Responsible Gambling
Verification
Best Practice
The recognition of problem gambling issues within our industry over the course of the past decade has been nothing short of remarkable. Whereas at one point it was considered a taboo subject that shouldn’t be openly addressed, we have evolved now to launch what I consider a crowning achievement of NASPL.

This new standard and verification program – the third such initiative launched by our organization – works on two different levels. For lotteries which are hoping to establish a responsible gambling program but haven’t felt like they had the expertise to do so, the opening level of our verification program allows them access to national experts in the field. These experts will critique their program, offering advice on how best to educate both their employees and the public about the disorder and available treatment options. For lotteries who already have a responsible gambling program, this initiative will engage these same experts on how existing plans could be stronger and give recognition to those who have created solid programming.

Another evolutionary aspect of this I’m particularly proud of is the work with our partner in this initiative, the National Council on Problem Gambling. In times past, some would have considered them the enemy – and vice-versa. For us to be able to work with the Council, and in turn their network of some of the most influential problem gambling experts on the planet, shows to me how far we’ve progressed.

I’m excited NASPL and the NCPG have come together to make this program a reality, and we look forward to providing this service to our members.

David Gale
Executive Director
NASPL
For the first time a segment of the U.S. gambling industry has adopted a responsible gaming framework and independent verification process. This framework and standard was developed in conjunction with the National Council on Problem Gambling. NCPG’s vision is to improve health and wellness in America by reducing the personal, social and economic costs of problem gambling. We do this by leading state and national stakeholders in the development of comprehensive policy and programs for all those affected by problem gambling. We congratulate NASPL members for their recognition of problem gambling and embrace of responsible gaming. NCPG is pleased to work with NASPL in the development, administration and verification of these standards. We bring more than 40 years of independence and experience to the table. We acknowledge and celebrate NASPL members and staff who have taken a leadership role in responsible gaming, while we continue to advocate for additional programs and services to assist problem gamblers and their families. While the disease of problem gambling can never be eliminated, together we can help minimize the social costs of gambling addiction.

Keith Whyte
Executive Director
NCPG
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VERIFICATION LEVELS:
The NASPL/NCPG RG verification program will be comprised of three levels:

- **PLAN verification** – This is for lottery organizations who have not yet launched a robust responsible gambling initiative. By submitting an application for verification at this level, a lottery would look for the assessment panel to review the plan prior to launch to make sure they are adhering to accepted responsible gambling standards. This verification will be awarded for a two year period, with the expectation that the lottery will actively move toward the Implementation level during that time frame.

- **IMPLEMENTATION verification** – This is for lottery organizations that already have an RG program in place. Tangible results and efforts in the specific areas of assessment will be the hallmark of an application at this level. This verification level will be awarded for a three year period.

- **SUSTAINING verification** – This level will be available for lotteries three years after they complete the implementation verification process. Their application will show the plan submitted at the implementation level continues to be executed as outlined.
VERIFICATION PROGRAM OVERVIEW

AREAS OF ASSESSMENT:

- Research
- Employee Training
- Retailer Training
- Player Education
- New/Existing Product Oversight
- Budget
- Advertising
- Engagement and Awareness

LOTTERIES ELIGIBLE TO BE ASSESSED:
As this program is a joint effort between NASPL and the US-based NCPG, only lotteries in the Unit-
ed States will be able to apply when this verification program is launched. Once it has been started,
though, NASPL will explore the possibility of partnering with a Canadian-based NGO to provide a verifi-
cation program there.

INDEPENDENT ASSESSMENT PANEL:
All verification documents will be assessed by a four member panel under the guidance of the NCPG. One assessor will be appointed by NASPL, with emphasis given to members of the NASPL responsible gambling subcommittee. Three assessors will be appointed by the NCPG. Assessors must be of the highest possible quality, and will be subject to approval by NASPL, the NASPL RG subcommittee and the NCPG. A pool of assessors will be submitted to NASPL from NCPG for approval. Once the list is approved, NCPG will randomly assign assessors to the project. This list will be reviewed by NASPL for changes prior to each new assessment period. All panelists will only have direct contact with NCPG while evaluating submitted documents – they will not have any contact with NASPL during the verifi-
cation process, but will be available for follow-up commentary and insights once the assessment time-
frame window has closed. As is the model in academia, the assessors will not be identified in the final report.
CRITERIA:
Each area of the verification submission will be evaluated by the independent assessment panel to determine whether the lottery is, in their opinion, either proficient or non-proficient. This category proficient status will only be granted when the lottery is deemed to have a minimum pass/fail score of 70% of each criteria in the particular category. To achieve the verification standard, the member lottery must be judged to be proficient in seven of the eight categories. Three or more of the assessment panel members must find the lottery to be proficient before the verification standard is awarded.

