

Licensing Workflow Summary

Prepared for  
Iowa Alcoholic Beverages Division (ABD)

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# Licensing

## New License Application

Notes:

* LA = Local Authority
* Highlights – Indicates questions for ABD
* ABD comments or BLUE

### 1.1 License Types: SP(Broker), CD(Distillers, Manufacturers, Importers), CM(Liquor Manufacturer)

No Add Ons or Privileges are associated with these License Types. No Dram Shop reviews are needed. The State is the Local Authority for these license types. They are all 12 Month Licenses.

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|  | **Applicant** | **Staff** | **Other** | **System** | **Comments** |
| 1 | Creates online portal account  (if it doesn’t exist yet).  Clicks New License Application. |  |  |  | No paper forms allowed. Online is the only method of application. |
| 2 | Selects License Type (SP, CD, CM)  Provide effective Date of License  (Sunday Sales is included with these License Types)  (CM- Living Quarters) |  |  | Term of License will default to 12 Months for these License Types  Generates Application APP-YY-xxxxx  Application Status = Pending  Generates Submissions (Based on Forms & Data Spreadsheet) | Some submissions will not be needed on Renewals.  No Bonds are needed for these License Types. |
| 3 | Completes Owner Information (multiple owners can be added) |  |  |  |  |
| 4 |  |  |  | Displays License Application based on the License Type selected |  |
| 5 | Completes Application form |  |  |  |  |
| 6 | Uploads Submissions |  |  | Saves Documents |  |
| 7 | Attests |  |  | Application Status = In Progress  Generates Fees based on License Type | Fees based on Fee Schedule  Fees need to be split ABD/LA (NO LA, only for beer licenses) |
| 8 | Pays Fees |  |  | Sets Paid Date  Generates ABD Level 1 Review  Application Status = Level 1 Review  Review Start Date - 4 business days) from fee payment based on Payment Method (Credit Cards clear right away)  Review assigned to the Review Queue | Review queue separated by New and Renewal Applications  (Check with US Bank to see how long a payment takes to clear. Verify if different Review Start Dates are needed based on payment method.)  Help Text on Portal: about payment methods and wait periods |
| 9 |  | View Application Review Queue  Assigns Review to the appropriate ABD staff member |  | Generates email notification to the person assigned to the Review  (Is this necessary if queue is being monitored?) |  |
| 10 |  | Reviews Application  Updates Review Status  Enters Comments: |  |  | These Comments will go to the Applicant. |
| 10.1 |  | Status = Additional Information Required |  | Generates email to Applicant  Additional Documents Submission Generated.  Applicant can go to the portal and upload submissions.  Once Applicant resubmits, Review generates and it assigned to the Review Queue.  Application Status = Additional Information Required | Goes through Review Cycle again |
| 10.2 |  | Status = ABD Level 2 or ABD Level 3 |  | Generates an ABD Level 2 Review  Application Status = ABD(Level) Review  Review assigned to the Review Queue | Level 1 Reviewer assigns Level 2 Review to the appropriate ABD Staff member  Level 3 Review can also be selected. |
| 10.3 |  | Status = Denied (Level 3) |  | Application Status = Denied  Generates Letter/Email to  Applicant with right to Appeal information | The review process jumps to the **Appeals Process**  ABD needs to mail letter to Applicant |
| 10.4 |  | Status = Approved |  | Application Status = Approved  Generates License and License  Sequence Number  License Status = Approved  License Expire Date Set  Generates License Certificate  Generates email to Applicant  License Status = Issued | License Number Formatting TYPE(2-3 characters)-xxxxxx (sequential based on type)  License Expiration – exactly 1 year. Thu e.g. 03Oct16 = 02Oct17 Based on the license effective date |

### 1.2 License Types: LA(Class A Liquor), WCN(Class C Native Wine), LD- LA is ABD (Class D Liquor-Boats, Trains, Planes), MD - no dram(Class “A” Micro-distilled Spirits)

No Add On sub licenses are associated with these License Types. Privileges available are based on the length of License.

