

Agency Function and Records Summary

Board of Embalmers and Funeral Directors

The Board of Embalmers and Funeral Directors (The Board) is governed by KRS Chapter 316. The Board was established as State Board of Embalmers in 1934 per Chapter 155 of the Acts of the General Assembly.

The Board consists of five Board members, office staff and an inspector. It includes four licensed funeral directors and embalmers and one public (consumer) member. The Board's objective is to prescribe the standards of efficiency for those who are engaged in the practice of funeral directing and embalming. The Board also adopts, promulgates and enforces regulations for the transaction of the funeral establishments and embalming business, the management of its affairs, and the promotion of the educational standards of the professions.

This is a new records retention schedule for this agency.

Current schedule date: December 8, 2016

Proposed schedule date: March 12, 2026

Additions to the Schedule

- **Series 07080, Surface Transportation & Removal File**

Proposed retention: After successful completion of course, retain initial application and renewal application(s) permanently. Retain additional records and test(s) until five (5) years after initial application, then destroy. For applicants who become license holders, transfer initial application and first and last page of renewals to Series 05391, Funeral Directors and Embalmers License File, then destroy balance of file.

Rationale: This series has primary administrative value because it documents the license application to be permitted to remove and/or transport deceased individuals in the Commonwealth of Kentucky.

- **Series 07081, Reciprocal Examination Application**

Proposed retention: After successful completion of examination, transfer to Series 05931, Funeral Directors and Embalmers License File. For incomplete applications, retain until one (1) year after date of examination, then destroy; for examination failure, retain permanently.

Rationale: This series has primary administrative value because it documents the reciprocal examination and license process for out-of-state individuals to become a licensed Embalmer or Funeral Director in the Commonwealth of Kentucky.

Deletions from the Schedule

*The following series are being deleted and covered by other series on the agency's Retention Schedule or the General Schedule for State Agencies with **changes in retention**:*

- **Series 01086, License Renewal Application - Annual**

Current retention: Retain in Agency five (5) years from date of issuance and then destroy.

New series and retention: Series 05931, Funeral Directors and Embalmers License File; Retain permanently.

Rationale: Proposed series and retention condense records according to agency workflow and revises retention timeframe.

Revisions to the Schedule

Changes in retention:

- **Series 01080, License Holders List**

Current retention: Update quarterly and retain permanently in Agency.

Proposed retention: Retain until ninety (90) days after date of creation, then destroy.

Rationale: Proposed retention revises retention timeframe to meet administrative need.

- **Series 01081, Complaints and Investigation Folders**

Current retention: Retain in Agency ten (10) years after conclusion of investigation then destroy. If complaint is founded and disciplinary action results, transfer to series 05933, Administrative Hearings, which has a permanent retention.

Proposed retention: Retain until ten (10) years after conclusion of investigation, then destroy. If complaint is founded and disciplinary action results, transfer to Series 05933, Administrative Hearings.

Rationale: Proposed retention clarifies retention trigger and matches current workflow.

- **Series 01085, Incomplete/Unsuccessful Apprenticeship Registration and Unaccompanied Transcripts/Board Scores**

Current retention: Retain in Agency five (5) years and destroy. If apprenticeship includes complaints, retain fifty (50) years or until notification of applicant's death, then destroy.

Proposed retention: Retain until five (5) years after date of last action, then destroy. If apprenticeship includes complaints, retain until fifty (50) years after date of last action or until notification of applicant's death, then destroy.

Rationale: Proposed retention clarifies retention trigger and matches current workflow.

- **Series 01087, Apprenticeship Registration – Embalmers and Funeral Directors (V)**

Current retention: After successful completion of apprenticeship and board test, retain apprentice application, apprentice complaints, and test dates, and transfer to Record Series 05931, Funeral Directors and Embalmers License Folder. Destroy balance of files. For apprentices who have successfully completed apprenticeship but not successfully completed testing, retain in Agency fifty (50) years after successful completion of apprenticeship or until notification of apprentice's death, then destroy.

Proposed retention: After successful completion of apprenticeship and board test, retain apprentice application, apprentice complaints, and test dates, and transfer to Series 05931, Funeral Directors and Embalmers License Folder and destroy balance of file. For apprentices who have successfully completed apprenticeship but not successfully completed testing, retain until fifty (50) years after successful completion of apprenticeship or until notification of apprentice's death, then destroy.

Rationale: Proposed retention clarifies retention trigger and matches current workflow.

- **Series 01089, Examination Folders**

Current retention: Retain in Agency two (2) years after date of successful examination and destroy. Transfer incomplete or failed examinations to Record Series 01087, Apprenticeship Registration - Embalmers and Funeral Directors.

Proposed retention: After successful examination, transfer records to Series 05931, Funeral Directors and Embalmers License File. Transfer incomplete or failed examinations to Series 01087, Apprenticeship Registration - Embalmers and Funeral Directors.

Rationale: Proposed retention clarifies retention trigger and matches current workflow.

- **Series 05631, Continuing Education Provider Approval File**

Current retention: Retain in Agency two (2) years and destroy all except roster list after the end of the fiscal year in which the provider application was submitted. Retain roster list for five (5) years from creation of record, then destroy.

Proposed retention: Retain attendance and compliance packet until four (4) years after compliance period expiration, then destroy.

Rationale: Proposed retention clarifies retention length and matches current workflow.

- **Series 05928, Continuing Education Credit File (V)**

Current retention: Retain in Agency and destroy two (2) years after continuing education compliance period.

Proposed retention: Retain until two (2) years after continuing education compliance period, then destroy.

Rationale: Proposed retention condenses current retention language.

