheet; and related correspondence.	Paper	7/10/1989	Years	6	No Retention 0	Destroy	Current
517#:Local Government Records Board							
Schedule #: 928 1#:Request for Disposition of Local Government Records							
Requests from local government agencies to destroy their records or to change them to another media. These are records which have not been covered by the existing schedule.	Paper	8/20/1991	Years	5	No Retention 0	Archives	Current
Schedule #: 928 2#:Minutes (Local Governmental Records Board)							
The LGRB establishes retention periods for all local government records and also establishes standards for storage of these records including their media. Files include minutes of meetings and agendas.	Paper	8/20/1991	Years	5	No Retention 0	Archives	Current
Schedule #: 928 3#:Transitory Correspondence							
Requests for information and responses. Typically citizens request copies of schedules and their interpretations. Also includes letters from staff at the Maine State Archives to Board members advising of meeting dates, schedules changes, etc.	Paper	8/20/1991	Years	1	No Retention 0	Destroy	Current
Schedule #: 928 4#:Rule Making Files							
Rules established by the Local Government Records Board. One copy of each rule as adopted. All written comments from citizens input for the rule making process are also filed.	Paper	8/20/1991	Years	5	No Retention 0	Destroy	Current
Schedule #: 928 5#:Alternative Repository File							
Historical Societies and local libraries may offer to store non-confidential records of local government agencies, however, this requires approval of the Local Government Records Board. Files include: application form; agreement between repository and local government agency; list of records stored; and related correspondence. Keep in agency as long as repository holds local government records.	Paper	8/20/1991	Contingent Upon Event - See Description	0	No Retention 0	Archives	Current

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
460#:Maine Health Care Finance Commission							
Schedule #: 529 1#:Legislative Materials - Maine Health Care Finance Commission							
These are required in order to present an Annual Report to the Legislature and to respond to the Committee on Human Resources. The information is assembled from mat iô	Paper	1/9/1987	Years 7	No Retention 0	Destroy	Current	
These are required in order to present an Annual Report to the Legislature and to respond to the Committee on Human Resources. The information is assembled from materials from all divisions of the Commission.	Digital File	1/9/1987	Years 15	No Retention 0	Destroy	Current	
Schedule #: 529 3#:Correspondence, Press Releases, & Speeches - Me. Health Finance Com.							
The Commission was created by 111th Legislature to limit future increases in hospital costs in Maine. This series pertains to correspondence mainly to and from hospitals in the State, insurance Comps. such as Blue Cross/Blue Shield,Prudential, Union Mutual, Medicaid and Medicare (known as third party insurers) and with the Maine Department of Human Services. It also includes press releases, speeches etc., which have been written by the Executive Director, Deputy Director, and other Directors and which pertain to the Commission's purpose, and intent.	Paper	1/9/1987	Years 7	No Retention 0	Destroy	Current	
Schedule #: 529 4#:Minutes of Minutes - Maine Health Finance Commission							
Reports and Minutes for Commission Meeting held weekly and for advisory Committees (i.e., Professional Advisory, Hospital Advisory and Payor Advisory Committee).	Paper	1/9/1987	Years 7	No Retention 0	Archives	Current	
Schedule #: 529 5#:Financial Operations - Maine Health Care Finance Commission							
Base, First, Second, Third Payment Year, etc., Financial Reports from 45 Hospitals containing CON (Certificate of Need) reviews, Audited Reports, VBRO (Voluntary Budget Review Organization) reports and worksheets used in computing each hospital's revenue limit. Interim Adjustment files, Settlement and Reconciliation Files... all of these for 45 Maine Hospitals.	Digital File	1/9/1987	Years 25	No Retention 0	Destroy	Current	
Base, First, Second, Third Payment Year, etc., Financial Reports from 45 Hospitals containing CON (Certificate of Need) reviews, Audited Reports, VBRO (Voluntary Budget Review Organization) reports and worksheets used in computing each hospital's revenue limit. Interim Adjustment files, Settlement and Reconciliation Files... all of these for 45 Maine Hospitals.	Computer Printout	1/9/1987	Years 7	No Retention 0	Destroy	Current	

