

**Inspection guide - Casinos (Small)**

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| **Please check that this is the correct template:**  This template should only be used for casinos whose premises licence is for a designated “small casino” under section 174 of the Gambling Act. Please note that only the following local licensing authority areas are permitted by legislation to issue a small casino premises licence:  Bath & North East Somerset, Dumfries & Galloway, East Lindsey, Luton, Scarborough, Swansea, Torbay, Wolverhampton |

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| Premises name and address |  | |
| Premises person(s) present |  | |
| Authorised Officer(s) |  | |
| Signature of Authorised Officer(s) |  | |
| Date and time of the assessment |  | |
|  | | Please tick sections completed |
| 1. Pre-Assessment | |  |
| 1. Visual Assessment | |  |
| 1. Operator Policies - Protection of Children | |  |
| 1. Operator Policies – Customer Interaction | |  |
| 1. Additional Questions | |  |
| 1. Action Points | |  |

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| 1. **Pre-assessment** |

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| 1.1) Relevant when assessing policies for preventing Under Age Gambling (SRCP 3.2)  **(England and Wales only) Has the operator formed a Primary Authority partnership with another Local Authority? If so, who is the Primary Authority?** | Primary Authority Name: |
| If the operator has agreed a National Inspection Plan or primary authority advice in place, officers do not need to review policies and procedures relating to age verification. However, they are encouraged to ask questions/ test knowledge to check that children are protected from being harmed or exploited by gambling.    A list of current Primary Authority Partnerships relating to gambling operators is available on the Gambling Commission website | |
| 1.2) Reviewing the following documents may be useful when preparing for an assessment:   * **The premises licence and any attached conditions** * **The premises plan attached to the licence** * **The operator’s Local Risk Assessment (if a copy has been submitted to you)** | |

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| **2) Visual Assessment**  Compliance with these provisions can usually be established through a visual assessment, but may require further information from staff members |

