

Self Assessment Compliance Audit Liquor Checklist

Hotels and Clubs with Liquor Licences *Liquor Licensing Act 1997*

This self assessment compliance audit checklist has been developed to assist licensees in assessing the level of compliance with liquor legislation, regulations, licence conditions and codes of practice.

Completion of the form is encouraged by Consumer and Business Services (CBS). Authorised officers from this office may request to see the completed document at the time of inspection.

It is recommended that an assessment be completed every six months.

It is also recommended that the assessment be viewed and signed off by a Responsible Person and/or the licensee (or an operational director or committee member if the licensee is a body corporate).

Where your venue has no policies or procedures in place, you may need to create your own, or vary or update the existing policies or procedures, as required.

Licensees should be familiar with, and have copies of the following current documents —

- Liquor Licensing Act 1997 (LLA)
- Liquor Licensing (General) Regulations 2012 (LLR)
- General Code of Practice (GCoP)
- Late Night Trading Code of Practice (LNCoP)

The Act and Regulations can be downloaded from the South Australian Legislation website (www.legislation.sa.gov.au).

The codes of practice and further information on a range of liquor, gambling and wagering topics, can be downloaded from the CBS website (www.cbs.sa.gov.au).

Venue Name:

Licence No:

Audit Date:

Audit conducted by:

Position:

Signature:

Acknowledged by:

Position:

Signature:

Date:

Next Audit Date:

LICENCE CONDITIONS

| | Item | Yes/ No | If No — What action to be taken | When & By Whom |
|----|---|---------------------------------|------------------------------------|-------------------|
| B1 | <p>Are you and your staff aware that the following are the key objects of the <i>Liquor Licensing Act 1997</i> (the Liquor Licensing Act) —</p> <ul style="list-style-type: none"> to encourage responsible attitudes towards the promotion, sale, supply, consumption and use of liquor, to develop and implement principles directed towards that end (the responsible service and consumption principles) and minimise the harm associated with the consumption of liquor; to ensure as far as practicable that the sale and supply of liquor contributes to, and does not detract from, the amenity of community life; and to ensure that the sale and supply of liquor occurs in such a manner as to minimise the risk of intoxication and associated violent or anti-social behaviour including property damage and causing personal injury? <p style="text-align: right;"><i>Sec 3 LLA</i></p> | Y / N Y / N Y / N | | |
| B2 | <p>Are you aware that —</p> <ul style="list-style-type: none"> under your licence conditions, you must comply with the Commissioner's codes of practice; the requirements of the General and the Late Night Trading Codes of Practice are in addition to the licence conditions; and if the requirements of the General and/or Late Night Trading Codes of Practice are inconsistent with a licence condition, then the licence condition will prevail? <p style="text-align: right;"><i>Sec 42(1) LLA, Clause 5 GCoP and Clause 5 LNCoP</i></p> | Y / N Y / N Y / N | | |
| B3 | <p>Is there a copy of the current liquor licence¹ (showing all conditions, endorsements, etc) displayed at the front entrance to the premises?</p> <p style="text-align: right;"><i>Sec 109 LLA</i></p> | Y / N | | |
| B4 | <p>Is there a current and accurate copy of the premises plan available for viewing by an authorised officer?</p> <p style="text-align: right;"><i>Sec 43 LLA</i></p> | Y / N | | |
| B5 | <p>If your premises is a hotel —</p> <ul style="list-style-type: none"> is it open to the public for the sale of liquor on every day (except Good Friday, Christmas Day or Sunday) between 11.00am and 8.00pm; and are meals provided between the hours of noon and 2.00pm and 6.00pm and 8.00pm when the premises are open, unless an exemption has been granted by the Commissioner? <p style="text-align: right;"><i>Sec 32(2) LLA</i></p> | Y / N Y / N | | |
| B6 | <p>Is entertainment provided in any area(s) of your licensed premises?</p> <p>If so, has the Commissioner granted consent for entertainment to be provided in that area(s)?</p> <p>Are staff aware of the area(s) in which entertainment can be provided?</p> <p style="text-align: right;"><i>Sec 105 LLA</i></p> | Y / N Y / N Y / N | | |

