



Department of Housing, Buildings and Construction

Records Retention Schedule

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



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 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 represent 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 Super 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, Buildings and Construction
Agency

December 11, 2008
Schedule Date

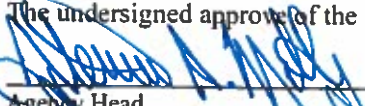
Division of Building Code Enforcement
Unit

March 8, 2018
Change Date

March 8, 2018
Date Approved By Commission

APPROVALS


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


Agency Head


2-21-18
Date of Approval


Agency Records Officer

2-21-18
Date of Approval

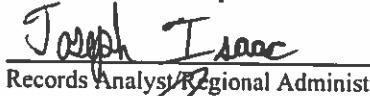

State Archivist and Records Administrator
Director, Archives and Records Management Division

3/8/18
Date of Approval



Chairman, State Archives and Records Commission

3/8/18
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 22, 2018
Date of Approval


Appraisal Archivist

3/8/18
Date of Approval


State/Local Records Branch Manager

3/8/18
Date of Approval

The determination as set forth meets with my approval.


Auditor of Public Accounts

3-8-18
Date of Approval

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

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

Record Group
Number
1410

Series	Records Title and Description	Function and Use
01438	Project File (V)	<p>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.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents 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.</p> <p>Retention and Disposition Retain Permanently.</p>
01439	Blueprints (V)	<p>This series represents the blueprints and specifications for projects under construction. Files contain 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. If construction does begin without approval, the agency can take steps to halt construction until such time as approval to build is granted. Although these plans are not the original record, the agency must retain copies in the event of a disaster. 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.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Approved plans for architectural, sprinkler, fire alarm, range hood, structural, mechanical, electrical, HVAC and plumbing.</p> <p>Retention and Disposition Retain Permanently.</p>

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Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
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Public Protection Cabinet
Housing, Buildings and Construction, Department of
Building Codes Enforcement, Division of
Electrical Inspection Section

Record Group
Number
1410

Series	Records Title and Description	Function and Use
05359	Project Files	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 35.015 (11). The requirement extends to state-owned and leased property, as well. 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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	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
	Retention and Disposition	Retain in Agency, Destroy (3) three years after project closure, and audit.
05360	Investigation Files	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 a problem 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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Investigation report; photographs of incident, if necessary; videotapes of incident; drawings of incident; and related correspondence
	Retention and Disposition	Retain in Agency all fire scene investigations Permanently. Destroy files not related to the investigation three (3) years after case closure.
05361	Electrical Inspector Certification File	This series documents the certification of electrical inspectors, as required in 815 KAR 35:015. Application is made to the Electrical Section and is reviewed by the Electrical Advisory Committee 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.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	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; hearing information (if applicable)
	Retention and Disposition	Retain in Agency, Destroy (3) three years after cancellation, and audit.
05363	Electrical Inspector Files (Not Approved)	This series documents those applicants for an inspector certification who did not meet the five-year work requirement. All applications are reviewed by the Electrical Advisory Committee prior to certification, to ensure that Department requirements have been met. If the individual can submit proof of the required work experience, the certification process can be initiated.
	Access Restrictions	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Application for certification; name; address; DOB; SSN; correspondence documenting work experience; Committee review responses; correspondence regarding Committee's decision
	Retention and Disposition	Destroy one (1) year after ruling by Electrical Advisory Committee.

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Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

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

Record Group
Number
1410

Series	Records Title and Description	Function and Use
05796	Contractor Electrician License File (V)	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. With the end of the grandfathering period in July 2004, all applicants are required to pass an exam. Licensees are required to renew annually during their birth months, and to submit proof of general liability insurance of at least \$500,000 and Kentucky Workers' Compensation, or a notarized waiver. The renewal fee is \$200 and licensees must provide proof of 6 hours of continuing education. Licensees have a grace period of 60 days from date of expiration to pay in addition to the \$200 renewal fee a \$50 late fee. On the 61st day from the date of expiration the license is terminated and the fee is \$200 to reinstate and \$200 to renew the license.
	Access Restrictions	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, test results, certificate of liability insurance, proof of Ky. Workers' compensation, or notarized waiver, associated master's information, continuing education certificates, color photo, renewal application, verification of fee payment, and related correspondence.
	Retention and Disposition	Destroy thirty (30) years after last activity.
05797	Master Electrician License File (V)	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. With the end of the grandfathering period in July 2004, all applicants are required to pass an exam. Licensees are required to renew annually during their birth months. The renewal fee is \$100 and licensees are required to provide proof of 6 hours of continuing education. Licensee have a grace period which is 60 days from date of expiration to pay in addition to the \$100 renewal fee a \$50 late fee. On the 61st day from the date of expiration the license is terminated and the fee is \$100 to reinstate and \$100 to renew the license.
	Access Restrictions	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	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 written correspondence.
	Retention and Disposition	Destroy thirty (30) years after last activity.
05798	Electrician License File (V)	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. With the end of the grandfathering period in July 2004, all applicants are required to pass an exam. Licensees are required to renew annually during their birth months. The renewal fee is \$50 and licensees must provide proof of 6 hours of continuing education. Licensees have a grace period which is 60 days from date of expiration to pay in addition to the \$50 renewal fee a \$50 late fee. On the 61st day from the date of expiration the license is terminated and the fee is \$50 to reinstate.
	Access Restrictions	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	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.
	Retention and Disposition	Destroy thirty (30) years after last activity.

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Building Codes Enforcement, Division of
Electrical Licensing Section

Record Group
Number
1410

Series	Records Title and Description	Function and Use
05799	Continuing Education Provider File (V)	This series documents the request from a provider to enable them to become continuing education providers pursuant to the terms outlined in KRS 227A.100(7) and 815 KAR 35:100. A provider must submit a syllabus of classes, resume for each instructor, time, date and location of courses to be offered; availability of courses to the public; attendance verification procedures. Notification of such classes must be submitted to DHBC 30 days prior to being taught. Providers are approved by the Electrical Advisory Committee KRS 227.530(1).
	Access Restrictions	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Resume' of instructors, class schedules, rosters and outline of classes being offered.
	Retention and Disposition	Retain for ten (10) years.

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

Record Group
Number
1410

Series	Records Title and Description	Function and Use
05856	Elevator Inspection and Permit Files	<p>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.</p> <p>Note: Series 01401, Case Files (Commissioner's Office) document litigation and complaints and are permanent records.</p>
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, contact information, elevator installer company name and contact information, unit location, unit type, unit specifications, related documents and related correspondence.
	Retention and Disposition	Retain in Agency. Destroy (3) three years after unit destruction.

