

# Department Series Report

99: Independent Agencies - Not State

Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
<b>618#:Baxter Compensation Authority</b>							
<b>Schedule #:</b> 1646 1#:Baxter Compensation Authority Claims							
The Baxter Compensation Authority was established by the Maine Legislature to administer and adjudicate claims of physical and sexual abuse of former students of the Maine School for the Deaf and the Governor Baxter School for the Deaf. These records are the actual claims composed of: application, release forms for information, correspondence, medical information, school records, counselor and psychological reports, testimony of the abuse and effects, and the decision of the Compensation Panel. All of the information contained in the files is confidential with the exception of the claimant's name, eligibility for compensation, and the amount of the award. All information supporting or corroborating the claim continues to be confidential and may be released by the authority to only the Attorney General, the Governor and the chairs of the joint standing committee of the Legislature having jurisdiction over the authority. The information remains confidential and the Attorney General, the Governor and chairs of the committee may not release it.	Paper	7/6/2006	0	Years 30	Archives	Current	
<b>480#:Community College System</b>							
<b>Schedule #:</b> 1586 1#:Community College System Data Backups							
Data backups for the information system of the Community College System.	Magnetic Tape	5/22/2003	Destroy When Updated	0	Destroy When Updated	0	Destroy Current
<b>346#:Maine State Housing Authority</b>							
<b>Schedule #:</b> 944 1#:Director's General Files							
These records document all general functions of authority. The files refer to daily operations of MSHA and contain letters, memos, executive committee materials and appointment calendars.	Paper	8/20/1991	Years 2	Years 2	Destroy	Current	
<b>Schedule #:</b> 945 10#:AWAP and Solar Bank Programs							
The Apartment Weather Assistance Program (AWAP) and Solar Bank Programs were funded by money provided to the State in a national lawsuit concerning the overcharging for oil. Funds were used for innovative solar power initiatives. Programs are no longer in existence.	Paper	8/20/1991	Years 0	Years 10	Destroy	Current	

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<p><b>Schedule #:</b> 1044 100#:HECM Incomplete Applications</p> <p>HECM refers to the Home Equity Conversion Mortgage Program that allows older residents to borrow against the equity of their home. Loan files are created for each borrower. These files represent people who chose not to get a loan. The records include application and related correspondence.</p>	Paper	6/28/1993	Years 1	Years 5	Destroy	Current	
<p><b>Schedule #:</b> 1044 101#:HECM Loan Files</p> <p>HECM refers to the Home Equity Conversion Mortgage Program that allows residents of single family housing an opportunity to borrow the equity of their home. Loan files for each borrower who enters the program and decides to continue to a closing. The files will hold original loan documents and correspondence. Keep in agency until 1 year after closing. Keep in agency until loan is paid in full.</p>	Paper	2/25/1994	Contingent Upon Event - See Description	0	Years 40	Destroy	Current
<p><b>Schedule #:</b> 1044 102#:MLA/Loan Master File Maintenance/Delete Logs</p> <p>These reports are created to document all deletions and changes made to the loan master file; the master computer record. (MLA=Mortgage Loan Accounting.)</p>	Paper	6/28/1993	Years 2	Years 5	Destroy	Current	
<p><b>Schedule #:</b> 1044 103#:MLA/Mortgage Counts - Accrued Interest on Mortgages</p> <p>These records are created to provide documentation for the Quarterly Financial Statements. These records provide a monthly report of active single -family mortgages sorted by bond series, by servicer and by mortgage type. The report is titled "Series Loan Type Summary".. also created manually is a quarterly report of accrued interest on mortgages sorted by Bond series and servicer.</p>	Paper	6/28/1993	Years 2	Years 5	Destroy	Current	
<p><b>Schedule #:</b> 1044 104#:MLA/Pool Insurance</p> <p>These records are created to document and support payment of invoices for pool insurance for mortgage acquisitions programs as well as 1972A - 1982B. Pool insurance is necessary to protect from failure to pay risky loans. Files include: supporting trial balances, 1982-B monthly reports, Quarterly Prepayment/ Assumption Reports. 1972A - 1982B refer to mortgage funds that are made available through sale of tax exempt mortgage revenue bonds.</p>	Paper	6/28/1993	Years 2	Years 5	Destroy	Current	
<p><b>Schedule #:</b> 1044 105#:PUR's</p>							

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Section 8 assisted developments are required by Federal administrative guidelines to submit a Program Utilization Report (PUR). This HUD Form 52684 is used to report all Sec. 8 new construction and substantial rehab. occupancy activity on an annual basis. A copy is mailed to HUD, MSHA keeps a copy.	Paper	6/24/1996	Years 2	Years 18	Destroy	Current	
<b>Schedule #:</b> 1088 106#:Emergency Community Services Block Grant							
	Paper	4/14/1994	Years 2	Years 5	Destroy	Current	
<b>Schedule #:</b> 1088 107#:Temporary Housing Assistance Program							
This record series documents General Fund assistance to eleven Community Action Agencies to provide security deposits, back rent payments, overdue mortgage payments. Records include Standard agreement, Work Plan, Budget, and Payment verification records.	Paper	4/14/1994	Years 2	Years 5	Destroy	Current	
<b>Schedule #:</b> 1101 108#:HPLP Transfer Files							
Twice monthly the Maine State Housing Authority purchases Housing Preservation Loan Program (HPLP) loans from participating non-profit agencies. the records include documentation that indicates which agencies submit loan files, funds expended, and original assignments for loans purchases. Files include correspondence, transfer authorization, loan schedules, project set-up memo, assignment of mortgage.	Paper	4/12/1996	Years 2	Years 5	Destroy	Current	
<b>Schedule #:</b> 1101 109#:Purchase Plus Improvement Loans							
Twice monthly the Maine State Housing Authority purchases Home Purchase Loans. Some of these loans include the Purchase Plus Improvement component to allow the borrower to finance additional home repairs. Records are created to document the loan transfers. Files include correspondence, file check list, RESPA form, borrower certifications, loan applications, appraisal.	Paper	4/12/1996	Years 1	Years 5	Destroy	Current	
<b>Schedule #:</b> 1101 110#:Release of Private Mortgage Insurance Documentation							
MSHA requires private mortgage insurance for loans with less than 30% downpayment. Borrowers request reviews of the loan to value (LTV) figures determine if the principle of the loan has been reduced enough to cancel the insurance. Records are created to document this process. Files include correspondence, and waiver forms.	Paper	4/12/1996	Years 1	Years 5	Destroy	Current	

