

**The
Gambling Act (Class 4) Game Rules
2022**

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Interpretation

- (1) Any term or expression defined in the Act and used, but not defined, in these Rules, has the same meaning as in the Act.
- (2) In these Rules, unless the context otherwise requires,—

Act means the Gambling Act 2003

alternative method of payment means cheques or electronic funds transfer

authorised means, in relation to venue or society personnel, authorised by the corporate society to perform a particular task or function under these Rules

bank note acceptor means a device within a gaming machine that accepts and stores bank notes in return for the granting of credits playable on the machine

cancelled credit means the process where credits on a gaming machine or linked jackpot system are cancelled by external intervention by a venue staff member and a subsequent manual payment is made to the player of a cash amount equal to the value of credits cancelled

cash box means a lockable container within a gaming machine cabinet or base that holds coins inserted by players that are diverted from entering the hopper when the hopper is full

cash float means an amount of money supplied by the venue operator to carry out the functions required under Rule 5.1

Cashless Gaming Machine Analysis means a report, used by venues with cashless gaming machine systems, detailing gaming machine meter readings, meter differences and cashless data

cashless gaming machine system means a system that electronically transfers money to a gaming machine and credits the credit meter accordingly

collect button means the button on a gaming machine pressed by a player to collect payment for available credits displayed on the credit meter

corporate society means the holder of the relevant class 4 venue licence

credit meter means an electronic display on a gaming machine which:

- (a) increases when money or credits are put into the machine, or when prizes are awarded; and
- (b) decreases when credits are bet on a game, or when a player presses a collect button or when a cancelled credit reset switch is activated

Daily Gaming Machine Meter Totals Snapshot means an EMS report providing a snapshot of electronic meter totals captured during an EMS daily polling session

downloadable jackpot system means a jackpot system that has two way communication with gaming machines to which it is connected, and is able to download jackpot information to designated gaming machine electronic meters

electronic meter access means a facility for current gaming machine meter and jackpot data to be downloaded from a site controller using a connected personal computer

electronic monitoring equipment means any cabling, interface device, site controller, network communications device, computer or associated equipment that is used by the EMS

EMS means an electronic monitoring system as specified by the Secretary by notice under section 86 of the Act

EMS host system means a computer or computers and associated equipment or devices that provide a central processing system for receiving, processing, validating, storing and disseminating data collected by the EMS

EMS Service Desk means a facility provided by the monitor as part of electronic monitoring services that serves as a point of contact with the monitor and other parties

fault means a condition that adversely affects the functionality of gambling equipment and may include a malfunction

gaming machine means an electronic gaming machine

gaming machine profits has the same meaning as in section 104(5) of the Act

hopper means the container in a gaming machine that holds coins inserted into the machine by a player or by way of a hopper refill, and from which coins are mechanically delivered for collection by the player

hopper refill means the process of placing a predetermined amount of coins into the hopper when the hopper requires a refill

jackpot equipment means any gambling equipment that is part of a linked jackpot system

jackpot wins means the monetary amount of jackpot payouts

linked jackpot system means an arrangement where 2 or more gaming machines are linked to a device that:

- (a) receives data from each gaming machine to which it is linked; and
- (b) records the dollar amount in the jackpot pool at any given time

logic compartment means a compartment within a gaming machine that houses electronic components with the potential to significantly influence the operation of the gaming machine

malfunction means a failure of gambling equipment to function according to the relevant regulations and minimum standards

manual payment means a payment made to a player in respect of either a cancelled credit or a jackpot prize award or as a short pay correction

monitor means the person appointed by the Secretary under section 88 of the Act

monitor service personnel means persons employed by, or contracted to the monitor and authorised by the monitor to perform installation, service and repair functions in relation to components of the EMS

prize means the amount won by a player

RAM means Random Access Memory

RAM clear means the process by which the memory of a gaming machine is reset

regulations means any regulations made under the Act

service means the installation, connection, configuration, repair, maintenance, disconnection or removal of gambling equipment, involving access to gambling equipment or sensitive components of it, and **servicing** has a corresponding meaning

short pay means the shortfall (if any) when the collect button of a gaming machine is pressed, between the amount that the player is entitled to be paid and the amount actually paid out by the gaming machine

site controller means a device at a venue, provided by the monitor, that is connected to and communicates with gambling equipment that:

- (a) monitors and controls gambling equipment; and
- (b) collects, stores, and transfers meter and event data from gambling equipment to the EMS host system; and
- (c) receives data, parameters and instructions (including for the enablement and disablement of gaming machines) from the EMS host system and transmits them to connected gambling equipment

total wins means the metered value of all prizes awarded by a gaming machine and includes jackpot wins if these are recorded separately

turnover means the metered value of bets made on a gaming machine, including money inserted and credits reinvested

venue staff member means the venue manager or venue personnel

Weekly Venue Activity (Society Level) means an EMS report showing turnover, total wins and jackpot meter values and any adjustments to either meter values or gaming machine profits posted during the weekly period at venue level for gaming machines at all of a corporate society's venues

Weekly Venue Activity (Venue Level) means an EMS report showing turnover, total wins and jackpot meter values for each gaming machine at a venue, and any adjustments to either meter values or gaming machine profits posted during the weekly period.

Part 1: Rules relating to Gambling Equipment Security and Access

1.0 Advising EMS Service Desk

- (1) Where gambling equipment is to be installed, removed, modified, or serviced then the venue manager must confirm service staff have contacted the EMS service desk before allowing entry to gambling area or issue of keys. This only applies to gaming machine related changes and does not include general servicing of gaming machines where access to the logic cage for example is required. It does apply to EGM software changes, EGM ram clears, any EMS Site Controller power changes, any EMS Router power changes. Note; failure of service staff to advise the service desk they are on site and the work they intend to do can have significant impact on the monitoring and reconciliation of EGM meter values leading to GMP calculation issues.
- (2) Where an EGM is to be RAM Cleared, removed or otherwise modified or changed the venue manager is to ensure all player credit meters are showing zero value; if not zero refer 'Unpaid prizes, money found inside gaming machines' requirement for action to be taken.
- (3) Switching off site controllers and other equipment
 - (a) A person must not at any time switch off a site controller unless under instructions to do so from the monitor or by monitor service personnel.
 - (b) A person must not switch off any EMS wide area network communications equipment such as routers or network terminating units unless under instructions to do so from:
 - i) the monitor or monitor service personnel.

