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Self-Assessment Compliance Audit Checklist

For the operators of TAB agencies in Hotels and Clubs

January 2021

From 3 December 2020, significant gambling reforms have come into effect in South Australia.

This includes changes to each of the gambling acts, new advertising and responsible gambling codes of practice and new gambling administration guidelines.

There are changes and new requirements which licensees should be aware of.

This self-assessment compliance audit checklist has been developed to assist licensees in assessing the level of compliance with legislation, regulations, and codes of practice for wagering operations conducted in Hotels and Clubs..

Completion of the form is encouraged by Consumer and Business Services (CBS).

While not mandatory, it is strongly recommended that the self-assessment checklist be completed by a licensee at least every six months.

Licensees with TAB facilities should also contact TAB for advice and assistance on TAB compliance matters.

New Code of Practice

A new code of practice for authorised betting operators including TAB agencies is being developed. Once settled, authorised betting operators will be provided with a reasonable transition period in order to adjust their practices to comply with any new requirements in the code of practice.

In the meantime, authorised betting operations remain subject to the requirements in the existing [Gambling Codes of Practice Notice 2013](#).



Resources

Licensees should be familiar with and have copies or know how to access the following documents:

- [*Gambling Administration Act 2019*](#)
- [*Gambling Administration Regulations 2020*](#)
- [*Gambling Codes of Practice Notice 2013*](#)
- [*Gambling Codes of Practice \(Self Service Terminals\) Variation Notice 2020*](#)
- [*Authorised Betting Operations Act 2000*](#)
- [*SA Betting Operations Rules*](#)

Further information

Licensees are encouraged to visit the CBS website at www.cbs.sa.gov.au/gambling-reforms which will be regularly updated with important information about these reforms.

For industry advice, representation or advocacy concerning the gambling reforms which commenced on 3 December 2020, please contact your relevant industry body.

For any queries relating to gambling regulation, enforcement or barring orders, please contact CBS on 131 882 or gamblingadministration@sa.gov.au.

Self-Assessment Compliance Audit

Venue name

Audit date

Audit conducted by:

Name

Position

Signature

Acknowledged by:

Gaming Manager

Name

Signature

Director / Committee Member / Licensee

Name

Signature

Next audit date

Self-Assessment Compliance Audit Checklist

Section A: Wagering Checklist

Refer to Appendix Two for glossary of acronyms

If your response to any of the following requirements is 'No', please complete Appendix Three using the item code.

Note: If the TAB facilities are operated by a gaming machine licensee and the licensee has placed additional responsible gambling signage and a multi-lingual sign (refer to Gaming Machine Checklist) in the TAB gambling area, the following signage requirements marked (^) are not required to be displayed in the TAB gambling area. [GMGCP clause 16(4)].

Wagering—Signage			
Item	Legislation	Requirements	Compliant
W1 [^]	GCOP cl 50(1)(a)	<p>Condensed Warning Message and Gambling Helpline Number Displayed</p> <p>Is the condensed warning message (Gamble Responsibly) and national gambling helpline number 1800 858 858 prominently displayed:</p> <ul style="list-style-type: none"> on or near each point of sale of any TAB product; and on any electronic display in a gambling area used for displaying internal advertising? <p><i>Note: Refer to A in Appendix 1</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W2	GCOP cl 50(1)(b)	<p>Governed by Code of Practice</p> <p>In each gambling area, is there:</p> <ul style="list-style-type: none"> a message displayed indicating gambling operations are governed by a Code of Practice; and a copy of the Gambling Codes of Practice Notice 2013 (or a summary document previously approved in writing by the IGA) available on request? <p><i>Note: Refer to B in Appendix 1</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W3	GCOP cl 50(1)(c)	<p>Helpline Cards Available</p> <p>Is there a quantity of helpline cards available on or near each ATM and at other places throughout gambling areas?</p> <p><i>Note: Refer to C in Appendix 1</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W4	GCOP cl 50(1)(d)	<p>Time of Day Displayed</p> <p>Is the time of day prominently displayed and visible throughout gambling areas?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W5 [^]	GCOP cl 50(2)(a)	<p>Responsible Gambling Materials</p> <p>Are responsible gambling materials (including posters and pamphlets):</p> <ul style="list-style-type: none"> prominently displayed and renewed; and does that material include the expanded warning message or, if that is not reasonable or practicable, the condensed warning message? 	<input type="checkbox"/> Yes <input type="checkbox"/> No

Wagering—Signage (contd.)

