

Self-assessment checklist

*Gaming venue Responsible Gambling Codes of Conduct
& Self-Exclusion Programs*

A VCGR Responsible Gambling resource

Version 1 – May 2010



Victorian Commission
for Gambling Regulation

Use of this checklist

This checklist has been developed by the Victorian Commission for Gambling Regulation (VCGR) to assist gaming venues to understand and comply with the requirements of their Responsible Gambling Code of Conduct (Code) and Self-Exclusion Program (SEP).

The checklist is not mandatory. It is intended as an educative tool only, for use at the discretion of gaming venues, and does not replace any obligations contained in your venue's approved Code/SEP.

Any specific queries regarding your venue's Code/SEP should be directed to the relevant industry representative body for your Code or your SEP administrator.

It is suggested that:

- the checklist should be completed every six months by a person who has responsibility for the day-to-day management and implementation of your Code/SEP at your venue
- the completed checklist be reviewed and acknowledged by a senior representative of your venue such as the venue nominee or a director/committee member
- a copy of the checklist be maintained with the venue's Responsible Gambling Incident Register/Folder.

You are not required to return this checklist to the VCGR.

Venues with TAB facilities should contact the wagering operator for advice on TAB compliance matters.

Additional copies of the checklist can be obtained from the VCGR's website at www.vcgr.vic.gov.au/responsiblegambling/publications

Anyone representing your venue or organisation with questions regarding this resource should contact the VCGR's Responsible Gambling Project Team by phone (03) 9651 3112 or email responsible.gambling@vcgr.vic.gov.au

Disclaimer

The Victorian Commission for Gambling Regulation has responsibilities in relation to several pieces of legislation and associated regulations.

This resource is designed as an educative tool and offers a summary only of some of the more common topics associated with Responsible Gambling that are dealt with under the *Gambling Regulation Act 2003* and the *Casino Control Act 1991*.

The information provided in this resource is general in nature and is not meant to replace the information contained in the relevant pieces of legislation.

For more information, including the Ministerial Directions and the VCGR's Criteria and Benchmarks on Responsible Gambling Codes of Conduct and Self-Exclusion Programs, refer to the Responsible Gambling section of the VCGR website at www.vcgr.vic.gov.au/responsiblegambling

For more information on Responsible Gambling Codes of Conduct and Self-Exclusion Programs, contact the Responsible Gambling Project Team at the Victorian Commission for Gambling Regulation on (03) 9651 3112, or email responsible.gambling@vcgr.vic.gov.au

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Venue details

Venue name: _____

Code adopted:

- Tatts/Tabcorp Generic Code (Code 1)
- Australian Leisure and Hospitality (ALH) Group Ltd (Code 2)
- Clubs Victoria Inc. (ClubsVIC) (Code 3)
- Returned and Services League of Australia (Victorian Branch) Inc. (Code 4)

Self-Exclusion Program adopted:

- Australian Hotels Association (AHA) – Victoria (SEP 1)
- The ClubsVIC Self-Exclusion Program (SEP 2)

Assessment conducted by:

Name: _____

Position: _____

Signature: _____

Assessment date: _____

Acknowledged by:

Venue operator/Nominee/Other designated person

Name: _____

Signature: _____

Date: _____

and/or

Director/Committee member

Name: _____

Signature: _____

Date: _____

Responsible Gambling message		
1	<p>Is the venue's responsible gambling commitment message prominently displayed in the gaming room? (e.g. at all entrance points)</p> <p>If No, what action will be taken? <input type="text"/></p> <p><input type="text"/></p> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	<p>Is the venue's responsible gambling commitment message displayed at all Club Keno sale locations within the venue?</p> <p>If No, what action will be taken? <input type="text"/></p> <p><input type="text"/></p> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable
Availability of the Code of Conduct (Code)		
3	<p>Is a copy of the Code available in written form at the venue?</p> <p>If No, what action will be taken? <input type="text"/></p> <p><input type="text"/></p> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
4	<p>Is a copy of the Code available in major community languages? (e.g. on your venue's website and/or via a link to the website of your relevant industry body)</p> <p>If No, what action will be taken? <input type="text"/></p> <p><input type="text"/></p> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
5	<p>Has the venue established procedures to inform customers that the Code is available? (e.g. a relevant sign at the gaming room entrance and/or at the cashier's station in the gaming room)</p> <p>If No, what action will be taken? <input type="text"/></p> <p><input type="text"/></p> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
6	<p>Has the venue established procedures to ensure that a copy of the Code can be provided to customers upon request?</p> <p>If No, what action will be taken? <input type="text"/></p> <p><input type="text"/></p> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
7	<p>Has the venue established any in-house procedures in the event that the Code is updated or amended? (e.g. to ensure that any existing versions of the Code are replaced with the updated version and/or to ensure that relevant staff are made aware of the nature of any changes)</p> <p>If No, what action will be taken? <input type="text"/></p> <p><input type="text"/></p> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

