

THE GAMBLING ACT 2005

APPLICATION FOR A PREMISES LICENCE

620 Roman Road
London
E3 2RW

Index to Bundle

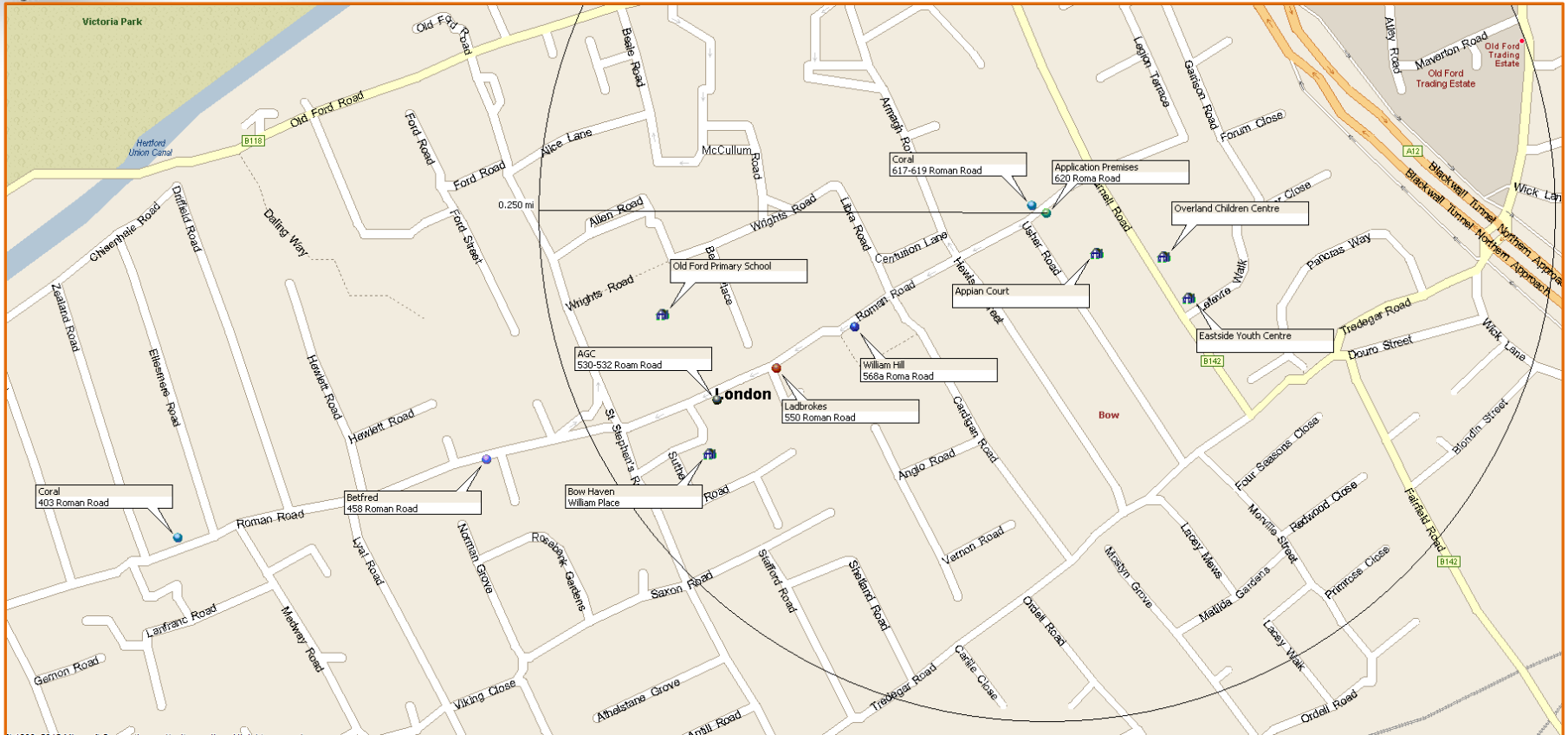
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APPLICATION SITE





QUARTER MILE RADIUS MAP



Part 5: Principles to be applied by licensing authorities

Principles to be applied

- 5.1** In exercising most of their functions under the 2005 Act, licensing authorities must have regard to the licensing objectives set out in section 1 of the Act. In particular, licensing authorities must have regard to the licensing objectives when exercising their functions in relation to premises licences, temporary use notices and some permits. Those objectives are:
- preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime
 - ensuring that gambling is conducted in a fair and open way
 - protecting children and other vulnerable persons from being harmed or exploited by gambling.
- 5.2** In considering applications, licensing authorities in England and Wales should take particular care to bear in mind that these objectives are not the same as those in the Licensing Act 2003. In particular, they do not include considerations in relation to public safety or prevention of public nuisance. The requirement in relation to children is explicitly to protect them from being harmed or exploited by gambling.
- 5.3** Similarly in Scotland the licensing objectives for the Licensing (Scotland) Act 2005 are different. In particular the Gambling Act does not include the objectives of preventing public nuisance and protecting and improving public health.
- 5.4** Section 153 of the Act provides that in exercising its functions under Part 8 of the Act (premises licensing and provisional statements), a licensing authority shall aim to permit the use of premises for gambling in so far as it thinks it is:
- (a) in accordance with any relevant code of practice under section 24 (i.e. such as that found within the Commission's *Licence Conditions and Codes of Practice* (LCCP))
 - (b) in accordance with any relevant guidance issued by the Commission under section 25 (ie this document)
 - (c) reasonably consistent with the licensing objectives (subject to (a) and (b) above), and
 - (d) in accordance with the Licensing Authority Statement of Policy (subject to (a) and (c) above). (See part 6 of this Guidance.)
- 5.5** Section 153 applies not only to a licensing authority's relevant functions under Part 8 of the Act (ie applications for the grant, transfer, reinstatement or review of premises licences and provisional statements) but also when it is deciding whether to give a counter notice on receipt of a temporary use notice. Its effect is that, whilst in such circumstances there is a presumption in favour of permitting the relevant premises to be used for gambling, the licensing authority may not do so unless satisfied that such use would be in accordance with the guidance contained in this document, any relevant Commission code of practice and its own statement of licensing policy as well as reasonably consistent with the licensing objectives. In reaching a view that the grant of a licence, or the giving of the temporary use notice, is in accordance with such guidance, code of practice or policy statement, a licensing authority is, in common with all such public authority decision makers, under a duty to act fairly and rationally. In cases where an authority is concerned whether a grant would be in accordance with, for example, the guidance in this document, this can be resolved by the imposition of appropriate licence conditions. In the unlikely event that a licensing authority perceives a conflict between a provision of a Commission code of practice or this Guidance and its own policy statement or view as to the application of the licensing objectives the structure of section 153 makes it plain that the Commission's codes and Guidance take precedence.

- 5.6** Section 153 also 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.
- 5.7** The requirements in section 153 are subject to the licensing authority's power (under section 166) to resolve not to issue casino premises licences. This means that a resolution not to issue a casino premises licence applies regardless of the matters set out in section 153.
- 5.8** It should be noted that, unlike the Licensing Act, the Gambling Act does not include as a specific licensing objective the prevention of public nuisance. Any nuisance associated with gambling premises should be tackled under other relevant legislation.

More about the licensing objectives

Objective 1

Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime

- 5.9** The Commission play a leading role in preventing gambling from being a source of crime. It will maintain rigorous licensing procedures that aim to prevent criminals from providing facilities for gambling, or being associated with providing such facilities. The Act provides the Commission with powers to investigate the suitability of applicants for operating and personal licences, and others relevant to the application. This will provide the Commission with the power to make enquiries about and investigate those who are involved in the control of a company or the provision of gambling. In considering applications for operating and personal licences the Commission will, in particular, take a serious view of any offences involving dishonesty committed by applicants or persons relevant to the application.
- 5.10** As applicants for premises licences (except occupiers of tracks who do not propose to offer gambling themselves) will have to hold an operating licence from the Commission before the premises licence can be issued, licensing authorities will not need to investigate the suitability of an applicant. If during the course of considering a premises licence application, or at any other time, the licensing authority receives information that causes it to question the suitability of the applicant to hold an operating licence, these concerns should be brought to the attention of the Commission without delay.
- 5.11** Among other matters, licensing authorities may need to consider the location of premises in the context of this licensing objective. If an application for a licence or permit is received in relation to premises that are in an area noted for particular problems with organised crime, for example, licensing authorities should think about what (if any) controls might be appropriate to prevent those premises becoming a source of crime. These might include conditions being put on the licence, such as a requirement for door supervisors.
- 5.12** A licensing authority will need to consider questions raised by the location of gambling premises when:
- formulating its Licensing Authority Statement of Policy
 - receiving relevant representations to an application
 - dealing with applications as a responsible authority in its own right
 - considering applications before it.
- 5.13** Regulatory issues arising from the prevention of disorder are likely to focus almost exclusively on premises licensing, rather than on operating licences. (Although if there are persistent or serious disorder problems that an operator could or should do more to prevent, the licensing authority should bring this to the attention of the Commission so that it can consider the continuing suitability of the operator to hold an operating licence.)

- 5.14** Local authorities are experienced in making judgements in relation to the suitability of premises, particularly those for which they have responsibilities under the Licensing Act 2003, in which context they have wider powers to also take into account measures to prevent nuisance.
- 5.15** In relation to preventing disorder, licensing authorities have the ability under section 169 of the Act to attach additional conditions to premises licences, and are entitled to include a requirement for door supervision, as provided for in section 178 of the Act. If a person employed on door supervision would be required to hold a licence issued by the Security Industry Authority (SIA), that requirement will have force as though it were a condition on the premises licence. Further information on conditions can be found in part 9 of this Guidance.
- 5.16** Local authorities should note that in the case of gambling premises licences, disorder is intended to mean activity that is more serious and disruptive than mere nuisance. Factors to consider in determining whether a disturbance was serious enough to constitute disorder would include whether police assistance was required and how threatening the behaviour was to those who could see or hear it. There is not a clear line between nuisance and disorder and the licensing authority should take the views of its lawyers before determining what action to take in circumstances in which disorder may be a factor.

Objective 2

Ensuring that gambling is conducted in a fair and open way

- 5.17** The Commission is concerned to ensure that not only is gambling fair in the way it is played, but also that the rules are transparent to players and they know what to expect. It achieves this by working to ensure that:
- operating and personal licences are issued only to those who are suitable to offer gambling facilities or work in the industry
 - easily understandable information is made available by operators to players about, for example: the rules of the game, the probability of losing or winning, and the terms and conditions on which business is conducted
 - the rules are fair
 - advertising is not misleading
 - the results of events and competitions on which commercial gambling takes place are made public
 - machines, equipment and software used to produce the outcome of games meet standards set by the Commission and operate as advertised.
- 5.18** Generally the Commission would not expect licensing authorities to become concerned with ensuring that gambling is conducted in a fair and open way as this will be a matter for either the management of the gambling business, and therefore subject to the operating licence, or will be in relation to the suitability and actions of an individual and therefore subject to the personal licence. (However, if licensing authorities suspect that gambling is not being conducted in a fair and open way this should be brought to the attention of the Commission so that it can consider the continuing suitability of the operator to hold an operating licence or of an individual to hold a personal licence.)
- 5.19** In relation to the licensing of tracks the licensing authority's role will be different from other premises in that track owners will not necessarily have an operating licence. In those circumstances the premises licence may need to contain conditions to ensure that the environment in which betting takes place is suitable. Please see part 20 of this Guidance for more information.

Objective 3

Protecting children and other vulnerable persons from being harmed or exploited by gambling

- 5.20** With limited exceptions, the intention of the Gambling Act is that children and young persons should not be permitted to gamble and should be prevented from entering those gambling premises which are adult-only environments. The objective refers to protecting children from being ‘harmed or exploited by gambling’. That means preventing them from taking part in gambling and for there to be restrictions on advertising so that gambling products are not aimed at children or advertised in such a way that makes them particularly attractive to children, excepting Category D gaming machines.
- 5.21** In relation to casinos, the Commission has issued a code of practice on access to casino premises by children and young persons, as provided for by section 176 of the Act. The code of practice is available as part of the *Licence Conditions and Codes of Practice (LCCP)* on the Commission website⁶. In accordance with that section, adherence to the code will be a condition of the premises licence. (Please see part 9 of this Guidance for more information.)
- 5.22** The Act does not seek to prohibit particular groups of adults from gambling in the same way that it prohibits children. The Commission does not seek to define ‘vulnerable persons’, but it does for regulatory purposes assume that this group includes people who gamble more than they want to; people who gamble beyond their means; and people who may not be able to make informed or balanced decisions about gambling due to mental health needs, learning disability or substance misuse relating to alcohol or drugs.
- 5.23** Licensing authorities need to consider, in relation to particular premises, whether any special considerations apply in relation to the protection of vulnerable persons. Any such considerations need to be balanced against the authority’s objective to aim to permit the use of premises for gambling.

Good practice in regulation

- 5.24** Under the Legislative and Regulatory Reform Act 2006, any person exercising a specified regulatory function has a legal duty to have regard to the statutory principles of good regulation⁷ in the exercise of the function. These provide that regulatory activities should be carried out in a way which is transparent, accountable, proportionate, and consistent and should be targeted only at cases in which action is needed. The Gambling Commission has regard to these principles in relation to its responsibilities and also has regard to the requirements of the Regulators’ Compliance Code⁸ (“the Code”). The purpose of the Code is to promote efficient and effective approaches to regulatory inspection and enforcement which improve regulatory outcomes without imposing unnecessary burdens on business.
- 5.25** The statutory principles of good regulation and the Code also apply to local authorities when they are fulfilling regulatory functions under the Gambling Act 2005⁹ and the Gambling Commission reminds licensing authorities that they are under a statutory duty to have regard to these principles and the Code.

