



Public Record Office Standard

PROS 11/08

Authority

Retention & Disposal Authority for Records of the Liquor Licensing Function created to 31 December 1998 (inclusive)

Version 2011

11/08

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Under section 12 of the *Public Records Act 1973*, the Keeper of Public Records is responsible for the establishment of standards for the efficient management of public records and for assisting public offices to apply those standards to records under their control. Officers in charge of public offices are responsible under section 13 of the *Act* for carrying out, with the advice and assistance of the Keeper, a program of records management in accordance with the standards established under section 12 of the *Act*.

1 Introduction

1.1 Purpose of this Authority

The purpose of this Authority is to provide a mechanism for the disposal of public records in accordance with the *Public Records Act 1973*.

The Authority:

- identifies records which are worth preserving permanently as part of Victoria's archival heritage
- prevents the premature destruction of records which need to be retained for a specified period to satisfy legal, financial and other requirements of public administration, and
- authorises the destruction of those records not required permanently.

1.2 Context of this Authority

1.2.1 Public Record Office Victoria Standards

This Authority should be used in conjunction with the Standards issued by the Keeper of Public Records under Section 12 of the *Public Records Act 1973*. Copies of all relevant PROV standards, specifications and regulatory advice can be downloaded from www.prov.vic.gov.au. These documents set out the procedures that must be followed by Victorian public offices.

1.2.2 Scope of this Authority

This Retention and Disposal Authority may be used to authorise the disposal of records created up to 31 December 1998 (inclusive) in accordance with its provisions.

Records created post 31 December 1998 are not included and this RDA does not authorise their disposition.

PROS 11/08 is a revised version of PROS 88/15. Some of the original record classes from PROS 88/15 are not included in this revised RDA as these records must now be disposed of in accordance with PROS 07/01. In these instances, a placeholder class remains in this RDA and the reader is referred to PROS 07/01.

1.2.3 Disposal of records identified in the Authority

Disposal of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 10/13 *Disposal*.

1.2.4 Transfer of records to Public Record Office Victoria

Contact Public Record Office Victoria for further information on procedures for transferring permanent records to archival custody.

1.2.5 The *Crimes (Document Destruction) Act 2006*

It is an offence under the *Crimes (Document Destruction) Act 2006* for individuals or organisations to destroy documents that they know are reasonably likely to be required in a future legal proceeding, with the intention of keeping the documents out of evidence. Destroying records however in accordance with a valid Authority is lawful as long as the requirements under the *Crimes (Document Destruction) Act 2006* are met.

PROV strongly advises that all agencies familiarise themselves with the requirements under the *Crimes (Document Destruction) Act 2006* and *Evidence (Document Unavailability) Act 2006*, and PROV Advice to Agencies 18: *Crimes (Document Destruction) Act 2006: Implications for government recordkeeping*.

1.2.6 Normal Administrative Practice

The destruction of some public records is permitted without final authorisation under normal administrative practice (NAP). NAP covers the destruction of ephemeral material of a facilitative nature created, acquired or collected by public officers during the course of their duties.

The following material may be destroyed under NAP:

- working papers consisting of rough notes and calculations used solely to assist in the preparation of other records such as correspondence, reports and statistical tabulations
- drafts not intended for retention as part of the office's records, the content of which has been reproduced and incorporated in the public office's record keeping system
- extra copies of documents and published material preserved solely for reference.

1.3 Use of Other Authorities

In applying the disposal sentences set out in this Authority, reference should be made to other current Authorities where applicable. Where there is a conflict between two Authorities (for instance this Authority and the General Retention and Disposal Authority for Records of Common Administrative Functions), consult the Public Record Office Victoria for advice.

1.4 Explanation of Authority Headings

CLASS NUMBER

The class number or entry reference number provides citation and ease of reference.

DESCRIPTION

The description of each record class is specified in this entry. A record class is a group of records that relate to the same activity, function or subject and require the same disposal action.

