

Alabama Alcoholic Beverage Control Board

Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
October 28, 1999**

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Functional and Organizational Analysis of the Alcoholic Beverage Control Board

Sources of Information

Representatives of the Alcoholic Beverage Control Board

Records Committee

Teresa Rains, Administrative Support Assistant II, Audit Division

Roy Walker, Assistant Director, Stores Administration, Product Management Bureau

Becky Webb, Procurement and Distribution Specialist, Product Operations, Product Management Bureau

Sharon Dailey, Executive Assistant, Agency Administration

Darlene Jones, Administrative Support Assistant II, Responsible Vendor Division

Susan Nix, Distributed Systems Technician I, Information Systems Division

Barry Cravey, Assistant Director, Enforcement

Jim Harry, Accountant III, Accounting Division, Chair of Committee

Other Agency Employees

Randall C. Smith, Administrator

Robert Hill, Legal Counsel

Charles Andress, Chief Auditor, Audit Division

Ron Jones, Director, Stores Logistical Operations, Product Management Bureau

Jackie Granger, Stores Administrative Operations, Product Management Bureau

Dan Dillon, Departmental Personnel Manager I, Personnel Division

Code of Alabama 1975, Sections 28-3-40 through 28-11-15

Code of Alabama 1975, Section 41-20-1 through 41-20-16 (Sunset Law)

Alabama Administrative Code, Chapters 20-X-1 through 20-X-26

Alabama Government Manual (1994)

Government Records Division, State Agency Files (1985-ongoing)

Holdings of the Department of Archives and History for the Alcoholic Beverage Control Board

Alcoholic Beverage Control Board Records Schedules

Alcoholic Beverage Control Board Audit Report for October 1, 1995 through September 30, 1998

Current Agency Organization

The Alcoholic Beverage Control Board consists of three persons appointed by the governor with the consent of the senate, one of whom the governor designates as the chairman. The term of office of each member appointed is six years from the time of appointment and until a successor shall qualify. Vacancies are filled by the governor for unexpired terms. Each

member is eligible for reappointment. No member of the board or anyone holding any office or position under the board may have any connection with or interest in any liquor business. Members of the board may be suspended or removed by the governor. The board meets in Montgomery, where the central office and warehouse is located, when it determines. A majority of the members constitute a quorum. The board appoints an administrator, who appoints all necessary employees. In addition to the board's central office and warehouse, enforcement offices and board stores are located throughout the state. An organizational chart is attached.

Agency Function

The mandated function of the Alcoholic Beverage Control Board is to regulate alcoholic beverages and retail tobacco sales in the state. The board is one of the agencies responsible for performing the Regulatory function and the Law Enforcement and Emergency Powers function of Alabama government.

Historical Context of Function

The legislature created the Alcoholic Beverage Control Board in 1937 and gave it authorization to buy, manufacture, and sell alcoholic beverages; to control the possession, sale, transportation, and delivery of alcoholic beverages; and to determine the localities for operation of state stores. The legislature, with the passage of Act 97-423, mandated the board to enforce all state and federal tobacco laws for sales of tobacco products to minors in the state and to permit all retail tobacco locations statewide. The board was continued by the legislature following sunset review through the passage of act numbers 84-178; 88-155; 92-120; and 96-262.

Agency Subfunctions

In the performance of its mandated function, the board may engage in the following subfunctions.

- **Promulgating Rules and Regulations.** The board promulgates rules and regulations, which have the full force and effect of law. Interested persons petition the board to adopt, amend, or repeal a rule or regulation by submitting a written request to the board for consideration. The board notifies the petitioner as to its decision.

The board fixes the wholesale and retail prices at which liquor is sold at Alabama liquor stores and determines the nature, form, and capacity of all packages to be used for containing liquor, alcohol or malt or brewed beverages to be kept or sold, and it also prescribes the form and contents of all labels and seals to be placed thereon.

- **Regulating.** Because of the lethal potential of alcohol, the legislature requires alcohol to be rigorously controlled. The board has this responsibility and has general supervision of all persons, firms, and corporations that are involved in the possession, sale, transportation and delivery of alcoholic beverages. The board's regulatory activities include purchasing/distributing alcohol, licensing commercial firms, and enforcing laws and regulations. The board is also responsible, in conjunction with federal, state, and local law enforcement agencies, for regulating the distribution of tobacco and tobacco products to minors.

Purchasing/Distributing. The board purchases alcoholic beverages and distributes them to the board's stores, where the alcoholic beverages are sold. The board operates a chain of retail stores in "wet" counties, and in wet municipalities within dry counties, which sell the majority of liquor purchased within the state. The board operates these stores in a manner to ensure that the members of the public who choose to purchase alcoholic beverages are able to do so at a fair price while generating considerable revenue for the state and local governing authorities. Neither the board nor any state store operated by it may advertise its wares for sale. The board marks up its products thirty percent based on its cost. Five percent of the markup is designated to the credit of the general fund, and twenty-five percent of the markup is utilized as the budgetary operating fund of the board (Code of Alabama 1975, Title 28). The board also collects state taxes above and beyond the markup. The board operates a central warehouse for the distribution of alcoholic beverages. Since fiscal year 1985, all United States military installations are required to purchase their alcoholic beverages from within the state where located. As a result, the board sells to eight military installations located in Alabama.

Licensing. The board licenses commercial firms, such as restaurants, nightclubs, and small stores, to sell alcoholic beverages. The proposed site for selling or dispensing of alcoholic beverages is checked through a neighborhood survey. The board may grant, issue, and suspend or revoke liquor licenses, alcohol permits, and malt or brewed and vinous beverages licenses. The board requires each manufacturer that sells distilled liquors to the board to have a permit issued by the board. All permit fees are paid into the state stores fund.

The board is empowered to issue and renew licenses to people who engage in the alcoholic beverage business within Alabama (Code of Alabama 1975, Section 28-3A-3). The applicant completes an application and submits it and all necessary documentation to an enforcement agent, who forwards the application and documentation to the appropriate local government authority for processing. The local authority processes the application and returns it to the local board agent, who then conducts a neighborhood survey and physical survey of the premises. The agent then sends the application and fee to the district office, which eventually sends them to the board's central office in Montgomery. The board examines license requests on the basis of state and local laws. The board conducts licensing hearings at regular, publicized intervals. At these hearings, current

licenses are reviewed and applicants for new licenses are screened. Private citizens and citizen groups are afforded the opportunity to protest or support an applicant, or voice opinions about existing licenses. Licenses are valid for one year and licensees are required to renew their licenses on or before October 1 of each year.

The board issues permits to retail outlets that sell tobacco products and locations with tobacco product vending machines.

