

Licensing and Regulatory Committee Agenda

Members of the Licensing and Regulatory Committee:

Cllr D King - Chairman
Cllr J L Thomas - Vice Chairman
Cllr P E Bulman
Cllr S J Catchpole
Cllr R R Foulger
Cllr D G Harrison
Cllr C Karimi-Ghovanlou
Cllr K S Kelly
Cllr K G Leggett MBE
Cllr M L Murrell
Cllr S M Prutton
Cllr N C Shaw

Date & Time:

Thursday 26 August 2021 at 9:30am

Place:

Council Chamber, Thorpe Lodge, 1 Yarmouth Road, Thorpe St Andrew, Norwich, NR7 0DU

Contact:

Jessica Hammond tel (01508) 505298 Email: committee.services@broadland.gov.uk
Website: www.broadland.gov.uk

PUBLIC ATTENDANCE:

If a member of the public would like to observe the meeting in person or to speak on an agenda item, please email your request to committee.services@broadland.gov.uk, no later than 5.00pm on Monday 23 August 2021. Please see further guidance on the options for public speaking at page 2 of this agenda.

Large print version can be made available

If you have any special requirements in order to attend this meeting, please let us know in advance.

Public Speaking and Attendance

All public speakers are required to register to speak at public meetings by the date / time stipulated on the relevant agenda. Requests should be sent to:

committee.services@broadland.gov.uk

Public speaking can take place:

- Through a written representation (which will be read out at the meeting)
- In person at the Council offices

Please note that the Council cannot guarantee the number of places available for public attendance but we will endeavour to meet all requests.

All those attending the meeting in person are invited to sign in on the QR code for the building and promptly arrive at, and leave the venue. Hand sanitiser are still provided and we would encourage you to observe social distancing. Further guidance on what to do on arrival will follow once your public speaking registration has been accepted.

AGENDA

1. **To receive declarations of interest from members;**
(guidance and flow chart attached – page 4)
2. **To report apologies for absence and to identify substitute members;**
3. **To confirm the non-exempt minutes of the meetings held on:**
 - 3.1 **28 August 2019** (minutes attached – page 6)
 - 3.2 **23 September 2020** (minutes attached – page 14)
 - 3.3 **29 October 2020** (minutes attached – page 16)
 - 3.4 **5 November 2020** (minutes attached – page 20)
4. **Matters arising from the minutes;**
5. **Local Government (Miscellaneous Provisions Act 1976 Town Police Clauses Act 1847. Review of the Council’s Hackney Carriage and Private Hire Vehicle Policy and Conditions – Pre-Consultation**
To review of the Authority’s Hackney Carriage and Private Hire Vehicle Policy and Conditions document.
(report attached – page 23)
6. **Gambling Act 2005. Review of Gambling Statement of Principles (Policy Statement)**
(Please Note: as Appendix 3 has been provided by an external source, we cannot guarantee that it is fully accessible)

To consider the draft reviewed Statement of Principles in advance of a 6 week consultation.
(report attached – page 96)

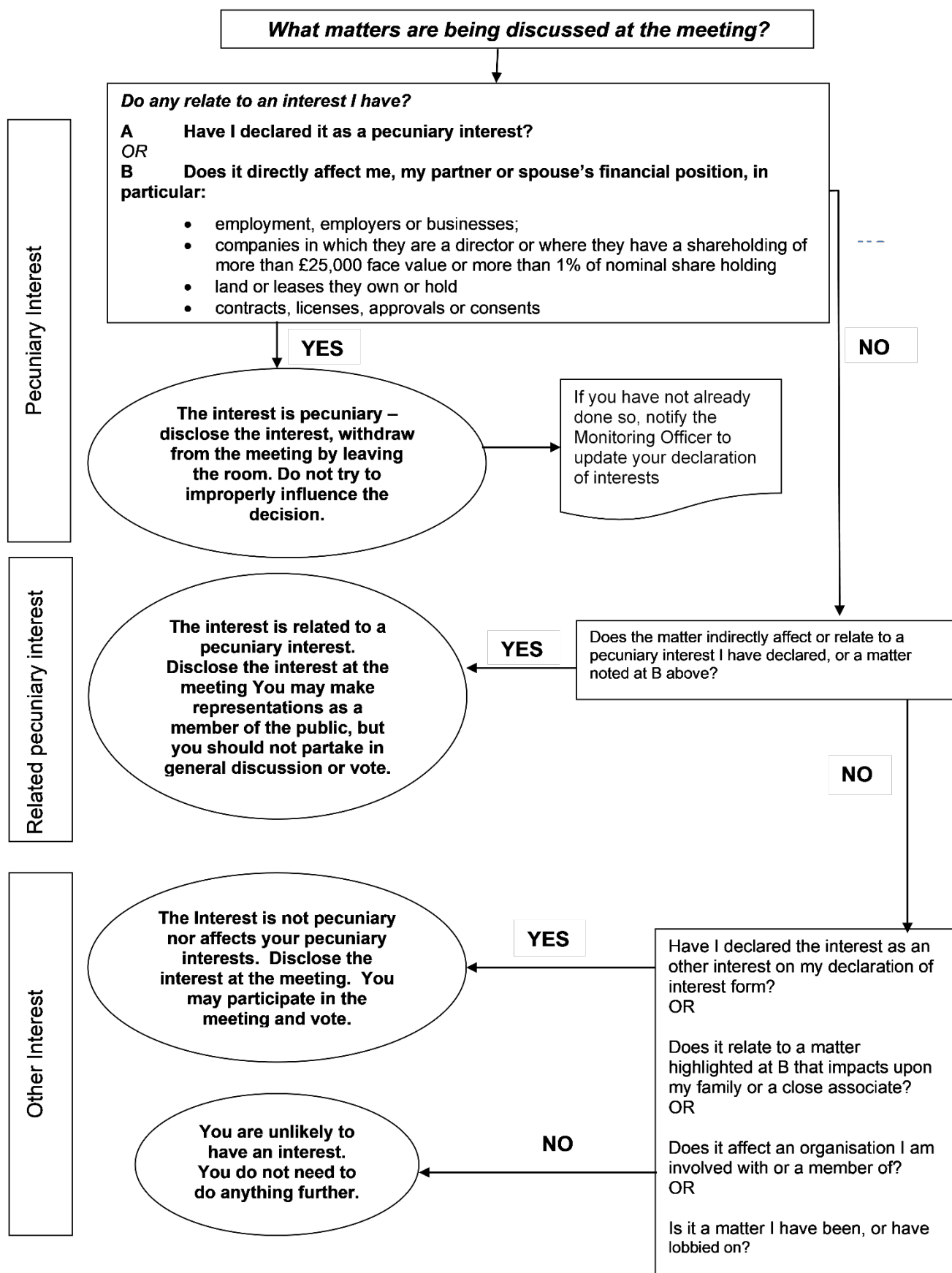
DECLARATIONS OF INTEREST AT MEETINGS

When declaring an interest at a meeting Members are asked to indicate whether their interest in the matter is pecuniary, or if the matter relates to, or affects a pecuniary interest they have, or if it is another type of interest. Members are required to identify the nature of the interest and the agenda item to which it relates. In the case of other interests, the member may speak and vote. If it is a pecuniary interest, the member must withdraw from the meeting when it is discussed. If it affects or relates to a pecuniary interest the member has, they have the right to make representations to the meeting as a member of the public but must then withdraw from the meeting. Members are also requested when appropriate to make any declarations under the Code of Practice on Planning and Judicial matters.

<p>Have you declared the interest in the register of interests as a pecuniary interest? If Yes, you will need to withdraw from the room when it is discussed.</p>
<p>Does the interest directly:</p> <ol style="list-style-type: none"> 1. affect yours, or your spouse / partner's financial position? 2. relate to the determining of any approval, consent, licence, permission or registration in relation to you or your spouse / partner? 3. Relate to a contract you, or your spouse / partner have with the Council 4. Affect land you or your spouse / partner own 5. Affect a company that you or your partner own, or have a shareholding in <p>If the answer is "yes" to any of the above, it is likely to be pecuniary.</p> <p>Please refer to the guidance given on declaring pecuniary interests in the register of interest forms. If you have a pecuniary interest, you will need to inform the meeting and then withdraw from the room when it is discussed. If it has not been previously declared, you will also need to notify the Monitoring Officer within 28 days.</p>
<p>Does the interest indirectly affect or relate any pecuniary interest you have already declared, or an interest you have identified at 1-5 above?</p> <p>If yes, you need to inform the meeting. When it is discussed, you will have the right to make representations to the meeting as a member of the public, but you should not partake in general discussion or vote.</p>
<p>Is the interest not related to any of the above? If so, it is likely to be an other interest. You will need to declare the interest, but may participate in discussion and voting on the item.</p>
<p>Have you made any statements or undertaken any actions that would indicate that you have a closed mind on a matter under discussion? If so, you may be predetermined on the issue; you will need to inform the meeting, and when it is discussed, you will have the right to make representations to the meeting as a member of the public, but must then withdraw from the meeting.</p>

**FOR GUIDANCE REFER TO THE FLOWCHART OVERLEAF.
PLEASE REFER ANY QUERIES TO THE MONITORING OFFICER IN THE FIRST
INSTANCE**

DECLARING INTERESTS FLOWCHART – QUESTIONS TO ASK YOURSELF



Agenda Item: 3.1

Minutes of a meeting of the **Licensing & Regulatory Committee** held at Thorpe Lodge, 1 Yarmouth Road, Thorpe St Andrew, Norwich on **Wednesday 28 August 2019** at **9:30am** when there were present:

Ms J L Thomas – Chairman

Mr R R Foulger

Mr M L Murrell

In attendance were Mr D Lowens (the Committee's legal advisor), the Senior Environmental Health Officer (Safety and Licensing), the Technical Officer – Licensing Enforcement (SH), the Licensing Administrator and the Committee Officer (DM).

Two representatives from NPLaw attended the meeting to observe.

Also present were:

- (1) Shelley Coventry, Company Secretary, Royal Norwich Golf Club – for the applicant
- (2) Kevin Gooch, Director of Hospitality, Royal Norwich Golf Club - for the applicant
- (3) Mr A Myhill, Royal Norwich Golf Club - for the applicant
- (4) Claire Morton Chairman of Weston Longville Parish Council – objecting
- (5) Cllr G Peck – Norfolk County Councillor for Weston Longville – objecting
- (6) Cllr P E Bulman – Broadland District Councillor for Weston Longville - objecting
- (7) Samita Mukhopadhyay – 8 Church Farm Close, Weston Longville – objecting
- (8) Richard Parsons – Old Dairy, Morton Lane, Weston Longville – objecting
- (9) David and Barbara Harrod – Keeley Cottage, Morton Lane, Weston Longville – objecting
- (10) Kate Symonds – Fairfield House, Morton Lane, Weston Longville - objecting

13 LICENSING ACT 2003 – APPLICATION FOR A PREMISES LICENCE – ROYAL NORWICH GOLF CLUB LIMITED, WESTON LONGVILLE

The Chairman welcomed everyone to the meeting and invited all present to introduce themselves. She referred to the procedure to be followed and sought confirmation from all present that they all had copies of the papers for the meeting.

The Committee was asked to consider an application for a Premises Licence in respect of Royal Norwich Golf Club Ltd, The Weston Estate, Weston Hall Road, Weston Longville, NR9 5JW originally sought and advertised as follows:

Licensable Activity:

- ***E. Live music (indoors)***
Monday to Sunday 08.00 to 24.00
New Year's Eve until 2am

- ***F. Recorded music (indoors and outdoors)***
Monday to Sunday 07.00 to 02.00
- ***I. Late night refreshment (indoors)***
Monday to Sunday 23.00 to 02.00
- ***J. Supply of alcohol (for consumption on and off the premises)***
Monday to Sunday 07.00 to 02.00

It is proposed that the premises would be open from 7am until 2am Monday to Sunday.

Representations had been received from the Police, Health and Safety and objections received from 19 residents, the parish council and 2 local district councillors. The Committee then heard representation from all of the attendees listed above.

A number of residents who had made representations were unable to attend the hearing but had reiterated their representations as set out in the committee papers.

The Committee was advised that the applicant had agreed to the conditions proposed by Health and Safety. Having regard to this, the Police had agreed that their condition relating to a documented event management plan being in place which considered security and medical provisions for all events with alcohol sales and an expected attendance of 500 guests could be replaced by the Health and Safety conditions. The Police still required to be notified in writing at least 28 days prior to any event planned where more than 499 (not 500) people were expected to attend. It was confirmed that there were no Police objections to the application provided the conditions were in place.

It was also confirmed that the area of the licenced premises extended to the outer perimeter of the whole site of the golf course as shown red on the plan. It was also confirmed that a proposed designated premises supervisor was in place as required.

With regard to the conditions proposed by Health and Safety, the applicant had agreed to an updated set of conditions which were further amended at the Committee following advice from the Legal Advisor to the Committee and with the agreement of the applicant they were included within the proposed operating schedule. A copy of the amended conditions is attached to the signed copy of these Minutes. It was noted that the applicant would be unable to comply with the condition to give 3 months' notice of an event in relation to the opening event on 16 September but had engaged with the Safety Advisory Group (SAG).

The Committee heard from the applicant who, in summary, stated that many of the concerns being raised related to previous use of the premises as a wedding venue. The new premise was essentially a golfing venue which, to ensure its future viability and sustainability, was being developed as a multifunctional venue to host a wide range of events which could include occasional weddings for members, conferences, tribute evenings, major golf events, cookery and craft events, experiences such as gin tastings and an

onsite micro-brewery. Negotiations were also taking place to develop links with the City College. The applicant was keen to work with the local community and appreciated their concerns. The premises included noise controlling equipment through which all music in the Stables would be played and controlled. The building was fully air-conditioned and there would be no need to open any windows.

With regard to concerns raised, the applicant addressed the Committee regarding the intended way in which the business would function, whilst not introducing these proposals as part of the operating schedule. It was proposed that professional security staff in addition to other experienced / trained staff would police events as necessary, including use of lapel video recording facilities. CCTV would be used at a variety of locations around the buildings and recordings would be made available to the Police and the licensing authority. Staff would be trained to manage the facility and deal with any inappropriate behaviour. They confirmed that the premises would only have one access (2 cars wide) for entry / exit traffic and the alternative access currently serving some residential properties would only be used in the event of an emergency. There would be no marquees on the premises other than those needed for a tented shopping/eating village at a major European golfing event. There would be no marquee for weddings; these would be held inside. Liaison with the Fire Officer was ongoing to identify the capacity for the premises. With regard to the activities taking place until 2am, the applicant commented that this would be an occasional worse-case scenario with most activities taking place from 7 am to 11pm. Actual opening times would depend on business needs as they arose and these had not as yet been quantified. The applicant was happy to work with the licensing authority regarding noise limits but again it was not possible to establish these at the present time as building work was still ongoing. The applicant had always ensured compliance with licensing requirements at their previous premises in Hellesdon.

With regard to the representations from other persons, in summary these related to noise nuisance, serving of alcohol until 2am and a lack of detail regarding the nature of events planned for the venue. Concerns were also expressed about the lack of clarity about the number and of events proposed and about prospective attendance numbers and the implications for noise / disturbance and traffic. The impact of the proposals in a rural setting was of concern as was the lack of proposals to control and mitigate potential nuisances. Concerns were also raised about use of fireworks and the potential impact of the proposals on a nearby business offering stays in yurts, which by their nature depended on a quiet, rural location.

During the hearing, the applicant amended the scope of their application as follows:

- Reference to live music (indoors) was amended to cover the main building (the Stables) only.
- Reference to recorded music (indoors) was amended to cover the main building (the Stables) and the two patio areas associated with the Stables.

- Reference to recorded music (outdoors) was amended to specify the whole site, save for the indoor areas, but from 9am to 9pm instead of 7am – 2am as originally applied for.
- Reference to late night refreshment (indoors) was amended to cover the main building (the Stables) and the two patio areas associated with the Stables.
- Reference to the supply of alcohol for consumption on and off the premises was amended regarding outdoor areas of the premises from 9am to 9pm and for the areas of the stables and patio, the applicant continued to request 7 am to 2am.

The applicant also confirmed that they were happy to offer a condition that all amplified music at the Stables would be controlled via the applicant's own noise limiting equipment and that maximum sound levels would be determined by Broadland District Council and not amended without their written approval. They also confirmed they were happy for CCTV footage to be made available to the Licensing Authority on request as well as the Police.

All parties present, with the exception of the Committee Members, the Legal Advisor and the Committee Officer, then left the meeting whilst Members discussed the matter. Cllr R Foulger had to leave the meeting at this point for a prior engagement and the remaining two members determined the application. All parties remaining, were then re-admitted to the meeting and advised of the Committee's decision, as follows:

The Committee considered all the evidence before it including written representations and oral representations heard at the meeting. They determined the application having regard to the four licensing objectives and had regard to the statutory guidance issued under Section 182 of the Licensing Act 2003 (as amended April 2018) and the Council's licensing policy.

Having taken into account all of the above matters the Committee agreed to grant a licence as follows:

Opening hours (for the public to be present):

Sunday to Thursday 07.00 to 00.30

Friday and Saturday 07.00 to 02.00

Licensable Activity:

- ***E. Live music (indoors - defined as the Stables only)***

Monday to Sunday 08.00 to 24.00

New Year's Eve until 2am

With the condition agreed by the applicant that all amplified music would be controlled via the applicants' own noise limiting equipment and that maximum sound levels would be determined by Broadland District Council and not amended without their written approval.

- ***F. Recorded music (indoors - defined as the Stables only)***

Sunday to Thursday 07.00 to midnight

Friday and Saturday 07.00 to 01.30am the following morning

With the condition agreed by the applicant that all amplified music would be controlled via the applicants' own noise limiting equipment and that maximum sound levels would be determined by Broadland District Council and not amended without their written approval.

- ***F. Recorded music (outdoors)***
Monday to Sunday 9.00 to 21.00
With the imposed condition that the premises licence holder shall ensure that the noise level from recorded music arising from the premises (other than the Stables) shall not cause a statutory nuisance at any noise sensitive residential or business premises.
- ***I. Late night refreshment (indoors – defined as the Stables and the two patio areas associated with the Stables only)***
Sunday to Thursday 07.00 to midnight
Friday and Saturday 07.00 to 01.30am the following morning
- ***J. Supply of alcohol (indoors - defined as the Stables and the two patio areas associated with the Stables only) for consumption on and off the premises***
Sunday to Thursday 07.00 to midnight
Friday and Saturday 07.00 to 01.30am the following morning
- ***J. Supply of alcohol (outdoors) for consumption on and off the premises***
Monday to Sunday 9.00 to 21.00
With an imposed condition that no alcohol is to be consumed outside the Stables and the two patio areas associated with the Stables only after 21.30.

The licence is subject to the mandatory conditions applicable to licenced premises together with the conditions agreed by the applicants as part of their application and during the course of the meeting, the conditions imposed by the Committee as detailed above, the condition proposed by the Police and agreed by the applicants – (to be notified in writing at least 28 days prior to any event planned where more than 499 (not 500) people were expected to attend) and the amended conditions agreed with Health and Safety and attached at Appendix 1 to this decision.

The reasons for the decision were:

- The Committee had taken into account that there was no outstanding objection from the Police.
- There had been no representation from Environmental Health regarding noise.
- There were no outstanding health and safety issues from Environmental Health following agreement by the applicants to the updated health and safety conditions.
- The premises are located close to residential and business uses and the applicant has not sought a limitation on the number of events that can take place nor their type. It is understood that the business seeks to be a

popular destination for various leisure uses and wishes to have a broad appeal to members of the public. Local residents and businesses were concerned regarding the possibility of noise nuisance and disturbance. In order to promote the licensing objectives, especially that of the prevention of public nuisance, whilst maintaining what was felt to be an appropriate balance between the parties interests, the Committee determined that a reduction of some timings of licensable activities was appropriate and conditions to control noise including the noise from members of the public consuming alcohol should be imposed above those suggested by the applicant.

All present were advised that there was a right of appeal against the decision, details of which were contained within Schedule 5 of the Licensing Act 2003, and must be exercised within 21 days from the date of the written decision.

The meeting closed at 2.40pm

Proposed Safety Conditions

Public Safety

For outdoor (outside a permanent structure) events involving more than 499 persons (including public, staff and contractors) the following conditions shall apply:

1. No later than 3 months prior to the event, details of the following matters shall be provided to the Licensing Authority, including a site plan showing the position of all significant structures and facilities, including but not limited to the following items:

Specific areas used for the licensable activities of regulated entertainment and sale of alcohol,
Structures (temporary or fixed) e.g. marquees,
Control point,
Security office,
Ticket office,
Entry and exit points,
Fire precautions and muster points,
Parking areas,
Traffic routes,
Lighting units,
First aid point,
Toilet facilities,
Trade and catering stalls,
Special effects e.g. pyrotechnics, fireworks, lasers or other visual effects,

2. A person with an appropriate level of competency as decided by Broadland District Council shall be appointed to have overall responsibility for managing event health and safety and act as a point of contact with relevant authorities. Details of that person shall be provided to the Licensing Authority no later than 3 months prior to the event.

3. An Event Management Plan, incorporating safety risk assessments, shall be carried out and provided to the Licensing Authority no later than 3 months prior to the event. (NB It is accepted that later amendments to the detail of the EMP may be unavoidable.)

4. A Contingency Plan shall be prepared and provided to the Licensing Authority no later than 3 months prior to the event. It shall detail the actions to deal with all foreseeable emergencies e.g. fire, structural collapse, lightning strike, bad weather etc. Adequate resources and equipment shall be available to implement the contingency plan. A copy of the Contingency Plan shall be available at the control point and staff shall be made aware of their specific duties.

5. Appropriate vehicular access shall be provided for emergency vehicles. This shall be taken into account during the planning and setting out of the site.

6. A maximum occupant capacity for the site of the event shall be determined. The maximum occupant capacity to allow safe means of escape in the event of an emergency for each structure to be used, shall be determined (using a relevant assessment method) taking into account the type of activities carried out.

7. The maximum occupant capacities for the whole site and for each structure shall be recorded and shall not be exceeded.

8. Liaison with the emergency services shall be carried out at an appropriate time prior to the event.

9. Before the event commences a person with an appropriate level of competency as decided by Broadland District Council shall certify that all temporary demountable fabric structures are safe to occupy.

10. Before the event commences a person with an appropriate level of competency as decided by Broadland District Council shall certify the suitability and safe condition of the electrical installation and portable electrical appliances prior to the event.

11. For the duration of the time the site is occupied by the public, a control point shall be set up and operated to manage and co-ordinate site safety matters.

12. An effective communication system shall be operated to allow liaison between the event management, event safety staff, stewards and car park supervisors and other persons with responsibility for site safety.

13. Arrangements shall be made so that during the event the emergency services can be contacted without delay.

14. A site safety log book shall be maintained detailing key events and actions e.g. accidents, public disorder, arrests, fires, medical emergencies, electrical failures, structural failures, complaints regarding safety and any other significant safety incident.

15. Systems shall be in place to effectively control access to the site and control the number of persons attending. Measures shall be put in place to prove to the satisfaction of the Licensing Authority, the number of persons on site at any time.

16. An adequate number of appropriately trained and briefed stewards and security staff shall be deployed to deal with routine activities, car parking, security and any emergency situation.

17. To prevent falls and injuries in the hours of darkness, suitable site lighting will be in operation areas where public are expected to visit.

18. The power supply to lighting shall be designed to provide continuous and adequate lighting in the event of a failure of the primary power source to ensure public safety and safe access to and egress. A contingency means of voice evacuation or alarm raising shall be provided in addition to the main public address system e.g. a back-up public address system or battery powered loud-hailer if appropriate.

19. Electrical circuits serving the areas licensed for regulated entertainment shall, in addition to the normally required circuit protection, be equipped with sensitive earth leakage protection (residual current operated device) as part of the wiring installation. The device shall be designed to operate if the earth leakage current exceeds 30 milliamps and shall have a maximum operating time of 30 milliseconds.

20. Toilet facilities and first aid provision shall be provided in accordance with the relevant recommendations in the current edition of the Purple Guide to Health, Safety and Welfare at Music and Other Events, published by the Events Industry Forum (formerly the Health & Safety Executive publication: The Event Safety Guide HSG195).

For indoor (within permanent or temporary structures) events of any capacity the following conditions shall apply:

21. A maximum occupant capacity for the whole site/building complex shall be determined. The maximum occupant capacity to allow safe means of escape in the event of an emergency shall be determined (using a relevant assessment method) for each room to be used and taking into account the type of activities carried out.

22. The maximum occupant capacities for the whole site/building complex and for each room shall not be exceeded.

23. Electrical circuits serving the licensed areas shall, in addition to the normally required circuit protection, be equipped with sensitive earth leakage protection (residual current operated device) as part of the wiring installation. The device shall be designed to operate if the earth leakage current exceeds 30 milliamps and shall have a maximum operating time of 30 milliseconds.

24. Periodic inspection of the electrical installation shall be carried out by a certified electrician as decided by Broadland District Council and repeated at an interval determined by the competent electrician. An inspection report signed by the agreed electrician, shall be provided indicating the condition of the installation, details of any electrical defects and specifying the period till the next inspection.

Agenda Item: 3.2

Minutes of a meeting of the **Licensing & Regulatory Committee** held by video link on **Wednesday 23 September 2020** at **9.00am** when there were present:

Cllr S C Gurney – Chairman

Cllr C Karimi-Ghovanlou

Cllr K G Leggett MBE

Also in attendance were the Democratic Services Manager, Licensing and Enforcement Officer (CN) and the Democratic Services Officer (JO).

4 MINUTES

The Minutes of the meetings held on 18 March and 22 July 2020 were confirmed as a correct record.

5 LOCAL GOVERNMENT (MISCELLANEOUS PROVISIONS) ACT 1976 PRIVATE HIRE VEHICLE DRIVER LICENSING

The Committee considered an application for a Private Hire Vehicle Driver's Licence from Mr Andrew Broadhead.

Mr Broadhead had stated in his application that he was related to a member of staff working at Broadland and South Norfolk Council. Therefore, in accordance with the Council's Constitution, the application had been referred to the Licensing and Regulatory Committee for determination.

The Licensing and Enforcement Officer advised the meeting that following his application for a Private Hire Vehicle Driver Licence on 5 March 2020, copies of Mr Broadhead's DVLA and DBS checks had been received and there were no matters listed on these checks.

Where there were no matters arising in respect of an application for a Private Hire Vehicle Driver Licence, the Council was required to grant the application and this would normally be authorised by officers using delegated powers.

However, in the interests of transparency, when an applicant was related to a member of staff the Committee was required to determine whether to grant the application.

Members were asked to note that there was a risk that the Council could incur costs in officer and legal representative time if a person was aggrieved by the decision of the Committee and pursued an appeal to the Magistrates' Court.

In response to a query, the Committee was informed that the applicant had been driving since 1988.

The Chairman noted that the applicant was not present and that there were no representations from other parties.

DECISION

Members considered all the information before them and decided to grant the licence.

The Chairman noted that there were no concerns raised by officers in respect of this application, however she emphasised that in future she would like to see the application form and any accompanying papers attached to the Agenda.

RESOLVED

To grant the Private Hire Vehicle Driver Licence.

6 LICENSING ACT 2003 APPLICATION FOR A PREMISES LICENCE

This application was not considered, as the objection had been withdrawn, and as such could be dealt with by officers under delegated powers.

The meeting closed at 9.14am.

Agenda Item: 3.3

Minutes of a meeting of the **Licensing & Regulatory Committee** held via video link on **Thursday 29 October 2020** at **9:30am** when there were present:

Cllr S Gurney – Chairman

Cllr A Adams

Cllr K Kelly

In attendance were Mr D Lowens (the Committee's legal advisor), the Governance Manager, the Licensing & Enforcement Officer (CN) and the Democratic Services Officer (DM).

Also present was Imogen Oliver, applicant. The objector was not present and attempts were made to contact her by email but without success. No telephone contact number had been provided. The objector had not contacted the Council to request an adjournment or to explain why she was not present. The committee agreed to continue with the meeting in the absence of the objector.

7 LICENSING ACT 2003 – APPLICATION FOR A PREMISES LICENCE – 15 JOYCE WAY, THORPE ST ANDREW, NORWICH, NR7 0ZG

The Chairman welcomed everyone to the meeting, confirmed who was in attendance and that they all had effective remote connections. She explained the procedure to be followed for the meeting and sought confirmation from all present that they had copies of the papers for the meeting.

The Licensing and Enforcement Officer read out the officer's report and invited the Committee to consider the application for a Premises Licence in respect of 15 Joyce Way, Thorpe St Andrew, Norwich, NR7 0ZG for the supply of alcohol (for consumption off the premises) Monday to Sunday 7.00am to 22.00am.

Representations had been received from the Police, which had subsequently been withdrawn following the applicant's agreement to the conditions proposed by the Police Licensing Officer. These conditions were read out. A representation had also been received from a local resident raising concerns about public nuisance from the proposal. In essence their concerns related to the inexperience of the applicant to run the operation safely, disruption to the neighbours from deliveries and visitors to the property, potential for break-ins and concern for the welfare of young people resident at the property. Members noted the location of the application premises in relation to the objector's residence.

In response to questions, the Licensing & Enforcement Officer stated that no details were included in the application regarding fire safety measures and confirmed that the required notices regarding the application had been advertised correctly, having been posted at the front of the property and being visible from the public highway.

The Committee then heard from Imogen Oliver, the applicant, who acknowledged the right of others to make representations on her application and acknowledged that it may not have been totally clear from her application what her exact proposals were which may have led to assumptions being made and concerns being raised which she hoped to address. She had made the application as it was a legal requirement to enable her to operate her intended business. The business was a home delivery pre-made cocktail business involving the making and delivery of cocktails solely by the applicant at the premises in low volumes and delivered by her to customers. No customers would visit the property to order, consume or collect the product. With regard to concerns raised by the objector, who she had not met, about her ability to responsibly run the business, the applicant stated that, despite her young age, she was a very mature, level headed and responsible person and had experience of working in other relevant industries. She felt the representations made were stereotypical and any refusal of the licence on the basis of her age would be discriminatory. She had worked as an independent travel advisor in a customer based, face to face, role managing complex customer needs with care, responsibility and diligence. She also had managerial experience in a supermarket including alcohol sales with relevant ID checks. She lived with her parents and 3 siblings at the family home which would be the business premises. Her parents were fully supportive of her venture. She did not feel the business would impact on traffic in the cul-de-sac where the premises was situated and she and her brother already parked their cars away from the house to avoid congestion. The family had good relations with their neighbours. She would be continuing with her current full time employment and would utilise the permitted hours to make cocktails before and after work for delivery at convenient times to fit around her other work commitments, potentially on her way to work, depending on her shifts. She purchased her supplies from a local wholesaler in person.

With regard to young persons being in the house, there was already a supply of alcohol in the house for infrequent domestic use as with many households and given low volume nature of the proposed business there would only be a modest increase in this and measures would be taken to store this safely in a locked cabinet. With regard to other assumptions made about the nature of the business, the applicant stated that she had made use of social media to document her the business and would continue to use her extensive experience of this method of promotion, eventually launching a website if the licence was granted. She did not feel her business premises would be any more attracted to break-ins than other premises in the relatively affluent area in which the premises was situated. With regard to the claim that demanding customers could potentially be turning up on the doorstep and her ability to deal with this, she reassured members that there was no intention to encourage visitors to the premises and no need for them to visit.

The Chairman asked if the applicant had any witnesses to call and the applicant confirmed she did not but that she did have a character reference to support her application from a nearby neighbour which she was happy to share. Having taken legal advice, and having sought confirmation that the reference did not raise any new material or evidence, the Chairman invited

the applicant to read the reference. The reference highlighted that the authors lived very close to the applicant's premises, and that they had no concerns with the proposals. The applicant was a very sensible, mature, considerate person and was to be commended in her plans to set up a new business in the current climate. She had complied with all the requirements necessary and they wished her will with her endeavors.