⁶ LCCP available from www.gamblingcommission.gov.uk

⁷ Legislative and Regulatory Reform Act 2006, section 21

⁸ Regulators’ Compliance Code, Department for Business, Innovation and Skills (formerly the Department for Business, Enterprise and Regulatory Reform), 2007, issued under section 22 of the Legislative and Regulatory Reform Act 2006

⁹ The Legislative and Regulatory Reform (Regulatory Functions) Order 2007, was amended by the Legislative and Regulatory Reform (Regulatory Functions) (Amendment) Order 2009, which, amongst other things, extended the application of the 2007 Order to local authorities in Wales and Scotland exercising regulatory functions under the Gambling Act 2005 - see Parts 3 and 7.

- 5.26** Guidance produced by the Better Regulation Delivery Office seeks to assist local authorities in interpreting the requirements of the Code, for example in developing their Compliance and Enforcement Policy¹⁰, and in delivering risk-based regulation in relation to age restrictions¹¹.

Human Rights Act 1998

- 5.27** The Secretary of State has certified that the Act is compatible with the European Convention on Human Rights. In considering applications, and taking enforcement action, under the Gambling Act licensing authorities should bear in mind that they are subject to the Human Rights Act and in particular:
- Article 1, Protocol 1 – peaceful enjoyment of possessions. A licence is considered a possession in law and people should not be deprived of their possessions except in the public interest
 - Article 6 – right to a fair hearing
 - Article 8 – respect for private and family life. In particular, removal or restriction of a licence may affect a person’s private life
 - Article 10 – right to freedom of expression.

Licensing authorities are reminded of their duty when applying their Licensing Authority Statement of Policy to consider whether, in the light of relevant representations made to them, exceptions to those policies should be made in any particular case.

- 5.28** In deciding to reject an application, a licensing authority should rely on reasons that demonstrate that the licensing objectives are not being, or are unlikely to be, met. Licensing authorities should be aware that other considerations such as moral or ethical objections to gambling are not a valid reason to reject applications for premises licences. This is because such objections do not relate to the licensing objectives. An authority’s decision cannot be based on dislike of gambling, or a general notion that it is undesirable to allow gambling premises in an area (with the exception of the casino resolution powers).

¹⁰ *Template: Compliance and Enforcement Policy*, Better Regulation Delivery Office. This template policy was developed by the Local Better Regulation Office, with local authorities, to assist local authorities in developing a policy that is in line with the requirements of the Regulators’ Compliance Code, or to review their existing policy. It is available on the BRDO website at <http://www.bis.gov.uk/brdo/resources/risk-based-regulation/compliance-policy>

¹¹ The Age Restricted Products and Services Framework published in 2011 sets out an agreed set of shared responsibilities and reasonable expectations for young people, their parents and carers, businesses, employees and regulators with regards to access to age restricted products and services. The principles for regulators and enforcers will be underpinned by a Code of Practice for Regulatory Delivery, which is due to be launched for consultation in June 2012.

- in a newspaper or newsletter of local relevance, on at least one occasion within ten days of the application being made
- to all responsible authorities within seven days of the application being made (the Commission is one of these responsible authorities).

Representations

- 7.49** In dealing with an application, licensing authorities are obliged to consider representations from two categories of person, referred to in the Act as ‘responsible authorities’ and ‘interested parties’. Please see part 8 of this Guidance for more information on these categories.
- 7.50** It would be helpful if licensing authorities provide advice in a form that is readily accessible (for example, on their websites) about how representations can be made.
- 7.51** When considering a representation, the first thing the licensing authority should determine is whether the representation has been made by a responsible authority or interested party. This is very important as only representations from these two categories of person are admissible. If the representation has not been made by a responsible authority or interested party it is inadmissible.
- 7.52** Licensing authorities should be aware that their decision on this initial issue could be subject to legal challenge in the courts. There is no right of appeal under the Act against a licensing authority’s determination that representations are not admissible.
- 7.53** After determining whether the representation has come from a responsible authority or interested party, and consequently whether it is admissible or inadmissible, the authority must then determine its relevance. The only representations that are likely to be relevant are those that relate to the licensing objectives, or that raise issues under the Licensing Authority Statement of Policy, or the Commission’s Guidance or Codes of Practice (that is those matters mentioned in section 153 of the Act).
- 7.54** The Secretary of State and Scottish Ministers have made regulations under section 160 of the Act concerning notice of application. These require applicants for premises licences to give notice of their application to the responsible authorities. They also stipulate that applicants publish notice of their application in a local newspaper and display it on the premises for the benefit of interested parties. These provisions apply, with one or two necessary modifications, in relation to applications for provisional statements and some ancillary applications that can be made in relation to a premises licence. Responsible authorities will have a legitimate interest in the development of the premises, because of the functions that they will need to carry out in relation to them. But licensing authorities must take care to ensure that the concerns that responsible authorities may have in relation to their own functions are not taken into account if they are not relevant to the application for a premises licence under the Act. Thus, the following examples of possible representations would not likely be relevant:
- that there are already too many gambling premises in the locality (although it may be relevant if it points, as a result, to rising problems in crime, disorder, underage gambling or problem gambling)
 - that the proposed premises are likely to be a fire risk
 - that the location of the premises is likely to lead to traffic congestion; or that the premises will cause crowds of people to congregate in one area, which will be noisy and create a nuisance.

This list is by no means exhaustive, and each case must be decided on the facts.

- 7.55** It should be noted that, unlike the Licensing Act, the Gambling Act specifically does not include as a licensing objective the prevention of public nuisance. Any nuisance associated with gambling premises should be tackled under other relevant laws.

7.56 Linked to this is the question of what is a ‘frivolous’ or ‘vexatious’ representation. This is a question of fact, and authorities are advised to seek help from their legal advisers in interpreting these phrases. Representations that could be considered ‘frivolous’ or ‘vexatious’ are more likely to come from interested parties. However, matters that licensing authorities will want to look at are likely to include:

- who is making the representation, and whether there is a history of making representations that are not relevant
- whether it raises a ‘relevant’ issue
- whether it raises issues specifically to do with the premises that are the subject of the application.

7.57 The Commission does not routinely make representations on premises licence applications. However, the fact that the Commission has not made a representation on a particular premises licence application should not be taken as indicating the Commission’s approval of that application. Exceptionally, where an application for a premises licence, or the operation of a current premises licence, raises matters of wider or national significance, the Commission will consider making representations or requesting a review.

Making a decision

7.58 As explained earlier in this Guidance, in relation to premises licences, the licensing authority’s primary obligation under section 153(1) is to permit the use of premises in so far as it thinks that to do so is:

- a) in accordance with relevant codes of practice issued by the Commission
- b) in accordance with guidance issued by the Commission
- c) reasonably consistent with the licensing objectives (subject to (a) and (b) above), and
- d) in accordance with the Licensing Authority Statement of Policy published by the authority (subject to (a) to (c) above).

7.59 For guidance as to the meaning and effect of section 153, see paragraph 5.5 above. If, in a particular case, a licensing authority were to decide either to grant or to refuse a premises licence in circumstances in which the Commission’s Guidance indicated the opposite conclusion the decision could be challenged on appeal or by judicial review.

Relationship between planning permission, building regulations and granting of a premises licence

7.60 In determining applications the licensing authority has a duty to take into consideration all relevant matters and not to take into consideration any irrelevant matters, in effect those not related to gambling and the licensing objectives. One example of an irrelevant matter would be the likelihood of the applicant obtaining planning permission or building regulations approval for their proposal. Licensing authorities should bear in mind that a premises licence, once it comes into effect, authorises premises to be used for gambling. Accordingly, a licence to use premises for gambling should only be issued in relation to premises that the licensing authority can be satisfied are going to be ready to be used for gambling in the reasonably near future, consistent with the scale of building or alterations required before the premises are brought into use. This is why the Act allows a potential operator to apply for a provisional statement if construction of the premises is not yet complete, or they need alteration, or he does not yet have a right to occupy them. See part 11 of this Guidance for more information about provisional statements.

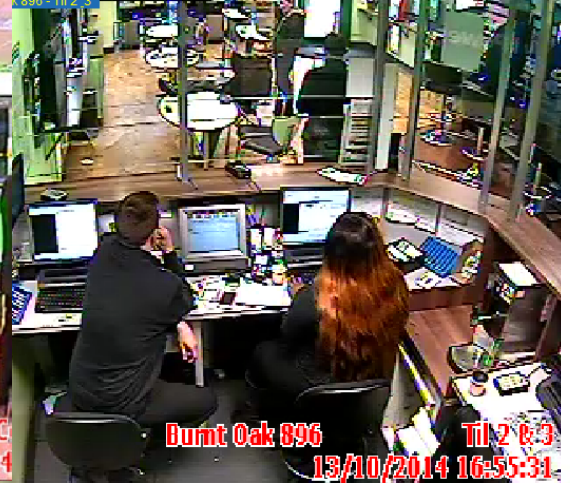
7.61 As the Court has held in a 2008 case¹⁸, operators can apply for a premises licence in respect of premises which have still to be constructed or altered, and licensing authorities are required to determine any such applications on their merits. Such cases should be

¹⁸ The Queen (on the application of) Betting Shop Services Limited –v- Southend-on-Sea Borough Council [2008] EWHC 105 (Admin)

- We have adopted and complied with the guidelines produced by the Association of British Bookmakers (ABB) in relation to the Proceeds of Crime Act 2002 (POCA) .
- Although a rare occurrence; If we suspect anyone of using our premises for the furtherance of criminal activity (for instance drug dealing, using counterfeit money, selling suspected stolen property and criminal damage) we will contact the police immediately, report to our UK Head of Security and record the instance in the shop log.
- We exercise considerable caution when approached by a customer unknown to us who wants to place a significant bet.
- We at Paddy Power are also aware of the need to notify the Gambling Commission should we suspect anyone, including our own staff, of committing an offence under the Act.
- All of our shops have digital CCTV installed, recently upgraded to a 24 hour remote system with virtually every area of the customer area supervised.
- We have a full time Head of Security / Money Laundering Officer heading a security team monitoring staff / customer activity.
- We have consulted with the Police & submitted plans for approval when making this application.



AN EXAMPLE OF PADDY POWER CCTV



Hansard Extract

On 9 November 2004 there was a debate in the House of Commons over whether to amend the Licensing Objectives to include “the prevention of public nuisance.) Below are the relevant paragraphs from Hansard.

The amendment was withdrawn. The following are material extracts from Hansard:

Hansard 9th November 2004

Col: 12

Mr. Foster Moving amendment to include prevention of public nuisance in Licensing Objectives

Why is it important that we deal with that in the objectives? The answer is simple. As the Bill stands, the local authority is unable to take account of effects that may occur not in a new casino or on gambling premises, but further afield, outside those premises. It is crucial that local authorities have the opportunity to do so. Indeed, the Local Government Association said when it wrote to all Members about the Second Reading debate that the prevention of public nuisance should be a licensing objective:

"The licensing objectives set out in Clause 1 of the Bill do not address potential problems of nuisance arising in the street outside gambling premises. This is particularly likely late at night and when alcohol has been consumed. While the Environmental Protection Act 1990 places a duty on local authorities to deal with statutory nuisances arising from the premises itself, and to investigate residents' complaints, it is not possible to use this legislation to deal with street nuisance, even where the problem is directly attributable to a particular venue."

Use of the Environmental Protection Act for such matters is therefore not possible. The LGA goes on to say:

"This omission will seriously hamper the ability of councils to ensure effective management of the environment around gambling premises and provides residents with little scope to make representations should street nuisance occur. The LGA believes that a new licensing objective of the prevention of public nuisance should be added to Clause 1."

Hansard 9th November 2004

Col 37

Richard Caborn, Answering the amendment

[Having dealt with the liquor-licensing of Casinos...]

There is no intention of allowing other gambling premises, such as betting shops and machine arcades, to sell alcohol, and there is no reason to apply to them a nuisance test over and above the law on noise and other nuisance. There is no well established association between betting and nuisance of the sort that unfortunately exists between alcohol and nuisance. We do not

believe that there is any reason to single out betting shops for special treatment in contrast to grocery shops, newsagents or any other shop.

There are provisions in the general criminal and civil law on the control of public nuisance. If they are not thought to be adequate—I am not expressing a Government view on this—the solution is to strengthen the general law, not to adopt specific measures for gambling premises on the basis of no

Column Number: 038

evidence of need. In practice, all licensed gambling premises are more likely to conduct themselves responsibly than the general run of premises, if only because they will have to satisfy not just the local licensing authority concerning their present licence, but the powerful gambling commission in relation to their operating licence.

Amendment No. 1 would be regulatory overkill. The official Opposition, who continually badger us about red tape and over-regulation, should reflect on their amendments in the light of my explanation. Amendment No. 1 would only reinforce the apprehension in the gambling industry that local authorities will be over-zealous in regulating premises, and I do not believe that those fears are well grounded. It would impact significantly on the matters that could be taken into account by local authorities and would go beyond what is reasonable. I cannot advise the Committee to accept it.