Enforcing. The board is responsible for enforcing the laws of the state and the board's regulations relating to alcohol and tobacco. After a license/permit is issued, the board continuously inspects operations of licensees/permittees, conducts audits of licensees, collects taxes of licensee, disburses revenue obtained from those taxes, and disburses revenues from the ABC stores. The board provides law enforcement for prohibition laws in the twenty-six dry counties and also provides enforcement of laws regarding youth access to tobacco.

To fulfil its enforcement responsibilities, the board has the power to enter upon the premises of any taxpayer to examine any books, papers, records or memoranda, bearing upon the amount of taxes payable, and to secure other information directly or indirectly relating to the enforcement activities of the board (Code of Alabama 1975, Section 28-3-46). Designated staff members of the board execute search warrants, make arrests, and have the same authority as designated to peace officers. Enforcement agents conduct investigations in connection with alleged violations of the ABC laws, make inspections of license applicants as well as licensees, and perform other related duties assigned by superiors. The agency receives complaints from the public and investigates those complaints regarding alleged violations of alcohol regulations and laws. The board may enlist minors to attempt to purchase or purchase alcoholic beverages or tobacco products following written consent of a parent or legal guardian. The board supervises the minor in an attempt to catch licensees/permittees selling alcoholic beverages or tobacco products to minors.

The board is authorized to appoint a hearing commission to conduct hearings involving charges against licensees/permittees. The commission is composed of at least three people designated by the board, one of whom is the board administrator. The hearing commission convenes at least once a month, unless otherwise designated by the administrator. Contested license/permit applications and disciplinary charges against a licensee/permittee may be referred to the hearing commission for appropriate action. The commission conducts a hearing for each case referred to it and takes one of the following discretionary actions: finds no cause for action by the commission, or insufficient evidence to justify any action under the complaint and dismisses the complaint; issues a written reprimand; suspends or revokes the license/permit; fines the licensee/permittee; or grants or denies the license/permit in application cases. Any decision of the hearing

commission may be appealed to the board by providing a request within fifteen days (Code of Alabama 1975, Section 28-3A-24).

On an appeal, the board may affirm the decision of the hearing commission, modify or amend the decision, or reverse the decision and substitute its own decision with findings of fact (Administrative Code Chapter 20-x-3.02).

- **Building Public Awareness.** The board provides statewide educational activities to the public and sellers and servers of alcoholic beverages to reduce the risk of illegal and irresponsible sales. The board also serves as a clearinghouse for prevention materials.

The board administers the Responsible Vendor Program, which is authorized by Legislative Act 90-525. The program, which is voluntary and available to all retail alcoholic beverage licensees, assists in the training of all employees involved in the management, sale, or service of alcoholic beverages. The program provides training on alcoholic beverage laws, legal age determination, civil and criminal penalties, and risk reducing techniques. Compliance specialists conduct onsite inspections, inspect records, monitor training sessions, call on licensees, provide consultation and support for management, and speak to organizations and groups to promote and encourage participation in the program as well as to foster a more cooperative alliance between the board and the business community.

The Store Employee Liquor Liability (SELL) training is a mandatory program that requires the training of all board store employees to reduce the risk of illegal sales. The program includes initial and follow-up training and a newsletter.

The board's Alcohol Awareness Program encourages moderation in the consumption of alcohol, discourages alcohol and drug abuse, and promotes a "no use" message to those under the legal drinking age through literature and programs in conjunction with other groups and government entities.

The board also has programs and activities to educate permittees and the public on the Youth Access to Tobacco Law. Activities include educating merchants on the identification process for tobacco.

- **Administering Office Operations.** A significant portion of the board's work includes general administrative, financial, and personnel activities geared toward the programmatic areas of the agency. These administrative duties are grouped together under the subfunction, administering office operations. The activities of this subfunction are gathered under the following headings: general administrative, representing, reporting, managing records, managing information systems and technology, budgeting, purchasing, accounting, traveling, auditing, contracting, bidding, hiring and recruiting

staff, compensating staff, benefitting staff, supervising staff, inventorying non-consumable property, leasing/renting, securing property, and maintaining vehicles.

General administrative: This section involves the activities of facilitating or managing the work of the agency.

Representing: A legal counsel acts as chief legal advisor to the board by conducting or supervising all litigation in which the agency is a party. The counsel's office prepares administrative and legal complaints; responds to inquires relating to regulations; prepares legal opinions; represents the department in administrative hearings; and, upon request, reviews contracts, proposals, and other documents for the board's employees.

Another aspect of representing the agency is that of lobbying or representing the agency before the legislature and other bodies.

The board is a member of the National Alcoholic Beverage Control Association (NABCA), which was established jointly by all state, territorial, and county agencies that are charged with the responsibility of controlling, purchasing, distributing, and selling alcoholic beverages within their respective jurisdictions to cooperate with each other and federal agencies on matters relating to the control, purchase, and sale of alcoholic beverages. The administrator of the board is a member of the State Safety Coordinating Committee.

A representative of the board is a member of the Tobacco Advisory Board. The board meets at least quarterly and works to monitor the implementation of the tobacco laws and issue written recommendations for program modification to the board.

Reporting: The board submits an annual report and an annual financial/statistical report to the governor that contain accounts of duties performed, actions taken, appropriate recommendations and financial statistics (Code of Alabama 1975, Section 28-3-42).

Managing records: The board maintains a records management program to document the storage, transfer, and disposition of its records.

Managing information systems and technology: The scope of services related to information systems management includes resource planning, systems analysis, application design and programming, microcomputer and personal computer (PC) procurement, installation and maintenance, training, telecommunications planning and support, end user technical assistance and support, departmental computer services, response to information requests, and management consultation.

Budgeting: To comply with the Budget Management Act of 1976, the board prepares and reviews a budget package and submits it to the Department of Finance. During the fiscal

year, the department documents expenditures, allotments, amendments, and performance of the budget, and reports in established budget status categories to the Department of Finance.

Purchasing: Code of Alabama 1975, Title 41, Chapter 4 establishes a mechanism under the authority of the Department of Finance for the purchase of all personal property by the board. This mechanism provides procedures for requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products.

Accounting: The board accounts for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting. Staff members perform this activity for all funds, both federal and state.

Traveling: Staff members of the board travel both in-state and out-of-state. Before travel, staff members must request and gain approval for the trip. Upon return, staff members request reimbursement for expenses.

Auditing: Code of Alabama 1975, Title 41, Chapter 5 establishes a regular cycle of auditing and examining the financial transactions of every state agency/department by the Examiners of Public Accounts to verify the accuracy of agency information. This process ensures the accountability of government agencies and officials for the expenditure of public funds.

