

**BEFORE THE
ADMINISTRATIVE HEARING COMMISSION
STATE OF MISSOURI**

STATE BOARD OF EMBALMERS AND FUNERAL DIRECTORS)	
)	
)	
Petitioner,)	
)	
v.)	No. 08-1588 EM
)	
WARREN FUNERAL CHAPEL, INC., HAROLD WARREN, SR., HAROLD WARREN, JR., et al.,)	
)	
Respondents.)	

**JOINT MOTION FOR CONSENT ORDER,
JOINT STIPULATION OF FACTS AND CONCLUSIONS OF LAW,
WAIVER OF HEARINGS
BEFORE THE ADMINISTRATIVE HEARING COMMISSION
AND THE STATE BOARD OF EMBALMERS AND FUNERAL DIRECTORS,
AND DISCIPLINARY ORDER**

Respondents Warren Funeral Chapel, Inc., Harold Warren, Sr. (“Warren Sr.”), and Harold Warren, Jr. (“Harold Jr.”) (collectively referred to hereinafter as the “Warrens”) and Petitioner State Board of Embalmers and Funeral Directors (“ Board ”) enter into this *Joint Motion for Consent Order, Joint Stipulation of Facts and Conclusions of Law, Waiver of Hearings Before the Administrative Hearing Commission and the State Board of Embalmers and Funeral Directors, and Disciplinary Order* (“Joint Stipulation”) for the purpose of resolving the Complaint filed against Respondents. Pursuant to the rules governing practice and procedure before the Administrative Hearing Commission

(“Commission”)(1 CSR 15-3.440(3)) and pursuant to the terms of § 536.060, RSMo¹, as it is made applicable to the Commission by § 621.135, RSMo, the parties move for a consent order and waive the right to a hearing and decision in the above-styled case by the Commission, and, additionally, the right to a disciplinary hearing before the Board pursuant to § 621.110, RSMo Cum. Supp. 2008, and jointly stipulate and agree that a final disposition of this matter may be effectuated as described below.

The Warrens acknowledge that they understand the various rights and privileges afforded them by law, including the right to a hearing of the charges against them; the right to appear and be represented by legal counsel; the right to have all charges proven upon the record by competent and substantial evidence; the right to cross-examine any witnesses appearing against them at the hearing; the right to present evidence on their own behalf at the hearing; the right to a decision upon the record of the hearing by a fair and impartial administrative hearing commissioner concerning the charges pending against them; the right to a ruling on questions of law by the Administrative Hearing Commission; the right to a disciplinary hearing before the Board at which time the Warrens may present evidence in mitigation of discipline; the right to a claim for attorney fees and expenses; and the right to obtain judicial review of the decisions of the Administrative Hearing Commission and the Board. Being aware of these rights provided the Warrens by operation of law, the Warrens knowingly and voluntarily waive

¹All references are to the 2000 Revised Statutes of Missouri unless otherwise noted.

each and every one of these rights and freely enter into this Joint Stipulation. The parties further agree to abide by the terms of this document as they pertain to them.

The Warrens acknowledge that they received a copy of the Complaint in this case, which was filed with the Commission on September 8, 2008. The Warrens stipulate that the factual allegations contained in this Joint Stipulation are true and stipulate with the Board that the embalmer and funeral director licenses of Warren Sr. and Warren Jr., and the funeral establishment licenses of Warren Funeral Chapel are subject to disciplinary action by the Board in accordance with the provisions of Chapter 621, RSMo, and § 333.121, RSMo Cum. Supp. 2008.

I. JOINT STIPULATION

Based upon the foregoing, the Board and the Warrens jointly stipulate to the following findings of fact and conclusions of law in lieu of the facts and conclusions of law as alleged in the Complaint filed in this case, and request that the Commission adopt the Joint Proposed Findings of Fact and Conclusions of Law as the Commission's Findings of Fact and Conclusions of Law.

A. JOINT PROPOSED FINDINGS OF FACT AND CONCLUSIONS OF LAW

1. Petitioner, the State Board of Embalmers and Funeral Directors (“Board”), is an agency of the State of Missouri, established and existing pursuant to § 333.151, RSMo, for the purpose of administering and enforcing Chapter 333 and portions of Chapter 436, RSMo, and the regulations adopted thereunder.

2. Warren Funeral Chapel, Inc. is a Missouri corporation doing business in Boone County and Callaway County, Missouri.

3. Harold Warren, Sr. (Warren Sr.), is licensed by the Board as an embalmer, license no. 7012, and as a funeral director, license no. 5568.