In answer to questions, the applicant explained why she wished to operate her business from 7am to 10pm. This was to enable her to prepare cocktails before commencing her main employment, not necessarily to deliver them at that time. She confirmed the finish time was 10pm and not 9pm as stated in section M of the application form. She would be making the cocktails in the family kitchen/dining room and would work around family use of these facilities. She confirmed that ingredients would be stored in a locked cabinet and she enabled members to view the cabinet. The applicant confirmed that she would be delivering to domestic homes and not public places; she understood public places to be places outside a home with free movement of people. She confirmed that she was a Designated Premises Supervisor and had undertaken the course on-line in July this year.

In the absence of the objector, the Committee had regard to the representations made in their written submission and the applicant had addressed the main areas of concern raised in the representation.

All present were then invited to make their closing statements.

The applicant stated that she had learnt a great deal in preparing her application and would not be able to please everyone. She had dedicated her sole to creating her new business, which in the current environment was to be applauded. People were being made redundant in current environment. The business was a special occasion service to supply cocktails to people celebrating special occasions at home. She was a capable mature individual with a strong desire to succeed and she hoped that members now had an informed understanding of the nature and operation of the business which would enable them to support her application.

All parties present, with the exception of the Committee Members, the Legal Advisor and the Democratic Services Officer, then left the meeting whilst Members discussed the matter. All parties were then re-admitted to the meeting and advised of the Committee's decision, as follows:

Decision of the Licensing Committee 29 October 2020 – 15 Joyce Way, Thorpe St Andrew, Norwich, NR7 0ZG

The application was approved, with the following imposed conditions:

1. Drink ingredients containing alcohol are to be stored in a sturdy, secure and locked (not glass) container/cupboard.
2. Alcoholic drinks once prepared are to be stored in a sturdy, secure and locked (not glass) container/cupboard – this can be the same container as that holding the ingredients.

3. Alcoholic ingredients and prepared drinks are to be kept separate from items stored for domestic purposes.
4. The premises licence holder is to request the Norfolk Fire and Rescue Service or other properly authorised body to carry out a fire safety inspection of the licensed storage areas and is to act on their recommendations.

REASONS FOR THE COMMITTEE DECISION

There is insufficient evidence to support the concerns of the objector that the operation of this business would cause a nuisance to persons in the area, noting that the hours of operation are reasonable, the scale of operations is limited in scope and that no member of the public will visit the premises to obtain alcohol. The premises licence holder has limited but relevant experience of alcohol sales. The business will be delivery only and there are adequate controls regarding age verification and training. Significant weight is given to the fact that there are no outstanding representations from the Norfolk Constabulary or any other responsible authority and that the proposals presented by the Norfolk Constabulary to promote the licensing objectives and to ensure that the proposals offered by the applicant were enforceable have all been agreed.

The preparation of the alcoholic drinks takes place in a domestic setting, as a result the committee has imposed conditions regarding security of alcohol, the keeping of the business stock separately from the domestic storage of items and the carrying out of appropriate measures to ensure safety against fire.

RIGHTS OF APPEAL:

Rights of appeal are set out in Schedule 5 of the Licensing Act 2003. Any person wishing to appeal this decision by the licensing authority regarding either the decision to grant the application or the conditions imposed or which should have been imposed should do so within the period of 21 days from the receipt of written notification of the decision appealed against. Any appeal must be sent directly to the Magistrates' Court.

A written decision would be provided within 5 working days of the meeting and circulated to all those making representations.

The meeting closed at 11:40am

Agenda Item: 3.4

Minutes of a meeting of a remote meeting of the **Licensing & Regulatory Committee** held via video link on **Thursday 5 November 2020** at **9:30am** when there were present:

Cllr S Gurney – Chairman

Cllr A Adams

Cllr D Harrison

Cllr D King

Cllr S Catchpole

Cllr C Karimi-Ghovanlou

Cllr K Leggett MBE (for part of the meeting)

Cllr R Foulger

Cllr K Kelly

In attendance were Mr D Lowens (the Committee's Legal Advisor), the Governance Manager, the Licensing & Enforcement Officer (SH) and the Democratic Services Officers (LA and JH).

8 DECLARATIONS OF INTERESTS UNDER PROCEDURAL RULE NO 8

No declarations of interest were received.

9 APOLOGIES FOR ABSENCE

No apologies for absence were received.

10 LICENSING ACT 2003 – REVIEW OF LICENSING POLICY

The Licensing and Enforcement Officer presented the report regarding a review of Licensing Policy. Members noted that in accordance with the Act, the Council was required to publish a statement of Licensing Policy and to review the Policy every five years. The report included responses to consultations on the revised Policy.

Members queried why comments made by the Environmental Excellence Portfolio Holder (Cllr J Leggett) were not included in the consultation response at Appendix 2. The Licensing & Enforcement Officer advised Members that the Portfolio Holder was informally consulted on the amended Policy before it went out for the formal consultation, and she assured Members that her comments had been incorporated into the amended Policy.

In response to concerns regarding the low level of response to the consultation, in particular the lack of a response from Child Protection or Safeguarding, the Licensing & Enforcement Officer commented that that this was a review of policy required by law, and these reviews did not often lead to significant changes. The Legal Advisor added that it was rare for Child

Protection and Safeguarding to respond to these type of Policy updates, as Local Policies could not conflict with the National Policy.

In response to concerns raised by the Legal Advisor, Members voted in favour of recommending to Council that paragraph 2.19 of the Policy be amended as follows:

- Bullet point 3 (on page 14 of the report) be amended to state “Each page must include a relevant representation”.
- Bullet point 7 (on page 15 of the report) be removed, as current legislation states that it is the Licensing Authorities responsibility to contact each signatory and not the responsibility of the lead signatory.
- The final sentence of paragraph 2.19 (on page 15 of the report) be removed.

Also in response to concerns raised by the Legal Advisor, Members voted in favour of recommending to Council that paragraph 2.7 on page 12 of the report be amended to read “Conditions may be imposed on a licence following the receipt of relevant representations.”

In response to Members’ concerns that the proposed policy would remove the requirement of the presence of an appropriate number of adult staff, at paragraph 7.11 (on page 22 of the report), Members voted in favour of recommending to Council the following:

- Paragraph 7.11 be reinstated into the policy with the revised wording of “Where entertainment requiring a licence is specifically presented for children, the licensing authority may require the presence of an appropriate number of adult staff to ensure public safety and their protection from harm”
- Paragraph 7.12 be reinstated into the policy.
- Paragraph 7.13 be reinstated into the policy.

Having considered the schedule of responses received as a result of the consultation, and comments made by Members and Officers at the meeting, Members supported the proposed amended Policy, subject to the Committee’s recommendations, and it was

RESOLVED

TO RECOMMEND THAT COUNCIL adopts the amended Licensing Policy, subject to the amendments agreed above.

The meeting closed at 10:17am

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Agenda Item: 5
Licensing and Regulatory Committee
26 August 2021

LOCAL GOVERNMENT (MISCELLANEOUS PROVISIONS) ACT 1976
TOWN POLICE CLAUSES ACT 1847
REVIEW OF THE COUNCIL'S HACKNEY CARRIAGE AND PRIVATE HIRE
VEHICLE POLICY AND CONDITIONS – PRE-CONSULTATION

Report Author(s): Sarah Harris
Licensing Team Leader
01603 430580
sarah.harris@broadland.gov.uk

Portfolio: Environmental Excellence

Ward(s) Affected: All

Purpose of the Report:

This report details a review of the Authority's Hackney Carriage and Private Hire Vehicle Policy and Conditions document. The draft revised Policy and Conditions document is presented for Licensing and Regulatory Committee's consideration in advance of a public consultation exercise on the draft document.

Recommendations:

The Committee is **RECOMMENDED** to:

1. Consider the draft Policy and Conditions, along with the schedule of key proposed changes.
2. Note and comment on the draft Policy and Conditions, with views to be considered in the consultation process.

1. Summary

- 1.1 The Authority currently has in place a Hackney Carriage and Private Hire Vehicle Policy and Conditions document. This was last reviewed in 2014 and took effect in January 2015.
- 1.2 A draft revised document has been produced with the assistance of an experienced Licensing consultant and by our Licensing officers, in consultation with the Licensing and Regulatory Committee Chair.
- 1.3 Committee is requested to consider the draft revised document and the views of Committee are sought as we prepare to open the consultation process.
- 1.4 Once the consultation exercise has been completed, the revised Policy and Conditions document will be brought back to Committee for further consideration and referral to Council for formal adoption.

2. Background

- 2.1 Local authorities are required to have in place a taxi licensing policy to enable the Authority to carry out its functions relating to the licensing of Hackney Carriage and Private Hire Drivers, Vehicles and Operators. In 2020 the Department for Transport (DfT) issued a Statutory Standards document which requires local authorities to review their licensing policy every five years, unless legislative changes or local circumstances dictate otherwise.
- 2.2 The new Statutory Taxi and Private Hire Vehicle Standards were published by the DfT in July 2020. Under the terms of this document all local authorities are required to consider and incorporate the Statutory Standards into their Policy documents. This review should be completed before 31 December 2021 to enable any changes to policy documents to be in place in early 2022.
- 2.3 The draft revised Policy and Conditions document has incorporated the proposals set out in the Statutory Standards document, along with further updates to incorporate changes to legislation, guidance and good practice.

3. Current position/findings

- 3.1 The draft Policy and Conditions document has been prepared to enable it to undergo a consultation process (copy attached at Appendix One).
- 3.2 Responses received during the consultation period will be given careful consideration and any further proposed changes to the document will be submitted to Licensing and Regulatory Committee for full consideration before recommending the final document to Council for adoption.
- 3.3 It is anticipated that the final document will place the Authority in a good position to enable Licensing officers to process applications received under the relevant legislation, grant licences and carry out enforcement as necessary.

4. Proposed action

- 4.1 It is proposed that, following consideration by the Licensing and Regulatory Committee, the draft Policy and Conditions document undergoes an 8 week public consultation. The provisional dates for this are from 6 September to 1 November 2021. These dates enable the Authority under its formal decision-making process to adopt a revised policy by 31st December 2021, and this timescale has a legal implication which is noted in paragraph 5.2 of this report.
- 4.2 The document will be circulated to current licence holders, District Councillors, Parish and Town Councils and various charities, groups and organisations representing both the hackney carriage and private hire trades and the public as potential customers utilising these licensed vehicles.
- 4.3 The key proposed changes will be highlighted to all potential respondents. A copy of the key proposed changes document is attached at Appendix Two.
- 4.4 Responses to the proposed changes, as well as to the draft document in general, will be invited. These responses will be collated and made available to the Licensing and Regulatory Committee for consideration after the consultation closes.
- 4.5 The Committee will subsequently be invited to refer the final document to Council for formal adoption.
- 4.6 It is proposed that the new Hackney Carriage and Private Hire Vehicle Policy and Conditions document will take effect from 1 April 2022.

5. Issues and risks

- 5.1 **Resource implications** – There are no specific resource implications in respect of the review of the Hackney Carriage and Private Hire Vehicle Policy and Conditions, other than those already identified and funded to enable the Authority to comply with the overall requirements of the legislation. The level of income generated by and arising from the implementation and enforcement of the legislation and conditions will be kept under close review.
- 5.2 **Legal implications** – Local authorities are required to have in place a taxi licensing policy to enable the Authority to carry out its functions relating to the licensing of Hackney Carriage and Private Hire Drivers, Vehicles and Operators. In addition, the Department for Transport (DfT) has issued Statutory Standards to licensing authorities, requiring necessary changes to be made to policies to enhance the safeguarding measures for Hackney Carriage and Private Hire Vehicle licensing. The DfT has required authorities to have considered and approved these changes by the end of 2021.
- 5.3 **Equality implications** – An Equality and Communities Impact Assessment has been completed. There are no human rights issues specific to the Policy and Conditions providing the Authority can demonstrate best practice and compliance

with national guidance in the production of the document.

- 5.4 **Environmental impact** – The draft revised Policy makes particular reference to encouraging the provision and licensing of electric and environmentally friendly vehicles. This reflects key considerations contained in the Authority's Environmental Strategy. The Authority is also aware of the current Government proposals to end the sale of new petrol and diesel cars from 2030, with all new cars and vans being fully zero emission from 2035, allowing for the sale of some specified hybrid vehicles for a further five years.
- 5.5 **Crime and disorder** – The revised draft Convictions Policy will ensure that the principle of ensuring licensed drivers are safe and suitable for licensing will be upheld. It is proposed that more frequent checks will be carried out with the Disclosure and Barring Service (DBS) on all licensed drivers. In addition, further criminal records checks are proposed for Private Hire Operator base staff, in line with the DfT Statutory Standards document.
- 5.6 **Risks** – There may be an additional financial burden placed on current licence holders to ensure that they meet the new proposed standards. However, some lead-in periods have been incorporated into the document to allow licence holders additional time to prepare for any additional expenses. It has been considered by officers that any potential financial burden is outweighed by the Authority's duty to ensure public safety and the protection of the wider public. In addition, Committee are advised to note that a delay in commencing the consultation process to that being proposed would compromise the ability of the Council to achieve the key dates laid out by the DfT for this review to be completed. This could lead to the local authority operating beyond that timescale before the revised Hackney Carriage and Private Hire Vehicle Policy and Conditions has come into effect.

6. Conclusion

- 6.1 The draft revised Policy and Conditions document in Appendix 1 contains a substantial body of settled existing policy content to which no changes are proposed, together with key proposed changes which are outlined in Appendix 2 and minor updating changes for good measure.

7. Recommendations

- 7.1 The Committee is **RECOMMENDED** to:
1. Consider the draft Policy and Conditions, along with the schedule of key proposed changes.
 2. Note and comment on the draft Policy and Conditions, with views to be considered in the consultation process.

Appendices

1. Copy of the draft Hackney Carriage and Private Hire Vehicle Policy and Conditions.
2. Copy of the key proposed changes.

Equalities and Communities Impact Assessment

Name of Officer/s completing assessment: Sarah Harris

Date of Assessment: 03/08/2021

1. What is the proposed Policy (please provide sufficient detail)?

For the purposes of the assessment the term 'Policy' relates to any new or revised policies, practices or procedures under consideration.

We are undertaking a review of the Broadland District Council Hackney Carriage and Private Hire Vehicle Policies and Conditions. The Council is required to have a Policy and set of Conditions in place under the Town Police Clauses Act 1847 and the Local Government (Miscellaneous Provisions) Act 1976.

2. Which protected characteristics under the Equalities Act 2010 does this Policy impact: (indicate whether the impact could be **positive**, **neutral**, or **negative**)

Protected Characteristic	Potential Impact		
	Positive	Neutral	Negative
Age			✓
Disability	✓		
Race		✓	
Sex		✓	
Religion or Belief		✓	
Sexual Orientation		✓	
Marriage/Civil Partnership		✓	
Pregnancy/Maternity		✓	
Gender Reassignment		✓	

3. Which additional Communities characteristics does this policy impact?

Health		✓	
Place inc. Rurality	✓		
Low Income and Poverty	✓		

3. What do you believe are the potential equalities impacts of this policy?

Please include:

- Partnership organisations worked with in the development of this policy
- Evidence gathered to inform your decision
- Where you have consulted, Who and How this has informed the decision/policy
- Any other groups impacted not detailed above

Note: Impacts could be **positive**, **neutral**, or **negative** and impact groups differently

This is a review of the current Hackney Carriage and Private Hire Vehicle policy and conditions document for Broadland District Council. The current version of the document has previously undergone consultation with input from various partnership organisations, including other Norfolk Licensing Authorities, the Police, Fire Service, Highways, passenger transport organisations, licence holders and other bodies with an interest in the hackney carriage and private hire licensing process. The draft reviewed policy document will undergo an 8 week consultation exercise. During this period, various authorities, agencies, organisations and charities will be consulted, along with licence holders specifically affected by the policy review.

In terms of the protected characteristic of age, once a hackney carriage or private hire driver licence holder reaches the age of 65, they will be required to complete a medical assessment on an annual basis. Licence holders under the age of 65 will be required to complete a medical on a three yearly basis, in line with their licence renewal. These medicals are completed to the DVLA Group 2 medical standard. This brings the authorities in line with the DVLA requirements for all individuals who are authorised to drive Group 2 vehicles (i.e. HGVs and PSVs). It is anticipated that this requirement will go towards ensuring public safety.

5. What do you believe are the potential communities impacts of this policy?

Please include:

- How the policy can meet agreed priorities
- Evidence gathered to inform your decision
- Partnership organisations worked with in the development of this policy
- Where you have consulted, Who and How this has informed the decision/policy
- Any other groups impacted not detailed above

Note: Impacts could be **positive**, **neutral**, or **negative** and impact groups differently

Hackney carriages and private hire vehicles are often relied upon for transport and their use is proportionately higher amongst low income families. Similarly, individuals living in remote areas, without access to their own car or a regular bus service, may be very reliant on these vehicles for transport. It is important to ensure that licensed vehicles and their drivers are safe and suitable to carry out these necessary journeys. The aim of this review is to ensure that the policy and conditions achieve this purpose.

Many licensed vehicles are also used on contract to Norfolk County Council to undertake home to school transport and to also transport vulnerable persons. With these groups in mind, in particular, it is essential that the policy and conditions ensure that only fit and proper individuals are granted the relevant licences.

The policy and conditions documents will be widely consulted upon, including with agencies and organisations representing a wide range of interests. As stated above, officers also work closely with other local licensing authorities, with the Police, Highways, County Council passenger transport and other relevant bodies. They will each have an opportunity to comment on this revised document.

6. How is it proposed that any identified negative impacts are mitigated?

Please include:

- Steps taken to mitigate, for example, other services that may be available
- If a neutral impact has been identified can a positive impact be achieved?
- If you are unable to resolve the issues highlighted during this assessment, please explain why
- How impacts will be monitored and addressed?
- Could the decision/policy be implemented in a different way?
- What is the impact if the decision/policy is not implemented?

The aim of this Policy document is that it does not impact against any protected characteristic in a negative way. Whilst there are extra medical requirements in respect of licence holders over the age of 65, the

purpose of this is to ensure that they continue to be able to drive members of the public around in a safe manner. We have not proposed a maximum age limit for licence holders.

An overriding consideration in Licensing is the protection of the public. It must therefore be ensured that this reflected throughout the document.

Signed by evaluator:



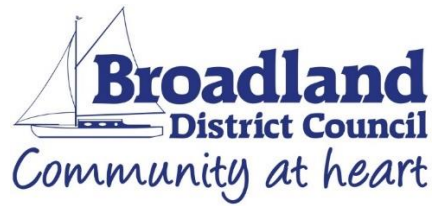
Signed by responsible head of department:

Please send your completed forms to the equalities lead (Victoria Parsons) to be reviewed and stored in accordance with our legal duty.

REVIEW DATE - _____

(See Page 2 for details of reviews. Please send a copy of the reviewed document to Victoria Parsons)

DRAFT OF PROPOSED NEW HCPHV&O POLICY



Draft Hackney Carriage and Private Hire Vehicle Policy and Conditions

Version 1 (August 2021)

DRAFT OF PROPOSED NEW HCPHV&O POLICY

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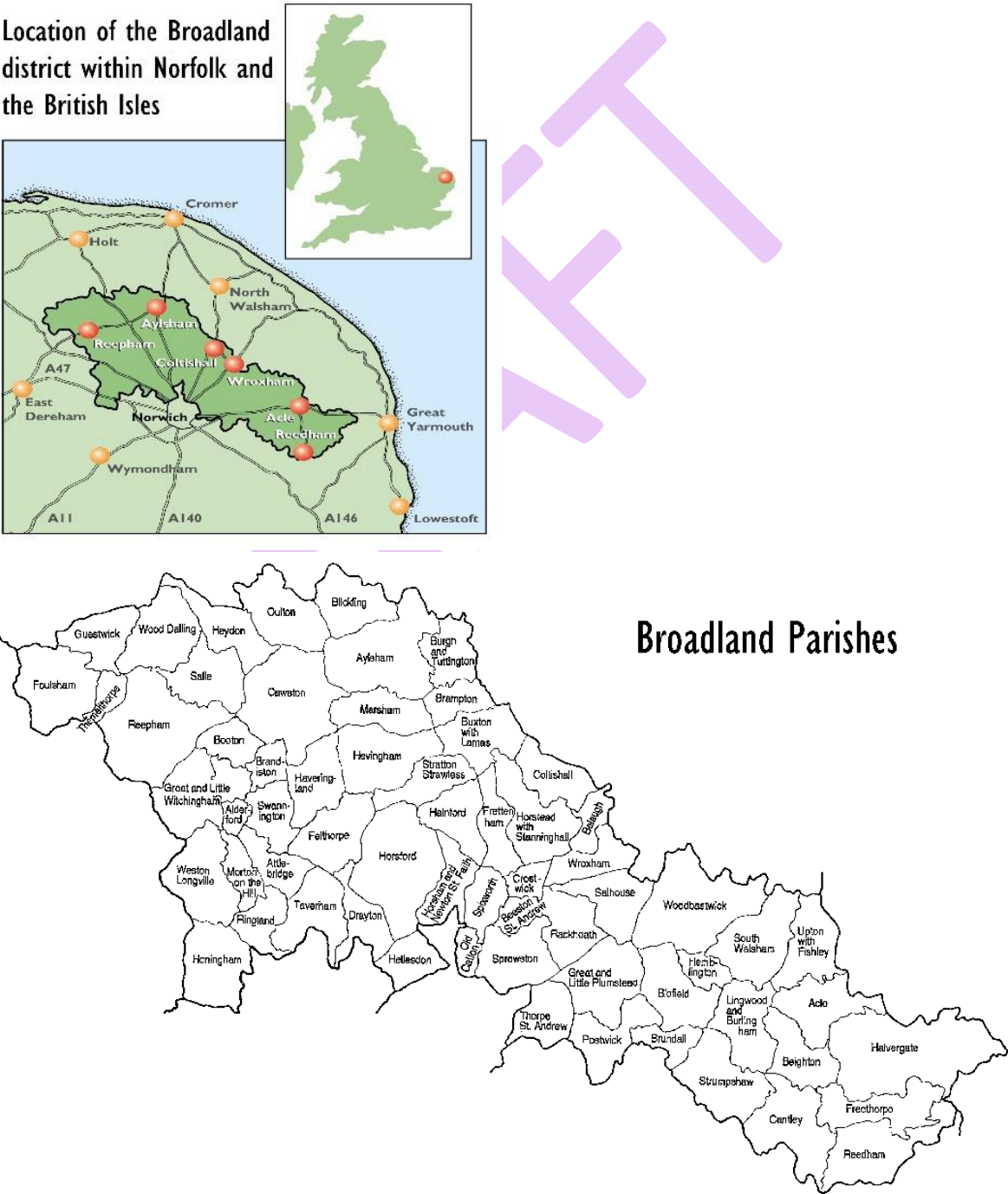
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1 Introduction

Broadland District Council is situated in the county of Norfolk. The district has a population of 129 000. The council area includes the northern suburbs of Norwich, such as Thorpe St. Andrew, Sprowston and Hellesdon, as well more rural areas to the north and east, including market towns such as Aylsham and Acle. The Broadland Northway (A1270) allows for easy access between the main arterial roads of the district and the A47.

Map of the area covered by Broadland District Council



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2 Purpose of Licensing

The Council has responsibility for the regulation and control of all operators, drivers and vehicles which are used for hire and reward within our District. The power to carry out this function is contained within the Town Police Clauses Act 1847 and the Local Government (Miscellaneous Provisions) Act 1976.

3 Policy Aim

The Licensing Authority aims to provide a consistent and transparent service when carrying out its functions relating to the licensing of Hackney Carriage and Private Hire Drivers, Vehicles and Operators. We aim to balance the needs of licence holders with our duty to protect the public and in particular children and vulnerable adults.

This Council aims to achieve this by:

- Safeguarding persons using Hackney Carriage and Private Hire services
- Ensuring compliance with the Equality Act 2010 and meeting the Council's duty toward inclusivity and equality.
- Ensuring that licensed vehicles meet emissions standards and encouraging the use of Electric or low pollutant vehicles.

It is the Council's wish to facilitate well-run and responsible businesses which provide essential services to the travelling public. The Council recognises the importance the licensed trade offers to the local community. The aim of the licensing process is to regulate the Hackney Carriage and Private Hire trade in order to promote safety and wellbeing of the public who utilise these services. In exercising its discretion in carrying out its regulatory functions, the Council will have regard to this policy document and its aims and objectives.

4 Consultation

Police
Fire and Rescue
Disability groups
All current licence holders
Legal Services
Council website
Reception building
All elected Members
National Taxi and Private Hire Association
Portfolio Holder
Other relevant consultees

5 Review of the Policy

The Statutory Guidance issued by the Department for Transport (DfT) requires local authorities to review their licensing policy every five years unless legislative changes or local circumstances dictate otherwise. This Policy will remain in force until 2026 when it will be subject to review and further consultation if changes are made. At the time of the review, we

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will again consult with all interested parties. Minor amendments which do not materially affect or amend the essence of this policy may be made without the need to consult.

6 Contact

The Licensing Team Contact Address is:

Broadland District Council
Thorpe Lodge
1 Yarmouth Road
Thorpe St Andrew
Norwich NR7 0DU

licensing@broadland.gov.uk

01603 430574

7 Licensing Process and Delegation of Functions

Officers of the Council have the delegated authority to determine licence applications and may grant or refuse to grant a licence. Applications may also be referred to Licensing Committee for consideration and determination. All applications will be determined in accordance with this policy and each case will be considered individually on its facts and merits.

8 Committee Procedure and Right to Appeal

If the application for a licence falls outside of Policy, the Licensing Team will inform the applicant of the reasons why. If the applicant wishes to, they may give notice in writing that they wish the matter to be considered by the Licensing Committee. The applicant will be advised of the date that their application will be heard. The applicant will be expected to attend to give reasons why they feel that the Licensing Committee should depart from, or offer an exception to, the Policy.

Following the determination of an application by the Council the applicant will receive a copy of the decision in writing. This written decision will be delivered as soon as possible after the decision has been made but in any case within 14 days. This will include information on the right of appeal where appropriate.

All Members and Officers who have the responsibility for making decisions on licence applications, must have undertaken sufficient training to enable good decision making. This is in accordance with the Statutory Taxi and Private Hire Vehicle Standards.

9 Fees

Fees and charges for all licences are payable in advance and must accompany the application. Applications submitted without fees will be considered incomplete and will be returned to the applicant.

Full details of all current fees and charges, updated annually, can be found on our website.

DRAFT OF PROPOSED NEW HCPHV&O POLICY

10 Conditions

The Council has adopted byelaws and conditions relating to Hackney Carriages and Private Hire Drivers' Licences. These conditions are agreed by the Licensing Committee. Once a licence is determined, the licence holder agrees to comply with the conditions of their licence.

11 Equality Act 2010

It is unlawful under the above act to discriminate, either directly or indirectly against any person on the grounds of disability, gender reassignment, pregnancy and maternity, race, sex, sexual orientation, religion or belief.

Drivers of wheelchair accessible vehicles must comply with s165 of the Equality Act, unless they have been personally issued with an exemption certificate under s166 of the Act. This will largely be on medical grounds or because the driver's physical condition makes it unreasonably difficult for them to comply with the duty.

A list of all wheelchair accessible vehicles will be maintained in accordance with section 167 of the Equality Act 2010 on the Licensing Team webpage. This list will be periodically updated based on the details given at the time of vehicle licensing.

12 Electric Vehicles

The Government has identified Climate Change as a priority focus and the Council wishes to encourage the delivery of Greener Policies. The Council recognises the positive impact that low and zero emission vehicles have on the Environment and encourage the take up of ultra-low and zero emission vehicles.

Zero emission vehicles emit zero emissions in their life-cycle. The range of electric only vehicles is typically around 100 miles but this can be higher depending on the vehicle model and manufacturer. Electric vehicles require less maintenance than hybrid or conventional vehicles as they require little or no regular maintenance of their battery, motor or associated electronics. In addition there are fewer fluids to change and less moving parts. The regenerative braking system also means there is less wear and tear on the brakes.

Fuel cell vehicles typically have a range of up to 300 miles depending on the model and can be re-fuelled within a few minutes. As with purely electric vehicles they emit no emissions during their life-cycle.

Ultra-Low emission vehicles (Hybrid and E-REV) use a conventional engine to either act as an additional fuel source for the vehicle or as a fuel source for the battery. Hybrids and E-REV have lower CO2 emissions as a result of improved fuel economy and the ability to operate in electric only mode. Typically CO2 emissions are between 15- 30% less than conventional models when not in electric only mode. Hybrid vehicles and E-REV's still have a combustion engine and therefore require a similar maintenance schedule as for conventional vehicles. As

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with electric only vehicles they often use a regenerative braking system which reduces wear and tear on the brakes.

The Council are looking at ways to encourage the earlier transition to using electric vehicles. Some funding assistance may be made available for battery electric vehicles (BEV) and plug in hybrid electric vehicles (PHEV). Different funding may be available depending on the CO₂ emissions of the vehicle. Further detail will be provided on any such schemes as it becomes available.

It is the aim of the Council that all newly licensed vehicles from **1 April 2030** will be fully electric powered.

Every application will be considered against the policy. Any person may request an exception to the policy but the applicant must be able to demonstrate sound and compelling reasons as to why the Licensing Committee should consider departure from the policy.

Where this policy refers to the Licensing Committee, this refers to the Licensing and Regulatory Committee and will include any sub-committee or any subsequent or equivalent properly constituted body.

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Part 1 Dual Hackney Carriage and Private Hire Drivers' Policy

1 Introduction

In the Broadland District there will be an option to issue Dual Driver Licences. The criteria to obtain a driver licence is the same for each process. Although you may not choose to drive a hackney carriage vehicle upon application (at the time of writing this policy Broadland Council does not have any hackney carriage vehicles licensed), it does mean that if you change your mind and wish to do so, you have the authority to drive either a Hackney Carriage or Private Hire Vehicle, should Broadland issue hackney carriage vehicle licences in the future.

Licences are normally issued for a **3 year** period unless the licence holder's leave to remain in the UK is time-limited then the licence will expire on the leave to remain expiry date.

2 Legislation

Town Police Clauses Act 1847

Local Government (Miscellaneous Provisions) Act 1976

The above legislation is the predominant set of laws governing the regulation of drivers of Hackney Carriage and Private Hire vehicles.

3 Licensing Criteria

All drivers' licences will be **DUAL LICENCES** and enable a driver to drive both Hackney Carriage and Private Hire Vehicles.

Applicants must be able to meet the following criteria to be granted a licence to drive:

CRITERIA	REQUIRED STANDARDS
Age Requirement	Be over 21 years of age
Driving Licence Requirement DVLA or EU	Have held a full UK or EU member state driving licence for a minimum of one year
DVLA Driver Licence Background check	Each new or renewal application will require a DVLA issued licence to be checked to ensure the validity of the licence, classification of vehicle authorised and previous driving history. Applicants for new licences must pass a Hackney Carriage and Private Hire Vehicle Driving Assessment with a council approved company
Medical Background Check	The council's medical form (which is to the DVLA Group 2 Medical Standards), satisfactorily completed by a General Practitioner, must be submitted with all new and renewal applications. Once a driver or applicant reaches 65 years of age, annual medical assessments will be required.

