

IN THE MATTER of the Gambling Act 2003
AND the amendment by the Gambling Commission of the Responsible Gambling Programme for the Auckland casino

BEFORE THE GAMBLING COMMISSION

Members: G L Reeves (Chief Gambling Commissioner)
L M Hansen
R D Bell
D C Matahaere-Atariki
W N Harvey

Dates of Decision: 11 September 2015, 13 November 2015

Date of Notification of Decision: 22nd December 2015

DECISION ON THE AMENDMENT BY THE GAMBLING COMMISSION OF THE RESPONSIBLE GAMBLING PROGRAMME FOR THE AUCKLAND CASINO

Introduction

1. By this decision, the Gambling Commission ("**Commission**") amends the Responsible Gambling Programme ("**RGP**") for the Auckland casino approved by the Commission on 7 August 2013, and approves in its place the amended RGP **attached** to this decision. The attached document bears the title "Host Responsibility Programme" ("**HRP**"), but constitutes the RGP referred to in the licence conditions attached to the operator's licence held by SKYCITY Casino Management Limited ("**SCML**") for the Auckland casino.

Process

2. Condition 27 of SCML's operator's licence for the Auckland casino provides that the Commission will review the Programme every two years. The Commission's last review concluded in August 2013 with decision GC21/13 revoking the then existing Programme, and approving a new Programme in its place.
3. The Commission wrote to SCML on 12 June 2015, inviting it to submit for review a draft RGP. The Commission received SCML's response on 25 June 2015. SCML proposed a new HRP and Problem Gambler Identification Policy ("**PGIP**") for the Auckland casino.
4. Potential interested parties comprising the Secretary for Internal Affairs ("**Secretary**"), Ministry of Health ("**MoH**"), Problem Gambling Foundation ("**PGF**"), Lifeline ("**Lifeline**"), Salvation Army ("**SA**"), Christchurch Casinos Limited ("**CCL**") and Dunedin Casinos



Management Limited ("DCML") were invited to file written submissions on the HRP and PGIP proposed by SCML. All parties did so except for DCML and Lifeline.

5. As it has done in the past, the Commission retained Dr Paul Delfabbro, Professor at the School of Psychology, University of Adelaide, to provide the Commission with expert advice on the HRP. Dr Delfabbro undertook a review of SCML's draft proposal and provided a report to the Commission.
6. The Commission circulated a copy of the submissions received, and Dr Delfabbro's report, to all submitters and invited them to file submissions in reply. Submissions in reply were received from SCML, the Secretary and PGF.
7. Dr Delfabbro was provided with a copy of the submissions received, and he provided additional comments for the Commission to consider.
8. The Commission considered SCML's proposed HRP on the papers at its September 2015 meeting. In accordance with its iterative approach to the review of the HRPs for each casino, the Commission considered SCML's proposal and the submissions against those HRPs previously approved, and considered whether any variations suggested or submissions made would improve upon those documents in the Auckland Casino context, or more generally. The Commission formed initial views at this meeting.
9. On 30 September 2015, the Commission met with SCML to communicate its initial views and to invite comment in response.
10. On 8 October 2015, SCML informed the Commission that it accepted the Commission's comments and made the appropriate amendments to its documents. SCML also proposed additional minor suggestions, which the Commission accepted.
11. On 9 October 2015, and before the Commission had completed its review, SCML wrote to the Commission proposing to introduce into its HRP two of the three harm minimisation measures which SKYCITY was obliged to incorporate into its HRP pursuant to the New Zealand International Convention Project and Licensing Agreement (the "Agreement") dated 5 July 2013. The two harm minimisation measures are:
 - (a) the "Focal Model", whereby SCML will operate an analytical model which uses customer loyalty data to identify gambling behaviours that carry an elevated risk of problem gambling harm; and
 - (b) a requirement to have 24 hours per day, 7 days per week coverage of the casino by Host Responsibility Executives employed by the casino, the number of such



Host Responsibility Executives being doubled from three to six, with a Host Responsibility Executive on site at all times that the casino is operating.

12. The third harm minimisation measure required by the Agreement, a voluntary pre-commitment system, is already part of the Auckland HRP, having been introduced in 2013.
13. SCML provided an amended HRP which incorporated all three measures and notified the Commission of their inclusion. Commission approval to include these measures is not required under the Agreement, as the requirement to introduce them did not provide for the Commission's prior approval and the terms of the Agreement were given effect to by the New Zealand International Convention Centre Act 2013 ("NZICCA"). In addition, condition 25 of SCML's operator's licence allows SCML to make appropriate improvements in its HRP, with the Commission's approval only being required for the reduction or removal of any initiative in the approved HRP¹. The Commission is satisfied that the abovementioned three measures do not involve the removal or reduction of any approved initiative and could have been included without the Commission's approval. However, the timing means that it is convenient to incorporate the changes in the newly approved HRP.
14. SCML's amended HRP, with the three harm minimisation measures included, became operational on 21 October 2015, before the Commission completed its review of the HRP submitted on 25 June 2015.
15. At its November 2015 meeting, the Commission identified a number of additional amendments to SCML's proposed documents. The Commission met with SCML on 10 December 2015 to communicate the additional amendments and to invite comment in response. SCML proposed additional amendments, which the Commission accepted.

Jurisdiction

16. Condition 24 of the licence conditions attached to SCML's operator's licence for the Auckland casino specifies the matters which must be included in the HRP. Condition 24 provides:
 24. The Programme shall be consistent with and impose no lesser requirement than specified in the Act or Regulations. The Programme shall address and not be limited to:
 - (a) the provision of information for customers relating to game rules, permissible bets and payment of winning bets pursuant to section 175 of the Act;

¹ Condition 28 of SCML's operator's licence for the Auckland casino.

- (b) the provision of signage, brochures and publications, and the effective display and distribution of the same, to inform gamblers of the odds of winning, how to gamble safely, the characteristics of problem gambling and the availability of counselling and other support services;
- (c) a policy for identifying problem gamblers. This policy shall include, as a minimum, the following:
 - (i) an acceptable definition of problem gambling;
 - (ii) indicators of problem gambling in the gambling venue;
 - (iii) the steps to be taken by the Licence Holder in identifying actual or potential problem gamblers;
- (d) the provision of staff training;
- (e) the provision of exclusion, self-exclusion and limitation programmes;
- (f) assistance to casino employees with managing the potential for personal problem gambling;
- (g) recognition of cultural differences amongst gamblers using the Casino, and the need to tailor delivery of host responsibility obligations to maximise effectiveness for customers;
- (h) guidelines for responsible marketing and advertising of the Casino, including exterior signage, and restriction on jackpot advertising and branding pursuant to Regulations 9 and 10 of the Gambling (Harm Prevention and Minimisation) Regulations 2004;
- (i) responsible practices in the conduct of promotions and inducements to gamble at the Casino;
- (j) design of the Gambling Area to minimise problem gambling behaviour and to maximise the likelihood that episodes of problem gambling will be noticed and addressed by staff;
- (k) promotion of the responsible consumption of alcohol, including provision of staff training in responsible service of alcohol;
- (l) standards of dress and behaviour at the casino;
- (m) liaison with community service organisations, patrons with gambling problems, and family members of patrons with gambling problems; and
- (n) such other matters as the Commission may require.

17. The attached HRP addresses the matters specified in condition 24, many of which, in turn, specify how SCML will implement obligations imposed by the Gambling Act 2003 ("Act") and Regulations.

18. In relation to conditions 24(c) and (e), sections 308-312A of the Act set out particular obligations relating to the identification of problem gamblers, provision of assistance, exclusion procedures and record keeping:

- (a) Section 308(1) requires the holder of a casino operator's licence to develop a programme or policy for identifying problem gamblers. A notice advising customers of the existence of this policy must be displayed and a copy of the policy made available on request.
 - (b) Section 308(4) requires the holder of a casino operator's licence to take all reasonable steps to ensure that the policy is used to identify actual or potential problem gamblers.
 - (c) Section 309(1) requires the holder of a casino operator's licence to approach and provide certain information or advice to every person identified under section 308(4) as a person whom the Licence Holder has reasonable grounds to believe is a problem gambler. Pursuant to section 309(2)(a), the information must include a description of the self-exclusion procedure available under section 310.
 - (d) Section 309(3) provides that an exclusion order may be issued to a customer who is provided with information or advice about problem gambling under section 309(1).
 - (e) Section 309A requires the casino operator to take all reasonable steps to assist anyone who did not request self-exclusion after being approached and provided with information or advice, but whose ongoing gambling or other behaviour gives rise to reasonable grounds to believe is a problem gambler. The required assistance expressly includes issuing an exclusion order, without a request to do so, in appropriate cases.
 - (f) Section 310 specifies when an exclusion order must be issued; namely, when requested by a person who has identified himself or herself as a problem gambler.
 - (g) Section 312A requires a casino operator to keep records of certain specified information about exclusions, including identifying details, the manner, date and length of the exclusion and the conditions of re-entry and provide them if requested by the Secretary.
19. The HRP details how SCML will undertake both compulsory and discretionary activities aimed at harm minimisation, including how SCML will comply with the obligation to take all reasonable steps to assist a patron who, it has reasonable cause to believe, is a problem gambler but who has not requested exclusion, and how it will implement the self-exclusion procedure required by section 310.

20. Section 4 of the Act defines "problem gambler" as:

A person whose gambling causes harm or may cause harm.

21. "Harm" is defined in the Act as:

- (a) means harm or distress of any kind arising from, or caused or exacerbated by, a person's gambling; and
- (b) includes personal, social, or economic harm suffered –
 - (i) by the person; or
 - (ii) the person's spouse, civil union partner, de facto partner, family, whanau, or wider community; or
 - (iii) in the workplace; or
 - (iv) by society at large.

22. A careful examination of these provisions and definitions reveals that, for understandable reasons, the Act's obligations are not confined to a single category of persons who have been formally diagnosed as problem gamblers. Even the definition of "problem gambler" includes an element of potentiality and the Act's various provisions cover a range which extends from potential problem gamblers (a person who is potentially someone whose gambling may cause harm) to self-identified problem gamblers.

23. In summary:

- (a) A problem gambler is someone whose gambling conduct has characteristics which "may cause harm". While there is a sense in which any undertaking of a particular activity carries with it the potential for that activity to cause harm (in the sense that the possibility of harm being cause by an activity can only be completely excluded if the activity itself does not take place), it is clear that the definition is not to be interpreted in that very broad way. Such an approach would eliminate any of the distinctions which the language of the Act clearly recognises (as set out below). A problem gambler, as defined, (or an "actual" problem gambler) is not limited to someone whose gambling has actually caused harm but includes someone who is gambling in a manner which may cause harm.
- (b) The PGIP required by section 308(1) must be used to identify actual or potential problem gamblers (section 308(4)); the latter is someone who may be gambling in a manner which may cause harm.
- (c) Of those identified as actual or potential problem gamblers, only those whom the casino operator has reasonable cause to believe is a problem gambler (as defined) must be approached and given information or advice about problem gambling.

- (d) Any of those so approached may be excluded by the casino operator for a period of up to 2 years.
 - (e) The casino operator must take reasonable steps to assist those approached who do not request exclusion, if the operator still has reasonable cause to believe is a problem gambler. That assistance includes an exclusion order, if appropriate.
 - (f) In any event, all those who identify themselves as a problem gambler and who request exclusion must be excluded by the casino operator for a period of up to 2 years.
24. The foregoing are the minimum steps that are required to be taken under the Act. The HRP must contain the detailed steps which will ensure that those minimum requirements are met but it is also intended to be a working operational document which records what the casino operator will in fact do, including in respect of discretionary matters. For that reason, the HRP contains steps which are additional to the statutory minimum and may even contain matters which are not, strictly speaking, concerned with problem gambling but which are conveniently located with harm minimisation activities.

Submissions to the Commission

25. As the HRP proposed by SCML closely followed the HRPs previously approved by the Commission, only one major issue was identified for discussion; namely, long or continuous play by patrons. The remainder of the submissions involved proposals for specific drafting amendments to improve SCML's documents.

Long/Continuous play

26. SA, PGF and MoH did not support SCML's long hours of play procedure, set out in section 2.1.6 of the HRP. SA submitted that the timeframes for both the "continuous presence" and "continuous play" sections were unacceptably long and that the threshold for both should be much lower than the proposed six hours; at around two to three hours, in line with most non-gambling entertainment options, such as movies or sporting events.
27. SA referred to Australian research which suggested that gambling for three to five hours without a break is an indication of problem gambling and submitted that six hours of continuous gambling is a strong indicator of potential gambling harm.
28. MoH concurred with SA and drew the Commission's attention to the National Gambling Study (2014) which the MoH commissioned the Auckland University of Technology to undertake. The Study found that the risk of being a problem or moderate risk gambler is 28 times higher for people who gamble three or more hours on casino gaming machines



than for people who do not gamble on casino gaming machines. MoH submitted that the Auckland HRP should reflect the Study's findings and reduce the continuous play threshold from six hours to three hours.

