

Safety Management in the Licensed Environment (SMILE)

Audit

Premises:



ID:

A:

Please return to:

AWLPI

Violence & Society Research Group

School of Dentistry

Cardiff University

Cardiff CF14 4XY

Safety Management in the Licensed Environment

Risk Control Indicators

A score of 1 must only be allocated when all the elements are in place and should represent a situation where the inspector believes that no further improvement is possible. For scores of 2 and 3 enforcement action may be appropriate. A score of 4 or more will indicate that enforcement action is appropriate.

Risk Control Indicator	Guidance
1	High standards with some meeting best practice
2	One or more minor shortcomings can be dealt with orally & informally
3	Standards patchy: one or more of the shortcomings must be dealt with by formal instructions for remedial action to be taken.
4	Standards generally unsatisfactory Typically, there is at least one contravention that gives rise to a discernible risk gap
5	Standards generally unacceptable unless the EHO identifies duty holder factors that provide strong mitigation, issuing a notice and/ or prosecution is likely to be appropriate
6	Standards unacceptable. Issuing a notice and/ or prosecution is likely to be appropriate

Legislation guide

Law/Regulation	Acronym used
Health and Safety at Work etc Act 1974 section 2(3)	HSWA 1974
Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	RIDDOR 1995
Management of Health and Safety at Work Regulations 1999	MHSW 1999
Control of SHH Regulations (2002).	COSHH 2002
Workplace (Health, Safety and Welfare) Regulations 1992	WHSW 1992
The Health and Safety (First-Aid) Regulations 1981	HSFAR 1981
The Regulatory Reform (Fire Safety) Order 2005	RRO 2005
The Licensing Act 2003	LA 2003

SMILE AUDIT

Audit Area	Audit guidance
Q3. Premises	
E1 & E2. Total no. employees	People on employers books who can be called on to work at establishment
C2. Entertainment	Please ensure you clarify the type of entertainment rather than delivery method e.g. music is music regardless of how it is delivered (juke box, TV, digital)

Premises ID:

INSTRUCTIONS

Write clearly using ink. Try to complete each question.

Please comment when asked, your comments will help us understand the context of any response

OFFICE USE

O1.Premises ID: **gwt0205**

O2. Coded by: _____

O3. Coding date: _____

Day Month Year

Q1. AUDIT

A1. Time Start
(24 HR Clock)

_____ : _____
Hours Mins

A2. Audit Date

_____ / _____ / _____
Day Month Year

A3. Distance to
premises

_____ miles

A4. Travel time to audit

_____ : _____
Hours Mins

Q2. INSPECTOR

I1. Name _____

I2. Email _____

I3. EHO Grade _____

I4. Local Authority

Torfaen

I5. Telephone _____

Q3. PREMISES

P1. Name

Six In Hand

P2. Street

Edlogan Square

P3. Town

P4. Postcode

NP442NR

Total
Employee
Numbers

E1. Full Time _____
E2. Part Time /
casual _____

C1. Is food served?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)
C2. Entertainment	Recorded music	<input type="checkbox"/> (1)
	Live Music	<input type="checkbox"/> (2)
	Both Recorded and Live Music	<input type="checkbox"/> (3)
	Sport (e.g. on TV)	<input type="checkbox"/> (4)
C3. Environment	Urban	<input type="checkbox"/> (1)
	Rural	<input type="checkbox"/> (2)

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Q4. PREMISES CHARACTERISTICS

When does the premises typically stop serving alcohol to the public?
Please use the 24HR format (e.g. for 11pm write 23:00)

CT1. Mon	CT2. Tue	CT3. Wed	CT4. Thur	CT5. Fri	CT6. Sat	CT7. Sun

What are the premises busiest periods (when premises is at or near to capacity) tick all that apply

	Mon	Tues	Wed	Thur	Fri	Sat	Sun
BP1. Up to 3pm	<input type="checkbox"/> (1)	<input type="checkbox"/> (2)	<input type="checkbox"/> (3)	<input type="checkbox"/> (4)	<input type="checkbox"/> (5)	<input type="checkbox"/> (6)	<input type="checkbox"/> (7)
BP2. 3pm to 8pm	<input type="checkbox"/> (1)	<input type="checkbox"/> (2)	<input type="checkbox"/> (3)	<input type="checkbox"/> (4)	<input type="checkbox"/> (5)	<input type="checkbox"/> (6)	<input type="checkbox"/> (7)
BP3. 8pm to 11:30pm	<input type="checkbox"/> (1)	<input type="checkbox"/> (2)	<input type="checkbox"/> (3)	<input type="checkbox"/> (4)	<input type="checkbox"/> (5)	<input type="checkbox"/> (6)	<input type="checkbox"/> (7)
BP4. 11:30pm onwards	<input type="checkbox"/> (1)	<input type="checkbox"/> (2)	<input type="checkbox"/> (3)	<input type="checkbox"/> (4)	<input type="checkbox"/> (5)	<input type="checkbox"/> (6)	<input type="checkbox"/> (7)
BP5. Approximate number of customers during busiest times _____							

Q5. INTERVIEWEES

Space is provided to list all those involved with the audit,
it is not expected that three people are interviewed

Interviewee #1	
S1A. Name	_____
S1B. Position	DPS/Manager <input type="checkbox"/> (1) Shift Manager <input type="checkbox"/> (2) Bar Staff <input type="checkbox"/> (3) Other <input type="checkbox"/> (4)
S1C. Other	_____
Interviewee #2	
S2A. Name	_____
S2B. Position	DPS/Manager <input type="checkbox"/> (1) Shift Manager <input type="checkbox"/> (2) Bar Staff <input type="checkbox"/> (3) Other <input type="checkbox"/> (4)
S2C. Other	_____
Interviewee #3	
S3A. Name	_____
S3B. Position	DPS/Manager <input type="checkbox"/> (1) Shift Manager <input type="checkbox"/> (2) Bar Staff <input type="checkbox"/> (3) Other <input type="checkbox"/> (4)
S3C. Other	_____