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CRITERIA	REQUIRED STANDARDS
	The GP must confirm medical fitness to Group 2 standard to undertake this role.
Criminal Record Background Check	<p>A DBS (Disclosure and Barring Service) enhanced disclosure must be completed to provide a full record of any cautions, convictions or intelligence held on the applicant or driver's record.</p> <p>All criminal record information must be considered for this occupation type, whether or not it might be considered 'spent' under other circumstances.</p> <p>Applicants who have lived outside of the UK must provide a certificate of good character from each relevant Embassy of the countries in which they were resident from the age of 18.</p>
Immigration Status Check	A right to work check under the Immigration Act 2016 will be carried out on the applicant before a licence is issued.
<p>Have a good command of English, both written and oral</p> <p>This is essential as the applicant will need to be able to understand and comply with sometimes complex legislation, driving standards and conditions which need to be followed.</p>	<p>Licensed drivers MUST be able to communicate with their passengers. This means to understand written and verbal instructions and requests and be able to respond appropriately.</p> <p>Further tests may be required, as determined by the Licensing Authority, such as an assessment regarding written and oral skills.</p>

4 Fit and Proper Person

Sections 51 and 59 of the Local Government (Miscellaneous Provisions) Act 1976 require that "A district council shall not grant a drivers' licence to drive a Private Hire or Hackney Carriage vehicle unless they are satisfied that an applicant is a fit and proper person"

The standards set by the legislation state that the applicant for a licence to drive a Hackney Carriage or Private Hire Vehicle must be a 'Fit and Proper' person. The Council has to determine that an applicant is fit and proper to hold a licence. This means that the applicant must be suitable and safe. The Council consider this to mean:

- Honest and trustworthy
- Not abusive, exploitative, violent or threatening
- A competent and safe driver fully conversant with relevant road traffic legislation and licence conditions
- Conversant with the area that they are working in to ensure passengers are carried economically
- Able to communicate effectively with passengers and can read, speak, write and understand English.

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- In good physical and mental health
- Must hold a full Drivers Licence and not be disqualified from driving

These standards must be upheld during the validity of the council issued driver licence.

The following table provides the standards required by Broadland District Council.

(a) For all new applications

REQUIRED STANDARDS	METHOD OF ASSESSMENT
Safe and comfortable Driving Standards	Driving Assessment A first-time applicant, or an applicant whose previous licence expired more than 28 days previously, must produce a certificate issued by a Council approved provider (a list of which can be found on our website) confirming that they have taken and passed a Driving Assessment for Taxis and Private Hire Vehicles. The applicant will be required to provide their own vehicle in which to complete the test. This will be implemented for new licence holders. Existing licensed drivers will not have to complete the test, unless the renewal period of their licence exceeds a 28-day period or at the authorised officer's request.
Medical Fitness	DVLA Group 2 Medical Assessment Standards Medical to be undertaken and satisfactorily completed.
Convictions and Criminal History DBS Checks must be through the local authority and will not be accepted from any other source.	DBS Enhanced Check to include checks against the 'other workforce' barred lists, as well as subscription to the DBS Update Service to enable 6 monthly criminal record checks. A Criminal record check or alternatively a Certificate of Good Conduct from any Embassy in the countries which the applicant has resided since the age of 18. See Appendix 1 - Convictions Policy.
Must be the holder of a full Driving licence; Validity and issue date of Driving Licence and Driver History and Driver Category check	DVLA Driving Records Check in respect of penalty points and any other relevant issues.
Safeguarding and Disability Awareness Training	The Council has in place a requirement to undertake this training with a Council approved provider.
Right to Work in the UK	A right to work check under the Immigration Act 2016 will be carried out before your licence is issued.
Information regarding Previous Licences, revocations or refusals	Checks will be made with the National Anti-Fraud Network database (NR3) for refusals and revocations of Hackney Carriage or private hire licences.
Ability to speak and communicate effectively in English.	New applicants for drivers' licences may be required to undertake an English speaking and

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	comprehension test with a provider recommended by the Council. It is possible that the applicant may be referred to a council approved provider to undertake training to achieve a suitable standard.
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Any driver whose DVLA driving licence has been suspended or revoked will automatically have their Private Hire Driver licence suspended by an Authorised Officer as they will no longer satisfy the prerequisites for a Private Hire Driver licence. The driver will then be required to appear before Committee for consideration of the future of their licence.

(b) For all renewal applications

REQUIRED STANDARDS	METHOD OF ASSESSMENT
Medical Fitness	DVLA Group 2 Medical Assessment Standards Medical to be undertaken upon every three year renewal application and satisfactorily completed.
Convictions and Criminal History	The DBS Update Service will be utilised. Drivers who have not subscribed to the update service will be required to complete a new enhanced DBS disclosure every six months.
Be the holder of a full Driving licence; Driving Licence and driving history check	DVLA Driving Records Check
Safeguarding and Disability Awareness Training	The Council has in place a requirement to undertake this training with a Council approved provider. ALL drivers will be expected to have undertaken this training <i>prior</i> to the renewal of their licence. Failure to do so may result in the suspension of the licence until the course is undertaken.
Ability to speak and communicate effectively in English	Existing licensed drivers who are the subject of a complaint regarding their ability to communicate in English will be required to undertake an assessment and may be required to undertake an English Communication test with a council recommended provider.

All documents must be provided for a renewal application to be processed. An incomplete application will be returned to the applicant.

5 Convictions, Cautions and Penalty Points Policy

All applications are considered against the nationally agreed convictions and penalty points Policy. This may be found at **Appendix 1**.

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It is important to recognise that matters which have not resulted in a criminal conviction (whether that is the result of an acquittal, a conviction being quashed, decision not to prosecute or an investigation which is continuing where the individual has been bailed) can and will be taken into account by the licensing authority.

In addition, complaints where there was no police involvement will also be considered. Within this document, any reference to "conviction" will also include matters that amount to criminal behaviour, but which have not resulted in a conviction.

More weight will be added to those committing offences whilst acting as an operator or a driver of a hackney carriage or private hire vehicle.

Cautions are convictions for the purpose of decision making. This is because a caution may only be given on admission of guilt.

The Council will consider all cautions, convictions, spent or unspent having regard to but not restricted to the following: -

- How relevant the offence(s) are to the licence being applied for.
- How serious the offence(s) were.
- When the offence(s) were committed and the date of conviction.
- Sentence imposed by the court.
- The applicant's age at the time of conviction
- Whether they form part of a pattern of offending or indicate a pattern of unacceptable behaviour.
- Any other factors that might be relevant and the extent of any mitigating factors

6 Disability Awareness and Safeguarding Training

All applicants must undertake a training course which covers Disability Awareness and Safeguarding. There is also a Safeguarding Code of Conduct which acts as a reminder to drivers which is included at Appendix 2.

Drivers must ask any passenger with any impairment, either by sight, hearing, vulnerability, lack of ability or other condition, what assistance they may need in order to travel safely and will be expected to provide that assistance.

The driver shall ensure he is conversant with all tail lifts and ramps attached to the vehicle and any wheelchair fittings and fixings.

7 Wheelchair Accessible Vehicles (WAVs) and Assistance Dogs - Drivers Responsibilities

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Under the **Equality Act 2010**, drivers of Hackney Carriage and Private Hire vehicles designated by the local licensing authority as being wheelchair accessible must comply with the requirements of Section 165 of the Equality Act 2010, unless they have been issued with an exemption certificate.

Drivers must:

- carry the passenger while in a wheelchair
- not make any additional charge for doing so
- if the passenger chooses to sit in a passenger seat, to carry the wheelchair
- take such steps as are necessary to ensure that the passenger is carried in safety and reasonable comfort; and
- give the passenger such mobility assistance as is reasonably required

Section 166 allows the Authority to exempt drivers from the duty to assist passengers in wheelchairs if it is appropriate to do so on medical grounds or because the driver's physical condition makes it impossible or unreasonably difficult for them to comply with the duties.

The licensing authority will maintain a list of designated wheelchair accessible vehicles on its website.

Under the Equality Act 2010, licensed drivers of Hackney Carriages and Private Hire Vehicles are under a duty to carry passengers with guide, hearing and other assistance dogs without additional charge. When carrying such passengers, drivers have a duty to

- a) Convey the disabled passenger's dog and allow it to remain under the physical control of the owner; and
- b) Not to make any additional charge for doing so.

It is best practice to ask the passenger where they want themselves and their dog to sit in the vehicle.

Under the Equality Act 2010, it is an offence for any operator or driver to refuse to carry assistance dogs or to charge more for the fare or booking. On conviction for such an offence, drivers can be fined up to £1,000 and have their licence revoked.

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Part 2 Hackney Carriage Vehicle Policy

1 Introduction

The Council aims to provide a clear, consistent licensing service for service users. The Council sets high standards to protect the safety of the travelling public and to prevent nuisance or annoyance.

Vehicle licences will be issued for a maximum of one year or for a lesser period if the vehicle will reach the Council's age limits during the term of the licence. Additionally, vehicles which reach 7 years old (from the date of first registration) will be granted licences for a 6 month period in line with the vehicle inspection regime.

2 Legislation

Town Police Clauses Act 1847

Local Government (Miscellaneous Provisions) Act 1976

The above legislation is the predominant set of laws governing the regulation of Hackney Carriage and Private Hire vehicles.

3 Hackney Carriage Vehicle Owners (Proprietors)

Proprietors

Proprietors of vehicles will be required to undertake a *Basic DBS Check*. Where an applicant has more than one conviction, serious consideration will need to be given as to whether they are a safe and suitable person to hold a vehicle licence.

4 Hackney Carriage Vehicle Licensing Criteria

All New vehicles must comply with the following:

LICENSING CRITERIA	REQUIRED STANDARDS
Proof of Registered Keeper (V5 Registration Document)	An applicant for a vehicle licence must be the registered keeper of the vehicle. For initial applications, the applicant will need to provide the original V5C (vehicle registration document). From then onwards, the V5C will only need to be produced if the vehicle has had modifications and a new V5C has been issued. A bill of sale for that vehicle may be produced if the V5C is not available but the bill must include the date of first registration and the original V5C document must be produced within one calendar month.
Age Limit for licensing a vehicle for the first time	New vehicle licences will only be granted to vehicles less than 5 years of age from the date of first registration. This date will be taken from the vehicle registration document.

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LICENSING CRITERIA	REQUIRED STANDARDS
Maximum Age Limit for vehicles	Vehicle licences will not be renewed once a vehicle is over 10 years of age from the date of first registration. This change is effective from 1 April 2027.
Condition of vehicle	<p>Before a licence application is made in respect of a Hackney Carriage vehicle, the applicant being the proprietor of the vehicle should ensure that:-</p> <ul style="list-style-type: none"> (a) The vehicle is in a satisfactory and safe condition for the carriage of passengers. (b) The vehicle is suitable in type, size and design as a hackney carriage vehicle
Vehicle Fitness Standards	<p>Type Approval</p> <p>All vehicles submitted to the Council for licensing as a Hackney Carriage or Private Hire Vehicle shall meet the safety standards of one of the following;</p> <ul style="list-style-type: none"> • M1 Category European Whole Vehicle Type Approval; • British National Type approval; or in the case of converted vehicles British Single Vehicle Approval (before 29 April 2009); or • Individual Vehicle Approval (from 29 April 2009) to M1 standards. <p>For more information visit: https://www.gov.uk/vehicle-approval</p> <p>Vehicles must be confirmed as fit for use in accordance with the Hackney Carriage Vehicle licence criteria by one of the Council's nominated garages/MOT Testing Station prior to a new application or renewal licence being granted</p> <p>The Vehicle must be capable of complying with the Council's policy requirements and conditions for Hackney Carriages.</p> <p>Vehicles will require a Council Mechanical Test for all vehicles and an MOT test. Thereafter annual tests will be required until the vehicle reaches 7 years of age (V5 verified) when tests will be conducted every six months.</p> <p>The detail of the Council Mechanical Test that the vehicle needs to undertake and meet the standard of may be found on the website at www.southnorfolkandbroadland.gov.uk.</p>

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LICENSING CRITERIA	REQUIRED STANDARDS
<p>All vehicles must comply with the following requirements:-</p> <p>The council will not permit vehicles to be licensed for dual purposes or licensed by more than one authority.</p>	<ul style="list-style-type: none"> • Be a vehicle fitted with four road wheels and at least three doors (see access to doors below) • Be a right hand drive. • Be capable of being identified as a Hackney Carriage • Have a seating capacity of not more than eight passengers in addition to the driver • The vehicle must have seats with a minimum width of not less than 408mm (16 inches) per person • The seat layout, legroom, headroom and seated comfort of the vehicle will be assessed by an authorised officer upon inspection of the vehicle at the Council's offices. Each application will be considered on its own merits. Should the authorised officer determine that the vehicle is not appropriate for use as a Hackney Carriage, or the dimensions of the vehicle are not sufficient to seat the specified number of passengers, the vehicle may be refused for licensing or the number of passengers permitted in the vehicle may be reduced. The safety and comfort of the passenger will be paramount. It is therefore advised that proprietors liaise with the Council before purchasing a vehicle to ensure its suitability. • The bodywork of the vehicle shall be in good condition and shall be as originally fitted by the manufacturer or vehicle convertor. Wheel trims must be fitted to all road wheels where part of the manufacturer's original specification. • All upholstery shall be clean and in a well maintained condition. No tear, crack, hole or burn will be acceptable. Upholstery includes seats, headrests, armrests, carpets and other trim. • All fittings shall be properly maintained and in good working order. Fittings include litter containers, clocks, interior lights, sun blinds, door surrounds, grab handles, other equipment provided for passenger comfort and any equipment in, on or forming part of the vehicle including wheelchair ramps and securing fittings where the vehicle is to be licensed to carry wheelchair users.

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LICENSING CRITERIA	REQUIRED STANDARDS
<p>Access to Doors</p> <p>Currently licensed vehicles which do not meet the new criteria may continue in service until they reach the maximum age policy for such vehicles.</p>	<p>No new vehicle shall be licensed which would require any passenger to climb over any luggage or obstruction in the vehicle.</p> <p>All passenger seats must have unobstructed access to the exit doors.</p>
Seatbelts	All seats, front, rear and disabled must be fitted with three point seat belts.
Glazing	The rules for tinted front windscreens and front side windows depend on when the vehicle was first used. The front windscreen must let at least 75% of light through and the front side windows must let at least 70% of light through. (Registered from 1 April 1985)
Roof signs	Hackney Carriage Vehicles should display a roof containing the wording TAXI and the words FOR HIRE. These will be the only words which may be displayed on the front of the roof sign.
Taximeter	<p>All Hackney Carriage Vehicles require a calendar controlled and sealed tariff taximeter capable of complying with relevant legislation.</p> <p>Taximeters will be connected to the roof sign. Once the meter is started, the roof sign For Hire notice will extinguish.</p>
Trailers	<p>The towing of trailers will not be permitted except with the written permission of an authorised officer of the Licensing Authority. The driver will need to demonstrate that they have the relevant DVLA licence category permitting the towing of trailers.</p> <p>The trailer unit will also need to be inspected for roadworthiness and safety. The trailer must display a second plate fixed to the rear, issued upon the receipt of an additional fee.</p>
LOLER Certificate – hoist equipment	If a mechanical hoist is fitted to the vehicle this will require a LOLER (Lifting Operations and Lifting Equipment Regulations 1998) inspection every six months by the manufacturer or their approved agent and a certificate/report must be produced to the Licensing Authority to that effect.

An applicant whose vehicle does not meet the above criteria may request to have their application determined by the Licensing Committee. Departure from the agreed policy will only be considered where exceptional circumstances apply.

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Part 3 Private Hire Vehicle Policy

1 Introduction

The Council aims to provide a clear, consistent licensing service for service users. The Council sets high standards to protect the safety of the travelling public and to prevent nuisance or annoyance.

Vehicle licences will be issued for a maximum of 12 months or for a lesser period if the vehicle will reach the Council's age limits during the term of the licence. Additionally, vehicles which reach 7 years old (from the date of first registration) will be granted a licence for a 6 month period in line with the vehicle inspection regime.

2 Legislation

Local Government (Miscellaneous Provisions) Act 1976

The above legislation is the predominant set of laws governing the regulation of Private Hire vehicles.

3 Private Hire Vehicle Licensing Criteria

All New vehicles must comply with the following:

LICENSING CRITERIA	REQUIRED STANDARDS
Proof of Registered Keeper (V5 Registration Document)	An applicant for a vehicle licence must be the registered keeper of the vehicle. For initial applications, the applicant will need to provide the original V5C (vehicle registration document). From then onwards, the V5C will only need to be produced if the vehicle has had modifications and a new V5C has been issued. A bill of sale for that vehicle may be produced if the V5C is not available but the bill must include the date of first registration and the original V5C document must be produced within one calendar month.
Age Limit for licensing a vehicle for the first time	New vehicle licences will only be granted to vehicles less than 5 years of age from the date of first registration. This date will be taken from the V5.
Maximum Age Limit for vehicles	Vehicle licences will not be renewed once a vehicle is over 10 years of age from the date of first registration. This change will be implemented from 1 April 2027.
Condition of vehicle	Before a licence application is made in respect of a Private Hire vehicle, the applicant should ensure that:- (a) The vehicle is in a satisfactory and safe condition for the carriage of passengers. (b) The vehicle is suitable in type, size and design as a hackney carriage vehicle.

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LICENSING CRITERIA	REQUIRED STANDARDS
<p>Vehicle Fitness Standards</p>	<p>Type Approval</p> <p>All vehicles submitted to the Council for licensing as a Hackney Carriage or Private Hire Vehicle shall meet the safety standards of one of the following;</p> <ul style="list-style-type: none"> • M1 Category European Whole Vehicle Type Approval; • British National Type approval; or in the case of converted vehicles British Single Vehicle Approval (before 29 April 2009); or • Individual Vehicle Approval (from 29 April 2009) to M1 standards. <p>For more information visit: https://www.gov.uk/vehicle-approval</p> <p>Vehicles must be confirmed as fit for use in accordance with the Private Hire Vehicle licence criteria by one of the Council's nominated garages/MOT Testing Station prior to a new application or renewal licence being granted</p> <p>The Vehicle must be capable of complying with the Council's policy requirements and conditions for Private Hire Vehicles.</p> <p>Vehicles will require a Council Mechanical Test for all vehicles and an MOT test. Thereafter annual tests will be required until the vehicle reaches 7 years of age (V5 verified) when tests will be conducted every six months.</p>
<p>All vehicles must comply with the following requirements:-</p> <p>The council will not allow vehicles to be licensed for dual purposes or licensed by more than one authority.</p>	<ul style="list-style-type: none"> • Be a vehicle fitted with four road wheels and at least three doors (see access to doors below) • Be a right hand drive. • Be capable of being identified as a Private Hire Vehicle • Have a seating capacity of not more than eight passengers in addition to the driver • The vehicle must have seats with a minimum width of not less than 408mm (16 inches) per person • The seat layout, legroom, headroom and seated comfort of the vehicle will be assessed by an authorised officer upon inspection of the vehicle at the Council's offices. Each application will be considered on its own merits. Should the authorised officer determine that the vehicle is not appropriate for use as a Private Hire Vehicle or Hackney Carriage, or the dimensions of the vehicle

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LICENSING CRITERIA	REQUIRED STANDARDS
	<p>are not sufficient to seat the specified number of passengers, the vehicle may be refused for licensing or the number of passengers permitted in the vehicle may be reduced. The safety and comfort of the passenger will be paramount. It is therefore advised that proprietors liaise with the Council before purchasing a vehicle to ensure its suitability.</p> <ul style="list-style-type: none"> The bodywork of the vehicle shall be in good condition and shall be as originally fitted by the manufacturer. Wheel trims must be fitted to all road wheels where part of the manufacturer's original specification. All upholstery shall be clean and in a well maintained condition. No tear, crack, hole or burn will be acceptable. Upholstery includes seats, headrests, armrests, carpets and other trim. All fittings shall be properly maintained and in good working order. Fittings include litter containers, clocks, interior lights, sun blinds, door surrounds, grab handles, other equipment provided for passenger comfort and any equipment in, on or forming part of the vehicle including wheelchair ramps and securing fitments where the vehicle is to be licensed to carry wheelchair users.
<p>Access to Doors</p> <p>Currently licensed vehicles which do not meet the new criteria may continue in service until they reach the maximum age policy for such vehicles</p>	<p>No new vehicle shall be licensed which would require any passenger to climb over any luggage or obstruction in the vehicle.</p> <p>All passenger seats must have unobstructed access to the exit doors.</p>
Seatbelts	All seats, front, rear and disabled must be fitted with three point seat belts.
Glazing	The windscreen must allow at least 75% of light to be transmitted through it and the front side windows allow 70% of light to be transmitted through them. It is also recommended that rear windows allow a minimum of 70% of light to be transmitted through them.
Vehicle Signage – Roof signs	<p><i>No licensed Private Hire vehicle may display a roof sign without obtaining prior consent.</i></p> <p>The proprietor may, by written application to the Licensing Section, request permission to permanently fix an illuminated roof sign or roof bar to a Private Hire Vehicle.</p>

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LICENSING CRITERIA	REQUIRED STANDARDS
	The roof sign or roof bar must be to the specification required by the council and have the words 'Pre-Booked Only' on both or all sides of the sign or bar. Private Hire Vehicles are permitted to use bus lanes and bus gates providing an approved roof sign/bar has been fitted to the roof of the vehicle.
Trailers	<p>The towing of trailers will not be permitted except with the written permission of an authorised officer of the Licensing Authority. The driver will need to demonstrate that they have the relevant DVLA licence category permitting the towing of trailers.</p> <p>The trailer unit will also need to be inspected for roadworthiness and safety. The trailer must display a second plate fixed to the rear, issued upon the receipt of an additional fee.</p>
LOLER Certificate – hoist equipment	If a mechanical hoist is fitted to the vehicle this will require a LOLER (Lifting Operations and Lifting Equipment Regulations 1998) inspection every six months by the manufacturer or their approved agent and a certificate/report must be produced to that effect.
Transfer of Licence to a new vehicle	The proprietor of a licensed Private Hire Vehicle wishing to replace a licensed vehicle with another vehicle may apply to transfer the licence to the new vehicle. The new vehicle will be required to meet the same standards as for a new vehicle application. It will be required to undertake a vehicle mechanical test. The proprietor will also be required to produce valid MOT, insurance and vehicle registration documents for the vehicle as well as paying the prescribed fee. The vehicle must comply with the policy and conditions for a new vehicle licence.

An applicant whose vehicle does not meet the above criteria may request to have their application determined by the Licensing Committee. Departure from the agreed policy will only be considered where exceptional circumstances apply.

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Part 3a Private Hire Stretched Limousine Policy and Executive Hire Policy and Conditions

1 Stretched Limousines

A “stretched limousine”, is a saloon type vehicle that has undergone an increase in length by extending the wheelbase after manufacture. The majority of stretch limousine vehicles are imported from the United States and will not comply with the usual standards demanded of a Private Hire Vehicle.

It is likely that non-compliance will include:

- Vehicles will be left hand drive.
- Passenger windows will be dark/blacked out (*however they must comply with current legislation*)
- May not comply with age requirements
- Side facing seating arrangements

STRETCH LIMOUSINE – ADDITIONAL PRIVATE HIRE REQUIREMENTS

[Guidance for Operators of Stretch Limousines 2 .pdf \(publishing.service.gov.uk\)](#)

1. The stretched limousine must hold a valid Individual Vehicle Approval (IVA) Certificate issued by DVSA. Limousines converted by recognised convertors will only be accepted and will need to be evidenced. The IVA test comprises of a visual inspection of a vehicle by DVSA and certifies its safety and roadworthiness. [Vehicle approval: Individual Vehicle Approval - GOV.UK \(www.gov.uk\)](#)
2. The Operator must declare to the Council any specific DVLA driver category required to legitimately operate the vehicle.
3. No advertisement can be displayed on the vehicle, without obtaining prior written approval.
4. If the applicant/licence holder proposes to allow someone else to drive the vehicle they must obtain copies of their private hire vehicle driver's licence and DVLA driving licence entitling that person to drive the vehicle.

5. VEHICLE TESTING

Following consultation with DVSA, a limousine will be subject to **two** vehicle tests per year. If a licence is issued it will be issued for a maximum period of six months, renewable every six months.

6. SIDEWAYS SEATING

Stretched limousines with side seating (facing towards the centre of the vehicle) will be considered for licensing.

7. SEAT BELTS

Seatbelts must be fitted to all forward and rear facing seats and must be worn at all times by passengers whilst the vehicle is in motion as required under seat belt regulations. There is no legal requirement to fit seatbelts in sideways-facing seats and there are no seat belts or child restraints approved for side-facing seats. However, if seat belts have been fitted to any side-facing seats they must be worn and comply with current seat belt regulations.

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8. MAXIMUM PASSENGERS

- a) The limousine's seating capacity must be reduced where necessary to a maximum of 8 passengers. The vehicle must not carry more than 8 passengers **at any time**.
- b) Any seats in the driver's compartment must not be used to carry passengers. This is to ensure that passengers are not carried in the front of the vehicle in order to improve driver and passenger safety.
- c) In any advertisement publicising their limousine service, the Operator must state that the vehicle is only licensed to carry a maximum of 8 passengers.

9. TYRES

The limousine must be fitted with tyres that meet the appropriate specification for both the size and weight as specified by the convertors. Given the increased weight of the vehicle, tyres of the correct weight and size rating must be used at all times.

10. FIRE EXTINGUISHER

It will be the operator/driver's responsibility to ensure that the extinguisher is of the correct type, has the appropriate British Standard and serviced annually. The extinguisher must be securely fitted and must not be accessed by any of the passengers. The driver should also have sufficient training and knowledge in the safe use of the extinguisher in the event of fire.

11. ENTERTAINMENT

Entertainment which may be regulated includes TV, video, video games, loudspeakers, or any other activity provided for the passenger's enjoyment.

- a) The driver shall not play or permit the performance of any media which, because of its age restricted classification or its content, is unsuitable for the age of the passengers in the vehicle - based on the age of the youngest passenger. This is to safeguard child passengers from viewing unsuitable material.
- b) Limousines which have the capability of playing recorded media for the entertainment of customers may be required to hold a Performing Rights Licence.
- c) Entertainment provided in the vehicle shall be under the terms of any relevant legislative requirements.

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ADDITIONAL CONDITIONS FOR PRIVATE HIRE VEHICLES - STRETCH LIMOUSINES AND/OR EXECUTIVE HIRE VEHICLES

1. ALCOHOL

- a) Alcoholic drinks provided in the vehicle must be in accordance with the Licensing Act 2003 relating to the sale and supply of alcohol.
- b) The driver must ensure that alcohol is *only* served while the vehicle is stationary and afterwards, all bottles are placed in a secure receptacle.
- c) If any passenger is below the age of 18, **no alcohol** should be served on the vehicle.
- d) Any 'glassware' in the vehicle must be made of either shatterproof glass or plastic.

2. SUNROOFS

The driver must ensure that any sunroofs fitted to the limousine are closed at all times when travelling and can only be operated by the driver from their compartment. This is to ensure the safety of the driver, passengers and the public.

3. PASSENGER COMPARTMENT SEPARATION

Where the rear seat compartment is separated from the driver by a partition, the operation of the partition (if applicable) to be only controlled by the driver from the driver's compartment. If the partition is of a glass construction it must be made of toughened/safety glass and carry the appropriate safety markings.

4. PASSENGER BEHAVIOUR

The driver will take all reasonable steps to ensure that passenger behaviour does not compromise public safety. Passengers need to be seated at all times when the vehicle is moving and prevent them from opening any of the rear windows. This is to ensure the safety of the passengers and prevent public nuisance.

5. SMOKING/VAPING

No smoking is allowed in any licensed or work vehicles, this is a legal requirement. No vaping shall be allowed in the vehicle at any time.

6. FIRE EXTINGUISHERS

Fire extinguishers carried in the vehicle will be the sole responsibility of the operator. It will be the operator and drivers responsibility to ensure that the extinguisher is

- a) of the correct type,
- b) has the appropriate British Standard
- c) is serviced annually.
- d) The extinguisher must be securely fitted; and
- e) must not be accessed by any of the passengers.
- f) The driver should also have sufficient training and knowledge in the safe use of the extinguisher in the event of fire.

Documentation required for a licence to be issued is the same as for a regular private hire vehicle:

- DVLA Registration Document (V5).

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- Valid Certificate of Insurance, with cover for hire and reward.
- Current MOT test certificate
- Completion of Council mechanical test

2 Executive Hire Vehicles Drivers and Operators

There is no legal definition of Executive Private Hire. The same rules apply as for private hire vehicles, drivers and operators. Bookings must be accepted by a licensed private hire operator and a licensed vehicle and driver will be dispatched to complete the contract.

The main distinction between standard and executive private hire is the type of client catered for, which is typically business to business contracts, the type of service offered, and the cost of the service provided.

Executive Hire is expected to be:

- By written contract
- Booking and payment made in advance of the journey or by invoice
- Carried out in a high specification vehicle
- Chauffeur uniformed driver or a minimum of a collared shirt and tie
- Detailed in the business plan provided by the Private Hire Operator.

Executive Private Hire Vehicles

The vehicle used to undertake executive private hire work will be a licensed vehicle. It will be a high value, high specification vehicle exempted from the requirement to display standard licence plates and signage, but required instead to display discreet silver identification plates, as approved by the Licensing Authority. Vehicles, operators and drivers are otherwise expected to be fully compliant with all other private hire licensing requirements and conditions.

Executive private hire vehicles are expected to meet the same criteria as standard licensed hire vehicles with the following exceptions:

- The vehicle must be an executive or prestige type vehicle.
- Examples of executive/prestige makes and models would include:
 - Audi A8
 - BMW series 7
 - Jaguar XJ
 - Lexus GS and LS
 - Mercedes S and E classes
 - Other vehicles may be licensed on request and at the Licensing Officer's discretion

Executive vehicles must be

- under 3 years of age when first licensed (from date of first registration stated on the V5)
- Manufacturers' window tints are permissible
- Window Tint Film must *not* be applied
- The vehicle cannot be fitted with operator to driver communication system (radio)

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- A licensed executive private hire vehicle will be exempted from displaying standard private hire licence plates. An approved silver executive plate will be required to be displayed.
- A licensed executive hire vehicle will not be permitted to display any form of advertising

Executive Private Hire Drivers

Drivers of Executive Private Hire Vehicles must hold a valid private hire drivers licence issued by the same local authority that issued the Executive vehicle and operator licence. The legislation requires that all licenced drivers (private hire and hackney carriage) are fit and proper to hold such a licence. The standards required by the Licensing Authority in terms of driving skills, medical fitness, criminal/motoring convictions, knowledge of licensing requirements, and safeguarding is the same for both standard and executive private hire drivers. A driver who holds a private hire drivers' licence can drive standard or executive hire vehicles.

The decision as to what constitutes Executive Hire will be taken by a Licensing Officer upon application.

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Part 4 Private Hire Operator Policy

1 Introduction

This part of the Licensing Policy sets out how the Authority will deal with applications for Private Hire Operator licences in the Broadland District.

The Council aims to provide a clear, consistent licensing service for service users. At the same time, it aims to protect the safety of users and to prevent nuisance or annoyance.

Operator Licences will ordinarily be issued for 5 years unless, in the case of individual applicants, leave to remain in the UK is time limited.

2 Legislation

The Local Government (Miscellaneous Provisions) Act 1976 requires that a licence should be held by the proprietor of each Private Hire Vehicle and by each person who acts as a driver of a Private Hire Vehicle or by an operator of Private Hire Vehicles who in the course of business provides for the invitation and acceptance of bookings for such vehicles.

3 Private Hire Operators Licensing Criteria

1. Applicants may be an individual, partnership or company.
2. Individual Applicants must be over 21 years of age.
3. Applicants for new licences should be free from previous convictions and cautions, other than for minor traffic offences. A basic DBS disclosure must be provided.
4. Applicants for renewal of licences should be free from new convictions and cautions, since the date of the last grant of their licence, other than for minor traffic offences. A basic DBS is required for disclosure of any relevant convictions.
If an applicant has not been resident in the UK for the last 5 years a certificate of good conduct from the appropriate overseas embassy(ies) may be acceptable in place of a basic level disclosure.
5. Operators must ensure that all staff working at the operator base produce a basic DBS disclosure at time of application for the Operator licence or at the time of employment, whichever is sooner. This must be produced to the Licensing Authority and recorded on the personnel file to be inspected by officers as part of the inspection process.
6. Operators must provide their policy on employing ex-offenders into office or dispatch roles and a register of staff must be maintained. As with the threshold to obtaining a private hire vehicle operators' licence, those with a conviction for offences provided in the annex to this document (Annex – Assessment of previous convictions), other than those relating to driving, may not be suitable to decide who is sent to carry a child or vulnerable adult unaccompanied in a car.