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Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
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Public Protection Cabinet
Housing, Buildings and Construction, Department of
Building Codes Enforcement, Division of
Manufactured Housing Section

Record Group
Number
1410

Series	Records Title and Description	Function and Use
01452	Application for Certificate of Acceptability - Manufacturers	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 adopted by Manufactured Home Certification Licensure Board, which issues the certificate. 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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Application form which contains company name; name of corporation, if applicable; address, phone number, fax number, e-mail address; list of all manufacturing plants and locations; list of corporate officers with titles and social security numbers; certificate of general liability insurance with the Department listed as the certificate holder
	Retention and Disposition	Destroy three (3) years after closure of business or failure to renew, and audit.
01456	Application for Seals - Manufacturer or Dealer	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 established by the Manufactured Home Certification and Licensure Board. 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 such 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).
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Retailer name, contact information, license number, payment information (department assigned number for CC payments, check number), related documents and related correspondence.
	Retention and Disposition	Retain for three (3) years.
01457	Request for Foundation Inspection	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))
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: (Release for Delivery form) Consumer name and address, retailer name and address, inspection details and related documents and related correspondence.
	Retention and Disposition	Retain for five (5) years.

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STATE AGENCY RECORDS
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Public Protection Cabinet
Housing, Buildings and Construction, Department of
Building Codes Enforcement, Division of
Manufactured Housing Section

Record Group
Number
1410

Series	Records Title and Description	Function and Use
01460	Retailer License File - (Recreational vehicles, mobile home, and brokers)	This series documents the application for and issuance of a license to sell, to offer for sale, to purchase from certified manufacturers, or to buy or affix seals on units in the state or coming into the state, as required in KRS 227.620. License holder must renew by the last day of his/her birth month annually, or last day of the month of incorporation. If 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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Application form which includes type of home sales; copy of sales tax permit; name, address, phone number, fax number and e-mail 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 premises; corporate assets; zoning and use authority; certificate of insurance; and related documents. Contents are generally the same for each type of retailer
	Retention and Disposition	Destroy three (3) years after closure of business, and audit.
01462	Retailer Lot Inspection Forms	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)
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	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, related documents and related correspondence.
	Retention and Disposition	Retain for three (3) years.
01466	Temporary Recreational Retailer License File - (Issued to out-of-state retailers for recreational vehicle and boat shows)	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name, address, phone number of the retailer; inclusive dates of the show; copy of out-of-state license; valid Kentucky sales tax permit
	Retention and Disposition	Destroy three (3) years after expiration of license, and audit.

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

Record Group
Number
1410

Series	Records Title and Description	Function and Use
01471	Consumer Complaint File	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Consumer complaint form; date of manufacture; plant number; Housing and Urban Development 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
	Retention and Disposition	Retain for four (4) years.
01472	Installation Inspection Forms	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	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 number, instruction/code; new, used; seal number
	Retention and Disposition	Destroy upon correction of deficiencies.
01473	Unit Inspection Form	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	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.
	Retention and Disposition	Retain for five (5) years, then destroy.
05383	Certified Installer/Manager/Owner Application File	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 to 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.
	Access Restrictions	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, copy of certificate of achievement, completed journeyman verification form, examination information and copy of certification card issued.
	Retention and Disposition	Destroy three (3) years after inactive status and audit.

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Public Protection Cabinet
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Building Codes Enforcement, Division of
Manufactured Housing Section

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Number
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Series	Records Title and Description	Function and Use
05384	Cease and Desist Order File	This series documents the order issued to unlicensed recreational vehicle and manufactured housing manufacturers and retailers to cease from selling and/or offering for sale vehicles or units. If the owner has offered for sale at least two (2) or more homes or vehicles within a consecutive 12 month period he must be licensed by the Department. Failure to abide by the order could result in prosecution.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name and address of owner; date of notice; county name; vehicle or home being sold; investigator/inspector signature and date; name of person receiving the order; signature and date; method by which the order was delivered.
	Retention and Disposition	Retain for one (1) year.

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Public Protection Cabinet
Housing, Buildings and Construction, Department of
Commissioner's Office

Record Group
Number
1410

Series	Records Title and Description	Function and Use
01401	Case Files	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.
	Access Restrictions	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Names, dates, SSN, addresses, contact information, inspection reports, affidavits, violations, orders, notices, complaints, hearing transcript, subpoenas, photo and video evidence and related documents and related correspondence.
	Retention and Disposition	Retain Permanently.

RECORDS RETENTION SCHEDULE

Signature Page

Department of Housing, Buildings and Construction
Agency

December 11, 2008
Schedule Date

Division of Fire Prevention
Unit

December 13, 2012
Change Date

December 13, 2012
Date Approved By Commission

APPROVALS

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

[Signature]
Agency Head

6-18-13
Date of Approval

[Signature]
Agency Records Officer

06/18/13
Date of Approval

[Signature]
State Archivist and Records Administrator
Director, Public Records Division

6/13/13
Date of Approval

[Signature]
Chairman, State Archives and Records Commission

12/13/2012
Date of Approval

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

[Signature]
Records Analyst/Regional Administrator

12/13/12
Date of Approval

[Signature]
Appraisal Archivist

6/25/13
Date of Approval

[Signature]
State/Local Records Branch Manager

12/13/12
Date of Approval

The determination as set forth meets with my approval.

[Signature]
Auditor of Public Accounts

12-13-12
Date of Approval

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Public Protection Cabinet
Housing, Buildings and Construction, Department of
Fire Prevention, Division of

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Series	Records Title and Description	Function and Use
05818	Fire-Safe Cigarette Program Files	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 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 law 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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Manufacturer name/address/contact info; 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.
	Retention and Disposition	Retain for four (4) years.
05872	Contractor Licensing and Certification Files	This series documents both the issuance and denial of licenses for sprinkler, rangehood and chemical contractors and their associated certificates of competency holders (KRS 198B.550-630). Licenses and certificates are renewed annually.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information-SSN. Agencies should consult legal counsel regarding open records matters.
	Contents	This 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, related documents and related correspondence.
	Retention and Disposition	Retain active records. Destroy inactive records six (6) years after deactivation.
06107	Periodic Fire Alarm/Sprinkler Inspection and Testing Reports	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 10:60) 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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Inspector name, FAR #, Inspection company name and contact information, Facility name and contact information, types of systems, initiating devices, remarks and related correspondence.
	Retention and Disposition	Destroy when no longer needed.