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Management area	Relevant legislation, regulations & guidelines	Audit Score Guidance
Q6. Records: NB. For R1 – R3 'no evidence' is response if auditor has not seen records.		
R1A: Safety Policy	<p>All employers have a duty of care to protect their employees and others from harm arising from work activities. Businesses employing five or more people are legally required to have a written health and safety policy containing:</p> <ol style="list-style-type: none"> Statement general policy on health and safety at work Organisation and arrangements needed for putting that policy into practice. (HSWA 1974 section 2(3)) <p>Employers have to bring policy to the attention of all employees. Policy should be reviewed and revised as often as necessary.</p> <p>While not legally required it is good practice for the policy to also consider the safety of all who might be effected by business activities, i.e. volunteers, contractors and the general public.</p>	<p>If written safety policy is legally required but none exists for inspection RCI 4, 5 or 6 awarded. If visible policy exists 2 or 3 may be awarded.</p> <p>Score depends on:</p> <ul style="list-style-type: none"> whether policy meets criteria in column two manager knowledge of policy legislation & best practice attitude to policy and evidence of dissemination of knowledge to staff evidence of regular revision/review of policy positive attitude to making changes <p>1 awarded if all requirements met and further evidence or demonstration of good practice. If written safety policy (premises with < 5 employees) not legally required, score dependent on factors above. In 'comments' please identify any inclusion of safety policy to address violence or aggression</p>
R2A: Written Risk Policy	<p>MHSW 1999 Reg 3 Employers with 5 or more staff must keep written records of assessment of risks to employee health and safety. Detail in leaflet INDG423 at http://www.hse.gov.uk/pubns/indg423.pdf which advises records should evidence efforts to:</p> <ol style="list-style-type: none"> Identify hazards: Particular risk may be due to customer disagreements, intoxication/illegal drug use. Evidence of consultation with staff and incident records to identify existing hazards. Decide who may be harmed & how they may be harmed: Vulnerable staff/groups (e.g. lone, young, new workers) entrances can be 'hot spots' for violence, times of day, events. Evaluate risk & seriousness of potential harm: Have employees been consulted about potential risks hazards. Has knowledge/evidence of actions been taken & precautions made? Write down findings and actions. (RIDDOR 1995 legal duty to report some incidents of physical violence). Record incidents in incident book. Review and update if/when necessary. Risk assessment must include assessment risk of hazardous substances and actions to prevent or adequately control those risks COSHH 2002 	<p>If written risk policy legally required but none exists for inspection 4, 5 or 6 should be awarded. If visible written risk policy exists 2, 3, 4, 5 may be awarded.</p> <p>The score awarded depends on whether risk assessment meets criteria in column 2:</p> <ul style="list-style-type: none"> all areas met = 2 one or two area not met = 3 three to four areas not met = 4 four areas not met = 5 none met = 6 <p>Actual score awarded dependent on extent of:</p> <ul style="list-style-type: none"> staff and management knowledge of risk and possible harms actions taken to combat risk attitude to risk policy/risk reduction action and attitudes to necessary changes. <p>1 to be awarded if written risk assessment & policy meets all requirements, and further evidence or demonstration of good practice exists. If written risk assessment and policy not required score dependent on factors above Please comment on any inclusion of the risk of violence or aggression</p>
R3A. Opening Checks and Walkabouts	<p>Extra security at the time of opening/closing may reduce threat of attack and increase employee confidence. Viewing before entry for signs of forced entry can increase safety. Keep doors locked before official opening times. Ensure premises are clean, maintained, and environments not irritating.</p>	<p>No evidence or knowledge of specific opening checks score 3.</p> <p>Specific opening checks in place score 2.</p> <p>Above requirements met, with further evidence of good practice, score 1.</p> <p>Please specify any evident risk or concern in comments</p>

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Q6. RECORDS

HASWA 1974; MHSW Regs 1999

R1A. Safety policy

This is a legal requirement for premises with five or more employees

Visible evidence	<input type="checkbox"/>	(1)	R1B. Comments (relevant, up-to-date, communicated to staff) _____
No evidence	<input type="checkbox"/>	(2)	
Not applicable	<input type="checkbox"/>	(3)	

R2A. Written Risk Assessment

This is a legal requirement for premises with five or more employees

Visible evidence	<input type="checkbox"/>	(1)	R2B. Comments (relevant, up-to-date, communicated to staff, staff engaged with policy development) _____
No evidence	<input type="checkbox"/>	(2)	
Not applicable	<input type="checkbox"/>	(3)	

R2C. Does it include violence and aggression?

Yes (1) No (0) N/A (9)

R2D. Does it include lone working?

Yes (1) No (0) N/A (9)

R3A. Opening Checks and Walkabouts

Visible evidence	<input type="checkbox"/>	(1)	R3B. Comments (relevant, up-to-date, communicated to staff) _____
No evidence	<input type="checkbox"/>	(2)	
Not applicable	<input type="checkbox"/>	(3)	

R4. RCI Score
(see appendix)

N/A	ENFORCEMENT					
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
0	1	2	3	4	5	6

ACTION TAKEN

ATR1. Verbal advice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)	ATR3. Improvement notice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)
ATR2. Written advice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)	ATR4. Prohibition notice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)
Referral to other statutory body	
ATRP. Police <input type="checkbox"/> (1) ATRO. Other <input type="checkbox"/> (3)	ATRF. Fire <input type="checkbox"/> (2) ATRL. LA Licensing <input type="checkbox"/> (4)
ATROC. If Other please specify _____	

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Q7. Visibility & Lighting: is it good throughout premises?		
<p>Are entrances/exits V1. clearly visible</p> <p>V2. Well lit</p> <p>V3. Is indoor lighting suitable?</p> <p>V4 . Is outdoor lighting suitable</p>	<p>HSWA 1974: Workplace Regulation 1992 expands on HSWA 1974. Advice on HSE site: http://www.hse.gov.uk/violence/toolkit/visibility.htm</p> <p>Lighting should be sufficient to enable people to work and move about safely. If necessary, local lighting should be provided at individual workstations and at places of particular risk such as crossing points on traffic routes. Lighting and light fittings should not create any hazard. Automatic emergency lighting, powered by an independent source, should be provided where sudden loss of light would create a risk. Are entrances and exits clearly visible? Any measures (e.g. mirrors) used to access vision of awkward areas.</p>	<p>If lack of/inadequate external or internal lighting makes it difficult and a risk for people to work properly or move about safely, 4, 5, or 6 should be awarded.</p> <p>If lighting and visibility is generally satisfactory and no apparent risk obvious 2 or 3 should be awarded.</p> <p>Actual score dependant on:</p> <ul style="list-style-type: none"> • extent of risk posed by inadequate lighting and extent of problem areas • management attitude to provision and need for good lighting and visibility • evidence of regular upkeep of lighting and maintaining good visibility • good attitude to necessary changes <p>Score 1 if all requirements for visibility and lighting are met with further evidence or demonstration of good or additional practice to improve or ensure good lighting and visibility.</p> <p>Please specify any evident risk or concern in 'comments'</p>

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Q7. VISIBILITY AND LIGHTING

Is the visibility and lighting good throughout the premises?

