

Retention and Classification Report

Agency: Department of Alcoholic Beverage Services. Licensing and Compliance Division
(1668)
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Records Officer: _____

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AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 30615

3

TITLE: Alcohol licenses

DATES: 2023-

ARRANGEMENT: By license type, then by date

DESCRIPTION:

These are records used to verify that applicants for alcohol licenses or permits and licensees or permittees are in compliance with Utah Code Title 32B, Alcoholic Beverage Control Act, and the Department of Alcoholic Beverage Services (DABS) administrative rules. Information includes the application, brand and territorial agreement, distributorship agreement, advertising or sponsorship approvals, correspondence, compliance bond, receipts, facility floor plan, certificate of insurance and copy of any issued license or permit. Failure to renew a license results in automatic forfeiture of license. Permits are not renewed annually and expire at varying times depending on the type of permit. These licensee records include: Airport Lounge, Arena, Bar Establishment, Beer Wholesaler, Hospitality Amenity, Hotel, Liquor Transport, Manufacturing - Beer, manufacturing - Distillery, Manufacturing - Wine, Minors Permitted Club, Off-Premise Beer, On-Premise Banquet, On-Premise Beer Retailer (Beer Recreational), On-Premise Beer Retailer (Tavern -5% or less ABV), Reception Center, Resort, Restaurant- Limited Service, Single Event Permit, Special Use - Educational, Special Use - Healthcare Facility, Special Use - Industrial & Manufacturing, Special Use - Public Service, Special Use - Religious Wine, Special Use - Scientific, Temporary Beer Event Permit. The records in this record series may collect the following personal identifying information: first & last name, home & work address, phone number, birthdate, email address, and personal identifying info about 3rd parties.

RETENTION:

Retain for 3 year(s) after expiration of permit or license

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Permit and licensing records, GRS-1724.

AUTHORIZED: 01-17-2020

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 30615

TITLE: Alcohol licenses

(continued)

FORMAT MANAGEMENT:

Computer data files: Retain in Office for 3 years after expiration of permit or license and then delete.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public Utah Code 63G-2-301(3)(s)(2020)

SECONDARY DESIGNATION(S):

Private. Utah Code 63G-2-302(1)(n)(2023)

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 12522

4

TITLE: Beer wholesaler license records

DATES: 1988-

ARRANGEMENT: Alphabetical by licensee name.

ANNUAL ACCUMULATION: 0.30 cubic feet.

DESCRIPTION:

These are licensee records used to verify that licensed beer wholesaler companies are in compliance with the DABS rules concerning the sale of alcoholic beverages. These requirements are also covered by UCA 32B-13-202 (2011) which lists the application requirements, UCA 32B-13-204 (2010) which covers qualifications for obtaining a liquor wholesaler license, and by UCA 32B-13-301 (2011) which contains operational restrictions for a beer wholesaler. Compliance with these laws and rules allows licensee to maintain a license. Information includes the application, brand and territorial agreement, distributorship agreement, advertising or sponsorship approvals, correspondence, compliance bond, receipts, floor plan of the facility, certificate of insurance, and copy of license. These licenses must be renewed each year. Failure to renew results in automatic forfeiture of license. Renewal fee for license is covered by UCA 32B-13-203(2) (2011).

RETENTION:

Retain for 3 year(s) after final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 03/1994

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after dissolution of company after nonrenewal and then destroy.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 12522

TITLE: Beer wholesaler license records

(continued)

APPRAISAL:

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency. These licenses are only needed if they remain active.

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 06/2015.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 27713

3

TITLE: Compliance audit visit notes

DATES: 2005-

ARRANGEMENT: Chronological.

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

These notes are used by the administration to ensure that the licensee is in compliance with the laws and rules of the Alcoholic Beverage Services liquor control act, Title 32B (Previously 32A) of the Utah Code and rules of the commission, Title R81. Notes include the licensee's name and licensee number, date of audit, person(s) contacted, person(s) met with, compliance issues discussed, any discrepancies or problems, and any corrections needed. The records in this record series collect the following personal identifying information: First & last name combined with a phone number. This information is collected in order to document the individual with whom the audit was conducted and/or licensee owner and is not used for any other purpose. Other PII may be incidentally collected between licensee and DABS admin staff during any communications regarding the audit. This information is also not used for any other purpose.