The Audit Division of the board audits the records of all beer and wine wholesalers, conducts physical inventories of the board warehouse and stores, and performs internal audit functions for the board. The Audit Division performs inventory checks and audits board stores on a routine basis. Audits are also performed when a manager change occurs or unusual variances appear in the monthly store stock and cash accountability reports. In addition to counting stock, the Audit Division reviews several areas of the store's operation. Copies of the final report are distributed to the administrator, Product Management Bureau, and Stores Division.

The ABC Board delegates its store operations to eleven districts with Store Management Supervisors located within the respective districts. Each Store Management Supervisor is obliged to audit every ABC store under his/her supervision a minimum of one time a month and file the original copy of the audit form with the Stores Operations Division. The audit encompasses taking cash readings from all cash registers, verifying cash on hand including the change fund, and selecting random codes from the warehouse stock to examine for tampering.

Contracting: In order to purchase supplies and to ensure the performance of certain jobs or services, the board may contract with a company or individual. Code of Alabama

1975, Title 41, Chapter 16 establishes a mechanism to allow all state agencies to establish contracts for supplies, equipment, and services. The state bid law establishes a \$7500 limit over which competitive bidding must take place to establish a contract. Service contracts are exempt from this statute to allow for hiring the most qualified individual or company.

Bidding: Code of Alabama 1975, Sections 41-16-20 through 32 and 41-16-50 through 63 establish a mechanism for local and state agencies to bid for products and services.

Hiring and Recruiting: In order to maintain a quality workforce, the agency advertises and recruits eligible individuals to fill vacant positions.

Compensating: Code of Alabama 1975, Title 41, Chapter 4 establishes the mechanism by which state employees receive their salary by state warrants issued by the Division of Control and Accounts of the Department of Finance. The board is responsible for verifying the correctness of the data and maintains records documenting salary and wages, deductions for taxes, and hours worked.

Benefitting: Code of Alabama 1975, Title 36 establishes the state merit system with its accompanying compensation and benefits package which includes such employer provided benefits as health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits, as well as such administratively supported but employee-funded benefits as additional life and health insurance, tax-deferral plans, automatic deposit, charitable donation deductions, and savings plans.

Supervising: The activities forming the processes of supervising and establishing documentation of an employee's work history include promoting, demoting, evaluating performance, granting leave, and monitoring the accumulation of leave.

Inventorying non-consumable property: According to section 36-16-8 of the Code of Alabama 1975, each agency must send to the State Auditor a list of all non-consumable property valued at more than \$500 excluding books. Each department and agency must account for the property items on their inventory. Examiners of Public Accounts may audit the property and records of property in the agency or at the offices of the State Auditor. The board also has strict inventory control measures for the products in its warehouse and stores.

Leasing/Renting: According to Code of Alabama 1975, Section 41-4-17, the Department of Finance charges rent for use and occupancy of any building owned by the state located in the capitol complex or any other building maintained by Finance. Agencies must negotiate for the lease or rent of their offices if the agencies do not own the property.

Securing property: State agencies, with the assistance of capitol police, are responsible for protecting state property in their care.

Maintaining vehicles: State agencies whose main office or branch offices are located in areas beyond the serviceable limits of the State Motor Pool in Montgomery are allowed to operate an agency motor pool (Code of Alabama 1975, Section 41-17-6). Agencies maintaining state cars must document vehicle maintenance, use, ownership, and disposition. In order to facilitate their respective responsibilities, the agency is authorized to operate state owned vehicles.

Completed: June 1999

Attachment: Organizational Chart

Analysis of Record Keeping System and Records Appraisal of the Alcoholic Beverage Control Board

Sources of Information

Representatives of the Alcoholic Beverage Control Board

Helen Rodgers, Manager, Information Systems

Lee Haddock, Programmer Analyst II, Information Systems

Code of Alabama 1975, Sections 28-3-40 through 28-11-15

Agency Record Keeping System

The Alcoholic Beverage Control Board operates a hybrid system composed of computer systems and paper record-keeping.

Computer Systems: The board's computer system consists of a Honeywell DPS6 mini-computer with a modem and a local area network running Windows NT that consists of an NCR Tower 32/850 mini-computer, a Unisys Windows NT Server, Dell Windows NT Server, and personal computers and cash drawer computers throughout the state. The Honeywell DPS6 was installed in 1982 to provide data entry support and remote job entry dial-up access to the IBM 9672 R94 and R54 computers at the Information Services Division (ISD) of the Department of Finance. The Honeywell is to be retired this year. The NCR Tower 32/850, which was installed in 1981, provides polling support to board stores throughout the state and provides remote job entry and online access to ISD's IBM 9672 R94 and R54. The Unisys Windows NT Server was installed in October, 1997, and provides online access to ISD's computers. The Dell Windows NT Server, which was installed in August, 1998, provides polling support for cash drawer computers throughout the state, and also provides new data entry support to replace the Honeywell. The board is in the process of replacing computers and systems that are not Y2K compliant.

The board performs back-ups of its computer systems as follows: the Honeywell DPS6 is backed-up weekly, with the tape being stored at ISD; the NCR Tower 32/850's dynamic files are backed up daily utilizing six tapes with a Friday rotation; and the Unisys NT Server and Dell Windows NT Server are backed up every Friday with a four tape rotation (most recent back-up remains in office for one week then sent to ISD for one week, then back to the board for two weeks), and all changes are backed up everyday (if a disaster occurs, the most recent weekly back-up is combined with the most recent daily change back-up to recreate the system).

The board is in the process of creating a website. Each division does have an e-mail address through ISD.

Paper-based System: The board continues to maintain most of its records in paper form. The board does not currently include paper records management instructions in its procedures manuals.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alcoholic Beverage Control Board: Temporary Records and Permanent Records. Some of the temporary records created by the Alcoholic Beverage Control Board are discussed below.

I. Temporary Records. Temporary records should be held for what is considered their active life and be disposed of once all fiscal, legal, and administrative requirements have been met.

- **Transitory Records.** These are records created for short-term, internal purposes, as opposed to communications which document the program functions of an agency or perpetuate knowledge. Transitory records do not set policy. They do not establish guidelines or procedures, certify a transaction, or become a receipt. These records are not filed or appropriate for filing because they serve no documentary purpose. Transitory records are messages that might include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of materials sent for information purposes but not needed by the receiving office for future business; and internal communications about department social activities, such as a note to a group going to lunch.