APPEAL/CLARIFICATION AND SUPPORT:
Any lottery which seeks to appeal the assessment panel’s decision or seek clarification to any comments will have ten business days from when the findings are delivered to submit documentation. In turn, the assessment panel will have ten business days to answer submitted questions or review any appeals and issue their findings. If a lottery has their application for verification denied, membership from the NASPL RG subcommittee will work with the lottery to help formulate a plan that can be resubmitted during the next review period. NCPG will also ask the state or regional affiliates group to contribute to this effort as well.

NON-VERIFIED LOTTERIES:
If a lottery does not achieve the verification standard, the assessors will be charged with detailing why the lottery did not meet the criteria. The NASPL RG committee will assist the lottery with the effort get their program to the point where it meets the standard, and the state’s NCPG affiliate will also be encouraged to lend assistance.

NCPG STATE AFFILIATES:
NASPL members are encouraged to work with their state affiliate NCPG chapter where applicable in this process. If no viable state chapter exists, the member lottery should contact NCPG and another state affiliate from that region will be engaged. State affiliate chapters may submit a letter of support to the verification submission.

TIMEFRAME:
NASPL members will have two chances each year to submit their application for verification. The independent assessment panel will have six weeks from the time the submission period closes to complete their work, and lotteries will be notified within eight weeks of their submission as to the status of their verification. While every attempt will be made to complete all work in this timeframe, lotteries should note that at the start of the program the workload may cause this deadline to be pushed back.
**LENGTH OF VERIFICATION:**
Achievement of the Plan verification standard will be for a two year period. During that time, the lottery is highly encouraged to put their plan in place and move toward the Implementation verification standard. The Implementation and Sustaining verification standards awarded by the assessment panel will be valid for a three year period.

**FEES:**
Fees for the program will be borne by NASPL, with no charge passed along to member lotteries who participate.

**SUBMISSION:**
All submission documents will be uploaded to the NASPL Matrix website for distribution.

**MANAGEMENT ENDORSEMENT/SINGLE POINT OF CONTACT:**
All submissions must include a signed endorsement letter from the lottery’s director. The name of one person who will be the primary point of contact must also be included.

**CONFIDENTIALITY:**
While it is hoped that all lotteries would be willing to share their submissions with fellow NASPL members, no materials will be released by NASPL without consent from the submitting lottery.

**INITIAL LAUNCH OF PROGRAM:**
After the program is announced, an initial trial of four lotteries will be conducted. These four lotteries will come from the membership of the NASPL RG subcommittee. After these lotteries go through the process, NASPL and NCPG staff will meet to assess how the program worked and what (if any) changes should be considered. Once this takes place, the first six lotteries who submit full applications will be considered. The overall program will again be assessed at this juncture as well.
NASPL RESPONSIBLE GAMBLING FRAMEWORK:

1. Research
   • If resources exist, lotteries should either conduct or fund research on responsible gambling issues that is then published or at least shared with other NASPL members. At a minimum, the lottery should have in place a mechanism by which one staff member is responsible for disseminating responsible gambling research findings to senior management on a regular basis. Lotteries should also reach out to the treatment services providers in their jurisdiction on an ongoing basis to determine if they are observing any trends or issues concerning lottery products which bear further examinations. Research collaboration between a lottery and another organization (such as a university or NCPG state affiliate) is also encouraged.

