

LICENSING SUB COMMITTEE

Tuesday, 15 September 2020 at 5.30 p.m.

Online 'Virtual' Meeting - <https://towerhamlets.public-i.tv/core/portal/home>

SUPPLEMENTAL AGENDA 2

This meeting is open to the public to attend.

Contact for further enquiries:

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agenda:



For further information, see the main agenda.

		PAGE NUMBER(S)	WARD(S) AFFECTED
4 .1	Licensing Act 2003 Application for variation of a Premises Licence for Wombats City Hostel, 7 Dock Street, London, E1 8LL	3 - 30	Whitechapel
4 .2	Gambling Act 2005 Application for a Premises Licence - Adult Gaming Centre for Future Leisure, 10 Brick Lane, London E1 6RF	31 - 230	Spitalfields & Banglatown

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IN THE LONDON BOROUGH OF TOWERS HAMLET

Reference: Wombats City Hostel M/128620

BETWEEN:

WOMBATS LONDON LIMITED

Applicant

-and-

TOWERS HAMLETS COUNCIL

Respondent

APPLICANT'S SUBMISSIONS

Introduction

1. The relevant factual background has been detailed in the witness statement of Ms Carolin Paarmann, director of Wombats London Ltd, and need not be rehearsed here.
2. The nub of this application for two variations to the applicant's premises licence is captured at paragraph [9] of Ms Paarmann's statement:
 - i) *To extend the services to non-staying guests so that the Company can serve alcohol to members of the wider public from Monday to Sunday from 12:00 hours (midday) to 01:30 hours (the following day);and*
 - ii) *To occasionally play non-amplified music outdoors (until no later than 11pm)*

3. In a nutshell, the economic fallout from the coronavirus lockdown has been crippling to the applicant's business. The applicant is seeking to diversify the services offered to the public in order to remain financially viable. Contrary to the suggestion that the applicant is trying to surreptitiously morph into a night club, Ms Paarmann's statement demonstrates that the applicant is only keen to be innovative as a way of responding to the challenges to her business' sustainability that have been brought about by the coronavirus pandemic.
4. Ms Nicola Cadzow , Environmental Health Technical Officer, has described her concerns regarding the variations sought by the applicant as follows:

In my view the application, as it stands fails, to comply with the objective of the Licensing Act 2003 relating to "public nuisance" for the following reasons:-

- *Noise breakout from the venue affecting neighbouring residents.*
- *Access & egress to and from the venue, of patrons, especially due to patrons likely to be in high spirits; and*
- *The hours of operation (inclusive of proposals) with particular attention to use of the external area for non-amplified music until 11pm.*

5. It bears emphasising that the applicant proposes to play unamplified music only at interval stages and will not do so for more than an hour at any given interval.

Relevant legal principles and framework

6. The concerns that have been raised by Ms Cadzow involve the public nuisance aspect of the licensing objective, to be found at s4 (2) (c) of the Licensing Act 2003. In the case of *R. (on the application of Blackwood) v Birmingham Magistrates* [2006] EWHC 1800 (Admin) at paragraphs [11] and [12], the court referenced a previous version of the licensing guidance to the 2003 Act, which explained the thinking around the prevention of public nuisance as a licensing objective as follows:

“In relation to the prevention of public nuisance, in each individual case that arises following representations, the licensing authority should consider the potential for nuisance associated with the style, characteristics and activities of the business to be carried on at the premises in order to examine the potential steps which could be taken to reduce the risk of nuisance occurring. This will particularly apply in areas of residential accommodation. The licensing authority should consider restricting the hours of trading only where this is necessary because of the potential impact on the promotion of the licensing objectives from fixed and artificially early closing times.”

7. In the current Revised Licensing Guidance dated April 2018 , the following is noted on public nuisance:

2.15 - The 2003 Act enables licensing authorities and responsible authorities, through representations, to consider what constitutes public nuisance and what is appropriate to prevent it in terms of conditions attached to specific premises licences and club premises certificates. It is therefore important that in considering the promotion of this licensing objective, licensing authorities and responsible authorities focus on the effect of the licensable activities at the specific premises on persons living and working (including those carrying on business) in the area around the premises which may be disproportionate and unreasonable. The issues will mainly concern noise nuisance, light pollution, noxious smells and litter.

And :

2.17 Conditions relating to noise nuisance will usually concern steps appropriate to control the levels of noise emanating from premises. This might be achieved by a simple measure such as ensuring that doors and windows are kept closed after a particular time, or persons are not permitted in garden areas of the premises after a

certain time. More sophisticated measures like the installation of acoustic curtains or rubber speaker mounts to mitigate sound escape from the premises may be appropriate. However, conditions in relation to live or recorded music may not be enforceable in circumstances where the entertainment activity itself is not licensable (see chapter 16). Any conditions appropriate to promote the prevention of public nuisance should be tailored to the type, nature and characteristics of the specific premises and its licensable activities. Licensing authorities should avoid inappropriate or disproportionate measures that could deter events that are valuable to the community, such as live music. Noise limiters, for example, are expensive to purchase and install and are likely to be a considerable burden for smaller venues.

Submissions

8. None of the applicant's proposed premises licence variations involve a risk of public nuisance that cannot be appropriately addressed. In considering whether to deny the proposed variations, the licensing authority must ask itself whether it is *necessary* and *proportionate* to do so, in order to prevent a public nuisance. In other words, the licensing authority must be satisfied that no lesser step other than the denial of the proposed variations, would suffice in order to promote the licensing objective.
9. The potential public nuisance concerning the extension of service to non-staying hotel guests arises from foot traffic into the hotel – that is, access and egress to the applicant's premises. Patrons, Ms Cadzow worries, will likely be in "*high spirits*" in leaving and cause a nuisance. It is submitted however, that the applicant has already put measures in place that would mitigate such potential risk. They are detailed in paragraph [22] of Ms Paarmann's statement and include monitoring and management of access and egress by security staff. There is likely to be sufficient security personnel in place to deal with the number of patrons that are envisaged. And given the style and character of the neighbourhood, it is not uncommon for patrons of entertainment venues to be traversing the streets at that

time. The blanket denial of this proposed variation to the premises licence is not necessary and would be wholly disproportionate.

10. The concerns about noise pollution and the nuisance impact on neighbours, appear to come from three aspects of the applicant's proposed variations: i) playing unamplified music outdoors; ii) playing unamplified music outdoors up to 11pm; and iii) general noise emission from patrons during outdoor music offerings. It is submitted that these concerns do not make it *necessary* that there should not be any music outdoors up to 11pm. There are measures that can be adopted to mitigate the potential risk of noise nuisance, which have been detailed in paragraphs [21] and [23] of Ms Paarmann's statement. This includes live music being played only at intervals of an hour; and restricting the live music played to a single unamplified instrument such as a guitar. In addition, the applicant is prepared to adjust the time down to 10pm, as a compromise. The proposed conditions that the applicant has put forward to accompany its application for this variation, are *reasonable, proportionate* and *enforceable*. It is therefore not necessary to deny the application for music to be played outside. And given the conditions proposed by the claimant, such denial would be patently disproportionate.

Relief sought

11. The licensing authority should grant the variations sought by the applicant regarding its premises licence.

Philip Dayle

No5 Chambers

September 7, 2020

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First Witness Statement of Carolin Paarmann
On behalf of the Applicant
Wombats London Limited
Exhibit CP1
Dated: 08/09/2020

IN THE LONDON BOROUGH OF TOWERS HAMLET

Reference: Wombats City Hostel M/128620

BETWEEN:

WOMBATS LONDON LIMITED

Applicant

-and-

TOWERS HAMLETS COUNCIL

Respondent

WITNESS STATEMENT OF CAROLIN PAARMANN

I, Carolin Paarmann of Wombats London Limited, whose registered office is 7 Dock Street, London, United Kingdom, E1 8LL WILL STATE AS FOLLOWS:

1. I am a Director of the applicant company, Wombats London Limited ("the Company"), and make this witness statement in support of the Applicant's application to vary the Premises Licence with reference: Wombats City Hostel M/128620 ("the Application").
2. The facts and matters set out in this statement are within my own knowledge unless otherwise stated, and I believe them to be true. Where I refer to information by others, the sources of the information is identified; facts and matters derived from other sources are true to the best of my knowledge and belief.
3. This witness statement has been prepared following telephone and email correspondence with my solicitors, Talbots Law Ltd.
4. There is now produced and shown to me a paginated bundle of documents marked **CP1**. All references to the documents in this statement are to Exhibit CP1 and highlighted in bold unless otherwise stated.
5. Our current premises licence number is 18414 ("Premises Licence") and this is for the Company's Hostel situate at 7 Dock Street, London, E1 8LL ("the Premises"). There is now shown to me marked **CP1** at pages 1 to 3 a copy of the Premises Licence. I am the

designated Premises supervisor where the Premises Licence authorises the supply of alcohol.

6. Under the terms of the Premises Licence the Company is licensed to carry out the following activities:
 - a. The Sale by Retail of Alcohol, and
 - b. The Provision of Regulated Entertainment.
7. The times the Premises Licence authorises the carrying out of the licensable activities are:
 - a. The supply of alcohol (on the Premises only) Monday to Sunday from 12:00 hours (midday) to 01:30 hours (the following day);
 - b. The provision of Regulated Entertainment in the form of Live Music (indoors) and Recorded Music (indoors) Monday to Sunday from 12;00 hours (midday) to 01:30 hours (the following day).
8. On 8 June 2020, on behalf of the Company, I completed and submitted an application to vary the Premises Licence ("the Application"). There is now shown to me marked **CP1** at pages 4 to 14 a copy of the Application. The Application primarily concerns two variations of the Premises Licence, namely:
 - a. To extend the services to non-staying guests so that the Company can serve alcohol to members of the wider public from Monday to Sunday from 12:00 hours (midday) to 01:30 hours (the following day);
 - b. To occasionally play non-amplified music outdoors.
9. The Company is currently facing a challenging time in light of the current and ongoing circumstances surrounding the coronavirus pandemic. The Premises had to shut between 21 March 2020 and 1 August 2020 and during this time the Premises was not able to trade or welcome any guests. For this reason the Company has suffered substantial losses, and in order to assist the business to recoup some of those losses we have chosen to diversify the business. In order to do this we considered that the variation of the licence would greatly assist.
10. I will now deal with the two respective variations below whilst taking into account the representations which have been made by the Environmental Health Technical Officer and local residents.

To extend the services to non-staying guests so that the Company can serve alcohol to members of the wider public until 01.30am

11. I would first like to point out that the Company's pre-existing licence permits the Company to sell alcohol to its staying patrons from Monday to Sunday from 12:00 hours (midday) to 01:30 hours (the following day).
12. As you will note from the Application the schedule to supply alcohol will not be subject to change if the Application was to be successful.
13. The proposal to extend the services to non-staying guests will assist the Company becoming dynamic in these uncertain times. It is noted that a couple of the representations made in objection to the Application indicate that there is no demand for a public bar and further that there are ample services within 150 meters of the Premises. If this is the case then it may be that no one will utilise the services, but as a business we need to be as dynamic as possible in order to help the business survive. We consider it unreasonable for this part of the application to fail on the basis that the general public can obtain similar services elsewhere and that there is no demand.
14. By large it does not appear that there is a strong objection to the part of the Application for the services to be extended to non-staying guests.

To occasionally play unamplified music outdoors until no later than 11.00pm

15. The Premises Licence currently permits us to carry out the provision of regulated entertainment in the form of live music in doors. In order to diversify we have applied to extend this to the outdoor area. This would ensure that people who may feel more comfortable sitting in an outside setting (in light of the pandemic) also enjoys the same atmosphere as indoors.
16. As will be discussed further, the unamplified music will only be played at interval stages and will not last longer than one hour at any given interval.
17. Having considered the representations of some local residents, I note that there has been reference to the Premises as a defacto club / nightclub. This is untrue. It is not our intention to operate the Premises as defacto nightclub. We appreciate that our staying guests may not wish to use the bar area and would like a quiet stay with us. Accordingly we will remain considerate to those guests who wish simply to have a quiet stay with us. Satisfying customers is of paramount importance to the business so that in turn we have returning custom.
18. As can be noted from the Application, the schedule to provide live music will be subject to change if the Application was to be successful. This will involve unamplified guitar playing. For the avoidance of doubt this does not include an electric guitar or other amplified musical instrument.

Representations by the Environmental Health Technical Officer (Nicola Cadzow)

19. On 10 August 2020 I was provided with objections which had been raised by various people who reside around the vicinity of the Premises. I trust that this witness statement will serve to address and alleviate the concerns raised accordingly.
20. It is noted that the Environmental Officer has raised three main concerns in her representations made via email dated 2 July 2020, namely:
- a) Noise breakout from the venue affecting neighbouring residents.
 - b) Access & egress to and from the venue, of patrons, especially due to patrons likely to be in high spirits; and
 - c) The hours of operation (inclusive of proposals) with particular attention to use of the external area for non-amplified music until 11pm.
21. In respect of the noise breakout affecting neighbouring residents, the live music will be instrumental such as a guitar. There will be no amplification of any instruments or singing. The music will only be played at intervals of no longer than one hour at a time. In light of this it is highly unlikely that any of the unamplified music will cause any disturbance to any neighbouring residents.
22. The access and egress to and from the Premises will be monitored and managed by onsite security staff who we intend to employ purely for this purpose. I find it prudent to highlight that the Company already currently has two security staff members on site during bar opening hours, seven days a week. This measure is additional to what is actually required under our current licence. Further, in light of current COVID-19 restrictions in place, the Premises will have limited capacity so as to ensure social distances measures are able to be adhered to within the Premises and within the bar area. This will undoubtedly limit the number of people within the Premises at any given time. The security on the doors of the Premises will monitor this situation closely and manage this throughout the evening. The Security staff will also be on hand to ensure that patrons leave the Premises in an orderly fashion so as to not cause any disturbance amongst other residents.
23. The hours of operation for unamplified music to 11.00pm should not cause concerns to neighbouring residents given the fact that the music will be confined to a single unamplified musical instrument such as a guitar. As previously stated the music will be played at intervals of periods lasting no longer than one hour at any given time. In the event that 11.00pm is not agreeable, the Company will consider amending its application to 10.00pm if this is more acceptable.
24. I would also like to point out that there are restaurants and bars within a one kilometre proximity of the Premises and with this also being central London general noise can be expected to emanate from the close proximity to those also.

The Objectives under the Licensing Act 2003

25. I am advised by my solicitor that under section 4 of the Licensing Act 2003 ("the Act") a licensing authority must carry out its functions under the Act with a view of promoting the licensing objectives.

26. The Premises currently operates a Challenge 25 policy ensuring that where a patron appears to be under the age of 25, they will only be served alcohol upon production of valid identification. All members of staff employed by the Company who serve alcohol are receiving the appropriate training on their responsibility under the Licensing Act.

27. I will now set out below the steps the Company intends to proactively take, and continue to take, in order to promote the four licensing objectives:

i) The Prevention of Crime and Disorder

28. We currently have a comprehensive range of CCTV installed around the Premises to act as a deterrent for crime and anti-social behaviour. The CCTV is fully visible to the public. We will also employ security.

ii) Public Safety

29. In addition to the CCTV mentioned above, we also have in place fire and safety equipment installed around the Premises to the satisfaction of Local Fire and Safety Officers. We already employ security at the entrance of the Premises to monitor public entering and exiting the Premises to ensure patrons leave in an orderly manner. This is in place seven days a week at times when the bar area is in operation.

iii) The Prevention of Public nuisance

30. We do not anticipate there being any problems which would amount to a public nuisance; the Premises are in the basement of the hostel. The outdoors music will be unamplified and will be limited to strict times. The security will be employed to monitor the entrance and egress of the Premises and they will prevent any disorders or public nuisance.

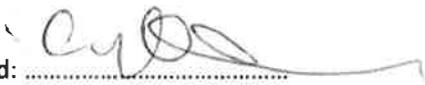
iv) The protection of children from harm

31. The Premises operates a Challenge 25 policy, meaning that any customer who appears to be under the age of 25 will be asked to present bar staff with their identification to prove their age. Further, no unaccompanied person under the age of 16 is allowed in the bar area of the Premises.

I consider that with the measures outlined above under section 4 of the Act promotes the licensing objectives and the Company's application for a variation of the Licence should therefore succeed.

Statement of Truth

I believe that the facts stated in this witness statement are true. I understand that proceedings for contempt of court may be brought against anyone who makes, or causes to be made, a false statement in a document verified by a statement of truth without an honest belief in its truth.

Signed: 

Carolin Paarmann
Director of Wombats London Limited
Dated: 8th September 2020

IN THE LONDON BOROUGH OF TOWERS HAMLET

Reference: Wombats City Hostel M/128620

BETWEEN:

WOMBATS LONDON LIMITED

Applicant

-and-

TOWERS HAMLETS COUNCIL

Respondent

CP1



Part A - Format of premises licence

Premises licence number

18414

Part 1 - Premises details

Postal address of premises, or if none, ordnance survey map reference or description

(Wombats Hostel)
7 Dock Street

Post town

London

Post code

E1 8LL

Telephone number

None

Where the licence is time limited the dates

Not applicable

Licensable activities authorised by the licence

- The Sale by Retail of Alcohol
- The Provision of Regulated Entertainment

The times the licence authorises the carrying out of licensable activities

The Supply of Alcohol (on premises only)

- Monday to Sunday from 12:00hrs (midday) to 01:30hrs (the following day)

The provision of Regulated Entertainment in the form of Live Music (indoors) and Recorded Music (indoors)

- Monday to Sunday from 12:00hrs (midday) to 01:30hrs (midnight)

The opening hours of the premises

There are no restrictions on the opening hours of this premises

Where the licence authorises supplies of alcohol whether these are on and/ or off supplies

On sales only

Part 2

Name, (registered) address, telephone number and email (where relevant) of holder of premises licence

Wombats London Ltd.
7 Dock Street
London
E1 8LL

Registered number of holder, for example company number, charity number (where applicable)

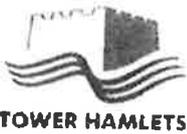
Registered Company Number: 8863233

Name, address and telephone number of designated premises supervisor where the premises licence authorises the supply of alcohol

Carolin Paarmann
Flat 1 Tudor House
Tudor Grove
London
E9 7QJ

Personal licence number and issuing authority of personal licence held by designated premises supervisor where the premises licence authorises for the supply of alcohol

Personal Licence Number: **073993**
Issuing Authority: **London Borough of Hackney**



* required information

Section 1 of 18

You can save the form at any time and resume it later. You do not need to be logged in when you resume.

System reference This is the unique reference for this application generated by the system.

Your reference You can put what you want here to help you track applications if you make lots of them. It is passed to the authority.

Are you an agent acting on behalf of the applicant?

Yes No

Put "no" if you are applying on your own behalf or on behalf of a business you own or work for.

Applicant Details

* First name

* Family name

* E-mail

Main telephone number

Other telephone number

Include country code.

Indicate here if you would prefer not to be contacted by telephone

Are you:

Applying as a business or organisation, including as a sole trader

Applying as an individual

A sole trader is a business owned by one person without any special legal structure. Applying as an individual means you are applying so you can be employed, or for some other personal reason, such as following a hobby.

Applicant Business

Is your business registered in the UK with Companies House? Yes No

Note: completing the Applicant Business section is optional in this form.

Registration number

Business name

VAT number

Legal status

If your business is registered, use its registered name.

Put "none" if you are not registered for VAT.

Continued from previous page...

Your position in the business

Home country

The country where the headquarters of your business is located.

Registered Address

Address registered with Companies House.

Building number or name

Street

District

City or town

County or administrative area

Postcode

Country

Section 2 of 18

APPLICATION DETAILS

This application cannot be used to vary the licence so as to extend the period for which the licence has effect or to vary substantially the premises to which it relates. If you wish to make that type of change to the premises licence, you should make a new premises licence application under section 17 of the Licensing Act 2003.

I/we, as named in section 1, being the premises licence holder, apply to vary a premises licence under section 34 of the Licensing Act 2003 for the premises described in section 2 below.

* Premises Licence Number

Are you able to provide a postal address, OS map reference or description of the premises?

Address OS map reference Description

Postal Address Of Premises

Building number or name

Street

District

City or town

County or administrative area

Postcode

Country

Premises Contact Details

Telephone number

Continued from previous page...

Non-domestic rateable value of premises (£)

120,000

Section 3 of 18

VARIATION

Do you want the proposed variation to have effect as soon as possible?

Yes

No

Do you want the proposed variation to have effect in relation to the introduction of the late night levy?

Yes

No

You do not have to pay a fee if the only purpose of the variation for which you are applying is to avoid becoming liable to the late night levy.

If your proposed variation would mean that 5,000 or more people are expected to attend the premises at any one time, state the number expected to attend

Describe Briefly The Nature Of The Proposed Variation

Describe the premises. For example the type of premises, its general situation and layout and any other information which could be relevant to the licensing objectives. Where your application includes off-supplies of alcohol and you intend to provide a place for consumption of these off-supplies, you must include a description of where the place will be and its proximity to the premises.

To remove the condition of sales of alcohol to hostel guests only and open the premises to members of the public until 1.30am.

Furthermore, occasionally play non-amplified music outdoors.

Section 4 of 18

PROVISION OF PLAYS

See guidance on regulated entertainment

Will the schedule to provide plays be subject to change if this application to vary is successful?

Yes

No

Section 5 of 18

PROVISION OF FILMS

See guidance on regulated entertainment

Will the schedule to provide films be subject to change if this application to vary is successful?

Yes

No

Section 6 of 18

PROVISION OF INDOOR SPORTING EVENTS

Continued from previous page...

See guidance on regulated entertainment

Will the schedule to provide indoor sporting events be subject to change if this application to vary is successful?

Yes No

Section 7 of 18

PROVISION OF BOXING OR WRESTLING ENTERTAINMENTS

See guidance on regulated entertainment

Will the schedule to provide boxing or wrestling entertainments be subject to change if this application to vary is successful?

Yes No

Section 8 of 18

PROVISION OF LIVE MUSIC

See guidance on regulated entertainment

Will the schedule to provide live music be subject to change if this application to vary is successful?

Yes No

Standard Days And Timings

MONDAY

Start

End

Start

End

TUESDAY

Start

End

Start

End

WEDNESDAY

Start

End

Start

End

THURSDAY

Start

End

Start

End

FRIDAY

Start

End

Start

End

SATURDAY

Start

End

Start

End

Provide timings in 24 hour clock (e.g., 16:00) and only give details for the days of the week when you intend the premises to be used for the activity.

Continued from previous page...

SUNDAY

Start

End

Start

End

Will the performance of live music take place indoors or outdoors or both?

Indoors

Outdoors

Both

Where taking place in a building or other structure select as appropriate. Indoors may include a tent.

State type of activity to be authorised, if not already stated, and give relevant further details, for example (but not exclusively) whether or not music will be amplified or unamplified.

Occasional live music non-amplified outdoors for guests of the hostel as well as members of the the public the latest until 11pm.

State any seasonal variations for the performance of live music

For example (but not exclusively) where the activity will occur on additional days during the summer months.

Non-standard timings. Where the premises will be used for the performance of live music at different times from those listed, above below.

For example (but not exclusively), where you wish the activity to go on longer on a particular day e.g. Christmas Eve.

Section 9 of 18

PROVISION OF RECORDED MUSIC

See guidance on regulated entertainment

Will the schedule to provide recorded music be subject to change if this application to vary is successful?

Yes

No

Section 10 of 18

PROVISION OF PERFORMANCES OF DANCE

See guidance on regulated entertainment

Will the schedule to provide performances of dance be subject to change if this application to vary is successful?

Yes

No

Section 11 of 18

Continued from previous page...

PROVISION OF ANYTHING OF A SIMILAR DESCRIPTION TO LIVE MUSIC, RECORDED MUSIC OR PERFORMANCES OF DANCE

See guidance on regulated entertainment

Will the schedule to provide anything similar to live music, recorded music or performances of dance be subject to change if this application to vary is successful?

Yes No

Section 12 of 18

PROVISION OF LATE NIGHT REFRESHMENT

Will the schedule to provide late night refreshment be subject to change if this application to vary is successful?

Yes No

Section 13 of 18

SUPPLY OF ALCOHOL

Will the schedule to supply alcohol be subject to change if this application to vary is successful?

Yes No

Section 14 of 18

ADULT ENTERTAINMENT

Highlight any adult entertainment or services, activities, or other entertainment or matters ancillary to the use of the premises that may give rise to concern in respect of children.

Provide information about anything intended to occur at the premises or ancillary to the use of the premises which may give rise to concern in respect of children, regardless of whether you intend children to have access to the premises, for example (but not exclusively) nudity or semi-nudity, films for restricted age groups etc gambling machines etc.

Section 15 of 18

HOURS PREMISES ARE OPEN TO THE PUBLIC

Standard Days And Timings

MONDAY

Start

End

Start

End

TUESDAY

Start

End

Start

End

Provide timings in 24 hour clock (e.g., 16:00) and only give details for the days of the week when you intend the premises to be used for the activity.

Continued from previous page...

WEDNESDAY

Start 12:00

End 01:30

Start

End

THURSDAY

Start 12:00

End 01:30

Start

End

FRIDAY

Start 12:00

End 01:30

Start

End

SATURDAY

Start 12:00

End 01:30

Start

End

SUNDAY

Start 12:00

End 01:30

Start

End

State any seasonal variations.

For example (but not exclusively) where the activity will occur on additional days during the summer months.

Non standard timings. Where you intend to use the premises to be open to the members and guests at different times from those listed above, list below.

For example (but not exclusively), where you wish the activity to go on longer on a particular day e.g. Christmas Eve.

Identify those conditions currently imposed on the licence which you believe could be removed as a consequence of the proposed variation you are seeking.

I have enclosed the premises licence

Continued from previous page...

I have enclosed the relevant part of the premises licence

Reasons why I have failed to enclose the premises licence or relevant part of premises licence.

Section 16 of 18

LICENSING OBJECTIVES

Describe the steps you intend to take to promote the four licensing objectives:

a) General – all four licensing objectives (b,c,d,e)

List here steps you will take to promote all four licensing objectives together.

The premises is operating at Challenge 25 policy
All staff directly involved with the in the the sale of alcohol is receiving appropriate training on their responsibility under the Licensing Act

b) The prevention of crime and disorder

CCTV is installed

c) Public safety

Fire and Safety equipment is installed to reasonable satisfaction of local Fire and Safety Officer

d) The prevention of public nuisance

The premises are in the basement of the hostel, there is no expected to be any noise or other nuisance problems

e) The protection of children from harm

The premises is operating at Challenge 25 policy
No unaccompanied person under the age of 16 is allowed to go into the bar area

Section 17 of 18

NOTES ON REGULATED ENTERTAINMENT

Continued from previous page...

In terms of specific **regulated entertainments** please note that:

- **Plays:** no licence is required for performances between 08:00 and 23.00 on any day, provided that the audience does not exceed 500.
- **Films:** no licence is required for 'not-for-profit' film exhibition held in community premises between 08.00 and 23.00 on any day provided that the audience does not exceed 500 and the organiser (a) gets consent to the screening from a person who is responsible for the premises; and (b) ensures that each such screening abides by age classification ratings.
- **Indoor sporting events:** no licence is required for performances between 08.00 and 23.00 on any day, provided that the audience does not exceed 1000.
- **Boxing or Wrestling Entertainment:** no licence is required for a contest, exhibition or display of Greco-Roman wrestling, or freestyle wrestling between 08.00 and 23.00 on any day, provided that the audience does not exceed 1000. Combined fighting sports – defined as a contest, exhibition or display which combines boxing or wrestling with one or more martial arts – are licensable as a boxing or wrestling entertainment rather than an indoor sporting event.
- **Live music:** no licence permission is required for:
 - a performance of unamplified live music between 08.00 and 23.00 on any day, on any premises.
 - a performance of amplified live music between 08.00 and 23.00 on any day on premises authorised to sell alcohol for consumption on those premises, provided that the audience does not exceed 500.
 - a performance of amplified live music between 08.00 and 23.00 on any day, in a workplace that is not licensed to sell alcohol on those premises, provided that the audience does not exceed 500.
 - a performance of amplified live music between 08.00 and 23.00 on any day, in a church hall, village hall, community hall, or other similar community premises, that is not licensed by a premises licence to sell alcohol, provided that (a) the audience does not exceed 500, and (b) the organiser gets consent for the performance from a person who is responsible for the premises.
 - a performance of amplified live music between 08.00 and 23.00 on any day, at the non-residential premises of (i) a local authority, or (ii) a school, or (iii) a hospital, provided that (a) the audience does not exceed 500, and (b) the organiser gets consent for the performance on the relevant premises from: (i) the local authority concerned, or (ii) the school or (iii) the health care provider for the hospital.
- **Recorded Music:** no licence permission is required for:
 - any playing of recorded music between 08.00 and 23.00 on any day on premises authorised to sell alcohol for consumption on those premises, provided that the audience does not exceed 500.
 - any playing of recorded music between 08.00 and 23.00 on any day, in a church hall, village hall, community hall, or other similar community premises, that is not licensed by a premises licence to sell alcohol, provided that (a) the audience does not exceed 500, and (b) the organiser gets consent for the performance from a person who is responsible for the premises.
 - any playing of recorded music between 08.00 and 23.00 on any day, at the non-residential premises of (i) a local authority, or (ii) a school, or (iii) a hospital, provided that (a) the audience does not exceed 500, and (b) the organiser gets consent for the performance on the relevant premises from: (i) the local authority concerned, or (ii) the school proprietor or (iii) the health care provider for the hospital.

Continued from previous page...

- Dance: no licence is required for performances between 08.00 and 23.00 on any day, provided that the audience does not exceed 500. However, a performance which amounts to adult entertainment remains licensable.
- Cross activity exemptions: no licence is required between 08.00 and 23.00 on any day, with no limit on audience size for:
 - o any entertainment taking place on the premises of the local authority where the entertainment is provided by or on behalf of the local authority;
 - o any entertainment taking place on the hospital premises of the health care provider where the entertainment is provided by or on behalf of the health care provider;
 - o any entertainment taking place on the premises of the school where the entertainment is provided by or on behalf of the school proprietor; and
 - o any entertainment (excluding films and a boxing or wrestling entertainment) taking place at a travelling circus, provided that (a) it takes place within a moveable structure that accommodates the audience, and (b) that the travelling circus has not been located on the same site for more than 28 consecutive days.

Section 18 of 18

PAYMENT DETAILS

This fee must be paid to the authority. If you complete the application online, you must pay it by debit or credit card.

Variation Fees are determined by the non-domestic rateable value of the premises.

To find out a premises non domestic rateable value go to the Valuation Office Agency site at http://www.voa.gov.uk/business_rates/index.htm

Band A - No RV to £4300 £100.00

Band B - £4301 to £33000 £190.00

Band C - £33001 to £8700 £315.00

Band D - £87001 to £12500 £450.00*

Band E - £125001 and over £635.00*

*if the premises rateable value is in Bands D or E and the premises is primarily used for the consumption of alcohol on the premises then you are required to pay a higher fee

Band D - £87001 to £12500 £900.00

Band E - £125001 and over £1,905.00

If you own a large premise you are subject to additional fees based upon the number in attendance at any one time

Capacity 5000-9999 £1,000.00

Capacity 10000 -14999 £2,000.00

Capacity 15000-19999 £4,000.00

Capacity 20000-29999 £8,000.00

Capacity 30000-39000 £16,000.00

Capacity 40000-49999 £24,000.00

Capacity 50000-59999 £32,000.00

Capacity 60000-69999 £40,000.00

Capacity 70000-79999 £48,000.00

Capacity 80000-89999 £56,000.00

Capacity 90000 and over £64,000.00

NOTE: From 1st January 2018 Licences if you are granted a Licence to permit the sale/supply of alcohol between midnight and 6am (00:00 and 06:00 hours) on any day you will be liable to pay the Late Night Levy charge. The charge must be paid 14 days after the grant of your Licence, unless you fall within one of the exemption categories. Non-payment of the levy can result in suspension of your licence, as per sections 55A and 92A of the Licensing Act 2003, as amended and section 229(6) of the Police and Social Responsibility Act 2011. For more information below visit <https://www.towerhamlets.gov.uk/latenightlevy>

* Fee amount (£)

450.00

ATTACHMENTS

AUTHORITY POSTAL ADDRESS

Continued from previous page...

Address

Building number or name

Street

District

City or town

County or administrative area

Postcode

Country

DECLARATION

I/WE UNDERSTAND THAT IT IS AN OFFENCE, UNDER SECTION 158 OF THE LICENSING ACT 2003, TO MAKE A FALSE STATEMENT IN OR IN CONNECTION WITH THIS APPLICATION. THOSE WHO MAKE A FALSE STATEMENT MAY BE LIABLE ON SUMMARY CONVICTION TO A FINE OF ANY AMOUNT.

Ticking this box indicates you have read and understood the above declaration

This section should be completed by the applicant, unless you answered "Yes" to the question "Are you an agent acting on behalf of the applicant?"

* Full name

* Capacity

Date (dd/mm/yyyy)

Once you're finished you need to do the following:

1. Save this form to your computer by clicking file/save as...
2. Go back to <https://www.gov.uk/apply-for-a-licence/premises-licence/tower-hamlets/change-1> to upload this file and continue with your application.

Don't forget to make sure you have all your supporting documentation to hand.

IT IS AN OFFENCE, UNDER SECTION 158 OF THE LICENSING ACT 2003, TO MAKE A FALSE STATEMENT IN OR IN CONNECTION WITH THIS APPLICATION. THOSE WHO MAKE A FALSE STATEMENT MAY BE LIABLE ON SUMMARY CONVICTION TO A FINE OF ANY AMOUNT.

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FUTURE LEISURE LIMITED - 10 Brick Lane E1 6RF

TOWER HAMLETS LICENSING COMMITTEE HEARING 15th SEPTEMBER 2020

APPLICATION FOR GAMBLING ACT 2005 PREMISES LICENCE

1. Documents

- (a) Application for Gambling Act 2005 Premises Licence (submitted)
- (b) Local Area Risk Assessment (submitted)
- (c) Example front door and signage
- (d) Example entry sign
- (e) Gamcare Notice
- (f) Self-exclusion Guide
- (g) Social Responsibility Charter
- (h) Policies and Procedures
- (i) Think 25 Arcade Poster
- (j) Staying in Control Leaflet
- (k) Staying in Control Poster
- (l) Think 25 Poster
- (m) Gambling Intervention Guide
- (n) Safeguarding in Gambling
- (o) Correspondence

2. Background

1. This is an application for a Gambling Act 2005 Premises Licence for an Adult Gaming Centre at 10 Brick Lane E1 6RF.

2. The applicant is Future Leisure Limited which is an independent company owned by Gavin Tresidder who is an experienced operator of Adult Gaming Centres. Future Leisure Limited are a member of BACTA (British Amusement Catering Trade Association) which is the trade association for amusements and gaming machines covering family entertainment centres, machine supplies for pubs, clubs and bingo halls as well as operators of Adult Gaming Centres. Mr Tresidder and his companies have held licence with the UK Regulator for nearly 30 years.
3. Future Leisure Limited holds an operating licence issued by the Gambling Commission and all policies and procedures which promote the 3 licensing objectives set out in the Gambling Act 2005 are approved by the Commission and in preparing its policies and procedures, Future Leisure Limited also relies on BACTA's own policies and procedures. These policies and procedures will all be implemented and will ensure that the concerns of those who have made representations will be managed at all times.
4. This particular site has had the benefit of a Gambling Act 2005 premises licence as the premises was trading as a betting office operated by William Hill. This application will replace one type of Gambling Act 2005 premises licence, namely a betting office, with another, namely an Adult Gaming Centre.
5. According to the GC website there are 69 betting shop premises in Tower Hamlets and 3 x AGC premises. AGC premises do not have fixed odds betting terminals.

6. The AGC premises are the following distances from our application site in brackets. The applicant is familiar with all 3 sites which are long established and all trade 24/7,

Admiral – OPEN 24/7 - 449-453 Bethnal Green Road, E2 9QH (1.1 Miles)

Cashino – OPEN 24/7 - 420 Bethnal Green Road, E2 0DJ (1.0 Miles)

Cashino - OPEN 24/7 - 87 Whitechapel High Street, E1 7QX (0.2 Miles)

7. In practice, this application for a Gambling Act premises licence is not to provide an additional licence but a replacement licence for the William Hill shop, albeit without fixed odds betting terminals.

8. There are only 2 representations made against the application and none from any concerned local residents. The applicant has tried to work with the Licensing Authority but has received no response to its original letter of the 9th July 2020 and no response to several chasing emails. The applicant has also been in touch with the Metropolitan Police who have confirmed that no analysis of any data has been undertaken. Correspondence is attached.

