

**NORTH CAROLINA BOARD OF FUNERAL SERVICE**

**PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE**

**ORGANIZATIONAL NAME CHANGE**

An organizational name change to this Program Records Retention and Disposition Schedule is hereby approved. The Program Records Retention and Disposition Schedule reflects an organizational change from the **North Carolina State Board of Mortuary Science** to **North Carolina Board of Funeral Service**. No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in the most recent schedule dated March 31, 1998. 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

**NORTH CAROLINA BOARD OF FUNERAL SERVICE**

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. **Public records including electronic records not listed in this schedule or in the General Schedule for State Agency Records are not authorized to be destroyed.** The

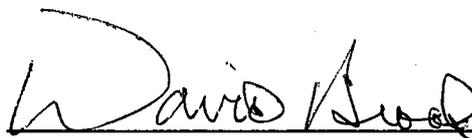
**NORTH CAROLINA BOARD OF FUNERAL SERVICE**

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 This schedule is to remain in effect until superseded.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**



Mark E. Henderson, Executive Director  
North Carolina Board of Funeral Service



David Brook, Acting Director  
Division of Historical Resources

**APPROVED**



Harvey H. Leavitt, III, President  
North Carolina Board of Funeral Service



Lisbeth C. Evans, Secretary  
Department of Cultural Resources

November 21, 2003

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**NORTH CAROLINA STATE BOARD OF MORTUARY SCIENCE**

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

**NORTH CAROLINA STATE BOARD OF MORTUARY SCIENCE**

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.** The

**NORTH CAROLINA STATE BOARD OF MORTUARY SCIENCE**

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**

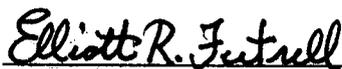


Corrine J. Culbreth, Executive Director  
North Carolina State Board of Mortuary Science



Jeffrey J. Crow, Director  
Division of Archives and History

**APPROVED**



Elliott R. Futrell, President  
North Carolina State Board of Mortuary Science



Betty Ray McCain, Secretary  
Department of Cultural Resources

March 31, 1998

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PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

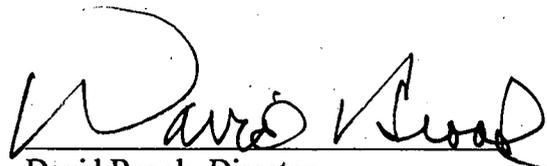
**NORTH CAROLINA BOARD OF FUNERAL SERVICE**

Amend the program records retention and disposition schedule approved March 31, 1998 by changing the disposition instructions for Item 38011 as shown on substitute page dated April 8, 2004.

**APPROVAL RECOMMENDED**

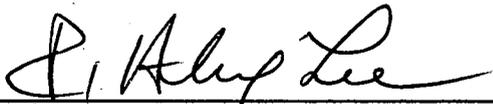


Paul Harris, Executive Director  
North Carolina Board of Funeral Service



David Brook, Director  
Division of Historical Resources

**APPROVED**



P. Alex Lee, President  
North Carolina Board of Funeral Service



Lisbeth C. Evans, Secretary  
Department of Cultural Resources

April 8, 2004

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## **ABOUT THIS RECORDS RETENTION AND DISPOSITION SCHEDULE**

This records disposition schedule lists the records maintained in your office as reported to the Division of Archives and History on the date indicated. It lists all records, whether they are to be destroyed in your office or transferred to the State Records Center, and provides a brief description of each group (following the identification number) and instructions for their legal disposition (following the words "DISPOSITION INSTRUCTIONS"). Records should never be arbitrarily destroyed on the basis of personal opinion but only on the basis of a firm schedule. The disposition instructions contained herein provide that schedule and the legal procedures for records management activities in your agency.

Authority for this schedule, and the disposition instructions therein, is contained in Chapters 121 and 132 of the General Statutes of North Carolina. Compliance with the disposition instructions listed herein will help ensure conformity with these laws and that records of continuing value are retained and those no longer of value are destroyed. Procedures to be followed in applying this schedule are explained in the N.C. Administrative Code, Title 7, Chapter 4, Section 500. Errors and omissions do not invalidate this schedule or render it obsolete. All provisions of this schedule remain in effect until it is officially superseded.

