

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Issued to: Control Commissioners

Last Revised: 9/29/2021



Vermont State Archives and Records Administration

Vermont Office of the Secretary of State

AGENCY SPECIFIC RECORD SCHEDULE FOR: Control Commissioners

- 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, as defined in 3 V.S.A. § 117(a)(6), that has been approved by the State Archivist. (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 (Control Commissioners) may develop its own internal policies and procedures to assure that the requirements outlined in this record schedule are being applied across the agency. For records required to be retained until OBSOLETE, an internal policy clearly stating specific retention requirements that best meet the agency's administrative needs is highly advised. 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. Within the same agency, duplicates or copies of records shall not be retained longer than the original records.
- Adoption:** This agency specific record schedule is in effect for the agency (Control Commissioners). If, at any time, this agency specific record schedule does not address all the records created or produced in the course of agency business or the requirements related to the following records have changed, contact the Vermont State Archives and Records Administration for a formal records appraisal.

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 all records, with the exception of legal notices, and registers, until expired, plus one (1) year, and then destroy. Records are considered expired when the liquor distribution license or permit has expired.

Other records shall be retained as specified in this schedule with the exception of transitory records. Transitory records created or received as part of licensing liquor distribution may be weeded as appropriate in accordance with GRS-1000.1000 (Transitory Records).

Public Access: General

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

Record Category/Type:	Applicability/Use:	Appraised Value:	Retention/Disposition:
SRS-1490.1059.8 Applications Public Access: <i>General</i>	Use for license, permit, and certificate of approval applications and additional documentation submitted by the applicant. Includes amendments, renewals, and 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 PLUS: 1 Year(s) THEN: Destroy (General)
SRS-1490.1059.133 Decisions Public Access: <i>General</i>	Use for recorded evidence of the licensing agency's final decision to grant or deny a license or permit. Includes certificates of approval, and similar authorizations issued, denied or withdrawn and significant supporting materials.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 1 Year(s) THEN: Destroy (General)
SRS-1490.1059.54 Licenses Public Access: <i>General</i>	Use for the license maintained by the licensing agency as proof of vendor licensure. Includes provisional licenses and solicitor's licenses allowing promotion of sales of or solicitations of orders for malt and vinous beverages.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 1 Year(s) THEN: Destroy (General)
SRS-1490.1059.50 Notices, Legal Public Access: <i>General</i>	Use for official, written statements, notices, or announcements that are required by law.	Temporary (Legal)	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

SRS-1490.1059.66 Permits Public Access: <i>General</i>	Use for permits and similar permissions issued to licensees.	Temporary (Legal)	RETAIN UNTIL: Expired PLUS: 1 Year(s) THEN: Destroy (General)
SRS-1490.1059.81 Registers Public Access: <i>General</i>	Use for registries, recording books and similar records, and systems that track licensees, including license status and other relevant information.	Temporary (Administrative)	RETAIN UNTIL: Superseded PLUS: 0 Year(s) THEN: Destroy (General)

SRS-1490.1059 was approved by the Vermont State Archivist on 9/8/2021.

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.	Assigned to records that meet the conditions of a "Vermont Archival Record" under special conditions.
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 or information within a record are 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 permanently. 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 records that meet the conditions of a "Vermont Archival Record" from those that do not (temporary).	Assigned to records that have been appraised as conditional archival. Upon weeding the temporary records from the archival records, transfer archival records to Archives and destroy temporary records.

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

Appendix E: Legal References

SRS-1490.1059: Liquor Licenses and Permits		<i>Review for Exemption?</i>
7 V.S.A. § 101	Composition of department; commissioner of liquor control; liquor control board	No
7 V.S.A. § 161	Licenses voted by town; town meetings; warning [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 167	Duties of local control commissioners [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 201	Licenses contingent on town vote	No
7 V.S.A. § 202	Licenses to enforcement officer or control commissioner; exceptions	No
7 V.S.A. § 205	Terms of permits, licenses, and certificates	No
7 V.S.A. § 207	Change of location [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 209	Bankruptcy, death, and revocation [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 210	Suspension or revocation of license or permit; administrative penalty	No
7 V.S.A. § 213	Licensee education [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 214	Proof of financial responsibility	No
7 V.S.A. § 221	First-class licenses [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 222	Second-class licenses [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 223	Third-class licenses [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 224	Fourth-class licenses [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 225	Fortified wine permits	No
7 V.S.A. § 226	Retail delivery permits [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 227	Outside consumption permits; first-, third-, and fourth-class licenses [related to alcoholic beverages, cannabis and tobacco]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE

7 V.S.A. § 241	Caterer's license; commercial catering license	No
7 V.S.A. § 242	Destination resort master licenses	No
7 V.S.A. § 243	Request-to-cater permit	No
7 V.S.A. § 251	Educational sampling event permit [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 252	Special event permits [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 253	Festival permits	No
7 V.S.A. § 254	Special venue serving permits	No
7 V.S.A. § 255	Retail alcoholic beverage tasting permits	No
7 V.S.A. § 256	Promotional tastings for licensees [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 258	Promotional railroad tasting permit [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 271	Manufacturer's or rectifier's license [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 272	Packager's license [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 273	Wholesale dealer's license [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 274	Certificate of approval for distribution of malt or vinous beverages	No
7 V.S.A. § 275	Solicitor's license [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 276	Industrial alcohol distributor's license	No
7 V.S.A. § 277	Malt and vinous beverage consumer shipping license	No
7 V.S.A. § 278	Vinous beverage retail shipping license	No
7 V.S.A. § 281	Prohibitions [related to alcoholic beverages, cannabis, and tobacco]	No
7 V.S.A. § 283	Vinous beverage storage and shipping license	No
CVR 26-020-001	Administrative organization and procedures, and agency rules of practice [related to Liquor Control Board]	No

STATE OF VERMONT SPECIFIC RECORD SCHEDULE