Item	Legislation	Requirements	Compliant
W6^	GCOP cl 50(2)(b)	<p>Responsible Gambling Poster - Other Languages</p> <p>Is a responsible gambling poster available in the following 5 languages other than English:</p> <ul style="list-style-type: none"> • Arabic; • Chinese; • Greek; • Italian; • Vietnamese; and • any other locally relevant language? 	<input type="checkbox"/> Yes <input type="checkbox"/> No

Wagering—Staff training

Item	Legislation	Requirements	Compliant
W7	GCOP cl 73(1)	<p>Training requirements</p> <p>Have all staff who sell TAB products received training as follows:</p> <ul style="list-style-type: none"> • for all staff at induction - basic training which identifies problem gambling and which explains the role and process of barring and exclusion; • for supervisory and managerial staff - advanced training on the identification of, and intervention techniques for problem gambling; and • refresher training courses at least every 2 years? <p><i>Note: If the licensee chooses, staff in a gaming venue who have completed gaming machine training meet the requirements of this clause (i.e. do not need to undertake the above training).</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W8	GCOP cl 73(1)(e)	<p>Training Requirements - Self Service Terminals</p> <p>Where self-service betting terminals have been installed on the licensed premises, have staff undertaken enhanced training to ensure the use of the devices are adequately monitored and additional harm minimisation measures are understood and implemented as required?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> n/a

Wagering—Prevention of Betting by Children

Item	Legislation	Requirements	Compliant
W9	ABO s43(1)(a)	<p>Bets by Children</p> <p>Are staff aware that they must not accept or offer to accept a bet from a child?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W10	ABO s43(1)(b)	<p>Approved systems and procedures</p> <p>Does the venue have approved systems and procedures in place to prevent children from placing any type of bet with TAB?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

Wagering—Barring

Item	Legislation	Requirements	Compliant
W11	GCOP cl 3	Gambling Area Has the licensee defined the gambling area for the purposes of TAB and are staff aware?	<input type="checkbox"/> Yes <input type="checkbox"/> No
W12	GCOP cl 43(2)	Duty to Offer Barring Does the venue have a process for facilitating the operation of the barring orders scheme for the benefit of: <ul style="list-style-type: none"> • problem gamblers; • their family members dependent upon them; and • those with a genuine interest in the welfare of problem gamblers and their families? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
W13	GCOP cl 43(4)	Documented Procedures Does the venue have documented procedures that have been implemented to ensure that all barring enquiries and approaches for the making of barring orders are responded to in a timely manner?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Wagering—Cash Facilities, Cheques & Credit

Item	Legislation	Requirements	Compliant
W14	ABO s44	Credit Is the licensee aware that they must not provide credit to a person for the purpose of gambling with the TAB?	<input type="checkbox"/> Yes <input type="checkbox"/> No
W15	GCOP cl 50A(c)(i)	Self Service Terminals Do self-service betting terminals on the licensed premises comply with the specific provision that the device must have a maximum cash deposit limit of \$100 ?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> n/a
W16	GCOP cl 50A(c)(ii)	Self Service Terminals Do self-service betting terminals on the licensed premises comply with the specific provision that the device must have a pause functionality which can be enabled by staff if it is suspected that the customer may be under the age of 18 years old, may be barred, is demonstrating difficulty controlling their gambling or is intoxicated?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> n/a
W17	GCOP cl 50A(c)(iii)	Self Service Terminals Do self-service betting terminals on the licensed premises comply with the specific provision that the device must display the relevant expanded warning message on the screen at no more than 10 minute intervals ?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> n/a

Wagering—Cash Facilities, Cheques & Credit (contd.)

Item	Legislation	Requirements	Compliant
W18	GCOP cl 50A(c)(iv)	Self Service Terminals Do self-service betting terminals on the licensed premises comply with the specific provision that the device must display the relevant expanded warning message alternating with the condensed warning message and the national helpline number 1800 858 858, at the bottom of the screen at all times, at no more than 10 minute intervals?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> n/a
W19	GCOP cl 50A(c)(v)	Self Service Terminals Do self-service betting terminals on the licensed premises comply with the specific provision that the device must display prescribed information when idle, at no more than 10 minute intervals?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> n/a
W20	GCOP cl 50A(c)(vi)	Self Service Terminals Do self-service betting terminals on the licensed premises comply with the specific provision that the device must have the functionality to send high volume alerts to staff?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> n/a
W21	GCOP cl 50A(c)(vii)	Self Service Terminals Do self-service betting terminals on the licensed premises comply with the specific provision that the device must be installed inline of sight of staff?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> n/a
W22	GCOP cl 50A(c)(viii)	Self Service Terminals Are self-service betting terminals on the licensed premises monitored by electronic surveillance?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> n/a

Wagering—Advertising Codes of Practice

Item	Legislation	Requirements	Compliant
W23	GCOP cl 13(1)(a)	Gambling Advertising - Law Does the venue's gambling advertising comply with the specific provision that gambling advertising does not encourage a breach of law?	<input type="checkbox"/> Yes <input type="checkbox"/> No
W24	GCOP cl 13(1)(b)	Gambling Advertising - Children Does the venue's gambling advertising comply with the specific provision that gambling advertising does not depict children gambling?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Wagering—Advertising Codes of Practice (contd.)