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Housing, Buildings and Construction, Department of
Fire Prevention, Division of

Record Group
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Series	Records Title and Description	Function and Use
06416	Fire Alarm/Sprinkler Inspector Certification File	This series documents the certification of private fire alarm and sprinkler inspectors, per KRS 198B.6405. Certifications are renewed annually, with a thirty (30) - day grace period during which the inspector may continue to practice. If the certification is not renewed by the end of the grace period, it is terminated, and the inspector may apply for reinstatement. If the inspector is not reinstated within two (2) years, the applicant must reapply for certification.
	Access Restrictions	KRS 71.878(1)(a) Personal information only (SSN; address; phone number). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Initial application for certification; picture of applicant; renewal materials; continuing education documentation; correspondence; Certificate or Affidavit of Insurance.
	Retention and Disposition	Retain original application and active certification materials. Destroy inactive files three years after termination.

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Housing, Buildings and Construction, Department of
Fire Prevention, Division of
Fire Marshal Administration

Record Group
Number
1410

Series	Records Title and Description	Function and Use
01441	Fire Investigations	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 Department of Kentucky State Police (KRS 227.240)
	Access Restrictions	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.
	Contents	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, related documents and related correspondence.
	Retention and Disposition	Retain Permanently.
01483	Incident Report File (V)	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	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; death reports
	Retention and Disposition	Retain Permanently.
06112	Fireworks Registration Files	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Registration, business name, location(s), fees paid, related documents and related correspondence.
	Retention and Disposition	Retain for three (3) years.

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Series	Records Title and Description	Function and Use
06114	Public Display of Fireworks and Pyrotechnics Files	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.
	Access Restrictions	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.
	Contents	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 documentation and related correspondence.
	Retention and Disposition	Retain for three (3) years.
06115	Fire Marshal Orders and Notices Files	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Official notices and orders (description of violation(s), property location information, property owner information, inspections, related documents and related correspondence.
	Retention and Disposition	Retain Permanently.
06415	Sprinkler Inspection Reports - State Owned Buildings	This series documents sprinkler inspections conducted by personnel from the State Fire Marshal's Office 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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	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; remarks.
	Retention and Disposition	Retain for three (3) years, then destroy.

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Public Protection Cabinet
Housing, Buildings and Construction, Department of
Fire Prevention, Division of
General Inspection Section

Record Group
Number
1410

Series	Records Title and Description	Function and Use
01446	General Inspection Report Files - (Motels, hotels, kindergartens, schools, businesses)	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	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.
	Retention and Disposition	Retain for five (5) years. Report of Inspection sheets may be destroyed after pre-print has been scanned into database.

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STATE AGENCY RECORDS
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Public Protection Cabinet
Housing, Buildings and Construction, Department of
Fire Prevention, Division of
Hazardous Materials Section

Record Group
Number
1410

Series	Records Title and Description	Function and Use
01487	Hazardous Materials Location Files	<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 Environmental and Energy Cabinet series 04597.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents 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 correspondences.</p> <p>Retention and Disposition Destroy three (3) years after removal of tank(s).</p>
04325	Inspector's Personnel File - Health Records (V)	<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>Access Restrictions KRS 61.878 (1) (a). Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Health records, documentation of annual physical; correspondence; position description</p> <p>Retention and Disposition Destroy thirty (30) years after termination of employment.</p>
04326	Underground Storage Tank Contractor Certification File (V)	<p>This series documents the individuals certified to install/remove, interior line, remove, cathodically protect underground storage tanks. The applicant must submit an application and be able to verify experience in the installation of, performance of repairs on site to, interior lining of, installation of corrosion protection, closure and removal of underground petroleum storage tank systems, as required in 815 KAR 30:060. A written examination also is required. The applicant for an installer/remover certification must have installed interior line, installed corrosion protection or removed six tanks underground storage tank systems and with a certified contractor on site. An applicant applying for a remover certification must have experience of removing six underground storage tank systems. An applicant applying for an interior lining certification must have experience of performing six interior linings on underground storage tank systems. An applicant applying for a cathodic protection certification must have experience of installing cathodic protection on six underground storage tank systems. Agency field inspectors check installation sites and often check certification. There is an annual renewal process on underground petroleum storage tank certification.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Application, proof of insurance; photograph of contractor, test results; record of payment for fee; correspondence</p> <p>Retention and Disposition Retain original application and active renewal records. Destroy inactive files three (3) years after expiration of certification, and audit.</p>

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Housing, Buildings and Construction, Department of
Fire Prevention, Division of
Hazardous Materials Section

Record Group
Number
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Series	Records Title and Description	Function and Use
04327	Underground Storage Tank Certification - Application Not Processed File	This series documents those applicants that have paid an application fee and/or test fees to become a certified to install/remove, remove only, cathodic protection, and interior line underground storage tank systems, but have not been successfully pass 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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Application, record of fee payment, test results and related correspondence.
	Retention and Disposition	Retain for three (3) years. Destroy after audit.
05372	Liquefied Petroleum Gas License File - (Electronic)	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. Liquefied petroleum gas includes any material which is composed predominantly of any of the following hydrocarbons, or mixtures of them, whether in liquid or in gaseous states: propane, propylene, butane (normal butane or isobutane), and butylene. Licenses are issued for two-year periods. The five license types are A, B, C, D, and E. License A to C are renewed according to owners birth month or corporate birth month in even numbered years and license D and E are renewed according to owners birth month or corporate birth month in odd numbered years.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application; certificate of insurance; notices to suppliers and related correspondence.
	Retention and Disposition	Destroy three (3) years after failure to renew or close of business and audit.

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Public Protection Cabinet
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Heating, Ventilation and Air Conditioning, Division of

Record Group
Number
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Series	Records Title and Description	Function and Use
05368	Consumer Complaint File (V)	This series documents the complaints received by the Division related to the contracting for and installation of systems. The complaint is reviewed and assigned to an inspector to investigate and to inspect the installation to ensure compliance with the Mechanical Codes governing heating, ventilation and air conditioning systems, as well as the 2000 International Mechanical Code and the 2002 Kentucky Residential Code. 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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Complaint form; statements; inspection notices and reports; findings of fact resulting from the investigation; and related correspondence
	Retention and Disposition	Destroy five (5) years after case closure and all appeals have been exhausted.
05369	Violation Report File - (Electronic)	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 very small percentage of the issuance of a violation does legal action become necessary.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Violation report; notices to contractors/license holders regarding corrective action; and related correspondence
	Retention and Disposition	Destroy one (1) year after correction of violations.
05370	Training Agency File	This series documents the application for and approval of agencies to provide continuing education for individuals licensed as masters and journeymen. Under the terms of KRS 198B.684, the Kentucky Heating, Ventilation and Air Conditioning Board has responsibility for the establishment and adoption of the continuing education programs. Licensed masters and journeymen are required to receive eight hours each year of continuing education in order to renew licenses.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Application; organization contact list; course schedules; and annual reports
	Retention and Disposition	Destroy three (3) years after file becomes inactive.
05371	Training Provider File	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Application; course submittals; approvals; contact list; and annual reports
	Retention and Disposition	Destroy three (3) years after file becomes inactive.

