

Licensee risk assessment and management plan template

General Code of Practice *Liquor Licensing Act 1997*

It is a requirement of the [**General Code of Practice under the Liquor Licensing Act 1997 \(the General Code\)**](#), for licensees to develop a written management plan and to review this management plan every two years or when operations under the licence change in such a way that warrants a review. Class 3 short term events are also required to complete a management plan, which must be submitted at the time of application for the class 3 short term licence or endorsement.

You may use this management plan template, or create your own. If you complete this plan online, once completed you will need to print, sign, date and keep a copy on the licensed premises.

The level of **risk associated with your licence will depend on a number of factors** including the type of licence you have, your hours of operation, whether you trade late at night, have entertainment or the number of patrons attending your premises. Your assessment is to **determine the overall level of risk (e.g. high, medium, low)** associated with your business. Your completed risk assessment and management plan will help you identify training required. You should then **put in place practices/measures** to manage the risks identified.

All staff involved in the sale or supply of liquor on the licensed premises must be trained in relation to the management plan. The training must be provided on induction and at least once in each subsequent period of two years.

The [**General Code Guidelines \(the Guidelines\)**](#) provide examples of **good practices** and outline some of the things to be considered when assessing the risks associated with **your licence**. Also included in the Guidelines are examples of **unacceptable practices** which could breach the General Code and may result in an expiation, disciplinary action or prosecution.

The following documents will help you develop your written management plan:

- The up to date liquor licence
- The up to date plan
- The General Code
- The Guidelines
- The intoxication guidelines
- *Liquor Licensing Act 1997*
- *Liquor Licensing (General) Regulations 2012*



Risk assessment and management plan

Premises name

Licence number

Type/class of licence:

Risk assessment and reasonable steps			
General Code of Practice	Risk assessment	Tick Yes/No	
<p>Undertake an assessment of the risks associated with your operational practices.</p> <p>Identify -</p> <ul style="list-style-type: none"> • low risk • medium risk • high risk <p>Do not carry out practices that involve unacceptable risks.</p>	Consider the type and extent of your licence to identify the risks associated with operational practices		
	Do you allow on premises consumption?	Yes	No
	If your licensed premises does not allow on-premises consumption, have you identified the sections of the General Code that still apply to you? If yes , list sections	Yes	No
	What does your licence allow you to do (e.g. sell for consumption on the premises, sample only)?		
	Have you considered your authorised trading hours and/or actual trading hours? (You may have further obligations if you are permitted to trade late)	Yes	No
How many patrons do you generally have on your premises at one time and/or how many are you approved to have?			
Inside:	Outside:		

Do you provide entertainment on your premises? If yes , what type?	Yes	No
Can your premises be hired out for special functions such as 18th and 21st birthdays or weddings?	Yes	No
Do you hold special events or promotions at your premises? If yes , would there be more patrons on your premises at these times?	Yes	No
Have there been any alcohol related incidents in the past which you should consider as part of your risk assessment? If yes , give details:	Yes	No
Is there anything else relevant to your licence and specific to your operations that you should consider? If yes , give details:	Yes	No
Do you and your staff understand the intention of the <i>Liquor Licensing Act 1997</i> and the General Code (i.e. to minimise harm, ensure the principles of responsible attitudes towards the consumption of liquor are adhered to and the sale and supply of liquor is consistent with the expectations and aspirations of the public)?	Yes	No

After considering the nature and extent of your licence and operational practices, is it likely that the risk level for your premises will vary from time to time (e.g. when hosting a special event or conducting special promotions)?

Yes No

Have you assessed whether any of your operational practices could cause an unacceptable risk? **If yes**, give details:

Yes No

Is there anything else that you should take into consideration? **If yes**, give details

Yes No

How do you assess the overall level of risk associated with your licence?

Low Medium High

NOTE: Make sure that you have considered everything that might be relevant to your specific licence.