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Base, First, Second, Third Payment Year, etc., Financial Reports from 45 Hospitals containing CON (Certificate of Need) reviews, Audited Reports, Medicare Cost Reports, VBRO (Voluntary Budget Review Organization) reports and worksheets used in computing each hospital's revenue limit. Interim Adjustment files, Settlement and Reconciliation Files...all of these for 45 Maine Hospitals.	Paper	1/9/1987	Years 7	No Retention 0	Destroy	Current	
Schedule #: 529 6#:Research & Data Management - Maine Health Care Finance Commission							
These Files contain discharge data edits requested by hospitals and outside agencies, Case-Mix index materials, Discharge Data studies and research, Seminar materials for seminars given by research division, Management Support Fund material and Physician Identification.	Digital File	1/9/1987	Years 15	No Retention 0	Destroy	Current	
These Files contain discharge data edits requested by hospitals and outside agencies, Case-Mix index materials, Discharge Data studies and research, Seminar materials for seminars given by research division, Management Support Fund material and Physician Identification.	Computer Printout	1/9/1987	Years 7	No Retention 0	Destroy	Current	
These Files contain discharge data edits requested by hospitals and outside agencies, Case-Mix index materials, Discharge Data studies and research, Seminar materials for seminars given by research division, Management Support Fund material and Physician Identification.	Paper	1/9/1987	Years 7	No Retention 0	Destroy	Current	
Schedule #: 529 7#:Policy Development & Evaluation - Maine Health Care Finance Comm.							
Correspondence, work papers, staff research papers, financial comparisons and estimates of 45 individual hospitals, Rulemaking research and drafts.	Digital File	1/9/1987	Years 15	No Retention 0	Destroy	Current	
Correspondence, work papers, staff research papers, financial comparisons and estimates of 45 individual hospitals, Rulemaking research and drafts.	Paper	1/9/1987	Years 7	No Retention 0	Destroy	Current	
Correspondence, work papers, staff research papers, financial comparisons and estimates of 45 individual hospitals, Rulemaking research and drafts.	Computer Printout	1/9/1987	Years 7	No Retention 0	Destroy	Current	
Schedule #: 529 8#:Legal Files - Maine Health Care Finance Commission							
Formal Case Files, Rulemaking Files, Court Case Files, Closed Court Case Files, Closed Formal Case Files and related correspondence.	Paper	11/16/1993	Years 1	Years 6	Destroy	Current	
Schedule #: 1085 9#:Advocacy Files							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
These files are the attorneys' working files which contain draft documents related to the case. Also contain correspondence, working papers, etc. May have history related that may be needed to review the case. If there is a disagreement between a hospital and the Maine Health Care Finance Care Commission, a notice of proceeding is sent and the lawyers from each side get together to work out a solution. This is the type of case typically found in these files.	Paper	4/14/1994	Years 1	Years 6	Destroy	Current	

590#:Maine Health Data Organization

Schedule #: 1641 1#:Ambulatory Services Source Data

The Maine Health Data Organization was authorized by Title 22, Chapter 1683 to collect insurance forms directly from Maine Ambulatory Surgery Facilities and Physician Offices, within its data collection program. Ambulatory Service data consist of health care services performed at a physician's office or any non-hospital facility, to be used to compare costs and for market research studies. For example, a research company hired by a mobile x-ray unit in Maine conducted a study to compare costs of cat scans performed by all the portable x-ray units in Maine. The data is now being submitted directly from insurers, within our Claims database. Data elements may include: town codes, age, diagnosis, procedures, etc.	Paper	10/20/2005	0	0	Destroy	Current	
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Schedule #: 1641 2#:Clinical Source Data

The Maine Health Data Organization has a clinical data program in which it collects Inpatient, Outpatient, Emergency Room, and Claims Data from Maine hospitals and insurance companies. Once received, the data is copied onto the computer, edited, and converted into a usable format. Maine hospitals, State agencies, Researchers, Universities, etc. purchase this data to use to compare costs and to analyze health care trends. The data is often used to justify adding new services for patients. National studies are also done which compare hospitals within all 50 states. Requested data elements may include: town codes, age, diagnosis, treatment, length of stay, amounts paid, etc.	CD	10/20/2005	Years 2	0	Destroy	Current	
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Schedule #: 1641 3#:Financial and Clinical Health Care Data Requests