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Public Protection Cabinet
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Heating, Ventilation and Air Conditioning, Division of
Licensing Section

Record Group
Number
1410

Series	Records Title and Description	Function and Use
05365	Master Contractor License File - (Electronic) (V)	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. Since 1995, all applicants have been required to take and successfully pass a master examination. Prior to 1995, applicants were licensed by "grandfathering." Licenses must be renewed annually by the last day of the licensee birth month or it expires. The licensee has 90 days to renew the license by paying the required fee, plus a restoration fee. If the license is not renewed within the 90 days the license is voided and the individual must reapply and pass the required examination. Master licensees are required to complete eight hours of continuing education each year, for renewal.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Application; examination results; certificate of insurance; renewal applications; continuing education certificates; change of information request forms; master inactive/reactivation request; duplicate copy request.
	Retention and Disposition	Retain active files. Renewal documents may be destroyed after two (2) years. Destroy "voided" files after three (3) years.
05366	Journeyman License File - (Electronic) (V)	This series documents the application for and issuance of a license for individual to perform "hands on" work in the installation, repair and servicing of heating, ventilation and air conditioning systems, as provided for in KRS 198B.658 (2). The individual, once licensed, must work under the indirect supervision of a licensed master contractor. A licensed journeyman is required to be onsite to observe and supervise any work being performed. Since 1995, all applicants have been required to take and successfully pass the appropriate examination. Prior to 1995, applicants were licensed by "grandfathering." Licenses must be renewed annually by the last day of the licensee birth month or it expires. The licensee has 90 days to renew the license by paying the required fee, plus a restoration fee. If the license is not renewed within the 90 days the license is voided and the individual must reapply and pass the required examination. Journeyman licensees are required to complete eight hours of continuing education each year, for renewal.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Application; examination results; renewal application; continuing education certificates; and change of information request form, duplicate copy request.
	Retention and Disposition	Retain active files. Renewal documents may be destroyed after two (2) years. Destroy "voided" files after three (3) years.
05367	Apprentice Registration File - (Electronic) (V)	This series documents the application for and the receipt of an apprentice registration. The registration documents the work experience, served under a master contractor, which must total 3,000 hours to satisfy the requirements to qualify for apprentice journeyman license, as required in KRS 198B.658 (3). The registration is filed with the Division and reviewed to ensure compliance with requirements. The registration is required to be updated biennial, to record any change in information and number of hours worked. Registrations expire the last day of the birth month of the individual. No fees are required for the registrations. Registrations not renewed are placed in "void" status.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Application; renewal application; change of information request form, if applicable
	Retention and Disposition	Maintain active files. Renewal documents may be destroyed after two (2) years. Destroy "voided" registrations after three (3) years.

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STATE AGENCY RECORDS
RETENTION SCHEDULE

Public Protection Cabinet
Housing, Buildings and Construction, Department of
Heating, Ventilation and Air Conditioning, Division of
Permitting and Inspection Section

Record Group
Number
1410

Series	Records Title and Description	Function and Use
06111	HVAC Permit Application Files	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 for Housing, Buildings and Construction and of the relevant city, county, or local government authority is deemed granted.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Application, copies of inspections and related correspondence and related documents.
	Retention and Disposition	Destroy three (3) years after permit has closed.

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

Record Group
Number
1410

Series	Records Title and Description	Function and Use
01409	Approved Parts or Materials File - (Materials approved/unapproved)	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. The State Plumbing Code Committee (KRS 318.071) is responsible for the review and approval/disapproval of items to be placed on the list
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Names, addresses, product information, testing data and type of approval requested
	Retention and Disposition	Destroy superseded information as needed.
01411	Complaint File	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name of complainant, addresses, dates, description of violations, corrective action information, and related correspondence
	Retention and Disposition	Retain for ten (10) years.
01412	Affidavit File - Master Plumbers - (To represent companies) (V)	This series documents master plumbers who represent companies doing business in Kentucky. It contains information about the company represented and the restrictions and regulations the plumber has agreed to. It is in the form of a notarized statement. Under the terms of KRS 318.110, a company or individual principal may engage in the business of plumbing in Kentucky if some person connected with the company or principal is a licensed master plumber. The plumber must notify the Department at any time he commences or severs his connection with the company for principal.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Plumber's name and address; company name and address; license number
	Retention and Disposition	Destroy five (5) years after termination with company.
01419	Violations and Complaints Files	This series documents violations of the Kentucky State Plumbing Code and consumer complaints against plumbers and plumbing work. Consumer complaints are received and inspectors investigate allegations. Records indicate complaints are either founded, or unfounded. In addition to consumer complaints alerting inspectors of possible violations, inspectors find violations during scheduled inspections, by on-site unscheduled inspections and from reports supplied by vendors of plumbing equipment and supplies. KRS 318.134 stipulates that no person, firm or corporation shall construct, install or alter any plumbing without first having procured a plumbing construction permit from the Division of Plumbing. KRS 318.180 authorizes the agency to institute and maintain actions to restrain and enjoin any violation of this chapter, the State Plumbing Code, or the rules and regulations of the office relating thereto.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Violation letter, complaint letter, consumer complaint form, fine amounts, receipts, plumber's license number, plumber's home address, request for legal action form, building name, owner name, building address, related documents and related correspondence.
	Retention and Disposition	Retain for five (5) years.

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Public Protection Cabinet
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Plumbing, Division of