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7. An Operator must ensure that Public Liability insurance is held for the Private Hire Operating business to a minimum value of £5,000,000.
8. An Operator must ensure that all vehicles operated and drivers working for them are licensed by one Council.

4 The Licensing Process & Delegation of Functions

Applications may also be referred to Licensing Committee for consideration and determination. All applications will be determined in accordance with this policy and each case will be considered individually on its facts and merits. Any applications that fall outside of this policy can only be determined by the Council's Licensing Committee.

5 Fees

Fees and charges for all licences must accompany the application.

Full details of all current fees and charges are obtainable from the Council website

<https://www.southnorfolkandbroadland.gov.uk/taxi-private-hire-licences>

6 Committee Procedure

If the application for a licence falls outside of our policies, the Licensing Section will inform the applicant of the reasons why. If the applicant wishes to, they may give notice in writing that they wish the matter to be considered by the relevant Licensing Committee. The applicant will be advised of the date that their application will appear before the Council's Licensing Committee. The applicant will be expected to attend to give reason as to why they feel that the Licensing Committee should depart from, or offer an exception to, the Policy.

7 Conditions

The Council, through its Licensing Committee, has agreed conditions relating to Private Hire Operator Licences.

CONDITIONS

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DUAL HACKNEY CARRIAGE & PRIVATE HIRE DRIVERS' LICENCE CONDITIONS

Broadland District Council Hackney Carriage Byelaws

Made under section 68 of the Town Police Clauses Act 1847, and section 171 of the Public Health Act 1875, by the council of Broadland District with respect to hackney carriages in Broadland.

Interpretation

1. Throughout these byelaws "the Council" means Broadland District Council and "the district" means the District of Broadland.

Provisions regulating the manner in which the number of each hackney carriage corresponding with the number of its licence, shall be displayed

2. (a) The proprietor of a hackney carriage shall cause the number of the licence granted to him in respect of the carriage to be legibly painted or marked on the outside and inside of the carriage, or on plates affixed thereto.
(b) A proprietor or driver of a hackney carriage shall -
 - (i) not wilfully or negligently cause or suffer any such number to be concealed from public view while the carriage is standing or plying for hire; and
 - (ii) not cause or permit the carriage to stand or ply for hire with any such painting marking or plate so defaced that any figure or material particular is illegible.

Provisions regulating how hackney carriages are to be furnished or provided

3. The proprietor of a hackney carriage shall:-
 - (a) provide sufficient means by which any person in the carriage may communicate with the driver;
 - (b) cause the roof or covering to be kept water-tight;
 - (c) provide any necessary windows and a means of opening and closing not less than one window on each side;
 - (d) cause the seats to be properly cushioned or covered;
 - (e) cause the floor to be provided with a proper carpet, mat or other suitable covering;
 - (f) cause the fittings and furniture generally to be kept in a clean condition, well maintained and in every way fit for public service;
 - (g) provide means for securing luggage if the carriage is so constructed as to carry luggage;

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- (h) provide an efficient fire extinguisher which shall be carried in such a position as to be readily available for use; and
 - (i) provide at least two doors for the use of persons conveyed in such carriage and a separate means of ingress and egress for the driver.
- 4. The proprietor of a hackney carriage shall cause the same to be provided with a taximeter so constructed, attached and maintained as to comply with the following requirements, that is to say:
 - (a) the taximeter shall be fitted with a key, flag or other device the turning of which will bring the machinery of the taximeter into action and cause the word "HIRED" to appear on the face of the taximeter;
 - (b) such key, flag or other device shall be capable of being locked in such a position that the machinery of the taximeter is not in action and that no fare is recorded on the face of the taximeter;
 - (c) when the machinery of the taximeter is in action there shall be recorded on the face of the taximeter in clearly legible figures, a fare not exceeding the rate or fare which the proprietor or driver is entitled to demand and take for the hire of the carriage by time as well as for distance in pursuance of the tariff fixed by the Council;
 - (d) the word "FARE" shall be printed on the face of the taximeter in plain letters so as clearly to apply to the fare recorded thereon;
 - (e) the taximeter shall be so placed that all letters and figures on the face thereof are at all times plainly visible to any person being conveyed in the carriage, and for that purpose the letters and figures shall be capable of being suitably illuminated during any period of hiring; and
 - (f) the taximeter and all the fittings thereof shall be so affixed to the carriage with seals or other appliances that it shall not be practicable for any person to tamper with them except by breaking, damaging or permanently displacing the seals or other appliances.

Provisions regulating the conduct of the proprietors and drivers of hackney carriages plying within the district in their several employments, and determining whether such drivers shall wear any and what badges

- 5. The driver of a hackney carriage provided with a taximeter shall -
 - (a) when standing or plying for hire, keep the key, flag or other device fitted in pursuance of the byelaw in that behalf locked in the position in which no fare is recorded on the face of the taximeter;
 - (b) before beginning a journey for which a fare is charged for distance and time, bring the machinery of the taximeter into action by moving the said key, flag or other device so that the word "HIRED" is legible on the face of the taximeter and keep the machinery of the taximeter in action until the termination of the hiring; and
 - (c) cause the dial of the taximeter to be kept properly illuminated throughout any part of a hiring which is between half-an-hour after sunset and half-an-hour before sunrise, and also at any other time at the request of the hirer.
- 6. A proprietor or driver of a hackney carriage shall not tamper with or permit any person to

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tamper with any taximeter with which the carriage is provided, with the fittings thereof, or with the seals affixed thereto.

7. The driver of a hackney carriage shall, when plying for hire in any street and not actually hired -
 - (a) proceed with reasonable speed to one of the stands appointed by the Council;
 - (b) if a stand, at the time of their arrival, is occupied by the full number of carriages authorised to occupy it, proceed to another stand;
 - (c) on arriving at a stand not already occupied by the full number of carriages authorised to occupy it, station the carriage immediately behind the carriage or carriages on the stand and so as to face in the same direction; and
 - (d) from time to time, when any other carriage immediately in front is driven off or moved forward cause their carriage to be moved forward so as to fill the place previously occupied by the carriage driven off or moved forward.
8. A proprietor or driver of a hackney carriage, when standing or plying for hire, shall not make use of the services of any other person for the purpose of importuning any person to hire such carriage.
9. The driver of a hackney carriage shall behave in a civil and orderly manner and shall take all reasonable precautions to ensure the safety of persons conveyed in or entering or alighting from the vehicle.
10. The proprietor or driver of a hackney carriage who has agreed or has been hired to be in attendance with the carriage at an appointed time and place shall, unless delayed or prevented by some sufficient cause, punctually attend with such carriage at such appointed time and place.
11. A proprietor or driver of a hackney carriage shall not convey or permit to be conveyed in such carriage any greater number of persons than the number of persons specified on the plate affixed to the outside of the carriage.
12. If a badge has been provided by the Council and delivered to the driver of a hackney carriage he shall, when standing or plying for hire, and when hired, wear that badge in such position and manner as to be plainly visible.
13. The driver of a hackney carriage so constructed as to carry luggage shall, when requested by any person hiring or seeking to hire the carriage -
 - (a) convey a reasonable quantity of luggage;
 - (b) afford reasonable assistance in loading and unloading; and
 - (c) afford reasonable assistance in removing it to or from the entrance of any building, station or place at which he may take up or set down such person.

Provisions fixing the rates or fares to be paid for hackney carriages within the district and securing the due publication of such fares

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14. (i) The proprietor or driver of a hackney carriage shall be entitled to demand and take for the hire of the carriage the rate or fare prescribed by the Council, the rate or fare being calculated by a combination of distance and time unless the hirer express at the commencement of the hiring their desire to engage by time.
- (ii) Where a hackney carriage furnished with a taximeter is hired by distance and time the proprietor or driver thereof shall not be entitled to demand and take a fare greater than that recorded on the taximeter, save for any extra charges authorised by the Council which it may not be possible to record on the face of the taximeter.
15. (i) The proprietor of a hackney carriage shall cause a statement of the fares fixed by council resolution to be exhibited inside the carriage, in clearly distinguishable letters and figures.
- (ii) The proprietor or driver of a hackney carriage bearing a statement of fares in accordance with this byelaw shall not wilfully or negligently cause or suffer the letters or figures in the statement to be concealed or rendered illegible at any time while the carriage is plying or being used for hire.

Provisions securing the safe custody and re-delivery of any property accidentally left in hackney carriages, and fixing the charges to be made in respect thereof

16. The proprietor or driver of a hackney carriage shall immediately after the termination of any hiring, or as soon as practicable thereafter, carefully search the carriage for any property which may have been accidentally left therein.
17. The proprietor or driver of a hackney carriage shall, if any property accidentally left therein by any person who may have been conveyed in the carriage be found by or handed to him -
- (a) carry it as soon as possible and in any event within 48 hours if not sooner claimed by or on behalf of its owner, to the office of the Council and leave it in the custody of the officer in charge of the office on their giving a receipt for it; and
- (b) be entitled to receive from any person to whom the property shall be re-delivered an amount equal to five pence in the pound of its estimated value (or the fare for the distance from the place of finding to the office of the Council, whichever be the greater) but not more than five pounds.

Penalties

18. Every person who shall offend against any of these byelaws shall be liable on summary conviction to a fine not exceeding Level 2 on the Standard Scale and in the case of a continuing offence to a further fine not exceeding two pounds for each day during which the offence continues after conviction therefore.

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PRIVATE HIRE DRIVERS' CONDITIONS

1. ANIMALS

The driver may not carry theirs or an Operator's animals whilst engaged in carrying a fare. Passenger owned animals may be carried at the driver's discretion.

A driver cannot refuse to carry an assistance dog.

2. APPEARANCE

- a) The driver shall be clean and tidy in appearance.
- b) The driver shall at all times be dressed in a manner not to cause embarrassment or offence to members of the public.

3. ASSISTANCE DOGS

- (a) No driver may refuse to carry an assistance dog which is in the charge of a fare paying passenger and no charge shall be made for the carriage of such a dog whilst in the company of a disabled person or a person training such a dog.
- (b) Drivers with medical conditions preventing the carrying of an assistance dog, must obtain a certificate of exemption from the Licensing Authority. This will be provided on receipt of a medical declaration from a certified medical practitioner. Any charge for any necessary medical examination is to be paid by the applicant. The holder of a certificate of exemption shall ensure that it is displayed within the vehicle at all times.
- (c) Drivers must comply with the Equality Act 2010 and any subsequent or supplementary relevant legislation, at all times.

4. BADGES

- (a) The driver will wear their issued drivers' badge at all times in such a manner as to be clearly and distinctly visible unless the vehicle is being used in connection with a wedding or funeral.
- (b) A duplicate identification badge will be issued and must be fixed to the dashboard or partition screen of the licensed vehicle to enable the passengers to be able to easily identify the driver.
- (c) Upon expiry, revocation or suspension, the licence must be returned immediately.
- (d) The badge remains the property of the Council at all times.
- (e) Where a badge is lost or stolen, the driver must obtain a replacement. This will be at the drivers' own expense.

5. COMPLIANCE WITH LEGISLATION

Drivers must comply with the provisions of Part II of the Local Government (Miscellaneous Provisions) Act 1976.

6. CHANGE OF ADDRESS OR OTHER CIRCUMSTANCES

The driver **must** notify the Licensing Team in writing of any of the following changes, within seven days of such changes taking place:

- a) change of name
- b) change of address
- c) change of Operator

7. ARRESTS, CONVICTIONS, CAUTIONS AND MOTORING OFFENCES

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The driver **must** notify the Licensing Team within 48 hours of:

- a) Any arrests, convictions, cautions, motoring or otherwise (including fixed penalty),
- b) Any medical condition affecting their ability to drive. A medical examination may be required.

8. CONDUCT

- (a) When a passenger is in the vehicle, a driver should not eat or drink in the vehicle.
- (b) The radio or other music shall not be played without the express permission of the hirer.
- (c) The driver shall not without the express consent of the hirer, convey or permit to be conveyed, any other person in the vehicle.

9. DEPOSIT OF LICENCE

If a driver is permitted to work for an Operator, they shall provide the Operator with a copy of their Council drivers' licence before commencing work with that Operator.

10. DISABILITY AWARENESS AND SAFEGUARDING COURSE

It is a condition of the granting of a Hackney Carriage/Private Hire Driver Licence that the driver must attend both a Safeguarding and Disability Awareness training course. Existing drivers who have not completed this training, must do so before the licence can be renewed. Drivers who cannot prove having completed the course, will be suspended until proof of attendance is provided. All necessary fees must be paid by the driver.

11. DVLA DRIVING LICENCE

Any driver whose DVLA driving licence has been suspended or revoked will automatically have their Private Hire Driver Licence suspended by an Authorised Officer. Drivers must return their badge to the licensing team. When considered in accordance with the Penalty Points policy, if eligible, the driver may be required to appear before the Licensing Committee for the licence application or reinstatement to be considered.

12. FARE TO BE CHARGED

The driver shall not exceed the fare agreed between the hirer and the Operator.

13. GENERAL LICENCE CONDITIONS

All drivers shall operate strictly within the terms of any licence issued under the terms and conditions of the Local Government (Miscellaneous Provisions) Act 1976, the Town Police Clauses Act 1847 and Conditions issued by the Council.

14. INVESTIGATIONS

The driver shall cooperate fully in the investigation of complaints against them. An Authorised Officer of the Licensing Authority will arrange an interview, normally at the Council offices. Drivers agree to produce any information reasonably requested during the course of such investigation. Failure to do so will be considered an act of dishonesty and may be subject to further action.

15. LOST PROPERTY

The driver shall immediately after the termination of any hiring of the vehicle, or as soon as practicable thereafter, carefully search the vehicle for any property which may have been accidentally left there. Any property found must be handed to the Police within 24 hours.

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16. OPERATORS

- (a) Drivers are responsible for ensuring that the Operator they are working for has a valid Private Hire Operator's Licence and that the private hire vehicle is insured for their use.
- (b) A licensed driver must notify the Licensing Team in writing as soon as they change the Operator through whom they take bookings.
- (c) A licensed driver who holds an Operator's licence must comply with all the conditions and requirements of that licence even when working for another Operator under a sub contract.
- (d) Drivers must provide a copy of their drivers' licence to the Operator before starting work.
- (e) Drivers must surrender the licence and badge to the Licensing Team immediately upon ceasing work as a driver.

17. PUNCTUAL ATTENDANCE

Any driver who has been pre-booked for a journey shall attend as appointed.

18. REASONABLE ASSISTANCE

The driver shall, when requested by any person hiring the vehicle:

- (a) convey a reasonable quantity of personal luggage;
- (b) afford reasonable assistance in loading luggage at the journey commencement point.
- (c) afford reasonable assistance in removing the luggage at the drop off point.

19. RECEIPTS

Any passenger requesting a receipt for payment made will be provided with a receipt showing the date and the fare paid, and the driver's signature. It shall be in such a form as to identify the company and/or individual providing the receipt.

20. RENEWALS

Completed renewal applications and the required fee must be submitted with all of the additional documentation no later than 4 weeks prior to the licence expiry date.

21. RESPONSIBILITY TO RESIDENTS

To avoid nuisance when picking up or waiting for a fare, particularly during hours of darkness, a driver shall:

- Keep the volume of radio or music playing to a minimum;
- Switch off the engine if required to wait;
- Take whatever additional action is reasonably necessary to avoid disturbance to residents in the neighbourhood.

22. SMOKING/VAPING

No smoking is allowed in any licensed or work vehicles, this is a legal requirement. No vaping shall be allowed in the vehicle at any time.

23. SOUNDING THE HORN

A licensed driver shall not sound their horn to announce their presence to the hirer.

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24. SUB-STANDARD DRIVING

Complaints received regarding sub-standard driving may result in a requirement to undertake a further driving assessment, which will be at the driver's expense. Failure to pass this assessment is a reasonable cause to suspend or revoke a licence.

25. SUSPENSION AND REVOCATION

A revoked or suspended licence MUST be surrendered to the Council on demand.

26. TOUTING AND SOLICITING

The driver shall not, whilst driving or in charge of a private hire vehicle:

- (a) Tout or solicit any other person to hire, or be carried for hire in any private hire vehicle
- (b) Cause or procure any other person to tout or solicit any person to hire or be carried for hire in any private hire vehicle.
- (c) Ply for hire or use any taxi rank.

27. VEHICLE PLATES

- (a) The driver shall not convey or permit to be conveyed any greater number of passengers than specified on the plate affixed to the vehicle.
- (b) The Operator nor driver shall not wilfully or negligently cause or suffer any internal or external licence plate or number to be concealed from public view while the vehicle is hired. Nor shall they cause or permit the vehicle to be on hire with any such plate so defaced that any figure or material particular is illegible.

Any applicant aggrieved by any condition attached to the grant of this licence may Appeal to a Magistrates' Court within 21 days of the issue of the licence.

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HACKNEY CARRIAGE VEHICLE – LICENCE CONDITIONS

The Proprietor is responsible for

1. RENEWALS

Renewal applications and the fee must be submitted no later than 2 weeks prior to the licence expiry date.

2. VEHICLE STANDARDS

The proprietor of the vehicle must maintain the mechanical fitness, repair and cleanliness of the interior and the exterior of the vehicle, including the paintwork, in a clean, sound and damage free condition.

3. ADVERTISING SIGNS

Advertising signs will only be permitted on or in the vehicle with prior written approval.

4. LICENCE AND INSURANCE

- (a) The proprietor must ensure that every person who drives the vehicle is properly licensed and insured.
- (b) Upon the request of a Licensing Officer, Police Officer or other authorised person, the proprietor shall produce their:
 - Insurance certificate
 - V5 Vehicle registration document
 - MOT test certificate
- (c) The proprietor must ensure that the vehicle is properly insured for the duration of the licence.

5. INVESTIGATIONS

The proprietor shall co-operate fully in the investigation of complaints including attending the office for interview, production of documents or information reasonably requested. This will include attending the Council offices to produce such information requested during the course of an investigation.

6. ALTERATIONS

Once a licence has been granted, no material alteration or change in the specification design condition or appearance of the vehicle shall be made without the approval of the Council.

7. HACKNEY CARRIAGE VEHICLE EXTERNAL LICENCE PLATES

The vehicle must display a licence plate as prescribed by the Council. This plate and the licence it represents, will be owned by the licensing authority

- (a) Licence Plates must be secured to the rear of the vehicle below the window line.
- (b) Plates must be clearly visible at all times.
- (c) When renewing, the old licence plate must be exchanged for the new plate.
- (d) Lost or damaged plates must be immediately replaced at the owner's expense.
- (e) Plates must not be removed without written consent.
- (f) Plates must only be used on the vehicle they were issued to.
- (g) The driver must not carry more than the number of passengers specified on the plate.
- (h) In the event of revocation or suspension, the owner must return the licence plate.

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- (i) Proprietors must not permit the use of the vehicle otherwise than in compliance with the above conditions .

8. HACKNEY CARRIAGE VEHICLE - INTERNAL LICENCE

The vehicle must display an Internal Licence as prescribed by the Council.

- (a) The Internal Licence Plate shall be displayed in the front windscreen of the vehicle
- (b) Plates must be clearly visible at all times.
- (c) When renewing, the old licence plate must be exchanged for the new plate.
- (d) Lost or damaged plates must be immediately replaced at the owners' expense.
- (e) Plates must not be removed without written consent.
- (f) Plates must only be used on the vehicle they were issued to.
- (g) The driver must not carry more than the number of passengers specified on the plate.
- (h) In the event of revocation or suspension, the owner must return the licence plate.
- (i) Proprietors must not permit the use of the vehicle otherwise than in compliance with the above conditions

9. COLLISION (ACCIDENT) REPORTING

Collisions resulting in damage materially affecting the safety, performance or appearance of the vehicle or the comfort or convenience of persons carried shall be reported to an authorised officer within 72 hours of the accident occurring on the prescribed form.

10. ASSISTANCE DOGS

No driver may refuse to carry an assistance dog which is in the charge of a fare paying passenger and no charge shall be made for the carriage of such a dog whilst in the company of a disabled person or a person training such a dog.

11. CHANGE OF ADDRESS OR OF OWNERSHIP AND PROPRIETOR CONVICTIONS

The Proprietor must inform the Council in writing within 7 days of:

- The sale and name and address of the new owner
- Their change of address, before the change if possible,
- The proprietor shall disclose to the Council in writing details of any conviction imposed on him/her (or, if the proprietor is a company or partnership, on any of the directors or partners) during the period of the licence

But no more than 7 days afterwards in either case.

12. ARRESTS, CONVICTIONS, CAUTIONS AND PENALTY POINTS

- a) All Drivers must notify the Council in writing of any conviction or caution recorded against them or of any penalty points incurred within 7 days of such event.
- b) If a driver is arrested for any offence, even if they are not charged, they must notify the Licensing Authority within 48 hours.

13. DOCUMENTS

When a vehicle is available for or being used for hire, the following must be carried in the vehicle:

- a) (Dual) Driver's Licence issued by the council.
- b) A duplicate identifying Driver Licence will be issued and must be displayed either in the front of the vehicle or on the partition screen between the driver and passengers to enable the duplicate badge to be visible to them.

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14. DRIVERS

The proprietor shall not cause or procure or permit any person who is not the holder of a current Hackney Carriage licence issued by the Council to drive a licensed hackney carriage vehicle.

15. FIRE EXTINGUISHERS

The proprietor of the hackney carriage shall provide and maintain an efficient, in date and suitable fire extinguisher.

16. PASSENGERS

- a) The Proprietor or driver shall not permit to be conveyed in the vehicle a greater number of persons exclusive of the driver than the number of persons specified on the licence plate provided.
- b) The driver shall not allow any person, other than the hirer, to ride in the vehicle when it is on hire without the hirer's consent.

17. ROOF SIGNS

- (a) All vehicles (other than a purpose built taxi vehicle) shall be fitted with a double sided illuminated roof sign showing only the words in black lettering "TAXI" to the front and rear.
- (b) The sign must be illuminated when the vehicle is plying for hire, during the hours of darkness or where sidelights or headlights are necessary (i.e. fog).
- (c) The illuminated roof sign shall work with the taximeter so as to extinguish when hired.

18. SIGNS, PLATES AND BADGES

All badges, plates or signs provided by the Council remain the property of the Council at all times and must be returned immediately when requested to do so by an authorised officer.

19. SMOKING/VAPING

No smoking is allowed in any licensed or work vehicles, this is a legal requirement. No vaping shall be allowed in the vehicle at any time.

20. TABLE OF FARES (TARIFF)

The proprietor shall ensure that a copy of the current Table of Fares (Tariff) supplied by the Council is exhibited inside the carriage at all times in such a manner and place that the particulars thereon are clear and visible to any passenger being conveyed in the vehicle.

21. TAXIMETER

The vehicle must be fitted with a taximeter and it shall not be used for hire unless such taximeter has been tested and approved by the Council. All taximeters shall comply with the following:

- a) All Hackney Carriage Vehicles shall require a calendar controlled tariff taximeter;
- b) The taximeter shall be calibrated and sealed with a tamper evident seal following a change to the Table of Fares.

A record shall be made of the meter inspection that takes place.

22. VEHICLE MAINTENANCE

- a) Exterior Bodywork and Wheel trims - The bodywork of the vehicle shall be in good condition and shall be as originally fitted by the manufacturer. Wheel trims must be fitted to all road wheels where part of the manufacturer's original specification.

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- b) Upholstery - All upholstery shall be clean and in a well maintained condition. No tear, crack, hole or burn will be acceptable. Upholstery includes seats, headrests, armrests, carpets and other trim.
- c) Fittings - All fittings shall be properly maintained and in good working order. Fittings include litter containers, clocks, interior lights, sun blinds, door surrounds, grab handles, other equipment provided for passenger comfort and any equipment in, on or forming part of the vehicle including wheelchair ramps and securing fitments where the vehicle is to be licensed to carry wheelchair users.

23. VEHICLE TESTING

All Hackney Carriage vehicles must be tested to ensure that they are mechanically sound, road-worthy and safe for use as a Hackney Carriage vehicle. This shall be carried out at an MOT testing centre.

Vehicles will be required to be tested:

- Up to 7 years old, once a year (from date of first registration, as specified on the V5)
- Over 7 years old, twice a year

Any applicant aggrieved by any condition attached to the grant of this licence may appeal to a Magistrates' Court within twenty-one days from the date of issue of the licence.

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PRIVATE HIRE VEHICLE LICENCE CONDITIONS

1. RENEWALS

An application for renewal of a licence shall be submitted together with the appropriate fee not later than 2 weeks prior to the expiration of the current licence.

2. VEHICLE STANDARDS

The vehicle owner must maintain the mechanical fitness, repair and cleanliness of the interior and the exterior of the vehicle, including the paintwork, in a clean, sound and damage free condition.

3. ADVERTISING SIGNS

Advertising signs whether on or in the vehicle, will only be permitted with prior written approval from the Licensing Authority.

4. ROOF SIGNS

Roof Signs or Roof Bars will only be permitted with the prior written approval of the Licensing Authority.

5. LICENCE AND INSURANCE

- (a) The owner shall ensure that every person who drives the vehicle is properly licensed and insured for private hire use.
- (b) The owner must upon request produce the appropriate insurance documents, V5 registration document and MOT test certificate for inspection by Police or any authorised Officer of the Council.
- (c) The owner must ensure that the vehicle is properly insured for the duration of the licence.

6. INVESTIGATIONS

The owner shall co-operate fully in the investigation of complaints by an authorised Officer and shall attend the Council Offices to produce any information reasonably requested during the course of such investigation.

7. ALTERATIONS

Once a licence has been granted, no material alteration or change in the specification, design, condition or appearance of the vehicle shall be made without the approval of the Council.

8. PRIVATE HIRE VEHICLE - EXTERNAL LICENCE PLATE

The vehicle must display a licence plate as prescribed by the Council. This plate and the licence it represents, will be owned by the licensing authority.

- (a) New and Renewal Plates must be secured to the rear of the vehicle below the window line
- (b) Plates must be clearly visible at all times.
- (c) When renewing, the old licence plate must be exchanged for the new plate.
- (d) Lost or damaged plates must be immediately replaced at the owners' expense.
- (e) Plates must not be removed without written consent.
- (f) Plates must only be used on the vehicle they were issued to.
- (g) The driver must not carry more than the number of passengers specified on the plate.
- (h) In the event of revocation or suspension, the owner must return the licence plate.

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- (i) Owners must not permit the use of the vehicle otherwise than in compliance with the above conditions

9. PRIVATE HIRE VEHICLE - INTERNAL LICENCE

The vehicle must display an Internal Licence as prescribed by the Council.

- (a) The Internal Licence Plate shall be displayed in the front windscreen of the vehicle
- (b) Plates must be clearly visible at all times.
- (c) When renewing, the old licence plate must be exchanged for the new plate.
- (d) Lost or damaged plates must be immediately replaced at the owners' expense.
- (e) Plates must not be removed without written consent.
- (f) Plates must only be used on the vehicle they were issued to.
- (g) The driver must not carry more than the number of passengers specified on the plate.
- (h) In the event of revocation or suspension, the owner must return the licence plate.
- (i) Owners must not cause or permit the use of the vehicle otherwise than in compliance with the above conditions

10. COLLISION (ACCIDENT) REPORTING

Collisions resulting in damage materially affecting the safety, performance or appearance of the vehicle or the comfort or convenience of persons carried shall be reported to the Council within 72 hours of the accident occurring.

11. CHANGE OF ADDRESS AND CHANGE OF OWNERSHIP

The owner must inform the Licensing Team within 7 days of:

- a) Their change of address (before the change if possible).
- b) Sale of the vehicle to include the name and address of the new owner

12. DOCUMENTS

When a vehicle is available for or being used for hire, the following must be carried in the vehicle:

- a) Driver's Licence issued by the council. Worn as prescribed to be clearly visible.
- b) A duplicate identification badge which will be issued and must be fixed to the dashboard or partition screen to enable the passengers to be able to easily identify the driver.

13. FIRE EXTINGUISHERS

The owner of the licensed vehicle shall provide and maintain an efficient, in date and suitable fire extinguisher.

14. PASSENGERS

- a) The owner or driver shall not permit or carry a greater number of persons than the number of passengers the licence plate specifically permits.
- b) The driver shall not allow any person other than the hirer, to ride in the vehicle when it is on hire without the hirer's consent.

15. ISSUED BADGES, PLATES AND SIGNAGE

All badges, plates and signage provided by the Council remain the property of the Council at all times and must be returned immediately when requested to do so by an authorised officer.

16. SMOKING/VAPING

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No smoking is allowed in any licensed or work vehicles, this is a legal requirement. No vaping shall be allowed in the vehicle at any time.

17. VEHICLE MAINTENANCE

- a) Exterior Bodywork and Wheel trims - The bodywork of the vehicle shall be in good condition and shall be as originally fitted by the manufacturer. Wheel trims must be fitted to all road wheels where part of the manufacturer's original specification.
- b) Upholstery - All upholstery shall be clean and in a well maintained condition. No tear, crack, hole or burn will be acceptable. Upholstery includes seats, headrests, armrests, carpets and other trim.
- c) Fittings - All fittings shall be properly maintained and in good working order. Fittings include litter containers, clocks, interior lights, sun blinds, door surrounds, grab handles, other equipment provided for passenger comfort and any equipment in, on or forming part of the vehicle including wheelchair ramps and securing fitments where the vehicle is to be licensed to carry wheelchair users.

18. VEHICLE TESTING

All private hire vehicles must be tested to ensure that they are mechanically sound, roadworthy and safe for use as a private hire vehicle. This shall be carried out at an MOT testing centre.

These mechanical tests will be required for a vehicle:

- Up to 7 years old, once a year (from date of first registration, as specified on the V5)
- Over seven years old, twice a year

Any applicant aggrieved by any condition attached to the grant of this licence may appeal to a Magistrates' Court within twenty-one days from the date of issue of the licence.

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PRIVATE HIRE OPERATOR LICENCE CONDITIONS

1. GENERAL CONDITIONS

- a) The Operator must ensure that all private hire drivers and employees are aware of the meaning of plying for hire and that private hire drivers are not permitted to ply for hire under any circumstances.
- b) The Operator must not accept any booking made by a driver on behalf of a customer.

2. RECORDS TO BE KEPT BY THE OPERATOR

- (a) The records required to be kept by the operator under Section 56 (2) of the Local Government (Miscellaneous Provisions) Act 1976 shall be kept electronically or in a suitable pre-numbered book or other means approved by the authorised officer, and shall be produced for examination on demand.
- (b)
 - (i) An operator who takes a booking made by another operator is acting as a sub-contractor for the first operator. The operator who accepted the booking remains the role of contractor with the client, and remains responsible for the satisfactory completion of the contract. Full records must be kept of the booking and the company that were sub contracted.
 - (ii) The company who receive the sub-contract booking must keep a record of the booking referred to them by the first operator.
- (c) A driver who works for an Operator but who also holds their own operator's licence is regarded as working for the other operator as a sub-contractor, and is responsible for keeping their own records as required below.
- (d) The operator shall enter in the record book, before the commencement of each journey, the following particulars of every booking of a private hire vehicle accepted by them:
 - the name of the passenger;
 - the time of the request;
 - the pick-up point;
 - the destination;
 - the name of the driver;
 - the driver's licence number;
 - the vehicle registration number of the vehicle;
 - the name of any individual that responded to the booking request;
 - the name of any individual that dispatched the vehicle.
- (e) The operator may keep records of bookings in a suitable Council approved computer programme. This must be available for inspection on demand. All records must be retained for a minimum of 3 years.
- (f) The operator shall keep a record of all Private Hire drivers used by them.
- (g) These records shall include:

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- Name and current address of the driver.
 - Driver's DVLA licence details.
 - Driver's private hire driver's licence number and date of expiry.
 - Date the driver started working for that operator.
 - Date the driver ceased to work for that operator.
- (h) The operator shall hold a copy of the driver's Private Hire Driver's Licence during the period that they work for them.
- (i) The operator shall keep records of all private hire vehicles operated by them.
- (j) These shall include:
- Details of the owner
 - Registration number and licence plate number
 - Details of the private hire vehicle licence, including the date of expiry
 - Driver
 - Any radio call sign used.
 - Date the operator started to use the vehicle.
 - Date the operator ceased to use the vehicle.
- (k) The operator shall keep all records for a period of 3 years.
- (l) The operator shall hold a copy of the owner's Private Hire Vehicle Licence during the period that they utilise such vehicle.