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| 2.1) Gaming Machines in Gambling Premises (SRCP 9.1.1) |  | |
| **Could a customer be reasonably expected to recognise that the premises is licensed for casino games and/or games of equal chance?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| **Are there substantive facilities for non-remote casino games and/or games of equal chance available in the premises?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| **Is there appropriate supervision of gambling facilities at all times?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| 2.2) Plan (MC - SI 2007 / 1409/SSI 2007/266)  **Does the plan match the layout of the premises?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| Plans must include: the boundary of the premises, external and internal walls, points of exit and entry (plus a description of where exit leads to and entry leads from).  A variation application (s.187 of the Gambling Act 2005), along with an updated Local Risk Assessment, will be required if there has been a ‘material change’ to the layout since the licence was last issued. | | |
| 2.3) Premises Summary Display (MC – SI 2007 / 1409/SSI 2007/266)  **Is a summary of the premises licence displayed in a prominent place within the premises?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| 2.4) Under 18 Notices (MC - SI 2007 / 1409/SSI 2007/266)  **Is there a notice stating that no person under the age of 18 is permitted to enter the premises and is the notice displayed in a prominent place at every entrance?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| 2.5) Problem Gambling Materials (SRCP 3.3)  **Is information readily available to customers on how to gamble responsibly and seek help in respect of problem gambling?**  Things to consider and evidence: | |  |  | | --- | --- | | Yes | 0 | | Improvement needed | 5 | | No | 10 | | |
| Is information displayed prominently on posters appropriate to the size and layout of the premises? | | |
| Is information contained in leaflets that may be taken away or through the use of links for online or smart technology? | | |
| Can information be obtained by customers discreetly? | | |
| 2.6) Lottery Tickets (MC - SI 2007 / 1409/SSI 2007/266)  **Is the premises being used to sell tickets for a lottery?** | |  |  | | --- | --- | | Yes | 10 | | No | 0 | | |
| The mandatory conditions attached to betting premises confirm that neither National Lottery products nor tickets in a private lottery may be sold on the premises. In England and Wales tickets for customer lotteries also cannot be sold. Operators can sell society lottery tickets subject to the society holding the relevant permission (an operating licence from the Commission if a large society lottery or a local authority registration if a small society lottery.)  In some instances the operator may also require an External Lottery Manager licence from the Commission (for more detail see para 34.15 of the GLA 5th edition). | | |
| 2.7) Gaming Machines Available for Use  **Is the premises offering a maximum of 80 machines in Categories B through to D (no B3A)?**  **Is the ratio of gaming machines to gaming tables at no more than 2:1?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| Stakes may be paid by cash or non-cash forms of payment, except that credit cards cannot be used directly or indirectly to pay for any gaming machine use. Debit cards may only be used as an indirect form of payment e.g. to purchase a token or smart card that is subsequently put in the machine. (SI 2007 / 2158 and SI 2007 / 2319). | | |
| 2.8) Gaming Machine Display Requirements SI 2007 / 2319 and SI 2007 / 2320  **Do all gaming machines display:**   * What category it is? * The name and telephone number for assistance with problem gambling? * That the machine is not to be used by child/ young person unless it is a category D? * The percentage return to player? | | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |
| The information above needs to be readily accessible by a person using the machine. It may be found on the machine cabinet or within the information shown on screen. | | |
| 2.9) ATM Location (MC - SI 2007/1409/SSI 2007/266)  **Is the ATM located in a place that requires any customer who wishes to use it to cease gambling at any gaming machine in order to do so?** | |  |  | | --- | --- | | Yes/ N/A | 0 | | No | 10 | | |
| 2.10) Principal Entrance (MC - SI 2007 / 1409/SSI 2007/266)  **Is the principal entrance to the premises from a street?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| 2.11) Entrance Restrictions – Children (MC - SI 2007 / 1409/SSI 2007/266)  **Is any entrance from premises that are used wholly or mainly by children, by young persons, or by both?** | |  |  | | --- | --- | | Yes | 10 | | No | 0 | | |
| 2.12) Entrance Restrictions – Other Licensed Premises (MC - SI 2007 / 1409/SSI 2007/266)  **Is there access to the casino from a premises with:**   * **An unlicensed family entertainment centre gaming machine permit** * **A club gaming or club machine permit** * **An alcohol licensed premises with a gaming machine permit** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| 2.13) Hours of Operation (DC - SI 2007 / 1409/SSI 2007/266)  No facilities for gambling shall be provided on the premises between the hours of 6am and noon on any day.  **Is the premises compliant?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| If a variation to the hours of operation has been granted, this will be shown on the premises licence. | | |
| 2.14) Christmas Day (GA05 Section 183)  The premises shall not be used to provide facilities for gambling on Christmas day.  **Is the premises compliant?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| 2.15) Minimum Gaps – Gaming Tables (MC SI 2007 / 1409/SSI 2007/266)  **Is there a gap of at least 2 metres between a gaming table and other equipment used to gamble on the premises?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| 2.16) Player Positions – Wholly Automated Gaming (MC SI 2007 / 1409/SSI 2007/266)  **Are there no more than 40 separate player positions made available at wholly automated gaming tables at any time?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| 2.17) Rules on Casino Games (MC - SI 2007 / 1409/SSI 2007/266 and SRCP 4.2.1)  **Are the rules of each type of casino game available displayed in a prominent place in the table gaming area and other gambling areas?**  **Do the rules displayed include the following; the rules of each casino game available, a player’s guide to the house edge and player’s guide to the rules of any equal chance games (i.e. poker) available?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| This can be a clear and legible sign setting out the rules, or by making leaflets or other written material with the rules, available to customers. | | |
| 2.18) Non-gaming areas (MC - SI 2007 / 1409/SSI 2007/266)  **Does the premises contain a non-gambling area of no less than 250 sq. metres?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| The non-gambling area may include (but not be exclusively) lobby areas and toilet facilities. Facilities for gambling must not be provided in the non-gambling area. Each non-gambling area, other than the lobby and toilet areas, must contain recreational facilities for use by customers. In England and Wales the non gambling area may consist of one or more areas within the casino. | | |
| 2.19) Total Table Gaming Area (MC - SI 2007 / 1409/SSI 2007/266)  **Does the premises contain a total table gaming area no less than 500 sq. metres?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| Any individual area that comprises less than 12.5% of the minimum gaming area must be discounted from calculations. No gambling shall be permitted in the table gaming area other than table gambling. | | |
| 2.20) Supervision of gaming tables (SRCP 4.2.5)  **Is proper supervision of gaming at tables in place to protect the integrity of the gaming?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| 2.21) Betting – Terms (MC – SI 2007 / 1409/SSI 2007/266)  **Is there a notice displayed in any areas providing facilities for betting setting out the terms on which persons are invited to bet?** | |  |  | | --- | --- | | Yes/ NA | 0 | | No | 10 | | |
| 2.22) Betting – Betting positions (MC – SI 2007 / 1409/SSI 2007/266)  **Are there no more than 40 separate betting positions available for use in relation to betting machines at any time?** | |  |  | | --- | --- | | Yes/ NA | 0 | | No | 10 | | |

