

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**Issued to: Liquor Control, Dept. of**

**Published: 10/7/2011**



Vermont State Archives and Records Administration

Vermont Office of the Secretary of State

[www.vermont-archives.org/records/schedules](http://www.vermont-archives.org/records/schedules)

**AGENCY SPECIFIC RECORD SCHEDULE FOR: Liquor Control, Dept. of**

- Authority:** A custodian of public records shall not destroy, give away, sell, discard, or damage any record or records in his or her charge, unless specifically authorized by law or under a record schedule approved by the state archivist pursuant to subdivision 117(a)(5) of Title 3. (1 V.S.A. § 317a)
- Scope:** This agency specific record schedule is applicable only to the records listed on this record schedule that are produced or acquired during the course of agency business. Records are any written or recorded information, regardless of physical form or characteristics, and includes electronic or digital records and data. (1 V.S.A. § 317)
- Use:** This is an agency specific record schedule (SRS). The agency (Liquor Control, Dept. of) may develop its own internal policies and procedures to assure that the requirements outlined in this record schedule are being applied across the agency. Records that need to be retained until OBSOLETE must be supported by an internal policy that clearly states a specific retention requirement that best meets the agency's administrative needs. Specific Record Schedule (SRS) numbers shall be cited in all internal policies to demonstrate compliance with 1 V.S.A. § 317a.
- Exemptions:** It is the policy of Title 1, Chapter 5, Subchapter 3 of Vermont Statutes Annotated to provide for free and open examination of records consistent with Chapter 1, Article 6 of the Vermont Constitution. All people, however, have a right to privacy in their personal and economic pursuits, which ought to be protected unless specific information is needed to review the action of a governmental officer. Some records listed on this record schedule may be exempt from public inspection and copying for this reason. Security measures to protect records and information from unauthorized access, use, and disclosure are necessary if the records are exempt pursuant to 1 V.S.A. §§ 315-320. Please see Appendix B for Access Requirements and Appendix E for related legal references regarding exemptions from public inspection and copying.
- Retention:** This agency specific record schedule reflects the retention and disposition requirements for the following records regardless of their media, format, or mode of transmission. Duplicate records within the same agency that are used for specific legal, fiscal, or administrative purposes may be either retained using the retention requirement listed in this schedule or in accordance to an internal policy. Any copies of records made only for convenience of reference or informational purposes may be discarded when no longer needed unless otherwise directed through an internal policy. Duplicates or copies of records shall not be retained longer than the original records.

**Adopted by:**

**Signature on file. Adopted by Commissioner Hogan on September 26, 2011.**

*Michael Hogan, Commissioner / Liquor Control, Dept. of*

\_\_\_\_\_  
*Date*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1490.1033: Liquor Law Enforcement Records**

*SRS-1490.1033: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the enforcement of laws and rules concerning alcoholic beverages or the conditions of liquor licenses or permits through regular compliance checks, hearings for licensees found noncompliant, and the application of corrective actions or imposition of penalties for violation of laws and rules.*

**Classification:** Liquor distribution system (Enforcing)

**Retention:** Retain complaints; enforcement reports, including administrative complaints and letters submitted to the license holder; warrants issued allowing a location to be searched; waivers submitted by license holders waiving their right to a hearing; decisions and orders related to complaints; and substantive correspondence until the case is closed, plus an additional six (6) years, then destroy.

If a settlement agreement is entered into between the Department of Liquor Control and the licensee, retain all substantive records relating to the case until the agreement has expired, plus an additional six (6) years, then destroy.

Authorizations required for participation in enforcement activities shall be retained until expired, plus one (1) additional year, then destroyed. Retain requests for hearings, legal notices, exhibits, and materials introduced as evidence in hearings until the matter is closed, plus one (1) additional year, then destroy.

Registers or systems that serve as the formal list of complaints shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

Routine correspondence that does not relate to hearing outcomes or other decisions shall be retained until no longer needed administratively.