¹ Note - the licence may consist of multiple pages.
Last Reviewed - January 2014

| | | | | |
|----|---|---|---|--|
| B7 | <p>Are procedures in place to ensure that crowd controllers employed at the venue (whether venue employees or contracted crowd controllers) are approved under —</p> <ul style="list-style-type: none"> • the <i>Security and Investigation Industry Act 1995</i>; and • the <i>Liquor Licensing Act 1997</i> to work in licensed premises? <p>Are procedures in place to ensure that crowd controllers understand their obligations in relation to —</p> <ul style="list-style-type: none"> • the completion of incident registers; • the use of force to remove a person from the premises; and • the requirement for supervision by a licensee or responsible person if and when force is used? <p>Is a register kept to record crowd controller details, as required by regulation 11 of the <i>Security and Investigation Industry Regulations 2011</i>?</p> <p>Are the incident and crowd controllers registers available for inspection or copying by an authorised officer?</p> <p style="text-align: right;"><i>Sec 71A and 71B LLA, and Reg 20 LLR</i></p> | <p>Y / N</p> <p>Y / N</p> <p>Y / N</p> <p>Y / N</p> <p>Y / N</p> <p>Y / N</p> | | |
| B8 | <p>Have you been granted an exemption to any requirement of the <i>Liquor Licensing Act</i>, <i>Regulations</i> or <i>codes of practice</i>?</p> | <p>Y / N</p> | <p>If Yes, please list exemptions —</p> | |

MANAGEMENT PLAN, POLICIES AND PROCEDURES

| | Item | Yes/ No | If No — What action to be taken | When & By Whom |
|-----|---|--|------------------------------------|-------------------|
| B9 | <p>Is the management plan current ?</p> <p>Date for next review</p> <p>Have any changes been made to the management plan since it was last reviewed?</p> <p>Is a copy of the written management plan held at the premises?</p> <p>Is the current management plan readily available for viewing by an authorised officer?</p> <p>Have staff been trained in relation to the management plan (including any changes) —</p> <ul style="list-style-type: none"> • on induction; and • at least once in each subsequent period of two years? <p>Can evidence of staff training in the management plan (including any changes) be provided to authorised officers?</p> <p style="text-align: right;"><i>Clauses 4 and 13 GCoP</i></p> | <p>Y / N</p> <p>Y / N</p> <p>Y / N</p> <p>Y / N</p> <p>Y / N</p> <p>Y / N</p> <p>Y / N</p> | | |
| B10 | <p>Are staff aware that the <i>Liquor Licensing Act</i> defines 'intoxicated' to mean where a person's speech, balance, co-ordination or behaviour is noticeably affected, and it is reasonable in the circumstances to believe that the affected speech, balance, co-ordination or behaviour is the result of the consumption of liquor or some other substance?</p> <p style="text-align: right;"><i>Sec 4 LLA</i></p> | <p>Y / N</p> | | |
| B11 | <p>If your licence authorises the sale of liquor to lodgers, is a record of lodgers maintained?</p> <p style="text-align: right;"><i>Sec 101 LLA</i></p> | <p>Y / N</p> | | |

LICENSED PREMISES

| | Item | Yes/ No | If No — What action to be taken | When & By Whom |
|-----|---|----------------|------------------------------------|-------------------|
| B12 | Has the premises been altered or redefined? | Y / N | | |
| | If Yes, has approval for these changes been obtained? | Y / N | | |
| | Is the premises maintained in a safe and satisfactory condition? | Y / N | | |
| | Have the following steps been taken to ensure the safety, health and welfare of persons — | | | |
| | <ul style="list-style-type: none"> all exit doors and paths of egress to exit doors kept clear and free; and all emergency exit doors operable when the venue is occupied? <p style="text-align: right;"><i>Sec 119 LLA</i></p> | Y / N Y / N | | |

