

STATE BOARD OF EXAMINERS OF PLUMBING, HEATING, AND FIRE SPRINKLER
CONTRACTORS

Records Retention and Disposition Schedule

The 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

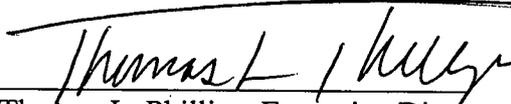
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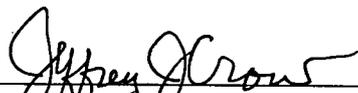
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. 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. **Public records including machine readable records not listed in this schedule are not authorized to be destroyed.**

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 This schedule is to remain in effect until superseded.

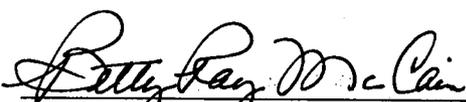
APPROVAL RECOMMENDED


Thomas L. Phillips, Executive Director
State Board of Examiners of Plumbing,
Heating, and Fire Sprinkler Contractors


Jeffrey S. Crow, Director
Division of Archives and History

APPROVED


S. Chris Williford, Chairman
State Board of Examiners of Plumbing,
Heating, and Fire Sprinkler Contractors


Betty Ray McCain, Secretary
Department of Cultural Resources

February 9, 1999

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STATE BOARD OF EXAMINERS OF PLUMBING, HEATING, AND FIRE SPRINKLER CONTRACTORS

Item 41842. NOTICE OF HEARINGS AND INJUNCTION (IMAGES) FILE. Scanned images of records concerning unresolved complaints forwarded to the board or board's attorney by the Board Summary Trial Officer regarding licensed individuals, unlicensed individuals, and associate firms. File includes images of completed tracking forms, complaint forms, correspondence regarding each complaint and investigation, investigative reports prepared for each investigation, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office optical disks permanently. Transfer security copy to an off-site location for backup storage. Agency representative will update weekly.

Item 37922. ATTORNEY GENERAL'S OPINIONS FILE. Legal opinions and rulings prepared by the Office of the Attorney General regarding interpretations of board regulations.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 37926. COMPLAINTS AND INVESTIGATIONS FILE. Records concerning complaints received by the board and processed by field representatives of the board regarding licensed individuals, unlicensed individuals, and associate firms. File includes completed complaint forms, correspondence regarding each complaint and investigation, investigative reports prepared for each investigation, and other related records. (Case numbers are assigned and the names, addresses, telephone numbers, license numbers, if applicable, and the nature of the complaints are entered into the Complaint Database (Electronic) File (Item 41838) immediately upon receipt.)

DISPOSITION INSTRUCTIONS: Scan in office records onto optical disk to Complaints and Investigations (Images) File (Item 41839) when received. Destroy in office paper copies of all closed complaints after 1 year and all quality control procedures have been completed. Transfer paper copies of remaining records to Notice of Hearings and Injunction File (Item 37982) when determined by Board Summary Trial Officer.

Item 37924. BOARD OFFICIALS' CORRESPONDENCE FILE. Correspondence concerning the implementation of board policies and procedures. File includes rule changes, fees charged by board, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

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Item 37920. APPLICATIONS FOR LICENSE WITHOUT EXAMINATION FILE.

Records concerning individuals applying for license under the board's grandfather clause when application is denied or a completed application is never returned to the board. File includes correspondence regarding the licensing process, applications for license, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 37928. CORRESPONDENCE (OFFICE ADMINISTRATION) FILE.

Correspondence written to and received from individuals concerning requests for information. File includes permit requests, examination dates, change of address, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

Item 37929. DECLARATORY RULES FILE. Records concerning declaratory rulemaking proceedings. File includes petitions, notices of hearings, summaries of oral presentations, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after public ruling has been superseded. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 37921. ASSOCIATIONS FILE. Reference copies of records concerning local, state, or national associations with which the board is involved. File includes newsletters, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

Item 37925. BOARD PUBLICATIONS FILE. Publications prepared by the board. Publications include "The Newsletter," "Register of Licensees," and "Administrative Codes."

DISPOSITION INSTRUCTIONS: Transfer 10 copies of each publication to the State Documents Clearinghouse, North Carolina State Library, when received from printer, in accordance with G.S. 125-11.7/11.8. Destroy in office remaining copies and related records when reference value ends.

Item 37923. AUDIT REPORTS FILE. Audit reports concerning the financial condition of the board. File includes correspondence and other related records regarding on-going audits.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

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Item 37927. CONTRACTS, AGREEMENTS, AND LEASES FILE. Contracts, agreements, and leases with consultants, vendors, and other firms concerning services, equipment, and other obligations. File also includes maintenance contracts and insurance policies.