Required training and practices

NOTE: Clause 7(4) of the General Code lists licence classes that are **exempt** from the mandatory Responsible Service of Alcohol (RSA) training requirement.

Are you exempt from the mandatory RSA training requirement? Yes No **If yes**, go to the 'Practices relating to minors' section.

General Code of Practice	Risk assessment Things to consider when assessing the risk	Management plan Tick the relevant practice you will put in place and add details of any other practices you think will be useful
Clause 7 - Responsible service of alcohol training (1) The licensee must ensure that all staff engaged by the licensee have successfully completed nationally accredited responsible service of alcohol training by a Registered Training Organisation approved by the Commissioner and published on a website maintained by the Commissioner.	<p>Do you have staff that are required to undertake RSA training?</p> <p>Yes No</p> <p>Do you have a plan to have the approved RSA training completed within 3 months of commencement of staff engagement?</p> <p>Do you employ security personnel?</p> <p>Yes No</p>	<p>Keep copies of staff training records on the licensed premises (these could be kept with the management plan).</p> <p>Keep records of each employees commencement date and the date their RSA training was completed and which RTO, and have these readily available if requested for compliance purposes.</p> <p>Develop a schedule outlining when staff will do their RSA training to ensure that training is completed within the required timeframe.</p> <p>Request a copy of evidence of the RSA training completed before engaging the security personnel.</p>

(2) If any member of the licensee's staff has not completed the training specified in clause 7(1) at the time of engagement, the training must be successfully completed within three months from the commencement of the engagement of the staff member.

(3) The licensee must ensure that prior to being engaged by the licensee all security personnel have successfully completed nationally accredited responsible service of alcohol training by a Registered Training Organisation approved by the Commissioner and published on a website maintained by the Commissioner.

(5) The licensee must produce evidence of the completion of responsible service of alcohol training by persons as required by this clause or by licence conditions, within seven days of being requested to do so by an authorised officer (within the meaning of section 122 of the *Liquor Licensing Act 1997*).

Do you keep a record of training completed by staff or security personnel?

Yes No

If yes, how will you make this readily available if requested by an authorised officer?

Have all security personnel completed the appropriate RSA training prior to engagement?

List anything else relevant to your risk assessment:

List other practices that you will put into place to make sure you comply with the General Code:

Minors (a person under the age of 18)

A minor may not enter, or remain in-

- licensed premises subject to a packaged liquor sales licence unless the minor is accompanied by a responsible adult at all times; or
- licensed premises of a prescribed kind at prescribed times; or
- any other area in licensed premises (other than a bedroom)—
 - between the hours of midnight and 2 am unless the minor is accompanied by a responsible adult at all times; or
 - between the hours of 2 am and 5 am,
 if liquor may be sold in the area at that time.

General Code of Practice	Risk assessment Things to consider when assessing the risk	Management plan Tick the relevant practice you will put in place and add details of any other practices you think will be useful
Clause 8 - Practices relating to minors <p>(1) The licensee must take reasonable steps to prevent -</p> <p>(a) minors consuming or being supplied with liquor on the licensed premises; and</p> <p>(b) minors unlawfully entering or remaining on the licensed premises or any area of the licensed premises that is out of bounds to minors.</p>	<p>Are minors allowed on your premises?</p> <p>Yes No</p> <p>If no, go to the 'Rapid or excessive consumption' section.</p> <p>If yes, give details why minors attend your premises? Are they there before or after sport (e.g. at a sporting club) or for the entertainment that you provide? Are they there for a meal (e.g. at a hotel or restaurant)?</p> <p><i>Note: In some cases a licence may restrict minors from entering or remaining on licensed premises between 9pm and 5am</i></p>	<p>Refuse to serve alcohol to any person you suspect is underage and cannot provide identification (ID) to show otherwise.</p> <p>Make sure that staff members are aware of the types of ID that can be accepted as proof of age including digital ID (eg mobile phones).</p>

(2) The licensee must not conduct, promote, advertise or permit the conduct, promotion or advertisement of their business in a way that tends to encourage minors to consume liquor.

