



# Department of Housing, Buildings and Construction

## Records Retention Schedule

Prepared by the State Records Branch  
Archives and Records Management Division  
Approved by the State Libraries, Archives, and Records Commission



Kentucky Department for Libraries and Archives

This records retention schedule governs retention and disposal of records created, used and maintained by the Department of Housing, Buildings and Construction. **Government records in Kentucky can only be disposed of with the approval of the State Libraries, Archives, and Records Commission (the Commission).** If records do not appear on a **Commission-approved records retention schedule, agencies should not destroy those records.** This agency-specific schedule was drafted by Department of Housing, Buildings and Construction personnel and Archives and Records Management Division staff, and reviewed and approved by the Commission. This schedule provides the legal authority for the Department of Housing, Buildings and Construction to destroy the records listed, after the appropriate retention periods have passed.

Department of Housing, Buildings and Construction personnel should use this agency-specific schedule in combination with the *General Schedule for State Agencies (General Schedule)*, also approved by the Commission. The *General Schedule* applies to records that are created, used and maintained by staff at all or most state agencies. Agency-specific retention schedules are used only by specific agencies and apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* and agency-specific retention schedule should cover all records for the Department of Housing, Buildings and Construction.

This retention schedule applies to state agency records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

**All state government employees are responsible for maintaining records according to the retention schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.**

This retention schedule covers the content of records created by the Department of Housing, Buildings and Construction, including records created or stored using computers and computer systems. The *General Schedule for Electronic and Related Records* applies to records related to computers or a computer system. Examples of these include system documentation and use records, backup files, or website format and control records.

### **Audits and Legal Action**

Agency records may be subject to fiscal, compliance or procedural audit. If an agency should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings or open records matters. These records must be retained at least until all legal or investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

### **Vital Records**

Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

### **Confidential Records**

While all records created, used and maintained by government agency personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. Agency personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State agency heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their agency and to see that those laws are enforced.** Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

### **Copies of Records**

Agency personnel often make copies of records for internal use or reference purposes. Agencies should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

### **Updating the Retention Schedule**

Per 725 KAR 1:010, the head of each state government agency is required to designate a member of his or her staff to serve as a records officer. The agency records officer represents that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

## **Department of Housing, Buildings and Construction**

The Department of Housing, Buildings and Construction was created in 1978 (KRS 198B.030) to facilitate the administration and enforcement of a uniform state building code. The new agency assumed duties and responsibilities previously delegated to several state agencies. A uniform building code was mandated by the 1978 General Assembly in response to the 1977 Beverly Hills Supper Club fire in Northern Kentucky. Prior to 1978, several building codes were used throughout the Commonwealth. The agency provides oversight of building construction through enforcement of building and fire codes including: elevators, boilers, manufactured housing, hazardous materials, electrical installations, and plumbing. The agency also ensures fire and life safety in existing buildings; licenses/certifies plumbers, electricians, boiler contractors, sprinkler and/or fire alarm contractors and building inspectors; and serves as headquarters for the State Fire Marshal's office.

# RECORDS RETENTION SCHEDULE

## Signature Page

Department of Housing, Building and C

February 4, 2020

Agency

Schedule Date

Unit

February 4, 2020

Change Date

February 4, 2020

Date Approved By Commission

## APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

  
Agency Head

1/28/20  
Date of Approval

  
Agency Records Officer

01/28/2020  
Date of Approval

State Archivist and Records Administrator  
Director, Archives and Records Management Division

Date of Approval

  
Chairman, State Libraries, Archives, and  
Records Commission

FEB - 4 2020  
Date of Approval

The undersigned Archives and Records Management Division staff have examined the record items and recommend the disposition as shown:

  
Records Analyst/Regional Administrator

February 4, 2020  
Date of Approval


Appraisal Archivist

2/4/2020  
Date of Approval

State/Local Records Branch Manager

2-5-20  
Date of Approval

The determination as set forth meets with my approval.

  
Auditor of Public Accounts

2/4/2020  
Date of Approval

**STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION**

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
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Public Protection Cabinet  
Housing, Buildings and Construction, Department of