Supervisors or other responsible office personnel, acting through their Records Officers, are requested to notify the Records Services Branch whenever corrections, additions, or deletions in the records schedule should be made. Records Services Branch personnel will then amend this schedule in order to ensure that it remains complete and accurate and is in compliance with federal and state laws and regulations.

The Records Services Branch will provide, upon request, the following assistance to agencies in the maintenance and operation of records schedules: amendment or update of existing schedules; supply and delivery of boxes, tape and labels for records scheduled to be transferred to the State Records Center; pickup of records to be transferred; reference service on records stored in the State Records Center; and advice and technical assistance in solving records management problems. There is no charge for these services.

For questions, please contact  
Laura L. Bost, Records Management Analyst  
Records Services Branch,  
Archives and Records Section, Division of Archives and History  
215 North Blount Street  
919.733.35409 (fax 919.733.3627)  
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**ELECTRONIC MAIL AS A PUBLIC RECORD IN NORTH CAROLINA**  
*Guidelines for Its Retention, Disposition, and Destruction*

Department of Cultural Resources  
Division of Archives and History

The Division of Archives and History assumes that every state agency or other political unit in the state of North Carolina sends and receives electronic mail ("e-mail") or will shortly have the capability of doing so. E-mail (unless it is personal in nature) contains information of value concerning, or evidence of, the administration, management, operations, activities, and business of an office. Like paper records---such as the memoranda, correspondence, reports, and the hundreds of other types of records received traditionally, for example, through interoffice or U.S. mail or other avenues---e-mail has administrative, legal, reference, and/or archival values. *The content of electronic mail is a public record (according to G.S. 121.8 and 132.1) and may not be disposed of, erased, or destroyed without specific guidance from the Department of Cultural Resources.* This regulation, along with a current records retention and disposition schedule, is intended to provide for that guidance.

Accordingly, agencies and their offices which use e-mail should normally retain or destroy e-mail by following the provisions of a current, valid records retention and disposition schedule listing the records maintained by a particular office, filing e-mail (whether in paper or electronic format) within existing records series on their schedules and handling it according to the disposition instructions assigned to each such records series. Because of the characteristics of the medium, however, electronic mail also possesses a dual identity. E-mail is also used to transmit and receive messages which may have reference or administrative value but which are simultaneously of an ephemeral, temporary, or transient nature. As such, e-mail of this kind functions in some ways like telephone calls or telephone messages. Such messages remain public records but may be treated as having a reference or administrative value which ends when the user no longer needs the information such a record contains. E-mail of ephemeral or rapidly diminishing value may be erased or destroyed when the user has determined that its reference value has ended.

Agencies and offices need, however, to pay particular attention to the sometimes complex requirements for the retention of e-mail for longer periods of time, *i.e.* e-mail of more than transient value. E-mail in this category may be retained in electronic or paper form (the latter may in some cases be the only means of providing for archival retention, for example through microfilming of paper copies), but must be retained for as long as the period specified in a valid records schedule. If retained in paper form, the copies must retain transmission and receipt data. If electronic mail is retained in electronic form, office administrators need to insure that their electronic environment (client server, mainframe computer in or outside their agency, or office personal computer) assures the retention of e-mail for the required period of time. Office administrators may need to contact relevant personnel at SIPS (State Information Processing Services), at their own agency computer systems unit, or any other personnel who operate computer units or systems immediately or remotely, to insure that such systems process e-mail in accordance with records retention schedules and provide for backups, disaster recovery, physical and electronic security, and the general integrity of the system, its components, and the records it generates and maintains. Office administrators may also need to assure that office filing systems adequately provide for the proper classification of electronic files (including e-mail) in the same manner as currently provided for paper-based files.

Office administrators, department or unit heads, and all other state employees who use e-mail should regularly and consistently retain or delete e-mail in accord with the records series and disposition instructions, and other instructions, provided above. Retention of e-mail or any other records, whether in electronic or paper format, for longer than provided in a valid records retention and disposition schedule leads to inefficiency and waste and may subject the affected unit to legal vulnerabilities.

**NORTH CAROLINA BOARD OF FUNERAL SERVICE  
ADMINISTRATIVE UNIT**

**Item 21849. NORTH CAROLINA BOARD OF MORTUARY SCIENCE MINUTES FILE.**

Official minutes of regular and special meetings of the North Carolina Board of Mortuary Science.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 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.