**Public Access:** General

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1490.1033 (see APPENDIX E for related legal references)**

| <b>Record Category/Type</b>  | <b>Applicability/Use:</b>  | <b>Appraised Value:</b> | <b>Retention/Disposition:</b>                                       |
|--|--|-------------------------|---|
| <b>SRS-1490.1033.5</b><br><b>Agreements</b><br>Public Access: <i>General</i>       | Use for settlement agreement entered into between licensee and Department of Liquor Control    | Temporary (Legal)       | RETAIN UNTIL: Expired<br>PLUS: 6 Year(s)<br>THEN: Destroy (General) |
| <b>SRS-1490.1033.141</b><br><b>Authorizations</b><br>Public Access: <i>General</i> | Use for authorizations required for compliance checks, including "Action to Minors" paperwork. | Temporary (Legal)       | RETAIN UNTIL: Expired<br>PLUS: 1 Year(s)<br>THEN: Destroy (General) |

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|                                     |   |                            |                                |
|-------------------------------------|---|----------------------------|--------------------------------|
| <b>SRS-1490.1033.24</b>             | Use for complaints made against licensees, including denial of charges.   | Temporary (Legal)          | RETAIN UNTIL: Completed/Closed |
| <b>Complaints</b>                   |   |                            | PLUS: 6 Year(s)                |
| Public Access: <i>General</i>       |   |                            | THEN: Destroy (General)        |
| <b>SRS-1490.1033.28</b>             | Use for routine correspondence that is not otherwise specified on this schedule.  | Temporary (Administrative) | RETAIN UNTIL: Obsolete         |
| <b>Correspondence (Routine)</b>     |   |                            | PLUS: 0 Year(s)                |
| Public Access: <i>General</i>       |   |                            | THEN: Destroy (General)        |
| <b>SRS-1490.1033.53</b>             | Use for correspondence that has significant administrative value and/or supports decisions related to the application of corrective actions or imposition of penalties for unsatisfactory or unprofessional performances. | Temporary (Administrative) | RETAIN UNTIL: Completed/Closed |
| <b>Correspondence (Substantive)</b> |   |                            | PLUS: 6 Year(s)                |
| Public Access: <i>General</i>       |   |                            | THEN: Destroy (General)        |
| <b>SRS-1490.1033.133</b>            | Use for findings of fact, conclusions, orders, and other records documenting decisions, including decisions to dismiss a complaint.   | Temporary (Legal)          | RETAIN UNTIL: Completed/Closed |
| <b>Decisions</b>                    |   |                            | PLUS: 6 Year(s)                |
| Public Access: <i>General</i>       |   |                            | THEN: Destroy (General)        |
| <b>SRS-1490.1033.136</b>            | Use for copies of documentary evidence introduced as part of a proceeding.  | Temporary (Legal)          | RETAIN UNTIL: Completed/Closed |
| <b>Evidence</b>                     |   |                            | PLUS: 1 Year(s)                |
| Public Access: <i>General</i>       |   |                            | THEN: Destroy (General)        |
| <b>SRS-1490.1033.40</b>             | Use for any documentary material gathered or received as part of an investigation. See "evidence" for copies of documentary material introduced as evidence in a proceeding.  | Temporary (Legal)          | RETAIN UNTIL: Completed/Closed |
| <b>Exhibits</b>                     |   |                            | PLUS: 1 Year(s)                |
| Public Access: <i>General</i>       |   |                            | THEN: Destroy (General)        |
| <b>SRS-1490.1033.50</b>             | Use for all notices required by law issued in relation to enforcement activities.   | Temporary (Legal)          | RETAIN UNTIL: Completed/Closed |
| <b>Notices, Legal</b>               |   |                            | PLUS: 1 Year(s)                |
| Public Access: <i>General</i>       |   |                            | THEN: Destroy (General)        |
| <b>SRS-1490.1033.81</b>             | Use for registries, recording books and similar records, and systems that track complaints, including complaint status and other relevant information.  | Conditional Archival       | RETAIN UNTIL: Superseded       |
| <b>Registers</b>                    |   |                            | PLUS: 0 Year(s)                |
| Public Access: <i>General</i>       |   |                            | THEN: Confirm                  |

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|---|--|--------------------------|---|
| <p><b>SRS-1490.1033.144</b><br/> <b>Reports</b><br/>         Public Access: <i>General</i></p>  | <p>Use for reports following a compliance check. Includes supporting material such as copies of Civil and Administrative Violation Complaints, and letters submitted to license holder alerting them to the results of a compliance check.</p> | <p>Temporary (Legal)</p> | <p>RETAIN UNTIL: Completed/Closed<br/>         PLUS: 6 Year(s)<br/>         THEN: Destroy (General)</p> |
| <p><b>SRS-1490.1033.139</b><br/> <b>Requests</b><br/>         Public Access: <i>General</i></p> | <p>Use for requests for hearing.</p>   | <p>Temporary (Legal)</p> | <p>RETAIN UNTIL: Completed/Closed<br/>         PLUS: 1 Year(s)<br/>         THEN: Destroy (General)</p> |
| <p><b>SRS-1490.1033.150</b><br/> <b>Waivers</b><br/>         Public Access: <i>General</i></p>  | <p>Use for waivers issued if licensee waives their right to a hearing.</p>   | <p>Temporary (Legal)</p> | <p>RETAIN UNTIL: Completed/Closed<br/>         PLUS: 6 Year(s)<br/>         THEN: Destroy (General)</p> |
| <p><b>SRS-1490.1033.102</b><br/> <b>Warrants</b><br/>         Public Access: <i>General</i></p> | <p>Use for warrants issued to allow for the search of a location suspected of selling or distributing liquor illegally.</p>  | <p>Temporary (Legal)</p> | <p>RETAIN UNTIL: Completed/Closed<br/>         PLUS: 6 Year(s)<br/>         THEN: Destroy (General)</p> |