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<p><b>Schedule #:</b> 1101      111#:Insurance Check Documentation</p> <p>Borrowers or lenders send insurance settlement checks to MSHA for MSHA endorsement as the investor of the loan. As a last payee on the insurance binder, MSHA endorse the check and forwards it to the servicing lender for their endorsement, disbursement and repair monitoring. Files include correspondence to the borrower and lender, authorization memo, and copy of the check.</p>	Paper	4/12/1996	Years 1	Years 5	Destroy	Current	
<p><b>Schedule #:</b> 1101      112#:Home Improvement Transfer Files</p> <p>Twice monthly the Maine State Houysing Authority purchases Home Improvement Loans from its originating lenders. The records include documentation that indicates which lenders submit loan files, the funds expended, and original assignments for loans purchased. Files include: Follow up correspondence, loan checklist, transfer authorization, and loan payment schedule.</p>	Paper	3/9/1998	Years 2	Years 5	Destroy	Current	
<p><b>Schedule #:</b> 1103      113#:Low Income Housing Tax Credit</p> <p>The Low Income Housing Tax Credit, administered by MSHA, is a financial incentive for the development, acquisition, and for rehabilitation of low income housing and is a federal tax credit that can be used by investors as a direct offset of tax liability for a 10 year period. The records are created to monitor the usage of the tax credit authority and to provide final accounting to the IRS. For each housing development a general allocation file and project file are created. Check list and samples are attached. Files include: Qualified Allocation Plan; evidence of publication of notice of public hearing; tax form 8610; activity summary monitoring documentation; evaluation summaries; and related correspondence.</p>	Paper	8/23/1994	Years 1	Years 16	Destroy	Current	
<p><b>Schedule #:</b> 1158      114#:Acquisitions - Home Purchase Program</p> <p>Loan from our Home Purchase Program in which a foreclosure action takes place. The property is acquired by either the investor (MSHA) or the insurer. Acquisitions are loans acquired from the insurer. We require documentation from the lender to verify certain steps are completed in the foreclosure process. Files include: Authorization for payment - acquired property bill; bills; Advice of Payment; Quit Claim Deed; Mortgage Note; and related correspondence. Keep at MSHA until foreclosure completed.</p>	Paper	4/12/1996	Contingent Upon Event - See Description	0	Years 15	Destroy	Current
<p><b>Schedule #:</b> 1101      115#:Underground Transfer Files</p>							

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Twice monthly the Maine State Housing Authority purchases Underground Oil Tank loans from participating lenders that originate the loans. The records include documentation that indicates which lenders submit loan files, copies of checks, funding requests memo, file submission check list.	Paper	4/12/1996	Years 2	Years 5	Destroy	Current	
<b>Schedule #:</b> 946      12#:Owner's Certification for Housing Assistance							
These records are created for MSHA verification of owner compliance to rental assistance contracts. The files include: property status report; monthly report of excess income - Section 236 project and owner's monthly certification for HAP.	Paper	8/20/1991	Years 27	No Retention 0	Destroy	Current	
<b>Schedule #:</b> 946      13#:Physical Plant (Section 8, RHL P and Misc.)							
HUD requires MSHA as contract administrator to inspect each project once a year and follow up on required correction. We inspect a percentage of the units, all common areas, grounds, etc. This differs from the special physical plant file because it contains the ongoing general physical condition of the project. This is necessary for our monitoring of mortgage security. The files include: project data sheet; escrow agreement; incmplete work escrow; correspondence; physical inspection reports; proposal for repair and related documents.	Paper	8/20/1991	Years 40	No Retention 0	Destroy	Current	
<b>Schedule #:</b> 946      14#:Tenant and Owner Certification (Annual) for RHL P							
MSHA Bond financing requires verification of low income tenancy requirements in annual reporting by owner. The files refer to owner's compliance of tenancy; tenant income certification and correspondence. Keep in agency until tenant moves out.	Paper	5/24/1994	Contingent Upon Event - See Description 0	Years 30	Destroy	Current	
<b>Schedule #:</b> 946      15#:Utility Allowance and Tenant Questionnaire File (Section 8)							
Some projects have chosen to have the tenant's pay for the utility bill associated with their unit. When this is arranged, the tenant is allotted a utility allowance that is deducted from their rent. MHSA must review consumption to determine this allowance. The files refer to the kilowatts used monthly for each tenant, then annualized and averaged to compare the Kwh's currently allowed to that tenant. Determinations are made to change allowance if necessary and cost is recalculated. Utility allowance contains: summary sheet; rent increase letter, utility allowance determination (consumption by month); data review worksheet; correspondence.	Paper	5/24/1994	Years 3	Years 37	Destroy	Current	
<b>Schedule #:</b> 946      16#:Ownership Transfer							