4. Harold Warren, Jr. (Warren Jr.), is licensed by the Board as an embalmer, license no. 7013, and as a funeral director, license no. 5569.

5. Warren Sr. is President of Warren Funeral Chapel, Inc.

6. Warren Jr. is Vice-President and Treasurer of Warren Funeral Chapel, Inc.

7. Warren Funeral Chapel, Inc., Warren Sr., and Warren Jr. do business and operate under the fictitious name of Warren Funeral Chapel.

8. Warren Funeral Chapel, Inc., Warren Sr., and Warren Jr. have a current and active license, no. 2001029782, to operate Warren Funeral Chapel in Columbia, Boone County, Missouri. The Columbia facility is a Function A and Function C funeral establishment.

9. Warren Funeral Chapel, Inc., Warren Sr., and Warren Jr. have a current and active license, no. 002230, to operate Warren Funeral Chapel in Fulton, Callaway County, Missouri. The Fulton facility is a Function C funeral establishment.

10. During the times relevant to this Joint Stipulation, Warren Sr. was the funeral director-in-charge, as such is defined in 20 CSR 2120-1.040, until February 28, 2008.

11. During the times relevant to this Petition, Warren Jr. was the funeral director-in-charge, as such is defined in 20 CSR 2120-1.040, since February 28, 2008.

12. As the funeral directors in charge of Warren Funeral Chapel, Warren Sr. and Warren Jr. were responsible for ensuring that Warren Funeral Chapel complied with all applicable statutes and regulations.

13. Warren Sr. and Warren Jr., as officers of Warren Funeral Chapel, Inc., were responsible to assure that Warren Funeral Chapel, Inc. conducted its business in compliance with all local, state and federal laws.

14. Jurisdiction and venue are proper before the Administrative Hearing Commission pursuant to §§ 621.045 and 333.121.2, RSMo.

15. Section 333.121.2, RSMo, authorizes the Board to file a complaint with the Administrative Hearing Commission and states, in part:

2. The board may cause a complaint to be filed with the administrative hearing commission as provided by chapter 621, RSMo, against any holder of any certificate of registration or authority, permit or license required by this chapter or any person who has failed to renew or has surrendered his certificate of registration or authority, permit or license for any one or any combination of the following causes:

.....

(4) Obtaining or attempting to obtain any fee, charge, tuition or other compensation by fraud, deception or misrepresentation;

(5) Incompetency, misconduct, gross negligence, fraud, misrepresentation or dishonesty in the performance of the functions or duties of any profession licensed or regulated by this chapter;

(6) Violation of, or assisting or enabling any person to violate, any provision of this chapter, or of any lawful rule or regulation adopted pursuant to this chapter;

.....

(13) Violation of any professional trust or confidence;

.....

(15) Violation of any of the provisions of chapter 193, RSMo, chapter 194, RSMo, or chapter 436, RSMo;

.....

(17) Obtaining possession of or embalming a dead human body without express authority to do so from the person entitled to the custody or control of the body;

(18) Failure to execute and sign the death certificate on a body embalmed by, or under the personal supervision of, a licensee;

(19) Failure or refusal to properly guard against contagious, infectious or communicable diseases or the spread thereof;

.....

(21) Refusing to surrender a dead human body upon request by the next of kin, legal representative or other person entitled to the custody and control of the body.

Count I: Public Health, Safety, and Welfare Violations

A. Improper Care and Storage of Human Remains

J.H.

16. From September 9, 2007 through July 15, 2008, the Warrens stored the body of a J.H. at Warren Funeral Chapel in Columbia, Missouri without embalming and without refrigeration. J.H. died on September 9, 2007. Her cause of death was Hepatitis B, Hepatitis C, and Alcoholic Hepatitis. On July 11, 2008, the remains of J.H. were

found by investigators of the Board in an advanced stage of decay in the Electrical Room of Warren Funeral Chapel.

17. The Warrens did not have a refrigeration or cooling unit for the storage of bodies.

18. The storage of J.H.'s remains at Warren Funeral Chapel without refrigeration or embalming from September 9, 2007 until July 15, 2008 is a violation of 20 CSR 2120-2.070(21), which states:

(21) According to section 333.121.2(17), RSMo, the State Board of Embalmers and Funeral Directors may impose disciplinary action for failure to obtain authorization to embalm from the person entitled to custody or control of the body, if the body is embalmed. If the body is not embalmed, a Missouri licensed funeral establishment shall not hold the unembalmed body for any longer than twenty-four (24) hours unless the unembalmed body is refrigerated in a cooling unit at a temperature of forty degrees Fahrenheit (40° F) or cooler or encased in an airtight metal or metal-lined burial case, casket or box that is closed and hermetically sealed.