3. CONDUCT OF THE OPERATOR

- (a) The operator shall notify the Council in writing of any change of address during the period of the licence within seven days of such change.
- (b) No operator may change the address from which they operate without the prior agreement of the Council and all licence requirements being met.
- (c) The operator shall notify the Council of the sale of the business within seven days of such event taking place and the detail of the new business owner.
- (d) The operator shall disclose to the Council in writing within seven days details of **any** convictions or cautions, motoring or otherwise they receive.
- (e) The operator should advise the Council of changes of drivers within seven days of the change.

4. DEPOSIT OF DRIVER AND VEHICLE LICENCES

- (a) Any operator who employs or permits any person to drive any licensed vehicle owned by them on their behalf, must be able to prove that the driver is properly licensed. This could be by keeping a copy of the driver's Council issued licence.
- (b) Any vehicle employed or used by an operator must be licensed and the owner of the vehicle shall deposit a copy of their vehicle licence with the operator during the period that the vehicle is employed or used.
- (c) The operator must return the licence to the vehicle proprietor at the end of the period.

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- (d) A licensed driver, driving a licensed vehicle, who is also a licensed operator, may retain their own licences whilst sub-contracting for another operator. It remains the responsibility of the operator holding the contract for a hiring to ensure that they utilise properly licensed drivers and vehicles, even when they sub-contract that hiring to another operator.

5. PLANNING PERMISSION

The operator shall ensure that all their premises have (where planning legislation requires it) a valid planning permission authorising the carrying out of business from the premises.

The grant of an Operator licence does not authorise the use of premises without planning permission.

6. NOTICES

The operator shall clearly display on all their premises their licence to operate private hire vehicles or a copy of the same and also clearly display a copy of these licence conditions.

7. HIRINGS

The operator shall provide a prompt efficient and reliable service to members of the public at all reasonable times and:

- (a) ensure that when a private hire vehicle has been hired, to be in attendance at an appointed time and place, the vehicle shall, unless delayed or prevented by sufficient cause, punctually attend at that appointed time and place;
- (b) keep clean, adequately heated, ventilated and lit any premises which the operator provides and to which the public have access, whether for the purposes of booking or waiting;
- (c) ensure that where offices are open to the public for bookings that adequate seating facilities are provided;
- (d) ensure that any telephone facilities and radio equipment provided are maintained in a sound condition and that any defects are repaired promptly; and
- (e) not permit people who are drunk to remain on the premises.

8. RECORDS

All records kept by the operator shall be kept for a period of 3 years.

The operator may, with the prior approval of the Council, keep the above records on a suitable computer providing the records may be available to an authorised officer on demand.

When the operator accepts the hiring he/she shall immediately prior to the commencement of the journey, enter all the details onto the computer system or legibly in ink in if manual records are kept. Records must be in the form prescribed.

9. VEHICLES

- (a) The operator shall ensure that all vehicles operated by them comply with the conditions of the vehicle licence and shall immediately notify the Council of any damage to vehicles, howsoever occurring as soon as they becomes aware of such damage.
- (b) The operator shall notify the Council in writing within seven days of the operation of any additional private hire vehicle, or termination of the operation of any private hire vehicle.
- (c) The operator shall ensure that every private hire vehicle operated by them is covered by a Certificate of Insurance or cover note for hire and reward purposes at all times.

10. EMPLOYMENT OF OFFICE/DISPATCH STAFF

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- (a) The operator shall ensure that all office or dispatch staff provide a DBS check prior to their employment with the operator.
- (b) Operators must evidence that a basic DBS check has been conducted. A copy of the DBS Certificate for all office staff and dispatch staff, must be provided to the Licensing Team before the commencement of their employment.
- (c) An up to date register of office and dispatch staff must be kept at the operator base.

11. COMPLAINTS

- (1) The operator shall keep a formal record of complaints made by the public. The system may be a prior approved electronic system, a book or ledger with consecutively numbered pages. The operator must produce the complaints record book or ledger at the request of any authorised Officer of the Council, or any Police Officer for inspection. The operator or his nominated representative shall be responsible for the investigation of all complaints.
- (2) The operator shall on receipt of any complaint from a member of the public (whether received personally, on the telephone or in writing) relating to any one or more of the following:
 - (a) the operator's business premises;
 - (b) their facilities within their premises;
 - (c) the state of cleanliness of any of their vehicles or drivers;
 - (d) the terms and conditions of any contract or purported contract of hire;
 - (e) any other matter relating to any contract or purported contract for hire;
 - (f) any other matter relating to their business.
- (3) The operator must immediately notify the complainant of their right to forward the complaint to the Council.
- (4) The operator shall on receipt of any complaint enter the following particulars of every complaint received by them in the complaints book or ledger:
 - (a) The date and time the complaint was received;
 - (b) the name and address of the complainant;
 - (c) how the complaint was made (i.e. personally, by telephone or in writing)
 - (d) the details of any relevant booking relating to the complaint;
 - (e) full details of the complaint, vehicle or driver
- (5) The operator shall promptly investigate any complaint received and notify the complainant in writing of the outcome of their investigations and any measures they propose to take to remedy the complaint. The operator shall record the action taken in the record complaints book or ledger.
- (6) When a complaint is received by the Council and is investigated by the authorised officer, the operator shall comply with all reasonable requests of the officer in respect of that complaint.

12. INSURANCE

The operator shall, at all times, ensure that Public Liability insurance to the value of £5 million pounds is in place in respect of the Operator business.

13. CONVICTIONS

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- a) The operator shall disclose to the Council in writing within 48 hours, details of any arrest or convictions imposed on them.
- b) The operator shall disclose to the Council any information they receive regarding the arrest, penalty points or conviction of any driver utilising their operator licence.

14. ADVERTISING

- (a) The operator shall ensure that all private hire vehicles operated by them do not display any advertising on roof signs whatsoever.
- (b) Advertising on the vehicle must only be with the prior written approval of the Council.

15. RENEWALS

Renewal applications and the fee must be submitted with all supporting documentation, no later than 2 weeks prior to the licence expiry date.

16. SUSPENSION AND REVOCATION OF OPERATOR LICENCES

The Council may suspend or revoke or refuse to renew a licence on the following grounds:

- (a) The commission of an offence or non-compliance with any provision contained within the Local Government (Miscellaneous Provisions) Act 1976.
- (b) Unfitting conduct of the operator.
- (c) Any material change in the operator's circumstances on the basis of which the licence is granted.
- (d) Any other reasonable cause Section 62 Local Government (Miscellaneous Provisions) Act 1976.

Any applicant aggrieved by any condition attached to the grant of this licence may appeal to a Magistrates' Court within 21 days of the issue of the licence.

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CCTV CAMERAS IN LICENSED VEHICLES

Hackney Carriage proprietors and Private Hire Vehicle owners may, subject to the written approval of the Council and in compliance with any separate CCTV policy, install and use a visible closed circuit television surveillance camera in their vehicles for the purposes of personal safety and as a deterrent only. The legislation relating to the provision of CCTV in licensed vehicles is currently under review. These conditions are therefore subject to change following the introduction of any relevant legislation.

The installation and operation of CCTV shall comply with the requirements of the [Information Commissioner's CCTV Code of Practice](#).

Installation

All equipment must comply with any legislative requirements in respect of motor vehicle construction and use regulations.

All equipment must meet all requirements as regards safety, technical acceptability and operational/data integrity.

All equipment must be designed, constructed and installed in such a way and in such materials as to present no danger to passengers or driver, including impact with the equipment in the event of a collision or danger from the electrical integrity being breached through vandalism, misuse, or wear and tear.

CCTV equipment must not interfere with any other safety, control, electrical, computer, navigation, satellite, or radio system in the vehicle.

CCTV equipment should be e-marked or CE marked. If CE marked confirmation by the equipment manufacturer as being non-immunity related and suitable for use in motor vehicles is required.

The camera(s) must be fitted safely and securely, should not adversely encroach into the passenger area and must not impact on the safety of the driver, passenger or other road users.

Image security

Images captured must remain secure at all times. The captured images must be protected using approved encryption software which is designed to guard against the compromise of the stored data, for example, in the event of the vehicle or equipment being stolen. It is recommended by the Information Commissioner's Office (ICO) that "data controllers" ensure any encryption software used meets or exceeds the current FIPS 140-2 standard or equivalent. System protection access codes will also be required to ensure permanent security.

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Retention of CCTV images

The CCTV equipment selected for installation must have the capability of retaining images either:

- within its own hard drive
- using a fully secured and appropriately encrypted detachable mass storage device, for example, a compact flash solid state card
- or where a service provider is providing storage facilities, transferred in real time using fully secured and appropriately encrypted GPRS (GSM telephone) signalling to a secure server within the service provider's monitoring centre

Images must not be downloaded onto any kind of portable media device (eg CDs or memory sticks) for the purpose of general storage outside the vehicle.

CCTV equipment selected for installation must include an automatic overwriting function, so that images are only retained within the installed system storage device for a maximum period of 31 days from the date of capture. Where a service provider is used to store images on a secure server, the specified retention period must also only be for a maximum period of 31 days from the date of capture.

Where applicable, these provisions shall also apply to audio recordings.

Use of information recorded using CCTV

The data controller is responsible for complying with all relevant data protection legislation. The data controller is legally responsible for the use of all images including breaches of legislation.

Any images and audio recording should only be used for the purposes described earlier in these guidelines.

Requests may be made by the police or other statutory law enforcement agencies, insurance companies/brokers/loss adjusters or exceptionally other appropriate bodies, to the "data controller" to view captured images. The data controller is responsible for responding to these requests. Police or other law enforcement agencies should produce a standard template request form, setting out the reasons why the disclosure is required. Alternatively a signed statement may be accepted.

All requests should only be accepted where they are in writing, and specify the reasons why disclosure is required.

Under the DPA, members of the public may also make a request for the disclosure of images, but only where they have been the subject of a recording. This is known as a 'subject access request'. Such requests must only be accepted where they are in writing and include sufficient proofs of identity (which may include a photograph to confirm they are in fact the person in the recording). Data Controllers are also entitled to charge a fee for a subject access request (currently a maximum of £10) as published in the ICO CCTV Code of Practice.

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Signage

If an approved camera is fitted:

- (a) The vehicle owner or proprietor must register with the Information Commissioner's Officer (ICO)
- (b) A sign must be displayed outside the vehicle to warn prospective customers of the possible use of the surveillance camera.
- (c) Similar signs shall be displayed inside the vehicle, visible to passengers, stating 'Closed Circuit TV surveillance in operation'.

In accordance with the Information Commissioners document (at page 37) "A data protection code of practice for surveillance cameras and personal information", it states a sign must include the following:

- The purposes of the scheme
- The name of the Data Controller
- The Data Controller's contact telephone number/email
- That it includes audio recording

Audio Recording

Audio recording should only be used as an exception and must be in compliance with the Information Commissioner's Office guidance.

Guidance

Vehicle owners and proprietors who wish to consider the installation of CCTV Cameras may like to familiarise themselves with the following documents:

[cctv-code-of-practice.pdf \(ico.org.uk\)](https://ico.org.uk/for-organisations/guide-to-the-12-principles/cctv-code-of-practice.pdf)

[Surveillance Camera Code of Practice \(publishing.service.gov.uk\)](https://publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/612222/Surveillance_Camera_Code_of_Practice.pdf)

[Code of practice - A guide to the 12 principles \(publishing.service.gov.uk\)](https://publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/612222/Code_of_practice_-_A_guide_to_the_12_principles.pdf)

[12 principles diagram v3.pdf \(publishing.service.gov.uk\)](https://publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/612222/12_principles_diagram_v3.pdf)

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ENFORCEMENT

We recognise that well-directed enforcement activity not only benefits the public but also responsible members of the Hackney Carriage and Private Hire Vehicle trades.

The Council will follow the principles laid out in the Regulators' Code:

[Regulators' Code - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/regulators-code)

The Licensing Authority shall take enforcement action where it considers it necessary and proportionate to do so. Enforcement will be risk-based, intelligence-led and targeted and managed in line with the Council's own Enforcement Policy.

In addition, the Council has a long established Council Penalty Points system which is used for less serious breaches. A copy of the Penalty Point system can be found at **Appendix 3**.

The Council also operates a 'Vehicle Defect Scheme'

A vehicle which fails an inspection/safety check during the currency of a licence with Broadland District Council will have the fault(s) rectified and the vehicle re-inspected within 2 months of the original inspection. Failure to do so will lead to the automatic revocation of the vehicle licence.

A vehicle may be inspected by an authorised officer of the Council or a Police Officer, at all reasonable times. If the person inspecting the vehicle is not satisfied as to the fitness of the vehicle he may give an **Unfit Vehicle Notice** to the proprietor/operator to make the vehicle available for further inspection and testing at such reasonable time and place as may be specified and the vehicle licence may be suspended until the authorised officer or police officer is so satisfied. If the authorised officer or police officer is not satisfied within two months of the initial inspection the Vehicle licence will be revoked under s60 of Part II, Local Government (Miscellaneous Provisions) Act 1976 and a notice of revocation and the grounds for the revocation will be issued to the responsible person. An authorised officer or police officer may permit other persons to examine the vehicle on their behalf (e.g. VOSA).

A record of any enforcement and/or disciplinary action taken, whether formal or informal, will be recorded on the licence holder's file and in the event of formal action becoming necessary, will be brought to the attention of the Licensing Committee, Sub-Committee or the Court.

The Civil burden of proof applies to matters brought before the Licensing Committee (less stringent than for criminal matters). This means that a case will be considered "on balance of probability" when formal action is taken.

It should be noted that some circumstances will necessitate the need to consider and take formal action immediately in certain cases, for example where a series of breaches or a more serious offence or breach is occasioned.

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APPENDIX 1 Consideration of Previous Convictions or Cautions for Licensing Hackney Carriage or Private Hire Drivers

A driver has direct responsibility for the safety of their passengers, direct responsibility for the safety of other road users and significant control over passengers who are in the vehicle. As those passengers may be alone, and may also be vulnerable, any previous convictions or unacceptable behaviour will weigh heavily against a licence being granted or retained.

Where an applicant has more than one conviction showing a pattern or tendency irrespective of time since the convictions, serious consideration will need to be given as to whether they are a safe and suitable person.

In relation to single convictions, the following time periods should elapse following completion of the sentence (or the date of conviction if a fine was imposed) before a licence will be granted.

OFFENCE	REQUIRED STANDARDS
Crimes resulting in death OR <i>Intention to cause death or serious injury of another person</i>	Where an applicant or licensee has been convicted of a crime which resulted in the death of another person or was intended to cause the death or serious injury of another person they will not be licensed.
Exploitation	Where an applicant or licensee has been convicted of a crime involving, related to, or has any connection with abuse, exploitation, use or treatment of another individual irrespective of whether the victim or victims were adults or children, they will not be licensed. This includes slavery, child sexual exploitation, grooming, psychological, emotional or financial abuse, but this is not an exhaustive list.
Offences involving violence	Where an applicant has a conviction for an offence of violence, or connected with any offence of violence, a licence will not be granted until at least 10 years have elapsed since the completion of any sentence imposed.
Possession of a weapon	Where an applicant has a conviction for possession of a weapon or any other weapon related offence, a licence will not be granted until at least 7 years have elapsed since the completion of any sentence imposed.
Sex and indecency offences	Where an applicant has a conviction for any offence involving or connected with illegal sexual activity or any form of indecency, a licence will not be granted. In addition to the above, the licensing authority will not grant a licence to any applicant who is currently on the Sex Offenders Register or on any 'barred' list.
Dishonesty	Where an applicant has a conviction for any offence of dishonesty, or any offence where dishonesty is an element of the offence,

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OFFENCE	REQUIRED STANDARDS
	a licence will not be granted until at least 7 years have elapsed since the completion of any sentence imposed.
Drugs	<p>Where an applicant has any conviction for, or related to, the supply of drugs, or possession with intent to supply or connected with possession with intent to supply, a licence will not be granted until at least 10 years have elapsed since the completion of any sentence imposed.</p> <p>Where an applicant has a conviction for possession of drugs, or related to the possession of drugs, a licence will not be granted until at least 5 years have elapsed since the completion of any sentence imposed.</p> <p>In these circumstances, any applicant will also have to undergo drugs testing at their own expense to demonstrate that they are not using controlled drugs.</p>
Discrimination	<p>Where an applicant has a conviction involving or connected with discrimination in any form, a licence will not be granted until at least 7 years have elapsed since the completion of any sentence imposed.</p>
Motoring convictions	<p>Hackney carriage and private hire drivers are professional drivers charged with the responsibility of carrying the public. Any motoring conviction demonstrates a lack of professionalism and will be considered seriously.</p> <p>It is accepted that offences can be committed unintentionally, and a single occurrence of a minor traffic offence would not prohibit the grant of a licence or may not result in action against an existing licence.</p> <p>Subsequent convictions reinforce the fact that the licensee does not take their professional responsibilities seriously and is therefore not a safe and suitable person to be granted or retain a licence.</p>
Drink driving/driving under the influence of drugs/using a hand-held telephone or hand held device whilst driving	<p>Where an applicant has a conviction for drink driving or driving under the influence of drugs, a licence will not be granted until at least 7 years have elapsed since the completion of any sentence or driving ban imposed.</p> <p>In these circumstances, any applicant will also have to undergo drugs testing at their own expense to demonstrate that they are not using controlled drugs.</p> <p>Where an applicant has a conviction for using a held-hand mobile telephone or a hand-held device whilst driving,</p>

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OFFENCE	REQUIRED STANDARDS
	a licence will not be granted until at least 5 years have elapsed since the conviction or completion of any sentence or driving ban imposed, whichever is the later.
Other motoring offences	<p>A minor traffic or vehicle related offence is one which</p> <ul style="list-style-type: none"> • does not involve loss of life, • driving under the influence of drink or drugs, • driving whilst using a mobile phone, <p>and has not resulted in injury to any person or damage to any property (including vehicles).</p> <p>Where an applicant has 7 or more points on their DVLA licence for minor traffic or similar offences, a licence will not be granted until at least 5 years have elapsed since the completion of any sentence imposed.</p> <p>A major traffic or vehicle related offence is one which</p> <ul style="list-style-type: none"> • is not covered above; and also any offence which • resulted in injury to any person or damage to any property (including vehicles). • it also includes driving without insurance or • any offence connected with motor insurance. <p>Where an applicant has a conviction for a major traffic offence or similar offence, a licence will not be granted until at least 7 years have elapsed since the completion of any sentence imposed.</p>
Hackney carriage and private hire offences	<p>Where an applicant has a conviction for an offence concerned with or connected to hackney carriage or private hire activity (excluding vehicle use), a licence will not be granted until at least 7 years have elapsed since the completion of any sentence imposed.</p>
Vehicle use offences	<p>Where an applicant has a conviction for any offence which involved the use of a vehicle (including hackney carriages and private hire vehicles), a licence will not be granted until at least 7 years have elapsed since the completion of any sentence imposed.</p>

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Consideration of Previous Convictions or Cautions for Private Hire Operators

A private hire operator (“an operator”) does not have direct responsibility for the safety of passengers, other road users or direct contact with passengers who are in the private hire vehicle (except where they are also licensed as a private hire driver).

However, in performing their duties they obtain and hold considerable amounts of personal and private information about their passengers which must be treated in confidence and not revealed to others, or used by the operator or their staff for criminal or other unacceptable purposes.

As stated above, where an applicant has more than one conviction, serious consideration will need to be given as to whether they are a safe and suitable person.

Operators must ensure that any staff that are used within the business (whether employees or independent contractors) and are able to access any information as described above are subject to the same standards as the operator themselves. This can be effected by means of the individual staff member being required by the operator to obtain a basic DBS certificate. If an operator is found not to be applying the required standards and using staff that do not meet the licensing authority’s overall criteria, that will lead to the operator’s licence being revoked.

As public trust and confidence in the overall safety and integrity of the private hire system is vital, the same standards will be applied to operators as those applied to drivers, which are outlined above.

DRAFT OF PROPOSED NEW HCPHV&O POLICY

Consideration of Previous Convictions or Cautions for Vehicle Proprietors

Vehicle proprietors (both hackney carriage and private hire) have two principal responsibilities. Firstly, they must ensure that the vehicle is maintained to an acceptable standard at all times. Secondly, they must ensure that the vehicle is not used for illegal or illicit purposes.

As stated above, where an applicant has more than one conviction, serious consideration will need to be given as to whether they are a safe and suitable person to be granted or retain a vehicle licence. As public trust and confidence in the overall safety and integrity of the private hire system is vital, the same standards will be applied to proprietors as those applied to drivers, which are outlined above.

DRAFT

DRAFT OF PROPOSED NEW HCPHV&O POLICY

APPENDIX 2 SAFEGUARDING CODE OF CONDUCT

Private Hire Vehicle and Hackney Carriage Drivers (referred to in this document as Drivers) are in a position of trust in respect of the safety and welfare of their passengers. The Licensing Authority, through its Licensing Team and Committees, must ensure that all Drivers are 'fit and proper' to undertake their work as Drivers and that they also act as ambassadors for the district. It is essential that the Council and Drivers work together in order to ensure members of the public are treated with dignity and respect and that any concerns about the welfare of passengers is reported.

On occasion, Drivers may become aware of, or have suspicions that, their passengers are the victim of abuse, neglect or exploitation, either sexual or otherwise, or at risk of becoming a victim. In addition, Drivers themselves may be accused of misconduct or inappropriate behaviour through the possible misinterpretation of the Driver's actions or conversation.

Therefore, Broadland District Council has introduced this **Code of Conduct** which is aimed at protecting both passengers and Drivers. This ensures that concerns, suspicions of abuse, neglect or exploitation can be reported appropriately as well as minimising the risks for Drivers. Drivers are expected to comply with this Code of Conduct. Failure to do so may result in the Driver being referred to the Licensing Committee. In the event of a repeated and/or serious failure to comply, Drivers can expect that consideration will be given to the suspension or revocation of their licence.

It should be noted that the Code does not override any obligations enshrined in legislation, licence conditions or contractual obligations, such as County Council contracts.

Drivers should:

- Act in a professional manner at all times
- Treat passengers and other road users with respect
- Keep relationships with passengers on an appropriate, professional basis
- Respect all individuals – regardless of age, disability, gender, sexual orientation, gender reassignment, religion/belief, language spoken, race or ethnicity

And comply with the relevant conditions specified for each of:

- Ensure the safety and well-being of passengers
- use appropriate language
- Be mindful of the vulnerability of children and adults and Passengers with special needs
- Comply with any instruction given about the care or first aid requirements of a passenger
- Respect personal beliefs and standards, including dress and religion
- Beware of actions which may be misread by Passengers

Drivers should never:

- Become over-friendly or unprofessional in any way with passengers or engage in any form of inappropriate relationship, infatuation or show favouritism
- Inappropriately touch a passenger, unless in an emergency situation, or if required to do so because of the additional needs of the passenger
- Administer medication unless a specific request has been made by the hirer
- Photograph or video passengers in their care unless used in compliance with data protection legislation and any relevant Codes of Practice issued by the Home Office or

DRAFT OF PROPOSED NEW HCPHV&O POLICY

Information Commissioner's Office

- Engage with passengers through social networking sites (such as Facebook and Twitter), instant messengers or any other online communication software such as mobile phone applications or video games (other than for clear and obvious business connections)
- Phone or send text messages to passengers other than directly concerning the hiring of their vehicle
- Swear, make personal or humiliating comments, or tell inappropriate jokes in person or by any other means e.g. social media
- Offer cigarettes or gifts of any sort
- Stop anywhere other than the specified pick up/drop off points unless requested by the hirer
- Show passengers videos or pictures on their mobile phone or any other electronic device

Safeguarding:

If a Driver has concerns or suspects abuse, neglect or exploitation of a passenger then these concerns should not be ignored. The safeguarding of children and vulnerable adults is everybody's responsibility. Remember that your information could help a vulnerable child or adult.

If a Driver is working in accordance with a Norfolk County Council contract then documents and guidance procedures issued by that Council should be followed in addition to any training received by the Driver.

Otherwise, the following procedures should be complied with in reporting any information or suspicions you may have:

Action to be taken if you have concerns:

- If your concerns are of an urgent matter or you believe that a crime has been committed and there is an immediate risk of danger, telephone the police on **999** (or **112** from a mobile telephone).
- If you are concerned that a child or an adult is suffering or is likely to suffer significant harm, including any form of mistreatment, abuse, neglect or exploitation but it is not of an urgent matter, please call the Licensing Team.
- If you would prefer to speak to the police on a non-urgent matter then call them on
 - **101** and follow the directions for Norfolk Constabulary.

DRAFT OF PROPOSED NEW HCPHV&O POLICY

APPENDIX 3 PENALTY POINTS SYSTEM

The penalty points which can be imposed on the drivers of Private Hire Vehicles and Hackney Carriages, proprietors of Vehicles and Operators of Private Hire Vehicles are shown below. This system is designed as an aid to ensure continued public safety and to give the individual concerned a chance to rectify any relatively minor breaches of licence conditions without the need to resort straight to suspension/revocation or prosecution. The intention is to encourage all drivers to apply high standards during day to day driving activities, in particular to comply with the requirements of the licensing conditions.

If an individual concerned accrues a total of 9 points within a 3 year period then he/she will automatically be referred to Committee to show just cause why their licence should continue. Individuals may also be brought before the Committee at the discretion of the authorised officer.

Infringement	Driver	Proprietor	Operator
Failing to wear a Combined Private Hire/Hackney Carriage badge on their person where it is clearly visible at all times when under hire or available for hire	3	0	0
Failing to notify the Licensing Team, in writing within 7 days, of any points or convictions being imposed	3	0	6
Failing to notify the Licensing Team, in writing, of a change of address within 7 days	3	3	3
Failing to notify the Licensing Team in writing, of being involved in an accident within three working days of the accident occurring	6	6	0
Failing to deal with lost property in the correct manner	3	3	0
Leaving a vehicle unattended on the rank	3	0	0
Failure to attend the Council Offices when directed by an authorised officer without reasonable excuse	3	3	3
Demanding more than agreed fare	3	3	0
Failure to notify the Licensing Team of any change in medical fitness to drive	6	0	0
Failing to attend at appointed time and place without sufficient cause	3	3	0
Failure to produce a valid insurance certificate/cover note within 7 days of request	0	3	3
Not having an appropriate Fire Extinguisher in the vehicle that is readily accessible to the driver	3	3	0
Failure to display any Plates, Signs or Notices required by Broadland District Council	0	3	0
The issue of an Unfit vehicle notice for any reason other than for an accident	0	3	0
To smoke or permit passengers to smoke or vape in a licensed vehicle.	3	3	3
Private Hire Operator failing to maintain their records in the correct format	0	0	3

**Broadland District Council
Hackney Carriage and Private Hire Vehicle Policy and Conditions Review
Key Proposed Changes**

Drivers:

1. **DBS Update Service** – all drivers will be requested to sign up for the DBS Update Service. 6 monthly checks with the DBS will be carried out on each driver. If a driver is not registered with the Update Service they will be required to produce and pay for a full DBS enhanced disclosure every 6 months.

This is in line with the current Department for Transport Statutory Standards.

2. **Dual Driver Licences** – the Authority is considering introducing dual driver licences. This will mean that someone licensed to drive a Private Hire Vehicle would also be licensed to drive a Hackney Carriage. The application process for each licence type is the same. At present Broadland District Council does not have any licensed hackney carriage vehicles. However, should this change in the future, a licensing process for drivers would already be in place. Comments on this proposal, either in support or against, are welcomed during the consultation process.

This is recognised as current good practice.

3. **Immigration Status** – under the newly introduced EU Settlement Scheme applicants are required to demonstrate their immigration status at the time of application.
4. **Medicals** – the age at which a medical will be required annually will be increased from 60 to 65.

This aligns the Authority with the current medical requirements under the DVLA Group 2 scheme.

5. **Good Standard of English** – applicants may be asked to demonstrate that they have a good standard of English (written and oral) at the time of application. At present, there is not a specific language assessment.

This is in line with the current Department for Transport Statutory Standards.

6. **Disability Awareness Training** – applicants will be required to complete an approved training session on disability awareness. This is not required at present.

This is in line with the current Department for Transport Statutory Standards.

7. Convictions Policy – The Convictions Policy has been updated to reflect the standard required by the Institute of Licensing's recently introduced Safe and Suitable document.

8. Second Badge for Drivers – it is proposed to issue all drivers with a second badge with the intention that the driver will wear one badge and the second badge will be displayed on the front console of the vehicle in view of passengers.

This is recognised as good practice and the conditions are being updated to reflect this.

9. Notification of Arrest – all drivers will be required to notify the Licensing Team in the event that they are arrested. At present, the requirement is to notify the Team on receipt of a caution of conviction.

This is recognised as good practice and the conditions are being updated to reflect this.

10. NR3 Database - information regarding previous licences, revocations or refusals. Checks made to the National Anti-Fraud Network database (NR3) for refusals and revocations of Hackney Carriage or Private Hire Vehicle licences.

This is in line with the current Department for Transport Statutory Standards.

Vehicles:

1. Taxi Meters – it is proposed to introduce a requirement for all licensed hackney carriage vehicles to have a meter fitted.

This is recognised as good practice and the conditions are being updated to reflect this.

2. Basic DBS for HC Proprietors – Hackney carriage proprietors will be required to produce a satisfactory basic DBS disclosure at the time of application.

This is in line with the current Department for Transport Statutory Standards.

3. Maximum age limit – vehicles over the age of 10 years from the date of first registration will not be considered for re-licensing. There will be a 5 year lead-in period for this change and it is therefore proposed that this condition will take effect from 1 April 2027.

This is proposed as a way to improve the environmental credentials of the fleet and reflect the Government's current greener travel initiatives.

4. LPG – it is proposed to remove current conditions specific to LPG vehicles as it is not foreseen that we will receive any further applications for LPG vehicles.

5. **Executive Plate Policy** – the circumstances under which the Authority will issue an executive plate have been amended. Please see the policy for further detail.

This is recognised as good practice and the conditions are being updated to reflect this.

6. **Limousine Policy** – some further clarification in respect of the licensing of limousines has been included in the policy document.

This is recognised as good practice and the conditions are being updated to reflect this.

7. **CCTV Policy** – some further updates have been made to the policy in relation to the provision of CCTV in vehicles. Please refer to the policy for further details.

This is in line with the current Department for Transport Statutory Standards.

8. **Electric Vehicles** – the authority wishes to encourage the provision of electric vehicles and some further detail has therefore been included in the policy document.

This is proposed as a way to improve the environmental credentials of the fleet and reflect the Government's current greener travel initiatives.

Operators:

1. **DBS Check for Operator Base Staff** – all staff at the Operator base receiving and making bookings will be required to produce a basic DBS disclosure. This is a further requirement under the Department for Transport Statutory Standards.

This is in line with the current Department for Transport Statutory Standards.