- **Series 05929, Funeral Establishment License File (V)**

Current retention: Retain permanently in Agency.

Proposed retention: Retain permanently.

Rationale: Proposed retention condenses current retention language.

- **Series 05931, Funeral Directors and Embalmers License Folder (V)**

Current retention: Retain active licensees permanently in Agency. Transfer inactive licensees to State Records Center for permanent retention.

Proposed retention: Retain permanently.

Rationale: Proposed retention condenses current retention language.

- **Series 05932, Courtesy Card File**

Current retention: Retain in Agency and destroy two (2) years from date the courtesy card was issued.

Proposed retention: Retain until two (2) years after date the courtesy card was issued, then destroy.

Rationale: Proposed retention condenses current retention language.

- **Series 05933, Administrative Hearings**

Current retention: Retain permanently in Agency.

Proposed retention: Retain permanently.

Rationale: Proposed retention condenses current retention language.

**Archives and Records Management Division
Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Embalmers and Funeral Directors, Board of

**Record Group
Number
1000**

Series	Records Title and Description	Function and Use
01080	License Holders List	This series documents a list of the most current licensed embalmers, funeral directors, and funeral establishments in the Commonwealth of Kentucky pursuant to the requirements of KRS Chapter 316 and the regulations promulgated thereto.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Series May Contain	License type, license number, name, employer, business address, business contact information, funeral home names, embalmer manager, funeral director manager, related correspondence.
	Retention and Disposition	Retain until ninety (90) days after date of creation, then destroy.
01081	Complaints and Investigation Folders	This series documents complaints filed with the Board of Embalmers & Funeral Directors (The Board) alleging an embalmer, funeral director, funeral establishment, apprentice, courtesy card holder, or surface transportation and removal permit holder has violated provisions of KRS Chapter 316 and also includes the investigation of the alleged complaints. Pursuant to 201 KAR 15:080, the complaint must be in writing to the Board and must be signed by the person making the complaint. A copy is sent to the respondent who can file a written response to the Board within twenty (20) days of receipt of the notice of the complaint. The Board may assign a fellow board member to investigate the facts alleged in the complaint and submit a report to the Board. The complaint and conclusion of the investigation is placed in the in the file.
	Access Restrictions	KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Written complaint that includes name, address, phone number of person making complaint; name of respondent; allegation; name and address of funeral home; response by respondent; name of investigator assigned; conclusion of investigation whether unfounded or referred to the Board of Embalmers and Funeral Directors for disciplinary action, related correspondence.
	Retention and Disposition	Retain until ten (10) years after conclusion of investigation, then destroy. If complaint is founded and disciplinary action results, transfer to Series 05933, Administrative Hearings.
01085	Incomplete/Unsuccessful Apprenticeship Registration and Unaccompanied Transcripts/Board Scores	This series documents incomplete and unsuccessful apprenticeships by persons applying for funeral director and/or embalmer per the requirements of KRS Chapter 316. It also documents unaccompanied transcripts and board scores from applicants who have not pursued a Kentucky license but have had these docume automatically sent to the Board.
	Access Restrictions	KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Application with name, address, date of birth, social security number of applicant; information of funeral establishment of apprenticeship; receipt of paid fees; criminal conviction(s); transcripts; board scores; sworn statements; supervisors name; complaints, related correspondence.
	Retention and Disposition	Retain until five (5) years after date of last action, then destroy. If apprenticeship includes complaints, retain until fifty (50) years after date of last action or until notification of applicants death, then destroy.

**Archives and Records Management Division
Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Embalmers and Funeral Directors, Board of

**Record Group
Number
1000**

Series	Records Title and Description	Function and Use
01087	Apprenticeship Registration - Embalmers and Funeral Directors (V)	This series documents applicants who have registered with the Board of Embalmers and Funeral Directors to serve an apprenticeship under the supervision of a Kentucky licensed embalmer or funeral director. The Board of Embalmers and Funeral Directors staff use this record to ensure the apprentice is completing the requirements in a timely manner as provided in KRS Chapter 316 and the regulations promulgated thereto.
	Access Restrictions	KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Name of apprentice applicant, name and address of supervising embalmer or funeral director, date summary work reports submitted, date book/article report submitted, date of successful completion of apprenticeship, scheduled date of examination for license, level 2 application form, related correspondence.
	Retention and Disposition	After successful completion of apprenticeship and board test, retain apprentice application, apprentice complaints, and test dates, and transfer to Series 05931, Funeral Directors and Embalmers License Folder and destroy balance of file. For apprentices who have successfully completed apprenticeship but not successfully completed testing, retain until fifty (50) years after successful completion of apprenticeship or until notification of apprentices death, then destroy.
01089	Examination Folders	This series documents an applicants questions and answers to an examination for a license to practice embalming and/or funeral directing in the Commonwealth of Kentucky pursuant to 201 KAR 15:040. 201 KAR 15:040 Section 2 (2) states "all written questions for the embalmers and funeral directors examinations are the property of the Board and applicants shall return the questions to the Board with their answers." An applicant must obtain a proficiency of seventy-five (75) percent to make a passing grade.
	Access Restrictions	KRS 61.878 (1)(a) - personal information; KRS 61.878 (1)(g) - examination data. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Name; address; date of birth; social security number; test booklet number, questions, and answers; score; related correspondence.
	Retention and Disposition	After successful examination, transfer records to Series 05931, Funeral Directors and Embalmers License File. Transfer incomplete or failed examinations to Series 01087, Apprenticeship Registration - Embalmers and Funeral Directors.
05631	Continuing Education Provider Approval File	This series documents the approval of providers for continuing education of licensed Embalmers and Funeral Home Directors. Providers, also called "sponsors," may apply for approval at any monthly Board meeting and must apply not less than 30 days prior to the intended start date of the training. Approved trainings may begin at any point during the year but all approvals expire on June 30th. Training may be in classroom settings, through correspondence, and online. The same course of training may be reapproved each year, or a sponsor may offer a new program each year. Significant changes in a training program made after Board approval must also be approved by the Board. Licensees pay for the training themselves; the Board does not reimburse licensees or sponsors for continuing education training.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Request for approval form, training program information, attached program schedule and outline, attendance, compliance packet, information on the instructors, evaluation checklists utilized by Board members, course catalogs, instructor biographies, general information about sponsors and other related trainings, roster list, related correspondence.
	Retention and Disposition	Retain attendance and compliance packet until four (4) years after compliance period expiration, then destroy. Destroy balance of file yearly after approval expiration date.