Regulating

- **Monthly Activity Reports.** The reports are two-sided forms used by every agency enforcement officer to record daily activities for the entire month. Information provided includes name of agent, district, title, official base, report period, daily activities engaged in (there are 26 categories), total monthly seizures, and remarks. The other side of the form is used by the agent to make subsistence and per diem claims. The report was initiated in 1988 and is needed for three years after the end of the fiscal year in which the report was made for reference use by the board.
- **Reports of Shortages or Overages of Shipments From Warehouses (Form A-58).** The original and duplicate copies are sent to the central office and data entry personnel adjust the computer inventory records to agree with the information provided on Form A-58. The third copy is to be retained at the store. The reports should be retained until completion of one audit and the release of the audit report.

- **Merchandise Transfer Orders.** Copies of the orders are sent to the Data Processing Division where information on the form is keyed into store inventory files, resulting in the creation of the Daily Merchandise Transfer Reports (series S-54-31). The reports should be retained until completion of one audit and the release of the audit report.
- **Confiscated Merchandise Files.** All board stores are authorized to accept delivery of confiscated liquor and/or wine for temporary storage until cleared by the court. This series consists of confiscated liquor and wine forms used by each store manager to document the receipt of the seized merchandise brought by the enforcement agent. The form provides the date, defendant's name, charges, court, and all information pertaining to the number of bottles, size, code, brand, age, and proof. Copies of this form are distributed to the central office, the Accounting Division, the Enforcement Division, the agent turning in the merchandise when it is released to the ABC Board by the court. In the event that confiscated merchandise is less than the equivalent of one case of liquor/wine, it will be destroyed by the enforcement personnel, resulting in the creation of Affidavits of Destroyed Seized Beverages (series S-54-88). These files should be kept for five years after the final disposition of the confiscated merchandise.
- **Check Guarantee Files.** Guaranteed checks by a commercial bank are primarily used by licensees to make purchases at an ABC wholesale outlet. This series is composed of Check Guarantee Forms used by banks to guarantee that checks drawn on an indicated account will be paid up to a stated amount and tenure (usually one year). Information found on the form includes ABC store number, customer's name and account number, amount guaranteed, beginning date and ending date of guarantee, authorized signature, name and location of the bank, and bank official's name and signature. Also included are cover letters sent by the Director of the Stores Operations Division to authorize the individual ABC store manager to accept checks from the customer based on the guarantee. The files are recommended for retention for one year after the effective date of guarantee.
- **Alcohol License Applications and Tobacco Permit Applications/Renewal Files.** A license renewal file is created for all licensees every year to document the renewal process. Each file may include the following documents: renewal applications, copy of license, and other related materials. In the case of a new licensee, the file may also include initial application forms, lease/property ownership forms, neighborhood sketch sheets, investigation reports, and information about the owner's financial situation. These files retain administrative value for ten years after closure of the file.
- **License Memos.** License memos, which are receipts that are printed in triplicate as part of daily license accounting, include trade name, city, total license fee amount, and fund amounts for state and county information. One copy of the memo is retained with the cashier's daily report, one copy is attached to the renewal application file, and the final is

retained in the license file room. These files are required by the Examiners of Public Accounts for one audit cycle.

- **Statements of Official Cost Incurred For Evidence.** Many times agents are required to assume false identification to make undercover purchases or investigations. This series consists of forms used by each agent to make application for reimbursement of personal funds spent while conducting an investigation. Information found on the form includes name and address of agent, date evidence is purchased, defendant (or licensee) name, specific evidence purchased including quantity, county in which evidence is purchased, purchase price, total amount for reimbursement, and signature of agent. The reports should be retained until completion of one audit and the release of the audit report.
- **Licensee and Permittee Case Files.** These files, usually maintained as individual licensee or permittee files, document all cases brought before the hearing commission or the board. The files may include the following: licensee citation form, inspection report, explanation sheet, record of convictions, list of persons interviewed, sketch of neighborhood and investigation, synopsis of hearing, case settlement option form, correspondence, and other supporting materials such as photographs and police reports. The files are recommended to be retained for five years after the final disposition of the case.
- **Licensee and Permittee Case Files Index Cards.** The index cards, filed alphabetically by licensee/permittee and correspond to the case files. Since each licensee case is filed by an assigned number, this series is designed to identify and locate pertinent information on individual cases when only a licensee's name is given. Each card lists licensee's name, trade name and location, file number, license number, county code, initial citation number, alleged violations, and board/commission action. The cards are recommended to be retained until the disposition of the corresponding case file.

Building Public Awareness

- **Responsible Vendor Program Certification/License Files.** These files contain application forms submitted by licensee to become certified in the Responsible Vendor Program, as well as copies of reports that indicate employees have been trained. The files also include inspection reports. Because a minor is able to file a claim for liability for the remainder of the term of minority plus two years, it is recommended that these files be retained for twenty-five years.
- **Mitigation Files.** These files contain copies of mitigation reports, copies of violation tickets, copies of case settlement option forms, and copies of the letters to licensees citing violations and mitigated fines. Because a minor is able to file a claim for liability for the remainder of the term of minority plus two years, it is recommended that these files be retained for twenty-five years.

- **Store Employer Liquor Liability (SELL) Test Files.** These files contain tests given to all new store employees to insure that they understand policies and laws on responsible and cautious sales of alcoholic beverages. Because a minor is able to file a claim for liability for the remainder of the term of minority plus two years, it is recommended that these files be retained for twenty-five years.

Administering Office Operations

- **Monthly Beer Reports.** These records are created/maintained as a management tool for the staff to monitor the sales of beer to wholesalers located across the state. Information available in these records includes months, names and locations of wholesalers, total numbers of tax units invoiced and received, breakdown of quantities by package sizes. The reports should be retained until completion of one audit and the release of the audit report.
- **Equal Employment Opportunity Commission (EEOC) Files.** These files contain claims of alleged employer wrongdoings by the agency that have been filed with EEOC by current or former employees. EEOC Files should be reviewed by the agency's legal counsel six years after separation of employee from agency to determine continuing legal value of the file to the agency. Files of continuing legal value should be retained and periodically evaluated by the agency's legal counsel to determine files that no longer have continuing value to the agency and that may be disposed of.
- **Litigation Files.** These files consist of cases that have been filed in court and involve the agency, or an employee who is employed by the agency. Litigation files should be reviewed by the agency's legal counsel ten years after close of case to determine continuing legal value of the file to the agency. Files of continuing legal value should be retained and periodically evaluated by the legal counsel for continued value to agency.
- **Board of Adjustment Files.** These files consist of monetary claims brought against the agency through the Board of Adjustment and are necessary for ten years after separation of employee from the agency or ten years after expiration of disputed contract.
- **Personnel Action Files.** These files consist of materials involving potential or actual personnel actions concerning current or former agency employees. The files should be reviewed by the agency's legal counsel six years after separation of employee from agency to determine continuing legal value to the agency. Eligible files should be destroyed. Files of continuing legal value should be retained and periodically evaluated by the legal counsel for continued legal value to agency.
- **Warehouse Claim Report Files.** The Receiving Unit receives trailer load shipments from vendors and notes damaged loads. The Bottle Room receives and processes

damaged bottles from the Receiving Unit. This series consists of W-12 Forms used by either the Supervisor of the Receiving Unit or the Supervisor of the Bottle Room to indicate accountability for deviation or damage to merchandise. Information on the form includes claim number, purchase order, date checked, vendor's name, carrier and truck number, enumeration of cases/bottles found to be broken, cases/bottles over or short, and claim clerk's signature. The information is then keyed into the computer, resulting in the creation of Register of Claims for Damaged Liquor and Wine. They are used by the Accounting Division to charge distillers when appropriate. This series is also used by board auditors when inventorying the warehouse and should be retained three years after the end of the fiscal year in which these reports were created.

