

<b>Title</b>	<b>Identify, develop, and present an audit and inspection plan for a specific area of casino operations</b>		
<b>Level</b>	<b>5</b>	<b>Credits</b>	<b>10</b>

<b>Purpose</b>	People credited with this unit standard are able to, for a specified area of casino operations: identify key risks applicable; identify key controls to mitigate risks; identify audit and inspection services required to ensure compliance with key controls; and prepare and present an audit and inspection plan.
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<b>Classification</b>	Tourism > Casino Gaming
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<b>Available grade</b>	Achieved
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## Guidance Information

- 1 Definition  
*Industry procedures* refer to all workplace requirements in operation in casinos. These may include, but are not limited to, relevant statutory and regulatory requirements, Minimum Operating Standards, Gazetted Rules, Licence Conditions, and procedures described in training courses for the conduct of games, as approved by the Department of Internal Affairs or the Gambling Commission respectively. Industry procedures may also include procedures specific to an enterprise involved in the casino gaming industry. These additional enterprise procedures may include, without limitation, quality assurance, documentation, security, communications, health and safety, and personal behaviour.
- 2 The Gambling Act 2003 is the main piece of legislation relevant to this unit standard together with any associated legislation and/or regulations.

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## Outcomes and performance criteria

### Outcome 1

Identify key risks applicable to a specified area of casino operations.

### Performance criteria

- 1.1 Risks identified are in accordance with the objectives of the Gambling Act 2003.
- 1.2 Creation of a risk template for the specified area is in accordance with identified risks and the Gambling Act 2003.
- 1.3 All components of the specified area of operations are analysed in terms of the risk template.

- 1.4 Level of risk is determined consistent with the results of analysis, in accordance with industry procedures.

## Outcome 2

Identify key controls to mitigate risks for a specified area of casino operations.

### Performance criteria

- 2.1 Analysis of risk determines strength and/or presence of current key controls.
- 2.2 Key controls required are determined consistent with the results of analysis and identified level of risk, in accordance with industry procedures.

## Outcome 3

Identify audit and inspection services required to ensure compliance with key controls for a specified area of casino operations.

### Performance criteria

- 3.1 Range of services is determined to ensure compliance with key controls.
- 3.2 Practicality of audit and inspection methodology is determined in accordance with the situation.
- 3.3 Audit and inspection plan developed is in accordance with resources available in accordance with industry procedures.

## Outcome 4

Prepare and present an audit and inspection plan for a specified area of casino operations.

### Performance criteria

- 4.1 Plan encompasses risks, controls, range of audit practices to be applied, frequency, and work allocation.
- 4.2 Frequency and work allocation to implement plan ensures required level of assurance.
- 4.3 Methodology for reporting results is determined in accordance with the requirements of the situation.
- 4.4 Impact of results is determined for assessing compliance and suitability of ongoing audit programme.

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<b>Planned review date</b>	31 December 2023
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**Status information and last date for assessment for superseded versions**

Process	Version	Date	Last Date for Assessment
Registration	1	25 July 1999	N/A
Revision	2	24 February 2003	N/A
Review	3	23 January 2009	N/A
Revision and Rollover	4	1 November 2018	N/A
Revision and Rollover	5	29 July 2021	N/A

**Consent and Moderation Requirements (CMR) reference**

0112

This CMR can be accessed at <http://www.nzqa.govt.nz/framework/search/index.do>.

**Comments on this unit standard**

Please contact ServiceIQ [qualifications@serviceiq.org.nz](mailto:qualifications@serviceiq.org.nz) if you wish to suggest changes to the content of this unit standard.