STATUS

This entry provides the archival status of each class - either permanent or temporary.

CUSTODY

This entry specifies whether the records are to be retained by the public office or transferred to the Public Record Office Victoria.

Permanent electronic records are to be transferred in VERS Encapsulated Object (VEO) format according to PROS 99/007 - Management of Electronic Records (Version 2).

The storage of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 11/01 *Storage*.

2 Concurrence of Public Office

This Authority has the concurrence of:

Signature: [Signed]

Name: **Catherine Myers**

Date: 12/10/2011

Position: **Director, Responsible Alcohol Victoria**

3 Establishment of Standard

Pursuant to Section 12 of the *Public Records Act* 1973, I hereby establish these provisions as a Standard (also known as a Retention and Disposal Authority) applying to the records of the Liquor Licensing Function.

This standard as varied or amended from time to time, shall have effect for a period of ten (10) years from the date of issue unless revoked prior to that date.

[Signed]

Justine Heazlewood
Director & Keeper of Public Records


Date of Issue:

18/10/2011

4 Further Information

You can obtain relevant publications, supplies of relevant forms, and answers to any enquiries you may have by first contacting your agency's records manager or the Public Record Office Victoria:

Public Record Office Victoria

 (03) 9348 5600

e-mail: agency.queries@prov.vic.gov.au

web: www.prov.vic.gov.au

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6 Retention & Disposal Authority

