



**Agency Records Disposition Schedule**

Department: Department of Public Safety

Section:

Division: Division of Alcohol and Tobacco Control

Sub-Section:

**TITLE:** Alcohol Refunds Paid

**CUTOFF:** EOSFY

**DESCRIPTION:** Licensees who claim refunds for the Missouri tax on alcoholic beverages and/or licensing fees must submit a claim form and supporting documentation for approval by the state supervisor of the Missouri Division of Alcohol and Tobacco Control. Records include, but are not limited to, Applications for Credit of Excise Tax, liquor license refund applications, statements under oath, inspection affidavits, audits, and approval forms. Records created per 11 CSR 70-2.150.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 1713

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Evidentiary Forms

**CUTOFF:** EOSFY

**DESCRIPTION:** Forms providing evidentiary proof that tobacco manufacturers are in compliance with state requirements as defined per 196.1003 RSMo. Records include, but are not limited to, lists of tobacco products, brand families, the number of units sold for each brand family in the state during the preceding calendar year, proof of annual escrow deposits, and chain of custody forms. Records created per 196.1003 and 196.1023 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 24057

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015



Agency Records Disposition Schedule

Department: Department of Public Safety

Section:

Division: Division of Alcohol and Tobacco Control

Sub-Section:

**TITLE:** Excise Tax Records

**CUTOFF:** EOSFY

**DESCRIPTION:** Records used to calculate monthly excise tax reports by licensed manufacturers, solicitors, and wholesalers of alcoholic products shipped, sold, or received in the State of Missouri. Records include, but are not limited to, reports of taxable sales, tax computations, taxes accrued, duties leveled, and shipping totals; recap ledgers; wholesaler receipts; monthly liquor reports and receipts; and gallonage reports for both in-state and out-of-state brewers, distillers, bottlers, and wineries. Records created per 11 CSR 70-2.060 - 2.090.

**RETENTION:** Years: 3 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 24058

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Inactive Licensee Files

**CUTOFF:** When license expires

**DESCRIPTION:** Licensing files of businesses and licensees that are now inactive within the state. Records include, but are not limited to, license applications and all related information such as warnings, citations, transcripts, briefs, copies of special certificates, copies of birth certificates, and correspondence. Records created per 311.180 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 1718

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Injunctions

**CUTOFF:** Close of court case

**DESCRIPTION:** Files and materials pertaining to contraband liquors such as definitions of illegal liquor, seizure of materials, and penalties meted out. Records created per 11 CSR 70-2.070.

**RETENTION:** Years: 3 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 1717

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015



**Agency Records Disposition Schedule**

Department: Department of Public Safety

Section:

Division: Division of Alcohol and Tobacco Control

Sub-Section:

**TITLE:** Liquor License Applications - Accepted

**CUTOFF:** EOSFY

**DESCRIPTION:** Accepted application materials submitted by licensee candidates in order to obtain liquor licenses in the State of Missouri. Records include, but are not limited to, submitted applications, criminal background checks, Missouri Retail Sales Tax licenses, No Sales Tax Due statements, personal property or real estate tax receipts, voter registration cards, photographs, city letters of approval, and managing officer appointments. Records created per 311.180 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:** Original licenses are mailed to licensees upon acceptance. Licenses are renewed annually and are valid until June 30 of each year. Refused license appeals are retained in series 1697. If the application is corrected and approved, it is moved to series 1698.

**DISPOSITION ACTION:** Destroy

**SERIES:** 1698

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Liquor License Applications - Refused

**CUTOFF:** Date of final refusal

**DESCRIPTION:** Refused application materials submitted by licensee candidates in order to obtain liquor licenses in the State of Missouri. Records include, but are not limited to, submitted applications, void alcohol refund applications, criminal background checks, Missouri Retail Sales Tax licenses, No Sales Tax Due statements, personal property or real estate tax receipts, voter registration cards, photographs, city letters of approval, and managing officer appointments. Records created per 11 CSR 70-2.150 and 311.180 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:** Refused license appeals are retained in series 1697. If the application is corrected and approved, it is moved to series 1698.

**DISPOSITION ACTION:** Destroy

**SERIES:** 1697

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015



Agency Records Disposition Schedule

Department: Department of Public Safety

Section:

Division: Division of Alcohol and Tobacco Control

Sub-Section:

**TITLE:** Liquor Merchant Training Records

**CUTOFF:** EOSFY

**DESCRIPTION:** Training by the division is provided to employees of licensed liquor retailers, solicitors, wholesalers, and manufacturers so that they understand and comply with federal laws restricting the sale and distribution of alcohol. Records include, but are not limited to, training materials; participant sign-in sheets; and evaluations for liquor solicitor, wholesaler, server, and retailer training. Records created per 311.297.3(2) RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 24059

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Liquor Salesman Applications

**CUTOFF:** EOSFY in which the Division is notified

**DESCRIPTION:** Applications to become a salesman for a licensed manufacturer or solicitor of liquor in the State of Missouri. Records include, but are not limited to, approved and denied salesman applications, license application forms, copies of federal basic permits, criminal record check applications, Missouri State Highway Patrol record checks, managing officer forms, letters of approval, tax bond forms, excise tax reporting forms, and related documents. Records created per 311.180 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:** Salesman applications are valid until the licensed manufacturer or solicitor notifies the Division of Alcohol and Tobacco Control that the salesman is no longer an employee.