2. Employee Training
   • Employees need to be keenly aware of signs of a current or potential gambling problem and treatment referral programs available in their jurisdiction. Defined training programs that provide potential signs of problem gambling and how an employee should respond must be utilized for existing employees and new employees when hired. Tools such as the NASPL/NCPG training videos provide excellent content as part of a comprehensive training program. These programs should be presented on an annual or ongoing basis at minimum.

3. Retailer Training
   • Retailer training programs which emphasize treatment referral should be put in place. New retailers should be given information about these programs during orientation, and existing retailers trained and reminded several times a year concerning treatment referral. Programs such as the retailer training component of the NASPL/NCPG initiative should be used where applicable. Age verification restrictions must be emphasized to this audience and revisited on at least an annual basis.

4. Player Education
   • Players must be made aware of telephone helplines or other forms of treatment referral available. They must also receive regular information via channels available to lotteries concerning problem and compulsive gambling warning signs, triggers and responsible gaming tips. Detailed information concerning game odds must always be made available so players can make informed choices, and age verification laws must be clearly communicated.
5. Budget
- Lottery organizations must pledge to provide adequate financial support for responsible gambling programs. This would including funding for organizational memberships and conference/event sponsorships, as well as any other initiatives taken on by the organization. The budget shall be broken out into its own planning document and not rolled into an existing area with no delineation.

6. New/Existing Product Oversight
- Each product line within a member lottery should contain messaging and awareness concerning treatment referral and other avenues available for help. Plans for each line addressed in the verification standards should be in place.

7. Advertising
- Advertising should comply with any internal policies, state mandates and the NASPL advertising guidelines. RG messaging should have a consistent thread throughout all advertisements.

8. Engagement and Awareness
- Member lotteries should look to engage with the entity or entities in their jurisdiction which provide services to problem or compulsive gamblers. Partnerships with NCPG, state affiliate councils or other appropriate organizations should also be a part of their overall program. Participation in awareness activities, such as National Problem Gambling Awareness Month and the Holiday Lottery Campaign, are encouraged.
PLAN VERIFICATION STANDARDS

1. Research
   a. Does your lottery plan to conduct or collaborate on any research on RG topics in your jurisdiction, and if so, what will be examined?
   b. What steps will be taken to ensure key decision-makers in your lottery are made aware of innovations in RG research?
   c. Title(s) of staff member(s) responsible for this part of the program.
   d. How will your objectives be achieved?
   e. Timeline for implementation
   f. Plan for monitoring and evaluation

2. Employee Training
   a. What employee training programs does your lottery hope to undertake on RG issues?
   b. What employee training policies and procedures will be in place?
   c. Now will the NASPL RG video training series be utilized?
   d. What will be your objectives in this area, and how will they be measured?
   e. Title(s) of staff member(s) responsible for this part of the program.
   f. Timeline for implementation
   g. Plan for monitoring and evaluation

3. Retailer Training
   a. What retailer training programs does your lottery hope to undertake on RG issues?
   b. What retailer training policies and procedures will be in place?
   c. What will be your objectives in this area, and how will they be measured?
   d. Title(s) of staff member(s) responsible for this part of the program.
   e. Timeline for implementation
   f. Plan for monitoring and evaluation
4. **Player Education**
   a. What player education programs does your lottery hope to undertake on RG issues?
   b. What player education programs does your lottery hope to offer on how to keep gambling a recreational activity?
   c. What player education policies and procedures will be in place?
   d. What will be your objectives in this area, and how will they be measured?
   e. How will resource referral be addressed?
   f. Title(s) of staff member(s) responsible for this part of the program.
   g. Timeline for implementation
   h. Plan for monitoring and evaluation

5. **Budget:**
   a. What budgetary resources will be made available to support these initiatives?
   b. Is this a stand-alone budget item as required by the standard, or is it a subsection of another budget area?
   c. Title(s) of staff member(s) responsible for this part of the program.
   d. Plan for annual evaluation.