**Archives and Records Management Division
Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Embalmers and Funeral Directors, Board of

**Record Group
Number
1000**

Series	Records Title and Description	Function and Use
05928	Continuing Education Credit File (V)	This series documents the continuing education credits of licensed embalmers and funeral directors in the Commonwealth of Kentucky as required for renewal of license. KRS 316.130 requires, prior to the annual renewal of the license, the embalmer or funeral director complete a minimum of twelve (12) hours every two years in a continuing education program or a Board-approved program. The Board of Embalmers and Funeral Directors may grant an exemption to the continuing education requirement if the applicant demonstrates that meeting the continuing education requirements of this statute would create an undue hardship because of a disability, illness or other mitigating circumstances, or if the applicant is seventy (70) years of age or older and is not actively involved in embalming or funeral directing.
	Access Restrictions	KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Name and license number of applicant for renewal, address, phone and fax numbers, request for exemption, Board recommendation, class title, class date, credit hours, class location, class instructor, related correspondence.
	Retention and Disposition	Retain until two (2) years after continuing education compliance period, then destroy.
05929	Funeral Establishment License File (V)	This series documents the licensed funeral establishments in the Commonwealth of Kentucky pursuant to provisions stated in KRS Chapter 316. 201 KAR 15:110 mandates the minimum requirements for the licensing and operation of a funeral establishment, including the chapel, preparation room and viewing area, visitation and ceremonial funeral service establishment, embalming service establishment, full service funeral establishment, establishment supervisor, the transfer of ownership; opening of an establishment, advertising and signage and publication of obituaries. Funeral establishments are required to renew licenses annually by paying the annually renewal fee equal to the establishment license fee.
	Access Restrictions	KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Name and address of funeral establishment; phone and fax numbers; type of establishment; License number; stockholders names, if applicable; amount of fee; name and license number of funeral director; name and license number of embalmer; name and license number of supervisor of establishment.
	Retention and Disposition	Retain permanently.
05931	Funeral Directors and Embalmers License Folder (V)	This series documents that a person has met all the requirements to receive a license to practice embalming and/or funeral directing in the Commonwealth of Kentucky pursuant to KRS Chapter 316. There are different requirements for an embalmers license and a funeral directors license and are issued separately. An individual may be licensed as only an embalmer or funeral director but could have a license for both.
	Access Restrictions	KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Applicant name and address; funeral establishment name, address, phone, and fax numbers; application(s) for Embalmers and/or Funeral Directors license; license renewals; formal education history; proof of continuing education credits; proof of completed apprenticeship, including application, test date, and complaints; related correspondence; photograph; open records requests; final orders from Series 01081, Complaints and Investigation Folders and from Series 05933, Administrative Hearings.
	Retention and Disposition	Retain permanently.

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General Government
Embalmers and Funeral Directors, Board of

**Record Group
Number
1000**

Series	Records Title and Description	Function and Use
05932	Courtesy Card File	<p>This series documents courtesy cards issued to licensed out-of-state embalmers or funeral directors. Kentucky must have a reciprocal agreement in place with the state or federal district. Per KRS 316.140, the Board of Embalmers and Funeral Directors may issue an annual courtesy card after application and payment of the fee as prescribed by law. The courtesy card holder is permitted to remove and transport unembalmed and embalmed dead human bodies to and from Kentucky to the state or states where the courtesy card holder is licensed as a funeral director; prepare and complete sections of the death certificate and other disposition permits needed for the disposition of deceased human remains, without the assistance of, or being under the supervision of, an embalmer or funeral director licensed in Kentucky, and supervise and conduct funeral ceremonies in Kentucky without the assistance of a Kentucky licensed funeral director. The courtesy card holder is not permitted to open or operate a place of business for the purpose of conducting funerals or embalming bodies or maintain an office in Kentucky.</p> <p>Access Restrictions KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.</p> <p>Series May Contain Applicant name, address, social security number, license number; funeral establishment name, address, and license number; copy of out-of-state license; explanation of the need for a Kentucky license; amount of paid fees; application; state verification; proof of fee payment; complaints; related correspondence.</p> <p>Retention and Disposition Retain until two (2) years after date the courtesy card was issued, then destroy.</p>
05933	Administrative Hearings	<p>This series documents administrative hearings conducted by the Board of Embalmers and Funeral Directors. Per KRS 316.155, the Board shall before revoking, suspending, or imposing probationary conditions on any license or registration or before issuing a written reprimand or imposing a fine, conduct a hearing in accordance with KRS Chapter 13B. Also an applicant whose application for an apprentice license has been denied may submit a written request for a hearing within thirty (30) days of the mailing of Boards letter of denial. Any Final Order may be appealed to Franklin Circuit Court.</p> <p>Access Restrictions KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.</p> <p>Series May Contain Complaints or violations of KRS Chapter 316 and 201 KAR 15 against an individual; legal documents; related correspondence; requests for a hearing; Final Orders; appeals to Franklin Circuit Court.</p> <p>Retention and Disposition Retain permanently.</p>
07080	Surface Transportation & Removal File	<p>This series documents the application file for a permit to removal and/or transport dead human bodies as an employee of a Kentucky-licensed full service or embalming service establishment, except a common carrier engaged in interstate commerce, the Commonwealth and its agencies, or an emergency medical services provider duly certified or licensed pursuant to KRS 311A, who wants to engage in surface transportation or removal of dead human bodies in the Commonwealth. This permit is for the sole purpose of being allowed to provide transportation of dead human bodies. Applicants must complete a course in ethics and confidentiality, as well as an annual bloodborne pathogens training and provide proof of insurance on the removal vehicle.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Series May Contain Name, Social Security Number, supervisor name and license number, establishment(s) worked for, criminal background report, photo, training certificates, proof of insurance on removal vehicle, copy of driver's license, course examination, related correspondence.</p> <p>Retention and Disposition After successful completion of course, retain initial application and renewal application(s) permanently. Retain additional records and test(s) until five (5) years after initial application, then destroy. For applicants who become license holders, transfer initial application and first and last page of renewals to series 05391, Funeral Directors and Embalmers License File, then destroy balance of file.</p>