29. In its primary submissions, PGF was pleased that SCML had included a long hours of play policy in its HRP, but was of the view that the policy should be amended to require mandatory intervention by SCML in all cases where patrons play continuously for six hours or more.
30. PGF took a stronger stance in its reply submissions, concurring with SA and MoH that steps should be taken after three hours of continuous gambling, rather than six.
31. In his submissions, the Secretary supported the inclusion of the long hours of play policy and acknowledged SCML's work when considering extended sessions of play by patrons. He noted that identifying and managing continuous play is an area of significant concern and stated that he would monitor SCML's management of the issue.
32. The Secretary also noted that the long hours of play policy is primarily directed at carded players, with very little mention of SCML's proposed approach for dealing with uncarded players who gamble for extended periods. The Secretary acknowledged the challenges associated with monitoring uncarded players, but submitted that the HRP should be amended to have SCML address this.
33. Dr Delfabbro considered the issue of extended play in some detail in his report to the Commission. Dr Delfabbro cited a 2014 project conducted for Gambling Research Australia which considered the issue of extended periods of gambling. Dr Delfabbro stated that this study "further supports earlier findings that the duration of gambling sessions or continuous gambling is more commonly reported by problem gamblers than other gamblers." Dr Delfabbro produced two tables of data from that study and stated as follows:

The first table of results shows that 41% of problem gamblers report "frequently" or "always" gambling for 3 or more hours without a proper break as compared with 16% of moderate risk gamblers and 8% of lower risk gamblers.

N (%) of gamblers who reported they gambled for three or more hours without a proper break

Total sample	Never 0% N (%)	Rarely 0-25% N (%)	Occasionally 25-50% N (%)	Frequently 50+ N (%)	Always 100% N (%)
No & Low risk (n = 149)	104 (69.8)	29 (19.5)	10 (6.7)	4 (2.7)	2 (5.3)
Moderate risk (n = 148)	55 (37.2)	39 (26.5)	30 (20.3)	19 (12.8)	5 (3.4)
Problem (n = 201)	19 (9.5)	42 (20.9)	52 (28.3)	50 (24.9)	33 (16.4)

From Thomas, Delfabbro, & Armstrong (2014)

The second table shows that 24% of problem gamblers report "frequently" or "always" gambling 5 hours or more without a proper break as compared with 3% of moderate risk gamblers and less than 1% of lower risk gamblers.

In other words, the results show that intervals of continuous play of 3 hours or more are more likely to be associated with problem gambling, but that the use of this threshold will also capture a reasonable proportion of moderate risk gamblers. On the other hand, intervals of continuous play of 5 hours or longer are very rarely observed in any gamblers apart from problem gamblers.

N (%) of gamblers who reported gambling for 5+ hours without a proper break

Total sample	Never 0% N (%)	Rarely 0-25% N (%)	Occasionally 25-50% N (%)	Frequently 50+ N (%)	Always 100% N (%)
No & Low risk (n = 149)	136 (91.3)	10 (6.7)	2 (1.3)	0 (0.0)	1 (0.7)
Moderate risk (n = 148)	100 (67.4)	31 (20.9)	12 (8.1)	3 (2.0)	2 (1.4)
Problem (n = 201)	57 (28.4)	56 (27.9)	39 (19.4)	28 (13.9)	21 (10.4)

From Thomas, Delfabbro, & Armstrong (2014)

34. The Issue of extended periods of gambling was one of the major issues considered during the 2013 review. Subsequent to that review, SCML wrote to the Commission stating that it had re-considered its approach to "continuous presence" and "continuous play" in order better to address this issue. SCML incorporated its revised approach into its proposed HRP and sought Commission approval for its inclusion. The amended approach provided that "continuous presence" is where a customer is present in the casino, but not necessarily gambling continuously, for 12 hours or more. It defined "continuous play" as being where a customer is gambling continuously for six hours or more.
35. Like the Secretary and PGF, the Commission considered it positive that SCML has revisited this contentious issue. The Commission noted SCML's inclusion of specific time parameters in this section, an approach favoured by most submitters, including Dr Delfabbro, although submitters differed on the length of the time parameters to be included. The Commission commented on the use of specified time parameters in relation to continuous play during the 2013 review. At that time the Commission concluded, for a variety of reasons (set out in paragraphs 42-56 of decision GC21/13) that an HRP should not specify a precise period as defining, or even illustrating, continuous play, noting that doing so may have the effect of creating the perception of a "safe harbour", whereby lesser periods of continuous play could be safely ignored by SCML.
36. After giving careful consideration to SCML's proposal to include time parameters, the Commission concluded, on balance, that specified timeframes could assist operators in their dealings with patrons who gamble for extended periods of time and should be included.

37. In reaching its conclusion on the various proposed timeframes, the Commission found the research cited by Dr Delfabbro to be very persuasive. As he noted, defining continuous gambling as "3 hours or more" is likely to capture a number of problem gamblers, but it will also capture "a reasonable proportion" of moderate risk and low risk gamblers. However gambling for five hours or longer is very rarely observed in any gamblers apart from problem gamblers. The Commission was of the view that this research (together with the submissions made by SA, PGF and MoH that gambling continuously for six hours before any steps are taken by an operator is too long), provided a basis for it to conclude that operators should proactively interact with patrons who have been gambling continuously for five hours because they are likely to be problem gamblers.
38. The Commission discussed this issue with SCML and proposed that the HRP be amended to require SCML to approach patrons who have been gambling continuously for five hours (rather than six). The Commission also suggested that SCML could make a number of drafting amendments to this section of the HRP to simplify and clarify its "continuous presence" and "continuous play" guidelines. SCML accepted the Commission's observations and amended the section accordingly.
39. In approving amendments to this section of the HRP, the Commission wants to make it clear that the inclusion of time parameters does not relieve SCML of its obligation to monitor patrons who are gambling continuously for less than five hours; SCML must monitor its patrons for any and all signs of problem gambling throughout the duration of their gambling at the Auckland casino, regardless of the brevity of their stay. What the Commission is stating is that, as research indicates that almost all patrons who gamble continuously for five hours (or more) are likely to be problem gamblers, SCML must, at the very least, interact with those patrons and monitor those patrons in the manner set out in the HRP and PGIP.
40. The Commission also raised the Secretary's submission that the HRP should set out SCML's approach when dealing with uncarded players who gamble for extended periods of time. In response, SCML stated that it attempts to identify all uncarded players who gamble continuously for extended periods of time, but highlighted to the Commission the difficulty of doing so in a large premise with thousands of visitors each day. It stated that it endeavours to monitor all uncarded players who gamble continuously for extended periods of time, and will continue to do so in the future. It inserted a new paragraph into the Long Hours of Play section of the HRP to reflect its approach.
41. Finally, submitters and Dr Delfabbro stated that this section of the HRP could be better drafted to improve its effectiveness. For example, both SA and the Secretary queried SCML's use of the term "red flag indicators" when this term is not defined and is not



otherwise used in the HRP or PGIP (the PGIP currently makes reference to "strong indicators" and "general indicators"). Similarly, the Secretary and SA also questioned SCML's use of the terms "okay" and "not okay" in relation to the conclusion formed by SCML staff following interactions with patrons who have been gambling for extended periods of time.

42. In response, SCML accepted the submissions made and redrafted this section to replace "red flag indicators" with "strong indicators", and to replace the terms "OK" and "not okay" with terms which better align with the requirements of the Gambling Act.

Analysis of specific amendments proposed

43. In addition to the abovementioned major issue, submitters identified a number of specific areas for consideration, which are set out below.

(a) *Section 2.1.1 – Exclusion – Loyalty card holders*

The Secretary noted that this section continues to refer to a message that appears when an excluded customer gambles using his/her loyalty card. The error message asks the patron to "present his/her card to a SKYCITY staff member" but in practice, the Secretary understands, when an excluded player uses his/her card, SCML staff are alerted by "a flag" in the system so that they can take appropriate action with that patron. The Secretary submitted that he supports such a proactive approach and suggested that SCML amend the HRP to reflect this practice.

In response, SCML stated that the Secretary had misunderstood the existing practice; loyalty cards are completely deactivated when a customer is excluded from the casino because retaining the cards in a dormant (but still "live") state increases the risk of accidental communication between it and the excluded patron, or possibly creates an expectation that the customer will return following the exclusion. The HRP reflects the current position.

The Commission was of the view that this section does not require amendment. The HRP reflects current practice at the casino and SCML's rationale for its approach appears cogent.

(b) *Section 2.1.2 – Responsible service of alcohol*

The Secretary and CCL noted that the Sale of Liquor Act has been replaced by the Sale and Supply of Alcohol Act 2012, and the HRP needs to be updated to reflect that. In response, SCML agreed that it should amend its HRP accordingly.

(c) *Section 2.1.7 – Gambling limitation*

The Secretary noted that SCML offers pre-commitment “to all casino patrons” but his understanding is that, in practice, pre-commitment is available only to loyalty card holders. Although any player can sign up to the loyalty programme, he noted that there are “conflicting incentives if a patron has to join the loyalty programme in order to limit their play by using pre-commitment.” The Secretary suggested that, if pre-commitment were available only to carded players, SCML should develop a policy for assisting uncarded patrons who wish to set limits on their play.

The Secretary also submitted that this section of the HRP should set out the process that will be followed in the event that a customer breaches a pre-commitment limit, or increases, or disables the limit multiple times (beyond recognising these actions as “general indicators”). He was of the view that breaching the pre-commitment limits should result in immediate consequences, such as staff intervention.

The Secretary, SA and PGF all submitted that pre-commitment should be widely promoted and proactively offered to all loyalty cardholders and, as far as practicable, to other gamblers. PGF submitted that pre-commitment should in fact be mandatory, rather than voluntary.

In response, SCML submitted that it already actively promotes the loyalty programme and, although enrolment into the pre-commitment system requires a loyalty card, SCML is comfortable that the “conflicting incentives” are not a significant risk, as patrons have the option to block marketing and promotional communication from the casino.

SCML also submitted that an anonymous, or one-off, pre-commitment card conflicts with its obligations to identify actual or potential problem gamblers. It prefers that customers access the pre-commitment system through the loyalty programme where personal information is verified as part of the application process.

The Commission concluded that no amendments are required. Although patrons can only access the pre-commitment system by joining the loyalty programme, the Commission was satisfied that concerns about the conflicting incentives were ameliorated sufficiently by the ability of patrons to opt out of marketing and promotional communications and the benefits of automated pre-commitment coupled to verified identity. The Commission considered SCML's rationale for

maintaining its current approach to be cogent, as having patron knowledge is important when interpreting conduct, including breaches or increases in pre-commitment limits.

The Commission did not agree that breaching a pre-commitment limit should automatically have immediate consequences, in the form of a formal staff intervention. Increasing or breaching a pre-commitment limit is not determinative of a problem gambling assessment. Breach or increase of a pre-commitment limit should remain a general indicator only with SCML obliged to record and consider it along with any other indicators exhibited by the patron.

(d) *Section 2.3 – Employee gambling-related harm – Information resources*

SA and PGF submitted that information drafted by problem gambling service providers, and details about how employees can access problem gambling services should be added to the “Information resources” section.

The Commission was of the view that SCML could, relatively easily, provide employees with information on how to access external problem gambling services, and amended the HRP to include this.

(e) *Section 2.4 – Stakeholder engagement*

SA submitted that the stakeholder liaison meetings are not as effective as they could be. It suggested that meetings would be more effective if an independent facilitator were engaged. This suggestion was supported by the PGF in its submissions in reply.

PGF also submitted that it is not appropriate to remove the Police and the DIA from membership of the group, even if they rarely attend meetings. There should also be specific reference to Maori service providers.

In response, SCML agreed that this section of the HRP should be reviewed but not in the manner proposed by submitters; it suggested that the liaison meetings should be removed from the HRP altogether, as they are poorly attended. SCML also did not see the need to invite specifically identified ethnic service providers, or to define which Government agencies could attend as all providers and all agencies are welcome to attend (but typically do not).

While the Commission has been of the view that the casino liaison meetings have the potential to be beneficial, it has consistently been informed by all of the casinos that they are poorly attended and those attending usually have very few,

if any, issues to raise. The Commission therefore gave serious consideration to SCML's proposal to remove the liaison meetings from the HRP but, on balance, decided to retain them for the present and to reconsider the position at the next HRP review.

The potential benefits of liaison meetings depend on meetings being well attended and meaningful dialogue taking place. Parties are on notice that the requirement to hold liaison meetings is likely to be removed from the HRP if its continuing benefits are not established at the next review. The Commission's approach, when reviewing the HRP documents, has always been to focus on what achieves results. If provisions do not provide tangible benefits, they should be amended or removed

Finally, the Commission made a number of edits to this section, including amendments to make it clear that any appropriate party may attend a liaison meeting if they wish.

(f) *Section 2.6.1 – Safe gambling environment – Third party loans for financial gain – Requirements*

PGF submits that the amendments to the sixth bullet point are acceptable except that the words "take no further action" should be deleted and replaced with "a file retained and kept active for at least a further year in case further concerns come to light." In response, SCML made a number of edits to the bullet point in question to reflect better its actual practice when interacting with a customer who receives a loan for financial gain from the third party. The Commission saw no need to create an additional special rule for an activity that is already listed as a general indicator, although it made amendments to clarify SCML's approach.

(g) *Section 2.8 – Display of signage and provision of gambling information to customers – Display of game rules, permissible bets and payment of winning bets for table games*

PGF submitted that an additional requirement should be added to this section to state that staff cannot accept tips, which would reinforce the obligation required by section 170(1)(b) of the Act.

The Commission notes that section 2.8 already states that "signage is also displayed stating that staff cannot accept tips."

(h) *Section 2.9 – Learning and development – Induction training*

PGF submitted that there should be a specific requirement in this section for the training also to include "how to access local problem gambling services".