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|  | **Applicant** | **Staff** | **Other** | **System** | **Comments** |
| 1 | Creates online portal account  (if it doesn’t exist yet).  Clicks New License Application. |  |  |  | No paper forms allowed. Online is the only method of application. |
| 2 | Selects License Type (LA, WCN, LD,)  Select License Length (12 Month, 8 Month, 6 Month, 14 Day, 5 Day)  (MD can only be 12 months) |  |  | The License Type and Length will determine the Privileges available for these license applications | Limitation – If Applicant had a 6 or 8 Month License that expired, there is a 2 month waiting period before they can reapply for a temporary License. They can apply for a 5 or 14 day or a 12 month license. |
| 3 |  |  |  | Displays License Application based on the License Type selected |  |
| 4 | Selects Privileges - Outdoor Service, Sunday Sales, Catering  Any Temp privileges will be a separate Application |  |  | Generates Application APP-YY-xxxxx  Application Status = Pending  Generates Submissions (Based on Forms & Data Spreadsheet) | Privileges based on Forms & Data Spreadsheet.  Some Questions based on Privileges |
| 5 | Completes Owner Information (multiple owners can be added) |  |  |  |  |
| 6 | Completes Application form |  |  | Application Status = Pending  Generates Submissions based on License Type & Privileges selected (Based on Forms & Data Spreadsheet)  Based on answers to Application Questions, system may generate Compliance Review |  |
| 7 | Selects Dram Shop Insurance Carrier |  |  |  | Dram Shops will be stored in the system with an email address |
| 8 | Selects Local Authority |  |  | In Portal, if user enters/selects City, system will default or List County options  City & County Population displays based on Census | Local Authority will be stored in the system with an email address  ABD to manually update Census information in the system |
| 9 | Link to print document for Notary (applicant will sign and upload as a submission) |  |  |  |  |
| 10 | Uploads Submissions |  |  | Saves Documents |  |
| 11 | Attests |  |  | Application Status = In Progress  Generates Fees based on License Type & Privilege (city population, club members, veterans’ org) | Fees based on Fee Schedule  Fees need to be split ABD/LA |
| 12 | Pays Fees |  |  | Generate email to ABD and LA notifying them Application was Submitted  Based on Answer to Application Questions, system may generate Compliance Review after Dram and LA Review.  Generates Dram Shop Review  Application Status = Dram Review  Generates email to Dram selected  Review linked to Dram selected | Compliance Review – e.g. Under 21 or Felon |
| **Dram Review** | | | | | |
| 13 |  |  | Dram Shop Carrier logs in the Portal and accesses the Application to be Reviewed |  | Dram can look at Dram information and address |
| 14 |  |  | Dram Shop Reviews Application |  |  |
|  |  |  | Dram Shop updates:  Policy #  Effective Date  Expiration Date  To or Thru  Check Outdoor Service (If Outdoor Service was selected on the Application, they must confirm it is covered under the policy.) | In Portal when the Dram submits the Policy information, the system will set the Review Status to Approved. |  |
| 15 |  |  |  | Dram Review Status = Approved  Generates LA Review Generates email to Local Authority | Internally Review Status needs to be updated. |
| **Local Authority Review** | | | | | |
| 16 |  |  | Local Authority logs in the Portal and accesses the Application to be Reviewed |  | LA needs ability to approve/deny each Add on and Privilege E.g. Approve LE, Deny Outdoor Service |
| 17 |  |  | Local Authority Reviews Application  LA can see fee splits (LA vs ABD) |  | LA can see warnings (e.g. under 21) on Application but not Watchlist items. (BG Design: Alerts)  LA can see Owners information but not SSNs. |
| 18 |  |  | Local Authority updates the Review Status  Enters Comments  Fire Inspection Completed y/n  Health Inspection Completed y/n |  |  |
| 18.1 |  |  | Status = Additional Information Required | Generates email to Applicant  Additional Documents Submission Generated.  Applicant can go to the portal and upload submissions.  Once Applicant resubmits, Review generates and it assigned to LA.  Application Status = Resubmission Required |  |
| 18.2 |  |  | Review Status = Denied | Application Status = Level 3 Review  Generates Level 3 Review - Review Queue  Indicator on Application that Appeal letter needs to be mailed (BG Report)  Generates email notification to Applicant |  |
| 18.3 |  |  | Review Status = Approved | Based on answers to Application Questions, system may generate  Generates Compliance Review  Assigned to the Review Queue  OR  Generates ABD Level 1 Review  Review assigned to the Review Queue  Application Status = Level 1 Review |  |
| **Compliance Review** | | | | | |
| 19 |  | View Application Review Queue  Assigns Review to the appropriate ABD Compliance person  Compliance Officers 1 and 2 should be able to access the entire Compliance Review queue. Assigning of reviews will be done manually by manager |  | Generates email notification to the person assigned to the Review  Not necessary if compliance officers 1 and 2 have access to the queue. |  |
| 20 |  | Reviews Application details and Submissions |  |  |  |
| 21 |  | Updates Review Status  Enters Comments: |  |  |  |
| 21.1 |  | Status = Additional Information Required |  | Generates email to Applicant  Additional Documents Submission Generated.  Applicant can go to the portal and upload submissions.  Once Applicant resubmits, Review generates and it assigned to the Review Queue.  Application Status = Additional Information Required |  |
| 21.2 |  | Status = Approved |  | Generates a Review for the next level of Approval) Dram shop should already be approved if approved by LA. Should go to ABD Level 1 Review |  |
| 21.3 |  | Status = Denied |  | Generates ABD Level 3 Review  Assigned to the Review Queue | Only Level 3 can Deny the Application. |
| **ABD Review** | | | | | |
| 22 |  | View Application Review Queue  Assigns Review to the appropriate ABD staff member |  | Generates email notification to the person assigned to the Review |  |
| 23 |  | Reviews Application details and Submissions  Makes updates where needed. E.g. Enter Bond # & Effective Date |  |  |  |
| 24 |  | Updates Review Status  Enters Comments: |  |  |  |
| 24.1 |  | Status = Additional Information Required |  | Generates email to Applicant  Additional Documents Submission Generated.  Applicant can go to the portal and upload submissions.  Once Applicant resubmits, Review generates and it assigned to the Review Queue.  Application Status = Additional Information Required |  |
| 24.2 |  | Status = ABD Level 2 or ABD Level 3 |  | Generates an ABD Level 2 or 3 Review  Application Status = ABD Review | Level 1 Reviewer assigns Level 2 or 3 Review to the appropriate ABD Staff member  (Level 2 & 3 Reviews will loop through the same Review process) |
| 24.3 |  | Status = Denied (only level 3s deny)  Reason |  | Application Status = Denied  Generates email/letter notification to the Applicant with right to Appeal information  Generate internal email to Roles specified by ABD | The Application goes to the **Appeals Process**  ABD needs to manually mail letter to Applicant |
| 24.5 |  | Status = Approved |  | Generates License Sequence Number  Generates License Certificate  Generates email/letter to Applicant and LA (when not State)  Application Status = Approved  License Status = Issued | System to not Issue License if License Status = Timely Filed |
|  |  |  |  |  |  |

### 1.3 License Types: LE- no dram(Class E), LB(Class B Liquor), LC(Class C Liquor), BW(Special Class C Liquor – Beer & Wine), BB(Class B Beer- Includes wine coolers), (WB, WBN(No Dram)), BC (class “C” beer permit)

Add On sub license and Privileges are available for these license types and are based on the length of License.