2.0 Security of keys and equipment

2.1 Security and issue of keys

- (1) Unless Rule 2.1(2) applies, the venue manager must ensure that all keys to gambling equipment are only made available to:
 - (a) authorised venue personnel for necessary tasks related to the day-to-day operation of the gambling equipment; or
 - (b) persons contracted to service gambling equipment at the venue who are authorised by the corporate society; or
 - (c) gambling inspectors or persons nominated by the Secretary.
- (2) The venue manager must ensure the keys to the site controller cabinet are only issued to:
 - (a) authorised venue personnel or persons contracted to service gambling equipment at the venue and authorised by the corporate society who are:
 - (i) acting under the direct instructions of the monitor; and
 - (ii) for the purpose of:

- (A) diagnosing or repairing a fault; or
 - (B) replacing a site controller; or
 - (C) inspecting security seals; or
 - (D) for any other reason that the monitor deems necessary.
- (b) gambling inspectors or persons nominated by the Secretary.
- (3) The venue manager must ensure that keys (not including keys to the site controller cabinet) that provide access to sealed or locked areas such as the logic compartment, jackpot controller are only made available to:
- (a) persons contracted to service gambling equipment at the venue and authorised by the corporate society; or
 - (b) gambling inspectors or persons nominated by the Secretary.
- (4) The venue manager must ensure that all keys to gambling equipment are:
- (a) locked away in a secure place when not in use; and
 - (b) accounted for at the beginning and end of every working day; and
 - (c) used only for the intended purpose.

3.0 Interference with gambling equipment

3.1 Interference with gambling equipment

- (1) A person must not tilt, rock, damage or interfere with gambling equipment in any way, or in any way seek to gain an undue advantage by any manipulation of gambling equipment.
- (2) If a person contravenes Rule 3.1(1), no prize may be paid out to that person.

4.0 Players' responsibilities and entitlement to prizes

4.1 Obligation to notify venue staff member

- (1) A person must not play, or must cease play, and must immediately inform a venue staff member if he or she:
 - (a) becomes aware that a fault, malfunction, or irregularity in the operation of the gambling equipment has occurred; or
 - (b) finds credits of \$2 or more on a vacant gaming machine.
- (2) If a person contravenes Rule 4.1(1), no prize may be paid out to that person.
- (3) Where a venue staff member becomes aware of credits of \$2 or more on a vacant gaming machine, then the venue staff member must carry out the procedure under Rule 17.2.

4.2 Restriction on use of more than one machine

- (1) No player may play more than one gaming machine at a time.
- (2) For the purpose of this Rule, **playing more than one machine at a time** occurs when a player has control of more than one gaming machine in a playable state.

- (3) A gaming machine is in a **playable state** if it:
 - (a) has credits on it and is able to be played; or
 - (b) has been reserved with or without having credits on it; or
 - (c) has credits on it and is showing a Player Information Display at the time, or
 - (d) is performing a feature, including “free spins” or a “bonus game”.
- (4) A gaming machine is not in a playable state for the purpose of Rule 4.2(3) if:
 - (a) the gaming machine is unable to be played because of a machine fault, whether or not the gaming machine has credits on it; or
 - (b) a staff member has placed the gaming machine in audit mode in order to carry out any procedure the staff member is authorised to undertake, whether or not the gaming machine has credits on it; or
 - (c) a player has requested a manual payment and the gaming machine is unable to be played until the manual payment is completed; or
 - (d) the gaming machine is, for any other reason, in a mode where game play and/or jackpot play and money input or output is no longer available to the player.
- (5) If the player contravenes Rule 4.2(1), no prize may be paid out to that player.

4.3 Syndicated play prohibited

- (1) No person may engage in syndicated play with any other person.
- (2) No person may solicit any other person to take part in a syndicated play arrangement.
- (3) No person may induce or intimidate any other player to vacate a gaming machine.
- (4) For the purposes of this Rule, **syndicated play** means behaviour where 2 or more persons are acting together to affect the opportunity of any person to win a jackpot prize.
- (5) If a person contravenes any of Rule 4.3(1) to Rule 4.3(3), no prize may be paid out to that person.

4.4 Notification

If a player wishes to dispute:

- (a) the result of a game played on a gaming machine; or
- (b) a prize awarded or not awarded by a linked jackpot system; or
- (c) the payment of a prize which he or she believes is payable under Rule 8; or
- (d) the amount of money that a gaming machine has paid out

the player, or a person acting on that player’s behalf, must notify a venue staff member as soon as reasonably practicable.

4.5 Malfunctions invalidate prizes

If a malfunction of any gambling equipment occurs and a valid winner cannot be determined, no player is entitled to payment of a prize.

4.6 Manual payments

- (1) Where a prize or other payment to which the player is entitled is not paid out automatically by a gaming machine, the player is entitled to receive from a venue staff member a manual payment equal to the amount of the prize in cash or by an alternative method of payment in accordance with the procedures set out in Rule 11.1 and 11.2.
- (2) In receiving a manual payment under Rule 4.6(1), the player must verify the amount and acknowledge receipt of the payment by providing his or her name and signing a receipt or other acknowledgement form.

Part 2: Rules relating to venue operation

5.0 Provision of cash float

5.1 Sufficiency of cash float

The venue operator must provide a cash float of a sufficient amount to enable:

- (a) hopper refills and manual payments to players to be made in the course of the day-to-day operation of gambling equipment; and
- (a) all gaming machine profits for any specified period to be banked.

5.2 Recording and reconciliation of cash float

The venue operator must ensure that:

- (a) all cash float transactions that affect the balance of the float are recorded; and
- (b) the cash float is reconciled at intervals of no greater than 7 days.

6.0 Responsibility for cash

6.1 Responsibility for cash

All cash removed from gaming machines is the responsibility of the venue operator until such time as it is banked in accordance with the requirements of the Act and any relevant rules, regulations or licence conditions.

7.0 Record keeping - records of venue personnel

7.1 Records of venue personnel

A venue operator must maintain a complete and up to date record of all venue personnel at the venue.