BARRINGS

| | Item | Yes/ No | If No — What action to be taken | When & By Whom |
|-----|--|------------|------------------------------------|-------------------|
| B13 | Are copies of all barring orders kept at the licensed premises to which they relate? <i>Sec 126(2) LLA</i> | Y / N | | |
| B14 | Are all barring orders issued by the licensee for an indefinite period or a period exceeding six months, provided to CBS within seven days? <i>Sec 125(6) LLA</i> | Y / N | | |
| B15 | Are blank liquor barring orders available on the premises? <i>Sec 126 LLA</i> | Y / N | | |

MINORS

| | Item | Yes/ No | If No — What action to be taken | When & By Whom |
|-----|---|----------------|------------------------------------|-------------------|
| B16 | If required, is there a — | | | |
| | <ul style="list-style-type: none"> 'Section 113 - Sale of Liquor to Minors' notice² displayed throughout all areas where liquor is either sold or consumed; | Y / N | | |
| | <ul style="list-style-type: none"> 'Section 112 - Out of Bounds to Minors from 9.00pm to 5.00am the next day' notice² displayed at the entrance to each applicable area of your premises; | Y / N | | |
| | <ul style="list-style-type: none"> 'Section 112 - Out of bounds to Minors from midnight to 5.00am the next day' notice² displayed at the entrance to each applicable area of your premises; and 'Section 111 - Minors Out of Bounds' notice² displayed at the entrance to each applicable area of your premises which has been declared by the Commissioner to be out of bounds to minors? <p style="text-align: right;"><i>Sec 111(2), 112(5) and 113(1) LLA</i></p> | Y / N Y / N | | |
| B17 | Have all staff, including security staff, been instructed on the accepted forms of evidence of age (ie current driver's licence, passport, photographic proof of age card or photographic Keypass ID card)? <i>Sec 115 LA and Reg 18 LLR</i> | Y / N | | |

² Refer to Appendix One for signage requirements.

APPROVED PERSONS

| | Item | Yes/ No | If No — What action to be taken | When & By Whom |
|-----|---|-------------------------|------------------------------------|-------------------|
| B18 | <p>Is a responsible person on duty at all times when your premises is open to the public (unless an exemption has been approved by the Commissioner)?</p> <p>Are there sufficient approved responsible persons to cover all shifts?</p> <p>Do all responsible persons have and wear an approved ID badge in a prominent position while on duty? <i>Sec 97(1)(a) and 97(5) LLA</i></p> | Y / N Y / N Y / N | | |
| B19 | <p>Are all staff employed to sell, supply or serve liquor at the licensed premises over the age of 18 years (unless exempt under the Liquor Licensing Act or an exemption has been approved by the Commissioner)? <i>Sec 107 LLA</i></p> | Y / N | | |
| B20 | <p>Have the following persons undertaken specified accredited responsible service of alcohol (RSA) training —</p> <ul style="list-style-type: none"> all staff and/or management involved in the service or supply of liquor on induction or within three months of engagement or employment (unless an exemption has been approved by the Commissioner); and all approved responsible persons / directors / committee members (if required as a condition of approval)? <p>Can evidence of the completion of RSA training be provided to authorised officers? <i>Clause 7 GCoP</i></p> | Y / N Y / N Y / N | | |

MANDATORY LATE NIGHT TRADING REQUIREMENTS

FOR VENUES WHICH TRADE BETWEEN 3.00AM AND 7.00AM

| | Item | Yes / No | If No — What action to be taken | When & By Whom |
|-----|--|----------------|------------------------------------|-------------------|
| B21 | <p>Transport Services —</p> <p>After 9.00pm, is information available about taxi ranks and any special late operating public transport services in the vicinity of your licensed premises? <i>Clause 7 LNCoP</i></p> | Y / N | | |
| B22 | <p>Queue Management —</p> <p>Between 12.01am and 3.00am or closing time (whichever is earlier), are practicable steps taken to ensure that any line up or queue to enter your premises —</p> <ul style="list-style-type: none"> is orderly; and is continuously monitored and managed to prevent obstruction to pedestrian traffic on the footpath? <i>Clause 8 LNCoP</i> | Y / N Y / N | | |
| B23 | <p>Footpaths and other outdoor areas —</p> <p>Between 2.01am and 7.00am or closing time (whichever is earlier), is the service or supply of liquor not permitted on the footpath or other public outdoor area (not including beer gardens, balconies, enclosed courtyards or similar that are only accessible from within the venue)? <i>Clause 9 LNCoP</i></p> | Y / N | | |