[Saturday, 24 November 2012]

- **A copy of our current betting rules is prominently displayed in each of our offices.**
- **We encourage shop teams / district managers to use positive discretion to resolve customer issues at a local level – we are very proud of the fact that very few issues are escalated beyond this stage.**
- **Where a customer dispute cannot be resolved satisfactorily we encourage reference to IBAS.**
- **We will always abide by any decision made by IBAS.**
- **Our shop staff receive ongoing / refresher training which we believe to be essential in ensuring that any possible issues are addressed at bet acceptance stage.**

- **All our staff receive ongoing extensive training on social responsibility.**
- **The protection of the vulnerable is at the heart of all new employees' induction training regardless of whether they are experienced or not**
- **Under 18 notices are prominently displayed in each of our offices.**
- **All staff will require sight of a photographic form of identity if they suspect a customer to be under age – all such instances are recorded in the shop log.**
- **We prominently display leaflets and posters giving information on Gamcare services together with contact details.**
- **We operate a self-exclusion policy whereby customers complete an exclusion form together with a recent photograph – details are circulated to all nearby Paddy Power offices.**
- **We regularly donate to The Responsibility in Gambling Trust (RIGT).**

SAFETY AND SECURITY



CCTV images are being recorded



Security alarms



Time delay safe



Please remove crash helmets before entering shop



No alcohol



No under 18's



No smoking

- Drugs will not be tolerated and persons found in possession will be excluded from the premises
- Those under the influence of drugs or alcohol will not be tolerated on the premises

THESE MEASURES ARE IN PLACE IN THIS SHOP FOR THE SAFETY OF CUSTOMERS AND STAFF.

1000

This scheme is controlled by Paddy Power PDS, 9th Floor, Crossway House, 99-100 Southwark Street, London, SE1 1HN.
For further information please contact us on 0207 999 3799.

Paddy Power
BOOKMAKER

Paddy Power

Retail Compliance

SECTION
1



Retail
Operations
Manual

Paddy Power
18

Introduction

This is your guide to understanding the Compliance aspect of the UK Retail Business and your role in ensuring we remain compliant with all aspect of Social Responsibility.

This guide is for all UK employees working in our Retail business.

In order to operate within the UK Gambling Industry, Paddy Power must abide by legislation, in order to comply with legislation we expect all staff to fully understand and comply with our policies. This is the most important aspect of our business.

This manual is a guide to communicate our policies and procedures in dealing with all aspect of Social Responsibility.

We want you to know what is expected of you, so it's important you read this guide carefully. If anything is not clear then feel free to speak with your Manager or District Manager at any time.



Andy McCue
HEAD OF UK RETAIL

Paddy Power

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Retail Compliance

Licensing Objective 1

The Gambling Commission

The Gambling Commission was set up under the Gambling Act 2005 to regulate the majority of commercial gambling in Britain.

The Gambling Commission sets out conditions and codes of practice that we must abide by. Complying with these conditions is the most important objective of the business. The Gambling Commission's requirements all flow from three licensing objectives that are set out in the 2005 Act.

We need three types of licence to run our business:

1. **Operating Licence** – issued by the Gambling Commission permitting Paddy Power to trade.
2. **Personal Licence** – issued by the Gambling Commission to our more senior managers confirming that they are fit to run the business.
3. **Premises Licence** – issued by the Local Authorities and these allow our individual shops to trade.

There are various ways the Gambling Commission assess suitability of the above:

Assessment of Integrity

The Gambling Commission seeks to ensure that gambling does not become a source of crime by:

Checking personal licence's criminal records and in certain circumstances where particular concerns exist, conducting enhanced criminal record checks.

Checking the company's major shareholders are respected financial bodies or people and that they have no links to crime. Where appropriate, the Gambling Commission will seek information from other law enforcement agencies, gambling regulators in other jurisdictions and other bodies, which may hold information relevant to the application.

Assessment of Competence

We have to ensure that all staff involved in the provision of gambling are properly trained to carry out their functions. The Gambling Commission will consider whether the operator's training programme meets the requirements that may be issued from time to time.

We are required to demonstrate how we meet the requirements of the Gambling Commission and consider the three licensing objectives in everything we do.

Licensing Objectives

The three licensing objectives that underpin everything required from us are:

To prevent Gambling from being a source of crime and disorder, being associated with crime and disorder or being used to support crime.

To ensure that Gambling is conducted in a fair and open manner.

To protect children and other vulnerable persons from being harmed or exploited by gambling.

These are the three areas that the Gambling Commission focuses on when they visit our shops or review our policies and procedures.

They can be summarized as:

- **C** Keeping crime and disorder out
- **O** Being fair and open
- **P** Protecting children and the vulnerable

All staff will be required to understand and explain the 3 licensing objectives, the easiest way to remember them is **COP**, crime, open and protect. The Gambling Commission are like COP's who regulate our industry, therefore the reference to COP.

Paddy Power's Compliance Officer

To ensure that we remain compliant, **Billy Thomson** - UK Retail Area Manager is our Head of Compliance.

The following pages are our policies and procedures to ensure that we remain compliant with every aspect in relation to the Gambling Act 2005. Every member of staff at Paddy Power must be fully aware of these and comply in full at all times. To make understanding easy, we have broken them down by each objective.

Licensing Objective 1

To prevent gambling from being a source of crime and disorder, being associated with crime and disorder or being used to support crime.

2002 Proceeds of Crime Act (PoCA)

Under the Money Laundering legislation we have a duty as a Company to comply with the act, therefore, the following will give you guidance as to what constitutes Money Laundering and what you should do if you suspect Money Laundering is taking place within your shop. In particular you should be mindful of customers using stolen or cloned cards to play the FOBT machines whereby they only play a couple of games and cash the ticket in requesting cash payment. If in these circumstances you suspect money laundering is taking place you should inform the customer that the money will be refunded to their card.

Money Laundering and Suspicious Activity Reporting (SARs)

Money laundering is a process criminals use to try and hide the true source or the origin of the results of their criminal activity. In other words, the 'results' here mean money.

Criminals try to make money appear legitimate or from a legitimate source. They basically try to 'clean' or 'launder' dirty money.

Some examples of suspicious activity:

- Betting on non-runners or very short priced favourites.
- Loading of Gaming Machines and collecting the balance after little or no play.

- Irregular activity – Customers betting levels increase dramatically, with no indication of where source of funds has come from.
- Suspicion that customer is involved in criminality i.e. drug dealing, fraud.
- Customer is known to have previous conviction i.e. money laundering, drug dealing.
- Using a Licensed Betting Shop to deposit or withdraw large amounts of cash from online account.
- Staking in cash and requesting payment by Cheque. ID should be requested when issuing cheques they must be made out to the customer collecting the winnings.
- Customers requesting receipts/copies of their tickets from the Gaming Machine payouts.

What information do I know about this individual for certain?

- Nothing, they just appear, place their bets and return for their winnings.
- They almost certainly have a criminal record/connections
- Is a regular customer who may be willing to place bets on behalf of someone else?

If any of the examples of suspicious activity occur and the answer is **'YES'** to any of the questions above, staff must report it to their Duty Manager.

The Duty Manager must then contact their District Manager for further advice. If the suspicion is confirmed, the district manager will instantly contact the Money Laundering Reporting Officer (MLRO) who will assess the information and advise the District Manager on what action to take.

Who is our MLRO?

Bruce Bailey, Security Manager is the Company's official MLRO, he can be contacted on **0207 089 9700**

Terrorist Financing

Under the Terrorism Act 2000, we need to ensure that we are preventing Paddy Power from being used in connection with terrorist financing.

Terrorist Financing is when a person intentionally uses, possesses or receives funds which they know or suspect will be used for the purposes of terrorism.

It is recognized that terrorist financing is harder to identify than money laundering as the customer's activity will usually be the same as any other customer, and often their funds will come from legitimate sources.

We have a duty to report anyone that we suspect or believe is in possession of money or property that is terrorist property or derived from terrorist property.

The Importance of Reporting

Appropriate reporting will provide legal protection for both employees and the company. It will act as a safeguard to identify any proceeds of crime being legitimized or channelled through our operations. This reporting process will also protect our licenses and standards of integrity.

There are five basic principles within our anti-money laundering and terrorist financing initiative that covers all of our operations.

- i. The appointment of a Money Laundering Reporting Officer(MLRO)
- ii. Ensure that all employees are aware of relevant legislation
- iii. We will act on 'knowledge and suspicion'
- iv. MLRO will retain relevant disclosure records for six years
- v. Rigorously apply the company's policies and procedures.

Upon receiving a report of suspected Money Laundering or Terrorist Financing, the MLRO will then determine whether the facts justify a formal disclosure to the appropriate agency. The MLRO will keep a private and confidential record of any report for six years.

The MLRO is responsible for ensuring compliance by the company and its employees, through monitoring, auditing and analyzing patterns and

levels, throughout all aspects of our operations. The MLRO liaises and maintains mutually beneficial working relationships with the Serious Organized Crime Agency (SOCA).

What should you do if you suspect Money Laundering or Terrorist Financing?

If you are a member of staff and have any knowledge or suspicions about the activities taking place in your shop, your Duty Manager must be informed immediately.

The Duty Manager can then decide whether to consult the DISTRICT MANAGER for further opinion.

If the suspicion is again confirmed, the DISTRICT MANAGER will immediately contact the MLRO who will assess the information and advise the District Manager on what action to take next.

As a member of staff, once you have reported and discussed your suspicions with your Duty Manager, your responsibilities have been fulfilled and you should then only take any further action if instructed to do so by your Duty Manager, DISTRICT MANAGER or MLRO.

We all have particular responsibilities to ensure when accepting a bet with Paddy Power, whether in a shop, on-course or through the internet and telephone operations, that the bet is not used for illicit purposes.

Any failure to report suspicions could result in you committing a criminal offence which is punishable by a fine, imprisonment or both.

Prejudicing an Investigation

Under no circumstances should a customer be made aware, by an employee, that they are subject of a report in relation to Money Laundering or Terrorist Financing. It is an offence and it can also put the safety and security of other members of staff at risk.

Money Lending

Licensees should seek to prevent organized money lending between customers on the premises.



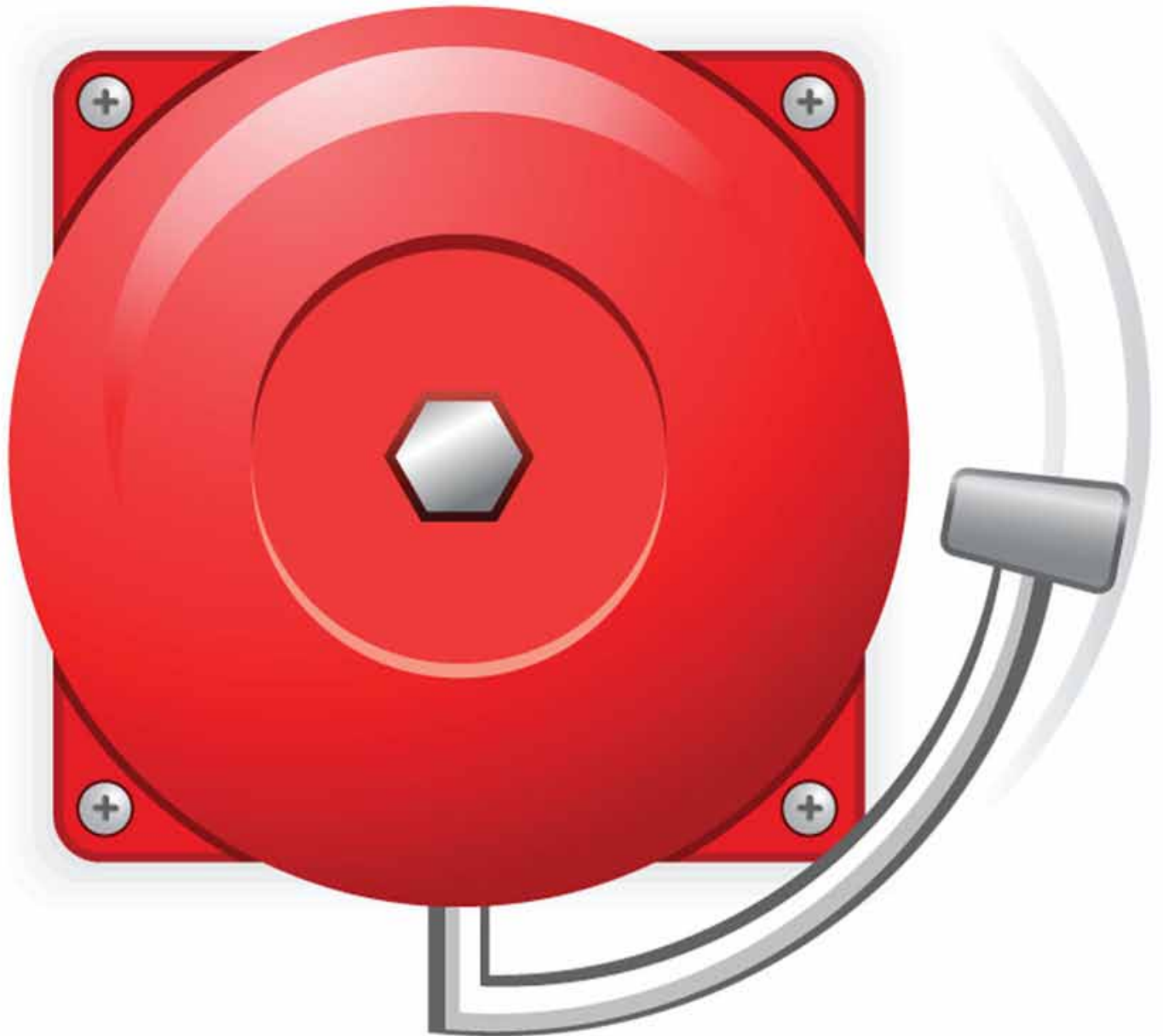
If you are working as a member of staff, you should report any instances of substantial money lending to your Duty Manager, who if they confirm your suspicion, will then contact the District Manager.