PGF also submitted that the third paragraph should be further amended to require SKYCITY staff likely to be in direct contact with gambling customers to complete an "Advanced Host Responsibility level 1" e-learning module after two months of employment, rather than three months.

In response, SCML submitted that its current HRP training is comprehensive and is reviewed regularly, but would incorporate PGF's first point.

The Commission's general approach is to allow operators to train their staff as they see fit unless there appear to be problems arising as a result of inadequate training. There is nothing before the Commission to indicate that SCML's training is deficient, so the Commission saw no need to require SCML to amend its approach. However SCML was happy to amend this section of the HRP to include training on how staff can access local problem gambling services.

(I) *Section 3.0 – Monitoring and reporting*

SA proposed that pre-commitment use should be added to the reporting measures. The Secretary noted that SCML's last report included pre-commitment data which he considers to be valuable.

In its reply submissions, PGF concurred.

The Commission agreed with SA, PGF and the Secretary. SCML previously reported data on the number of patrons participating in Agreed Limitation programmes (Time Out, Limited Play). Pre-commitment has replaced Agreed Limitation so SCML should now report on that. When the Commission raised this with SCML it concurred and amended the HRP accordingly.

(J) *PGIP – Section 2 – Indicators of problem gambling – General indicators – Intensity and frequency of play*

The Secretary noted previous Commission observations on this section of the PGIP; namely that the indicative dollar and time parameters are not "safe harbour" thresholds and that, if operators are running reports using only those parameters, they risk falling short of their obligations in relation to players who spend below these limits but whose conduct carries risk of gambling problems.

The Secretary suggested, based on observations during recent audits, that SCML continued to run reports based on the parameters in the PGIP. He was therefore concerned that a large portion of SCML's player demographic may be at risk of being overlooked. As he is concerned that SCML is not fulfilling its obligations, as clarified by the Commission, he suggested that the PGIP be amended to make

clear the compliance expectations in this area. SA concurred, and further submitted that the indicators are set too high to identify potential problem gamblers. For example, one of these indicators is that a customer visits the casino 5 times per week and spends \$250 per visit for up to one month. SA submitted that expenditure for gamblers from a low socio-economic background could be far less than this and still cause significant harm.

In response, SCML submitted that it has not had the benefit of viewing the Secretary's audit findings but, in any event, it has a very clear understanding of the Commission's expectations in this area. The PGIP states that the thresholds are not exclusive and its staff are encouraged to report observations of customers based on other factors which raise concerns. In its last report to the Commission SCML also noted that there were significant increases in the appropriate measures. For example, measure 1 ("Number of customers about whom there have been observations") was up by 211% while measure 2 ("Number of observed indicators reporting to host responsibility") is up 234%. SCML also submitted that the dollar and time parameters strike an appropriate balance to help with the identification of problem gamblers without devaluing the indicator by excessive capture. It also suggested that use of the Focal Research predictive model should provide additional useful information identifying gambling behaviour of concern.

The Commission formed the view that no changes were required, beyond a clarifying notation in the PGIP that the parameters are illustrative only and not "safe harbour" limits. SCML claims to understand the Commission's expectations and, as the Commission has previously noted, if SCML falls short of those expectations, significant consequences could follow.

Of even greater significance, the Focal Model, using a sophisticated predictive algorithm, has now been introduced at the Auckland casino and is expected to supplement usefully the intensity and frequency of play indicators in this section of the PGIP.

(k) *PGIP – Section 2 – Indicators of problem gambling – General indicators – Excessive access to money*

The Secretary proposed that "repeat visits to cashiers" be incorporated into the general indicator "repeated ATM visits and/or multiple declined transactions." In reply, PGF acknowledged that it is difficult to monitor visits to ATMs, cashiers, declined transactions, etc, but noted that they are monitored in the Class 4 environment, so PGF would like a strategy for casinos to do the same.

In response, SCML submitted that the inclusion of “repeated visits to cashiers” is too broad and places a heavy onus on staff facial/transaction recall, which differs across individual cashiers. Instead, it proposed that the section be amended to read “multiple declined EFTPOS transactions” as this is a more credible indicator that a person may be experiencing issues.

As it has noted in previous decisions, the problem gambling indicators have been developed after careful consideration, multiple submissions and the input of Dr Delfabbro. The Commission is generally reluctant to amend these indicators casually unless doing so is likely to assist materially with the identification of potential problem gamblers. The Commission sought the guidance of Dr Delfabbro in relation to the Secretary’s proposal, and SCML’s response. Dr Delfabbro noted the submissions made, but did not support the modification of the existing indicators at this stage. The Commission accepted Dr Delfabbro’s advice and kept the indicators in their current form.

The Commission also restored the deletions made to the general indicators by SCML, so that they remain in their original form.

The Commission has, however, included one additional general indicator as it is of the view that this will assist with the identification of potential problem gamblers; it included the measure “Failure to settle credit arrangements as agreed”.

(l) *PGIP – Section 3 – Sources of indicator data – customer data including loyalty*

The Secretary submitted that SCML should carry out a harm minimisation assessment every time that it considers removing a patron between tiers of its loyalty programme.

In response, SCML submitted that its current measures are sufficiently comprehensive that the screening of players by tier movement *en masse* would be impractical and remove the focus from other priority risk assessments.

The Commission concurred with SCML’s submission and made no change.

(m) *PGIP – Section 3 – Sources of indicator data – Third party disclosures*

PGF submitted that the second to last line of the third paragraph should be amended to read “If requested to leave, SKYCITY must also provide the customer with problem gambling information including exclusion options and contact details for problem gambling service providers.”

SCML was happy to include this into its PGIP. SCML was also happy to make a similar amendment to section 4 of the PGIP, following a similar PGF submission.

Other observations

44. *NZICC Agreement – Harm minimisation Measures*

The Secretary, SA and PGF all noted that the draft HRP did not then incorporate the harm minimisation measures required by the Agreement. They submitted that the measures should be included immediately, together with a note stating that they will come into force when the Regulatory Concessions come into effect.

45. As noted in the "Process" section above, SCML has incorporated the additional harm minimisation measures into its HRP, with effect from 21 October 2015. Those measures appear in the HRP attached to this decision.

46. *NZICC Agreement – Additional harm*

SA submitted that it is concerned about the potential additional harm that could arise as a result of the NZICC expansion, as SCML is permitted to deploy additional gambling product.

The Commission was of the view that the HRP's fundamental methodology is designed to be scalable in operation and that the risk of harm from the NZICCA expansion had been addressed by the additional harm minimisation measures required by the Agreement and now incorporated in the HRP.

47. *SCML's online gambling website*

The Secretary noted that SCML now offers an online gaming website. He submitted that this website can be likened to "fun-play" tables, which exist largely for educational purposes. In its decision on the last review of the Auckland HRP, the Commission stated that SCML should provide patrons with information on game rules and on the odds and risks of gambling, and SKYCITY amended section 2.8 of its HRP accordingly. The Secretary submitted that SCML should ensure that it provides the same information on its online gambling website with section 2.8 updated accordingly. The Secretary also submitted that SCML should report pertinent information of website activity to the Commission. In its submissions in reply, PGF concurred, noting that the website is a "grooming strategy".

48. In response, SCML did not accept that the website can be likened to fun-play tables, and also noted that online gaming does not take place in casino premises.

49. The Commission did not see any justification for amending the HRP to incorporate the website. Numerous "fun-play" websites are available to New Zealand citizens, and the Commission considered that it would be inappropriate to require SCML to address its website in the context of a casino HRP, especially when others have no similar obligations placed upon them. SCML's HRP is focused on preventing and minimising harm at the Auckland casino. If online patrons subsequently enter the Auckland casino, they are covered by SCML's obligations under the HRP and PGIP.

Broader consultation

50. SA submitted that the Commission should consult more broadly as part of the HRP review process. For example, it pointed out that the Commission did not specifically consult with any Maori or Pasifika service providers.
51. As part of this review, the Commission consulted with three large problem gambling service providers; namely PGF, SA and Lifeline. Although none of these service providers have a specific ethnic focus, they do offer services to an ethnically diverse population, with PGF in particular having Asian and Pacific units. The Commission therefore expects these providers to raise relevant issues relating to ethnicity.
52. Having said that, the Commission is not averse to consulting more widely in the future, in line with SA's suggestion.

Proposed amendments declined

53. Submitters proposed a number of drafting amendments to SCML's documents which the Commission did not accept. During previous HRP reviews the Commission has considered (and rejected) these submissions and in the absence of additional or new information, saw no need to amend its position on these matters following this review. The proposed amendments were to: section 1.2 – Programme objections (PGF), section 2.1.7 – Gambling limitation (PGF), section 2.2 – Host responsibility information for customers (PGF), section 2.3 – Employee gambling-related harm – Information resources (PGF), section 2.3 – Employee gambling-related harm – Policies and procedures (PGF), section 2.7 – Responsible marketing – Requirements (PGF), section 2.8 – Display of signage and provision of gambling information to customers – Display of signs, brochures, clocks and website (PGF), section 2.8 – Display of signage and provision of gambling information to customers – Information on gambling activity (PGF), section 3.0 – Monitoring and reporting (SA and PGF) and external evaluation of the HRP (SA and PGF).
54. Finally, the Commission records that it relocated section 2.10 (to become section 2.0) as this section sets out key information in relation to the identification of problem gamblers.

It is therefore better placed nearer to the start of the HRP than the end. This relocation has a consequential effect on the subsequent paragraph numbering.

Conclusion

55. The Commission specifies the RGP attached to this decision, including the PGIP annexed to and forming part of the RGP. This document bears the title Host Responsibility Programme as originally submitted but constitutes the RGP under licence conditions. These documents shall take effect from **1 January 2016**, replacing SCML's RGP approved on 7 August 2013.



Graeme Reeves
Chief Gambling Commissioner

for and on behalf of the
Gambling Commission

22nd December 2015





SKYCITY Auckland

**Host Responsibility
Programme**

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1.0 Introduction

Approval

Effective date: 1 January 2016

Manager:

General Counsel

General Manager SKYCITY Auckland

1.1 Statement of position

Statement of position

SKYCITY is committed to providing a fun and safe environment for all customers and staff.

SKYCITY recognises that alcohol and gambling can be associated with harm for some of its customers. SKYCITY takes its role as a responsible host seriously and recognises that it has an important role to play in preventing and minimising alcohol and gambling-related harm for its customers and staff.

SKYCITY Auckland intends this Programme to be a usable document for all staff which clearly sets out its obligations with respect to harm minimisation and prevention.

Compliance with legal obligations

The Programme has been developed by SKYCITY Auckland and addresses the host responsibility conditions in the casino operator's licence held by SKYCITY Casino Management Limited that relate to the Auckland property.

Standard Operating Procedures (SOPs) developed by SKYCITY shall be consistent with and impose no lesser obligations than provided in the Gambling Act 2003 ("Act"), regulations, licence conditions or this Programme.

SKYCITY Code of Business Practice

The Programme contributes to SKYCITY Auckland's compliance with the SKYCITY Code of Business Practice.

1.2 Programme objectives

Objectives

The principal objectives of the SKYCITY Auckland Host Responsibility Programme include:

- preventing the onset of gambling and/or alcohol related harm and minimising gambling-related harm for customers and other persons potentially affected by their gambling behaviour; and
- facilitating responsible gambling.

SKYCITY Auckland aims to fulfil these objectives by:

- providing effective staff training;
- providing a safe gambling environment;
- providing responsible marketing and promotional initiatives;
- promoting the responsible consumption of alcohol; and
- engaging effectively with stakeholders.

Outcomes

SKYCITY intends that implementation of the Programme will assist customers who may be experiencing harm as well as assist in preventing the onset of gambling and/or alcohol related harm to those customers who may be at risk. Reporting requirements relating to achievement of Programme objectives are set out in section 3.

2.0 Identification of problem gamblers

A copy of SKYCITY's Problem Gambler Identification Policy is attached as Appendix B and forms part of this Programme. The Policy fulfils SKYCITY's obligations under the following sections of the Act.

Section 308 requires that the holder of a casino operator's licence must have a policy for identifying problem gamblers, which includes:

- an acceptable definition of problem gambling;
- indicators of problem gambling in the casino; and
- the steps to be taken in identifying actual or potential problem gamblers.

This policy must be made available upon request. SKYCITY, or a person acting on its behalf, must take all reasonable steps to use the policy to identify actual or potential problem gamblers.

Section 309 requires that the holder of a casino operator's licence, or a person acting on its behalf, must, after identifying a person who he or she has reasonable grounds to believe is a problem gambler, approach the person and offer information or advice to the person about problem gambling.

The information or advice offered must include a description of:

- (a) The self-exclusion procedure available; and
- (b) Any procedures described by Regulations made under the Act.

If a customer is approached and provided with the above information and advice on problem gambling but does not request self-exclusion, section 309A of the Act requires the holder of a casino operator's licence, or a person acting on its behalf, must take all reasonable steps to assist that person (including, if appropriate) issuing an exclusion order, if the person's ongoing gambling or other behaviour gives reasonable cause to believe that he or she is a problem gambler.

3.0 Harm minimisation and prevention components

Introduction

SKYCITY will focus on addressing underlying causes of gambling and alcohol-related harm as well as taking steps to minimise harm. Harm prevention and minimisation initiatives will be undertaken in the following areas:

- policies and procedures;
- host responsibility information for customers;
- employee gambling-related harm;
- stakeholder engagement;
- environmental design;
- provision of safe gambling environments;
- marketing practices;
- display of signage and provision of gaming information to customers;
- staff learning and development;
- identification of problem gamblers; and
- gambling limitation.