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Number  
1410**

License and Certification Branch

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>01406</b>	<b>Journeyman License File (Plumbing)</b>	This series documents the application for and issuance of a journeyman plumber's license, pursuant to KRS 318.010 - 318.990 and 815 KAR Chapters 2 and 20.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Application, renewal, and related documentation.
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.
<b>01407</b>	<b>Master License Application File (Plumbing)</b>	This series documents the application for and issuance of a master plumber's license, pursuant to KRS 318.010 - 318.990 and 815 KAR Chapters 2 and 20.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Application, renewal, and related documentation.
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.
<b>01452</b>	<b>Application for Certificate of Acceptability - Manufacturers</b>	This series documents the application for and issuance of a Certificate of Acceptability (KRS 227.580). It is unlawful for any manufacturer to manufacture, import, or sell manufactured homes within this state unless such manufacturer has been issued a certificate of acceptability for such manufactured homes. This provision shall not, however, apply to manufactured homes manufactured in this state and designated for delivery to and sale in another state. Along with the application, an affidavit is included which ensures that homes manufactured by the applicant are built in compliance with the applicable codes. Certificates must be renewed annually by the last day of the applicant's birth month or by the last day of the month of incorporation. If it is not renewed, the manufacturer is prohibited from shipping any manufactured homes into the state. When renewal does not occur, the file is made inactive and can only be reinstated by submission of a renewal application and the payment of back licensing fees.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Application form which contains company name; name of corporation, if applicable; address, phone number, fax number, email address; list of all manufacturing plants and locations; list of corporate officers with titles and social security numbers; and certificate of general liability insurance with the Department listed as the certificate holder.
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.
<b>01460</b>	<b>Retailer License File - (Recreational vehicles, mobile homes, and brokers)</b>	This series documents the application for and issuance of a license to sell, offer for sale, purchase from certified manufacturers, or buy or affix seals on units in the state or coming into the state, as required in KRS 227.550 - 227.665 and 815 KAR 25.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Application form which includes type of home sales; copy of sales tax permit; name, address, phone number, fax number and email address; corporate name, if applicable; list of all owners/partners/corporate officers with percent of business owned and titles; copy of lease/deed; names of certified installers/managers employed by company; notarized drawing of premises; corporate assets; zoning and use authority; certificate of insurance; and related documents. Contents are generally the same for each type of retailer
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>	<b>License and Certification Branch</b>
<b>04326</b>	<b>Underground Storage Tank Contractor Certification File (V)</b>	This series documents the individuals certified to install, line interior, remove, and cathodically protect underground storage tanks pursuant to KRS 224.60-100, 224.60-160, and 815 KAR 30:060.	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series may contain: Application, proof of insurance, photograph of contractor, test results, record of payment for fee, and correspondence.	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	
<b>04327</b>	<b>Underground Storage Tank Certification - Application Not Processed File</b>	This series documents those applicants that have paid an application fee and/or test fees to become certified to install/remove, remove only, cathodic protection, and interior line underground storage tank systems, but have not successfully passed the written exam or submitted the required proof of insurance coverage, which includes pollution coverage. The application fee is non-refundable. Fees are: \$50 test fee for 1st examination; \$300 application fee; \$25 for any retest fees and \$100 to annually renew certification. When the application is more than one year old, a new application is required.	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series contains: Application, record of fee payment, test results, and related correspondence.	
	<b>Retention and Disposition</b>	Retain for three (3) years. Destroy after audit.	
<b>05361</b>	<b>Electrical Inspector Certification File</b>	This series documents the certification of electrical inspectors, as required in 815 KAR 35:015. Application is made to the Electrical Division to ensure that the applicant has the required five years of experience in the electrical field. The National Certification Program for Construction Code Inspector examination may also be required. Certifications must be renewed each year. There is also a continuing education requirement of 12 hours, which must be met before renewal can occur. If certificate holder does not renew by the last day of his/her birth month annually, the certification is considered canceled. To renew a canceled certification, the individual must submit proof of having met continuing education requirements, pay a reinstatement fee and past renewal fees, or take another test.	
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series contains: Certification number; photograph of applicant; name; address; birth date; social security number; applicant signature; certificate issue date; date application filed; Board approval letters; date of examination (if applicable); test scores (if applicable); renewal card; certificate of insurance/bond; proof of continuing education units; notary public signature; complaints/grievances; and hearing information (if applicable).	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	
<b>05363</b>	<b>Electrical Inspector File (Not Approved)</b>	This series documents those applicants for an inspector certification who did not meet the five-year work requirement. If the individual can submit proof of the required work experience, the certification process can be initiated.	
	<b>Access Restrictions</b>	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series contains: Application for certification; name; address; date of birth; social security number; correspondence documenting work experience; review responses; and correspondence regarding decision.	
	<b>Retention and Disposition</b>	Destroy one (1) year after denial.	

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Public Protection Cabinet  
Housing, Buildings and Construction, Department of

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>	<b>License and Certification Branch</b>
<b>05365</b>	<b>Master Contractor License File - (HVAC) (V)</b>	This series documents the application for and issuance of a license for an individual representing a company or entity to lawfully engage in and perform heating, ventilation and air conditioning contracting, service, and installations, as provided for in KRS 198B.650 - 689, 815 KAR 2, and 815 KAR 8.	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series contains: Application; examination results; certificate of insurance; renewal applications; continuing education certificates; change of information request forms; master inactive/reactivation request; and duplicate copy request.	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	
<b>05366</b>	<b>Journeyman License File - (HVAC) (V)</b>	This series documents the application for and issuance of a license for an individual to perform work in the installation, repair and servicing of heating, ventilation and air conditioning systems, as provided for in KRS 198B.650 - 689 and 815 KAR Chapters 2 and 8.	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series may contain: Application; examination results; renewal application; continuing education certificates; and change of information request form, and duplicate copy request.	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	
<b>05367</b>	<b>Apprentice Registration File - (HVAC) (V)</b>	This series documents the application for and the receipt of an apprentice registration, as required in KRS 198B.658(3) and 815 KAR 8.	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series may contain: Application; renewal application; and change of information request form, if applicable.	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	
<b>05370</b>	<b>Training Agency File (HVAC)</b>	This series documents the application for and approval of agencies to provide continuing education for individuals licensed as masters and journeymen, pursuant to 815 KAR 2:020, in order to renew licenses.	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series may contain: Application; organization contact list; course schedules; and annual reports.	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	
<b>05371</b>	<b>Training Provider File</b>	This series documents the application for and approval of organizations and individuals as providers of continuing education programs for licensed journeyman only. Under the terms of KRS 198B.684, the Kentucky Board of Heating, Ventilation and Air Conditioning establishes and adopts the requirements for continuing education. Journeymen are required to complete eight hours of continuing education for license renewal.	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series contains: Application; course submittals; approvals; contact list; and annual reports.	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	



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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>	<b>License and Certification Branch</b>
<b>05372</b>	<b>Liquefied Petroleum Gas License File - (Electronic)</b>	This series documents the application for those individuals or entities that engage in the liquefied petroleum gas business in the state, as required in KRS 234.120 and 815 KAR 30.	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series may contain: Application; certificate of insurance; notices to suppliers, and related correspondence.	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	
<b>05383</b>	<b>Certified Installer/Manager/Owner Application File</b>	This series documents that the requirements for certification as an installer of manufactured homes has been met. In addition to completing the application, the individual must have completed a 15-hour installer course, documented the setting of 5 homes under the guidance of a state certified installer, and passed a required examination. Upon approval, a certified installer card is issued to the individual. Under order to meet renewal requirements, the installer must also complete five hours of continuing education classes per year. The certification expires on the last day of the birth month of the certificate holder.	
	<b>Access Restrictions</b>	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series may contain: Application, copy of certificate of achievement, completed journeyman verification form, examination information, and copy of certification card issued.	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	
<b>05796</b>	<b>Contractor Electrician License File (V)</b>	This series documents the application for and issuance of a license for an individual representing himself/herself, or a company lawfully engaged in performing electrical contracting as provided in KRS 227A.010-150 and 815 KAR Chapters 2 and 35.	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series may contain: Application, test results, certificate of liability insurance, proof of Kentucky Workers' Compensation insurance or notarized waiver, associated master's information, continuing education certificates, color photo, renewal application, verification of fee payment, and related correspondence.	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	
<b>05797</b>	<b>Master Electrician License File (V)</b>	This series documents the application for and issuance of a license for an individual representing himself/herself in performing master electrical work as provided in KRS 227A.010-150 and 815 KAR Chapters 2 and 35.	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series may contain: Application, test results, color photo, verification of required experience and/or proof of attendance and completion of approved training program, continuing education certificates, renewal application, verification of fee payment, and related correspondence.	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	