- **Wholesale Audit Files.** The wholesale audit files are audit records of wholesalers that sell beer, wine, or both. In addition to the exhibits, schedules, and worksheets that are a part of the audit report, there are various forms and invoices that are required by the board of the wholesaler. These items include reports of beer/wine received from the manufacturer, tax return and cash receipts, certificate of transfer, and stock report. Also included is correspondence from the chief auditor to wholesalers or field audit supervisors concerning the results of the audit. The files are recommended for retention five years.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Promulgating Rules and Regulations

- Permanent records documenting this subfunction are found in the board's approved administrative filings found in the Legislative Reference Service.

Regulating

- **Price Lists.** According to board rules, price changes to alcoholic beverages sold in Alabama are permitted four times a year. The agency directs, on a quarterly basis, the preparation, publication, and distribution of price lists. Information available on these lists usually includes code number, name of brand, proof, age, size, bottle/case price and identification of closeout items. The price list is used by virtually all firms, corporations, or associations holding a liquor or wine license as a guide in determining their purchase from the board. These records document the price of alcohol over time and also which brands were widely available. Because of the importance of the regulation of alcohol and because it is a constant issue, documentation of price and use is important. (RDA page 3-3) **(Bibliographic Title: Price Lists)**
- **Monthly Merchandise Activity Reports.** These reports give a recap of activity for each brand of alcohol handled by the board for the month. The reports summarize numerous

records created by the board on a daily basis. The board utilizes the monthly reports to verify activities over time. The reports will remain in the board's offices.
(RDA page 3-4)

- **Annual Merchandise Activity Reports.** These reports give a yearly recap of activity for each brand of alcohol handled by the board. The reports document sales figures for alcohol and show the popularity of types of alcohol overtime. (RDA page 3-4)
(Bibliographic Title: Annual Merchandise Activity Reports)
- **Annual Licensee Lists.** Licensee lists are compiled on a yearly basis for general information or reference purposes. The list is supplemented twice every year as new licenses are issued. Information available on the list, organized by county, includes county, licensee number, trade name, and location. The lists document locations of stores that sell alcoholic beverages over time. (RDA page 3-5) **(Bibliographic Title: Annual Alcoholic Beverage License Lists)**
- **Criminal Case Files.** The files are composed of case history forms and disposition of case forms. The case history forms, which are used by each enforcement agent after a case has been made, provide a detailed explanation of the violation. Information on the history form includes date of warrant, citation number, date case made, name of county in which violation was detected, offense charged, time and location of arrest, name and other personal data of defendant, witness, total number and capacity of stills, total amount of liquor seized, and a narrative synopsis that shows the circumstances leading up to the arrest of the defendant and/or seizure of the liquor. Disposition of case forms are prepared by the agent within one week after a court has disposed of the case. The form provides defendant's name, county in which case is tried, court hearing the case, docket case number, violation charged, witness, final disposition, and signature of agent. These files document the enforcement of alcohol related laws by the department.

The files may also contain records that are not to be kept permanently. Such records include affidavits of destroyed seized beverages, which only document the destruction of the confiscated merchandise; confiscation of vehicles files, which document actions taken on seized vehicles; notices of confiscated vehicles, which are used by the division to give public notice that a vehicle is seized and retained for confiscation; seized vehicle appraisal forms, which establish a value for the seized vehicle so that bond can be made by the owner of the vehicle pending a court decision on confiscation; vehicle release forms used by the board to release a seized vehicle when cash payment is received or a bond for double the appraisal value of the vehicle is obtained; a copy of the liquor case history file; and court orders. These records may be purged ten years after the final disposition of the case. (RDA page 3-6) **(Bibliographic Title: Criminal Case Files)**

Building Public Awareness

- **Alcohol Awareness Files.** The pamphlets, brochures, and publications in these files document the issues the board sees as important in the fight against alcohol abuse and also document what information is being distributed by the board to increase alcohol awareness. The correspondence and other supporting material may be purged after the completion of an audit. (RDA page 3-6) **(Bibliographic Title: Alcohol Awareness Files)**
- **Store Employer Liquor Liability (SELL) Newsletters.** A semi-annual update letter is published for all store employees to provide training on responsible and cautious sales of alcoholic beverages. The newsletter documents store policy overtime. (RDA page 3-7) **(Bibliographic Title: Store Employer Liquor Liability (SELL) Newsletters)**

Administering Office Operations

- **Administrator/Division Administrative Correspondence.** The correspondence is between the administrator and various divisions concerning the operation of the board. Subjects found in these records include memoranda/directives relating to selling alcoholic beverages to minors, taxes on alcoholic beverages, the Ethics Commission's advisory opinions, and other correspondence received by the administrative office from each division dealing with a wide range of subjects. These records document agency policies and items of interest to the board. (RDA page 3-7) **(Bibliographic Title: Administrative Correspondence Between the Administrator and Divisions)**
- **Administrative Correspondence of the Board.** The correspondence is between the board and other state agencies or private organizations regarding a wide range of subjects important to the administration and operation of the board. The topics include budget, contracts, store openings and closings, employee's insurance and retirement plans, the sunset committee, and policies and procedures. These records document agency policies and items of interest to the board. (RDA page 3-7) **(Bibliographic Title: Administrative Correspondence of the Board)**
- **Meeting Agenda And Minute Books.** The minutes of the Board meetings document both proposed and executed proceedings of the board. Subjects involved in these records usually include changes to the board's rules and regulations, violations of licenses, approval of applications for licenses, selection of alcoholic beverages to be listed for sale, and other related matters. The minutes of meetings for recent years (1970s and after) are recorded in both typescripts and cassette tapes. The minutes of the Board meetings document both proposed and executed proceedings of the board. (RDA page 3-7) **(Bibliographic Title: Meeting Minutes)**

