NSW OFFICE OF LIQUOR, GAMING AND RACING

REGISTERED CLUBS
LEGISLATION AND CONDITIONS CHECKLIST

FEBRUARY 2007
VERSION 1

Serial Number		
Club name		
Address		
Phone	( )	Mobile:
Fax		
CEO		
Email address		
Web page	www.	
Gaming machines	Authorised:	On premises:
LAB Authorised Shutdown period		

Completed by	
Authorised by	
Date	

Subscribe to our E-News service and get the latest news and updates in liquor and gaming
http://www.olgr.nsw.gov.au/website_subscribe_form.asp

ALL NOTES AND COMMENTS SHOULD BE MADE IN DUPLICATE ON PART 2 (NOTES OF INSPECTION)

CERTAIN SINGLE BREACHES MAKE PROVISIONS FOR MULTIPLE PROSECUTIONS OF THE SECRETARY, STAFF, MEMBERS, THE CLUB AND THE PUBLIC

COMMON TERMS AND ABBREVIATIONS:

AGM	Annual General Meeting
ASAP	As soon as possible
RSA	Responsible Service of Alcohol
RCG	Responsible Conduct of Gambling
HM	Harm minimisation Conditions
LAB	Liquor Administration Board
The board	The Club's governing body
CDSE	Community Development & Support Expenditure scheme
CEO	Secretary Manager, General Manager or Secretary
EFT	Electronic funds transfer
Club Rules	Memorandum and Articles of Association, Club's Constitution

Gaming Machines and Registered Clubs Act are references prefixed S for section number Gaming Machines and Registered Clubs Regulation are prefixed C for clause number.

LEGEND

Shading indicates that a breach has occurred or the answer requires further investigation.

* breach is a prescribed penalty notice offence
** under normal circumstances breach **WILL** be dealt with by penalty notice
© under normal circumstances breach **WILL** be dealt with by the Licensing Court

IMPORTANT
Where a reference is made to any sign, notice or other display licensees must ensure:

i. that the material is prominently or conspicuously displayed so that it is easily and readily viewable by a person; and
ii. conforms to the legislative requirements of size and wording.

SIGNAGE AND RESOURCE MATERIAL

To comply with liquor and gaming laws, you must display the signs referred to in this document. These signs can be purchased through the NSW Office of Liquor, Gaming and Racing using the options listed below. Your purchasing options are:

1. online via shop.nsw using a credit card (Visa/Mastercard/Bankcard) at www.shop.nsw.gov.au/agencydetails.jsp?agency=59
2. using our mail order form – www.olgr.nsw.gov.au/pdfs/order_form_web.pdf
3. in person, or by requesting a mail order form from our client access centre, level 7, 323 Castlereagh Street, Haymarket, telephone 9995 0333, or
4. in person from our Hunter regional office, 2nd floor, 117 Bull Street, Newcastle West, telephone 4929 7234.

Office hours are 8:30 am to 5:00 pm.

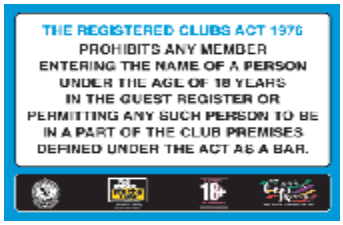
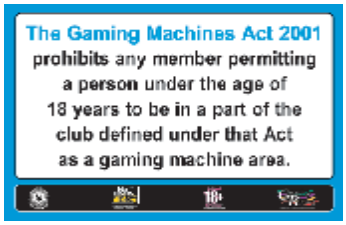
We also have a range of free resource material on our website, Please visit
http://www.olgr.nsw.gov.au/gaming_info_compliance_tools.asp

CONTENTS

CONTENTS 3
PART A – SIGNS 4
2. ALL OTHER AREAS 4
4. ON ATM - CASH-BACK 6
5. ON GAMING MACHINES 6
6. HARM MINIMISATION 7
PART B – ADMINISTRATION AND OPERATIONS 8
7. BANKING 8
8. FLOATS & PETTY CASH 8
9. BAR OPERATIONS 8
10. DRAWING CHEQUES 8
11. CREDIT CARDS 9
12. CASHING CHEQUES 9
13. OTHER INCOME 9
14. CASH ADVANCES 9
15. CAB CHARGE 9
16. CLUB TAB 9
17. CLUB RULES 10
18. COMMUNITY DEVELOPMENT AND SUPPORT EXPENDITURE 10
19. ASSETS, CAPITAL WORKS AND CONTRACTS 10
20. DINING ROOM 10
21. OTHER MATTERS 10
22. SPECIAL CONDITIONS OF THE CERTIFICATE OF REGISTRATION 11
23. SPECIAL FUNCTIONS 11
24. RESPONSIBLE SERVICE OF ALCHOL 11
25. RESPONSIBLE CONDUCT OF GAMING 11
26. ADVERTISING AND SIGNAGE 12
27. OPEN DOOR POLICY 12
28. CLUB ELECTIONS 12
29. CLUB MEMBERSHIP 13
30. MINORS ON PREMISES & EVIDENCE OF AGE IDENTIFICATION 13
31. LIQUOR HARM MINIMISATION 13
32. FAULTY GAMING MACHINES 13
33. UNLAWFUL GAMING 14
PART C – GAMING 15
34. GAMING MACHINE PRIZES OVER $2,000 & RECORDS OF GAMING PRIZES 15
35. MACHINE CLEARANCES AND REFILLS 15
36. MULTI-TERMINAL GAMING MACHINES 15
37. PLAYER REWARD SCHEMES 16
38. COUNSELLING SERVICES & SELF EXCLUSION 16
39. PLAYER ACCOUNTS 16
40. PLAYER ACTIVITY STATEMENTS 17
41. GAMING MACHINE TICKETS 17
42. CLUB KENO 19
43. GAMING MACHINE METERS 20
44. PROGRESSIVE GAMING MACHINE AND PROGRESSIVE SYSTEMS 21
45. GAMING TECHNOLOGY COMPLIANCE 22
46. INDUCEMENTS TO PURCHASE GOODS AND SERVICES 22
PART D – GOVERNANCE AND MANAGEMENT 23