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| 1. **Operator Policies - Protection of Children**   Establishing compliance will require viewing policies and discussion with staff members |

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| 3.1) Policies for preventing Under Age Gambling (SRCP 3.2)  In England and Wales please also check Primary Authority status before asking these questions (see section 1.1 above)  **Does the licensee have and put into effect policies and procedures designed to prevent underage gambling?**  Things to consider and evidence when answering the question above: | |  |  | | --- | --- | | Yes | 0 | | Improvement needed | 5 | | No | 10 | | | |
| Are staff members trained on the prevention of underage gambling on induction to the company? | | | |
| Is training regularly updated – can this be evidenced within staff training logs? | | | |
| Are checks of age carried out on apparently underage customers? Can this be evidenced? | | | |
| Is service refused to adults accompanied by a child or young person? | | | |
| Are only suitable forms of I.D. accepted by the operator? (Driving Licence, Passport, Military I.D, PASS Logo I.D?) | | | |
| Is there an awareness of the legal requirements on returning stakes and not paying prizes to underage customers? | | | |
| Does staff training cover all relevant prohibitions against inviting children or young persons to gamble or to enter gambling premises? (GA05 sections 46 and 47) | | | |
| 3.2) Test Purchasing (SRCP 3.2)  Larger Operators   * **Does the licensee conduct test purchasing or take part in collective test purchasing programmes?**   Smaller Operators   * **Does the licensee monitor the effectiveness of their policies and procedures for preventing underage gambling?** | | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | Staff unable to answer/ Unknown |  | | |
| Smaller operators could monitor effectiveness through participation in collective test purchasing programmes.    A distinction between larger and smaller operators is made based on their operating licence fee category within SRCP 3.2. This information may not be available at the time of assessment. Please contact your local Gambling Commission Compliance Manager if clarification is needed. | | | |
| 3.3) Under 18s Employment  **Is the operator employing anyone under the age of 18 to carry out the functions shown below?** | | | |  |  | | --- | --- | | Yes | 10 | | No | 0 | |
| It is an offence to employ:   * a person under 18 to provide facilities for gambling (GA05 Section 51) * a person under 18 to perform any function on the premises where gaming machines are sited or in connection with a gaming machine (GA05 Section 54) * a person under 18 to perform any function on the premises where a betting premises licence has effect and where the gambling activity is being carried on (GA05 Section 55). | | | |
| 3.4) Supervision  **Is the premises appropriately supervised to ensure that children are prevented from entering/ participating in gambling?** | |  |  | | --- | --- | | Yes | 0 | | Improvement needed | 5 | | No | 10 | | | |

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| 1. **Operator Policies – Customer interaction/ Protection of customers**   Establishing compliance will require viewing policies and discussion with staff members |

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| 4.1) Policies for Customer Interaction (SRCP 3.4.1)  **Has the licensee put into effect policies and procedures for customer interaction where they have concerns that a customer may be at risk of or experiencing harms associated with gambling?**  Things to consider and evidence: | |  |  | | --- | --- | | Yes | 0 | | Improvement needed | 5 | | No | 10 | |
| Are staff members trained on the protection of customers on induction to the company? | |
| Is training regularly updated – can this be evidenced within staff training logs? | |
| Are employees trained in recognising types of behaviour that may be indicative of beingat risk of or experiencing harms associated with gambling? | |
| Are staff members trained to deal with customers showing signs of distress? | |
| Does the licensee use all available sources of information to identify customers who may be at risk of or experiencing harm? | |
| Is the licensee able to evidence that customer interaction has been undertaken in appropriate circumstances? | |
| Do records show circumstances where customer interaction has been ruled out? | |
| Are staff members able to talk about how a customer interaction has had a positive impact? | |
| Is the licensee able to evidence that there is an evaluation process to understand the impact of customer interaction? | |
| 4.2) Policies for Self Exclusion (SRCP 3.5)  **Does the licensee have and put into effect procedures for self-exclusion?**  These procedures must include: | |  |  | | --- | --- | | Yes | 0 | | Improvement needed | 5 | | No | 10 | |
| Employee induction and refresher training to ensure the system is enforced | |
| A register of those excluded, with appropriate records (i.e. name, address) | |
| Photo ID (or an effective alternative) and a signature | |
| Signposting to counselling and support services | |
| The removal of excluded persons found on the premises | |
| Consideration of the premises layout - Is the premises appropriately supervised to ensure that customers are protected? | |
| Minimum exclusion period of between 6 and 12 months with the option to extend for periods of at least 6 months | |
| Following a period of self-exclusion, customers who make a request to begin gambling again must be given one day to cool off before being allowed access to gambling facilities. The contact must be made via telephone or in person | |
| Removal of customer from marketing databases during period of exclusion | |
| Policy to guard against self-excluded individuals using another person to gamble on their behalf | |
| Informing staff of individuals who have breached agreements | |
| 4.3) Multi-Operator Self-Exclusion Scheme (SRCP 3.5.6)  **Does the licensee offer the ability for customers to exclude from similar local venues through participation in a multi-operator exclusion scheme?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |
| 4.4) Free and Discounted Alcohol (SRCP 5.1.3)  **If customers are offered free or discounted alcohol, is this linked to whether or when they begin or continue to gamble or made at times when they are participating in gambling activities?** | |  |  | | --- | --- | | Yes | 10 | | No/ N/A | 0 | |
| Please note that there may be further restrictions relating to free or discounted alcohol under the Licensing Act 2003 or Licensing (Scotland) Act 2005 | |
| 4.5) Advising Employees on Socially Responsible Gambling (SRCP 7)  **Has the licensee ensured that employees involved in the provision of facilities for gambling are made aware of advice on socially responsible gambling and where to get help should their own gambling become hard to control?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |

