**Inspection guide – Tracks**

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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 Checks | |  |
| 1. Visual Assessment | |  |
| 1. Policies and Procedures | |  |
| 1. Additional Questions (Operator Licence Holders Only) | |  |
| 1. Action Points | |  |

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| 1. **Pre-assessment Checks** |

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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)** | |
| 1.3) Engagement with Licence Holder – Guidance  Operating licence holders have primary responsibility for ensuring that suitable social responsibility policies and procedures are in place. However, track premises licence holders should support and promote socially responsible gambling on the premises.  The holder of the premises licence should be encouraged as best practice to equip staff to deal with queries relating to social responsibility from members of the public and to remind race goers of the law regarding underage gambling. This can be achieved via public announcements, advertising in race card, displaying posters etc.  P.T.O  Your assessment should only focus on compliance with the Social Responsibility Code Provisions (SRCP) on the rare occasion that the premises licence holder is also the holder of a Commission operator’s licence. This currently relates to all Dog Tracks and a small number of race tracks - when the premises licence holder will operate a tote pool betting facility or operate a separate betting premise on the track or there is an in-house fixed odds betting service available.  With the above advice in mind, all SRCP based questions appear in the **‘Additional Questions’** section. | |

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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) 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. | | |
| 2.2) 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 | |
| 2.3) 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 bet on the premises and are notices placed in a prominent position at every public entrance?** | | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |
| 2.4) Display of Betting Terms (MC - SI 2007 / 1409/SSI 2007/266)  **Is there a notice displayed setting out the terms on which a bet may be placed (Tattersalls Rules), and is it in a prominent place to which customers wishing to use facilities for betting have unrestricted access?** | | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |
| 2.5) Gaming Machines Available for Use (GA05 Section 172 and SI 2007 / 2158)  Track premises licence holders without an operating licence:  No entitlement to provide gaming machines.  Track owners holding both a track premises licence and a Commission operator’s licence – pool betting (in effect Dog tracks only):  Entitlement to site up to four gaming machines within categories B2 to D  Tracks with a premises licence to sell alcohol:  Automatic entitlement to two gaming machines category C to D (GA05 Section 282).  **Is the premises compliant?** | | |  |  | | --- | --- | | Yes/ N/A | 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) | | |
| 2.6) 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/ N/A | 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. | | |
| 2.7) ATM Location (MC - SI 2007/1409SSI 2007/266)  **Is the ATM in a position where a customer has to stop gambling to use it?** | |  |  | | --- | --- | | Yes/ N/A | 0 | | No | 10 | | |
| 2.8) Access Between Licensed Premises (MC - SI 2007/1409/SSI 2007/266)  **Is there access to the track premises from a premises with:**   * a casino premises licence? * an adult gaming centre premises licences? | |  |  | | --- | --- | | Yes | 10 | | No | 0 | | |
| 2.9) Hours of Operation (DC - SI 2007 / 1409/SSI 2007/266)  No facilities for gambling shall be provided on the premises between the hours of 10pm on one day and 7am on the next, except where there is a sporting event taking place on the premises. Where there is a sporting event taking place on the premises then gambling may take place at any time that day.  **Is the premises compliant?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| 2.10) 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 | | |

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| 1. **Policies and Procedures** |

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| 3.1) Premises Licence Availability (GA05 s185)  **Is the premises licence (including the premises plan) kept on the premises and available on request?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |
| 3.2) Betting Operators – Valid Licence (MC – SI 2007 / 1409/SSI 2007/266)  **Are arrangements made to ensure that betting operators who are admitted to the premises for the purpose of accepting bets will be operating under a valid operating licence?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |
| 3.3) Removal of persons accepting bets other than in accordance with GA05 (MC - SI 2007 / 1409/SSI 2007/266)  **Are arrangements made to ensure that reasonable steps are taken to remove any person who is found to be accepting bets on the premises otherwise than in accordance with GA05?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |
| 3.4) Place for Facilities for Betting (MC - SI 2007 / 1409/SSI 2007/266)  (Horseracing tracks only)  **Is there a place on the premises provided for betting operators and their assistants to provide facilities for betting?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |
| 3.5) Totalisator (MC - SI 2007 / 1409/SSI 2007/266)  (Dog tracks only)  **Is the totalisator only operated in the following circumstances:**   * At a time when the public are attending dog races * When no other sporting event is taking place on the premises. * For effecting betting transactions on the dog races taking place on the premises? | |  |  | | --- | --- | | Yes | 0 | | No | 5 | |
| 3.6) When Totalisator Is in Use (MC - SI 2007 / 1409/ SSI 2007/266)  (Dog tracks only)  **When the totalisator is being used, does the licence holder ensure that:**  No betting operator (or their assistant) is excluded from the premises for the reason that s/he proposes to negotiate bets on the premises? | |  |  | | --- | --- | | Yes | 0 | | No | 5 | |
| 3.7) Under 18s Gambling (GA05 sections 46, 47, 182, 51 and 54)  **Does staff training cover all relevant prohibitions relating to Under 18s:**   * Inviting, causing or permitting a person under 18 to gamble. * Inviting or permitting a person under 18 from entering areas where gaming machines (other than Category D) are situated. * Employing a person under 18 to provide facilities for gambling. * a person under 18 to perform any function on the premises where gaming machines are sited or in connection with a gaming machine? | |  |  | | --- | --- | | Yes | 0 | | No | 10 | |

**This is the end of the assessment for premises licence holders who do not hold an operating licence.**

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|  | **Assessment Score**  (Without an operator licence)   |  |  | | --- | --- | | ……. | Max  170 | |

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| 1. **Additional Questions**   Please only assess compliance with these questions if the premises licence holder is also an operating licence holder (see section 1.3 above for more detail) |

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| 4.1) 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?** | |  |  | | --- | --- | | Yes | 0 | | Improvement needed | 5 | | No | 10 | | |
| Things to consider and evidence when answering the question above: | | |
| 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) | | |
| 4.2) 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. | | |
| 4.3) 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). | | |
| 4.4) 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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| 4.5) Policies for Customer Interaction/Protection of Customers (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? | | |
| 4.6) 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 | | |
| Self exclusion is extremely rare at tracks. | | |
| 4.7) 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 | | |
| 4.8) B2 Machines (Max stake £100/ Max prize £500) (SRCP 3.3.3)  **Can customers choose whether to set time and monetary thresholds when using B2 machines?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| 4.9) 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 | | |
| 4.10) 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? | | |
| 4.11) Betting Slips (SRCP 4)  **At horse-race tracks are customers provided with a betting slip or ticket detailing:**   * Operator’s name and contact details * Race day name or code, date and race number * Name and/or number of the selection * The stake, odds and potential return or whether the bet will be settled according to Starting Price * The type of bet | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| 4.12) Rules (SRCP 4.2.9)  Pool Betting Licensees must publish their rules relevant to:   * The deduction levels for each available pool * The rounding of winning dividends to a whole unit * The procedure for when there is no winner of the pool * Claim periods for winning bets.   **Is the premises compliant?** | |  |  | | --- | --- | | Yes | 0 | | No | 10 | | |
| 4.13) 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 the duration of the promotion * Staff members should be able to explain the terms and conditions of incentives and reward schemes offered to customers. | | |
| 4.14) 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. | | |
| 4.15) 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 | | |
| 4.16) 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 | | |

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|  | **Assessment Score**  (With an operator licence)   |  |  | | --- | --- | | ……. | Max  340 | |

**5) Action Points**

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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.