Are minors who attend your premises usually accompanied by a responsible adult?

Yes No

During what times are minors generally present?

What areas are out of bounds to minors?

How often do you conduct special promotions?

If never, go to the 'Rapid, excessive or inappropriate consumption?' section.

Who are your promotions/advertisements aimed at?

Make sure that staff are familiar with the relevant sections of the *Liquor Licensing Act 1997* that relate to minors.

Arrange for staff to check that there are no minors still on the premises at midnight, unless accompanied by a responsible adult.

If areas of licensed premises are out of bounds to minors, make sure that relevant signs are placed at all entry points to those areas.

Make sure advertisements or promotions are not linked to events that appeal to, or are especially relevant to minors (for example, promotions linked to "Schoolies Week" or "after parties" etc).

Make sure that advertisements do not include imagery, designs, motifs, interactive games, merchandise or media that is likely to appeal to minors.

What age group are your promotions aimed at?

During promotions, do you use products that might appeal to minors?

Yes No

If yes, describe the promotions you conduct/products you use.

Are your premises or advertisements (e.g. posters) located near a local school?

Yes No

If yes, what steps have you taken to reduce the likelihood of your advertisements appealing to minors?

List anything else relevant to your risk assessment:

Make sure that advertisements do not include role models, celebrities or other testimonials that primarily appeal to minors.

Make sure that advertisements are not placed close to a primary or secondary school or other place visited mostly by minors.

List other practices that you will put into place to make sure you comply with the General Code:

Rapid, excessive or inappropriate consumption

General Code of Practice	Risk assessment Things to consider when assessing the risk	Management plan Tick the relevant practice you will put in place and add details of any other practices you think will be useful
Clause 9 - Practices promoting responsible attitude to the consumption of liquor on licensed premises	<p>How often do you conduct special promotions?</p> <p>If never, go to the 'Gender based, free or discounted liquor promotions' section.</p> <p>What type of promotions do you conduct?</p>	<p>Make sure that the language, slogans or images used in advertisements or promotions does not encourage consumers to get drunk, drink excessively or drink rapidly (e.g. "drink until you drop", "beat the clock", "drink like a fish", "beer prices hammered").</p>
	<p>How do you advertise your business (e.g. social media, websites, TV, newspaper, radio, posters)?</p>	<p>Do not display "honour boards" which show patrons' names and the quantity of liquor consumed over a period of time such as "100 Pints Club", "Beer Legends" or similar.</p>
	<p>Who are your promotions/advertisements aimed at?</p>	<p>Do not allow drinking games, competitions, dares or challenges that involve rapid or excessive consumption of liquor (e.g. skolling games, speed drinking games, boat races).</p>
		<p>Limit the number of drinks (designed to be consumed rapidly) served to one person at a time (e.g. 'shots' of spirits). Liquor cannot be served in buckets or large drinking vessels.</p>

Gender based, free or discounted liquor promotions

General Code of Practice	Risk assessment Things to consider when assessing the risk	Management plan Tick the relevant practice you will put in place and add details of any other practices you think will be useful
<p>Clause 9 - Practices promoting responsible attitude to the consumption of liquor on licensed premises</p> <p>(2) A licensee must not conduct, promote, advertise or permit gender-based promotions involving free or discounted liquor on the licensed premises including free or discounted entry to the licensed premises.</p>	<p>How often do you conduct special promotions?</p> <p>If never, go to the 'Non-alcoholic drinks' section.</p> <p>What type of promotions do you conduct?</p> <p>Do your advertisements/promotions involve free or discounted liquor?</p> <p>Yes No</p> <p>If yes, describe the promotions you conduct.</p>	<p>Do not allow gender based promotions or practices such as -</p> <ul style="list-style-type: none"> • “unlimited free alcohol for women all night” • “\$1 beers for blokes on Grand Final Day” • Special all you can drink offers for females only. • Promotions involving free ‘drink cards’ for all females upon entry. • \$1 spirits or cheap drink ‘ladies nights’ or ‘bachelor nights’. <p><i>Note: Promotions that are not specifically gender-based and clearly do not encourage rapid or excessive consumption (for example, a free champagne or beer with a meal on Mother’s or Father’s Day) would not be considered a breach of the General Code of Practice.</i></p>