Item	Legislation	Requirements	Compliant
W25	GCOP cl 13(1)(c)	Gambling Advertising - Accuracy Does the venue's gambling advertising comply with the specific provision that gambling advertising is not false, misleading or deceptive ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
W26	GCOP cl 13(1)(d)	Gambling Advertising - Outcomes Does the venue's gambling advertising comply with the specific provision that gambling advertising does not suggest that winning will be a definite outcome of participating in gambling activities ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
W27	GCOP cl 13(1)(e)	Gambling Advertising – Financial Prospects Does the venue's gambling advertising comply with the specific provision that gambling advertising does not suggest that participation in gambling activities is likely to improve a person's financial prospects ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
W28	GCOP cl 13(1)(f)	Gambling Advertising - Alcohol Does the venue's gambling advertising comply with the specific provision that gambling advertising does not promote the consumption of alcohol while engaging in gambling activities ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
W29	GCOP cl 13(1)(h)	Gambling Advertising - Inducements Does the venue's gambling advertising comply with the specific provision that gambling advertising does not offer any credit, voucher or reward as an inducement to participate, or to participate frequently, in any gambling activity ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
W30	GCOP cl 13(2)	Gambling Advertising - Prizes Does the venue's gambling advertising comply with the specific provision that gambling advertising does not make claims related to winning or the prizes that can be won that are not based on fact, are unable to be proven or that are exaggerated ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
W31	GCOP cl 13(3)	Gambling Advertising – Player's Skill Does the venue's gambling advertising comply with the specific provision that gambling advertising does not suggest that a player's skill can influence the outcome of gambling activity ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
W32	GCOP cl 14	Use of "Win" and "\$" Does the venue ensure that the expression "win" or the symbol "\$" is not used in any gambling advertising except to refer to a particular prize that has been won or a reasonable approximation of an amount that may be won when the advertising is in the form of signs on the exterior of the premises or in the immediate surroundings? <i>Note: This clause applies to material that has not been provided by TAB.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

Wagering—Responsible Gambling Codes of Practice

Item	Legislation	Requirements	Compliant
W33	GCOP cl 41	<p>Responsible Gambling Document</p> <p>In relation to intervention with problem gamblers, does the venue have a responsible gambling document in each gambling area that:</p> <ul style="list-style-type: none"> • details how staff training and measures for intervention are implemented, and the roles of staff (described by name or job title) in the implementation of this code; and • is readily available to, and made known to, all staff to which it relates? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
W34	GCOP cl 42(1)	<p>Documented Reporting Procedure</p> <p>Does the venue have a documented reporting procedure in relation to the identification of suspected problem gamblers and how those gamblers details will be recorded and accessible to TAB staff?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W35	GCOP cl 42(2)	<p>Records of Suspected Problem Gamblers</p> <p>Has a manager (however described):</p> <ul style="list-style-type: none"> • reviewed the records of suspected problem gamblers on a fortnightly basis or more frequently; • documented the fact of the review; and • documented any steps taken to intervene in a suspected problem gambler's gambling behaviour? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
W36	GCOP cl 50(1)(b)(ii)	<p>Code of Practice</p> <p>Is a copy of the Gambling Codes of Practice (or a summary document approved in writing by the former Independent Gambling Authority) available if requested?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W37	GCOP cl 50(1)(d)	<p>Time of Day</p> <p>Is the time of day prominently displayed and visible throughout gambling areas?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W38	GCOP cl 51(1)	<p>Customer Information and Interaction</p> <p>Are all reasonable steps taken to ensure that persons who demonstrate difficulty controlling personal expenditure on gambling products are made aware of the name and telephone number of a widely available gambling help service?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W39	GCOP cl 51(2)(b)	<p>Rehabilitation Agency</p> <p>Are staff sufficiently aware of the identity and location of the gambling rehabilitation agency to be able to direct patrons to the agency?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W40	GCOP cl 51(2)(c)	<p>Management Level Contact</p> <p>Has management level contact been established and maintained with the gambling rehabilitation agency?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W41	GCOP cl 51(3)	<p>Customer Communications</p> <p>Has the venue's responsible gambling policy been included in customer newsletters and other communications?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

Wagering—Responsible Gambling Codes of Practice (contd.)