DISPOSITION INSTRUCTIONS: Destroy in office 3 year(s) after termination of agreement/contract if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 37945. POLICIES AND PROCEDURES FILE. Policies and procedures concerning the administration of the board. File includes personnel policies, internal office procedures, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when superseded or obsolete. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 37941. LICENSEES' REGISTRATION (INDEXES) FILE. Index cards listing all individuals licensed by the board. File includes names and addresses of licensees, registration numbers, and other related data.

DISPOSITION INSTRUCTIONS: **Item discontinued. Destroy in office immediately.**

Item 37947. RECIPROCAL REQUESTS FILE. Requests for license by reciprocity that are denied or responses are never received from the applicant. File also includes correspondence regarding the reciprocity process.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

Item 37943. NATIONAL INSTITUTE FOR CERTIFICATION IN ENGINEERING TECHNOLOGIES (NICET) CORRESPONDENCE FILE. Correspondence for individuals who hold a NICET Level III Certification. File includes requests for information on how to acquire a fire sprinkler license.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

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Item 37948. SPECIAL EXAMINATIONS FILE. Records concerning requests for applications for license by examination to be given at special times during the year. File includes completed applications, correspondence regarding the application process, work history summaries, and other related records. (Comply with applicable provisions of G.S. 93B-14 regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Scan in office onto optical disk applications of individuals who passed the examination to Licensees' (Active) File (Item 37936) immediately after individual passes the examination, is approved by the board, and is assigned a license number. Destroy in office paper copies of scanned records 30 days after all quality control procedures have been completed. Destroy in office records of individuals who failed the examination after 1 year if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 37940. LICENSEES' (RETIRED) FILE. Records concerning individuals whose licenses have not been renewed within 3 years. File includes examination results, correspondence, applications for examinations, and other related records. (Comply with applicable provisions of G.S. 93B-14 regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Scan in office onto optical disk when received. Destroy in office paper copies of scanned records 30 days after all quality control procedures have been completed. Retain in office optical disks permanently. Transfer security copy to an off-site location for backup storage. Agency representative will update weekly.

Item 37944. PERSONNEL FILE. Records concerning office personnel. File includes applications, resumes, personnel action forms, performance evaluations, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 37942. MINUTES FILE. Minutes of the State Board of Examiners of Plumbing, Heating, and Fire Sprinkler Contractors. Minutes include names of individuals who passed the licensing examination. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 years to be microfilmed for permanent storage. Microfilmed paper records will be returned to agency after microfilming. Retain in office microfilmed paper records permanently. The original copy (silver-halide) of microfilm will be stored permanently in the State Archives vault. Transfer a duplicate copy of the official signed minutes to the State Records Center after each meeting for security storage. The duplicate copy will be destroyed in the State Records Center when original records microfilmed.

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Item 37946. PUBLIC RULES HEARINGS FILE. Records concerning public rules hearings. File includes the original petitions, notice of hearings, memorandums received regarding public hearings, summaries of oral presentations, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after public ruling has been superseded. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 37982. NOTICE OF HEARINGS AND INJUNCTION FILE. Records concerning unresolved complaints forwarded to the board or board's attorney by the Board Summary Trial Officer regarding licensed individuals, unlicensed individuals, and associate firms. File includes completed tracking forms, complaint forms, correspondence regarding each complaint and investigation, investigative reports prepared for each investigation, and other related records.

DISPOSITION INSTRUCTIONS: Scan in office onto optical disk to the Notice of Hearings and Injunction (Images) File (Item 41842) when received. Destroy in office paper copies of scanned records 5 years after all quality control procedures have been completed.

Item 37918. APPLICATIONS DATABASE (ELECTRONIC) FILE. Machine readable records concerning individuals who have requested to receive an application for regular examination session. Electronic file includes names and addresses of individuals, social security numbers, telephone numbers, and total amount of fees received from applicants. (Comply with applicable provisions of G.S. 93B-14 regarding confidentiality of records.) (Electronic database is maintained by Independent Data Processing, Inc.)

DISPOSITION INSTRUCTIONS: Erase in office 1 month after regular examination sessions are held if individual did not apply to sit for an examination. If individual applied to sit for an examination, erase in office when individual passes examination or fails to reapply.

Item 37917. ANNUAL REPORT TO SECRETARY OF STATE FILE. Annual reports prepared by the board. File includes lists of board members, statistics, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

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Item 37919. APPLICATIONS FOR EMPLOYMENT FILE. Completed applications for employment received from individuals interested in working for the board. File also includes resumes, correspondence, and other related records. (Comply with applicable provisions of G.S. 126-22 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer applications and other records for individuals hired to appropriate personnel file when individual accepts position. Destroy in office applications and other records that are unsolicited and for individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.