The Programme's requirements for each area are outlined below.

Roles and responsibilities

The host responsibility function at SKYCITY Auckland is managed by the Security & Host Responsibility Manager. Reporting to this role are Host Responsibility Executives. Both roles are responsible for the ongoing monitoring and management of Gambler of Interest ("GOI") files, feedback and review of new information for GOI files and the provision of host responsibility advice and support to staff.

SKYCITY must provide coverage of the casino 24 hours per day, seven days per week (on all days when the casino is open for business) by Host Responsibility Executives. SKYCITY must employ at least 6 Host Responsibility Executives, who have the primary responsibility for ensuring that SKYCITY meets the requirements of the Host Responsibility Programme and any other host responsibility requirements. The roles of the Host Responsibility Executives include:

- collecting, collating, recording and analysing all information relating to indicators of problem gambling, including:
 - the collection and management of information, and observations concerning problem gambling, including dealing with problem gambling indicators, staff observations, patron interviews and third party inquiries;
- interacting with customers, including:
 - the provision of information and advice to patrons who SKYCITY considers may be problem gamblers;
 - offering self-exclusion from the casino or enforcing exclusion;
 - referring patrons to problem gambling counsellors; and
 - evaluating excluded patrons who wish to come back to the casino after an exclusion period has concluded;
- staff training about host responsibility; and
- engaging with service providers, researchers and regulators.

References in SKYCITY Auckland's Host Responsibility Programme and Problem Gambler Identification Policy ("Policy") to "Host Responsibility", "Host Responsibility staff", "Host Responsibility Executives" and "the Host Responsibility team" denote the function managed by the Security & Host Responsibility Manager.

3.1 Policies and procedures

Policies and procedures

The following policies and procedures have been developed to provide operational guidelines on the implementation of aspects of the SKYCITY Auckland's Host Responsibility Programme. The policies and procedures are consistent with the Act, regulations, licence conditions and this Programme, and will be updated to reflect changes.

Policies:

- Problem Gambler Identification Policy.

Standard operating procedures:

The following SOPs relate to harm prevention and minimisation activities. An overview of how these procedures are put into practice is shown below:

- Exclusion;
- Unattended Children;
- Underage Persons;
- Responsible Service of Alcohol;
- Long Hours of Play;
- Undesirable Behaviour; and
- Gambling Limitation.

The following SOPs relate to the Problem Gambler Identification Policy:

- Information Collection and Collation;
- Analysis and Intervention; and
- Exclusion

3.1.1 Exclusion

Introduction

SKYCITY offers two types of exclusions:

- self-exclusion; and
- SKYCITY exclusion.

SKYCITY Auckland provides the facility for self-exclusion of customers from the gaming areas of all SKYCITY sites for periods of three months, six months, nine months, one year, or two years and until they meet any re-entry conditions imposed by SKYCITY or by regulations made under section 316(1)(e). A customer may request and undertake self-exclusion for a range of reasons, for example, where the customer has self-identified as a problem gambler or where the customer chooses to prevent or limit opportunities for harm to occur. The self-exclusion process may also be initiated by problem gambling treatment providers or other venues under a multi-venue exclusion arrangement.

SKYCITY Exclusion is for a period of two years and the customer must also meet re-entry conditions imposed by SKYCITY or by regulations made under section 316(1)(e).

SKYCITY exclusion may be undertaken where a problem gambler does not take up the offer of self-exclusion, and SKYCITY considers that it continues to have reasonable cause to believe that the customer is a problem gambler. If SKYCITY has reasonable grounds to suspect, as a result of ongoing gambling or other behaviour, that the customer is a problem gambler (as defined by the Act), it must take all reasonable steps to assist the customer, including issuing a SKYCITY exclusion in appropriate cases¹. These decisions are made on the basis of assessment(s), provision of information, advice and assistance, monitoring of a GOI file, and refusal of a self-exclusion offer or other host responsibility efforts to assist the customer to gamble without harm but a casino exclusion may be imposed after a serious one-off incident where an offer of self-exclusion has been refused.

Conditions for re-entry are contained in the Exclusion SOP.

Approaches to customers

Only Level 3 trained staff may undertake exclusions with customers, which are generally Host Responsibility, Security or Gaming Shift Managers.

Features of the exclusion process

To ensure the effectiveness of the exclusion process, the following are features of the process:

Communication

- Provides a translation service where necessary.
- Provides support to excluded customers through provision of materials from problem gambling service providers and contact details.
- For self-exclusion, provides Questions and Answers in appropriate languages.

Third parties and service providers

- Emphasises culturally appropriate processes and, wherever possible and appropriate, encourages families and/or friends to accompany the customer.

¹ Section 309A

- Encourages third party involvement, i.e. that a mentor is nominated who can be contacted on the progress of the excluded customer and during any discussion relating to re-exclusion or re-entry.
- Encourages the excluded customer to nominate a counselling service.
- Arranges for the counselling service to call the excluded customer, if the excluded customer agrees.
- Encourages the excluded customer to make contact with the counselling service as soon as possible after their exclusion.

Other measures

- Provides an updated database that is accessible to Security and Gaming staff to assist in the detection of customers breaching an exclusion order.
- Promotes ongoing dialogue with counselling service providers to continually improve the exclusion process.
- Suspends sending all loyalty information to the customers.
- Requires timely action from staff if a customer approaches requesting self-exclusion, with every endeavour made to ensure that approaches are responded to while the customer is on the premises or phone.
- Provides opportunities for off-site self-exclusion procedures (e.g. self-exclusion forms are held by problem gambling service providers and can be completed at home).

Breaches

SKYCITY staff are required to be vigilant for any excluded customer who attempts to re-enter the gambling areas. SKYCITY Auckland Security and Gaming staff enforce the exclusion process and take action against those detected committing a breach of the exclusion process. Customers discovered attempting to do so may be warned, further excluded for an additional period or issued a Trespass Notice. The Department of Internal Affairs ("DIA") is notified of all breaches by excluded customers and has the ability to take prosecution action if deemed necessary.

The SKYCITY Auckland Host Responsibility team regularly reviews the exclusion process and when necessary, makes improvements, in alignment with Group policy. The reviews may involve seeking customer and staff feedback through informal research processes.

Loyalty card holders

SKYCITY Auckland must remove from its Loyalty Programme all excluded customers, trespassed customers and customers formally requested to leave the premises.

The SKYCITY Auckland Security staff member responsible for the administration of the exclusion and trespass records must:

- advise Host Responsibility within 24 hours of a Loyalty Programme cardholder being excluded, trespassed or formally requested to leave the premises, to ensure their account is deactivated; and
- forward any surrendered loyalty card(s) to the loyalty station.

Host Responsibility must:

- deactivate excluded cardholders' accounts;
- deactivate the accounts of cardholders who have been excluded, trespassed or formally requested to leave the premises; and
- deactivate from mailing lists, cardholders who are excluded, trespassed or formally requested to leave the premises.

Loyalty cards which are deactivated are not required to be returned by the customer to SKYCITY. Should a customer attempt to use his/her deactivated card, an error message will appear asking the customer to present his/her card to a SKYCITY staff member. Having confirmed that the customer has been excluded, trespassed or formally requested to leave, the SKYCITY staff member will contact Security and appropriate action will be taken in relation to that customer.

3.1.2 Responsible service of alcohol

Background

The SKYCITY Auckland Responsible Service of Alcohol Programme is designed to ensure customers enjoy an environment that is safe and enjoyable. A key component is the SKYCITY Auckland Responsible Service of Alcohol training programme, which is designed for all staff who work in areas where alcohol is served, to promote effective team work to ensure customer safety and enjoyment.

SKYCITY's Responsible Service of Alcohol Programme is guided by the six key principles of Host Responsibility (Health Promotion Agency 2014) in licensed premises. A responsible host:

- prevents intoxication;
- does not serve alcohol to minors;
- provides and actively promotes non-alcoholic alternatives;
- provides and actively promotes substantial food;
- serves alcohol responsibly or not at all; and
- promotes safe transport options.

Approach

The following is the SKYCITY Auckland programme regarding the responsible service of alcohol:

- SKYCITY Auckland provides the sale of alcoholic beverages in a responsible manner, including monitoring and limiting the supply of alcohol to customers.
- SKYCITY Auckland maintains an effective Responsible Service of Alcohol training programme to train and inform relevant employees on the responsible sale and supply of alcohol.
- All SKYCITY Auckland employees, temporary and contract staff complete the Responsible Service of Alcohol training programme during induction as part of the Host Responsibility Level 1 training programme, including recognition of excessive alcohol consumption traits².
- SKYCITY Auckland takes all reasonable steps to ensure intoxicated persons are prevented from entering the premises.
- SKYCITY Auckland takes all reasonable steps to ensure that customers are not served to the point of intoxication. Any customer displaying signs of intoxication will be removed from the premises.
- Any customer who appears under the age of 25 is asked for verification of identity and proof of age, before being served or sold alcoholic beverages. If such identification cannot be produced, the customer is not served or supplied with any alcohol.
- Staff tactfully intervene to prevent possible problems arising from excessive alcohol consumption, including enlisting the services of staff of similar social/ethnic background to the customers to assist in explaining the programme to customers when required.
- No person who appears intoxicated is served or sold alcohol, allowed to gamble or allowed to remain on the premises. The decision by any employee to withhold service cannot be revoked or overruled by another, without referral to a more senior employee.
- At all times, when liquor is sold or supplied to members of the public, there is a manager or managers on duty who hold current General Manager's Certificates under the Sale and Supply of Alcohol Act 2012.

² This provision includes those staff employed on a casual basis.

- When appropriate, SKYCITY Auckland controls the hours of service and locations from which beverages are served.
- No complimentary alcoholic drinks will be supplied to customers participating in gaming except at the discretion of a Gaming Supervisor or Host³. This is not intended to prohibit normal complimentary food and beverage service for customers, and does not require a customer to participate in gaming activity as a condition of service.
- Customers contracting to use any meeting room, banquet or out-catering facilities must agree to abide by the SKYCITY Auckland Responsible Service of Alcohol Programme and procedures regarding responsible service of alcohol.

³ The discretion to serve drinks will only be exercised where the Gaming Supervisor or Host is satisfied that the customer is not intoxicated.

3.1.3 Unattended children

Background

SKYCITY management does not allow children to be left unattended on any part of its premises.

Approach

SKYCITY Auckland takes active steps to prevent children being without adult supervision.

Employees must report to Security any incident where it is apparent that a child has been left unattended.

Security Officers must intervene and take all practicable steps to locate an adult responsible for an unattended child.

Security must contact the Police and trespass the customer in every case where there is an absence of a reasonable explanation for the child being left unattended.

In all instances of unattended children, the Host Responsibility team must be notified as soon as practicable to follow up potential problem gambling issues.

Security Officers must patrol the SKYCITY Auckland car parks and environs to detect any unattended children in vehicles.

3.1.4 Underage persons

Background

SKYCITY is committed to keeping minors out of the gambling areas. SKYCITY will rigorously enforce the prevention of underage gambling in its casinos.

Approach

SKYCITY Auckland must take all reasonable steps to restrict gambling activities only to those persons legally permitted by age to enter the gambling facilities (currently 20 and over).

Any customer who appears under the age of 25 must be asked for verification of identity and proof of age before being permitted to enter the gambling areas.

SKYCITY Auckland must take all reasonable steps to restrict access to 'supervised areas' only to those persons legally permitted by age to enter the areas (currently 18 and over), unless accompanied by a parent or guardian.

Training for SKYCITY Auckland Security and Gaming staff must include the need to be particularly vigilant for the presence of underage persons.

Any SKYCITY Auckland staff member has the authority to approach suspected underage persons and seek identification for proof of age.

3.1.5 Standards of dress and behaviour

Background

SKYCITY Auckland provides a comfortable environment where customers are able to enjoy their surroundings without disruption from others who are inappropriately dressed or behaving in an unacceptable manner.

Dress code

SKYCITY Auckland requires a neat and tidy standard of dress. While it is difficult to be prescriptive about dress suitability, in normal circumstances the following are not permitted at SKYCITY Auckland's casino:

- torn clothes;
- gang patches or other insignias;
- dirty clothes or footwear; or
- hats or caps (unless for religious or medical reasons or for Texas Hold'em Poker).

Behavioural standards

If a customer is detected:

- under the influence of alcohol;
- abusing or threatening staff or other customers;
- causing conflict with other customers or staff, or
- otherwise being unpleasant.

then SKYCITY Auckland staff must:

- take appropriate steps to stop the behaviour; or
- in appropriate circumstances, have the customer escorted from the premises.

Customers exhibiting undesirable behaviour may be trespassed or excluded.

3.1.6 Long Hours of Play

Continuous Presence

Continuous Presence is where a customer is present at the casino (but not necessarily gaming continuously) for a period of 12 hours or more. The "clock" is reset after a customer has had a break from being present at the casino for six hours or more.