9. The representations fail to acknowledge the Local Area Risk Assessment, policies and procedures operated by Future Leisure and specific staff training on promoting all three of the Licensing Objectives the licensing objectives at all times and in particular protecting children and the vulnerable and keeping gambling free from crime.

10. On the 18th June 2020 Tower Hamlets granted an application for an AGC Premises Licence to this applicant for premises at Unit 3 , 568 Roman Road , London E3 5ES being satisfied that the application was consistent with the Licensing Objectives and was no cause for concern.

3. The Adult Gaming Centre

11. The Adult Gaming Centre provides gaming machines for customers to use in the shop.

12. Adult Gaming Centres are lawful venues permitted under the Gambling Act 2005. The Gambling Act 2005 and its regulations specify the type of machine that can be used in the premises and in some instances specifies the number of particular types of machines.

13. An Adult Gaming Centre is not allowed to have fixed odds betting terminals.

4. Conditions

- (a) Mandatory conditions.
 - i. A notice must be displayed at all entrances to AGCs stating that no person under the age of 18 years will be admitted to the premises.
 - ii. There can be no direct access between an AGC and any other premises licensed under the Act or premises with a family entertainment centre (FEC), club gaming, club machine or alcohol licensed premises gaming machine permit. (England and Wales only). There is no definition of 'direct access' in the Act or regulations, although licensing authorities may consider that there should be an area separating the premises concerned, such as a street or café, which the public go to for purposes other than gambling, for there to be no direct access.
 - iii. Any ATM made available for use on the premises should be located in a place that requires any customer who wishes to use it to cease gambling at any gaming machine in order to do so.

- iv. The consumption of alcohol in AGCs is prohibited at any time during which facilities for gambling are being provided on the premises. Additionally in Scotland the sale of alcohol on the premises is specifically prohibited. A notice stating this should be displayed in a prominent place at every entrance to the premises.

(b) Conditions proposed

1. A comprehensive CCTV system shall be installed and maintained on the premises as required by the Metropolitan Police Licensing Team. CCTV should cover the following:
 - a) All entry and exit points to and from the premises enabling frontal identification of every person entering under any light conditions
 - b) The areas of the premises to which the public have access (excluding toilets)
 - c) Gaming machines and the counter area
2. The CCTV shall continue to record activities 24 hour a day for 31 days.
3. CCTV shall be made available for the police viewing at any time with minimum delays when requested.
4. The premises shall display notices near the entrance of the venue stating that CCTV is in operation.
5. A monitor shall be placed inside the premises above the front door showing CCTV images of customers entering exiting the premises.

Children and Young People

6. The Licensee shall maintain a bound and paginated 'Challenge 25 Refusals' register at the premises. The register shall be produced to the police or licensing authority forthwith on request.
7. Prominent signage and notices advertising the Challenge 25 will be displayed showing the operation of such policy.
8. Third party testing on age restricted sales systems purchasing shall take at least twice a year and the results shall be provided to the Licensing Authority upon request.
9. A Challenge 25 proof of age scheme shall be operated at the premises where the only acceptable forms of identification are recognised photographic identification cards, such as a driving licence, passport or proof of age card with the
PASS Hologram.

Entrances and Doors

10. A magnetic locking device, commonly referred to as a Maglock will be installed and maintained on the main entrance/exit to the premises which will be operable from the ground floor cashier counter by staff.

Staffing levels

11. There shall be no pre-planned single staffing at any time.

Identification of Offenders or Problem Persons

12. The Licensee shall implement a policy of banning any customers who engage in crime or disorder within or outside the premises.

13. The licensee will refuse entry to customers who appear to be under the influence of alcohol or drugs.

Seating

14. The licensee shall ensure that all seating within the premises are either secured to the floor or are weighted to prevent lifting.

Alarms

15. The licensee shall install and maintain an intruder alarm on the premises.

16. The premises shall install and maintain a panic button behind the cashiers counter.

Toilets

17. The licensee will ensure that customer toilets are checked every hour for evidence of drug taking. Toilet checks are to be documented stating the time and member of staff who made the checks.

Signage, Promotional Material and Notices

18. Prominent GamCare documentation will be displayed at the premises.

Staff Training

19. The licensee shall: provide training on the specific local risks to the licensing objectives that have been identified for these premises as part of the staff induction training programme. periodically provide refresher training to all of its staff

working at these premises on the specific local risks to the licensing objectives. Participation in this training shall be formally recorded on each member of staffs training records which, if requested will be presented to the Licensing

Authority as soon as practicable.

20. The Licensee shall train staff on specific issues related to the local area and shall conduct periodic refresher training. Participation in this training shall be formally recorded and the records produced to the police or licensing authority

upon request.

21. New and seasonal staff must attend induction training and receive refresher training every six months.

Homeless and Street Drinking

22. The Licensee shall take all reasonable steps to prevent street drinking of alcohol directly outside the premises and to ban from the premises those who do so.

23. The Licensee shall place a notice visible from the exterior of the premises stating that customers drinking alcohol outside the premises is not permitted and those who do so will be banned from the premises.

Recording of Incidents and Visits

24. An incident log shall be kept for the premises and made available on request to an authorised officer of the City Council or the Police which will record the following;

- a) All crimes reported to the venue;
- b) Any complaints received regarding crime and disorder;
- c) Any incidents of disorder;
- d) Any faults in the CCTV system; and
- e) Any visit by a relevant authority or emergency service.

ATMs

25. There shall be no cash point or ATM facilities on the premises

5. The Law

14. The applicant is aware that the Committee will of course receive legal advice from its legal adviser during the course of the hearing However the law governing the consideration of

this application is very clear and specific and different to the Licensing Act 2003 considerations.

15. Gambling Act 2005 section 1 sets out the licensing objectives as being:

- (a) Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime.
- (b) Ensuring that gambling is conducted in a fair and open way.
- (c) Protecting gambling and other vulnerable persons from being harmed by gambling.

16. The Gambling Act 2005 also sets out the principles to be applied by licensing authorities in exercising their functions under the Gambling Act 2005 which are different to the principles that would be applied in other licensing applications e.g. Licensing Act 2003 premises licence applications.

17. Gambling Act 2005 Section 153 principles to be applied:

- (1) In exercising their functions under this part a licensing authority shall aim to permit the use of premises for gambling in so far as the authority think of it -
 - (a) In accordance with any relevant code of practice;
 - (b) In accordance with any relevant guidance issued by the Commission under Section 25;
 - (c) Reasonably consistent with the licensing objective (subject to Paragraph (a) and (b)); and
 - (d) In accordance with the statement published by the authority under Section 349 (subject to paragraphs (a) to (c)).

(2) In determining whether to grant a premises licence, a licensing authority may not have regard to the expected demand for the facilities which it is proposed to provide.

(3) This section is subject to Section 166. (This relates to casino licences).

18. It can be seen from Gambling Act 2005 Section 153 that the legislation requires the licensing authority to “*aim to permit*” in so far as the application is “*reasonably consistent*” with the matters referred to in this section.

19. There is commentary in Paterson’s Licensing Acts on the wording of Section 153 “What is the scope of this duty? It is suggested that there are 2 elements: first, it creates a presumption in favour of granting the premises licence since it is only if the licence is granted that the premises may lawfully be used for gambling. But, the duty seems to go further than that. The verb “to aim” is defined by the OED as meaning “to calculate one course with a view to arriving (at a point); to direct ones course to make it one’s object to attain...”.

20. Paterson’s continues “The most obvious way in which the authority will be able to exercise their powers in this way will be an imaginative use of their power to frame and impose conditions so as to overcome objections to the application which might in the absence of suitable conditions lead to the application being rejected.”

21. The paragraph in Paterson’s concludes “it is also necessary to recognise that the language of Section 153(1) stops short of being mandatory; “aim to permit” provides a strong steer to look favourably on an application, but no more.”

22. The Gambling Commission guidance to licensing authorities makes it clear that in determining applications for premises licences, the Act explicitly sets out 2 principles that licensing authorities should not have regard to:

- Section 153 makes it clear that in deciding whether or not to grant a licence, a licensing authority must not have regard to the expected demand for gambling premises that are the subject of the application.
- Section 210(1) of the Act states that “in making a decision in respect of an application... a licensing authority should not have regard to whether or not a proposal by the applicant is likely to be permitted in accordance with law relating to planning or building”.
- The guidance continues “licensing authorities should also be aware that other considerations such as moral or ethical objections to gambling are not a valid reason to reject applications for premises licences... An authorities decision cannot based on dislike of gambling or a general notion that it is undesirable to allow gambling premises in an area”.

6. Conclusion

23. The applicant has not had any issues at the other premises traded as Adult Gaming Centres by the applicant. The applicant promotes the licensing objectives in it’s other premises and will do so in these premises.

24. The applicant is an experienced operator with a range of policies, procedures and other operating controls that promote the licensing objectives , codes of practice and principles

set out in Tower Hamlet's policy. There are additional measures proposed in this application in addition to those usually in place in Adult Gaming Centres.

25. The Licensing Committee is invited to conclude that the application is consistent with all matters referred to in Section 153 Gambling Act 2005 and in applying that section can properly grant the application.

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Welcome to



No Smoking



Over 18s Only



No Alcohol



CCTV

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WELCOME TO ROYAL CASINO SLOTS

THE MANAGEMENT
RESERVE THE RIGHT TO
REFUSE ADMISSION

NO PERSON UNDER
18 YEARS OF AGE ALLOWED
ON THESE PREMISES



NO ALCOHOL TO BE
CONSUMED ON THESE
PREMISES

NO SMOKING

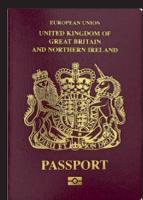


IT IS AGAINST THE LAW
TO SMOKE ON THESE
PREMISES

CHALLENGE



IF YOU ARE LUCKY ENOUGH TO
LOOK UNDER 25 YOU WILL BE
REQUIRED TO PROVE THAT
YOU ARE OVER **18**
WHEN YOU ENTER THIS PREMISES



ACCEPTED ID



FIRE ACTION

IF YOU DISCOVER A FIRE:

Sound the alarm and attack the fire if possible, using the appliances provided, if not:

Leave by the nearest Exit,

DO NOT stop to collect personal belongings,

Close all doors on route,

DO NOT enter the building,

Assemble at **Outside Iceland**

Ensure that the Fire Brigade has been called

IF YOU HEAR THE FIRE ALARM:

Leave by the nearest Exit,

DO NOT stop to collect personal belongings,

Close all doors on route,

DO NOT enter the building,

Assemble at **Outside Iceland**

Ensure that the Fire Brigade has been called

WELCOME



We want your visit to be as comfortable as possible. If anything is not up to our usual standards please advise a member of our customer service team who'll be happy to help



Gambling should be fun and we urge you to enjoy our products in a safe and responsible manner. If gambling is causing you a problem contact Gamcare for independent support and advice on 0808 8020 133



We pride ourselves on offering the very best machines, environment and service possible. If you are dissatisfied for any reason, please contact the Duty Manager in the first instance. Alternatively we welcome feedback at feedback@rcslots.co.uk

CUSTOMER NOTICE

The Company wish to clarify to all customers the following information

1. Only one person per machine.
2. Players may actively play multiple machines which are situated side-by-side, not for example at opposite ends of the premises.
3. All payouts over £10 must be witnessed by a member of staff.
4. Non playing persons will be asked to leave the premises.
5. The Company does not accept "held credits" on any machine for more than a period of 10 minutes.
6. A machine may be "reserved" for a maximum of 15 minutes, unless otherwise agreed by the Site/Duty Manager or Supervisor in charge.
7. Customers playing multiple machines may be asked to relinquish one (or more) at the Site Manager's discretion.
8. Cameras or any recording equipment are not to be used on these premises.
9. The Company cannot be held responsible for any personal property brought into or left on these premises.

CUSTOMER NOTICE



THESE PREMISES ARE GUARDED BY
24 HOUR CCTV FOR THE DETECTION
AND PREVENTION OF CRIME AND FOR
THE SECURITY OF OUR CUSTOMERS

PROMOTIONS TERMS & CONDITIONS

CASH MATCH

Cash Match is subject to an equivalent customer spend. The cash value is matched. Staff will match the value of the customer deposit using cash. Offer/promotion may be restricted to specific machines. The offer does not vary according to machine stake. Complimentary Cash Match is at the discretion of the Venue Manager.

STAMPER CARDS / COLLECTOR CARDS / SCRATCH CARDS

Stamper Cards are valid in the participating venue only (unless otherwise stated). Only one stamper card is permitted per customer (unless otherwise stated). No purchase necessary.

PRIZE AND CASH DRAWS / RAFFLES

Customers can participate in prize and cash/raffles when collecting prize draw or raffle tickets through venue visits (one per day per customer) and/or through other promotions as advertised. Customers must be in the venue at the time of the draw/raffle to qualify for a prize (Unless otherwise stated). Where cash alternatives are offered instead of prizes the cash amount may be less than the recommended retail price (RRP). Management reserve the right to cancel/postpone or "rollover" the draw to an alternative day when insufficient customers attend or where the winning customer is not present.

GENERAL

Management reserve the right to amend the conditions or cancel any promotion, at any time, without prior notice or explanation. Management can refuse entry to the premises or participation in any promotion without explanation.

Customers must sign and provide necessary personal details (depending on promotion) else promotion becomes valid i.e Cash Match, raffles, etc.

Fraudulent activity will result in exclusion from the promotion and or premises.

Where competitor cash match promotions are active, proof of competitor promotions may be required.

Customers are prohibited from collecting a bank sum from a machine where the sum, or part sum of the bank is funded by a promotion.

In the event of a gaming transaction dispute please speak to a member of staff for full details of our Alternative Dispute Resolution (ADR) Service.

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GamCare offers advice, information and practical help over the phone or online.

**Call free:
0808 8020 133
www.gamcare.org.uk**

You can post messages on the online Forum, chat online or talk to an Adviser who can let you know about local support, including counselling services, and sources of advice about related issues, like debt.

GamCare provides free counselling to help you explore and consider the situations relevant to your gambling in a safe, confidential environment.

To find out more, call the **National Gambling Helpline**, operated by GamCare, and speak to a specially trained Adviser. They'll listen, they won't judge you, and your conversation is confidential.

Help and advice

If you are concerned about your gambling, or someone else, don't keep it to yourself. Talk to us, a friend or relative that you trust. You can also seek help and advice from your GP or the following agencies:

Gamblers Anonymous

A support fellowship for problem gamblers.
www.gambleranonymous.org.uk

Gam-Anon

Support for friends and families affected by problem gambling.
www.gamanon.org.uk

Gordon Moody Association

A residential treatment centre for problem gamblers.
www.gordonmoody.org.uk

Citizen's Advice

Free, independent and confidential advice and information.
www.citizensadvice.org.uk

StepChange Debt Charity

Free advice on problem debt, based on what's best for you.
0800 138 1111
www.stepchange.org

National Debtline

Free, independent and confidential advice on money and debt problems.
0808 808 4000
www.nationaldebtline.co.uk

PayPlan

Free, confidential advice on resolving debt problems.
0800 280 2816
www.payplan.com

Samaritans

Confidential, emotional support for anyone in crisis.
116 123
www.samaritans.org.uk

Let's keep it fun...

Helping you to stay in control of your gambling



National Gambling Helpline
Call free: 0808 8020 133
www.gamcare.org.uk



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TOOLKIT FOR

POLICY & PROCEDURE

SYSTEMS

AGCs & FEC ADULT AREAS

COMPREHENSIVE GUIDE TO LCCP

REQUIREMENTS

VERSION 16 – July 2016
EFFECTIVE AS AT 31st OCTOBER 2016



GAMBLING ACT 2005
Licence Conditions and Codes of Practice
Adult Gaming
&
Licensed Family Entertainment Centres
Policy Procedure Documents, Logs, Forms & Records

Source of Reference
Gambling Commission
Gambling Codes of Practice
Consolidated for all forms of gambling
July 2016

2016 July
Version 16: Update 1

Introduction

Your Operating Licence is subject to certain conditions and codes of practice (LCCP) that must be complied with to protect your licence.

Codes of practice are either:

- **social responsibility code** provisions which **must be adhered to** by all licence holders

Therefore any breach of them by an operator may lead the Commission to review the operator's licence with a view to suspension, revocation or the imposition of a financial penalty and would also expose the operator to the risk of prosecution.

- **ordinary code** provisions – these do not have the status of licence conditions but failure to take account of them can be **used as evidence in criminal or civil proceedings**.

There are four types of licence condition, and they have different status in law, but you need to comply with them all:

- General licence conditions can be applied by the Gambling Commission to an individual operating licence or a class of operating licence (for example, all AGC operating licences).
- Individual licence conditions can be applied by the Gambling Commission to an individual operating licence. They are likely to address matters concerning an individual operator and their activities.
- Conditions imposed by the Secretary of State may be applied to a class of operating licence using statutory instruments (amendments to the law).
- Statutory conditions imposed by the Gambling Act 2005 may be applied to a class of operating licence.

This toolkit is designed to incorporate the conditions for licensees to ensure compliance with any relevant social responsibility provision of a code of practice issued by the Gambling Commission and is applicable to:

Gaming Machine General: Adult Gaming Centre Licences, and Gaming Machine General: Family Entertainment Centre Licences

All key requirements necessary to ensure compliance are incorporated but it is important that you also refer to the most up-to-date LCCP version published by the Commission, currently:

<http://www.gamblingcommission.gov.uk/PDF/LCCP/LCCP-sector-summary-for-arcades.pdf>

It is absolutely right that licensees themselves should determine how to apply LCCP requirements when formulating their company policies and procedures and how to assimilate into operational systems. This toolkit suggests policy and procedure documents that incorporate requirements, together with a series of logs for the necessary recording of incidents. In addition, there are suggested procedures and forms for dealing with and recording complaints and disputes, suspicious monetary transaction and other relevant matters.

The toolkit is amended from time to time, reflecting changes made to LCCP by the Commission, therefore it is imperative that operators ensure they have the most up-to-date version, currently:

PS/2016/Oct31/v16 01

The version reference is printed at the bottom left corner of the cover page and repeated on each page of the toolkit. All previous versions are not fit for purpose and should be deleted from files and systems.

The toolkit is principally intended for licensees and senior management. A staff training booklet - more appropriate for junior members of staff who interface with customers - is available separately from bacta.

Additional documents available from bacta

- 1. Local Risk Assessment**
- 2. Money Laundering Risk Assessment**

INDEX

	Page(s)
COVER PAGES	1 - 2
INTRODUCTION	3 – 4
INDEX	5 - 7
POLICY DOCUMENTS	
Access to Gambling by Children and Young Persons.....	8
Age Verification Testing	9
Access to Premises by the Gambling Commission’s Enforcement Officers	10 - 11
Advertising Standards and Marketing	12
Customer Interaction	13
Employment of Children and Young Persons	14
Fair and Open Practice and Dispute Resolution	15
Information on how to Gamble Responsibly and Help for Problem Gamblers	16
Money Laundering, Cash Handling & Suspicious Transactions	17 - 18
Self-Exclusion	19 - 20
LOGS	
Attempts by Children and Young Persons to Gamble	21
Customer Interaction	22
Incidents Requiring Police Assistance	23
Self-Exclusion	24
Staff Training Summary	25
STAFF RECORD OF TRAINING DOCUMENTS	
Access to Gambling by Children and Young Persons	26
Access to Premises by the Gambling Commission’s Enforcement Officers	27
Advertising Standards and Marketing	28
Customer Interaction	29
Employment of Children and Young Persons	30

Fair and Open Practice and Dispute Resolution	31
Information on how to Gamble Responsibly and Help for Problem Gamblers	32
Money Laundering, Cash Handling & Suspicious Transactions	33
Self-Exclusion	34 - 35
FORMS & STATEMENTS	Page(s)
The Licensing Objectives	36
Principal Concepts	37
Complaint Policy & Procedure Document and Terms & Conditions.....	38 – 40
Complaint Form	41 - 42
Record of Complaints & Disputes	43
Record of Suspicious Monetary Transactions	44
Self-Exclusion Form	45
Self-Exclusion Review Form	46
EVALUATIONS	
Questionnaires	47 - 54
CODE PROVISIONS	
Responsibility for Third Parties (Code Provision 1.1.2)	55
GENERAL CONDITIONS	
Qualified Persons	56
Personal Licences	57 - 58
KEY EVENTS	
Operator Status	59
Relevant Persons and Positions	59 - 60
Financial Events	60
Legal or regulatory proceedings or reports.....	60 - 61

Gambling Facilities	61 - 62
Other Reportable Events	62
GENERAL & REGULATORY RETURNS	62
 PROTECTION OF CUSTOMER FUNDS	
Disclosure to Customers	63
 PAYMENT	
Cash and Cash Equivalents, Payment Methods and Services	63
Provision of Credit by Licensees and the use of Credit Cards	63
 REPORTING SUSPICION OF OFFENCES	
 RESPONSIBLE PLACEMENT OF DIGITAL ADVERTS	
 APPENDIX A	
Gaming General Terms and Conditions (Customer Notice)	65
 APPENDIX B	
Guide to the bacta Self-Exclusion Services Scheme	66 - 70
 APPENDIX C	
System Checklist ,.....	71 – 72
 OPERATOR NOTES	
 73	

GAMBLING ACT 2005

Licence Conditions and Codes of Practice

ACCESS TO GAMBLING BY CHILDREN AND YOUNG PERSONS

It is illegal for any person who is under 18 years of age to be permitted entry to an Adult Gaming Centre or Adult Gaming Area.

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Policy and Procedures

- Our policies and procedures with regard to age restriction take into account the structure and layout of our gambling premises so as to prevent access to gambling by children and young persons, and that our facilities do not appeal to children and young persons.
- Clear and prominent signage is placed at the entrance(s) to our Adult Gaming Centre(s) and adult area(s) stating that it is illegal for persons under the age of 18 years to enter and for the Company to permit entry.
- It is a matter of gross misconduct if a member of staff knowingly allows entry by any person who is under the age of 18 years to our Adult Gaming Centre(s) or Adult Gaming Area(s).
- Any person known to be under 18 years of age is refused entry.
- Any person who appears to be under 18 years of age, and has not previously provided satisfactory proof to the contrary, is asked to provide appropriate identification when it comes to the attention of staff and before an attempt to gamble. *Members of staff are trained to 'think 21' as a minimum.*
- If the person admits to being under the age of 18, they are refused entry.
- Should they claim to be 18 or over and there is still doubt, satisfactory proof of age is requested and has to be provided before entry is allowed. *Incidents involving suspected forged documents will be recorded and reported.*
- Proof of age documents must contain a photograph from which the individual can be identified; state the individual's date of birth; be valid, and legible. It should bear no visible signs of tampering or reproduction. *Acceptable forms of identification include those that carry the PASS logo (e.g. Citizencard); a driving licence (including a provisional licence) with photograph, a passport and military identification cards.*
- Where there is still doubt and the person cannot produce proof of age, they are advised that they will not be permitted to enter until such time as they provide such proof.
- They will be shown, have explained to them, and be given a 'proof of age card' application form or offered an explanation on how to apply for a card.
- Should the person then refuse to leave, they are advised that the age restriction is a legal requirement.
- If they still will not leave, the Duty Manager is immediately contacted to take over the situation.
- Any attempts by under-18s to enter the premises or designated adult area(s) and gamble are brought to the attention of the Duty Manager immediately and recorded as an entry on a log retained on the premises for this purpose. *Details of entry to include date, time, identity of the individual if known - or detailed description if unknown – member of staff dealing, action taken, the outcome and measures put in place to prevent a re-occurrence. Log to be countersigned by the Duty Manager.*
- Service is refused in all circumstances where any adult is accompanied by a child or young person.
- All gaming machines, other than category 'D' machines, are inscribed with a notice prohibiting play by persons under the age of 18 years.
- Stakes are returned to under-18s where they have been identified as gambling in AGCs or adult-only areas, and are not permitted to retain any monetary prize.
- Members of staff are trained as part of their induction process in the understanding of, and the strict adherence to this policy and accompanying log, and required to sign to this effect retaining a copy for their future reference; the original being retained on the employee's personnel file. Staff training policy covers all relevant prohibitions against inviting children or young persons to gamble or to enter gambling premises, and refresher training is carried out at appropriate intervals.

Company:

Registered Address:

Date:

GAMBLING ACT 2005
Licence Conditions and Codes of Practice

ACCESS TO GAMBLING BY CHILDREN AND YOUNG PERSONS

AGE VERIFICATION TESTING

Companies in Operating Licence fee category C or higher, whereby they are permitted to operate sixteen (16) or more AGCs, or sixteen (16) or more licenced FEC premises.

- It is a requirement to conduct ongoing age verification testing or take part in collective age verification testing programs so as to provide reasonable assurance that policies and procedures to prevent underage gambling are effective.
- It is a further requirement that the results of age verification tests carried out by the Company are provided to the Gambling Commission.

Companies in Operating Licence fee category A & B, whereby they are only permitted to operate up to fifteen (15) AGCs, or up to fifteen (15) licenced FECs.

- It is a requirement that Licensees should consider how they monitor the effectiveness of their policies and procedures for preventing underage gambling, for example through collective test purchasing programs, and be able to explain their approach.

It is a condition of bacta membership that age verification tests are carried out by all AGC licensees, and that the results of testing are shared with the Commission.

Bacta's protocol for age verification testing is accredited by a Unitary Authority (Reading Borough Council).

GAMBLING ACT 2005

Licence Conditions and Codes of Practice

ACCESS TO PREMISES BY THE GAMBLING COMMISSION'S ENFORCEMENT OFFICERS

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Policy and Procedures:

The Company acknowledges its obligation to ensure that staff openly co-operate with the Gambling Commission in the proper performance of their compliance functions and that they are made aware of those officers' rights of entry to premises contained under Part 15 (S.303 to S.326) of the Gambling Act 2005 (refer to page 2 of this document) and that:

- The Company must provide the Gambling Commission with any information that the Commission would reasonably need to be aware of in exercising its regulatory functions or suspect may relate to the commission of an offence under the Act, including an offence resulting from a breach of a licence condition or a code of practice provision having the effect of a licence condition. Changes in key circumstances must be reported within five days of their occurrence in accordance with the terms set out in the Operating Licence.
- The Company must provide the Gambling Commission with such information as the Commission may require from time to time about the use of facilities provided such as:
 - (i) the numbers of people making use of the facilities and the frequency of such use;
 - (ii) the range of gambling activities provided by the licensee and the number of staff employed in connection with them; and
 - (iii) the licensee's policies in relation to, and experience of, problem gambling.
- The Company must submit a Regulatory Return to the Gambling Commission containing such information as the Commission may require from time to time, and provide evidence that the terms on which gambling is offered are not unfair under the Unfair Terms in Consumer Contracts Regulations 1999 and, where applicable, meet the reasonableness test under the Unfair Contract Terms Act 1977.
- The Appointed Manager will be informed immediately a Gambling Commission Enforcement Officer properly identifies himself on the premises, and will attend to the Officer without undue delay. Staff will co-operate at all times with the Commission's Enforcement Officers.
- Members of staff are trained as part of their induction process in the understanding of, and the strict adherence to this policy, and required to sign to this effect retaining a copy for their future reference. The original is retained on the employee's personnel file.

Company:

Registered Address:

Date:

GAMBLING ACT 2005

PART 15

Members of staff are to co-operate at all times with the Commission's enforcement officers in the proper performance of their compliance functions.

The officers' rights of entry to premises are contained in Part 15 of the Act which deals with inspection (Sections 303 to 326). A constable, enforcement officer or authorised person under the Act may enter premises for the purpose of assessing compliance or assessing whether an offence is being committed. A constable or enforcement officer can enter a premises if he reasonably suspects that an offence may be being committed or is about to be committed (Section 306). Entry may also be for the purpose of discovering whether facilities for gambling are being provided, to determine whether an operating licence or premises licence is held and to determine whether facilities are being provided in accordance with terms and conditions of an operating licence (Section 307).

Entry may also be made to assess the likely effects of activity when application has been made for a premises licence. A constable or enforcement officer may require the holder of an operating licence to produce, within a specified period, a copy of the authorisation (Section 316). Failure to comply without reasonable excuse to a request to produce a copy of the authorisation may result in an offence and be liable on summary conviction to a fine not exceeding level 2. Section 317 sets out powers of the constable, enforcement office or authorised person and include inspection of any part of the premises or any machine on anything on the premises, questioning any person, access to written or electronic records, remove or retain evidence of committing an offence or breach of terms and conditions. Section 20 provides that the power of inspection must be exercised only at a reasonable time. The enforcement officer or authorised person must provide evidence of his identify and authority (Section 321). Section 323 provides that a constable, enforcement officer or authorised person may use reasonable force to enter a premises. Section 326 provides that it is an offence to obstruct a constable, enforcement officer or authorised person in carrying out their duties.

GAMBLING ACT 2005
Licence Conditions and Codes of Practice
ADVERTISING STANDARDS AND MARKETING

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Policy and Procedure

All advertising and marketing by the Company complies with standards set by the Committee of Advertising Practice (CAP) and the Broadcast Committee of Advertising Practice (BCAP). We ensure that our marketing communications, advertisements, and invitations to purchase (within the meaning of the Consumer Protection from Unfair Trading Regulations 2008), including 'free bet' offers, do not amount to or involve misleading actions or misleading omissions within the meaning of those regulations.

We adopt the general principles that our advertising is:

- legal, decent, honest and truthful;
- prepared with a sense of responsibility to consumers and to society;
- respectful to the principles of fair competition generally accepted in business; and
- not intended to bring advertising into disrepute.

Specifically, we ensure that:

- advertising contains nothing that is likely to lead people to adopt styles of gambling that are unwise;
- advertisements and promotions are socially responsible and do not encourage excessive gambling;
- care is taken not to exploit the young, the immature or those who are mentally or socially vulnerable;
- advertising is not directed at people under the age of 18 years through the selection of media, style of presentation, content or context in which they appear. No medium is used to advertise gambling if more than 20% of its audience is under 18 years old;
- persons shown gambling are not, nor do they appear to be, under 25 years of age;
- there is honesty at all times with regard to the chances of winning, the likelihood of a big win, and the odds or payout ratio that applies to the gambling on offer;
- advertising and promotional material carries a reference for the need to keep gambling under control;
- it is never suggested or implied that gambling is a means of getting out of financial difficulty.
- Advertising and marketing material should not appear on any primary web page/screen or micro-site that provides advice or information on responsible gambling

Marketing and Promotion

Any incentive or reward scheme or other arrangement under which the customer may receive money, goods, services or other advantage (including the discharge in whole or in part of any liability (the benefit)) the scheme is designed to operate, and be operated, in such a way that neither the receipt nor the value or amount of the benefit is:

- (a) dependent on or calculated by reference to the length of time for or the frequency with which the customer gambles or has at any time gambled; or
- (b) dependent on the customer gambling for a pre-determined length of time or with a pre-determined frequency.

If the value of the benefit increases with the amount the customer spends it does so at a rate no greater than that at which the amount spent increases. Incentives and rewards are proportional to the type and level of the customer's gambling.

Members of staff, as appropriate, are trained as part of their induction process in the understanding of, and the strict adherence to this policy, and required to sign to this effect retaining a copy for their future reference. The original is retained on the employee's personnel file.

Company:

Registered Address:

Date:

GAMBLING ACT 2005

Licence Conditions and Codes of Practice

CUSTOMER INTERACTION IN RELATION TO IDENTIFYING CUSTOMERS WHO MAY BE SUSCEPTIBLE TO GAMBLING HARM

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Policy and Procedures

The Company makes use of all relevant sources of information to ensure effective customer interaction and decision making in relation to identifying possible gambling disorders; equally to identify at-risk customers who may not be displaying obvious signs of problem gambling, and in respect of customers designated 'high value' or 'VIP'. We work together with other operators to share experience and deliverance of good practice through bacto.

If members of staff have concerns that a customer's behaviour may be related to having problems with gambling, the Duty Manager is to be informed at the earliest available opportunity. Indicative behaviour may include signs of distress, agitation, aggression, intense mood swings, hysteria, remorse and perhaps even damage to property and violence or the threat of violence to staff or other customers.

Notwithstanding any initial urgent action taken to deal with the customer's behaviour, the Duty Manager is required thereafter to observe the individual and make a judgement as to whether it is appropriate to suggest to the customer that they might want to be provided with information regarding where they can seek professional advice about the nature of their gambling activity or have the process of self-exclusion explained for consideration.

If the customer refuses such information and continues to behave in a manner which could reasonably be considered to be disruptive or puts the staff or other customers in potential danger, the Duty Manager will implement the Company's procedures for dealing with antisocial situations.

The Duty Manager may give consideration to refusing service or barring the customer from the premises and, in extreme situations, contacting police for assistance. *Whenever police are called to the premises for assistance in handling any incident, a log entry will be made whether police attend or not.*

Notwithstanding any other action that may have to be taken immediately to prevent an incident from worsening, the Duty Manager will log all such reports which may result in future customer interaction or where it has been ruled out where otherwise it would have taken place. The interaction is conducted between the appointed manager and the customer in a confidential and meaningful manner.

Members of staff are aware of the appointed Manager who is specifically designated to deal with requests for self-exclusion, and are aware of where customers can be directed for confidential advice should they be directly approached for assistance.

This policy and procedure is consistent with, and implemented with due regard to the Company's duty in respect of the health and safety of members of staff.

Members of staff are trained as part of their induction process in the understanding of, and the strict adherence to this policy and accompanying log, and required to sign to this effect retaining a copy for their future reference. The original is retained on the employee's personnel file.

Company:

Registered Address:

Date:

GAMBLING ACT 2005

Licence Conditions and Codes of Practice

EMPLOYMENT OF CHILDREN AND YOUNG PERSONS

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Policy and Procedures

It is an offence for children (under-16s) and young persons (those aged 16 and 17) to be engaged, or permitted to be engaged in:

- Providing facilities for gambling.
- Performing any function (including cleaning) in connection with a gaming machine at any time.
- Carrying out any other function on Adult Gaming Centre licensed premises, whether directly employed or not, whilst any gambling activity is being carried on in reliance on the premises licence.

All relevant staff, including children and young persons, employed by this Company have been trained about the laws relating to access to gambling by children and young persons.

It is strict Company policy that:

- Children and young persons are not employed to carry out any work in an adult-only area of family entertainment licensed premises at a time when any gambling is taking place.
- Gaming machines sited in Adult Gaming Centres or adult gaming areas are turned off if children and/or young persons are working on the premises outside the hours when the premises are open for business.
- Due diligence is given to verifying the age of all new members of staff where there is reason to doubt authenticity of birth dates supplied.
- The movement of children and young persons employed on the premises are carefully monitored and supervised so as to ensure compliance.

Members of staff are trained as part of their induction process in the understanding of, and the strict adherence to this policy, and required to sign to this effect retaining a copy for their future reference. The original is retained on the employee's personnel file.

Company:

Registered Address:

Date

GAMBLING ACT 2005

Licence Conditions and Codes of Practice

FAIR AND OPEN PRACTICE ~ COMPLAINT AND DISPUTE RESOLUTION

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Complaints Procedure

The Company is committed to providing a high quality, accessible and responsive service to customers and the local community. However, dissatisfied customers may communicate a complaint to us either verbally or in writing. All complaints are taken seriously, investigated thoroughly and handled in a confidential manner. If the complaint cannot be resolved to the satisfaction of both parties on site, a copy of our written procedure for dealing with complaints, together with a complaint form, is supplied to the complainant at the earliest opportunity together with the name and status of the Company representative delegated to deal with the complaint.

Complainants should provide us with a comprehensive description and nature of the complaint; whether it is an original complaint, or where the outcome of a previous complaint was found unacceptable, and their name and postal address including a contact telephone number.

A 'complaint' means a complaint about any aspect of the Company's conduct of the licensed activities, and a 'dispute' is any complaint which:

- (a) is not resolved at the first stage of the complaints procedure; and
- (b) relates to the outcome of the complainant's gambling transaction.

In the first instance, the Company will endeavour to resolve the complaint to the satisfaction of both parties within fifteen working days. Should this not be possible we will explain why and provide a date by which the complainant can expect a full response.

In the event of a complaint relating to the outcome of a customer's gambling is unable to be satisfactorily resolved between the Company and the complainant, the complainant will be given contact details of an Alternative Dispute Resolution (ADR) entity.

- Complainants also have the means and opportunity of submitting their own version of events.
- The dispute is investigated in full by the ADR entity.
- Both parties are notified in writing of the review outcome with suggestions of a resolution if appropriate.
- This procedure may, but need not, provide for the ADR entity's resolution of the dispute to be binding on both parties.