L.F.

19. L.F. died just after midnight on July 15, 2008. The Warrens picked up the body of L.F. from Boone County Hospital in the morning of July 15, 2008. The body of L.F. was to be cremated and not embalmed. The Warrens held the body of L.F. for more than 24 hours without embalming or refrigeration. The Warrens had started to embalm the body of L.F. on July 15, 2008 without written authorization in violation of 20 CSR 2120-2.070(21) and § 333.121.2(17), RSMo.

M.A.

20. On August 1, 2008, the body of M.A. was found at Warren Funeral Chapel.

21. M.A. died on May 13, 2008. The statement of funeral goods for M.A. included charges for cremation, which were paid for in full. The death certificate for M.A. indicated that the final disposition was cremation on May 16, 2008, and that M.A.'s remains are in Heartland Crematory, Columbia, Missouri, when they were not.

S.H.

22. On August 1, 2008, the body of S.H. was found at Warren Funeral Chapel.

23. S.H. died on September 7, 2007. The statement of funeral goods for S.H. listed charges for cremation and embalming. The Warrens did not have an authorization in the file to embalm S.H. The embalming log erroneously indicated that S.H. was embalmed on September 7, 2007 and September 8, 2007. The degree of decay on August 1, 2008, indicated that S.H. was not embalmed. The death certificate filed with the local registrar on September 11, 2007 for S.H. stated that S.H. had been buried in Columbia, Missouri, even though she had not.

C.L.

24. On August 1, 2008, the body of C.L. was found at Warren Funeral Chapel.

25. C.L. died on January 25, 2008. The statement of funeral goods for C.L. included charges for cremation and embalming. The death certificate for C.L. states that she was cremated on February 2, 2008, when she was not.

T.L.

26. On August 1, 2008, the body of T.L. was found at Warren Funeral Chapel.

27. The statement of funeral goods for T.L. listed the death date as May 23, 2008 and included charges for cremation and embalming. The authorization for

cremation indicated that T.L.'s cremains were delivered to the family on June 28, 2008, when they were not.

M.M.

30. On August 1, 2008, the body of M.M. was found at Warren Funeral Chapel.

31. M.M. died on May 9, 2008. The death certificate for M.M. indicated that she had been cremated on May 14, 2008, when she had not.

J.T.

32. On August 1, 2008, the body of J.T. was found at Warren Funeral Chapel.

33. J.T. died on October 26, 2007. The statement of funeral goods for J.T. included charges for cremation. The authorization for cremation indicated that the cremains of J.T. were delivered to the family on February 11, 2008, when they were not. The embalming log indicated that J.T. was embalmed on October 26, 2007. There was no authorization for embalming in the file.

B. Other Unsanitary Conditions and Violations

34. As of July 11, 2008, the embalming log for Warren Funeral Chapel ended with a record of a body being embalmed on June 18, 2008.

35. As of July 11, 2008, the embalming room and utensils were dirty and had not been cleaned after Warren Funeral Chapel's last embalming, in violation of 20 CSR 2120-2.090(9), which states:

(9) All preparation rooms and all articles stored in them shall be kept and maintained in a clean and sanitary condition. All embalming tables, hoppers, sinks, receptacles, instruments and other appliances used in embalming or other preparation of dead human bodies shall be so constructed that they can be

kept and maintained in a clean and sanitary condition. The following minimum standards shall apply:

.....

(B) Facilities shall exist for the proper disinfection of embalming instruments and the embalming table[.]

36. As of July 11, 2008, the embalming table was not covered, in violation of 20 CSR 2120-2.090(9)(E), which states:

(9) All preparation rooms and all articles stored in them shall be kept and maintained in a clean and sanitary condition. . . . The following minimum standards shall apply:

.....

(E) When not in use, embalming tables shall be cleaned, disinfected and covered with a sheet.

37. On July 15, 2008, the embalming room was in disarray. The embalming table was covered with blood and not covered, the trash can was running over, the instruments had not been cleaned and disinfected, in violation of 20 CSR 2120-2.090(9).

38. On July 15, 2008, it was apparent an embalming had occurred between July 11 and July 15, 2008.

39. As of July 15, 2008, the embalming log still ended with the June 18, 2008 embalming and did not show any recent embalming, in violation of 20 CSR 2120-2.070(24), which states:

(24) Each Function A funeral establishment licensed for embalming shall maintain on the premises in the preparation room a register log.