As a general rule:

- when a customer has been observed to be continuously present at the casino (but not necessarily gaming continuously) for 12 hours, the observing staff member will notify Gaming Staff and Host Responsibility. All reasonable endeavours must then be made to interact promptly with the customer.
- At the very least, in the course of the interaction, the customer should be encouraged to take breaks and Gaming Staff and/or Host Responsibility must thereafter continue to monitor the customer (which may include subsequent interactions with that customer).
- If any interaction gives rise to immediate concern that the customer is a problem gambler, Host Responsibility must proceed as required by the Act, the Policy and this Programme.
- When a customer has been continuously present at the casino (but not necessarily gaming continuously) for 24 hours and, provided that no action has already been taken under the Act, this Programme or the Policy:
 - non-international VIP customers must be requested to leave the casino for at least 24 hours; and
 - international VIP customers must be assessed by the International Business Management team to determine whether their play should be permitted to continue or not.

If one or more of the strong indicators is observed, Host Responsibility or Gaming Staff must intervene immediately and proceed as required by the Act, this Programme and the Policy irrespective of how long the customer has been present.

All interactions, observations and assessments must be logged in iTrak.

Continuous Play

Continuous Play is where a customer is gaming continuously for five hours or more. The "clock" is reset after a customer has had a break from gaming of at least 30 minutes (in aggregate).

As a general rule:

- When a customer has been observed gaming continuously for five hours without a break of at least 30 minutes (in aggregate), the observing staff member will notify Gaming Staff and Host Responsibility. All reasonable endeavours must then be made to interact promptly with the customer.
- When a customer has been gaming continuously with a loyalty card without a break of at least 30 minutes (in aggregate), an automated system alert must be sent to Gaming Staff and Host Responsibility. All reasonable endeavours must then be made to interact promptly with the customer.
- At the very least, in the course of the interaction, the customer should be encouraged to take breaks and Gaming Staff and/or Host Responsibility must thereafter continue

to monitor the customer (which may include subsequent interactions with that customer).

- If any interaction gives rise to immediate concern that the customer is a problem gambler, Host Responsibility must proceed as required by the Act, the Policy and this Programme.
- When a customer has been gaming continuously with a loyalty card for 10 hours (without an aggregate break of at least 60 minutes) and, provided that no action has already been taken under the Act, this Programme or the Policy:
 - non-international VIP customers must be requested to leave the casino for at least 24 hours; and
 - international VIP customers must be assessed by the International Business Management team to determine whether their play should be permitted to continue or not.

If one or more of the strong indicators is observed, Host Responsibility or Gaming Staff must intervene immediately and proceed as required by the Act, this Programme and the Policy irrespective of how long the customer has been on site.

All interactions, observations and assessments must be logged in iTrak.

Uncarded players

Although ascertaining the length of "continuous presence" and "continuous play" for uncarded players relies upon observation rather than a system record, if SKYCITY staff become aware of uncarded players being "continuously present" or undertaking "continuous play" for the periods set out above, they must report their observation so that those uncarded players are treated as set out above.

3.1.7 Gambling limitation

SKYCITY offers customers a voluntary Pre-Commitment system.

This system is available to all casino patrons and allows them voluntarily to set limits on how much they spend and how long they play for on gaming machines.

Breaches of pre-commitment limits, multiple increases of pre-commitment limits or disabling of pre-commitment limits are general indicators.

Host responsibility staff will proactively encourage the use of the voluntary Pre-Commitment system, where appropriate, during interactions with patrons.

The features of the voluntary Pre-Commitment system include:

- access to the Pre-Commitment facility via SKYCITY's loyalty card;
- each time the loyalty card is inserted, the Pre-Commitment facility will be activated;
- the system will allow players to define their own limits for:
 - time limit; and
 - spend limit;
- enrolment for pre-commitment can occur at either:
 - the gaming machine by the player; or
 - a loyalty member's workstation;
- an "approaching limits" and "reached limits" notification will be displayed on the gaming machine;
- if limits are relaxed, then the new limits must not be available to the player for a period of 24 hours;
- once the limit is reached, no more SKYCITY loyalty points may be accumulated or entries to promotions earned;
- SKYCITY Host Responsibility Executives must be alerted once limits are breached, increased or disabled;
- no SKYCITY loyalty points can be earned by a player for the 24 hours following a limit being reached; and
- the system will provide information, support and advice to the operational business units.

3.1.8 Loyalty data analytics

SKYCITY operates an analytical model (the "Focal Model") which uses customer loyalty data to build sophisticated multi-level algorithms that will assist Host Responsibility Executives to identify potential problem gambling risk among casino customers who have loyalty cards.

The Focal Model is a tool designed to identify and prevent high-risk gambling and to alert gaming staff to those players most likely to be high-risk.

3.2 Host responsibility information for customers

Customer information resources

SKYCITY produces a range of host responsibility resources for customers. Copies of all SKYCITY brochures and other host responsibility resources are available and displayed where appropriate in SKYCITY Auckland's gambling areas.

This information is also supplemented and supported by the SKYCITY Auckland website (www.skycityauckland.co.nz), where electronic copies of the resources are made available. A copy of this Host Responsibility Programme is displayed on the SKYCITY Auckland website.

There is an ongoing process of review and development of resources for customers.

Information resources are translated into a variety of languages consistent with the cultural make-up of SKYCITY Auckland's customer base.

A summary of SKYCITY Auckland's host responsibility resources for customers is shown in Appendix A.

3.3 Employee gambling-related harm

Introduction

SKYCITY is committed to a culture that proactively supports and promotes host responsibility.

Background

SKYCITY undertakes a range of measures concerning the potential for employee gambling-related harm that aim to:

- prevent and minimise gambling-related harm amongst SKYCITY employees as a result of their own, or someone else's, gambling;
- enhance the ability of SKYCITY staff to undertake effective host responsibility; and
- contribute to the prevention and minimisation of gambling-related harm in the community.

Requirements

SKYCITY Auckland recognises that employee gambling-related harm is a sensitive issue. Accordingly, measures to promote awareness and encourage and support help-seeking will be discreet and interventions with SKYCITY staff kept confidential.

SKYCITY Auckland will undertake the following to provide assistance to casino employees with managing the potential for personal problem gambling:

Information resources

- Provide access to supporting resources for staff, when required, using appropriate channels, including:
 - a standardised gambling screen; and
 - self-help resources to assist with early self-identification and intervention; and
 - information on how to access problem gambling services.
- Include information about personal problem gambling and underlying risk factors (such as depression and alcoholism) in host responsibility training programmes and in the Workplace Support (employee assistance) programme.
- Promote awareness and information about self-assessment and self-help resources, and encourage staff to use these resources themselves to assist with early identification and intervention.
- Promote information about personal problem gambling support services when staff approach the SKYCITY Connect Centre to participate in the Workplace Support Programme, Employee Financial Assistance, and/or where appropriate where a staff member may be seeking assistance.

Policies and procedures

- Prohibit staff from gambling at any SKYCITY owned or operated casino.
- Prohibit access to online gambling sites by staff while on SKYCITY premises, unless such access is required for genuine business reasons.
- Identify high risk areas for staff and target with increased levels of information.

Recruitment

- Assess all job applicants for evidence of problem gambling (via questions in job application forms).
- Decline applications from those who are identified as problem gamblers either through their screening results, or disclosure of relevant indicators (as set out in the SKYCITY Identification Policy) during the recruitment process and provide appropriate information, advice and assistance.

- Respond to applicants identified as problem gamblers who are also customers in accordance with the Auckland Host Responsibility Programme.

Support for staff

- Provide assistance to staff who are experiencing gambling-related harm, including:
 - identification;
 - intervention;
 - referral to confidential support through the Workplace Support Programme and/or a problem gambling treatment provider;
 - confidentiality; and
 - wherever possible, SKYCITY Auckland will involve problem gambling counsellors in staff induction training about the signs of problem gambling among staff and customers.

Engagement

- Work with class 4 organisations to maximise the effectiveness of their host responsibility programmes.

3.4 Stakeholder engagement

Background

SKYCITY Auckland aims to maintain constructive relationships with members of the local community.

Approach

SKYCITY Auckland will continue to facilitate opportunities for regular engagement to ensure local stakeholders:

- understand and are aware of SKYCITY Auckland's Host Responsibility Programme;
- are able to continue to raise and discuss operational issues in relation to host responsibility;
- continue to have opportunities to provide input into SKYCITY Auckland's Host Responsibility Programme and harm prevention and minimisation initiatives; and
- have opportunities to participate in partnership projects on key initiatives where appropriate.

SKYCITY convenes a bi-monthly Auckland Host Responsibility Community Liaison Group to discuss host responsibility issues. These issues relate primarily to operational activities, e.g. referrals, exclusions etc. There are also opportunities to discuss strategic or broader sector issues.

SKYCITY Auckland will invite representatives from:

- treatment service providers, including problem gambling and alcohol and other drugs;
- public health providers;
- Government agencies, including the Police, DIA and Alcohol Advisory Council of New Zealand; and
- researchers.

SKYCITY will keep membership of the Liaison Group under review to maintain relevance to SKYCITY's current or evolving policies and practices.

In developing and implementing its Programme, and harm prevention and minimisation initiatives, SKYCITY will consider the views expressed by the attendees of the meetings.

SKYCITY will make available to the Liaison Group a copy of the report provided to the Commission under section 3 of this Programme.

SKYCITY also arranges site visits, including presentations, for representatives to become familiar with the SKYCITY Auckland Host Responsibility Programme. SKYCITY also undertakes off-site visits to stakeholder organisations.

3.5 Environmental design

Approach

SKYCITY's general approach towards environmental design is to ensure the provision of safe environments that are conducive to responsible gambling and consumption of alcohol.

Considerations

In considering the impact of any proposed changes, the key objectives are to ensure that environmental features:

- contribute to harm prevention or, have a neutral impact on harm;
- encourage responsible gambling and alcohol consumption choices;
- do not contribute to the onset of harm or exacerbate risk; and
- facilitate effective host responsibility, particularly early identification and intervention.

This approach applies to the following SKYCITY areas:

- floor lay-out, furnishing and design;
- casino electronic gaming machine and table game location;
- access to cash;
- game and equipment features;
- environments adjacent to the gambling areas, including access to other entertainment options;
- physical location and presence of Security and Host Responsibility;
- location of problem gambling and other information resources; and
- access criteria, including dress codes and age restrictions.

Requirements

SKYCITY shall in its environmental design seek to ensure:

- problem/responsible gambling signage and exit points are clearly visible;
- patrons are visible to venue staff in the gambling areas;
- machine alleys with no exit point and in dimly lit corners are avoided;
- gambling areas are well lit, utilising natural light where appropriate;
- clocks are visible in the gambling areas; and
- other non-gambling entertainment options are available.

Other regulatory processes

All applications for construction or design changes to gambling areas must be approved by the Gambling Commission. As part of any such application, SKYCITY assesses any impacts the alterations may have on harm prevention and harm minimisation. The impact of any proposed design change on gambling harm is assessed in determining the suitability of any such proposal prior to making applications to the Commission.

3.6 Safe gambling environment – gaming machine play

Requirements

SKYCITY will take all reasonable and practicable steps to ensure a customer plays no more than one gaming machine at a time.

3.6.1 Safe gambling environment – third party loans for financial gain

Legislation

Under section 15(1) of the Act, SKYCITY is prohibited from offering or providing credit intended for use in gambling, except in circumstances approved by the CCA or the Gambling Commission. The Gambling Commission regulates and approves, as necessary, all cash access arrangements provided by SKYCITY at the Auckland casino.

Policy

SKYCITY does not permit loan transactions by third parties for financial gain at the Auckland casino, except as approved by the CCA or the Gambling Commission. It is particularly concerned to protect customers from illegal or oppressive loan activity, or "loan sharking" as it is known.

Requirements

- SKYCITY will ensure that signage is displayed in appropriate areas publicising that loan sharks will be excluded.
- SKYCITY will take all reasonable steps to identify and exclude persons at the casino offering loans for financial gain. To assist this process SKYCITY will maintain an Undesirable Behaviour SOP which shall explain how SKYCITY will identify, investigate and respond to persons at the casino suspected of offering loans for financial gain.
- Where casino staff observe suspicious behaviour or information is presented from external parties regarding loan activity, SKYCITY will investigate and act in a timely manner. This process is outlined in the SKYCITY Auckland Undesirable Behaviour SOP.
- If it is obvious that a person is engaged in offering or providing loans for financial gain, SKYCITY will issue that person with a trespass notice. If there is reasonable cause to believe that a person is engaged in offering or providing loans for financial gain, SKYCITY may issue that customer with a request to leave the premises, pending further investigation. At the completion of its investigation, and where a person is found to be offering loans for financial gain, SKYCITY will issue that person with a trespass notice.
- SKYCITY will notify DIA Gambling Inspectors of suspected loan sharking activity in accordance with Minimum Operating Standards for Records and Notification. Where appropriate, SKYCITY will also notify relevant agencies.
- Where a customer is established as receiving a loan for financial gain from a third party (i.e., not the casino), SKYCITY will open an iTrak investigation file and interact with the customer. Following the interaction SKYCITY may elect to open a GOI file for further investigation and monitoring, exclude the customer or take no further action if the customer provides a satisfactory explanation. A customer borrowing money in these circumstances is considered a potential problem gambler and will be provided with appropriate information as required by section 309(2) of the Act. All investigations, interventions and outcomes are recorded and retained on iTrak.
- SKYCITY will provide appropriate staff training to assist in preventing and minimising harm associated with loan sharking.

3.6.2 Safe gambling environment – casino credit or cheque retention

Policy

If SKYCITY enters into an arrangement with a customer whereby it accepts cheques which it will hold unbanked, or enters into any other credit arrangement with a customer, it must report this to Host Responsibility.