The Company is obliged to keep a record of all complaints and disputes, other than those considered to be trivial, including all disputes referred to the ADR entity that are not resolved at the initial stages of the complaints procedure. There is a requirement to submit reports of the outcome of disputes referred to the ADR entity to the Gambling Commission at intervals determined by the Commission either by the ADR entity or by the Company.

The Company is satisfied that the terms on which gambling is offered are not unfair within the meaning of the Consumer Rights Acts 2015 and is compliant with those terms.

An accurate summary of the contractual terms on which gambling is offered is available to customers who are notified of material changes to terms before they come into effect.

Company:

Registered Address:

Date:

GAMBLING ACT 2005

Licence Conditions and Codes of Practice

INFORMATION ON HOW TO GAMBLE RESPONSIBLY AND HELP FOR GAMBLERS WITH PROBLEMS

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Stay in control advice

Without breaching the principle that customers are responsible for their own gambling, the nature of the activity suggests that they should be reminded of the need to exercise caution. Accordingly, signage in the form of an appropriate number of posters or other appropriate means is displayed on our premises:

- Giving clear guidance that in order to keep gambling a fun social activity the customer needs to 'stay in control'.
- Drawing attention to further information, such as leaflets that are available on the premises.
- Indicating sources of help such as the National Gambling Helpline operated by GamCare.
- Large enough and written in language so as to be easily seen and understood.
- Prominently displayed.
- Maintained in a clean and tidy condition, preferably within a glass fronted frame.

Advertising sources of help

At the core of exercising a duty of care is the principle of assisting customers who may wish to express concern about their gambling. This tenet is drawn to the attention of customers on our premises in the following ways:

- The prominent display of 'Responsible Gambling' or 'Stay in Control' information.
- There are holders or racks containing leaflets in appropriate places that emphasise the need to keep gambling under control and where to seek help should anyone be concerned about their own or a family member's gambling. These leaflets are available to be taken away from the premises without the necessity of having to ask for them.
- The leaflets are available at all times for customers to take discreetly without having to ask a member of staff, and are located in the gambling area either near to exit doors, ATMs or toilets. We endeavour to maintain an effective stock control system to ensure that such leaflets are always available to supply. Signposting Information may also be made available through the use of links for online or smart technology.
- Details of GamCare, giving the National Helpline telephone number is inscribed on all appropriate categories of gaming machines.

Protecting those who seek assistance

Responding to someone who admits to having a problem with their gambling is a delicate matter that has to be timely and needs to be approached sensitively. It is our policy that:

- rules and procedures relating to a policy of responding to problem gamblers are clearly formulated and incorporated into our day-to-day operation;
- at least one member of staff who has been trained to deal with situations that might require a response is on duty at any one time, or available without undue delay;
- a positive response including communicating sources of help and the possibility of self-exclusion is offered to any customer who admits to having lost control of their gambling;
- the facility of a self-exclusion policy for customers who wish to voluntarily self-exclude themselves from these premises, and other premises offering the same style of gambling in the locality, that stipulates a minimum exclusion period of six months - with a further 24-hour 'cooling off' period thereafter;
- we draw to the attention of relatives who express concern about a family member's gambling the options available to that person should they wish to address the extent of their gambling;
- members of staff do not collude with customers when asked to lie on their behalf, and
- where services are marketed in one or more foreign languages, we make available information on how to gamble responsibly, access to help, guides to the playing of any game, and a summary of the contractual terms on which gambling is offered in that, or those, foreign languages.

Company:

Registered Address:

Date:

GAMBLING ACT 2005
Licence Conditions and Codes of Practice
MONEY LAUNDERING, CASH HANDLING AND SUSPICIOUS TRANSACTIONS

Introduction

As part of its procedures for compliance with the requirements in respect of the prevention and detection of money laundering in the Proceeds of Crime Act 2002 and the Terrorism Act 2000, the Company takes into account the Commission's advice on the Proceeds of Crime Act 2002, *Duties and responsibilities under the proceeds of Crime Act 2002 – Advice for operators (excluding Casino operators)*.

Money Laundering Definition

Money laundering is a process by which the proceeds of crime are converted into assets which appear to have a legitimate origin, so that they can be retained permanently or recycled into further criminal enterprises. This definition of money laundering means that potentially any employee could contravene the Regulations if they were to become aware of or suspect the existence of criminal property and continue to be involved in a matter which relates to that property without reporting their concerns.

Policy

- The Company is committed to ensuring that all necessary safeguards are in place with regard to the receipt of money in order to avoid it being used to launder money that may originate from the proceeds of crime.
- The Company has appointed a Designated Money Laundering Officer (MLO)
- All relevant staff are trained on the requirements of the Regulations and told of the need to report any suspicious cash transactions to the MLO for the purpose of informing the relevant authorities.

Disclosure Procedure

- Where it is suspected by a member of staff that money laundering activity is taking/has taken place, a disclosure must be made to the MLO as soon as possible. Because of the importance attached to the process, notification should normally take place immediately by telephone or, where that is not possible, by any other expedient means.
- No discussion will take place with colleagues as confidentiality is paramount.
- The MLO will determine whether or not to submit - online or otherwise - a suspicious activity report (SAR) to the National Crime Agency (NCA) and will maintain records of all notifications received detailing the method of verification used to identify the suspected person.

Cash Handling

Operating policies and procedures are in place with regard to accounting practices and record keeping in respect of:

- (i) Monetary stakes introduced to machines (gross takings),
- (ii) Money introduced to re-float machines
- (iii) Token transactions
- (iv) Customer refunds due to machine malfunctions.
- (v) Money removed from machines (net takings)

Members of staff, where appropriate, are trained as part of their induction process in the understanding of, and the strict adherence to this policy, and required to sign to this effect retaining a copy for their future reference. The original is retained on the employee's personnel file.

Company:

Registered Address:

Date:

Anti-Money Laundering

Prevention of money laundering and terrorist financing

Licence Condition 12.1.1

1. Licensees must conduct an assessment of the risks of their business being used for money laundering and terrorist financing. Such risk assessment must be appropriate and must be reviewed as necessary in the light of any changes of circumstances, including the introduction of new products or technology, new methods of payment by customers, changes in the customer demographic or any other material changes, and in any event reviewed at least annually.
2. Following completion of and having regard to the risk assessment, and any review of the assessment, licensees must ensure they have appropriate policies, procedures and controls to prevent money laundering and terrorist financing.
3. Licensees must ensure that such policies, procedures and controls are implemented effectively, kept under review, revised appropriately to ensure that they remain effective, and take into account any applicable learning or guidelines published by the Gambling Commission from time to time.

As part of their procedures for compliance with the requirements in respect of the prevention and detection of money laundering in the Proceeds of Crime Act 2002 and the Terrorism Act 2000, licensees should take into account the Commission's advice on the Proceeds of Crime Act 2002, *Duties and responsibilities under the Proceeds of Crime Act 2002 - Advice for operators (excluding casino operators)*.

HM Treasury has decided to exempt all gambling sectors from the EU 4th Anti-Money Laundering Directive with the exception of non-remote and remote casinos.

This means that only remote and non-remote casinos will have to comply with the new Money Laundering Regulations which will be introduced in June 2017.

GAMBLING ACT 2005
Licence Conditions and Codes of Practice

SELF-EXCLUSION

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Policy and Procedures

Whilst most customers are able to enjoy and control their gambling, this Company recognises its duty of care to those who cannot. Accordingly, we provide a self-exclusion process for those customers who seek to prevent their own access to our premises and others in the locality offering a similar style of gambling as defined by the premises licence.

- When a customer has requested that they be refused entry to our premises, the customer and the appointed manager will formally acknowledge and document the request on a self-exclusion request form, or directly on the web-based AGC national self-exclusion scheme. This will be preceded by a meaningful discussion about the terms and conditions applicable to the scheme and will include other options available to assist a person having a gambling disorder, including being signposted to counselling and support services. A copy of the terms and conditions will be signed by the excluder as acknowledgement of understanding and consent. Customers are given the opportunity of discussing self-exclusion in private where possible.
- Photo identification and signature of the excluder is required for self-exclusion agreements except where an alternative means of identification is at least as effective. Photographs, preferably of the passport style, should be full-faced and a good likeness both initially and throughout the duration of the self-exclusion agreement.
- The Duty Manager will offer the exclusion for a minimum duration of not less than six months, nor more than twelve months; the customer thereafter may request to extend the length of the self-exclusion for one or more further periods of at least six months, reliant on the Company's ability to manage longer agreements. The Company will not allow the excluder admittance to the premises during the term of the self-exclusion agreement, and will have in place procedures for preventing self-excluded individuals from gambling during the period of the self-exclusion agreement including taking into account the internal structure and layout of the premises.
- It is made clear to the customer that they may not revoke the self-exclusion during the agreed period and that if found either in the gambling area or attempting to gamble they will be asked to leave. Members of staff are trained to be alert to self-excluded individuals attempting to breach agreements and instances of them getting another person to gamble on their behalf. It is a requirement that staff regularly pay heed to self-exclusion agreement records that are currently active (particularly photographs) in order to stay alert to the identity of those excluded in the locality of the premises.
- Self-excluders have the opportunity of also excluding from other premises owned by the Company without necessarily having to enter areas licenced for gambling. Where the self-exclusion agreement is extended to other Company's premises we will consider any specific requests made by a customer in setting the bounds of the exclusion area.
- The Company will offer customers with whom they enter into a self-exclusion agreement in respect of facilities for any kind of gambling we offer, the ability to exclude from facilities for the same kind of gambling offered in our locality by any other holder of an operating licence to whom this provision applies, by participating in one or more available multi-operator self-exclusion schemes. In addition, the Company is participating in the possible development of a multi-operator self-exclusion scheme that will apply to all styles of gambling.
- A self-exclusion log is maintained on the premises for recording detail of those currently excluded in addition to records stored digitally.

- Those self-excluded will be removed from any marketing databases held by this Company within two days of receiving the completed self-exclusion form, but we will take all reasonable steps to prevent details being knowingly sent as soon as practicable.
- At the end of the self-exclusion period, the exclusion will remain in place for a further six months, unless the customer takes positive action in order to gamble again.
- At the end of the exclusion period, the Duty Manager and customer will, together, review the terms of agreement either by telephone or in person. The review process is recorded on a self-exclusion review form.
- Where a customer chooses not to extend the self-exclusion and makes a positive request to begin gambling again, the customer is offered a 24-hour 'cooling off' period before being allowed access to the gambling facilities.
- Customers are given the opportunity to discuss self-exclusion in private where possible.
- The Company retains self-exclusion records for the length of the agreement plus a further 6 months.
- Members of staff are trained both on induction and refresher sessions thereafter in the understanding of, and the strict adherence to this policy and accompanying log, and required to sign to this effect retaining a copy for their future reference. The original is retained on the employee's personnel file.

Company:

Registered Address:

Date:

Company:

Site Address:

Site Ref:

Serial No.

/

GAMBLING ACT 2005 <i>Licence Conditions and Codes of Practice</i>

Attempts by Children and Young Persons to enter an Adult Gaming Centre or Adult Gaming Area to Gamble

Note: This log is used where it is established that a person, known to be under the age of 18 years, enters an adult gaming centre or adult gaming area, and attempts to gamble therein. Instances where proof of age has been sought by staff, and verified as being over 18 years, may be recorded for other purposes on a 'customer refusal register.'

Date	Time	Circumstances including at what stage the young person was asked for Identification	Identity or Description	Action, outcome & preventative measures adopted	Member of Staff requesting Identification	Duty Manager Informed (signature)

Page 70

TO BE RETAINED ON THE PREMISES To be used in conjunction with the Company's policy and procedure concerning 'Access to Gambling by Children & Young Persons'.

Company:

Site Address:

Site Ref:

Serial No.

/

GAMBLING ACT 2005 <i>Licence Conditions and Codes of Practice</i>

Customer Interaction in Relation to Identifying Customers who may have a Gambling Disorder or the Potential of Developing Difficulty with their Gambling

To be completed in circumstances when a customer has either requested information on who to contact for help with a gambling disorder, or where a member of staff considers it appropriate to interact with a customer who is showing signs of distress associated with their gambling, or where it is suspected that a customer’s gambling style is no longer under control. It should also be recorded where interaction has been subsequently ruled out, where otherwise it would have taken place.

An entry should also be made where an approach has been made by a relative or friend of a customer considered by them to be experiencing difficulties with their gambling.

Date	Time	Circumstances including signs of distress or where it is suspected that a customer’s gambling is no longer in control.	Identity or Description of Customer	Limited Exposure Offered (Y/N)	Referred to GamCare (Y/N)	Self-Exclusion Explained (Y/N)	Notes of outcome including where interaction has been ruled out.	Duty Manager Informed (signature)

Page 71

TO BE RETAINED ON THE PREMISES

To be used in conjunction with the Company’s policy and procedure concerning ‘Customer Interaction’.

Company:

Site Address:

Site Ref:

Serial No. /

GAMBLING ACT 2005
Licence Conditions and Codes of Practice

Incidents Requiring Police Assistance

Ref	Date	Time	Nature of Incident	Time Police Called	Time Police Arrived	Outcome	Duty Manager
1							
2							
3							
4							
5							
6							
7							
8							

TO BE RETAINED ON THE PREMISES

To be used when police are called to the premises to assist the licensee whether they attend or not.

Company: _____ Site Address: _____ Site Ref: _____ Serial No. _____ /

GAMBLING ACT 2005
Licence Conditions and Codes of Practice

SELF-EXCLUSION LOG FOR RECORDING DETAIL IF NO IMMEDIATE ACCESS TO THE BACTA WEB-BASED SCHEME

Ref	Name	Start Date	Attempts to Enter Date(s)	Attempts to Gamble Date(s)	Preventative Measures Deployed	End Date	'Cooling off' (Y/N)	Resumed Gambling Y/N
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								
16								
17								
18								

TO BE RETAINED ON THE PREMISES

To be used in conjunction with the Company's policy and procedure concerning 'Self-Exclusion'.

Company: _____ Site Address: _____ Site Ref: _____ Serial No. _____ /

GAMBLING ACT 2005
Licence Conditions and Codes of Practice

SUMMARY OF STAFF TRAINING

Management and Staff, as appropriate, declare that they have read and understood the following documents, are fully aware of Company policy and procedures and their own respective requirements in relation to them:

- | | |
|---|---|
| 1. Access to Gambling by Children and Young Persons | 6. Fair and Open Practice and Dispute Resolution |
| 2. Access to Premises by the Gambling Commission's Enforcement Officers | 7. Information on how to Gamble Responsibly and Help for Gamblers with problems |
| 3. Advertising Standards and Marketing | 8. Money laundering, Cash handling & Suspicious Transactions |
| 4. Customer Interaction | 9. Self-Exclusion |
| 5. Employment of Children and Young Persons | |

Interval not to exceed 7 days

Tick against relevant Policies

Name	Position	Interval not to exceed 7 days		Signature	Leave Date	Tick against relevant Policies								
		Joining Date	Training Date			1	2	3	4	5	6	7	8	9

Page 74

TO BE RETAINED ON THE PREMISES

To be used for recording staff training carried out by the Company.

ACCESS TO GAMBLING BY CHILDREN AND YOUNG PERSONS

It is illegal for any person who is under 18 years of age to be permitted entry to an Adult Gaming Centre or Adult Gaming Area.

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Policy and Procedures

- Our policies and procedures with regard to age restriction take into account the structure and layout of our gambling premises so as to prevent access to gambling by children and young persons, and that our facilities do not appeal to children and young persons.
- Clear and prominent signage is placed at the entrance(s) to our Adult Gaming Centre(s) and adult area(s) stating that it is illegal for persons under the age of 18 years to enter and for the Company to permit entry.
- It is a matter of gross misconduct if a member of staff knowingly allows entry by any person who is under the age of 18 years to our Adult Gaming Centre(s) or Adult Gaming Area(s).
- Any person known to be under 18 years of age is refused entry.
- Any person who appears to be under 18 years of age, and has not previously provided satisfactory proof to the contrary, is asked to provide appropriate identification when it comes to the attention of staff and before an attempt to gamble occurs. *Members of staff are trained to 'think 21' as a minimum.*
- If the person admits to being under the age of 18, they are refused entry.
- Should they claim to be 18 or over and there is still doubt, satisfactory proof of age is requested and has to be provided before entry is allowed. *Incidents involving suspected forged documents will be recorded and reported.*
- Proof of age documents must contain a photograph from which the individual can be identified; state the individual's date of birth; be valid, and legible. It should bear no visible signs of tampering or reproduction. *Acceptable forms of identification include those that carry the PASS logo (e.g. CitizenCard); a driving licence (including a provisional licence) with photograph, a passport and military identification cards.*
- Where there is still doubt and the person cannot produce proof of age, they are advised that they will not be permitted to enter until such time as they provide such proof.
- They will be shown, have explained to them, and be given a 'proof of age card' application form or offered an explanation on how to apply for a card.
- Should the person then refuse to leave, they are advised that the age restriction is a legal requirement.
- If they still will not leave, the Duty Manager is immediately contacted to take over the situation.
- Any attempts by under-18s to enter the premises or designated adult area(s) and gamble are brought to the attention of the Duty Manager immediately and recorded as an entry on a log retained on the premises for this purpose. *Details of entry to include date, time, identity of the individual if known - or detailed description if unknown – member of staff dealing, action taken, the outcome and measures put in place to prevent a re-occurrence. Log to be countersigned by the Duty Manager.*
- Service is refused in all circumstances where any adult is accompanied by a child or young person.
- All gaming machines, other than category 'D' machines, are inscribed with a notice prohibiting play by persons under the age of 18 years.
- Stakes are returned to under-18s where they have been identified as gambling in AGCs or adult-only areas, and under-18s are not allowed to retain any monetary prize.

Members of staff are trained as part of their induction process in the understanding of, and the strict adherence to this policy and accompanying log, and required to sign to this effect retaining a copy for their future reference. The original is retained on the employee's personnel file. Staff training policy covers all relevant prohibitions against inviting children or young persons to gamble or to enter gambling premises, and refresher training is carried out at appropriate intervals.

I have read, understood and agree to implement the provisions of the above Company Policy and Procedures.

Signed:

Name: (please print) **Date:**

Company: **Position:**

A copy of this signed document must be given to the employee for on-going reference; the original document to be retained on the employee's personnel file for the duration of his/her employment.

GAMBLING ACT 2005

Licence Conditions and Codes of Practice

ACCESS TO PREMISES BY THE GAMBLING COMMISSION'S ENFORCEMENT OFFICERS

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Policy and Procedures:

The Company acknowledges its obligation to ensure that staff openly co-operate with the Gambling Commission in the proper performance of their compliance functions and that they are made aware of those officers' rights of entry to premises contained under Part 15 (S.303 to S.326) of the Gambling Act 2005 (refer to page 2 of the Company policy document) and that:

- The Company must provide the Gambling Commission with any information that the Commission would reasonably need to be aware of in exercising its regulatory functions or suspect may relate to the commission of an offence under the Act, including an offence resulting from a breach of a licence condition or a code of practice provision having the effect of a licence condition. Changes in key circumstances must be reported within five days of their occurrence in accordance with the terms set out in the Operating Licence.
- The Company must provide the Gambling Commission with such information as the Commission may require from time to time about the use of facilities provided such as:
 - (a) the numbers of people making use of the facilities and the frequency of such use;
 - (b) the range of gambling activities provided by the licensee and the number of staff employed in connection with them; and
 - (c) the licensee's policies in relation to, and experience of, problem gambling.
- The Company must submit a Regulatory Return to the Gambling Commission containing such information as the Commission may require from time to time, and provide evidence that the terms on which gambling is offered are not unfair under the Unfair Terms in Consumer Contracts Regulations 1999 and, where applicable, meet the reasonableness test under the Unfair Contract Terms Act 1977.
- The Appointed Manager will be informed immediately a Gambling Commission Enforcement Officer properly identifies himself on the premises, and will attend to the Officer without undue delay. Staff will co-operate at all times with the Commission's Enforcement Officers.
- Members of staff are trained as part of their induction process in the understanding of, and the strict adherence to this policy, and required to sign to this effect retaining a copy for their future reference. The original is retained on the employee's personnel file.

I have read, understood and agree to implement the provisions of the above Company Policy and Procedures.

Signed:

Name: (please print) **Date:**

Company: **Position:**

A copy of this signed document must be given to the employee for on-going reference; the original document to be retained on the employee's personnel file for the duration of his/her employment.

GAMBLING ACT 2005
Licence Conditions and Codes of Practice
ADVERTISING STANDARDS AND MARKETING

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Policy and Procedure

All advertising and marketing by the Company complies with standards set by the Committee of Advertising Practice (CAP) and the Broadcast Committee of Advertising Practice (BCAP). We ensure that our marketing communications, advertisements, and invitations to purchase (within the meaning of the Consumer Protection from Unfair Trading Regulations 2008), including 'free bet' offers, do not amount to or involve misleading actions or misleading omissions within the meaning of those regulations.

We adopt the general principles that our advertising is:

- legal, decent, honest and truthful;
- prepared with a sense of responsibility to consumers and to society;
- respectful to the principles of fair competition generally accepted in business; and
- not intended to bring advertising into disrepute.

Specifically, we ensure that:

- advertising contains nothing that is likely to lead people to adopt styles of gambling that are unwise;
- advertisements and promotions are socially responsible and do not encourage excessive gambling;
- care is taken not to exploit the young, the immature or those who are mentally or socially vulnerable;
- advertising is not directed at people under the age of 18 years through the selection of media, style of presentation, content or context in which they appear. No medium is used to advertise gambling if more than 20% of its audience is under 18 years old;
- persons shown gambling are not, nor do they appear to be, under 25 years of age;
- there is honesty at all times with regard to the chances of winning, the likelihood of a big win, and the odds or payout ratio that applies to the gambling on offer;
- advertising and promotional material carries a reference for the need to keep gambling under control; and
- it is never suggested or implied that gambling is a means of getting out of financial difficulty.
- Advertising and marketing material should not appear on any primary web page/screen or micro-site that provides advice or information on responsible gambling

Marketing and Promotion

Any incentive or reward scheme or other arrangement under which the customer may receive money, goods, services or other advantage (including the discharge in whole or in part of any liability (the benefit)) the scheme is designed to operate, and be operated, in such a way that neither the receipt nor the value or amount of the benefit is:

- (a) dependent on or calculated by reference to the length of time for or the frequency with which the customer gambles or has at any time gambled; or
- (b) dependent on the customer gambling for a pre-determined length of time or with a pre-determined frequency.

If the value of the benefit increases with the amount the customer spends it does so at a rate no greater than that at which the amount spent increases. Incentives and rewards are proportional to the type and level of the customer's gambling.

Members of staff, as appropriate, are trained as part of their induction process in the understanding of, and the strict adherence to this policy, and required to sign to this effect retaining a copy for their future reference. The original is retained on the employee's personnel file.

I have read, understood and agree to implement the provisions of the above Company Policy and Procedures.

Signed:

Name: (please print) **Date:**

Company: **Position:**

A copy of this signed document must be given to the employee for on-going reference; the original document to be retained on the employee's personnel file for the duration of his/her employment.

GAMBLING ACT 2005
Licence Conditions and Codes of Practice

CUSTOMER INTERACTION IN RELATION TO IDENTIFYING CUSTOMERS WHO MAY BE SUSCEPTIBLE TO GAMBLING HARM

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Policy and Procedures

The Company makes use of all relevant sources of information to ensure effective customer interaction and decision making in relation to identifying possible gambling disorders; equally to identify at-risk customers who may not be displaying obvious signs of problem gambling, and in respect of customers designated 'high value' or 'VIP'. We work together with other operators to share experience and deliverance of good practice through BACTA.

If members of staff have concerns that a customer's behaviour may be related to having problems with gambling, the Duty Manager is to be informed at the earliest available opportunity. Indicative behaviour may include signs of distress, agitation, aggression, intense mood swings, hysteria, remorse and perhaps even damage to property and violence or the threat of violence to staff or other customers.

Notwithstanding any initial urgent action taken to deal with the customer's behaviour, the Duty Manager is required thereafter to observe the individual and make a judgement as to whether it is appropriate to suggest to the customer that they might want to be provided with information regarding where they can seek professional advice about the nature of their gambling activity or have the process of self-exclusion explained for consideration.

If the customer refuses such information and continues to behave in a manner which could reasonably be considered to be disruptive or puts the staff or other customers in potential danger, the Duty Manager will implement the Company's procedures for dealing with antisocial situations.

The Duty Manager may give consideration to refusing service or barring the customer from the premises and, in extreme situations, contacting police for assistance. *Whenever police are called to the premises for assistance in handling any incident, a log entry will be made whether police attend or not.*

Notwithstanding any other action that may have to be taken immediately to prevent an incident from worsening, the Duty Manager will log all such reports which may result in future customer interaction or where it has been ruled out where otherwise it would have taken place. The interaction is conducted between the appointed manager and the customer in a confidential and meaningful manner.

Members of staff are aware of the appointed Manager who is specifically designated to deal with requests for self-exclusion, and are aware of where customers can be directed for confidential advice should they be directly approached for assistance.

This policy and procedure is consistent with, and implemented with due regard to the Company's duty in respect of the health and safety of members of staff.

Members of staff are trained as part of their induction process in the understanding of, and the strict adherence to this policy and accompanying log, and required to sign to this effect retaining a copy for their future reference. The original is retained on the employee's personnel file.

I have read, understood and agree to implement the provisions of the above Company Policy and Procedures.

Signed:

Name: (please print) **Date:**

Company: **Position:**

A copy of this signed document must be given to the employee for on-going reference; the original document to be retained on the employee's personnel file for the duration of his/her employment.

EMPLOYMENT OF CHILDREN AND YOUNG PERSONS

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Policy and Procedures

It is an offence for children (under-16s) and young persons (those aged 16 and 17) to be engaged, or permitted to be engaged in:

- Providing facilities for gambling.
- Performing any function (including cleaning) in connection with a gaming machine at any time.
- Carrying out any other function on Adult Gaming Centre licensed premises, whether directly employed or not, whilst any gambling activity is being carried on in reliance on the premises licence.

All relevant staff, including children and young persons, employed by this Company have been trained about the laws relating to access to gambling by children and young persons.

It is strict Company policy that:

- Children and young persons are not employed to carry out any work in an adult-only area of family entertainment licensed premises at a time when any gambling is taking place.
- Gaming machines sited in Adult Gaming Centres or adult gaming areas are turned off if children and/or young persons are working on the premises outside the hours when the premises are open for business.
- Due diligence is given to verifying the age of all new members of staff where there is reason to doubt authenticity of birth dates supplied.
- The movement of children and young persons employed on the premises are carefully monitored and supervised so as to ensure compliance.

Members of staff are trained as part of their induction process in the understanding of, and the strict adherence to this policy, and required to sign to this effect retaining a copy for their future reference. The original is retained on the employee's personnel file.

I have read, understood and agree to implement the provisions of the above Company Policy and Procedures.

Signed:

Name: (please print) Date:

Company: Position:

A copy of this signed document must be given to the employee for on-going reference; the original document to be retained on the employee's personnel file for the duration of his/her employment.

GAMBLING ACT 2005

Licence Conditions and Codes of Practice

FAIR AND OPEN PRACTICE ~ COMPLAINT AND DISPUTE RESOLUTION

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Complaints Procedure

The Company is committed to providing a high quality, accessible and responsive service to customers and the local community. However, dissatisfied customers may communicate a complaint to us either verbally or in writing. All complaints are taken seriously, investigated thoroughly and handled in a confidential manner. If the complaint cannot be resolved to the satisfaction of both parties on site, a copy of our written procedure for dealing with complaints, together with a complaint form is supplied to the complainant at the earliest opportunity together with the name and status of the Company representative delegated to deal with the complaint.

Complainants should provide us with a comprehensive description and nature of the complaint; whether it is an original complaint, or where the outcome of a previous complaint was found unacceptable, and their name and postal address including a contact telephone number.

A 'complaint' means a complaint about any aspect of the Company's conduct of the licensed activities, and a 'dispute' is any complaint which:

- is not resolved at the first stage of the complaints procedure; and
- relates to the outcome of the complainant's gambling transaction.

In the first instance, the Company will endeavour to resolve the complaint to the satisfaction of both parties within fifteen working days. Should this not be possible we will explain why and provide a date by which the complainant can expect a full response.

In the event of a complaint relating to the outcome of a customer's gambling is unable to be satisfactorily resolved between the Company and the complainant, the complainant will be given contact details of an Alternative Dispute Resolution (ADR) entity.

- Complainants have the means and opportunity of submitting their own version of events.
- The dispute is reviewed in full by the ADR entity.
- Both parties are notified in writing of the review outcome with suggestions of a resolution if appropriate.
- This procedure may, but need not, provide for the ADR entity's resolution of the dispute to be binding on both parties.

The Company is obliged to keep a record of all complaints and disputes, other than those considered to be trivial, including all disputes referred to the ADR entity that are not resolved at the initial stages of the complaints procedure. There is a requirement to submit reports of the outcome of disputes referred to the ADR entity to the Gambling Commission at intervals determined by the Commission either by the ADR entity or by the Company.

The Company is satisfied that the terms on which gambling is offered are not unfair within the meaning of the Consumer Rights Act 2015 and is compliant with those terms

An accurate summary of the contractual terms on which gambling is offered is available to customers who are notified of material changes to terms before they come into effect.

I have read, understood and agree to implement the provisions of the above Company Policy and Procedures.

Signed:

Name: (please print) **Date:**

Company: **Position:**

A copy of this signed document must be given to the employee for on-going reference; the original document to be retained on the employee's personnel file for the duration of his/her employment.

GAMBLING ACT 2005

Licence Conditions and Codes of Practice

INFORMATION ON HOW TO GAMBLE RESPONSIBLY AND HELP FOR GAMBLERS WITH PROBLEMS

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Stay in control advice

Without breaching the principle that customers are responsible for their own gambling, the nature of the activity suggests that they should be reminded of the need to exercise caution. Accordingly, signage in the form of an appropriate number of posters or other appropriate means is displayed on our premises:

- Giving clear guidance that in order to keep gambling a fun social activity the customer needs to ‘stay in control’.
- Drawing attention to further information, such as leaflets that are available on the premises.
- Indicating sources of help such as the National Gambling Helpline operated by GamCare.
- Large enough and written in language so as to be easily seen and understood.
- Prominently displayed.
- Maintained in a clean and tidy condition, preferably within a glass fronted frame.

Advertising sources of help

At the core of exercising a duty of care is the principle of assisting customers who may wish to express concern about their gambling. This tenet is drawn to the attention of customers on our premises in the following ways:

- The prominent display of ‘Responsible Gambling’ or ‘Stay in Control’ information.
- There are holders or racks containing leaflets in appropriate places that emphasise the need to keep gambling under control and where to seek help should anyone be concerned about their own or a family member’s gambling. These leaflets are available to be taken away from the premises without the necessity of having to ask for them.
- The leaflets are available at all times for customers to take discreetly without having to ask a member of staff, and are located in the gambling area either near to exit doors, ATMs or toilets. We endeavour to maintain an effective stock control system to ensure that such leaflets are always available to supply. Signposting Information may also be made available through the use of links for online or smart technology.
- Details of GamCare, giving the National Helpline telephone number is inscribed on all appropriate categories of gaming machines.

Protecting those who seek assistance

Responding to someone who admits to having a problem with their gambling is a delicate matter that has to be timely and needs to be approached sensitively. It is our policy that:

- rules and procedures relating to a policy of responding to problem gamblers are clearly formulated and incorporated into our day-to-day operation;
- at least one member of staff who has been trained to deal with situations that might require a response is on duty at any one time, or available without undue delay;
- a positive response including communicating sources of help and the possibility of self-exclusion is offered to any customer who admits to having lost control of their gambling;
- the facility of a self-exclusion policy for customers who wish to voluntarily self-exclude themselves from these premises, and other premises offering the same style of gambling in the locality, that stipulates a minimum exclusion period of six months - with a further 24-hour ‘cooling off’ period thereafter;
- we draw to the attention of relatives who express concern about a family member’s gambling the options available to that person should they wish to address the extent of their gambling;
- members of staff do not collude with customers when asked to lie on their behalf, and
- where services are marketed in one or more foreign languages, we make available information on how to gamble responsibly, access to help, guides to the playing of any game, and a summary of the contractual terms on which gambling is offered in that, or those, foreign languages.

I have read, understood and agree to implement the provisions of the above Company Policy and Procedures.

Signed:

Name: (please print) Date:

Company: Position:

A copy of this signed document must be given to the employee for on-going reference; the original document to be retained on the employee’s personnel file for the duration of his/her employment.

GAMBLING ACT 2005
Licence Conditions and Codes of Practice
MONEY LAUNDERING, CASH HANDLING AND SUSPICIOUS TRANSACTIONS

Introduction

As part of its procedures for compliance with the requirements in respect of the prevention and detection of money laundering in the Proceeds of Crime Act 2002 and the Terrorism Act 2000, the Company takes into account the Commission’s advice on the Proceeds of Crime Act 2002, *Duties and responsibilities under the proceeds of Crime Act 2002 – Advice for operators (excluding Casino operators)*.

Money Laundering Definition

Money laundering is a process by which the proceeds of crime are converted into assets which appear to have a legitimate origin, so that they can be retained permanently or recycled into further criminal enterprises. This definition of money laundering means that potentially any employee could contravene the Regulations if they were to become aware of or suspect the existence of criminal property and continue to be involved in a matter which relates to that property without reporting their concerns.

Policy

- The Company is committed to ensuring that all necessary safeguards are in place with regard to the receipt of money in order to avoid it being used to launder money that may originate from the proceeds of crime.
- The Company has appointed a Designated Money Laundering Officer (MLO)
- All relevant staff are trained on the requirements of the Regulations and told of the need to report any suspicious cash transactions to the MLO for the purpose of informing the relevant authorities.

Disclosure Procedure

- Where it is suspected by a member of staff that money laundering activity is taking/has taken place, a disclosure must be made to the MLO as soon as possible. Because of the importance attached to the process, notification should normally take place immediately by telephone or, where that is not possible, by any other expedient means.
- No discussion will take place with colleagues as confidentiality is paramount.
- The MLO will determine whether or not to submit - online or otherwise - a suspicious activity report (SAR) to the National Crime Agency (NCA) and will maintain records of all notifications received detailing the method of verification used to identify the suspected person.

Cash Handling

Operating policies and procedures are in place with regard to accounting practices and record keeping in respect of:

- Monetary stakes introduced to machines (gross takings),
- Money introduced to refloat machines
- Token transactions
- Customer refunds due to machine malfunctions.
- Money removed from machines (net takings)

Members of staff, where appropriate, are trained as part of their induction process in the understanding of, and the strict adherence to this policy, and required to sign to this effect retaining a copy for their future reference. The original is retained on the employee’s personnel file.

I have read, understood and agree to implement the provisions of the above Company Policy and Procedures.

Signed:

Name: (please print) **Date:**

Company: **Position:**

A copy of this signed document must be given to the employee for on-going reference; the original document to be retained on the employee’s personnel file for the duration of his/her employment.

SELF-EXCLUSION

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Policy and Procedures

Whilst most customers are able to enjoy and control their gambling, this Company recognises its duty of care to those who cannot. Accordingly, we provide a self-exclusion process for those customers who seek to prevent their own access to our premises and others in the locality offering a similar style of gambling as defined by the premises licence.