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Series	Records Title and Description	Function and Use	License and Certification Branch
05798	<b>Electrician License File (V)</b>	This series documents the application for and issuance of a license for an individual representing himself/herself in performing electrical work as provided in KRS 227A.010-150 and 815 KAR Chapters 2 and 35.	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series may contain: Application, test results, color photo, verification of required experience and/or proof of completion of approved training program, continuing education certificates, renewal application, verification of fee payment, and related correspondence.	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	
05799	<b>Continuing Education Provider File (V)</b>	This series documents the certification for continuing education providers pursuant to the terms outlined in KRS 227A.010-150 and 815 KAR Chapters 2 and 35.	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series may contain: Resumé of instructors, class schedules, rosters, and outline of classes being offered.	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	
05872	<b>Contractor Licensing and Certification Files (Sprinkler systems)</b>	This series documents both the issuance and denial of licenses for sprinkler systems contractors in accordance with KRS 198B.550 - 198B.630.	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series may contain: Applications, fees paid, insurance information (general liability, workers comp., etc.), training certificates, National Institute for Certification in Engineering Technologies (NICET) information, renewal letters, copies of licenses, and related documents and correspondence.	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	
06416	<b>Fire Alarm/Sprinkler Inspector Certification File</b>	This series documents the certification of fire alarm and sprinkler inspectors pursuant to KRS 198B.6401 -198B.6417.	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.	
	<b>Contents</b>	Series may contain: Initial application for certification; picture of applicant; renewal materials; continuing education documentation; correspondence; and Certificate or Affidavit of Insurance.	
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.	

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Public Protection Cabinet  
Housing, Buildings and Construction, Department of  
Building Codes Enforcement, Division of  
Building Codes Section

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Series	Records Title and Description	Function and Use
01438	<b>Project File (V)</b>	This series documents all activities concerning a building project from the planning stages to final construction. The file sets forth what can and cannot be done in regard to construction according to established building codes and documents whether there is compliance with the codes. It further documents the inspections conducted during various phases of construction. As construction proceeds, certificates are issued by the agency to verify that codes and regulations have been met. The final step is the issuance of a certificate of occupancy. The Building Code Enforcement Division is responsible for ensuring compliance with established codes for construction projects involving either state owned or privately owned buildings, excluding residential buildings. The series represents the "as built" construction and will include any and all changes and amendments to the actual construction of buildings.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Plan review booklet, sprinkler, fire alarm, range-hood review forms, inspection reports, approval/disapproval letters, correspondence from public, architects, engineers and contractors, owners, project information cover sheet, final letter and certificate of occupancy once project is complete, copies of certificates showing compliance with required building codes, and plan review reports.
	<b>Retention and Disposition</b>	Retain for five (5) years after notice of demolition of project, then destroy.
01439	<b>Construction Documents (V)</b>	This series represents the drawings and specifications for projects under construction. Files pertain to both State- and privately-owned commercial facilities (does not include residential records). The agency must receive these documents prior to construction and must approve their content before construction can begin. Upon receipt of the plans, the Division becomes the custodian of the most complete record and is the primary source for information when questions regarding compliance with building codes arise. The Finance and Administration Cabinet maintain original documents regarding State-owned facilities. The agency must retain copies in the event of a disaster.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Approved plans for site, architectural, sprinkler, fire alarm, range hood, structural, mechanical, electrical, plumbing, and HVAC projects.
	<b>Retention and Disposition</b>	Retain for five (5) years after notice of demolition of project, then destroy.

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Public Protection Cabinet  
Housing, Buildings and Construction, Department of  
Building Codes Enforcement, Division of  
Elevator Inspection Section

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05856</b>	<b>Elevator Inspection and Permit File</b>	This series documents routine Elevator and Fixed Guideway System Inspections. The Elevator Inspection Section of the Department approves plans and specifications and issues permits for the installation of all new, altered, or relocated elevators, escalators, moving walks, dumbwaiters, material lifts, stairway chairlifts, wheelchair lifts, vertical reciprocating conveyors and other related devices to be installed in public or residential applications. Per KRS 198B.470 all new and existing elevators, escalators, moving walks and other lifts are inspected annually and certificates of operation are issued. This Section also performs investigations of accidents or incidents involving elevators, escalators, moving walks and all related equipment.
		Note: Series 01401, Case Files (Commissioner's Office) document litigation and complaints and are permanent records.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, contact information, elevator installer company name and contact information, unit location, unit type, unit specifications, and related documents and correspondence.
	<b>Retention and Disposition</b>	Retain in Agency. Destroy (3) three years after unit destruction.