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Created when there is transfer of project ownership. Files refer to documentation required for a change of project ownership and include: application for transfer; property description; proposal; ownership transfer notes; proposed ownership transfer; recommendation; and purchase/sale agreement.	Paper	8/20/1991	Years 40	No Retention 0	Destroy	Current	
<b>Schedule #:</b> 946 17#:Special Physical Plant Problems							
When there is a major physical problem that will involve detailed plans, specifications and is ongoing or unresolved for several months/years, or major physical problem that will impact on the project for the entire life of the project, (for example - drainage, structural defects, roof problems, windows) a special folder is started to keep this information together. The files include: energy audits; proposals; inspector reports and related correspondence.	Paper	8/20/1991	Years 40	No Retention 0	Destroy	Current	
<b>Schedule #:</b> 946 18A:Project Files (Section 8, RHLP and "Other" Projects) - After 1/1/80							
HAP contracts refer to Housing Assistance payments under the Section 8 rent subsidy for a given length of time on behalf of the apartment unit or tenant. Files include: certificated of occupancy, Mgmt Agent Qualification Form, tenant correspondence, inquiry to administrative audit, Marketing report, notice of lease termination, request for waiver, letter of credit, promissory note, regulatory agreements, mortgage assumption agreement, escrow agreements and copies of HAP agreements. For projects created after 1/1/80.	Paper	8/20/1991	Years 40	No Retention 0	Destroy	Current	
<b>Schedule #:</b> 946 18B:Project Files (Section 8, RHLP and "Other" Projects) - Prior to 1/1/80							
HAP contracts refer to Housing Assistance payments under the Section 8 rent subsidy for a given length of time on behalf of the apartment unit or tenant. Files include: certificated of occupancy, Mgmt Agent Qualification Form, tenant correspondence, inquiry to administrative audit, Marketing report, notice of lease termination, request for waiver, letter of credit, promissory note, regulatory agreements, mortgage assumption agreement, escrow agreements and copies of HAP agreements. For projects created prior to 1/1/80.	Paper	9/1/1992	Years 0	Years 25	Destroy	Current	
<b>Schedule #:</b> 946 19#:Tenant Certification File (HUD Form 50059)							

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Owner/Managers must have tenants certify their income at least annually in order to be eligible for housing subsidy. The tenant pays 30% of their income less allowances. The files refer to all of the particulars of the tenant particularly family composition, income, rent payment, size and location of unit. Files include: The Owners Certifications of Compliance with HUD's Tenant Eligibility and Rent Procedures (50050); starting with current form and back to the date occupied: waiver letters; waiver questionnaires; notice of resident termination and waiver letters, if required. HUD Form 50059 is used with the Section 8 rent subsidy program. Waiver letters are only included if tenant eligibility is not according to standard - and a special circumstance has been granted a waiver. Keep in agency until 2 years after tenant moves out.	Paper	8/20/1991	Years 2	No Retention 0	Destroy	Current	
<b>Schedule #:</b> 944      2#:Local Housing Authority Reference							
These records are created to document interaction with local housing authorities. The files contain reference materials, letters and memos. These records contain materials that are general in nature. All "substantive" correspondence is maintained by other divisions.	Paper	8/20/1991	Years 1	No Retention 0	Destroy	Current	
<b>Schedule #:</b> 947      20#:Project Files (Legal Division)							
Record of the pre-loan commitment documents, construction and/or permanent loan closing documents and all project related correspondence. Keep in agency until loan is paid or bonds mature.	Paper	8/20/1991	Contingent Upon Event - See Description 0	Years 8	Destroy	Current	
<b>Schedule #:</b> 947      21#:Program Rules							
Complete documentation of the program rules adopted pursuant to the Administrative Procedures Act. Keep in agency until rule is repealed or MSHA is desolved.	Paper	8/20/1991	Contingent Upon Event - See Description 0	No Retention 0	Archives	Current	
<b>Schedule #:</b> 948      22#:HAP/ACC Contract Files (Heating Assistance Payment/Annual Contribution Contract							
These contracts are used for the Section 8 rent subsidy program. HAP Contracts Annual Contribution Contracts together with on-going related correspondence. HAP and ACC contracts are legal documents in which the Federal government agrees to provide rental subsidy to an apartment unit or tenant for a specified period of years. These records are created for legal reference. Keep in agency until contracts expire.	Paper	8/20/1991	Contingent Upon Event - See Description 0	Years 8	Destroy	Current	

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<b>Schedule #:</b> 948      23#:Legal Correspondence MSHA Legal staff correspondence: Copies of correspondence written by MSHA attorneys.	Paper	8/20/1991	Years 1	Years 2	Destroy	Current	
<b>Schedule #:</b> 948      24#:Litigation These records are created to document litigation involving the MSHA. The records include copies of court orders, legal judgements, correspondence. Keep in agency until litigation ends.	Paper	8/20/1991	Contingent Upon Event - See Description 0	Years 8	Destroy	Current	
<b>Schedule #:</b> 948      25#:Bond Closing Documents Documents created during the process of issuing the Authority's bonds. The records would typically include: Series Resolution, Hawkins bill, Closing documents, Blue Sky Documents, Pre-official Statement, Official Statement, Correspondence, Auditors letters, Purchase contract TEFRA hearing documents. Keep in agency until bond issue is completed.	Paper	8/20/1991	Contingent Upon Event - See Description 0	Years 40	Destroy	Current	
<b>Schedule #:</b> 948      26#:Essential Documents File Original loan documents for all multi-family project loans. The records include preconstruction closing documents, construction closing documents and permanent closing documents. Keep in agency until loan payoff or bond maturity.	Paper	8/20/1991	Contingent Upon Event - See Description 0	Years 8	Destroy	Current	
<b>Schedule #:</b> 949      27#:Discharge of Mortgages These records are created to discharge single family mortgages. The files refer to written verification of mortgage payoff and include copies of discharge of mortgage, copy of mortgage note, request for discharge and request for releasing documents. Keep in agency until discharged plus 2 years.	Paper	8/18/1997	Years 2	No Retention 0	Destroy	Current	
<b>Schedule #:</b> 949      28#:GL/Manual Journal Entries and General Ledger These records are created to document financial activity. The Journal entries assist in the preparation of general ledger and the retained files include both journal entries and general ledger documents.	Paper	8/11/1998	Years 1	Years 10	Destroy	Current	
<b>Schedule #:</b> 949      29#:GL/Monthly Investment Activity Reports							