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|  | **Applicant** | **Staff** | **Other** | **System** | **Comments** |
| 1 | Creates online portal account  (if it doesn’t exist yet).  Clicks to page for filing a New Application. |  |  |  | No paper forms allowed. Online is the only method of application.  Need to be able to print an application at any point. Does not include submissions. |
| 2 | Selects License Type (LE, LB, LC, BW, BB, WB, WBN, BC)  Select License Length (12 Month, 8 Month, 6 Month, 14 Day, 5 Day) |  |  | The License Type and Length will determine the Add Ons and Privileges available for these license applications | Limitation – If Applicant had a 6 or 8 Month License that expired, there is a 2 month waiting period before they can reapply for a 6 or 8 month License. They can apply for a 5 or 14 day or a 12 month license. |
| 3 |  |  |  | Displays License Application based on the License Type selected  Privilege options based on License Type |  |
| 4 | Select Add On |  |  |  | Add On options based on Forms & Data |
| 5 | Selects Privileges - Outdoor Service, Sunday Sales, Catering  Any Temp privileges will be a separate Application  (Per Forms and Data spreadsheet) |  |  | Generates Application APP-YY-xxxxx  Application Status = Pending  Generates Submissions (Based on Forms & Data Spreadsheet) | Privileges based on Forms & Data  Any Questions based on Privilege selected? (carry out needs Square Footage) |
| 6 |  |  |  | Prompt user to acknowledge that they must use ABD’s online portal or EDI for placing liquor orders | (Only for New LEs) |
| 7 | Acknowledges System prompt |  |  |  | (Only for New LEs) |
| 8 | Completes Owner Information (multiple owners can be added) |  |  |  |  |
| 9 | Completes Application form |  |  | Application Status = Pending  Generates Submissions based on License Type & Privileges selected (Based on Forms & Data Spreadsheet)  Based on answers to Application Questions, system may generate Compliance Review | Verify submissions for Privileges |
| 10 | Selects Dram Shop  Select Bond Company  (Per Forms and Data spreadsheet) |  |  |  | Dram shop can be updated by Applicant if they have select the wrong one. When application status = Dram Review.  Dram Shops will be stored in the system with an email address |
| 11 | Selects Local Authority |  |  | In Portal, if user enters/selects City, system will default or list LA options | Local Authority will be stored in the system with an email address |
| 12 | Link to print document for Notary (applicant will sign and upload as a submission) |  |  |  |  |
| 13 | Uploads Submissions |  |  | Saves Documents |  |
| 14 | Attests |  |  | Application Status = In Progress  Generates Fees based on License Type & Privilege (city population, club members, veterans’ org) | Fees based on Fee Schedule  Fees need to be split ABD/LA |
| 15 | Pays Fees |  |  | Generate email to ABD and LA notifying them Application was Submitted  Based on Answer to Application Questions, system may generate Compliance Review after Dram and LA Review.  Generates Dram Shop Review  Application Status = Dram Review  Generates email to Dram selected  Review linked to Dram selected  (Not all above license types have dram, per the Forms and Data spreadsheet) | Compliance Review – e.g. Under 21 or Felon  Confirm with US Bank to see how long a payment takes to clear.  This will not hold up the Dram or LA Reviews. There will be a Start Date of the ABD Review. (e.g. start date 48 hours from fee payment. |
| **Dram Review** | | | | | |
| 16 |  |  | Dram Shop logs in the Portal and accesses the Application to be Reviewed |  | Dram can look at Dram information and address but not the rest of the Application details. |
| 17 |  |  | Dram Shop Reviews Application |  |  |
| 18 |  |  | Dram Shop updates the Review  Policy #  Effective Date  Expiration Date  To or Thru  Check Outdoor Service (If Outdoor Service was selected on the Application, they must confirm it is covered under the policy.) | In Portal when the Dram submits the Policy information, the system will set the Review Status to Approved. | Could the Licensee ever have a different company insure their outdoor area? - Yes |
| 19 |  |  |  | Dram Review Status = Approved  Generates LA Review Generates email to Local Authority | Internally Review Status needs to be updated by the system. |
| **Local Authority Review** | | | | | |
| 20 |  |  | Local Authority logs in the Portal and accesses the Application to be Reviewed |  | LA needs ability to approve/deny each Add On and Privilege E.g. Approve LE, Deny Outdoor Service |
| 21 |  |  | Local Authority Reviews Application  LA can see fee splits (LA vs ABD) |  | LA can see warnings (e.g. not 2 bathrooms) on Application but not Watchlist items.  Warnings are based on the Compliance Questions. E.g. Under 21, bathroom waiver. Some will be seen by LA. (If only some warnings are viewable to LAs, ABD will need to provide details of which warning messages they are.)  Watchlist - Timely Filed. Are there others? – Yes, these will be manually set ABD staff. |
| 22 |  |  | Local Authority updates the Review Status  Enters Comments  Fire Inspection Completed y/n  Health Inspection Completed y/n |  |  |
| 23 |  |  | Status = Additional Information Required | Generates email to Applicant  Additional Documents Submission Generated.  Applicant can go to the portal and upload submissions.  Once Applicant resubmits, Review generates and it assigned to LA.  Application Status = Additional Information Required |  |
| 23.1 |  |  | Review Status = Denied | Application Status = Level 3 Review  Generates Level 3 Review - Review Queue  Indicator on Application that Appeal letter needs to be mailed (BG Report)  Generates email notification to Applicant |  |
| 23.2 |  |  | Review Status = Approved | Based on answers to Application Questions, system may generate  Generates Compliance Review  Assigned to the Review Queue  OR  Generates ABD Level 1 Review  Review assigned to the Review Queue  Application Status = Level 1 Review |  |
| **Compliance Review** | | | | | |
| 24 |  | View Application Review Queue  Assigns Review to the appropriate ABD Compliance person |  | Generates email notification to the person assigned to the Review |  |
| 25 |  | Reviews Application details and Submissions |  |  |  |
| 26 |  | Updates Review Status  Enters Comments: |  |  |  |
| 26.1 |  | Status = Additional Information Required |  | Generates email to Applicant  Additional Documents Submission Generated.  Applicant can go to the portal and upload submissions.  Once Applicant resubmits, Review generates and it assigned to the Review Queue.  Application Status = Additional Information Required |  |
| 26.2 |  | Status = Approved |  | Generates a Review for the next level of Approval (Dram and LA should’ve been approved at this point. Goes to ABD Level 1 |  |
| 26.3 |  | Status = Denied |  | Generates ABD Level 3 Review  Assigned to the Review Queue | Only Level 3 can Deny the Application. |
| **ABD Review** | | | | | |
| 27 |  | View Application Review Queue  Assigns Review to the appropriate ABD staff member (After LA approved, goes into queue. No assigning necessary) |  | Generates email notification to the person assigned to the Review  (Not necessary if. ABD level 1 should see entire queue.) |  |
| 28 |  | Reviews Application details and Submissions  Makes updates where needed. E.g. Enter Bond # & Effective Date |  |  |  |
| 29 |  | Updates Review Status  Enters Comments: |  |  |  |
| 29.1 |  | Status = Additional Information Required |  | Generates email to Applicant  Additional Documents Submission Generated.  Applicant can go to the portal and upload submissions.  Once Applicant resubmits, Review generates and it assigned to the Review Queue.  Application Status = Additional Information Required |  |
| 29.2 |  | Status = ABD Level 2 or ABD Level 3 |  | Generates an ABD Level 2 or 3 Review  Application Status = ABD Review | Level 1 Reviewer assigns Level 2 or 3 Review to the appropriate ABD Staff member  (Level 2 & 3 Reviews will loop through the same Review process) |
| 29.3 |  | Status = Denied (only level 3s deny)  Reason (text) |  | Application Status = Denied  Generates email/letter for Applicant with right to Appeal information. ABD to manually email letter. | The Application goes to the **Appeals Process**  ABD needs to mail letter to Applicant |
| 29.4 |  | Status = Approved |  | Generates License Sequence Number  Generates License Certificate  Generates email/letter to Applicant and LA(when not State)  Application Status = Approved  License Status = Issued | System to not Issue License if License Status = Timely Filed |