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Manufactured Housing Section

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>01456</b>	<b>Application for Seals - Manufacturer or Dealer</b>	This series documents the application for a seal of approval required on all used manufactured homes, used mobile homes and used recreational vehicles offered for sale in Kentucky (KRS 227.600). Retailers must apply to the Department for the appropriate seal by submitting an application stating that the unit has been brought up to, or meets reasonable standards. Used manufactured homes, used mobile homes and used recreational vehicles taken in trade must be inspected and certified and a numbered Class B1 or Class B2 Seal must be affixed by the retailer to the unit prior to transportation. A seal will not be required if the retailer affirms that the unit will not be resold for use by the public. The owner of any used manufactured home, used mobile home or used recreational vehicle not covered by the National Manufactured Housing Construction and Safety Standards Act of 1974 and was purchased in another state and not bearing a seal of approval must purchase a seal from the Department (42 U.S.C. 5401 et seq.; 24 CFR Part 3280 and Part 3282).
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Retailer name, contact information, license number, payment information (department assigned number for CC payments, check number), and related documents and correspondence.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
<b>01457</b>	<b>Request for Foundation Inspection</b>	This series documents the inspections of manufactured and mobile home foundations in accordance with 815 KAR 25:090. These inspections ensure that the home site has been prepared according to standards, that the foundation has been constructed according to standards and that a post installation inspection has met standards (KRS 227.570(2) and KRS 227.590 (1))
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: (Release for Delivery form) Consumer name and address, retailer name and address, inspection details, and related documents and correspondence.
	<b>Retention and Disposition</b>	Retain for three (3) years after completion of inspection, then destroy.
<b>01462</b>	<b>Retailer Lot Inspection Form</b>	This series documents mobile home retail lot inspections. Inspections are used to monitor retail dealer's lots within the State for issues such as transit damage, seal tampering, and dealer performance. Inspections detail lot inventory by listing manufacturers and serial numbers of all homes on site (KRS 227.650) and (24CFR3282.303).
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Retailer Lot Inspection Form – Retailer name, license number and contact information, county, inventory of new and used homes, manufacturer's names and serial numbers of homes, inspector's name and badge number, and related documents and correspondence.
	<b>Retention and Disposition</b>	Retain for three (3) years after completion of inspection, then destroy.
<b>01466</b>	<b>Temporary Retailer License File - (Issued to out-of-state retailers for recreational vehicle and boat shows)</b>	This series documents the application for and issuance of a temporary license to a recreational vehicle out-of-state retailer, as required by KRS 227.590. The license allows the retailer to display and sell vehicles at recreational vehicle and boat shows that are open to the public. A retailer can only apply twice within a calendar year for a temporary license. Once the license is issued, a representative from the Department affixes seals to the vehicles on display, which is required for sale in the state. Temporary licenses cannot exceed a thirty-day period.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name, address, phone number of the retailer; inclusive dates of the show; copy of out-of-state license; and valid Kentucky sales tax permit
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.

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Manufactured Housing Section

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Series	Records Title and Description	Function and Use
01471	<b>Consumer Complaint File</b>	This series documents the consumer complaints received regarding manufactured homes. If the home is older than one year, was a repossessed or used home, the Department addresses structural damages, imminent safety hazards and installation problems only. The retailer or certified installer is responsible for any corrective action needed. If the home is still under warranty, a copy of the complaint is forwarded to the retailer and manufacturer advising them that they have 20 working days in which to contact the consumer to perform an inspection. The Department is to receive a copy of the inspection findings, completion of repairs or corrective action needed. If the complaint is not resolved within 20 days, the owner would contact the Department and a joint inspection would be conducted. All parties are given an additional 20 days, if additional corrective action is required. If deficiencies are not corrected within the specified timeframe, legal action may result.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Consumer complaint form; date of manufacture; plant number; Housing and Urban Development certification label number; serial number; home size; date purchased and delivered; whether purchased new, used or repossessed; whether home has been moved from original site; installer certification number, expiration date; list of deficiencies; and related correspondence.
	<b>Retention and Disposition</b>	Retain for three (3) years after closure and all appeals have been exhausted, then destroy.
01472	<b>Installation Inspection Form</b>	This series documents inspections of the installation of homes. The Department may carry out the inspection on its own or at the request of a retailer or consumer. The purpose of the inspection is to ensure that the manufacturer's installation requirements have been met. If the inspection finds non-compliance, the retailer is notified and is required to correct any deficiencies.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Owner's name and address; retailer's name, city, county; installer's name and certificate number; manufacturer name, serial number, Housing and Urban Development certification label number, instruction/code; new, used; and seal number.
	<b>Retention and Disposition</b>	Retain for three (3) years after completion of inspection and correction of deficiencies, then destroy.
01473	<b>Unit Inspection Form</b>	This series documents the verification that used manufactured homes and mobile homes have been inspected and safety standards have been met. Inspections can be performed by the department's divisional inspectors, modular home manufacturers, certified installers, certified retailers, or retailers. Certified retailers are certified by the department and may inspect any used manufactured home, used mobile home, or recreational vehicle that they take in or trade. Modular home inspections are inspected by a third party inspection agency for the manufacturer.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Unit Inspection of seal form, consumer name and contact information, unit type, manufacturer's name, unit serial number, dealer information, fees; related documents, and related correspondence.
	<b>Retention and Disposition</b>	Retain for three (3) years after completion of inspection, then destroy.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>01401</b>	<b>Case Files</b>	This series documents investigations of alleged violations conducted by the Department of Housing, Buildings and Construction (DHBC), complaints against DHBC personnel and those individuals licensed by DHBC. Where applicable, these records may document administrative orders, administrative appeals, circuit court orders and judgments rendered. These files contain record copies of all proceedings, motions, and actions created during the hearings, including video and audio records.  NOTE: This series contains all the information found previously in deleted series 01402, 01403, 01404, and 01405.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Names, dates, Social Security Number, addresses, contact information, inspection reports, affidavits, violations, orders, notices, complaints, hearing transcripts, subpoenas, photo and video evidence, and related documents and correspondence.
	<b>Retention and Disposition</b>	Retain Orders issued by the Department Permanently. Retain the balance of the case file for three (3) years after case closure and all appeals have been exhausted, then destroy.