Self-assessment checklist: Gaming venue Responsible Gambling Codes and SEPs

Responsible Gambling information		
8	<p>Does the venue make responsible gambling information available (e.g. brochures and posters) as required under your Code? (Please refer to your Code for details of the specific requirements which apply to your venue.)</p> <p>If No, what action will be taken? <input type="text"/></p> <p><input type="text"/></p> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
9	<p>Does the venue make information available to customers regarding the Commonwealth Government's Understanding Money website (www.understandingmoney.gov.au)?</p> <p>If Yes, how? <input type="text"/></p> <p><input type="text"/></p> <p>If No, what action will be taken? <input type="text"/></p> <p><input type="text"/></p> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
10	<p>Does the venue make information available to customers regarding the State Government's Problem Gambling Support website (www.problemgambling.vic.gov.au)?</p> <p>If Yes, how? <input type="text"/></p> <p><input type="text"/></p> <p>If No, what action will be taken? <input type="text"/></p> <p><input type="text"/></p> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Gambling product information		
11	<p>Does the venue make information available on to how to use the Player Information Display (PID) screens on gaming machines? (e.g. have gaming staff been provided with training on how to operate PID screens and/or are PID brochures available in the gaming room?)</p> <p>If No, what action will be taken? <input type="text"/></p> <p><input type="text"/></p> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
12	<p>Are Club Keno Game Rules available at all Club Keno sale locations within the venue?</p> <p>If No, what action will be taken? <input type="text"/></p> <p><input type="text"/></p> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable
13	<p>Are Club Keno Game Guides, including how-to-play instructions, available at all Club Keno sale locations within the venue?</p> <p>If No, what action will be taken? <input type="text"/></p> <p><input type="text"/></p> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable

Self-assessment checklist: Gaming venue Responsible Gambling Codes and SEPs

Pre-commitment strategy		
14	<p>Does the venue make information available (e.g. brochures and posters) recommending that customers set limits on their gambling expenditure?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> By when? <input type="text"/> By whom? <input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
15	<p>Does the venue make information available (e.g. brochures and posters) regarding the triggers which can lead to overspending on gambling?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> By when? <input type="text"/> By whom? <input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Interaction with customers		
16	<p>Has the venue appointed a Responsible Gambling Officer or other Nominated Person who can provide information about responsible gambling and the operation of the Code to customers?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> By when? <input type="text"/> By whom? <input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
17	<p>Is a Responsible Gambling Officer/Nominated Person on duty at all times that the gaming area is open to the public?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> By when? <input type="text"/> By whom? <input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
18	<p>Have gaming staff been provided with relevant training to assist them to identify indicators of behaviour that may be related to a gambling problem?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> By when? <input type="text"/> By whom? <input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
19	<p>Does the venue maintain a Responsible Gambling Incident Register?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> By when? <input type="text"/> By whom? <input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
20	<p>Has the venue established procedures to ensure that all responsible gambling related incidents are recorded in the Responsible Gambling Incident Register?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> By when? <input type="text"/> By whom? <input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No

21	<p>Does the Responsible Gambling Incident Register have provision to record all of the following information?</p> <ul style="list-style-type: none"> ➤ The date and time of the incident ➤ The name(s) of the staff member(s) involved ➤ The name of the customer involved (if available) ➤ An outline or overview of the incident ➤ Action taken by staff <p>If No, what action will be taken? <input style="width: 100%;" type="text"/></p> <p><input style="width: 100%;" type="text"/></p> <p>By when? <input style="width: 20%;" type="text"/> By whom? <input style="width: 60%;" type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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Interaction with staff