8.0 Record keeping - general requirements

8.1 Gaming machine accounting reports

- (1) The corporate society and the venue manager must ensure that all gaming machine accounting reports are accurately completed on the form prescribed by the Secretary.
- (2) The **gaming machine accounting reports** are:
 - (a) Cancelled Credit, Short Pays and Refills Report; and
 - (b) Gambling Equipment Fault/Player Dispute Report; and
 - (c) Unpaid Prize Report; and
 - (d) any other report that the Secretary may require, as notified to the corporate society and venue operator.
- (3) Despite Rule 8.1(1) and (2), cancelled credits, short pays, and hopper refills may be recorded on alternative forms to the Cancelled Credit, Short Pays and Refills Report provided that the alternative form records, at a minimum, the following information:
 - (a) for cancelled credits:
 - (i) the date and time of the cancelled credit; and
 - (ii) the credit meter reading before the cancelled credit is performed; and
 - (iii) the amount paid to the player; and
 - (iv) the player's name and signature; and
 - (v) the signature or initials of the venue staff member performing the cancelled credit; and
 - (vi) the credit meter reading after the cancelled credit is performed.
 - (b) for short pays:
 - (i) the date and time of the short pay; and
 - (ii) the number of credits claimed; and
 - (iii) the amount paid to the player; and
 - (iv) the player's name and signature; and
 - (v) the signature or initials of the venue staff member performing the short pay.
 - (c) for hopper refills:
 - (i) the date and time of the hopper refill; and
 - (ii) the meter reading after the refill is completed; and
 - (iii) the amount of the refill; and
 - (iv) the venue staff member's signature or initials.
- (4) If any gaming machine account report needs to be corrected, the corporate society and the venue manager must ensure that the original version of the report and any subsequent versions are retained.
- (5) The corporate society and the venue manager must provide any gaming machine accounting reports to a gambling inspector on request.

Note: Forms for the reports that are required under this Rule are available on the Department of Internal Affairs' website at www.dia.govt.nz.

8.2 Electronically generated reports

- (1) The reports specified in Rule 8.1 may be generated electronically.
- (2) If printed copies of electronically generated reports are printed on thermal or light-sensitive type paper, the corporate society and venue manager must ensure that those reports are properly stored.

8.3 Recording of gambling equipment meters

Where a venue staff member is required to take a reading of a gaming machine meter, he or she must, in order of precedence:

- (a) obtain the equivalent validated information from the EMS host system by means of reports provided by the monitor, subject to timeliness and availability of such data; or
- (b) using electronic meter access:
 - (i) manually read and transcribe the relevant meters; or
 - (ii) in the case of jackpot equipment where the necessary data is not readily accessible, call in a person contracted to service that equipment to access and provide the information.

9.0 Technical responsibilities

9.1 Security of master or system cards

- (1) In the case of a venue that operates:
 - (a) a cashless gaming machine system; or
 - (b) a linked jackpot systemthe procedures set out in Rule 2.1 apply, with any necessary modifications, in respect of any master or system cards that enable access to data or transactions to be performed in respect of those systems.
- (2) Corporate societies and venue managers must ensure that passwords or personal identification numbers required to gain access to such systems are subject to a suitable security policy.

9.2 Obligations of key persons, including service personnel

- (1) All venue staff members and every person contracted to service gambling equipment must:
 - (a) ensure that every item of gambling equipment that is required to have a security seal fitted is not played or operated unless the security seal is present and intact; and
 - (b) ensure that gaming machines, gambling equipment, and the site controller cabinet are securely locked; and
 - (c) immediately report to the venue manager, or person in charge of the gambling operation at the venue:
 - (i) any potential breaches of security or integrity of gambling equipment such as faulty or broken locks or seals or the loss of keys; and

- (ii) any apparent damage, tampering, or suspected malfunctions of gambling equipment and any monitoring equipment, including site controllers, interfaces, cabling or network communications devices.
- (2) The venue operator must ensure that an up-to-date log for security seals is kept at the venue for each gaming machine, jackpot controller or other item of gambling equipment.
- (3) The logs required under Rule 9.2(2) must record, as a minimum -
 - (a) the date the seal was fitted;
 - (b) the unique seal number;
 - (c) by whom it was fitted; and
 - (d) the reason a new seal was required.

9.3 Remedy of breach

A person to whom a report is made under Rule 9.2(1)(c) must:

- (a) immediately notify the corporate society; and
- (b) take the relevant equipment out of service until repairs, replacement of locks or seals or other necessary measures can be undertaken; and
- (c) record the matter on a Gambling Equipment Fault/Player Dispute Report as per the instructions specified on that report; and
- (d) take any other steps reasonably necessary in the circumstances to remedy the issue.

9.4 Switching off gaming machines

A person switching off an individual gaming machine, for any purpose, must use the internal power supply switch.

10.0 Hopper refills

10.1 Requirements for hopper refills

- (1) Venue staff members performing hopper refills must ensure that every refill is correctly registered on the gaming machine meters.
- (2) Hopper refills must be recorded on the Cancelled Credit, Short Pays and Refills Report form, or on an alternative form as prescribed by Rule 8.1.
- (3) Hopper refills must be made from the cash float.

11.0 Cancelled credits and manual payments

11.1 Requirements for manual payments

- (1) Money must not be taken directly from any gaming machine to make manual payments in respect of cancelled credits or jackpot wins.
- (2) A venue staff member may make a manual payment by the following methods:
 - (a) in cash, from the cash float; or

- (b) if permitted by the corporate society and with the consent of the player, by an alternative method of payment.
- (3) Where an alternative method of payment is used, funds must not be drawn from the dedicated account used for banking gaming machine profits or other proceeds under sections 104 or 105 of the Act.
- (4) If an alternative method of payment is used, the account that is drawn down may be reimbursed after cash clearances are performed and recorded.
- (5) Cancelled credits must be recorded on the Cancelled Credit, Short Pays, or Refills Report form, or on an alternative form as prescribed by Rule 8.1.