## Add Privileges to an Existing License

Through the Portal, Licensees will be able to complete an application requesting for a Privilege to be added to their License.

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|  | **Applicant** | **Staff** | **Other** | **System** | **Comments** |
| 1 | Logs into existing portal account.  Looks up an existing license in the portal, then clicks on Add Privilege. |  |  |  | Only display active licenses to user. |
| 2 |  |  |  | Displays License’s existing information (add ons and privileges) |  |
| 3 | Reviews existing license information (add ons and privileges)  Selects the Privilege Type to be added  Completes Application  Privilege can be Temporary or Permanent |  |  | Displays Application based on type selected  (Per the Forms and Data spreadsheet) | Available Privileges are based on License type.  The Applicant will not be able to update any of their existing information in the Privilege Application process.  Need to allow for multiple temporary privileges? E.g. Outdoor service every Friday in summer.  Need some type of warning when Brew Pub is selected because many people select this in incorrectly. |
| 4 |  |  |  | Generates Application Sequence APP-YY-xxxxx  Application Status = Pending  Generates Submissions (Based on Forms & Data Spreadsheet) |  |
| 5 | Displays existing Dram Shop  If different Dram for outdoor service, they need to select Dram Shop |  |  |  | May have a different Dram for Outdoor service. |
| 6 | Display Local Authority from existing License |  |  |  |  |
| 7 | Uploads Submissions |  |  | Saves Documents |  |
| 8 | Attests |  |  | Generates fees based on Privilege (Sunday Sales) | Sunday Sales - If the effective date of the license has already passed, the fee is prorated based on calendar days |
| 9 | Pays Fees (if applicable) |  |  | Application Status = (based on Review type generated e.g. Dram Review)  Generates Review (based on the Master License type – Dram, LA, ABD Level 1) | The Privilege Reviews will follow the same process as the New Applications.  (A new Certificate will be generated once approved. Temp dates will be included on cert when applicable.)  Temp outdoor service is limited to the License expiration date. |

## Renew License Application

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| --- | --- | --- | --- | --- | --- |
|  | **Applicant** | **Staff** | **Other** | **System** | **Comments** |
| 1 | Logs into existing portal account.  Looks up an existing license in the portal, then clicks on Renew. |  |  | Displays existing License information + Add Ons + Privileges when applicable (temp Outdoor Service Privilege will not be displayed)  Limitation of only renewing licenses that have not expired. If the License has expired, the Licensee will need to submit a new application. | System will send notification to Licensee 70 days prior to expiration.  Another notice will be sent 10 days prior to expiration.  5 days prior to Expiration a CALL goes to LA and Licensee saying that they will be shut down in 5 days.  On the morning of the Expiration, ABD will call LA to tell them the expiring licensee will be shut down at midnight.  (ABD to provide an email address for the Compliance department) (Not needed)  Notice on Portal – if they pay by credit card, their application will be processed quicker. |
| 2 | Verifies existing information.  Updates information as needed. |  |  |  | Contact info, DBA, mailing address can update during renewal.  Own information can only be updated on the Ownership/Officers Update Application |
| 3 | Selects Add Ons and Privileges that are to be included in the Renewal  (Per the Forms and Data spreadsheet) |  |  |  | Options based on the Forms & Data Spreadsheet |
| 4 |  |  |  | Generates Application APP-YY-xxxxx  Application Status = Pending Generates Submissions based on License Types, Add Ons, and Privileges | New submissions only needed if Premise configuration changed. Conditional Submissions will be manually created by ABD during the review process. E.g. bathroom waiver on 3rd year.  If Bond is not continuous, ABD would like the Bond submission generated. (can a question be asked for this?)  ABD would like to add the main license type to the Application sequence number. |
| 5 | Uploads Submissions |  |  | Saves Documents |  |
| 6 | Attests |  |  | Application Status = In Progress |  |
| 7 |  |  |  | Generates fees based on License type, Add Ons, & Privileges | Fees based on Fee Schedule  Fees need to be split ABD/LA |
| 8 | Pays Fees |  |  | Generates Review (Based on the Master License type – Dram, LA, ABD Level 1)  Application Status = (type) Review | Renewal Application follows the **New License Application Review** process  BG Design: review to determine if License expire date needs to be updated at this point because it is Timely Filed. |

## Appeals Process

When a License Application is Denied (new or renewal), or an Active License is Suspended or Revoked, by either a Local Authority or ABD, this is the Appeal Process that will be followed.