- When a customer has requested that they be refused entry to our premises, the customer and the appointed manager will formally acknowledge and document the request on a self-exclusion request form, or directly on the web-based AGC national self-exclusion scheme. This will be preceded by a meaningful discussion about the terms and conditions applicable to the scheme and will include other options available to assist a person having a gambling disorder, including being signposted to counselling and support services. A copy of the terms and conditions will be signed by the excluder as acknowledgement of understanding and consent. Customers are given the opportunity of discussing self-exclusion in private where possible.
- Photo identification and signature of the excluder is required for self-exclusion agreements except where an alternative means of identification is at least as effective. Photographs, preferably of the passport style, should be full-faced and a good likeness both initially and throughout the duration of the self-exclusion agreement.
- The Duty Manager will offer the exclusion for a minimum duration of not less than six months, nor more than twelve months; the customer thereafter may request to extend the length of the self-exclusion for one or more further periods of at least six months, reliant on the Company's ability to manage longer agreements. The Company will not allow the excluder admittance to the premises during the term of the self-exclusion agreement, and will have in place procedures for preventing self-excluded individuals from gambling during the period of the self-exclusion agreement including taking into account the internal structure and layout of the premises.
- It is made clear to the customer that they may not revoke the self-exclusion during the agreed period and that if found either in the gambling area or attempting to gamble they will be asked to leave. Members of staff are trained to be alert to self-excluded individuals attempting to breach agreements and instances of them getting another person to gamble on their behalf. It is a requirement that staff regularly pay heed to self-exclusion agreement records that are currently active (particularly photographs) in order to stay alert to the identity of those excluded in the locality of the premises.
- Self-excluders have the opportunity of also excluding from other premises owned by the Company without necessarily having to enter areas licenced for gambling. Where the self-exclusion agreement is extended to other Company's premises we will consider any specific requests made by a customer in setting the bounds of the exclusion area.
- The Company will offer customers with whom they enter into a self-exclusion agreement in respect of facilities for any kind of gambling we offer, the ability to exclude from facilities for the same kind of gambling offered in our locality by any other holder of an operating licence to whom this provision applies, by participating in one or more available multi-operator self-exclusion schemes. In addition, the Company is participating in the possible development of a multi-operator self-exclusion scheme that will apply to all styles of gambling.
- A self-exclusion log is maintained on the premises for recording detail of those currently excluded in addition to records stored digitally.

- Those self-excluded will be removed from any marketing databases held by this Company within two days of receiving the completed self-exclusion form, but we will take all reasonable steps to prevent details being knowingly sent as soon as practicable.
- At the end of the self-exclusion period, the exclusion will remain in place for a further six months, unless the customer takes positive action in order to gamble again.
- At the end of the exclusion period, the Duty Manager and customer will, together, review the terms of agreement either by telephone or in person. The review process is recorded on a self-exclusion review form.
- Where a customer chooses not to extend the self-exclusion and makes a positive request to begin gambling again, the customer is offered a 24-hour 'cooling off' period before being allowed access to the gambling facilities.
- Customers are given the opportunity to discuss self-exclusion in private where possible.
- The Company retains self-exclusion records for the length of the agreement plus a further 6 months.
- Members of staff are trained both on induction and refresher sessions thereafter in the understanding of, and the strict adherence to this policy and accompanying log, and required to sign to this effect retaining a copy for their future reference. The original is retained on the employee's personnel file.

I have read, understood and agree to implement the provisions of the above Company Policy and Procedures.

Signed:

Name: (please print) **Date:**.....

Company: **Position:**

A copy of this signed document must be given to the employee for on-going reference; the original document to be retained on the employee's personnel file for the duration of his/her employment.

GAMBLING ACT 2005

The Licensing Objectives

- To prevent gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime.
- To ensure that gambling is conducted in a fair and open way.
- To protect children and other vulnerable persons from being harmed or exploited by gambling.

GAMBLING ACT 2005

Licence Conditions and Codes of Practice

PRINCIPAL CONCEPTS

Statement

The Company recognises its responsibility and obligation to comply with the Licensing Objectives of the Gambling Act 2005 and the Licence Conditions and Codes of Practice. Social responsibility awareness is an important aspect of our day-to-day operating practice, and monitoring of policies and procedures is regularly reviewed and subject to change as part of our ongoing risk assessment.

Licensing Objectives

1. Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime.
2. Ensuring that gambling is conducted in a fair and open way.
3. Protecting children and other vulnerable persons from being harmed or exploited by gambling.

Policy and Procedures

We put into effect policies and procedures intended to promote socially responsible gambling that includes making an annual financial contribution for education and research into the prevention and treatment of gambling-related harm, the development of harm prevention measures and the treatment of those with gambling related disorders.

- We operate an on-going training program for staff to ensure awareness and compliance of our social responsibility and other statutory requirements. Individual written policies and procedures are in place and adhered to in respect of:
 - (a) Access to Gambling by Children and Young Persons
 - (b) Access to Premises by the Gambling Commission's Enforcement Officers
 - (c) Advertising Standards and Marketing
 - (d) Customer Interaction
 - (e) Employment of Children and Young Persons
 - (f) Fair and Open Practice and Dispute Resolution
 - (g) Information on how to Gamble Responsibly and Help for Problem Gamblers
 - (h) Suspicious Monetary Transactions and Cash Handling
 - (i) Self-Exclusion
- We operate our business with integrity, due care and diligence with necessary systems in place to combat crime and disorder. Written policies and procedures are in place concerning the handling of cash and cash equivalents designed to minimise the risk of crime, such as money laundering and the avoidance of illicit credit.
- Conflicts of interest between the Company and our customers are managed transparently and fairly, and, where complaints related to the outcome of gambling are not resolved to the satisfaction of both parties, we will refer the complainant to an approved alternative dispute resolution (ADR) entity.
- Gaming machines comply with the Gambling Commission's technical standards; exhibit the applicable maximum stake and monetary prize levels, and the chances of winning. Gambling general terms and conditions are displayed.
- We do not provide credit in connection with gambling nor participate in, arrange, permit or knowingly facilitate the giving of credit in connection with gambling.
- We seek to prevent systematic or organised money lending between customers on the premises, and staff are trained to be alert to such practice, and to report any instances of substantial money lending to the Duty Manager should they become aware of such instances.
- It is prohibited to consume alcohol on our premises.

Company:

Registered Address:

Date:

GAMBLING ACT 2005

Licence Conditions and Codes of Practice

Customer Complaints

Terms & Conditions

Policy & Procedure

These are the Company's Terms and Conditions by which customer complaints are dealt with. Also included is the Company's policy and procedure document and complaint form. Copies of the complaint procedure and form are available on site for the benefit of customers making a complaint about the outcome of their gambling where the complaint has not been resolved on-site in the initial stages.

A 'complaint' means a grievance about any aspect of the licensee's conduct of the licensed gambling activities, and should be raised with the company as follows:

- The complaint should initially be raised with an available member of staff at the venue at the time of the incident giving cause for complaint. **Stage 1**
- If the member of staff approached is unable to deal with the complaint or the matter is not resolved to the customer's satisfaction, then it should be directed to the duty manager at the venue at the earliest opportunity. **Stage 2**
- Should the matter still not be resolved, the customer will be provided with a copy of the policy & procedure document, together with a complaint form that should be completed by the customer and submitted to the Company for consideration by a director or appointed senior manager. **Stage 3**
- If the matter remains unresolved, the customer should be referred to an alternative dispute resolution (ADR) entity with whom the Company has registered. The complaint will not be considered by the ADR entity unless:
 - **the matter relates to the outcome of the complainant's gambling transaction; and**
 - **it is not resolved during the three-stage complaint procedure as outlined above.**

It is permissible for an ADR entity to have terms enabling it to reject complaints referred for dispute resolution if the complaint is frivolous or vexatious, but the Company will not refuse to refer disputes on those grounds.

The Company will ensure that:

1. information about the complaint procedure is set out in these terms and conditions;
2. such information is readily accessible on our gambling premises to be taken away;
3. information includes details of how to make a complaint to the Company and the identity and contact details of the person deputed to handle the complaint;
4. the information names the ADR entity to whom disputes can normally be referred and, where necessary, details of any limitation on the nature and subject matter of disputes with which a particular ADR entity deals.
5. customers are given a copy of the complaint policy and procedure document on request or on making a complaint; and
6. all complaints are handled in accordance with the procedure.

Should the Company refer a complaint to ADR entity other than one in respect of which contact details were given in accordance with 1 to 6 above it will, at the same time as making the reference, inform the Commission of the reference and reason for selection of the ADR entity concerned.

The Company keeps a record of all complaints that are not resolved at the initial three-stage complaint procedure.

The Company arranges for a copy of the decision on, or a note of the outcome of, each dispute referred to an ADR entity to be provided to the Commission, either by the ADR entity or by the Company. This information is provided in such format and within such timescale as the Commission may from time to time specify.

The Company also arranges for any outcome adverse to the Company of any proceedings taken against the licensee (in whatever jurisdiction) by a customer in relation to a gambling transaction to be notified to the Commission as a key event; but excluding proceedings allocated to the County Court small claims track or equivalent in jurisdictions outside England and Wales.

Under no circumstances are members of staff put in physical danger nor will they be subjected to abuse. If a customer is threatening, then that person will be offered the complaint policy & procedure document together with a complaint form, and be referred to the Company's strict policy of 'No Abuse'. If the customer continues to be threatening the circumstances will be treated in accordance with a disturbance on the premises, and the person will be asked to leave, and the police contacted to assist if necessary.

Which complaints are covered?

A complaint, in the context of the LCCP, means a complaint solely about the conduct of the Company's activities. A dispute means a complaint which has not been resolved by the operator's complaints procedure to the satisfaction of both parties, and relates to the outcome of a gambling transaction.

Responsibility of the Employer.

The Company has a written procedure in place to:

- advise employees of the name of the appointed person who is to be contacted about complaints;
- ensure that all complaints are handled in accordance with the procedure throughout the investigative process;
- have arrangements in place for reference by a customer of a dispute to an alternative dispute resolution service for disputes (an 'ADR entity'); and
- maintain a record of all complaints, and those that evolve into disputes. All instances where the complaint is referred to an ADR entity will also be recorded together with the outcome.

Responsibility of the Employee

Members of staff not authorised to deal with complaints, or where the customer is not satisfied with the initial outcome, will ensure that:

- the complainant is informed of the name of the appointed Company representative who will deal with the complaint, together with the appropriate contact details of that person;
- the complainant is issued with the Company's complaint policy & procedure document and complaint form;
- the circumstances are recorded as contemporaneous notes as soon as possible following the incident and the notes are signed, dated and timed by the member of staff dealing. The notes are to be comprehensive and a true record of events, and
- members of staff, unless properly authorised by the Company, are not allowed to voice their own opinion as to the merits or otherwise of a complaint. Procedure is strictly adhered to.

Complaint Procedure

The Company endeavours to provide a high quality service to its customers and members of staff are trained how to deal with complaints at the initial stage. However, if you believe that things have gone wrong and your complaint was not resolved to your satisfaction at our premises, then please inform us as we take such reports seriously.

The Company will review your complaint and will be dealt with by:

(name)..... who is (job title)

at (address).....

.....

Email Address:

How to make a complaint

- Complaints, which we will deal with confidentially, should be submitted in writing, by letter or e-mail.
- The attached form should be used to record and submit complaints.
- Give as much detail as possible including details of independent witnesses and any other relevant information in order to assist the Company in the investigative process.

What happens next?

The Company will investigate and provide a full explanation of what we have done within **15 working days** of receiving a complaint. If this is not possible we will explain why and give a date by which a full response can be expected.

If you are not satisfied with our response

If you are still not satisfied with our response to the complaint, you may consider writing to an alternative dispute resolution (ADR) entity requesting that the matter be reviewed, enclosing all previous correspondence relating to the complaint including the original complaint form. The ADR entity will acknowledge receipt of your correspondence without undue delay and, after review, inform you of its findings and recommendations, usually within **60 days**. The review process is thorough and based upon the information that both parties and other independent sources provide.

This Company is registered with the following ADR entity:

Name of ADR Entity: **bacta ADR Service**

Email Address: enqs@bactaadrservice.org.uk

Website: www.bactaadrservice.org.uk

Postal Address: **29-30 Ely Place, London EC1N 6TD**

It is highly recommended that you visit the ADR entity's website (as above) so that you are fully aware of the procedural rules and other related information.

Complaint Form

CUSTOMER

Name:

Address:

..... Postcode

Daytime Telephone No .:

E-mail address:

Signature: Date:

Is this an initial complaint or a follow up to a previous incident?

.....

.....

VENUE WHERE COMPLAINT OCCURRED

Reference (if known):.....

Company:

Name of Premises:

Address:

.....

Name(s) of staff member(s) that you initially raised your complaint with:

.....

.....

Date of Incident:

Time of Incident:

Names & Addresses or contact telephone numbers of any **independent** witnesses.

.....

.....

.....

Name and Category of Gambling Machine subject of complaint:

Record of Suspicious Monetary Transactions

TIME	LOCATION	CIRCUMSTANCES	REPORTED TO MLO	SAR SENT TO NCA	OUTCOME
Day: Date: Time:	Site: Address: Ref:	Notes: Photographs/CCTV Y/N Identity, if known, or description:	Day: Date: Time:	Day: Date: Time:	Notes:
Day: Date: Time:	Site: Address: Ref:	Notes: Photographs/CCTV Y/N Identity, if known or description:	Day: Date: Time:	Day: Date: Time:	Notes:

To be retained on Site

Company:

Site Reference:

Serial No. /

GAMBLING ACT 2005

SELF-EXCLUSION REVIEW FORM FOR RECORDING DETAIL IF NO IMMEDIATE ACCESS TO THE BACTA WEB-BASED SCHEME

Company:

Site Name:

Site Address:
.....

Post Code:

Customer Name:

Customer Date of Birth:

Customer Address:
.....

Post Code:

Review of self-exclusion agreement on: (date)

Customer's Decision:
.....

Signature: (Customer) Date:

Signature: (Appointed Manager) Date:

Request to resume access and gambling following the self-exclusion period.

I confirm that I voluntarily no longer wish to be self-excluded from this site and other venues in the locality to which the agreement applies; that all options have been explained to me by the Company, and that I have experienced a cooling off period of at least 24 hours.

Signature: (Customer) Date:

Signature: (Appointed Manager) Date:

To be retained on Site

Company: **Site Reference:** **Serial No. /**

GAMBLING ACT 2005
Licence Conditions and Codes of Practice
COMPLIANCE EVALUATION

Section 1 - Observation

Company:.....

Site: **Date:** **Time:**

Please circle either 'Y' (yes) or 'N' (no) as appropriate

- | | | | |
|-----|--|----------|----------|
| 1. | Are age restriction signs displayed prominently at the entrances to Adult Gaming Centers, (AGCs) clearly stating that it is illegal for persons under the age of 18 years to enter the premises or, equally prominent with the same clear message, at the entrances to adult gaming areas within a Licensed Family Entertainment Centre (Lic. FECs)? | Y | N |
| 2. | Are entrances to AGCs and/or adult gaming areas appropriate so as not to attract children or young persons from entering? | Y | N |
| 3. | Are the entrances to AGCs or adult gaming areas effectively monitored, controlled and supervised taking into account the structure and layout of the premises so as to ensure that age restriction is adhered to? | Y | N |
| 4. | Are the barriers separating different licensed premises within the parameters of one 'building' of a solid construction, including the unlicensed areas separating different licensed premises? | Y | N |
| 5. | Are 'Stay in Control' posters prominently displayed, preferably framed, so as to be easily seen and read by all customers? | Y | N |
| 6. | Are 'Stay in Control' leaflets available in a dedicated rack, preferably below a 'Stay in Control' poster and discretely accessible to customers without the need to be asked for, and available for taking away? | Y | N |
| 7. | Are approved 'Proof of Age' application forms readily available for distribution, or are alternative and suitable schemes adopted to assist with compliance of age restriction policy? | Y | N |
| 8. | Do advertising, marketing and promotional notices comply with advertising standards? | Y | N |
| 9. | Is the Premises Licence clearly displayed (summary is sufficient)? | Y | N |
| 10. | Is the Company registered for MGD? | Y | N |
| 11. | Are machines correctly and clearly labeled according to category of machine? | Y | N |
| 12. | Are 'No Alcohol' signs clearly displayed? | Y | N |
| 13. | Are 'No Smoking' signs clearly displayed? | Y | N |

- | | | | |
|-----|--|---|---|
| 14. | Is the operation fully compliant with gaming legislation and other regulatory requirements, e.g. only the correct category of gaming machines provided on site; stake and prize levels appropriate for the type of premises; correct number of machines? | Y | N |
| 15. | Is the National Gambling Helpline telephone number on all categories of machines? | Y | N |
| 16. | Are labels displayed on gaming machines (with the exception of Category 'D' machines located in Licensed FECs) stating that under 18s are prohibited from playing? | Y | N |

Comment:

Please comment on all instances where 'N' is circled, giving a full explanation and what measures are to be adopted so as to comply with requirements.

GAMBLING ACT 2005
Licence Conditions and Codes of Practice
COMPLIANCE EVALUATION

Section 2 - Management

Company:.....

Site: **Date:**..... **Time:**

Manager: **Length of Service:**

Please circle either 'Y' (yes) or 'N' (no) as appropriate

- | | | |
|---|----------|----------|
| 1. Are you aware of, and understand, the three licensing objectives? | Y | N |
| 2. Are you aware of procedures on how to respond to 'authorised persons' who properly identify themselves on the premises. | Y | N |
| 3. Are the following Licence Conditions and Codes of Practice written policy and procedure documents fully understood and available for inspection? | | |
| • Principal Concepts | Y | N |
| • Access to gambling by children and young persons | Y | N |
| • Access to premises by the GC's Enforcement Officers | Y | N |
| • Advertising standards and marketing | Y | N |
| • Customer interaction | Y | N |
| • Employment of children and young persons | Y | N |
| • Fair and open practice and dispute resolution | Y | N |
| • Information on how to gamble responsibly and help for those with problems | Y | N |
| • Money laundering, cash handling and suspicious transactions | Y | N |
| • Self-exclusion | Y | N |
| 4. Are the following logs up-to-date and available for inspection? | | |
| • Attempted child or young person entry | Y | N |
| • Customer interaction | Y | N |
| • Incidents requiring police assistance | Y | N |
| • Self-exclusion | Y | N |
| • Staff training summary | Y | N |
| 5. Are the following systems in place to demonstrate staff training and awareness of Company policies and procedures? | | |
| • Written policy and procedure records signed by staff | Y | N |
| • Complaints and dispute resolution records | Y | N |
| • Training attendance certificates | Y | N |

6. Can the Company demonstrate robust risk assessment of age-verification and restriction by regularly conducting test purchases or other satisfactory and appropriate methods?	Y	N
7. Is age restriction policy strictly adhered to, and are members of staff effectively trained in its implementation?	Y	N
8. Are members of staff aware that it may be construed to be an act of 'gross misconduct' should they knowingly allow persons under the age of 18 years to enter an Adult Gaming Centre or adult gaming area(s) within a Licensed FEC, and is this a clause included in their contract of employment?	Y	N
8. Has a 'proof of age' scheme been adopted, and are approved application forms available?	Y	N
9. Are customers not inappropriately encouraged to play on gaming machines?	Y	N
10. Is there is a policy in place that precludes staff colluding with customers who ask them to lie on their behalf?	Y	N
11. Is it company policy to allow customers to change coins back to notes?	Y	N
12. Are relevant staff members trained to respond positively to customers who exhibit distress, say they have a problem with their gambling, or wish to be self-excluded?	Y	N
13. Is it accepted that the initial minimum period for self-exclusion is not less than 6 months, nor more than 12 months and are you aware of the requirement of implementing a 24-hour 'cooling off' period thereafter?	Y	N
14. Are all members of staff who interface with customers familiar with the AGC sector self-exclusion web-based scheme and know what to do if a self-excluded person attempts to enter the gaming area or attempts to gamble before the period of the self-exclusion agreement expires?	Y	N
15. Do stock control procedures ensure that 'Stay in Control' leaflets are always in the rack(s) and that a reserve supply is always available?	Y	N
16. Are you aware of how to order new stocks of 'Stay in Control' leaflets and posters?	Y	N
17. Are you aware of the requirements relating to advertising, marketing and promotions?	Y	N
18. Are copies of self-exclusion request forms retained on site and readily available for supply should the web-based system fail for any reason?	Y	N
19. Are all members of staff aware of requirements concerning young Persons who may be employed by the Company?	Y	N

20. Can you demonstrate that annual financial contributions (RET) are being paid to GambleAware or other appropriate care agencies?	Y	N
21. Are you aware of the requirement to submit an annual regulatory Return to the Gambling Commission, and what information is required?	Y	N
22. Are you aware of procedures necessary under money laundering laundering regulations, and has the Company appointed a designated money laundering officer (MLO)?	Y	N
23. Has the Company participated in a recognised social responsibility awareness course?	Y	N
24. Are you aware that stakes must be returned to under-18s who have gambled in AGCs and adult areas and that they are not permitted to retain any monetary prize paid out?	Y	N
25. With regard to customer complaints and disputes, do you have a written policy and complaint form available to be handed to a complainant, and have you registered with an approved ADR entity?	Y	N
26. Are you aware of the importance of ensuring the ongoing process of staff training in respect of adhering to the requirements of the LCCP, and the need to train new members of staff if when they are recruited to the Company?	Y	N
27. Are you aware of your obligations to inform the Gambling Commission should there be any 'key event' changes to your Operating Licence?	Y	N
28. Has a Local Risk Assessment Document been written and is it available on site for Inspection if requested?	Y	N
29. Has an Anti-Money Laundering Risk Assessment been written and is it available on site for the benefit of staff and inspection if requested?	Y	N

Comment:

Please comment on all instances where 'N' is circled, giving a full explanation and what measures are to be adopted so as to comply with requirements.

.

GAMBLING ACT 2005
Licence Conditions and Codes of Practice
COMPLIANCE EVALUATION

Section 3 - Members of Staff

Company:

Site:..... **Date**.....**Time:**

Member of Staff:**Length of Service:**

Please circle either 'Y' (yes) or 'N' (no) as appropriate

1. Do you have a good understanding of the following Licensing Conditions and Codes of Practice written policies and procedures where they are relevant to your particular duties?
 - Access to gambling by children and young persons Y N
 - Access to premises by the GC's Enforcement Officers Y N
 - Customer interaction Y N
 - Employment of children and young persons Y N
 - Fair and open practice and dispute resolution Y N
 - Information on how to gamble responsibly Y N
 - Money laundering Y N
 - Self-exclusion Y N

2. Are you aware of and understand the content and maintenance of the following logs?
 - Attempted child entry Y N
 - Customer interaction Y N
 - Incidents requiring police assistance Y N
 - Self-exclusion Y N
 - Staff training summary Y N

3. Do you understand the systems in place to demonstrate staff training and awareness of the following Company policies and procedures?
 - Written policy and procedure records signed by staff Y N
 - Staff training summary sheet Y N
 - Complaints and dispute resolution records Y N

4. Is age restriction policy known to you and applied? Y N

5. What 'Proof of Age' scheme is in use and are you aware of where the application forms are located? Y N

6. Are you instructed that customers are not inappropriately encouraged to play on gaming machines? Y N

7. Are you aware that you must not collude with customers who ask you to lie on their behalf?	Y	N
8. Are you aware that it is an act of 'gross misconduct' if you knowingly allow a person under the age of 18 years to enter an Adult Gaming Centre or adult gaming area(s) within a FEC?	Y	N
9. Do your instructions permit that a customer may change coins back into notes?	Y	N
10. Are you aware of what your actions should be if you were to be approached by a customer who asks for help to deal with a gambling problem to do with themselves or with a relative or friend?	Y	N
11. Do you know which member of staff has been appointed by the Company to supervise 'customer interaction' and 'self-exclusion' issues?	Y	N
12. Are you aware of what behavior might be characteristic in a person whose gambling is out of control, and what your actions should be if you observe a customer displaying such behavior?	Y	N
13. Are you aware that the Company offers a web-based self-exclusion scheme for customers who are experiencing difficulties with their gambling; that the minimum period of self-exclusion is 6 months and that excluders can also be excluded from other company premises offering a similar style of gambling in the locality, and have you been shown and understand the guide to the self-exclusion scheme?	Y	N
14. Are you aware of the requirement of a 24-hour 'cooling off' period following a term of self-exclusion?	Y	N
15. Are you aware of what your actions must be should a self-excluded customer enter the gambling area or attempt to gamble during the course of their self-exclusion period?	Y	N
16. Are you aware that 'Stay in Control' leaflets should always be available in the racks, and where replacement stock is stored?	Y	N
17. Are you aware of where the self-exclusion request forms are kept in the event that the web-based scheme cannot be accessed? ?	Y	N
18. Do you know what your actions must be when a Gambling Commission enforcement officer or other authorized person enters the premises?	Y	N
19. Are you aware of the employment limitations with regard to children and young persons employed by the Company?	Y	N
20. Are you aware of procedures required under the money laundering regulations and who the Company appointed MLO is?	Y	N
21. Have you received LCCP training?	Y	N

- | | | |
|--|---|---|
| 22. Are you aware that stakes must be returned to under-18s who you have identified as having gambled in the AGC (or adult area) and that they are not permitted to retain any monetary prize? | Y | N |
| 23. Are you aware of the company's policy in dealing with complaints and disputes and where written copies of this policy and complaint forms are kept? | Y | N |
| 24. Do you know what the three Licensing Objectives are? | Y | N |
| 25. Do you feel that you have received sufficient training in what is expected of you in respect of knowledge and implementation of gambling law requirements? | Y | N |
| 26. Do you have copy of the staff training booklet provided by bacta and have you Completed the training modules? | Y | N |
| 27. Have you been shown and understand the local risk assessment and money Laundering risk assessment documents? | | |

Comment:

Please comment on all instances where 'N' is circled, giving a full explanation and what measures are to be adopted so as to comply with requirements.

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Responsibility for Third Parties

Licensees must take responsibility for third parties with whom they contract for the provision of any aspect of the licensee's business related to the licensed activities and ensure that the terms on which they contract with such third parties:

- a) require the third party to conduct themselves in so far as they carry out activities on behalf of the licensee as if they were bound by the same licence conditions and subject to the same codes of practice as the licensee
- b) oblige the third party to provide such information to the licensee as they may reasonably require in order to enable the licensee to comply with their information reporting and other obligations to the Commission
- c) enable the licensee, subject to compliance with any dispute resolution provisions of such contract, to terminate the third party's contract promptly if, in the licensee's reasonable opinion, the third party is in breach of contract (including in particular terms included pursuant to this code provision) or has otherwise acted in a manner which is inconsistent with the licensing objectives.

Notes:

- The Commission is not interested in cleaning activities etc unless that has an impact on the licensed activities.
- Operators must also build in terms to those contracts to enable termination of the contract when things go wrong.
- There can be dispute resolution procedures which apply when these termination clauses are invoked.

Qualified Persons

1. In this condition the terms 'small-scale operator', 'qualifying position' and 'qualified person' have the meanings respectively ascribed to them by the Gambling Act 2005 (Definition of Small-scale Operator) Regulations 2006.
2. Schedule X lists those individuals notified to the Commission as qualified persons.
3. If, whilst the licensee remains a small-scale operator, an individual begins or ceases to occupy a qualifying position in relation to the licensee, the licensee must within 28 days apply to the Commission under section 104(1)(b) of the Act for amendment of the details of the licence set out in Schedule X.
4. An application for amendment under section 104(1)(b) of the Act may be made in advance of an individual beginning or ceasing to occupy a qualifying position provided it specifies the date from which the change to which it relates is to be effective.
5. In this condition 'qualified person' has the same meaning as in the Gambling Act 2005 (Definition of Small-scale Operator) Regulations 2006.

PERSONAL LICENCES

1. Subject to 6 and 7 below, licensees must ensure:
 - that each individual who occupies one of the management offices specified in 2 below in respect of the licensee or in connection with the licensed activities holds a personal licence authorising the performance of the functions of that office (hereafter ‘a personal management licence’); and
 - that at least one person occupies at least one of those offices.
2. The specified management offices are those offices (whether or not held by a director in the case of a licensee which is a company, a partner in the case of a licensee which is a partnership or an officer of the association in the case of a licensee which is an unincorporated association) the occupier of which is by virtue of the terms of their appointment responsible for:
 - a) the overall management and direction of the licensee’s business or affairs
 - b) the licensee’s finance function as head of that function
 - c) the licensee’s gambling regulatory compliance function as head of that function. The Commission makes explicit the approach that the head of compliance will not normally occupy (without Commission approval) any other specified management office, such as head of marketing. This LCCP requirement does not apply to small scale operators
 - d) the licensee’s marketing function as head of that function
 - e) the licensee’s information technology function as head of that function in so far as it relates to gambling-related information technology and software
 - f) oversight of the day to day management of the licensed activities at an identified number of premises licensed under Part 8 of the Act or across an identified geographical area
 - g) in the case of casino and bingo licences only, oversight of the day to day management of a single set of premises licensed under Part 8 of the Act.
3. **The person responsible for the licensee’s gambling regulatory compliance function as head of that function shall not, except with the Commission’s express approval, occupy any other specified management office.**
4. Licensees must take all reasonable steps to ensure that anything done in the performance of the functions of a specified management office is done in accordance with the terms and conditions of the holder’s personal management licence.
5. Where an individual is authorised by a personal licence and that licence comes under review under section 116(2) of the Act, the operating licensee must comply with any conditions subsequently imposed on that licence by the Commission about redeployment, supervision, or monitoring of the individual’s work and any requirements of the Commission in respect of such matters applicable during the period of the review.

6. Paragraphs 1 to 5 above shall not apply to a licensee for so long as the licensee is a 'small-scale operator' as defined in the Gambling Act 2005 (Definition of Small-scale Operator) Regulations 2006 ('the Regulations').
7. During the period of 3 years commencing with the date on which a licensee ceases to be a small-scale operator paragraphs 1 to 6 above shall apply subject to the proviso that the phrase 'each individual' in paragraph 1a shall not include any individual who was a 'qualified person' (as defined in the Regulations) in relation to the licensee 28 days immediately prior to the licensee ceasing to be a small-scale operator.

Key Events

A key event is an event that could have a significant impact on the nature or structure of a licensee's business. Licensees must notify the Commission, or ensure the Commission is notified, in such form or manner as the Commission may from time to time specify, of the occurrence of any of the following key events as soon as reasonably practicable and in any event within five working days of the licensee becoming aware of the event's occurrence.

Operator status

1. In the case of licensees which are companies, a petition being presented for their winding up or the winding up of any group company of theirs, or they or any group company being placed in administration or receivership or their directors proposing to creditors a composition in satisfaction of its debts or a scheme of arrangement of its affairs.
2. In the case of licensees which are bodies corporate, but not companies, any event substantially equivalent to those listed at 1 above.
3. In the case of a licensee who is an individual (or a partner in a partnership licensee) their being presented with a petition for their bankruptcy or sequestration or their entering into an individual voluntary arrangement.

Relevant persons and positions

4. In the case of licensees who are companies or other bodies corporate having a share capital, the name and address of any person who (whether or not already a shareholder or member) becomes a shareholder or member holding 3% or more of the issued share capital of the licensee or its holding company.
5. Any investment in a licensee which is not by way of subscription for shares.
6. The taking of any loan by the licensee, or by a group company who then makes an equivalent loan to the licensee, from any person not authorised by the Financial Conduct Authority: a copy of the loan agreement must be supplied.
7. The entering into an arrangement whereby a third party provides services to, or grants any licence concession or permission to, the licensee other than for full value: full details of the arrangements must be supplied.
8. The appointment of a person to, or a person ceasing to occupy, a 'key position': a 'key position' in relation to a licensee is:
 - a) in the case of a small-scale operator, a 'qualifying position' as defined in the Gambling Act 2005 (Definition of Small-scale Operator) Regulations 2006
 - b) in the case of an operator which is not a small-scale operator, a 'specified management office' as set out in (current) LCCP licence condition 1.2

- c) a position the holder of which is responsible for the licensee's anti-money laundering procedures, including suspicious activity reporting
 - d) any other position for the time being designated by the Commission as a 'key position'. (Notification is required whether or not the person concerned is required to hold a personal management licence and whether or not the event notified requires the licensee to apply for a variation to amend a detail of their licence.)
9. Any change to the structure or organisation of the licensee's business which affects a 'key position' or the responsibilities of its holders

Financial events

- 10. Any material change in the licensee's banking arrangements, in particular the termination of such arrangements or a particular facility and whether by the licensee or the provider of the arrangements.
- 11. Any breach of a covenant given to a bank or other lender.
- 12. Any default by the licensee or, where the licensee is a body corporate, by a group company in making repayment of the whole or any part of a loan on its due date.
- 13. Any court judgments (in whatever jurisdiction) against the licensee or, where the licensee is a body corporate, a group company, remaining unpaid 14 days after the date of judgment.
- 14. Where the licensee is required to have their accounts independently audited, any qualification to an auditors' report; and any unplanned change of auditor including a change prompted by a dispute or resulting from auditors being unable or unwilling to sign an unqualified audit report.
- 15. Any change in the licensee's arrangements for the protection of customer funds in accordance with the general licence condition 4 relating to the protection of customer funds (where applicable).
- 16. Where the licensee holds customer funds in a separate bank account, any deficit on reconciliation of such bank account.
- 17. Any change in the licensee's arrangements as to the methods by which, and/or the payment processors through which, the licensee accepts payment from customers using their gambling facilities (this key event applies to remote casino, bingo and betting operating licences, except ancillary and remote betting intermediary (trading room only) licences).

Legal or regulatory proceedings or reports

- 18. The grant, withdrawal or refusal of any application for a licence or other permission made by the licensee, or in the case of a licensee which is a body corporate, any group company of theirs, to a gambling regulator in another jurisdiction. In the case of a withdrawal or refusal of the application, the licensee must also notify the reasons for such withdrawal or refusal. (This condition does not apply to applications for licences or other permissions to carry on activities which would fall outside the scope of a Gambling Commission operating licence if carried out in Britain or with customers in Great Britain.)

- 19a. Any investigation by a professional, statutory, regulatory or government body (in whatever 10 jurisdiction) into the licensee's activities, or the activities in relation to the licensed entity of a personal licence holder or a person occupying a qualifying position employed by them, where such an investigation could result in the imposition of a sanction or penalty which, if imposed, could reasonably be expected to raise doubts about the licensee's continued suitability to hold a Gambling Commission licence.
- 19b. Any criminal investigation by a law enforcement agency in any jurisdiction in relation to which:
- the licensee is involved (including, but not limited to investigations of crimes allegedly committed against the licensee or involving the gambling facilities provided under the licence), AND
 - the circumstances are such that the Commission might reasonably be expected to question whether the licensee's measures to keep crime out of gambling had failed.
- Notification of the event must occur as soon as practicable after the licensee becomes aware of any such investigation in which the licensee is involved and measures may have failed.
20. The receipt of any report from a professional, statutory or other regulatory or government body (in whatever jurisdiction) of the outcome of a compliance assessment in relation to the gambling activity of the licensee or, where the licensee is a body corporate, of any group company in which at least one person who holds a key position in or in respect of the licensee holds a key position: a copy of the report should be provided where available to the licensee.
21. The referral to the licensee's Board, or persons performing the function of an audit or risk committee, of material concerns raised by a third party (such as an auditor) about the provision of facilities for gambling which are expressed (in whatever terms) as requiring attention as a high priority: a summary of the nature of the concerns must be provided.
22. The imposition by the licensee of a disciplinary sanction, including dismissal, against the holder of a personal licence or a person occupying a qualifying position for gross misconduct; or the resignation of a personal licence holder or person occupying a qualifying position following commencement of disciplinary proceedings in respect of gross misconduct against that person.
23. The commencement (in whatever jurisdiction) of any material litigation against the licensee or, where the licensee is a body corporate, a group company: the licensee must also notify the outcome of such litigation.
24. The making of a disclosure pursuant to section 330, 331, 332 or 338 of the Proceeds of Crime Act 2002 or section 19, 20, 21, 21ZA, 21ZB or 21A of the Terrorism Act 2000 (a suspicious activity report): the licensee should inform the Commission of the unique reference number issued by the United Kingdom Financial Intelligence Unit of the National Crime Agency in respect of each disclosure and for the purposes of this key event the five working day period referred to above runs from the licensee's receipt of the unique reference number.

Gambling facilities

25. Any breach in the licensee's information security that adversely affects the confidentiality of customer data or prevents customers from accessing their accounts for longer than 24 hours.
26. Any change in the identity of the ADR entity or entities for the handling of customer disputes, as required by the social responsibility code provision on complaints and disputes.

27. The reference of a dispute to an ADR entity other than one in respect of which contact details were given in accordance with the social responsibility code provision on complaints and disputes; the reason for selection of that ADR entity should be given.
28. In the case of remote gambling, the commencement or cessation of trading on website domains (including mobile sites or mobile device applications) or broadcast media through which the licensee provides gambling facilities.

In this condition:

- 'body corporate' has the meaning ascribed to that term by section 1173 of the Companies Act 2006 or any statutory modification or re-enactment thereof
- in respect of a company, 'holding company' and 'subsidiary' have the meaning ascribed to that term by section 1159 of the Companies Act 2006 or any statutory modification or re-enactment thereof
- a 'group company' is any subsidiary or holding company of the licensee and any subsidiary of such holding company. 1 Key events can be reported securely online at the Commission's website through our eServices system www.gamblingcommission.gov.uk
- Alternatively, for operators unable to access this system, you can report a key event by email to: key.events@gamblingcommission.gov.uk

Other Reportable Events

Licensees must also notify the Commission in such form or manner as the Commission may from time to time specify, or ensure that the Commission is so notified, as soon as reasonably practicable of the occurrence of any of the following events:

- a the conclusion of a dispute referred to an ADR entity and in such case providing the Commission with a copy of the decision or note of the outcome.
- b any outcome adverse to the licensee of any proceedings taken against the licensee (in whatever jurisdiction) by a customer in relation to a gambling transaction; but excluding proceedings allocated to the County Court small claims track or equivalent in jurisdictions outside England and Wales.
- c their becoming aware that a group company which is not a Commission licensee is advertising remote gambling facilities to those residing in a jurisdiction in or to which it has not previously advertised.