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.0.0	Accounting Records		
1.1.0	Budget Records These classes have been removed. [For Budget Records, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		
1.2.0	Cheque Records These classes have been removed. [For Cheque and other financial transaction records, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		
1.3.0	Ledgers and Journals Refers to records which show in summary fashion the sources and nature of revenue relating to particular licensing accounts. Records also show the status of licences and permits. Ledgers may be in manual hardcopy form or ADP format (electronic).		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.3.1	Final Year Conditions Report ADP listing of conditions attached to licences and permits.	Temporary Destroy 3 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.3.2	Final Year Premises Listing ADP listing of licensed and unlicensed premises.	Temporary Destroy 3 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.3.3	Instructions for System Maintenance This class has been removed. [For System Maintenance records, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.3.4	Outstanding Fees Report This class has been removed. [For Outstanding Fees and other financial transaction records, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		
1.3.5	Preliminary Report Runs (Licence Accounting transactions) This class has been removed. [For Financial transaction records, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		
1.3.6	Summary Ledgers for Licence Accounting This class has been removed. [For Accounting ledgers, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		
1.3.7	System Maintenance Reports This class has been removed. [For System maintenance records, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.4.0	Licence and Permit Renewal Records Includes records documenting the application for renewal, renewal and renewal payment of licence and permit fees. [Includes Hardship Applications, Applications for Reduced Fee, Applications for Fee Exemption.]		
1.4.1	Applications for Licence Renewal Office copies of applications which also act as the renewal.	Temporary Destroy 6 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.4.2	Applications for Permit Renewal Office copies of applications which also act as the renewal.	Temporary Destroy 6 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.4.3	Applications for Refund of Licence Fee Proformas - treated as vouchers.	Temporary Destroy 6 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.4.4	Instalment Notices Copies of quarterly instalment notices returned by licensees with payment for licence fees.	Temporary Destroy 6 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.4.5	Objections to Licence Fees Proforma objections by licensees to payment of fees	Temporary Destroy after 2 years.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.0.0	Bingo Records Refers to records where the licensed premises seek Commission permission to run bingo on the premises.		
2.1.0	Bingo Applications	Temporary Destroy when bingo activity ceases.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
2.2.0	Bingo Record Cards Index to bingo approvals given.	Permanent Retain as State Archives.	Transfer hard copy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.0.0	<p>Commission Management Records Refers to series recording various aspects of management and administration of the Commission. Includes Commission management meetings, instructions to staff, files of the Senior Administrator of the Commission.</p> <p>[Includes Director Liquor Licensing, Director of Responsible Alcohol Victoria.]</p>		
3.1.0	<p>Files of the Chief Executive Officer Includes files of the former Secretary of the Commission or any other position equivalent to the Chief Administrator.</p> <p>[Includes Director Liquor Licensing.]</p>	Permanent Retain as State Archives.	Transfer hard copy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.2.0	<p>Instructions to Staff This class has been removed. [For Policy and Procedures, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]</p>		
3.3.0	<p>Record of Commission Management Meetings Includes minutes, agenda and related files. This class has been removed. [For records of Commission Hearings and Decisions, see 15.0.0.] [For meeting records, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]</p>		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.0.0	<p>Conference Material Includes proceedings, agenda, papers.</p> <p>These classes have been removed.</p> <p>[For Conference records, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]</p>		
5.0.0	Club Records		
5.1.0	<p>Record of changes to club rules.</p> <p>Card system recording advice from licensed clubs relating to changes in club rules.</p>	Temporary Destroy when club ceases.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