RETENTION:

Retain for 3 year(s) after expiration of permit or license

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Permit and licensing records, GRS-1724.

AUTHORIZED: 01-17-2020

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after expiration of permit or license and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

Computer data files: Retain in Office for 3 years after expiration of permit or license and then delete.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 27713

TITLE: Compliance audit visit notes

(continued)

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Protected UCA 63G-2-305 (9) (a) through (e).

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 05/2017.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 12519

4

TITLE: Industrial and manufacturing special use permit records

DATES: 1988-

ARRANGEMENT: Alphabetical by licensee name.

ANNUAL ACCUMULATION: 0.20 cubic feet.

DESCRIPTION:

Applications, compliance bonds, local consents, floor plan of facilities, correspondence, receipts, and copies of licenses used to verify that Industrial and Manufacturing companies working with alcohol are in compliance with the Department of Alcoholic Beverage Services rules when purchasing a variety of different alcohol substances for use in manufacturing and industrial situations. These permits are not renewed annually. They expire only after dissolution or when illegal use requires license to be revoked.

RETENTION:

Retain for 3 year(s) after expiration of permit or license

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 03/1994

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after dissolution of company and then destroy.

APPRAISAL:

These records have administrative value(s).
This disposition is based on the administrative needs expressed by the agency. These permits are not renewed annually, and only expire after dissolution or when illegal use requires license to be revoked.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 12519

TITLE: Industrial and manufacturing special use permit records

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 06/2015.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 9155

3

TITLE: Licensee violation files

DATES: 1980-

ARRANGEMENT: Chronological, thereunder alphabetical by licensee surname.

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

These records support the agency's function to regulate the sale, service, storage, manufacture, distribution, and consumption of alcoholic products. Records document investigations and actions taken against licensees, permittees, and individuals that did not comply with state liquor laws and ensure that individuals found in violation are never issued another license (Utah Code 32B-1-203(2)(2011)). Records may include information on hearings, police reports, notices of action taken, letters of settlement, licensee responses, correspondence, and related records. The records in this record series collect the following personal identifying information: First & last name, address, phone number, business address, business phone number, and possibly others. This information is collected in order to detail the nature of the violation, determine appropriate action, and is not used for any other purpose. This information is shared with DPS for enforcement purposes.

RETENTION:

Retain for 3 year(s) after final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Permit and licensing records, GRS-1724.

AUTHORIZED: 01-17-2020

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after final action and then destroy.

Computer data files: Retain in Office for 3 years after final action and then delete.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 9155

TITLE: Licensee violation files

(continued)

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Protected. Utah Code 63G-2-305(10)(2015)

Private. Utah Code 63G-2-302(2)(d)(2016)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2016.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 12521

4

TITLE: Liquor warehouse license records

DATES: 1988-

ARRANGEMENT: Alphabetical by licensee name.

ANNUAL ACCUMULATION: 0.10 cubic feet.

DESCRIPTION:

Applications, local consents correspondence, compliance bonds, insurance documents, floor plans, receipts, and copies of licenses used to verify that licensed liquor warehouse facilities are in compliance with the Department of Alcoholic Beverage Services rules concerning the storage of alcoholic beverages. Compliance with laws and rules allows licensee to maintain a license and it must be renewed each year. Failure to renew results in automatic forfeiture of a license.

RETENTION:

Retain for 3 year(s) after final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 03/1994

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after dissolution of facility or after nonrenewal and then destroy.

APPRAISAL:

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency. These records only need to be retained if the license remains active.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 12521

TITLE: Liquor warehouse license records

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 06/2015.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 12523

4

TITLE: Manufacturer representative license records

DATES: 1988-

ARRANGEMENT: Alphabetical by licensee name.

ANNUAL ACCUMULATION: 0.20 cubic feet.

DESCRIPTION:

Applications, lists of suppliers, correspondence, receipts, and copies of licenses used to verify that licensed liquor manufacturer representatives are in compliance with the Department of Alcoholic Beverage Service rules concerning alcoholic beverages. Compliance with these laws and rules allows licensees to maintain a license and it must be renewed each year. Failure to renew results in automatic forfeiture of a license.

RETENTION:

Retain for 3 year(s) after final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 03/1994

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after dissolution of company or representative and then destroy.