22	<p>Does the venue have a policy regarding whether staff are permitted to play gaming machines at the venue?</p> <p>If No, what action will be taken? <input style="width: 100%;" type="text"/></p> <p><input style="width: 100%;" type="text"/></p> <p>By when? <input style="width: 20%;" type="text"/> By whom? <input style="width: 60%;" type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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23	<p>In addition to the responsible gambling training that staff are required to complete as a part of obtaining and maintaining a Gaming Industry Employee's Licence, does the venue arrange any further responsible gambling training sessions for staff? (e.g. professional development sessions conducted by a local gambling support service provider or another relevant organisation)</p> <p>If Yes, on what date was a session last conducted? <input style="width: 100%;" type="text"/></p> <p>If No, what action will be taken? <input style="width: 100%;" type="text"/></p> <p><input style="width: 100%;" type="text"/></p> <p>By when? <input style="width: 20%;" type="text"/> By whom? <input style="width: 60%;" type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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24	<p>Does the venue provide all new gaming staff with information about responsible gambling, including the availability of responsible gambling support services, as part of their induction package?</p> <p>If No, what action will be taken? <input style="width: 100%;" type="text"/></p> <p><input style="width: 100%;" type="text"/></p> <p>By when? <input style="width: 20%;" type="text"/> By whom? <input style="width: 60%;" type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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Interaction with problem gambling support services

25	<p>Do senior venue personnel (e.g. venue management, board members) meet regularly with representatives of the local gambling support service provider?</p> <p>If Yes, how many meetings have been conducted within the last 12 months and when did these meetings take place?</p> <p><input style="width: 100%;" type="text"/></p> <p><input style="width: 100%;" type="text"/></p> <p>If No, what action will be taken? <input style="width: 100%;" type="text"/></p> <p><input style="width: 100%;" type="text"/></p> <p>By when? <input style="width: 20%;" type="text"/> By whom? <input style="width: 60%;" type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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26	<p>Are details of all contacts with the local gambling support service provider recorded in the Responsible Gambling Folder?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Customer complaints		
27	<p>Does the venue have a process in place to resolve complaints from customers about compliance with, and the operation of, the Code?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
28	<p>Does the complaints process include information regarding all of the following matters?</p> <ul style="list-style-type: none"> ✔ How a complaint can be made ✔ The process for resolution of a complaint ✔ The process to seek an independent review of a decision ✔ How information about complaints is collected and retained <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Prohibition on gambling by minors		
29	<p>Does the venue have signs located at all gaming room entrances advising of the prohibition on minors entering the gaming room?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
30	<p>Have all gaming staff been instructed regarding the accepted forms of proof-of-age identification?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
The gambling environment		
31	<p>Are clocks located in all major areas of the venue?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

Self-assessment checklist: Gaming venue Responsible Gambling Codes and SEPs

32	<p>Are gaming staff instructed to mention the time when making announcements about venue activities?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> By when? <input type="text"/> By whom? <input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Financial transactions		
33	<p>Has a process been established to advise customers of the venue's policy on cashing cheques? (e.g. is a sign displayed at the cashier's station in the gaming room advising customers of venue policy?)</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> By when? <input type="text"/> By whom? <input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
34	<p>Does the venue maintain a Prize Payment Register?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> By when? <input type="text"/> By whom? <input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Responsible advertising and promotions		
35	<p>Does the venue have a process in place to ensure that all in-house advertising and promotional materials will:</p> <ul style="list-style-type: none"> ➤ not be false, misleading or deceptive about odds, prizes or the chances of winning? ➤ have the consent of any person identified as winning a prize prior to publication? ➤ not be offensive or indecent in nature? ➤ not create an impression that gambling is a reasonable strategy for financial betterment? ➤ not promote the consumption of alcohol while purchasing gambling products? ➤ comply with relevant legislative requirements and the Australian Association of National Advertisers Code of Ethics? <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> By when? <input type="text"/> By whom? <input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Implementation of the Code		
36	<p>Does the venue provide all new gaming staff with a copy of the Code, and training about its purpose, contents and procedures?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <input type="text"/> By when? <input type="text"/> By whom? <input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No