6.0.0	<p>Fee Assessment Records Refers to records created and received by the licensing fee assessors. Records are used to calculate fees levied on licensees. Records include hardcopy manual and ADP format.</p>		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
6.1.0	Data Processing Records These classes have been removed. [For reporting, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		
6.2.0	Declarations and Returns Includes statutory declarations and returns, liquor purchases and sales from suppliers and retailers, and related summary information. [Pre 1997 records only. Function transferred to State Revenue Office in 1997.]		
6.2.1	Records of Suppliers' and Retailers' Returns Received Printout with manual entries of receipt and computer processing of returns and decisions.	Temporary Destroy 3 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
6.2.2	Statutory Declarations and Returns from Retailers Includes only declarations and returns prior to 1984 which are held loose. From 1984 these records are held on licence files and are to be disposed of after the licence becomes void.	Temporary Destroy 5 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
6.2.3	Statutory Declarations and Returns from Suppliers Declarations of sales and detailed listings of sales made by suppliers of liquor, which are held loose. Includes returns from interstate suppliers. From 1984 declarations are held on licence files and are to be disposed of after the licence becomes void.	Temporary Destroy 5 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
6.3.0	Inspection Investigation Records Includes routine inspections of licensees' records, and larger investigations carried out by fee assessors. Also includes record of reassessments made as a result of inspections.		
6.3.1	Inspection Records Files containing worksheets and inspection reports. A copy of the report is also placed on the licence file.	Temporary Destroy when superseded by 3 reports.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
6.3.2	<p>Investigation Files - Minor Records documenting inspections and investigations that do not lead to any enforcement action. Includes verbal warnings and/or written instructions given out where minor or unintentional non-compliance is identified. [Files of various documents concerning minor investigations of licences.]</p>	<p>Temporary Destroy 7 years after conclusion of investigation.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.</p>
6.3.3	<p>Investigation Files Records of inspections and investigations that lead to: written warnings or contravention notices; infringement notices (fines); suspension of a licence or registration; and/or the imposition of conditions or restrictions on a licence or registration, but not to the cancelling of any licence or registration. Includes the prosecution of any related offences.</p>	<p>Temporary Destroy 12 years after conclusion of investigation.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.</p>
6.3.4	<p>Investigation Files – leading to cancellation of licence Records documenting inspections and investigations that lead to the cancelling of a licence. Includes: applications to conduct a Disciplinary Inquiry; the consideration of any submission by the organisation when asked to show cause why the cancellation should not proceed/notice should not be given, and the prosecution of serious offences.</p>	<p>Temporary Destroy 12 years after date of cancellation of the licence.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
6.3.5	Reassessment Record Summary record of reassessment of licence fees by assessors as a result of an investigation or inspection.	Temporary Destroy 5 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
6.4.0	Liquor Sales/Purchases Reports Refers to printouts produced from the 'liquor sales/purchases system', or similar system. Printouts provide data on purchases and sales, exceptions/error data, statistics and highlight data. Preliminary and subsidiary reports are temporary, and summary data are to be retained permanently. [Applies to pre-1997 records only. Activity ceased in 1997.]		
6.4.1	CUB Input Data – before 1986 Sales data provided by major liquor supplier. Prior to 1986 that data was only held in original form and is to be retained permanently. From 1986, the data is summarised in the supplier's sales report.	Temporary Destroy 5 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
6.4.2	CUB Input Data – post 1986	Temporary Destroy 5 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
6.4.3	Exception Report Documents discrepancies between retailers figures, and wholesalers figures.	Temporary Destroy 5 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
6.4.4	Group Spreadsheet Summary Summary data for group suppliers, (e.g. chainstores.)	Temporary Destroy 7 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction..