6. **New/Existing Product Oversight:**
   For each of the applicable areas* for your lottery listed below, please share the following:

   **Applicable Areas:**
   i. Traditional lottery products (draw game and instant tickets)
   ii. Keno (non-Internet based)
   iii. VLT

   **Provide Info on each of these Components:**
   a. What RG programs does your lottery hope to undertake for this product line issues?
   b. What policies and procedures will be in place?
   c. What will be your objectives in this area, and how will they be measured?
   d. Title(s) of staff member(s) responsible for this part of the program.
   e. Timeline for implementation
   f. Plan for monitoring and evaluation

*NOTE – if the assessors find the applying lottery does not meet the standard in at least five of the criteria listed above for traditional lottery products, non-Internet Keno or VLT’s, they will be judged as being deficient in the entire category. Weakness in one of these three game types will make the entire New/Existing Product Oversight category deficient.
7. Advertising
   a. What advertising programs does your lottery hope to undertake as it relates to RG efforts and the NASPL advertising guidelines?
   b. What engagement and awareness policies and procedures will be in place?
   c. What will be your objectives in this area, and how will they be measured?
   d. Title(s) of staff member(s) responsible for this part of the program.
   e. Timeline for implementation
   f. Plan for monitoring and evaluation

8. Engagement and Awareness
   a. What engagement and awareness programs does your lottery hope to undertake on RG issues?
   b. What efforts will be made to work with appropriate state and national organizations that provide responsible gambling services?
   c. What engagement and awareness policies and procedures will be in place?
   d. What will be your objectives in this area, and how will they be measured?
   e. Title(s) of staff member(s) responsible for this part of the program.
   f. Timeline for implementation
   g. Plan for monitoring and evaluation
IMPLEMENTATION VERIFICATION STANDARDS

1. Research
   a. Describe any research program you may have in place as it relates to RG efforts.
   b. Describe how key decision-makers in your lottery are made aware of innovations in RG research.
   c. List any policies or procedures which support research efforts.
   d. What are your objectives in this area, and how are they measured?
   e. Title(s) of staff member(s) responsible for this part of the program.
   f. Describe any successes of this part of your program.
   g. What opportunities exist to improve or enhance this program?

2. Employee Training
   a. Describe your employee training program as it relates to RG efforts.
   b. List any policies or procedures which support employee training efforts.
   c. Describe how the NASPL RG video training series is being utilized.
   d. What are your objectives in this area, and how are they measured?
   e. Title(s) of staff member(s) responsible for this part of the program.
   f. Describe any successes of this part of your program.
   g. What opportunities exist to improve or enhance this program?

3. Retailer Training
   a. Describe your retailer training program as it relates to RG efforts.
   b. List any policies or procedures which support retailer training efforts.
   c. What are your objectives in this area, and how are they measured?
   d. Title(s) of staff member(s) responsible for this part of the program.
   e. Describe any successes of this part of your program.
   f. What opportunities exist to improve or enhance this program?
4. Player Education
   a. Describe your player education program as it relates to RG efforts.
   b. List any policies or procedures which support player education efforts.
   c. What player education programs does your lottery offer on how to keep gambling a recreational activity?
   d. What are your objectives in this area, and how are they measured?
   e. Title(s) of staff member(s) responsible for this part of the program.
   f. Describe any successes of this part of your program.
   g. What opportunities exist to improve or enhance this program?

5. Budget:
   a. What budgetary resources will be made available to support these initiatives?
   b. Is this a stand-alone budget item as required by the standard, or is it a subsection of another budget area?
   c. Title(s) of staff member(s) responsible for this part of the program.
   d. Plan for annual evaluation.

6. New/Existing Product Oversight:
   For each of the applicable areas* for your lottery listed below, please share the following:

   Applicable Areas:
   i. Traditional lottery products (draw game and instant tickets)
   ii. Keno (non-Internet based)
   iii. VLT

   Provide Info on each of these Components:
   a. Describe any programs used with the product line as they relates to RG efforts.
   b. List any policies or procedures which support employee training efforts.
   c. What are your objectives in this area, and how are they measured?
   d. Title(s) of staff member(s) responsible for this part of the program.
   e. Describe any successes of this part of your program.
   f. What opportunities exist to improve or enhance this program?