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Electrical, Division of

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05359</b>	<b>Project Files</b>	This series documents the inspection of electrical projects by state employed electrical inspectors to ensure compliance with the National Electrical Code, as required in 815 KAR 35:020 Section 1. The file is considered closed when a Certificate of Compliance has been issued. An inspection fee is charged to the contractor, agency, or university. KRS 227.487 refers to fees imposed for inspections.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Certificate of Compliance; approval for temporary occupancy; inspection reports, number of code violations (if any), date and time of inspection, time required for inspection, travel time, amount charged for inspection; drawings; photographs of the project; and related correspondence.
	<b>Retention and Disposition</b>	Retain in Agency. Destroy (3) three years after project closure, and audit.
<b>05360</b>	<b>Investigation Files</b>	This series documents complaints and requests for investigations related to an electrical installation site. The requests may come from local fire departments, law enforcement agencies, or individuals to investigate a fire scene to determine if the fire was electrical in nature. Investigations are also carried out where there is reason to believe that violations of the electrical code or regulations of the Department have occurred. Investigations are also carried out for projects and job sites to determine if there are electrical shock problems. If it is determined that there is an issue with the electrical installation, the job site may be shut down until such time as the necessary repairs have been completed and a subsequent inspection performed.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Investigation report; photographs of incident, if necessary; videotapes of incident; drawings of incident; and related correspondence.
	<b>Retention and Disposition</b>	Transfer fire scene investigation documentation conducted with the State Fire Marshal's Office to records series 01441, Fire Investigations. Retain other investigation records for three (3) years after case closure, then destroy.



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Series	Records Title and Description	Function and Use
05818	<b>Fire-Safe Cigarette Program File</b>	This series documents Kentucky's Fire-Safe Cigarette Program which was enacted by the General Assembly in 2007 (KRS 227.770 - 227.784). The Act requires that all cigarettes intended to be sold in Kentucky by manufacturers on or after April 1, 2008, must be in compliance with testing requirements and have a certification of compliance submitted to the State Fire Marshal. Each cigarette certified under these provisions must be recertified every three (3) years. One-third of all fire deaths in Kentucky are attributed to smoking. The overall mission of the Fire-Safe Cigarette Program is to reduce smoking-related fire deaths in Kentucky. To date, forty-four (44) states have enacted laws or have pending legislation regarding the implementation of a fire-safe cigarette program. A fire-safe cigarette has a reduced propensity to burn when left unattended. The most common fire-safe technology used by cigarette manufacturers is to make the paper thicker in places to act as "speed bumps" to slow down a burning cigarette.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Manufacturer contact information; testing certification lab results; copies of fire-safe cigarette package markings; payment requirements and information; detailed cigarette descriptions, approval letters, denial letters and related documents and correspondence.
	<b>Retention and Disposition</b>	Retain for four (4) years, then destroy.
06107	<b>Periodic Fire Alarm/Sprinkler Inspection and Testing Report</b>	This series documents copies of periodic fire alarm/sprinkler inspection and testing reports conducted by private inspectors and for which inspections revealed deficiency. Kentucky Standards of Safety (815 KAR 10:060) require that all fire alarm and fire suppression systems be maintained to ensure proper operations. When violations are noted on inspection, the State Fire Marshal must be notified within ten (10) working days of the inspection. Once the State Fire Marshal receives and reviews inspection documents and deficiency is assessed, notices may be sent to the building owner, local fire marshal and/or local fire department requiring deficiency be remedied. Building owners are then required to provide proof that corrective action has been taken and a subsequent inspection has been performed which indicates no deficiencies.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Inspector name, FAR #, Inspection company name and contact information, facility name and contact information, types of systems, initiating devices, and remarks and related correspondence.
	<b>Retention and Disposition</b>	Destroy when no longer needed.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>01441</b>	<b>Fire Investigations</b>	<p>This series documents fire investigation records created, maintained by, or in the possession of the State Fire Marshal's Office. From the reports made to the Fire Marshal's Office by insurers, employees, or appointees, the state fire marshal shall keep a record of all fire investigations and fire losses occurring in this state and of facts concerning them. He shall make such compilations, investigations and statistical summaries as he deems proper, all of which shall be kept as permanent records in his office (KRS 227.260). The chief of each fire department, sheriff, or local deputy marshal ordered under KRS 227.230 shall immediately investigate the origin and circumstances of a fire in his or her area and determine the cause of the fire so far as practicable. If it appears that the fire is of suspicious origin, he or she shall immediately notify the state fire marshal and the Kentucky State Police (KRS 227.240).</p> <p><b>Access Restrictions</b> KRS 61.878 (1)(h) - Investigations; KRS 227.260; KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series may contain: Location of fire, owner information, dates and times, investigators on scene, incident reports, witness reports, statements and information, autopsy reports, scene photos, scene video, and related documents and correspondence.</p> <p><b>Retention and Disposition</b> Retain Permanently.</p>
<b>01483</b>	<b>Incident Report File (V)</b>	<p>This series documents spills, leaks, explosions, or fires of gas tanks, trucks or other containers of hazardous materials under the jurisdiction of the State Fire Marshal's Office. All insurers authorized to conduct business in Kentucky are to report to the state fire marshal losses or damages by fire, lightning, hazardous materials, or flammable liquids when it occurs to, in, or on property insured (KRS 227.250). Insurers are not obliged to report if the loss is of such a small amount that it is not economically feasible to involve the agency. Surface liquids, or free products, are the primary concern of inspectors in the Office. When the agency is made aware of an incident, management determines the need for a report, then sends the proper personnel to the scene. They assist local fire departments, State Police, or other emergency services to follow through with an investigation as needed. Information from the series is used by environmental consulting firms or federal environmental agencies when considering the value of property or the amount of possible contamination in the ground or water resources. It is also used in civil cases where injuries have occurred.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series contains: Date/time; type of incident; location; product(s) involved; injuries/fatalities; investigator; emergency response agencies; incident description; action taken; time notified/arrived; time scene cleared; photo log, photographs; lab results; newspaper articles; documents from fire department-run report; negatives; and death reports.</p> <p><b>Retention and Disposition</b> Retain Permanently.</p>
<b>06112</b>	<b>Fireworks Registration File</b>	<p>This series documents fireworks registration. Per KRS 227.715 common fireworks as described in KRS 227.702(1) may be offered for sale, or kept with the intention for sale as long as the person, or business registers annually with the state fire marshal. This requirement does not apply to permanent businesses which are open year-round and which the sale of fireworks is not the primary course of business. Registration requirement applies to each site where fireworks are intended for sale.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series contains: Registration, business name, location(s), fees paid, and related documents and correspondence.</p> <p><b>Retention and Disposition</b> Retain for three (3) years, then destroy.</p>