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
6.4.5	Highlight Final Report Data is produced from the final match report showing all variances and discrepancies requiring investigation.	Temporary Destroy 5 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
6.4.6	Match Final Report Includes final total data matching purchases and sales for the assessment year.	Temporary Destroy 5 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
6.4.7	Preliminary Report Runs Interim, updated printouts for all types of report. These are redundant once the final report is produced.	Temporary Destroy 3 months after end of assessment year.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
6.4.8	Reject Reports Data arises from update reports used for routine system maintenance.	Temporary Destroy 5 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
6.4.9	Retailers Listing Used as a working document during assessment.	Temporary Destroy 3 months after end of assessment year.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
6.4.10	Statistics Reports Complete statistical summaries for the assessment year.	Temporary Destroy 5 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
6.4.11	Suppliers Listing Used as a working document during assessment.	Temporary Destroy 3 months after end of assessment year.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
6.4.12	Suppliers Sales Report Summary data of what suppliers sold for each year.	Temporary Destroy 5 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
6.4.13	Summary of Variances Records are variances in sales figures provided by suppliers.	Temporary Destroy 7 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
6.4.14	Update Reports Used for routine system maintenance.	Temporary Destroy 3 months after end of assessment year.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
6.5.0	Record of Purchases Registers		
6.5.1	Record of Purchases Registers Checked Routine working record of registers checked prior to transfer of a licence.	Temporary Destroy when reference ceases.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
7.0.0	General Correspondence Records		
7.1.0	Correspondence Files This class has been removed. Correspondence is to be disposed of in accordance with retention periods for the activity to which the correspondence relates.		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
7.1.1	File Relating to Accounting Administration This class has been removed. [For accounting records, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		
7.1.2	Vacancy Files This class has been removed [For recruitment records, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		
7.1.3	Ephemeral Material This class has been removed. Ephemeral material may be destroyed in accordance with the principles of Normal Administrative Practice (NAP).		
7.2.0	Index to Correspondence Files This class has been removed. [For Correspondence (Records) Registers, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		
7.3.0	Inwards Correspondence Register This class has been removed. [For Correspondence (Records) Registers, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
7.4.0	<p>Register to Correspondence Files</p> <p>This class has been removed.</p> <p>[For Correspondence (Records) Registers, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]</p>		
7.5.0	<p>System Guidelines</p> <p>This class has been removed.</p> <p>[For IT manuals and procedures, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]</p>		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
8.0.0	<p>Inquiry Records</p> <p>Refers to groups of records documenting various Inquiries into specific aspects of liquor regulation, or into the liquor industry generally. Includes Inquiries, reviews or similar investigations. For example Boards of Inquiry into the operation of the legislation, Royal Commission on liquor or liquor laws.</p> <p>Includes files, transcripts of hearings, submissions, reports, and related working papers.</p> <p>This class has been removed.</p> <p>[For Inquiries, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]</p>		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
9.0.0	Licence Application Records Includes applications for a new licence and related documents held on file or loose, and associated control records such as registers. [Licence application records for premises and licensees.]		
9.1.0	Licence Application Case Records Includes licence application files, additional papers not on file (prior to May 1988) and withdrawn, refused or struck out applications for a new licence.		
9.1.1	Licence Applications – Granted Case documents where the new licence application is granted	Temporary Destroy 5 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
9.1.2	Licence Applications – Refused Withdrawn or Struck Out	Temporary Destroy 2 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
9.2.0	<p>Registers of New Licence Applications</p> <p>Includes the master register from which application numbers are allocated and copies of registers kept by officers for routine reference and working purposes.</p>		
9.2.1	<p>Copies of Registers</p> <p>Includes photocopies of the Master Register, or manually maintained listings of application numbers and case documents received.</p> <p>This class has been removed.</p> <p>Copies of registers for routine reference may be destroyed in accordance with the principles of Normal Administrative Practice (NAP).</p>		
9.2.2	<p>Master Register</p> <p>Register, from which new application numbers are allocated. [Component of the iALARM licence assessment and regulation management database.]</p>	<p>Permanent</p> <p>Retain as State Archives.</p>	<p>Transfer hard copy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
10.0.0	<p>Licence Records Includes licence files and related control records. Includes master files and associated records prior to May 1988. Includes records relating to licence changes and maintenance, e.g. transfers. [Issued licence records for premises and licensees.]</p>		
10.1.0	<p>File Movement Record This class has been removed. [For Correspondence (Records) Registers, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]</p>		
10.2.0	<p>Index to Licensed Premises Master indexes, in card or ADP format. Includes record of licences surrendered or cancelled.</p>	<p>Permanent Retain as State Archives.</p>	<p>Transfer hard copy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
10.3.0	Index to Licensees Master indexes, in card or ADP format.	Permanent Retain as State Archives.	Transfer hard copy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.
10.4.0	Index to Premises Ownership Refers to indexes to owners of licensed hotels and restaurants or other premises, where change of ownership details are lodged with the Commission.	Permanent Retain as State Archives.	Transfer hard copy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.
10.5.0	Licence Case Records Includes the licence (and previous master) files. Also includes all associated licence file documents which have not been placed on file: culled papers, subsequent application documents (e.g. transfers, change of status), memoranda and articles of association, trust deeds, certificates of incorporation and partnership agreements.		
10.5.1	Sample of Licence Case Records This class has been removed. PROV no longer accepts samples of record series as part of its collection.		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
10.6.0	Licences Refers to office copies of the licences issued to licensees.	Temporary Destroy 6 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