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Records are created to document and reconcile investment activity. The files refer to monthly investment activity and include investment journal, investment summary, reconciliation with trustee and accrued interest.	Paper	8/20/1991	Years 2	Years 40	Destroy	Current	
<b>Schedule #:</b> 944 3#:Bank Correspondence							
Banks send inquiries regarding program guidelines in order to be sure that MSHA will "purchase" the loan from the banks' portfolios.	Paper	8/20/1991	Years 1	Years 2	Destroy	Current	
<b>Schedule #:</b> 949 30#:GL/Trial Balance by Indenture							
These records are created to document general ledger account activity. The files refer to general ledger monthly totals and include computer printouts. These records are created by outside banks, investment firms or loan agencies.	Paper	8/11/1998	Years 1	Years 10	Destroy	Current	
<b>Schedule #:</b> 949 31#:GL/Home Fund Status Report							
These records are created to document monthly Home Fund mortgage activity. The files refer to amortization and status of loans and include trial balance, history report, delinquency report and transfer request.	Paper	8/20/1991	Years 2	Years 5	Destroy	Current	
<b>Schedule #:</b> 949 32#:GL/Accounts Payable Check Registers							
These records are created to document checks written and paid. The files refer to check names, date, amount, check number and include the check register (cash disbursement report). Keep in agency until audit complete.	Paper	5/28/1992	Years 1	Years 6	Destroy	Current	
<b>Schedule #:</b> 949 33#:GL/Bank Statements							
These records are created by bank to document monthly account activity. The files refer to activity in various bank accounts and include bank statements, cancelled checks.	Paper	8/20/1991	Years 2	Years 5	Destroy	Current	
<b>Schedule #:</b> 949 34#:GL/Compulink Daily Cash Receipts							
These records are created to monitor daily payments. The files refer to cash receipt postings and include manual cash receipts report, type of check, cash receipts, deposit ticket, deposit receipt, computerized cash receipt postings journal and reconciliation of cash for MSHA, and daily delinquency cross reference report. Keep in agency until audit complete.	Paper	5/28/1992	Contingent Upon Event - See Description	0	Years 7	Destroy	Current

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<p><b>Schedule #:</b> 949 35#:GL/Trustee Statements</p> <p>These records are created by trustee - Shawmut/Maine National Bank. The files refer to reports of monthly activity for all investments and ending summaries and include Shawmut Report and Maine National Report.</p>	Paper	8/20/1991	Years 2	Years 40	Destroy	Current	
<p><b>Schedule #:</b> 949 36#:GL/Accounts Payable Voucher Package</p> <p>These records are created to document and support payment of invoices. The files refer to purchase of good/services by MSHA and include voucher cover sheet, invoice, purchase order, and various other documentation.</p>	Paper	4/26/1994	Years 1	Years 6	Destroy	Current	
<p><b>Schedule #:</b> 949 37#:GL/Compu-Link Reports (Monthly)</p> <p>These records are created to monitor our Home Improvement Loans, oil tank loans and flood loans. The files maintain borrower's loan information and include trial balance, loan coupon list, cumulative cash receipts, cumulative cash adjustments, installment loan delinquencies, new loan report, paid in full loans, year end statements, installment loan number list, alpha loan list and 90 day delinquencies report. Retain in agency until audit complete.</p>	Paper	5/28/1992	Contingent Upon Event - See Description	0	Years 6	Destroy	Current
<p><b>Schedule #:</b> 950 38#:Fidelity Bond Files</p> <p>These records are created to monitor coverage required due to deregulation. The files refer to Fidelity Bond Insurance policies and include review forms. Management agents must post a fidelity bond to protect the owner of the property in the event if management agent or employee takes things of value. Protects the owner from theft, etc. Deregulation had to do with signatory requirements - allowed to access accounts to pay taxes, etc. No longer needed to have MSHA approval to access financial accounts. Retain in agency until superseded.</p>	Paper	8/20/1991	Contingent Upon Event - See Description	0	Years 6	Destroy	Current
<p><b>Schedule #:</b> 944 4#:Inactive Projects</p> <p>After application and approval of loan for a housing complex, a folder is set up to gather pertinent records and correspondence. Occasionally a project does not become operational under MSHA rules and regulations. The files include: owner certification of occupancy; correspondence; marketing reports; construction loan closing documents; and preapplication forms. Records are determined to be inactive when the loan commitment letter has expired.</p>	Paper	8/20/1991	Years	0	Years 8	Destroy	Current
<p><b>Schedule #:</b> 950 40#:Insurance for Individual Projects</p>							

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These records are created to monitor required insurance coverage for Section 8 and RHLP's. (Rental Housing Loan Program=RHLP)	Paper	6/24/1996	Years 3	No Retention 0	Destroy	Current	
<b>Schedule #:</b> 950 41#:Insurance Master Policy Files							
These records are created to monitor required coverage for Section 8 and RHLP's. The files refer to annual policies and include copies of master insurance policy and correspondence.	Paper	6/24/1996	Years 3	No Retention 0	Destroy	Current	
<b>Schedule #:</b> 950 42#:Working Financial Files (Section 8, RHLP and Other Projects)							
These records are created to ensure mortgage, and housing assistance payment compliance and refer to financial monitoring of the project. The files include: reports of annual financial reports with related correspondence, release letter for escrow accounts and cash flow analysis, deadline extension letters, financial amortization schedule.	Paper	8/20/1991	Years 4	Years 40	Destroy	Current	
<b>Schedule #:</b> 950 43#:Energy Audits							
An energy audit was made by our technical services staff to determine if Section 8 projects needed energy improvements. Records refer to the paperwork created by this survey. The records include: memo to owner/manager on audit review letter, energy audit info., and approval of grant letter. This was a one time audit done between 1980 and 1982 we would like to keep them in the Record Center for 30 years.	Paper	8/20/1991	Years 0	Years 30	Destroy	Current	
<b>Schedule #:</b> 950 44#:Management Agent Audit Report Worksheets							
Required by HUD Auditing Standards. When we audit a management company we must keep all our worksheets, notes, etc. that pertain to the audit along with report letter that summarizes findings. Files include: verification of all required bank accounts, funding levels, compliance with HUD occupancy standards, tenant selection, and allowable use of project funds.	Paper	8/20/1991	Years 1	Years 2	Destroy	Current	
<b>Schedule #:</b> 950 45#:VC/DM (Vacancy/Damage Claim)							