Requirements

Host Responsibility must monitor and record the activities of any customer with whom SKYCITY has a credit arrangement, including any customer whose cheque SKYCITY is holding unbanked by arrangement, for indicators of potential gambling harm.

3.7 Responsible marketing

Legislation and industry codes

SKYCITY's marketing activities comply with applicable laws, Regulations 9 and 10 of the Gambling (Harm Prevention and Minimisation) Regulations 2004, relevant industry codes (including the New Zealand Advertising Standards Authority "Code for Advertising Gaming and Gambling") and licence conditions.

Requirements

SKYCITY Auckland will not pursue marketing initiatives which have any of the characteristics set out below. Where concerns are raised by third parties, SKYCITY will investigate and, where appropriate, take immediate action to withdraw or amend the marketing initiative.

SKYCITY Auckland will ensure an internal process is followed to ensure harm minimisation issues are considered and addressed in the development of marketing initiatives, including those directed to members of SKYCITY's loyalty programme.

This process includes consultation with Host Responsibility as well as the Regulatory team, with final sign-off by Legal (both of which are based at SKYCITY Auckland).

Consultation includes consideration of the following principles.

Does the marketing initiative:

- Target groups at increased risk of experiencing gambling harm?
- Target minors, portray minors participating in gambling activities, or advertise gambling on radio/television at times when minors are more likely to be exposed?
- Encourage or reinforce gambling behaviour(s) that may be associated with harm, including:
 - encourage customers to participate beyond their limits of time or money?
 - discourage customers from taking breaks?
 - promote gambling as a means of relieving financial or personal difficulties?
 - state or imply that gambling is a means of winning or paying for household staples, education or housing commitments?
 - promote excessive alcohol consumption or associate gambling with excessive alcohol consumption?
- Present gambling in an unrealistic, misleading, or deceptive way, including:
 - exaggerating the chances of winning or the size of the prize, including a promise of winning?
 - stating or implying that a player's skill can influence the outcome of a game unless the skill can affect the outcome of the game?
 - exploiting superstitions or concepts of luck?

3.8 Display of signage and provision of gaming information to customers

Background

A key component of the Programme is the provision of information for customers. Provision of information is intended to assist customers to make informed decisions about their gambling and alcohol consumption while at SKYCITY.

A description of how SKYCITY will discharge its obligations to offer information and advice to persons identified as problem gamblers is addressed in the Problem Gambler Identification Policy and the SOPs.

Approach

SKYCITY has a range of information resources that are provided to customers, summarised in Appendix A.

Display of signs, brochures, clocks and website

SKYCITY ensures that:

- host responsibility material is displayed prominently and translated into key languages, besides English, to reflect the ethnicity of SKYCITY Auckland visitors;
- brochures are maintained in sufficient quantities so as to be generally available at all times, at all locations;
- all gaming machines and gaming tables at SKYCITY display problem gambling helpline telephone numbers, with information in a range of languages. The information is also displayed on or near all ATMs and public phones;
- clocks are on display in all SKYCITY gambling areas; and
- call Centre facilities include a direct line to the Gambling Helpline.

SKYCITY Auckland will make available a "Responsible Gaming" brochure, intended to assist in reducing the tendency of patrons to be subject to erroneous beliefs, e.g. that the odds of winning are better than they are, or that skill can influence outcomes (where it cannot), or player tendencies to engage in various superstitious practices.

SKYCITY actively promotes the Gambling Helpline and other free problem gambling counselling service contact details through its host responsibility resources. Customers demonstrating potentially harmful behaviour are encouraged to contact these services. All excluded customers, and third parties who contact SKYCITY about another's gambling problems, are actively encouraged to contact the appropriate services for help and support.

SKYCITY Entertainment Group has a host responsibility section on its website.

Display of game rules, permissible bets and payment of winning bets for table games

Information is made available to customers that pertain to game rules, permissible bets and payment of winning bets as required by section 175 of the Act.

Whenever a table is open, information is displayed which advises customers that the game rules for the game are available upon request, and specifies minimum and maximum bets, and payments of winning bets. Signage is also displayed stating that staff cannot accept tips.

Display of game rules, permissible bets and payment of winning bets for electronic gaming machines

All gaming machines display information regarding the denomination of the game. Game rules are provided on the machine and/or electronically via the screen. Gaming machine odds are explained in the "Responsible Gaming" brochure, which is available in the gaming areas.

Customers may request a copy of game rules at any time. If the request is for general information or an overview of a game, an appropriate gaming employee will explain this and can provide a "How to Play" brochure to assist further.

Display of game rules, odds of winning and information on problem gambling for Fun Play tables

Information is made available to customers that pertains to game rules, odds of winning and information on problem gambling.

Whenever a Fun Play table is open, information is displayed which advises customers that the game rules for the game are available upon request, and odds of winning and information on problem gambling.

Display of host responsibility information in open areas where there are gaming machines

Information on problem gambling and responsible gambling are displayed and made available to customers in open areas (e.g. decks) where gaming machines are present.

Information requests by customers

Customers seeking further clarification of game rules will be given access to the relevant approved rules.

Information on gambling activity

Patrons (both loyalty and non-loyalty) can be provided, on request, with information on their gambling activity, including the number and length of their gambling sessions and their gambling expenditure.

3.9 Learning and development

Introduction

SKYCITY Auckland is committed to developing staff awareness, understanding and commitment to host responsibility especially with respect to gambling and alcohol-related harm. SKYCITY Auckland shall comply with its statutory obligations relating to problem gambling awareness training, including as set out in Regulation 12 of the Gambling (Harm Prevention and Minimisation) Regulations 2004.

SKYCITY Auckland will aim to ensure its learning and development initiatives are appropriate to the needs of its customers and staff.

SKYCITY's learning and development resources approach employs established models of best-practice and include a training mix of classroom based, multi-media and on-the-job coaching. Learning and development resources are tailored depending on the roles and responsibilities of staff, and their required host responsibility customer interactions.

Overview of staff roles

Staff: All staff, regardless of position, are trained to identify indicators of harm. Staff are expected to refer the observation of indicators to a supervisor/manager.

Frontline staff: All staff who have contact with gambling customers, including Customer Service Ambassadors, in the casino are required to be trained in problem gambling awareness and how to approach customers to offer information and assistance about problem gambling. Frontline staff have a primary role in being alert to and identifying indicators of harm, and will report observations of concern to a supervisor/manager. While it is not their primary role, frontline staff are trained and will approach customers themselves in circumstances, for example, where a matter is urgent or a manager/supervisor is not available.

Supervisor or manager: The supervisor/manager is the first point of contact for escalation for indicators of harm. Supervisors and managers are responsible for ensuring that all observations of indicators reported to them by staff, and any follow up responses taken by staff and/or supervisors and managers, are logged and sent to Host Responsibility. Supervisors and managers are also responsible for providing additional information to Host Responsibility to assist with the ongoing monitoring of, and interaction with, the customer.

Depending on the circumstances, the supervisor/manager may deliver interventions by providing information, advice and assistance to customers and taking other appropriate action(s) to minimise harm.

Host Responsibility: Host Responsibility records, collates and analyses all information relating to indicators of problem gambling noted by frontline staff, supervisors and managers. Host Responsibility also records interactions and interventions they undertake themselves. The information is used to undertake a section 309 assessment. As a result of the assessment, a GOI file may be opened, and/or appropriate follow up interactions or interventions undertaken. This may include meeting with customers. Host Responsibility is responsible for the ongoing monitoring and management of GOI files, feedback and review of new information on GOI files and the provision of host responsibility advice and support to staff, supervisors and managers.

Learning and development requirements

Induction training (Level 1)

All permanent staff, whether or not in direct contact with customers, will complete the three compliance e-learning modules within one month of commencement of employment. Access to the modules is available to new employees before they start work as soon as they are assigned an employee number.

The three compliance modules are:

- Play Safe – Health and Safety;
- Responsible Service of Alcohol; and
- Responsible Gaming, which includes:
 - responsible service of gambling and alcohol;
 - identification of problem gamblers;
 - reporting and recording procedures for observations;
 - approaching and providing information about problem gambling to patrons including how to access local problem gambling services; and
 - awareness of employee gambling-related harm.

For all staff in direct contact with gaming customers, SKYCITY will work to supplement this initial training by ensuring that these staff also complete an "Advanced Host Responsibility Level 1" e-learning module after 3 months employment. This module will also be compulsory annual refresher training for those staff.

Training for staff in direct contact with customers will be further supplemented by on-the-job coaching and support.

Within the first month of working at SKYCITY, employees are encouraged to complete a four hour classroom session which refreshes the compliance information from the e-learning modules and also covers general policies and procedures, and an orientation to SKYCITY.

Training for supervisors (Level 2)

Supervisors from Gaming, Food & Beverage, and Security & Surveillance must participate in supplementary Level 2 training (four hours). This training is classroom based and is run bi-monthly or as necessary. The training includes information on:

- identification of problem gamblers;
- overview of the legal framework and Host Responsibility Programme;
- initial action with respect to customers requesting problem gambling assistance;
- identification and intervention with respect to excessive alcohol consumption;
- support of staff who have intervened and debrief; and
- importance of reporting.

Advanced training (Level 3)

Advanced training (eight hours), supplementary to training for Levels 1 and 2, is provided for selected senior employees who may be expected to deliver interventions to customers. For frontline staff, this includes some supervisors and all managers. It also involves other senior employees throughout the Auckland business who might be expected to deliver interventions to customers.

This training includes both theoretical and practical components. The training includes:

- SKYCITY's legal and regulatory requirements;

- identification of problem gamblers;
- intervention including brief interventions, de-escalation and motivational interviewing;
- debriefing and staff support;
- problem gambling treatment processes;
- cultural awareness;
- advanced Responsible Service of Alcohol – intervention and slowing service; and
- awareness of employee gambling-related harm.

Refresher training

SKYCITY Auckland provides department-based/site-wide refresher training on an ongoing basis. Refresher training is available to all staff at SKYCITY. Refresher training is provided when a learning and development need is identified or requested, and for those who fail knowledge recall tests. SKYCITY will also provide, as annual refresher training, the "Advanced Host Responsibility Level 1 e-learning module, for staff in direct contact with gaming customers.

General Manager training – Sale and Supply of Alcohol Act

The Licence Controller Qualification, as required by the Sale and Supply of Alcohol Act, is facilitated through an external provider.

External operators training

SKYCITY Auckland will offer external operators providing customer services at SKYCITY Auckland (e.g. TAB), the opportunity to participate in training, where appropriate.

Suicide-awareness training

Host responsibility staff and senior Security Managers are trained to respond to customers who are at risk of suicide. This training is facilitated through an external provider.

Informal learning and development

As learning and development is an ongoing process, SKYCITY provides a range of other opportunities for host responsibility learning to occur. There is an emphasis on sharing information and experiences across SKYCITY's portfolio to build host responsibility knowledge. These internal opportunities include:

- internal communications, e.g. staff newsletters;
- inclusion in business or management processes e.g. staff meetings and key performance indicators;
- discussion forums led by harm minimisation and host responsibility staff; and
- participation by staff in harm minimisation and host responsibility policy development processes.

Evaluation

SKYCITY undertakes a range of evaluation measures as part of its commitment to learning and development quality improvement. These measures include:

- staff training feedback and evaluation forms;
- staff knowledge recall and application of knowledge;
- staff focus groups; and
- analysis of training needs.

4.0 Monitoring and reporting

Introduction

SKYCITY will evaluate its performance against the objectives of the Programme.

The Auckland Host Responsibility Programme is measured and monitored using a range of indicators that are set out below. These indicators reflect the level of activity under the Programme, compliance with legal obligations, and progress against all the Programme objectives as set out in section 1.

The Programme is embedded into the business and specifies SKYCITY's minimum requirements in relation to its host responsibility obligations. SKYCITY is not prevented from trialling and introducing new initiatives in addition to what is specified in the Programme. In consultation with the Gambling Commission, any such enhancements may be incorporated into the Programme, prior to the Commission's next two-yearly review.

Reports to the Gambling Commission

SKYCITY will report annually to the Commission on the implementation of the Programme.

Reports will include the following information:

- a description of the resources put into the core elements of the Programme;
- a description of activities undertaken by SKYCITY under the Programme;
- reporting against the measures specified below, including a comparison to previous data where applicable;
- SKYCITY discussion on the effectiveness of the Programme and the extent to which Programme objectives in section 1 are being achieved. This will include reference to feedback from internal and external stakeholders received through a range of forums such as regular meetings with the DIA and other meetings held as required; and
- proposed improvements to the Programme.