**Item 21850. REPORTS FILE.** Annual and special reports of the board.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 10 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.

**Item 21851. ANNUAL EDUCATION SEMINAR FILE.** Records concerning staff coordination of the Annual Education Seminar. File includes correspondence, accommodation reservations, agendas, planning notes, brochures, administrative and financial records, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office financial records when released from all audits. Destroy in office remaining records when administrative value ends.

**Item 21852. HEARINGS AND CHARGES FILE.** Records concerning board investigations and hearings of complaints of alleged violations of statutory and board rules and regulations. File includes correspondence, abstracts of hearings, notifications, and documentation of board and respondent actions.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 10 years after investigation is closed or hearing has terminated. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**Item 21853. LEGAL OPINIONS AND GUIDANCE FILE.** Board correspondence with attorneys representing board.

DISPOSITION INSTRUCTIONS: Transfer correspondence concerning specific incidents resulting in hearings and charges to Hearings and Charges File (Item 21852) when charge is prepared. Destroy in office remaining records when administrative, legal, and reference values end.

**NORTH CAROLINA BOARD OF FUNERAL SERVICE  
ADMINISTRATIVE UNIT**

**Item 21854. EMBALMERS' AND FUNERAL DIRECTORS' BUILDUP FILE.** Records concerning each application for licensure as an embalmer, funeral director, or funeral services director. File includes applications, correspondence, examinations, school records, affidavits, fingerprint cards, traineeship forms, out-of-state applications, verifications of licensure, and other records created during or pertinent to the licensing process. (Comply with applicable provisions of G.S. 115C-402 and 20 USCA 1232g regarding confidentiality of education records.)

DISPOSITION INSTRUCTIONS: Transfer applications, examinations, test scores, school records, affidavits, fingerprint cards, correspondence, traineeship forms, out-of-state applications, and verifications of licensure to Active Embalmers, Funeral Directors, and Funeral Homes File (Item 21855) when individual is licensed. Destroy in office remaining records concerning non-licensed individuals after 3 years.

**Item 21855. ACTIVE EMBALMERS, FUNERAL DIRECTORS, AND FUNERAL HOMES FILE.** Records concerning active embalmers, funeral directors, and funeral homes in North Carolina. File includes applications, correspondence, examinations, school records, affidavits, fingerprint cards, traineeship forms, out-of-state applications, verifications of licensure, and other records created during or pertinent to the licensing process. (Comply with applicable provisions of G.S. 115C-402 and 20 USCA 1232g regarding confidentiality of education records.)

DISPOSITION INSTRUCTIONS: Transfer to Inactive Embalmers and Funeral Directors File (Item 21856) or Inactive Funeral Homes File (Item 21857) when license status changes.

**Item 21856. INACTIVE EMBALMERS AND FUNERAL DIRECTORS FILE.** Records concerning embalmers and funeral directors who have died or whose license has not been renewed or whose license has been suspended or revoked by the board.

DISPOSITION INSTRUCTIONS: Transfer records to Active Embalmers, Funeral Directors, and Funeral Homes File (Item 21855) if license status changes. Retain in office remaining records permanently.

**Item 21857. INACTIVE FUNERAL HOMES FILE.** Records concerning funeral homes whose license has not been renewed or whose license has been suspended or revoked by board.

DISPOSITION INSTRUCTIONS: Transfer records to Active Embalmers, Funeral Directors, and Funeral Homes File (Item 21855) if license status changes. Retain in office remaining records permanently.

**NORTH CAROLINA BOARD OF FUNERAL SERVICE  
ADMINISTRATIVE UNIT**

**Item 21858. ACTIVE TRAINEESHIP FILE.** Records concerning each registered traineeship funeral services director, embalmer, and funeral director. File includes applications, school records, affidavits, correspondence, registrations, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to Inactive Traineeship File (Item 21859) if registration expires or becomes invalid or to Embalmers' and Funeral Directors' Buildup File (Item 21854) if individual applies for licensure.