Remember to adopt a common sense approach as you do not need to report someone lending money to one of their friends.

Sporting integrity

We have a responsibility to maintain a high level of integrity in our business and within sport on general. We need to look out for any evidence that someone is cheating at a sport in order to make money betting on it.

Should an individual attempt to place a bet on an event which you know or suspect they are directly involved in, you should notify your District Manager at the earliest opportunity – either before the bet is taken or as soon as you became aware of the situation, so for example; if a well known sports star enters your shop to place a bet on a game they are involved in, alarm bells should start ringing.



Crime Prevention

Advice & Guidance

The following has been prepared in consultation with the Association of British Bookmakers (ABB) and country wide Police Forces. It also acknowledges the Safebet Alliance initiative, which is supported by a number of external agencies.

The following has been produced as a reference guide for all shop teams, fortunately, the overwhelming majority of our shops will never be subjected to a Robbery and by following this advice you will further reduce the risk of attack and ensure the safety of yourself, colleagues and customers.

The contents are not designed to meet all circumstances but should assist you in taking an appropriate course of action.

All Paddy Power shops are equipped with safes, intruder Alarms, CCTV and where appropriate a full or partial Security Screen. All members of staff should know what equipment is in place and how and when to operate it.

In addition the CCTV in your shop will be monitored locally to ensure that all systems and advice intended to reduce the risk of robbery are being adhered to.

It may be necessary for staff to work alone from time to time. The shop and the member of staff will have been subject of a Risk Assessment and a copy of the assessment will be contained within the shop.

Any member of staff who is scheduled to single work must be familiar with Safe Working Practice and also know the telephone number of Security Department.

Opening Preparations for Trading

- You should be on time and alert to your surroundings as you approach the shop. If you are suspicious of anyone hanging around near the shop, do not go to the door, but walk away and call the Police or Security Department for advice and assistance.
- You should know the full address of the shop you are about to enter, preferably with a local landmark should you need to call the Police and location code should you need to call the Security Department.

- On approaching your shop you should take note of your external alarm box/panel. If the alarm strobe light is flashing this may indicate that the alarm has been activated, in which case advice must be sought from the Security Department before entering the shop.
- Once inside the shop, lock the door immediately. Prepare the shop for trading with the door fully locked at all times. Ensure that the tills have only the proper float levels and all other cash is dispersed properly using upright and time delay inserts.
- Do not open the door to anyone unknown prior to opening unless you are fully satisfied with their identification. Criminals may attempt to gain entry posing as staff, contractors etc. If in doubt, return behind the counter and contact the Security Department or your District Manager for advice.

During Trading

Current trends are that robbery offences most commonly occur after 6.30pm, whilst staff should be vigilant at all time, it is particularly required during these times.

Most robbers are strangers, and will sometimes come in or send an accomplice in to 'check out' the premises before any offence.

Staff should not be afraid to ask a stranger if they need any help. If you make eye contact, a potential robber may well be put off and leave for an easier target. You do not need to leave the counter area to do this. Be aware of distraction tactics, designed to get you out of your safe area to look at a FOBT or other problem. If in doubt, contact Security Department, they can dial into your CCTV and give appropriate advice and guidance.

The counter door must be kept secure at all times, do not allow anyone such as delivery persons; contractors etc behind the counter unless you are fully satisfied as to their identity and the reason for them being in the shop, contact Security Department if in doubt.

Cash in the tills should be kept within company guidelines, which should reflect business needs. It is important that you do not count

large amounts of cash in open view of customers. All other cash should be dispersed, using upright and time delay inserts. Cash should be kept out of reach from the customer area, and staff must be discreet when paying out or discussing large payouts with customers or colleagues. Always keep till drawers closed when not in use.

Be aware of strangers loitering in or around the shop, should you have concerns then contact Security Department. Do not allow any unauthorized people back into the shop after closing time for any reason!

When you put money away, leave only the allowed amount in the main body of the safe, the rest should be placed into the time delay insert.

Push-in robberies can occur at closing times as well as at opening, the robber(s) will spot signs that staff are getting ready to leave the shop, by observing them putting coats on etc. for them to see this, they must be close to the shop, so check the immediate vicinity (bus stops, parked cars) before unlocking the door to go out.

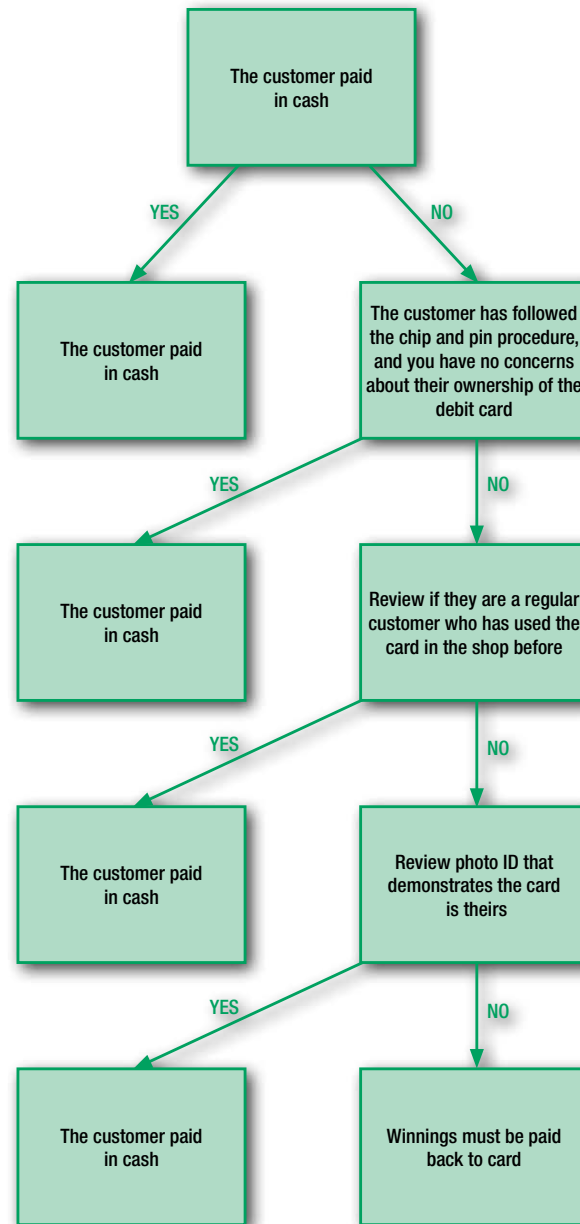
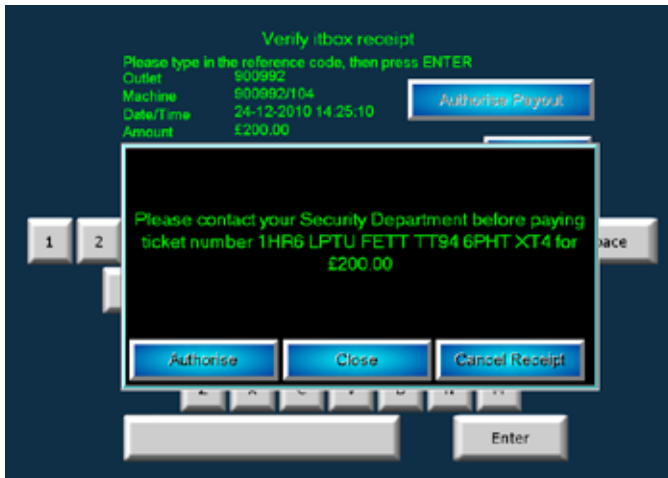
If two or more staff members leave together, it may be that the Manager will ask his/her colleague to move a short distance away to observe the Manager locking up. This may give them the opportunity to raise the alarm in an emergency. When leaving, staff should do so by the main door, which must be locked immediately. Once the front door is locked do not continue to loiter by the shop entrance.

During Trading – FOBT Procedure

FOBT's should only be emptied when it is operationally necessary AND it is safe to do so. No-One should attempt to empty FOBT's if in any doubt about one or more people in the customer area, or if working alone other than in exceptional circumstances. You must always contact either your District Manager or Security Department request permission to empty the FOBT's for operational reasons during trading.

We have recently developed a technology to help identify potential money laundering on the FOBTs. This technology highlights customers that have suspicious playing patterns via the back office (playing a

small proportion of their original stake and redeeming high value tickets). The following screen will appear on the FOBT back office when a customer attempts to cash a suspicious ticket; If a customer's ticket is flagged as suspicious on the back office you must follow the procedure illustrated opposite;



Reporting

In every case where a payout ticket has been flagged as “suspicious”, you must do the following

- Follow the procedure for “Paying out winnings” detailed above
- If you have any queries before completing the payout, contact Security for guidance
- After the payout is completed (whether or not you already spoke to Security), report the transaction to Security by email to **security@paddypower.com**:
 - Shop, date & time, amount
 - Method of payout (cash or card)
 - If cash, the reason why the customer was entitled to received payment in cash. This should always be one of the following:
 - The customer has followed the full chip and pin procedure, and you have no concerns about their ownership of the debit; OR
 - The customer is a regular who has used the card in the shop before; OR
 - Photo ID was reviewed that demonstrates that the card is theirs

It is also worth re-clarifying the company's policy on debit card transactions;

Processing transactions from debit cards

- It is Paddy Power's policy to accept debit card transactions from customers assuming the following is true:
 - The customer has followed the full chip and pin procedure, and
 - You have no concerns about their ownership of the debit card
- If you have reason to believe that the customer is not the rightful owner of the card, you must:
 - Review photo ID that demonstrates that the card is theirs (i.e. driving licence or passport)
 - If this cannot be provided you should refuse the transaction

If you have any questions please follow up with your District Manager or a member of the Security Team.

Banking

Not all robberies occur in the shop – a small number occur when staff are taking the cash to the bank/post office or between shops for operational reasons. The same advice applies to both sets of circumstances:

- Always try to operate your shop at all times with a minimum holding cash, reduce cash to minimum by banking down to your authorized float level daily and as often as possible during the day dependant on you locality.
- Should you have a closing balance of £15k or more then contact your District Manager and Security Department, who will ensure that suitable arrangements are made to offer support in banking.
- When preparing banking, do so out of sight of customers in a private secure staff area.
- A lone member of staff should take no more than £5,000 in any one visit to the Bank or Post Office, if large amounts need to be banked, then the District Manager should be consulted.
- The cash should be carried discreetly, and if possible, all corporate clothing should be either removed or covered. It is also wise to ensure that the money is dispensed throughout and not in just one location e.g. handbag or within one pocket.
- Any route to the Bank / Post Office should take into account known vulnerable areas: these areas should be avoided if possible.
- The time and route should be varied.
- Know your local Bank / Post Office opening and closing times, use the full range of opening times to bank, speak to them about special arrangements – for example a privilege service to avoiding waiting in queues. Always consider banking both am and pm. Go direct to bank / Post Office; do not carry out any other tasks until the banking is done.

Intruder Alarm

All Duty Managers are responsible for ensuring that the Intruder Alarm is fully operational and activated before leaving for the night. If you have any problems with setting the shop alarm you must contact Secom, the emergency number for Secom is next the Alarm panel within the shop.

Retail Compliance

Panic Alarm

All shops have panic alarms, you should be aware of where they are located, both in the counter areas and other parts of the shop, such as staff areas.

You should only use panic alarm buttons if:

- You believe you are about to be robbed or a robbery is in progress...and it is safe to do so!
- You require urgent, immediate assistance.

Do not use panic alarm buttons after a serious incident, it is far more effective to dial 999 direct and give quality descriptions, methods used, directions of escape and vehicle registration etc.

The type of Panic Alarm buttons that we use are dual press, the operation requires both button(s) to be pushed in for a few seconds to activate the alarm. Remember that some alarms require to be reset using the appropriate key.

During a Robbery

If a robbery takes place:

- If you get the opportunity, get out of sight in the staff kitchen or other area that can be secured. Most robberies take less than one minute. If possible remain out of sight until you are satisfied that the robber(s) have left.
- Do not take risks, it is best just to keep still and do as you are told, avoid making any sudden movements.
- Do not confront or attempt to apprehend the offender(s), remain calm and comply with meaningful instructions from the offender(s).
- If you are not directly involved keep away, if you are out of sight, stay there. Obey instructions and do exactly what you are told, your safety is paramount.
- Press the panic alarm buttons, but only if it is safe to do so before or during an incident.
- Following a robbery, if the panic alarms have not been pressed then dial 999.