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|  | **Applicant** | **Staff** | **Other** | **System** | **Comments** |
| 1 | Received email notification of Denial. | ABD Staff must hand mail the physical letter (generated by System when Application Denied, suspension and revocation letters generated by ABD staff) informing applicant of the option to appeal. |  | System sets the Denied Date to the date the Application Status was updated to Denied (Local Authority Denied Date or Level 3 denied date if no LA)  Level 3 sets suspension/revocation date | Appeals on existing licenses: the license can still be used during the appeal process. License Status = Timely Filed  ABD to provide template for Denial letters. Letters are based on denial reasons. |
| 2 |  | Sets the Denied Mail Letter Date |  |  |  |
| 3 |  |  |  | Daily Report – 10 Day reminder. ABD will use to check if physical mailed letter has been picked up by Applicant/Licensee. |  |
| 4 |  | Reviews Report |  |  |  |
| 5 | Picks up physical notice or served letter | When letter is picked up, sets Pickup Date on License Application. |  | Sets Appeal Expiration Date to 30 calendar days from the letter pick up date | If Pickup Date is not set, the system will continue to be on the Appeal reminder report |
| 6 | 30 Days after Letter Pickup - No action is taken by the Applicant |  |  | Daily Report – 30 Days after Letter Pickup Date that Appeal period has expired  Application Status remains Denied, Suspended or Revoked | (BG Design: possible time based workflow task) |
| 7 |  |  |  | After expiration set Application and License Status  Application Status = Denied  License Status = Denied, Suspended or Revoked | ABD can manually update the status back. |
| 8 |  | Request email notification to Applicant and LA that appeal period has passed. |  | Generates email/Letter notification to LA and Applicant |  |
| 9 |  | Optionally enters Refund transaction |  |  | ABD Finance will need to complete refund. E.g. issue check |
|  | **Applicant Appeals** |  |  |  |  |
| 10 | **Via Portal**  If Applicant Appeals:  Logs into existing portal account.  Looks up Denied, Suspension or Revocation License Application.  Clicks on Appeal. | **Via Paper/Email**  If a paper Appeal is received:  Logs into the system and access the denied, Suspension, or Revocation Application. |  |  |  |
| 11 | Completes Appeal Application | Complete the Appeal information.  Uploads letter from Applicant or Licensee |  |  | What information needs to be collected from the Applicant? (ABD to provide information) Are there any Submissions that are required? |
| 12 | Attest | Saves Appeal |  | Appeal information is saved.  Application Appeal Status = Under Appeal  Generates Appeal Review (Level 3)  Review assigned to the Review Queue | Complaints (Case) Record (TBD) |
| 13 |  | View Application Review Queue  Assigs Review to the appropriate ABD staff member |  | Generates email notification to the person assigned to the Review |  |
| 14 |  | Request generation of Denied, Suspended or Revoked Application PDF to send to judge |  | Generates PDF of Denied Application | Would like to include the Application/Questions/Appeal/Reviews in the PDF |
| 15 |  | Manually route all pertinent information on hand to ALJ Administrative Law Judge)  or ABD staff member (Manually email documentation required by judge |  |  |  |
| 16 |  | Updates Review Status to Completed |  | System sets Review Completed Date |  |
| 17 |  |  | ALJ or ABD staff member reviews and sends Notice of Hearing via physical Letter to ABD and Applicant and LA if an LA Denied, Suspended, or Revoked |  |  |
| 18 |  | Uploads Notice of Hearing |  |  |  |
| 19 |  | Enters Hearing Date & Time (information needs to be available in Public Portal) |  |  |  |
| 20 |  |  | ALJ or ABD staff member provides proposed decision to **Sustain** or **Override** |  |  |
| 21 |  | Uploads Proposed Decision  Enter Decision Date (applicant will have 30 calendar days to appeal) |  | Sets Appeal Expiration Date to 30 calendar days from the Proposed Decision issuance date. License Appeal Status = Pending Appeal to Administrator |  |
| **Appeal ALJ or ABD Decision** | | | | | |
| 22 | **Applicant:**  If ABD’s or LA’s decision is **Sustained**:  Applicant can request an Appeal to the ABD Administrator  Applicant Logs into Portal account. (or can appeal by mail, email)  Looks up Denied, Suspended or Revoked License Application.  Clicks on Appeal.  (30 calendar days from Appeal Decision) |  | **LA:**  If **Override** of LA’s decision:  LA optionally requests an Appeal to the ABD Administrator within 30 days of the date the proposed decision was issued.  Logs into existing portal account. (or can appeal by mail or email)  Looks up Denied, Suspended or Revoked License Application.  Clicks on Appeal. | Notification of appeal (to  License Appeal Status = Appeal to Administrator  Notification to Applicant/LA they have 30 days to send in Briefs  System shows who is appealing (applicant or LA) based on the portal login.  Generates an Appeal Review  Assigned to the Review Queue |  |
|  |  | Has the option to update the briefing date |  |  | BG Design: Task with the due date to see if briefs have been file. |
| 23 |  | Can upload the briefs received |  | Sets the briefing date out 30 days | BG Design: Creates a task with a due date. |
| 24 |  | View Application Appeal Review Queue  Assigs Review to the appropriate ABD staff member |  | Generates email notification to the person assigned to the Review |  |
| 25 |  | Reviews Application Appeal details |  |  |  |
| 26 |  | Once final Appeal process is completed:  Update Appeal Review Status to Completed |  |  |  |
| 26.1 |  | Status = Denied  Enters Refund transaction  Update Application Status |  |  | Follows the **Refund** process |
| 26.2 |  | Status = Approved |  | If no appeal of ABD Administrator’s Decision within 30 calendar days, Generates License Number  Generates License Certificate  Generates email to Applicant  Application Status = Approved  License Status = Issued |  |