| | | | | |
|-----|--|-------|--|--|
| B24 | <p>Late Night Restricted Entry — Between 3.01am and 7.00am or closing time (whichever is earlier), are customers restricted entry to your licensed premises (unless an exemption has been approved by the Commissioner)?</p> <p style="text-align: right;"><i>Clause 12 LNCoP</i></p> | Y / N | | |
|-----|--|-------|--|--|

FOR VENUES WHICH TRADE BETWEEN 3.00AM AND 7.00AM AND HAVE MORE THAN 200 PATRONS ON THE PREMISES

| Item | | Yes/ No | If No — What action to be taken | When & By Whom |
|------|---|--------------------------------------|------------------------------------|-------------------|
| B25 | <p>Drink Marshal — Between 12.01am and 7.00am or closing time (whichever is earlier), is at least one responsible person performing the duties of a drink marshal?</p> <p>Does the drink marshal —</p> <ul style="list-style-type: none"> monitor the behaviour and liquor consumption of customers to reduce the likelihood of incidents of intoxication and/or disorderly, offensive, abusive or violent behaviour; patrol the whole of the licensed premises accessible to and occupied by customers; alert bar and serving staff of any concerning behaviour of customers; and report any person suspected of being intoxicated or observed to be behaving disorderly, offensively, abusively or violently to the licensee or manager/supervisor on duty? <p style="text-align: right;"><i>Clause 10 LNCoP</i></p> | Y / N Y / N Y / N Y / N | | |
| B26 | <p>First Aid — Between 12.01am and 7.00am or closing time (whichever is earlier), is at least one person on duty who has been approved under the Liquor Licensing Act and who has undertaken nationally accredited first aid training?</p> <p style="text-align: right;"><i>Clause 11 LNCoP</i></p> | Y / N | | |

FOR VENUES WHICH TRADE BETWEEN 3.00AM AND 7.00AM, HAVE AN AUTHORISED CAPACITY GREATER THAN 200 PERSONS, AND WHO TRADE FROM WITHIN THE DESIGNATED PRECINCT AREA

| Item | | Yes/ No | If No — What action to be taken | When & By Whom |
|------|---|----------------|------------------------------------|-------------------|
| B27 | <p>Metal Detector — Between 12.01am and 3.00am or closing time (whichever is earlier), is a metal detector operated by suitably trained employees used to screen customers upon entry?</p> <p>Does the metal detector comply with the standard technical specifications approved by the Commissioner?</p> <p style="text-align: right;"><i>Clause 13 LNCoP</i></p> | Y / N Y / N | | |
| B28 | <p>CCTV — At all times while open for trade, is a digital CCTV system in place to take visual recordings at all entry and exit points, footpath adjacent to the premises and all other internal and external licensed areas (excluding toilets) to which the customers have access?</p> <p>Is the digital CCTV system —</p> <ul style="list-style-type: none"> continuously operating while the premises is trading and for at least one hour after trading ceases; | Y / N Y / N | | |

| | | | | |
|--|---|-------|--|--|
| | <ul style="list-style-type: none"> showing the correct date and time; compliant with the standard technical specifications approved by the Commissioner; and maintained in good working order at all times? | Y / N | | |
| | While the digital CCTV system is in use, is the level of lighting at all entry and exit points adequate so as to allow clear visual recordings to be taken? | Y / N | | |
| | Are the visual recordings — | | | |
| | <ul style="list-style-type: none"> securely stored so as to prevent unauthorised access for a period of not less than 28 days; easily downloaded via disk and USB, and compatible with contemporary operating systems; and made available to an authorised officer together with any information relating to the recordings? | Y / N | | |
| | | Y / N | | |
| | | Y / N | | |
| | <i>Clause 14 LNCoP</i> | | | |