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| 1. **Additional Questions** |

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| 5.1) Premises Licence Availability (GA05 s185)  **Is the premises licence kept on the premises and available on request?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |
| 5.2) Reward Schemes – Terms and Conditions (SRCP 5)  **Are the terms and conditions of any customer incentive or reward schemes clearly set out and readily available to customers?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |
| Things to consider:   * Marketing and advertising must not be misleading * ‘Free bet’ or ‘bonus’ offers must comply with the CAP/BCAP ‘Guidance on the rules for gambling advertisements * Terms and conditions must be made available for their duration of the promotion * Staff members should be able to explain the terms and conditions of incentives and reward schemes offered to customers. | |
| 5.3) Complaints and Disputes (SRCP 6)  **Has the licensee put into effect appropriate policies and procedures for accepting and handling customer complaints and disputes in a timely, fair open and transparent manner?**  Things to consider and evidence: | |  |  | | --- | --- | | Yes | 0 | | Improvement needed | 5 | | No | 10 | |
| Can customers refer any dispute to an Alternative Dispute Resolution (ADR) entity if not resolved to their satisfaction within 8 weeks? | |
| Is dispute resolution free of charge for customers? | |
| Terms must not restrict the customer’s right to bring court proceedings against the licensee. Terms may provide for the resolution to be binding on both parties if the customer agrees to a resolution with the assistance of an ADR. | |
| There must be clear and accessible information on how to make a complaint, the complaints procedure, timescales for responding and the escalation procedure. | |
| Policies and procedures must be implemented effectively and kept under review | |
| In this Code, ‘ADR entity’ means a person offering alternative dispute resolution services whose name is on the Gambling Commission’s list of approved providers. The list is on the Commission’s website and is updated from time to time. | |
| 5.4) Staff/ Customer Relationships (SRCP 7.1.1)  **Does the licensee have and put into effect policies and procedures to manage relationships between staff and customers and thus protect the integrity of the gaming?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |
| 5.5) Local Risk Assessment (SRCP 10) |  |
| **Can the operator evidence policies, procedures and control measures to mitigate risks identified within the Local Risk Assessment?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |
| **Has the operator taken into account relevant matters identified in the Licensing Authority’s policy statement?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |
| 5.6) Licensing Authority Conditions  **Is the premises adhering to any additional premises licence conditions?** | |  |  | | --- | --- | | Yes/ N/A | 0 | | No | 10 | |
| Licensing Authorities may have requested/ received further information relating to physical aspects of the premises during the application stage (for example: CCTV, supervision of gaming machines, floor staff location). The appropriateness of these arrangements can be checked at assessment.  Where a condition is attached to a premises licence to require door supervisors, if the Private Security and Industry Act 2001 means that they must be SIA registered then that also becomes a condition of the premises licence (GA05 Section 178).  Registration of S.I.A licence holders can be found at [www.sia.homeoffice.gov.uk](http://www.sia.homeoffice.gov.uk) | |
|  | **Assessment Score:**  ……….……./ 400 |

1. **6) Action Points**

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| Question Number | Issue/ Resolution |
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‘Assessment outcome letters’ are available for you to use and can be downloaded from the LLEP website. Where possible, please share this letter, or the notes shown above, with your Gambling Commission Compliance Manager.