## Refunds

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Applicant** | **Staff** | **Other** | **System** | **Comments** |
| 1 | Logs into existing portal account.  Looks up an Application or existing Active/Issued License in the portal, then clicks on Refund. |  |  |  | ABD needs the applicant to request all refunds.  Refunds are for Applications (can get a full refund), Licenses, (full unused quarter left) They will enter their last day of business. No refunds on Sunday sales. For Approved Licenses that have LA, it needs to go to LA for Review/Approval. City needs to verify(check) the License last date of business. Also notifies LA that they will need to refund Licensee.  Taxes – they can also request these. They would need to provide documentation and details. ABD needs a review all tax refunds. |
| 2 | For existing Licenses, they will enter their Closing Date  OR  A Licensee can request a Tax Refund if they have overpaid.  Provide reason |  |  | For License Fee Refunds, calculates eligible refund amount based on Closing Date  If Tax Refund, generate submission for Supporting Documentation |  | |
| 3 | Upload document |  |  | Saves document |  | |
| 4 | Attests |  |  | For existing Licenses with a LA, generates a Local Authority Review  Generates email to Local Authority  For Tax Refund generates ABD Review | If no Local Authority, system generates an ABD Review | |
| **Local Authority Review** | | | | | | |
| 5 |  |  | Local Authority logs in the Portal and accesses the Application to be Reviewed |  |  | |
| 6 |  |  | Local Authority Reviews Application  LA can see fee splits (LA vs ABD) |  |  | |
| 7 |  |  | LA can update the Close Date for an existing license refund request |  |  | |
| 7.1 |  |  | Status = Approved | Generates an ABD Review  Review Assigned to the Review Queue |  | |
| **ABD Review** | | | | | | |
| 8 |  | View License Refund Level 1 Review Queue  Assigns Review to the appropriate ABD staff member (Leave in queue if all ABD Level 1 can access the entire queue) |  | Generates email notification to the person assigned to the Review  (Leave in queue if all ABD Level 1 can access the entire queue) | If it is a Tax Refund the review may need to be assigned to Accounting or Compliance. | |
| 9 |  | Reviews Refund  Updates Review Status |  |  |  | |
| 9.1 |  | Status = ABD Level 3 |  | Generates a Level 3 Review | Level 1 Reviewer assigns Level 3 Review to the appropriate ABD Staff member | |
| 9.2 |  | Status = Approved  Request notification to LA when needed |  | Application Status = Approved  Notification to LA generated | If the LA needs to refund the licensee, they will need to be notified. Since the system does not know when the LA has been paid, ABD to request LA to be notified. | |
| 10 |  | Refunds the License Fee internally in BG and via ABD Finance |  |  | ABD Finance will need to complete refund. E.g. issue check  ABD manually update the Status of the License to Cancelled or an Application with Withdrawn. | |
| 11 |  | If it is a Tax Refund, the adjustment must be made on the monthly tax form for the Licensee. (For beer refunds are submitted online with submissions, ABD manual action) |  |  | Review when we have the Tax Reporting feature designed. | |

## Keg Registration Stickers/Booklet Requests

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Applicant** | **Staff** | **Other** | **System** | **Comments** |
| 1 | Logs into existing portal account.  Looks up an existing Active license in the portal, then clicks on Request Keg Booklets |  |  | Limited to License Types: LB, LC, BW, BB, BC, LE(with sub lic BC) |  |
| 2 | Enters the number of booklets  Submits |  |  | Generates Application linked to License  Application Status = Pending  Generates fee based on number of booklets requested ($5 per booklet) | ABD would like to be able to search by the booklet numbers. |
| 3 | Pays fee |  |  | Generates an ABD Level 1 Review  Assigned to the Review Queue  Review Start Date (48 hours) | Start Date based on when funds have cleared. |
| 4 |  | View Application Review Queue  Assigns Review to the appropriate ABD staff member |  | Generates email notification to the person assigned to the Review |  |
| 5 |  | Reviews request |  |  |  |
| 6 |  | Enters booklet numbers into the system |  | System saves data | TBD if the user can scan the booklets into BG.  Public search for sticker numbers. |
| 7 |  | Request for Address label to be generated  Manually mails booklets to Licensee |  | Generates label | TBD how labels can be generated in the system. |
| 8 |  | Sets review status to Approved |  | Application Status = Approved | ABD needs ability to De-activate a booklet. |

## Premise Update Application

This is used when a Licensee changes the physical layout of their premise.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Applicant** | **Staff** | **Other** | **System** | **Comments** |
| 1 | Logs into existing portal account.  Looks up an existing Active license in the portal, then clicks on Premise Update Application |  |  | Displays Premise Update Application |  |
| 2 | Completes Application  Describes changes  Permanent (Effective Date)  OR  Temporary (Effective & End Dates/Times) |  |  | Generates Application linked to License APP-YY-xxxxx  Application Status = Pending  Generates Submission (Floor Plan of Licensed Premise) | Are any other documents required to be uploaded by the Licensee? |
| 3 | Uploads Document |  |  | Saves Document |  |
| 4 | Attests |  |  | Generates Local Authority Review (unless the State is the LA)  Assigned to the LA  Generates email notification to the LA | ABD to provide wording about what the Licensee needs to include. |
| 5 | Local Authority/ABD Reviews |  |  |  | LA is going to Approve change  Once approved by LA, system will generate an ABD Level 1 Review.  No new license document needs to be generated. (Possibly generate an email to licensee to confirm Premise Update) |

## Transfer of License/Permit

This is used when a Licensee is moving their license permanently or temporarily. The move must be within the same Local Authority jurisdiction.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Applicant** | **Staff** | **Other** | **System** | **Comments** |
| 1 | Logs into existing portal account.  Looks up an existing Active license in the portal, then clicks on Transfer License/Permit Application |  |  | Displays Transfer Premise Application  Generates Application  Application Status = Pending | Submissions based on Questions |
| 2 | Enters New Premise Address |  |  | Licenses can’t change their City or County (A county can also be a LA)State because they must stay within the same Local Authority |  |
| 3 | Selects Permanent or Temporary Transfer  Permanent: Start Date  Temporary: Start & End Dates/Time (24 hrs thru 7 days) |  |  | Generate Submissions – Sketch, Proof of Control, | Submissions based on Questions for changes. |
| 4 | Completes Application questions (e.g. premise questions)  Outdoor Service Area? |  |  |  |  |
| 5 | Attests |  |  | Based on Answer to Application Questions, system may generate Compliance Review after Dram and LA Review. (e.g. # bathrooms)  Generates Dram Shop Review  Application Status = Dram Review  Generates email to Dram selected  Review linked to Dram selected  (After Dram Review, it should go to LA, then ABD Level 1 Review) | Follows the License Application Review Process  This will follow the same process as a License Application.  Once Approved, a new License Certificate for Permanent and Temporary Licenses will need to be generated. |