PART A – SIGNS

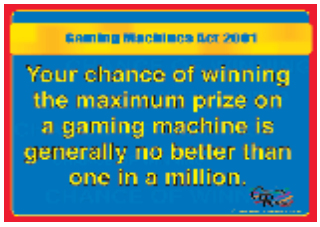
1. AT ENTRANCES

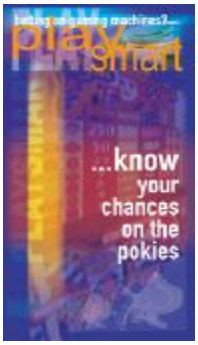
			Yes	No
	S30(2A)	At every public entrance is there displayed:		
[1]	(2A)(a)	• A Temporary Membership Zone Map?	*	
[2]	(2A)(b)	• A Temporary Membership Rules? (NB: must be per club's Articles of Association)	*	
[3]	(2A)(c)	• A copy of s.30 (10) – Members of other clubs?	*	
[4]	(2A)(d)	• The Definition of 'Guest'?	*	
[5]	C12(3) & S50(B)(2)	In vicinity of guest register: This sign? 	*	
[6]	C49(2)	In vicinity of guest register: This sign? 	*	
[7]	C26(1)	If the club has gaming machines: in vicinity of main entrance: This sign?	**	

2. ALL OTHER AREAS

[8]	C12(1) & S50(B)(1)	In every bar area: This sign?			
[9]	S68(4)	If breath analysis equipment is available: This sign?			

			Yes	No
[10]	C21(1)	Can a person entering the gaming area readily view: This sign?	*	
[11]	C49(1)	In all gaming areas: This sign?	*	
[12]	C46(5)	In all gaming areas: A sign that states? **Name and contact details of an approved problem gambling counselling service made available by the club.** **Statement advising patrons that a self-exclusion scheme is available in the club for patrons who want to be excluded from the entire club or a nominated area of the club.** **Name and contact details of a person who can assist the patron to join the self-exclusion scheme.**	**	
[13]	C23(1)	Is the English approved PlaySmart player information brochure 1E available and on display in ALL gaming areas?	**	
[14]	C24 (2)	Is the approved PlaySmart player information brochure1E in relevant community languages supplied ASAP following a request?	*	
[15]	C28(a)	Is a clock working and set to right time in ALL gaming areas (10 minutes either way)?	*	
[16]	C28(b)	Can any person operating a gaming machine readily view a clock?	*	





4. ON ATM - CASH-BACK

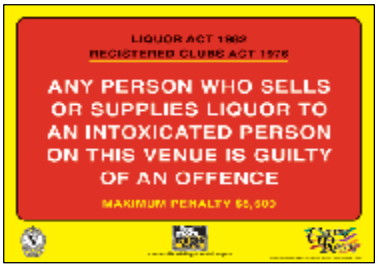
[17]	C31	Is the ATM or EFTPOS in the gaming area? If yes:	**		
[18]	C32	Has the club obtained a LAB exemption to locate the ATM or EFTPOS in the gaming area?	©		
[19]	C27(1A)	Can a person operating the ATM, clearly see the following notice? **IS GAMBLING A PROBLEM FOR YOU?** **CALL G-LINE (NSW) COUNSELLING SERVICE** **1 800 633 635**	**		
[20]	C27(3A)	On a cash-back terminal operated by a player card: **YOUR PLAYER ACTIVITY STATEMENT IS AVAILABLE FROM THE CASHIER.**			
[21]	C27(1A)	Can a person operating a cash-back terminal see the following notice? **IS GAMBLING A PROBLEM FOR YOU?** **CALL G-LINE (NSW) COUNSELLING SERVICE** **1 800 633 635**	**		

5. ON GAMING MACHINES

[22]	C25(2) & C25(5)	On each gaming machine, is there displayed one of the following six notices? **DON'T LET GAMBLING TAKE CONTROL OF YOUR LIFE** **GAMBLING CAN BECOME ADDICTIVE** **EXCESSIVE GAMBLING CAN RUIN LIVES** **EXCESSIVE GAMBLING CAN DESTROY FAMILIES AND FRIENDSHIPS** **EXCESSIVE GAMBLING CAN LEAD TO LOSS OF YOUR HOME OR OTHER ASSETS** **EXCESSIVE GAMBLING CAN AFFECT YOUR HEALTH**	*		
[23]	C25(3)(A)	Can a person operating the gaming machine clearly see one of the above notices?	**		
[24]	C21(3)(b)	On each gaming machine, a notice displaying: **YOUR CHANCE OF WINNING THE MAXIMUM PRIZE ON A GAMING MACHINE IS GENERALLY NO BETTER THAN ONE IN A MILLION**	*		
[25]	C21(3)(A)	Can a person operating the gaming machine clearly see the above notice?	**		
[26]	C25(2) & C25(6)	On each gaming machine, a notice displaying: **IS GAMBLING A PROBLEM FOR YOU? CALL G-LINE (NSW) COUNSELLING SERVICE** **1 800 633 635**	*		

Yes No

6. HARM MINIMISATION

	HM	If Harm Minimisation Conditions imposed, are the following five posters displayed throughout the premises?			
[27]	HM	*Three **"No More It's the Law"** posters*			
[28]	HM	***"Our House Policy"** the combined four - message poster*			
[29]	HM	***NSW Liquor Industry Code of Practice*** *poster where it can be seen by staff*			
[30]	HM	***Intoxication sign*** 			
[31]	HM	***Proof of Age** poster at EACH public entrance*			

PART B – ADMINISTRATION AND OPERATIONS

7. BANKING

		Yes	No
[32] ► Is the banking up to date?			
[33] ► Does the banking coincide with the gaming machine clearance?			
[34] ► If no, is there a regular pattern of banking?			
[35] ► Sample check takings in Cash Book through to deposit Statement. Is time acceptable?			
[36] ► Are bank reconciliations performed regularly?			
[37] ► Are there outstanding deposits in the last bank reconciliation?			
[38] ► Is there an unacceptable period between banking periods?			
[39] ► Does the club auditor check the bank reconciliations?			
[40] ► Does the club keep special accounts for progressive and multi terminal machines?			