40. The Warrens' failure to maintain the premises in a clean and orderly condition violates 20 CSR 2120-2.070(14) and (15), which states:

(14) The interior and exterior of the Missouri licensed funeral establishment physical plant shall be kept free and clean of litter, dirt, debris and clutter or other objects or conditions which present a potential or actual hazard to the health, safety or welfare of the public.

(15) The interior and exterior of the Missouri licensed funeral establishment physical plant shall be maintained in a manner that does not present a potential or actual hazard to the health, safety or welfare of the public.

41. The conduct of the Warrens, as alleged in Count I, constitutes a violation of the professional trust and confidence they owe to their clients and the public.

42. Based on the errors, omissions, and conduct of the Warrens, as set forth in this Count, cause exists to discipline the licenses of Warren Funeral Chapel, Warren Sr. and Warren Jr. under § 333.121.2(4), (5), (6), (13), (17), (19), and (21), RSMo.

Count 2: Failure to Issue Death Certificates

43. As of January 4, 2008, the Warrens had not filed death certificates for 31 individuals who died in 2004, 2005 and 2006, some of which had been cremated.

44. The Warrens' conduct in failing to file death certificates prior to final disposition of the bodies, including cremation, constitutes a violation of § 193.175, RSMo, which states:

1. The funeral director or person acting as such in charge of final disposition of a dead body shall file a completed notification of death with the local registrar where the death occurred. Such notification of death shall be on a form or in a format prescribed and furnished by the state registrar and shall be filed or postmarked prior to the date of final disposition of

the body. Such notification of death shall authorize final disposition except as otherwise stated in this section or in section 193.145. If the body is to be cremated, a completed death certificate shall be filed with the local registrar prior to cremation and shall authorize cremation except as stated in section 193.145.

45. The Warrens' conduct in failing to file death certificates within five days after death constitutes a violation of § 193.145, RSMo, which states:

1. A certificate of death for each death which occurs in this state shall be filed with the local registrar, or as otherwise directed by the state registrar, within five days after death and shall be registered if such certificate has been completed and filed pursuant to this section.

.....

4. The funeral director or person acting as such in charge of final disposition of the dead body shall file the certificate of death. The funeral director shall obtain:

(1) The personal data from the next of kin or the best qualified person or source available; and

(2) The medical certification from the person responsible for such certification.

46. The conduct of the Warrens, as set forth in Count II, constitutes incompetence, misconduct, and gross negligence.

47. The conduct of the Warrens, as alleged in Count II, constitutes a violation of the professional trust and confidence they owe to their clients and the public.

48. Cause exists to discipline the licenses of Warren Funeral Chapel, Warren Sr. and Warren Jr. under § 333.121.2(5), (6), (13), (15), and (18), RSMo.

Count 3: Documentation Violations

49. On or about March 3, 2008, a Board investigator inspected Warren Funeral Chapel and found the following deficiencies:

- a. Some embalming authorizations were not signed;
- b. Some individuals were embalmed without authorization;
- c. The embalming log was not up to date and complete;
- d. The embalming log contained multiple entries for the same person, but with different dates and/or times;
- e. Some entries on the embalming log had a date that pre-dated the corresponding contract dates;
- f. Some clients were charged for embalming when there was no authorization for the embalming;
- g. Some documents were not retained at the Warren Funeral Chapel, such as at-will contracts, fulfilled or cancelled pre-need contracts, authorizations for embalming, and authorizations for cremation;
- h. Some at-need services were provided without the existence of an at-need contract, although pre-need contracts existed; and
- i. Some statements of charges were not signed by the family and/or funeral director.

50. Based on the Warrens' errors and omissions set forth in this Count regarding the embalming log, the Warrens violated § 333.061.2(4), RSMo, and 20 CSR 2120-1.040(21).

51. Section 333.061.2(4), RSMo, which states:

(4) Each funeral establishment shall have available in the preparation or embalming room a register book or log which shall be available at all times in full view for the board's inspector and the name of each body embalmed, place, if other than at the establishment, the date and time that the embalming took place, the name and signature of the embalmer and the embalmer's license number shall be noted in the book[.]

52. State regulation 20 CSR 2120-1.040(21), states in part:

(21) Register log—a written record or log kept in the preparation/embalming room of a Missouri licensed funeral establishment available at all times in full view for a board inspector, which shall include the following:

(A) The name of the deceased;

(B) The date and time the dead human body arrived at the funeral establishment;

(C) The date and time the embalming took place, if applicable;

(D) The name and signature of the Missouri licensed embalmer, if applicable;

.....

(F) The Missouri licensed embalmer's license number, if applicable;

.....

