

self-assessment checklist

The Department of Internal Affairs (the Department) has prepared the following checklist to provide clubs and societies with a tool to undertake a "self-assessment" of their compliance with the current Gaming Machine Licence Conditions.

Although not compulsory, we consider the proactive use of this self-assessment checklist by gaming machine societies to represent good operational practice. We encourage you to use it.

The checklist provides you with an opportunity to address any areas of concern that might be highlighted by the completion of the form, and to make necessary changes to your gaming machine operation in order to comply with current licence conditions.

The completed self-assessment should be retained by the society and used for follow-up action and training purposes as required.

If, following completion of the checklist, you would like to receive feedback or advice on any matters, please refer to your regional Gaming Compliance office. Contact details can be found in Part G.

Society Details

Name of Society:

NZGM number:

Address:

Society operates under which Licence Conditions:

Set A Clubs

Set B Public Premises

Completed By

Name

Designation in society

Date

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KEY

Yes	No

Where the response is in a 'shaded' area, record your explanatory notes. Responses in these areas may indicate that changes to your procedures are required.

Reference is made to either the applicable Licence Condition in Set A (clubs) or Set B (public premises), and to the relevant sections of the Gaming Machine Operations Manual (the "Blue Book").

PART A SITES, APPROVALS AND RESPONSIBILITIES

The site(s) at which the society may operate gaming machine equipment is/are shown on the schedule attached to the society's licence.

1 **Site Approval** Licence Condition 14(Set A) and 19(Set B)

Is a current site approval on display at all approved sites in clear public view close to the gaming machines?

Yes	No*
<input type="checkbox"/>	<input checked="" type="checkbox"/>

*If **No**, record reason why

2 **Access to Minors** Licence Condition 15(Set A) or 16(Set B)

Record below what provisions the society has in place to prevent minors from entering the gaming area(s)

3 **Responsible Gambling** Licence Condition 18(Set A) or 23(Set B)

Record below details of the society's Responsible Gambling programme as required by licence conditions

Is there any gambling-related advertising on display?

Yes*	No
<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>

Are there any inducements to play the gaming machines?

*If **Yes**, record details

4 Site Agreement Licence Condition 18(Set B)

(Set B only)

Is a **current** site agreement in place for all sites on which gaming machines are operated?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

Does the agreement cover the **current** licence condition requirements?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

*If **No**, record reason why

5 Location of Gaming Machines Licence Condition 14(Set A) or 15(Set B)

Are all the gaming machines located in a restricted area?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

(If public area) Are all the gaming machines located in a designated area as detailed in the “on” liquor licence?

<input type="checkbox"/>	<input type="checkbox"/>
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*If **No**, record details

6 Access to the Gaming Room(s) Licence Condition 15(Set A) or 16(Set B)

Is there an external access to the gaming room(s)?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

Can this access be readily monitored by site staff with respect to potential access by minors?

<input type="checkbox"/>	<input type="checkbox"/>
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Describe monitoring arrangements in place

7 Access to Grant Application Forms Licence Condition 48(Set B)

(Set B only)

Are grant application forms freely available and located next to the gaming machines at all sites?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

Is society signage displayed in all sites stating its name, contact details, grant application form information and the society's Authorised Purpose statement?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

*If **No**, record reason why

PART B EQUIPMENT

The society shall only operate gaming machine equipment that is owned solely and wholly by the society, is approved by the Department, and is listed on the schedule attached to the licence.

1 Gaming Machine Details *Licence Condition 21(Set A) or 26(Set B)*

How many gaming machines does the society own?

Do the compliance plate details match the society's records?

Yes	No*
<input type="checkbox"/>	<input checked="" type="checkbox"/>

*If **No**, record reason why

2 Record of Equipment *Licence Condition 21(Set A) or 26(Set B)*

Does the society maintain a record of all its gaming machine equipment as detailed in the licence conditions?

Yes	No*
<input type="checkbox"/>	<input checked="" type="checkbox"/>

*If **No**, record reason why

3 Service Agreement(s) *Licence Condition 26(Set A) or 31(Set B)*

Does the society have written service agreements or contracts with all service providers?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

(NB. It is not mandatory to have service agreements.)

Record the name and address of all service provider(s)

4 Gaming Devices *Licence Condition 27(Set A) or 32(Set B)*

Do any gaming devices have known faults or malfunctions?

Yes*	No
<input checked="" type="checkbox"/>	<input type="checkbox"/>

(NB. ALL faults must be rectified by a technician immediately.)

*If **Yes**, record details

5 Jackpot Device *Blue Book 1.4.4*

Does the society operate an approved Jackpot device?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input checked="" type="checkbox"/>

If Yes, is the display visible to all players?

*If **No**, describe location of the display

PART C CASH HANDLING AND RECORD KEEPING

This section deals with the cash handling and accounting for gaming machine profits.

It is the responsibility of the society to ensure that record keeping and cash-handling procedures are performed in accordance with the Gaming Machine Operations Manual (the "Blue Book").

1 Cash Clearance Detail records *Blue Book 2.4*

How often are Cash Clearances carried out?

More than once daily

Daily

Weekly

Monthly*

Other*

Yes
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>

*If **Monthly** or **Other**, record details

2 Weekly Gaming Machine Profit Return (WGMPR) *Blue Book 2.7*

Is a WGMPR completed each week
(for periods of 7 consecutive days or less)?