HASWA 1974; The Regulatory Reform (Fire Safety) Order 2005

V1. Entrances / exits clearly visible?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
V2. Entrances / exits well lit?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
V3. Suitable lighting in indoor areas?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
V4. Suitable lighting in outdoor area?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)

V5. RCI Score (see appendix)	N/A	ENFORCEMENT					
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	0	1	2	3	4	5	6

ACTION TAKEN

ATV1. Verbal advice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)	ATV3. Improvement notice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)
ATV2. Written advice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)	ATV4. Prohibition notice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)

Referral to other statutory body

ATVP. Police <input type="checkbox"/> (1)	ATVF. Fire <input type="checkbox"/> (2)
ATVO. Other <input type="checkbox"/> (3)	ATVL. LA Licensing <input type="checkbox"/> (4)
ATVOC. If Other please specify	

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Q8. Health and Safety Observation Checks: Visual Check by Auditor		
<p>HS1. Are electrical safety records available/up to date?</p> <p>HS2. Are gas safety records available/up to date?</p> <p>HS3. Fire checks evident?</p> <p>HSE. 4 Are fire extinguishers serviced/maintained?</p> <p>HSE 5. Do fire exit external routes have any hazards or risks preventing their safe use?</p> <p>HSE 6. Are there any visible risks?</p>	<p>HSWA 1974, MHSW 1999, require all electrical equipment to be installed /maintained by competent person. Recommendations (IEE wiring regs BS 7671) fixed system inspected/tested at least every 5 years, with certificate issued to provide the duty holder with accurate assessment of the condition of the electrical installation. These recommendations are not legal requirements.</p> <p>Gas Safety (Installation and Use) Regulations 1998: Any work based gas installation or gas appliances must be maintained to prevent risk of personal injury. Appropriate maintenance will be determined by the installation's age, condition and usage. Installations should be inspected by a competent person. Annual inspections are reasonable minimum frequency. If an inspector feels installations are not properly maintained and may be a danger, enforcement action may be taken.</p> <p>The Regulatory Reform (Fire Safety) Order 2005: the responsible person must carry out a fire safety risk assessment and implement and maintain a fire management plan.</p>	<p>If there is no evidence that electrical or gas installations have been carried out and maintained by a competent person, and/or a fire assessment carried out with any recommended actions implemented 4, 5 or 6 should be awarded.</p> <p>If competent installation and satisfactory fire checks have been carried out, actions taken and visible records to ascertain this are available than 2 or 3 may be awarded.</p> <p>Actual score dependant on:</p> <ul style="list-style-type: none"> • extent of certification • management attitude to health and safety checks • evidence of regular revision and review of electrical • gas and fire maintenance standards and needs • good attitude to necessary changes <p>Score of 1 to be awarded if all health and safety checks are met, with further evidence or demonstration of good practice.</p> <p>Please specify any evident risk or concern in 'comments'</p>
<p>HSE 7. Floor conditions</p> <p>HSE 8. Housekeeping</p> <p>HSE 9. Ventilation</p> <p>HSE 10. Heating</p> <p>HSE 11. Public WC condition</p> <p>HSE 12. First Aid</p>	<p>Floors pose risk if possibility of slip/twist anywhere exists. WHSW 1992 requires floors be in good condition/obstruction free. MHSW (1999) requires employers assess risks & take needed action. Inside flooring should, <i>as is reasonably practicable</i>, be able to be kept sufficiently clean, waste material should not be allowed to build up.</p> <p>HSWA 1974 & Fire Safety Order 2005 acknowledge windows/openings can provide sufficient ventilation but demand mechanical ventilation be provided and regularly maintained if needed.</p> <p>WHSW 1992 requires employers to provide "reasonable" work temperature (sedentary work at least 16 °C, physical work 13 °C).</p> <p>WHSW 1992 demand sufficient, clean, well lit, ventilated toilets & washbasins with: hot/cold running water; supply of toilet paper; means of sanitary dressing disposal; enough washing agents; separate facilities for both genders or lockable doors; basin large enough to wash hands/forearms if needed; means for drying hands; showers if needed.</p> <p>First Aid: HSFAR 1981. All employers must provide adequate/appropriate first aid equipment, facilities and personnel to ensure employees receive immediate attention if they are injured/taken ill at work.</p>	<p>If it is felt that the conditions of floors, housekeeping, ventilation, heating, WCs, First Aid are generally unsatisfactory/unacceptable 4, 5 or 6 should be awarded.</p> <p>If standards are generally acceptable with but few, minor changes necessary 2 or 3 may be awarded.</p> <p>Actual score dependant on:</p> <ul style="list-style-type: none"> • the number of problems • the extent of the problems • management attitude to the problems in areas under check • evidence of regular revision and review of health and safety standards in these areas • attitude to necessary changes <p>1 to be awarded if all areas are satisfactory, with further evidence or demonstration of good practice.</p> <p>Please specify any evident risk or concern in 'comments'</p>

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Q8. HEALTH & SAFETY OBSERVATION & CHECKS

Health and Safety visual check by auditor.

HASWA 1974; MHSW Regs 1999

HS1. Are electricity safety records available and up to date?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
HS2. Are gas safety records available and up to date?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
HS3. Are Fire checks evident?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
HS4. Are fire extinguishers maintained and serviced?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
HS5. Do the fire exit external routes have any hazards or risks preventing their safe use?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
HS6. Are there any visible risks?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)

Please record details of any risks or hazards you see:

			Comment
HS7. Condition of floors	Risk <input type="checkbox"/> (1)	No Risk <input type="checkbox"/> (0)	HS7B _____
HS8. Housekeeping	Risk <input type="checkbox"/> (1)	No Risk <input type="checkbox"/> (0)	HS8B _____
HS9. Ventilation	Risk <input type="checkbox"/> (1)	No Risk <input type="checkbox"/> (0)	HS9B _____
HS10. Heating	Risk <input type="checkbox"/> (1)	No Risk <input type="checkbox"/> (0)	HS10B _____
HS11. Public WC Condition	Risk <input type="checkbox"/> (1)	No Risk <input type="checkbox"/> (0)	HS11B _____
HS12. First Aid	Risk <input type="checkbox"/> (1)	No Risk <input type="checkbox"/> (0)	HS12B _____