**Archives and Records Management Division
Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Embalmers and Funeral Directors, Board of

**Record Group
Number
1000**

Series	Records Title and Description	Function and Use
07081	Reciprocal Examination Application	This series documents applications from a person licensed as a funeral director and/or embalmer in another state who wishes to obtain a funeral director and/or embalmer license in Kentucky. This person must have met the same or similar requirements for a license as the standards set in KRS 316.030 prior to application and is required to sit for examination as required by 201 KAR 15:040.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Applicant name, address, social security number, license number, funeral establishment name, address and license number, copy of out-of-state license verification, GED or high school diploma or transcript, formal education transcripts, scores from other examinations, photograph, criminal background report, related correspondence.
	Retention and Disposition	After successful completion of examination, transfer to Series 05931, Funeral Directors and Embalmers License File. For incomplete applications, retain until one (1) year after date of examination, then destroy; for examination failure, retain permanently.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	1000	2. SERIES NO.	07080
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Embalmers and Funeral Directors, Board of		
5. PHYSICAL CUSTODIAN	Embalmers and Funeral Directors, Board of		
COMPILER	Taylor Metzger 502.564.1703	DATE	12-23-2025
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Surface Transportation & Removal File		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original/Duplicate		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	None		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Alpha Numerical. Three digit month, two digit year, dash, numeric; ex. MAR23-323		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 2018 to Present	State Records Center	State Archivists
15. VOLUME:			
16. ANNUAL ACCUMULATION	(Cu. Ft.)		
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
	1st Year	2nd Year	3-5 Years
			More than 5 Years
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents the application file for a permit to removal and/or transport dead human bodies as an employee of a Kentucky-licensed full service or embalming service establishment, except a common carrier engaged in interstate commerce, the Commonwealth and its agencies, or an emergency medical services provider duly certified or licensed pursuant to KRS 311A, who wants to engage in surface transportation or removal of dead human bodies in the Commonwealth. This permit is for the sole purpose of being allowed to provide transportation of dead human bodies. Applicants must complete a course in ethics and confidentiality, as well as an annual bloodborne pathogens training and provide proof of insurance on the removal vehicle.		

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	1000	2. SERIES NO.	07081
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Embalmers and Funeral Directors, Board of		
5. PHYSICAL CUSTODIAN	Embalmers and Funeral Directors, Board of		
COMPILER	Taylor Metzger 502.564.1703	DATE	12-23-2025
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Reciprocal Examination Application		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original/Duplicate		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	None		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Numerical. Ex. 1234		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency	State Records Center	State Archivists
15. VOLUME:	2018 to present		
16. ANNUAL ACCUMULATION	(Cu. Ft.)		
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
	1st Year	2nd Year	3-5 Years
			More than 5 Years
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents applications from a person licensed as a funeral director and/or embalmer in another state who wishes to obtain a funeral director and/or embalmer license in Kentucky. This person must have met the same or similar requirements for a license as the standards set in KRS 316.030 prior to application and is required to sit for examination as required by 201 KAR 15:040.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Applicant name, address, social security number, license number, funeral establishment name, address and license number, copy of out-of-state license verification, GED or high school diploma or transcript, formal education transcripts, scores from other examinations, photograph, criminal background report, related correspondence.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

Series 05931, Funeral Directors and Embalmers License Folder (V)

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

<input type="checkbox"/> Y	Administrative Retention Value	Indefinite
	Legal Retention Value	
	Fiscal Retention Value	
	Research Retention Value	
	Intrinsic Retention Value	
	Historic Retention Value	

30. RATIONALE FOR RETENTION

This series has primary administrative value because it documents the reciprocal examination and license process for out-of-state individuals to become a licensed Embalmer or Funeral Director in the Commonwealth of Kentucky.

32. DISPOSITION INSTRUCTIONS

After successful completion of examination, transfer to Series 05931, Funeral Directors and Embalmers License File. For incomplete applications, retain until one (1) year after date of examination, then destroy; for examination failure, retain permanently.