- **Informational And Promotional Publications.** Publications, including the quarterly newsletter, “The Distilled Data,” document agency activities and how the agency sees itself. (RDA page 3-7) **(Bibliographic Title: Informational And Promotional Publications)**

- **News Releases.** News releases consist of typescripts of statements or announcements concerning the board and its work issued for distribution to the news media and the public. The news releases document agency activities and how the agency sees itself. (RDA page 3-8) **(Bibliographic Title: News Releases)**

- **Store Contracts, Leases, and Agreements Files (Not Store Copy).** These files consist of all records related to the negotiation, fulfillment, and termination of leases entered into by the board. Included are leases for each of the stores stating location, lessor's name, monthly rental, tenure of lease, and other related materials such as correspondence, lease proposals, and plans and specifications. These records document store locations over time and are necessary to document effects of location of board store on surrounding populace such as crime rates and property values. (RDA page 3-8) **(Bibliographic Title: Contracts, Leases, and Agreements Related to ABC Stores)**

- **Legislative Files.** These files consist of legislative bills that are assigned to the agency by the Governor’s Office for comments and of bills that are of special interest to the agency. These files are necessary to document the board’s comments on bills as well as the agency’s interests over time. (RDA page 3-9) **(Bibliographic Title: Legislative Files)**

- **Legal Counsel’s Correspondence Files.** These files consist of letters, memoranda, and directives received or sent by the legal office dealing with a wide range of subjects. These records document legal interests and actions of the board over time, but not all of the files are necessary for retention as they contain routine correspondence as well. The agency should create a policy to identify files of continuing value. If necessary, assistance should be requested from the Department of Archives and History. Routine correspondence should be identified by the legal counsel and purged after three years. (RDA page 3-9) **(Bibliographic Title: Correspondence Files of the Legal Counsel)**

- **Records of Tobacco Advisory Board.** These records include correspondence and minutes of the advisory board and are necessary to document the activities of the board. (RDA page 3-9) **(Bibliographic Title: Records of Tobacco Advisory Board)**

- **Annual Financial/Statistical Reports.** The board is obligated to make annual reports to the governor concerning its administration (Ala. Code 28-3-42[b] [1975]). Until 1987 the information on the financial activities of the board was included in the board's annual report. Beginning in 1988, a separate annual financial/statistical report is published by the board in conjunction with the regular annual report that contains, henceforth, only a

condensed version of the financial activities over the past year. Included in these reports are license levy schedules, balance sheets, statements of revenues and expenses, distribution and payment of funds, sources of ABC Board net revenue, analysis of sales, distributions of profit, alcoholic beverage consumption statistics, and other related information. Annual reports document the activities of the agency. (RDA page 3-9)
(Bibliographic Title: Annual Reports)

Completed: June 1999

Permanent Records List
Function: Regulatory
Alcoholic Beverage Control Board

Regulating

1. Price Lists
- *2. Monthly Merchandise Activity Reports
3. Annual Merchandise Activity Reports
4. Annual Licensee Lists
5. Criminal Case Files

Building Public Awareness

1. Alcohol Awareness Files
2. Store Employer Liquor Liability (SELL) Newsletters.

Administering Office Operations

1. Administrator/Division Administrative Correspondence
2. Administrative Correspondence of the Board
3. Meeting Agenda And Minute Books
4. Informational And Promotional Publications
5. News Releases
6. Store Contracts, Leases, and Agreements Files
7. Legislative Files
8. Legal Counsel's Correspondence Files
9. Records of Tobacco Advisory Board
10. Annual Financial/Statistical Reports

*indicates records that ADAH anticipates will remain in the care and custody of the creating agency. (ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.)

Alcoholic Beverage Control Board Records Disposition Authority

This records disposition authority (RDA) lists records created and maintained by the Alcoholic Beverage Control Board in carrying out its mandated functions and subfunctions. The RDA establishes the retention and disposition requirements for those records as approved by the State Records Commission and provides the legal authority for the agency to implement the disposition instructions.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of records in the Alcoholic Beverage Control Board.
- The RDA establishes a minimum time limit for which the documentation of a subfunction must be maintained regardless of the format of that documentation.
- The statement “retain for useful life” means that when records are no longer useful to the agency and have met their fiscal, administrative, and/or legal requirements they should be destroyed.
- Transitory records are those records created for short-term, internal purposes, as opposed to communications which document the program functions of an agency or perpetuate knowledge. They should be retained for their useful life and then destroyed.
- Electronic mail is a communications tool that may record permanent or temporary information. The retention periods for e-mail records are governed by the requirements of the appropriate subfunctional areas to which the records belong.
- Many temporary records listed within the Administering Office Operations subfunction of this RDA represent duplicate copies of long-term and/or permanent records maintained by other agencies. The retention of those long-term and/or permanent records maintained by other agencies are reflected on their RDAs.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alcoholic Beverage Control Board and lists records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

■ **Promulgating Rules and Regulations**

Administrative Procedures Rule Filings

Disposition: Temporary Record. Retain 3 years.

Register of Administrative Rules

Disposition: Retain in Office (Code of Alabama 1975, Sections 34-26-21 and 34-26-22).

■ **Regulating**

General:

Monthly Activity Reports

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the report was made. (Any report that serves as evidence in a legal case should be retained until final disposition of case.)

Proposed Store Files

Disposition: Temporary Record. Retain 3 years.

Purchasing/Distributing:

Credit Card Slips/Totals/Reports

Disposition: Temporary Record. Retain 3 years.

Registers of Shortages/Overages of Monthly Shipments

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Monthly Wholesale Reports

Disposition: Temporary Record. Retain 3 years.

Purchase Orders Outstanding Daily Reports

Disposition: Temporary Record. Retain until superceded.

Distiller Discount Files

Disposition: Temporary Record. Retain 3 years.

Alcoholic Beverage Purchase Orders

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Monthly Statewide Cash Sales Printouts (Ten Month Case Sales Reports)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Price Lists From Other States

Disposition: Temporary Record. Retain until superseded, obsolete, or no longer useful.

PRICE LISTS

Disposition: PERMANENT RECORD.

Military Price Lists

Disposition: Temporary Record. Retain 3 years.

Retired Price Quotations

Disposition: Temporary Record. Retain 6 years after superceded.

Price Quotations (Form M-10 Proposed Listings)

Disposition: Temporary Record. Retain 3 months.

Weekly Store Sales and Inventory Reports

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Special Liquor Orders Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Monthly Delisted Items Lists

Disposition: Temporary Record. Retain 1 year.

Military Merchandise Invoices

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Warehouse Activity Records (Daily Loading Sheets; Daily Merchandise Receiving Reports; Receiving Unloading Sheets/Reports; Daily Warehouse Inventory/Activities Reports; Daily Warehouse Reports; Daily Docking Schedule; Daily Work Logs)

Disposition: Temporary Record. Retain 5 years.

