

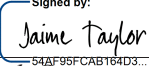
(1) DEPARTMENT* Department of Alcoholic Beverage Control		(2) AGENCY BILLING CODE 05000	IMS CODE	(3) PAGE 1 OF 9 PAGES
(4) DIVISION / BRANCH / SECTION Licensing Division		(5) ADDRESS 3927 Lennane Drive, Sacramento, CA 95834		
CHECK THE APPROPRIATE BOX				
(6) ☐ New schedule of records that have never been scheduled. <i>[Complete boxes (9)–(12)]</i>				
(7) ☒ Revising a previous schedule. <i>[Complete boxes (9)–(16)] (A new approval number will be assigned.)</i>				
(8) ☐ Amending some pages of a previous schedule. <i>[Complete boxes (13) - (16)] (The original approval number will remain in effect.)</i>				
NEW SCHEDULE INFORMATION (If applicable)	(9) SCHEDULE NUMBER ABC-002	(10) SCHEDULE DATE 7/11/24	(11) NUMBER OF PAGES 9	(12) CUBIC FEET (Total Schedule) 307
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER ABC-002	(14) APPROVAL NUMBER 2004-016	(15) APPROVAL DATE(S) 2/24/04	(16) PAGE NUMBER(S) REVISED All

(17) FUNCTIONAL STATEMENT

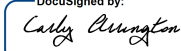
The Department of Alcoholic Beverage Control Licensing division activities involve accepting, reviewing, and investigating applications for new licenses and the transfer of existing licenses.

PART I – AGENCY STATEMENTS

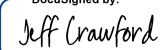
As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 48, Remarks.

(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS Signed by:  54AF95FCAB164D3...	(19) TITLE Division Chief	NAME - (Printed or Typed) Jaime Taylor	(20) PHONE NUMBER 916-318-6329	(21) DATE SIGNED 8/30/2024
<i>In accordance with Government Code 12274, approval of this Records Retention Schedule by the Secretary of State is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.</i>				
(22) SIGNATURE - RECORDS MANAGEMENT ANALYST Signed by:  2379726601AE466...	(23) CLASSIFICATION Staff Services Manager I	(24) NAME - (Printed or Typed) Shanley Fitzwater	(25) PHONE NUMBER (916) 419-2546	(26) DATE SIGNED 8/29/2024

PART II A – SECRETARY OF STATE APPROVAL *(Per Government Code Section 12272)*

(27) SIGNATURE - CalRIM CONSULTANT DocuSigned by:  7618FDBFA8D9469...	NAME - (Printed or Typed) Carly Arrington	(28) APPROVAL NUMBER 2024-167	(29) APPROVAL DATE 08/29/2024	(30) EXPIRATION DATE 08/29/2029
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PART II B – ARCHIVAL SELECTION *(Per Government Code Section 12223)*

THE ATTACHED RECORDS RETENTION SCHEDULE:			FOR ARCHIVES' STAMP 	
(31) ☒ Contains no material subject to further review by the California State Archives				
(32) ☐ Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. <i>(Per Section 1671 of the State Administrative Manual.)</i>				
(33) SIGNATURE - CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE DocuSigned by:  1F192FAC00130d89...	NAME - (Printed or Typed) Jeff Crawford	(34) DATE SIGNED 8/30/2024		

**Department refers to any Agency, Department, Board, Commission, Office or Other*

(35) APPROVAL NUMBER											(36)								
2024-167											Page 2 of 9 Pages								
ITEM #	CUBIC FEET*	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION				PRA & IPA	REMARKS								
						OFFICE	DEPT.	SRC	TOTAL										
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)								
FUNCTIONAL STATEMENT See Page 1.																			
ACRONYMS <table><tr><td>ABC</td><td>Alcoholic Beverage Control</td></tr><tr><td>IPA</td><td>Information Practices Act</td></tr><tr><td>SLMS</td><td>State Licensing Match System</td></tr><tr><td>UI</td><td>User Interface</td></tr></table>												ABC	Alcoholic Beverage Control	IPA	Information Practices Act	SLMS	State Licensing Match System	UI	User Interface
ABC	Alcoholic Beverage Control																		
IPA	Information Practices Act																		
SLMS	State Licensing Match System																		
UI	User Interface																		
Licensing																			

RECORDS RETENTION SCHEDULE

STD. 73 (REV. 12/2020)

[illegible]

RECORDS RETENTION SCHEDULE

STD. 73 (REV. 12/2020)

[illegible]

