



# RECORDS RETENTION AND DISPOSITION SCHEDULE

## Alcohol and Tobacco Commission

Agency: Alcohol and Tobacco Commission		Division:	
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION (This Retention Schedule is approved on a space-available basis)	RETENTION PERIOD
1	2010-35	<b>SERVER PERMITTEES AND CERTIFICATION</b> Alcohol servers must complete an approved certified training program. A training program may be from the Alcohol and Tobacco Commission or a training provider. The trainer provider shall require successful completion and that a participant receives a passing grade on a written or verbal test. Disclosure of these records may be subject to IC 5-14-3-4(a)(7) and (b)(3) and (4). Retention based on 905 IAC 1-12.5-3 and 905 IAC 1-12.5-4.	IMAGE according to IARA imaging standards upon receipt. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records five (5) years after certification date.
2	2010-37	<b>GROUP PURCHASING AGREEMENTS</b> Pursuant to 905 IAC 1-32.1, retailer and dealer permit holders who enter into a group purchasing agreement shall provide a written copy for public inspection in the office of the Alcohol and Tobacco Commission during the Commission's regular business hours. The Commission is not a party to these agreements and no fee is collected.	IMAGE according to IARA imaging standards upon receipt. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records three (3) years after expiration or replacement by a new agreement.
3	2010-38	<b>BEER KEG TRACKING LOG</b> The Beer Keg Tracking Log is an 8	IMAGE according to IARA imaging standards upon receipt. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records two (2) calendar years after the latest registration year and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
4	2010-39	<b>ACCIDENT FILES</b> These paper records are maintained to report not only any vehicle accidents involving State Excise Police Officers but miscellaneous damage to a vehicle and/or lost or stolen or damaged agency property. Typical files may contain memos, correspondence, narratives, Indiana State Police SF 23558, Indiana Officers Standard Crash Report, photographs or notes. No fiscal data is present. Any financial records are located in this agency's Basic Accounting Records. Retention based on IC 34-11-2-6.	IMAGE according to IARA imaging standards upon receipt. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records five (5) calendar years after the latest registration year and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
5	2010-40	<b>TOBACCO VIOLATION FILES</b> A typical file contains a record of violation(s), investigations, violation hearing information (i.e., notices, subpoena, etc.), and a procedural excise report. Disclosure of these records may be subject to IC 5-14-3-4(b)(1).	IMAGE according to IARA imaging standards after closure of the court case. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records ten (10) calendar years after the date of closure of the court case or the latest violation by a tobacco sales certificate holder.
6	2010-42	<b>PROPERTY RECORD AND RECEIPT</b> Informally known as the "ESP 3," this is used by the Excise Police if a court orders a defendant to forfeit money to the Alcohol and Tobacco Commission. The type of violation is listed, defendant name or names, articles taken and officer names. A judge signs and dates the form. This record is maintained at the Excise Police District level.	IMAGE according to IARA imaging standards upon receipt. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records ten (10) years after the forfeiture date and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.

7	83-888	<b>ALCOHOL VIOLATION FILES</b> This file contains a record of violations, investigations, violation hearing information, (i.e., notices, subpoenas), and a procedural excise report. Records correspond to a specific Alcoholic Beverage Permittee File (R.S. 83-893) and are closed when that matching file is declared closed. Disclosure of these records may be subject to IC 5-14-3-4(b)(1).	IMAGE according to IARA imaging standards upon receipt. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records after six (6) years.
8	83-893	<b>COMMISSION PERMITTING FILES</b> Records pertaining to any of the permits, licenses, registrations, and endorsements issued by the Alcohol and Tobacco Commission. These include permits for the sale and manufacture of alcoholic beverages, employee permits, salesman licenses, carrier permits, temporary permits, primary source registrations, direct wine seller's permits, type II gaming retailer endorsements, type II gaming manufacturer or distributor licenses, tobacco sales certificates, cigarette importer or manufacture licenses, and e-liquid manufacturer permits. A file may include any documents included with the application, renewals, extensions, transfers, correspondence related to the permit. A file is closed when the entity does not renew their permit, license, registration, or certificate for six (6) months after that renewal is due.	IMAGE according to IARA imaging standards upon receipt. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records six (6) years after file is closed, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
9	96-85	<b>ANNUAL RETAILER PERMIT &amp; DEALER REGISTRY</b> Pursuant to IC 7.1-2-3-9.1, the Alcohol and Tobacco Commission shall prepare and maintain, available for public inspection, a registry of all retailer and dealer permits (including supplemental permits) issued by it. This registry is maintained in computer format and can be printed on demand. It is also available for public inspection on the Internet.	MAINTAIN registry permanently in agency according to IARA electronic records guidelines.
10	96-86	<b>PERMIT AUCTION RECORDS</b> Permit auctions are held in the year in which the permit became available. A typical file contains an Activity Log for Inactive Permit Auction, return mail receipts, the successful bidder, dollar amount paid for the permit, and lists of permits-name, location(s), (city or town and address). The Alcohol and Tobacco Commission conducts an auction and enters into a contract with the successful bidder. Retention based on IC 34-13-1-1.	IMAGE according to IARA imaging standards after auction. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records after ten (10) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
11	96-87	<b>LOCAL BOARD APPOINTMENT RECORDS</b> Received annually or when a change is made, this file contains the Certificate of Appointment and Sworn Statement by Appointee to Local Alcoholic Beverage Board (SF 22658) and IRS Form W-9, Taxpayer Identification and Certification and the local board member's certificate of training. Disclosure of these records may be subject to IC 4-1-10 IC 5-14-3-4(b)(8), and IC 6-8.1-7-1. Retention partially based on IC 7.1-2-4-13.	IMAGE according to IARA imaging standards upon receipt. TRANSFER hard copies to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after verification of electronic images for completeness and legibility. DELETE electronic records five (5) years after the appointee is replaced or no longer qualified for the local board.
12	96-90	<b>EXCISE ENFORCEMENT FILES</b> This is a record of persons charged with selling alcoholic beverages without a permit. A typical file could contain the individual's name(s) and address (es), a record of violation(s), hearing information, property reports, and raid reports. The State Excise Police must often have extensive violation history to present to a court when trying alleged violators. Disclosure of these records may be subject to IC 5-14-3-4(b)(1).	IMAGE according to IARA imaging standards after closure of the court case. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records ten (10) years after the date of closure of the court case regarding the last unlawful procurement of alcoholic beverages from a person or address. Upon receipt of an expungement order pursuant to IC 35-38-9, immediately DESTROY/DELETE all records listed. MAINTAIN expungement orders confidentially for ten (10) years after order is signed, then DESTROY.

13	2022-02	<b>ADMINISTRATIVE INVESTIGATION CASES</b> Actions taken could range from counseling to dismissal. Cases are maintained in hard copy in folders, one (1) case per folder. Case files could contain Supplemental Case Report, Allegations, Interview, and/or Disposition. Only the Superintendent can close a case. Retention based on IC 34-13-3. Disclosure of these records may be affected by IC 5-14-3-4(b)[(1), (8)(B), and (8)(C)].	IMAGE according to IARA imaging standards after closure. After verification of electronic images for completeness and legibility, TRANSFER one (1) copy of electronic records to the INDIANA ARCHIVES for EVALUATION, SAMPLING, OR WEEDING pursuant to archival principles, and DESTROY hard copies. DELETE electronic records six (6) years after file is closed.
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