8. FLOATS & PETTY CASH

[41] ► Does the club have separate floats for bar, gaming and safe operations?			
[42] ► Are all floats reconciled daily?			
[43] ► Is there a standard and proper procedure when a float imbalance occurs?			
[44] ► Do the float sheets list IOUs and cheques over $400?			
[45] ► Is the float level appropriate for the club?			
[46] ► Is there a petty cash journal or register?			
[47] ► Are appropriate items paid by way of petty cash?			
[48] ► Are the petty cash reimbursement procedures adequate?			
[49] ► Does the balance of the vouchers equal the amount recouped?			
[50] ► Are petty cash vouchers properly authorised?			
[51] ► Do the receipts properly support or substantiate petty cash payments?			
[52] ► Is the maximum expenditure of individual petty cash items unusually high?			
[53] ► Are wages and salaries paid by petty cash?			

9. BAR OPERATIONS

[54] ► Is the bar stocktake regularly performed by an external stocktaker?			
[55] ► Are there standard and proper procedures when a stocktake imbalance occurs?			
[56] ► Does the club have proper control over bar stock?			
[57] ► Does the club balance the tills at the completion of each shift?			
[58] ► Does the club allow free/undercharged drinks?			

10. DRAWING CHEQUES

[59] ► Are all cheque payments adequately vouched for?			
[60] ► Are drawn cheques signed and vouched for by at least 2 authorised persons?			
[61] ► Are club cheques pre-signed?			

11. CREDIT CARDS

			Yes	No	
[62]	►	Are staff or directors issued credit/charge cards?			
[63]	►	Is the credit/charge limit appropriate?			
[64]	►	Are the card payments recorded under correct expenditure categories?			
[65]	►	Has there been any instance of suspected or actual fraudulent use of club cards?			
[66]	►	Is credit card expenditure properly vouched for?			

12. CASHING CHEQUES

[67]	C32	Does the club have a LAB Exemption to cash cheques?			
	C29(1)	Subject to any conditions that apply, have club staff exchanged a cheque:			
[68]	(1)(a)	• Payable to any person other than the club for cash?	**		
[69]	(1)(b)	• For more than $400 cash?	**		
[70]	(1)(c)	• For the same person who has already exchanged a cash cheque on same day?	**		
[71]	(1)(d)	• For cash for a person who has had a previous cheque not met on presentation?	**		
[72]	C29(2)	Are cash cheques banked within 2 working days of being accepted?			
[73]	S47A	Has the club cashed a gaming prize cheque issued to the player?	**		

13. OTHER INCOME

[74]	►	Does the club receive income from other sources (e.g. functions, vending machines, and member) subscriptions, pool table, gymnasium etc)?			
[75]	►	Is this other income properly collected and recorded?			
[76]	►	Is any asset capable of providing significant income to the club but is provided as a gratuity or benefit to any person for any reason?			

14. CASH ADVANCES

[77]	►	Does the club have a written formal policy for cashing cheques?			
[78]	►	Do general ledger accounts allow debts/dishonoured cheques to be written off?			
[79]	S9A(5A)	Has club staff permitted or provided a cash advance in the premises?	©		
[80]	►	Is action taken to recover bad debts and dishonoured cheques?			

15. CAB CHARGE

[81]	►	Does the club have a cab charge system?			
[82]	►	Does the supporting documentation show the proper reason for using a cab?			

16. CLUB TAB

[83]	►	Is there a Club TAB commission general ledger account?			
[84]	►	Does this account accord with the Club TAB statement for the financial year?			

17. CLUB RULES

			Yes	No	
[85]	►	Have the Club Rules been amended within the last 12 months? If yes:			
[86]	►	Have the amendments to Club Rules been approved at the AGM?			
[87]	►	Have the amendments eroded the protection of the club's core assets?			
[88]	S49	Has the Club lodged a copy with the DLG within 1 month?	**		

18. COMMUNITY DEVELOPMENT AND SUPPORT EXPENDITURE

	►	If the club is subject to the CDSE scheme:			
[89]	►	Are CDSE payments made pursuant to the Minister's guidelines?	©		
[90]	►	Are records kept and are they appropriate to trace the legitimacy of payments?	©		

19. ASSETS, CAPITAL WORKS AND CONTRACTS

[91]	►	Does the club maintain an Asset Register?			
[92]	►	Does the club have any major capital works projects current or planned?			
[93]	►	Were proper tender processes observed for the projects?			
[94]	►	Was the project properly authorised by directors?			
[95]	►	Have major contracts for continuing goods and services been properly tendered?			
[96]	►	Are asset write offs properly managed and authorised?			

20. DINING ROOM

[97]	S22(1)	Is the bistro area non-restricted by a S. 22 authority?			
[98]	►	Does the restaurant or dining facility offer take-away to non-members?	**		
[99]	►	Are full details of food orders recorded on either cash registers, invoices or similar?			
[100]	►	Is the restaurant/dining/catering leased to an external party? If yes:			
[101]	►	Is there a proper lease/contract/restaurant/dining/catering and is it endorsed by the board?			

21. OTHER MATTERS

	►	Is the club in an accord area? If yes			
[102]	►	Is the club a member of the local liquor accord?			
[103]		Does the club maintain an incident register? If yes			
[104]	►	Is the incident register available on request by an inspector?			
[105]	►	Is the incident register properly maintained?			
[106]		Has the club made any crime report to police or regulatory agencies within last 12 months?			
[107]		Does the club have an alcohol management operations register? If no			
[108]	►	Does the club have a written compliance program that ensures the licensed venue fully comply with the legislation? If no, visit OLGR website.			
[109]	►	Are any other club facilities away from the main site of the club? If yes:			
[110]	►	Are staff aware that persons purchasing jackpot wins may be involved in money laundering?			
[111]	►	Have staff observed any significant cancelled credit transaction which is suspicious?			
[112]	►	Are there strict key security procedures for key assets? (eg the safe, gaming machines)			
[113]	►	Are records sufficient to prevent evidence of staff ghosting or concealing income identity?			

22. SPECIAL CONDITIONS OF THE CERTIFICATE OF REGISTRATION

			Yes	No	
[114]	►	Does the club have any conditions (not functions or harm minimisation) imposed?			
[115]	►	Is there documentary evidence [rosters/invoices] the conditions are NOT being adhered?			

