

Club Address	Inspector Date	Person Spoken To:	Position:					
			GA 2003	Harm Min Regs	Net Proc Regs	Licence Cond	Game Rules 2022	Min Std
	Questions / checks to perform	Pass Fail N/A Minor	Comments					
INFORMATION TO BE DISPLAYED								
A 1	Check that the licence and other key information is displayed in the immediate vicinity of the gaming machines.			82(1)(a) & (2)			VLC	
A 2	Check that a notice is displayed informing players that information about the application or distribution of net proceeds may be obtained from the club.					7		
A 3	Check signage that complaints about the licence holder may be made to the Secretary.			82(1)(d)				
A 4	Does the club advertise (apart from a properly-installed jackpot display sign) the word "jackpot" or any similar word or get-up? <i>- is the jackpot advertising only visible and audible inside the venue?</i>				10(2) 9(2)			
A 5	Check notice advising club customers of a policy for identifying problem gamblers is available on request.			308(3)				
A 6	Check that pamphlets containing information on the odds of winning are available				11(a)			
A 7	Check signage encouraging play at affordable levels, and how to seek assistance for problem gambling.				11(b)			
A 8	Check there is signage advising players of the need to be a member or signed in by a member in order to play the machines.	N/A						
GAMING MACHINE EQUIPMENT								
B 1	Check sample of number/game names of machines on club licence against machines being operated			70(1)(h)				
B 2	Check main gaming machine cabinets securely fixed to the base and locked / check for apertures allowing unauthorised access			327				9.2 Min Std
B 3	Check that the logic compartments, jackpot controller & EMS site controller are locked / have intact seals attached			327				9.2 Min Std
B 4	Check that the jackpot display is visible to all players playing jackpot-connected machines							14.2
CLUB SUITABILITY / MAIN USE								
C 1	Check compliance with any venue-specific licence conditions. <i>- look for any additional licence conditions related to access etc.</i>						VLC	
C 2	Is there an ATM in the club / in the gambling area? Is the gambling area defined				5			
C 3	What is considered to be the 'main use' of the club? <i>- does the set up / promotion support this consideration?</i> <i>- number of persons present gambling v. taking part in other activity</i>			67(1)(k)				

Club Audit

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C 4 Access to club and gambling area. - is there direct unsupervised access into gambling area? - is there clear and unobstructed view of persons entering the gambling area from the normal staff workstation? - properly monitored cctv cameras are installed? - are non members able to enter the club unsupervised			302 67(1)(p) 67(1)(b)					
C 5 What other forms of gambling take place at the club? (membership lotteries / poker / lotteries / housie / 'handle clubs' / jokers wild) - details?			22 24 27 19					

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GAMING MACHINE EXPENSES / AUTHORISED PURPOSES									
H 1	Do key persons have a clear understanding of the difference between authorised purposes and expenses ?	N/A							
H 2	Are full records of expense payments and claims for goods/services maintained and made from dedicated account? - does it include direct costs of gambling as a proportion of general club costs eg. power / insurance / wages etc? - are expenses considered Actual, Reasonable, and Necessary? (sample)			4 definition of net proceeds .		5(2)(b) 5(3)(b) . .	Op Licence .		
H 3	Check that payments to suppliers made based on a written contract / invoice					5(4) .			
H 4	Has a net proceeds committee been established to make decisions on the application or distribution of net proceeds?					8			
H 5	Does the club maintain an up-to-date list of all payments to AP (including outside grants)?					5(2)(a)			
H 6	Are net proceeds applied and /or distributed regularly and not unreasonably accumulated?						Op licence .		
H 7	Is the application or distribution of net proceeds for Authorised Purposes as per licence?			106(1) .					
H 8	Does the club distribute to authorised purposes by way of 'grants' to outside recipients?	N/A							
H 9	If yes, is there effective systems of evaluating grants applications in place? (no conditions/conflicts/benefits) - is supporting documentation requested / supplied with each application for grants? - are full records kept for each grant made? - is there a clear audit trail showing accountability for the distribution and spending of the grant?								

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GOVERNANCE AND MANAGEMENT									
I 1	Are key persons records maintained and up to date? (obtain list of key persons) - have key person changes been notified to DIA?			71 .				19.1 & 7.1 .	
I 2	Are procedures are in place to prevent/manage key person conflicts of interest?			118 .					
I 3	Where management companies are contracted, is supporting documentation as to their engagement available? (view contracts)					5(4)			
I 4	What checks and balances does the club have in place to ensure gmp is not misappropriated? (eg. is accounting / handling of money left solely to one member?)	N/A							
I 5	What succession policy does the club have to ensure incoming key persons have adequate training in the gaming machine operation?	N/A							
I 6	Is the gaming machine operation tabled and discussed as a topic at regular management/committee meetings?	N/A							
I 7	Does the club have a written policy on the playing of gaming machines by staff member / key persons?	N/A							