Non-alcoholic drinks

General Code of Practice	Risk assessment Things to consider when assessing the risk	Management plan Tick the relevant practice you will put in place and add details of any other practices you think will be useful
<p>Clause 9 - Practices promoting responsible attitude to consumption of liquor on licensed premises</p> <p>(3) Except where liquor is sold for consumption off licensed premises only, or where liquor is supplied by way of sample only, the licensee must at all times -</p> <ul style="list-style-type: none"> (a) ensure that free cool drinking water is readily available to patrons on licensed premises; and (b) ensure that at least one non-alcoholic beverage (other than water) is available for purchase at a price that does not exceed the price of the least expensive alcoholic beverage available for purchase. <p>(4) Between 12.01 am and 7.00 am at all times while open for trade the licensee must not supply liquor free of charge or permit the supply of liquor free of charge</p>	<p>Is free cool drinking water available on request?</p> <p>Yes No</p> <p>Is free cool drinking water available in some kind of water dispenser unit for customers to help themselves from?</p> <p>Yes No</p> <p>If you are providing a water dispenser unit, how often does it need checking to ensure that it is not empty?</p> <p>What type of non-alcoholic drinks do you sell?</p> <p>What is the least expensive non-alcoholic drink that you have available to sell?</p> <p>Are these drinks always in stock?</p> <p>Yes No</p>	<p>Regularly check that the water dispenser unit is full.</p> <p>Put up signs showing customers where they can get free drinking water.</p> <p>Make sure that non-alcoholic drinks are always in stock.</p>

On Premises Licence (other than a public conveyance)

If you are not the holder of an On Premises licence go the practices relating to drink spiking

General Code of Practice	Risk assessment	Management plan
<p>Clause 9 - Practices promoting responsible attitude to consumption of liquor on licensed premises</p> <p>(5) The holder of an on premises licence (except where the licensed premises is a public conveyance) must ensure that food is available to patrons at all times that the premises is open for trade.</p>	<p>What type of food is available?</p> <p>List anything else relevant to your risk assessment:</p>	<p>Check your venue has food available, and that staff understand food needs to be available to customers when alcohol is sold and supplied, even when the kitchen is closed.</p> <p>Actively promote food options to customers and offer food to customers who are ordering drinks.</p> <p>Explore your options for providing food - you could partner with a local food delivery service or encourage customers to make use of food delivery apps by advertising them throughout the venue.</p> <p>List other practices that you will put into place to make sure you comply with the General Code:</p>

Drink spiking

General Code of Practice	Risk assessment	Management plan
<p>Clause 10 - Practices relating to drink spiking</p> <p>(1) The licensee must take reasonable steps to prevent the likelihood of drink spiking occurring on licensed premises.</p> <p>(2) The licensee must cooperate with and assist police in any investigation relating to alleged drink spiking.</p> <p><i>In this clause – drink spiking includes any addition of liquor or other substance to a person’s drink without the person’s knowledge or permission (whether at all or in the quantity added).</i></p>	<p>Risk assessment</p> <p>Things to consider when assessing the risk</p> <p>Is alcohol served over the bar or is table service provided?</p> <p><i>Drink spiking is less likely to occur if people are buying their own drinks. When people buy drinks for others, they may ask that alcohol be added to a person’s drink without their knowledge.</i></p> <p>List anything else relevant to your risk assessment:</p>	<p>Management plan</p> <p>Tick the relevant practice you will put in place and add details of any other practices you think will be useful</p> <p>Make sure that staff members understand the seriousness and consequences of drink spiking allegations.</p> <p>Unattended glasses will be collected to reduce the risk of drink spiking.</p> <p>Train staff to be aware of unusual drink requests (for example, beer with a nip of spirits).</p> <p>Refuse any requests by patrons’ to add extra alcohol to their friends’ drinks without their knowledge.</p> <p>Monitor and, if necessary, report any suspicious behaviour to the police and assist/cooperate in any investigation.</p> <p>List other practices that you will put into place to make sure you comply with the General Code:</p>