Records Analyst Signature

Taylor Metzger

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	1000	2. SERIES NO.	01080
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Embalmers and Funeral Directors, Board of		
5. PHYSICAL CUSTODIAN	Embalmers and Funeral Directors, Board of		
COMPILER	Taylor Metzger 502.564.1703	DATE	12-31-2025
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	License Holders List		
7. VARIANT TITLE	License Directory		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Electronic		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Alpha by name		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 2015 to Present	State Records Center	State Archivists
15. VOLUME:	3 MB		
16. ANNUAL ACCUMULATION	(Cu. Ft.) < 1 MB		
17. REFERENCE RATE	(Number of times you use each year's accumulation) 1st Year Daily 2nd Year Daily 3-5 Years Daily More than 5 Years Daily		
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents a list of the most current licensed embalmers, funeral directors, and funeral establishments in the Commonwealth of Kentucky pursuant to the requirements of KRS Chapter 316 and the regulations promulgated thereto.		

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

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Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	1000	2. SERIES NO.	01081
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Embalmers and Funeral Directors, Board of		
5. PHYSICAL CUSTODIAN	Embalmers and Funeral Directors, Board of		
COMPILER	Taylor Metzger 502.564.1703	DATE	01-05-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Complaints and Investigation Folders		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Alpha by name		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 1939 to Present	State Records Center	State Archivists
15. VOLUME:	6 cf		
16. ANNUAL ACCUMULATION	(Cu. Ft.) < 1cf		
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
	1st Year 12	2nd Year 12	3-5 Years 12 More than 5 Years 12
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents complaints filed with the Board of Embalmers & Funeral Directors (The Board) alleging an embalmer, funeral director, funeral establishment, apprentice, courtesy card holder, or surface transportation and removal permit holder has violated provisions of KRS Chapter 316 and also includes the investigation of the alleged complaints. Pursuant to 201 KAR 15:080, the complaint must be in writing to the Board and must be signed by the person making the complaint. A copy is sent to the respondent who can file a written response to the Board within twenty (20) days of receipt of the notice of the complaint. The Board may assign a fellow board member to investigate the facts alleged in the complaint and submit a report to the Board. The complaint and conclusion of the investigation is placed in the in the file.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Written complaint that includes name, address, phone number of person making complaint; name of respondent; allegation; name and address of funeral home; response by respondent; name of investigator assigned; conclusion of investigation whether unfounded or referred to the Board of Embalmers and Funeral Directors for disciplinary action, related correspondence.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

Series 05933, Administrative Hearings

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

<input type="checkbox"/> Y	Administrative Retention Value	10	Years	after conclusion of investigation, then destroy.
	Legal Retention Value			
	Fiscal Retention Value			
	Research Retention Value			
	Intrinsic Retention Value			
	Historic Retention Value			

30. RATIONALE FOR RETENTION

This series has administrative value as it documents complaints of violations of KRS Chapter 316 by embalmers and funeral directors and actions taken by the Board.

32. DISPOSITION INSTRUCTIONS

Retain until ten (10) years after conclusion of investigation, then destroy. If complaint is founded and disciplinary action results, transfer to Series 05933, Administrative Hearings.

Records Analyst Signature

Taylor Metzger

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	1000	2. SERIES NO.	01085
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Embalmers and Funeral Directors, Board of		
5. PHYSICAL CUSTODIAN	Embalmers and Funeral Directors, Board of		
COMPILER	Taylor Metzger 502.564.1703	DATE	01-05-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Incomplete/Unsuccessful Apprenticeship Registration and Unaccompanied Transcripts/Board Scores		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Alpha by name		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 1939 to Present	State Records Center	State Archivists
15. VOLUME:	2.5 CF		
16. ANNUAL ACCUMULATION	(Cu. Ft.) < 1 CF		
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
	1st Year 25	2nd Year 10	3-5 Years <5 More than 5 Years NA
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents incomplete and unsuccessful apprenticeships by persons applying for funeral director and/or embalmer per the requirements of KRS Chapter 316. It also documents unaccompanied transcripts and board scores from applicants who have not pursued a Kentucky license but have had these documents automatically sent to the Board.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Application with name, address, date of birth, social security number of applicant; information of funeral establishment of apprenticeship; receipt of paid fees; criminal conviction(s); transcripts; board scores; sworn statements; supervisors name; complaints, related correspondence.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

N/A

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

Y Administrative Retention Value 5 Years
Legal Retention Value
Fiscal Retention Value
Research Retention Value
Intrinsic Retention Value
Historic Retention Value

30. RATIONALE FOR RETENTION

This series has administrative value as it documents incomplete and unsuccessful apprenticeships.

32. DISPOSITION INSTRUCTIONS

Retain until five (5) years after date of last action, then destroy. If apprenticeship includes complaints, retain until fifty (50) years after date of last action or until notification of applicants death, then destroy.

Records Analyst Signature

Taylor Metzger

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	1000	2. SERIES NO.	01087
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Embalmers and Funeral Directors, Board of		
5. PHYSICAL CUSTODIAN	Embalmers and Funeral Directors, Board of		
COMPILER	Taylor Metzger 502.564.1703	DATE	01-05-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Apprenticeship Registration - Embalmers and Funeral Directors		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Alpha by name		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 1939 to Present	State Records Center	State Archivists
15. VOLUME:	3 CF		
16. ANNUAL ACCUMULATION	(Cu. Ft.) <1 CF		
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
	1st Year Daily	2nd Year 20	3-5 Years 2 More than 5 Years NA
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents applicants who have registered with the Board of Embalmers and Funeral Directors (The Board) to serve an apprenticeship under the supervision of a Kentucky licensed embalmer or funeral director. The Board staff use this record to ensure the apprentice is completing the requirements in a timely manner as provided in KRS Chapter 316 and the regulations promulgated thereto.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Name of apprentice applicant, name and address of supervising embalmer or funeral director, date summary work reports submitted, date book/article report submitted, date of successful completion of apprenticeship, scheduled date of examination for license, level 2 application form, related correspondence.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

Series 05931, Funeral Directors and Embalmers License Folder

22. VITAL RECORD? **23. If Yes, VITAL RETENTION PERIOD** Indefinite Successful completion of apprenticeship

24. VITAL RECORDS PROTECTION INSTRUCTIONS

N/A

25. ACCESS RESTRICTIONS?

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT?