*NOTE – if the assessors find the applying lottery does not meet the standard in at least five of the criteria listed above for traditional lottery products, non-Internet Keno or VLT’s, they will be judged as being deficient in the entire category. Weakness in one of these three game types will make the entire New/Existing Product Oversight category deficient.
7. Advertising
   a. Describe your advertising program as it relates to RG efforts and the NASPL advertising guidelines.
   b. List any advertising policies or procedures in place.
   c. What are your objectives in this area, and how are they measured?
   d. Title(s) of staff member(s) responsible for this part of the program.
   e. Describe any successes of this part of your program.
   f. What opportunities exist to improve or enhance this program?

8. Engagement and Awareness
   a. Describe engagement and awareness programs as they relate to RG efforts.
   b. List any policies or procedures which support engagement and awareness.
   c. What efforts are made to work with appropriate state and national organizations that provide responsible gambling services?
   d. What are your objectives in this area, and how are they measured?
   e. Title(s) of staff member(s) responsible for this part of the program.
   f. Describe any successes of this part of your program.
   g. What opportunities exist to improve or enhance this program?
SUSTAINING VERIFICATION STANDARDS:

1. Research
   a. Describe any research program you may have in place as it relates to RG efforts.
   b. Describe how key decision-makers in your lottery are made aware of innovations in RG research.
   c. Describe any findings/accomplishments in this category since your last verification standard award.
   d. List any policies or procedures which support research efforts.
   e. What are your objectives in this area, and how are they measured?
   f. Title(s) of staff member(s) responsible for this part of the program.
   g. Describe any successes of this part of your program.
   h. What opportunities exist to improve or enhance this program?

2. Employee Training
   a. Describe your employee training program as it relates to RG efforts.
   b. List any policies or procedures which support employee training efforts.
   c. Describe how the NASPL RG video training series is being utilized.
   d. Describe any findings/accomplishments in this category since your last verification standard award.
   e. What are your objectives in this area, and how are they measured?
   f. Title(s) of staff member(s) responsible for this part of the program.
   g. Describe any successes of this part of your program.
   h. What opportunities exist to improve or enhance this program?

3. Retailer Training
   a. Describe your retailer training program as it relates to RG efforts.
   b. List any policies or procedures which support retailer training efforts.
   c. Describe any findings/accomplishments in this category since your last verification standard award.
   d. What are your objectives in this area, and how are they measured?
   e. Title(s) of staff member(s) responsible for this part of the program.
   f. Describe any successes of this part of your program.
   g. What opportunities exist to improve or enhance this program?
4. **Player Education**
   a. Describe your player education program as it relates to RG efforts.
   b. List any policies or procedures which support player education efforts.
   c. What player education programs does your lottery offer on how to keep gambling a recreational activity?
   d. Describe any findings/accomplishments in this category since your last verification standard award.
   e. What are your objectives in this area, and how are they measured?
   f. Title(s) of staff member(s) responsible for this part of the program.
   g. Describe any successes of this part of your program.
   h. What opportunities exist to improve or enhance this program?

5. **Budget:**
   a. What budgetary resources will be made available to support these initiatives?
   b. Is this an independent budget item as required by the standard, or is it a subsection of another budget area?
   c. Title(s) of staff member(s) responsible for this part of the program.
   d. Plan for annual evaluation.

6. **New/Existing Product Oversight:**
   For each of the applicable areas* for your lottery listed below, please share the following:
   
   **Applicable Areas:**
   i. Traditional lottery products (draw game and instant tickets)
   ii. Keno (non-Internet based)
   iii. VLT
   
   **Provide Info on each of these Components:**
   a. Describe any programs used with the product line as they relates to RG efforts.
   b. List any policies or procedures which support RG efforts in the particular product line.
   c. Describe any findings/accomplishments in this category since your last verification standard award.
   d. What are your objectives in this area, and how are they measured?
   e. Title(s) of staff member(s) responsible for this part of the program.
   f. Describe any successes of this part of your program.
   g. What opportunities exist to improve or enhance this program?