23. SPECIAL FUNCTIONS

[116]	S23	If the club conducts functions, does the club have a current functions authority?			
[117]	►	Is there a register showing full details of the function (type, time, date etc)?			
[118]	►	Do functions meet the conditions of the authority?			
[119]	►	Is there unsupervised access to restricted areas from designated function areas?			

24. RESPONSIBLE SERVICE OF ALCHOL

[120]	C47B	Does the secretary hold a LAB approved RSA certificate?	**		
[121]	►	Does the secretary permit any person to sell liquor without a LAB approved RSA certificate?	**		
[122]	C47C	Do all staff including permanent, casual, volunteers and duty directors who are involved in the sale and supply, and promotion of liquor hold a LAB approved RSA certificate?	**		
[123]	C47CA	Does the secretary employ security, crowd controller or bouncer without a LAB approved RSA certificate?	**		
[124]	C47E	Does the club keep an RSA register which contains a copy of LAB approved RSA certificate for all persons who are involved in the promotion, sale and supply of liquor?	©		
[125]	C47E	Is the RSA register available on request by a special inspector?	©		
[126]		Do promotions, activities, discounts and giveaways encourage misuse or abuse of liquor?	©		
[127]		Is there a satisfactory price differential between full and low strength alcohol?			
[128]	C50B	Is free water available to patrons at / near liquor service points or by waiter service?	©		
[129]	HM	Does the club provide food while liquor is sold or supplied?	©		
[130]	C50A	Does the club sell undesirable liquor products?	©		

25. RESPONSIBLE CONDUCT OF GAMING

[131]	C51(3)	Does the secretary hold an approved RCG certificate?	**		
[132]	C51(4)	Are all staff involved in conduct of gaming machines, RCG trained?	**		
[133]	►	Is the RCG register available on request by an inspector?			
[134]	►	Does the RCG register contain copies of certificates of all staff involved in gaming?			
[135]	S39(1)	Has the club operated gaming machines outside the mandatory shutdown period?			
[136]	►	If the club is operating outside standard shutdown period, is it on approval of the LAB?	**		
[137]	C48	Do club promotions, activities, discounts and giveaways encourage or promote the misuse or abuse of gambling facilities at the club?			
[138]	C48(a)	Is free or discounted liquor offered to play the club's gaming machines?	**		
[139]	(b)	Are free credits offered to play the club's gaming machines?	**		
[140]	(c)	Are free prizes which are indecent/offensive offered to play the club's gaming machines?	**		

26. ADVERTISING AND SIGNAGE

[141]	►	Does all club's advertising for Keno and TAB contain the *G-Line message*?	*		
[142]	S43(1)	Has the club published any EXTERNAL gaming machine advertising?	**		
[143]	S44(1)	Has the club displayed a gaming related sign that is outside or can be seen from outside the club?	**		
[144]	►	If the club has a web page, does it comply with S43 and S44?	**		

27. OPEN DOOR POLICY

[145]	S45(1)	Can persons use or attend any club facility without meeting entry requirements?	**		
[146]	►	Can persons purchase club goods/services without meeting entry requirements?	**		
[147]	►	Are staff permanently positioned at entrances to prevent unauthorised entry?			
[148]	►	If staff are not at entrances, do procedures exist to prevent unauthorised entries?			
[149]	S30(2)(k)	Are Guest of Members Registers kept at all public entrances?			
[150]	►	Are Guest of Members Registers current and properly maintained?	**		
[151]	►	Do duty staff sign in guests in the Guest of Members Register?	*		
[152]	►	Are guests block signed in the Guest of Members Register?	*		
[153]	►	Are members signing in more guests than permitted in the Club Rules?			
[154]	S30(2)(l)	Are Temporary Members Registers available at all public entrances?			
[155]	►	Are Temporary Members Registers current and properly maintained?	**		
[156]	►	Is the exclusion zone radius for non-members greater than 5km?			
[157]	S30(3B)	Do Temporary Members Registers have entries of residents within a 5 km radius?	**		
[158]	S30(3C)	Has the club applied for and been granted an exemption by the DLG to the 5 km temporary member rule? If yes:	**		
[159]		Does the membership zone map delineate the exempted area?	**		
[160]	S30(2)(J)	Are Honorary Members Registers kept at all public entrances?			
[161]	S30(2)(J1)	Are Honorary Members Registers for serving defence force personnel kept at all public entrances?			
[162]	S31(1)	Are Honorary Members Registers current and properly maintained?	**		
[163]	►	Have all persons presently in the club, met the normal entry requirements?	*		

28. CLUB ELECTIONS

[164]	S30(1)(a)	Does the club hold Board elections at least every two years? and			
[165]	►	In accordance with Schedule 4 of Registered Clubs Act?			
[166]	S30(1)(b)	Are members of governing body full members of the club?	*		
[167]	S30(1)(c)	Are Board meetings held monthly with resolutions properly minuted?	*		
[168]	S30(1)(d)	Do persons vote at elections as the proxy of another person?			
[169]	S30(1)(h)	Do employees of the club vote at elections or hold a position on the governing body?			
[170]	S30(1)(h1)	Do employees of the registered club vote at elections of another club where those elected qualify for appointment as a director of the registered club?			
[171]	S30(9)	Do members of the club entitled to vote comprise not less than 25% of the total membership?			
[172]	►	Are elections conducted in accordance with the club's constitution?			

29. CLUB MEMBERSHIP

[173]		Are applicants asked for acceptable ID when lodging the application?	*		
[174]	►	Are the ID details recorded on the application form?			
[175]	►	Does the club keep pre-signed application forms?			
[176]	S30(2)	Are applicants' details displayed for a minimum 1 week before appointment?	*		
[177]	S30(2)	Is there a minimum 2 weeks between proposal and an applicant's appointment?	*		
[178]	►	Is acceptable ID asked for when new members collect their members card/badge?			
[179]	►	Do new members sign the card when issued?			
[180]	►	Is a record kept of lost and stolen member cards/badges?			
[181]	S30(1)	Is the annual membership fee above $2.00?			