General and Regulatory Returns

1. On request, licensees must provide the Commission with such information as the Commission may require about the use made of facilities provided in accordance with this licence, and the manner in which gambling authorised by this licence and the licensee's business in relation to that gambling are carried on, including in particular information about:
 - a) the numbers of people making use of the facilities and the frequency of such use
 - b) the range of gambling activities provided by the licensee and the numbers of staff employed in connection with them
 - c) the licensee's policies in relation to, and experiences of, problem gambling.

- 2 In particular within 28 days of the end of each quarterly period or, for those only submitting annual returns, within 42 days of the end of each annual period, licensees must submit a Regulatory Return to the Commission containing such information as the Commission may from time to time require.

Protection of Customer Funds

Disclosure to Customers

Licence condition 4.2.1,

1. Licensees who hold customer funds must set out clearly in the terms and conditions, under which they provide facilities for gambling, information about whether customer funds are protected in the event of insolvency, the level of such protection and the method by which this achieved.
2. Such information must be according to such rating system and in such form the Commission may from time to time specify. It must be provided in writing to each customer, in a manner which requires the customer to acknowledge receipt of the information and does not permit the customer to utilise the funds for gambling until they have done so, both on the first occasion on which the customer deposits funds and on the occasion of any subsequent deposit which is the first since a change in the licensee's terms in relation to protection of such funds.
3. In this condition 'customer funds' means the aggregate value of funds held to the credit of customers including, without limitation:
 - a. cleared funds deposited with the licensee by customers to provide stakes in, or to meet participation fees in respect of, future gambling;
 - b. winnings or prizes which the customer has chosen to leave on deposit with the licensee or for which the licensee has yet to account to the customer; and
 - c. any crystallised but as yet unpaid loyalty or other bonuses, in each case irrespective of whether the licensee is a party to the gambling contract.

Payment

Cash and cash equivalents, payment methods and services

Licence condition 5.1.1

1. Licensees, as part of their internal controls and financial accounting systems, must implement appropriate policies and procedures concerning the usage of cash and cash equivalents (eg bankers drafts, cheques and debit cards and digital currencies) by customers, designed to minimize the risk of crimes such as money laundering, to avoid the giving of illicit credit to customers and to provide assurance that gambling activities are being conducted in a manner which promotes the licensing objectives.
2. Licensees must ensure that such policies and procedures are implemented effectively, kept under review, and revised appropriately to ensure that they remain effective, and take into account any applicable learning or guidelines published by the Gambling Commission from time to time.

Provision of Credit by Licensees and the Use of Credit Cards

Licence Condition 6.1.1

1. Licensees must neither:
 - a. provide credit themselves in connection with gambling; nor
 - b. participate in, arrange, permit or knowingly facilitate the giving of credit in connection with gambling.

Reporting Suspicion of Offences

Licence Condition 15.1.1

2. Licensees must as soon as reasonably practicable provide the Commission or ensure that the Commission is provided with any information that they know relates to or suspect may relate to the commission of an offence under the Act, including an offence resulting from a breach of a licence condition or a code provision having the effect of a licence condition.

Responsible Placement of Digital Adverts

Licence Condition 16.1.1

1. Licensees must:
 - a. ensure that they do not place digital advertisements on websites providing unauthorised access to copyrighted content;
 - b. take all reasonable steps to ensure that third parties with whom they contract for the provision of any aspect of their business related to the licensed activities do not place digital advertisements on websites providing unauthorised access to copyrighted content; and
 - c. ensure that the terms upon which they contract with such third parties enable them, subject to compliance with any dispute resolution provisions, to terminate the third party's contract promptly if, in the Licensee's reasonable opinion, the third party has been responsible for placing digital advertisements for the licensed activities on such websites.

Customer Notice

Gaming General Terms & Conditions

These Terms and Conditions (the “Generic Terms”) apply to all gaming transactions entered into on these premises (the “Premises”) *except for Promotions which are covered by separate terms and conditions available on the premises.*

Any gaming transactions entered into on the premises shall be between the customer taking part in the particular transaction (the “Customer”) (1) and
(the “Company”) (2)

In these General Terms, the terms/conditions/rules displayed on the particular gaming machine are referred to as the “Specific Terms”.

Customers are strongly advised to read the Specific Terms. By entering into any gaming transaction by use of the particular gaming machine, the Customer shall be deemed to have read and accepted the Specific Terms applying.

Minimum and maximum stakes and maximum prizes/wins are those displayed on the gaming machine in the Specific Terms.

Members of staff have no authority to vary or amend the General Terms or the Specific Terms and any assistance or advice offered by them in relation to any gaming transaction shall be without prejudice to that position.

In the event of a disputed outcome to any game, the Company complaint procedure will apply, a copy of which is available from a member of staff or from the Company at the address below:

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APPENDIX B - GUIDE TO THE BACTA SELF-EXCLUSION SERVICES SCHEME

INTRODUCTION

In 2015, the Gambling Commission revised the Licence Conditions and Codes of Practice. As part of that revision, the way in which the gambling industry is expected to handle those customers who wished to self-exclude was changed.

Whereas previously operators simply self-excluded a customer in ways dependent upon the gambling premises, the change requires operators to offer self-excluders the opportunity to self-exclude from other premises offering similar gambling facilities in the locality. Self-exclusion lasts between six and twelve months but can be extended by the self-excluder.

The relevant section of the LCCP can be found at: <http://www.gamblingcommission.gov.uk/pdf/Latest-LCCP-and-Extracts/Licence-conditions-and-codes-of-practice.pdf>

What this means in practice is that an AGC has to allow someone to also self-exclude from other AGCs nearby without the excluder having to visit them.

Bacta has worked with a software company to build a web-based application that will allow this process to be automated. The scheme is administered via a separate company called Bacta Self-Exclusion Services Ltd (BSESL).

This software allows operators to input details of a self-excluder and then tell other operators nearby that a particular person has self-excluded and that they will need to stop them entering the premises should they try. Attempted breaches of a self-exclusion can also be recorded on the system. The system uses a radius from the post code of the AGC to determine which other AGCs are notified.

The scheme is for use by those operators who possess an Adult Gaming Centre premises licence. A separate scheme is available for those using a bingo licence. Details of that scheme are available from the Bingo Association.

Motorway Service Areas (MSAs) that operate AGCs use this scheme but self-excluders will be able to select individual service areas or multiple service areas on particular motorways or A roads, rather than using a radius from a postcode.

A self-excluder wishing to exclude themselves from High Street AGCs and from AGCs on Motorway Service Areas, need to do so separately.

A separate guide to the software package has been produced and is available from bacta.

It is important to emphasise that self-exclusion is a last resort for an individual who wishes to stop gambling. It is one of the tools available to them to help. Operators have a duty of care towards those who wish to self-exclude and should seek to point those individuals to other self-exclusion schemes operated by other gambling sectors, as well as to care agencies and helplines such as GamCare or GambleAware.

BRIEF DESCRIPTION OF THE SCHEME

- a. In order to offer the scheme to customers, operators need to register with BSESL by signing a contract that sets out the nature of the service BSESL is providing and the obligations BSESL and operators must fulfil.
- b. A login and password to the system is provided and operators need to upload details of their company and their sites onto the system.
- c. Operators need to give relevant members of staff their own login and password.
- d. Operators are able to customize the software to suit their businesses.

- e. Once the registration process is complete the operator is able to upload details of any self-excluder using a screen for that purpose.
- f. The screen requires key information to be provided.
- g. It is necessary to upload a copy of a photograph of the self-excluder.
- h. It is also necessary to obtain consent from the self-excluder to their details being used for the purposes of ensuring they are self-excluded from the premises from which they choose to be excluded.¹
- i. Once the details of the self-excluder have been uploaded, namely their photograph and details of from where they wish to be excluded (either using a radius from a post code in the case of AGCs or individually in the case of MSAs), the system alerts the operators of those other premises that someone has excluded themselves from the source premises.
- j. Those operators then have to access the system and implement whatever procedures they have in place to ensure that person cannot enter the premises. For example, at an MSA vehicle number plate recognition can in some circumstances alert staff that a person who has self-excluded is coming on site. AGCs may simply use staff recognition.
- k. For people who do not wish to visit an AGC or MSA operators should provide a contact telephone number to the relevant person within their organization who can then fill in the details of the self-excluder remotely. Acceptance of the Terms and Conditions needs to be given by the self-excluder in writing, either by post or by hand.
- l. All records can be printed off and stored securely by the operator.
- m. When a self-exclusion period comes to an end, the person who has self-excluded has to visit the AGC from which they originally excluded themselves either to extend their self-exclusion or to notify the operator that they wish to start gambling again. A screen needs to be completed and an alert to other operators is generated so everyone is aware that the self-exclusion agreement has come to an end. There is a 24-hour cooling off period before this can become active.
- n. A self-excluder that does not notify the operator that they either wish to gamble again or that they wish to extend their self-exclusion period will automatically be deleted from the system after six months from the end of the self-exclusion period they originally selected. Again, an alert is generated at that time by the system to all relevant operators advising that the particular self-excluder is no longer on the database and staff no longer need to be aware of their potential to enter the premises.

¹ The information about a self-excluder is likely to be regarded as “sensitive personal data” under the Data Protection Act. As a result the Act requires additional safeguards in the processing and securing of that data, which would extend to a person’s photograph. Policies and procedures within the company to do this should be written down and understood by members of staff. Further advice is given under the FAQ Section of this Guide but please note that it is ultimately your responsibility to ensure that you are complying with the Data Protection Act.

THE ROLE OF STAFF

The role of members of staff interfacing with customers is crucial in the successful implementation of the self-exclusion scheme. It is expected therefore that staff will be well versed in the necessary conversations that need to be had with those wishing to exclude and the way to have them.

It is nevertheless important to remember that in all cases a safety-first policy must be adopted; staff members should never put themselves, customers or colleagues at risk.

This might be when a particular customer has become agitated or potentially violent. Staff members should not put themselves in a position where they are alone with an individual whether on site or off site. If necessary, they should ensure another member of staff is present to witness that no inappropriate behavior occurs.

Staff must be told that it is imperative that they behave at all times in a way that does not jeopardize the confidentiality of the information about an individual that they have been given either as the member of staff handling the self-exclusion or as a member of staff policing the system.

Here are some do's and don'ts around sensitive personal information of this kind:

- Limit staff access to the data to those who need to enforce the self-exclusion scheme.
- Do not allow anyone to remove self-exclusion data from the premises or to refer to any individuals opting into the scheme outside of an immediate and necessary work context.
- If staff members attach a photograph of a self-excluder to the wall in the office, make sure it cannot be seen by any members of the public (e.g. if the door is opened).
- Treat as gross misconduct the sharing of any personal data with any third party.
- Obtain independent verification that your business is operating in compliance with data protection and privacy laws.
- Members of staff should never use their own mobile devices to take photographs of self-excluders.

TERMS AND CONDITIONS

The terms and conditions, to which every self-excluder needs to understand and agree to, is provided to operators separately. These T&Cs are designed to minimise liability in the event that someone who has self-excluded successfully enters your premises undetected and gambles, and claims damages from you for not properly exercising your duty of care to keep them from the premises and any damages they may be seeking as a result.

This does not mean that operators can ignore the need for robust and proper policies and procedures to enforce a self-exclusion. That is a key requirement of the LCCP and is contained in the terms and conditions BSESL has with operators. If policies and procedures are not sufficiently robust, an excluder could be successful in an action irrespective of the fact they have signed a copy of the standard terms and conditions.

Some scheme members may wish to amend the self-excluder terms and conditions. They do so at their own risk. Whatever BSESL's contract with you requires, should you amend the standard terms then you must include what we regard as certain minimum or mandatory conditions. BSESL cannot warrant that the self-excluder terms and conditions will meet the Gambling Commission's requirements nor that they will protect you from all claims. You need to obtain your own legal advice before using the self-excluder terms and conditions.

Operators are recommended to keep and store signed copies of the terms and conditions.

FREQUENTLY ASKED QUESTIONS

Do High Street bingo operators have to join the BSESL scheme?

Operators that have a bingo licence have to use the Bingo Association self-exclusion scheme. That scheme does not exclude someone from AGCs. To do that they will need to initiate a separate self-exclusion using the BSESL self-exclusion scheme for AGCs

Why are the details of people deemed sensitive information?

The processing of personal data is both defined and regulated by the Data Protection Act. You will need a registration in any case with the Information Commissioner (www.ico.org.uk) if you process any personal data. Most companies will be registered already.

In addition there is another category of personal data which is called sensitive personal data and is defined as any data fulfilling certain requirements, such as data relating to medical conditions. Given that self-exclusion potentially relates to problem gambling it should be treated as sensitive data. This means operators must ensure that they have robust policies and procedures in place to ensure that data relating to self-excluders is not used for any other purpose than ensuring the self-exclusion is effective. Also, the data must not be disclosed to those that are not involved in making the self-exclusion effective. All members of staff must understand this.

Operators must make sure that they remove access to the system by any member of staff that leaves their employ.

How do Holiday Parks deal with self-exclusions?

If a self-excluder is going on holiday to a holiday park and wishes to self-exclude from the AGC(s) on the Holiday Park whilst there, they should contact the Park direct to ensure that for the duration of their holiday they are prevented from entering the AGC. Each Holiday Park will have to devise appropriate arrangements to give effect to the self-exclusion in light of their unique circumstances.

I am having trouble registering a self-exclusion. Is there anyone I can call?

In the first instance please call 0207 730 6444.

What should I do if I notice someone attempting to breach their self-exclusion?

Firstly, the person attempting to breach should be approached to remind them that they have self-excluded from the premises and you are bound to ask them to leave the premises. Again, safety must come first and if a situation escalates then company procedures should be followed.

All attempted breaches should be recorded on the BSESL system. A form is available on the system for this purpose. You will also need to record this on your self-exclusion incident log.

What if someone won't agree to sign the terms and conditions or have their photograph taken?

Simply put, the system cannot be used and they cannot be self-excluded from premises in the locality. You can continue to self-exclude them from your premises in the usual way if that can be arranged under your existing system.

What if someone comes to an MSA in a friend's car

Whilst number plate recognition can be used by MSA's to identify a self-excluder's car if that information has been provided, it clearly will not identify a friend's car. The use of number plate recognition technology is not part of the BSESL scheme but provides a potential tool MSA operators can use to help them, alongside other procedures, to prevent a self-excluder from entering the AGC located at the MSA.

APPENDIX C – SYSTEM CHECKLIST

Premises Signage

	Yes (tick)	No (tick)	N/A (tick)	Notes
No Under 18s				
No Alcohol				
No Smoking				
BACTA Membership				

Machine Signage				
Under 18s				
GamCare				
Category Labels				
Legacy Labels				

Posters (P) & Leaflets (L)

Stay in Control (P)				
Stay in Control (L)				
Proof of Age Scheme				
Think 21/25 Material				

Licences

Premises Licence				
Operating Licence				
Personal Licence				
Link Licence				

Forms

Self-Exclusion				
Complaints & Dispute				

Policy & Procedure Documents

Access by C & YP				
Access by G C				
Advertising				
Employment of C & YP				
Customer Interaction				
Fair & Open				
Signposting Information				
Money Laundering				
Self-Exclusion				

Logs

	Yes (tick)	No (tick)	N/A tick)	Notes
Attempts to Gamble C & YP				
Customer Interaction				
Police Assistance				
Self-Exclusion				
Staff Training				

Entitlement

B3 Numbers				
Stakes & Prizes				

Misc.

Age Verification Tests				
Contribution to RET				
Notifying Key Events				
Regulatory Return				
Knowledge of MLO				
Advertising Practice				
Payment of MGD				
ADR Entity				
Licensing Objectives				
Attractive to Children				
Supervision				
Self-Exclusion Scheme				
Return to Player (%)				
Responsibility for 3 rd Parties				
Register of Machines				

Risk Assessment Documents

Local Risk				
Money Laundering				
Guide to bacta SE Scheme				

Registrations

ADR Entity				
Self-Exclusion Scheme				
Age Verification Testing				
Primary Authority				

OPERATOR NOTES:

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SOCIAL RESPONSIBILITY CHARTER AND CODE OF PRACTICE

2018

1. Introduction

Bacta represents the British amusement machine industry. This includes seaside amusement arcades, inland Adult Gaming Centres, suppliers to pubs, bingo halls and clubs and amusement machine manufacturers. There are about 350,000 amusement machines of one kind or another sited in the UK. Of these 132,000 are gaming machines with stakes ranging from 2p to £2. Higher stake machines in Licensed Betting Offices or Casinos are not covered by this Charter. The British amusement machine industry is integral to the UK's entertainment, hospitality and leisure sector and already offers high levels of effective staffing, monitoring and supervision to protect those vulnerable to gambling-related harm. We employ a dedicated team of compliance officers to assist members in complying with the Gambling Commission's Licence Conditions and Codes of Practice.

Bacta is both committed to Social Responsibility and committed to sustainable growth across each sector represented by its members.

Bacta entered into partnership with GamCare in 1997, drawing up a unified social responsibility code and jointly evaluating compliance thereafter by the introduction of a training, assessment and certification package. This Charter embodies that work into a series of commitments to which the Association's membership is pledged to uphold.

For most people gambling is fun and an integral part of the British leisure scene. British amusement premises have millions of visitors every year; customers in pubs and clubs enjoy billions of machine plays a year. Our commercial objective is to offer a modern and diverse range of gambling products for an exciting and enjoyable experience in the safest environments.

We recognise that for some people gambling can become a problem which affects the gambler and the people closest to them.

Though the incidence of problem gambling in the UK is among the lowest in the world, the industry is not complacent: we accept our responsibility to *all* our customers.

Providing responsible gambling is a dynamic process that evolves alongside changes in gaming products, monitoring technologies, and public attitudes and expectations of gambling.

Customers who play in amusement centres and other licensed premises are served by trained staff in a highly regulated industry to ensure that gambling is closely and expertly supervised. A small percentage of customers gambling can find that they have a problem so we operate a range of social responsibility measures including provision of information regarding responsible gambling, staff training, detailed licence condition policies and procedures and voluntary self-exclusion schemes to help customers who perceive they might be at risk to help themselves. We also support research, education and treatment by donating financial contributions. We keep what we do under constant review.

Our members who supply machines are also licensed to do so and take steps to inform and educate their customers about social responsibility. Our manufacturers are also all licensed to make and sell gaming machines.

This Charter is one of the ways the industry seeks to ensure it is achieving high levels of social responsibility.

2. Our Values

Bacta and its members adhere to the following set of values:

- Ethical
- Sustainable
- Modern
- Professional
- Partnering
- Open and Transparent

It is therefore incumbent upon Bacta and its members to place social responsibility at the heart of what we do to meet the three Licensing Objectives contained in the 2005 Gambling Act:

- a. preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime,
- b. ensuring that gambling is conducted in a fair and open way, and
- c. protecting children and other vulnerable persons from being harmed or exploited by gambling.

Bacta and its members will mediate decisions through appropriate regard to social responsibility obligations, which will be based on regular risk assessment against the LCCP and this Charter. We believe this will make us a better organisation and better businesses.

3. Executive Commitment

We, the Chief Executives/owners of Bacta member companies, accept ownership of the licensing objectives and commit to delivering gambling products responsibly while continuing to innovate and grow our businesses.

We commit to increase the visibility of the ways in which we put in place social responsibility and demonstrate its effectiveness.

This Social Responsibility Charter and Code of Practice will be reflected in the way we run our businesses, the care we take in offering and marketing our products and by the resources we devote to this initiative. As business leaders we are proud to continue making social responsibility a precondition to profitability.

4. Our commitments in detail

Some responsible gambling measures are required by law and regulatory requirements; others have evolved as good practice or are conditions of being a bacta member. For example:

- Premises Licence Conditions
- Licence Conditions & Codes of Practice
- Trained staff
- Accreditation by bacta or a relevant third party
- Evaluation of Compliance
- Alternative Dispute Resolution (ADR)
- Age-verification testing

Bacta members commit to adhere to the following pledges (numbers in brackets refer to the Division of bacta to which the commitment applies):

Pledge 1 Putting the Customer at the heart of what we do

The Licence Conditions and Codes of Practice (LCCP) Social Responsibility Code requires us to ensure all our employees are regularly trained and aware of our obligations to our customers and to our regulators. Bacta has developed a national system of social responsibility training and compliance with the LCCP.

It is a condition of membership that members comply with this Social Responsibility Charter. We commit to make its provisions a central part of our business. (1,2,3,4)

Pledge 2 Informed customers and trained employees

We will ensure that gambling on amusement machines is both delivered and physically supervised by well-trained and experienced staff, skilled in customer interaction and identifying problem gambling issues, and reacting appropriately. (1,3)

We will ensure, through trained staff, that our customers are informed about our obligations under this Code. We will help our customers maintain and improve where appropriate the actions they take on social responsibility. (2,4)

Pledge 3 Accreditation

Validating our confidence in our own customer care measures is important to us.

Bacta certifies all its members to ensure that they are compliant with the law and LCCP. We will ensure that this is the minimum we will achieve in order to comply with this Code. (A copy of the Bacta accreditation check list is attached at Appendix A) (1,3)

Pledge 4 Self-exclusion

We will utilise the Bacta self-exclusion scheme (or equivalent) to ensure those customers who wish to address their gambling-related problems have an easy-to-use way of excluding themselves from our premises. (1,3)

Pledge 5 Promoting and supporting research, education and treatment

We recognise the importance of providing support for people who have problems associated with gambling.

As a condition of Bacta membership, we will make an appropriate financial contribution of not less than 0.1% of our company's GGY to research, education and treatment of problem gamblers. (1,2,3,4)

Pledge 6 - Using our technology

As manufacturers we will ensure that responsible gambling objectives are fundamental to design innovation and we will always follow the Gambling Commission Technical Standards. (4)

Pledge 7 Making sure young people are excluded from adult only premises and adult only machines

Trained staff will do everything they can to ensure that anyone under the age of 18 is prevented from entering adult only premises or adult only areas or playing adult only machines. We operate as a minimum a rigorous 'Challenge 25' policy and display clear signs prohibiting entry by people under the age of 18.

It is a condition of Bacta membership that all relevant members conduct age verification testing at least once per year and if requested share the results with the Gambling Commission. Bacta has its own internal age-verification test programme available for use by members.

We will continuously monitor our age verification performance and will immediately rectify any shortcomings that we identify. (1,3)

We will encourage our customers to put in place policies, procedures and evaluation protocols to ensure no one under the age of 18 plays adult only machines for example in pubs or clubs (2).

Pledge 8 Helping people to gamble responsibly

We provide information both directly and indirectly, about responsible gambling in a range of ways depending upon the type of premises and the best way to communicate to our customers.

We will continuously review our provision of information to our customers to ensure it is readily available, easily understood and effective, whether in electronic or physical form and where appropriate can be taken away from the premises. (1,2,3,4)

Pledge 9 Not bringing the industry into disrepute

We will behave in relation to government officials, other bacta members and to our customers in a way that does not bring the industry or bacta into disrepute. (1,2,3,4)

Pledge 10 Safe-guarding of children. young people and the vulnerable

In addition to our legal obligations, we will put in place policies and procedures to ensure that children, young people and the vulnerable are safe-guarded from any potential harm. (1,2,3,4)

We will ensure that no unaccompanied school children are allowed on our premises during school hours. (1)

Pledge 11 Amusement Device Inspection Procedure Scheme (ADIPS)

All manufactures, distributors and operators of children's rides will ensure compliance with the Amusement Devices Inspection Procedures Scheme (1,2,4)

Pledge 12 Quality Premises

Operators will ensure that their premises are well kempt and in a state of good maintenance and repair. (1,3)

Pledge 13 Evaluation

We will evaluate as appropriate new business, product or process initiatives within our business for their impact on our customers and in particular for gambling products in relation to their potential to increase or decrease the risk of gambling-related harm.

5. Summary

1. We will make this Charter central to our business
2. We will inform our customers and train our staff
3. We will seek accreditation for what we do with bacta certification as a minimum
4. We will ensure that customers who wish to self-exclude can do so easily
5. We will make an appropriate financial contribution to Research Education and Treatment
6. We will use our technology power of technology where we can to help us manage our social responsibility obligations
7. We will do everything we can to ensure no one under the age of 18 plays a machine or enters premises from which they are prohibited
8. We will help people gamble responsibly through the provision of appropriate information/interventions
9. We will not bring the industry into disrepute
10. We will safe-guard children and young people
11. We will adhere to the ADIPS
12. We will ensure we operate a quality environment
13. We will evaluate what we do.

Bacta will monitor, amend and update this Charter from time to time.

6. Failure to Comply

Bacta members who fail to comply with the terms of this Charter will be subject to the Disciplinary Procedure attached at Appendix B

APPENDIX A – BACTA’S PREMISES EVALUATION CHECK LIST

Premises Signage

	Yes (tick)	No (tick)	N/A (tick)	Notes
No Under 18s				
No Alcohol				
No Smoking				
BACTA Membership				

Machine Signage

No Under 18s				
GamCare				
Category Labels				
Legacy Labels				

Posters (P) & Leaflets (L)

Stay in Control (P)				
Stay in Control (L)				
Proof of Age Scheme				
Think 21/25 Material				

Licences

Premises Licence				
Operating Licence				
Personal Licence				
Link Licence				

Forms

Self-Exclusion				
Complaints & Dispute				

Policy & Procedure Documents

Access by C & YP				
Access by G C				
Advertising				
Employment of C & YP				
Customer Interaction				
Fair & Open				
Signposting Information				
Money Laundering				
Self-Exclusion				

Logs

	Yes (tick)	No (tick)	N/A tick)	Notes
Attempts to Gamble C & YP				
Customer Interaction				
Police Assistance				
Self-Exclusion				
Staff Training				

Entitlement

B3 Numbers				
Stakes & Prizes				

Misc.

Age Verification Tests				
Contribution to RET				
Notifying Key Events				
Regulatory Return				
Knowledge of MLO				
Advertising Practice				
Payment of MGD				
ADR Entity				
Licensing Objectives				
Attractive to Children				
Supervision				
Self-Exclusion Scheme				
Return to Player (%)				
Responsibility for 3 rd Parties				
Register of Machines				

Risk Assessment Documents

Local Risk				
Money Laundering				

Registrations

ADR Entity				
Self-Exclusion Scheme				
Age Verification Testing				
Primary Authority				

Administration

Company	
Address	
Division	
Representative	
Telephone Number	
Email Address	
Date	
RCO	
Reference Number	
Compliant	
Report Issued (Y/N)	
Certificate Issued (Y/N)	

Notes

APPENDIX B – CHARTER DISCIPLINARY PROCEDURE

1. Should any individual or company wish to allege that a member of Bacta has failed to comply with the requirements of this Charter they should in the first instance write to the Chief Executive of Bacta at its Head Office detailing the nature of the alleged breach.
2. The Chief Executive will in so far as is possible in the circumstances seek to establish the facts of the allegation within 15 working days from receipt of the written allegation and then put the allegation to the company against whom the breach is alleged.
3. The member Company concerned will respond to the allegation within 15 working days and may accept the validity of the alleged breach and agree with the Chief Executive a course of action to rectify the breach and to ensure it does not re-occur. The member may alternatively reject the allegation.
4. Where the company accepts the validity of the alleged breach, the agreed course of action will be communicated in writing to the individual or company alleging the breach within 15 working days.
5. Should the individual or company alleging the breach be dissatisfied with the agreed course of action, they may appeal the decision within 15 working days from receipt of the letter detailing that action by writing to the Chief Executive of Bacta stating that they wish to appeal. The matter will then be referred to the Bacta Social Responsibility Committee which will within 15 working days from the date of receipt of the appeal by the Chief Executive select from amongst its number a panel of three individuals who have no connection to the case or any conflict of interest arising from it. The panel will meet within 20 working days from its selection to consider the appeal.
6. On hearing the appeal the panel shall take such further evidence as it sees fit either in person or in writing and its decision whether to allow the appeal or dismiss it will be final.
7. Where the appeal is allowed the panel will detail the action the member against whom the allegation was made must take to rectify the breach and may require further undertakings related to the breach to be made.
8. If, following step 4 above, the company rejects the validity of the alleged breach of the Charter, the matter will be referred to the Bacta Social Responsibility Committee within 15 days of receipt of the notice from the company that they do not accept the validity of the alleged breach, and the process described in paragraph 6 will be followed.
9. All members of the Bacta Social Responsibility Committee undertake to declare any conflict of interest or perceived conflict of interest before any panel is selected to hear any allegations made under this Charter.



Bacta Self-Exclusion Services Application

USER MANUAL GUIDE

Purpose of the document

This document describes the bacta self-exclusion services application. Each section below describes and showcases specific functionality and provides instructions on how to use the application.

This document is intended to guide Supervisor and User access level to use the application.

The application is always accessible at url: <https://www.bacta-selfexclusion.org.uk>

Contents

PURPOSE OF THE DOCUMENT	2
1. PRESENTATION OF THE SOLUTION	4
1.1 Brief description	4
1.2 Descriptive Icons	4
1.3 Support	4
2. CONNECTING TO THE APPLICATION	4
2.1 Address	4
2.2 Authentication	4
3. STRUCTURING OF THE APPLICATION	6
3.1 Layout	6
3.2 Functionalities	6
4. ADD/UPDATE SITES	7
5. ADD / UPDATE USERS	10
6. DATA CUSTOMISATION	12
7. ADD EXCLUSION	13
8. PHOTO GALLERY	15
9. RECORD BREACH	17
10. REINSTATE EXCLUSION	19
11. FORGOT PASSWORD	21

1. PRESENTATION OF THE SOLUTION

1.1 BRIEF DESCRIPTION

The bacta Self-Exclusion Services Application is an online portal used to exclude customers from their and other operator AGCs / MSAs.

1.2 DESCRIPTIVE ICONS

	Edit Record
	Add New Record
	Delete Record / Close Window
	Save Record
	Cancel Changes

All Mandatory fields in the application are marked with *

1.3 SUPPORT

For any support request please contact bacta.

2. CONNECTING TO THE APPLICATION

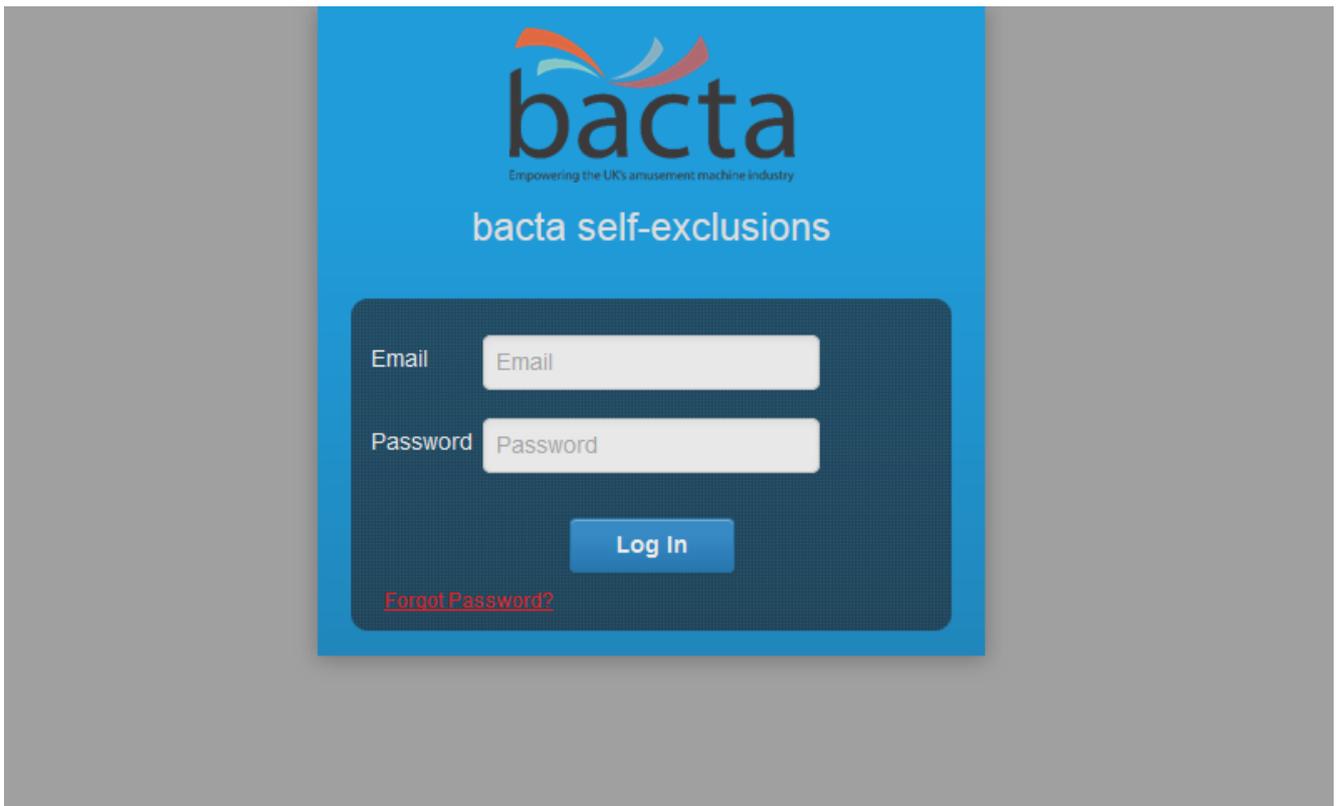
2.1 ADDRESS

You must connect to the application using the following address:

<https://www.bacta-selfexclusion.org.uk>

2.2 AUTHENTICATION

For Authentication user should enter their registered email id for the user name and password.



If the access is unauthorized an error message is displayed in red.

When you have signed the T&C's with bacta Self-Exclusion Services Ltd (BSESL) a Supervisor user account is created for your organisation and you will be informed of the login credentials.

At the time of first login you will be prompted to change the temporary password provided by bacta.

Change Password

Password Expired / You changed password externally

Current Password:

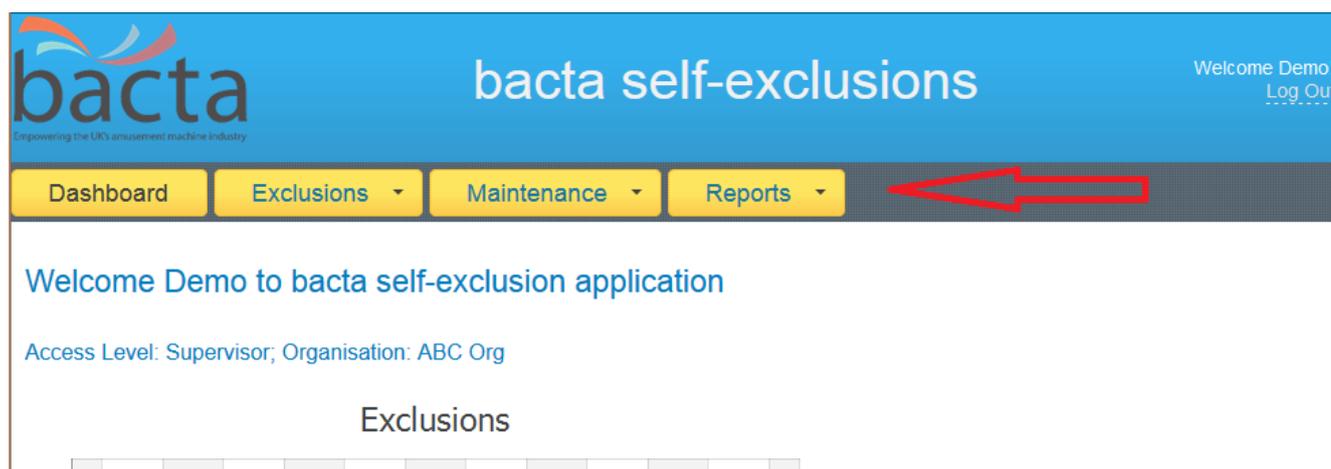
New Password:

Confirm New Password:

3. STRUCTURING OF THE APPLICATION

3.1 LAYOUT

All modules of the application can be accessed from the top menu. Based on your access level the menu will show more or less items.