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT?

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

Administrative Retention Value Indefinite
Legal Retention Value
Fiscal Retention Value
Research Retention Value
Intrinsic Retention Value
Historic Retention Value

30. RATIONALE FOR RETENTION

This series has primary administrative value as it provides proof of apprenticeship.

32. DISPOSITION INSTRUCTIONS

After successful completion of apprenticeship and board test, retain apprentice application, apprentice complaints, and test dates, and transfer to Series 05931, Funeral Directors and Embalmers License Folder and destroy balance of file. For apprentices who have successfully completed apprenticeship but not successfully completed testing, retain until fifty (50) years after successful completion of apprenticeship or until notification of apprentices death, then destroy.

Records Analyst Signature

Taylor Metzger

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	1000	2. SERIES NO.	01089
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Embalmers and Funeral Directors, Board of		
5. PHYSICAL CUSTODIAN	Embalmers and Funeral Directors, Board of		
COMPILER	Taylor Metzger 502.564.1703	DATE	01-05-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Examination Folders		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Alpha by name		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 1939 to present	State Records Center	State Archivists
15. VOLUME:	10cf		
16. ANNUAL ACCUMULATION	(Cu. Ft.) 3cf		
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
	1st Year 1	2nd Year 1	3-5 Years 0 More than 5 Years 0
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents an applicants questions and answers to an examination for a license to practice embalming and/or funeral directing in the Commonwealth of Kentucky pursuant to 201 KAR 15:040. 201 KAR 15:040 Section 3 states "all written questions for the embalmers and funeral directors examinations are the property of the Board and applicants shall return the questions to the Board with their answers." An applicant must obtain a proficiency of seventy-five (75) percent to make a passing grade.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Name; address; date of birth; social security number; test booklet number, questions, and answers; score; related correspondence.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

Series 05931, Funeral Directors and Embalmers License Folder (V) - for successful examinations Series 01087, Apprenticeship Registrations - Embalmers and Funeral Directors (V) - for incomplete or failed examinations

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 61.878 (1)(a) - personal information; KRS 61.878 (1)(g) - examination data. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

<input type="checkbox"/> Y	Administrative Retention Value	Indefinite
	Legal Retention Value	
	Fiscal Retention Value	
	Research Retention Value	
	Intrinsic Retention Value	
	Historic Retention Value	

30. RATIONALE FOR RETENTION

This series has administrative value as documents an applicants score on an examination to practice embalming and/or funeral directing in the Commonwealth of Kentucky.

32. DISPOSITION INSTRUCTIONS

After successful examination, transfer records to Series 05931, Funeral Directors and Embalmers License File. Transfer incomplete or failed examinations to Series 01087, Apprenticeship Registration - Embalmers and Funeral Directors.

Records Analyst Signature

Taylor Metzger

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	1000	2. SERIES NO.	05631
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Embalmers and Funeral Directors, Board of		
5. PHYSICAL CUSTODIAN	Embalmers and Funeral Directors, Board of		
COMPILER	Taylor Metzger 502.564.1703	DATE	01-05-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Continuing Education Provider Approval File		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Reverse chronologically, then alphabetically by name		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 1994 to present	State Records Center	State Archivists
15. VOLUME:	12 cu. Ft.		
16. ANNUAL ACCUMULATION	(Cu. Ft.)	1 cu. ft.	
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
	1st Year 12	2nd Year 12	3-5 Years 0 More than 5 Years 0
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents the approval of providers for continuing education of licensed Embalmers and Funeral Home Directors. Providers, also called "sponsors," may apply for approval at any monthly Board meeting and must apply not less than 30 days prior to the intended start date of the training. Approved trainings may begin at any point during the year but all approvals expire on June 30th. Training may be in classroom settings, through correspondence, and online. The same course of training may be reapproved each year, or a sponsor may offer a new program each year. Significant changes in a training program made after Board approval must also be approved by the Board. Licensees pay for the training themselves; the Board does not reimburse licensees or sponsors for continuing education training.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Request for approval form, training program information, attached program schedule and outline, attendance, compliance packet, information on the instructors, evaluation checklists utilized by Board members, course catalogs, instructor biographies, general information about sponsors and other related trainings, roster list, related correspondence.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

Board minutes (M0008) indicate the sponsor, program title and number of hours of credit to be provided for approved training programs.

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? Y

If Yes, cite statute and length of retention period required

KRS 316.132(9) (2 years)

ANALYSIS

29. APPRAISAL CRITERIA

<input type="checkbox"/> Y	Administrative Retention Value	4	Years
<input type="checkbox"/> Y	Legal Retention Value	2	Years
	Fiscal Retention Value		
	Research Retention Value		
	Intrinsic Retention Value		
	Historic Retention Value		

30. RATIONALE FOR RETENTION

This series has primary administrative value because it shows which continuing education providers have been approved. It has secondary research value because it allows for informational inquiries and research on related submissions.

32. DISPOSITION INSTRUCTIONS

Retain attendance and compliance packet until four (4) years after compliance period expiration, then destroy. Destroy balance of file yearly after approval expiration date.