30. MINORS ON PREMISES & EVIDENCE OF AGE IDENTIFICATION

[182]	S45A	Are minors names entered in the Guests of Members or Temporary Registers?	*		
[183]	►	Are minors prevented from being in a bar or restricted areas?	**		
[184]	S50(1)	Are minors prevented from playing gaming machine?	**		
[185]	S52	Are minors prevented from being in gaming areas?	**		
[186]	S52B(2)	Do staff supply liquor to minors on club premises?	**		
[187]	S51(1)	Do staff supply take-away liquor to minors?	**		
[188]	S22A	Are tobacco vending machines accessible to minors?			
[189]	S57(a)	Do staff demand a suspected minor to provide proper evidence of age ID?			
[190]	►	Within the last 6 months, have fraudulent proof of age cards been seized by staff?			
[191]	►	Have seized proof of age cards been reported to police?			

31. LIQUOR HARM MINIMISATION

	HM	Are liquor harm minimisation conditions on the Certificate? If yes:			
[192]	►	Does the RSA Register contain copies of all staff RSA certificates?	©		
[193]	►	Does the RSA Register contain a copy of the House Policy?			
[194]	►	Are house policies, harm minimisation practices, code of practice and RSA observed?			
[195]	►	Has the House Policy been updated to reflect current requirements?			
[196]	►	Is the mandatory harm minimisation signage displayed throughout the club?			
[197]	►	Are low alcohol and non-alcoholic drinks available when full strength alcohol is sold?			
[198]	S44A(a)	Are staff selling or supplying liquor to intoxicated persons?	**		
[199]	S44(2)	Do staff or other persons supply liquor off the premises?	**		
[200]	S67A	Have person who have been refused entry, then failed to leave the club?			
[201]	►	Do incident registers or club reports show a history of intoxication, indecent, violent or quarrelsome conduct in the club?			

32. FAULTY GAMING MACHINES

[202]	C12	Are there any faulty gaming machines on the Club premises? If yes:			
[203]	►	Are they switched off?	**		
[204]	►	Is there a notice displayed on all faulty gaming machines?	**		
[205]	►	Does the Club permit persons to play gaming machines known to be faulty?	**		
[206]	►	Has the Club arranged for the faulty machine/s to be repaired as soon as practicable?	*		
[207]	►	Are faulty gaming machines repaired only by a licensed technician?	**		

33. UNLAWFUL GAMING

[208]	S54B(1)	Is there evidence that the secretary permits the play of unlawful games in the club? Eg: Trade promotions lottery include promotional giveaway, toss the boss, joker poker, TAB losing ticket draw, members badge draw, lucky number draw, card jackpot draw, and members draw.	**		
[209]	S54B(2)	Is there evidence that the staff permits the play of unlawful games in the club?	**		

PART C – GAMING

34. GAMING MACHINE PRIZES OVER $2,000 & RECORDS OF GAMING PRIZES

[210]	C30(1)	Has the club paid a gaming machine prize over $2,000 by cash?	**		
[211]	C30(1)	Do gaming machine records show splitting of prize amounts over $2,000?	©		
[212]	C30(1)	Do cheque butt records show payment of gaming prizes over $2,000 by cheque?			
[213]	C30(1)	Do bank statements show payment of gaming prizes over $2,000 by cheque?			
[214]	C30(2)	If requested, is the part of a prize under $2,000 paid by crossed cheque or EFT?	*		
[215]	C15	Is a written record kept of gaming machine prizes? And does it show:			
[216]	C15(a)	• Date?	**		
[217]	C15(b)	• Machine serial number?	**		
[218]	C15(c)	• Winning combination or credits accumulated?	**		
[219]	C15(d)	• Prize amount, value of credits, or amount of short pay?	**		
[220]	C15(e)	• Name and signature of prize winner?	**		
[221]	C15(f)	• Signature of 2 other persons certifying the prize and details as correct?	**		
[222]	C13(6)(a)	Are cash gaming machine prizes paid within 48 hours?			
[223]	C13(6)(b)	Are non-cash prize winners given the prize within 48 hours?			
[224]	C13(3)	Are non-cash prize winners given the option of being paid in cash?			
[225]	C13(4)	Are cash prizes paid equal to the value of credits on the gaming machine?			
[226]	C13(5)	Are prohibited items given as non-cash prizes? (>20L of liquor, knives, firearms)			
[227]	C13(7)	Is a winning voucher provided if the prize is not paid immediately?			
[228]	C14(1)	Are prize schedule changes approved in advance by the LAB?			
[229]	C14(3)	Are the full terms and conditions of non-cash prizes properly displayed in the club?	*		
[230]	C14(4)	Are non-cash prizes purchased directly from a retailer or manufacturer? If no:	*		
[231]		Has the LAB approved the prize?			
[232]	C50(1)	Has the club published the identity of gaming prize winner of more than $1,000?	*		

35. MACHINE CLEARANCES AND REFILLS

[233]	C20(1)	Are machines cleared by 2 of the following: CEO, director, employee, or member?	*		
[234]	C20(2)	Do written records of machine clearances show date, serial number, amount, and signatures of persons clearing?	*		
[235]	C20(3)	Are machines refilled by 2 of the following: CEO, director, employee, member?	*		
[236]	C20(4)	Do written records of refills show date, serial no., amount, signatures of persons refilling?	*		
[237]	►	If a refill was due to a short pay, the name and address of player?	*		
[238]	►	Has any other machine clearance or refill been properly conducted by either the holder of gaming licence exercising authorised functions, or a Special inspector?			