*SRS-1490.1033 was approved by the Vermont State Archivist on 9/22/2011.*

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1490.1059: Liquor Licenses and Permits**

*SRS-1490.1059: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the licensing of individuals or entities to manufacture, sell, transport, furnish, import, export, deliver and possess malt and vinous beverages, spirituous liquors and alcohol in the State of Vermont, including related permits and Certificates of Approval.*

**Classification:** Liquor distribution system (Licensing)

**Retention:** Retain applications, substantive correspondence, and records of decisions, including any copies of licenses or permits, until license is expired or denied, plus 1 (one) year, then destroy.

Registers or systems that serve as the formal list of liquor licensees shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

Retain routine correspondence related to licensees and incomplete or withdrawn applications until no longer needed administratively.

**Public Access:** General

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1490.1059 (see APPENDIX E for related legal references)**

| <b>Record Category/Type</b>   | <b>Applicability/Use:</b>  | <b>Appraised Value:</b>    | <b>Retention/Disposition:</b>  |
|---|--|----------------------------|--|
| <b>SRS-1490.1059.8</b><br><b>Applications</b><br>Public Access: <i>General</i>                  | Use for license, permit, and certificate of approval applications and additional documentation submitted by the applicant. Includes recorded evidence of approvals that may be required from municipalities and other public bodies, including the Liquor Control Board, prior to the issuance of any license. | Temporary (Legal)          | RETAIN UNTIL: Expired<br>PLUS: 1 Year(s)<br>THEN: Destroy (General)          |
| <b>SRS-1490.1059.28</b><br><b>Correspondence (Routine)</b><br>Public Access: <i>General</i>     | Use for routine correspondence that is not otherwise specified on this schedule.   | Temporary (Administrative) | RETAIN UNTIL: Completed/Closed<br>PLUS: 0 Year(s)<br>THEN: Destroy (General) |
| <b>SRS-1490.1059.53</b><br><b>Correspondence (Substantive)</b><br>Public Access: <i>General</i> | Use for correspondence that has significant administrative value and/or is essential to supporting a final licensing decision. Includes executive-level correspondence.  | Temporary (Administrative) | RETAIN UNTIL: Expired<br>PLUS: 1 Year(s)<br>THEN: Destroy (General)          |

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| <p><b>SRS-1490.1059.133</b><br/> <b>Decisions</b><br/> Public Access: <i>General</i></p> | <p>Use for licenses, permits, certificates of approval, and similar authorizations issued, denied or withdrawn.</p>  | <p>Temporary (Legal)</p>          | <p>RETAIN UNTIL: Expired<br/> PLUS: 1 Year(s)<br/> THEN: Destroy (General)</p> |
| <p><b>SRS-1490.1059.54</b><br/> <b>Licenses</b><br/> Public Access: <i>General</i></p>   | <p>Use for the license maintained by the agency as proof of licensure by the vendor.</p>   | <p>Temporary (Legal)</p>          | <p>RETAIN UNTIL: Expired<br/> PLUS: 1 Year(s)<br/> THEN: Destroy (General)</p> |
| <p><b>SRS-1490.1059.66</b><br/> <b>Permits</b><br/> Public Access: <i>General</i></p>    | <p>Use for permits and similar permissions issued to second class licensees and licensed manufacturer or rectifier of vinous or malt beverages for activities such as advertising, beverage tasting events, etc. Includes initial application. Also use for solicitor's permits allowing promotion of sales of or solicitations of orders for malt and vinous beverages.</p> | <p>Temporary (Legal)</p>          | <p>RETAIN UNTIL: Expired<br/> PLUS: 1 Year(s)<br/> THEN: Destroy (General)</p> |
| <p><b>SRS-1490.1059.81</b><br/> <b>Registers</b><br/> Public Access: <i>General</i></p>  | <p>Use for registries, recording books and similar records, and systems that track licensees, including license status and other relevant information.</p>   | <p>Temporary (Administrative)</p> | <p>RETAIN UNTIL: Superseded<br/> PLUS: 0 Year(s)<br/> THEN: Confirm</p>        |