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Project owners are eligible for a reimbursement of a tenants unpaid rent and unpaid damages after move out. Also for any vacancy period, if the owner cannot re-rent due to marketing problems, the owner is eligible for payment of 80% of the contract rent up to a maximum of 60 days. The documents consist of: the claim withowner/manager's signature , attached supoorting documentation of proof of claim rent cards, advertisements, inspection, expenses incurred, etc.) and correspondence regarding claim payment or request for additional information.	Paper	8/20/1991	Years 3	Years 4	Destroy	Current	

**Schedule #:** 950 46#:Special Rent Increase

These records are created to document a special increase in rent over and above the annual rent increase to help defray costs for utilities, taxes, water/sewer and/or insurance. Files include: suummary sheet; rent increase letter; correspondence and related information to special rent increase.	Paper	8/20/1991	Years 40	No Retention 0	Destroy	Current	
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**Schedule #:** 950 47#:Managing Agent File

When a management company manages more than one project, the file serves as a central location for items that pertain to all of their projects rather than searching through several files for the same information. The records contain: tenant selection criteria, related correspondence and general correspondence. Mortgage term is 40 years. If management changes before end of term, records are superseded. Keep in agency 40 years or until superceded.	Paper	8/20/1991	Years 40	No Retention 0	Destroy	Current	
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**Schedule #:** 950 48#:Clean Copy Budgets

MSHA requires owners to send in two copies of the budget - a copy is reviewed by management staff and eventually sent to Financial file. Since these reports are public information, MSHA keeps a "clean" copy for public review. These are often used by management staff for reference purposes. These records refer to the owner's financial plans for the project for the upcomming year and include a clean copy of budget with related information.	Paper	8/20/1991	Years 1	No Retention 0	Destroy	Current	
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**Schedule #:** 951 49#:Borrower Correspondence

This series refers to borrowers and their inquiries. MSHA needs to maintain for a number of years for historical reference in the event that the loan does not meet Federal guidelines - and there is some question of whether or not the loan can be "purchased" with Federal funds available from MSHA. If the loan in their portfolio at a reduced interest rate which affects their profitability.	Paper	8/20/1991	Years 1	Years 4	Destroy	Current	
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**Schedule #:** 951 50#:Flood Loans & Grants

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These records were created for the 1987 Flood Program Borrower files for each account were created as funds were disbursed. The files include: supplemental application and correspondence. Compliance requirements to guidelines that were imposed by the State of Maine Legislature for program design. Full applications are mainframed by originating/servicing lender. MSHA maintains supplemental application to meet reporting/compliance requirements. Keep in agency until compliance regulations are met.	Paper	4/12/1996	Contingent Upon Event - See Description	0	Years 15	Destroy	Current	
<b>Schedule #:</b> 951 51#:Delinquent Reports from Servicing Lenders								
The records are created to document mortgage payment delinquencies. The files include a copy of the delinquency report for MSHA's single family mortgage purchase program. After review, the reports are held for historical reference. Loans are services by originating banks which maintain original delinquency. Keep in agency until compliance requirements are met.	Paper	8/20/1991	Years	1	No Retention	0	Destroy	Current
<b>Schedule #:</b> 951 52#:Home Improvement Program								
Borrower files are created as loan is approved and purchased form the originating lender. All correspondence pertaining to the borrower is included in addition to the loan application. Keep in agency until requirements are met.	Paper	4/12/1996	Contingent Upon Event - See Description	0	Years 15	Destroy	Current	
<b>Schedule #:</b> 951 53#:Subject Files - Home Ownership Division								
Subject files are set up to hold legal interpretations on subjects pertaining to our procedural guides for the Home Purchase, Home Improvement Housing preservation Loan and Home Equity Conversion Mortgage programs. The files include a copy of the legal questions and the response from the staff attorney. These files are kept by the Home Ownership Division. Keep in agency until MSHA dissolves.	Paper	8/20/1991	Contingent Upon Event - See Description	0	No Retention	0	Destroy	Current
<b>Schedule #:</b> 951 54#:Chronological Files - Home Ownership Division								
Due to the nature and number of calls which are received by the Division they have developed this system which saves staff the time of trying to determine who has responded to inquiries. All correspondence drafted by division staff - copies.	Paper	8/21/1991	Years	1	Years 2	Destroy	Current	
<b>Schedule #:</b> 951 55#:Underground Oil Tank Removal Program Grants/Loans								