Records Analyst Signature

Taylor Metzger

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	1000	2. SERIES NO.	05928
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Embalmers and Funeral Directors, Board of		
5. PHYSICAL CUSTODIAN	Embalmers and Funeral Directors, Board of		
COMPILER	Taylor Metzger 502.564.1703	DATE	01-05-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Continuing Education Credit File		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper Electronic		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Chronological by license number		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 1942 to Present	State Records Center	State Archivists
15. VOLUME:	20 CF		
16. ANNUAL ACCUMULATION	(Cu. Ft.)	2 CF	
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
	1st Year 50	2nd Year 15	3-5 Years <5 More than 5 Years
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents the continuing education credits of licensed embalmers and funeral directors in the Commonwealth of Kentucky as required for renewal of license. KRS 316.130 requires, prior to the annual renewal of the license, the embalmer or funeral director complete a minimum of twelve (12) hours every two years in a continuing education program or a Board-approved program. The Board of Embalmers and Funeral Directors may grant an exemption to the continuing education requirement if the applicant demonstrates that meeting the continuing education requirements of this statute would create an undue hardship because of a disability, illness or other mitigating circumstances, or if the applicant is seventy (70) years of age or older and is not actively involved in embalming or funeral directing.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Name and license number of applicant for renewal, address, phone and fax numbers, request for exemption, Board recommendation, class title, class date, credit hours, class location, class instructor, related correspondence.

20. INPUT RECORDS (What records flow into or provide information to create this record?)
N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)
N/A

22. VITAL RECORD? **23. If Yes, VITAL RETENTION PERIOD** 2 Years

24. VITAL RECORDS PROTECTION INSTRUCTIONS
N/A

25. ACCESS RESTRICTIONS?
If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)
Confidential: KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT?
If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT?
If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA
 Administrative Retention Value 2 Years
Legal Retention Value
Fiscal Retention Value
Research Retention Value
Intrinsic Retention Value
Historic Retention Value

30. RATIONALE FOR RETENTION
This series has administrative value as it documents the continuing education requirements of licensees for renewal of annual license to practice embalming and/or funeral directing in the Commonwealth of Kentucky.

32. DISPOSITION INSTRUCTIONS
Retain until two (2) years after continuing education compliance period, then destroy.

Records Analyst Signature Taylor Metzger **Date**

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	1000	2. SERIES NO.	05929
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Embalmers and Funeral Directors, Board of		
5. PHYSICAL CUSTODIAN	Embalmers and Funeral Directors, Board of		
COMPILER	Taylor Metzger 502.564.1703	DATE	01-05-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Funeral Establishment License File		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper Electronic		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Alphabetical by establishment name		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 1939 to Present	State Records Center	State Archivists
15. VOLUME:	20 CF		
16. ANNUAL ACCUMULATION	(Cu. Ft.) 2 CF		
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
	1st Year 500	2nd Year 250	3-5 Years 100 More than 5 Years 50
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents the licensed funeral establishments in the Commonwealth of Kentucky pursuant to provisions stated in KRS Chapter 316. 201 KAR 15:110 mandates the minimum requirements for the licensing and operation of a funeral establishment, including the chapel, preparation room and viewing area, visitation and ceremonial funeral service establishment, embalming service establishment, full service funeral establishment, establishment supervisor, the transfer of ownership; opening of an establishment, advertising and signage and publication of obituaries. Funeral establishments are required to renew licenses annually by paying the annually renewal fee equal to the establishment license fee.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Name and address of funeral establishment; phone and fax numbers; type of establishment; License number; stockholders names, if applicable; amount of fee; name and license number of funeral director; name and license number of embalmer; name and license number of supervisor of establishment.

20. INPUT RECORDS (What records flow into or provide information to create this record?)
N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)
N/A

22. VITAL RECORD? **23. If Yes, VITAL RETENTION PERIOD** Permanent As long as establishment exists

24. VITAL RECORDS PROTECTION INSTRUCTIONS
N/A

25. ACCESS RESTRICTIONS?
If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)
Confidential: KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT?
If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT?
If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA
 Administrative Retention Value Permanent
Legal Retention Value
Fiscal Retention Value
Research Retention Value
Intrinsic Retention Value
Historic Retention Value

30. RATIONALE FOR RETENTION
This series has administrative value as it documents names, locations, names of funeral director and embalmer of funeral establishment and current license status.

32. DISPOSITION INSTRUCTIONS
Retain permanently.

Records Analyst Signature Taylor Metzging **Date**

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	1000	2. SERIES NO.	05931
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Embalmers and Funeral Directors, Board of		
5. PHYSICAL CUSTODIAN	Embalmers and Funeral Directors, Board of		
COMPILER	Taylor Metzger 502.564.1703	DATE	01-05-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Funeral Directors and Embalmers License Folder		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper Electronic		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Alpha by name		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 1939 to Present	State Records Center	State Archivists
15. VOLUME:	100 CF		
16. ANNUAL ACCUMULATION	(Cu. Ft.) 5 CF		
17. REFERENCE RATE	(Number of times you use each year's accumulation) 1st Year Daily 2nd Year Daily 3-5 Years Daily More than 5 Years Daily		
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents that a person has met all the requirements to receive a license to practice embalming and/or funeral directing in the Commonwealth of Kentucky pursuant to KRS Chapter 316. There are different requirements for an embalmers license and a funeral directors license and are issued separately. An individual may be licensed as only an embalmer or funeral director but could have a license for both.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Applicant name and address; funeral establishment name, address, phone, and fax numbers; application(s) for Embalmers and/or Funeral Directors license; license renewals; formal education history; proof of continuing education credits; proof of completed apprenticeship, including application, test date, and complaints; related correspondence; photograph; open records requests; final orders from Series 01081, Complaints and Investigation Folders and from Series 05933, Administrative Hearings.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

Series 01087, Apprenticeship Registration - Embalmers and Funeral Directors (V) Series 01089, Examination Folders Series 01081, Complaints and Investigation Folders - final orders Series 05933, Administrative Hearings

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

N/A

22. VITAL RECORD? **23. If Yes, VITAL RETENTION PERIOD** Permanent Duration of active license

24. VITAL RECORDS PROTECTION INSTRUCTIONS

N/A

25. ACCESS RESTRICTIONS?

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT?