**SRS-1490.1059 was approved by the Vermont State Archivist on 9/22/2011.**

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1504.1033: Tobacco Law Enforcement Records**

*SRS-1504.1033: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the enforcement of laws and rules concerning tobacco products through regular compliance checks, hearings for licensees found noncompliant, and the application of corrective actions or imposition of penalties for violation of laws and rules.*

**Classification:** Tobacco products (Enforcing)

**Retention:** Retain complaints; enforcement reports, including administrative complaints and letters submitted to the license holder; warrants issued allowing a location to be searched; waivers submitted by license holders waiving their right to a hearing; decisions and orders related to complaints; and substantive correspondence until the case is closed, plus an additional six (6) years, then destroy.

If a settlement agreement is entered into between the Department of Liquor Control and the licensee, retain all substantive records relating to the case until the agreement has expired, plus an additional six (6) years, then destroy.

Authorizations required for participation in enforcement activities shall be retained until expired, plus one (1) additional year, then destroyed. Retain requests for hearings, legal notices, exhibits, and materials introduced as evidence in hearings until the matter is closed, plus one (1) additional year, then destroy.

Registers or systems that serve as the formal list of complaints shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

Routine correspondence that does not relate to hearing outcomes or other decisions shall be retained until no longer needed administratively.

**Public Access:** General

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1504.1033 (see APPENDIX E for related legal references)**

| <b>Record Category/Type</b>  | <b>Applicability/Use:</b>  | <b>Appraised Value:</b> | <b>Retention/Disposition:</b>                                       |
|--|--|-------------------------|---|
| <b>SRS-1504.1033.5</b><br><b>Agreements</b><br>Public Access: <i>General</i>       | Use for settlement agreements entered into between licensee and Department of Liquor Control.  | Temporary (Legal)       | RETAIN UNTIL: Expired<br>PLUS: 6 Year(s)<br>THEN: Destroy (General) |
| <b>SRS-1504.1033.141</b><br><b>Authorizations</b><br>Public Access: <i>General</i> | Use for authorizations required for compliance checks, including "Action to Minors" paperwork. | Temporary (Legal)       | RETAIN UNTIL: Expired<br>PLUS: 1 Year(s)<br>THEN: Destroy (General) |

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| <p><b>SRS-1504.1033.24</b><br/> <b>Complaints</b><br/> Public Access: <i>General</i></p>                  | <p>Use for complaints made against licensees, including denial of charges.</p>   | <p>Temporary (Legal)</p>          | <p>RETAIN UNTIL: Completed/Closed<br/> PLUS: 6 Year(s)<br/> THEN: Destroy (General)</p> |
| <p><b>SRS-1504.1033.28</b><br/> <b>Correspondence (Routine)</b><br/> Public Access: <i>General</i></p>    | <p>Use for routine correspondence that is not otherwise specified on this schedule.</p>  | <p>Temporary (Administrative)</p> | <p>RETAIN UNTIL: Obsolete<br/> PLUS: 0 Year(s)<br/> THEN: Destroy (General)</p>         |
| <p><b>SRS-1504.1033.53</b><br/> <b>Correspondence (Substantive)</b><br/> Public Access: <i>Review</i></p> | <p>Use for correspondence that has significant administrative value and/ or supports decisions related to the application of corrective actions or the imposition of penalties for</p> | <p>Temporary (Administrative)</p> | <p>RETAIN UNTIL: Completed/Closed<br/> PLUS: 6 Year(s)<br/> THEN: Destroy (General)</p> |
| <p><b>SRS-1504.1033.133</b><br/> <b>Decisions</b><br/> Public Access: <i>General</i></p>                  | <p>Use for findings of fact, conclusions, orders, and other records documenting decisions, including decisions to dismiss a complaint.</p>   | <p>Temporary (Legal)</p>          | <p>RETAIN UNTIL: Completed/Closed<br/> PLUS: 6 Year(s)<br/> THEN: Destroy (General)</p> |
| <p><b>SRS-1504.1033.136</b><br/> <b>Evidence</b><br/> Public Access: <i>General</i></p>                   | <p>Use for copies of documentary evidence introduced as part of a proceeding.</p>  | <p>Temporary (Legal)</p>          | <p>RETAIN UNTIL: Completed/Closed<br/> PLUS: 1 Year(s)<br/> THEN: Destroy (General)</p> |
| <p><b>SRS-1504.1033.40</b><br/> <b>Exhibits</b><br/> Public Access: <i>General</i></p>                    | <p>Use for any documentary material gathered or received as part of an investigation. See "evidence" for copies of documentary material introduced as evidence in a proceeding.</p>    | <p>Temporary (Legal)</p>          | <p>RETAIN UNTIL: Completed/Closed<br/> PLUS: 1 Year(s)<br/> THEN: Destroy (General)</p> |
| <p><b>SRS-1504.1033.50</b><br/> <b>Notices, Legal</b><br/> Public Access: <i>General</i></p>              | <p>Use for all notices required by law issued in relation to enforcement activities.</p>   | <p>Temporary (Legal)</p>          | <p>RETAIN UNTIL: Completed/Closed<br/> PLUS: 1 Year(s)<br/> THEN: Destroy (General)</p> |
| <p><b>SRS-1504.1033.81</b><br/> <b>Registers</b><br/> Public Access: <i>General</i></p>                   | <p>Use for registries, recording books and similar records, and systems that track complaints, including complaint status and other relevant information.</p>                          | <p>Conditional Archival</p>       | <p>RETAIN UNTIL: Superseded<br/> PLUS: 0 Year(s)<br/> THEN: Confirm</p>                 |