(H) The name of the licensed funeral establishment, or other that was in charge of making the arrangements if from a different location.

53. Based on the Warrens' failure to obtain written authorizations for embalming, the Warrens violated state regulation 20 CSR 2120-2.070(21), which states, in pertinent part:

(21) According to section 333.121.2(17), RSMo, the State Board of Embalmers and Funeral Directors may impose disciplinary action for failure to obtain authorization to embalm from the person entitled to custody or control of the body, if the body is embalmed. . . . If the deceased gave written authorization to embalm and did not revoke the authorization, the authorization shall satisfy this requirement. If the deceased did not give written authorization to embalm, the next of kin of the deceased may give authorization to embalm. Authorization to embalm may be given by the next of kin prior to the death of the person whose body is to be embalmed. Authorization to embalm given prior to death may be in any written document, including a preneed contract.

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54. The Warrens failure to maintain records constitutes a violation of 20 CSR 2120-2.070(23), which states:

(23) Each Function C funeral establishment shall maintain on the Missouri premises the following documents:

.

(D) Authorizations to embalm or cremate.

55. The conduct of the Warrens, as set forth in Count III, constitutes a violation of the professional trust and confidence they owed to their clients and the public.

56. Due to Warrens’ conduct and violations, as described above in Count III, cause exists to discipline the licenses issued to Warren Funeral Chapel, Inc., Warren Sr. and Warren Jr. under § 333.121.2(5), (6), (13), and (17), RSMo.

II. JOINT DISCIPLINARY ORDER

Based on the foregoing, the parties hereby mutually agree and stipulate that the following shall constitute the order regarding discipline of the embalmer, funeral director

and funeral establishment licenses of the Warrens, subject to the following terms and conditions, and entered by the Board in this matter under the authority of §§ 536.060 and 621.110, RSMo Cum. Supp. 2008. This disciplinary order shall become effective immediately upon the issuance of the consent order of the Commission without further action by either party:

1. **The Warrens' licenses are revoked and all indicia of licensure shall be surrendered immediately.** Warren Sr.'s embalmer license #7012, and funeral director license #5568 are hereby REVOKED and ALL INDICIA OF CERTIFICATION SHALL BE SURRENDERED IMMEDIATELY upon this Joint Stipulation becoming effective.

2. Warren Jr.'s embalmer license #7013 and funeral director license #5569 are hereby REVOKED and ALL INDICIA OF CERTIFICATION SHALL BE SURRENDERED IMMEDIATELY upon this Joint Stipulation becoming effective.

3. The Warrens' funeral establishment licenses for the Columbia and Fulton facilities, license numbers 2001029782 and 002230, respectively, are hereby REVOKED and ALL INDICIA OF CERTIFICATION SHALL BE SURRENDERED IMMEDIATELY upon this Joint Stipulation becoming effective.

4. This Joint Stipulation does not bind the Board or the State of Missouri regarding any remedies that may be available through their action in the Boone County Circuit Court, case no. 08BA-CV03870, or elsewhere, but is limited only to the status of the Warrens licenses issued by the Board.

5. This Joint Stipulation does not bind the Board or restrict the remedies available to it concerning any future violations by the Warrens of Chapters 333 or 436,

RSMo, as amended, or the regulations promulgated thereunder, or of the terms and conditions of this Joint Stipulation.

6. This Joint Stipulation does not bind the Board or restrict the remedies available to it concerning facts or conduct not specifically mentioned in this Joint Stipulation that are either now known to the Board or may be discovered.

7. Each party agrees to pay all their own fees and expenses incurred as a result of this case, its litigation, and/or its settlement.

8. The terms of this Joint Stipulation are contractual, legally enforceable, and binding, not merely recital. Except as otherwise contained herein, neither this Joint Stipulation nor any of its provisions may be changed, waived, discharged, or terminated, except by an instrument in writing signed by the party against whom the enforcement of the change, waiver, discharge, or termination is sought.

9. The parties to this Joint Stipulation understand that the Board will maintain this Joint Stipulation as an open record of the Board as required by Chapters 333, 610, and 324, RSMo, as amended.

10. The Warrens, individually and collectively, and together with their heirs, assigns, agents, partners, shareholders, officers, directors, employees, representatives and attorneys, do hereby waive, release, acquit and forever discharge the Board, its respective members, employees, agents and attorneys including former members, employees, agents and attorneys, of, or from any liability, claim, actions, causes of action, fees, costs, expenses and compensation, including, but not limited to, any claim for attorney's fees and expenses, whether or not now known or contemplated, including, but not limited to,

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