Item	Legislation	Requirements	Compliant
W42	GCOP cl 51A(1)(a)(b)	<p>Alcohol and Gambling</p> <p>Are staff aware of the steps to take to ensure persons are:</p> <ul style="list-style-type: none"> prevented from gambling; and prevented from entering a gambling area or remaining in a gambling area; <p>if the person's speech, balance, coordination or behaviour is noticeably impaired or if it is reasonable to believe the impairment is a result of the consumption of liquor or other substance?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W43	GCOP cl 51A(1)(c)	<p>Alcohol and Gambling</p> <p>Are staff aware of the steps to take to ensure liquor is not supplied to reward, promote or encourage continued gambling?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W44	GCOP cl 54	<p>Inducements</p> <p>Are staff aware that the venue must not offer or provide any inducement encouraging patrons to gamble unless the offer is for:</p> <ul style="list-style-type: none"> participation is in an acceptable loyalty program; participation in an acceptable trade promotion lottery; or complimentary non-alcoholic beverages and refreshments of nominal value? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
W45	GCOP cl 73(1)(c)	<p>Employee Communications</p> <p>Has the venue included responsible gambling information in employee newsletters and magazines?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W46	GCOP cl 73(1)(d)	<p>Employee Communications</p> <p>Has the venue provided responsible gambling materials in the workplace to remind staff of responsible gambling policies and responsibilities?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
W47	GCOP cl 74	<p>Staff Support</p> <p>Have reasonable steps been taken to ensure that staff with a potential or actual gambling problem of any sort are identified and referred for counselling, support or therapy?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

Section B: Prescribed Expanded Warning Messages

As set out in Schedule 1 of the Gambling Codes of Practice Notice 2013

Operative Date	Expanded Warning Message
1 July 2020 to 31 December 2020	<i>“Think of the people who need your support. Gamble responsibly.”</i>
1 January 2021 to 30 June 2021	<i>“Don’t chase your losses. Walk away. Gamble responsibly.”</i>
1 July 2021 to 31 December 2021	<i>“Don’t let the game play you. Stay in control. Gamble responsibly.”</i>
1 January 2022 to 30 June 2022	<i>“You know the score. Stay in control. Gamble responsibly.”</i>
1 July 2022 to 31 December 2022	<i>“Know when to stop. Don’t go over the top. Gamble responsibly.”</i>

Appendix One: Signage Requirements

**(A)
Condensed Warning Message and National
Gambling Helpline Number**

To be prominently displayed:

- on or near each point of sale of any TAB product; and
- on any electronic display in a gambling area used for displaying internal advertising?



**(C)
National Gambling Helpline Card**

To be available at or near:

- each ATM; and
- at other places throughout gambling areas.



**(B)
TAB Areas – Combined Poster**



Appendix Two: Acronyms and Abbreviations

Acronym/abbreviation	Refers to
ABO	<i>Authorised Betting Operations Act 2000</i>
ATM	Automated Teller Machine
CBS	Consumer and Business Services
GAA	<i>Gambling Administration Act 2019</i>
GMGCP	Gaming Machines Codes of Practice Notice 2020
Leg	Legislation from which the audit item arises
IGA	Independent Gambling Authority

Appendix Four: Summary of offences

Wagering¹

Item No.	Instrument	Offence	Expiation Fee	Maximum Penalty
All Items	ABO GCOP	All offences	-	\$20 000

Expiation fee

Expiations issued by CBS will rise on 1 January 2021 to reflect an increase to the Victims of Crimes Levy from \$60 to \$90.

The Victims of Crime Levy is imposed by legislation on any court fine or nominated expiation notice issued in South Australia.

The levy is in addition to any of the above penalties and applies to all expiations issued under legislation administered by CBS, including the *Gambling Administration Act 2019*, *Authorised Betting Operations Act 2000*, *Casino Act 1997*, *Gaming Machines Act 1992* and the *Lotteries Act 2019* and associated regulations.

¹ CBS is currently undertaking a review of the Gambling Code of Practice Notice 2013 and in early 2021 will release a new industry specific code of practice for Wagering Operators. As part of the reforms announced by the SA Government, the Liquor and Gambling Commissioner will be able to declare a breach of a mandatory provision of codes an expiable offence once the new codes have been published in the Government Gazette.