36. MULTI-TERMINAL GAMING MACHINES

		If the club operates a multi-terminal gaming machine:			
[239]	C16(a)	• Is the maximum single bet $100?			
[240]	C16(b)	• Is the maximum prize $500,000?			
[241]	C17(1) C79	If the prize is above $20,000: Does the club have a special account or guarantee with a LAB approved financial institution, which can pay the maximum prize?	*		
[242]	C17(1)	Is there a written record of the special account or guarantee?	*		

37. PLAYER REWARD SCHEMES

			Yes	No	
[243]		Does the club provide patrons a Player Reward Scheme [PRS]? If yes:			
[244]	C42(1)	Are all the similar requirements of Clause 87 met re: Player Activity Statement?			
[245]	S45(2)	Is the maximum value of the prize offered less than $1,000?	*		
[246]	S45(2)	Does the scheme offer or pay any cash prize?	*		
[247]	S45(2)	Can non-cash prizes be exchanged for cash?	*		
[248]	S45(2)	Can bonus or reward points be exchanged for cash?	*		
[249]	C42(6)	Are participants advised when joining the PRS that Player Activity Statements [PAS] are available on request?			
[250]	C42(6)	Does PRS promotional material advise that PAS are available on request?	*		

38. COUNSELLING SERVICES & SELF EXCLUSION

[251]	S46(1)	Does the club have a link with an approved problem gambling counselling service?	**		
[252]	C46(3)	Are self-exclusion participants advised of the link to the counselling service ASAP?			
[253]	C46(4)	Can staff give an inspector on request, information about the counselling service?	©		
[254]	S49(3)	Does the club operate an approved Self Exclusion Scheme?	**		
[255]	C47(2)	Has any person who requested to join the Self Exclusion Scheme been refused?			
[256]	C47(2)	Are applicants required to give a written and signed undertaking not to gamble?			
[257]	C47(2)	Are applicants given prior opportunity to seek legal/other advice as to the undertaking?			
[258]	C47(2)	Are participants in the self-exclusion scheme given written information of name and contact details of gambling counselling services or treatment services?			
[259]	C47(2)(e)	Do staff know how to access information to restrict a self excluded person?			

39. PLAYER ACCOUNTS

[260]		Is the player card the same as the ordinary membership card?			
[261]	C84(1)	Does the club allow a person to have more than one current player account?			
[262]	C82(1)	Has a Player Card been issued to a person under 18 years?			
[263]	C87(1)	When issued a Player Card is the person given information on PAS?			
[264]	C88(1)	Can patrons make written requests to restrict net expenditure of the Player Account?			
[265]	(2)&(6)	Is written notice given at time of joining that players may restrict /alter weekly expenditure?			
[266]	(4)	Are all requests for restrictions on the account enacted within 24 hours?			
[267]	C89(1)	Has the club disclosed Account information to a person not lawfully entitled?			
[268]	C83	Are patrons told of the option to not participate in a PRS when issued a Card?			
[269]	C85	Are patrons limited to a maximum balance of $200 in the player Account?			
[270]	C85(1)	If no, does the club have a LAB exemption raising the limit to a maximum $1,000?			
[271]	C86(1)	Are patrons given a detailed transaction record on deposit or withdrawal from the account?			

40. PLAYER ACTIVITY STATEMENTS

[272]	►	Are PAS available to patrons who have a Player Account or a participant in a PRS?	*		
[273]	►	Has the club issued a PAS statement to a patron on their request? If yes,	*		
[274]	C87(8)	Has the PAS been provided free of charge to the patron?			
[275]	C87(3) (d)	Does the PAS include Total turnover? and	*		
[276]	(3)(e)	• Total wins? and	*		
[277]	(3)(f)	• Net expenditure? (turnover less wins) and	*		
[278]	(3)(g)	• Total daily time spent by participant playing gaming machines? and	*		
[279]	(3)(h)	• Overall time spent by participant playing gaming machines? and	*		
[280]	(3A)	• Total monies deposited withdrawn and points earned and redeemed?	*		
[281]	(5)(a)	• Advice that PAS information only relates to when the player card was used?	*		
[282]	(5)(b)	• Advice that PAS information may not relate to all the players gaming activity?	*		
[283]	(5)(c)	• Advice that PAS information may not include wins from play on linked systems?	*		
[284]	C42(7)	• Does the PAS include the G-Line information?	*		
[285]	C42(8)	Is the cost of a subsequent monthly PAS LAB approved?	*		
[286]	C43	Does the club keep a record, or copy of each PAS provided?	*		
[287]	C44(2)	Has the club disclosed PAS information to a person not lawfully entitled?	*		
[288]	C84(2)	Has the club extended a cash advance or credit using the player account?	*		

41. GAMING MACHINE TICKETS

[289]	C93	Do the machine tickets show a unique ticket number and dollar value of the credits?	*		
[290]	C94	Is the gaming machine designed with a security measure before issuing of a ticket with a value of more than $10,000?	*		
[291]	C95(1)	Do gaming machines that issue tickets keep records of LAB gaming machine ID no.? and			
[292]	(1)(b)	• Ticket number of each ticket issued? and	*		
[293]	(1)(c)	• Dollar value of ticket? and	*		
[294]	(1)(d)	• Date and time of ticket issue? and	*		
[295]	C95(2)	• Does the ticket show Name of issuing club? and:			
[296]	(2)(b)	• Problem gambling information?	*		
[297]	C96(1)	Has the club designated (by signs or similar) a place where tickets may be redeemed?	*		
[298]	C96(2)	Can a ticket be redeemed for cash or cheque or both?	*		
[299]	C96(3)	Have staff lawfully refused redemption of a gaming machine ticket if not satisfied that the claimant is not entitled or has not provided the relevant information?	*		
[300]	C98(1)	Does the Club record patron details on gaming tickets that are not redeemed within 2 days of the ticket date or over $500?	*		
[301]	C97(2)	Are ticket redemptions authorised only by: CEO, Director, Club employee?	*		
[302]	(2)(d)	When the above persons are unavailable: a Club member?	*		
[303]	C97(4)	Is there a record of personal details persons who may authorise ticket redemptions?	*		
[304]	C97(5)	Is there always a person available who may authorise ticket redemptions?	*		
[305]	C98(1)	Does the club record ticket redemption details? If yes does it show	*		
[306]	C98(2)	• Name, address and signature of the claimant?	*		
[307]	C98(2)	• Details of the documentary proof offered by the claimant?	*		
[308]	C98(2)	• Time and date of redemption?	*		
[309]	C98(2)	• Name and signature of the person who authorised the ticket redemption?	*		

			Yes	No	
[310]	C99(a)	Is there a separate monthly record of tickets redeemed within 2 days of the win?	*		
[311]	C99(b)	Is there a separate monthly record of tickets redeemed after 2 days of the win?			
[312]	C99(c)	Is there a separate monthly record of tickets not claimed?	*		
[313]	C100(1)	Is there a notice displaying all unclaimed tickets more than 12 months old?	*		
[314]	C100(2)	Is such notice displayed for a minimum 7 days?	*		
[315]	C100(3)	Does such notice advise that a claim may be made at any time on the club for the prize?	*		
[316]		Has the club made any payment of an unclaimed ticket more than 12 months old?	*		
[317]	C101	Have disposal of monies of unclaimed prizes been authorised by the LAB?	*		
[318]	C102	Are club records in a LAB approved form and retained for inspection by an inspector?	*		

