DEPARTMENT OF INSURANCE
OFFICE OF STATE FIRE MARSHAL
ENGINEERING AND CODES DIVISION

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

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do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. The agency agrees to comply with 07 NCAC 04M. 0510 when deciding on a method of destruction. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

The Department of Insurance and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when *"administrative/reference value ends."* The Department of Insurance hereby agrees that it will establish and enforce internal policies setting minimum retention periods for records with this disposition instruction. Without the establishment of internal policies, the agency is not authorized by the Department of Cultural Resources to destroy these records.

The Department of Insurance and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The Department of Insurance agrees to comply with all policies, standards, and best practices published by the Department of Cultural Resources regarding the creation and management of electronic records.

E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated with specific retention periods in this program records schedule. Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.

The Department of Insurance agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

Angie Brogden, Chief Records Officer
Department of Insurance

Chris Noles, Deputy Commissioner
Engineering and Codes Division

Sarah E. Koonts, Director
Division of Archives and Records

APPROVED

Wayne Goodwin, Commissioner
State Fire Marshal
Department of Insurance

Susan W. Kluttz, Secretary
Department of Cultural Resources

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ITEM 2267. BUILDING PLANS FILE

Building plans submitted as required by G.S. 58-31-40 for approval prior to work initiation. File includes plans for private and public buildings. (Building plans for certain state-owned structures are submitted to the State Records Center as follows: community colleges, from the Department of Administration, State Construction Office (Item 34); institutional occupancies, from the Department of Health and Human Services, Division of Health Service Regulation, Construction Section, Blueprints File (Item 1719). Building plans for public schools are not required to be microfilmed.) (Comply with applicable provisions of G.S. 132-1.7 regarding the confidentiality of drawings of public buildings.)

DISPOSITION INSTRUCTIONS: Transfer building plans for buildings owned by the state or its subdivisions, except as noted above, and building plans for buildings owned by a county or city to the State Records Center after 1 year to be imaged for the Archives. Agency will be responsible for cost of microfilm production. After completion of imaging and production of the microfilm, the silver-halide original microfilm will be transferred to the custody of the Archives. Paper records will be destroyed in the State Records Center after imaging. Destroy in office remaining records after 1 year.

ITEM 2268. BUILDING SPECIFICATIONS AND LETTERS OF APPROVAL FILE

Records in paper and electronic formats, including e-mail, concerning specifications for buildings submitted to the Engineering and Codes Division for approval. File includes letters of approval and correspondence concerning specifications for buildings.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center paper records concerning buildings owned by the state, a county, or a city after 1 year. Records will be held for agency in the State Records Center 10 additional years and then destroyed. Destroy in office remaining records after 1 year.

ITEM 2305. PLANS FOR STATE OWNED BUILDINGS FILE

Official copies of state-owned building plans submitted for division approval. Prior to 1956 these plans were kept in both the Department of Insurance and the Department of Administration. From 1956 forward, the plans are destroyed by the Department of Insurance after final approval, however, they are kept by the Department of Administration, State Property Office. (Comply with applicable provisions of G.S. 132-1.7 regarding the confidentiality of drawings of public buildings.)

DISPOSITION INSTRUCTIONS: Destroy in office upon completion of project.

ITEM 3523. NORTH CAROLINA BUILDING CODE COUNCIL MINUTES FILE

Records in electronic and paper formats concerning the proceedings of council committee meetings. File also includes audio recordings of meetings.

DISPOSITION INSTRUCTIONS: Destroy in office audio recordings when the minutes of the meeting are approved. Retain original signed minutes and attachments in office permanently. Transfer certified duplicates of minutes and attachments to the State Records Center after each meeting to be microfilmed. The agency will be responsible for the cost of microfilm production. The original silver-halide copy of the microfilm will be transferred to the custody of the State Archives. Microfilmed paper records will be destroyed in the State Records Center when filming and quality control procedures are complete. Destroy in office remaining paper and electronic records when reference value ends.

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ITEM 3738. NORTH CAROLINA BUILDING CODE COUNCIL FILE

Records in paper and electronic formats, including e-mail, concerning the Building Code Council. File includes proceedings of public hearings, correspondence, hearing agendas, supporting documentation for proposed amendments to building codes, and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center after 10 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Transfer electronic records after 10 years to the State Records Center for immediate transfer to the custody of the Archives.