10.6.1	Duplicate Copies of Licences This class has been removed. Duplicate copies of records may be destroyed in accordance with the principles of Normal Administrative Practice (NAP).		
10.6.2	Sample of Licences This class has been removed. PROV no longer accepts samples of record series as part of its collection.		
10.7.0	List of Licensed Premises Includes a master listing of premises, and updated reference copies kept by officers for working purposes.		
10.7.1	Copies of Premises List This class has been removed. Duplicate copies of records may be destroyed in accordance with the principles of Normal Administrative Practice (NAP).		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
10.7.2	Master Premises List [Component of the iALARM licence assessment and regulation management database.]	Permanent Retain as State Archives.	Transfer hard copy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.
10.8.0	Opposed Renewal Files Files relate to the licence file records and are held for the same period.	Temporary Destroy 5 years after licence ceases.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
10.8.1	Sample of Opposed Renewal Files This class has been removed. PROV no longer accepts samples of record series as part of its collection.		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
10.9.0	Premise Change of Ownership Advice	Temporary Destroy 1 year after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
10.10.0	Record of Transfers Refers to card systems which records transfers of various types of licences. This information is summarised in indexes to licensed premises which are retained permanently.	Temporary Destroy 5 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
10.11.0	Register of Company Documents This class has been removed. [For Correspondence (Records) Registers, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
10.12.0	Register of Licences Master register from which licence numbers are allocated. [Register of licences for premises and licensees. Component of the iALARM licence assessment and regulation management database.]	Permanent Retain as State Archives.	Transfer hard copy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.
10.13.0	Register of Surrendered Licences [Register of surrendered licences for premises and licensees. Component of the iALARM licence assessment and regulation management database.]	Permanent Retain as State Archives.	Transfer hard copy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.
10.14.0	Results Sheet of Opposed Renewals Lists of decisions on opposed renewal cases. Information is duplicated in Licensing Registers.	Temporary Destroy after 2 years.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
11.0.0	Particular Occasion Permit (POP) Records [Temporary Limited Licences] Includes POP applications for licensed, and unlicensed premises, and related registers and indexes.		
11.1.0	POP Applications [Temporary Limited Licences] Includes the application, reports and the decision on the application.	Temporary Destroy 3 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
11.1.1	Sample of POP Applications This class has been removed. PROV no longer accepts samples of record series as part of its collection.		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
11.2.0	Returns of Country POP Applications Granted Returns for Country Deputy Secretaries prior to May 1988, used mostly for collection of annual reporting statistics.	Temporary Destroy 2 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
11.3.0	Registers of POP Applications Includes Register of Applications, Register of Permits Issued, and file storage numbers. Includes records of unlicensed premises, licensed clubs and hotels.	Temporary Destroy 10 years after date of creation	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
12.0.0	Permit Records Refers to permit records held separately to licence records prior to May 1988. All classes in this section have been removed. Agency advises it no longer holds any records that fall under these classes. [For records relating to permits after May 1988, see 10.0.0.]		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
13.0.0	Plan Records		
13.1.0	Plans for Licensed Premises Refers to plans of premises lodged by licensees and applicants for licences. A current plan is required for the life of the licence.	Temporary Destroy 5 years after superseded or licence ceases.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
13.1.1	Sample of Plans for Licensed Premises This class has been removed. PROV no longer accepts samples of record series as part of its collection.		
14.0.0	Press Cuttings Includes those relating to the Commission and the liquor industry, and those not directly relating to the liquor industry. These classes have been removed. [For Media and Public Reaction, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		
15.0.0	Records of the Commission Hearings and Decisions Refers to records used for recording or listing when hearings are to be held, and records of the decisions of the Commission at each hearing.		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
15.1.0	Judgements of the Commission [Hearings Decisions] One master set of judgements to be retained permanently. Copies are required for short term reference only.		
15.1.1	Copies This class has been removed. Duplicate copies of records may be destroyed in accordance with the principles of Normal Administrative Practice (NAP).		
15.1.2	Master Set [Hearings Decisions]	Permanent Retain as State Archives.	Transfer hard copy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.
15.2.0	Legal Opinions This class has been removed. [For Legal Opinions and Advice, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
15.3.0	Press Releases on Commission Hearings This class has been removed. [For Media Releases, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		
15.4.0	Record of Applications Pending Lists of applications to be heard by the Commission. Known as 'Transfer Lists'.	Temporary Destroy 2 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
15.5.0	Record of Decisions of the Commission Refers to master summary record of decisions of the Commission on all types of applications made. Includes Licensing Registers.	Permanent Retain as State Archives.	Transfer hard copy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
15.6.0	Record of Hearing Dates Includes diaries for particular types of applications to be considered.	Temporary Destroy 2 years after action completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
16.0.0	Registry Records Refers to lists of records held in storage, record of photocopying orders and servicing mail records, list of file searches conducted. These are miscellaneous series held by Registry. These classes have been removed. [For Records Registers, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
17.0.0	<p>Statistics Records</p> <p>Refers to records created mostly by the Statistics Section of the Commission. Includes manual or ADP formats. Includes material collected by this section, such as annual reports.</p> <p>These classes have been removed.</p> <p>[For Reporting, see the General Retention & Disposal Authority for Records of Common Administrative Functions.]</p>		
18.0.0	<p>Supervisors' Records</p> <p>Refers to records created up to May 1988. Most records are duplicated by licence records. Note, the Supervisors' function is no longer carried out.</p> <p>These classes have been removed.</p> <p>[For Licence Records, see 10.0.0.]</p>		

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