Agenda Item: 6
Licensing and Regulatory Committee
26 August 2021

GAMBLING ACT 2005
REVIEW OF GAMBLING STATEMENT OF PRINCIPLES (POLICY
STATEMENT)

Report Author(s): Sarah Harris
Licensing Team Leader
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sarah.harris@broadland.gov.uk

Portfolio: Environmental Excellence

Ward(s) Affected: All

Purpose of the Report:

The Authority is required to have a Statement of Principles in place under the provisions of the Gambling Act 2005. This Statement must be reviewed by the Authority every three years. The current Statement expires on 31 January 2022. The draft reviewed Statement is presented for Committee's consideration in advance of a 6 week consultation.

Recommendations:

The Committee is **RECOMMENDED** to:

1. Consider the draft Statement of Principles, along with the schedule of key proposed changes.
2. Note and comment on the draft Statement of Principles, with views to be considered in the consultation process.

1. Summary

- 1.1 The Gambling Act 2005 requires each Authority to carry out its various licensing functions so as to promote the following three licensing objectives:
- Preventing gambling from being a source of crime and disorder, being associated with crime and disorder, or being used to support crime in any way.
 - Ensuring that gambling is conducted in a fair and open way.
 - Protecting children and other vulnerable persons from being harmed or exploited by gambling.
- 1.2 To achieve these objectives, the Authority is required to publish a Policy Statement every three years and set out the policies the Authority will generally apply to promote the licensing objectives when making decisions on applications made under the Act. The Policy should be agreed by the Full Council.

2. Background

- 2.1 The Authority currently has in place a Statement of Principles which came into effect on 31 January 2019. This Statement expires on 31 January 2022 and must therefore undergo a review process in advance of this date.
- 2.2 The Gambling Commission has recently updated their Guidance to Licensing Authorities. This document sets out the principles that must be followed by licensing authorities in processing applications, issuing licences and carrying out enforcement of the Gambling Act 2005. The latest version of this document was published in April 2021.
- 2.3 The draft Statement of Principles has been revised to incorporate updates required under the revised Guidance, as well as changes to legislation and to good practice.

3. Current position/findings

- 3.1 The draft Statement of Principles has been prepared to enable it to undergo a consultation process (copy attached at Appendix One).
- 3.2 Any responses received to this consultation exercise will be given careful consideration and any further proposed changes to the document will be submitted to Licensing and Regulatory Committee for full consideration before recommending the final document to Council for adoption.
- 3.3 It is anticipated that the final document will place the Authority in a good position to conduct its duties under the Gambling Act 2005.

4. Proposed action

- 4.1 It is proposed that the draft Statement undergoes a 6 week public consultation and the views of Committee are sought as we prepare to open the consultation process. The provisional dates for this are from 20 September to 1 November 2021. These dates enable the Authority under its formal decision-making process to adopt a revised policy by 31 December 2021, and this timescale has a legal implication which is noted in paragraph 5.2 of this report.
- 4.2 The key proposed changes will be highlighted to all potential respondents. A copy of the key proposed changes document is attached at Appendix Two.
- 4.3 The document will be circulated to current licence holders, District Councillors, Parish and Town Councils and various charities, groups and organisations representing both the gambling industry and potential customers of premises licensed for gambling purposes.
- 4.4 Responses to the proposed changes, as well as to the draft document in general, will be invited. These responses will be collated and made available to the Licensing and Regulatory Committee for consideration.
- 4.5 The Committee will subsequently be invited to refer the final document to Council for formal adoption.
- 4.6 It is proposed that the new Statement of Principles will be published on 3 January 2022 and take effect from 31 January 2022.

5. Issues and risks

- 5.1 **Resource Implications** – There are no specific resource implications in respect of the review of the Statement of Principles, other than those already identified and funded to enable the Authority to comply with the overall requirements of the legislation. The level of income generated by and arising from the implementation and enforcement of the legislation and conditions will be kept under close review.
- 5.2 **Legal Implications** – The Gambling Act 2005 and the revised Guidance requires the Authority to review its Statement of Principles, to consult in respect of the policy and to have considered and formally adopted, published and advertised the policy by 3 January 2022 for implementation from 31 January 2022. The current policy expires on 31 January 2022. Local authorities are required to have in place a policy under the Gambling Act 2005 to enable the Authority to carry out its functions relating to the licensing of gambling premises and activities.
- 5.3 **Equality Implications** – An Equality and Communities Impact Assessment has been completed with no issues or concerns highlighted.
- 5.4 **Environmental Impact** – It is not anticipated that there will be any environmental impact as a result of this report.
- 5.5 **Crime and Disorder** – It is not anticipated that there will be any crime and disorder impact as a result of this report. The Gambling Act 2005 specifically

requires authorities to promote the licensing objective of “preventing gambling from being a source of crime and disorder, being associated with crime and disorder, or being used to support crime in any way.”

- 5.6 **Risks** – If the Authority does not have a revised Statement of Principles in place for publication on 3 January 2022, the Authority will not be able to meet its statutory duties under the Gambling Act 2005 and may be open to legal challenge. In addition, Committee are advised to note that a delay in commencing the consultation process to that being proposed would compromise the ability of the Council to achieve the key dates as required by the Gambling Act 2005 for the completion of this review. This could lead to the local authority operating beyond that timescale before the revised Statement of Principles has come into effect.

6 Conclusion

- 6.1 Committee is requested to consider the draft revised Statement of Principles and note the key proposed changes document.

7. Recommendations

- 7.1 The Committee is **RECOMMENDED** to:
1. Consider the draft Statement of Principles, along with the schedule of key proposed changes.
 2. Note and comment on the draft Statement of Principles, with views to be considered in the consultation process.

Appendices

1. Draft revised Statement of Principles
2. Key proposed changes document
3. Gambling Commission Guidance to Licensing Authorities

Equalities and Communities Impact Assessment

Name of Officer/s completing assessment: Sarah Harris

Date of Assessment: 12/08/2021

1. What is the proposed Policy (please provide sufficient detail)?

For the purposes of the assessment the term 'Policy' relates to any new or revised policies, practices or procedures under consideration.

We are undertaking a review of the Broadland District Council Statement of Principles (Policy Statement). The Council is required to have this Policy in place under the Gambling Act 2005 and must review the policy document every three years. The current policy expires on 31 January 2022.

2. Which protected characteristics under the Equalities Act 2010 does this Policy impact: (indicate whether the impact could be **positive**, **neutral**, or **negative**)

Protected Characteristic	Potential Impact		
	Positive	Neutral	Negative
Age	✓		
Disability		✓	
Race		✓	
Sex		✓	
Religion or Belief		✓	
Sexual Orientation		✓	
Marriage/Civil Partnership		✓	
Pregnancy/Maternity		✓	
Gender Reassignment		✓	

3. Which additional Communities characteristics does this policy impact?

Health	✓		
Place inc. Rurality		✓	
Low Income and Poverty	✓		

3. What do you believe are the potential equalities impacts of this policy?

Please include:

- Partnership organisations worked with in the development of this policy
- Evidence gathered to inform your decision
- Where you have consulted, Who and How this has informed the decision/policy
- Any other groups impacted not detailed above

Note: Impacts could be **positive**, **neutral**, or **negative** and impact groups differently

This is a review of the current Gambling Policy document which has been in place since January 2019 (the first policy took effect from January 2007). Earlier versions of the policy document were formulated following collaborative work with other Norfolk Licensing Authorities, the Police, Fire Service, Trading Standards and other bodies with an interest in the licensing process. The draft revised policy document will undergo a 6 week consultation. During this period, various authorities, agencies, organisations and charities will be consulted, along with licence holders specifically affected by the policy review.

In terms of the protected characteristic of age, only persons over the age of 18 may apply for a licence and may participate in gambling activities (with the exception of very low stake and low pay out gaming machines). However, this is specified in legislation and cannot further be controlled by way of this policy document. Application of the gambling policy will have a positive impact on young people by ensuring that they only partake in very low level gambling activities and that this takes place responsibly and in line with the legislation.

5. What do you believe are the potential communities impacts of this policy?

Please include:

- How the policy can meet agreed priorities
- Evidence gathered to inform your decision
- Partnership organisations worked with in the development of this policy
- Where you have consulted, Who and How this has informed the decision/policy
- Any other groups impacted not detailed above

Note: Impacts could be **positive**, **neutral**, or **negative** and impact groups differently

Access to high stakes gambling is restricted by the terms of the legislation. However, gambling can be addictive and can consequently be detrimental to the health, including mental health, of consumers in cases of excessive use. Previous government studies have indicated that persons from a low-income background may be more likely to gamble and due to their low-income may be more likely to be adversely affected by gambling beyond their means. The Gambling industry works hard to guard against addictive gambling and has measures in place, including self-exclusion schemes for individuals who have been, or believe they may be susceptible to, gambling addiction.

The Policy supports and re-enforces the legislation and guidance in respect of gambling activities to ensure they are conducted safely and responsibly. Where premises are not upholding their responsibilities the licence can be reviewed and may subsequently be subject to additional conditions or revocation of the licence. The Gambling Commission is also responsible for issuing Operating licences to large companies and carries out various monitoring and compliance checks to ensure the licensing objectives are being upheld on a company-wide basis.

This Policy document will be widely consulted upon, including with agencies and organisations representing a wide range of interests. As stated above, we work closely with other local licensing authorities, with the Police, Planning, the Gambling Commission and other bodies as required under the Gambling Act 2005. They will each have an opportunity to input into this policy document.

6. How is it proposed that any identified negative impacts are mitigated?

Please include:

- Steps taken to mitigate, for example, other services that may be available
- If a neutral impact has been identified can a positive impact be achieved?
- If you are unable to resolve the issues highlighted during this assessment, please explain why
- How impacts will be monitored and addressed?
- Could the decision/policy be implemented in a different way?
- What is the impact if the decision/policy is not implemented?

The aim of this Policy document is that it does not impact against any protected characteristic in a negative way. It allows individuals, businesses and charities to obtain a licence for various types of gambling activity, from casinos, to betting shops, to small lotteries run on a charitable basis. Providing this is done in accordance with the legislation and guidance, it does not seek to further prevent persons from doing so. Mandatory conditions on each licence place certain requirements on licensed premises, including how the premises may be accessed, who they may be accessed by and the location of cash points, etc in relation to gaming machines. These mandatory conditions help guard against children or vulnerable persons accessing high level gambling.

Signed by evaluator:



Signed by responsible head of department:

Please send your completed forms to the equalities lead (Victoria Parsons) to be reviewed and stored in accordance with our legal duty.

REVIEW DATE - _____

(See Page 2 for details of reviews. Please send a copy of the reviewed document to Victoria Parsons)

Gambling Act 2005

Statement of Principles

2022-2025

Section 349 of the Gambling Act 2005 requires all Licensing Authorities to prepare and publish a statement of the principles that they propose to apply in exercising their functions under the Act during the three-year period to which the policy applies.

This 'Gambling Act 2005: Statement of Principles' document has been drafted to advise all of those with an interest in the Gambling Act 2005 function. It has been updated using available Regulations, Conditions, Codes of Practice, Guidance and Legislation. Following consultation, relevant consultee responses have also been included.

This document is the fifth statement produced by this Licensing Authority and must be published by 3 January 2022 prior to its implementation date of 31 January 2022.

Changes in legislation, regulations, case-law or guidance which impact upon the content of this *Gambling Act 2005 - Statement of Principles* document, and it may be amended or updated accordingly.

The Guidance document for Licensing Authorities, updated by The Gambling Commission on 13 May 2021 has been used in producing this document.

For further information please refer to: www.gamblingcommission.gov.uk

This Statement of Licensing Principles was approved by Broadland District Council on
DD/MM/YYYY

GAMBLING ACT 2005 - STATEMENT OF PRINCIPLES 2022-2025

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PART A – GENERAL

1. The Licensing Objectives

In exercising most of its functions under the Gambling Act 2005 (The Act), the Licensing Authority must have regard to the licensing objectives as set out in section 1 of the Act.

The licensing 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.**

The Gambling Commission has stated: “The requirement in relation to children is explicitly to protect them from being harmed or exploited by gambling”.

In accordance with Section 153 of the Act, in making decisions about premises licences and temporary use notices, The Licensing Authority should **aim to permit** the use of premises for gambling in so far as it thinks it is:

- in accordance with any relevant code of practice issued by the Gambling Commission
- in accordance with any relevant guidance issued by the Gambling Commission
- reasonably consistent with the licensing objectives; and
- in accordance with the Authority’s Statement of Principles

2. Introduction

The Local Area Profile

Broadland District Council is situated in the county of Norfolk. The district has a population of 129 000. The council area includes the northern suburbs of Norwich, such as Thorpe St. Andrew, Sprowston and Hellesdon, as well more rural areas to the north and east, including market towns such as Aylsham and Acle. The Broadland Northway (A1270) allows for easy access between the main arterial roads of the district and the A47.

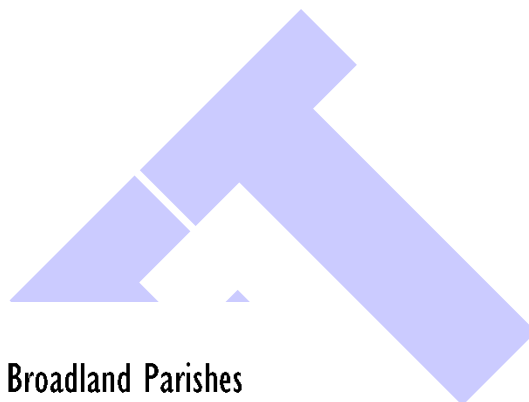
Gambling activities within Broadland currently consist of 2 betting shops, 2 unlicensed family entertainment centres and a total of 62 premises with a premises licence authorising the sale of alcohol where gaming machines have been provided by way of notification or permit. There are 15 clubs that hold club machine/gaming permits and there are 167 society lotteries registered (July 2018).

It will be seen that gambling is not a significant industry or activity within the District.

Therefore, any new gambling proposal which seeks to intensify gambling activities will be very

2.2 Map of the area covered by Broadland District Council

Location of the Broadland district within Norfolk and the British Isles



A detailed map of Broadland, Norfolk, showing its numerous parishes. The map is oriented with North at the top. The parishes are labeled with their names, including: Guinstock, Wood Dalling, Heydon, Outton, Blickling, Foulsham, Salle, Cawston, Aylsham, Bugh and Uddington, Reepham, Broomham, Marham, Bampton, Buxton with Lamas, Brandston, Haveringland, Swanton, Great and Little Walsingham, Alderford, Swanton, Felthorpe, Horstead, Helton, Fretton, Houghton with Slanningham, Wroxham, Selhouse, Woodbastwick, Upton with Falsley, South Walsham, Homburgton, Aco, Helvergate, Freethorpe, Reedham, Strumpshaw, Brundall, Postwick, Thrappe St. Andrew, Great and Little Plumstead, Rackroath, Cresswell, Bacton, Gresham, Helton, Halesdon, Drayton, Taverham, Ringland, Mutton on the Hill, Adlestree, Weston Longville, and Hemmingham. The map shows the intricate network of rivers and waterways that characterize the Broadland landscape.

Licensing authorities are required by the Act to publish a statement of the principles which they propose to apply when exercising their functions. This statement must be published at least every three years. The statement must also be reviewed from “time to time” and any amended parts must be re-consulted upon. Following any amendment and consultation, the revised statement must be then re-published.

Broadland District Council consulted widely upon this statement of principles before it was finalised and published.

The Gambling Act requires that the following parties are consulted by Licensing Authorities:

- The Chief Officer of Police;
- One or more persons who appear to the authority to represent the interests of persons carrying on gambling businesses in the authority’s area;
- One or more persons who appear to the authority to represent the interests of persons who are likely to be affected by the exercise of the authority’s functions under the Gambling Act 2005.

The consultation took place between 20 September and 1 November 2021.

The full list of comments made and the consideration by the Council of those comments is available via the Council’s website at: www.southnorfolkandbroadland.gov.uk.

The revised statement of principles was approved at a meeting of the Full Council on DD/MM/YYYY. The document is available on our website or upon request to the Licensing Team.

It should be noted that this policy statement will not override the right of any person to make an application, make representations about an application, or apply for a review of a licence, as each will be considered on its own merits and according to the statutory requirements of the Gambling Act 2005.

3. DECLARATION

In producing this statement of principles, the licensing authority declares that it has had regard to the licensing objectives of the Gambling Act 2005, the Guidance issued by the Gambling Commission, and any responses from those consulted.

4. LICENCE CONDITIONS AND CODES OF PRACTICE

Operators should be mindful of the Commission’s published Licence Conditions and Codes of Practice (LCCP) which provides sector-specific advice about steps that a business should take to meet its social responsibilities and reflect the licensing objectives. In particular this relates to those business activities which fall under the responsibility of the Licensing Authority i.e. in the areas of non-remote casino, adult gaming centre, bingo, family entertainment centre, betting and remote betting intermediary (trading room only) licences, except non-remote general betting (limited) and betting intermediary licences.

5. RISK ASSESSMENTS AND LOCAL AREA PROFILES

Operators will be required to prepare a risk assessment for their business which takes into account the nature and characteristics of the locality in which they are situated.

The Gambling Commission issue codes of practice under section 24 of The Act regarding the manner in which facilities for gambling are provided to ensure that:

- gambling is conducted in a fair and open way
- children and other vulnerable people are protected from being harmed or exploited by gambling
- assistance is made available to people who are, or may be, affected by problems related to gambling.

Codes of practice are either:

- social responsibility code provisions - which must be adhered to by all licence holders
- ordinary code provisions – these do not have the status of licence conditions but failure to take account of them can be used as evidence in criminal or civil proceedings.

New code provisions covering risk assessments and local authority area profiles came into force in April 2016. More detail can be found by going to the Gambling Commission website at www.gamblingcommission.gov.uk. The following are extracts relating to this aspect:

Social responsibility code provision 10.1.1

Assessing local risk

In the case of all non-remote casino, adult gaming centre, bingo, family entertainment centre, betting and remote betting intermediary (trading room only) licences, except non-remote general betting (limited) and betting intermediary licences

1. Licensees must assess the local risks to the licensing objectives posed by the provision of gambling facilities at each of their premises, and have policies, procedures and control measures to mitigate those risks. In making risk assessments, licensees must take into account relevant matters identified in the licensing authority's Statement of Principles.
2. Licensees must review (and update as necessary) their local risk assessments:
 - a) to take account of significant changes in local circumstances, including those identified in a licensing authority's statement of licensing policy;
 - b) when there are significant changes at a licensee's premises that may affect their mitigation of local risks;
 - c) when applying for a variation of a premises licence; and
 - d) in any case, undertake a local risk assessment when applying for a new premises licence.

Ordinary code provision 10.1.2

Sharing local risk assessments

In the case of all non-remote casino, adult gaming centre, bingo, family entertainment centre, betting and remote betting intermediary (trading room only) licences, except non-remote general betting (limited) and betting intermediary licences

- Licensees should share their risk assessment with licensing authorities when applying for a premises licence or applying for a variation to existing licensed premises, or otherwise on request.

The council will expect the local risk assessment to consider as a minimum:

- the location of services for children such as schools, playgrounds, leisure/community centres and other areas where children gather;
- the demographics of the area in relation to vulnerable groups,
- whether the premises is in an area subject to high levels of crime and/or disorder.

The local risk assessment should show how vulnerable people, including those with gambling dependencies are protected.

The Licensing Authority would expect the local area risk assessment to be kept on the individual premises and be available for inspection.

Local Area Profile

Such risk assessments can make reference to the council's local area profile which may be compiled with respect to reported gambling-related problems in an area. BSNs local area profile is an assessment of the local environment and identifies key characteristics. At the time of preparing this edition of the Statement of Principles there has been no evidence to suggest that any part of our district is experiencing problems from gambling activities. The local area can change, and it is important to retain the ability to review and update the local area profile so that any current and emerging risks can be included. For this reason, the local area profile is not included within the body of this Policy and is published as a separate document. It is available by request from the Licensing Team licensing@broadland.gov.uk.

6. RESPONSIBLE AUTHORITIES

The licensing authority is required by regulations to state the principles it will apply in exercising its powers under Section 157(h) of the Act to designate, in writing, a body which is competent to advise the authority about the protection of children from harm. The principles are:

- the need for the body to be responsible for an area covering the whole of the licensing authority's area; and
- the need for the body to be answerable to democratically elected persons, rather than

any particular vested interest group.

In accordance with the Gambling Commission's Guidance this authority designates the Local Safeguarding Children Board for this purpose.

The contact details of all the Responsible Authorities under the Gambling Act 2005 are available via the Council's website at www.southnorfolkandbroadland.gov.uk.

7. INTERESTED PARTIES

Interested parties can make representations about licence applications, or apply for a review of an existing licence. These parties are defined in the Gambling Act 2005 as persons who:

- a) live sufficiently close to the premises to be likely to be affected by the authorised activities,
- b) have business interests that might be affected by the authorised activities, or
- c) represents persons who satisfy paragraph *a or b*."

The licensing authority is required by regulations to state the principles it will apply in exercising its powers under the Gambling Act 2005 to determine whether a person is an interested party. The principles are:

- Each case will be decided upon its merits.
- This authority will not apply a rigid rule to its decision making. It may have regard to a number of factors, for example:
 - The size of the premises
 - The nature of activities the applicant proposes to provide at the premises;
 - the distance of the premises from the location of the person making the representation
 - the potential impact of the premises such as the number of customers, routes likely to be taken by those visiting the establishment
 - the circumstances of the person who lives close to the premises. This is not their personal characteristics, but their interests which may be relevant to the distance from the premises.
 - Guidance from the Gambling Commission that *business interests* should be given the widest possible interpretation (see para 6.21 of the GC Guidance)

Interested parties can include persons who are democratically elected such as county, parish and town councillors and MPs. Other than these persons, the licensing authority will normally require written evidence that a person 'represents' someone who either lives sufficiently close to the premises to be likely to be affected by the authorised activities and/or business interests that might be affected by the authorised activities. Other representatives might include bodies such as trade associations and trade unions, and residents' and tenants' associations. A school head or governor might act in representing the interests of pupils or parents and a community group might represent vulnerable people living near to the proposed premises.

8. EXCHANGE OF INFORMATION

Licensing authorities are required to include in their statements the principles to be applied by the authority in exercising the functions under sections 29 and 30 of the Act with respect to the exchange of information between it and the Gambling Commission, and the functions under section 350 of the Act with respect to the exchange of information between it and the other persons listed in Schedule 6 to the Act.

The principle that this licensing authority applies is that it will act in accordance with the provisions of the Gambling Act 2005 in its exchange of information which includes the provision that the Data Protection Act 1998 will not be contravened. The licensing authority will also have regard to any Guidance issued by the Gambling Commission to local authorities on this matter, as well as any relevant regulations issued by the Secretary of State under the powers provided in the Gambling Act 2005.

Should any protocols be established as regards information exchange with other bodies then they will be made available.

9. ENFORCEMENT

Licensing authorities are required by regulation under the Act to state the principles to be applied by the authority in exercising the functions under Part 15 of the Act with respect to the inspection of premises; and the powers under section 346 of the Act to institute criminal proceedings in respect of the offences specified.

This licensing authority's principles are that it will be guided by the Gambling Commission's Guidance (in particular Part 36), the Regulators' Compliance Code – and shall endeavour to regulate in the public interest and be:

- Proportionate: regulators should only intervene when necessary and remedies should be appropriate to the risk posed, and costs identified and minimised;
- Accountable: regulators must be able to justify decisions, and be subject to public scrutiny;
- Consistent: rules and standards must be joined up and implemented fairly;
- Transparent: regulators should be open, and keep regulations simple and user friendly;
- Targeted: regulation should be focused on the problem, and minimise side effects

In accordance with the Gambling Commission's Guidance, the Licensing Authority will endeavour to avoid duplication with other regulatory regimes so far as possible.

Any inspection programme which may be adopted by the licensing authority shall be risk-based.

The enforcement and compliance role for the Licensing Authority under the Gambling Act 2005 is to ensure compliance with the Premises Licences and other permissions which it authorises. The Gambling Commission is the enforcement body for Operator and Personal Licences and Manufacture, supply or repair of gaming machines.

This Licensing Authority aims to work in partnership with and support local businesses, having regard to the stated principles and best practice guidelines published by the Better Regulation Executive, in respect of its responsibilities under the Gambling Act 2005 and other regulatory functions of the Local Authority.

Any enforcement/compliance protocols or written agreements developed by the Licensing Authority shall be made available upon request.

In considering applications, and taking enforcement action, under the Gambling Act 2005 the Licensing Authority shall duly consider any Human Rights Act 1998 implications (in particular Article 1, Protocol 1 and Articles 6, 8 and 10).

10. LICENSING AUTHORITY FUNCTIONS

The Act gives Licensing Authorities a number of regulatory functions in relation to gambling. The main functions of which are to:

- Licence **premises** for gambling activities;
- Consider **notices** given for the temporary use of premises for gambling;
- Grant gaming and gaming machines **permits** in **clubs and miners' welfare institutes**;
- Regulate gaming and gaming machines in **alcohol-licensed premises**;
- Grant **permits** to Family Entertainment Centres (FEC's) for the use of certain lower stake gaming machines;
- Grant **permits** for **prize gaming**;
- Consider **occasional use notices** for betting at tracks;
- Register small societies' lotteries;
- Consider applications for **provisional statements**;
- Provide information to the Gambling Commission regarding details of licences, permits, notices and registrations issued;
- **Maintain registers** of the permits, notices and licences issued;
- Prepare and publish, every three years a **statement of principles** it proposes to apply when exercising its functions under the Act.

It should be noted that licensing authorities are not involved in licensing remote gambling. This is the responsibility of the Gambling Commission.

11. APPEALS

Appeals relating to premises licensing and other decisions by licensing authorities are covered within the relevant legislation and regulations and are referred to in Part 12 of the Gambling Commission guidance.

PART B - PREMISES LICENCES

1. GENERAL PRINCIPLES

Premises licences are subject to the requirements set out in the Gambling Act 2005 and regulations. The Act provides that conditions may be attached to licences in a number of ways:

1. automatically, having been set out on the face of the Act;
2. through regulations made by the Secretary of State
3. by the Commission, to operating and personal licences;
4. by the licensing authority, to premises licences and some permits;
5. by the licensing authority, by excluding certain default conditions on a premises licence.

When determining an application, this Licensing Authority **aims to permit** the use of premises for gambling in so far as it thinks it is:

- in accordance with any relevant code of practice issued by the Gambling Commission;
- in accordance with any relevant guidance issued by the Gambling Commission;
- reasonably consistent with the licensing objectives,
- in accordance with the Authority's statement of principles.

Decision making

This licensing authority is aware that in making decisions about premises licences it should aim to permit the use of premises for gambling in so far as it thinks it:

- in accordance with any relevant code of practice issued by the Gambling Commission;
- in accordance with any relevant guidance issued by the Gambling Commission;
- reasonably consistent with the licensing objectives (subject to the above); and
- in accordance with the authority's statement of licensing policy.

It is appreciated that as per the Gambling Commission's Guidance for local authorities "moral or ethical objections to gambling are not a valid reason to reject applications for premises licences" (except as regards any 'no casino resolution' - see section on Casinos below – page 18) and also that unmet demand is not a criterion for a licensing authority.

This licensing authority also notes Gambling Commission guidance on Appropriate Licensing Environment (previously known as primary gambling activity).

It is not permissible for an operator to offer gaming machines on a premises which is licensed for non-remote betting but not to offer sufficient facilities for non-remote betting. A non-remote betting operating licence authorises its holder to 'provide facilities for betting' (s.65(2)(c) of the Act). Likewise, a betting premises licence authorises premises to be used for 'the provision of facilities for betting...' (s.150(1)(e) of the Act). The ability to make up to four gaming machines, within categories B2 – D, available is an additional authorisation conferred upon the holder of a betting premises licence (s.172(8) of the Act); it is not a free standing right to make gaming machines available for use. It follows that unless a betting premises operator offers sufficient facilities for betting it should not be making gaming machines available on the premises in

question.

This authority notes the Commission's view that it is also important, in relation to the licensing objective of protecting vulnerable persons from being harmed or exploited by gambling, that customers should be offered a balanced mix of betting and gaming machines in licensed betting premises.

Accordingly, an operating licence condition provides that gaming machines may be made available for use in licensed betting premises only at times when there are also sufficient facilities for betting available. In this respect, such facilities must include information that enables customers to access details of events on which bets can be made, make such bets, learn of the outcome and collect any winnings.

Definition of "premises"

Premises" is defined in The Act as "any place". A particular premises cannot be granted more than one premises licence under the Act at any one time. It is possible for a single building to be subject to more than one premises licence, provided they are for different parts of the building and the different parts of the building can be reasonably regarded as being separate premises.

Whether different parts of a building are genuinely separate premises will depend on the circumstances. The Gambling Commission does not consider that areas of a building that are artificially or temporarily separated, for example by ropes or moveable partitions, can be properly regarded as different premises.

Consideration will be given to whether the premises is genuinely a separate premises and would merit its own licence and not an artificially created part of what is readily identifiable as a single premises.

The Gambling Commission Guidance states that Licensing Authorities should take particular care when considering applications *for more than one premises licences for a single building*, and applications for a premises licence where part of the premises is used for non-gambling purposes. In particular the Licensing Authority will consider whether:

- entrances and exits from parts of a building covered by one or more licences are to be separate and identifiable so that the separation of different premises is not compromised and that people cannot 'drift' into a gambling area;
- premises should be configured so that children are not invited to participate in, have accidental access to, or closely observe gambling where they are prohibited from participating;
- customers are able to participate in the principal gambling activity authorised by the premises licence.

The Gambling Commission Guidance also stipulates that Licensing Authorities should pay attention to applications where access to the licensed premises is through other premises,

whether licensed or unlicensed. The Licensing Authority will consider whether:

- entrances and exits from parts of a building covered by one or more licences are to be separate and identifiable so that the separation of different premises is not compromised and that people cannot 'drift' into a gambling area;
- premises should be configured so that children are not invited to participate in, have accidental access to, or closely observe gambling where they are prohibited from participating;
- customers are able to participate in the principal gambling activity authorised by the premises licence.
- children can gain access to the premises;
- the two establishments are compatible; and
- The proposed licence holder would be able to comply with the requirements of the Act, for example, mandatory operating licence conditions; and
- Gambling Commission Guidance in relation to division, separation or splitting of premises and primary gambling activity (Part 7 of guidance).

An overriding consideration for the Licensing Authority is whether, taken as a whole, the co-location of the licensed premises with other facilities has the effect of creating an arrangement that otherwise would, or should, be prohibited under the Act.

Where an application is made in respect of a premises to be constructed or altered the Licensing Authority will consider each application on its own merits having due regard to the advice given by the Gambling Commission in its Guidance (particularly sections 7.58 to 7.65). The Licensing Authority will consider:

- if a future effective date on the licence is appropriate;
- the licence should be issued subject to a condition that trading shall not commence until the premises have been completed in all respects and in accordance with the scale plans provided with the application.

The Licensing Authority may require inspection of the completed works or written confirmation from the applicant, their agent or surveyor to satisfy the Authority that the completed works comply with the original, or changed, plan attached to the premises licence.

Location:

Demand or need for licensed premises cannot be considered with regard to the location of premises. In accordance with the Gambling Commission Guidance, the Licensing Authority will pay particular attention to protection of children and vulnerable persons from being harmed or exploited by gambling, as well as issues of crime and disorder. Should any specific policy be decided upon concerning areas where gambling premises should not be located, this policy statement will be updated. It should be noted that any such policy does not preclude any application being made and each application will be decided on its merits, with the possibility for the applicant to show how any concerns can be overcome.

Duplication with other regulatory regimes:

The Licensing Authority seeks to avoid any duplication with other statutory/regulatory systems wherever possible, including planning, building control, health and safety and fire safety.

Should it come to the attention of the Licensing Authority that planning conditions or other regulatory restrictions/controls may impact on a premises operator's ability to comply with mandatory or default conditions then it may alert the applicant accordingly. The grant of a gambling premises licence does not prejudice or prevent any action that may be appropriate under the law relating to planning or building.