3.2 FUNCTIONALITIES

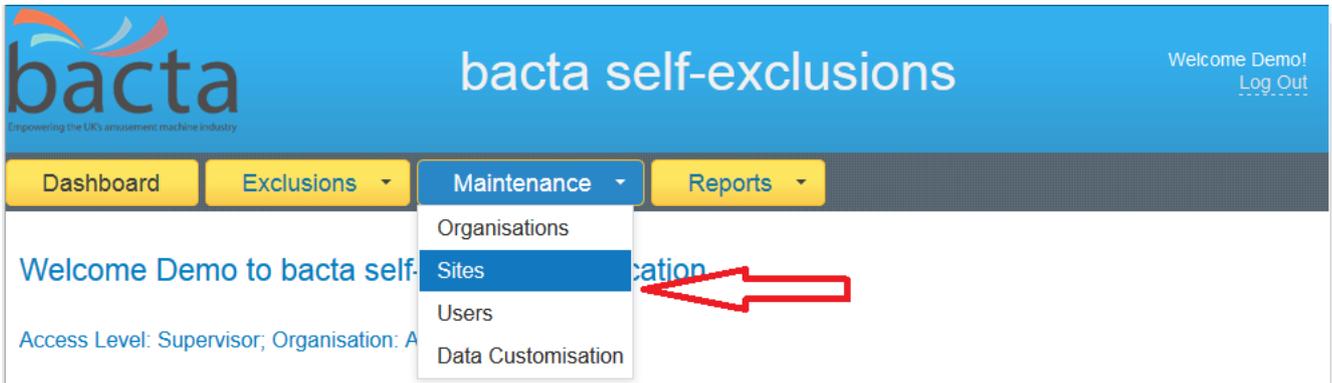
The functionalities that will be described in this document are:

- Maintenance
 - Add/Update Sites
 - Add/Update Users
 - Data Customisation
- Exclusions
 - Adding New Exclusion
 - Recording Breach
 - Reinstatement
 - Photo Gallery
- Reporting
- Forgot Password

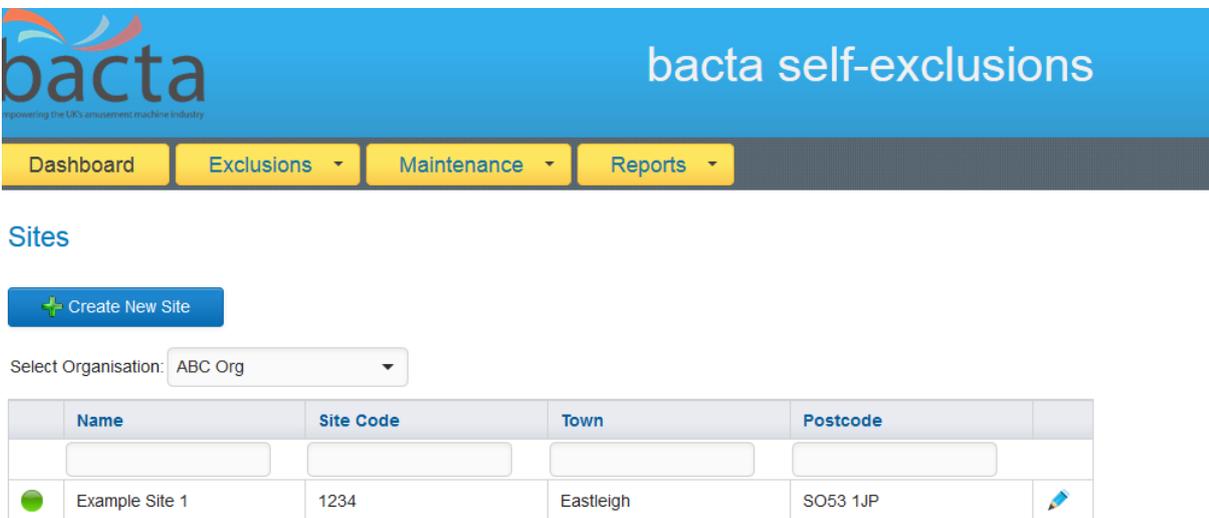
4. ADD/UPDATE SITES

Only Supervisor users can add / update site information for their organization

STEP 1: Navigate to Maintenance > Sites in the top menu of the application



STEP 2: The screen will now show a list of all sites that have been added for your organizations



STEP 3: Click on the button "Create New Site"



STEP 4: Enter the details of the site in the form displayed

New Site

[← Back to Sites List](#)

Details	Address	Opening Times
Site Name*: <input type="text" value="Example Site 2"/>	Postcode*: <input type="text" value="SO53 1JP"/>	Sunday: <input type="text"/> To <input type="text"/>
Site Code*: <input type="text" value="1122"/>	Address 1*: <input type="text"/>	Monday: <input type="text"/> To <input type="text"/>
Organisation*: <input type="text" value="ABC Org"/>	Address 2*: <input type="text"/>	Tuesday: <input type="text"/> To <input type="text"/>
Site Type*: <input type="text" value="AGC"/>	Address 3*: <input type="text"/>	Wednesday: <input type="text"/> To <input type="text"/>
Location Code*: <input type="text"/>	Town/City*: <input type="text"/>	Thursday: <input type="text"/> To <input type="text"/>
Status*: <input type="text" value="Open"/>	County: <input type="text"/>	Friday: <input type="text"/> To <input type="text"/>
Region Code: <input type="text"/>		Saturday: <input type="text"/> To <input type="text"/>
District Code: <input type="text"/>		

When you enter the postcode, a pop up will display a list of addresses for the postcode entered. Select the address of your site and click on the button "Use Selected Address". On doing so, the address will be populated automatically.

- Site Code is the unique reference of your site used within the organisation. If you do not have one please enter a unique code like 1, 2, 3 etc for all site you need to add.
- Location code is mandatory for MSA Organisation Sites
- Region Code can be used if you would like your supervisors to have access only to certain sites. More details can be found in the Add User section

Enter all your site information and click on save button. On successful save, the browser will display the success message. If not an error message is displayed by highlighting the fields that require correction. You will need to hover on the icon to see the error relating to the field

STEP 5: Add any site contacts by clicking on Add new contact button. When new exclusions are added and if the exclusion is in the site vicinity then an alert email will be sent out to these contacts.

Update Site Details

[← Back to Sites List](#)

Details

Site Name*:

Site Code*:

Organisation*:

Site Type*:

Location Code*:

Status*:

Region Code:

District Code:

Address

Postcode*:

Address 1*:

Address 2*:

Address 3*:

Town/City*:

County:

Opening Times

Sunday: To

Monday: To

Tuesday: To

Wednesday: To

Thursday: To

Friday: To

Saturday: To

Site Contacts

Title	First Name	Surname	Position	Email	Telephone	Mobile
No contacts found for this site.						

To Update Site Details:

- Navigate to Maintenance > Sites
- In the listing screen click on the edit icon

Sites

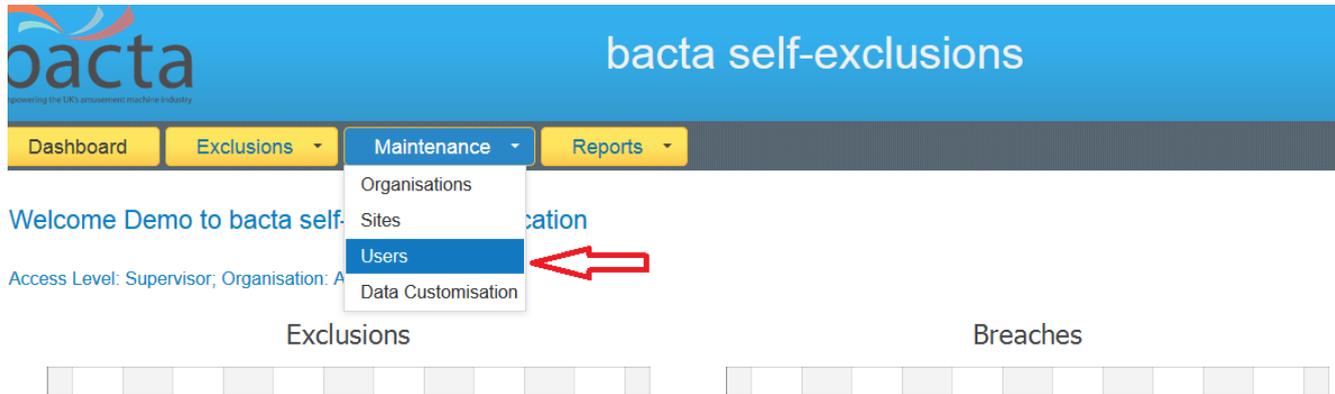
Select Organisation:

	Name	Site Code	Town	Postcode	
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
<input type="checkbox"/>	Example Site 1	1234	Eastleigh	SO53 1JP	<input type="button" value="edit"/>
<input type="checkbox"/>	Example Site 2	1122	Eastleigh	SO53 1JP	<input type="button" value="edit"/>

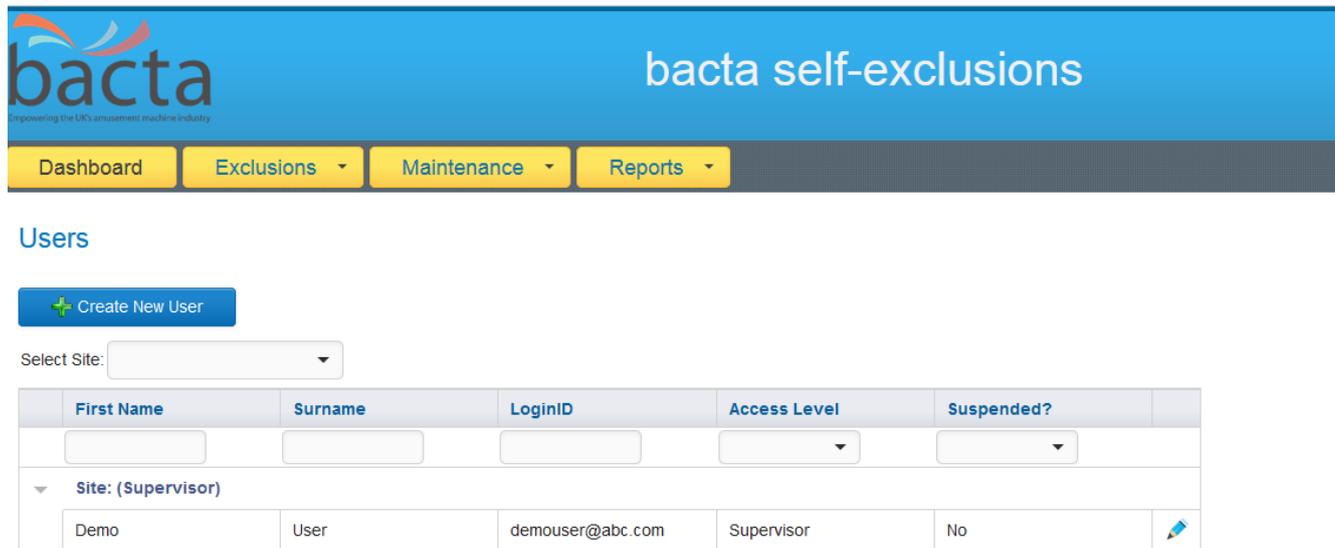
5. ADD / UPDATE USERS

Only Supervisors can add other users.

STEP 1: Navigate to Maintenance > Users in the top menu of the application



STEP 2: The screen will now show a list of all users that have been added for your organizations / Sites. This listing will be shown only to supervisors. If you have only 'User' access level then the screen will display your user account information rather than the listing screen.



STEP 3: Click on the button "Create New User"



STEP 4: Enter the details of the user in the form displayed

Details

Title*:	<input type="text"/>	First Name*:	<input type="text"/>
Surname*:	<input type="text"/>	Access Level*:	User <input type="text"/>
Organisation*:	ABC Org <input type="text"/>	Site*:	<input type="text"/>
Email*:	<input type="text"/>	Delegate Email*:	<input type="text"/>
Telephone*:	<input type="text"/>	Mobile:	<input type="text"/>
Position*:	<input type="text"/>	Region Code:	<input type="text"/>
Suspended*:	No <input type="text"/>		

Login Details

Username*:	<input type="text"/>	Password:	<input type="text"/>
Confirm Password:	<input type="text"/>		

Features

<input type="checkbox"/> Add Self-Exclusion	<input type="checkbox"/> Record Breach
<input type="checkbox"/> Reinstatement	<input type="checkbox"/> Photo Gallery

Reports

<input type="checkbox"/> Excluded Customer Photo Gallery	<input type="checkbox"/> Excluded Customers List	<input type="checkbox"/> Self-Excluded Breaches List
<input type="checkbox"/> Self-Exclusion Breaches Volume	<input type="checkbox"/> Excluded Customers Volume By Week	<input type="checkbox"/> Lapsed / Reinstatements Volume



NOTES:

- Supervisors will be able to set up other users with access level either Supervisor or User.
- For User access level, it is mandatory to select the site as well
- Email is the user name for the user account
- Delegate Email should be the email of higher authority in the organisations who can monitor the alerts and user account for this user.
- Region code can be used only for Supervisor user account. When used, the user will be able to see only the sites with matching Region Code as described in the earlier section.
- The Password has to be 6 to 10 characters with at least one uppercase, one lowercase alphabet and one number.
- Select all the features that the user can do when logged in
- Select the reports that a user can have access to.

Enter all information and click on save button. On successful save, the browser will display the success message. If not an error message is displayed by highlighting the fields that require correction. You will need to hover on the icon to see the error relating to the field.

To Update User Details:

- Navigate to Maintenance > Users
- In the listing screen click on the edit icon

Users

[+ Create New User](#)

Select Site:

First Name	Surname	LoginID	Access Level	Suspended?	
<input type="text"/>					
▼ Site: (Supervisor)					
Demo	User	demouser@abc.com	Supervisor	No	

6. DATA CUSTOMISATION

Only Supervisors set the customisation of the fields that need to be displayed / mandatory when entering a self-exclusion.

STEP 1: Navigate to Maintenance > Data Customisation in the top menu of the application

STEP 2: In the listing screen, set which ever field you would like display/hide or to make mandatory/non-mandatory by clicking on the edit icon

Example 1: Setting Birth Date As Non Mandatory

- a) Click on the Edit icon 
- b) Set Mandatory to No
- c) Click on Save icon 

On doing so, when entering an exclusion the user will not be prompted to enter Birth Date. The field is completely optional to be used by the user.

Example 2: Setting Birth Date Not To Display

- a) Click on the Edit icon 
- b) Set Display to No (Mandatory field automatically changes to No and is not editable)
- c) Click on Save icon 

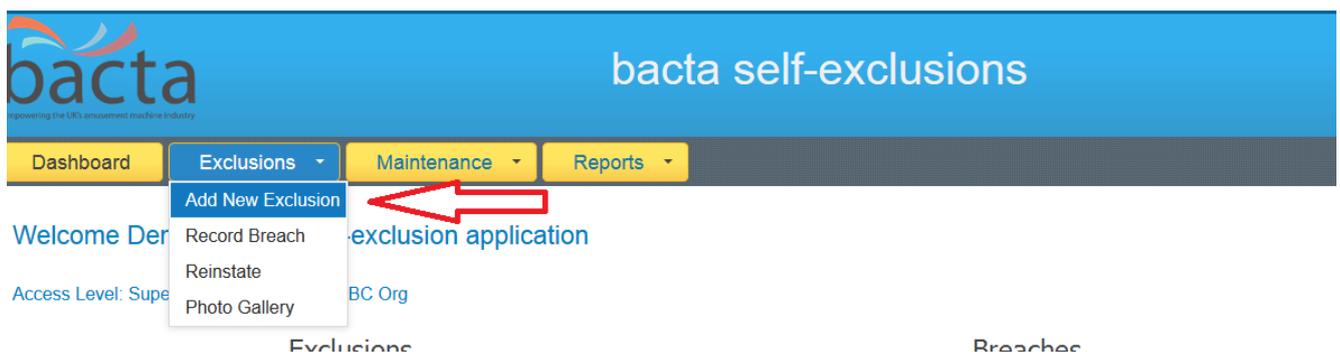
On doing so, the birth date field is not displayed in the exclusion form and hence this information cannot be recorded for the exclusion.

Follow the same process for the other fields you wish to display or not and which you wish to make mandatory or not.

7. ADD EXCLUSION

This feature is available only if the user account is enabled to use this feature.
To add a new exclusion:

STEP 1: Navigate to Exclusions > Add New Exclusion



STEP 2: Enter all exclusion details in the form displayed

New Exclusion

Customer Details

Title*: Gender:

First Name*: Surname*:

Birth Date*: Mobile*:

Telephone*: Email*:

Car Reg*: Other Info*:

Photo



- Passport Style
- Full Face in View
- Head & Shoulders

Customer Address

Postcode*: Line 1*:

Line 2*: Line 3*:

Town/City*: County:

Exclusion Details

Start Date*: Period In Months*:

Exclusion Reason*:

Exclude From	Exclude	Plan to Exclude
Bingo	<input type="checkbox"/>	<input type="checkbox"/>
Casino	<input type="checkbox"/>	<input type="checkbox"/>
Betting Shop	<input type="checkbox"/>	<input type="checkbox"/>
Online	<input type="checkbox"/>	<input type="checkbox"/>

Exclusion Zone

Organisation*:

Site*:

Radius*:

Declaration

ID Check*: Email Confirmation*:

T&C*: I CONFIRM MY SELF-EXCLUSION*:

Signature*:

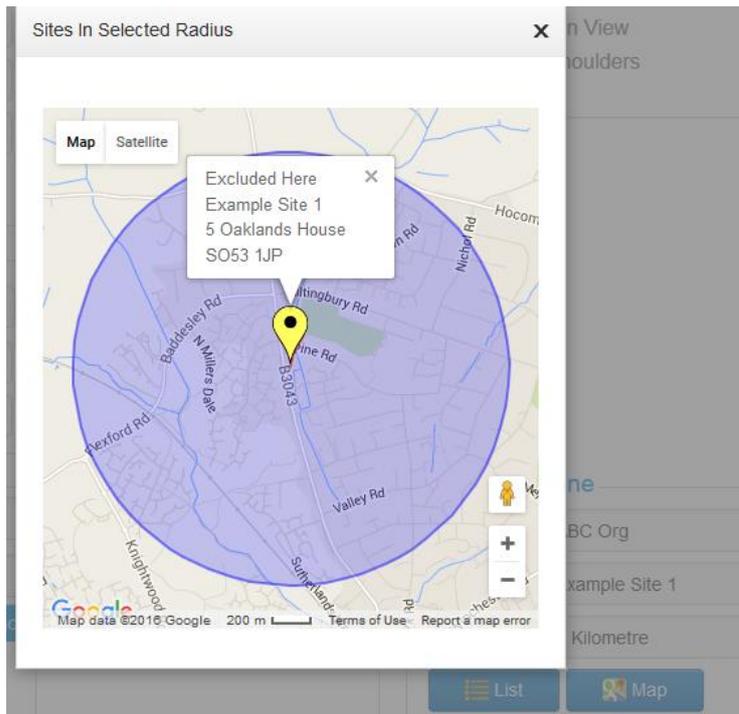
 Redo Signature

 **START EXCLUSION**

 **Print**

NOTES:

- When postcode is entered a pop up is shown with all address for that postcode. You can either select an address from the list or enter the address manually.
- Use the map/list button to see which all sites the user will be excluded from



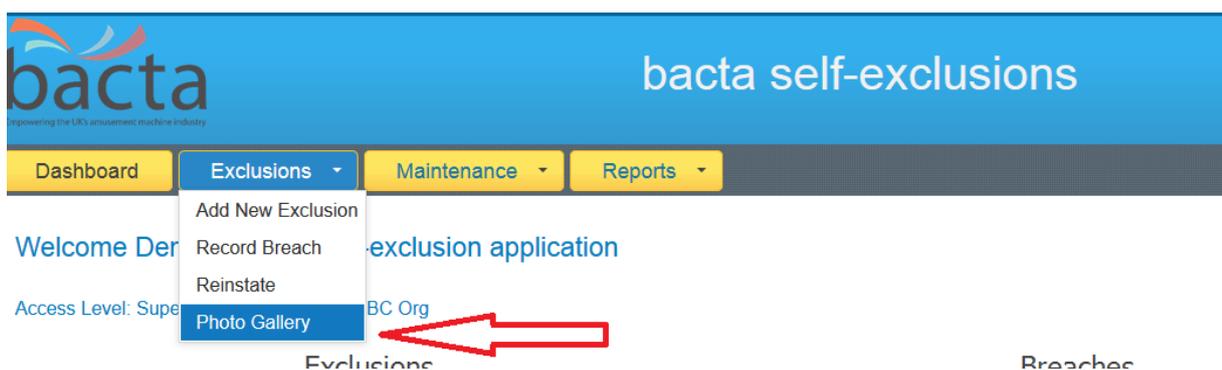
- To write the signature on a tablet, just click on the signature panel and draw your signature pattern
- To write the signature on personal computer, move the mouse cursor into the signature panel, right click (do not release the click) and draw a pattern.
- Use the print button to view a printable form of the exclusion with Terms and Conditions. You can even export the document to PDF/XLS format. Please see reporting section to use these tools

Enter all information and click on Start Exclusion button. On successful save, the browser will display the success message. If not an error message is displayed by highlighting the fields that require correction. You will need to hover on the icon to see the error relating to the field.

8. PHOTO GALLERY

This feature is available only if the user account is enabled to use this feature. All excluded customer photos for your site can be viewed in this screen

Photo Gallery can be accessed from Exclusions > Photo Gallery



All excluded customer photos at your site will be displayed for 'User access level'. For supervisors, you need to select the site and click on Go button.

Excluded Customers Photo Gallery

Organisation:
 Site:
 Sort Order:



You can view more information about the excluded customer by clicking on the name/reference displayed on the photo. A screen will pop up as shown below. You can do further actions to Record Breach / Reinstate / Print all information about the exclusion.



Mr Lion Zoo

Ref: 5J2643L614
 Building 1000
 Lakeside North Harbour
 Western Road
 Portsmouth
 PO6 3EZ
 HAMPSHIRE
 07885151910
 lion@zoo.com
 Exclusion: 24/03/2016 - 24/11/2016
 Site: Example Site 1, SO53 1JP

Click on the Close button to view the gallery back.

NOTES:

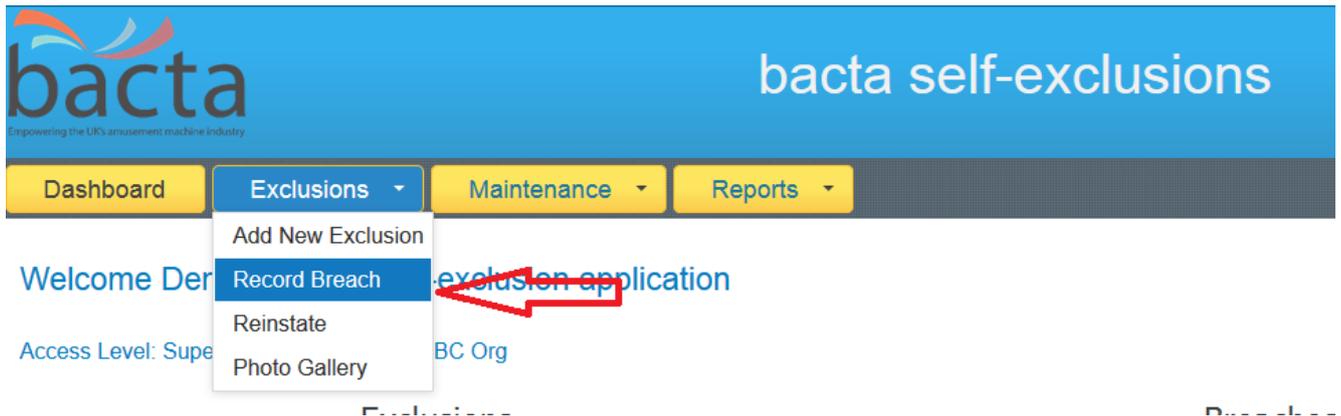
- Any new up to 5 days will be shown in green back ground colour in the gallery
- Any exclusions with breaches will be highlighted with red border in the gallery
- Any exclusions in the hiatus period will be shown in blue back ground colour in the gallery. Users can then reinstate this customer if they wish to do so.
- It is possible to sort the gallery items by Most Recent / Location (Nearest first)/ Surname (A – Z)
- Detailed information is only available to Supervisors

9. RECORD BREACH

This feature is available only if the user account is enabled to use this feature.

IMPORTANT: A breach can be recorded from the photo gallery as described in the earlier section or from the top menu as described below

STEP 1: Navigate to Exclusions > Record Breach



STEP 2: Search for the exclusion either by using reference number or by details

Search Exclusions to Record Breach

Search By Reference

Self-Exclusion Reference:

OR

Search By Details

Surname: Birth Date:

Postcode: Mobile:

	<p>Ref: 5J2643L6I4 Mr Lion Zoo Building 1000 Lakeside North Harbour Western Road Portsmouth PO6 3EZ HAMPSHIRE 07885151910 lion@zoo.com Exclusion: 24/03/2016 - 24/11/2016 Site: Example Site 1, SO53 1JP</p>
---	---

If the exclusion is in your vicinity, then the exclusion is displayed as above.

STEP 3: Click on the record you wish to record as a breach. Then click on the Record Breach button.

STEP 4: The Application provides you with a form on which to record the breach.

Record Breach



Ref: 5J2643L6I4
Mr Lion Zoo
Building 1000
Lakeside North Harbour
Western Road
Portsmouth
PO6 3EZ
HAMPSHIRE
07885151910
lion@zoo.com
Exclusion:24/03/2016 - 24/11/2016
Site: Example Site 1, SO53 1JP

Breach Details

Organisation*: ABC Org

Site*:

Breach Date*:

Breach Time*: 00:00

Duration*: 00:00

Played*:

Breach Details:

Enter the details and click on the Record Breach button. On successful save, the browser will display the success message. If not an error message is displayed by highlighting the fields that require correction. You will need to hover on the icon to see the error relating to the field.

Now when you navigate to the photo gallery you should be able to see a red border on the customer photo as below:

Excluded Customers Photo Gallery

Organisation: ABC Org Site: -- All Sites -- Sort Order: Recent

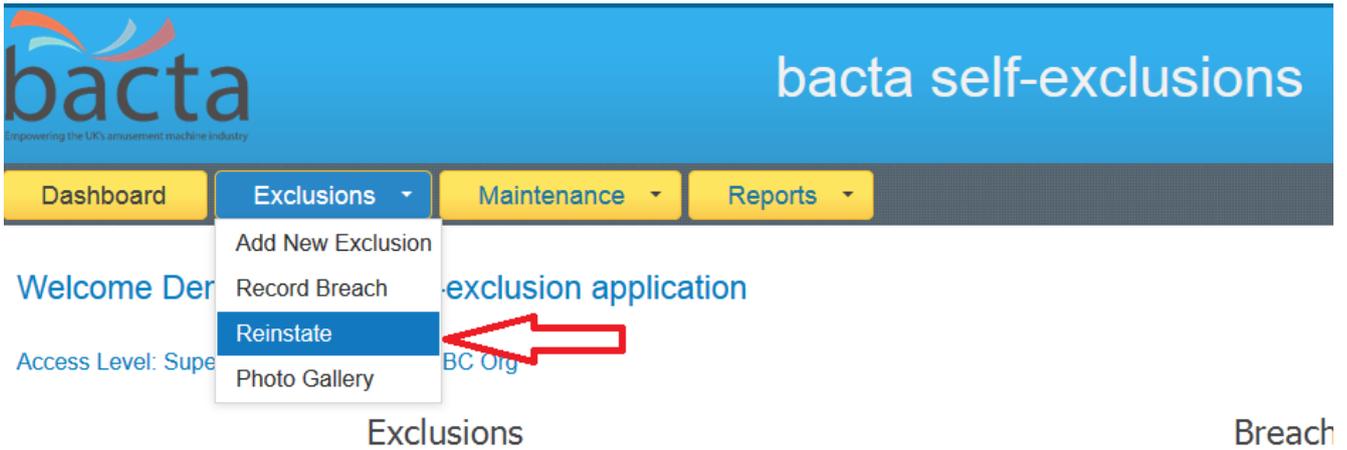


10. REINSTATE EXCLUSION

This feature is available only if the user account is enabled to use this feature.

IMPORTANT: A Reinstatement can be recorded from the photo gallery as described in the Photo Gallery section or from the top menu as described below

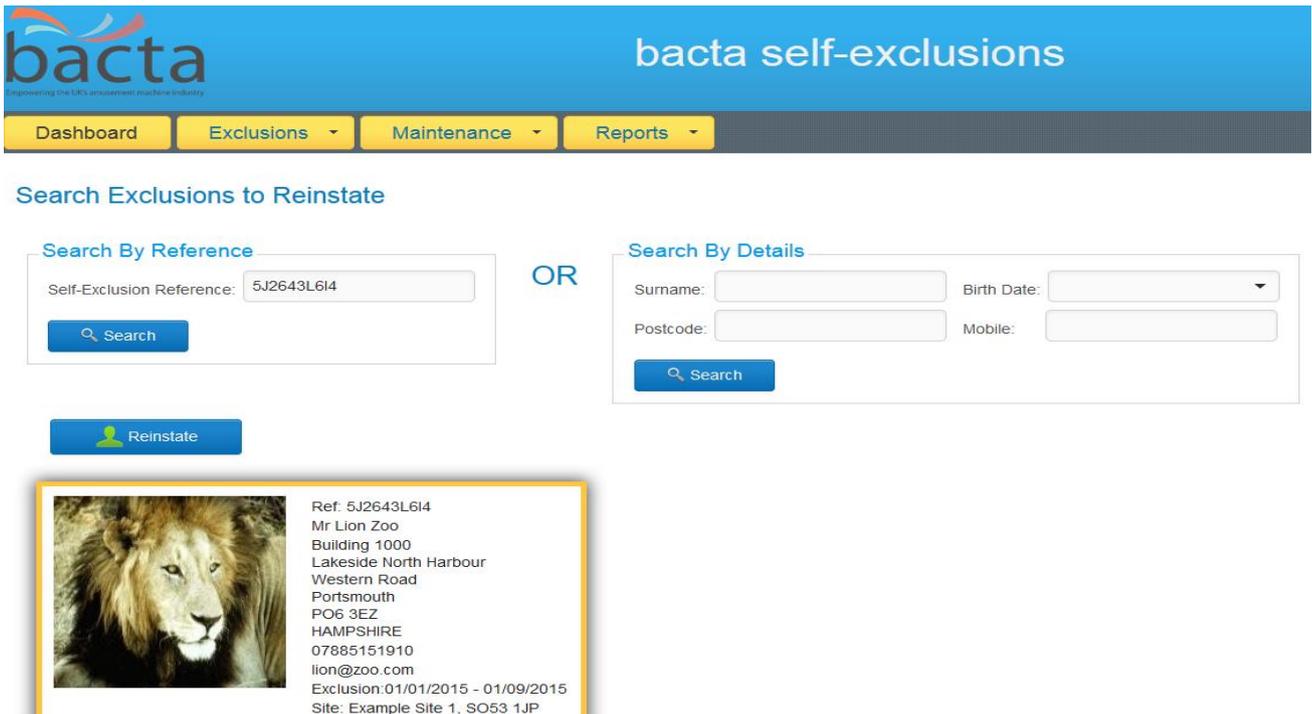
STEP 1: Navigate to Exclusions > Reinstatement



STEP 2: Search for the exclusion either by using the reference number or by details

If the exclusion is in your vicinity and is in the hiatus period, then the exclusion is displayed.

STEP 3: Click on the record you wish to Reinstatement. Then click on Reinstatement button.



STEP 4: The Application provides you with a form on which to record the reinstatement details.

Reinstate Self-Exclusion



Ref: 5J2643L6I4
Mr Lion Zoo
Building 1000
Lakeside North Harbour
Western Road
Portsmouth
PO6 3EZ
HAMPSHIRE
07885151910
lion@zoo.com
Exclusion: 01/01/2015 - 01/09/2015
Site: Example Site 1, SO53 1JP

Reinstatement Details

Organisation*:

Site*:

Considered Implications of Gambling Again?*

Understand 24 hour cooling off period?*

Interview Mode*:

Interview Date*:

Reinstatement Date*:

Reason for Reinstatement:

Interviewed By

First Name*:

Surname*:

Declaration

Receive Email Confirmation?

I CONFIRM MY REINSTATEMENT*

Signature:

 Redo Signature

Reinstatement

Print

Cancel

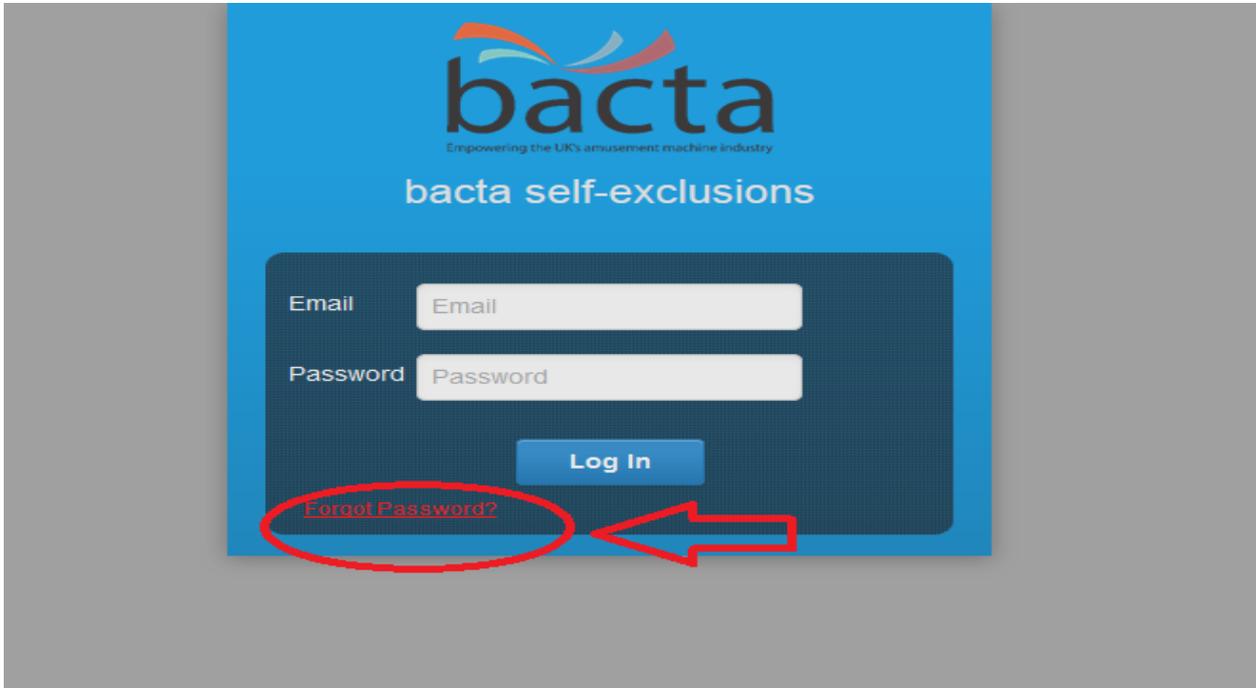
Enter the details and click on the Reinstatement button. On successful save, the browser will display the success message. If not an error message is displayed by highlighting the fields that require correction. You will need to hover on the icon to see the error relating to the field.

Now when you navigate to photo gallery this exclusion will no longer be displayed

LAST BUT NOT THE LEAST: ALWAYS LOG OUT FROM THE APPLICATION

11. FORGOT PASSWORD

If you forget your password click on the Forgot Password link in the login screen.



Then enter your login email address and your bacta organisation reference number. Click on Email me new password. The new temporary password will be sent to you.

When you login with this new temporary password you will be forced to change your password for the first time.

NOTE: Other than this the user password will expire every 60 days. When you login, you will be forced to change your password

End of document

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STAYING IN CONTROL

THE GOLDEN RULES OF PLAYING FRUIT MACHINES



**Playing machines is buying fun,
NOT investing money**

Only play with money you can AFFORD to lose

Set LIMITS on how much you will spend

Playing within your means can be FUN and exciting

**Spending outside your means can create
PROBLEMS for yourself and others**

If you feel you are in difficulty with your gambling or know someone who is and would like to help: Call the national helpline operated by GamCare 0800 8920 133 or chat online at www.gamcare.org.uk



GamCare is the national centre for information, advice and practical help regarding the social impact of gambling. Their helpline is run by trained staff who can offer confidential, anonymous and advice to problem gamblers, family members and to friends of gamblers.