HS13. RCI Score (see appendix)	N/A	ENFORCEMENT					
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	0	1	2	3	4	5	6

ACTION TAKEN

ATHS1. Verbal advice	Yes <input type="checkbox"/> (1)	ATHS3. Improvement notice	Yes <input type="checkbox"/> (1)
	No <input type="checkbox"/> (0)		No <input type="checkbox"/> (0)
ATHS2. Written advice	Yes <input type="checkbox"/> (1)	ATHS4. Prohibition notice	Yes <input type="checkbox"/> (1)
	No <input type="checkbox"/> (0)		No <input type="checkbox"/> (0)

Referral to other statutory body

ATHSP. Police <input type="checkbox"/> (1)	ATHSF. Fire <input type="checkbox"/> (2)
ATHSO. Other <input type="checkbox"/> (3)	ATHSL. LA Licensing <input type="checkbox"/> (4)
ATHSOC. If Other please specify _____	

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Q9. Surveillance: Are arrangements sufficient to protect health and safety?		
<p>SR1. CCTV at premises?</p> <p>SR2. Signage displayed?</p> <p>SR3. Position of cameras suitable?</p> <p>SR4. Blind Areas from the bar?</p> <p>SR5. Blind Areas from Door staff?</p>	<p>HSWA 1974, RRO 2005, WHSW 1992, MHSW 1999 requires employers to carry out risk reduction using a clear hierarchy of controls.</p> <p>Where it is <i>reasonably practicable</i> control actions include: substitution of a hazardous activity with one less hazardous, or use of improved equipment or technical solutions to reduce the level of risk, e.g. use CCTV or improved surveillance by staff.</p> <p>If it is felt premises need CCTV, CCTV should be inside and outside the premises. Surveillance should cover all internal areas accessible to the public, and areas immediately outside the premises. The date and time settings on the system must be correct. CCTV images should give full face good quality images & cover areas blind to bar and door staff. Recordings should be in real time and on hard drive with the ability to copy for other agencies (e.g. police). Recordings should be kept for a minimum of 31 days.</p> <p>It is preferable that security systems should be integrated so CCTV and lighting work together effectively. Are CCTV images properly monitored, is there a control room? If so, how is communication with floor staff organised?</p> <p>Signage of CCTV should exist so staff & clients know CCTV is in operation. It should be in the immediate vicinity of the CCTV, clearly visible and legible to the public, A4 or A3 in size. Signage should state that CCTV is in operation, identify a responsible person and contact number.</p>	<p>If it is felt that CCTV is needed, it is <i>reasonably practicable</i> but not provided 4, 5 or 6 should be awarded.</p> <p>If CCTV is not needed, not <i>reasonably practicable</i>, or in place with suitable signage and no blind areas with few, minor changes necessary 2 or 3 may be awarded.</p> <p>Actual score awarded dependant on:</p> <ul style="list-style-type: none"> • the needs of the establishment • practice in use of CCTV • the extent of associated problems (signage, blind-spots) • management attitude to surveillance • evidence of regular revision and review of surveillance standards and needs • good attitude to necessary changes <p>Score of 1 to be awarded if all health and safety checks are satisfactory, with further evidence or demonstration of good practice.</p> <p>Please specify any evident risk or concern in 'comments'</p>

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Q9. SURVEILLANCE

Are the surveillance arrangements sufficient to protect Health and Safety?
HASWA 1974; MHSW Regs 1999

SR1. CCTV at premises?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
SR2. Signage displayed?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
SR3. Position of cameras suitable?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
SR4. Blind areas from the bar?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
SR5. Blind areas from Door Staff?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
SR6. How many months are CCTV images kept?			N/A <input type="checkbox"/> (9)
SR7. Where are CCTV images kept?			N/A <input type="checkbox"/> (9)

Auditor

SR8. Is CCTV storage adequate?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
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SR9. RCI Score (see appendix)	N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
		0	1	2	3	ENFORCEMENT				4	5	6

ACTION TAKEN

ATSR1. Verbal advice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)	ATSR3. Improvement notice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)
ATSR 2. Written advice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)	ATSR4. Prohibition notice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)
Referral to other statutory body	
ATSRP. Police <input type="checkbox"/> (1) ATSRO. Other <input type="checkbox"/> (3)	ATSRF. Fire <input type="checkbox"/> (2) AT SRL. LA Licensing <input type="checkbox"/> (4)
AT SROC. If Other please specify _____ _____	

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Q10. Noise and communication ; can staff communicate about risk effectively		
<p>N1. What sources of noise might affect communication between staff?</p>	<p>LA 2003. Licences are often granted with conditions to prevent public nuisance arising. If any conditions exist have they been breached?</p>	<p>If conditions exist and there is evidence they have been breached, and/or staff are unable to communicate about risk effectively 4, 5 or 6 should be awarded.</p>
<p>N3. How do staff communicate during busy periods?</p>	<p>Powers to control statutory noise nuisance given by the Environmental Protection Act 1990. MHSW 1999 demand staff are not put in situations of increased risk to prevent this staff must be able to communicate about risk effectively.</p>	<p>If license conditions do not exist or are met but there is evidence staff cannot communicate effectively then 3, 4, 5, can be awarded.</p> <p>If license conditions do not exist or are met and there is evidence that staff can communicate effectively 2 or 3 may be awarded.</p> <p>Actual score dependant on:</p> <ul style="list-style-type: none"> • the license of the establishment • how well license is met • existing communication levels among staff • management attitude to staff communication • evidence of regular revision and review of communication standards and needs • good attitude to necessary changes <p>Score of 1 awarded when no license conditions exist or conditions are met and all staff communication about risk appears to be effective, with further evidence of good practice.</p> <p>Please specify any evident risk or concern in 'comments'</p>

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Q10. NOISE AND COMMUNICATION

Can staff communicate about risks effectively?