Licensing objectives:

Premises Licences granted must be reasonably consistent with the licensing objectives. With regard to these objectives, the Licensing Authority has considered the Gambling Commission Guidance and provides some commentary below:

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

The Gambling Commission will take the leading role in preventing gambling from being a source of crime. Where a particular area is associated with criminal activity the Licensing Authority will consider carefully whether gambling premises are suitable to be located there and whether conditions may be appropriate, for example the provision of door supervisors. There is a distinction between disorder and nuisance and the licensing Authority will consider factors such as whether police assistance was required and how threatening the behaviour was to those who could see it, so as to make that distinction. Issues of nuisance cannot be addressed when determining applications under the Gambling Act 2005.

(2) Ensuring that gambling is conducted in a fair and open way:

The Gambling Commission stated in its Guidance that it would, with the exception of tracks (see Part B section 7 of this document), generally not expect Licensing Authorities to be concerned with ensuring that gambling is conducted in a fair and open way as this is addressed via Operator and Personal licensing requirements. If the Licensing Authority suspects that gambling is not being conducted in a fair and open way then this will be brought to the attention of the Gambling Commission for its further consideration.

(3) Protecting children and other vulnerable persons from being harmed or exploited by gambling:

The Gambling Commission has stated, 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. This means preventing them from taking part in gambling activities except limited authorised activities (see schedule D), 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 machines).

The Licensing Authority will therefore consider, as suggested in the Gambling Commission Guidance, whether specific measures are required at particular premises, with regard to this licensing objective. Appropriate measures may include such matters as supervision of entrances/machines or segregation of areas.

The Licensing Authority will also have due regard to any relevant Codes of Practice issued by the Gambling Commission concerning this licensing objective in relation to specific premises.

The Gambling Commission does not provide a definition for the term “vulnerable persons” but states that “for regulatory purposes assume that this group includes people who:

- gamble more than they want to;
- gamble beyond their means; and
- may not be able to make informed or balanced decisions about gambling due to mental health needs, alcohol or drugs.”

The Licensing Authority will consider this licensing objective on a case by case basis.

Conditions:

Since the Licensing Authority must aim to permit the use of premises for gambling, it will not attach conditions which limit the use of the premises for gambling, except where that is necessary as a result of the requirement to act:

- in accordance with the Gambling Commission Guidance, the Commission’s codes of practice or this Licensing Authority’s Statement of Policy; or
- in a way that is reasonably consistent with the Licensing Objectives.

This Licensing Authority notes that conditions on premises licences should only relate to gambling, and it is not necessary, proportionate or appropriate to impose conditions on a premises licence where the Gambling Commission’s Licence Conditions and Codes of Practice, or other legislation, places the same or similar duties, responsibilities or restrictions on an employer or the operator of gambling premises.

This Licensing Authority shares the view of the Gambling Commission that the mandatory and default conditions set by the Secretary of State will normally be adequate for the general good conduct of gambling premises. However, where there are specific, evidenced risks or problems associated with a particular locality, specific premises, or class of premises in its area then the Licensing Authority may be able to attach individual conditions to address this.

Any conditions attached by the Licensing Authority to a premises licence shall be:

- carefully considered in view of the matters mentioned above;
- proportionate; directly related to the premises and the type of licence applied for;

- relevant to the need to make the proposed building suitable as a gambling facility;
- fairly and reasonably related to the scale and type of premises; and
- reasonable in all other respects.

Sections 169 to 172 of the Act set out certain matters that may not be the subject of Licensing Authority conditions, as set out below:

- any condition on the Premises Licence which makes it impossible to comply with an Operator Licence condition;
- conditions relating to gaming machine categories, numbers, or method of operation;
- conditions which provide that membership of a club or body be required (the Gambling Act 2005 specifically removes the membership requirement for casino and bingo clubs and this provision prevents it being reinstated); and
- conditions in relation to stakes, fees, winning or prizes.

The Licensing Authority will have due regard to these when considering the need for conditions.

The Licensing Authority will also consider specific measures which may be required for buildings which are the subject of more than one Premises Licence. In considering these matters the Licensing Authority shall have due regard to:

- any mandatory or default conditions of licence,
- any relevant Codes of Practice (particularly social responsibility provisions linked to operator licences) issued by the Gambling Commission; and
- Gambling Commission Guidance.

Such measures may include the supervision of entrances, segregation of gambling from non-gambling areas frequented by children and the supervision of gaming machines in specific non-adult gambling premises in order to promote the licensing objectives.

The Licensing Authority must be satisfied that where category C or above machines are available in premises to which children are admitted:

- all such machines are located in an area of the premises which is separated from the remainder of the premises by a physical barrier which is effective to prevent access other than through a designated entrance;
- only adults are admitted to the area where these machines are located;
- access to the area where the machines are located is supervised;
- the area where these machines are located is arranged so that it can be observed by the staff or the licence holder; and
- at the entrance to and inside any such areas there are prominently displayed notices indicating that access to the area is prohibited to persons under 18.

These considerations may apply to premises including buildings where more than one Premises Licence is applicable.

Tracks (defined below) may be subject to one, or more than one, Premises Licence provided each licence relates to a specified area of the track. In accordance with the Gambling Commission Guidance, the Licensing Authority will consider the impact upon the protection of children licensing objective and the need to ensure that entrances to each type of premises are distinct and that children are excluded from gambling areas where they are not permitted to enter.

In accordance with Gambling Commission Guidance, the Licensing Authority may consider whether door supervisors are appropriate in particular circumstances in order to:

- prevent premises from becoming a source of crime or disorder; or
- protect children and vulnerable persons from being harmed or exploited by gambling.

Should the Licensing Authority consider that door supervisors are necessary and appropriate in the particular circumstances to promote the licensing objectives for a particular premises, it will normally expect that any person employed as a door supervisor at that premises will either:

- meet the minimum requirements necessary for that individual to be licensed by the Security Industry Authority (SIA) in normal circumstances (accepting that there is a specific exemption from the licensing of door supervisors by the SIA for in-house staff of casino and bingo premises);
- the holder of the operator licence will have recruitment criteria for their door supervisors, which may specify:
 - (a) a minimum training standard (whether within the organisation, or a nationally accredited training course); and
 - (b) an assessment of whether that individual is fit and proper, for example by means of a subject access search, Disclosure and Barring Service disclosure or other means.

2. REVIEWS

Requests for a review of a premises licence can be made by interested parties or responsible authorities; however, it is for the licensing authority to decide whether the review is to be carried out. This will be on the basis of whether the request for the review is relevant to the matters listed below;

- in accordance with any relevant code of practice issued by the Gambling Commission;
- in accordance with any relevant guidance issued by the Gambling Commission;
- reasonably consistent with the licensing objectives; and
- in accordance with the authority's statement of licensing policy.

The request for the review will also be subject to the consideration by the authority as to whether the request is frivolous, vexatious, or whether it will certainly not cause this authority to wish to alter/revoke/suspend the licence, or whether it is substantially the same as previous representations or requests for review.

The licensing authority can also initiate a review of a particular premises licence, or a particular class of premises licence on the basis of any reason which it thinks is appropriate.

More details including time periods can be found in the Gambling Act 2005 (Premises Licences) (Review) Regulations 2007.

The purpose of the review will be to determine whether the licensing authority should take any action in relation to the licence. If action is justified, the options open to the licensing authority are:-

- (a) add, remove or amend a licence condition imposed by the licensing authority;
- (b) exclude a default condition imposed by the Secretary of State (e.g. opening hours) or remove or amend such an exclusion;
- (c) suspend the premises licence for a period not exceeding three months; and
- (d) revoke the premises licence.

In determining what action, if any, should be taken following a review, the licensing authority shall have regard to the principles set out in section 153 of the Act, as well as any relevant representations.

In particular, the licensing authority may also initiate a review of a premises licence on the grounds that a premises licence holder has not provided facilities for gambling at the premises. This is to prevent people from applying for licences in a speculative manner without intending to use them.

Once the review has been completed, the licensing authority shall, as soon as possible, notify its decision to:

- the licence holder
- the applicant for review (if any)
- the Commission
- any person who made representations
- the chief officer of police or chief constable; and
- Her Majesty's Commissioners for Revenue and Customs.

3. PROVISIONAL STATEMENTS

Developers may wish to apply to this authority for provisional statements before entering into a contract to buy or lease property or land to judge whether a development is worth taking forward in light of the need to obtain a premises licence. There is no need for the applicant to hold an operating licence in order to apply for a provisional statement.

S204 of the Gambling Act provides for a person to make an application to the licensing authority for a provisional statement in respect of premises that he or she:

- expects to be constructed;
- expects to be altered; or

- expects to acquire a right to occupy.

The process for considering an application for a provisional statement is the same as that for a premises licence application. The applicant is obliged to give notice of the application in the same way as applying for a premises licence. Responsible authorities and interested parties may make representations and there are rights of appeal.

In contrast to the premises licence application, the applicant does not have to hold or have applied for an operating licence from the Gambling Commission (except in the case of a track) and they do not have to have a right to occupy the premises in respect of which their provisional application is made.

The holder of a provisional statement may then apply for a premises licence once the premises are constructed, altered or acquired. The licensing authority will be constrained in the matters it can consider when determining the premises licence application, and in terms of representations about premises licence applications that follow the grant of a provisional statement, no further representations from relevant authorities or interested parties can be taken into account unless:

- they concern matters which could not have been addressed at the provisional statement stage; or
- they reflect a change in the applicant's circumstances.

In addition, the authority may refuse the premises licence (or grant it on terms different to those attached to the provisional statement) only by reference to matters:

- which could not have been raised by objectors at the provisional statement stage;
- which in the authority's opinion reflect a change in the operator's circumstances;
- where the premises has not been constructed in accordance with the plan submitted with the application. This must be a substantial change to the plan and this licensing authority notes that it can discuss any concerns it has with the applicant before making a decision.

4. TEMPORARY USE NOTICES

Temporary Use Notices allow the use of premises for gambling where there is no premises licence but where a gambling operator wishes to use the premises temporarily for providing facilities for gambling. Premises that might be suitable for a temporary use notice, according to the Gambling Commission, would include hotels, conference centres and sporting venues.

The licensing authority can only grant a temporary use notice to a person or company holding a relevant operating licence, i.e. a non-remote casino operating licence.

The Secretary of State has the power to determine what form of gambling can be authorised by Temporary Use Notices, and at the time of writing this Statement the relevant regulations (SI no 3157: The Gambling Act 2005 (Temporary Use Notices) Regulations 2007) state that Temporary Use Notices can only be used to permit the provision of facilities or equal chance gaming, where the gaming is intended to Produce a single winner, which in practice means poker tournaments.

There are a number of statutory limits as regards Temporary Use Notices. The meaning of "premises" in Part 8 of the Act is discussed in Part 7 of the Guidance. As with "premises", the definition of "a set of premises" will be a question of fact in the particular circumstances of each notice that is given. In the Act "premises" is defined as including "any place".

In considering whether a place falls within the definition of "a set of premises", the licensing authority needs to look at, amongst other things, the ownership/occupation and control of the premises.

The Authority will consider whether they wish to give a notice of objection in respect of a Temporary Use Notice. In considering whether to do so, they must have regard to the licensing objectives and if they consider that the gambling should not take place, or only with modifications they must give notice of objection to the person who gave the Temporary Use Notice.

5. OCCASIONAL USE NOTICES

Section 39 of the Act provides that where there is betting on a track on eight days or less in a calendar year, betting may be permitted by an occasional use notice without the need for a full premises licence.

The licensing authority has very little discretion as regards these notices aside from ensuring that the statutory limit of eight days in a calendar year is not exceeded. This licensing authority will though, consider the definition of a 'track' and whether the applicant is permitted to avail him/herself of the notice.

6. CASINOS

This licensing authority has not passed a 'no casino' resolution under Section 166 of the Gambling Act 2005 but is aware that it has the power to do so. Should this authority decide in the future to pass such a resolution, it will update this policy statement with details of that resolution. Any such decision will be made by the Full Council.

7. BINGO PREMISES

It is important that if children are allowed to enter premises licensed for bingo that they do not participate in gambling, other than on category D machines. Where category B or C or machines are made available for use on premises to which children are admitted Licensing Authorities should ensure that:

- all such machines are located in an area of the premises separate from the remainder of the premises by a physical barrier which is effective to prevent access other than through a designated entrance; and
- only adults are admitted to the area where the machines are located

The Licensing Authority shall have due regard to relevant licence conditions and codes of practice in relation to the operation of Bingo premises, and also the Gambling Commission's

guidance about the particular issues that Licensing Authorities should take into account in relation to the suitability and layout of bingo premises. This includes guidance on primary gambling activity, split premises and operating licence conditions.

8. BETTING PREMISES

The Act contains a single class of licence for betting premises although within this, there are different types of premises which require licensing.

The Act also permits betting intermediaries to operate from premises. The Act defines a betting intermediary as a person who provides a service designed to facilitate the making or acceptance of bets between others. Although betting intermediaries usually offer their services via remote communication, such as the internet, a betting intermediary can apply for a betting premises licence to offer intermediary services upon the premises, such as a premises based trading room.

Licensing authorities are responsible for issuing and monitoring premises licences for all betting premises.

Betting machines

S.235(2)(c) provides that a machine is not a gaming machine by reason only of the fact that it is designed or adapted for use to bet on future real events. Some betting premises may make available for use machines that accept bets on live events, such as a sporting event, as a substitute for placing a bet over the counter. These SSBTs are not gaming machines and therefore neither count towards the maximum permitted number of gaming machines, nor have to comply with any stake or prize limits. Such betting machines merely replicate and automate the process that can be conducted in person, and therefore do not require regulation as gaming machines.

S.181 of the Act contains an express power for licensing authorities to restrict the number of SSBTs, their nature and the circumstances in which they are made available, by attaching a licence condition to a betting premises licence or to a casino premises licence (where betting is permitted in the casino).

The holder of a betting premises licence may make up to 4 gaming machines (category B,C or D) available for use.

Part 19 of the Gambling Commission Guidance provides further details.

9. TRACK PREMISES LICENCES

This Licensing Authority is aware that tracks may be subject to one or more than one premises licence, provided each licence relates to a specified area of the track. As per the Guidance, this licensing authority will especially consider the impact upon the third licensing objective (i.e. the protection of children and vulnerable persons from being harmed or exploited by gambling) and the need to ensure that entrances to each type of premises are distinct and that children are excluded from gambling areas where they are not permitted to enter.

This authority will therefore expect the premises licence applicant to demonstrate suitable

measures to ensure that children do not have access to adult only gaming facilities. It is noted that children and young persons will be permitted to enter track areas where facilities for betting are provided on days when dog-racing and/or horse racing takes place, but that they are still prevented from entering areas where gaming machines (other than category D machines) are provided.

This licensing authority may consider measures to meet the licensing objectives such as:

- Proof of age schemes
- CCTV
- Supervision of entrances / machine areas
- Physical separation of areas
- Location of entry
- Notices / signage
- Specific opening hours
- Self-exclusion schemes
- Provision of information leaflets / helpline numbers for organisations such as GamCare

This list is not mandatory, nor exhaustive, and is merely indicative of example measures.

Gaming machines - Where the applicant holds a pool betting operating licence and is going to use the entitlement to four gaming machines, machines (other than category D machines) should be located in areas from which children are excluded.

Betting machines - This licensing authority will, as per Part 6 of the Gambling Commission's Guidance, take into account the size of the premises and the ability of staff to monitor the use of the machines by children and young persons (it is an offence for those under 18 to bet) or by vulnerable people, when considering the number/nature/circumstances of betting machines an operator proposes to offer.

Applications and plans

The Gambling Act 2005 (Premises Licences and Provisional Statements Regulations 2007) require applicants to submit plans of the premises with their application, in order to ensure that the licensing authority has the necessary information to make an informed judgement about whether the premises is fit for gambling. The plan will also be used for the licensing authority to plan future premises inspection activity (see Guidance to Licensing Authorities, para 20.43). Plans for tracks do not need to be in a particular scale, but should be drawn to scale and should be sufficiently detailed to include the information required by regulations (see Guidance to Licensing Authorities, para 20.44).

This authority appreciates that it is sometimes difficult to define the precise location of betting areas on tracks. The precise location of where betting facilities are provided is not required to be shown on track plans, both by virtue of the fact that betting is permitted anywhere on the premises and because of the difficulties associated with pinpointing exact locations for some types of track.

This Authority will require that the plan provides sufficient information to enable them to assess an application.

10. ADULT GAMING CENTRES

The Licensing Authority will specifically have regard to the need to protect children and vulnerable persons from harm or being exploited by gambling and will require applicants to demonstrate that there will be sufficient measures to ensure that under 18 year olds do not have access to the premises. Appropriate measures may also be included within mandatory/default conditions and codes of practice and cover matters such as:

- Proof of age schemes
- CCTV
- Supervision of entrances / machine areas
- Physical separation of areas
- Access and Location of entry
- Notices / signage
- Self-barring schemes
- ATM location
- Prohibition of alcohol consumption
- Provision of information leaflets/helpline numbers for organisations such as GamCare or Gamble Aware.

This list is not mandatory nor exhaustive and is merely indicative of example measures.

The Licensing Authority may determine the opening hours for Adult Gaming Centres, on a case-by-case basis, in the absence of any default conditions addressing this matter.

11. (LICENSED) FAMILY ENTERTAINMENT CENTRES

The Licensing Authority will specifically have regard to the need to protect children and vulnerable persons from harm or being exploited by gambling and will require applicants to demonstrate that there will be sufficient measures to ensure that under 18 year olds do not have access to the adult only Category C gaming machine areas.

The Licensing Authority will require applicants to demonstrate that there will be sufficient measures to promote the licensing objectives. Appropriate measures may also be included within mandatory/default conditions and codes of practice and cover matters such as:

- CCTV
- Supervision of entrances / machine areas
- Physical separation of areas
- Access and Location of entry
- Notices / signage
- Challenging children or young persons attempting to play category C machines
- Self-barring schemes
- ATM location
- Prohibition of alcohol consumption

- Provision of information leaflets/helpline numbers for organisations such as GamCare or Gamble Aware
- Measures / training for staff on how to deal with suspected truant school children on the premises

This list is not mandatory, nor exhaustive, and is merely indicative of example measures.

The Licensing Authority will, in accordance with the Gambling Commission Guidance, make itself aware of any conditions that may apply to Operator licences covering the way in which the area containing the category C machines should be delineated. The Licensing Authority will ensure that it has due regard to any mandatory or default conditions on these Premises Licences and Codes of Practice and guidance issued by the Gambling Commission when dispensing its functions in relation to licensed Family Entertainment Centres.

The Licensing Authority may determine the opening hours for licensed FEC's, on a case-by-case basis, in the absence of any default conditions addressing this matter.

PART C – PERMITS, TRAVELLING FAIRS AND SOCIETY LOTTERIES

1. UNLICENSED FAMILY ENTERTAINMENT CENTRE (UNLICENSED FEC'S) GAMING MACHINE PERMITS

Unlicensed Family Entertainment Centres (FEC's) are commonly located at seaside resorts, in airports and at motorway service stations, catering for families - including unaccompanied children and young persons.

Where a premises does not hold a Premises Licence but there is an intention to provide gaming machines (category D only), an application may be made to the Licensing Authority for the grant of this permit. The applicant must be an individual aged 18 or over, and he/she must occupy or plan to occupy the relevant premises. The Licensing Authority may only grant a permit where it is satisfied that the applicant intends to use the premises as an unlicensed FEC and where it has consulted the Chief Officer of Police on the application. Any duties on the applicant to comply with other legislation such as fire regulations or Health and Safety are not issues for the Licensing Authority under the Gambling Act 2005.

If the operator of an Unlicensed Family Entertainment Centre intends to make category C machines available, in addition to category D machines, then an application must be made for an Operator Licence from the Gambling Commission and a Premises Licence from the Licensing Authority (see section 24.4 Unlicensed Family Entertainment Centre).

It should be noted that a Licensing Authority cannot attach conditions to this type of permit.

Statement of Principles

The Licensing Authority will expect the applicant to satisfy it that they and their employees can demonstrate a full understanding of the maximum stakes and prizes of the gambling that is permissible in unlicensed FEC's. The applicant is expected to demonstrate that he has considered appropriate measures to promote the licensing objectives, and training for staff on matters such as:

- suspected truant school children on the premises;
- how staff would deal with unsupervised very young children being on the premises;
- children causing problems on or around the premises; and
- maximum stakes and prizes of the gambling that is permissible in unlicensed FEC's

This list is not mandatory, nor exhaustive, and is merely indicative of example measures.

The Chief Officer of Police is a statutory consultee for all such permit applications, and any representations made by him will be considered by the Licensing Authority.

This licensing authority will also expect, as per Gambling Commission Guidance at para 24.9, that applicants can demonstrate:

- a full understanding of the maximum stakes and prizes of the gambling that is permissible in unlicensed FECs;

- that the applicant has no relevant convictions (those that are set out in Schedule 7 of the Act);
- and that staff are trained to have a full understanding of the maximum stakes and prizes.

The Licensing Authority will require the following to be submitted in addition to the application form and fee:

- (1) Proof of the applicant's identity and age;
- (2) Proof of the applicant's right to occupy the premises for which the permit is sought;
- (3) (Where the applicant is an individual) a 'basic' criminal records disclosure dated no earlier than one calendar month on the day the application is received by the Licensing Authority. Where the applicant is a partnership the disclosure must be carried out on all partners. Where the applicant is a company the disclosure must be completed for the company secretary and directors, where applicable. Holders of operating licences issued by the Gambling Commission are exempt from this requirement.
- (4) An insurance certificate (or certified copy) confirming the availability of public liability insurance covering the proposed activity.
- (5) A plan of scale 1:100 of the premises showing:
 - a. The boundary of the premises including any internal and external walls, entrances, exits, doorways and windows, and indicating the points of access available to the public.
 - b. The location of any fixed or temporary structures.
 - c. The location of any counters, booths, offices or other locations from which staff may monitor the activities of persons on the premises.
 - d. The location of any public toilets within the boundary of the premises.
 - e. The location of CCTV cameras.
 - f. The location of any ATM or other cash/change machines.
 - g. The proposed location of the Category 'D' machines.
 - h. Details of non category 'D' machines (e.g. skill with prizes machines)

The Licensing Authority may also require the applicant to provide details of any relevant convictions, (those that are set out in Schedule 7 of the Act), the following documents will be accepted:

- basic Disclosure and Barring Service disclosure; or
- a police subject access search.

Details of up to date application requirements, including any supporting documentation, are available via the Council website at www.southnorfolkandbroadland.gov.uk or directly from the Licensing Team.

2. CLUB GAMING PERMITS

Members Clubs and Miners' welfare institutes (but not commercial Clubs) may apply for a Club

Gaming Permit which authorises the premises to:

- make available for use up to 3 gaming machines of categories B3A to D,
- equal chance gaming (without restriction on the stakes and prizes); and
- games of chance as prescribed by regulations (namely pontoon and chemin de fer).

The gaming which a club gaming permit allows is subject to the following conditions:

In respect of equal chance gaming:

- a. The club must not deduct money from sums staked or won;
- b. The participation fee must not exceed the amount prescribed in regulations;
- c. The game takes place on the premises and must not be linked with a game on another set of premises.

Two games are linked if:

- i. The result of one game is, or may be, wholly or partly determined by reference to the result of the other game;
- ii. The amount of winnings available in one game is wholly or partly determined by reference to the amount of participation in the other game, and a game which is split so that part is played on one site and another part is played elsewhere is treated as two linked games
- iii. Only club members and their genuine guests participate

In respect of other games of chance:

- a. the game must be pontoon and chemin de fer only
- b. no participation fee may be charged otherwise than in accordance with the regulations
- c. no amount may be deducted from sums staked or won otherwise than in accordance with the regulations.

Members clubs must have at least 25 members and be established and conducted 'wholly or mainly' for purposes other than gaming, unless the gaming is permitted by separate regulations. The Secretary of State has made such regulations covering bridge and whist clubs A members' club must be permanent in nature and established and conducted for the benefit of its members and not as a commercial enterprise. Examples include working men's clubs, branches of Royal British Legion and clubs with political affiliations".

A club gaming permit may not be granted in respect of a vehicle or a vessel.

The Licensing Authority may only refuse an application on the grounds that:

- a. the applicant does not fulfil the requirements for a members' club or miners' welfare

- Institute and therefore is not entitled to receive the type of permit for which it has applied;
- b. the applicant's premises are used wholly or mainly by children and/or young persons;
 - c. an offence under the Act or a breach of a permit has been committed by the applicant while providing gaming facilities;
 - d. a permit held by the applicant has been cancelled in the previous ten years; or
 - e. an objection has been lodged by the Gambling Commission or the Police

Where the Licensing Authority is satisfied that (a) or (b) is the case, it must refuse the application. In determining an application the Licensing Authority shall have regard to the relevant guidance issued by the Gambling Commission and, subject to that guidance, the licensing objectives.

Where a permit is granted, the permit holder must comply with statutory conditions:

- no child or young person may use a category B or C machine on the premises; and
- the permit holder must comply with any relevant provision of a code of practice regarding the location and operation of gaming machines.

There is a 'fast-track' procedure available for premises where the club holds a Club Premises Certificate under section 72 of the Licensing Act 2003. Where an application is made under the fast track procedure, there is no opportunity for objections to be made by the Commission or the Police, and the grounds upon which an Authority can refuse a permit are limited as below:

- the club is established primarily for gaming, other than gaming of a prescribed kind
- in addition to the prescribed gaming, the applicant provides facilities for other gaming;
- a club gaming permit or club machine permit issued to the applicant in the last ten years has been cancelled.

There are statutory conditions concerning Club Gaming Permits

3. CLUB MACHINE PERMITS

Members Clubs and Miners' welfare institutes and commercial Clubs may apply for a Club Machine Permit, which enables the premises to make available for use up to 3 gaming machines of categories B4, C and D. Members clubs and Miner's welfare institutes only may also make available for use category B3A machines offering lottery games in the club under a club machine permit.

Members clubs must have at least 25 members and be established and conducted 'wholly or mainly' for purposes other than gaming, unless the gaming is permitted by separate regulations. The Secretary of State has made such regulations covering bridge and whist clubs. A members' club must be permanent in nature and established and conducted for the benefit of its members

and not as a commercial enterprise. Examples include working men's clubs, branches of Royal British Legion and clubs with political affiliations".

Commercial clubs must have at least 25 members but may be established with a view to making a profit, which is not returned to the members, but the proprietor(s) of the club. Examples of commercial clubs include snooker clubs, clubs established for personal profit and most clubs established as private companies.

The Gambling Commission Guidance advises that Licensing Authorities may only refuse an application on the grounds that:

- a. the applicant does not fulfil the requirements for a members' or commercial club or miners' welfare institute and therefore is not entitled to receive the type of permit for which it has applied;
- b. the applicant's premises are used wholly or mainly by children and/or young persons;
- c. an offence under the Act or a breach of a permit has been committed by the applicant while providing gaming facilities;
- d. a permit held by the applicant has been cancelled in the previous ten years; or
- e. an objection has been lodged by the Gambling Commission or the Police

It should be noted that either type of permit may not be issued in respect of a vessel or vehicle.

There is also a 'fast-track' procedure available for premises where the club holds a Club Premises Certificate under section 72 of the Licensing Act 2003 (. As the Gambling Commission Guidance states: "Under the fast-track procedure there is no opportunity for an objection to be made by the Commission or the Police, and the grounds upon which an Authority can refuse a permit are reduced". The grounds on which an application under the process may be refused are that:

- a. the club is established primarily for gaming, other than gaming of a prescribed kind;
- b. in addition to the prescribed gaming, the applicant provides facilities for other gaming;
- c. a club machine permit issued to the applicant in the last ten years has been cancelled.

There are statutory conditions concerning Club Machine Permits that no child or young person may use a category B or C machine on the premises and that the permit holder complies with any relevant provision of a code of practice regarding the location and operation of gaming machines.

4. (ALCOHOL) LICENSED PREMISES GAMING MACHINE PERMITS

The Act makes provision for premises licensed to sell alcohol for general consumption on the premises to be entitled to make available up to 2 gaming machines, of categories C and/or D. The Licensing Act 2003 premises licence holder needs only to notify the Licensing Authority of this intention and pay the prescribed fee. The Licensing Authority may remove the automatic authorisation in respect of any particular premises only if it is satisfied that:

- provision of the machines is not reasonably consistent with the pursuit of the licensing objectives;
- gaming has taken place on the premises that breaches a condition of section 282 of the Gambling Act (i.e. that written notice has been provided to the Licensing Authority, that a fee has been provided and that any relevant code of practice issued by the Gambling Commission about the location and operation of the machine has been complied with);
- the premises are mainly used for gaming; or
- an offence under the Gambling Act has been committed on the premises.

Before making any such order the Licensing Authority shall give the licensee at least 21 days prior notice and consider any representations made by the applicant (at a hearing if requested by the Licence holder).

If a Licensing Act 2003 premises licence holder wishes to use more than 2 gaming machines, then (s)he will need to apply to the Licensing Authority for a permit and the Licensing Authority must consider that application based upon:

- the licensing objectives;
- any guidance issued by the Gambling Commission; and
- “such matters” as it thinks relevant.

This Licensing Authority considers that “such matters” will be assessed on a case by case basis. Generally there will be regard to the need to protect children and vulnerable persons from harm or being exploited by gambling.

This permit replaces, and is not in addition to, the automatic entitlement notification.

The Licensing Authority expects the applicant to satisfy it that there will be sufficient measures in place to ensure that persons under the age of 18 do not have access to the adult only category C gaming machines. The applicant may consider appropriate measures to comply with Gambling Commission Codes of Practice and monitor access to machines. This may include:

- ensuring that the adult gaming machines are within sight of the bar, or within the sight of staff who can monitor that the machines are not being used by persons under the age of 18;
- Notices and signage may also be an appropriate measure/safeguard;
- the provision of information leaflets / helpline numbers for organisations that give support to vulnerable persons such as GamCare and Gamble Aware.

The holder of a permit must comply with any relevant code of practice issued under section 24 of the Act by the Gambling Commission concerning the location and operation of the gaming machines.

It should be noted that the Licensing Authority can and may decide to grant the application with a smaller number of machines and/or a different category of machines than that applied for.

Conditions (other than these) cannot be attached to the grant of this permit.

There is a similar mechanism for applying to vary the number and category of machines specified on an existing permit.

5. PRIZE GAMING AND PRIZE GAMING PERMITS

Statement of principles:

The prize gaming conditions in the Act are:

- the limits on participation fees, as set out in regulations, must be complied with;
- all chances to participate in the gaming must be allocated on the premises on which the gaming is taking place and on one day; the game must be played and completed on the day the chances are allocated; and the result of the game must be made public in the premises on the day that it is played;
- the prize for which the game is played must not exceed the amount set out in regulations (if a monetary prize), or the prescribed value (if non-monetary prize); and
- participation in the gaming must not entitle the player to take part in any other gambling.

It should be also noted that this permit cannot be issued in respect of a vessel or vehicle.

An application may only be made by an individual over the age of 18, who occupies or plans to occupy the relevant premises. An application for a permit cannot be made if a premises licence or club gaming permit is already in effect for the same premises.

The Licensing Authority will expect the applicant to satisfy the Authority that they and their employees can demonstrate a full understanding of the maximum stakes and prizes for the gaming offered and that the type of gaming offered is within the law. The applicant will normally be required to set out the types of gaming that he/she is intending to offer, and may wish to consider appropriate measures to promote the licensing objectives, and training for staff on:

- the type of gaming which they intend to provide; and
- the stakes and prizes which apply under the regulations relevant to the type of gaming they intend to offer.

This list is not mandatory, nor exhaustive, and is merely indicative of example measures.

In making its decision on an application for this permit the Licensing Authority may have regard to the licensing objectives and must have regard to any Gambling Commission Guidance. Given that the premises may be particularly appealing to children and young persons, the Licensing Authority will give appropriate weight to the consideration of child protection matters and may consult with the Safeguarding Children Board where necessary.