Gambling Related Measures	Source of data	Frequency
<ul style="list-style-type: none"> Number of customers about whom there have been observations. 	SKYCITY	Annual
<ul style="list-style-type: none"> Number of observed indicators reported to Host Responsibility. 		
<ul style="list-style-type: none"> Number of approaches to SKYCITY by third parties. 	SKYCITY	Annual
<ul style="list-style-type: none"> Number of problem gamblers identified (in the first instance) by requests for exclusion or forthright disclosure, compared to number of problem gamblers identified by the casino. 	SKYCITY	Annual
<ul style="list-style-type: none"> Number of GOI files by: <ul style="list-style-type: none"> ethnicity gender age preferred mode of gambling (tables/EGMs). 	SKYCITY	Annual
<ul style="list-style-type: none"> Number of approaches to customers to offer information about self-exclusion. 	SKYCITY	Annual
<ul style="list-style-type: none"> Number of exclusions (both casino and self-exclusions) by: <ul style="list-style-type: none"> ethnicity gender age preferred mode of gambling (tables/EGMs) prompted by third party disclosures exclusion type (self/SKYCITY) following re-entry. 	SKYCITY	Annual
<ul style="list-style-type: none"> Number of customers participating in the pre-commitment. 	SKYCITY	Annual
<ul style="list-style-type: none"> Number of excluded customers (both casino and self-exclusions) agreeing to be contacted by help services on exclusion form. 	SKYCITY	Annual

<ul style="list-style-type: none"> Number of breaches of exclusion (both casino and self-exclusions) by: <ul style="list-style-type: none"> ethnicity gender age 	SKYCITY	Annual
<ul style="list-style-type: none"> Number of exclusions by length: <ul style="list-style-type: none"> 3 months 6 months 9 months 12 months 24 months 	SKYCITY	Annual
<ul style="list-style-type: none"> Number of successful and unsuccessful applications to re-enter following exclusion. 	SKYCITY	Annual
<ul style="list-style-type: none"> The extent to which customers have been assisted (drawing, inter alia, on feedback from customers and staff). 	SKYCITY	Annual
<ul style="list-style-type: none"> Number of persons trespassed or required to leave for making loans for financial gain. 	SKYCITY	Annual
Measures relating to the responsible consumption of alcohol		
<ul style="list-style-type: none"> Number of "Under the Influence" incidents. 	SKYCITY	Annual
<ul style="list-style-type: none"> Number of requests for people to leave due to the amount of alcohol served. 	SKYCITY	Annual
Measures relating to staff training		
<ul style="list-style-type: none"> HR1 courses HR2 courses HR3 courses Refresher training Number of staff who need to be trained in each category, and proportion of those staff who have completed the appropriate level training. 	SKYCITY	Annual
<ul style="list-style-type: none"> Staff recall of knowledge and behaviours related to host responsibility and associated policies and procedures. 	L&D Evaluations Mystery Shopper	Annual Annual
<ul style="list-style-type: none"> Staff perceptions of the effectiveness of training. 	L&D Evaluations	Annual
<ul style="list-style-type: none"> Staff perceptions on the effectiveness of the employee gambling harm programme, reporting to the Commission to include percentage response rate of staff to the SKYCITY survey. 	SKYCITY commissioned survey	Annual
Other Programme activity and compliance-related measures		
<ul style="list-style-type: none"> Number of internal and external underage incidents. 	SKYCITY	Annual
<ul style="list-style-type: none"> Number of unattended children. 	SKYCITY	Annual
<ul style="list-style-type: none"> Number of requests to leave the premises. 	SKYCITY	Annual

Appendix A – Current host responsibility resources for customers (as at October 2015)

“Being A Responsible Host: Our Commitment To Our Customers” – poster
SKYCITY developed and displays the A3 “Being a Responsible Host” poster in key gaming areas. The customer-focused poster is designed to provide an overview of SKYCITY’s Host Responsibility Programme and the key initiatives undertaken.

“Would you like a Helping Hand?” – brochure
SKYCITY provides “Would you like a Helping Hand” - brochures in 10 different languages: Chinese, English, Korean, Maori, Samoan, Tongan, Thai, Hindi, Arabic and Khmer. The brochure provides the gambling helpline information and signs and symptoms of problem gambling. It also outlines other free problem gambling counselling services.

“Would you like a Helping Hand?” - poster
In supplementing the “Would you like a Helping Hand” – brochure, SKYCITY also produces an A1 poster version. The poster provides the Gambling Helpline number and is displayed in various places across the gambling areas, including some customer restrooms.

“Would you like a Helping Hand?” - wallet card
This pocket size card also supplements the brochure and presents the Gambling Helpline number and other free problem gambling counselling service contact numbers. Available in Chinese, English, Tongan and Samoan.

“Responsible gaming?” – brochure
This brochure provides responsible gambling tips and an overview of the odds of winning and player returns and highlights that casino games are based on chance and randomness. It also provides contact details for the Gambling Helpline and the SKYCITY Host Responsibility team. Available in Chinese and English.

“Self-Exclusion at SKYCITY” – brochure
The brochure outlines the self-identified exclusion process. It provides simple information on frequently asked questions and shows the contact details for the Gambling Helpline and the SKYCITY Host Responsibility team. The “Self-Exclusion at SKYCITY” brochure is available in 10 different languages: Chinese, English, Korean, Maori, Samoan, Tongan, Thai, Hindi, Arabic and Khmer.

“Concerned About Someone’s Gambling? SKYCITY Can Help” – brochure
The brochure outlines the SKYCITY (third party) exclusion process. It provides simple information on frequently asked questions and shows contact details for the Gambling Helpline and the SKYCITY Host Responsibility team. The “Concerned About Someone’s Gambling? SKYCITY Can Help” brochure is available in 10 different languages: Chinese, English, Korean, Maori, Samoan, Tongan, Thai, Hindi, Arabic and Khmer.

“Why We Can’t Serve You” – tent card
This card provides a summary of the SKYCITY Responsible Service of Alcohol Policy. The tent card is provided to all staff to show to customers when explaining decisions regarding service of alcohol, including the slowing or stopping of service.

“SKYCITY Auckland Dress Code” – brochure
This brochure explains the casino’s policy regarding acceptable standards of dress.

"Children at SKYCITY" - brochure

The brochure explains New Zealand law and SKYCITY's policy with respect to unattended children. It is available in Chinese, English and Hindi.

Appendix B



Host Responsibility

PROBLEM GAMBLER IDENTIFICATION POLICY

(Gambling Act 2003, sections 308-312A)

Problem Gambler Identification Policy

References: Gambling Act 2003 ("Act"), sections 308, 309, 309A, 310, 311 & 312A

Objective

The Problem Gambler Identification Policy ("Policy") has been developed pursuant to the Act to enable SKYCITY to take all reasonable steps to identify actual or potential problem gamblers and to act on that information.

Statutory Requirements

Section 308 of the Act requires the holder of a casino operator's licence who is conducting casino gambling to develop a policy for identifying problem gamblers. This Policy has been developed by SKYCITY pursuant to section 308(1). Using this Policy, all reasonable steps must be taken to identify actual or potential problem gamblers.

Section 309 of the Act requires that the holder of a casino operator's licence, or person acting on behalf of the licence holder, must, after identifying a person who he or she has reasonable grounds to believe is a problem gambler, approach the person and offer information or advice to the person about problem gambling.

The information or advice offered must include a description of:

- (a) the self-exclusion procedure available; and
- (b) any procedures prescribed by Regulations made under the Act.

After offering information or advice, the holder of a casino operator's licence may issue an exclusion order to the person that prohibits the person from entering the gambling area of the casino venue for a period of up to two years.

Section 309A of the Act requires the casino operator, or person acting on its behalf, to take all reasonable steps to assist anyone who, it has reasonable grounds to believe, is a problem gambler, who did not request self-exclusion after being approached but whose ongoing conduct gives rise to reasonable grounds to believe is a problem gambler. The required assistance expressly includes issuing an exclusion order, despite the lack of request to do so, in appropriate cases.

Section 310 of the Act requires that the holder of a casino operator's licence, or person acting on their behalf, must promptly, after being requested, issue an exclusion order to a person that prohibits the person from entering the gambling area of the casino venue for a period of up to two years if the person:

- (a) has identified himself or herself as a problem gambler; and
- (b) has made a request to prohibit themselves from entering the venue concerned.

Section 311 of the Act requires that the holder of a casino operator's licence, or person acting on behalf of, must remove any person who enters the gambling area of a casino venue in breach of an exclusion order.

Section 312A of the Act requires a casino operator to keep records of certain specified information about exclusions, including identifying details, the manner, date and length of the exclusion and the conditions of re-entry and provide them if requested by the Secretary.

Scope of SKYCITY Problem Gambler Identification Policy

This Policy describes:

- the legal definition of a problem gambler;
- indicators of problem gambling;
- a description of sources of indicator data to be used by SKYCITY;
- a description of how indicator data is to be used by SKYCITY to identify problem gamblers; and
- an outline of record-keeping requirements and review of the Policy.

The Policy applies to SKYCITY Auckland only.

Supporting Standard Operating Procedures (SOPs)

The following SOPs provide operational guidelines relevant to the Policy:

- Information Collection and Collation;
- Analysis and Intervention; and
- Exclusion.

Section One – Definition of a problem gambler

Under the Act, a problem gambler is “a person whose gambling causes harm or may cause harm”.

“Harm” is defined as:

- (a) harm or distress of any kind arising from, or caused or exacerbated by, a person’s gambling; and
- (b) includes personal, social or economic harm suffered:
 - (i) by the person; or
 - (ii) the person’s spouse, partner, family, whanau, or wider community; or
 - (iii) in the workplace; or
 - (iv) by society at large.

Section Two - Indicators of problem gambling

Introduction

SKYCITY uses a number of indicators to assess whether a customer is likely to be a problem gambler. Although these indicators provide an appropriate basis for making determinations as to whether someone is a problem gambler, the nature and range of indicators may vary from one customer to the next. Wherever possible, indicator information should be interpreted in the context of other relevant information to develop an overall assessment of the customer's position.

Based on research and evidence, SKYCITY has developed a list of visible signs and behaviours that may be indicators of gambling-related harm. Some of these can be considered "high confidence" or "strong indicators".

"*Strong indicators*" are those where the presentation of even one or two indicators is usually sufficient to identify the person as a problem gambler.

Other indicators referred to as "*general indicators*" are behaviours which may be observed in a range of gamblers, but occur more frequently amongst problem gamblers. They are warning signs that may, or may not, indicate a problem if only one or two factors are observed in isolation, but which become indicative when a greater number of signs are observed together or across time.

Problem gamblers can be identified by inferring that harm is present or may occur using the indicators set out below. They can also be identified on the basis of information from customers or persons affected by a customer's gambling behaviour. Customers (and affected persons) may directly disclose that the customer is experiencing problems with gambling, or require assistance (e.g., they want to self-exclude), or do so indirectly.

INDICATORS

Strong Indicators

- Requests to self-exclude;
- Self-identified problem gambler;
- Self-disclosures that may or may not make reference to the person's gambling;
- Third-party disclosures that may or may not make reference to the person's gambling; or
- Severe emotional distress due to gambling, including expression of suicidal thoughts.

General indicators

Intensity and Frequency of Play

- Customers whose gambling data (accessed through customer loyalty accounts) is assessed by the "Focal Model" as being high risk.
- Very high visitation frequency (for example¹, 5 times per week up to daily) combined with high levels of expenditure on gaming machines (for example, \$250+ lost per session) over a period of time (for example, 1 month);
- High visitation frequency (for example 2 times per week or more), combined with very high levels of expenditure on gaming machines (for example, \$400+ lost per session) over a period of time (for example, 1 month);

¹ The sums, periods and occasions are illustrative examples only. They should not be regarded or treated as "safe harbour" limits.

- High visitation frequency combined with very high levels of expenditure on all forms of gambling, including table games, over a period of time;
- Very few breaks from gambling – almost continuous play;
- Increasing periods of play, and betting more each time, noted over a period of time (noting that gambling expenditure may reduce as the customer's financial resources are exhausted);
- Disconnect with time spent playing, including missing key times (e.g., meals), rushing when leaving machine or staying after friends/family leave;
- Extreme changes in patterns of play;
- Breaching pre-commitment limits and/or multiple increases or disabling of pre-commitment limits; or
- Failure to settle credit arrangements as agreed, including redemption of cheques and markers when due.

Visible Emotional Disturbance

- Emotional distress including agitation, mood swings, crying, holding head in hands, or out-of-character behaviour;
- Personalising machines, including abuse of machines;
- Irritated by interruptions to gambling;
- Rudeness and complaints to staff about gambling outcomes; or
- Possessiveness of particular machines or spots at tables (e.g., standing over other patrons, hovering, aggression).

Dysfunction in Social Behaviour

- Attempts to conceal gambling activities, including making phone calls giving excuses for lateness;
- Steps apparently taken to avoid monitoring of gambling activity, such as ceasing to use a loyalty card;
- Not celebrating wins;
- Disintegration of physical appearance (e.g., clothing or personal hygiene) over time;
- Family/friends seeking out or enquiring about a customer;
- Falling asleep at a machine or table;
- Claims of malfunction of gaming machines or gaming errors when none are identified;
- High consumption of alcohol while gambling (e.g., demanding drinks);
- Interaction with a known or suspected loan shark;
- Unattended children; or
- Previous breach-history of barrings or exclusion orders.

Excessive Access to Money

- Leaving the casino to get additional money and coming back after having appeared to have run out of money;
- Repeated ATM visits and/or multiple declined transactions;
- Borrowing money, including begging;
- Not having sufficient money to exit car park;
- Constant demand for complimentarys; or
- Tray-surfing.

Expenditure and Frequency of Play

Both expenditure and frequency of play, especially on gaming machines, are currently included as general indicators, rather than as strong indicators, because it is recognised that not all customers who exhibit high expenditure levels and frequent visitation are necessarily problem gamblers. However, such indicators are much more likely to be observed amongst problem gamblers than others and therefore may indicate a greater risk of gambling related

harm. It is established from international research that problem gamblers are more likely than other players to lose control of their expenditure, to chase their losses, and to have very strong urges to gamble. Most studies of problem gambling have found that problem gamblers spend significantly more, and gamble significantly more frequently than other players.