HASWA 1974; MHSW Regs 1999

N1. What sources of noise might affect communication between staff (tick all that apply) Music (1) Customers (2) Other (3)

N2. If other, specify _____

N3. How do staff communicate during busy periods? Verbally (1) Radio (2) Other (3)

N4. If other, specify _____

N5. RCI Score (see appendix)

N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
0	1	2	3	ENFORCEMENT			
				4	5	6	

ACTION TAKEN

ATN1. Verbal advice	Yes	<input type="checkbox"/>	(1)	ATN3. Improvement notice	Yes	<input type="checkbox"/>	(1)
	No	<input type="checkbox"/>	(0)		No	<input type="checkbox"/>	(0)
ATN2. Written advice	Yes	<input type="checkbox"/>	(1)	ATN4. Prohibition notice	Yes	<input type="checkbox"/>	(1)
	No	<input type="checkbox"/>	(0)		No	<input type="checkbox"/>	(0)
Referral to other statutory body							
ATNP. Police		<input type="checkbox"/>	(1)	ATNF. Fire		<input type="checkbox"/>	(2)
ATNO. Other		<input type="checkbox"/>	(3)	ATNL. LA Licensing		<input type="checkbox"/>	(4)
ATNOC. If Other please specify							

Premises ID:

Safety Management in the Licensed Environment

Q11. Risk planning. Engagement in local licensee fora		
<p>RP1: Regular engagement with Pub-watch or similar?</p> <p>RP2: Visible evidence of alcohol promotions?</p> <p>RP3. Number of front of house staff during quiet times?</p> <p>RP4. Busy times?</p> <p>RP5 During special events or promotions?</p>	<p>Pubwatch provides good practice information. Licensed premises in the scheme must agree on a number of policies for individuals who cause, or threaten, violence, abuse or damage. 'Best Bar None' raises standards of operation, with key elements being the promotion of: responsible licensed trade management, socially responsible drinking, customer care, and a commitment to reducing crime and disorder in town centres and public places due to alcohol abuse.</p> <p>Literature has identified factors leading to excessive drinking and possible violence. These include heavy drinking culture, low alcohol price and easy availability, alcohol advertising and low price promotion. Alcohol promotions include any advertised offer that might encourage consumers to drink more, e.g. double up for £1 on spirits, liquid nitrogen in cocktails, free glass of wine if you buy 2, any alcohol discount.</p> <p>The law (HSWA, 1974) requires employers to carry out risk reduction. Where it is <i>reasonably practicable</i> controls including safe systems of work and personal protective measures should be adopted. Guidance in http://www.hse.gov.uk/violence/toolkit/staffing.htm states that inadequate staffing levels can lead to unsatisfactory customer service thus increasing risk of violence/aggression from customers, and increasing factors such as increased crowding and poor cleanliness of premises. Actions may include increasing staff levels at peak times; having a safe room where staff can easily retreat; having a male/female balance in staffing; avoiding staff isolation. Staff should be encouraged to engage in local communities, police and LAs to identify future events and potential problems (aggressive customers)</p>	<p>If it is felt to be <i>reasonably practicable</i> for a premises to carry out controls for staff risk reduction by increasing staff numbers at busy times but no such action is taken then 4, 5 or 6 should be awarded.</p> <p>If staff numbers are found to vary to meet the needs of busy periods 2 or 3 may be awarded.</p> <p>Actual score awarded dependant on:</p> <ul style="list-style-type: none"> • the extent of fluctuation in staff numbers • when staff numbers fluctuate (busy times, events) • management attitude to staff numbers • evidence of regular revision and review of need to vary staff numbers • use and extent of alcohol promotions • good attitude to necessary changes • membership of 'Pubwatch' or similar (if not used, could recommend premises manager investigate availability and use, or ask licensing to initiate a local branch) <p>Score of 1 to be awarded if all above requirements for training and records are met, and further evidence or demonstration of good practice and or participation in Pubwatch or similar.</p> <p>Please specify any evident risk or concern in 'comments'</p>

Premises ID:

Safety Management in the Licensed Environment

Q11. RISK PLANNING

Engagement in local licensee fora

RP1. Is there regular engagement with PubWatch or similar? Yes (1) No (0) N/A (9)

Alcohol promotions

RP2. Is there visible evidence of alcohol promotions? Yes (1) No (0) N/A (9)

Number of front-of-house staff (not including door staff and cleaners)?

RP3. During quiet times _____	RP6. How are emergency staff shortages dealt with?
RP4. During busy times _____	_____
RP5. During special events/promotions _____	_____

This RCI Score is based on the management of promotions and busy periods, NOT just on whether or not the premises runs promotions

RP7. RCI Score (see appendix)

N/A	ENFORCEMENT					
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
0	1	2	3	4	5	6

ACTION TAKEN

ATRP1. Verbal advice	Yes	<input type="checkbox"/> (1)	ATRP3. Improvement notice	Yes	<input type="checkbox"/> (1)
	No	<input type="checkbox"/> (0)		No	<input type="checkbox"/> (0)
ATRP2. Written advice	Yes	<input type="checkbox"/> (1)	ATRP4. Prohibition notice	Yes	<input type="checkbox"/> (1)
	No	<input type="checkbox"/> (0)		No	<input type="checkbox"/> (0)

Referral to other statutory body

ATRPP. Police	<input type="checkbox"/> (1)	ATRPF. Fire	<input type="checkbox"/> (2)
ATRPO. Other	<input type="checkbox"/> (3)	ATRPL. LA Licensing	<input type="checkbox"/> (4)
ATRPOC. If Other please specify			

Premises ID:

Safety Management in the Licensed Environment

Q.12. Door management: Is the door managed effectively?		
<p>DS1: Door security staff SIA licensed?</p> <p>DS2: Is there a door staff register?</p> <p>DS3: Are SIA registration numbers present on registers?</p> <p>DS4. Do security staff monitor the internal environment as well as the door?</p> <p>DS5. Number of DS at busy times?</p> <p>DS6. Is there a policy for ID checks?</p> <p>DS7. Is there a policy for refusal of entry to intoxicated or disorderly customers?</p> <p>DS8 Is there a queuing system in place?</p>	<p>LA 2003: If premises license stipulates that one or more people must be at the premises to carry out security commitments it is a legal requirement that they are SIA licensed.</p> <p>There should be a door-staff register. If so, does it include</p> <p>a. Staff SIA numbers?</p> <p>b. Number of DS staff at busy times?</p> <p>Do management encourage a relaxed friendly approach by door supervisors, as this can result in reduced violence? Door staff should ask for ID checks, even at busy times. Is there a queuing system, are staff or door supervisors trained in crowd control. Who is supervising queuing?</p> <p>LA 2003 section 140 demands disorderly people are not be allowed on the premises.</p> <p>Is there a policy in place for shared responsibility for dealing with disorderly/intoxicated customers? Does this include recognised cross-premise policy for identifying intoxicated customers and for resultant action?</p>	<p>If premises license stipulates that security staff are needed at premises, and no staff are employed, or staff that are employed do not have SIA licenses then 4, 5 or 6 should be awarded.</p> <p>If licensed door staff are required and employed 2, 3 or 4 may be awarded.</p> <p>Actual score awarded dependant on:</p> <ul style="list-style-type: none"> • the existence and contents of door staff register • extent of fluctuation in security staff numbers • existence of queuing system • policy for intoxicated/disorderly customers • policy for ID checks • management attitude to door management and staff policies • evidence of regular revision and review of door needs • good attitude to necessary changes <p>Score of 1 to be awarded if all above requirements for training and records are met, and further evidence or demonstration of good practice.</p> <p>Please specify any evident risk or concern in 'comments'</p>