Item 37934. LEAVE FILE. Records concerning vacation, sick, or compensatory leave earned or taken by office employees. File includes leave forms. (Comply with applicable provisions of G.S. 126-22 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 37938. LICENSEES' (EXPIRED) FILE. Records concerning individuals whose licenses have not been renewed within 1 year. File includes applications for examinations, correspondence, examinations results, and other related records. (Comply with applicable provisions of G.S. 93B-14 regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Scan in office records onto optical disk when received. Destroy in office paper copies of scanned records 30 days after all quality control procedures have been completed. Retain in office optical disks permanently. Transfer security copy to an off-site location for backup storage. Agency representative will update weekly.

Item 37930. EDUCATIONAL FILE. Reference copies of records concerning educational programs of the board. File includes newsletters, vendor materials, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

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Item 37936. LICENSEES' (ACTIVE) FILE. Scanned images of records concerning individuals and businesses that are currently licensed by the board. File includes images of examination results, correspondence, applications for licensing examination, and other related records. (Comply with applicable provisions of G.S. 93B-14 regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Retain in office optical disks permanently. Transfer security copy to an off-site location for backup storage. Agency representative will update weekly.

Item 37932. INDIVIDUALS (APPLICATIONS) FILE. Records concerning individuals interested in taking the licensing examination. File includes examination results, correspondence, applications for examination, and other related records. Names and addresses of individuals and businesses, social security numbers, telephone numbers, and amounts of fees received are entered into Application Database (Electronic) File (Item 37918) immediately upon receipt. (Comply with applicable provisions of G.S. 93B-14 regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Scan in office onto optical disk applications of individuals who passed the examination to Licensees' (Active) File (Item 37936) immediately after individual passes the examination, is approved by the board, and is assigned a license number. Destroy in office paper copies of scanned records 30 days after all quality control procedures have been completed. Destroy in office records of individuals who failed the examination after 1 year if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 37933. LEASES FILE. Records concerning the leasing of office space for the board. File includes leases, correspondence regarding lease agreements, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 3 year(s) after termination of agreement/contract if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 37937. LICENSEES' (DECEASED) FILE. Records concerning licensed individuals who have died. File includes examination results, correspondence, applications for examination, and other related records. (Records will not be scanned.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

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Item 37935. LEGISLATIVE FILE. Reference copies of legislative bills and other legislation concerning the board.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

Item 37939. LICENSEES' (INACTIVE) FILE. Records concerning individuals who have become sub-licensees. File includes examination results, correspondence, applications for examination, and other related records. (Comply with applicable provisions of G.S. 93B-14 regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Scan in office onto optical disk when received. Destroy in office paper copies of scanned records 30 days after all quality control procedures have been completed. Retain in office optical disks permanently. Transfer security copy to an off-site location for backup storage. Agency representative will update weekly.

Item 37931. FINANCIAL FILE. Records concerning the board's budgets and expenditures. File includes requisitions, vouchers, purchase orders, invoices, paid checks, travel reimbursement forms, budget reports, bank statements, cash receipts, deposit slips, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 4 year(s) after released from all audits.

Item 41838. COMPLAINT DATABASE (ELECTRONIC) FILE. Machine readable records concerning complaints received by the board and processed by field representatives of the board regarding licensed individuals, unlicensed individuals, and associate firms. Electronic file includes social security numbers, case numbers, names, addresses, telephone numbers, license number (if applicable), nature of complaint, and action taken by board. (Comply with applicable provisions of G.S. 93B-14 regarding confidentiality of records.) (Electronic database is maintained by Independent Data Processing, Inc.)

DISPOSITION INSTRUCTIONS: Retain in office permanently. Agency representative will update periodically.

Item 41839. COMPLAINTS AND INVESTIGATIONS (IMAGES) FILE. Scanned images of records concerning complaints received by the board and processed by field representatives of the board regarding licensed individuals, unlicensed individuals, and associate firms. File includes images of completed complaint forms, correspondence regarding each complaint and investigation, investigative reports prepared for each investigation, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office optical disks permanently. Transfer security copy to an off-site location for backup storage. Agency representative will update weekly.

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Item 41840. LICENSEES' DATABASE (ELECTRONIC) FILE. Machine readable records concerning individuals or businesses currently licensed by the board. Electronic file includes status of licensees, examination results, correspondence, applications for examination, social security numbers, and other related records. (Comply with applicable provisions of G.S. 93B-14 regarding confidentiality of records.) (Electronic database is maintained by Independent Data Processing, Inc.)

DISPOSITION INSTRUCTIONS: Retain in office permanently. Agency representative will update periodically.