- Remember, if a robbery occurs, try to make a mental note of the suspect's descriptions. Even if the raider is masked remember what you can about their clothing labels, accents, height, age, peculiar mannerisms and the type of weapon they may be carrying. Try to recall the exact words that they used. Look out for scars and tattoos. If possible and if it is safe to do so, watch their getaway route and note any car registration number, make model. Write down what you remember as soon as you can and keep your notes. Ask any customers to remain so that they can assist police as witnesses, if they cannot wait take down their name and details as the police may want to contact them.



Immediately after a Robbery

After a robbery you should complete the following tasks systematically and quickly, speed is vital because it can lead to the early arrest of a criminal:

- Telephone 999 and ask for the Police, tell the operator there has been a robbery, give them the name and address of the shop and tell them if anyone is injured. Give as much quality information as possible, such as number of suspects, any weapons you may have seen, descriptions of suspects and their clothing, direction and escape and vehicles.
- Stop trading immediately and ensure the premises are secure; this gives the Police and Scenes of Crime Officer the best possible chance of finding any forensic evidence. Do not touch anything as you could destroy traces of evidence left by the criminals such as DNA, fingerprints, palm prints and shoe marks.
- If there are customer present, ask them to remain until the Police arrive, if they cannot ask for names and addresses.
- Notify Security Department and your District Manager
- Write down the descriptions you remember
- Await the arrival of the Police.

What happens next?

- The Police will respond immediately and will thoroughly investigate all allegations of robbery, they will ask searching questions so the facts can be checked and all relevant evidence can be gathered. This is necessary as part of the investigation.
- Be prepared to make a full Police Witness Statement, which may take some time.
- If you do complete a Police Witness Statement, please ask for a copy and hand to your District Manager so that a complete picture of the events can be recorded by the company.
- Obtain contact details of the Police Officer attending the scene, and ask for a Crime Reference Number.

A senior member of staff will visit the shop as soon as possible following a robbery incident to support you. A member of the Security Department will contact you regarding the incident and will also liaise with the Police.

You will be kept informed of any developments relating to this incident, sometimes the Police Officer in charge of the case may contact you direct, if this happens, make sure you tell your District Manager and Security Department.

Support after a Robbery

The company provides an independent counselling service offering Paddy Power employees a free confidential helpline, which provides access to advice, information and face-to-face counselling where appropriate.



Licensing Objective 2

To ensure that gambling is conducted in a fair and open way.

Legally Enforceable

Prior to 2007, a gambling transaction was seen as a gentleman's agreement, this meant that any disputes between Paddy Power and the customer could not be challenged and resolved through the courts.

From 1st September 2007, the law changed in respect of gambling contracts, and therefore, any debts owing under these contracts are now legally enforceable. This means:

A customer can issue proceedings in the courts to recover a bet if we refuse to pay out or there is a dispute over it.

We will continue to settle bets by our rules. Our rules are reviewed to ensure that they reflect applicable content and consumer law. Where appropriate, we will continue to refer customers to the Independent Betting Adjudication Service (IBAS).

Dispute Resolution

The Independent Betting Adjudication Service (IBAS) acts as an impartial adjudicator on disputes that arise between gambling operators and their customers.

In dealing with a customer complaint, please ensure that you do not pass any judgement which could be in complete disagreement with what the Duty Manager or the Customer Service Team has decided to do, for example, if your Duty Manager has decided not to pay out on a bet do not say to the customer, "if that had been me, I would have paid you" – employees represent the Company and should not offer personal views which could have an impact on the decision made. If members of staff feel the situation has been dealt with incorrectly, please refer to your Duty Manager; do not mention anything in front of the customer.

In your shop you will find a stock of leaflets headed '**How did we do today, we value your comments**'. If a customer is not happy with the way a complaint has been handled in the shop, give them one of these leaflets. The leaflet explains the procedure for customers and gives details of how to

contact our Customer Relations Team and explains that the customer has the option of going to an independent betting adjudication service (IBAS) if the complain is regarding a betting dispute. The Gambling Commission will refer to this as the Dispute Resolution process.

Clearly, we would always hope that complaints/disputes could be resolved by the shop team. At Paddy Power we strive to make every experience a great one for the customer so bear this in mind when complaints/disputes arise.



The procedure for dealing with complaints/disputes is noted below, which is what is contained within our '**How did we do today, we value your comments**' leaflets.

Stage 1

If you have a complaint or dispute, you should return to the shop in which you placed the bet and raise it with a member of staff. In most cases this will be the Manager or Assistant Manager. That vast majority of disputes are resolved at this stage.

Stage 2

If the staff in the shop are unable to resolve your complaint and you still remain dissatisfied, you can contact our **Retail Helpdesk on 0207 089 9791**. One of our staff will take the details of your issue along with your name and contact details. You should expect our Retail Helpdesk to contact you back within 24 hours hopefully resolving your issue. One of our Customer Service Team members will take all your details and overseas the management of your complaint. They will look into your complaint in detail and liaise with the shop staff and the local Management Team; we will deal with your complaint as quickly as possible.

One of our Customer Service Team members will take all your details and overseas the management of your complaint. They will look into your complaint in detail and liaise with the shop staff and the local Management Team; we will deal with your complaint as quickly as possible.

Stage 3

If a complaint regarding a bet is not resolved to your satisfaction, you may refer the matter to IBAS (Independent Betting Adjudication Service) who provide a free, independent impartial and confidential dispute resolution service. IBAS will investigate the matter further and inform you of the correct settlement of your bet. In doing this they will ask us to provide any relevant information, such as betting slips, Paddy Power will always comply with any ruling made by IBAS. The details for IBAS are noted below:

If you have received exceptional service from any member of our shop team or have been impressed with the way in which your query has been handled please feel free to let us know.

Please email us at ukretailfeedback@paddypower.com or write to us at Paddy Power 56/58 Southwark Street, Crowne House 5th Floor London SE1 1UN



IBAS PO BOX 62639 London EC3P 3AS
TEL: 020 7347 5883
Email: adjudication@ibas-uk.co.uk
Web: www.ibas-uk.com

Rules Display

Our rules outline the terms under which bets are accepted in our Licensed Betting Offices (LBOs).

It is your responsibility to ensure that you are familiar with these rules and that these are correctly displayed.

By placing a bet the customer accepts our rules applying to the particular sporting event they have chosen.

Amendments and updates to our rules can be made at any time so please ensure that you make yourself aware of any changes.

Licensing Objective 3

To protect children and other vulnerable people from being harmed or exploited by gambling.

Young Persons, Children and Underage Gambling

We have measures in place to prevent occurrences of underage gambling that include:

- Clear signage at the front door(s) and within the shop stating the minimum age of entry.
- Think 21: the requirement for anyone who appears to be under the age of 21 to provide proof of age before they are permitted to gamble.
- Clear staff instructions and training with regard to our policy and procedures in relation to the prevention of underage gambling.
- Internal audits to measure our level of compliance.
- Disciplinary action against members of staff who fail to apply our underage policies.
- We ensure that our external marketing is appropriate and not attractive to persons under the age of eighteen.

Think 21

The legal age for betting is 18. This means that anyone under 18 is not allowed to enter our shops, place a bet or play the FOBT's. To assist our staff in dealing with this requirement, we have adopted a Think 21 procedure that requires staff to check any customer who appears to be under the age of 21. Those who prove satisfactory that they are over 18 are permitted to remain in the shop and gamble.

Think 21 is a nationally recognised age verification initiative that has been implemented by many retailers nationwide, it requires staff to seek proof of age prior to serving any customer and in our case those who are on the premises who appear to be under the age of 21.

The law has not changed, no one under the age of 18 is permitted to enter licensed betting premises, we chose to implement this policy to improve our chances of identifying a person that is under the age of 18. The majority of our customers will be unaffected by this policy change however, all staff are obliged to request proof of age.

We communicate this to our customers via notices on our entrance door(s), immediately within the shop upon entering at each FOBT zone and at the counter area, these posters convey the message that anyone who is lucky enough to look under 21 will be asked for proof of age.

We accept three forms of identification with regards to proof of age:

- A driving licence, including a provisional licence, with a photo.
- A passport
- Any form of identification that carries a PASS hologram



The PASS hologram is a card scheme approved by the national Proof of Age Standards Scheme (PASS), any card carrying this hologram is a genuine and reputable form of proof of age ID for young people. There are many schemes that carry the PASS hologram, Citizen Card, Validate Card, Young Scot Card etc.

All accepted ID has to have the following:

- A photograph of the individual
- States their date of birth
- Is valid
- Can be read and has no visible signs of tampering

If a customer is unable to present any acceptable documents you should then explain that we require proof of age prior to permitting them to bet or remain on the premises, you must ask them to leave if they cannot produce documents.

If a customer refuses to provide proof of age you must reiterate to the customer that we require them to verify their age for them to remain in the shop, if they continue to refuse then we must ask them to leave and only return when they have the required documents. The Company will consider any breaches of Policy to be misconduct, which may result in disciplinary action being taken against you.

Customers accompanied with a child

If a customer enters the shop accompanied with a child, the member of staff must ask the person to leave as soon as they are noticed; under no circumstances must the person be allowed to place a bet.

It is an act of gross misconduct to allow a person to remain on the premises who could not provide evidence of their age; this is also the case for serving a person who was accompanied by a child. It is also a criminal offence and could result in criminal proceedings against the member of staff involved.

What if a person has already gambled?

If a person concerned has already placed a bet or played a machine, prior to being noticed, this requires the following procedures to be adopted:

A customer who appears to be under the age of 21, but does NOT have acceptable Proof of Age that they are over 18 should:

- Be paid any outstanding machine balance or bet returns and asked to leave
- They should also be informed they should only return to the shop when they can provide suitable proof of age ID.
- This must be reported to your District Manager and the details recorded in the 'Underage people gambling' Log within Shopworks.

A customer who is either known to be under 18, or produces acceptable ID which proves they are under 18 must be dealt with as follows:

- Under no circumstances can any winnings be paid, only stake money returned
- Stakes should also be returned on any bets not yet finished
- Return all money placed in machines not yet played
- Obtain contact details regarding any claim for previously lost stakes
- They should be asked to leave the shop and not return until they are legal to gamble
- Contact your District Manager
- The details must be recorded in the 'Underage people gambling' Log within Shopworks.

- Any claim for additional payment regarding previous lost stakes must be referred to your District Manager.
- Do not attempt to reclaim any winnings already paid.

Challenging for acceptable ID - Suggestions

Generic Challenges

- Please can I see some proof of age identification?
- Do you have any proof of your age on you?
- You have probably come across 'Think 21' before, so you will know why I have to ask you for some form of ID
- I am sorry, but it is company policy to ask for proof of age from anyone who appears to be under 21.

Challenging from behind the counter

- Excuse me, before you can play on that machine, can you show me some proof of your age?
- If you are unable to show me any ID, I will have to disable the machine
- Excuse me, without suitable ID, you are not allowed inside and I will have to ask you to leave.

Challenging for ID on the Gaming Machines

- I'm afraid if you are unable to show me any identification, I will have to disable the machine.
- Without suitable ID, I will have to ask you to stop playing on the machine and leave the premises.
- As the posters show, our company operates a 'Think 21' policy and as such, I am afraid I cannot let you play on this machine without the appropriate ID. You need to leave the shop immediately.

Challenging a Parent with an Underage Child

- I am sorry but I am afraid I am unable to serve you as your child is clearly under 18 and is not allowed in the premises.
- Can I remind you that it is illegal to bring a child under the age of 18 into a betting shop so I will have to ask you to leave the shop as I am unable to serve you when accompanied by a child.

Dealing with Customers refusing to leave the shop

- Remain Calm
- Do not be confrontational
- Tell them that you are unable to serve them
- Stress that 'Think 21' is a company policy
- If you are on the shop floor, return behind the counter if the customer starts to become aggressive or uncooperative.

Checking ID

Once someone produces ID you do, of course, actually have to examine it to check that the photograph looks like the person in front of you. You must also check the date of birth confirms the person as being 18 or over.

Removal of Under 18s

The person must be asked to leave the premises immediately. If a child enters an LBO (accompanied or unaccompanied by an adult) they must be approached and asked to leave.

Refusal of Service

It is expressly forbidden to serve anyone under 18 or any adult who is accompanied by someone under 18 (including young children or babies).

This is the law, not a policy Paddy Power has chosen to employ.

Please be sensible when asking customers with young children to leave. Do not suggest that they leave the child outside and return to gamble.