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
These records are created to document borrower information. Individual borrower files are created as the grants/loan proceeds are approved and disbursed. Files include demographic worksheets, correspondence, and the loan applications. Keep in agency until compliance regulations are met.	Paper	4/12/1996	Contingent Upon Event - See Description	0	Years 15	Destroy	Current
<b>Schedule #:</b> 951      56#:REO Accounts							
The records are created to document the sale of properties that MSHA has foreclosed upon and the title interest has been re-assigned back to the Authority. REO = real estate owned. Keep in agency until property sold.	Paper	4/12/1996	Contingent Upon Event - See Description	0	Years 15	Destroy	Current
<b>Schedule #:</b> 951      57#:Transfer Files for Home Purchase Program							
The Home Purchase Program is offered to first time home buyers who are income eligible according to Federal guidelines. The buyer receives a reduced interest rate mortgage, with less downpayment restrictions and a 30 year term. Keep in agency until program closes.	Paper	3/9/1998	Years 2	Years 5	Destroy	Current	
<b>Schedule #:</b> 952      58#:Housing Finance Agencies (NCSHA)							
These records are created to store copies of annual housing surveys and annual HFA awards. The files contain award entry forms and copies of draft surveys.	Paper	8/20/1991	Years 1	No Retention	0	Destroy	Current
<b>Schedule #:</b> 952      59#:OOD Staff Correspondence							
OOD = Office of the Director. This is nonsubstantive correspondence, such as replies to requests for information.	Paper	8/20/1991	Years 1	No Retention	0	Destroy	Current
<b>Schedule #:</b> 945      6#:BCFP, SHLT, SHIP							
These records refer to the Boarding Care Facilities Program, Homeless Shelter Programs and the Supportive Housing Initiatives Program. In all cases, loans are made to housing developers for the creation of boarding homes, group homes or shelters for persons with special needs (persons with disabilities - mental or physical). Files include: funds requests/record/escrowbreakdown specs/loan closing documents, commitment letter, FINCO report invitation to proceed, documents, deeds, insurance, etc. Keep in agency until loan closes.	Paper	8/20/1991	Contingent Upon Event - See Description	0	Years 40	Destroy	Current
<b>Schedule #:</b> 952      60#:Insertion Orders							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
The records are created to monitor advertising budget and newspaper placements. Information within the files are copies of insertion orders sent to newspapers for placement of advertising.	Paper	8/20/1991	Years 1	No Retention 0	Destroy	Current	
<b>Schedule #:</b> 952 61#:Advertising Contracts							
The records are created to document commitments to place advertising. The files contain copies of advertising contracts.	Paper	8/20/1991	Years 1	No Retention 0	Destroy	Current	
<b>Schedule #:</b> 952 62#:Press Releases							
These records are created for review by public relation staff. The files refer to newspaper press releases that describe MSHA activities. The files include copies of press releases. Keep in agency until director's term ends.	Paper	8/20/1991	Contingent Upon Event - See Description 0	Years 6	Archives	Current	
<b>Schedule #:</b> 952 63#:Newsletters							
These records are created to maintain an office copy set of MSHA quarterly newsletters. The files include copies of newsletters that document MSHA activities and general housing issues. Keep in agency until director's term ends.	Paper	8/20/1991	Contingent Upon Event - See Description 0	Years 6	Archives	Current	
<b>Schedule #:</b> 953 64#:MLA/Purchase Transfer Files							
These records are created when MSHA purchases loans from originating lenders. The files refer to actual loan information from originating lenders and include wire transfer sheets, mortgage loan schedule, detail purchase reports, monthly purchase reports, selection criteria reports, transfer letter to originator and unit type analysis report, loan number list, alpha loan list and 90 day delinquencies report. Keep in agency until financial audit is complete.	Paper	4/21/1994	Contingent Upon Event - See Description 0	Years 5	Destroy	Current	
<b>Schedule #:</b> 953 65#:MLA/Multi-Family Billing							
These records are created for internal billing of multifamily loans. The files refer to amortization of multifamily loans and include mortgage reconciliation report, amortization schedule, billing report, exception report, amortized trial balance, and multifamily worksheet. Keep in agency until financial audit complete.	Paper	5/24/1994	Contingent Upon Event - See Description 0	Years 7	Destroy	Current	
<b>Schedule #:</b> 953 66#:MLA/MGIC Billing Reports							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
These records refer to billing statement for MGIC (Mortgage Guaranty Insurance Company) Premiums. The files include MGIC statements. Keep in agency until audit complete.	Paper	6/8/1992	Contingent Upon Event - See Description	0	Years 7	Destroy	Current
<b>Schedule #:</b> 953 67#:GL/Voucher Entries/Coding Sheets							
These records are created to record journal entries. The files refer to all transactions for MSHA for all programs and include journal entries coding sheets.	Paper	8/11/1998	Years	1	Years 10	Destroy	Current
<b>Schedule #:</b> 953 68#:MLA - S/F Adjustments							
These records are created to document the adjustment record of differences between MSHA and servicing banks. The files refer to loans that need adjustment for various reasons and include manual adjustment work sheets. Keep in agency until financial audit is complete.	Paper	4/21/1994	Contingent Upon Event - See Description	0	Years 5	Destroy	Current
<b>Schedule #:</b> 945 7#:SOS (Shelter Operating Subsidy Program)							
The SOS program provides state general fund dollars to emergency homeless shelters for overhead/operating expenses. Files include: funds requests/record, correspondence/monthly reports, agreement and application and check request.	Paper	8/20/1991	Years	2	Years 5	Destroy	Current
<b>Schedule #:</b> 953 70#:MLA - Deposit Tickets							
These records are created when servicers remit deposits to MSHA's depository. The files refer to deposits of cash sent in by our servicers, and include deposit tickets that list the bond series and dollar amount and total remittances to MSHA.	Paper	8/20/1991	Years	2	Years 2	Destroy	Current
<b>Schedule #:</b> 953 71#:MLA - S/F Billing							
These records are create when MSHA bills servicer for payment due on our single family mortgages. The files refer to the amortization of loans and cash remittances to MSHA. Files contain: MSHA billing report w/amortized trial balance; Mortgage Reconciliation Reports, servicer trial balances and related remittance reports; MSHA Cash Receipt Analysis Reports.	Paper	6/24/1996	Years	1	Years 2	Destroy	Current
<b>Schedule #:</b> 953 72#:MLA - Pledged Receipts							