**DISPOSITION ACTION:** Destroy

**SERIES:** 1696

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015



**Agency Records Disposition Schedule**

Department: Department of Public Safety

Section:

Division: Division of Alcohol and Tobacco Control

Sub-Section:

**TITLE:** Misdemeanor Arrest Record Files

**CUTOFF:** Close of court case

**DESCRIPTION:** Files documenting the arrest and charges brought against violators of the state's criminal and liquor laws. Records include, but are not limited to, reports of arrests for liquor violations, tickets, probable cause statements, copies of court summons, and minor reports. Records created per 544.216 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 1700

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Primary American Source of Supply Records for Liquor, Wine, and Beer

**CUTOFF:** EOSFY in which label registration expires

**DESCRIPTION:** License holders may not solicit, accept, or fill orders for the sale of liquor within the state unless they have registered with the Division of Alcohol and Tobacco Control as the primary American source of supply of the brand to be sold. Records include, but are not limited to, Applications for Primary American Source Registration, product labels, and wholesaler appointment letters. Records created per 311.275 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:** Licenses are renewed annually.

**DISPOSITION ACTION:** Destroy

**SERIES:** 1734

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Tobacco Arrest Records

**CUTOFF:** EOCY in which violation report filed

**DESCRIPTION:** Documents regarding the charging of minors with illegal possession of tobacco products and of clerks for selling tobacco products to minors. Records may include, but are not limited to, copies of tickets, probable cause statements, arrest reports, evidence, chain of custody forms, and minor reports if applicable. Records created per 11 CSR 70-3.020.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 24060

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015



### Agency Records Disposition Schedule

Department: Department of Public Safety

Section:

Division: Division of Alcohol and Tobacco Control

Sub-Section:

**TITLE:** Tobacco Merchant Education Training Records

**CUTOFF:** EOSFY in which training completed

**DESCRIPTION:** Training by the division is provided to tobacco merchants so that they understand and comply with federal laws restricting the sale and distribution of tobacco products, including restrictions on the access to, and the advertising and promotion of, cigarettes and smokeless tobacco products. Records include, but are not limited to, participant sign-in sheets, surveys, presentation materials, and handouts. Records created per 21 CFR 897 and 407.926 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 24061

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Tobacco Retail Outlet Compliance Inspections Records

**CUTOFF:** EOSFY

**DESCRIPTION:** Tobacco retail outlets are routinely inspected to ensure they are in compliance with state and federal sales regulations. Records include, but are not limited to, original inspection reports, notices of violation, and compliance letters. Records created per 21 CFR 897 and 407.926 RSMo.

**RETENTION:** Years: 3 Months: 0 Days: 0

**NOTES:** Retail outlet compliance inspections take place when a minor is involved in an undercover buy. If there is no violation, there is no direct contact by an agent with store employees or manager.

**DISPOSITION ACTION:** Destroy

**SERIES:** 24062

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Tobacco Routine Inspections Records

**CUTOFF:** EOSFY

**DESCRIPTION:** Records include, but are not limited to inspection forms that contain information on ownership and statutes and regulations. Records created per 21 CFR 897 and 407.926 RSMo.

**RETENTION:** Years: 3 Months: 0 Days: 0

**NOTES:** Routine inspections are made when no minors are involved and an agent makes contact with store employees or manager during the inspection.

**DISPOSITION ACTION:** Destroy

**SERIES:** 24063

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015



**Agency Records Disposition Schedule**

Department: Department of Public Safety

Section:

Division: Division of Alcohol and Tobacco Control

Sub-Section:

**TITLE:** Tobacco Violation Reports

**CUTOFF:** EOSFY

**DESCRIPTION:** This series contains reports documenting tobacco violations by retailers. Records include, but are not limited to, copies of tickets; probable cause statements; arrest reports and Tobacco Retail Outlet Compliance Inspection Violation Reports; minor reports; violation letters to retailers; letters to the prosecuting attorney; training verifications; disposition letters; letters to county receiving fine monies, cash, copies of checks, or cashier's check; and related correspondence. Records created per 21 CFR 897 and 407.926 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 24064

**SERIES STATUS:** Approved

**APPROVAL DATE:**