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06114</b>	<b>Public Display of Fireworks and Pyrotechnics File</b>	This series documents copies of applications/permits for public displays of fireworks and/or pyrotechnics issued throughout the Commonwealth by local officials. Pursuant to KRS 227.710(1), in cities, the chief of the fire department, or mayor, or similar official where there is no fire department and in counties outside of cities, the county judge/executive may grant permits for supervised public displays of fireworks by municipalities, fair associations, amusement parks, and other organizations or groups. Permits must be filed with the state fire marshal at least fifteen (15) days in advance of the date of the display.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) May contain personal information such as name with DOB and home addresses. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Application/Permit (applicant name, contact information, location of display, number and kind description, dates/times of display), certificate of insurance, granting official name and contact information, and related documents and correspondence.
	<b>Retention and Disposition</b>	Retain for three (3) years after event, then destroy.
<b>06115</b>	<b>Fire Marshal Orders and Notices File</b>	This series documents the state fire marshal's official orders and notices. Under the terms of KRS 227.330 and KRS 13B.125, the state fire marshal, or any deputy state fire marshal may order improvements, repairs, or changes be made and equipment be provided, or action be taken to render property safe, when property is found to be unsafe as to fire loss. Additionally, the state fire marshal, or any deputy state fire marshal, may direct property to be closed to the public, or vacated by its occupants, when the property is deemed especially susceptible to fire loss and there is a hazard to human life, or limb, that require emergency actions be taken.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Official notices and orders (description of violation(s), property location information, property owner information, inspections, and related documents and correspondence.
	<b>Retention and Disposition</b>	Retain Permanently.
<b>06415</b>	<b>Sprinkler Inspection Reports - State Owned Buildings</b>	CLOSED: (Ended in early 2019.) This series documents sprinkler inspections conducted at properties owned by the Commonwealth. Prior to June 2011, these inspections were conducted by private inspectors. Inspections are conducted annually. If deficiencies are found, they must be remedied and new inspections are conducted to ensure that they have been.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains information on the date, location and nature of the inspection; name of inspector; reason for report; information on the water supply; general information on the facility; system components; type of system; other relevant miscellaneous information; notification information; and remarks.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.

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Series	Records Title and Description	Function and Use
01446	<b>General Inspection Report File - (Motels, hotels, kindergartens, schools, businesses)</b>	This series documents fire safety and life safety inspections. Inspections may be required or requested. Many agencies require fire and/or life safety inspections before a license and/or certification is granted. Inspections are required one (1) year after a Certificate of Occupancy is issued by the Division of Building Codes Enforcement and public buildings are required to have an annual fire inspection performed. KRS 227.220 directs the State Fire Marshal to enforce and/or aid in the enforcement of laws, administrative regulations and ordinances of the state relating to fire loss as defined under KRS 227.200. The General Inspection Section of the Division of Fire Prevention performs inspections of existing public buildings for compliance with state fire/life safety codes. These inspections ensure that safety features such as means of egress, fire alarms, sprinkler systems and other necessary equipment are maintained in satisfactory condition to provide as much safety as possible for the occupants.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of building, type of building, building specifications, case number, building address, date of inspection(s), inspectors name, violations if any, notice of deficiency, owner's name or responsible party, and related documents and correspondence.
	<b>Retention and Disposition</b>	Retain for five (5) years after notice of demolition of structure.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>01487</b>	<b>Hazardous Materials Location File</b>	<p>This series documents permission given to install underground storage tanks, aboveground storage tanks, liquefied petroleum gas (LP), anhydrous ammonia, and other flammable/combustible liquids. The file is created when a contractor submits plans for a permit. For instance, if SuperAmerica plans to open a store in Frankfort, a permit is required for the tanks, piping, and related equipment. Tanks not used for a period of 90 days are safeguarded or removed in an approved manner. Tanks which have been abandoned for one year or have been determined to be leaking can be removed, or they can be repaired and the site restored. This series also documents the annual inspections of regulated sites, such as bulk plants, service stations, filling stations and industrial plants. The inspections may identify violations that require corrective action or may identify that the location is within substantial compliance at the time of the inspection. If violations are found, inspections occur periodically until corrective action is completed.</p> <p>Note: Permanent records are maintained by the Energy and Environment Cabinet, series 04597.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series contains: Plan review application; permit; blueprints (arrangement, construction of tanks, tank supports, piping, accessories, buildings and appurtenant items of construction); record of trucks carrying hazardous materials. Inspection report; cover letter detailing violations, if applicable; date by which corrective action needs to be completed. Inspection reports, complaints on facility, test results, and all correspondence.</p> <p><b>Retention and Disposition</b> Destroy three (3) years after notice of removal of tank(s).</p>
<b>04325</b>	<b>Inspector's Personnel File - Health Records (V)</b>	<p>This series documents the unit's health and personnel record while an employee serves in the Hazardous Materials Section of the State Fire Marshal's Office. The Occupational Safety and Health Administration (OSHA) requires that any employee in a position to be at the location of or working with fires, explosive or hazardous materials must have an annual physical by a licensed physician, as provided for in CFR 1910.120. This documentation is not in the Department's Personnel File (P0001). It is maintained by the unit.</p> <p><b>Access Restrictions</b> KRS 61.878 (1) (a). Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series may contain: Health records, documentation of annual physical; correspondence; and position description.</p> <p><b>Retention and Disposition</b> Destroy thirty (30) years after termination of employment.</p>