**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

|   |  |                          |   |
|---|--|--------------------------|---|
| <p><b>SRS-1504.1033.144</b><br/> <b>Reports</b><br/> Public Access: <i>General</i></p>  | <p>Use for reports following a compliance check. Includes supporting material such as copies of Civil and Administrative Violation Complaints, and letters submitted to license holder alerting them to the results of a compliance check.</p> | <p>Temporary (Legal)</p> | <p>RETAIN UNTIL: Completed/Closed<br/> PLUS: 6 Year(s)<br/> THEN: Destroy (General)</p> |
| <p><b>SRS-1504.1033.139</b><br/> <b>Requests</b><br/> Public Access: <i>General</i></p> | <p>Use for requests for hearing.</p>   | <p>Temporary (Legal)</p> | <p>RETAIN UNTIL: Completed/Closed<br/> PLUS: 1 Year(s)<br/> THEN: Destroy (General)</p> |
| <p><b>SRS-1504.1033.150</b><br/> <b>Waivers</b><br/> Public Access: <i>General</i></p>  | <p>Use for waivers issued if licensee waives their right to a hearing.</p>   | <p>Temporary (Legal)</p> | <p>RETAIN UNTIL: Completed/Closed<br/> PLUS: 6 Year(s)<br/> THEN: Destroy (General)</p> |
| <p><b>SRS-1504.1033.102</b><br/> <b>Warrants</b><br/> Public Access: <i>General</i></p> | <p>Use for warrants issued to allow for the search of a location suspected of selling or distributing tobacco illegally.</p>   | <p>Temporary (Legal)</p> | <p>RETAIN UNTIL: Completed/Closed<br/> PLUS: 6 Year(s)<br/> THEN: Destroy (General)</p> |

***SRS-1504.1033 was approved by the Vermont State Archivist on 9/22/2011.***

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

**SRS-1504.1059: Tobacco Licenses**

*SRS-1504.1059: This schedule is reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the licensing of individuals or entities to engage in the retail sale of tobacco products or locate a vending machine on the premises identified in the license.*

**Classification:** Tobacco products (Licensing)

**Retention:** Retain applications, substantive correspondence, and records of decisions, including any copies of licenses, until license is expired or denied, plus 1 (one) year, then destroy.

Registers or systems that serve as the formal list of tobacco licensees shall be retained until the register is superseded and then appraised by the Vermont State Archives and Records Administration for continuing value.

Retain routine correspondence related to licensees and incomplete or withdrawn applications until no longer needed administratively.

**Public Access:** General

**SPECIFIC RECORDKEEPING REQUIREMENTS for SRS-1504.1059 (see APPENDIX E for related legal references)**

| <b>Record Category/Type</b>   | <b>Applicability/Use:</b>  | <b>Appraised Value:</b>    | <b>Retention/Disposition:</b>  |
|---|--|----------------------------|--|
| <b>SRS-1504.1059.8</b><br><b>Applications</b><br>Public Access: <i>General</i>                  | Use for license applications and additional supporting documentation submitted by an applicant.  | Temporary (Legal)          | RETAIN UNTIL: Expired<br>PLUS: 1 Year(s)<br>THEN: Destroy (General)          |
| <b>SRS-1504.1059.28</b><br><b>Correspondence (Routine)</b><br>Public Access: <i>General</i>     | Use for routine correspondence that is not otherwise specified on this schedule.   | Temporary (Administrative) | RETAIN UNTIL: Completed/Closed<br>PLUS: 0 Year(s)<br>THEN: Destroy (General) |
| <b>SRS-1504.1059.53</b><br><b>Correspondence (Substantive)</b><br>Public Access: <i>General</i> | Use for correspondence that has significant administrative value and/ or is essential to supporting a final licensing decision. Includes executive-level correspondence. | Temporary (Administrative) | RETAIN UNTIL: Expired<br>PLUS: 1 Year(s)<br>THEN: Destroy (General)          |