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Series	Records Title and Description	Function and Use
01422	Application to do Plumbing Files - (Maintained in County)- 12/11/2008 retention changed from 5 to 1.	This series documents applications to perform plumbing permits. KRS 318.134 stipulates that no person, firm or corporation shall construct, install or alter any plumbing without first having procured a plumbing construction permit from the Division of Plumbing. Plumbing permits may be issued to licensed master plumbers or to homeowners for plumbing in their own personal residences. All plumbing work, other than that performed by a homeowner with his/her own permit, must be installed by a licensed journeyman plumber under the supervision of a licensed master plumber.
	Access Restrictions	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Applicant name, address, contact information, job address and details (commercial or residential), plumbers name, plumbers license number, plumber's address, related documents and related correspondence.
	Retention and Disposition	Destroy three (3) years after final Inspection.
01424	Final Installation Reports - Public Buildings	This series documents final plumbing installation reports for public buildings. These reports certify that all required inspections have been performed and if applicable, all changes, violations and issues have been resolved. KRS 318.134 stipulates that no person, firm or corporation shall construct, install or alter any plumbing without first having procured a plumbing construction permit from the Division of Plumbing. KRS 318.180 provides that the agency, or its officers, agents, or inspectors, are hereby authorized to institute and maintain actions to restrain and enjoin any violation of this chapter, the State Plumbing Code, or the rules and regulations of the office relating thereto.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Building name, job address, permit number, plumber name and license number, certificate number, related documents and related correspondence.
	Retention and Disposition	Retain for three (3) years.
01425	Homeowner's Affidavit for Permit Files	This series documents the Affidavit of Homeowner for permit. 815 KAR 20:050 stipulates that permits to construct, install or alter plumbing, sewerage or drainage may be issued to homeowners who desire to install plumbing in homes actually occupied by them or in a home to be constructed by them for their own personal residential use, if all the following requirements are met: (a) Application is made for the permit prior to the beginning of the work; (b) The homeowner files with his application an affidavit stating that he shall abide by the terms of this section; (c) All work shall be performed in compliance with the state plumbing code; (d) All the work shall be personally performed by the owner; and (e) Only one (1) homeowner permit for construction of a new home shall be issued to an individual in a five (5) year period.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Affidavit of Homeowner form; name, address and contact information of applicant, permit number, notary information, related documents and related correspondence.
	Retention and Disposition	Retain for three (3) years.

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Series	Records Title and Description	Function and Use
01426	Plumbing Construction Plan and Survey File	This series documents the plans and surveys that are sent to the Division when construction or renovation projects are proposed. The plans and surveys are reviewed to ensure that plumbing codes and the regulations of the Department are being met. Installation permits are also required, as provided for in KRS 318.134 (1). The plans (approximately four sets) are forwarded to the Department by either plumbing contractors, engineers, architects or property owners. Upon completion of the review, one set is retained and the remaining three are forwarded by the Division to respective health departments, contractors, and to the individual submitting the plans/surveys. Documents all projects, including schools, nursing homes and hospitals.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Floor plans, site utility plans, plumbing risers, and plan survey sheets containing the name of the project, owners, locations and building use
	Retention and Disposition	Projects involving schools, nursing homes and hospitals retain for five (5) years. All other plans may be destroyed after three (3) years.
01430	Plumber's Licensing System	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
	Access Restrictions	KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Insured's name, licensee name, address, policy number, coverage amounts, effective and expiration dates, company or employer, license number, fee amounts.
	Retention and Disposition	Update as needed.
01432	Master and Journeyman Examination File	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.
	Access Restrictions	KRS 61.878 (1) (a) & (g) Personal Information & Test Exam Data. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Names and addresses of applicants; examination questions
	Retention and Disposition	Retain for one (1) year.

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Series	Records Title and Description	Function and Use
053704	Master and Journeyman License Application File - (Failed examination)	This series documents the application of persons who applied to take the master and journeyman examination, but failed. Each time the test is taken a new application must be submitted to the Division.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Certificate number, photograph, name, address, age, registered in another state, experience, previous applicant, education, employment history - name and address of employer; applicant's signature, certificate issued, date, test scores - experience, oral, written, chart, practical, general average, related documents and correspondence.
	Retention and Disposition	Retain for one (1) year.
05348	Installation Inspection Report File	This series documents the final inspections that are carried out for all jobs that require installation plans. The final report is required before a certificate of occupancy can be issued. Any corrective action required must be completed before issuance of the final report.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Permit number; date; name of project; location; owner; plumber name; inspector name; date of final inspection
	Retention and Disposition	Destroy one (1) year after inspection date.
05349	Plumbing Construction Permit Application File	This series documents the application submitted by contractors and homeowners for a permit to install plumbing. Application is made at the respective field office where, if approved, a permit is issued. A permit is required for all plumbing installations (KRS 318.134). It also documents any inspections that have occurred.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Location of installation; permit number; date issued; dates of inspections; owner name and address; plumber's name and address; description of building; water and sewage supply; number and type of fixtures; materials used; plan number; and the fee amount
	Retention and Disposition	Retain for three (3) years. Destroy after audit.
05350	Plumbing Construction Permit File	This series documents the permits that are issued to contractors and homeowners 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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Location of job; date; master plumber name and license number; number of fixtures, owner name; inspector's name; description of building
	Retention and Disposition	Retain for three (3) years. Destroy after audit.

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Series	Records Title and Description	Function and Use
05351	Addition to Plumbing Permit Receipt File	This series documents an addition to an original permit to install plumbing. It is used as a receipt for the original permit and to describe the additional fixtures to be added to it.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Original permit number; cost; county; date; plumber name; location of job; number of added openings; inspector's name
	Retention and Disposition	Retain for three (3) years. Destroy after audit.
05352	Medical Gas Piping Construction Permit Application File	This series documents the application for a permit to install medical gas piping. Medical gas piping is a permanent fixed piping system in a health care facility that is used to convey oxygen, nitrous oxide, nitrogen, carbon dioxide, helium, medical air and mixtures of the gases from its source to the point of its use. It includes the fixed piping associated with a medical, surgical or gas scavenging vacuum system, as well as a bedside suction system. Application is made at the field office level and, if approved, a permit issued. A copy of the permit is sent to the central office, along with the related fees.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Permit number; date; cost; location; owner name and address; description of building; materials to be used; dates of inspections; plumber name, license number and address; certified medical brazer; type of medical gas
	Retention and Disposition	Retain for three (3) years. Destroy after audit.
05353	Local Plan Approval File	This series documents the approval of construction plans by plumbing inspectors. The approvals are at the local level and ensure that plumbing codes and regulations are met prior to construction. Information related to the approval of the plans is then submitted to the Department.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Plan number; location; project name; owner name and address; person submitting plans; number of openings; inspector name; county number
	Retention and Disposition	Destroy (1) one year after plan approval.
05354	Affidavit for Farmstead Exemption	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name and signature of property owner; detailed explanation of what is requested; location of property; notary signature
	Retention and Disposition	Destroy one (1) year after approval.
05355	Homeowner Affidavit	This series documents the notarized statement that must be submitted for a homeowner to install plumbing in his residence. A permit is required prior to installation and the work must be inspected by a licensed inspector. If violations are found upon inspection, corrective action must be taken by the owner. If not, the information can be sent to the respective county attorney for legal action. A permit can only be issued every five years.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Instructions for installation of plumbing; name of owner; location; phone number; permit number; signature of homeowner
	Retention and Disposition	Retain for five (5) years. Destroy.