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05368</b>	<b>Consumer Complaint File (V)</b>	This series documents the complaints received by the Division related to the contracting for and installation of HVAC systems. The complaint is reviewed and assigned to an inspector to investigate and to inspect the installation to ensure compliance with the applicable codes governing heating, ventilation and air conditioning systems. Based on the investigation, sanctions against a licensed contractor or licensed individual may result. Information from the series supports any legal action undertaken by the Division.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Complaint form; statements; inspection notices and reports; findings of fact resulting from the investigation; and related correspondence.
	<b>Retention and Disposition</b>	Destroy three (3) years after case closure and all appeals have been exhausted.
<b>05369</b>	<b>Violation Report File - (Electronic)</b>	This series documents the violations that are issued to individuals and companies performing HVAC work or practice that requires licensure. Violations can include failure to have a master contractor in charge of the work; master license not displayed by the company or individual; no supervision of apprentices on the job site; and the use of unlicensed employees by the master contractor. Upon issuance of the violation citation, the individual or company will be given a period of time to correct the deficiency. In the majority of cases, the violations are corrected as required. Only in a small percentage of the issuance of a violation does legal action become necessary.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Violation report; notices to contractors/license holders regarding corrective action; and related correspondence.
	<b>Retention and Disposition</b>	Destroy three (3) years after closure or correction of violations.

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Permitting and Inspection Section

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06111</b>	<b>HVAC Permit Application File</b>	This series documents the application and permit to install an initial heating, ventilation, or air conditioning system. Per KRS 198B.6671, any person who installs an initial HVAC system must apply for a permit prior to beginning the installation. By applying for a permit, consent to inspect by authorized inspectors of the Department of Housing, Buildings and Construction and of the relevant city, county, or local government authority is deemed granted.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Application, copies of inspections, and related correspondence and documents.
	<b>Retention and Disposition</b>	Destroy three (3) years after permit has closed.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>01409</b>	<b>Approved Parts or Materials File</b>	This series documents the parts or materials that are approved for use by plumbers in the state, as required in 815 KAR 20:020. Parts or materials means all types of fittings and piping used in the soil, waste and vent systems, house sewers, potable water supply, plumbing fixtures, appurtenances, and mechanical sewage systems in plumbing systems.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Names, addresses, product information, testing data and type of approval requested
	<b>Retention and Disposition</b>	Destroy superseded information as needed.
<b>01411</b>	<b>Consumer Complaint File</b>	This series documents complaints filed with the Department against licensed plumbing contractors, and includes the nature of the complaint and a description of corrective actions needed. Licenses can be revoked or suspended if the licensee has been shown to have violated plumbing codes or rules and regulations of the Department, practiced fraud or deception in applying for or obtaining a license, is incompetent to perform services, or is guilty of unprofessional or dishonorable conduct. The licensee can request a hearing. An appeal of a final order is made to Franklin Circuit Court.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name of complainant, addresses, dates, description of violations, corrective action information, and related correspondence
	<b>Retention and Disposition</b>	Destroy three (3) years after case closure and all appeals have been exhausted.
<b>01430</b>	<b>Plumber's Licensing System</b>	This documents the renewal of journeyman and master licenses. Licenses expire the last day of birth month annually. On or before the 15th day of the month prior to birth month, licensees are sent a renewal notice advising them they need to renew by the last day of birth month. Master plumbing license holders are required to provide a current certificate of general liability and worker's compensation insurance (if applicable) annually at renewal. Information is entered into the system after receipt of the renewal cards and the corresponding license fee. The cards are destroyed after the pertinent information is entered into the system. The system prints out the current license, which is then mailed to the licensee. If a licensee fails to renew by the last day of birth month, the license can be renewed upon payment of the required fee, plus a revival fee. If the renewal and revival fees are not paid within 6 months of expiration, the license(s) is cancelled. After that licenses can be reinstated if the licensee pays all delinquent renewal and revival fees
	<b>Access Restrictions</b>	KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Insured's name, licensee name, address, policy number, coverage amounts, effective and expiration dates, company or employer, license number, fee amounts.
	<b>Retention and Disposition</b>	Update as needed.
<b>01432</b>	<b>Master and Journeyman Examination File</b>	This series documents the examination taken by persons wanting to work as a journeyman or master plumber. Journeyman plumbers must work under the supervision and direction of a master. A master can work as a plumber and/or operate a plumbing business. An application is filed with the Division and an examination date is scheduled. If applicant passes the test, a license is issued. The test is only taken once, if passed, but the license must be renewed annually. A new application is required each time an individual fails the examination.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) & (g) Personal Information & Test Exam Data. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Names and addresses of applicants; examination questions, previous applicant related documents and correspondence.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.



**STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION**

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**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Public Protection Cabinet  
Housing, Buildings and Construction, Department of  
Plumbing, Division of