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|--|---|-----------------------------------|--|
| <p><b>SRS-1504.1059.133</b><br/> <b>Decisions</b><br/> Public Access: <i>General</i></p> | <p>Use for licenses and similar authorizations issued, denied, or withdrawn.</p>  | <p>Temporary (Legal)</p>          | <p>RETAIN UNTIL: Expired<br/> PLUS: 1 Year(s)<br/> THEN: Destroy (General)</p> |
| <p><b>SRS-1504.1059.54</b><br/> <b>Licenses</b><br/> Public Access: <i>General</i></p>   | <p>Use for licenses maintained by the agency as proof of licensure by the vendor.</p>   | <p>Temporary (Legal)</p>          | <p>RETAIN UNTIL: Expired<br/> PLUS: 1 Year(s)<br/> THEN: Destroy (General)</p> |
| <p><b>SRS-1504.1059.81</b><br/> <b>Registers</b><br/> Public Access: <i>General</i></p>  | <p>Use for registries, recording books and similar records, and systems that track licensees, including license status and other relevant information such as educational requirements.</p> | <p>Temporary (Administrative)</p> | <p>RETAIN UNTIL: Superseded<br/> PLUS: 0 Year(s)<br/> THEN: Confirm</p>        |

*SRS-1504.1059 was approved by the Vermont State Archivist on 9/22/2011.*

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

## Appendix A: Appraisal Values

*An appraisal value establishes the usefulness or importance of a record after its original purpose has passed. The value of a record also dictates how it must be disposed after retention requirements are met (also see "Retention Requirements"). The appraisal values below represent categories of values that may be assigned to records following the record appraisal process. See "Vermont Archival Records" in the Archives and Records Management Handbook for conditions a record must meet to be appraised as "archival."*

| Appraisal Value            | Description   | Usage   |
|----------------------------|---|---|
| Conditional Archival       | Records may have archival value but not always.         | Assigned to records that meet the conditions of a "Vermont Archival Record" under special circumstances.                                  |
| Permanent (Archival)       | Records have archival value.                            | Assigned to records that meet the conditions of a "Vermont Archival Record" and are therefore permanent (archival) records.               |
| Temporary (Administrative) | Records have temporary administrative value.            | Assigned to records that do not meet the conditions of a "Vermont Archival Record" but are needed for administrative reasons.             |
| Temporary (Legal)          | Records have temporary legal value.                     | Assigned to records that do not meet the conditions of a "Vermont Archival Record" but have legal requirements governing their retention. |
| Unappraised                | Default value for records that have not been appraised. | Assigned to records that have not been appraised and do not yet have retention or disposition requirements.                               |

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

## Appendix B: Public Access Requirements

*A public access requirement is the availability of a record for public use and inspection pursuant to 1 V.S.A. §§ 315-320. Unless exempt from public inspection and copying pursuant to 1 V.S.A. § 317, records are expected to be promptly produced for public inspection upon request. Public agencies shall follow the procedure outlined in 1 V.S.A. § 318. The access requirements below represent actions agencies must take based on specific laws associated with the accessibility of their records. With general record schedules, the default requirement is always REVIEW unless it is clear that certain records are wholly exempt from public use and inspection pursuant to 1 V.S.A. § 317. Agencies using general record schedules should defer to their internal policies for specific access requirements.*

| Access  | Description   | Usage   |
|---------|---|---|
| Exempt  | Records shall not be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320.  | Assigned to records that are wholly exempt from public use and inspection pursuant to 1 V.S.A. § 317.   |
| General | Records may be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320.  | Assigned to records that are not exempt from public inspection and copying pursuant to 1 V.S.A. § 317.  |
| Redact  | Records contain specific information that shall not be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320.  | Assigned to records that contain specific information that is exempt from public inspection and copying pursuant to 1 V.S.A. § 317 and require exempt information to be redacted from the records prior to public use, inspection and/or copying. |
| Review  | Records may be provided for free and open examination pursuant to 1 V.S.A. §§ 315-320 but not always. Default value for general schedules, which require agencies to establish internal policies. | Assigned to records that are generally not exempt from public inspection and copying pursuant to 1 V.S.A. § 317 but, in limited circumstances, may be exempt. Internal review and/or policy is required.  |