11.2 Procedure

When processing cancelled credits or manual payments, a venue staff member must:

- (a) confirm the value of the payment by reference to the credit meter or linked jackpot display; and
- (b) in the case of a gaming machine, ensure the collect button has been pressed; and
- (c) request that the player does not touch the gaming machine until the pay-out has been completed; and
- (d) record the date, time, jackpot identification number, player credit meter reading, amount payable, jackpot level and sequential jackpot number as may be appropriate on the relevant Cancelled Credit, Short Pays and Refills Report form; and
- (e) request the player confirms the amount payable; and
- (f) follow the manufacturer's recommended procedure to cancel the credits awarded by the gaming machine or reset the linked jackpot system, as appropriate; and
- (g) in the case of a gaming machine:
 - (i) ensure that the player credit meter has decreased; and
 - (ii) put the machine into Audit mode; and
 - (iii) record the cancelled credit meter reading on the Cancelled Credit, Short Pays and Refills Report; and
 - (iv) check that the meter difference between the current and preceding entry represents the amount payable; and
- (h) obtain the player's name and signature on the relevant Cancelled Credit, Short Pays and Refills Report in acknowledgement of receipt of payment; and
- (i) sign or initial the relevant entry when the procedure is complete; and
- (j) ensure, before leaving the gaming machine, that it has returned to a playable state, or in the case of a linked jackpot system, that the jackpot display has cleared the win, reset to the correct start-up value and is not indicating another win on a different level.
- (k) Any ticket printed for the indicated cash amount in respect of an EGM QCOM Cancelled Credit event:
 - (i) is valid for cash redemption from an approved Redemption Kiosk for a maximum period of 30 minutes; and

- (ii) a ticket can only be redeemed by authorised venue staff; and
- (iii) record the cancelled credit meter reading on the Cancelled Credit, Short Pays and Refills Report must be filled out as above; and
- (iv) for the avoidance of any doubt the player must present personal identification confirming the players name before the ticket can be redeemed

12.0 Rounding

12.1 Rounding of monetary values

Any amount payable in cash must be rounded up or down to the nearest 10 cents.

13.0 Calculation and banking of gaming machine profits

13.1 Requirements for banking

- (1) The venue manager must bank the amount of gaming machine profits for every weekly period as determined by EMS and shown on the Weekly Venue Activity (Venue Level) report for that period.
- (2) In any case where a negative amount of gaming machine profits is established for any venue for any week, the venue manager must deduct that amount from the banking for the following weekly period or periods that have positive amounts and record the adjustment.

13.2 Timing for banking

- (1) Gaming machine profits must be determined for each venue for every period of seven days commencing at 2 am on a Monday and concluding at 2 am the following Monday.
- (2) The venue manager must ensure that gaming machine profits for the previous weekly period are calculated every Monday.

13.3 Banking when relevant report not available

- (1) If the Weekly Venue Activity (Venue Level) report for the relevant week is not available before close of business on the last day on which gaming machine profits must be deposited into the corporate society's dedicated gaming machine account, the venue manager must notify the corporate society.
- (2) On receipt of a notification under Rule 13.3(1), the corporate society must attempt to access the Weekly Venue Activity (Society Level) report for the period, and notify the venue manager of the amount due to be banked.
- (3) If the corporate society is unable to access the Weekly Venue Activity (Society Level) report for the period, the venue manager must calculate gaming machine profits by one of the following methods:

- (a) if the Daily Gaming Machine Meter Totals Snapshot report for the day immediately preceding the first day of the weekly period is available, by recording the gross meter values for turnover, total wins and jackpot wins as opening readings on a manual Weekly Gaming Machine Profits Report, then ascertaining the closing meter values for the period by either:
 - (i) obtaining the gross meter values of the relevant meters from the Daily Gaming Machine Meter Totals Snapshot for the last business day of the period; or
 - (ii) accessing current meter values from the EMS site controller by electronic meter access, or manually reading the relevant meters and recording them as the closing meter values on the Weekly Gaming Machine Profits Report, and calculating the meter differences; or
 - (b) if neither of the above methods are available and there are no other means of ascertaining opening or closing meter values, by calculating an average from the last available four Weekly Venue Activity Reports to reach an estimated figure, which must be recorded on a manual Weekly Gaming Machine Profit Report.
- (4) If gaming machine profits have been determined by using any of the above methods and a Weekly Venue Activity (Venue Level) report is subsequently received after banking for that weekly period has been carried out, the venue manager must ensure that:
- (a) any difference between the calculated or estimated amount and the amount to be banked as shown on the report is adjusted in the banking for the weekly period in which the report is received; and
 - (b) the amount of the adjustment and the reason for it is recorded.

14 Linked jackpot systems

14.1 Instructions and authorisation

Where any linked jackpot system is operated at any venue, the corporate society must ensure that:

- (a) user manuals or operating instructions for the linked jackpot system are available at the venue; and
- (b) only authorised venue personnel perform any operating requirements in respect of the linked jackpot system.

14.2 Jackpot display

- (1) The corporate society must ensure that each player is able to clearly view a jackpot display when playing any gaming machine connected to a linked jackpot system.
- (2) The jackpot display must show:
 - (a) the jackpot prize amount currently available; and
 - (b) each prize level if there is more than one; and
 - (c) in the event of a win, which connected gaming machine has struck the jackpot.

- (3) For downloadable jackpot systems, the gaming machine display is sufficient to meet this requirement, provided that the information required in Rule 14.2(2) is displayed on the gaming machine display.

14.3 Investigation of variances

- (1) The venue manager must immediately investigate and attempt to resolve any variances relating to the jackpot.
- (2) Where variances relating to the jackpot cannot be resolved, and are of an amount exceeding \$20, the venue manager must:
 - (a) use the procedures prescribed by the manufacturer or distributor of the system to shut down the jackpot system; and
 - (b) if the problem is directly attributable to a linked gaming machine or machines, shut down the affected gaming machine or machines, or alternatively disable the connection between gaming machines and the jackpot controller; and
 - (c) if there are no prescribed procedures for disabling the jackpot system or disconnecting linked gaming machines, switch off and remove from play all jackpot linked gaming machines from operation.
- (3) Where a linked jackpot system or gaming machine has been shut down under Rule 14.3(2), a corporate society or a venue manager must not allow the system or machine to be put back into operation unless:
 - (a) the gaming machine or linked jackpot system has been examined by the manufacturer, distributor of the jackpot system or a person contracted to service gambling equipment; and
 - (b) the fault has been resolved.

14.4 Shut down or disconnection

Where any jackpot system shut down or gaming machine disconnection takes place, the venue manager must ensure that:

- (a) all available meter readings and any jackpot display data are recorded on the relevant reports; and
- (b) notices informing players of the jackpot system being shut down and/or gaming machine disconnection are displayed in the gaming area of the venue; and
- (c) the person contracted to service gambling equipment at the venue is informed; and
- (d) the corporate society is notified.