## Ownership/Officers Update

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Applicant** | **Staff** | **Other** | **System** | **Comments** |
| 1 | Logs into existing portal account.  Looks up an existing Active license in the portal, then clicks on Ownership/Officers Update Application |  |  | Displays Ownership Update Application  Generates Application  Application Status = Pending  Generates Submissions - Ownership Update Documents (Mandatory) | Help on Portal to explain what the applicant needs to upload. |
| 2 |  |  |  | Displays list of existing Owners |  |
| 3 | Updates existing Owners as needed    Name, Address, Percentage  Can Remove Owners |  |  | Saves Updates  Owners Removed will not be deleted  Sets Effective Date of owner change | BG needs to keep ownership history on the License. |
| 4 | Adds new Owners (multiples can be added)  Name, Address, Percentage, Effective Date |  |  | Saves Additions |  |
| 5 | Upload Submission document |  |  | Saves Document |  |
| 6 | Attests |  |  | Generates Local Authority Review (ABD review if they are the LA)  Application Status = LA Review  Generates email to LA on Application  Review assigned to LA | Follows the Application Review Process from LA Review through to ABD Review.  No revised License document will need to be generated when Approved. |

## Additional Locations (WAN)

These Additional Location licenses are needed with a Licensee will be selling their products at other locations e.g. Farmer’s Markets. They will need a separate authorization for each location.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Applicant** | **Staff** | **Other** | **System** | **Comments** |
| 1 | Logs into existing portal account.  Looks up an existing Active license in the portal, then clicks on Additional Locations Application |  |  | Displays Additional Location Application  Generates Application  Application Status = Pending  Generates Submissions – Invitation Letter (Mandatory) |  |
| 2 | Completes application information:  Address (optionally: booth or space number)  Permanent or Temporary  Effective Date  End Date |  |  | The effective and end dates must fall within the master license dates. | No Fees are associated with this feature. |
| 3 | Attests |  |  | Generates ABD Level 1 Review  Assigned to the Review Queue | These applications do not go to Dram or LA Reviews |
| 4 |  | View Application Review Queue  Assigns Review to the appropriate ABD staff member (Not needed to be assigned if ABD Level 1 can access entire queue) |  |  |  |
| 5 |  | Reviews request |  |  |  |
| 5.1 |  | Status = Additional Information Required |  | Generates email to Applicant  Additional Documents Submission Generated.  Applicant can go to the portal and upload submissions.  Once Applicant resubmits, Review generates and it assigned to the Review Queue.  Application Status = Additional Information Required |  |
| 5.2 |  | Status = Approved |  | Generates License Sequence Number  Generates License Certificate  Generates email to Applicant Application Status = Approved  License Status = Issued | License Certificate will contain Master License number + additional location address. |
| 5.3 |  | Status = Denied (only level 3s deny)  Reason (text) |  | Application Status = Denied  Generates email/letter for Applicant with right to Appeal information. ABD to manually email letter. | The Application goes to the **Appeals Process**  ABD needs to mail letter to Applicant |

## Dram Shop Insurance Carrier Changes

At times Dram Shop Insurance Carriers linked to a License may need to be updated. These can be mid-term changes to a new carrier. Or they could be cancellations and policy reinstatements.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Applicant** | **Staff** | **Other** | **System** | **Comments** |
| **Expired or Cancelled Dram Shop Insurance Policies** | | | | | |
| 1 |  | Search for Dram Shop policy via Licensee Number/Name  or  Policy Number |  | Displays the License and associated Dram Shop information |  |
| 2 |  | Enters the Policy Cancellation Date |  | Saves the updated information |  |
| **Report** | | | | | |
| 3 |  |  |  | 10 Day Report/Notice  Report will be generated that lists the policies that will be expiring within the next 10 days |  |
| 4 |  |  |  | Generates an email to the Licensee stating that their policy will be expiring in 10 days |  |
| 5 |  |  |  | 1 Day Report  Report or Dashboard that lists the policies that will expire at midnight |  |
| 6 |  | On the License, updates the License Status to Suspended and selects the Reason |  |  | ABD to manually generate any letters or emails that are needed to complete due to a suspension. (possible Compliance-Phase 2 features) |
| **New Policy Update or Reinstatement** | | | | | |
| 7 |  | Search for Dram Shop policy via Licensee Number/Name  or  Policy Number |  |  | For Licenses that have been Suspended, ABD will need to manually set the License status to Active when they receive the new policy. |
| 8 |  | Enters the Policy number  Enters Policy Dates |  | Saves the new information |  |
| 9 |  | Requests email to Dram Shop Carrier |  | Generates an email to the carrier containing the Licensee and Policy information to confirm the changes. |  |
| **Mid Term Changes** | | | | | |
| 10 | Logs into existing portal account.  Looks up an existing Active license in the portal, then clicks on Change of Dram Shop Insurance Carrier |  |  |  |  |
| 11 | Selects new Dram Shop Carrier |  |  |  | Note: In some cases, the Licensee may have a new dram shop insurance carrier before the previous dram has expired or been cancelled. Therefore there can be 2 active dram shop carriers on a License. |
| 12 | Attests |  |  | Saves data  Generates a Dram Shop Review  Generates email to the Dram Shop |  |
| 13 |  |  | Dram Shop logs into the Portal and accesses the License Policy |  | Dram shop carrier can look at same information as with a new license application. |
| 14 |  |  | Dram Shop Reviews Application |  |  |
| 15 |  |  | Dram Shop enters  Policy Number  Enters Effective Date  License End Date is displayed and Carrier confirms that policy is effective thru the term of the license | In Portal when the Dram submits the Policy information, the system will set the Review Status to Approved. | Discussed that it would be better to default the license expire date and ask the carrier to confirm rather than allowing them to enter an End Date and To or Thru |
| 15.1 |  |  |  | Review Status = Approved | Internally Review Status needs to be updated. |
|  |  |  |  |  | Do these changes need to go through an ABD review and be approved? (If Dram is approved, ABD review isn’t necessary) |