Yes	No*
<input type="checkbox"/>	<input checked="" type="checkbox"/>

*If **No**, record reason why

3 Monthly Machine Analysis (MMA) *Blue Book 2.8*

Is an MMA completed each month for each machine?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

Do the opening and closing meter readings recorded on the MMAs match those recorded on the WGMPRs covering the same period?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

*If **No**, record why

4 Jackpot Systems reports *Blue Book 2.9*

Are all reports, either daily or weekly, completed for the Jackpot system as required?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

*If **No**, record why

5 Cancelled Credits and Short Pays *Blue Book 2.6*

Are Cancelled Credit forms completed in accordance with the Blue Book?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

Is a separate form used for each gaming machine?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

*If **No**, record why

6 Gaming Machine Float *Licence Condition 34(Set A) or 41(Set B)*

Is the float funded or reimbursed from the gaming machine account?

Yes*	No
<input type="checkbox"/>	<input type="checkbox"/>

*If **Yes**, record details

PART D BANKING

For the purposes of its gaming machine operation, the society shall operate one account, in the name of the society and held in a bank in New Zealand. This account shall be called the "gaming machine account".

1 Bank Account – Gaming Machine *Licence Condition 35(Set A) or 42(Set B)*

Does the society operate a separate bank account used entirely for gaming machine transactions?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

Is this the only account in which gaming machine funds are held?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

*If **No**, record details of any other accounts and their purpose

Are payments from the gaming machine account for either Authorised Purposes or Authorised Expenses only?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

*If **No**, record details

2 Bankings *Licence Condition 33(Set A) or 38(Set B)*

Is the Gaming Machine Profit as calculated on the WGMPRs banked within 5 working days of the end of each weekly period?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

*If **No**, record instances

3 Late Bankings *Licence Condition 39(Set B)*

(Set B only) Are late bankings immediately notified to the Department?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

*If **No**, record why

4 Bank Statements Licence Condition 36(Set A) or 43(Set B)

Are all transactions on the bank statements annotated or recorded on a separate schedule sufficient to clearly identify all transactions?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

*If **No**, record why

PART E EXPENSES/FINANCIAL

The society shall apply gaming machine funds only to expenses that are **actual, reasonable and necessary** to the society's gaming machine operation.

1 Expenses Licence Condition 47(Set A) or 56(Set B)

Are all expenses lawfully incurred and necessary to the gaming machine operation?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

*If **No**, record details

2 Expense Records Licence Condition 48(Set A) or 57(Set B)

Are full and complete records of all expense payments and payments to service providers maintained?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

*If **No**, record why

3 Financial Accounts Licence Condition 37 & 38(Set A) or 44 & 45(Set B)

The society's end of year balance date is:

Is a full set of audited financial accounts prepared at the end of each financial year?

Yes	No*
<input type="checkbox"/>	<input type="checkbox"/>

*If **No**, record why

PART F GRANTS AND AUTHORISED PURPOSES

The society shall pay out the maximum available funds, which shall be at least 33% of total gaming machine profit for each financial year, to authorised purposes.

1 Authorised Purposes *Licence Condition 40(Set A) or 47(Set B)*

	Yes	No*
Are all grants and/or authorised purpose allocations made in accordance with the Authorised Purpose statement on the society’s licence?	<input type="checkbox"/>	<input type="checkbox"/>
*If No , record details		
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2 Grant Applications *Licence Condition 42 & 43(Set A) or 50 & 52(Set B)*

(Set B only)	Yes	No*
Are all community grants considered and approved by a grants committee of at least 3 members?	<input type="checkbox"/>	<input type="checkbox"/>
(Set A only)		
In the case of Set A societies, do adjuncts apply for funding in writing?	<input type="checkbox"/>	<input type="checkbox"/>
Are all applications considered by the committee?	<input type="checkbox"/>	<input type="checkbox"/>
*If No , record details of how funds are dispersed		
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	Yes	No
Is there a process in place to ensure that grants are used for the purpose stated on the application?	<input type="checkbox"/>	<input type="checkbox"/>
If Yes, record details of the process used. If No , record reason why		
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<hr/>		

3 Minimum Return to Authorised Purposes *Licence Condition 40(Set A) or 47(Set B)*

	Yes	No*
Is a minimum of 33% of the gaming machine profit paid to authorised purposes (AP) each year?	<input type="checkbox"/>	<input type="checkbox"/>
What percentage was paid to AP at the society’s last licence renewal?		
*If No , record reasons why		
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PART G EDUCATION

It is important that everyone involved in the gaming sector is given the opportunity to receive all information and associated education available.

1 Self-Assessment

If you have identified any issues that require attention, record below what actions have or will be taken to address them.

Self-Assessment Reference	Actions Required	Completed By	Date

2 DIA Education

The Department has a policy of ongoing education in the gaming sector. If your society, or society personnel, have identified areas where information or education is required, please record these below.

3 Recommendations and Suggestions

Any suggestions for improvements?

a) to this form

b) to licence conditions

c) other

4 Follow-Up Actions

It is not necessary to forward a copy of this self-assessment to the Department. However, if you require clarification or guidance, please do not hesitate to contact your Gaming Compliance office, or send this form with any other comments noted below.

Wellington (Central)

PO Box 10-095

Wellington

Christchurch (Southern)

PO Box 1308

Christchurch

Auckland (Northern)

PO Box 2220

Auckland

www.dia.govt.nz Telephone (all offices) 0800 257 887

Disclaimer

The completion of this self-assessment checklist does not infer compliance or otherwise with licence conditions currently in force for the operation of gaming machines.

The responsibility for ensuring compliance with licence conditions, including public accountability and the implementation and monitoring of internal and management controls, rests with the society.

The level of compliance by any society will be determined by reviews undertaken by the Department of Internal Affairs.