Equipment and Supplies Transfer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Monthly Forklift Battery Readings

Disposition: Temporary Record. Retain for life of battery.

Daily Work Assignment Sheets/Call-In Sheets

Disposition: Temporary Record. Retain 1 year.

Monthly Pallet Records

Disposition: Temporary Record. Retain 1 year.

Notices of Return of Merchandise to Vendors (Form A-57)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Merchandise Invoices

Disposition: Temporary Record. Retain 5 years.

Receiving Discrepancy Reports

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Carrier's Freight Rates

Disposition: Temporary Record. Retain until superceded.

Warehouse Inventory Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Store Inventory and Inspection Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

MONTHLY MERCHANDISE ACTIVITY REPORTS

Disposition: PERMANENT RECORD.

ANNUAL MERCHANDISE ACTIVITY REPORTS

Disposition: PERMANENT RECORD.

Daily Performance Summary

Disposition: Temporary Record. Retain 1 year.

Credit Sales Files

Disposition: Temporary Record. Retain 4 years.

Registers of Store Differences

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Daily Merchandise Transfer Reports

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Reports of Loss And Damage Claims (Form S-9a blue copy)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Reports of Shortages or Overages of Shipments From Warehouses (Form A-58) (Store and Central Office Copy)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Merchandise Transfer Orders

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Supervisor's Audit Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Confiscated Merchandise Files

Disposition: Temporary Record. Retain 5 years after final disposition of confiscated merchandise.

Check Guarantee Files

Disposition: Temporary Record. Retain 1 year after the effective date of guarantee.

Licensing:

ANNUAL LICENSEE LISTS

Disposition: PERMANENT RECORD.

Alcohol License Applications and Tobacco Permit Applications/Renewal Files

Disposition: Temporary Record. Retain 10 years after closure.

Bi-weekly New Licensee Lists

Disposition: Temporary Record. Retain until the completion of the annual licensee list.

Monthly Recapitulations of License Activity

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created..

Daily License Activity Logs

Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the records were created.

License Section Daily Summaries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

License Memos

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Registers of Issued Licenses

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Forfeited Filing Fee Receipts

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

County License Fee Schedule

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Voided Licenses

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created..

Enforcing:

Statements of Official Cost Incurred For Evidence

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Licensee and Permittee Case Files

Disposition: Temporary Record. Retain 5 years after the final disposition of the case.

Card Index to Licensee and Permittee Case Files

Disposition: Temporary Record. Retain 5 years after disposition of case.

CRIMINAL CASE FILES

Disposition: PERMANENT RECORD. Purge files of Affidavits of Destroyed Seized Beverages and Confiscation of Vehicles Files 10 years after final disposition of the case (Remaining record should consist of case history forms and case disposition forms).

■ **Building Public Awareness**

ALCOHOL AWARENESS FILES

Disposition: PERMANENT RECORD. Purge files of correspondence and supporting materials 3 years after the end of the fiscal year in which the records were created. (Remaining record should consist of pamphlets, brochures and publications).

General Correspondence Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Certificate of Deposit Reports (CDR) & Surcharge Receipts Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Certification/License Files

Disposition: Temporary Record. Retain 25 years.

Mitigation Files

Disposition: Temporary Record. Retain 25 years.

Store Employer Liquor Liability Test Files (SELL)

Disposition: Temporary Record. Retain 25 years.

STORE EMPLOYER LIQUOR LIABILITY (SELL) NEWSLETTERS

Disposition: PERMANENT RECORD.

Training Materials Files

Disposition: Temporary Record. Retain for useful life.

■ **Administering Office Operations**

General:

General Administrative Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Press Service Clipping Files

Disposition: Temporary Record. Retain for useful life.

Printing Service Files

Disposition: Temporary Record. Printing Request Forms: Retain 3 years. Other Materials: Retain until superseded or no longer useful.

ADMINISTRATOR/DIVISION ADMINISTRATIVE CORRESPONDENCE

Disposition: PERMANENT RECORD.

National Alcoholic Beverage Control Association Files

Disposition: Temporary Record. Retain for useful life.

ADMINISTRATIVE CORRESPONDENCE OF THE BOARD

Disposition: PERMANENT RECORD.

MEETING AGENDA AND MINUTE BOOKS

Disposition: PERMANENT RECORD. Retain cassette tapes until minutes are transcribed and approved.

INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

NEWS RELEASES

Disposition: PERMANENT RECORD.

STORE CONTRACTS, LEASES, AND AGREEMENTS FILES (Not Store Copy)

Disposition: PERMANENT RECORD.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Personnel Subject Files

Disposition: Temporary Record. Retain 5 years.

Telephone Logs

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Daily Point-of-Sale Polling Reports

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Monthly Beer Reports

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Representing:

EEOC Files

Disposition: Temporary Record. Retain 6 years after separation of employee from agency, or until no longer useful, whichever is longer.

Litigation Files

Disposition: Temporary Record. Retain 10 years or until no longer useful, whichever is longer.

LEGISLATIVE FILES

Disposition: PERMANENT RECORD.

Board of Adjustment Files

Disposition: Temporary Record. Retain 10 years after separation of employee from agency or 10 years after expiration of contract.

Personnel Action Files

Disposition: Temporary Record. Retain 6 years after separation of employee from agency, or until no longer useful, whichever is longer.

LEGAL COUNSEL'S CORRESPONDENCE FILES

Disposition: PERMANENT RECORD. Purge files of routine correspondence 3 years after the end of the fiscal year in which the records were created.

RECORDS OF TOBACCO ADVISORY BOARD

Disposition: PERMANENT RECORD.

State Safety Coordinating Committee Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Reporting:

ANNUAL FINANCIAL/STATISTICAL REPORTS

Disposition: PERMANENT RECORD.

Managing Records:

Records documenting the implementation of the agency's approved RDA, including copies of transmittals for records transmitted to the State Records Center, records transferred to ADAH, and the agency's annual report to the State Records Commission

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

Managing Information Systems and Technology:

System Documentation (hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which all records of continuing value have been migrated to current system. (Includes records on backup tapes).

Budgeting:

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Purchasing:

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Accounting:

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury (includes petty cash fund files and recycling transaction files)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Monthly General and Subsidiary Ledgers

Disposition: Temporary Record. Retain 10 years.

Credit Sales Files

Disposition: Temporary Record. Retain 4 years.

Cashier's Daily Report Files

Disposition: Temporary Record. Retain 4 years.

Monthly Financial Statements

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Accounting Reports (Monthly Store Stock/Cash Accountability; Store Sales/Inventory; Warehouse Claim; Monthly Wine and Liquor Statistical Reports)

Disposition: Temporary record. Retain 3 years after the end of the fiscal year in which the records were created.