14.5 Recording of faults or malfunctions

The venue manager must ensure all faults or malfunctions of a linked jackpot system are recorded promptly on a Gambling Equipment Fault / Player Dispute Report.

14.6 Absent player

- (1) If a win on a linked jackpot system is indicated, but:
 - (a) no player is present at the winning gaming machine; or

- (b) the identity of the player cannot reasonably be ascertained
the venue staff member must complete an Unpaid Prize Report in respect of that jackpot win.
- (2) The venue manager must ensure the corporate society is notified of any unpaid jackpot prizes.
- (3) When notified of any unpaid jackpot prizes, the corporate society must make any necessary adjustment to the gaming machine profits for that reporting period.

15.0 Cashless gaming machine systems

15.1 Instructions and authorisation

Where any cashless gaming machine system is operated at any venue, the corporate society must ensure that:

- (a) user manuals or operating instructions for the cashless gaming machine system are available at the venue; and
- (b) only authorised venue personnel perform any operating requirements in respect of the system.

15.2 System generated reports and back-up of system data

- (1) Where any cashless gaming machine system is operated at any venue, the corporate society and the venue manager must ensure that:
 - (a) player transaction activity, till balance, daily clearance reconciliation and any other system-generated reports required by the Secretary are printed out on a daily basis; and
 - (b) the printouts are retained in a secure area at the venue for a period of 14 days following the completion of the relevant reports; and
 - (c) a back-up of system data, including player account and gaming machine activity, is made daily, using an industry standard process and media.
- (2) The venue manager must ensure that the back-up required under Rule 15.2(1)(c) is retained away from the venue for the time period specified in the applicable regulations.

15.3 Malfunctions

- (1) The venue manager must ensure that any malfunctions of cashless gaming machine systems are recorded in a faults register as they occur or are detected.
- (2) Where a malfunction of a cashless gaming machine system has potential to impact upon the operation or integrity of gambling equipment to which the system is connected, Rules 14.3 to 14.5 apply with any necessary modifications.
- (3) The venue manager must ensure that the faults register is kept at the venue for inspection.

15.4 Weekly reconciliation

- (1) The venue manager at any venue operating a cashless gaming machine system must complete a weekly reconciliation of system data, banknote input data and cash removal by means of the Weekly Venue Activity (Venue Level) Report.
- (2) The venue manager must ensure that any system-generated weekly log is printed and retained for the time period specified in the applicable regulations.

16.0 Player disputes

16.1 Short pays less than \$20

- (1) Subject to Rule 16.1(3), when a player claims a gaming machine has failed to deliver the required amount of coins after pressing the collect button and the amount is less than \$20, a venue staff member may, without further investigation, pay the player the difference from the cash float.
- (2) When a payment is made under Rule 16.1(1), the venue staff member must:
 - (a) record the details of the payment on the Cancelled Credit, Short Pays and Refills Report; and
 - (b) obtain the player's name and signature.
- (3) Despite Rule 16.1(1), if:
 - (a) a short pay amount claimed is less than \$20, and
 - (b) one of more of the following applies:
 - (i) a short pay is claimed more than once in relation to a single machine in any calendar month; or
 - (ii) the venue staff member –
 - (A) has reason to believe that there is a fault with the gaming machine; or
 - (B) has any other good reason to believe that a short pay correction payment should not be made immediately

the procedure prescribed in Rule 16.2 must be followed as if the short pay claim was for an amount of \$20 or more.

16.2 Short pays of \$20 or more

Where a short pay claim is \$20 or more, the venue staff member must: -

- (a) complete a Gambling Equipment Fault/Player Dispute Report in respect of the claim; and
- (b) if the short pay is believed to be due to a gaming machine fault or malfunction other than an isolated occurrence, immediately switch the gaming machine off; and
- (c) conduct an investigation in accordance with Rule 16.3(2); and
- (d) inform the player of the result of any investigation under Rule 16.3 or Rule 16.4, and if applicable, pay any outstanding amount to the player from the gaming machine float; and

- (e) record any such payment at the time it is made on the Cancelled Credit, Short Pays and Refills Report for the gaming machine in question, ensuring that the player's name and signature are obtained.

16.3 Short pay optional investigation

- (1) Without limiting Rule 16.2, the venue staff member may conduct an investigation in order to verify a short pay claim.
- (2) If an investigation is performed under Rule 16.3(1), the following data must be considered:
 - (a) "coins in" meter readings (specifically the opening and closing readings and the difference between the two);
 - (b) "coins out" meter readings (specifically the opening and closing readings and the difference between the two);
 - (c) "hopper refill" meter readings (specifically the opening and closing readings and the difference between the two);
 - (d) cash box meter readings (specifically the opening and closing readings and the difference between the two);
 - (e) a physical count of coins contained in the hopper; and
 - (f) a physical count of coins contained in the cash box.

16.4 Short pay compulsory investigation (suspected malfunctions)

Where a venue staff member receives notification of a short pay claim pursuant to Rule 16.2, they must without delay take the following steps as applicable in the circumstances of the claim:

- (a) check the pay table of the gaming machine or jackpot display and compare it with the result if any, displayed; and
- (b) note the details of the display of the relevant gaming machine, including in particular what the player credit meter is showing and which pay lines are lit or activated, and check the apparent result against the pay table; and
- (c) check the gambling equipment for any error messages or indications of a lock up or fault condition and if there are any, action them in accordance with the manufacturer's recommended procedures; and
- (d) check for any indications of tampering with the gambling equipment; and
- (e) where the dispute relates to a gaming machine and that machine has a facility to replay the last game or several previous games, operate this facility to confirm the result(s) and amount(s) payable of the game or games in question; and
- (f) if the dispute relates to a linked jackpot system which is able to produce a computerised history file, review this file; and
- (g) if the dispute relates to a cashless gaming machine system and the system has the ability to trace card transactions through computer records, review these records.

