ALABAMA ALCOHOLIC BEVERAGE CONTROL BOARD
ADMINISTRATIVE CODE

CHAPTER 20-X-12
RESPONSIBLE VENDOR CERTIFICATION

20-X-12-.06 Maintaining Certification.

(1) To maintain certification, responsible vendors shall comply with the provisions of the Act, other applicable laws of the State of Alabama, and Rules and Regulations of the ABC Board.

(2) Subsequent to certification:

(a) Responsible vendors shall require new sellers, servers, and managers to complete the course of instruction and pass the appropriate examination within 30 days of commencing employment. Responsible vendors who allow new employees to sell, serve or manage before training should strive to do so under the direct supervision of a trained seller, server or manager. This does not apply to employees who transfer to a new location owned by the same licensee within the same governing jurisdiction.

(b) Responsible vendors should strive to incorporate materials relating to controlled substances in their course of instruction.

(c) Responsible vendors shall require each server, seller and manager to attend meetings semi-annually, or more frequently as deemed appropriate. A register with names and last four digits of the social security numbers of all employees who attend the meeting, the date of each meeting, the person conducting the meeting, and the subjects covered shall be maintained by the responsible vendor or agent thereof.

(d) If there is loss of certification through lack of renewal, decertification, or other circumstance, the licensee shall be required to retrain all servers, sellers and managers prior to submitting application to again be certified.

(3) A responsible vendor or agent thereof shall maintain and make available for inspection employment and/or Responsible Vendor Program records which are sufficiently detailed, accurate, and in such manner that the ABC Board may determine compliance with the Act. The Responsible Vendor Program physical paper records shall be maintained within the State of Alabama or the records may be maintained in a digital format, provided the record shall be produced within 48 hours at the request of the ABC Board. Records of employees no longer employed by the responsible vendor may be disposed of after a period of 3 years following the employee's

termination of employment. In the event of a violation, it is the responsibility of the licensee to provide to the Responsible Vendor Program Division proof of date of hire and/or date of transfer. Acceptable proof of date of hire is a copy of an I-9, Employment Eligibility Verification Form, or a copy of an NH-1, Rev. 7/97, State of Alabama, Industrial Relations New Hire Form. Acceptable proof of date of transfer is a copy of official company time card, time sheets, or a change of work status form. In the absence of the above, a sworn and notarized statement by the company representative responsible for such transfers may be accepted. Responsible vendors shall maintain a file for servers, sellers, and/or managers which shall include:

(a) The employee's dates of employment.

(b) The last four digits of the employee's social security number.

(c) The employee’s acknowledgment concerning the vendor's written policy assuring legal alcoholic beverage sales, and outlining company policy and procedures for disciplining employees who violate beverage laws or use and/or possess controlled substances on the licensed premises.

(d) The employee's course of instruction records with examination results and date of completion.

(e) The name of the entity and individual or online course/ exam provider providing the course of instruction and examination to the responsible vendor’s employees.

(f) Documentation of participation in semiannual meetings.

(4) Training of new sellers, servers and managers shall occur within 30 days of commencing employment or transfer. This does not apply to employees who transfer to a new location owned by the same licensee within the same governing jurisdiction. Responsible Vendors shall submit to the ABC Board, immediately subsequent to training, a completed Report of Server, Seller, or Manager Training form. This documentation is considered official upon receipt in-hand or electronically by the Responsible Vendor Program Division. This report shall include:

(a) The alcoholic beverage license number and the trade name appearing on the license.

(b) The full name, the last four digits of the social security number and date of birth of each server, seller, and manager who successfully completes the appropriate course of instruction.

(c) The date each employee completes the course of instruction and the date hired or placed in a server, seller or manager position.

(d) The name of the individual or the name of the online course provider providing the appropriate course of instruction to the employees.

(5) Any social security number disclosed under this regulation shall be used for the purpose of investigation or verification by the ABC Board and shall not be a matter of public record.

Author: ABC Board
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