

Liquor Compliance Working Group

Meeting #1

The first meeting of the Liquor Compliance Working Group was held on March 28, 2014. During the meeting, the working group defined five categories of issues to be discussed in subsequent meetings. Those five categories are:

1. Education for the industry and Division on liquor issues, the future of the liquor industry and information about the three tiers.
2. Building collaborative working relationships.
3. Predictability of activities by the licensee/business and resulting actions by the Division – e.g., when does a sale occur.
4. Alternative sanctions including reasonable compliance and regulations.
5. Public safety.

Prior to the working group meeting, specific items were identified by the industry to be discussed (not to be inclusive). The Division looked at each item and identified which category best described the issued. Below is a list of each item and the category or categories (from above) that best describe the issue.

- Compliance check procedures – to include internal processes, sanctions, mitigations, aggravations (3,4,5)
- Expired licenses – how to handle to minimize business disruption (3,4)
- Eliminate informal hearing notices (3)
- Solicit industry prior to issuance of a position statement (1,2)
- Provide an opt in policy for emails (2,3)
- Post licensees in spreadsheet as well as .pdf (1)
- Notify licensee when passed a compliance check (2,3)
- Reinstute Cops n Shops (2,3)
- Require Division staff to attend industry training (1,2)
- Require applicants to show understanding of the laws and regulations (1,2)
- Clarification of state investigations protocol (3,4)
- Reevaluate internal penalty matrix – progressive discipline (3,4)
- Bright lines for compliance (3,4)
- Permit immediate relatives to assume temporary license status (1,3)
- Approve web based training for Responsible Vendor Training (1,2)
- Only have local licensing authorities approved modifications (1,3)
- Allow manufacturer salesrooms locations with other businesses (1,3)
- Review current hearing procedures (3,4)
- Increase penalty for a minor who purchases alcohol (or attempts) (3,4)
- Clarification of ownership transfer process (1,3)
- Provide training for licensees (1,2)
- Better define what violates sale to minor – actual funds change hands, service only, etc.(3)
- Develop protocol for hiring minor operatives (3)
- Define “participate” found in 12-47-901(5)(I) (3)
- Define “immediately” under 12-47-301(10)(VII) (3)
- Provide a published tool to facilitate compliance (1,2,3)

- Education | Training | Communication (1,2)
 - Public
 - Liquor Enforcement | Local Government
 - Regulator
 - Industry

The Working Group decided the discussion of the issues should take into account all three tiers and should be overlaid with the following responsibilities of the Division:

- Regulation
- Licensing
- Compliance
- Enforcement