ITEM 10167. CODE OFFICIAL QUALIFICATIONS BOARD MINUTES FILE

Minutes in paper and electronic formats of the Code Official Qualifications Board, which certifies building, electrical, plumbing, mechanical, and fire prevention inspectors in North Carolina. File also includes audio recordings of meetings.

DISPOSITION INSTRUCTIONS: Destroy in office audio recordings when the minutes of the meeting are approved. Retain original signed minutes and attachments in office permanently. Transfer certified duplicates of minutes and attachments to the State Records Center after each meeting to be microfilmed. The agency will be responsible for the cost of microfilm production. The original silver-halide copy of the microfilm will be transferred to the custody of the State Archives. Microfilmed paper records will be destroyed in the State Records Center when filming and quality control procedures are complete. Destroy in office remaining paper and electronic records when reference value ends.

ITEM 11878. ARCHITECTS' CORRESPONDENCE FILE

Official copies of correspondence in paper and electronic formats, including e-mail, concerning plans being reviewed and those which have been approved.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after plan is approved.

ITEM 11885. SPECIFICATIONS (REFERENCE) FILE

Reference copies of state-owned building specifications submitted for division approval.

DISPOSITION INSTRUCTIONS: Destroy in office upon completion of project.

ITEM 11887. CODE OFFICIAL QUALIFICATIONS FILE

Records in paper and electronic formats, including e-mail, concerning certification of building, electrical, plumbing, mechanical, and fire prevention inspectors in North Carolina. File includes applications, examinations, grades, investigation records, renewal records, correspondence, and other related records. Pertinent data is entered into the Examinee Databases (Electronic) File (Item 45727). (Comply with applicable provisions of 20 USCA 1232g regarding the confidentiality of student records, and G.S. 93B regarding the confidentiality of insurance examination records.)

DISPOSITION INSTRUCTIONS: Destroy paper and electronic records in office after 7 years.

ITEM 11891. CARD INDEX TO BUILDING PLANS FILE

Index to building plans submitted to the office.

DISPOSITION INSTRUCTIONS: Item discontinued. Records no longer created.

ITEM 11893. GENERAL CORRESPONDENCE FILE

Correspondence in paper and electronic formats, including e-mail, received from inspectors, contractors, and the general public. File includes answers to code-related problems.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

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ITEM 11897. PLUMBING (EQUIPMENT) FILE

Engineering data concerning plumbing equipment and systems.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Interpretations Section, Item 3701 (Plumbing File).

ITEM 11902. SCHOOL MAINTENANCE ELECTRICIAN APPROVAL FILE

Records in paper and electronic formats concerning approved school maintenance electricians.

DISPOSITION INSTRUCTIONS: Destroy paper and electronic records in office 5 years after electrician becomes inactive.

ITEM 45724. HOME INSPECTOR LICENSURE BOARD MINUTES FILE

Minutes in paper and electronic format of the Home Inspector Licensure Board. File also includes audio recordings of meetings.

DISPOSITION INSTRUCTIONS: Destroy in office audio recordings when the minutes of the meeting are approved. Retain original signed minutes and attachments in office permanently. Transfer certified duplicates of minutes and attachments to the State Records Center after each meeting to be microfilmed. The agency will be responsible for the cost of microfilm production. The original silver-halide copy of the microfilm will be transferred to the custody of the State Archives. Microfilmed paper records will be destroyed in the State Records Center when filming and quality control procedures are complete. Destroy in office remaining paper and electronic records when reference value ends.

ITEM 45725. HOME INSPECTOR LICENSURE BOARD FILE

Records in paper and electronic formats, including e-mail, concerning the certification of home inspectors. File includes examinations, grades, investigation records, renewal records, correspondence, and other related records. Pertinent data is entered into the Examinee Databases (Electronic) File (Item 45727). (Comply with applicable provisions of 20 USCA 1232g regarding the confidentiality of student records, and G.S. 93B regarding the confidentiality of insurance examination records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 7 years.

ITEM 45726. PLAN INDEX DATABASE (ELECTRONIC) FILE

Electronic records concerning building plans submitted to the office. Electronic file includes project name, architect or designer, county, approval date, and other related data.

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

ITEM 45727. EXAMINEE DATABASES (ELECTRONIC) FILE

Electronic records concerning examinees of the Home Inspector Licensure or Code Official Qualifications Boards. Electronic files include examinees' contact information, examination grades, qualifications, and other related data. (Comply with applicable provisions of 20 USCA 1232g regarding the confidentiality of student records, and G.S. 93B regarding the confidentiality of insurance examination records.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

ITEM 46743. OFFICIAL DISCIPLINARY HEARING FILE

Records in paper and electronic formats concerning complaints brought against certified inspectors. File includes complaints, investigative reports, audio recordings of hearings, and other related records. (Comply with applicable provisions of G.S. 14-113.20(b) regarding the confidentiality of identifying information.)