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
<p>The Maine Health Data Organization receives requests from Hospitals, State agencies, Researchers and Universities to purchase Hospital Inpatient, Outpatient, and Emergency Room data; Ambulatory Services Data, Health Care Claims Data; and Hospital Financial Data. Hospital data is used to justify adding new services for patients, to analyze trends, and to compare hospital costs and care in the state and nationwide. Data is also used to establish which patients hospitals are servicing. Requested data elements may include: town codes, age, diagnosis, treatment, length of stay, amounts paid, etc.</p> <p>The financial data is used to compare costs and to better understand hospital spending.</p> <p>The files contain the original requests, data request summary forms, and signed confidentiality statements, if applicable.</p>	Paper	10/20/2005	Years 3	0	Destroy	Current	
<hr/> <p>Schedule #: 1641 4#:Hospital Financial Data</p>							
<p>The Maine Health Data Organization collects hospital financial data directly from Maine hospitals. The hospital financial data consists of Hospital Audited Financial Statements, Medicaid Audit Settlements, and Medicare Cost Reports. Information from this data is purchased by State agencies, Researchers, etc. The data is often used to compare hospital costs and to better understand hospital spending on a state, regional, and national level.</p>	Paper	10/20/2005	Years 5	Years 7	Destroy	Current	
<hr/> <p>Schedule #: 1641 5#:Health Care Provider and Insurer Assessments</p>							
<p>The Maine Health Data Organization has an assessment program in which hospitals, other health care providers, and health insurers pay an annual fee to support the Maine Health Data Organization. The Maine Bureau of Insurance annually sends in each insurance company's total dollar amounts of what the company paid out for insurance for Maine residents. This agency then sends those insurance companies a form for excluding certain types of insurance. Once these forms are returned, agency staff uses the adjusted figures to calculate what each insurance company is required to pay for an annual fee.</p>	Paper	10/20/2005	Years 7	0	Destroy	Current	
<hr/> <p>77#:State Board of Education</p>							
<p>Schedule #: 1376 2:George M. Briggs Award</p>							
<p>The Maine State Board of Education will honor a vocational center for program with by presenting them with money from the George M. Briggs Award. This active Trust Fund was originally established in 1948 and the interest from the trust fund is awarded was awarded to a winner each school year. Material includes correspondence, trust fund statements, and other supporting materials.</p>	Paper	6/21/2001	Years 3	Years 2	Destroy	Current	

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
351#:Workers Compensation Board							
Schedule #: 896 10#:Vocational Rehabilitation Files (WCC)							
The agency monitors, regulates and adjudicates rehabilitation providers. File includes: medical reports, narrative rehabilitation reports, job descriptions and bills for services.	Paper	3/11/1991	Years 5	Years 5	Destroy	Current	
Schedule #: 983 11#:Employer Index Cards							
Used to record first report of injury and to locate workers' compensation file. Destroy after filming and verifying.	Paper	6/19/1992	Destroy After Conversion to Another Medium	0	No Retention	0	Destroy Current
Schedule #: 983 11A:Employer Index Cards							
Used to record first report of injury and to locate workers' compensation file. Keep in agency until 10 years after last payment.	Roll Microfilm	6/19/1992	Years 10	No Retention	0	Destroy	Current
Schedule #: 983 11B:Employer Index Cards-Microfilm Backup							
Used to record first report of injury and to locate workers' compensation file. This is the back-up film to Series 11A.	Roll Microfilm	6/19/1992	Years 0	Years 75	Destroy	Current	
Schedule #: 1165 12#:Law Court Cases (Workers' Compensation)							
Any Workers' Compensation case in which a decision/order is appealed to a Law Court. Hearing Officer's/Board's decision/order which is appealed, request to file appeal; Petition for Appellate Review; Response to Petition; Law Court order denying/granting review; Appellant's Brief; Law Court decision; and related correspondence. Keep in agency until closed plus 1 year.	Paper	7/21/1995	Years 1	Years 6	Destroy	Current	
Schedule #: 1346 13#:Worker Advocate Files							
The Legislature has established Worker Advocate Offices throughout the state to defend workers compensation victims as insurers are routinely turning down victims. Worker Advocate files include: medical file, pleadings and related correspondence. Retention begins after case is closed.	Paper	2/21/2001	Years 0	Years 10	Destroy	Current	
Schedule #: 136 2#:First Report of Accident							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
Report sent to commission for job related accident but no lost work time. Retention counted close of case.	Paper	10/20/1975	Years 2	No Retention 0	Destroy	Current	

Schedule #: 1714 20#:Proof of Coverage Forms

Proof of Coverage Forms are submitted by insurance companies to document proof of workers compensation insurance coverage. All employers with employees in the State of Maine are required by law to either have workers' compensation insurance or file with the Bureau of Insurance proof of self insurance. These forms are effective for a period of one year and are kept on file for the effective policy year. This information is kept on the workers' compensation board data base.

The Workers' Compensation Board keeps this record in case questions arise for a policy period. They are also used by the Monitoring, Audit and Enforcement Unit to establish if a fine should be issued for late coverage.

Proof of coverage forms are batch filed by the week so a typical file would contain all forms received for the week.

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Proof of coverage forms are batch filed by the week so a typical file would contain all forms received for the week.