Persistent Offenders

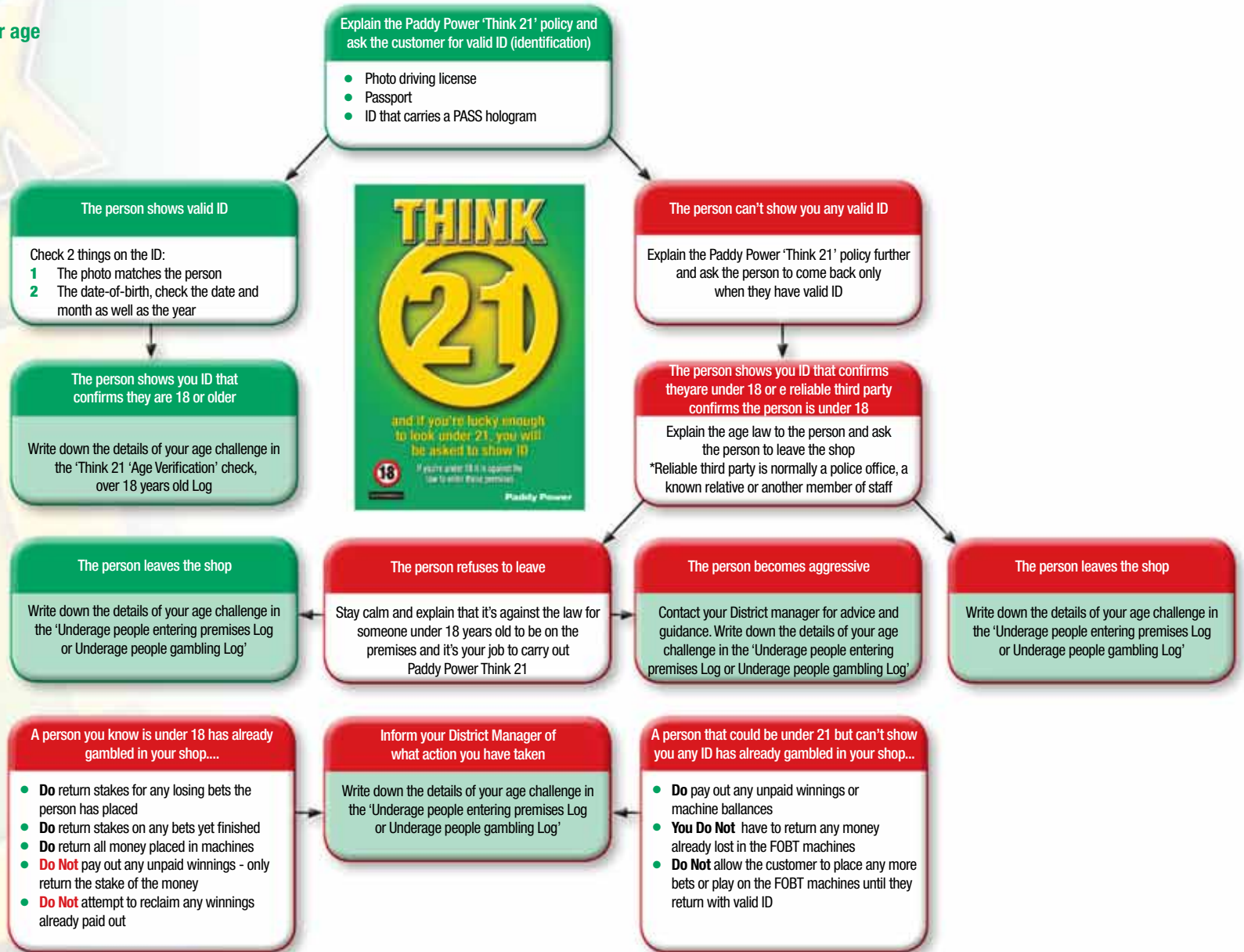
Any youth persistently unable to provide ID when challenged or any adult accompanied by a child on more than one occasion should be

considered for permanent barring. Staff must bring such incidents to the attention of their Duty Manger who can then discuss with the District Manager.



Think 21

A person enters your shop that could be under age



Paddy Power duty of care to customer policy

Gambling is an exciting form of entertainment offered by our shops. Whilst most customers enjoy gambling, a very small number have problems and gambling ceases to be fun.

We here at Paddy Power have the responsibility of exercising a Duty of Care towards our customers. Where a customer indicates that they have lost control of their gambling, or where we are provided with reliable information of that fact, we here at Paddy Power will offer help and advice.

Circumstances where help and advice will be offered

- When a customer approaches us and says that they have lost control of their gambling
- When a customer appears not to be in control of their gambling, such as when they appear to be acutely distressed as a result of their gambling
- When a relative asks for help or information on behalf of a customer they feel has a problem with their gambling
- When a customer returns to the shop with the relative who originally asked for help or information

In the above circumstances, we should respond positively by:

- Informing the customer of the sources of advice and help available, ensuring they have a copy of our responsible gambling literature and they have been made aware of the possibility of self-exclusion
- Advising the relative of help available, including the possibility of self-exclusion, providing them with copies of the literature, and inviting them to talk, and return with the customer so that Paddy Power can offer help and advice direct to the customer.

How this works in practice

1. The Duty Manager is responsible for meeting with the customer, or the relative, or both individuals, and will have received training so that they are able to act with integrity, support the customer's wishes, and provide practical help and advice.
2. The customer and/or the relative should be informed of the options available, provided with information about and contact

details for the GamCare National helpline, provided with copies of responsible gambling literature, and an explanation about self-exclusion. It is good practice to give the customer a self-exclusion form and suggest they take it away and consider this option. If after consideration they want to self-exclude they should be advised to return to the shop so that the procedure can be completed.

1. If the customer wishes to take up self-exclusion, the Duty Manager should follow the Self-Exclusion Procedure.

Information

Whilst the responsibility for an individual's gambling is their own, we do remind our customers of the need to gamble responsibly, particularly through our Staying in Control material, which:

- Is available in the form of posters and leaflets in the customer area
- Can be obtained without approaching a member of staff
- Includes additional signage and leaflets in close proximity to our fixed odds betting terminals and in discreet locations where possible
- Includes our commitment to the promotion of responsible gambling
- Indicates a source of help, GamCare that they can access
- Is clear and legible

Maintaining integrity

Our Policy outlines our commitment to support a customer who appears not to be in control of their gambling or where a relative or third party informs us that this is the case. The integrity of the Policy relies on our staff exercising their responsibility and, in the case of self-exclusion, supporting the wishes of the customer to be excluded.

Situations may arise where the customer asks staff to collude with them by giving false information to a relative, or during the exclusion period asks staff to 'turn a blind eye' to the exclusion. All staff are expected to comply with this Policy and the 'Customer Self-Exclusion' Procedure. Any failure to do so may result in disciplinary action. If you are asked by a customer to do anything that contravenes either the Policy or Procedure you should report the matter to your Shop Manager/District Manager and make a record of this interaction.

Interaction Guidance

The Gambling Commission's Licence Conditions and Codes of Practice require us to put into effect policies and procedures for customer interaction where we have concerns that a customer's behaviour may indicate problem gambling. This includes recording instances where a customer displays indicators of problem gambling, referred to as 'behavioural indicators' in the shops 'Incidents logged (other than self exclusion forms) in the customer interaction Log'. Where someone other than the Shop Manager makes an entry, it must be brought to the Shop Managers attention as early as possible.

How will I recognise if a customer has a problem?

Sometimes it may be necessary to interact with a customer who has a gambling problem. Normally the customer will recognise the problem themselves and make a direct approach to you. Alternatively the approach may come from a member of the customer's family or from a third party.

If the customer makes the approach directly then they should be given the information on GamCare and have the self exclusion process explained to them. If the approach has come from a member of their family or a third party, then you should explain to them what help is available and encourage them to return with the customer to discuss the options available in more detail. **You must not discuss the betting habits of an individual with anyone other than the customer themselves.**

If the customer or a representative does approach you, then this should be recorded in the 'Individuals logged (other than self exclusion forms) in the customer interaction Log'.

However, it will not always be as simple as the customer coming to you and indicating that they believe they have a problem as sometimes it may be behaviours that you observe from the customer that will flag that there is a potential issue. Sometimes a gambling dependency can be hard to spot and the customer themselves may not believe they have a problem or may wish to hide it.

If this is the case there are some indicators of problem gambling that you should look out for. These can include;

- Paranoid belief gambling losses are due to betting being fixed
- Obsessive belief in lucky routines
- Frequent mood swings
- Uncaring about personal hygiene
- Obvious money difficulties
- Sees gambling as a way of making money
- Waiting for the shop to open
- Concerned about people looking for him
- Tends to chase losses
- Creates arguments over losses
- Shows aggression to people/machines
- Admits that amount spent betting is causing distress
- Attempting to borrow from customers or staff
- Asking for credit
- Lies about extent of gambling
- Fellow customer, relative or friend expresses concern
- Regular customer shows signs of stress

Indicators of Problem Gambling

As a shop team you should be aware of customers who begin to exhibit some of these indicators. If you believe that a customer may have developed a problem with gambling then in the first instance, you should discuss these with your Shop Manager or District Manager. The Shop Manager and/or District Manager should then assess the information and decide whether to discuss this with the customer. If this discussion takes place then the Manager should ensure that it happens in a quiet location where they will not be disturbed. The Manager should make the customer aware that they have seen changes in their behaviour and make known to them the options that are available i.e. GamCare or self exclusion.

All conversations and outcomes should be recorded in the 'Incidents logged (other than self exclusion forms) in the customer interaction Log' and, if done by the Shop Manager, the District Manager should be informed.

Sequence of Events / Procedure for Self Exclusion

The following is the sequence of responses to a request for help from a person who believes they might have a problem with gambling:

1. Give the customer a Staying in Control leaflet and discuss the details.
2. Encourage them to phone GamCare helpline on 0845 6000 133.
3. Discuss the option of self-exclusion, if the customer wishes to self-exclude they can do so immediately, or alternatively, having obtained the necessary information, they may wish to take some time to consider this option and possibly discuss with another person.

If they do **NOT** wish to self-exclude immediately provide them with the GamCare leaflet and a copy of the self-exclusion agreement so they understand the process in full.

4. Should the customer elect to self-exclude at that time or later, complete the form in conjunction with them ensuring that all details are correct.
5. Ask the customer to supply two photographs and explain that without a photograph the likelihood of a member of staff recognizing them is greatly reduced, particularly where more than one shop is included. A self-exclusion agreement **cannot** be completed unless the customer provides at least one photograph, this is compulsory.
6. Explain to the customer that the self-exclusion period is for a standard 12 month period.
7. Confirm the self-excluded dates requested with the customer before entering on the form.
8. Inform the customer that Paddy Power online account betting can be included in their self-exclusion, these will be closed and they will not be able to re-open these accounts. Request their account details and enter them in the box provided. *Once Head Office receives the copy of the self exclusion form they will make contact with Online Operations to close these accounts, this may take up-to 7 working days.*
9. Explore the **suitability** to self-exclude from any other Paddy .. Power shop. Inform them that the maximum number of shops that can be agreed at this point is five (your shop plus 4 others) and that the exclusion will take effect immediately in this shop, but may take

up to 7 working days for any other shop included. Consider where the customer lives, works and frequents on a regular basis when agreeing additional shops. *Once Head Office receives the copy of the self exclusion form they will photocopy the form and distribute to the other shops included within the agreement.*

10. If the customer wishes to be excluded from more than 5 shops inform them that they need to discuss their request with the District Manager and should indicate on the form in the box provided and note a contact number to allow them to do so.

The District Manager will contact the customer within 7 working days to discuss the additional shops they wish to exclude from and will confirm in writing within 7 further working days of that discussion. This may include a reduction in the number of additional shops requested or a refusal to include any additional shops at all.

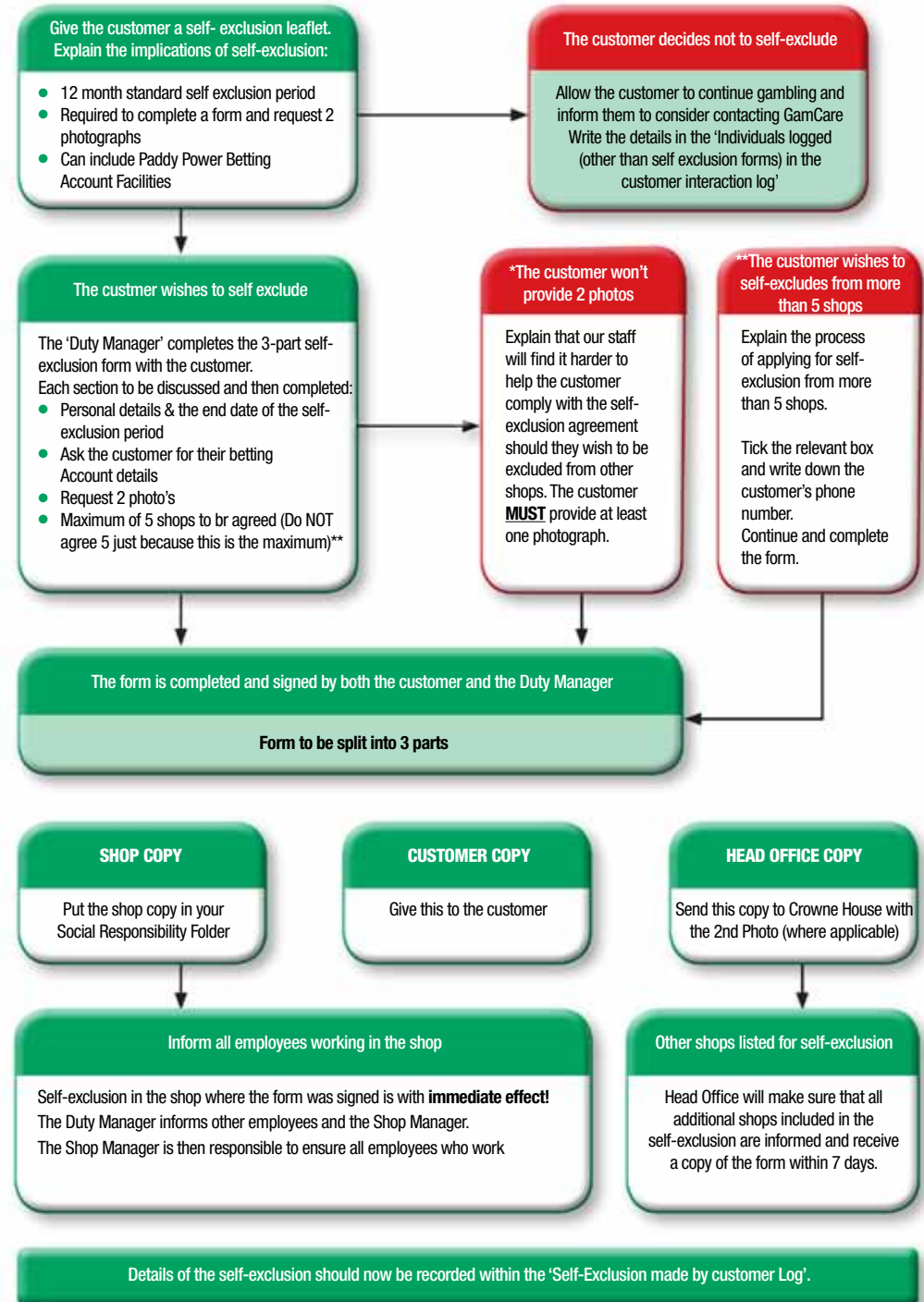
11. Review the details of the self-exclusion scheme with the customer prior to obtaining their signature.
12. Explain to the customer that at the end of the period the exclusion will remain in force until such time that the customer makes a positive declaration to re-commence gambling.
13. Inform the customer that at the end of the period of self-exclusion, should they wish to re-commence gambling they will be required to meet with the Shop or Duty Manager to discuss their returning to gambling. Not enter the premises or any shop/facility included in the scheme for the purpose of gambling following their initial request to re-commence gambling until a further 24 hours have passed to allow them to consider their decision. They also have to complete and sign a re-commencement to gambling form should they wish to return to gambling.
14. Inform the customer that they have now self-excluded from the Paddy Power premises included in their form and any other betting accounts they also have in place and therefore should not attempt to enter or use them.
15. Explain that this scheme does not apply to other operators and that they might wish to contact them to extend their self-exclusion.
16. Give the customer their copy of the form, inform other staff

