

Due Diligence Audit and Test Purchase Readiness

Run this yourself, quarterly, before somebody runs it for you.

Premises: _____ Audited by: _____ Date: _____

#	Check	Yes / No	Evidence seen	Action
1	Age verification policy in place, signed and dated by the DPS			
2	Policy reviewed within the last 12 months			
3	Every person who sells alcohol has completed UAS-02 training			
4	Every one has passed UAS-03 and the paper is on file			
5	Every one has a signed UAS-06 authorisation			
6	New starters trained BEFORE their first shift on alcohol			
7	Refusals register in use and completed within the last 7 days			
8	Refusals register retained for at least 2 years			
9	Till prompts active on all alcohol lines, all tills			
10	Born-before date displayed and correct today			
11	All required signage present and legible			
12	CCTV working and covering the till and entrance			
13	Staff can state the policy when asked without prompting			
14	Staff can name four acceptable forms of ID			
15	Proxy sale controls understood and being applied			
16	Any previous failed test purchase actioned and recorded			

Any NO is a gap in the due diligence defence. Fix it and record the date you did.

Auditor	DPS	Date	Next audit due

Scope and limitations — read before use

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