42. CLUB KENO

Refer to the Public Lotteries Act, 1996 and the Public Lotteries Regulation, 2002

			Yes	No	
[319]	►	Is there a Club Keno commission general ledger account?			
[320]	►	Does this account accord with the Club Keno statement for the financial year?			
[321]	S43(1)	Have Keno entries been paid in cash or cheque at or before time of entry?			
[322]	►	Has club reported instances of credit betting to police or Keno within last 12 months?			
[323]	►	Is the Extract of Keno Rules displayed where Keno entries are accepted?			
[324]	S24(1)	Are copies of the Keno Rules available on request and free of charge?			
[325]	s44	Has the club permitted a minor to purchase a game of Keno, whether personally, through another person, by mail, by electronic means, or otherwise?			
[326]	S39	Has the club published keno advertising that is false, misleading or deceptive?			
[327]	C8(2)	Is the English approved player information brochure 2E available and on display at each point of sale?	**		
[328]	C7(3)	Are community language player information brochures supplied ASAP following a request?			
[329]	C13(1)	Are Keno prize payments of over $2,000 paid by a crossed cheque or by EFT?			
[330]	C11	Is the G-line notice displayed at each point of Keno sale? (on the Extract of Rules) **Is gambling a problem for you? Call G-line (NSW) counselling service 1 800 633 635**	**		
[331]	C12(2)	Has the club published Keno advertising that encourages a breach of the law, depicts children or implies winning is an outcome of Keno play, or implies Keno play will improve a person's finances, or not conducted it with decency, dignity and good taste?			
[332]	Cl.14	Is free or discounted liquor offered or supplied as an inducement to play Keno?			
[333]	R5A(b)	Do duty Keno staff play Keno whilst on duty?			
[334]	R6(b)	Is a Senior Writer present at all times while Keno is in progress at the club?			
[335]	►	Has any Keno Writer used another Keno Writer's issued ID/password?			
[336]	►	Do Senior Writers authorise a Junior Writer's transactions over a certain amount?			

43. GAMING MACHINE METERS

			Yes	No	
[337]	C18(1)	At least monthly, does the club read the following meters:			
[338]	(2)(a)	• Turnover meters	*		
[339]	(2)(b)	• Coins out, or if applicable - credit wins meters	*		
[340]	(2)(c)	• Money to cash box meters?	*		
[341]	(2)(d)	• Cancelled credits payments meters?	*		
[342]	(2)(e)	• Book jackpot wins meters - if applicable?	*		
[343]	(2)(f)	• Money-in meters [ie. via centralised cash control equipment]	*		
[344]	(2)(g)	• Money-out meters [ie. via centralised cash control equipment]?	*		
[345]	(2)(h)	• Cash in meters?	*		
[346]	(2)(i)	• Cash out meters?	*		
[347]	(3)(a)	Does a written record of each reading show the serial no. of the gaming machine? and			
[348]	(3)(b)	• Date of the reading? and			
[349]	(3)(c)	• Meter reading? and			
[350]	C18(4)	If the Turnover Meter has malfunctioned since last reading, is the reading estimated?			
[351]	C18(4)	Are estimate reading so endorsed in any information lodged with the LAB?			
		Does the club record each month the following information of each gaming machine:			
[352]	C18(5)(a)	• Cash flow analysis?			
[353]	(5)(b)	• Comparison of cancelled credits payments and book jackpot wins meter readings with the corresponding entries in the club's payout sheets?			
[354]	(5)(c)	• Comparison of money-out meter reading or cancelled credits payment meter reading, showing:			
[355]	(c)(i)	• Value of tickets issued from the machine that have been redeemed?			
[356]	(c)(ii)	• Value of unclaimed gaming machine tickets issued from the gaming machine?			
[357]	C18(6)	Is the Cash Flow Analysis in, a form approved by the LAB?			
[358]	C18(7)	Is the information contained Clause18(5)(a)(b) & (c) reported to directors monthly?			
[359]	C18(8)	Have malfunctioning meters been repaired ASAP?			
[360]	C19(1)	Does the club maintain a current and 12 month record of each approved gaming machine kept by the club?	*		
[361]	C19(2)	Are the records submitted within 1 month to the club's board?			
[362]	►	Has there been any significant variations arising from the cash flow analysis? If yes			
[363]	PAS	Has the club properly examined the variations?			