16.5 Further action by venue staff member

- (1) If a player dispute notified and attended to pursuant to Rules 16.1(3), 16.2 or 16.4 is not capable of immediate resolution, the venue staff member must immediately carry out any preliminary enquiries that may be practicable in the circumstances including, but not restricted to:
 - (a) recording the name and contact details of the player making the claim, together with those of any witnesses to the incident, on a Gambling Equipment Fault/Player Dispute Report; and
 - (b) recording full details of the nature of the dispute, including date and time; and
 - (c) interviewing any witnesses or collecting any relevant information; and
 - (d) reviewing video surveillance if available, and saving a record of the surveillance.
- (2) Where a suspected equipment fault or malfunction is indicated or suspected, the venue manager or person in charge of the gambling operation must:
 - (a) record the display currently showing on the gaming machine or jackpot display and any last game details (where available); and
 - (b) switch off and remove the gaming machine or gambling equipment from service and put an out of order notice on it; and
 - (c) arrange for a person contracted to service gambling equipment to examine the gaming machine or gambling equipment as soon as practicable.
- (3) In each of the above cases, the venue manager or person in charge must:
 - (a) notify the corporate society of the matter; and
 - (b) advise the player they will be notified of the outcome of the investigation; and
 - (c) where applicable, complete an Unpaid Prize Report.

17.0 Unpaid prizes, money found inside gaming machines

17.1 Unpaid prizes

The venue manager and the corporate society must ensure that any unpaid prizes arising for any reason are:

- (a) recorded on an Unpaid Prize Report; and
- (b) shown as unpaid prizes on any applicable reports; and
- (c) are consequently treated as gaming machine profits.

17.2 Credits on vacant machine

- (1) Venue staff members must not use or play unclaimed credits in any circumstances.
- (2) A venue staff member must ensure that, where any gaming machine player credit meter does not read zero and the gaming machine is not in use, and the player entitled to the credits cannot be located or identified:
 - (a) if the credits are less than the value of the lowest denomination of coin accepted by the gaming machine, the credits are left on the machine for the benefit of the next player unless it is not practicable to do so, in which case the cancelled credit procedure must be followed but the completion of an Unpaid Prize Report is not required; or

- (b) if the credits exceed the value of the lowest denomination of coin that can be accepted by the gaming machine, the venue staff member must:
 - (i) press the collect button and remove the cash from the gaming machine; and
 - (ii) record the removal of the unpaid cash on an Unpaid Prize Report; and
 - (iii) retain the unpaid cash at the venue for a period of 7 days unless claimed earlier.
- (3) Where practicable, the process under Rule 17.2(2)(b) of recording the unpaid cash must be witnessed by another person.
- (4) If the process in Rule 17.2(2)(b) is followed, but the unpaid cash is not claimed within 7 days, the venue manager must:
 - (a) record the cash as an unpaid prize and;
 - (b) notify the corporate society; and
 - (c) bank the cash as gaming machine profits.
- (5) On receiving a notification under Rule 17.2(4)(b), the corporate society must make a record of the unpaid cash and make the necessary adjustment to the calculation of the gaming machine profits for the relevant period.

17.3 Loose coins

- (1) If loose coins are found inside the main body of any gaming machine, the venue staff member must place the loose coins into the hopper or cash box.
- (2) If loose coins are found inside the cash box compartment of a gaming machine, the venue staff member must place the loose coins into the dedicated cash box container.

17.4 Loose bank notes

- (1) If loose bank notes are found inside a gaming machine, the venue staff member must immediately:
 - (a) carry out a count of notes held in the bank note acceptor; and
 - (b) compare that count with the relevant “bank notes in” meter or any other data recorded by the gaming machine as to number and denomination of bank notes accepted; and
 - (c) complete a Gambling Equipment Fault/Player Dispute Report; and
 - (d) switch off the gaming machine and remove it from play until it has been examined by a person contracted to service gambling equipment.
- (2) If:
 - (a) the owner of the loose bank notes (not being the corporate society or the venue operator) cannot be determined; or
 - (b) the note is of a different denomination to that accepted by the gaming machine;
 the venue manager must ensure the finding of the bank note is recorded for the particular machine, and make any necessary adjustment to gaming machine profits as a result of the finding of the note.

18.0 EMS-specific requirements

18.1 General

The venue manager must ensure that all EMS-related processes are carried out in accordance with the appropriate current user manual(s) and documentation as provided by the monitor and published on the EMS web site.

18.2 Action on notification of potential faults or security breaches

On receiving a report about a potential fault or security breach in a gaming machine or other class 4 gambling equipment, a venue staff member must:

- (a) immediately inform the EMS Service Desk; and
- (b) where the potential fault or security breach involves monitoring equipment provided by the corporate society, immediately inform the corporate society; and
- (c) where the potential fault or security breach involves monitoring equipment supplied by any other party, immediately inform that party; and
- (d) comply with any instructions issued by the monitor or corporate society; and
- (e) if not already completed, record all relevant details on a Gambling Equipment Fault/Player Dispute Report.

18.3 Responsibility for investigating faults and defective equipment

The following persons must investigate and correct any error, defect, fault condition or malfunction of any electronic monitoring equipment:

- (a) the monitor, in respect of components of electronic monitoring equipment that it provides; and
- (b) the corporate society, in respect of any components of electronic monitoring equipment that it provides; and
- (c) the party owning or providing any component of electronic monitoring equipment, in any other case.

Part 3: Rules relating to corporate societies

19.0 Records

19.1 *Records of certain persons to be kept*

- (1) Corporate societies must maintain a complete and up to date record of the details of:
 - (a) all key persons in relation to the society's class 4 operator's licence; and
 - (b) all venue operators and all individuals with significant influence in the management and operation of a venue operator at all class 4 venues that the society holds a class 4 venue licence for; and
 - (c) all venue managers at all class 4 venues that the society holds a class 4 venue licence for; and
 - (d) all service providers authorised by the corporate society to have access to logic compartments of gaming machines or gambling equipment that it operates at class 4 venues; and
 - (e) all persons authorised by the corporate society to have access to EMS reports generated in respect of that society or any venue in which it operates.
- (2) Corporate societies must ensure that all service providers authorised by the corporate society to have access to the logic compartments of gaming machines or gaming equipment keep a list of all persons who service gambling equipment at the society's class 4 venues.

19.2 *Player disputes*

All corporate societies must ensure:

- (a) full records including, but not limited to, Gambling Equipment Fault/Player Dispute Reports and Unpaid Prize Reports, are kept of all player disputes that are not capable of immediate resolution; and
- (b) appropriate steps are taken to investigate any player disputes that are not capable of immediate resolution; and
- (b) the player concerned in any dispute is notified of the progress and result of the investigation and, if appropriate, paid any amount outstanding.