If Yes, list AUDITING AGENCY (Federal, State, Internal) Internal

27. AUDIT RETENTION REQUIREMENT Indefinite

28. LEGAL RETENTION REQUIREMENT?

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

<input checked="" type="checkbox"/>	Administrative Retention Value	Permanent
	Legal Retention Value	
	Fiscal Retention Value	
	Research Retention Value	
	Intrinsic Retention Value	
<input checked="" type="checkbox"/>	Historic Retention Value	Permanent

30. RATIONALE FOR RETENTION

This series has primary administrative value as it documents all individuals licensed in the Commonwealth of Kentucky to practice embalming or funeral directing or in both capacities. The series has secondary research value as it provides demographic data.

32. DISPOSITION INSTRUCTIONS

Retain permanently.

Records Analyst Signature

Taylor Metzger

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	1000	2. SERIES NO.	05932
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Embalmers and Funeral Directors, Board of		
5. PHYSICAL CUSTODIAN	Embalmers and Funeral Directors, Board of		
COMPILER	Taylor Metzger 502.564.1703	DATE	01-05-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Courtesy Card File		
7. VARIANT TITLE	Out of State Cards		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) State the License is issued		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Chronological by year, then alpha by name		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 1942 to Present	State Records Center	State Archivists
15. VOLUME:	5 CF		
16. ANNUAL ACCUMULATION	(Cu. Ft.) < 1 CF		
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
1st Year	20	2nd Year	1
		3-5 Years	0
		More than 5 Years	0

18. FUNCTION AND USE (For what purpose is/was record created? What activity, process or transaction does it document?)

This series documents courtesy cards issued to licensed out-of-state embalmers or funeral directors. Kentucky must have a reciprocal agreement in place with the state or federal district. Per KRS 316.140, the Board of Embalmers and Funeral Directors may issue an annual courtesy card after application and payment of the fee as prescribed by law. The courtesy card holder is permitted to remove and transport unembalmed and embalmed dead human bodies to and from Kentucky to the state or states where the courtesy card holder is licensed as a funeral director; prepare and complete sections of the death certificate and other disposition permits needed for the disposition of deceased human remains, without the assistance of, or being under the supervision of, an embalmer or funeral director licensed in Kentucky, and supervise and conduct funeral ceremonies in Kentucky without the assistance of a Kentucky licensed funeral director. The courtesy card holder is not permitted to open or operate a place of business for the purpose of conducting funerals or embalming bodies or maintain an office in Kentucky.

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Applicant name, address, social security number, license number; funeral establishment name, address, and license number; copy of out-of-state license; explanation of the need for a Kentucky license; amount of paid fees; application; state verification; proof of fee payment; complaints; related correspondence.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

N/A

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

Y Administrative Retention Value 2 Years
Legal Retention Value
Fiscal Retention Value
Research Retention Value
Intrinsic Retention Value
Historic Retention Value

30. RATIONALE FOR RETENTION

This series has administrative value as it documents the courtesy cards issued to licensed embalmers and/or funeral directors from another state.

32. DISPOSITION INSTRUCTIONS

Retain until two (2) years after date the courtesy card was issued, then destroy.

Records Analyst Signature

Taylor Metzger

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	1000	2. SERIES NO.	05933
3. ORIGINATING AGENCY	General Government		
4. ADMINISTRATIVE UNIT	Embalmers and Funeral Directors, Board of		
5. PHYSICAL CUSTODIAN	Embalmers and Funeral Directors, Board of		
COMPILER	Taylor Metzger 502.564.1703	DATE	01-05-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Administrative Hearings		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Chronological by year then alpha by name		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 1939 to Present	State Records Center	State Archivists
15. VOLUME:	20 CF		
16. ANNUAL ACCUMULATION	(Cu. Ft.) 1 CF		
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
	1st Year 20	2nd Year 15	3-5 Years 10 More than 5 Years 10
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents administrative hearings conducted by the Board of Embalmers and Funeral Directors. Per KRS 316.155, the Board shall before revoking, suspending, or imposing probationary conditions on any license or registration or before issuing a written reprimand or imposing a fine, conduct a hearing in accordance with KRS Chapter 13B. Also an applicant whose application for an apprentice license has been denied may submit a written request for a hearing within thirty (30) days of the mailing of Boards letter of denial. Any Final Order may be appealed to Franklin Circuit Court.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Complaints or violations of KRS Chapter 316 and 201 KAR 15 against an individual; legal documents; related correspondence; requests for a hearing; Final Orders; appeals to Franklin Circuit Court.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

Series 01081, Complaints and Investigation Folders

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

Series 05931, Funeral Directors and Embalmers License Folder (V) - Final Action

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

<input checked="" type="checkbox"/> Administrative Retention Value	Permanent
Legal Retention Value	
Fiscal Retention Value	
Research Retention Value	
Intrinsic Retention Value	
Historic Retention Value	

30. RATIONALE FOR RETENTION

This series has administrative value as it documents the legal actions taken by the Board of Embalmers and Funeral Directors.

32. DISPOSITION INSTRUCTIONS

Retain permanently.

Records Analyst Signature

Taylor Metzger

Date