44. PROGRESSIVE GAMING MACHINE AND PROGRESSIVE SYSTEMS

[364]	C68(a)	Does the club have a progressive gaming machine or system that is not authorised?	**		
[365]	C68(c)	Has the club removed a functioning authorised progressive gaming machine or system?	**		
[366]	C69(1)	Has the club operated a faulty progressive gaming machine, or system?	**		
[367]	C69(2)	Are faulty progressive gaming machines, or systems immediately removed from play?	**		
[368]	C69(2)	When found, are faulty machines, or systems repaired ASAP?	**		
[369]	C69(3)	Have all faulty turnover or progressive meters of a machine that is linked to a progressive system, been removed from play and repaired ASAP?	**		
[370]	C70	Is access and repair of the progressive gaming machine or system restricted to a board nominee, licensed technician, special inspector or LAB approved person?			
[371]	C71 (1)(a)	Has the club disposed of an authorised progressive gaming machine or system? If yes			
[372]	1(b)	Did the club obtained LAB approval prior to disposal? and	**		
[373]	(1)(c)	Disposed of an accumulated progressive jackpot on any gaming machine or system? and	**		
[374]	(1)(d)	Made alternative use of any such progressive jackpot amounts?	**		
[375]	C71(2)	If the progressive gaming machine or system has been disposed:			
[376]	(2)(a)	Have all jackpots accumulated on the progressive machine or system been won?	**		
[377]	(2)(b)	Have an accumulated jackpot been transferred to another progressive gaming machine or system in the club?			
[378]	(2)(c)	Has accumulated progressive jackpot amounts been *[in accordance with cl.71(3) below*] applied to pay additional prizes on another gaming machine in the club?			
[379]	(2)(d)	Has the LAB approved of an alternative proposal?			
[380]	C71(3)	Has the club applied an accumulated progressive jackpot under C71 (2)(c)? If yes:			
[381]	(3)(a)	Has the amount provided by the club to initially start up the prize been deducted from the value of the accumulated jackpot prize?			
[382]	(3)(b)	Are there adequate safeguards to control any scheme devised?			
[383]		Is the method of dispersing accumulated jackpot reported to the LAB?			
[384]	C72(2)	Has the club submitted details of each proposal to the LAB seeking approval to dispose of a progressive gaming machine or system, or for an alternative proposal for use of accumulated progressive jackpot/s?	**		
[385]	C72(3)	Is the club aware that application to dispose of a progressive machine or system, and to disperse accumulated progressive jackpots must indicate the method and time frame of dispersing amounts?	**		
[386]	C77 C78	Has the club read and recorded monthly (in a LAB approved form) the progressive machine or system? and	**		
[387]	►	Electro-mechanical and electronic turnover meters of progressive machines and systems?			
[388]	►	Amount shown on the progressive meters of those progressive machines and systems?			
[390]	►	Amount on the meter of each progressive machine and systems at time jackpot is won?			
[391]	►	Does the club maintain a monthly written record of the readings made under (a) & (b) in a form approved by the LAB?			
	►	Does the record contain the serial no. of each authorised progressive machines and systems?			
[392]	►	• Date of the reading? and			
[393]	►	• Turnover meter reading? and			
[394]	►	• Amount shown on the progressive meter?			
[395]	►	Has the club conducted a monthly progressive jackpot reconciliation?			
[396]	►	Is the reconciliation in a form approved by the LAB and retained for minimum 3 years?			
[397]	►	If reconciliation indicates a malfunction has the club complied with the LAB direction to adjust the progressive jackpot amount and pay an additional amount to a jackpot			

			Yes	No	
		winner?			
[398]	►	Is the monthly progressive jackpot reconciliation reported to the board monthly?			
[399]	►	Are results of authorised progressive gaming machines and systems kept separate from other gaming machines in any Net Analyses Report?			
[400]	C79	Does the club operate a progressive gaming machine or system where the prize pool exceeds $20,000? If yes:	**		
[401]	►	Has the club established a special account or formal guarantee from a finance institution?			

45. GAMING TECHNOLOGY COMPLIANCE

[402]	►	On each machine, does the artwork match the game? and	*		
[403]	►	Are buttons labelled correctly?	*		
[404]	►	Is the number of gaming machines at the club equal to that authorised by the LAB?	**		
[405]	►	Do gaming machine configurations match what is authorised by the LAB?	*		
[406]	►	Do gaming machines in operation have legitimate compliance plates fitted? If no:			
[407]	S77(4)	Has any person removed, altered or interfered with machines' compliance plates?	**		
[408]	►	Are gaming machines' security seals intact? If no:			
[409]	►	Has an unauthorised person broken gaming machines security seals?	*		
[410]	S77(2)	Has an authorised person not replaced a gaming machines' security seals?	*		

46. INDUCEMENTS TO PURCHASE GOODS AND SERVICES

[411]	S43A	Has the club or staff been offered or received any benefit or advantage to purchase goods or services? If yes			
[412]	(1)(a)(b)	Has the offer been set out in a written agreement?			
[413]	(2)(a)	Is the offer:- available openly and generally to all other clubs? and			
[414]	(b)	• Predominantly educational and specifically and genuinely a course of study?			
[415]	(c)	• Is of signficant assistance to the club?			
[416]	(d)	• Not pre-determined to any specific person?			
[417]	(e)	• Free from influence by the person making the offer?			

PART D – GOVERNANCE AND MANAGEMENT

			Yes	No	
[418]	S37	Has the Club lodged a copy of their annual report to the DLG within 1 month of AGM?			
[419]	S40	Has the Club prepared and displayed the quarterly statement of receipts and payments?			
[420]	S41C	Is there evidence of club directors not declaring a material personal interest in club matters?			
[421]	S41I	Are such disclosures exhibited on notice board within 48 hours for more than 14 days?			
[422]	S41D	Is there evidence of club directors/top executives not declaring an interest in a hotel?			
[423]	S41E	Is there evidence of club directors/top executives not declaring gifts or remuneration of more than $500 from affiliated bodies?			
[424]	S41F	Is there evidence of club directors/employees not declaring gifts or remuneration of more than $500 from affiliated bodies?			
[425]	S41G(a)	Does the secretary keep and maintain a register of disclosures, declarations and returns refer to above?			
[426]	S41G(b)	Has a copy of the secretary register been sent to the DLG?			
[427]	S41G(c)	Is there evidence that the secretary's declaration and disclosure register has been withheld from view to members?			
[428]	S41H(1)	Has the Club sent the information to members as prescribed in S41H(1)(a) to (l)			
[429]	S41J(2)	Does the Club report all its core and non core property in the club annual report?			
[430]	S41J(3)(a)	[if by sale] been subject to a valuation by an independent registered real estate valuer?			
[431]	S41J(3)(a)	Was the sale approved by the majority of ordinary members at a general meeting? and			
[432]	S41J(3)(b)	By way of public auction or open tender and conducted by independent real estate agent?			
[433]	S41K(1)	Are all club contracts wherein a club director or top executive has a pecuniary interest first approved by the Board?			
[434]	S41L	Is there evidence that the club has a contract with either the Secretary, or an Approved manager; or a close relative of either of these two persons, or an entity which either of these two persons has a controlling interest?			
[435]	S41M	Has the Club's Board approved of all remuneration contracts of the club's top executives?			
[436]	S41N(1)	Has the Club provided a loan to a director?			
[437]	S41N(2)	If the Club has made a loan to a staff member is it less than $10,000 and has it first been approved by the Board?			
[438]	S41O	Is the Club aware of the definition of a controlled contract refer to S41K and C47K?			
[439]	S41(3)	If the club has executed a controlled contract, has a copy of the contract been sent to the DLG within 14 days?			