Warehouse Claim Report Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Register of Claims for Damaged Liquor and Wine

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Printouts Pertaining to the Sale of Alcoholic Beverages to Determine Revenue

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Registers of Store Differences

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Reports of Loss And Damage Claims (Form S-9a)

Disposition: Temporary Record. Accounting/white copy: Retain 3 years after the end of the fiscal year in which the records were created.; Information Systems/pink copy: Retain until completion of register of store differences.

Traveling:

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Auditing:

Agency Audit Report Issued By Examiners of Public Accounts

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Registers of Store Differences (Audit Section copy)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Warehouse Inventory Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Wholesale Audit Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

Store Inventory and Inspection Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Contracting:

Records documenting contracts for supplies, equipment, and services

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Bidding:

Records documenting the bid process, including requests for proposals and unsuccessful responses

Disposition: Retain in office (Code of Alabama 1975, Sections 41-16-14 to 41-16-20).

Hiring and recruiting:

Job recruitment materials

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Compensating:

Records documenting salary and wages

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting employee hours worked, leave earned, and leave taken

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of final leave status

Disposition: Temporary Record. Retain record of individual employees' cumulative leave 6 years after separation of employee from the agency.

Benefitting:

Records documenting payroll deductions for tax purposes

Disposition: Temporary Record. Retain 5 years after tax year.

Records documenting the administration of the unemployment compensation program

Disposition: Temporary Record. Retain 5 years after creation.

Records documenting the worker's compensation program

Disposition: Temporary Record. Retain 12 years after creation.

Records documenting the State Employee Injury Compensation Trust Fund claims

Disposition: Temporary Record. Retain 35 years after creation.

Supervising:

Records documenting an employee's work history - generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of an employee from the agency.

Employee Medical Records

Disposition: Temporary Record. Retain 6 years after separation of an employee from the agency.

Records documenting the employee appeal to the Personnel Board of formal reprimands, personnel suits, demotions, transfers, or terminations

Disposition: Temporary Record. Retain 5 years following decision of Personnel Board.

Position Classification Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Personnel Address Forms

Disposition: Temporary Record. Retain until superseded or separation of employee.

Inventorying Non-consumable Property:

Semiannual Inventory Lists

Disposition: Retain in office. (Code of Alabama 1975, Section 36-16-8[1])

Agency Copies of Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Inventory Cards

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Property Inventory Affidavits

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Agent Equipment Registers

Disposition: Temporary Record. Retain 4 years following the separation of an employee.

District Office Equipment Registers (Form A.B.C.E. 30)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Leasing/Renting Property:

Records documenting the lease or rental of office or warehouse space for the department

Disposition: Temporary Record. Retain 6 years after expiration of the lease.

Protecting State Property:

Surveillance Camera Tapes

Disposition: Temporary Record. Retain until final disposition of all investigations/cases for which they provide evidence.

Maintaining vehicles:

Records documenting the use, maintenance, ownership, and disposition of vehicles owned by the department

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the vehicle was removed from the property inventory or 3 years after submission of the final federal financial report, whichever is longer.

Alcoholic Beverage Control Board Records Disposition Authority - Store Administration

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alcoholic Beverage Control Board Stores Administration Division, and lists records created and/or maintained by the division as a result of activities and transactions performed in carrying out these subfunctions.

■ **Regulating**

Credit Card Slips/Totals/Reports

Disposition: Temporary Record. Retain 3 years.

Registers of Shortages/Overages of Monthly Shipments

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Equipment and Supplies Transfer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Store Inventory and Inspection Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Reports of Loss And Damage Claims (Form S-9a store/blue copy)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Reports of Shortages or Overages of Shipments From Warehouses (Form A-58) (Store Copy and Central Office Copy)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Merchandise Transfer Orders

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Supervisor's Audit Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Confiscated Merchandise Files

Disposition: Temporary Record. Retain 5 years after final disposition of confiscated merchandise.

Check Guarantee Files

Disposition: Temporary Record. Retain 1 year after the effective date of guarantee.

■ **Administering Office Operations**

General:

Store Contracts, Leases, and Agreements (Store Copy)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the contracts, leases, or agreements were terminated.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Accounting:

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury (includes petty cash fund files and recycling transaction files)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Cashier's Daily Report Files

Disposition: Temporary Record. Retain 4 years.

Monthly Financial Statements

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Accounting Reports (Monthly Store Stock/Cash Accountability; Store Sales/Inventory; Warehouse Claim)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Traveling:

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Hiring and recruiting staff:

Job recruitment materials

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Position Classification Questionnaire Files (Form 40)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Compensating:

Records documenting salary and wages

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting employee hours worked, leave earned, and leave taken

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of final leave status

Disposition: Temporary Record. Retain record of individual employees' cumulative leave 6 years after separation of employee from the agency.

Supervising:

Records documenting an employee's work history - generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of an employee from the agency.

Records documenting the employee appeal to the Personnel Board of formal reprimands, personnel suits, demotions, transfers, or terminations

Disposition: Temporary Record. Retain 5 years following decision of Personnel Board.

Position Classification Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year after the record is superseded.

Personnel Address Forms

Disposition: Temporary Record. Retain until superseded or separation of employee.

Inventorying Non-consumable Property:

Semiannual Inventory Lists

Disposition: Retain in office. (Code of Alabama 1975, Section 36-16-8[1])

Agency Copies of Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Inventory Cards

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Affidavits

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Approval of Records Disposition Authority

By signing this agreement the Alcoholic Beverage Control Board acknowledges its responsibilities in the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Alcoholic Beverage Control Board will designate a managerial position as the agency records officer. The position is responsible for ensuring the development of quality record keeping systems that meet the business and legal needs of the department, for coordinating the transfer and destruction of records, and for ensuring the regular implementation of the agency's approved RDA.
- The Alcoholic Beverage Control Board agrees to develop procedures for regular implementation, to document the destruction of the records, and to submit a report on its records management activities to the State Records Commission in July of each year.
- Despite the provisions of this authorization, no records may be destroyed that are necessary for agency compliance with requirements of the state Sunset Act, agency audit, and any legal notice, or subpoena.
- The Alcoholic Beverage Control Board will make every effort to maintain permanent records in a secure environment, in a usable order, and under environmental conditions that will ensure their continued preservation, while in the custody of the board.
- The Alcoholic Beverage Control Board agrees to allow the State Records Commission, its staff, and the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the board and to inspect documentation on the destruction of public records.

By: _____ Date: _____
Randall C. Smith, Administrator
Alcoholic Beverage Control Board

By: _____ Date: _____
Edwin C. Bridges, Chairman
State Records Commission