APPRAISAL:

These records have administrative value(s).
This disposition is based on the administrative needs expressed by the agency.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 12523

TITLE: Manufacturer representative license records

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 06/2015.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 30715

3

TITLE: On-premise banquet event notices

DATES: 2023-

ARRANGEMENT: Chronological by date, thereunder alphabetically

DESCRIPTION:

These are notices received by the Department of Alcoholic Beverage Services (DABS) and provided upon request to law enforcement used to verify licensees are in compliance with Utah Code Title 32B, Alcoholic Beverage Control Act, and R82, Utah Administrative Rule. Information includes the advance notices of scheduled banquets on the premises of an on-premise banquet licensee or on-premise banquet sublicensee. These requirements are covered by Utah Code 32B-6-605 and Utah Administrative Rule R82-6-602. The notice may include the name of the host, event location, event dates, beginning and end times, number of attendees expected, designation as a private event or privately sponsored event, and control measures implemented for events over 500 people. The records in this record series may collect the following personal identifiable information: first and last name, work address, phone number, email address, and personal identifiable information about third parties. This information is collected in order to meet statutory requirements and is not used for any other purpose (Utah Administrative Rule R82-6-602(8)).

RETENTION:

Retain for 14 day(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the Records Management Committee.

APPROVED: 03/2024

FORMAT MANAGEMENT:

Computer data files: Retain in Office for 14 days after expiration of permit or license and then delete.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 30715

TITLE: On-premise banquet event notices

(continued)

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public Utah Code 63G-2-3-301(3)(s) (2020)

SECONDARY DESIGNATION(S):

Protected. UCA 63G-2-305

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 13260

3

TITLE: Outlet operations records

DATES: 1978-

ARRANGEMENT: Chronological by month

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

These reports document beginning and ending inventories of alcohol. The report lists this information individually by each liquor store in the state of Utah. The report contains information on the number of units sold, cost, and the retail earnings collected from the sale of alcoholic beverages. Also includes, in relation to beginning inventory amounts, the number of units and the value of each unit in dollar amounts. The records in this records series do not, to the best of our knowledge, include personal identifiable information.

RETENTION:

Retain for 4 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1994

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to Agency Record Center. Retain in Agency Record Center for 2 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

This disposition is based on the administrative and fiscal needs to maintain information on the purchase, sale, and taxation of alcoholic beverages.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 13260

TITLE: Outlet operations records

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 12520

4

TITLE: Public service special use permit records

DATES: 1988-

ARRANGEMENT: Alphabetical by licensee name.

ANNUAL ACCUMULATION: 0.30 cubic feet.

DESCRIPTION:

Applications, lists of flights in and out of Utah, local consents, compliance bonds, scaled floor plans, correspondence, receipts, and copies of licenses used to verify that licensed public service facilities are in compliance with the Department of Alcoholic Beverage Service rules. These permits must be renewed each year or forfeited. The license is used to purchase alcohol for use on airlines, trains etc.

RETENTION:

Retain for 3 year(s) after final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 03/1994

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after dissolution of facility or after non-renewal and then destroy.

APPRAISAL:

These records have administrative value(s).
This disposition is based on the administrative needs expressed by the agency. The information is only retained if the license remains active.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 12520

TITLE: Public service special use permit records

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 06/2015.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 12553

4

TITLE: Scientific and educational special use permit records

DATES: 1988-

ARRANGEMENT: Alphabetical by licensee name.

ANNUAL ACCUMULATION: 0.40 cubic feet.

DESCRIPTION:

Applications, lists of suppliers, correspondence, receipts, and copies of licenses used to verify that scientific and educational institutions are in compliance with the Department of Alcoholic Beverage Services rules concerning the sale of alcoholic beverages for experimental purposes. These permits are not renewed annually, and do not require additional fees. They only expire after dissolution or when illegal use requires license to be revoked.

RETENTION:

Retain for 3 year(s) after final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 03/1994

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after dissolution of institution or if revoked and then destroy.

APPRAISAL:

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency. These permits are issued permanently and do not need to be renewed. They only expire after dissolution or when illegal use requires license to be revoked.

AGENCY: Department of Alcoholic Beverage Services. Licensing and Compliance Division

SERIES: 12553

TITLE: Scientific and educational special use permit records

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 06/2015.