Intoxication and disorderly, offensive, abusive or violent behaviour

General Code of Practice	Risk assessment Things to consider when assessing the risk	Management plan Tick the relevant practice you will put in place and add details of any other practices you think will be useful
<p>Clause 11 - Practices relating to intoxication and disorderly, offensive, abusive or violent behaviour</p> <p>The licensee, responsible person or staff of the licensee must take reasonable steps -</p> <ul style="list-style-type: none"> (a) to prevent the sale or supply of liquor to persons in circumstances where their speech, balance, coordination or behaviour is noticeably affected and it is reasonable to believe that the affected speech, balance, co-ordination or behaviour is the result of the consumption of liquor or some other substance; (b) to reduce the likelihood of incidents of intoxication and/or disorderly, offensive, abusive or violent behaviour on licensed premises; and 	<p>What is the likelihood that your customers might 'preload' on alcohol or other substances before visiting your premises?</p> <p>How late do you trade?</p> <p>How many people can be in your premises at any time?</p> <p>Are large licensed events or festivals ever held near your premises?</p> <p>Yes No</p> <p>If yes, describe the events or festivals.</p>	<p>Make sure that all staff are familiar with the Intoxication Guidelines available from the CBS website and are aware of the signs of intoxication.</p> <p>Ask staff to monitor the behaviour of patrons. Including behaviour that may show that someone is under the influence of an illicit substance (for example, not buying or drinking liquor but behaving as though under the influence).</p>
		<p>Monitor the door and any queues closely to prevent problems before they occur. Deny entrance to intoxicated or disorderly patrons.</p> <p>Make sure that a range of non-alcoholic drinks are available.</p>

<p>(c) to manage incidents related to intoxication and/or disorderly, offensive, abusive or violent behaviour that may occur on licensed premises.</p>	<p>What type of customers does your venue attract or do you have particular customers that frequent your premises?</p> <p>Are you aware that people wearing or carrying certain prohibited items associated with declared criminal organisations cannot enter or remain on licensed premises?</p> <p>Yes No</p> <p>List anything else relevant to your risk assessment:</p>	<p>Encourage the service of low alcohol drinks (for example, light beer).</p> <p>Make staff aware of the declared criminal organisations in SA and the prohibited items which cannot be taken into licensed premises. SA Police have a poster with logos of declared criminal organisations and examples of the prohibited items.</p> <p>List other practices that you will put into place to make sure you comply with the General Code:</p>
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Disturbances

General Code of Practice	Risk assessment Things to consider when assessing the risk	Management plan Tick the relevant practice you will put in place and add details of any other practices you think will be useful
<p>Clause 12 - Practices relating to disturbances</p> <p>The licensee must take reasonable steps -</p> <ul style="list-style-type: none"> (a) to prevent undue offence, annoyance, disturbance, noise or inconvenience to people who reside, work or worship in the vicinity of the licensed premises, resulting from entertainment or activities on the licensed premises or the conduct of people making their way to or from the licensed premises; and (b) to ensure public order and safety. 	<p>Is your premises located within or near a residential area?</p> <p>Yes No</p> <p>How late do you trade?</p> <p>How many people can be in your premises at any time?.</p> <p>Do you provide entertainment?</p> <p>Yes No</p> <p>If yes, what type of entertainment is provided and is this likely to create a lot of noise?</p>	<p>Ask patrons to respect neighbours by leaving the area quickly and quietly. Make announcements and/or use signs.</p> <p>Use security personnel to help move and direct patrons away from the premises after closing.</p> <p>Display information about any nearby taxi ranks and other transport services that are available, such as share riding services or after midnight bus stops.</p> <p>Make sure that entry/exit areas and parking areas have adequate lighting and are free of hazards and any obstructions.</p>

Where is your premises located (e.g. commercial or residential area)?