and file in the Social Responsibility folder, forward the last copy to Head Office at Crowne House with the second photograph where provided. **Head Office will inform paddypower.com and/or DAB where appropriately in relation to closing their accounts**

- Log the customer inquiry as an 'Individuals logged (other than self exclusion forms) in the customer interaction Log' if they do not wish to self-exclude. If they have self-excluded them clearly this should be logged as 'Self Exclusion made by customer', all these logs are accessible via shopworks.

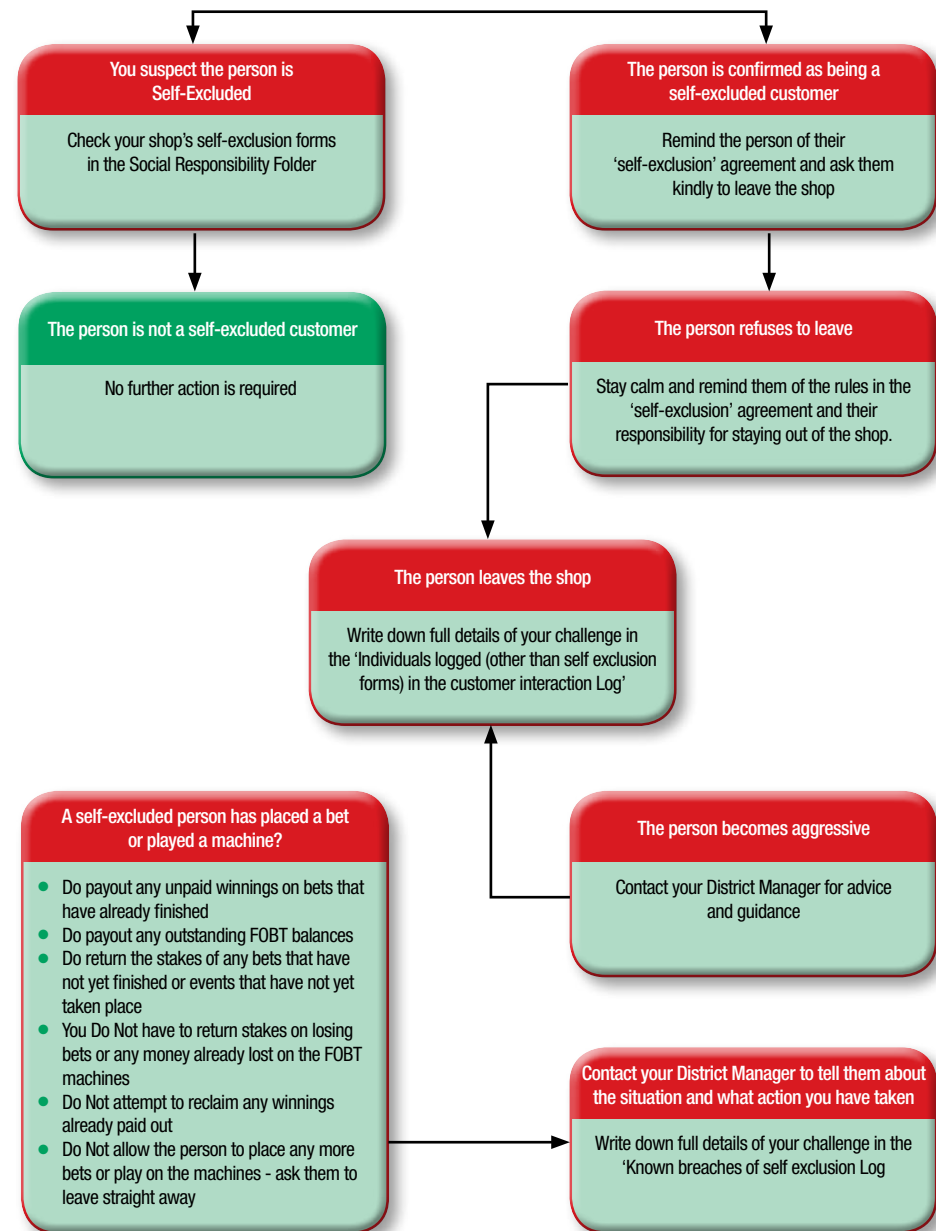
Self-Exclusion

A customer requests to be self-excluded



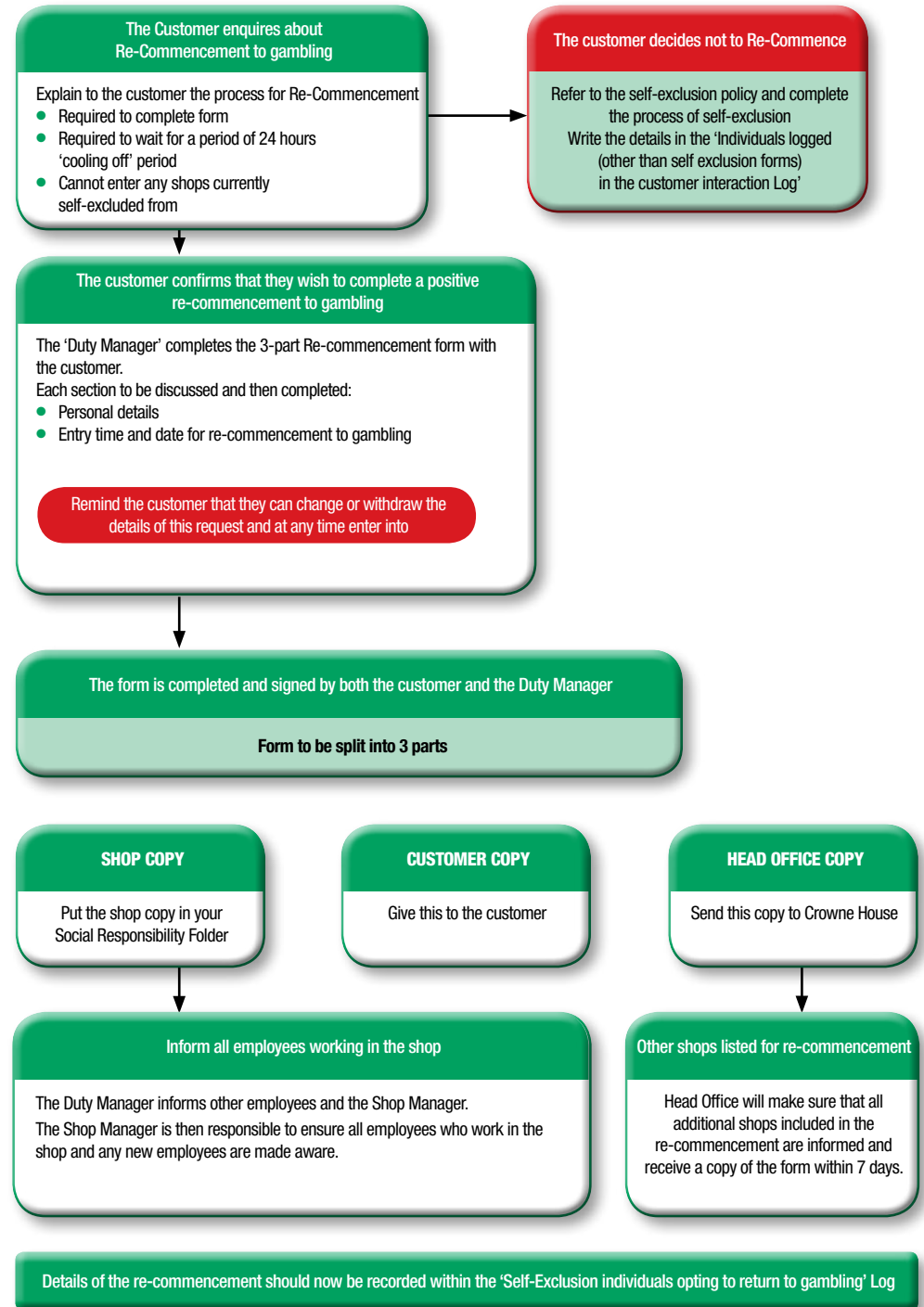
Self-Exclusion

A customer that you know (or suspect) is self-excluded enters your shop



Self-Exclusion

A customer requests to return to gambling after self-exclusion



Dealing with other Vulnerable Groups and Conflict Resolution

Another vulnerable group of people that you may need to deal with are those who are clearly under the influence of drink or drugs or customers with mental health issues.

Do not accept a bet or allow anyone to play on the Gaming Machines if they are very obviously under the influence of drink or drugs.

Care should be taken when challenging these people and staff should not put themselves or others in danger.

Phrase your language in terms of 'I' instead of 'You'. For instance, "I cannot serve you. I am concerned about your behaviour". Avoid more confrontational phrasing such as "You are drunk"

Avoid getting into confrontation with the person. Treat the customer with courtesy, most will know why they are being asked to leave and will do so with little or no confrontation.

If a confrontation becomes unavoidable, here are some ideas about minimizing the disturbance:

1. If the customer hasn't been violent, try to allow them a little time to collect themselves. The customer is more likely to react peacefully if they have their dignity intact.
2. Resist using force if at all possible
3. If all else fails, the Police will assist you.

Similarly if you believe someone may have mental health problems or a learning disability, your best course of action is to refer this to your Duty Manager/District Manager.

The Duty Manager may wish to speak to the Compliance Manager who will be happy to give advice. It is a very difficult and delicate area.

Whilst we don't want people to bet if they do not know what they are doing, we have to be careful not to discriminate against individuals who, whilst they may have a disability, are perfectly capable of making sensible decisions about their gambling behaviour.

On the following pages you will find examples of our reporting document and instructions on how to complete, remember these are to be completed as and when incidents/activities arise and the Duty Manager must ensure these are accurate and completed on a **DAILY** basis.