20.0 Technical obligations

20.1 *Adjustments to recorded data*

- (1) Adjustments to data recorded by the EMS may only be performed and authorised by the relevant corporate society.
- (2) Where any adjustment to EMS recorded data is required, the relevant corporate society must follow the procedure set out in the user manual available on the EMS website.
- (3) The corporate society must carry out any adjustments for unpaid prizes by adjusting the reported gaming machine profits amount, and not by adjusting gambling equipment meter values.

- (4) The corporate society must ensure there is a clear audit trail to verify any adjustments approved, and the reasons for it.
- (5) For the purposes of Rule 20.1(4), a clear audit trail may include any Gambling Equipment Fault/Player Dispute Reports, Unpaid Prize Reports and any other relevant documents, records or notes.

20.2 Jackpot identification

Where a jackpot system is operated, the corporate society must keep an accurate and up-to date record of the serial number of each gaming machine connected to the jackpot system and the corresponding jackpot controller port identification number allocated to that gaming machine.

20.3 Installation, servicing or decommissioning of gaming machines

Where the installation, servicing, repair, removal from service or decommissioning of any gambling equipment connected to the EMS either involves the RAM clear of gambling equipment software, or impacts upon communication with, or data collected by the EMS, the corporate society must:

- (a) inform the Secretary and EMS Service Desk before any installation, servicing, repair, removal from service or decommissioning takes place; and
- (b) request the monitor to initiate unscheduled polling of the affected gambling equipment before and, where applicable, after the event; and
- (c) ensure the affected gambling equipment is not played until the monitor has confirmed successful data capture; and
- (d) before carrying out the above actions, ensure that all cash from the hopper, bank note acceptor, and cash box of the gaming machine is counted/weighed and that every relevant meter reading and cash amount is recorded.

20.4 Installation of jackpot systems

Where any jackpot system is installed, the corporate society must ensure that, before the system is put into operation:

- (a) all relevant meter readings, including jackpot meter readings and start-up values, are recorded; and
- (b) jackpot identification numbers that correspond to the jackpot controller port numbers are affixed to all jackpot connected gaming machines, or electronically displayed on the machines in such a manner they are clearly visible to players of the individual machines.

20.5 Jackpot player instruction notice

- (1) Where any jackpot system is installed, the corporate society must ensure that a player instruction notice is displayed in the gambling area showing the following information:
 - (a) the minimum start-up value of each jackpot level; and
 - (b) the maximum prize that can be won at each jackpot level; and
 - (c) the increment rate of the jackpot pool, expressed as a percentage of gaming machine turnover; and

- (d) how to identify which machines are connected to the jackpot; and
 - (e) how to identify any jackpot wins awarded to a particular machine during play; and
 - (f) a warning to a player not to leave any jackpot-connected machine for a period of at least 60 seconds after play has ceased on that machine, and not before the player has checked the jackpot display for any wins awarded after the cessation of play; and
 - (g) a statement that a malfunction of the jackpot system may void all jackpot pays and plays.
- (2) For the purpose of the message required under Rule 20.5(1)(d), it is sufficient if the jackpot identification number clearly identifies to players that a gaming machine is connected to the jackpot system.

20.6 Servicing of gaming machines or jackpot systems

- (1) Where any gaming machine or jackpot system is to be serviced, involving either a RAM clear or replacement of a jackpot controller, the corporate society must ensure:
- (a) all relevant meter readings and/or jackpot data are recorded; and
 - (b) all cash from the hopper, bank note acceptor and cash box of any affected gaming machine, is counted/weighed and recorded; and
 - (c) the relevant reports are endorsed “Final readings” and dated; and
 - (d) all relevant opening meter readings or jackpot data are recorded.
- (2) When any testing of gambling equipment is carried out the person contracted to service the gambling equipment must:
- (a) record any meter movements generated by the testing, except where:
 - (i) the meter movement applies to coin or bank note acceptors where no game play is involved; and
 - (ii) the metered differences correspond with cash transactions; and
 - (b) provide a copy of the record described in Rule 20.6(2)(a)(i) to the venue staff member as soon as the testing is complete; and
 - (c) where testing impacts on the prize pool of a linked jackpot system, after the test reset the jackpot system and reinstate the jackpot pool value to the value shown prior to the test; and
 - (d) report any money used for the purpose of testing to the corporate society, so the proper adjustment to gaming machine profits can be made; and
- (3) The corporate society must ensure that no prize won in the course of testing is to be paid out to any person.
- (4) Where any testing results in the award of a prize which is registered as such by gambling equipment meters that are not subsequently reset, the corporate society must treat any amount awarded as an unpaid prize.

20.7 Change, replacement, or decommissioning of jackpot systems

- (1) Where parameters of a jackpot system are to be changed, replaced by another system, or decommissioned entirely, the corporate society must ensure:

- (a) prior to switching off the jackpot controller, a download of current jackpot files to the venue PC must be requested, or if unavailable, an accurate record of all current jackpot data (including the jackpot controller turnover meter value) must be made and the records retained; and
 - (b) the current jackpot pool values are transferred to the new system or configuration (if any); and
 - (c) where the new jackpot or parameter set has fewer levels:
 - (i) subject to sub-paragraph (iii), the major or highest jackpot pool value is, wherever practicable, transferred to the new system or configuration; and
 - (ii) subsidiary levels are distributed as appropriate to the new lower levels, or if no lower levels exist in the new system, combined with the major pool; and
 - (iii) the pool values transferred to the new major or higher level are not close to the maximum value of that level if it has been lowered and in any case do not amount to a greater value than 80% of the new maximum level; and
 - (iv) the combined pool values available to be won must not exceed the maximum prize limit for jackpots; and
 - (d) where a transfer to a new system or configuration is not possible or the system is to be decommissioned, the current major jackpot pool is played out before the replacement or de-commissioning takes place; and
 - (e) all required reports for the jackpot system are either commenced or terminated with the opening or closing meter readings and jackpot display pool values, as the case may be, and are endorsed by the gambling equipment service contractor.
- (2) Where it is not possible to play out the current major jackpot pool before replacement or decommissioning takes place, the venue manager must prominently display within the venue's gaming area a notice of the intention to change, replace or decommission the jackpot system.
- (3) The notice required under Rule 20.7(2) must be displayed for at least 24 hours before the replacement or decommissioning takes place.