Premises ID:

Safety Management in the Licensed Environment

Q12. DOOR MANAGEMENT

During periods when the premises is busy, including special events, is the door managed effectively?
Licensing Act 2003

DS1. Are all security staff SIA licensed?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)																					
DS2. Is there a door staff register?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)																					
DS3. Are SIA registration numbers present on the door staff register?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)																					
DS4. Do security staff monitor the internal environment as well as the door?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)																					
DS5. Number of DS at busy times																								
DS6. Is there a policy for ID checks?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)																					
DS7. Is there a policy for refusal of entry to intoxicated / disorderly customers?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)																					
DS8. Queuing system in place?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)																					
DS9. RCI Score (see appendix)	<table style="margin: auto; border-collapse: collapse;"> <tr> <td style="text-align: center;">N/A</td> <td colspan="6" style="text-align: center; background-color: #cccccc;">ENFORCEMENT</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td style="text-align: center;">0</td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> <td style="text-align: center;">5</td> <td style="text-align: center;">6</td> </tr> </table>			N/A	ENFORCEMENT						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0	1	2	3	4	5	6
N/A	ENFORCEMENT																							
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																		
0	1	2	3	4	5	6																		

ACTION TAKEN

ATDS1. Verbal advice	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	ATDS3. Improvement notice	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)
ATDS2. Written advice	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	ATDS4. Prohibition notice	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)
Referral to other statutory body					
ATDSP. Police	<input type="checkbox"/> (1)		ATDSF. Fire	<input type="checkbox"/> (2)	
ATDSO. Other	<input type="checkbox"/> (3)		ATDSL. LA Licensing	<input type="checkbox"/> (4)	
ATDSOC. If Other please specify					

Premises ID:

Safety Management in the Licensed Environment

<p>Q13. Managing people: Are visibly intoxicated or disorderly people inside premises being properly managed?</p>		
<p>MP1. Are staff trained to manage drunk/disorderly customers?</p> <p>MP3. What characteristics are used for staff to decide if someone is too drunk?</p> <p>MP5. What action is taken in respect of severely intoxicated individuals?</p> <p>MP7. What action is taken in respect of disorderly individuals?</p> <p>MP9. Are there barriers preventing staff from following set procedures?</p>	<p>HSWA 1974 demands employers protect the health, safety and welfare of employees, this duty includes all forms of work-related violence, defined by HSE as: 'Any incident in which a person is abused, threatened or assaulted in circumstances relating to their work'. This includes: physical violence, verbal abuse, racial or sexual abuse, threats and intimidation.</p> <p>Employers are required by law to carry out a risk assessment, including identification of which groups of people in a business could be harmed by physical assaults, threats, intimidation or verbal abuse. If a business employs 5 or more people it must record findings and resultant control measures.</p> <p>Under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR) certain incidents of physical violence must be recorded. It is good practice to record all incidents in an incident book, including cases of verbal abuse and near misses.</p> <p>People who work in pubs/clubs have identified the following methods for dealing with potential violence: staff training – particularly on identifying and resolving conflict; having approachable and active managers; giving accurate information to give to the police if needed; banning persistent offenders.</p>	<p>If a premises employs 5 or more employees, no assessment of the risk of work-related violence and necessary actions has been carried out, and/or a system of recording and reporting injuries etc. does not exist then 4,5 or 6 should be awarded.</p> <p>If a risk assessment, action and incident reporting system is in place 2, 3 or 4 may be awarded.</p> <p>Actual score awarded dependant on:</p> <ul style="list-style-type: none"> • the extent of the risk assessment and action • the practice and use of a system to record and report incidents • the extent of staff training for dealing with potential violence. <p>Score of 1 to be awarded if all above requirements are met, and further evidence or demonstration of good practice.</p> <p>If the premises employs less than 5 and risk assessment is not required, scores depend on the incident reporting system and the factors itemised.</p> <p>Please specify any evident risk or concern in 'comments'</p>

Premises ID:

Safety Management in the Licensed Environment

Q13. MANAGING PEOPLE

Are people who are visibly intoxicated and / or disorderly inside the premises being properly managed?
Licensing Act 2003

MP1. Are staff trained to manage intoxicated / disorderly customers? Yes (1) No (0) N/A (9)

MP2. If yes, specify _____

MP3. What characteristics are used to decide whether someone is too drunk by staff? Staggering gait (1) Slurred speech (2) Other (3)

MP4. If other, specify _____

MP5. What action is taken in respect of severely intoxicated customers? Refuse service (1) Asked to leave (2) Other (3)

MP6. If other, specify _____

MP7. What action is taken in respect of disorderly customers? Refuse service (1) Asked to leave (2) Other (3)

MP8. If other, specify _____

MP9. Are there barriers that prevent staff/management from following the correct procedures? Yes (1) No (0) N/A (9)

MP10. If yes, specify _____

	N/A				ENFORCEMENT		
MP11. RCI Score (see appendix)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	0	1	2	3	4	5	6

ACTION TAKEN

ATMP1. Verbal advice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)	ATMP3. Improvement notice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)
ATMP2. Written advice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)	ATMP4. Prohibition notice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)
Referral to other statutory body	
ATMPP. Police <input type="checkbox"/> (1)	ATMPF. Fire <input type="checkbox"/> (2)
ATMPO. Other <input type="checkbox"/> (3)	ATMPL. LA Licensing <input type="checkbox"/> (4)
ATMPOC. If Other please specify	

Premises ID:

Safety Management in the Licensed Environment

Q14. Staff training: Is adequate training for Responsible Beverage Service staff provided?		
<p>ST1: Induction programme for PT & FT staff that includes disorderly/drunken customers?</p> <p>ST2: Is there on-going training and refreshers for both PT & FT staff that includes information on disorderly and/or intoxicated customers?</p> <p>ST3: Is there Health and Safety training, including fire training?</p>	<p>Staff can be verbally assaulted or physically injured during interaction with disorderly or intoxicated customers.</p> <p>It is illegal to allow disorderly people to access premises.</p> <p>MHSW 1999 requires employers to assess risks and where necessary take action. This demands induction training for new staff.</p> <p>HSE Guidance for training to combat violence in licensed and retail premises http://www.hse.gov.uk/violence/toolkit/training.htm recommends:</p> <ul style="list-style-type: none"> • Training should reflect premises policy on violence • Training should focus on coping with violence once it occurs and with how to reduce the risks in the first place • Training should cover issues from legal requirements to prevention measures • Training should be provided for all staff, part time as well as full time • Staff should be consulted to inform training needs • Training should be evaluated and any improvements made 	<p>New staff will need training to deal with disorderly customers and to combat violence and aggression.</p> <p>If no appropriate induction training is in place then 4, 5 or 6 should be awarded.</p> <p>If induction training is in place 2 or 3 may be awarded.</p> <p>Actual score awarded dependant on:</p> <ul style="list-style-type: none"> • the existence and contents of training: whether it reflects existing premises policy • if it addresses both how to cope with and prevent violence • if staff are aware of legislation and prevention methods • whether staff have been consulted to inform training • management attitude to induction training • evidence of regular revision of induction training needs • good attitude to necessary changes <p>Score of 1 to be awarded if all above requirements for induction training including adequate training for responsible beverage service and dealing with violence and aggression are met, and further evidence or demonstration of good practice exists.</p> <p>Please specify any evident risk or concern in 'comments'</p>

Premises ID:

Safety Management in the Licensed Environment

Q14. STAFF TRAINING

Is adequate Responsible Beverage Service staff training provided?
MHSW Regs 1999

ST1. Is there an induction programme for both PT and FT staff that includes information on disorderly and/or intoxicated customers?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
ST2. Is there ongoing training and refreshers for both PT and FT staff that includes information on disorderly and/or intoxicated customers?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
ST3. Is there Health and Safety training, including fire training?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)

	N/A				ENFORCEMENT		
ST4. RCI Score (see appendix)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	0	1	2	3	4	5	6

ACTION TAKEN

ATST1. Verbal advice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)	ATST3. Improvement notice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)
ATST2. Written advice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)	ATST4. Prohibition notice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)
Referral to other statutory body	
ATSTP. Police <input type="checkbox"/> (1) ATSTO. Other <input type="checkbox"/> (3)	ATSTF. Fire <input type="checkbox"/> (2) ATSTL. LA Licensing <input type="checkbox"/> (4)
ATSTOC. If Other please specify	

Premises ID:

Safety Management in the Licensed Environment

Q15. Incident reporting: Are incidents in line with RIDDOR?		
<p>IR1. Is there an accident book/log sheets?</p> <p>IR2. Is a written record of reportable incidents kept?</p> <p>IR3. Evidence of RIDDOR reportable incidents?</p> <p>IR4. Were these reported to RIDDOR?</p> <p>IR5. Evidence of any near misses?</p> <p>IR6. Are incidents used in future risk planning?</p>	<p>RIDDOR 1995 states that employers and people in control of premises must report any work-related deaths, certain injuries to members of the public and self-employed people on your premises (including door security), and dangerous occurrences (some near miss incidents) that occur on premises.</p> <p>Reportable deaths and injuries from an act of non-consensual physical violence to a person at work must be reported.</p> <p>The requirement to report does not extend to verbal abuse.</p> <p>A record of reportable incident must be kept. They must include the date and method of reporting; the date, time and place of the event; personal details of those involved; and a brief description of the nature of the event or disease.</p> <p>Records can be made in any form, and must be kept for 3 years after date of report.</p>	<p>If there are no accident books, log sheets, written records of reportable incidents kept and no evidence that incidents have been reported to RIDDOR then 4, 5 or 6 should be awarded.</p> <p>If accident books and written reports of reportable incidents are kept and there is evidence that RIDDOR was aware of reportable incidents 2 or 3 may be awarded.</p> <p>Actual score awarded dependant on:</p> <ul style="list-style-type: none"> • the existence and content of accident books and reports • management attitude to accident books and incident reporting • good attitude to necessary changes <p>Score of 1 to be awarded if all above requirements for incident reporting are met, with evidence of further action such as using incidents to inform risk planning and training.</p> <p>Please specify any evident risk or concern in 'comments'</p>

Premises ID:

Safety Management in the Licensed Environment

Q15. INCIDENT REPORTING

Are incidents reported in line with RIDDOR?
RIDDOR 1995

IR1. Is there an accident book / accident log sheets?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
IR2. Is a written record of reportable incidents kept?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)

Auditor

IR3. Evidence of RIDDOR reportable incidents?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
IR4. Were these reported to RIDDOR?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
IR5. Evidence of any 'near misses' (i.e. serious but not reportable)?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)
IR6. Are incidents used in future planning, risk assessment?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (9)

IR7. RCI Score (see appendix)	N/A			ENFORCEMENT		
	<input type="checkbox"/> 0	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5

ACTION TAKEN

ATIR1. Verbal advice	Yes <input type="checkbox"/> (1)	ATIR3. Improvement notice	Yes <input type="checkbox"/> (1)
	No <input type="checkbox"/> (0)		No <input type="checkbox"/> (0)
ATIR2. Written advice	Yes <input type="checkbox"/> (1)	ATIR4. Prohibition notice	Yes <input type="checkbox"/> (1)
	No <input type="checkbox"/> (0)		No <input type="checkbox"/> (0)
Referral to other statutory body			
ATIRP. Police	<input type="checkbox"/> (1)	ATIRF. Fire	<input type="checkbox"/> (2)
ATIRO. Other	<input type="checkbox"/> (3)	ATIRL. LA Licensing	<input type="checkbox"/> (4)
ATIROC. If Other please specify			

Premises ID:

Safety Management in the Licensed Environment

Q16. Glassware policy: Which glasses/bottles are being used?		
<p>GP1: glass only?</p> <p>GP2: Some Polycarbonate or similar?</p> <p>GP3: All polycarbonate or similar?</p> <p>GP4: No Glass after midnight?</p> <p>GP5: Are customers (e.g. smokers) allowed to take glass outside?</p> <p>GP6. If yes to GP5 are staff assigned a role of collecting outside empties?</p>	<p>Glassware and glass bottles are often used to injure people or can be involved in accidents that injure people.</p> <p>A body of literature (reviewed in HSH RR698 research report) suggests use of toughened glass or plastic reduces risk of injury, especially during violent or aggressive interactions.</p> <p>In 1997 the Brewers and Licensed Retailers Association (now the British Beer & Pub Association), recommended the use of toughened glass to all members.</p> <p>In 2006 the institute of Alcohol Studies recommended injury could be reduced through:</p> <ul style="list-style-type: none"> • Use of toughened glass • Use of plastic cups • The banning of bottle-served alcohol • Swift removal of any glassware used <p>Guidance from the HSE advocates use of toughened glass and plastic cups.</p>	<p>If there is no use of toughened glass or plastic, no restriction of taking glass outside, or no assigned staff to collect outside drink-ware then 3 or 4 should be awarded.</p> <p>If toughened glass etc is used 2 or 3 may be awarded.</p> <p>Actual score awarded dependant on:</p> <ul style="list-style-type: none"> • the existence and use of toughened glass or plastic drinking • staff practices • management attitude using safer drink vessels • supervision of ordinary glass ware <p>A score of 1 to be awarded if all above recommendations are met.</p> <p>Please specify any evident risk or concern in 'comments'</p>

Premises ID:

Safety Management in the Licensed Environment

Q16. GLASSWARE POLICY

What type of glasses / bottles are being used?

GP1. Glass only	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (0)
GP2. Some polycarbonate (or similar)	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (0)
GP3. All polycarbonate (or similar)	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (0)
GP4. No glass after midnight	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (0)
GP5. Are customers allowed to take glass outside (e.g. smokers)?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (0)
GP6. If yes, are staff assigned the role of collecting empties from outside?	Yes <input type="checkbox"/> (1)	No <input type="checkbox"/> (0)	N/A <input type="checkbox"/> (0)

GP7. RCI Score (see appendix)	N/A	<input type="checkbox"/> 0	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	ENFORCEMENT	<input type="checkbox"/> 4	<input type="checkbox"/> 5	<input type="checkbox"/> 6
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ACTION TAKEN

ATGP1. Verbal advice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)	ATGP3. Improvement notice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)
ATGP2. Written advice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)	ATGP4. Prohibition notice Yes <input type="checkbox"/> (1) No <input type="checkbox"/> (0)
Referral to other statutory body	
ATGPP. Police <input type="checkbox"/> (1) ATGPO. Other <input type="checkbox"/> (3)	ATGPF. Fire <input type="checkbox"/> (2) ATGPL. LA Licensing <input type="checkbox"/> (4)
ATGPOC. If Other please specify _____ _____	

Premises ID: _____

Safety Management in the Licensed Environment

Premises ID:

Safety Management in the Licensed Environment

Q17. QUESTIONS FOR SERVERS (IF AVAILABLE)

Interviewee

QS11. Name _____

QS12. Position DPS/Manager (1) Shift Manager (2) Bar Staff (3) Other (4)

QS13. Other _____

QS4. Have you received training on violence and aggression? Yes (1) No (0) N/A (9)

QS5. Have you received training on dealing with very intoxicated customers? Yes (1) No (0) N/A (9)

QS6. What action is taken in respect of severely intoxicated customers? Refuse service (1) Asked to leave (2) Other (3)

QS7. If other, specify _____

QS8. What action is taken in respect of disorderly customers? Refuse service (1) Asked to leave (2) Other (3)

QS9. If other, specify _____

QS10. Are there barriers that prevent you from following the correct procedures for disorderly / severely intoxicated customers? Yes (1) No (0) N/A (9)

QS11. If yes, specify _____

QS12. Is there a glass collection policy? Yes (1) No (0) N/A (9)

Auditor

QS13. Are there discrepancies between DPS/manager and front-of-house staff responses and do you think that staff are engaged in H&S processes adequately? Yes (1) No (0) N/A (9)

A5. Audit Time End
(24 HR Clock)

_____ : _____
Hours Mins

Premises ID:

Safety Management in the Licensed Environment

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Q18. CONFIDENCE IN MANAGEMENT

Rate your confidence in the premises management (see guidance for further explanation of ratings)

LAC 67/2 (Section 3)

	Poor		Good	Score
	Score 5 or 6	Score 3 or 4	Score 1 or 2	
C1. Leadership	Nothing done before it goes wrong, critical of need for H&S, blames people. No effort to allocate time or resources to H&S.	Some implementation but not complete. A policy, but commitment unfulfilled.	Leads by example, takes responsibility, and sets targets. Up-to-date meaningful policies.	
C2. Organisation and Risk Assessment	Poor attempts to plan for risks.	Recognition of risk but inadequate risk assessments.	Written assessments for all significant risks.	
C3. Organising Cooperation Communication	No workforce involvement, poor leadership, no staff engagement. Inadequate information and guidance.	Some evidence of staff involvement and teamwork. Some written information.	Captures staff ideas, involvement in procedure development, accident and near miss reporting and investigation.	
C4. Organising Competence	No competent advice. No awareness of training needs, statutory training not given.	Basic training provided, induction briefings. Statutory training achieved	Robust training and refreshers in place, staff competent for the tasks they have to undertake. Management competent	
C5. Planning Implementing Health Controls	Significant absence of control of health hazards. Feels unhealthy. Dirty or inadequate welfare facilities.	Controls identified but not fully implemented or have become ineffective.	Implemented operational health procedures and risk assessments, including the health of Members of the Public	
C6. Measuring Performance and Review	Nothing done before it goes wrong. No management oversight or enforcement of standards. Accidents and near misses not evaluated, lessons not learnt	Systematic monitoring exists, risk assessments reviewed. Some surveillance e.g. incident log. Underlying causes of accidents identified and solutions implementation	Active interest in performance, employees perform to agreed standards. Proactive e.g. safety checks, reactive monitoring, accident and near miss reviews inform decision making	
C7. Overall Business Performance	Exposed to disorder and violence, review likely. Lost staff time, high turnover. Struggling to survive.	Good quality service, few incidents. Not pushing for continuous improvement, quality schemes	Reputation for quality and safety. Popular.	
C8. Management Attitude	Negative, hostile, complacent. Cynical, and does things only as a result of outside pressure.	Motivated though lacking commitment, skills and prioritisation; appoints others to take responsibility.	Positive, proactive, recognises business benefit, moral argument for continuous improvement. Sees things through. Achieves sensible H&S	

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