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These records are created to organize reports showing the cash posted to principal, interest, fees holding period. The files refer to how MSHA posts cash received from servicers. And includes a manual and computerized reports of pledged receipts.	Paper	8/20/1991	Years 2	Years 3	Destroy	Current	
<b>Schedule #:</b> 1001      73#:FAP/Admin. Fees Earned							
These records are created to calculate administrative fees to be paid to MSHA contract agents for the Section 8 Existing and Modulate Rehabilitation programs. The file records include Administrative Fee Breakdown Worksheets. FAP refers to Federal Assistance Programs.	Paper	9/1/1992	Years 1	Years 10	Destroy	Current	
<b>Schedule #:</b> 1001      74#:FAP/YTD Payment Summaries							
These records are created to reflect rental subsidy payment history under the Section 8 existing program. The files refer to dollar amounts paid to landlords, tenants and contract agencies and include computer print outs of this information. Keep in agency until audit complete.	Paper	5/24/1994	Contingent Upon Event - See Description	0	Years 10	Destroy	Current
<b>Schedule #:</b> 1001      75#:FAP/HUD Forms							
These records are created to meet federal requirements for continued funding. These forms are completed for the Section 8 New Construction Mod Rehab, 8 Existing, Voucher, and 23/8 Programs and are sent to the U.S. Dept. of Housing and Urban Development for approval. The forms consist of Budgets and year end vouchers	Paper	9/1/1992	Years 1	Years 10	Destroy	Current	
<b>Schedule #:</b> 1001      76#:FAP/Payment Transfer Summaries							
These records are created to reflect the net monthly transfers of total Rental Subsidy Payments to Landlords, tenants and agencies for the Section 8 Existing program. Computer print out summaries of payment activity are included in the files.	Paper	9/1/1992	Years 1	Years 10	Destroy	Current	
<b>Schedule #:</b> 1001      77#:FAP/HUD Receipts							
These records are created to verify receipt of federal funds form the U.S. Department of Housing and Urban Development. The records are created by Fleet Bank and Key Bank and are submitted to MSHA for verification and historical purposes. Records include transaction summaries.	Paper	9/1/1992	Years 1	Years 10	Destroy	Current	

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type	
<p><b>Schedule #:</b> 1001 78#:FAP/New Construction HAP Contracts</p> <p>These records are created to verify receipt of federal rental subsidy payments to apartment complex owners and to document the amount of subsidy received for the Section 8 New Construction program. The files include signed copies of Owners Certification and Application for Housing Assistance Payments. Keep in agency until audit complete.</p>	Paper	5/24/1994	Contingent Upon Event - See Description	0	Years	10	Destroy	Current
<p><b>Schedule #:</b> 1001 79#:FAP/Housing Assistance Payment Detail</p> <p>These records are created to document tenancy changes for households receiving rental subsidy assistance under the Section 8 Existing Program. The records are created by MSHA and agencies to reflect: 1. Rent Charges 2. Move-outs 3. Move-ins 4. Assignments/transfers 5. Changes of address. Keep in agency until audit complete.</p>	Paper	5/24/1994	Contingent Upon Event - See Description	0	Years	10	Destroy	Current
<p><b>Schedule #:</b> 945 8#:ESG (Emergency Shelter Grants)</p> <p>The ESG program provides Federal dollars for the repair, operating costs and supportive services for emergency homeless shelters. Files include: funds requests, tracking/agreements, general correspondence and application.</p>	Paper	8/20/1991	Years	2	Years	5	Destroy	Current
<p><b>Schedule #:</b> 1041 80#:Restricted Reserve</p> <p>These records are created to protect the MSHA investment of mortgage funds in multifamily projects. The files consist of instructions to banks regarding signatory control. Investment of Restricted Reserve funds in income producing items, approval of the MSHA for withdrawal of Restricted Funds. Files contain all records involving Restricted Reserve funds under the control and supervision of the MSHA and are a vital link in preserving the assets of the MSHA. Files include: correspondence, confirmations, estimates, bank statements, HUD MD-130 forms.</p>	Paper	6/24/1996	Years	3	Years	4	Destroy	Current
<p><b>Schedule #:</b> 1041 81#:DCS Contracts</p> <p>These records were transferred from the Division of Community Service to the MSHA, current grantee agency, when DCS was abolished. These contract files were created for historical reference of Weatherization and Fuel Assistance program activities. The files include: contracts, completions, monitoring.</p>	Paper	6/18/1993	Years	0	Years	4	Destroy	Current
<p><b>Schedule #:</b> 1041 82#:Rental Rehabilitation/Moderate Rehabilitation</p>								

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
These records are created for historical reference for each multi-family housing rehabilitation project financed by MSHA. The files include: Application of owner, site control, environmental review, inspections, specs, owners agreement. Keep in agency until discharge of mortgage.	Paper	6/18/1993	Contingent Upon Event - See Description	0	Years 40	Destroy	Current
<b>Schedule #:</b> 1041      83#:GL/General Fund Cash Receipts							
Records are detailed information on cash received and processed through the General Fund and consist of copies of every check received.	Paper	6/18/1993	Years	2	Years 5	Destroy	Current
<b>Schedule #:</b> 1041      84#:RHLP (Rental Housing Loan Program) Files							
Records are created for historical reference to loan underwriting and construction period of each multi-family project. Files include: commitment documentation, correspondence, related issues, chronological issues, application. Keep in agency until loan closes.	Paper	6/18/1993	Contingent Upon Event - See Description	0	Years 40	Destroy	Current
<b>Schedule #:</b> 1042      87#:Section 8 Existing Financial Records							
MSHA administers HUD Rental Subsidies to selected Agents. Attached are copies of documents essential in the administration of the Section 8 voucher program. Documents include monthly requests for payment, application for payment, schedule of payments, rent change reports, move in and move out reports.	Paper	6/28/1993	Years	2	Years 5	Destroy	Current
<b>Schedule #:</b> 1042      88#:Delinquency Files							
Files are created when a borrower from our Home Purchase Program becomes delinquent and the servicing lender recommends that a foreclosure action be taken, but during the action the borrower either satisfies the note or brings the account current. These files would primarily contain copies of original documents and correspondence. Documents in the files include: lender recommendation for foreclosure, correspondence, MSHA recommendation for foreclosure, copy of deed.	Paper	4/12/1996	Years	1	Years 5	Destroy	Current
<b>Schedule #:</b> 1042      89#:U.S. Department of Health and Human Services Weatherization							
Files are created for historical reference of U.S. Department of Health and Human Services Weatherization Program activities carried out by MSHA (program grantee) and Community Action Agencies (program sub-grantee). The files include correspondence, monitoring reports, and billings. Keep in agency until last expenditure reported for grant year.	Paper	6/28/1993	Contingent Upon Event - See Description	0	Years 3	Destroy	Current