**Item 21859. INACTIVE TRAINEESHIP FILE.** Records concerning each trainee funeral service director, embalmer, and funeral director whose license has expired or become invalid. File includes applications, school records, affidavits, traineeship correspondence, registrations, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to Active Traineeship File (Item 21858) if status of individual changes. Destroy in office remaining records after 3 years.

**Item 21860. FUNERAL HOME APPLICATIONS FILE.** Applications for registration received from funeral homes.

DISPOSITION INSTRUCTIONS: Transfer approved applications after 2 years to the Active Embalmers, Funeral Directors, and Funeral Homes File (Item 21855). Destroy in office disapproved applications after 5 years.

**Item 21861. EXAMINATIONS FILE.** Completed examinations for certification by applicants who passed or failed the examinations. (Comply with applicable provisions of G.S. 93B-8 regarding confidentiality of licensing examinations.)

DISPOSITION INSTRUCTIONS: Destroy in office passed examinations after 2 years. Destroy in office failed examinations after 6 years.

**Item 21862. PUBLIC CORRESPONDENCE FILE.** Routine correspondence and memorandums created and received in the office concerning day-to-day operations.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**Item 21863. VOTING LIST FILE.** Listings of currently licensed funeral services directors, embalmers, and funeral directors. File includes names and addresses. (File is maintained for board voting purposes.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after removal from list.

**NORTH CAROLINA BOARD OF FUNERAL SERVICE  
ADMINISTRATIVE UNIT**

**Item 21864. ELECTIONS FILE.** Records concerning elections of board members. File includes petitions, correspondence, notices, instructions, election requirements, and oaths of office for elected members.

DISPOSITION INSTRUCTIONS: Destroy in office records concerning elected board members when term expires. Destroy remaining records after 2 years, 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 21868. MONTHLY SUMMARIES OF ACCOUNTS BOOKS FILE.** Monthly summaries of all board accounts and transactions.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**Item 21870. BOOKKEEPING AND PAYROLL RECORDS FILE.** Records concerning license fees collected and disbursed by board. File includes ledger sheets and cancelled checks.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

**Item 21871. MORTUARY SCIENCE SUBJECT FILE.** Subject file for mortuary science and related topics.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

**Item 21872. COMPLAINTS FILE.** Records concerning complaints on individuals not approved to be licensed by the board. File includes disapproved applications.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

**Item 22043. CORRESPONDENCE (ADMINISTRATIVE) FILE.** Administrative and management correspondence written and/or received by the office.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**Item 22044. EQUIPMENT FILE.** Records concerning office equipment purchased for the board. File includes purchasing records, inventories of board equipment and supplies, and records regarding surplus property.

DISPOSITION INSTRUCTIONS: Destroy in office purchasing records after disposition of equipment and when released from all audits, whichever occurs later. Destroy in office inventory lists when superseded or obsolete. Destroy in office remaining records when administrative value ends.

**NORTH CAROLINA BOARD OF FUNERAL SERVICE  
ADMINISTRATIVE UNIT**

**Item 22103. CONSUMER COMPLAINTS FILE.** Records concerning complaints filed against funeral homes and licensees.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 10 years after investigation is closed or hearing has terminated. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**Item 22107. PERSONNEL FILE.** Records concerning office personnel. File includes resumes, job descriptions, applications, 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: Transfer to the State Records Center 5 years after employee terminates service. Records will be held for agency 25 additional years and then destroyed.

**Item 13225. FUNERAL HOMES AND CEMETERIES FILE.** Annual applications for funeral homes and cemeteries that offer pre-need burial contracts. File includes related correspondence.

DISPOSITION INSTRUCTIONS: Item discontinued. Applications transferred to Preneed Establishment License Applications File (Item 38015). Correspondence transferred to Correspondence File (Item 38012).

**Item 38009. ADMINISTRATIVE WORD PROCESSING (ELECTRONIC) FILE.** Machine readable records concerning the administration and operations of the office. Electronic files on hard drives and floppy disks include correspondence concerning responses to questions from licensees involving the daily operation of funeral establishments, preneed examination reports, and other related information.

DISPOSITION INSTRUCTIONS: Transfer 1 security copy of each floppy disk to an onsite fireproof vault routinely for backup storage. Agency representative will update periodically. Erase in office floppy disks and hard drives when administrative value ends.