*NOTE – if the assessors find the applying lottery does not meet the standard in at least five of the criteria listed above for traditional lottery products, non-Internet Keno or VLT’s, they will be judged as being deficient in the entire category. Weakness in one of these three game types will make the entire New/Existing Product Oversight category deficient.
7. Advertising  
a. Describe your advertising program as it relates to RG efforts and the NASPL advertising guidelines.  
b. List any advertising policies or procedures in place.  
c. Describe any findings/accomplishments in this category since your last verification standard award.  
d. What are your objectives in this area, and how are they measured?  
e. Title(s) of staff member(s) responsible for this part of the program.  
f. Describe any successes of this part of your program.  
g. What opportunities exist to improve or enhance this program?  

8. Engagement and Awareness  
a. Describe engagement and awareness programs as they relate to RG efforts.  
b. List any policies or procedures which support engagement and awareness.  
c. What efforts have been made to work with appropriate state and national organizations that provide responsible gambling services?  
d. Describe any findings/accomplishments in this category since your last verification standard award.  
e. What are your objectives in this area, and how are they measured?  
f. Title(s) of staff member(s) responsible for this part of the program.  
g. Describe any successes of this part of your program.  
h. What opportunities exist to improve or enhance this program?
NASPL ADVERTISING GUIDELINES
Approved March 19, 1999

Introduction
The producers and marketers of lottery products encourage responsible decision-making regarding lottery play by adults, and discourage abusive use of their products. The lottery industry urges that adults who choose to play the lottery, do so responsibly. Signatory NASPL members will conduct their advertising and marketing practices in accordance with the provisions of these Standards.

Content
1. Advertising should be consistent with principles of dignity, integrity, mission and values of the industry and jurisdictions.
   - Advertising should be consistent with principles of dignity, integrity, mission and values of the industry and jurisdictions.
   - Advertising should not portray product abuse, excessive play nor a preoccupation with gambling.
   - Advertising should not imply nor portray any illegal activity
2. Advertising should not degrade the image or status of persons of any ethnic, minority, religious group nor protected class.
3. Advertising by lotteries should appropriately recognize diversity in both audience and media, consistent with these standards.
4. Advertising should not encourage people to play excessively nor beyond their means.
   - Advertising and marketing materials should include a responsible play message when appropriate.
   - Responsible play public service or purchased media messages are appropriate, especially during large jackpot periods.
   - Support for compulsive gambling programs, including publications, referrals and employee training is a necessary adjunct to lottery advertising.
   - Advertising should not present, directly nor indirectly, any lottery game as a potential means of relieving any person’s financial or personal difficulties.
   - Advertising should not exhort play as a means of recovering past gambling nor other financial losses.
   - Advertising should not knowingly be placed in or adjacent to other media that dramatize or glamorize inappropriate use of the product.
Tone
1. The Lottery should not be promoted in derogation of nor as an alternative to employment, nor as a financial investment nor a way to achieve financial security.
2. Lottery advertisements should not be designed so as to imply urgency, should not make false promises and should not present winning as the probable outcome.
3. Advertising should not denigrate a person who does not buy a lottery ticket nor unduly praise a person who does buy a ticket.
4. Advertising should emphasize the fun and entertainment aspect of playing lottery games and not imply a promise of winning.
5. Advertising should not exhort the public to wager by directly or indirectly misrepresenting a person’s chance of winning a prize.
6. Advertising should not imply that lottery games are games of skill.

Minors
1. Persons depicted as lottery players in lottery advertising should not be, nor appear to be, under the legal purchase age.
2. Age restrictions should, at a minimum, be posted at the point of sale.
3. Advertising should not appear in media directed primarily to those under the legal age.
4. Lotteries should not be advertised nor marketed at venues where the audience is reasonably and primarily expected to be below the legal purchase age.
5. Advertising should not contain symbols nor language that are primarily intended to appeal to minors or those under the legal purchase age.
   - The use of animation should be monitored to ensure that characters are not associated with animated characters on children’s programs.
   - Celebrity or other testimonials should not be used which would primarily appeal to persons under the legal purchase age.

Game Information
1. Odds of winning must be readily available to the public and be clearly stated.
2. Advertising should state alternative cash and annuity values where reasonable and appropriate.

Beneficiaries
1. Lotteries should provide information regarding the use of lottery proceeds.
2. Advertising should clearly denote where lottery proceeds go, avoiding statements that could be confusing or misinterpreted.