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
<p><b>Schedule #:</b> 945 9#:Housing Preservation Files</p> <p>The Housing Preservation Program provided low-interest rate loans to borrowers for the rehabilitation of substandard housing, include: funds requests, tracking/agreements, general correspondence and application. Files include: payment vouchers; check requests; correspondence; owner's agreement, copy of deed, loan report, completion certificates.</p>	Paper	8/20/1991	Years 0	Years 15	Destroy	Current	
<p><b>Schedule #:</b> 1043 90#:U.S. Department of Energy Weatherization Assistance Program</p> <p>These records are created for historical reference of Department of Energy Weatherization activities/program carried by MSHA (program grantee) and Community Action Agencies (program sub-grantee). Files include:billings, billings job books, correspondence, monitoring (fiscal and program), training and technical assistance. The basic purpose of this series is to monitor the sub-grantees' activities. MSHA is responsible for the Federal grant from U.S.Department of Energy. MSHA performs audits of Community Action Agencies throughout the expenditure of the grant funds. Keep in agency last expinditure reported for grant year.</p>	Paper	6/28/1993	Contingent Upon Event - See Description	0	Years 3	Destroy	Current
<p><b>Schedule #:</b> 1043 91#:U.S. Department of Health and Human Services Fuel Assistance</p> <p>These records are created for historical reference of Department of Health and Human Services Fuel Assistance Program activities carried out by MSHA (program grantee). The files include: budgets and contracts, correspondence, monitoring, Federal reports and fuel vendor contracts. Keep in agency until last expenditure in grant year.</p>	Paper	6/28/1993	Contingent Upon Event - See Description	0	Years 3	Destroy	Current
<p><b>Schedule #:</b> 1043 92#:FFA- Travel</p> <p>These records are created as a financial/program record of all trips/travel that personnel in FFA Division do. The files include confirmation, conference reservations, request to travel forms. (FFA: Federal Funds Administration.)</p>	Paper	6/28/1993	Years 2	Years 3	Destroy	Current	
<p><b>Schedule #:</b> 1043 93#:Multiple Listing Service Books</p> <p>The Maine State Housing Authority provides mortgage capital for housing. The Authority administers Home Purchase programs for income qualified borrowers. These records are created and used to set purchase price limits on homes. The books contain detailed information about properties that have sold. The data is entered into a database for statistical compilation.</p>	Paper	6/28/1993	Years 3	Years 40	Destroy	Current	

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
<p><b>Schedule #:</b> 1043      94#:MLA/Audit Certifications</p> <p>The Maine State Housing Authority contracts with mortgage companies to service loans on an on-going basis. These records are created to insure that all single-family loan services are in compliance with the Uniform Single Audit Program for Mortgage Bankers. Files include: Servicer's Financial Statements, Servicers Annual Reports, U.S.A.P. Audit letter.</p>	Paper	6/28/1993	Years 1	Years 2	Destroy	Current	
<p><b>Schedule #:</b> 1043      95#:MLA/Real Estate Owned Properties</p> <p>These records were created to document activity on properties that are acquired through foreclosure (R.E.D.). The files refer to postings or cash receipts and include copies of deposit tickets, R.E.O. transfer sheets, and supporting letters/memos. During foreclosure proceedings MSHA will become the owner of the property. MSHA then markets the property for sale. If the selling price does not equal its original worth, MSHA files an insurance claim to cover the loss on the sale. These documents provide an accounting of the final sale and insurance claim.</p>	Paper	6/28/1993	Years 2	Years 5	Destroy	Current	
<p><b>Schedule #:</b> 1043      96#:MLA/Reconciliation</p> <p>These records are created to determine if services' trial balances are in balance with MSHA's subsidiary balances. These files refer to spreadsheets set up by fund and by servicer. This series refers to bond funds that have been issued by MSHA and have been allocated to lenders that service our mortgage loans. These documents verify that the banks' books are reconciled with MSHA's.</p>	Paper	6/28/1993	Years 2	Years 5	Destroy	Current	
<p><b>Schedule #:</b> 1044      97#:GL/Allocated Expenses</p> <p>These records are created to document and support expenses allocated. These files include time sheets and computer spreadsheets indicating the allocation by MSHA Division and Fund. These records document how expenses are allocated by Federal program where administrative costs are reimbursed as a percentage of the grant.</p>	Paper	6/28/1993	Years 2	Years 5	Destroy	Current	
<p><b>Schedule #:</b> 1044      98#:MLA/ Mortgage Point Schedule</p> <p>These records are created to document and support payment of points received from borrowers (by bank) in the origination of single-family loans. These files include a spreadsheet arranged by Bond series and by servicer.</p>	Paper	6/28/1993	Years 2	Years 5	Destroy	Current	
<p><b>Schedule #:</b> 1044      99#:Finance Committee Minutes</p>							

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Description	Media	Approval Date	In Agency Retention	Rec Center Retention	Disposition	Status	Fiscal Year Type
These files were created to document the activity of the Finance Committee, an internal loan review committee. Loans are processed through this committee prior to commitment to financing. The files refer to minutes of the meetings.	Paper	8/11/1998 Years	1	Years 10	Destroy	Current	

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