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

## Appendix C: Retention Requirements

*A retention requirement is the length of time a record must be retained by an agency before it may be destroyed or transferred to the State Archives or an agency archives (also see "Disposition Requirements"). The retention requirements below represent events or triggers that cause records to move from an active to inactive state. An "event" is tied to a specific time requirement: i.e. Retain Until "Calendar Year Ends" PLUS 3 Years.*

| Retention          | Description  | Usage   |
|--------------------|--|---|
| Audit Complete     | Retain until an audit or verification is complete.   | Assigned to records that are actively used or needed until the information contained therein has been audited or verified.  |
| Calendar Year Ends | Retain until the end of the calendar year.   | Assigned to records that are actively used or needed until the end of the calendar year.  |
| Completed/Closed   | Retain until the activity or process supported by the record is completed.   | Assigned to records that are actively used or needed until the activity is formally completed, closed, or finalized (includes appeals).   |
| Expired            | Retain until the conditions or requirements supported by the record are satisfied and no further action is needed. | Assigned to records that are actively used or needed until the conditions or requirements are satisfied and complete.   |
| Fiscal Year Ends   | Retain until the end of the fiscal year.   | Assigned to records that are actively used or needed until the end of the fiscal year.  |
| Life of Asset Ends | Retain for the life of the person, structure, object, organization, etc. that is the subject of the record.        | Assigned to records that are actively used or needed for the life of person, structure, object, organization, etc.  |
| Obsolete           | Retain until the record is no longer needed and is valueless.  | Assigned to records that have limited administrative value and may be purged when they no longer have any administrative value. Agency must develop internal policy that states when records no longer have administrative value. |
| Superseded         | Retain until the record is superseded, updated, or revised.  | Assigned to records that will be superseded, updated, or revised.   |

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

## Appendix D: Disposition Requirements

*A disposition requirement is how an agency must dispose of a record from its legal custody once retention requirements have been met. Disposition is based on the record's appraisal value. If the record has been appraised as non-archival it will be destroyed after retention requirements are met. If appraised as archival the record will be transferred to the State Archives or agency archives for permanent preservation and access. The disposition requirements below represent actions that an agency must take once a record has met its retention requirements.*

| Disposition       | Description  | Usage  |
|-------------------|--|--|
| Archives          | Retain indefinitely. These records are eligible for transfer to the State Archives or agency archives.                   | Assigned to records that have been appraised as having archival value and are therefore permanent records.   |
| Confirm           | Confirm disposition with the Vermont State Archives and Records Administration after retention requirement has been met. | Assigned to records that are maintained in a centralized database or information system or are appraised as conditional archival.  |
| Destroy (General) | Destroy by recycling or deleting the record.   | Assigned to records that have been appraised as non-archival and are not exempt from public access. Agency discretion advised for general record schedules.                    |
| Destroy (Shred)   | Destroy by shredding (includes electronic shredding).  | Assigned to records that have been appraised as non-archival and are exempt from public access or contain sensitive information.   |
| Unappraised       | Default value for records that have not been appraised.  | Assigned to records that have not been appraised and do not yet have retention or disposition requirements.  |
| Weed              | Separate temporary records from archival records in accordance with the approved records schedule.                       | Assigned to records that have been appraised as conditional archival. Upon weeding the temporary records from the archival records, transfer archival records to the Archives. |