Schedule #: 1715 21#:Waivers (of benefits and provided by the workers compensation laws)

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<p>Waivers are submitted to the Workers' Compensation Board by insurance companies, insurance agents and employers. A waiver establishes if a workers' compensation policy is needed based on a persons position in a company or relationship to the owner of a company. By law an individual can waive his/her the benefits and privileges provided by the workers' compensation laws if certain requirements are met.</p> <p>Copies of the waivers are kept in case a business, agent or insurance carrier needs proof of an approved waiver. The records are used by insurance coverage personnel, agents and insurance carriers as well as the Abuse Investigation Unit.</p> <p>A typical file contains an application filed by the person requesting the waiver and a copy of the approved waiver.</p>	Hard Disk	1/19/2007	Years 50	0	Destroy	Current	

Schedule #: 1716 22#:Predetermination of Independent Contractor Status

<p>Workers' Compensation Board law allows an employer to submit an application for predetermination of independent contractor status which when approved states that there is no employer employee relationship between the two parties. There are three types of applications. 1) A landowner or landowner's agent files a conclusive application which when approved established there is no employer/employee relationship between a landowner and the person harvesting wood on the landowner's property. 2) An applicant files a rebuttable application for a contractor performing a specific job. For example, a general contractor contracts with a painter to paint a house and 3) A wood harvester files for a certificate of independent contractor status. When approved the wood harvester can harvest wood on any landowner's property and not be considered an employee or require workers' compensation insurance. A landowner, wood harvester or individual hiring the independent contractor completes the application, it is signed by all parties and mailed to the Workers' Compensation Board for review. A decision is issued approving or denying the request and sent to both parties. The decision or approved predetermination is effective for up to one year. The approved request means that the applicant does not have to provide workers compensation insurance for the contractor.</p> <p>A typical file contains the original application and a copy of the approved or denied decision.</p>	Paper	1/19/2007	Years 3	0	Destroy	Current	
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Schedule #: 1718 23A:Compliance Reports (a bound report of activity by insurance entities on form filing)

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
<p>The Legislature enacted P.L. 1997, Chapter 486 which created the Office of Monitoring, Audit and Enforcement. The Monitoring Division monitors the compliance of insurers, self-insureds, and third-party administrators (insurance community) with the Maine Workers' Compensation Act, Title 39-A M.R.S.A.</p> <p>The Monitoring Division creates compliance-related reports and manages the data quality and transfer of that information between the insurance community and the Workers' Compensation Board. The information is used by the Monitoring Division to compile quarterly and annual compliance reports that are issued to the Workers' Compensation Board, the Legislature, the insurance community and the public. The information is also used to file Complaints for Audit against insurers who display poor compliance and is also used as evidence in legal proceedings to identify "Questionable Claims Handling Practices" and "Willful Violations of the Act".</p> <p>The Agency keeps these records to support future Workers' Compensation Board audits as well as market conduct exams conducted by the Bureau of Insurance on referral from the Workers' Compensation Board.</p>	Paper	1/19/2007	Years 5	0	Destroy	Current	
<p>The Legislature enacted P.L. 1997, Chapter 486 which created the Office of Monitoring, Audit and Enforcement. The Monitoring Division monitors the compliance of insurers, self-insureds, and third-party administrators (insurance community) with the Maine Workers' Compensation Act, Title 39-A M.R.S.A.</p> <p>The Monitoring Division creates compliance-related reports and manages the data quality and transfer of that information between the insurance community and the Workers' Compensation Board. The information is used by the Monitoring Division to compile quarterly and annual compliance reports that are issued to the Workers' Compensation Board, the Legislature, the insurance community and the public. The information is also used to file Complaints for Audit against insurers who display poor compliance and is also used as evidence in legal proceedings to identify "Questionable Claims Handling Practices" and "Willful Violations of the Act".</p> <p>The Agency keeps these records to support future Workers' Compensation Board audits as well as market conduct exams conducted by the Bureau of Insurance on referral from the Workers' Compensation Board.</p>	Hard Disk	1/19/2007	Years 5	0	Destroy	Current	
<p>Schedule #: 1718</p> <p>23B:Monitoring Files (three-part reconciliation report reflecting entity errors on form filings)</p>							

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<p>The Legislature enacted P.L. 1997, Chapter 486 which created the Office of Monitoring, Audit and Enforcement. The Monitoring Division monitors the compliance of insurers, self-insureds, and third-party administrators (insurance community) with the Maine Workers' Compensation Act, Title 39-A M.R.S.A.</p> <p>The Monitoring files consists of a three-part reconciliation report, which is a report reflecting what errors entities have made over any given quarter, such as missing information on forms that were filed with the Workers' Compensation Board. The information is also used to file Complaints for Audit against insurers who display poor compliance and is also used as evidence in legal proceedings to identify "Questionable Claims Handling Practices" and "Willful Violations of the Act".</p> <p>The Agency keeps these records to support future Workers' Compensation Board audits as well as market conduct exams conducted by the Bureau of Insurance on referral from the Workers' Compensation Board.</p>	Hard Disk	1/19/2007	Years 5	0	Destroy	Current	
<p>Schedule #: 1719 24A:Audit Working Papers and Reports</p>							