RECORDS RETENTION SCHEDULE

STD. 73 (REV. 12/2020)

(35) APPROVAL NUMBER											(36)
2024-167											Page 5 of 9 Pages
ITEM # (37)	CUBIC FEET* (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i> (40)	MEDIA (41)	VITAL (42)	RETENTION				PRA & IPA (47)	REMARKS (48)
						OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)		
3	50		Inactive Licensing Files With Disciplinary Action: These include licensing records that involve a disciplinary action by ABC: Denied (application denied by ABC), Department Revoked (license revoked by ABC), SLMS Revoked (State Licensing Match System - Department of Social Services Program that prevents any absent parent who fails to pay court-ordered child support from receiving initial issuance or renewal of a professional license), any disciplinary action resulting in fines, suspension, etc.	P		Active	5 years		Active+ 5 years	I	Retain as active until license is marked as status "inactive". Then retain for five years. Inactive status includes: Auto-Revoked (renewal payment lapses), Cancelled (voluntarily cancelled by applicant or upon license transfer), ABC-521/522 Priority Applications non-winners and no responses (applicants did not receive priority license or did not file an application timely), Withdrawn (applicant withdraws license), Non-Renewed (licensee elects not to renew license), Voided (entered incorrectly), Priority Application Voided (entered incorrectly). IPA Exemption: Civil Code section 1798.3(a).
4			Data Processing Reports: Reports include: Status Change lists (when license changes status, i.e. pending to active generated through ABC online database, Staff UI) and New lists (report of daily issuance of licenses)	E		Active			Active		Retain as active until superseded. Electronic copies stored on ABC shared drive.
5	3		Event Licensing Files: These include special event licensing files: Daily (licensing applications for daily or short term events), Caterer (catering authorization application).	P		3 years			3 years	I	Retain for three years after issuance of license. IPA Exemption: Civil Code section 1798.3(a).

RECORDS RETENTION SCHEDULE

STD. 73 (REV. 12/2020)

[illegible]

RECORDS RETENTION SUMMARY OF CHANGES

(REV. 12/2020)

(1) APPROVAL NUMBER							(2) Page 7 of 9
Old #:		2004-016		New #:		2024-167	
(3)	(4)	(5)			(6)	(7)	(8)
PREVIOUS ITEM #	NEW ITEM #	ACTION			TITLE OF RECORD	COMMENTS	MEDIA TYPE
		CHANGE	DELETE	ADD			
41	1	X			Licensing Files	Updated title, description, item number, retention, and remark.	P
	2			X	Surrendered Licensing Files	Newly Added.	P
42			X		Subscriber Reports	Types of files no longer used/created.	
43	4	X			Data Processing Reports	Updated title, description, item number, retention, and remark.	E
44	5	X			Daily Event Permits	Updated title, description, item number, retention, and remark.	P

RECORDS RETENTION SUMMARY OF CHANGES

(REV. 12/2020)

(1) APPROVAL NUMBER							(2) Page 8 of 9
Old #:		2004-016		New #:		2024-167	
(3)	(4)	(5)			(6)	(7)	(8)
PREVIOUS ITEM #	NEW ITEM #	ACTION			TITLE OF RECORD	COMMENTS	MEDIA TYPE
		CHANGE	DELETE	ADD			
73	1	X			Orders and Receipts	Files included in Licensing files listed in item #1.	
74	1	X			Pending License Files	Files included in Licensing files listed in item #1.	P
75	3	X			Tax Holds	Files included in Inactive Licensing files listed in item #3.	P
76	1	X			License History	Files included in Licensing files listed in item #1.	P
77	6	X			Daily Issue Lists	Updated title, description, item number, retention, and remark.	E
78	7	X			Reports	Updated title, description, item number, retention, and remark.	E

Alcoholic Beverage Control, Simplified ORG Chart

- Administration Division
- Information Technology Branch
 - Info Security Office
 - DevOps and Solution Architect
 - Project Portfolio Management
 - Enterprise Architecture
 - Service Desk
 - Desktop and System Administration
 - IT Infrastructure
 - Application Product Team
 - Project Management Office
 - Database Support
 - Application Product Team
- Financial Management Branch
 - Fiscal Accounting
 - Revenue Accounting
 - Budgets
- Human Resources Branch/Labor Relations/Alien Verification
 - Personnel Support and Alien Verification
 - Medical Coordinator
 - Telework Coordinator
 - Recruitment
- Business Management Branch
 - Administrative Services
 - Reception
 - Mail and Supply