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Series	Records Title and Description	Function and Use
05356	Plumbing Violation Report File	This series documents violations of the State Plumbing Code and Department regulations by plumbers, homeowners and contractors. If violations are upheld licenses can be revoked or suspended or legal action taken by county, city and commonwealth attorneys. A hearing must first be held before licenses can be revoked or suspended. Final orders of the Department can be appealed to Franklin Circuit Court.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name of inspector; date; location of violation; nature of violation; owner/plumber name and address; orders; related correspondence
	Retention and Disposition	Destroy three (3) years after violation filing.
05357	Plumbing Inspection Transfer Report Form	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	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
	Retention and Disposition	Destroy one (1) year after receiving notification.
05358	Barber and Beauty Shop Inspection Report File	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	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
	Retention and Disposition	Destroy one (1) year after inspection date.

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Series	Records Title and Description	Function and Use
01495	Kentucky Reciprocal Commission File - (Insurance company special boiler inspector commissions)	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	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
	Retention and Disposition	Destroy three (3) years after failure to renew, and audit.
01497	Inspections Report File	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	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, related documents and related correspondence.
	Retention and Disposition	Retain for six (6) years. Copies may be destroyed after information is scanned/entered into database.
01498	Original Boiler Data Files	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Type of boiler, location of boiler, boiler use, date issued, issued by and Nation Board number.
	Retention and Disposition	Destroy five (5) years after boiler is scrapped.
01499	Contractor License File	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Application, renewal applications, new installation permits, repair permits, violation letters and related correspondence
	Retention and Disposition	Destroy three (3) years after expiration of license, and audit.

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Series	Records Title and Description	Function and Use
01500	American Society of Mechanical Engineers and National Board Stamp Holder's File	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Copies of review forms and related correspondence
	Retention and Disposition	Destroy one (1) year after expiration of stamp(s).
01501	Special Boiler Report File	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains information related to boiler accidents, major repairs and installation
	Retention and Disposition	Retain for ten (10) years.
01502	Boiler Installation Plan File	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains installation plans and specifications.
	Retention and Disposition	Destroy two (2) years after review date.
05347	Boiler Plan Review File	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.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains check off sheets resulting from installation plan reviews
	Retention and Disposition	Destroy two (2) years after plan review date.

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Series	Records Title and Description	Function and Use
01406	Journeyman License Application File	This series documents information on persons wanting to test for a journeyman's license, which would allow them to legally work as a plumber. A journeyman plumber can work as a plumber but cannot operate a plumbing business. The application is reviewed by the Division to determine if applicant qualifies for the examination (01432). An applicant must be 18 years of age and a United States citizen. If the applicant passes the test, a license is issued. If the applicant fails the test, he may retake the test as many times as needed. A new application must be completed each time the test is taken.
	Access Restrictions	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Certificate number; photograph; name; address; are you a citizen?; age; height; weight; state of registration; how long worked in plumbing; previous applicant; education background; name and address of employer; applicant's signature and address; notary public signature; certificate issued; date filed; date of examination; test scores - experience; oral; written; chart; practical; general average; remarks
	Retention and Disposition	Destroy after notification of death.
01407	Master License Application File - (Passed examination)	This series documents information on persons wanting to apply for a master plumber's license, which would allow them to work as a plumber and/or own a plumbing business. For an applicant to qualify for the master examination (01432), he must have taken and passed the journeyman examination (01432). That is the only requirement. The master examination is much more difficult to pass, so most applicants work as a journeyman before taking it. A new application must be submitted each time the examination is taken.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Certificate number; photograph; name; address; are you a citizen; age; height; weight; are you registered master plumber in another state; how long worked in plumbing business; previous applicant; education background; work history; applicant's signature; address; notary public signature; certificate issued; date filed; date of examination; test scores - experience, oral, written, chart, practical, general average; remarks
	Retention and Disposition	Destroy after notification of death.

Electronic System With Included Records Series

Public Protection Cabinet

Department of Housing, Buildings and Construction

Division of Building Code Enforcement / Elevator Inspection Section

System Description: The Housing Enterprise System (HES) contains information relating to Elevator and Fixed Guideway system installations and inspections. The database is created from information obtained through the permit to install process and is updated through the inspection process.

The Elevator Inspection Section approves plans and specifications and issues permits for 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.

A Permit to Install is generated prior to the installation. A Certificate of Operation is generated upon the completion of the install and the passing of the acceptance inspection. The Certificate of Operation is also generated after an inspection of an alteration to an existing system. Every system is inspected annually after being installed for 12 months.

System Contents: Data contained in the system includes applicant information, company name and contact information of the installer, unit location, unit type, unit specifications, contact information, inspection information, fee and payment information. Permits, invoices and certificates are generated from the Housing Enterprise System (HES). The system has reporting capabilities. Administrative, statistical and financial reports and notices are generated. The system is restricted to authorized individuals.

General Schedule Items:

System Title:	Housing Enterprise System	Alternate Title:	HES
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Series #:	Series Title:	Disposition Instructions:	Total Retention:
05856	Elevator Inspection and Permit Files	Retain in Agency. Destroy (3) three years after unit destruction.	I

Electronic System With Included Records Series

Public Protection Cabinet

Department of Housing, Buildings and Construction

System Description: Multiple divisions in the Department of Housing, Buildings and Construction (DHBC) utilize this system. Each division has its own Access database and menus. The idea behind the Housing Umbrella System was to eventually tie all areas together but that never happened. There is a GUI that is used by all users to get to their respective license or certification databases and menus.

DHBC is currently replacing the HVAC function with a STAR System. This will become the new enterprise system for all licensing areas within DHBC. It is one SQL database and all areas will share the same contact, entity and address information. DHBC hopes to include all inspection, violation and complaint data in the new system eventually.

The Division of HVAC uses the Housing Umbrella System to capture and maintain data for applicants seeking and renewing certification/licensing in the areas of installation, repair and servicing of heating, ventilation and air conditioning. The Housing Umbrella System documents the certification/licensing of inspectors and contractors, in addition to journeymen and apprentices in training.

System Contents: The Housing Umbrella System contains applicant information, certification/license information, business/company information, fee/payment information and renewal information.

The system generates certificates and licenses. Operational, statistical, financial, administrative and general reports can be produced by the system.