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<p>The Legislature enacted P.L. 1997, Chapter 486 which created the Office of Monitoring, Audit and Enforcement. The Audit Division supports the Office of Monitoring, Audit and Enforcement by auditing the compliance of insurers, self-insureds, and third-party administrators with the Maine Workers' Compensation Act, Title 39 A M.R.S.A.</p> <p>The auditor conducts either a desk audit or an on-site audit. Audit working papers are defined by statute as "all documentary and other information acquired, prepared or maintained by the Workers' Compensation Board during the conduct of an audit or investigation, including all intra-agency and interagency communications relating to an audit or investigation and draft reports or any portion of a draft report." A typical file contains the auditor's working papers and the final audit report including the underlying reconciled information (sample attached). The files are used to gather information regarding the audited entity's compliance with the Maine Workers' Compensation Act. During the course of an audit, the audit files are shared with the client.</p> <p>Once the audit is completed, the auditor prepares an audit report reflecting any statutory violations and penalties due. Per statute, the final audit report, including the underlying reconciled information, is not confidential.</p> <p>The Agency keeps these records to support future Workers' Compensation Board audits as well as market conduct exams conducted by the Bureau of Insurance on referral from the Workers' Compensation Board.</p>	Paper	1/19/2007	0	Years 3	Destroy	Current	
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Schedule #:	136	3#:Completed Claim					
First report plus other reports and correspondence where settlement is finalized by a lump sum settlement. Retention counted from close of case.Claims with dates of injury prior to 10-17-91	Paper	10/2/1990	Years	10	Destroy	Current	
First report plus other reports and correspondence where settlement is finalized by a lump sum settlement. Retention counted from close of case.Claims with dates of injury on or after 10-17-91	Paper	10/2/1990	Years	6	Destroy	Current	
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Schedule #:	136	4#:Long Term Claim					
First report plus other reports and correspondence where time is lost from work. Claims with dates of injury prior to 10-17-91	Paper	10/20/1975	Years	10	Destroy	Current	
First report plus other reports and correspondence where time is lost from work. Claims with dates of injury on or after 10-17-91	Paper	10/20/1975	Years	6	Destroy	Current	

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Schedule #: 356 5A:1 AWC Cards (Insurance Coverage) Insurance coverage information	Paper	9/13/1993	Years 5	Years	Destroy	Current	
Schedule #: 356 5B:1 AWC Cards (Insurance Coverage for Self-Insured Employers - Bonds) Insurance coverage information	Paper	9/13/1993	Years 5	5	Destroy	Current	
Schedule #: 370 6#:Appellate Division - Records on Appeal Appellate Division records on appeal and briefs filed by the parties.	Paper	8/16/1985	Years 1	Years 9	Destroy	Current	
Schedule #: 527 7#:Case Files - Unit of Abuse Investigation First Report of Abuse Complaint, Investigators Case Activity Sheet, Statement of Accused or suspected person, Disposition Summary Form, Complaint Log, and related correspondence and monthly statistical form. Upon receipt of a verified complaint, a case file is established & the complaint is investigated. Complaints refer to specific insurers.	Paper	7/31/1992	Years 1	Years 9	Destroy	Current	
Schedule #: 527 8#:Correspondence - Unit of Abuse Investigation Letters of complaint against specific insurers.Retention runs from date of abuse unit decision.	Paper	1/9/1987	Years 2	Years 3	Destroy	Current	
Schedule #: 880 9#:Inactive Purge Claims SS# reference to claims which have been taken off the computer system. Name X reference and complete listing of purge claim. Keep in agency 10 years after last payment.	Computer Output Microfilm	12/11/1990	Years 10	No Retention 0	Destroy	Current	
SS# reference to claims which have been taken off the computer system. Name X reference and complete listing of purge claim. Keep in agency 10 years after last payment.	Magnetic Tape	12/11/1990	Years 10	No Retention 0	Destroy	Current	
SS# reference to claims which have been taken off the computer system. Name X reference and complete listing of purge claim. Keep in agency 10 years after last payment.	Computer Printout	12/11/1990	Years 10	No Retention 0	Destroy	Current	