**Record Group  
Number  
1410**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05350</b>	<b>Plumbing Construction Permit File</b>	This series documents the application submitted by contractors and homeowners for a permit to install and the permits that are issued to both for the installation of plumbing, as required in KRS 318.134. It also documents all related fees. The application for a permit is initiated at the field office level and a permit issued. A copy of the permit and fees collected are transferred by the field office to the central office.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Application for permit, location of job; date; master plumber name and license number; number of fixtures, owner name; inspector's name; description of building, installation inspection, Final Installation reports, homeowners affidavit for permit, copies of plan and survey, addition to plumbing permit receipt, medical gas piping construction permit, and local plan approval.
	<b>Retention and Disposition</b>	Retain for three (3) years after final inspection and audit, whichever is longer, then destroy.
<b>05354</b>	<b>Affidavit for Farmstead Exemption</b>	This series documents the request from property owners for a farmstead exemption. A notarized statement must be submitted. A farmstead is a farm dwelling together with other farm buildings and structures incident to the operation and maintenance of the farm situated on ten or more acres of land that is located outside the corporate limits of a municipality. The exemption allows the owner to do his own plumbing because the farm is not hooked to the municipality's water system.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name and signature of property owner; detailed explanation of what is requested; location of property; notary signature
	<b>Retention and Disposition</b>	Destroy one (1) year after approval.
<b>05357</b>	<b>Plumbing Inspection Transfer Report Form</b>	This series documents the notification of inspections of modular houses or units. The information is sent to the county or state where the unit is located and will be inspected. Inspections are carried out by both Department inspectors and third party inspectors. The series is used to document information on a house or modular unit that is constructed out of state and that will be shipped to Kentucky to a pre-determined site. A base permit is required to hook on to water and sewer lines.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Date; house or modular unit identification number; permit number; master plumber license number; number of plumbing fixtures and hot water heaters; test made on system; permanent location of house/unit; inspector name and office location
	<b>Retention and Disposition</b>	Destroy one (1) year after receiving notification.
<b>05358</b>	<b>Barber and Beauty Shop Inspection Report File</b>	This series documents the inspection of plumbing facilities in barber and beauty shops. The purpose of the inspection is to assure conformity with plumbing codes and regulations. After the inspection, information is forwarded to the Board of Hairdressers and Cosmetologists for its review.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Date; operator name; establishment name; location; length of time in the location; present owner name; type of disposal system; condition of disposal system; condition of plumbing fixtures; type of water supply; water heater information; shampoo bowl information; items for correction; date of correction; inspector's name
	<b>Retention and Disposition</b>	Destroy one (1) year after inspection date.

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Public Protection Cabinet  
Housing, Buildings and Construction, Department of  
Plumbing, Division of  
Boiler Section

**Record Group  
Number  
1410**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>01495</b>	<b>Kentucky Reciprocal Commission File - (Insurance company special boiler inspector commissions)</b>	This series documents the issuance of a commission, by reciprocity, to boiler inspectors to act as special boiler inspectors. Under the terms of KRS 236.080, commissions may be issued at the request of any company authorized to insure against loss from the explosion of boilers and pressure vessels. Prior to being issued a commission, the individual must successfully pass an examination for a certificate of competency or a national board commission. In lieu of an examination, a commission or certificate of competency may be granted to an individual if the state has a standard of examination substantially equal to that of Kentucky. The continuance of the commission is based upon continued employment with the respective insurance company.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Original application for reciprocal commission; copy of current National Board of Boiler and Pressure Vessel inspector's commission; copy of current Kentucky reciprocal commission; renewal information; and correspondence related to work performance
	<b>Retention and Disposition</b>	Retain for five (5) years after date of last activity, then destroy.
<b>01497</b>	<b>Inspections Report File</b>	This series documents the inspection of boilers and pressure vessels and the issuance of Certificates of Operation, as provided for in KRS 236.110 and KRS 236.120. Inspections are performed by either state inspectors, or special inspectors as provided in KRS 236.070 and KRS 236.080. Currently, approximately 10,000 certificates are issued by the Department annually. Power boilers are inspected annually. Low pressure steam or vapor heating boilers, hot water heating boilers and hot water supply boilers are inspected biennially. Pressure vessels are inspected at the time of installation to ensure compliance with regulations and thereafter triennially. A Certificate of Operation is issued upon inspection and determination that the boiler or pressure vessel meets all requirements of the Department.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of building, address, owner's name, date of inspection, certificate validity, annual, biennial and triennial inspection reports submitted by state inspectors and state approved insurance inspectors, new installation permits, repair permits, violation letters, related documents, and related correspondence.
	<b>Retention and Disposition</b>	Retain three (3) years after completion of final inspection or expiration of permit, whichever is longer, then destroy.
<b>01498</b>	<b>Original Boiler Data Files</b>	This series documents the Kentucky number issued to each boiler or pressure vessel. It is used to verify boiler/pressure vessel information as originally assigned.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Type of boiler, location of boiler, boiler use, date issued, issued by and Nation Board number.
	<b>Retention and Disposition</b>	Destroy five (5) years after boiler is scrapped.
<b>01499</b>	<b>Contractor License File</b>	This series documents the application for and issuance of a license to a contractor to install, erect or repair boilers, as required in KRS 236.210. A license is issued upon successful completion of an examination prepared by the Board of Boiler and Pressure Vessel Rules and the payment of fees, as set by the Board and the Department. Licenses must be renewed not later than the first of the month following the expiration date. The series also documents the issuance of permits for specific contracting work.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Application and renewal applications. .
	<b>Retention and Disposition</b>	Retain five (5) years after date of last activity, then destroy.

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Public Protection Cabinet  
Housing, Buildings and Construction, Department of  
Plumbing, Division of  
Boiler Section

**Record Group  
Number  
1410**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>01500</b>	<b>American Society of Mechanical Engineers and National Board Stamp Holder's File</b>	This series documents the quality control reviews by the Boiler Section on behalf of the American Society of Mechanical Engineers and the National Board of Boiler and Pressure Vessel for the issuance of construction and repair stamps.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Copies of review forms and related correspondence
	<b>Retention and Disposition</b>	Destroy one (1) year after expiration of stamp(s).
<b>01501</b>	<b>Special Boiler Report File</b>	This series provides information not ordinarily associated with the normal inspections reports (series 01497). It documents such things as accidents, major repairs, and second-hand boiler installation.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains information related to boiler accidents, major repairs and installation
	<b>Retention and Disposition</b>	Retain for ten (10) years.
<b>01502</b>	<b>Boiler Installation Plan File</b>	This series documents the review of plans for the installation of boilers and pressure vessels to ensure that specifications and requirements of the Department are met.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains installation plans and specifications.
	<b>Retention and Disposition</b>	Destroy two (2) years after review date.
<b>05347</b>	<b>Boiler Plan Review File</b>	This series is used as a reference file to document inconsistencies found during the course of reviewing installation plans submitted to the Department for approval. It provides information in the event questions arise during an installation.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains check off sheets resulting from installation plan reviews
	<b>Retention and Disposition</b>	Destroy two (2) years after plan review date.