Frequency and expenditure data are especially important as indicators in the case of users of gaming machines for several reasons:

- It is easier for people to gamble without being noticed because gaming machine gambling involves very little interaction with casino staff, compared to table games, making it less likely that their behaviour and emotional reactions will be observed;
- There is a stronger relationship between problem gambling and play on gaming machines than with other forms of casino gambling;
- Electronic data gathering from gaming machines is more accurate than from table games.

Other Observations

The indicators listed above are not exclusive – staff are encouraged to report observations of customers based on other factors which raise concerns.

Section Three – Sources of Indicator Data

The indicators described in Section 2 may emerge from the five principal sources of information SKYCITY collects, collates and analyses. Information sources include:

- customer disclosures;
- behavioural observations;
- customer data including loyalty;
- third-party disclosures; and
- interviews with customers or staff.

All information on customers collated from the sources described below is recorded as soon as practicable into iTrak, SKYCITY's incident reporting and retrieval database.

iTrak centralises information from multiple business sources (Security, Surveillance, Host Responsibility and Gaming) which can be shared, when appropriate, across the SKYCITY Group.

Host Responsibility uses iTrak to record, manage, review and assess all information about all customers on the database, including gamblers of interest and excluded or banned customers.

CUSTOMER DISCLOSURES

Customer disclosures may or may not make reference to the person's gambling (i.e., they may be direct or indirect).

Direct disclosures

Direct disclosures make reference to a customer's gambling and examples may include any of the following:

- I think I have a gambling problem;
- I want to be excluded/barred; or
- I don't want to come here anymore.

Indirect disclosures

Indirect disclosures do not make reference to a customer's gambling and examples may include any of the following:

- comments regarding impact on personal life;
- voicing repeated attempts to stop or control gambling;
- comments regarding psychological distress; or
- comments regarding financial distress.

The significance of indirect disclosures should be determined by the nature of the disclosure. Indirect disclosures referring to harm, financial difficulties or loss of control would lead to a high suspicion that the person was experiencing, or at risk of experiencing, harm associated with their gambling.

Direct and indirect disclosures from customers must be recorded in iTrak and sent to Host Responsibility as soon as practicable to be used in making problem gambling assessments.

BEHAVIOURAL OBSERVATIONS

Although staff cannot be expected to watch all customers on all occasions, the process of observation and identification is enhanced by the fact that one may observe a clustering of indicators. Those customers who present with strong indicators, or who produce several common indicators, may produce many more. In effect, problem gamblers may draw attention to themselves through observable behaviour. Staff should use this information to focus their observations to particular customers.

At the same time, there will be customers where the problematic behaviour may be 'silent' or hidden. Some patrons may gamble very frequently, spend very large amounts of money, but not produce any obvious emotional responses or other indicators to draw attention to themselves. For this reason, staff should remain vigilant to the presence of people who spend many hours in the casino, and who visit very frequently. In such cases, staff should be vigilant for additional indicators of harm. As noted below, frequency of gambling and level of expenditure are indicators in their own right, and also ways of identifying people who require additional observation.

Staff who observe the indicators specified in Section 2 must report the observation to the appropriate supervisor/manager. All observations of indicators reported to them by staff and any follow up responses taken by staff and/or supervisors/managers must be logged into iTrak by the supervisor/manager so as to make the record of the disclosure or observation available to Host Responsibility as soon as practicable. The reported disclosures and observations form part of the body of information upon which assessments of problem gambling are to be made.

CUSTOMER DATA INCLUDING LOYALTY

High levels of frequency and expenditure are general indicators (see Section 2). SKYCITY must monitor the amount of money and time spent over time proactively using the Loyalty Programme.

Although high levels of expenditure and visitation are listed as general indicators, it is important that SKYCITY take steps (where it has concerns about a player's expenditure or visitation frequency) to obtain additional information that places this behaviour into context. For example, through discussions with the customer or other parties, there may be direct or indirect disclosures concerning the lack of affordability of the gambling. Alternatively, staff might find that some players who spend very large amounts appear to be chasing their losses, or are making very frequent use of ATMs, or are leaving the casino and then returning with additional money. SKYCITY may also make enquiries about the affordability of losses.

In addition, where a customer is brought to the attention of Host Responsibility by self or third party disclosure or by observation, SKYCITY must ascertain whether the customer is a Loyalty member. Where the customer is a member of the Loyalty Programme, SKYCITY must examine their data to determine:

- their time of play;
- duration of play;
- turnover;
- win/loss;
- patterns of expenditure (e.g., increase over time);

- games played;
- tier upgrades;
- non-gaming use of card (e.g., car park use); and
- visitation frequency.

SKYCITY will insert notes in the loyalty card database to alert relevant staff that, on presentation of an inactive loyalty card, the person presenting the card may be a banned player and that Security must be notified to determine this issue. All relevant information will be recorded into iTrak as soon as practicable and made available to Host Responsibility.

THIRD PARTY DISCLOSURES

Information concerning gambling-related harm may also be obtained via third-parties. This might include:

- an enquiry from a concerned family/whanau member; or
- a formal enquiry about the potential problem gambler from the wider community, (e.g., probation officer, general practitioner or employer).

A third party may only seek general information about a customer, and will not always voluntarily identify gambling as the cause of their concerns about a customer (e.g., who may be a friend or relative of the inquirer). Where a third party appears to express general concern about a customer, staff must ask if there are concerns that the customer's gambling may be causing problems. Where there is a positive response to this question, this must be recorded in iTrak and made available to Host Responsibility. Details must be taken, including contact details and a brief summary of concerns. An attempt to identify the customer within the venue (e.g., via Loyalty card use, if available or feasible) should be undertaken. If found, further enquiry must be undertaken and the customer may be requested to leave the premises for a period of time. If requested to leave, SKYCITY must also provide to the customer problem gambling information, including exclusion options. The action must be logged in iTrak and made available to Host Responsibility as soon as practicable.

A third party request that the customer at the casino be removed immediately because of concerns about the customer's gambling is a strong indicator of harm, and will be treated on an urgent basis. The third party must be referred immediately to Host Responsibility or Security. Details must be taken, including contact details and a brief summary of concerns. An attempt to identify the customer within the venue (e.g., via loyalty card use, if available or feasible) should be undertaken. If the customer is found, further enquiry must be undertaken and the customer may be requested to leave the premises for a period of time. If requested to leave, SKYCITY must also provide to the customer problem gambling information, including exclusion options and contact details for problem gambling service providers. The action must be logged in iTrak and made available to Host Responsibility as soon as practicable.

All third party information should be corroborated as part of an internal investigation. The Exclusion SOP outlines the specific steps taken by SKYCITY Auckland in corroborating information.

INTERVIEWS WITH CUSTOMERS OR STAFF

From time-to-time, Host Responsibility or other appropriate staff may interview either customers or staff as part of an investigation.

Customer interviews: During the course of an interview, information may be disclosed by a customer that suggests that he/she may be experiencing harm or gambling in a way that may cause harm. All such information must be recorded into iTrak and made available to Host Responsibility as soon as practicable.

Staff interviews: During the course of an interview, information may be disclosed by staff that suggests a customer may be experiencing harm or gambling in a way that may cause harm. This information must be recorded in iTrak and made available to Host Responsibility as soon as practicable.

Section Four - Identification

Section 2 highlights the indicators that are taken into account in identifying whether a customer may be an actual or potential problem gambler.

Section 3 identifies the primary sources of information available to identify problem gamblers. It also describes the ways in which this information might be utilised and consolidated so as to assist in the identification process.

SKYCITY must use data from the sources identified in Section 3 to identify customers who are actual or potential problem gamblers, ie where their gambling is causing harm, or may cause harm, to the customer or others. Once identified, SKYCITY must determine, based on direct information or inference (using indicators) whether it has reasonable cause to believe that the customer is or has been gambling in a manner that has caused harm or may cause harm. If so, SKYCITY's legal obligations under sections 309-312A of the Act are engaged immediately.

Depending on the assessment, including the perceived severity and urgency of a situation, SKYCITY provides graduated responses ranging from immediate intervention, advice and discussion to ongoing monitoring.

Obligation to Identify

The assessment by SKYCITY, whether there is reasonable cause to believe that a customer is a problem gambler, must be made in good faith, in accordance with the statutory test and within a reasonable timeframe.

Analysis of Information

As outlined in Sections 3 and 5, all disclosures or observations related to indicators of harm noted by staff must be reported to, and recorded by, the supervisor or manager and made available to Host Responsibility.

When a self or third party disclosure or observation report is made available to Host Responsibility, Host Responsibility must open a GOI file and collate and review all information available to it in relation to the relevant customer. This includes a review of incident reporting and loyalty databases and other relevant internal information sources. Host Responsibility may also make further enquiries of relevant staff in relation to that customer.

Host Responsibility undertakes a section 309 assessment based on the information collated.

A variety of different types of information is used when undertaking a section 309 assessment, taking into account:

- severity of presenting indicators;
- anti-social behaviour including uncharacteristic or unusual behaviour;
- uncharacteristic changes in appearance;
- changes in patterns of play; and
- number of indicators and repetition over time.

Identification

Strong indicators

Direct disclosures by customers are expected to result in an immediate assessment that SKYCITY has reasonable cause to believe that a customer is a problem gambler, with SKYCITY taking the required steps in response promptly.

The presence of any strong indicator should be sufficient to indicate that the customer is very likely to be a problem gambler unless another more likely explanation is established.

For instance, although emotional distress may be a reliable and valid indicator of gambling-related harm, not all people who appear distressed will necessarily feel this way because of gambling. Therefore, if this strong indicator is evident, it would be appropriate to interpret the person's behaviour in the context of other indicators. For example, is the person gambling large amounts of money for long periods and displaying other signs of gambling-related harm? If a person only appears distressed, such people should be approached initially on the assumption that they require general assistance, but not necessarily because their gambling is a problem.

General indicators

The observation of small clusters of general indicators should be sufficient to trigger further monitoring but, depending on the circumstances, may not necessarily lead to an immediate assessment that SKYCITY has reasonable cause to believe that a customer is a problem gambler. As part of a graduated response, it is expected that such people should be subject to further monitoring to determine whether any further general indicators emerge, including the repetition of the same indicators. If there is an accumulation of general indicators over a period of time (e.g., several general indicators recur during a one month period) SKYCITY would have reasonable grounds to consider such people to be problem gamblers.

Consequences of Identification

Once it has reasonable cause to believe that a customer is a problem gambler, SKYCITY must:

- (a) offer information or advice to the customer about problem gambling including a description of self-exclusion procedures, within a reasonable time of identification, taking into account the urgency of the situation and the risk of harm²;
- (b) issue an exclusion order immediately if requested to do so by the customer³; and
- (c) consider whether it would be appropriate to issue an exclusion order without any request to do so as a means of providing assistance to the customer⁴.

SKYCITY will also provide contact details for problem gambling service providers.

² Section 309

³ Section 310

⁴ Section 309A

Section Five – Record keeping

Recording, collation and analysis of information

Host Responsibility is responsible for the collation, analysis and electronic recording of all information relating to indicators of harm. Host Responsibility also keeps records of observations noted by frontline staff, supervisors and managers, and of all direct and third party disclosures, interactions and interventions undertaken in relation to a customer by frontline staff, supervisors and managers.

Host Responsibility also records the section 309 assessment referred to in section 4 above, and the outcome of that assessment.

As outlined in section 3, all information collated by SKYCITY in relation to a customer is recorded as soon as practicable into iTrak.

Host Responsibility uses iTrak to manage, monitor, review and assess information about all customers on the iTrak database, including gamblers of interest and excluded or banned customers.

GOI files

A key purpose of a GOI file is to institute a formal monitoring process in relation to a customer. A GOI file is opened by Host Responsibility: in circumstances where a customer has come to the attention of Host Responsibility for monitoring; a third party disclosure is made in relation to a customer's gambling; or a customer return from exclusion having fulfilled the re-entry criteria.

SKYCITY may also open a GOI file in other circumstances, as may be appropriate, including where:

- information is requested or presented from government agencies; or
- suspected or actual undesirable activity is present, including unattended children, unaccompanied minors or breaches of trespass orders.

Once opened, all available customer data to assist the assessment of whether a customer is a problem gambler must be obtained and placed on the file. In the case of customers who come to attention as a result of expenditure and visitation frequency, a GOI file must be open so that further information and observations can be recorded for assessment.

SKYCITY will regularly review GOI files at a minimum, at the following intervals and more often as required:

- monthly review for the duration of the investigation; and
- formal 12 week review.

Whenever new information becomes available or is obtained, a problem gambling reassessment must be undertaken. If an assessment is made that the customer is not a problem gambler after the 12 week review period, the GOI file may be deactivated. If concerns remain, the file must be left open and reviewed on a regular basis.

All deactivated GOI files will be retained by SKYCITY. A GOI file may be reactivated at any stage subsequent to the 12 week review period if further information or indicators in relation to a customer emerge. In this case, a problem gambling reassessment will be undertaken, and monitoring may continue as part of the customer information review process.

Whenever an exclusion order is made, whether at the request of a customer or as a result of a decision taken by the casino operator to assist a suspected problem gambler, all of the information required by section 312A must be recorded on the relevant GOI file, retained and provided to the Secretary if requested.

Section Six – Review

The Problem Gambler Identification Policy will be measured and monitored as part of the Auckland Host Responsibility Programme.

Where new evidence emerges in relation to indicators of harm and identification of problem gamblers, SKYCITY will review its Problem Gambler Identification Policy accordingly.