General Schedule Items:

System Title:	Housing Umbrella System	Alternate Title:	
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Series #:	Series Title:	Disposition Instructions:	Total Retention:
01452	Application for Certificate of Acceptability - Manufacturers	Retain in Agency, Destroy (3) three years after closure of business or failure to renew, and audit.	I
01460	Retailer License File	Retain in Agency, Destroy (3) three years after closure of business, and audit.	I

System Title: Housing Umbrella System

Alternate Title:

Series #:	Series Title:	Disposition Instructions:	Total Retention:
01466	Temporary Recreational Retailer License File	Retain in Agency, Destroy (3) three years after expiration of license, and audit.	I
04326	Underground Storage Tank Contractor Certification File	Retain in Agency, Destroy (3) three years after expiration of certification, and audit	I
04327	Underground Storage Tank Certification - Application Not Processed File	Retain in Agency, Destroy after audit.	3
05365	Master Contractor License File	Retain in Agency, Destroy (3) three years after license is placed in "void" status, and audit.	I
05366	Journeyman License File	Retain in Agency, Destroy (3) three years after license is place in "void" status, and audit.	I
05367	Apprentice Registration File	Retain in Agency, Destroy (3) three years after registration is placed in "void" status.	3
05372	Liquefied Petroleum Gas License File	Retain in Agency, Destroy (3) three years after failure to renew or close of business and audit.	I
05383	Certified Installer/Manager/Owner Application File	Retain in Agency, Destroy three (3) years after inactive status and audit.	I
05872	Contractor Licensing and Certification Files	Retain active records. Destroy inactive records (6) six years after deactivation.	I

Electronic System With Included Records Series

Public Protection Cabinet

Department of Housing, Buildings and Construction

Division of Fire Prevention - Fire Protection Systems Section

System Description: The Housing Umbrella System is used by multiple divisions in the Department of Housing, Buildings and Construction. The Division of Fire Prevention uses the Housing Umbrella System to capture and maintain data for the certification/licensing of contractors/inspectors of fire prevention systems.

There are three Kentucky Fire Protection contractor licenses issued through the Division of Fire Protection. They are Sprinkler, Chemical Suppression, and Range hood Suppression Systems. All companies must be licensed before they can work in Kentucky.

The Housing Umbrella System allows for the licensing of sprinkler, rangehood and chemical contractors and their associated certificates of competency. This includes the application, renewal and revocation/suspension of licenses. The system also maintains certification of private fire alarm and sprinkler inspectors.

(KRS 198B.550 to 198B.630)

System Contents: The Housing Umbrella System contains license application data including the applicant demographic information and employer/business information. It contains certification data including the name of the business, address, phone number, e-mail address, federal employer identification number, date business filed with the Secretary of State, owner's birthdate, applicants name, fee/payment information, license/certificate status, and license/certificate type.

The system generates certificates and licenses. Operational, statistical, financial, administrative and general reports can be produced by the system.

General Schedule Items:

System Title: Housing Umbrella System

Alternate Title:

<i>Series #:</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>	<i>Total Retention:</i>
05872	Contractor Licensing and Certification Files	Retain active records. Destroy inactive records (6) six years after deactivation.	I

Electronic System With Included Records Series

Public Protection Cabinet

Department of Housing, Buildings and Construction

Division of Fire Prevention / General Inspection Section

System Description: The General Inspection Section 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 satisfactory condition to provide as much safety as possible for the occupants. Inspectors meet with property owners and occupants to achieve the necessary corrections.

General inspectors provide technical assistance to local fire officials and others, such as contractors and architects as requested. Training on the fire codes and general safety information such as dormitory, school and apartment safety is provided to those who request programs.

General inspectors perform or assist with fire investigations in the following ways: to determine cause and origin, assist law enforcement personnel and the examination of fire incidents which result in fatalities. They also perform life safety evaluations after fires to help identify problems and possible solutions to prevent further incidents.

The General Inspection System (GIS) was developed for the General Inspection Section of the Kentucky Department of Housing, Buildings and Construction and is designed for the collection, storage and processing of fire code inspection data. The system provides efficient scheduling and recording of fire inspections. It also includes a follow-up procedure that insures that all fire code violations have been corrected within the specified time allowed.

System Contents: The General Inspection System (GIS) contains inspection data for each facility and licensed facilities inspected. The contents include facility and building names, addresses, contact information, building information such as the number of stories, square footage, etc. and violation data. The system has limited reporting capabilities. A series of management reports and inspection reports for field staff are produced.

General Schedule Items:

System Title: General Inspection System

Alternate Title: General Inspection Reporting System, GIS

Series #: ***Series Title:***

Disposition Instructions:

Total Retention:

System Title: General Inspection System

Alternate Title: General Inspection Reporting System, GIS

<i>Series #:</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>	<i>Total Retention:</i>
01446	General Inspection Report Files	Retain reports for (5) five years. Paper copies may be destroyed (3) three years after information is scanned to database and security backup performed.	5

Electronic System With Included Records Series

Public Protection Cabinet

Department of Housing, Buildings and Construction

Division of Fire Prevention / Hazardous Materials Section

System Description: The Hazardous Materials Section is responsible for plan review, permitting, licensing and renewal certification of Underground Petroleum Storage Tanks (UPST) and Above Ground Storage Tanks (AGST). Additionally, the section also regulates the sale and storage of Liquefied Petroleum (LP) gas.

The Hazardous Materials Section issues licenses pertaining to the installation of both above ground storage tanks and underground storage tanks, issues permits for the placement of tanks, licenses for LP gas businesses and reviews the plans for refurbished facilities, both individual and tank farm modules, to make sure they meet the current codes.

Testing to determine the qualifications as an installer of hazardous material apparatus is administered once a month.

Our field staff are certified hazardous material technicians and CFEI (Certified Fire and Explosion Investigators) certified and are considered among the best in the commonwealth.

The Housing Umbrella System is used by multiple divisions in the Department of Housing, Buildings and Construction. The DFP/Hazardous Materials Section uses the system to capture and maintain licensing and certification information of Underground Storage Tank and LP-Gas installers/removers.

System Contents: The Housing Umbrella System contains applicant and business information. Information includes certification application information such as the business name, address, federal employer identification number, phone number, insurance information, applicant demographic information, fee/payment information, license/certificate status, and license/certificate type.

The system generates certificates and licenses. Operational, statistical, financial, administrative and general reports can be produced by the system.

General Schedule Items:

<i>System Title:</i> Housing Umbrella System	<i>Alternate Title:</i>
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<i>Series #:</i> <i>Series Title:</i>	<i>Disposition Instructions:</i>	<i>Total Retention:</i>
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System Title: Housing Umbrella System

Alternate Title:

Series #:	Series Title:	Disposition Instructions:	Total Retention:
04326	Underground Storage Tank Contractor Certification File	Retain in Agency, Destroy (3) three years after expiration of certification, and audit	1
04327	Underground Storage Tank Certification - Application Not Processed File	Retain in Agency, Destroy after audit.	3
05372	Liquefied Petroleum Gas License File	Retain in Agency, Destroy (3) three years after failure to renew or close of business and audit.	1

Electronic System With Included Records Series

Public Protection Cabinet

Department of Housing, Buildings and Construction

Division of Heating, Ventilation, and Air Conditioning

System Description: The Housing Umbrella System is used by multiple divisions in the Department of Housing, Buildings and Construction. The Division of HVAC uses the Housing Umbrella System to capture and maintain data for applicants seeking and renewing certification/licensing in the areas of installation, repair and servicing of heating, ventilation and air conditioning.