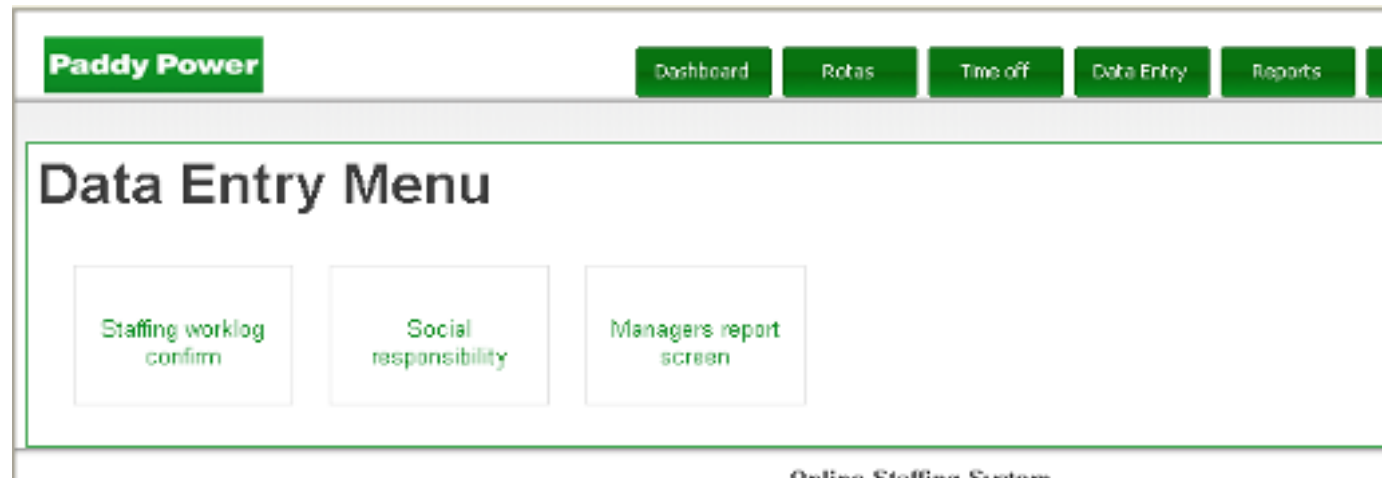


Social Responsibility Reporting – Log's

Social Responsibility Reporting – Log's

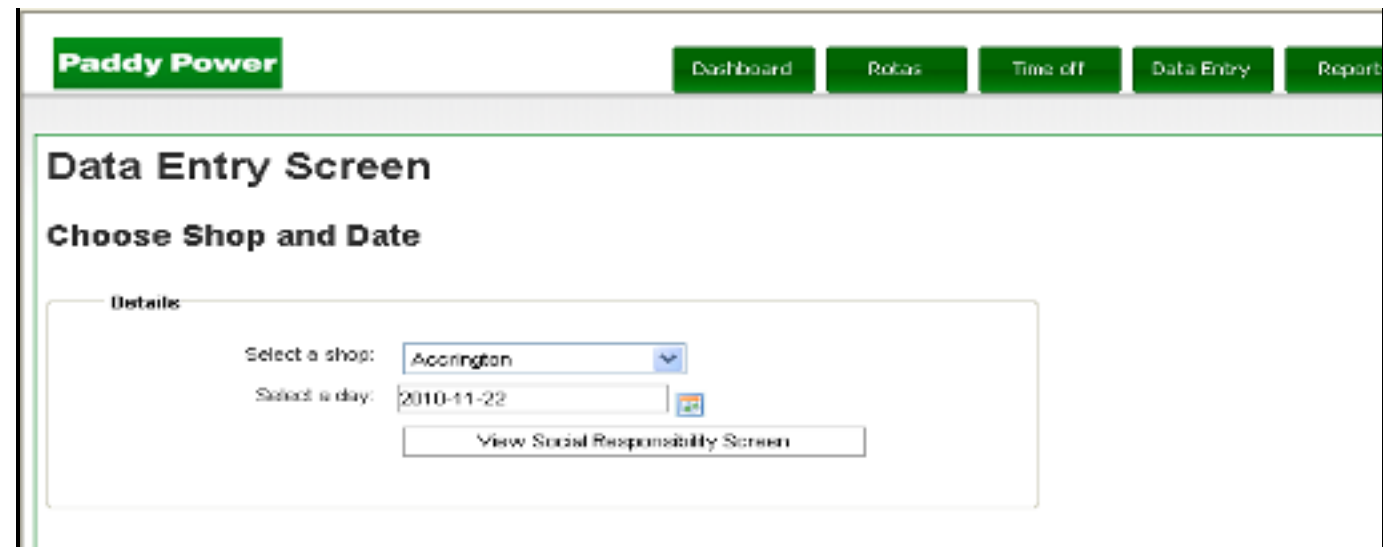
Follow the instructions to complete throughout the Trading Day and approve at the End of each Trading Day

- Log on to Shopworks using your Password, then choose the 'Data Entry' Tab. Then select 'Social Responsibility'.



The screenshot shows the Paddy Power system interface. At the top, there is a navigation bar with the Paddy Power logo and several menu items: Dashboard, Rotas, Time off, Data Entry, and Reports. The 'Data Entry' menu item is highlighted. Below the navigation bar, the main content area is titled 'Data Entry Menu'. It contains three buttons: 'Staffing worklog confirm', 'Social responsibility', and 'Managers report screen'. The 'Social responsibility' button is highlighted with a green border. At the bottom right of the screen, there is a small text label 'Admin Staffing System'.

- The date will default to the current date; select the 'View Social Responsibility Screen'.



The screenshot shows the Paddy Power system interface. At the top, there is a navigation bar with the Paddy Power logo and several menu items: Dashboard, Rotas, Time off, Data Entry, and Reports. The 'Data Entry' menu item is highlighted. Below the navigation bar, the main content area is titled 'Data Entry Screen'. It contains a section titled 'Choose Shop and Date'. Under this section, there is a 'Details' box containing two dropdown menus: 'Select a shop:' with 'Accrington' selected, and 'Select a day:' with '2010-11-22' selected. Below these dropdowns is a button labeled 'View Social Responsibility Screen'.

You need to complete the form with as much relevant information as possible. Enter the Staff Name, then select the type of incident (using the arrow to get drop down list). This example is reporting underage people entering the premises and not having ID. When you have completed your incidents then select the 'Confirm' check box and press Save. Even if you have no incidents to report you MUST still select the Confirm check box to show there have not been any incidents to report. This MUST be done every night (the same as confirming your staff hours). **Remember this is a Legal Requirement!**

Shop data entry - Windows Internet Explorer

Airdrie - Data entry - 2010-11-23

Social responsibility

Staffs name	Type Incident
Billy Thomson	Underage people entering premises Young person entered the shop that appeared to look under 21, I asked them for valid ID, which they could not produce. I explained our Think 21 policy and asked him not to return

Confirmation

I confirm that the above data is correct, or there were no Social Responsibility incidents to report today.

Save

You **MUST** record incidents throughout the day as and when they occur as you would do when we used hard copy Log's!

You must ensure that all entries are logged separately and not together, therefore if during a trading day you have two incidents of Age Verification then these are recorded separately and not together under one incident.

The reason for this is that this data will be used to compile the Quarterly Returns for Paddy Power automatically and the functionality will pick each section up as one incident!

INCIDENT TYPES...	GUIDANCE ...
1. Services related or other complaint	An entry should be made here when any customer makes any genuine complaints that does not relate specifically to a bet or disagreement over a bet.
2. Complaint made about a bet	An entry should be made here when a customer complains about an individual bet.
3. Self Exclusions made by customer	An entry should be recorded here after a customer makes a self-exclusion.
4. Known breaches of self exclusion	Record an entry when you have a 'confirmed' breach whereby a self-excluded customer has placed a bet or played the machines.
5. Self Excluded Individuals opting to return to gambling	Make an entry when a customer has made a positive declaration to recommence gambling.
6. Think 21 'Age Verification' Check, Over 18 years old	Entry to be made when you have challenged a customer who appears to be under 21 years old and they provide valid ID that they are over 18 years old.
7. Underage people entering premises	Entry to be made when you have carried out an 'age verification check' and no valid ID produced.
8. Underage people gambling	Entry to be made when an 'age verification check' has been carried out after the person has placed a bet or played on the FOBT machines, and customer has no valid ID.
9. Incidents logged (other than self exclusion) in the customer interaction log	Record instances where a customer displays indicators of problem gambling referred to as 'behavioural indicators', Remember do NOT make any approaches to the customer until you have discussed fully with your District Manager.
10. Individual logged (other than self exclusion) in the customer interaction log	Enter request for help in relation to problem gambling, either by a customer, relative or third party. Plus other incidents not relating to actual recording of self exclusion.
11. Customer incidents, on gambling premises requiring police assistance	Make an entry when you have had to request Police assistance regarding an incident with a customer.
12. Proceeds of Crime – suspicious activity reports e.g. Money Laundering	Make an entry when you are unsure as to a customer's behaviour and have reported it to your District Manager.

Follow the instructions to retrieve details of Log entries for your shop

- Log on to Shopworks using your Password, then choose the 'Reports' Tab. Then select 'Social Responsibility Log'.



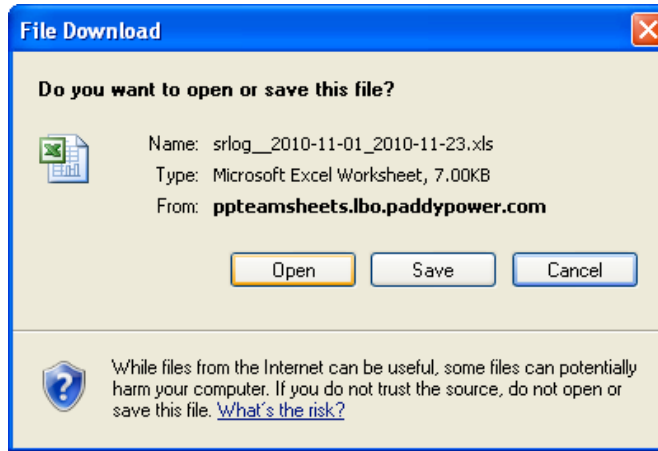
The date will default to the current date; select the date range that you want to view, in this example I have selected 1st November – 13th November, click on the generate tab button.



Then click on the 'View excel report' tab.



A window appears as below, click on Open.



You have generated a report for all Social Responsibility Log entries for the date range you requested, the report is shown below and has the following headers: Date, Shop, Staff, Type and Comment. This is the report to generate to check your shop is compliant with Logging Social Responsibility entries, all Managers have responsibility to ensure they check this on a regular basis and take remedial action as necessary.

This is also the report to generate when a Gambling Commission, Compliance Officer requests to view your Log's.

	Date	Shop	Staff	Type	Comment
1	SR LOG for 2010-11-01 to 2010-11-13				
2					
3					
4	2010-11-01	Airdrie	STEPHEN SHAW		NO ISSUES
5	2010-11-02	Airdrie	m walker		a boy appeared to be under18 asked for i.d produced D/L.D.O.B 3/12/91 name henry forgie
6	2010-11-03	Airdrie	m walker		no issues
7	2010-11-04	Airdrie	m walker		no issues
8	2010-11-05	Airdrie	m walker		no issues
9	2010-11-06	Airdrie	Stephen Shaw		No Issues
10	2010-11-07	Airdrie	Stephen Shaw	Underage people entering premises	Customer with child in shop asked to take child out of shop no other issues
11	2010-11-08	Airdrie	Stephen Shaw		No Issues
12	2010-11-09	Airdrie	margaret brown		No Issues
13	2010-11-10	Airdrie	m walker		no issues
14	2010-11-11	Airdrie	m walker		no issues
15	2010-11-12	Airdrie	m walker		no issues
16	2010-11-13	Airdrie	Stephen Shaw	Underage people entering premises	Underage boy in shop with his Dad asked to leave premises.No other Issues

Premises Licence and Summary Display

Issued by the Local Authorities this documentation is required to allow our individual LBOs to trade. It is a condition of the Premises Licence that the original documentation be kept on the premises and be made available on request to a constable, enforcement officer or local authority officer. The holder of the Licence commits an offence if he fails to comply with this condition.

As the title suggests the Licence comes in two parts, the Premises Licence and the Premises Licence Summary.

The premises Licence Summary should be prominently displayed in every shop; clip frames are usually supplied for this purpose. It is advised that the Premises Licence be stored behind the Summary for safe keeping.

Some of our newer shops are subject to licensing conditions; these are detailed on the Premises Licence documents. It is very important that all members of staff acquaint themselves with these conditions upon commencement of work within branches where these apply – your District Manager will be able to advise accordingly.

Gambling Commission Visits

Gambling Commission Officers have the right to conduct announced, unannounced and covert inspections of all premises licensed under the Gambling Act 2005.

A number of visits to Paddy Power shops have already been conducted, these will continue.

The Gambling Commission is allowed and does send individuals under the age of 18 into betting shops to test age verification procedures.

Local Authorities

The Local Authorities also carry out ad-hoc visits to our shops to check that we are adhering to the Commission's regulations and procedures. They will also check that we are adhering to any locally imposed conditions. The Local Authorities also send in their own underage mystery

shoppers and have also brought along Trading Standards Officers on these visits to investigate incidents of non-compliance.

Police

The Police have the power to visit our shops to investigate allegations of any under-age gambling and other compliance issues. By serving anyone who is under the age of 18 or assisting people to profit from criminal activities, you are breaking the law.

REMEMBER IF YOU ARE VISITED BY ANY OF THE ABOVE ALWAYS ASK FOR ID AND ALWAYS COMPLETE LOG THIS WITHIN SHOPWORKS UNDER 'visit to Shop by Official'.

Implications of Non-compliance

What can happen if shop staff do not comply with the Gambling Commission's procedures?

You could be suspended and following a full investigation may end up facing a disciplinary or even dismissal. You could also become part of a criminal investigation if it is perceived that you have helped someone profit from any illegal activity or you have allowed someone under the age of 18 to gamble. This potentially could result in a criminal record and a fine.

The Gambling Commission itself has a range of power that they may exercise if a licence holder fails to comply with conditions and codes of practice, they can:

- Issue a warning
- Attach an additional condition to the licence
- Suspend a licence
- Revoke a licence (either the Company Licence or a personal licence of a senior individual)
- Fine the company

The worst possible outcome is that we may be forced to stop trading at a particular LBO or across the estate.



Useful Contact Details

Paddy Power Bookmaker
The Human Resources Department
Crowne House
5th Floor
56-58 Southwark Street
London SE1 1UN

Main Phone Line: 0207 089 9700
Human Resources Fax Line: 020 7089 9726

Email: ukhr@paddypower.com
Web: www.paddypowerplc.com