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HARM PREVENTION AND MINIMISATION									
D 1	Check there is a policy in place for identifying problem gamblers. • Can staff access and produce the policy on request?			308					
D 2	Check the policy is being applied to identify actual / potential problem gamblers. • what steps are taken to identify actual or potential problem gamblers? • is relevant information given to actual or potential problem gamblers • do staff know who to refer people to when they ask to be excluded • is information provided on how to access problem gambling services • are persons reminded they can be excluded by the venue manager			308(4)					
D 3	Are staff trained in problem gambling awareness? • how many staff have had training? - is there a trained employee present at all times? • who provided the training? • are records of training available at the club? • when was training provided, and is on-going refresher training provided - how often? • are new staff fully trained as appropriate?				12(1)				
D 4	Is the training sufficient to satisfy all requirements of HPM 12(2)? • can staff give examples of behaviours that may indicate gambling problems? e.g. • attempts to borrow money on site • requests to cash cheques • disorderly or agitated behaviour • comments from family & friends • long sessions playing the machines • children left unattended while adults gamble				12(2)				
D 5	Is the exclusion procedure available to and applied by staff? • exclusion orders issued immediately when self-exclusion is requested • staff know who has been excluded and can identify them if they return • process for responding to exclusions requested by mail • excluded persons present in the gaming room are dealt with correctly • persons are reminded they can ask to be excluded from the venue • the number of exclusion orders issued			309310 GAB 81- 83					
D 6	Are records of currently excluded persons available at the club? - how many current exclusion orders have been issued by the club? - how many current self exclusion orders have been issued by the club (other than multi venue exclusions?) - how are exclusion notices / photos displayed to staff? - other than placed in a book or on a noticeboard, what proactive measure is taken to advise staff members of new exclusion orders / problems gamblers? - what ongoing upkeep is there of exclusion orders?			309 310 311 312					

Club Inspection - HPM

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D 7	How many excluded persons have been identified either entering or being in the club's gambling area? - identity of excluded person / date / time / recording of action taken by staff member?			311 312					
D 8	Check measures in place to minimise participation by under 18 year olds. • appropriate ID is requested / accepted • procedures are in place for refusing to pay prizes to minors • properly monitored CCTV cameras are installed • regular sweeps of the gambling area are made by staff			67(1)(b) 302			VLC		

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RECORD KEEPING									
E 1	Check that the venue manager accesses its EMS website page daily (as a result of the GR review, no longer mandatory)	N/A						BPG6	
E 2	Check all information is completed either on the Department's standard forms or forms providing the necessary minimum information, and source records are retained with relevant reports and forms - Cancelled Credit (non DIA standard form allowed) / Short Pays (non DIA standard form allowed) / Hopper Refill (non DIA standard form allowed) / Equipment Fault (DIA form) / Player Dispute (DIA form) / Unpaid Prize (DIA form) reports							8.1-8.2	
E 3	Check that correct procedures (as per Game Rules and Best Practice Guidelines) are followed in completing required tasks - cash clearance procedures (BPG2) - cancelled credit procedures (GR22-23 & BPG4) - hopper refill procedures (GR21 & BPG3) - player dispute procedures (GR6, 50, 65, 38-42) - gaming machine fault procedures (GR18-20, & BPG5) - unpaid prize procedures (GR43)							9.2- 11.2 16 18.3 22.1 4.4 BPG2-5	
E 4	Check if GMA's are completed when discrepancies occur in either float balancing or the reconciliation of gaming machine transactions, and that source information is used in their completion	N/A						BPG5	
E 5	Does the club keep an incident book / sheet where incidents / HPM interventions etc. are recorded?	N/A							
CASH FLOAT / KEY SECURITY									
F 1	Is a cash float provided for the gaming machine operation - what is the amount of the float - is it sufficient for hopper refills / prize payouts / banking of gmp? - are all transactions recorded? - is the cash float reconciled at least every 7 days?							5 BPG1 . .	
F 2	Does the club have sufficient procedures in place to ensure the security of the keys to the gambling equipment / EMS cabinet / jackpot controller? - locked away when not in use? / accounted for at the beginning and end of each working day? / used only for intended purposes?							2.1	
CALCULATION AND BANKING OF GAMING MACHINE PROFITS									
G 1	Has GMP been banked according to EMS? - within 5 working days of calculation? - into a dedicated bank account			GA 104 Banking Reg 4				13.2 - 13.3	
G 2	Was DIA notified of any late bankings and the GM's disconnected until GMP was banked?			104(3)				22.1 . . .	

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Club Inspection - Records and Banking

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G 3	In the dedicated account, are full details maintained of all deposits and withdrawals? <i>(Annotated bank statements or other documents to identify all deposits and withdrawals and provide a clear audit trail to source documents)</i>					5(3)(f)			
G 4	Check that interest income is retained in the GMP account or a dispensation given			105(3)					

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