The Housing Umbrella System documents the certification/licensing of contractors, in addition to journeymen and apprentices in training. The individual, once licensed, must work under the indirect supervision of a licensed master contractor. A licensed journeyman is required to be onsite to observe and supervise any work being performed.

Licenses are renewed annually. The system tracks the renewal process and generates a renewal notice reports. Licensure fees/payments and restoration fees/payments are documented in the system.

There are plans to replace this system in the near future.

System Contents: The Housing Umbrella system is used to maintain certification or license application data such as the date application filed, applicant's demographic information. The system also contains business/company information such as name and Federal identification number (FIN), address and county, in addition to fee/payment information, license/certificate status, license/certificate type.

The certificate or license is generated by the system, as well as general reports including statistical reports per license type.

General Schedule Items:

System Title:	Housing Umbrella System	Alternate Title:	
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Series #:	Series Title:	Disposition Instructions:	Total Retention:
05365	Master Contractor License File	Retain in Agency, Destroy (3) three years after license is placed in "void" status, and audit.	I
05366	Journeyman License File	Retain in Agency, Destroy (3) three years after license is place in "void" status, and audit.	I

System Title: **Housing Umbrella System**

Alternate Title:

Series #: Series Title:

Disposition Instructions:

Total Retention:

05367 Apprentice Registration File

Retain in Agency, Destroy (3) three years after
registration is placed in "void" status.

3

Electronic System With Included Records Series

Public Protection Cabinet

Department of Housing, Buildings and Construction

Division of Building Code Enforcement / Manufactured Housing Section

System Description: The Manufactured Housing Section is the State Administrative Agency (SAA) in contract with Housing Urban Development (HUD) to certify all the new homes imported into and manufactured within the commonwealth meet and comply with the federal standards. They license retailers of manufactured homes and recreational vehicles and issue certificates of acceptability to manufacturer's of homes to do business with the commonwealth. Also, the section certifies installers of manufactured homes to set homes to the standards required by statutes and regulations.

As an SAA, they are required to respond to any complaint filed in regard to manufactured housing. They inspect "used" units, either manufactured homes or recreational vehicles, entering the commonwealth titled in other states for the purpose of titling within the commonwealth. They also are involved in communities and mobile home parks when local health departments or fire departments request assistance to life safety issues.

The Housing Umbrella System is used by multiple divisions in the Department of Housing, Buildings and Construction. The DBCE/Manufactured Housing Section uses the system to track the licensing and enforcement of manufactured home retailers, manufactured home manufacturers, certified installers, recreational dealers and manufacturers, and manufactured home brokers.

System Contents: The Housing Umbrella System contains applicant and business information. Information includes certification application information such as the business name, address, federal employer identification number, phone number, insurance information, applicant demographic information, fee/payment information, license/certificate status, and license/certificate type.

The system generates certificates and licenses. Operational, statistical, financial, administrative and general reports can be produced by the system.

General Schedule Items:

System Title:	Housing Umbrella System	Alternate Title:	
Series #:	Series Title:	Disposition Instructions:	Total Retention:
01452	Application for Certificate of Acceptability - Manufacturers	Retain in Agency, Destroy (3) three years after closure of business or failure to renew, and audit.	I

System Title: Housing Umbrella System

Alternate Title:

Series #:	Series Title:	Disposition Instructions:	Total Retention:
01460	Retailer License File	Retain in Agency, Destroy (3) three years after closure of business, and audit.	I
01466	Temporary Recreational Retailer License File	Retain in Agency, Destroy (3) three years after expiration of license, and audit.	I
05383	Certified Installer/Manager/Owner Application File	Retain in Agency, Destroy three (3) years after inactive status and audit.	I

Electronic System With Included Records Series

Public Protection Cabinet

Department of Housing, Buildings and Construction

Division of Plumbing / Boiler Inspection Section

System Description: The Boiler Inspection Section of the Division of Plumbing utilizes the Jurisdiction Online (JO) product maintained by the vendor Praeses, which delivers customized solutions to businesses and government entities in industries including, but not limited to boilers, pressure vessels, elevators, licensing, building permitting and code enforcement.

Jurisdiction Online (JO) was developed by Praeses to allow businesses to share information with, and process reports to, state and local governments. Praeses recognized that the problems caused by stakeholders operating in disconnected databases could be solved with a collaborative, web-based solution that allows users to share information in a centralized database. JO is used in 20 states, over 80 local jurisdictions, multiple Fortune 500 and private sector companies. Daily, JO shares millions of records between users and organizations.

System Contents: The Jurisdiction Online (JO) system maintains all information pertinent to the inspection of boilers and pressure vessels. Specific information, such as owner information, location of each boiler or pressure vessel, and inspection history of all boilers and pressure vessels registered with the Boiler Inspection Section is maintained within the databases.

All payments are recorded in the system including permits, plan reviews and special invoices. The system has the capability to generate general data reports regarding location and inspection object information including overdue inspections and historical data. JO generates certificates, invoices, tracks payments and fees charged, issues second notices, overdue lists and numerous tracking and financial reports for the Boiler Inspection Section.

General Schedule Items:

System Title:	Jurisdiction Online	Alternate Title:	JO
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Series #:	Series Title:	Disposition Instructions:	Total Retention:
01495	Kentucky Reciprocal Commission File	Retain in Agency, Destroy (3) three years after failure to renew, and audit.	I
01497	Inspections Report File	Retain Inspection Report in Agency. Destroy paper copies once scanned/posted to database.	6

<i>Series #:</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>	<i>Total Retention:</i>
01498	Original Boiler Data Files	Retain in Agency, Destroy (5) five years after boiler is scrapped.	5
01499	Contractor License File	Retain in Agency, Destroy (3) three years after expiration of license, and audit.	3
01500	American Society of Mechanical Engineers and National Board Stamp Holder's File	Retain in Agency, Destroy (1) one year after expiration of stamp(s).	1
01502	Boiler Installation Plan File	Retain in Agency, Destroy (2) two years after review date.	2
05347	Boiler Plan Review File	Retain in Agency, Destroy (2) two years after plan review date.	2