Published by becta



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Remember we are obliged to ask for
proof of age - it's a legal requirement

Think **25**



If you are lucky
enough to look
under 25 you will
be asked to prove
that you
are over **18**
when you
enter this area

Accepted ID



Driving license



Passport



Military ID

bacta

www.bacta.org.uk

If you find you are in difficulty with your gambling or issue someone who is and email help@bacta.org.uk. Call the national helpline operated by Gamblers Anonymous 0800 900 100 or chat online at www.gamblers.org.uk

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Remember we are obliged to ask for proof of age - it's a legal requirement

Think 25



Don't be afraid to ask any customer for proof of age

Always ask **NEW** visitors to your site for proof of ID

Failure to identify under-age customers can result in disciplinary or legal action and **YOU**, not only the Company, being fined

**FIRST STAGE
ASK THEIR AGE**

**bacta**

www.bacta.org.uk

If you feel you are in difficulty with your printing or from someone who is not aware of the rules, call the national helpline operated by OpenCare 0800 8000 130 or chat online at www.printers.org.uk

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Who can help?

If you feel you are in difficulty with your gambling or know someone who is and would like to help: Call the national helpline operated by GamCare

0808 8020 133
or chat online at
www.gamcare.org.uk

GamCare is the national centre for information, advice and practical help regarding the social impact of gambling. Their helpline is run by trained staff who can offer counselling, information and advice to problem gamblers, family members and to friends of gamblers.

Published by bacta

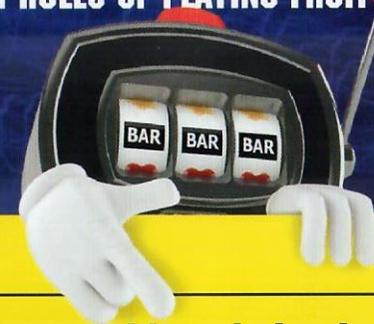
bacta

gambleaware.co.uk
GAMBLE RESPONSIBLY



STAYING IN CONTROL

THE GOLDEN RULES OF PLAYING FRUIT MACHINES



Playing machines is buying fun,
NOT investing money

Only play with money you can **AFFORD** to lose

Set **LIMITS** on how much you will spend

Playing within your means can be **FUN** and exciting

Spending outside your means can create
PROBLEMS for yourself and others

bacta



CALCULATING THE RISK

Gambling is a fun and exciting form of entertainment, which provides an enjoyable experience

Playing slot machines is an attractive way of taking a risk as long as the risk taking is kept under control

The great majority of people who play slot machines or gamble in other ways enjoy the experience without any problems, but a very small number lose control of what they are doing

For these players gambling ceases to be fun

Their life can be dominated by gambling



PROBLEM GAMBLING

Problem gamblers will continue playing whether winning or losing. They will use their own and other people's money in order to keep playing. As gambling takes over their life, many other things can suffer; family life, their job, and other interests

Gambling becomes a problem when you:

Gamble until all your money has gone

Borrow or steal money to continue gambling

Gamble to chase your losses

Neglect other interests, family and friends to gamble



CHECKING IT OUT

Someone who thinks they might have a gambling problem should ask themselves if:

They lose time from education or work because of gambling

They gamble to get money to pay debts or solve financial difficulties

After losing they feel they must return as soon as possible to win back losses

They gamble until their last pound has gone

They borrow to finance their gambling

They are reluctant to use 'gambling money' for normal expenditure

They have ever committed, or considered committing an illegal act in order to finance their gambling

They have ever considered self-destructive behaviour as a result of their gambling



STAYING IN CONTROL

Whenever you play machines it is wise to remember that:

You are buying entertainment, not investing your money

You should only spend money you can afford to lose

In advance of playing you should set strict limits on how much you will spend

Problems will arise if playing machines becomes the most important part of your life

Playing should take up only a relatively small amount of your time and interest

Playing within your means is likely to be fun and exciting

Spending outside your means is likely to create problems for you and others

You shouldn't play to escape from worries or pressures

BRIEF INTERVENTION GUIDE

Addressing risk and harm related to gambling



GambleAware

Page 165



ACKNOWLEDGEMENTS

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Disclaimer

The Guidelines in this document should not be considered exhaustive, exclusive or a substitute for individualised care and treatment decisions.

Access

Copies may be obtained electronically via infohub.gambleaware.org

CONTENTS

Introduction to the Guide	3	Important considerations	22
Who is the Brief Intervention Guide for?	3	Cultural considerations and brief intervention	22
Sections within the Guide	3	Overcoming potential barriers to brief intervention	22
What is Brief Intervention?	4		
Why offer brief intervention?	5	Responding to family and affected others	24
Brief intervention is part of the spectrum of effective responses	5	Resources for family and affected others	24
Brief intervention evidence base	5	The 5-Step Method	24
Key concepts in screening and brief intervention	6	Brief intervention requirements at an organisational level	26
Screening as a basis for brief intervention	6	Project initiation	26
Before offering brief intervention	8	Consulting within the organisation	28
Preparation	8	Project planning	28
The knowledge base	9	Implementation	30
Training	9	Ongoing improvement	30
How to provide brief intervention	10	References	31
Elements of brief intervention: FRAMES	10	Appendix 1	32
Motivation and brief intervention	11	Lie/Bet Questionnaire	32
Bring together the stages of change and a motivational response	12	The NODS/CLiP Short Problem Gambling Screen	32
Stages of brief intervention at a glance	13	Problem Gambling Severity Index	33
Introduce the subject	14	Appendix 2	34
Screen	15	Organisations that provide help and advice	37
Provide feedback and brief advice	16		
Listen for readiness and confidence	18		
Provide further intervention (as appropriate)	20		

INTRODUCTION TO THE GUIDE

Who is the Brief Intervention Guide for?

The **Brief Intervention Guide** has been developed as a resource to assist workers to provide brief intervention to address risks and harms related to problematic gambling. Additionally, it is a resource to assist organisational leaders to set up and implement the processes necessary to support workers to provide brief intervention.

The **Brief Intervention Guide** is aimed at professionals who do not specialise in the treatment of gambling problems. Within the terms of this Guide, the term “brief intervention” refers specifically to an intervention carried out by professionals not from the problem gambling treatment sector.

The Guide aims to clarify what brief intervention is, where brief intervention sits in the spectrum of intervention and to address a lack of guidance available to those working in social and criminal justice settings, for example social workers, employment advisers, probation officers, community workers, counsellors, GPs, nurses and psychologists. The Guide is also likely to be useful for others working in primary care and other health settings.

Sections within the Guide

The first six chapters of the **Brief Intervention Guide** focus on practical ‘how to’ instruction aimed directly at the worker providing the intervention, building on their overall professional values, knowledge and skills. There is an assumption that the worker undertaking the intervention is bound by an appropriate code of ethics.

The final chapter, **Brief intervention: requirements at an organisational level**, outlines the key steps that organisations need to undertake in order to support brief interventions being implemented in a service. This section is aimed at managers, leaders and others who are responsible for an organisation.

Appendix 1 lists readily available gambling screening tools.

What is Brief Intervention?

Brief intervention has many definitions in research literature and practice guidelines. In this Guide, brief intervention refers to:

“A short, purposeful, non-confrontational, personalised conversation with a person about an issue related to gambling.”

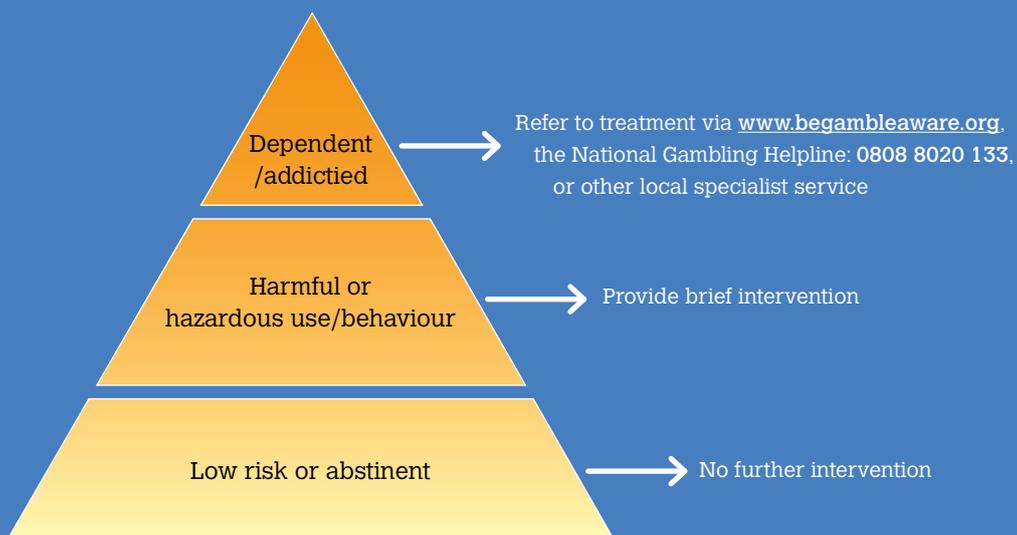
The purpose is to support the person to think about their behaviour, assisting them to make a connection between their behaviour and any associated risks and harms (adapted from NHS Health Scotland, 2009).

From there, the nature of the intervention depends on the level of risk and/or harm and the person’s readiness to change.

The key word here is brief. Brief intervention generally takes as little as 5 to 15 minutes. This does not take into account the time that is needed to establish rapport and engagement with the person before a brief intervention is carried out. Failing to engage with the person will undermine the effectiveness of the brief intervention.

Brief intervention is most effective for people whose behaviour is hazardous or harmful, in other words people who are at risk of developing or people who are experiencing current harm related to gambling. Brief interventions are not designed to treat people who are dependent or addicted, although they are considered to be useful to improve motivation to seek more intensive treatment. Those people with more severe problems are likely to benefit from more comprehensive assessment and intervention and the role of the brief intervention worker is to refer this group of people to specialist treatment services for further assessment. Levels of harm and corresponding intervention types are shown in Figure 1 overleaf.

Figure 1. Level of risk/harm and corresponding intervention types



Source: Adapted from Substance Abuse and Mental Health Services Administration (2007)

Why offer brief intervention?

Problematic gambling often contributes to other problems such as financial, employment, health, family-related and legal issues. In other words, the issues people present with in social, justice and health service settings may often be linked to gambling. Brief intervention provided in these service contexts can have a significant positive impact for service users and can enhance the benefits of the services being provided.

Harms from gambling

Problematic gambling directly affects an estimated 430,000 people in Britain, with a further 1,985,000 deemed as being at risk of developing a gambling problem. An estimated 5-8 other people are affected by someone else's gambling problem. This makes gambling a significant social issue.

- > Gambling can be related to poor health (Petry et al., 2005; Morasco et al., 2006)
- > Gambling can be related to employment problems (Reed in Partnership, 2016)
- > Gambling can be related to family problems (Holdsworth et al., 2013)
- > Gambling can be related to criminal activity (Banks, 2013)
- > People experiencing gambling problems may be over-represented in certain groups, e.g. young men, some minority ethnic groups.

Brief intervention is part of the spectrum of effective responses

The risks and harms from gambling may go undetected for many people despite their contact with health and social services. Brief intervention provided in generalist settings is a key component within an effective spectrum of responses. It is particularly important in those settings where the prevalence of problems is known to be high, for example in criminal justice service settings. To effectively tackle the risks and harms related to gambling these problems must become the business of all social, justice and health services.

Brief intervention evidence base

Research indicates that brief intervention can be both effective and efficient for those with hazardous or harmful substance use and/or gambling problems. The evidence supporting brief intervention is strongest in relation to primary health settings and alcohol use, however evidence to support the effectiveness of brief intervention for gambling is emerging and beginning to provide guidance for further development (Petry et al, 2008; Abbott et al., 2013; CADTH, 2015; Neighbors, et al., 2015) There is growing support for brief intervention to be provided in other non-health settings, such as criminal justice and social work settings (Bliss & Pecukonis, 2009; Brown, Newbury-Birch, McGovern, Phinn & Kaner, 2010; Hopkins & Sparrow, 2006; McGovern, Newbury-Birch, Deluca & Drummond, 2012).

Additionally more guidance and tools are emerging which focus on providing brief intervention to address a wider range of issues (McQueen et al., 2015; Orr et al., 2015; Mitchell et al., 2015).

KEY CONCEPTS IN SCREENING AND BRIEF INTERVENTION

Screening as a basis for brief intervention

Brief intervention is generally provided after a screening process has been undertaken. The results of a screening process provide an opportunity for a service user to consider the effects of gambling on their lives, depending on the scope of the screening.

Screening is not assessment or diagnosis. It is a structured process that provides an indication that a problem may exist and, depending on the tool or questions used, an indication of the potential severity of the problem. The results of a screening process assist the worker to determine whether intervention is required and the level of intervention that is likely to be of most benefit to the person (see Table 1 below).

A screening result that indicates a potential problem should be followed up with a brief intervention, referral to a specialist service or with a more detailed assessment of the problem potentially identified.



Table 1: Screening result and level of intervention

Screening result	Level of intervention
No problem indicated	Provide positive affirmation. Offer information to support continued no/low risk
Hazardous or harmful use/behaviour indicated	Provide brief intervention
Possible dependence or addiction indicated	Advise need for specialist treatment and refer to specialist

Screening can occur in variety of ways, from asking simple questions to administering a screening tool. The selection of screening method depends on the purpose or focus of the brief intervention, the population being screened, and the setting in which screening takes place. Some screening tools can be self-administered; others are administered by the worker in a collaborative interview style. A standardised screening tool provides more accurate information for the person being screened and can be particularly useful for a generalist who does not have specialist knowledge. A list of commonly used screening tools is provided in Appendix 1.

Most screening tools and brief intervention resources have been designed for use within a specific context. For example, in a general health setting it may be feasible to screen opportunistically for a range of potential health issues and to provide brief intervention or further assessment for those issues that the service user is willing to discuss further. Alternatively an organisation may decide to screen separately for gambling as this is more likely to be prevalent within the population served and/or is more feasible in the service context. Information to guide selection of screening tools is provided in the **Brief intervention requirements at an organisational level** chapter of this guideline.

BEFORE OFFERING BRIEF INTERVENTION

Preparation

For the worker embarking on brief intervention it is essential to ensure that approval and support from the organisation is in place. Commitment at organisational governance and management levels is essential to support workers to provide brief intervention.

Once organisational policy, systems and processes are in place minimum preparation requirements for the worker include:

- > Familiarity with the selected screening process or processes.
- > Understanding of the selected brief intervention systems and processes, including those for referring to specialist assessment and treatment.
- > Having the resources needed to support brief intervention, these include self-help materials, handouts, reference materials and a list of local providers for when referral is indicated. (See Box 1).
- > Practice screening and providing brief intervention.
- > Knowing who to consult regarding any problems that are encountered, e.g. line manager support where appropriate.

Box 1: Resources for brief intervention

The GambleAware website has helpful information and a range of self-help material, including printable leaflets targeted at identifying a problem, preparing to change, gambling triggers, warning signs etc. More substantial self-help booklets are also available. There is also material aimed to support family and friends who are concerned about someone else's gambling. This material is available at: www.begambleaware.org



The knowledge base

It is not necessary to be an expert in gambling to provide brief intervention. A basic understanding of risks and harms and a working knowledge of simple interventions to reduce harm, including referral options, are the essential requirements. Those providing brief intervention for harmful use of gambling need to know basic facts about the effects that harmful gambling can have on the individual and their family and friends, steps that those at risk of, or experiencing, gambling-related harm can take to reduce the risk (e.g. self-exclusion, limit setting) and knowledge of specialist agencies to refer people with significant problems to.

Key information is available at the website listed in Box 1 adjacent, and is also included in Appendix 2.

Training

Training in brief intervention is recommended. Evidence consistently suggests that training increases the rate at which brief intervention is provided (Johnson, Jackson, Guillaume, Meier & Goyder, 2010). There are a number of training providers offering short courses in brief intervention and motivational interviewing. Addiction studies courses at graduate and postgraduate level include screening, brief intervention and motivational interviewing. There are also online training courses and videos available.

It is important to check out whether the training offered is sufficiently aligned with the workers and/or organisation's aims and approach.

HOW TO PROVIDE BRIEF INTERVENTION

Elements of brief intervention: **FRAMES**

Regardless of the approach to brief intervention, there are key elements that apply in all contexts. These can be summarised by the acronym **FRAMES**:

F**EEEDBACK**: about personal risk or level of current harm, as indicated by the screening process.

R**ESPONSIBILITY**: responsibility for choices and change sits with the person. It is not the role of the professional to confront or persuade. Respect the person's autonomy.

A**DVICE**: increase the person's awareness of the costs and consequences of their behaviour and provide advice to support positive change.

M**ENU**: outline options or strategies to support positive change; help with goals and action planning if appropriate to the person.

E**MPATHY**: listen and reflect; maintain rapport; use an empathic communication style.

S**ELF-EFFICACY**: convey optimism and strengthen the person's self-belief in their ability to change.

FRAMES does not describe stages of brief intervention. The elements in **FRAMES** are not presented in order. Rather, **F**, **A**, and **M** describe **WHAT** is provided in brief intervention; **R**, **E** and **S** describe **HOW** brief Intervention is provided (NHS Scotland, 2009).

The elements in **FRAMES** can be applied to working with young people (Christie, 2008).

Motivation and brief intervention

It is useful to have an understanding of the 'stages of change' model and motivational interviewing as a background to providing brief intervention (Prochaska & DiClemente, 1983). However it is important not to be overly concerned with assigning people to a stage of change and applying specific motivational techniques. Having a general understanding of the stages of change can help the worker listen for readiness to change and ensure that their response is in step with the person.

Applying the broad principles of motivational interviewing (see Box 2 below) can enhance motivation to change. Attempting to persuade and argue for change can be ineffective and counter-productive. A person who doesn't see their behaviour as problematic is unlikely to respond to ideas about changing the behaviour. When the worker is out of step with the person resistance is a likely outcome. While responsibility for change sits with the person the worker is responsible for engaging the person and maximising their opportunity to consider change.

There are three broad elements of motivational interviewing that are helpful in brief intervention:

- > **Collaboration** (rather than confrontation): the process is undertaken in partnership. The views and experiences of the person are central. Both the person and the worker have expertise to share. The process involves mutual understanding. The person is a primary resource in finding answers and solutions.
- > **Evocation** (drawing out rather than imposing ideas): the worker's role is to draw out the person's ideas, goals, plans and skills to make positive change. These are not imposed. The person presents the arguments for change.
- > **Autonomy** (rather than authority): the power for change rests with the person. The person determines what and how change will occur.

Box 2. Key Principles of Motivational Interviewing

Express Empathy: show acceptance and develop rapport. Ambivalence to change is normal. The worker listens to and accepts what is important to the person. Empathy and rapport make space for gentle challenge.

Develop Discrepancy: Change is motivated by a perceived discrepancy between a person's current behaviour and their important personal goals and values.

Roll with Resistance: Resistance is a signal for the worker to respond differently. Avoid arguing for change.

Support Self-efficacy: If a person believes they can change, the likelihood of change occurring is greatly increased. A person's belief in the possibility of change is an important motivator.

Source: Adapted from Miller and Rollnick (2012).

Bring together the stages of change and a motivational response

A guide to the stages of change (adapted from NHS Scotland, 2009) and associated motivational responses are provided in Table 2 below. Brief intervention is usually focused on people who are in Pre-contemplation, Contemplation and Preparation.

Table 2. Stages of change and motivational responses

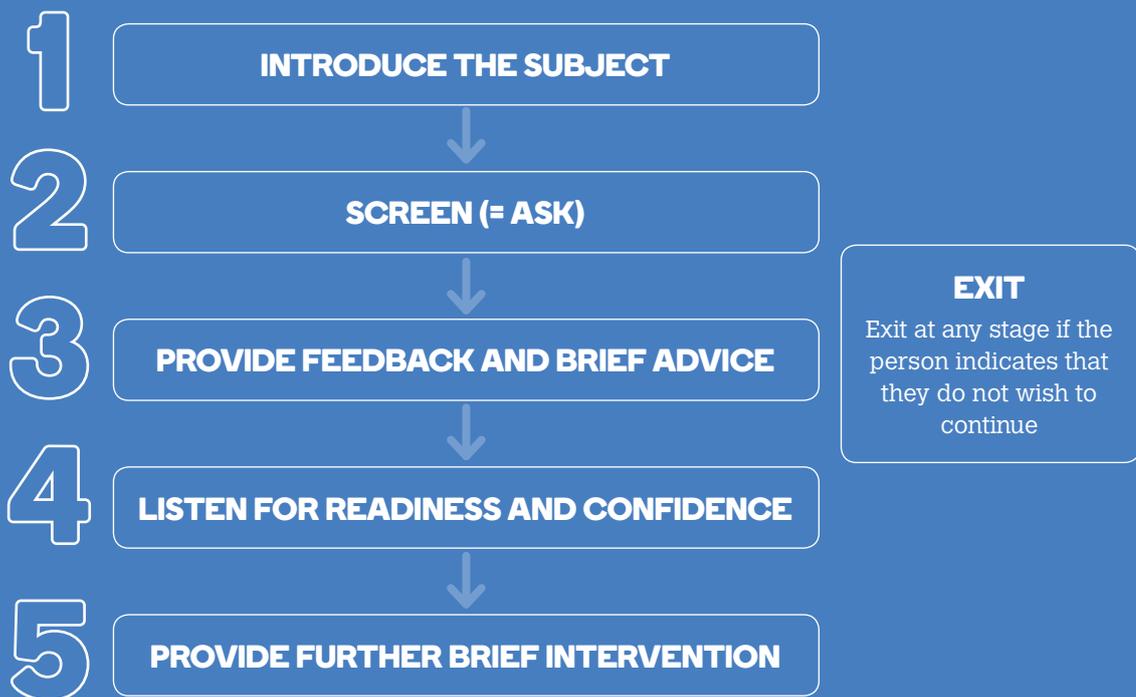
Stage	Response
Pre-contemplation – not thinking about change; don't see a problem "My brother gambles and he hasn't got any problems, it's no big deal"	Work towards engendering motivation Provide information and advice (with permission) on the benefits of change
Contemplation – thinking about change; maybe I have a problem; ambivalent "Sometimes I think about all the money I spend in casinos"	Enhance motivation Explore concerns, explore benefits of change
Preparation/decision making – actively planning change "I want to stop."	Provide menu of options Build confidence
Action – making changes, new behaviour not yet established "I haven't been to a bookies for eight days. Self-exclusion is helping."	Build confidence Affirm success
Maintenance – new behaviour established "I get nervous when I go out with my friends, I might just have a drink and then place a bet without even thinking."	Build confidence Assist with problem solving and planning
Relapse – return to patterns of old behaviour "I blew it."	Build confidence Enhance motivation

For further information on Motivational Interviewing the Motivational Interviewing website is a good start. This is available at: www.motivationalinterviewing.org

Stages of brief intervention at a glance

The key stages of brief intervention are shown in Figure 2 below.

Figure 2. Stages of brief intervention



Source: Adapted from Center for Substance Abuse Treatment (1999)

Each stage of brief intervention is outlined in some detail below. Objectives, actions and examples corresponding to each action are provided. Relevant elements of FRAMES are shown for each stage.

Examples are provided as simple scripts that the worker can adapt to suit their own style and context. The stages, objectives and actions are provided as a guide only. In practice some may blend and overlap. It may not be necessary to follow each action or stage for every person.

Tips are provided for each stage as a further aid.

Where appropriate, specific tips are provided for working with young people. Those working within youth service settings or within youth focussed roles are encouraged to use a resource which is tailored specifically for working with young people.



Introduce the subject

In a general setting, where a person is not expecting to talk about gambling etc., introducing the subject can be the biggest hurdle for the worker. Several examples are provided below to cover a range of options for different circumstances. The key is for the worker to be clear, confident and relaxed in talking about these issues and to normalise the process.

OBJECTIVES

- > **To respectfully obtain consent to explore specific behaviour/s**
- > **To maintain rapport and convey empathy, regardless of the person’s decision to consent or not**

Responsibility sits with the person

Empathy: listen and reflect; maintain rapport

Actions	Examples
Ask permission to talk about the behaviour	<p>“Would it be ok to have a quick discussion about gambling? We like to cover this with all of our clients. It’s an opportunity to have a think about how gambling fits in to your life. Do you gamble at all?”</p> <p>“While we’re discussing what you like to do with your free time, could we talk about gambling?”</p> <p>“You’ve mentioned that you were arrested for a crime related to gambling. Could we talk a bit more about where gambling fits in for you?”</p> <p>“You sound a bit worried about how much you’ve been gambling lately? Could we talk a bit more about that?”</p> <p>“We’re trying to improve our service and offer people a bit more. We’re offering screening for a range of things - including gambling. Are you interested in finding out more; it only takes a few minutes?”</p>
Explain your role in relation to the behaviour/s to be explored	<p>“If you are interested we can work through a few quick questions. We use a process called a gambling screen. The screen provides you with your personal result. What you do with that information is your choice.”</p>
Clarify confidentiality issues	<p>“We have already discussed confidentiality but I just want to restate that this discussion will be confidential, in the same way as any other information about you.”</p>
Reinforce and respect the person’s choice	<p>“It’s up to you.”</p> <p>“What do you think you might want to do next?”</p> <p>“It is your choice whether you want to take up this opportunity.”</p>

TIPS

- > Your own values and behaviour are not the focus and should not interfere with your efforts to support people to reduce harm from gambling.
- > When working with people of cultures other than your own ensure that you convey respect for cultural difference. Use cultural support and expertise to assist in providing an effective service. Pay attention to cultural norms in relation to rapport building. Taking the time to effectively engage with people and building a trusting relationship will increase the likelihood of being able to provide an effective intervention.
- > With young people: It is generally important to develop rapport before you introduce the issues i.e., by talking about topics other than gambling. Clarity about confidentiality is especially important to develop trust.

2

Screen

OBJECTIVES

- > **To gather personalised information about potential levels of risk or harm resulting from selected behaviours**
- > **To determine whether intervention could be useful**
- > **To determine the level of intervention that is indicated**

Responsibility sits with the person

Empathy: listen and reflect; maintain rapport

Action	Example
Administer the screening tool OR Ask screening questions	"This is the screening questionnaire. Shall we work through the questions together?" "This is the gambling questionnaire. It will give you an indication about whether gambling might be causing problems for you." "Do you gamble?" "How soon after you wake up do you usually check your betting account?"
Score the screening tool	"What we do now is look at your responses and total them up. One of the good things about this is that it's an objective measure – a bit like a blood test."

TIPS

- > Be familiar and comfortable with the screening questions and/or tools.
- > Defer screening when other needs are clearly more immediate, for example, the person is highly agitated, in need of urgent medical attention etc.
- > Emphasise the objective nature of the tool.
- > Be sensitive to literacy levels and adjust accordingly e.g. work through the tool with the person.
- > Be sensitive to language issues where English is not the person's first language. Ensure this does not become a barrier.
- > **If the person says no or changes their mind mid-way through the process respect their choice and exit the brief intervention process.** Consider whether it could be an option to revisit the issue at a later date and if so flag this as your systems allow.
- > With young people: Use a screening tool or process that has been validated for use with young people, for example The Substances and Choices Scale (SACS) available at www.sacsinfo.com.

3

Provide feedback and brief advice

OBJECTIVES

- > **To provide personalised information about levels of risk and harm (the screening results and interpretation of these)**
- > **To facilitate reflection and review of behaviour**
- > **To provide tailored advice to assist with reducing risk and/or harm**

Feedback: about personal risk or level of current harm, as indicated by the screening process

Responsibility sits with the person

Advice: provide advice

Empathy: listen and reflect; maintain rapport

Actions	Examples
<p>Review screening data in collaboration with the person</p> <p>Check for level of risk/harm:</p> <p> hazardous, harmful or dependent</p> <p>Give personalised brief advice (as appropriate)</p> <p>Note: encourage referral to specialist service where there is a need for further assessment</p>	<p>"The PGSI score shows that your gambling is unlikely to cause problems.</p> <p>If your circumstances change, say you are planning to buy a house, then it might be helpful to stop gambling."</p> <p>"The screening test suggests that you are gambling at a harmful level.</p> <p>This means there are risks for your mental health, your finances, and potentially for your family relationships. The best thing you can do is to try to stop gambling. There would also be other immediate benefits. I know it is not an easy thing to do. There are a number of options that could support you to stop."</p> <p>"Given your result, there would be significant benefits if you were to cut down on gambling."</p> <p>"Your score shows that your gambling is well above normal participation levels for someone your age and gender. This is worth getting checked out further and it's likely to be linked to some of the issues you're facing right now. I recommend that you see a specialist for an assessment to find out more. I can arrange for you to contact the National Gambling Helpline or [insert local service name]. There is no charge for the service. At a minimum you will get some more information. What you do with it will be up to you."</p>

TIPS

- > Brief intervention can stop at this point if there is insufficient time to provide any further intervention.
- > Check in with the person about how they are finding the process. Make space for them to ask questions.
- > If the person becomes withdrawn, argumentative or resistant take this as a sign to back up. Avoid arguing and/or persuading, avoid presenting reasons for change, maintain rapport and simply reflect back what the person is saying to you.
- > If there are indications of dependence or addiction recommend and support referral for further assessment or more intensive assistance.
- > If there are indications of other health problems, including mental health problems, recommend and support referral to appropriate services.
- > With young people: look for opportunities to provide positive feedback, focus on their strengths and achievements as much as possible. Avoid the discussion becoming overly problem-saturated (Christie, 2008a).

4

Listen for readiness and confidence

OBJECTIVES

- > **To check out the person’s readiness to change their behaviour**
- > **To support consideration of the connection between behaviour, risk and/or harm**

Feedback: about personal risk or level of current harm

Responsibility sits with the person

Empathy: listen and reflect; maintain rapport

Self efficacy: convey optimism about their ability to change.

Action	Example
Check out how the person is responding	<p>“What are your thoughts about the screening result?”</p> <p>“It’s a lot to take in. Are you surprised about your score?”</p> <p>“I know you weren’t necessarily expecting to be looking at this today, but I wonder what you think about how gambling fits in with some of the other issues that have brought you here today?”</p>
Explore readiness to make changes:	<p>“What are your thoughts at this point? Are there any concerns that you have?”</p>
Does change seem to be worthwhile to the person?	<p>“Have you considered cutting down on your gambling?”</p> <p>“Can you think of any benefits if you were to stop gambling?”</p>
Are they confident about their ability to change?	<p>“What connections do you see between your gambling and the stresses in your life right now?”</p>
Try to elicit change talk	<p>“On a scale of 1-10, if 1 is not ready at all and 10 is totally ready, how ready are you to make changes to your gambling?... What are some of your reasons for giving this rating?” OR “why did you rate 5 instead of 3?”</p>



Reflect the person's views on change back to them

Person is not indicating readiness to change

"Thanks for agreeing to check out your gambling. It sounds like right now you can't see any benefits in cutting back on your gambling? If you decide you want to talk about this again, you can let me know. Would it be all right if we talk about it again in a few months' time to see if anything has changed for you?"

"From what you're telling me, it sounds as though you are not interested in stopping gambling right now. Would it be useful to talk about some ways to put limits in place to try to reduce the impact of your gambling?"

Person is ambivalent about change

"So, if I'm hearing you correctly, you can see that cutting back on gambling would help keep you out of trouble but you can't see your friends letting you get away with it. How do you think things will turn out for you?"

"What are the pros and cons with your gambling?"

"On balance would it be worth having a go at stopping?"

"What are some things that could help you stop?"

"What are some of the barriers that might prevent you from limiting your gambling?"

Person wants to change, lacks confidence

"You want to stop gambling but you've tried many times and it hasn't worked out. You just don't think you can manage to do it. Would you be interested in looking at some strategies to help with this?"

"What would need to happen for you to become more confident to make a change?"

"What would be helpful to you at this point?"

"You said that you stopped gambling for a short time about a year ago? How did you achieve that? Could you use some of the same strategies that were successful then to help with cutting down on gambling now?"

TIPS

- > Avoid arguing, persuading and/or presenting reasons for change and maintain rapport.
- > Respect the person's views and don't assume that the intervention has not been helpful if they choose to close the subject.
- > Remember responsibility for change sits with the person themselves.
- > Encourage the person to explore and articulate their own reasons for change.
- > Listen carefully for what the person is prepared to work on at this time and focus on that.
- > Use the readiness scale/ruler to quickly elicit change talk. Available at [www.adultmeducation.com/downloads/Readiness-to-Change TOOL.pdf](http://www.adultmeducation.com/downloads/Readiness-to-Change_TOOL.pdf)
- > With young people: don't discount or minimise the young person's experiences of the good things about gambling. Let them talk about the good things before gently guiding/inviting them to explore the downsides. Avoid coming up with the downsides, let the young person tell you from their own experience.

5

Provide further intervention (as appropriate)

OBJECTIVES

- > **To facilitate reflection and review of behaviour**
- > **To support change if the person is seeking change**

Feedback: about personal risk or level of current harm

Responsibility sits with the person

Empathy: listen and reflect; maintain rapport

Menu of options: outline options or strategies

Self efficacy: convey optimism about their ability to change

Action	Example
For people who are considering change or wanting support to change, select an appropriate approach (one or more):	Provide information: focus on the benefits of change: “Would you like more information? I have a leaflet here that you could take home. It might be interesting to read about some of the benefits other people have experienced after cutting back.”
Provide information	Facilitate goal setting and explore menu of options:
Goal/s and Menu of options	“Could you consider setting yourself a goal in relation to gambling?”
Build confidence	“What are some changes that you are interested in trying out?”
Enhance motivation	“Would it be helpful to look at some options that have been helpful for other people? There are some effective strategies available to help people stop gambling, such as letting a loved one take care of your finances for a while or self-exclusion. It could be helpful to look at whether any of these are worth trying for you.” “There are lots of options for cutting down on gambling, you are the best judge of what is likely to work for you. Would it be helpful to talk about some ideas and then, if you want to, set a goal for yourself to try out?” “It sounds like the smartphone gambling is your main concern because it is impacting on your family time. We could explore some practical options and you could make a plan, then if you think it’s worth a go you could try it out. If it doesn’t work out we could look at some other ideas next time we meet.”

TIPS

- > Keep it personalised, relevant and achievable. The change goal must be something that is worthwhile and “doable” for the person. Avoid the lure of encouraging goal setting that does not meet these criteria.
- > Encourage the person to come up with their own strategies and/or explore in detail how strategies will fit into the person’s situation. People are more likely to try things out if they come up with their own ideas.
- > Spend time looking at a range of options. It is important to convey that there is more than one way to address issues and improve situations. This helps generate self-efficacy.
- > Listen carefully for what the person is prepared to work on at this time and focus on that.

IMPORTANT CONSIDERATIONS

Cultural considerations and brief intervention

Throughout the process of screening and brief intervention workers are encouraged to be mindful of the social and cultural context of the people they are working with. Effective engagement, assessment and goal setting may be affected by a person's 'ethnocultural identity'. The way a person might identify themselves and 'see the world' may impact on the ways they might express distress; the way in which they might perceive problems or solutions and/or their communication styles. Workers have an important role in ensuring that the people they are working with understand information well enough to be able to make informed choices or decisions. Clients may have poor literacy. This may mean giving some thought to how screening information is interpreted and communicated. Comprehension may be improved by putting it into a relevant context as well as considering the content of any message.

Overcoming potential barriers to brief intervention

There are a number of well identified barriers to the provision of brief intervention in generalist settings. The more prevalent of these are outlined below along with some suggestions as to how these barriers can be overcome or managed. These barriers and potential solutions relate to both the organisational level and the worker.

Causing offence: Both workers and organisational leaders are often concerned that service users, who are generally not expecting to be talking about these issues, may be annoyed or offended if they are asked about them. The evidence suggests that this is rarely the case (NHS Health Scotland, 2009).

Within the approach presented in this Guide all issues are raised with empathy and respect for the autonomy of the person and if a person does not want to engage in brief intervention then that choice should always be respected. Such an approach minimises perceptions of judgment and intrusiveness.

Workers are more likely to overcome their concern by actually providing brief interventions, seeing that service users are not offended and seeing the benefits brief intervention can provide. Organisational leaders can support and encourage workers to overcome any initial reservations by ensuring staff have access to training to build their skills and confidence. Leaders can also ensure that staff have access to ongoing supervision and support. Additionally, it is useful to set realistic targets for brief intervention in the early stages, recognising that it may take some time for staff to become sufficiently comfortable to more routinely introduce the subject etc.