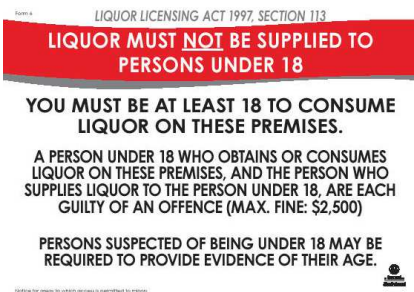
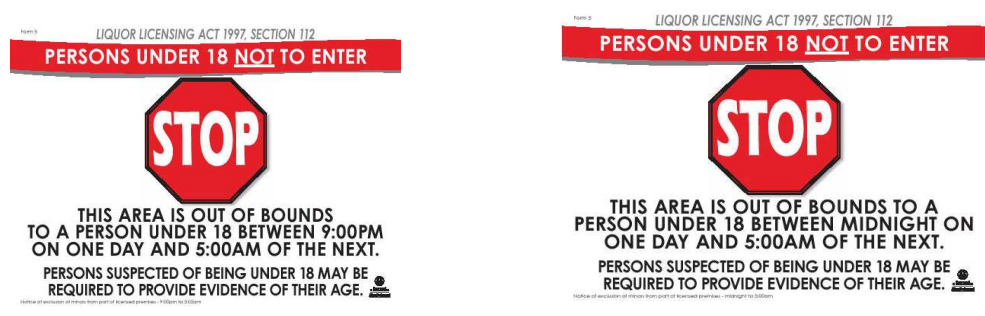

FOR VENUES WHICH TRADE BETWEEN 4.01AM AND 7.00AM

| | Item | Yes/ No | If No — What action to be taken | When & By Whom |
|-----|--|---------------------------------|------------------------------------|-------------------|
| B29 | <p>Liquor Supplied Free of Charge — Between 4.01am and 7.00am or closing time (whichever is earlier), is there a restriction on the supply of liquor free of charge?</p> <p style="text-align: right;"><i>Clause 15 LNCoP</i></p> | Y / N | | |
| B30 | <p>Rapid or Excessive Consumption of Alcohol — Between 4.01am and 7.00am or closing time (whichever is earlier), is there a restriction on —</p> <ul style="list-style-type: none"> the sale and supply of beverages promoting rapid or excessive consumption of alcohol; the sale and supply of beverages commonly known as 'shooters', 'doubles', 'laybacks', 'test tubes', 'blasters', 'stingers', 'jelly shots' or similar; and the sale and supply of beverages that contains more than 45ml of spirits? <p style="text-align: right;"><i>Clause 16 LNCoP</i></p> | Y / N Y / N Y / N | | |
| B31 | <p>Tempered or Polycarbonate Glassware — Between 4.01am and 7.00am or closing time (whichever is earlier) —</p> <ul style="list-style-type: none"> are all drinks sold or supplied in tempered or polycarbonate glassware; and are all non- tempered or non-polycarbonate glassware receptacles removed from all areas to which patrons have access? <p style="text-align: right;"><i>Clause 17 LNCoP</i></p> | Y / N Y / N | | |

APPENDIX ONE - SIGNAGE REQUIREMENTS

The licensee must display notices in the prescribed form informing minors and other members of the public of the law relating to under-age drinking. These notices must be displayed in a prominent position in each area of the licensed premises to which access is permitted to minors.

The notices are available from industry representatives or CBS (refer to CBS website for further information).

| | |
|---|--|
| <p>Section 113 - Sale of Liquor to Minors</p> <ul style="list-style-type: none"> • A3 Poster |  |
| <p>Section 112 - Out of Bounds from 9.00pm to 5.00am the next day and Section 112 - Out of Bounds from midnight to 5.00am the next day</p> <ul style="list-style-type: none"> • A3 Posters |  |
| <p>Section 111 - Minors Out of Bounds</p> <ul style="list-style-type: none"> • A3 Poster |  |