**Item 38011. CERTIFICATES OF PERFORMANCE FILE.** Certificates of Performance concerning certification of full performance of the preneed contract. File also includes performed preneed contracts. Amended 4-8-04

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years 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. Destroy records currently being held for agency in the State Records Center 3 years from date of record.

**NORTH CAROLINA BOARD OF FUNERAL SERVICE  
ADMINISTRATIVE UNIT**

**Item 38012. CORRESPONDENCE FILE.** Routine correspondence written to and/or received from licensees concerning questions involving the daily operations of funeral establishments. File also includes correspondence received from the public regarding requests for information.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**Item 38013. PRENEED ANNUAL REPORTS FILE.** Annual reports concerning preneed funeral contracts held by the funeral establishment. Reports include number and type of preneed funeral contracts, updated values of contracts, disposition of completed contracts, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 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.

**Item 38015. PRENEED ESTABLISHMENT LICENSE APPLICATIONS FILE.**

Applications received annually from individuals wanting to become licensed by the board to operate preneed funeral establishments in North Carolina and individual preneed sales licensees affiliated with those establishments. Applications include names and addresses of funeral homes and officers and/or principals, county names, types of classifications, licensee identification numbers, amounts of fees paid, and other related data. Names and addresses of funeral establishments, types of classifications, licensee identification numbers, amounts of fees paid, and other related data are entered into Preneed Database (Electronic) File (Item 38017) immediately upon receipt. (Comply with applicable provisions of 5 USC Sec 552a regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 10 additional years and then destroyed.

**Item 38016. PRENEED EXAMINATIONS REPORTS FILE.** Reports concerning Preneed Examinations administered by the Board to individual preneed funeral establishments which serve as trustees for preneed funeral funds. Reports include names of individuals, examination results, and other related information. (Funeral establishments are acknowledged as licensees in accordance with G.S. 90-210.60(9).)

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

**NORTH CAROLINA BOARD OF FUNERAL SERVICE  
ADMINISTRATIVE UNIT**

**Item 38017. PRENEED DATABASE (ELECTRONIC) FILE.** Machine readable records concerning licensing and contracting for preneed funeral service and merchandise. File includes data relating to the licensing of preneed funeral establishments in North Carolina and individual preneed sales licensees affiliated with those establishments, entered from Preneed Establishment License Applications File (Item 38015). File also includes data relating to contracts entered into by individuals with funeral establishments for funeral merchandise and/or services to be provided at a later date and filed as required by law, entered from Preneed Funeral Contracts File (Item 38018). Data includes names and addresses of purchaser and/or beneficiary, names of contracting funeral establishments, type of contract and method of funding, information regarding preneed contract terms and conditions, preneed funeral arrangements, and other related data. (Comply with applicable provisions of G.S. 90-210.73 regarding confidentiality of preneed funeral contract information.)

DISPOSITION INSTRUCTIONS: Copy all electronic files from hard drive of the file server to magnetic tape and transfer daily to onsite fireproof vault. Transfer magnetic tapes containing most recent data to an offsite location for backup storage monthly. Agency representative will update monthly by replacing magnetic tapes stored offsite with magnetic tapes containing more current data. Return superseded magnetic tapes to backup cycle. Erase in office appropriate fields of data when superseded or obsolete.

**Item 38018. PRENEED FUNERAL CONTRACTS FILE.** Contracts entered into by individuals with funeral establishments for funeral merchandise and/or services to be provided at a later date and filed as required by law. Contracts include names and addresses of purchaser and/or beneficiary, names of contracting funeral establishments, type of contract and method of funding, information regarding preneed contract terms and conditions, preneed funeral arrangements, and other related information. Names and addresses of purchasers and/or beneficiaries, names of contracting funeral establishments, type of contract and method of funding, and other related information are entered into Preneed Database (Electronic) File (Item 38017) immediately upon receipt. (Comply with applicable provisions of G.S. 90-210.73 regarding confidentiality of preneed funeral contract information.)

DISPOSITION INSTRUCTIONS: Transfer to Certificates of Performance File (Item 38011) immediately after contract is performed and no litigation, claim, audit or other official action involving the records has been initiated. If official action has been initiated, transfer to Certificates of Performance File (Item 38011) after completion of action and resolution of issues involved.