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

## Appendix E: Legal References

| <b>SRS-1490.1033: Liquor Law Enforcement Records</b> |   | <i>Review for Exemption?</i> |
|--|---|------------------------------|
| 4 V.S.A. § 1102                                      | Judicial bureau; jurisdiction   | No                           |
| 7 V.S.A. § 104                                       | Duties [related to liquor control board]  | No                           |
| 7 V.S.A. § 107                                       | Duties of commissioner of liquor control  | No                           |
| 7 V.S.A. § 108                                       | Enforcement by board; regulations; forms and reports  | No                           |
| 7 V.S.A. § 236                                       | Suspension or revocation of license or permit; administrative penalty   | No                           |
| 7 V.S.A. § 561                                       | Authority of liquor control investigators; arrest for unlawfully manufacturing, possessing or transporting alcoholic beverages; seizure of property | No                           |
| 7 V.S.A. § 563                                       | Search warrants   | No                           |
| 7 V.S.A. § 568                                       | Forfeiture of seized property   | No                           |
| <b>SRS-1490.1059: Liquor Licenses and Permits</b>    |   | <i>Review for Exemption?</i> |
| 26 020 CVR 001                                       | Administrative organization and procedures, and agency rules of practice [related to Liquor Control Board]  | No                           |
| 7 V.S.A. § 161                                       | Licenses voted by town; town meetings; warning [related to sale of alcoholic beverages in a town]   | No                           |
| 7 V.S.A. § 167                                       | Duties of local control commissioners   | No                           |
| 7 V.S.A. § 221                                       | Licenses contingent on town vote; restrictions as to dancing pavilions  | No                           |
| 7 V.S.A. § 222                                       | First and second class licenses, granting of; sale to minors; contracting for food service  | No                           |
| 7 V.S.A. § 224                                       | Third class licenses; open containers   | No                           |
| 7 V.S.A. § 225                                       | Educational sampling event permit   | No                           |
| 7 V.S.A. § 226                                       | Bottlers' license   | No                           |



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|                 |   |    |
|-----------------|---|----|
| 7 V.S.A. § 227  | Wholesale dealer's license  | No |
| 7 V.S.A. § 228  | Dining cars and boats; first or third class license; purchase of liquors outside state; promotional railroad tasting permit | No |
| 7 V.S.A. § 232  | Terms of permits and licenses [related to alcoholic beverages]  | No |
| 7 V.S.A. § 234  | Change of location [related to licensees for alcoholic beverages]   | No |
| 7 V.S.A. § 236  | Suspension or revocation of license or permit; administrative penalty   | No |
| 7 V.S.A. § 238  | Caterer's permit, granting of; sale to minors   | No |
| 7 V.S.A. § 238a | Outside consumption permits; golf courses; wineries   | No |
| 7 V.S.A. § 239  | Licensee education [related to alcoholic beverages]   | No |
| 7 V.S.A. § 302  | Application [related to distribution of malt and vinous beverages]  | No |
| 7 V.S.A. § 361  | Granting of permit; solicitation of orders  | No |
| 7 V.S.A. § 362  | Application; undertaking; recommendation  | No |
| 7 V.S.A. § 66   | Vinous beverage shipping license; in state; out of state; prohibitions; penalties   | No |
| 7 V.S.A. § 67   | Alcoholic beverage tastings; permit; penalties  | No |
| 7 V.S.A. § 68   | Vinous beverage storage and shipping license  | No |

**SRS-1504.1033: Tobacco Law Enforcement Records**

*Review for Exemption?*

|                  |   |    |
|------------------|---|----|
| 23 V.S.A. § 2305 | Procedure [related to judicial bureau]                            | No |
| 4 V.S.A. § 1102  | Judicial bureau; jurisdiction                                     | No |
| 7 V.S.A. § 1001  | Definitions [related to tobacco products]                         | No |
| 7 V.S.A. § 1002  | License required; application; fee; issuance [related to tobacco] | No |
| 7 V.S.A. § 1002a | Licensee education [related to tobacco sales]                     | No |
| 7 V.S.A. § 1003  | Sale of tobacco products; requirements; prohibitions              | No |

**STATE OF VERMONT SPECIFIC RECORD SCHEDULE**

|                        |  |    |
|------------------------|--|----|
| <b>7 V.S.A. § 1004</b> | Proof of age for the sale of tobacco products  | No |
| <b>7 V.S.A. § 1005</b> | Persons under the age of eighteen; possession of tobacco products; misrepresenting age or purchasing tobacco products; penalty | No |
| <b>7 V.S.A. § 1006</b> | Posting of signs [related to tobacco licensees]  | No |
| <b>7 V.S.A. § 1007</b> | Furnishing tobacco to persons under eighteen   | No |
| <b>7 V.S.A. § 1009</b> | Contraband and seizure [related to tobacco]  | No |

**SRS-1504.1059: Tobacco Licenses**

*Review for Exemption?*

|                         |   |    |
|-------------------------|---|----|
| <b>7 V.S.A. § 1001</b>  | Definitions [related to tobacco products]                         | No |
| <b>7 V.S.A. § 1002</b>  | License required; application; fee; issuance [related to tobacco] | No |
| <b>7 V.S.A. § 1002a</b> | Licensee education [related to tobacco sales]                     | No |
| <b>7 V.S.A. § 1006</b>  | Posting of signs [related to tobacco licensees]                   | No |
| <b>7 V.S.A. § 1009</b>  | Contraband and seizure [related to tobacco]                       | No |