Note: It may not be possible to fully reconcile jackpot reports generated before and after a jackpot controller shut down.

20.8 Installation or decommissioning of cashless systems

Where any cashless gaming machine system is either installed or decommissioned, the corporate society must ensure:

- (a) prior to the installation or decommission, all gaming machine accounting reports required by these Rules as applicable to the system previously in operation are completed and endorsed "Final readings" with the date; and
- (b) where a cashless gaming machine system is being installed, prior to the installation all cash, including hopper contents, is cleared from any machines that are to be connected to the cashless system and recorded on the relevant gaming machine accounting reports; and

- (c) all gaming machine accounting reports applicable to the new or changed system are commenced with opening meter readings recorded immediately before the system is put into operation.

21.0 Irregularities

21.1 *Discrepancies or anomalies*

Where any discrepancy or anomaly is detected in relation to a gaming machine, linked jackpot system or cashless gaming machine system that involves \$20 or more, the corporate society must ensure:

- (a) the matter is investigated with a view to establishing the cause; and
- (b) all reasonable steps are taken to remedy the problem and prevent a recurrence; and
- (c) all investigations are fully documented; and
- (d) records are kept with the relevant gaming machine accounting reports.

21.2 *Investigation*

Where an investigation reveals an attempt to interfere with the operation of the gambling equipment, the corporate society must:

- (a) ensure the potentially affected gambling equipment at the venue is taken out of service until it has been checked and verified by the manufacturer or distributor, or by a person authorised on their behalf as conforming to the approval issued for that equipment; and
- (b) notify the Secretary of the circumstances and action taken.

21.3 *Payment of deferred prizes*

Where a corporate society is satisfied that a payment in respect of any unpaid prize should be made to a player, the corporate society must then make the payment.

21.4 *Refunds received*

Where a person is ordered by a court or tribunal to refund money won in the course of class 4 gambling, or to pay or repay money relating to gaming machine profits, the corporate society must:

- (a) record the details of such an order; and
- (b) upon receipt of any sum ordered to be refunded, paid or repaid to the corporate society, record the receipt of such money and treat it as if it were gaming machine profits of class 4 gambling.

22.0 Reporting requirements

22.1 *Matters to be reported to the Secretary*

Every corporate society must immediately report to the Secretary:

- (a) any malfunction of gambling equipment that has potential to compromise the operational integrity of the equipment, cause loss to players or corporate society, or may be a systemic fault or failing; and
- (b) any incident of theft, burglary, robbery or other event that impacts upon the ability of a venue to comply with banking requirements under section 104 of the Act, regulations, game rules or licence conditions; and
- (c) any potential breach of security that affects electronic monitoring equipment located at a venue.

Part 4: Rules for De-Centralised Off-Line Cash-In-Ticket-Out systems

23.0 Instructions and authorisations

Where any De-Centralised Off-Line Cash-In-Ticket-Out (DOCITO) system is operated at a venue, the corporate society must ensure that:

- (a) user manuals or operating instructions and procedures are available at the venue; and
- (b) only authorised venue personnel perform any system operation or ticket payment requirements; and
- (c) clear instructions by which a player with an unpaid ticket older than 7 days but within 3 months of the date of issue of a ticket can, on application to the venue Corporate Society, require the ticket value to be paid to the player. Note the date of application can be a date not greater than 3 months from the date of issue.

24.0 Player notices

There must be sufficient information displayed to the player by a notice affixed to the gaming machine or prominently displayed in the gaming machine play area advising the following:

- (a) the procedures described in Technical Standard Section 7; and
- (b) when the collect button is pressed, the gaming machine will ONLY pay out available credits under \$999 by means of a printed ticket; and
- (c) if the gaming machine has credits greater than this amount then payment will be made by Cancelled Credit; and
- (d) there may be a delay of a few seconds and up to a few minutes, depending on the amount of credits on the gaming machine, before a ticket is printed; and
- (e) if a ticket is not printed then a malfunction has occurred and the gaming machine attendant should be called for assistance.

25.0 Malfunctions

- (1) The venue manager must ensure that a faults register is kept at the venue.

- (2) The venue manager must ensure that any malfunction of a DOCITO system is recorded in the faults register as it occurs or is detected.

26.0 Player disputes

Where a player claims that a ticket has not been printed or is lost then the procedures as required under the section Player Disputes Rules 16.1 – 16.4 must be followed. However, if the issue is with the ticket printer device, a reconciliation of the ticket printer device as detailed in Rule 27.0 below must be completed.

27.0 Daily/weekly reconciliation

- (1) Prior to the opening of a venue for play on any day, the venue manager must complete a reconciliation of a venue's Coins Out Meter Total with the value of tickets redeemed.
- (2) Where the balance of Coins Out – Total Value of tickets Redeemed is not zero the venue manager must ascertain if the balance is due to tickets older than seven days not having been redeemed.

If the balance is due to unpaid tickets older than seven days the venue manager must:

- (a) Record the amount of unpaid tickets by gaming machine serial number/ID; and
 - (b) Notify the corporate society; and
 - (c) Bank the unpaid ticket amount as gaming machine profits.
- (3) On receiving a notification under Rule 27.0(2)(b), the corporate society must make a record of the unpaid tickets and make the necessary calculation of the gaming machine profits for the relevant period.
 - (4) If the ticket is redeemed within three months of the date of issue then any payment made will be an adjustment to gaming machine profits for the period in which the ticket was paid.

28.0 Loose or unclaimed tickets

If the owner of a loose or unclaimed ticket (not being the corporate society or the venue operator) cannot be determined, the venue manager must ensure the ticket is recorded for the particular gaming machine and treat the ticket as an unpaid ticket under Rule 27.0(3).

29.0 Ticket with a value \$999 or greater

A ticket for a value of \$999 or greater must not be accepted by venue staff as valid and must not be redeemed by the Cashier's Terminal or a redemption terminal. Such a ticket should be considered as a 'missing ticket' and payment withheld until such time as the ticket can be verified by the service support staff and authorised for payment by the Corporate Society.

The gaming machine that issued the ticket should be disabled and prevented from further play until correct ticket operation is verified by service support staff.