The issue of coercion: In settings where service users are facing or undergoing legally imposed sanctions e.g. justice and some social service settings, workers can be concerned about imposing screening and brief intervention. It is important to note that the principles and stages of brief intervention do not change in these contexts. Respect for the autonomy of the person, empathy and collaboration are integral to brief intervention and help to ensure the intervention is not imposed.

Own behaviour and values: It is not uncommon for a worker who gambles to feel open to being judged as hypocritical when talking with others about these issues.

In this circumstance it is important that workers and organisational leaders are mindful that brief intervention is provided to assist service users to make informed choices. The worker's own patterns of use and behaviour are not relevant and should not be a barrier to providing brief intervention.

Using standardised screening tools and a structured approach to brief intervention will help to ensure that the worker's own values and choices do not prevent them from providing effective brief intervention to service users.

Outside of the scope of worker's role: Some generalists believe that providing brief intervention is outside of the scope of their role. This is understandable as many are not well informed about brief intervention or trained in providing it.

Organisational leaders have a role to play in overcoming this barrier by ensuring that workers are well informed and supporting them to learn about their potential role in brief intervention. It is important to stress that many people who are at risk of or experiencing harm will never see a specialist and brief intervention provided by a generalist may be of huge benefit to them. Increasingly it is recognised that the substantial harms that can arise from alcohol, tobacco, other drugs and gambling make these issues everybody's business. However it is important to consider professional boundaries carefully and to ensure that there is organisational support with approved processes, training and ongoing back up for the provision of brief intervention.

Competing priorities: The demands on time within a service environment may present one of the most significant barriers to brief intervention. It is common to hear workers and leaders comment on the burden of expectations placed on them to address a wide range of issues. This is a challenge for both the worker and the organisation and there is no simple answer. However, focus and commitment at all levels are required to implement and maintain brief intervention.

It is up to the organisation and the worker to determine what services can be provided within resource constraints.

RESPONDING TO FAMILY AND AFFECTED OTHERS

Resources for family and affected others

Many people are adversely affected by others' gambling. Sometimes these effects are identified in the course of health and social service delivery.

There is a range of resources available to assist families including self-help resources such as:

Concerned About Someone Else's Gambling. Produced by the Gambling Helpline for families seeking help with gambling issues. Available at: www.gamblinghelpline.co.nz/data/media/documents/Concerned_about_someones_gambling.pdf

The 5-Step Method

The 5-Step Method (Orford, Templeton, Patel, Velleman & Copello, 2007) for helping affected family members offers a simple and effective approach for responding to family members. It is a non-blaming approach to working with families and others affected by substance use or gambling. It can be delivered by a range of workers in a range of settings. The approach is designed to assist families to develop effective coping strategies and access effective social support.

The 5 steps are shown below and further explained adjacent.



Figure 3 The Five-Step method

- 1 Listen carefully to the experience of the family member/s to develop an understanding of how they are affected. Explore their concerns. Provide reassurance that others also have these experiences. Convey empathy and non-judgement.
- 2 Provide relevant information about substance use/gambling/addiction as relevant. Provide information about other relevant issues tailored to the concerns raised e.g. child care, financial assistance etc. Targeted information helps family members to gain a sense of having some control in their lives.
- 3 Explore coping responses. Research associated with the model has identified three broad coping responses:
 - > Engaged – Standing up to
 - > Tolerant – Putting up with
 - > Withdrawn – WithdrawingExplore the current responses and discuss what is effective and what is less effective? Explore alternatives.
- 4 Explore social support. Draw a network diagram to determine current support. Work on strategies to increase positive support and decrease negative support.
- 5 Explore further options for help and support. Check out further needs, provide information, refer as necessary and arrange follow up if required.

Research indicates that families from a range of cultures have found that brief intervention provided within the 5-Step model in a range of settings has helped them to:

- > Focus on their own needs.
- > Be assertive in communication.
- > Calm down and find different ways of dealing with frustration and anger.
- > Have a better understanding of the drinking /drug taking behaviour and the links with their own health.

(Orford et al., 2007).

BRIEF INTERVENTION REQUIREMENTS AT AN ORGANISATIONAL LEVEL

This section offers guidance to support effective planning, set up, implementation and monitoring of brief intervention within an organisational context. The guidance provided here is generic and will need to be tailored and adapted to the specific conditions within each organisational context.

Evidence suggests that organisational factors can limit or enable implementation of brief interventions (Johnson et al., 2010). Successful implementation of brief intervention programmes is more likely when the programme is championed at management and/or leadership level (McGovern et al., 2012). Commitment at organisational governance and management levels is essential to support workers to provide brief intervention.

The implementation of brief intervention within an organisation is best approached as a project.

Key steps in planning and implementing brief intervention for a large organisation are outlined below. The steps are set out in a chronological order, however in practice they are likely to overlap, particularly the second and third steps. In summary the steps are:

- > Project initiation
- > Consulting within the organisation
- > Project planning
- > Implementation
- > Ongoing improvement

Project initiation

Key actions at the outset include:

- > Developing a project brief (or charter) specifying goals, key objectives, deliverables, resources available, costs, risks and benefits of the project.
- > Assigning a project leader to manage and coordinate the implementation of brief intervention.
- > Determining if a project team is required to assist implementation (usually this is best, particularly in medium to large organisations) and if so assigning membership and roles.
- > Preparing an information sheet on brief intervention (see Box 3 below for suggestions on what to include).

Once these actions above are completed, the implementation of brief intervention should be announced within the organisation. Preferably the announcement is made by a senior person to indicate the importance of the project within the organisation.

The announcement can be made via email, staff bulletin, team meeting etc., depending on the organisational communication systems already in place and the size of the organisation.

After the project is announced provide an information sheet to all staff to begin the process of developing a shared understanding of brief intervention and fostering enthusiasm for the initiative.

Box 3. Inform and educate

Provide an information sheet for staff outlining the intention to develop a brief intervention initiative within the organisation, explaining what brief intervention is and why it is a worthwhile activity for the organisation i.e. how it will benefit service users. Ideally, this information is tailored to your organisation and sector.

The information sheet should cover the following:

A brief description of brief intervention (as provided in this Guide):

A clear definition, how brief intervention is delivered and who it is most effective for.

A statement emphasising the brevity of the intervention and that it is not addiction treatment.

The key reasons for offering brief intervention in your organisation, for example:

Information on the harms associated with gambling as these relate to the service user population.

Evidence for the effectiveness of brief intervention.

Information promoting the role of the generalist:

A clear message that brief intervention does not require significant or in-depth understanding of the issue/s and that the issues are everybody's business.

A statement emphasising that brief intervention will potentially provide significant benefit to service users who might otherwise miss out on assistance for their issues.

A brief statement regarding training and support.

Contact details of the project leader

Encouragement of questions, comments and ideas.

Consulting within the organisation

Ensure key people within the organisation are informed and involved as necessary. This is a process of both informing and gaining information from various perspectives about the organisational barriers and enablers to implementing brief intervention. Early input from key people can foster engagement and help identify both snags and shortcuts.

It is important that key people and groups within the organisation develop a common understanding of the project including what is likely to be expected of them, how they can contribute and how they will be supported to make their contribution.

Consulting can happen via meetings, telephone and email discussions, providing documents for feedback etc.

It is likely that the following people will need to be consulted with: team leaders, supervisors, trainers (if you have these in your organisation), front line staff likely to be providing brief intervention, human resources staff, IT people, administration staff etc.

In determining who to consult the following could be considered:

- > Who is most likely to be delivering brief intervention? Who are the leaders and supervisors of this group?
- > Is HR input needed?
- > Are there specific IT requirements?
- > How will records be kept? Who manages records for the service?
- > Will administrative processes need to be adjusted?
- > Are there any policy changes required?
- > Are there any accounting requirements e.g. invoicing for services provided?

Project planning

Develop a detailed project plan including objectives, structure, processes, milestones, key responsibilities, reporting and costs. A communications plan may be required as part of the overall plan.

The planning should incorporate the following key requirements specific to brief intervention:

- > The brief intervention approach and pathway: define this thoroughly i.e. the scope.
- > The screening tools (See Box 4 for further guidance on selecting screening tools).
- > The steps in the intervention and the timing of these within the business of the organisation.
- > Referral sources and resources that the organisation will use.
- > The population to be screened and any exclusions.

- > Policy and procedures for confidentiality and consent.
- > The personnel delivering brief intervention: key considerations will include feasibility within the role i.e. are service users likely to accept brief intervention from those in this role, time available, workload, knowledge, skills and attitudes.
- > Training and support requirements: specify requirements to enable personnel to understand and deliver brief intervention and integrate this into their role.
- > Administrative systems and IT requirements.
- > Data requirements (see Box 5 overleaf) including reporting, monitoring and ongoing quality improvement processes.
- > Review the plan with others in the organisation as relevant. Ensure sign off by senior management.

Box 4. Key considerations in selecting screening methods

The make-up of the population/group to be screened: what are the issues that this population may be experiencing?

Whether to screen for single issues or multiple issues: what is optimal given the needs of service users and the expertise and resources available within the service?

Setting: what is realistic in the service setting i.e. if office based then computer-based or pen and paper and more in-depth screening may be possible. If in the field (e.g. working with homeless population) there may only be opportunity to ask a couple of key questions with record keeping occurring at a later time.

Systems for responding to screening results: the level at which the organisation can respond to those whose screening results are positive and in particular those whose results indicate the potential for a significant problem is an important consideration in selecting a tool. Where workers have time and an ongoing relationship with the service user it may be optimal to use a tool that provides information about presence and levels of problem (e.g. AUDIT or ASSIST); where there is limited time a short screen such as AUDIT-C which focuses on the presence/absence of a problem may be more appropriate.

The time available to screen and provide intervention and any associated costs: what can the service optimally provide?

The expertise of the staff: what level of knowledge and skill is required to screen and respond appropriately based on the screening result?

The level of management support: is there management approval for the process? Do management support staff training and ongoing staff support?

Box 5. Data considerations for organisational monitoring

The following measures are suggested for monitoring brief intervention:

Number of service users in the brief intervention target population: i.e. the number of people that would be expected to be screened.

Percentage screened: i.e. the number of service users screened divided by the number in the target population. It is recommended that a realistic target is set initially.

Number and percentage of “positive” screens: i.e. the percentage of service users whose screening results indicate that intervention is required.

The percentage of “positives” receiving an intervention (including a subset of those who are referred for specialist intervention).

Source: Adapted from Higgins-Biddle, Hungerford, & Cates-Wessel (2009).

Implementation

- > Ensure the roll out of brief intervention is well notified to all relevant people in the organisation.
- > Provide regular communication to encourage, remind and support people at this early stage; for example, thanking people for their work in getting the project off the ground.
- > Ensure that help and support is readily available during the early implementation stage to increase uptake.
- > Actively monitor implementation and address any issues that arise.

Ongoing improvement

- > Gather and provide feedback regarding progress. It is useful to do this on an ongoing basis to keep up the momentum and embed the change in practice.
- > Review data and other feedback to determine improvements. Manage the requirements for embedding improvements.

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APPENDIX

Appendix 1

Lie/Bet Questionnaire

The Lie/Bet Questionnaire is a two question screening tool for pathological gambling, useful in determining if a longer screening tool or further assessment is appropriate.

Lie/Bet Questionnaire:

1. Have you ever had to lie to people important to you about how much you gambled?
2. Have you ever felt the need to bet more and more money?

Administer Lie/Bet Questionnaire:

“Yes” response to one or both items: Further assessment is needed. Refer to www.begambleaware.org or the National Gambling Helpline: 0808 8020 133

“No” response to both questions: No referral necessary for problem gambling services.

The NODS-CLiP Short Problem Gambling Screen

Have there ever been periods lasting 2 weeks or longer when you spent a lot of time thinking about your gambling experiences or planning out future gambling ventures or bets?

Yes ?/ No?

Have you ever tried to stop, cut down, or control your gambling?

Yes?/ No?

Have you ever lied to family members, friends, or others about how much you gamble or how much money you lost on gambling?

Yes?/ No?

If “Yes” to one or more questions, further assessment is advised refer via www.begambleaware.org or the National Gambling Helpline: 0808 8020 133

Problem Gambling Severity Index

When you think of the past 12 months, have you bet more than you could really afford to lose?

0: Never 1: Sometimes 2: Most of the time 3: Almost always

Still thinking about the last 12 months, have you needed to gamble with larger amounts of money to get the same feeling of excitement?

0: Never 1: Sometimes 2: Most of the time 3: Almost always

When you gambled, did you go back another day to try to win back the money you lost?

0: Never 1: Sometimes 2: Most of the time 3: Almost always

Have you borrowed money or sold anything to get money to gamble?

0: Never 1: Sometimes 2: Most of the time 3: Almost always

Have you felt that you might have a problem with gambling?

0: Never 1: Sometimes 2: Most of the time 3: Almost always

Has gambling caused you any health problems, including stress or anxiety?

0: Never 1: Sometimes 2: Most of the time 3: Almost always

Still thinking about the last 12 months, have you needed to gamble with larger amounts of money to get the same feeling of excitement?

0: Never 1: Sometimes 2: Most of the time 3: Almost always

Have people criticized your betting or told you that you had a gambling problem, regardless of whether or not you thought it was true?

0: Never 1: Sometimes 2: Most of the time 3: Almost always

Has your gambling caused any financial problems for you or your household?

0: Never 1: Sometimes 2: Most of the time 3: Almost always

Have you felt guilty about the way you gamble or what happens when you gamble?

0: Never 1: Sometimes 2: Most of the time 3: Almost always

Total score:

The higher the score, the greater the risk that your gambling is a problem.

Score of 0: Non-problem gambling.

Score of 1 or 2: Low level of problems with few or no identified negative consequences.

Score of 3 to 7: Moderate level of problems leading to some negative consequences.

Score of 8 or more: Problem gambling with negative consequences and a possible loss of control

Appendix 2

This section highlights strategies that can be used by a person directly experiencing or at risk of gambling-related harm. Further information can be found at www.begambleaware.org.

The Money, Access, Time Triangle

An effective way to reduce or stop gambling is to put barriers in place that limit your ability to gamble – specifically barriers to Money, Access and Time. No barrier is infallible but if you have the right barriers they can certainly slow you down enough for you to take a look at what you're doing and decide whether or not you really want to do it.

Limit Access

- > Customers may self-exclude from gambling establishments (see below).
- > Avoiding places with a high density of betting shops or casinos can be helpful so take care to plan your route before heading out the door. A little planning goes a long way when it comes to avoiding unexpected triggers like the sight of a flashing casino sign.
- > If you're an online gambler you can add blocking software such as "betfilter" which will remove access to all gambling websites from your PC. Depending on which blocking software is used a password may be needed so ask for help from a friend or family member to set it up for you so you remain unaware of the password and unable to remove the software. If you gamble on a phone or iPad please contact your network provider to discuss the possibility of setting up parental controls to exclude gambling sites. If all else fails, you may need to consider the possibility of getting a low spec phone capable of making and receiving calls, and not having a computer for a while.
- > Think about times and places when you may be at your most vulnerable and ensure that someone you trust is either available at the end of the phone or able to be physically with you at these times. These could be times of emotional upset, or on pay days or anniversaries but looking at how you may be affected and planning for it can save you a lot of heartache.

Filling Time previously spent gambling

- > Explore the type of things that interest you and in particular things you can enjoy doing with friends or family members rather than seeking isolated pursuits. You may also want to look at projects you can undertake such as decorating a room or working on the garden.
- > Ensuring that you are engaging with a routine can be very helpful so include yourself in day to day tasks around the house so you feel like a valued part of family life.
- > Filling time with positive activities away from gambling can help you to feel productive and healthy and it can strengthen relationship bonds that have previously been neglected.

Money

- > Often the understanding of money and its value becomes warped whilst in the grip of a gambling addiction. Effective budgeting can restore an understanding of the value of money and it may also help to improve a negative financial situation brought on by gambling.
- > Ask a friend or family member to take control of your finances during the early stages of recovery. This can be done by giving away any debit or credit cards you may have (If you've memorised the card numbers be honest about that and get replacements before you hand them over). If you're budgeting effectively you'll be able to inform the person managing your finances of exactly how much you will need on any given day and receipts can be provided as evidence of your purchases.

Self-Exclusion

The following information is produced by the Gambling Commission, the body responsible for licencing gambling operators in Britain. It describes the role of licenced gambling operators in assisting people who no longer wish to gamble to exclude themselves for a defined period of time. Regulations may change and therefore readers may wish to consult up to date information at the following address:

www.gamblingcommission.gov.uk/for-the-public/Safer-gambling/Self-exclusion.aspx

If you think you are spending too much time or money gambling in an arcade, betting shop, bingo venue or casino, then ask staff for information about their self-exclusion scheme.

Self-exclusion is when you can ask a gambling company or operator to stop you from gambling with them for an amount of time. It usually lasts for at least six months. It is mainly used by people who think they have a problem with gambling and want help to stop. It is up to you to stick to a self-exclusion agreement with a gambling company, but the company should help you do that.

If you want to self-exclude from an online (remote) gambling company then you will need to contact each of the companies with which you hold an account. This can usually be done on the responsible gambling pages of the website.

If you are worried about online gambling then you can download a 'site blocker' such as Gamblock or Netnanny, which can block access to on line gambling sites. However there may be a charge for this.

Although I have self-excluded, my gambling operator has allowed me to gamble. What should I do?

A self-exclusion agreement may not always work properly and you might want to complain about this. Gambling operators must have a system they follow when a customer wants to complain. You should be able to find information on how to complain to the gambling operator on their website or by talking direct to a member of staff in the betting shop, arcade, bingo hall or casino where you have self-excluded.

If you wish to seek compensation from the operator because you feel that they haven't taken reasonable steps to prevent you from gambling then you will have to raise this as a civil matter through the courts.

The Gambling Commission's role is to make sure that the gambling companies follow the rules. Those rules include helping customers who want to stop gambling and have self-excluded. We will look into any concerns that that company may have broken the rules and investigate whether its self-exclusion system is working properly. If we think a company is not doing what it should, we have ways to make them improve. This can include, as a last resort, taking away the company's licence.

If you believe that the operator has broken the self-exclusion rules, we will need the following information:

- > When did you enter into the self-exclusion agreement?
- > How did you let the operator know you wanted to self exclude?
- > What did the operator give you to confirm that the self-exclusion was in place?
- > What period did you self-exclude for?
- > What date were you able to gamble even though you believe you had a self-exclusion agreement in place?
- > Can you provide details of any contact you have had with the operator since you gambled with them?

We will need your permission to contact the operator with your details but you should note that this will not be helping in getting your money back.

Limit setting

Most gambling operators will have facilities that allow you to set limits on the amount of time or money you spend gambling. Speak to a member of staff if you would like further information regarding limit setting.

Referring to specialist services

The National Gambling Helpline on 0808 8020 133 and www.begambleaware.org act as the first port of call for people affected by problem gambling. These services provide immediate advice and support, and from there people who need further help can be referred on to specialist services for further interventions.

ORGANISATIONS THAT PROVIDE HELP AND ADVICE

GAMBLEAWARE

begambleaware.org

A website that gives advice on gambling responsibly – this means making choices based on all the facts, and staying in control of how much time and money you spend.

NATIONAL GAMBLING HELPLINE:

0808 8020 133

CENTRAL AND NORTH WEST LONDON NHS FOUNDATION TRUST

www.cnwl.nhs.uk/cnwl-national-problem-gambling-clinic

Tel: 020 7534 6699 / 6687

Treats problem gamblers in England and Wales who are aged 16 and over. It assesses the needs of problem gamblers as well as those of their partners and family members, and offers evidence based treatments as well as interventions to assist with financial, employment, social and relationship difficulties.

GAM-ANON

www.gamanon.org.uk

Support to those affected by another person's gambling. A fellowship of men and women who are husbands, wives, relatives or close friends who have been affected by problem gambling.

GAMBLERS ANONYMOUS

www.gamblersanonymous.org.uk

A fellowship of men and women who have joined together to do something about their own gambling problem and to help other compulsive gamblers do the same.

GAMCARE

www.gamcare.org.uk

A registered charity that takes a non-judgemental approach to gambling, and a leading authority on the provision of information, advice and practical help in addressing the social impact of gambling.

GORDON MOODY ASSOCIATION

www.gordonmoody.org.uk
01384 241292

Provides residential treatment for severely addicted gamblers, as well as providing outreach support and internet counselling service.

CONSUMER SUPPORT:

CITIZENS ADVICE

www.citizensadvice.org.uk

Helps people resolve their legal, money and other problems by providing free information and advice, and by influencing policymakers.

DEBT SUPPORT ORGANISATIONS:

MONEY ADVICE SERVICE

www.moneyadviceservice.org.uk

An independent service, set up by government, to help people manage their money.

NATIONAL DEBTLINE

www.nationaldebtline.org

National helpline number: 08088 084000

Provides free confidential and independent advice on how to deal with debt problems.

STEPCHANGE DEBT CHARITY

www.stepchange.org

0800 138 1111

A debt advice organisation offering free, confidential and impartial debt help to anyone who needs it, available online 24 hours a day.

OTHER SUPPORT ORGANISATIONS:

SAMARITANS

www.samaritans.org

116 123

A 24 hours a day service providing confidential emotional support for people who are experiencing feelings of distress or despair, including those which may lead to suicide.

GambleAware is the leading charity in Britain committed to minimising gambling-related harm. As an independent national charity, GambleAware funds education, prevention and treatment services and commissions research to broaden public understanding of gambling-related harm. The aim is to stop people getting into problems with their gambling, and ensure those that do develop problems receive fast and effective treatment and support.

GambleAware
7 Henrietta St
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GambleAware



Safeguarding Children and Vulnerable Adults

The Partnership Approach



Content

- Aims
- Who are the Vulnerable?
- Signs and indicators of risk?
- What can I do about it?
- Q & A

Introductions

Why we work in partnership

Mutual benefits of working together:

- protecting vulnerable people
- protecting local businesses
- community safety
- Legal and social responsibility
- Financial and reputational reasons



Aims of today's session

- To be able to identify signs of vulnerability and know what actions you could take to help!

What can make people vulnerable?

- Age (children, teenagers, elderly)
- Physical disabilities / sensory impairment
- Mental Health needs
- Capacity / Learning difficulties
- Communication difficulties
- Money issues
- Social problems
- Relationships
- Addictions
- Problem gambling

– *Can you think of any others?*

Spotting the signs: Indicators of vulnerability



Scenario 1

- Albert is a 68 year old man who is disabled and uses a walking stick
- He lives with his son and family, just around the corner from the betting shop.
- Every Thursday after drawing his pension he comes into the shop, to play on the FOBT and have a 'flutter' on the horses
He likes chatting to the shop staff, who have noticed on a couple of occasions he has bruising on his wrists and face.
- Every week, before he leaves, he counts up his money before going home
- One day after losing £20 on the horses he becomes hysterical. He pleads with the shop staff, saying he daren't go home without the money as his son will be angry. He asks the shop assistant for a loan.

Scenario 2

- Sarah is a 45 year old professional
- She works at a Solicitor's office near to your city centre premises
- She calls into the shop most days to place a bet at lunchtime and again after work when she plays on the FOBTs. Often she smells of alcohol even during the work day
- She can become quite aggressive when she loses money but always keeps betting until she wins, or the shop closes
- She has now started nipping in during the morning when she does this she seems agitated, avoids eye contact with staff and leaves at high speed in her car

Scenario 3

- Jay is 15 years old
- He is known to the police and regularly truants from school to hang around with a group of 'undesirables' in the area
- He hangs around the shopping precinct near your premises a lot
- He is aggressive, rowdy and threatening to staff.
- He always looks unkempt and staff have seen him in winter, without a coat or jumper, scanning the pavement and bins looking for cigarette ends or food

Page 2/14

One day he is standing outside the shop talking to an older male. You notice Jay is wearing brand new designer jeans and a leather jacket.

- You see the older male point towards a car and he pushes Jay into the shop with his hand on the boy's shoulder. Jay is much quieter than usual.
 - When staff ask Jay if he has any ID, the older male pushes Jay to one side and answers for him, saying 'he's with me I've come to collect'.
 - Jay looks frightened as they leave the shop and you notice that a car picks them up outside, there are 2 other older men in the car.
-

Scenario 4

- Zoe always insists on organising the office sweepstake for the Grand National and the World Cup
- Now she's set up an office lottery syndicate

Scenario 5

- Dorothy is a 75 year old woman who visits the betting shop every morning after she has collected her newspaper and milk from the convenience store next door
- She is always sociable and loves chatting to the staff and having a cup of tea at the shop
- She lives alone and has no family
- She spends a couple of pounds every now and then on the FOBTs
- Lately staff have noticed that she has become forgetful and confused and she looks frail
- Last week she was coughing a lot and almost fell over, staff had to help her home
- This week, you notice that she has not been in for a couple of days

Scenario 6

- Trevor bets most days at the bookies and tells you he has recently started playing online poker at night
- He tells you that he and his wife frequently argue about money and that sometimes it 'gets out of hand'

Scenario 7

- Terry is one of your regular customers. He tells you that he has been approached by a young girl who offered him sex if he would give her money or cigarettes
- You have noticed that a group of 3 young females have started hanging around the shop after school each day. They arrive around 3.45pm and are wearing school uniform
- You check back on CCTV over the past week and see that the girls have been approaching a number of male customers, one of whom is recorded going away from the premises towards a car with a girl

Scenario 8

- Declan is a 20 year old student who recently started work at the betting shop
- After a few weeks, he begins arriving late to work in the morning and then starts taking odd days off sick
- One day he tells a colleague that he loves playing online poker after his flatmate has gone to bed, but he can't get up in the morning.
- He tells you that he's started on anti depressants and other medication to help him with his anxiety but he doesn't think its working
- You've noticed the smell of cannabis on his clothes

Scenario 9

- Debbie plays bingo every Friday night with 'the girls'
- Occasionally, she can't afford to go, so she borrows the money from her friend so as not to miss out

Scenario 10

- Darren is a 54 year old customer who has self excluded
- He has not been to the shop for 2 weeks
- One morning he enters the shop and demands to place a bet
- He is aggressive and shouting
- When he is refused, he storms out of the shop threatening to destroy the building and everyone in it, by setting the place on fire
- Darren has attempted this at another premises, in the past
- There are several customers in the shop, one of whom has left his toddler in a pushchair outside. The toddler is not being supervised by anyone.

Scenario 11

- Chen is an International student at Sheffield University
- He enjoys playing at the casino at the weekend
- He has started skipping lectures on Fridays and Mondays

Scenario 12

- Ash calls in the betting shop most days
- He uses several bank cards to place bets and occasionally disappears and comes back with more cash to play
- You overhear him on the phone telling his ex-wife he hasn't got enough money for child maintenance this month, but he has told you he's had a good win this week on the horses

What we can do!

- Interventions
- Reporting
- Recording: IRF (Incident Report Forms)
- Report to your Line Manager
- **Phone 999 if risk is imminent / assault happened or likely to**
- **Record and report concerns** to the police **101** and / or safeguarding - if a child ring 0114 2734855 or contact children's social care via the website <https://www.sheffield.gov.uk/caresupport/childfam/childrens-social-care/social-work.html>).
- **Safeguarding Adults Advice Line** (9am to 5pm, Monday to Friday) 0114 2736870. If your report is about a vulnerable adult ring 0114 2734908.
- **Signpost if safe to do so** – offer the domestic abuse helpline number 0808 808 2241 via a Sheffield Domestic Abuse Partnership contact card
- **Crimestoppers** – 0800 555 111 or online crimestoppers-uk.org and fill in the form
- **Protecting yourself:**
 - know your safeguarding policy
 - working to the code of conduct





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Kathy Driver
Principal Licensing Officer
Tower Hamlets
John Onslow House
1 Ewart Place
London
E3 5AQ

Our ref CC/AU/FUT002-29-6/5033

Your ref

07 July 2020

Dear Kathy

Future Leisure, 10 Brick Lane, London E1 Gambling Act 2005 Adult Gaming Centre

We are instructed by Future Leisure Limited and submitted the application for the Adult Gaming Centre for premises at 10 Brick Lane, London, E1. Thank you for forwarding to us your representation relating to this application dated 2 July 2020.

We have discussed your representation now with the applicant and we note all of your observations and wonder if we could provide you with further information about the application for you to consider your position.

We would like to stress that our client is an independent operator of Adult Gaming Centres who is based in North London and very much a 'hands on' operator. He will always work in partnership with local authorities, responsible authorities and residents and listen carefully to any concerns expressed. We are therefore proposing a significant number of conditions at the end of this letter which we hope will satisfy you that the requirements of the Gambling Act 2005 are dealt with. We do have some issues with parts of your representation which we also deal with as it is much more appropriate to deal with them up front rather than at a later stage. We would have suggested a meeting had we been in different times but are more than happy to have a Zoom meeting etc or to discuss further on the phone.

1. Gambling Act 2005.

You have referred in your representation to the 2005 Act licensing objectives which we will refer to later, but can we also remind you of the specific section in the Gambling Act 2005 which deals with premises licence applications and the principles to be applied by the Licensing Authority. Section 153 Gambling Act 2005 is worded as follows:

- (1) In exercising their functions under this part, the Licensing Authority shall aim to permit the use of the premises for gambling in so far as the authorities think it -
 - (a) In accordance with the relevant code of practice under Section 24
 - (b) In accordance with any relevant guidance issued by the Commission under Section 25
 - (c) Reasonably consistent with the licensing objectives; and
 - (d) In accordance with the statement published by the authority under Section 349.

The local authority is required to “aim to permit” the use of premises for gambling which places a duty upon the Licensing Authority to exercise their power so far as it is lawfully possible to achieve a position in which they can grant the premises licence and thus permit the premises to be used for gambling.

The licensing objectives are very specific and different to the licensing objectives set out in the 2003 Act and in particular, the first licensing objective relates to preventing gambling from being a source of crime or disorder or being associated with crime or disorder. As you will be aware, the Licensing Act 2003 licensing objectives refer to the prevention of crime and disorder (generally) and the prevention of public nuisance (generally).

You refer in your representation to the cumulative impact zone in Brick Lane, which both ourselves and the applicant are aware of and you also refer to the high density of licensed premises and high levels of anti-social behaviour. It is incumbent upon us to remind you that the high density of LA03 licensed premises and any anti-social behaviour connected to those licensed premises, is not relevant for a Gambling Act 2005 licence if not directly attributable to gambling and must be disregarded. It is extremely unfair for a representation from a principal licensing officer to refer to irrelevant matters and to conclude (without any evidence) with the sentence “This application will accentuate the problems associated in this area”. There is no reason or evidence whatsoever to conclude whatsoever that an Adult Gaming Centre will impact on the density of alcohol act licensed premises, or the levels of anti-social behaviour which may or may not be connected to the alcohol act licensed premises.

The specific test set out in the Gambling Act 2005 relates to whether these particular premises, i.e. an Adult Gaming Centre with all the mandatory and specific conditions will prevent gambling itself from being a source of crime or disorder. The applicant operates 7 other licensed Adult Gaming Centres and has no issues of crime and disorder connected to these premises and the police anti-social behaviour figures in Tower Hamlets generally, is not connected to Adult Gaming Centres. The applicant promotes the licensing objectives and we set out later some proposed conditions for you to consider.

2. The premises - 10 Brick Lane, London, E1

You rightly point out that the plan of the premises does not contain any detail as to where the machines will be located. There is no requirement for the plan to do so, but it may assist you in giving further consideration to this application if we confirm the following:

- (a) The machines will all be highly visible at all times to members of staff. The Local Area Risk Assessment submitted with the application refers to this and to staff patrolling the shop floor preventing access to those under age and those under the influence, a maglock and there being no counter for staff to sit behind.
- (b) Unlike a betting office, in which members of staff are located generally behind a counter and often behind a screen, the staff in Adult Gaming Centres “walk” the shop floor at all times and have considerably better line of sight and communication with customers than betting office staff.
- (c) The fact that the staff are walking the shop floor allows them to ensure that the licensing objectives are met
- (d) No one under 18 at all is allowed in an Adult Gaming Centre and anyone attempting to enter the shop is assessed by staff in so as to promote the licensing objectives
- (e) No one carrying alcohol, under the influence of drink or drugs is allowed access to the shop, the consumption of alcohol in the shop is prohibited and customers who appear intoxicated will not be allowed access to the shop. It is, with respect, wholly incorrect and unfair to suggest that these premises “could lead to customers already consuming alcohol before and after being on the premises”. Your wording of this sentence in that the premises could “lead” to this happening, suggests that the presence of this particular Adult Gaming Centre will be a cause of customers consuming alcohol either before or after being on the premises. This suggestion is without any

foundation at all and again an unreasonable and unfair suggestion for a principal licensing officer to put forward.

3. Proposed Conditions and 568a Roman Road, E3 5ES

We appreciate that the initial part of this letter seeks to address issues both with your interpretation of the Gambling Act 2005 and with several of your comments put forward in your representation. It is important that we are as open with you as possible at the earliest possible stage so that you can reasonably consider your position.

We hope that does not detract from the applicants stance which would in every single case be to work with the Licensing Authority and Responsible Authorities either during an application process or after the premises have opened. The applicant is an independent operator of Adult Gaming Centres and very “hands on”. His offices are situated in London and he knows the areas very well and a very detailed risk assessment has been put forward, including measures as to how the vulnerable will be protected.

You may or may not be aware that the applicant was last month granted a licence at 568a Roman Road, Bethnal Green and agreed with Tower Hamlets public health the following conditions:

1. Window display advertisements will not display gambling, but only the brand and products or will be plane frontage with a company logo only.
2. Challenge 25;
 - (a) The licence holder/operator shall have a challenge 25 policy whereby all customers who appear to be under the age of 25 are asked for proof of their age
 - (b) The licence holder/operator shall prominently display notices advising customers of the Challenge 25 policy
 - (c) The following proof of age are the only ones to be accepted: proof of age card bearing the PASS hologram symbol, UK driving licence, Passport
3. Refusals Book
 - (a) The licence holder/operator shall keep a register (refusals book) to contain details of time and date, description of underage persons/vulnerable persons entering the premises and the name/signature of the sales person who identifies that the person was underage/vulnerable
 - (b) The refusals book to be examined on a regular basis by the licence holder/operator and date and time of examination to be endorsed in the book.
 - (c) The refusals book to be kept on the premises and made available for inspection by an authorised officer of the local authority or the police.

The applicant would also be agreeable to all of the following conditions being added to the licence and operational at the premises.

4. CCTV shall be installed to Home Office Guidance standards and maintained in a good working condition and recordings shall be kept for 31 days and shall be made available to police and licensing officers if requested.

A CCTV camera shall be installed to cover

- (a) All entry and exit points to and from the premises enabling frontal identification of every person entering under any light conditions
 - (b) The areas of the premises to which the public have access (excluding toilets)
 - (c) Gaming machines and the counter area
5. An overt CCTV monitor to be installed, able to be seen by customers

6. CCTV shall be made available for the police viewing at any time with minimum delays when requested.
7. The following crime prevention measures shall be implemented:
 - (a) A time delay safe with deposit slot and anti-fishing mechanisms must be used at the counter till area
 - (b) Regular robbery awareness and cash handling training shall be given to all staff.
8. Prominent signage and notices advertising the Challenge 25 will be displayed showing the operation of such policy.
9. Third party testing on age restricted sales systems purchasing shall take at least twice a year and the results shall be provided to the Licensing Authority upon request.
10. A magnetic locking device, commonly referred to as a Maglock will be installed and maintained on the main entrance/exit to the premises which will be operable from the ground floor cashier counter by staff.
11. All doors and windows shall remain closed during any licensable activity.
12. A suitable intruder alarm complete with panic button shall be fitted and maintained.
13. A fire alarm and smoke detection system shall be installed.
14. The licensee will ensure that customer toilets are checked every hour for evidence of drug taking and alcohol consumption. Toilet checks are to be documents stating the time and member of staff who made the checks.
15. Toilet doors remain locked, fitted with a magnetic style-locking device and access given by staff only.

4. Summary

The applicant is very keen to work with you and consider any further proposals, but we hope you will agree that the above 15 conditions, in addition to the matters referred to in the risk assessments, provide a very detailed and comprehensive summary as to how this application is consistent with the licensing objectives. The applicant also has extensive policies and procedures in place and staff training provisions to ensure that the staff are fully appraised of the need to protect vulnerable persons and we attach as an example one of those policies.

We wonder if you would confirm, having considered the above information, whether (a) there is any further information you require, (b) whether there are any additional conditions you would wish us to consider, or (c) whether you are able to withdraw your representation.

Yours faithfully

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