Self-assessment checklist: Gaming venue Responsible Gambling Codes and SEPs

37	<p>Were all existing gaming staff (i.e. staff employed prior to 1 June 2009) provided with training regarding the Code's purpose, contents and procedures?</p> <p>If No, what action will be taken? <input style="width: 400px;" type="text"/></p> <p><input style="width: 400px;" type="text"/></p> <p>By when? <input style="width: 150px;" type="text"/> By whom? <input style="width: 150px;" type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
38	<p>Has the venue established procedures to ensure that staff are provided with information regarding Code obligations on an ongoing basis? (e.g. refresher training, staff briefings)</p> <p>If No, what action will be taken? <input style="width: 400px;" type="text"/></p> <p><input style="width: 400px;" type="text"/></p> <p>By when? <input style="width: 150px;" type="text"/> By whom? <input style="width: 150px;" type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Self-Exclusion Program		
39	<p>Are the personal details and photos of all persons who are currently self-excluded from the venue maintained or displayed in a 'back of house' area?</p> <p>If No, what action will be taken? <input style="width: 400px;" type="text"/></p> <p><input style="width: 400px;" type="text"/></p> <p>By when? <input style="width: 150px;" type="text"/> By whom? <input style="width: 150px;" type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
40	<p>Is the 'back of house' area secure, accessible only by staff and not by members of the public?</p> <p>If No, what action will be taken? <input style="width: 400px;" type="text"/></p> <p><input style="width: 400px;" type="text"/></p> <p>By when? <input style="width: 150px;" type="text"/> By whom? <input style="width: 150px;" type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
41	<p>Has the venue established in-house processes to ensure that the records of all self-excluded persons are kept up to date?</p> <p>If No, what action will be taken? <input style="width: 400px;" type="text"/></p> <p><input style="width: 400px;" type="text"/></p> <p>By when? <input style="width: 150px;" type="text"/> By whom? <input style="width: 150px;" type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
42	<p>If the venue operates a gaming machine related customer loyalty program, has a process been established to ensure that the details of all self-excluded persons are removed from the venue's customer loyalty program database?</p> <p>If No, what action will be taken? <input style="width: 400px;" type="text"/></p> <p><input style="width: 400px;" type="text"/></p> <p>By when? <input style="width: 150px;" type="text"/> By whom? <input style="width: 150px;" type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable
43	<p>Has the venue established in-house processes to assist staff to acquaint/refresh themselves with the personal details and photos of self-excluded persons?</p> <p>If No, what action will be taken? <input style="width: 400px;" type="text"/></p> <p><input style="width: 400px;" type="text"/></p> <p>By when? <input style="width: 150px;" type="text"/> By whom? <input style="width: 150px;" type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

Self-assessment checklist: Gaming venue Responsible Gambling Codes and SEPs

44	<p>Have gaming staff been provided with training regarding both of the following matters?</p> <ul style="list-style-type: none"> ➤ How to provide help or facilitate help for persons seeking information about self-exclusion or wishing to self-exclude ➤ How to identify self-excluded persons in the gaming room <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
45	<p>Has the venue established in-house processes regarding the steps that should be undertaken to ensure that self-excluded persons do not enter or remain in gaming machine areas?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
46	<p>Has the venue established in-house processes regarding the roles of staff in approaching/interacting with suspected self-excluded persons?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
47	<p>Has the venue established in-house processes to ensure that all breaches are recorded in the self-exclusion section of the venue's Responsible Gambling Incident Register?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
48	<p>Are relevant staff aware of how to access the web-based self-exclusion database (SEGO) maintained by the program administrator? (i.e. AHA or ClubsVIC)</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
49	<p>Has the venue established a process to ensure that relevant staff are advised when a person revokes their self-exclusion order or when a period of self-exclusion has expired?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
50	<p>Has the venue established a process to ensure the secure destruction of records for any person who has revoked a decision to self-exclude or whose period of self-exclusion has expired?</p> <p>If No, what action will be taken? <input type="text"/></p> <input type="text"/> <p>By when? <input type="text"/> By whom? <input type="text"/></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

Level 5, 35 Spring Street
Melbourne Victoria 3000
Australia
PO Box 1988, Melbourne
Victoria 3001 Australia
Telephone 61 3 9651 3333
Facsimile 61 3 9651 3777
www.vcgr.vic.gov.au