DISPOSITION INSTRUCTIONS: Destroy in office audio recordings after period for appeal has passed. Destroy remaining paper and electronic records when reference value ends.

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ITEM 50332. PYROTECHNICS LICENSING FILE

Records in paper and electronic formats, including e-mail, concerning the issuance of licenses for pyrotechnics operators and proximate pyrotechnics operators. File includes correspondence, applications for license, applications for license renewal, and completed exams for operators and assistant operators. Applicant information is entered into Pyrotechnics Safety Management System database (Item 50333). (Comply with applicable provisions of G.S. 14-113.20(b) regarding the confidentiality of identifying information.)

DISPOSITION INSTRUCTIONS: Transfer paper records to State Records Center after 6 years. Records will be held for agency for 10 years and then destroyed. Destroy electronic records in office when reference value ends.

ITEM 50333. PYROTECHNICS SAFETY MANAGEMENT SYSTEM DATABASE (ELECTRONIC) FILE

Electronic records concerning issuance of Pyrotechnics licenses and results of Pyrotechnics examinations. Electronic file includes applications for licenses, completed examinations, and other related data. Data is entered into this database from Pyrotechnics Licensing File (Item 50332). (Comply with applicable provisions of G.S. 14-113.20(b) regarding the confidentiality of identifying information.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

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ITEM 3699. SPECIAL OFFICE OF THE HANDICAPPED FILE

Records concerning building accessibility for handicapped individuals. File includes correspondence, projects, conference handouts, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 3701. PLUMBING FILE

Records in paper and electronic formats, including e-mail, concerning correspondence and interpretations of the North Carolina Plumbing Code and standards of national organizations.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 3702. MECHANICAL FILE

Records in paper and electronic formats, including e-mail, concerning correspondence and interpretations of the North Carolina Mechanical Code and engineering and sales data on mechanical equipment.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 11894. STANDARDS FILE

Records in paper and electronic formats concerning equipment test standards of Underwriters Laboratories Inc. and the American Gas Association.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 11896. ENERGY FILE

Records in paper and electronic formats, including e-mail, concerning correspondence and interpretations about the North Carolina Energy Conservation Code and engineering data on insulating materials and methods.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 50334. ACCESSIBILITY CODE FILE

Records in paper and electronic formats, including e-mail, concerning correspondence and interpretations of the North Carolina Accessibility Code.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 50335. ADMINISTRATIVE CODE FILE

Records in paper and electronic formats, including e-mail, concerning correspondence and interpretations of the North Carolina Administrative Code, including the issuing or revoking of building permits, stop-work orders, and schedules of inspections.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 50336. BUILDING FILE

Records in paper and electronic formats, including e-mail, concerning correspondence and interpretations of the North Carolina Building Code, including commercial buildings and residences.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 50337. ELECTRICAL CODE FILE

Records in paper and electronic formats, including e-mail, concerning correspondence and interpretations of the North Carolina Electrical Code and the installation of electrical systems.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

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ITEM 50338. EXISTING BUILDINGS FILE

Records in paper and electronic formats, including e-mail, concerning correspondence and interpretations of the North Carolina Existing Buildings Code and renovation or rehabilitation to existing commercial and residential buildings.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 50339. FIRE PREVENTION CODE FILE

Records in paper and electronic formats, including e-mail, concerning correspondence and interpretations of the North Carolina Fire Prevention Code and the installation of fire protection systems in residential and commercial buildings.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 50340. FUEL GAS CODE FILE

Records in paper and electronic formats, including e-mail, concerning correspondence and interpretations of the North Carolina Fuel Gas Code and the installation of operation of fuel and gas appliances in commercial and residential buildings.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 50341. REHABILITATION FILE

Records in paper and electronic formats, including e-mail, concerning correspondence and interpretations of the North Carolina Rehabilitation Code and renovation or rehabilitation to existing commercial and residential buildings.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 50342. RESIDENTIAL FILE

Records in paper and electronic formats, including e-mail, concerning correspondence and interpretations of the North Carolina Residential Buildings Code, including single-family residences, duplexes, and townhouses.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.