Do customers leaving your premises have to walk past residential areas to get to a car park, taxi rank or public transport?

List anything else relevant to your risk assessment:

Use bright lights at the exit of the venue.

List other practices that you will put into place to make sure you comply with the General Code:

Queue Management

General Code of Practice	Risk assessment Things to consider when assessing the risk	Management plan Tick the relevant practice you will put in place and add details of any other practices you think will be useful
<p>Clause 13</p> <p>Between 12.01 am and 3.00 am at all times while open for trade the licensee must take all practicable steps to ensure that any line up or queue to enter the licensed premises is orderly and continuously monitored and managed to prevent obstruction to pedestrian traffic on the footpath</p>	<p>Does your premises allow patrons to enter the premises after midnight?</p> <p>Yes No</p> <p>Which staff do you have to monitor queues?</p> <p>List anything else relevant to your risk assessment:</p>	<p>Use security personnel to monitor any queues</p> <p>List other practices that you will put into place to make sure you comply with the General Code:</p>

Induction and refresher training in the written management plan

General Code of Practice	Risk assessment Things to consider when assessing the risk	Management plan Tick the relevant practice you will put in place and add details of any other practices you think will be useful
Clause 15 - Induction and refresher training in the written management plan <p>(1) The licensee must provide to all staff involved in the service or supply of liquor on the licensed premises, training in relation to the management plan to be implemented to address the risks associated with the operational practices.</p> <p>(2) The training must be provided to all staff on induction and at least once in each subsequent period of two years.</p> <p>(3) The licensee must produce evidence of the completion of the training by persons as required by this clause within seven days of being requested to do so by an authorised officer (within the meaning of section 122 of the <i>Liquor Licensing Act 1997</i>).</p>	<p>Do you train new staff members about the risks identified in this management plan and any risks associated with serving alcohol?</p> <p>Yes No</p> <p>Do you keep a record of staff members who have completed training?</p> <p>Yes No</p> <p>If yes, do you keep this in a place where it is readily available on request?</p> <p>Do you provide refresher training to staff members every two years, and if necessary, when there is a change in operational practices?</p> <p>Yes No</p>	<p>Include discussion about relevant sections of the <i>Liquor Licensing Act 1997</i> into induction and refresher training for all staff members.</p> <p>Use staff meetings as an opportunity to discuss issues and trends relating to the responsible service of alcohol.</p> <p>Document details of induction and refresher training provided and keep a record of this on the licensed premises.</p> <p>Involve staff in the development of any in house policies or operational procedures that address responsibilities under the <i>Liquor Licensing Act 1997</i> and the Codes of Practice.</p> <p>Let staff know when changes are made to in house policies or operational procedures.</p> <p>When there are changes to house policies or operational procedures, review the management plan and ask staff to sign 'Attachment A' to acknowledge the changes.</p>

Management Plan

Date management plan was developed

Date management plan was last reviewed

Date management plan is due to be reviewed

*(Must be reviewed and if necessary, modified every two years **or** when operations under the licence change in such a way that warrants a review or modification of the management plan)*

I acknowledge that training in relation to this management plan must be provided to all staff on induction into their employment and at least once in each subsequent period of two years.

Signature of Licensee (or relationship to Licensee e.g. Director) Title

Print name

Date (dd/mm/yy)

Attachment A

Training in relation to this management plan has been provided to the following staff members:

Name	Signature	Date
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Name	Signature	Date
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Name	Signature	Date
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Name	Signature	Date
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