## Label Approvals

Some Licensees provide samples of their Labels that need to be approved by ABD. If a label is denied, the Licensee may need to apply for a different type of License and will need to go through the new license application process.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Applicant** | **Staff** | **Other** | **System** | **Comments** |
| 1 | Logs into existing portal account.  Looks up an existing Active license in the portal, then clicks on Label Approval |  |  |  | CB, CV (NO CD) license types use this feature. |
| 2 |  |  |  | Generates Application  Displays Label Application  Application Status = Pending  Generates Submissions – Labels (Mandatory) | No Fees are associated with this feature. |
| 3 | Uploads Label document |  |  | Saves document  Licensee can access these documents in the future. |  |
| 4 | Attests |  |  | Generates an ABD Compliance Review  Assigned to the Review Queue | ABD to confirm if it should be a Compliance Review |
| 5 |  | View Application Review Queue  Assigns Review to the appropriate ABD staff member |  |  |  |
| 6 |  | Reviews Labels |  |  |  |
| 6.1 |  | Status = Denied  Reason (text) |  | Generates email to the Applicant | Can Compliance Deny these Reviews or do they need to go to Level 3 Reviews? |
| 6.2 |  | Status = Approved |  | Generates email to the Applicant |  |

# Design Considerations

## Status Codes

### Application

|  |  |  |
| --- | --- | --- |
| Pending | Default value when an application is created |  |
| In Progress |  |  |
| Submitted |  |  |
| Dram Review |  |  |
| LA Review |  |  |
| Compliance Review |  |  |
| Level 1 Review |  |  |
| Level 2 Review |  |  |
| Level 3 Review |  |  |
| Additional Information Required |  |  |
| Approved |  |  |
| Denied |  |  |
| Withdrawn |  |  |
| In Appeal |  |  |
|  |  |  |

### License

|  |  |  |
| --- | --- | --- |
| **Status** | **Notice Generated** | **Details** |
| Pending |  | Default value when a license is created |
| In Progress |  |  |
| Approved |  |  |
| Issued | Renewal Notice |  |
| Denied |  |  |
| Revoked |  |  |
| Cancelled |  |  |
| Timely Filed | Renewal Notice |  |
| Suspended | Renewal Notice | Suspended Reason will be included (ABD to provide Reasons) |
| In Appeal | Renewal Notice | Only for new licenses that have been denied |

### Review

|  |  |  |
| --- | --- | --- |
| Pending | Default value when a review is created |  |
| In Progress |  |  |
| Additional Information Required |  |  |
| Denied |  |  |
| Approved |  |  |
| ABD Level 2 |  |  |
| ABD Level 3 |  |  |
| Completed | Appeal Reviews |  |

### Appeal

|  |  |  |
| --- | --- | --- |
| Pending | Default value when a review is created |  |
| In Progress |  |  |
| Under Appeal |  |  |
| Pending Appeal to Administrator |  |  |
| Appeal to Administrator |  |  |
| Pending Appeal to District Court |  |  |
| Appealed to District Court |  |  |
| Approved |  |  |
| Denied |  |  |
| Pending Appeal to Supreme Court |  |  |
| Appealed to Supreme Court |  |  |

## Summary of Questions/Discussion

|  |  |
| --- | --- |
| **Question** | **Answer / Decision** |
| License Sequence Number Formatting (TBD) | TYPE(2-3 Characters)-xxxxxx (sequential based on type) |
| Attests (NOTARY FORM EMAIL + UPLOAD) Can we have the user print the Notary form in Application/Submissions section and have them upload before attestation? | Yes, they will be able to access and print the notary document prior to the submissions page. No email will be sent to the applicant. |
| Portal Pay Fees - Current Portal Payment Page – Prorate Recalculate option (Is this only used for Add Ons or Privileges added to an existing license?) | Yes, this is only for existing license add ons & privileges. |
| Need to define Warnings and Watchlist items: We need to define what fields in the application cause warnings. Are they just the Compliance questions?  Watchlist - Timely Filed. Are there others? | Yes, the warnings are generated from the Compliance Questions.  Watchlist items can be added at any time to a License. |
| ABD to provide template for license Denial letters. Letters are based on denial reasons. Reason types must also be provided | Received letter samples 31Oct16 |
| Appeal Application:  What information needs to be collected from the Applicant?  Are there any Submissions that are required? | Received letter samples 31Oct16 |
| Appeal Decision Letter - What information does this letter contain?  Does this letter just go to the Applicant? Does it also need to go to the LA if they denied the License Application? |  |
| Refunds - Are the refunds only for Licensees that are cancelling their license and for tax refunds?  What information needs to be collected from the Licensee?  What criteria allows the user to apply for a refund?  Do they need to enter Effective Date? | Refunds are for Applications, existing Licenses, and Taxes.  For existing Licensees, they will enter their Close Date |
| Refunds - Would this always be based on an existing License? Applicants would not need to apply for an application refund. | Applicants and Licensees must all apply for refunds. |
| Refunds – When approved do we need to notify local authority? | Yes, the LA needs to review and confirm closing date. |
| Refunds – Will ABD manually update the status of the license to Cancelled? | Yes, once refund is completed. |
| Portal Keg Registration Search by Sticker #: Is this a requirement? | Yes, ABD would like to have this feature. |
| Transfer Premise - Once approved, does the system need to generate a new License document for permanent and temporary changes? | Yes for both Temporary and Permanent transfers. |
| Premise Update - Once Approved what is generated? An email to the Applicant? | No new License needs to be generated. Currently nothing is set to go to the applicant. |
| Ownership Update – Are any submissions needed? | Yes – ownership update document |
| Application Warning Messages - (If only some warnings are viewable to LAs, ABD will need to provide details of which warning messages they are.) | 31Oct16 – It was determined that no warnings are needed for LA’s. |
| Label Approvals  ABD to confirm if the review should be a Compliance Review.  Can Compliance Deny these Reviews or do they need to go to Level 3 Reviews? |  |
| ABD to provide BG with Account Codes for fees and taxes |  |
| Mid-Term Dram Shop Change – Do these changes need to go through an ABD review and be approved? | ABD does not need to review these updates. |
| List of License Suspension Reasons needed from ABD. |  |