The Chief Officer of Police is a statutory consultee for all such permit applications. Any

representations made by the Chief Officer of Police which are relevant to the licensing objectives will be considered by the Licensing Authority relevant considerations may include:

- whether the applicant has any convictions that would render them unsuitable to operate prize gaming, or
- the suitability of the location of the premises in relation to any disorder concerns.

This list is not mandatory, nor exhaustive, and is merely indicative of example measures.

It should be noted that whilst there may be conditions in the Gambling Act 2005 and Gambling Commission codes of practice (including on social responsibility) with which the permit holder must comply, the Licensing Authority cannot attach conditions to this permit. Where the Authority is minded to refuse a permit application it will notify the applicant and allow the opportunity for the applicant to make representations (which may be considered at a hearing).

6. TRAVELLING FAIRS

It is the duty of the Licensing Authority to decide whether, where category D machines and / or equal chance prize gaming without a permit are made available for use at travelling fairs, the statutory requirement that the facilities for gambling amount to no more than an ancillary amusement at the fair is met.

The Licensing Authority will carefully consider whether an operator falls within the statutory definition of a travelling fair (provided by section 286 of the Act) and be 'wholly or principally' providing amusements.

The 27-day statutory maximum for the land being used as a fair is per calendar year, and that this applies to the piece of land on which the fairs are held regardless of whether it is the same or different travelling fairs occupying the land. The Licensing Authority shall endeavour to work with neighbouring authorities to ensure that land which crosses district/borough boundaries is monitored so that the statutory limits are not exceeded.

7. SOCIETY LOTTERIES

The Council as the local authority is responsible for registering small society lotteries. A lottery is defined under the Act and in the guidance as:

a simple lottery if:

- persons are required to pay to participate
- one or more prizes are allocated to one or more members of a class
- the prizes are allocated by a process which relies wholly on chance

a complex lottery if:

- persons are required to pay to participate
- one or more prizes are allocated to one or more members of a class

- the prizes are allocated by a series of processes
- the first of those processes relies wholly on chance

A society, or any separate branch of such a society, may be registered by the council to promote a small lottery where it is established and conducted:

- for charitable purposes
- for the purpose of enabling participation in , or of supporting, sport, athletics or a cultural activity;
- for any other non-commercial purpose other than private gain;
- and the proceeds of the lottery must be devoted to the purposes above.

The society must not be established for the sole purpose of facilitating lotteries.

The Council may only register a society which wishes to promote a small lottery where the society's *principal office* is located within its area. If the Council believes that the society's principal office does not fall within its boundaries it will inform the society and relevant authority at the earliest opportunity.

A small lottery is defined in the Act and the current limits are published on the Gambling Commission website. Definitions of exempt lotteries are also published at this address.

The Council will expect the society applying to register with it supply a copy of its terms conditions or constitution to enable it to establish that the society is non- commercial, together with a declaration to the effect that it is non-commercial.

Details of societies registered by the council will be published in a register maintained by the Council. The registration is for an indefinite period unless the registration is cancelled by:

- the society; or
- the council on failure of the society to pay the annual charge.

The council may refuse to register a small society lottery where:

- an operating licence held by the applicant for registration has been revoked or an application for an operating licence made by the applicant for registration has been refused;
- the society cannot be deemed non-commercial
- a person who will or may be connected with the promotion of the lottery has been convicted of a relevant offence;
- information provided in or with the application for registration is found to be false or misleading.

Where the Council proposes to refuse to register a small society lottery it will give the society an opportunity to make representations in writing or at a hearing. The Council will notify the society in writing of the outcome of the hearing and the reasons for the decision.

The Council may revoke a society lottery registration where it considers that it would have had to, or would be entitled to refuse an application if it were to be made at that time.

DRAFT

TABLE OF DELEGATIONS OF LICENSING FUNCTIONS

MATTER TO BE DEALT WITH	FULL COUNCIL	LICENSING COMMITTEE OR SUB COMMITTEE	OFFICERS/ HEAD OF SERVICE
Three year licensing policy	✓		
Policy not to permit casinos	✓		
Fee Setting - when appropriate			Head of Service or equivalent
Application for premises licences		Where representations have been received and not withdrawn	Where no representations received/ representations have been withdrawn
Application for a variation to a licence		Where representations have been received and not withdrawn	Where no representations received/ representations have been withdrawn
Application for a transfer of a licence		Where representations have been received from the Commission	Where no representations received from the Commission
Application for a provisional statement		Where representations have been received and not withdrawn	Where no representations received/ representations have been withdrawn
Review of a premises licence		✓	
Application for club gaming /club machine permits		Where representations have been received and not withdrawn	Where no representations received/ representations have been withdrawn
Cancellation of club gaming/ club machine permits		✓	
Applications for other permits			✓
Cancellation of licensed premises gaming machine permits			✓
Consideration of temporary use notice			✓
Decision to give a counter notice to a temporary use notice		✓	

LIST OF CONSULTEES

List of persons this authority consulted:

- Norfolk Constabulary
- Norfolk Fire Service
- Social Services and Trading Standards, Norfolk County Council
- Norfolk Local Safeguarding Children Board
- HM Revenue and Customs
- Maritime Coastguard Agency and The Broads Authority
- The Environment Agency
- Legal Services Department, Norfolk County Council
- Broadland Business Forum and Norfolk Chamber of Commerce and Industry
- Association of British Bookmakers
- BACTA
- British Beer and Pub Association
- British Holiday and Home Parks Association
- Gamblers Anonymous
- Racecourse Association Ltd
- Responsible Gambling Trust t/a Gambleaware
- Gamcare
- Gambling Commission
- National Casino Industry Forum
- The Bingo Association
- Gaming machine suppliers
- Abbotts Leisure Park Ltd
- Head offices of Ladbrokes Coral, William Hill and Betfred and Local betting shops
- Broadland Councillors, Town & Parish Councils within Broadland
- Broadland District Council Heads of Department, Directors and Chief Executive
- Relevant licence holders in the Broadland district.

Gambling Act 2005

Draft Revised Statement of Principles (Policy Statement)

Key Proposed Changes

Amendments have been made to the policy in accordance with the amendments within the Guidance insofar as they relate to the Authority's Gambling Statement of Principles.

Some changes have been made where the wording has been amended in accordance with the below list or to simplify the wording of the policies.

There are no proposed material changes to the Authority's processes. Fundamentally the policy has not made any amendments as to how the Authority deals with licensing applications under the Gambling Act 2005.

Amendments to the Gambling Commission Guidance to Licensing Authorities:

(Note: Paragraph numbers refer to the paragraphs in the Gambling Commission Guidance, not the Statement of Principles)

Added Part 1 - General guidance on the role and responsibilities of licensing authorities in gambling regulation - Primary legislation - 1.14 & 1.19

Added Part 16: Gaming machines - The meaning of 'available for use' - 16.17, 16.18, 16.19, 16.20, 16.21, 16.22, 16.23, 16.24, 16.25 and 16.26

Added Part 17: Casinos - Controlling where gaming machines may be played – casino - 17.58

Added Part 18: Bingo - Gaming machines - 18.8

Added Part 19: Betting premises - Gaming machines - 19.5

Added Part 21: Adult gaming centres - Self-exclusion - 21.4

Added Part 34: Small society lotteries - Application and registration process for small society lotteries - 24.29

Added Appendix I: Glossary of terms – OPSS

Amended Part 1: General guidance on the role and responsibilities of licensing authorities in gambling regulation: Co-ordination and contact – 1.10

Amended Part 1: General guidance on the role and responsibilities of licensing authorities in gambling regulation: Primary legislation – 1.18

Amended Part 2: The licensing framework – Introduction - 2.3

Amended Part 3: The Gambling Commission - Main functions of the Commission - 3.5

Amended Part 3: The Gambling Commission - Relationship between the Commission and licensing authorities - 3.9 and 3.10

Amended Part 6: Licensing authority policy statement - Local risk assessments - 6.44

Amended Part 6: Licensing authority policy statement - Consultation process - 6.58

Amended Part 7: Premises licences - Applications - 7.41

Amended Part 8: Responsible authorities and interested parties definitions - Responsible authorities - 8.8

Amended Part 9: Premises licence conditions - S.179 – Pool betting - 9.16

Amended Part 15: Occasional use notices - Introduction - 15.1

Amended Part 15: Occasional use notices - Use (and misuse) of OUNs 15.4

Amended Part 18: Bingo - Gaming machines - 18.8

Amended Part 20: Tracks - Definition of a track - 20.5

Amended Part 20: Tracks - Betting on tracks - 20.16, 20.18, 20.19 and 20.20

Amended Part 20: Tracks - Applications - 20.55

Amended Part 20: Tracks - Pool betting - 20.64

Amended Part 21: Adult gaming centres - Gaming machine - 21.5

Amended Part 24: Unlicensed family entertainment centres - Introduction - 24.2

Amended Part 25: Clubs - Permits - 25.54

Amended Part 29: Poker - Advertising - 29.52

Amended Part 34: Small society lotteries - Application and registration process for small society lotteries - 34.40 and 34.41

Amended Part 36: Compliance and enforcement matters - Powers of entry in Scotland - 36.18, 39.19 and 36.20

Amended Part 36: Compliance and enforcement matters - Illegal gambling - 36.25

Amended Part 36: Compliance and enforcement matters - Test purchasing and age verification - 36.32

Amended Appendix I: Glossary of terms - DCMS changed to Department for Digital Culture Media and Sport

Removed Part 1: General guidance on the role and responsibilities of licensing authorities in gambling regulation - Co-ordination and contact - 1.11 and 1.12

Removed Part 13: Information exchange - Information the Commission makes available to licensing authorities - 13.18

Removed Part 16: Gaming machines - The meaning of 'available for use' - 16.17, 16.18, 16.19, 16.20, 16.21 and 16.22

Removed Part 29: Poker - Advertising - 29.53 and 29.54

Removed Part 36: Compliance and enforcement matters - Illegal gambling - 36.22

Removed Appendix I: Glossary of terms - BRDO

Appendix 3

Guidance to licensing authorities

Our guidance for licensing authorities.

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Changes to the Guidance for Licensing Authorities

1. April 2021 Update

Added Part 1 - General guidance on the role and responsibilities of licensing authorities in gambling regulation - Primary legislation - 1.14 & 1.19

Added Part 16: Gaming machines - The meaning of 'available for use' - 16.17, 16.18, 16.19, 16.20, 16.21, 16.22, 16.23, 16.24, 16.25 and 16.26

Added Part 17: Casinos - Controlling where gaming machines may be played – casino - 17.58

Added Part 18: Bingo - Gaming machines - 18.8

Added Part 19: Betting premises - Gaming machines - 19.5

Added Part 21: Adult gaming centres - Self-exclusion - 21.4

Added Part 34: Small society lotteries - Application and registration process for small society lotteries - 24.29

Added Appendix I: Glossary of terms – OPSS

Amended Part 1: General guidance on the role and responsibilities of licensing authorities in gambling regulation: Co-ordination and contact – 1.10

Amended Part 1: General guidance on the role and responsibilities of licensing authorities in gambling regulation: Primary legislation – 1.18

Amended Part 2: The licensing framework – Introduction - 2.3

Amended Part 3: The Gambling Commission - Main functions of the Commission - 3.5

Amended Part 3: The Gambling Commission - Relationship between the Commission and licensing authorities - 3.9 and 3.10

Amended Part 6: Licensing authority policy statement - Local risk assessments - 6.44

Amended Part 6: Licensing authority policy statement - Consultation process - 6.58

Amended Part 7: Premises licences - Applications - 7.41

Amended Part 8: Responsible authorities and interested parties definitions - Responsible authorities - 8.8

Amended Part 9: Premises licence conditions - S.179 – Pool betting - 9.16

Amended Part 15: Occasional use notices - Introduction - 15.1

Amended Part 15: Occasional use notices - Use (and misuse) of OUNs 15.4

Amended Part 18: Bingo - Gaming machines - 18.8

Amended Part 20: Tracks - Definition of a track - 20.5

Amended Part 20: Tracks - Betting on tracks - 20.16, 20.18, 20.19 and 20.20

Amended Part 20: Tracks - Applications - 20.55

Amended Part 20: Tracks - Pool betting - 20.64

Amended Part 21: Adult gaming centres - Gaming machine - 21.5

Amended Part 24: Unlicensed family entertainment centres - Introduction - 24.2

Amended Part 25: Clubs - Permits - 25.54

Amended Part 29: Poker - Advertising - 29.52

Amended Part 34: Small society lotteries - Application and registration process for small society lotteries - 34.40 and 34.41

Amended Part 36: Compliance and enforcement matters - Powers of entry in Scotland - 36.18, 39.19 and 36.20

Amended Part 36: Compliance and enforcement matters - Illegal gambling - 36.25

Amended Part 36: Compliance and enforcement matters - Test purchasing and age verification - 36.32

Amended Appendix I: Glossary of terms - DCMS changed to Department for Digital Culture Media and Sport

Removed Part 1: General guidance on the role and responsibilities of licensing authorities in gambling regulation - Co-ordination and contact - 1.11 and 1.12

Removed Part 13: Information exchange - Information the Commission makes available to licensing authorities - 13.18

Removed Part 16: Gaming machines - The meaning of 'available for use' - 16.17, 16.18, 16.19, 16.20, 16.21 and 16.22

Removed Part 29: Poker - Advertising - 29.53 and 29.54

Removed Part 36: Compliance and enforcement matters - Illegal gambling - 36.22

Part 1: General guidance on the role and responsibilities of licensing authorities in gambling regulation

Introduction

1.1 When the Gambling Act 2005 ([opens in new tab](#)) (the Act) came into force in late 2007, it brought in a new, comprehensive system for gambling regulation in Great Britain. For the first time, the vast majority of commercial gambling was brought together into a single regulatory framework. The Act established a dedicated regulator, at a national level, in the form of the Gambling Commission (the Commission). But it also recognised the potential local impact and importance of gambling. So it created many local regulators, whose job it is to manage gambling locally, in line with local circumstances. Those regulators are the 368 licensing authorities of England, Wales and Scotland. In doing so, the Act established a strong element of local decision-making and accountability in gambling regulation.

1.2 The Act gives local regulators discretion to manage local gambling provision, including discretion as to the level of fees set to cover the cost of administering the local system of regulation within limits set by The Department for Digital Culture Media and Sport (DCMS) in England and Wales¹. It sets out some boundaries to that discretion, consistent with the recognition of gambling as a mainstream leisure activity.

1.3 The Act also provides scope for the Commission to act to set an overall direction at national level, while leaving licensing authorities in the lead locally, with appropriate support from the Commission. This Guidance, to which licensing authorities must have regard, is an important part of those arrangements.

Partnership working between the Commission and licensing authorities – shared regulation

1.4 The Commission works in partnership with licensing authorities to regulate gambling. In doing so, the Commission will tend to focus on operators and issues of national or regional significance, and licensing authorities will take the lead on regulating gambling locally. The Commission and licensing authorities may work directly together on particular issues, for example where it may establish a precedent or help build capacity and learning to be rolled out more widely.

1.5 The Commission draws on, and shares, the intelligence and insights of its regulatory partners, in particular licensing authorities, who may well be better positioned to identify emerging risks to the licensing objectives or instances of illegality which can start at a local level. By working closely together we are able

to prevent such risks growing into a more widespread problem and to ensure that both the Commission and licensing authority resources are used efficiently.

1.6 In the Commission's view, the statutory duty to aim to permit gambling, subject to reasonable consistency with the licensing objectives, is best delivered through partnership working between industry and regulator, including licensing authorities. Licensing authorities should aim to work with local businesses to reduce the risk to the licensing objectives to acceptable levels. The Act does not envisage regulation by either the Commission or licensing authorities being aimed at preventing legitimate gambling.

1.7 Further, the Commission was not established, and is not resourced, to lead on local gambling regulation. Licensing authorities have the power to collect fees, subject to statutory maxima, to cover the costs of local gambling regulation. In addition, local regulation is more cost effective and licensing authorities are better placed to understand and manage local issues. So, while the Commission aims to adopt a position of support and assistance for licensing authorities in carrying out their functions, that is in the context of licensing authorities taking the lead on local regulation of gambling.

1.8 This is reflected in the Commission's approach to representations on premises licence applications. Neither licensing authorities nor operators should take the absence of a specific representation on particular application as indicating the Commission's approval of that application. However, 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 licence review. The Commission may also comment on an application if it has particular observations about an operator. The Commission will aim to work with the relevant licensing authority in formulating any representation it wishes to make.

1.9 In many instances, effective outcomes will depend on close co-operation and communication between the Commission and licensing authorities. Ultimately, however, the responsibility for every licensing decision rests with the licensing authority itself, in line with the principle of local accountability.

Co-ordination and contact

1.10 The Commission works with national bodies such as the Local Government Association (LGA) ([opens in new tab](#)), The Institute of Licensing (IoL) ([opens in new tab](#)), The Convention of Scottish Local Authorities (COSLA) ([opens in new tab](#)), the Society of Local Authority Lawyers and Administrators in Scotland (SOLAR) ([opens in new tab](#)), The Welsh Local Government Association (WLGA) ([opens in new tab](#)) and others to share intelligence and good practice as well as regular updates on gambling related matters. The Commission also provides a regular update via the LA Bulletin, e learning modules, a dedicated section of the website², inspection templates and quick guides. Resource permitting we offer support for specific cases of compliance and enforcement as well as the delivery of training and awareness raising sessions throughout GB.

1.11 Since the Act was introduced a great deal of collective experience and insight has been developed, enabling licensing authorities and the Commission to fulfil their roles within the shared regulatory system more effectively and efficiently. Case studies available in the LA toolkit provide examples of successful multi-agency initiatives undertaken by the Commission and its regulatory partners.

1.12 – Licensing Authorities and their public health colleagues should be aware that there exists a National Strategy to Reduce Gambling Harms³. Experience suggests that close working between the teams can deliver important results in protecting the third licensing objective of 'protecting children and other

vulnerable persons from being harmed or exploited by gambling'. A database of national, regional and local initiatives can be found on the Commission website⁴.

Primary legislation

1.13 The primary legislation governing gambling in Great Britain is the Gambling Act 2005 (opens in new tab). It covers England, Wales and Scotland, but not Northern Ireland, which has its own arrangements.

1.14 The overall approach of the Act is to state that gambling is unlawful in Great Britain, unless permitted by:

- the measures contained in the Act, in relation to most commercial gambling
- the measures contained in the National Lottery etc Act 1993 (opens in new tab), in the case of the National Lottery
- the measures contained in the Financial Services and Markets Act 2000 (opens in new tab), in the case of spread betting. This approach should be considered in the context of the statutory aim to permit gambling, as set out at paragraph 1.20 below

1.16 The Act establishes two comprehensive offences: providing facilities for gambling or using premises for gambling without the appropriate permission. Such permission may come from a licence, permit, or registration granted in accordance with the Act or from an exemption given by the Act. Where authority to provide facilities for gambling is granted, it is subject to varying degrees of regulation, depending on the type of gambling, the means by which it is conducted, and the people by whom and to whom it is offered.

1.17 The Act is designed, as far as possible, to be flexible and future-proof. In practice, this means that in many areas the Act sets a framework, with more detailed rules set out in regulations made under the Act.

1.18 In addition, the Gambling (Licensing and Advertising) Act 2014 (opens in new tab) came into force on 1 November 2014 and amends the Act. It requires remote gambling operators selling into the British market, whether based here or abroad, to hold a Commission licence to enable them to transact with British consumers. The Act (as amended) has implications for **remote** operators and does not impact the powers or authority of licensing authorities.

1.19 The Gambling Act 2005 permits the advertising of gambling in all forms, provided that it is legal and there are adequate protections in place to prevent such advertisements undermining the licensing objectives. The Advertising Standards Authority (ASA) is the UK's independent regulator of advertising. It enforces the UK Advertising Codes (the Codes), written by the Committees of Advertising Practice. The Codes cover the content and placement of advertising and are designed to ensure that advertisements for gambling products are socially responsible, with particular regard to the need to protect children, young persons under 18 and other vulnerable persons from being harmed or exploited. The Codes also require that advertisements for gambling products or services do not mislead. Any complaint about the content and placement of advertising or marketing communications should be sent directly to the ASA.

Statutory aim to permit gambling

1.20 The Act places a legal duty on both the Commission and licensing authorities to aim to permit gambling, in so far as it is considered to be reasonably consistent with the pursuit of the licensing objectives. The effect of this duty is that both the Commission and licensing authorities must approach

their functions in a way that seeks to regulate gambling by using their powers, for example, powers to attach conditions to licences, to moderate its impact on the licensing objectives rather than by starting out to prevent it altogether.

The licensing objectives

1.21 The three licensing objectives (s.1 of the Act) which guide the way that the Commission and licensing authorities perform their functions and the way that gambling businesses carry on their activities, 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

1.22 The Commission and licensing authorities have a duty to pursue the licensing objectives, and we expect gambling business to deliver them.

Codes of practice

1.23 The Commission has the power to issue two types of code of practice. The first is a social responsibility (SR) code. A SR code must be followed and has the force of a licence condition. The Commission may also issue ordinary codes (OC) which are intended to set out best industry practice. They are not mandatory but operators are expected to follow them unless they have alternative arrangements in place that they can demonstrate are equally effective.

1.24 S.153 of the Act requires licensing authorities, in exercising their functions, to have regard to any code of practice issued by the Commission. A full version of the Commission's Licence conditions and codes of practice (LCCP) is available on the Commission's website.

Licensing authority discretion (s.153 of the Act)

1.25 Licensing authorities have discretion to regulate local provision of gambling and the Act gives wide-ranging powers to do so. Those include the power:

- to issue a statement of licensing policy, setting expectations about how gambling will be regulated in a particular area
- to grant, refuse and attach conditions to premises licences
- to review premises licences and attach conditions or revoke them as a result.

1.26 In exercising its functions under the Act, s.153 states that the licensing authority shall aim to permit the use of premises for gambling in so far as it thinks it:

- a. in accordance with any relevant code of practice under s.24
- b. in accordance with any relevant guidance issued by the Commission under s.25
- c. reasonably consistent with the licensing objectives (subject to a and b above)

- d. in accordance with the licensing authority's statement of licensing policy (policy statement) (subject to a to c above).

1.27 The 'aim to permit' framework provides wide scope for licensing authorities to impose conditions on a premises licence, reject, review or revoke premises licences where there is an inherent conflict with the relevant codes of practice, relevant guidance issued by the Commission, the licensing objectives or the licensing authorities own policy statement.

1.28 Licence conditions are one method by which it is possible to mitigate risks associated with a particular premises. The imposition of licence conditions might be prompted by locality specific concerns, for example the proximity of gambling premises to a school.

1.29 However, licensing authorities may also wish to have proactive engagement with local operators to mitigate risks to the licensing objectives. Such engagement can facilitate an open and constructive partnership which, in turn, can improve compliance and reduce regulatory costs. Engagement with operators should be prompted by justifiable concerns or in pursuit of the principles set out under s.153.

1.30 To reflect the breadth of licensing authority discretion, they are entitled to request such information from operators as they may require to make effective licensing decisions. The Act requires that an application must be accompanied by a minimum level of information (detailed in Part 7 of this guidance). In the Commission's view, however, this does not preclude reasonable requests from licensing authorities for additional information to satisfy themselves that their licensing decision is reasonably consistent with the licensing objectives and the Commission's codes. That information may include, for example, a suitable business plan or the operator's own assessment of risk to the licensing objectives locally.

Local risk assessments

1.31 To improve the exchange of information between licensing authorities and operators, the Commission has introduced SR code provisions that require operators of premises-based businesses to conduct local risk assessments (SR 10.1.1), and an ordinary code provision that says licensees should share their risk assessments with licensing authorities in certain circumstances (OC 10.1.2).

Licensing authority policy statement

1.32 The statement of licensing policy is a very important part of the architecture of local gambling regulation and it is expected that licensing authorities will use it to set out the local issues, priorities and risks that inform and underpin its approach to local regulation.

1.33 It provides the opportunity for licensing authorities to agree and set out how gambling is to be managed in different parts of the local authority area to deal with local concerns and issues. It provides clarity of expectation for licensees and prospective licensees about how their businesses are likely to be treated in different localities. The existence of a clear and agreed policy statement will provide greater scope for licensing authorities to work in partnership with local businesses, communities, and responsible authorities to identify and mitigate local risks to the licensing objectives.

1.34 The policy statement is the primary vehicle for setting out the licensing authority's approach to regulation having taken into account local circumstances. It ensures that operators have sufficient

awareness and understanding of the relevant licensing authority's requirements and approach, including its' view on local risks, to help them comply with local gambling regulation.

1.35 More detail on licensing authorities' statement of licensing policy is set out at Part 6 of this guidance.

Limits on licensing authority discretion

1.36 Licensing authorities are subject to some specific constraints in exercising their functions. As set out at paragraph 1.25, s.153 of the Act provides that licensing authorities shall aim to permit the use of premises for gambling in so far as they think it in accordance with the principles set out in s.153(a) to (d).

1.37 Therefore a licensing authority has no discretion to grant a premises licence where that would mean taking a course which it did not think accorded with the Guidance contained in this document, any relevant Commission code of practice, the licensing objectives or the licensing authority's own policy statement.

1.38 In addition, the Act makes specific reference to factors that must not be considered by a licensing authority in exercising its functions under s.153:

- the expected demand for facilities (s.153(2))
- whether the application is to be permitted in accordance with law relating to planning or building (s.153(1))

Other powers

1.39 As stated, licensing authorities have a broad discretion to regulate local provision of gambling and they have similar regulatory powers to the Commission with respect to their licensees, including the power to impose conditions and to review licences. They are not able to impose financial penalties but can impose fees relating to the costs of local regulation. They also have wider powers under legislation such as the Licensing Act 2003 ([opens in new tab](#)).

1.39 The Act gives licensing authorities a number of other important regulatory functions in relation to gambling. Their main functions are to:

- licence premises for gambling activities
 - consider notices given for the temporary use of premises for gambling
 - grant permits for gaming and gaming machines in clubs and miners' welfare institutes
 - regulate gaming and gaming machines in alcohol-licensed premises
 - grant permits to family entertainment centres (FECs) for the use of certain lower stake gaming machines
 - grant permits for prize gaming
 - consider occasional use notices for betting at tracks
 - register small societies' lotteries.
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Part 2: The licensing framework

Introduction

The Act creates three types of licence:

- operating licences, which are required by businesses in order to provide gambling facilities lawfully
- personal licences, which are required by some people working in the gambling industry
- premises licences, which are required to authorise premises to provide gambling facilities.

2.2 The Commission has responsibility for granting operating and personal licences for commercial gambling operators and personnel working in the industry.

2.3 Licensing authorities have responsibility for licensing gambling premises within their area, as well as undertaking functions in relation to lower stake gaming machines in clubs and miners' welfare institutes. In England and Wales, local authorities have these responsibilities; in Scotland they have been given to licensing boards. The Act also provides a system of temporary and occasional use notices. These enable licensing authorities to authorise premises that are not licensed generally for gambling purposes, to be used for certain types of gambling for limited periods. Parts 14 and 15 provide more information on temporary and occasional use notices.

Operating licences

Types of operating licence

2.4 There are various types of operating licence, linked to different types of gambling activity. S.65 of the Act sets out the types of operating licence that may be issued. Some types of gambling activity may be provided remotely, for example over the internet (online gambling) or telephone, or non-remotely such as in land-based premises. Some types of licence provide additional permissions, for example to make particular numbers and types of gaming machine available.

2.5 Different activities may be authorised by a single operating licence (a combined operating licence) but a single licence cannot authorise both remote and non-remote activity. The different types of licence and their associated permissions are summarised in the table below:

Type of licence	Non-remote gambling authorised	Remote gambling authorised
Casino operating licence	Yes	Yes
Bingo operating licence	Yes	Yes

Type of licence	Non-remote gambling authorised	Remote gambling authorised
General betting operating licence	Yes	Yes
Pool betting operating licence	Yes	Yes
Betting intermediary operating licence	Yes	Yes
Gaming machine general operating licence for an adult gaming centre	Yes	
Gaming machine general operating licence for a family entertainment centre	Yes	
Gaming machine technical operating licence	Yes	Yes [†]
Gambling software operating licence	Yes	Yes [†]
Lottery operating licence	Yes	Yes

2.6 Operating licences are not transferable. However, there are provisions in the Act which deal with circumstances in which control of a company changes hands.

How operating licences are granted

2.7 The Commission, like licensing authorities, has a statutory duty to permit gambling in so far as it thinks reasonably consistent with the licensing objectives. In considering whether to grant an operating licence, and any conditions that may be attached, the Commission has regard to the licensing objectives, and to the suitability of the applicant, in terms of integrity, competence and finances (including source of finance). The Commission also takes into account the business model proposed and its likely compatibility with the law and the licensing objectives. Putting forward a business model that is incompatible with the licensing objectives is likely to lead to questions of the operator's suitability.

2.8 More detail is available in the Commission's Policy Statement for Licensing, Compliance and Enforcement.

Operating licence conditions and codes

2.9 Conditions covering a range of matters may be attached to operating licences. Some conditions are set out on the face of the Act, such as the mandatory conditions relating to society lotteries at s.99. The Secretary of State has powers under s.78 of the Act to apply conditions to a class of operating licence – for example, the condition that regulates the number of playing positions at wholly automated roulette tables in casinos. The Commission also has powers to attach conditions either to a class of operating licences, or an individual licence.

2.10 Breaching a licence condition is a criminal offence, although the Commission will default to its regulatory rather than criminal powers when considering such a breach. Those powers include warnings, unlimited fines and suspension or revocation of the licence.

2.11 The Commission also has the power to issue two type of code. The first is a social responsibility (SR) code. An SR code must be followed and has the force of a licence condition. The Commission may also issue ordinary codes (OC), which are intended to set out best industry practice. They are not mandatory

but operators are expected to follow them unless they have alternative arrangements in place that they can demonstrate are at least equally effective.

Personal licences

2.12 The purpose of the personal licence is to ensure that individuals who control facilities for gambling or are able to influence the outcome of gambling, are directly accountable to the Commission. The Commission can impose licence conditions that are specific to personal licences. Such conditions include requirements that the holder takes reasonable steps to avoid causing a breach of an operating licence, keeps up to date with developments in gambling legislation or guidance, and informs the Commission of certain specified key events.

2.13 Outside the casino industry, personal licences are usually held by people in key management positions like strategy, marketing, finance and compliance. In the casino industry, people providing the day to day gambling such as croupiers, also currently need a personal licence.

2.14 Some licences are subject to a requirement that at least one member of management holds a personal licence. This does not apply to small-scale operators, as defined in regulations made by the Secretary of State, who are exempt from the obligation. SI 2006/3266: Reg 2 of the Gambling Act 2005 (Definition of small-scale operator) Regulations 2006.

Premises licences

2.15 Where an individual or company uses premises, or causes or permits premises to be used, to offer gambling, they will also need to apply for a premises licence. Detailed information concerning premises licences can be found in Parts 7, 9 and 10 of this guidance.

2.16 Premises licences, and the regulatory tools associated with them, are a key means by which licensing authorities can ensure that risks to the licensing objectives are mitigated effectively.

2.17 Premises licences can be granted without conditions or subject to conditions, and can be reviewed or revoked by the licensing authority. Part 9 of this guidance provides some illustrations of how licence conditions have been used by licensing authorities in a range of circumstances and a non-exhaustive list of premises licence conditions is provided at Appendix F of this guidance.

2.18 Premises licences are issued by the licensing authority with responsibility for the area in which the premises are situated and may authorise the provision of facilities on:

- casino premises
- bingo premises
- betting premises, including tracks
- adult gaming centres
- family entertainment centres.

2.19 Except in the case of tracks (where the occupier of the track who holds the premises licence may not be the person who actually offers the gambling), premises licences may only be issued to those who hold a relevant operating licence, or who have applied for one. Premises licences may be transferred to someone else holding a valid operating licence.

2.20 In addition to licences, there are other forms of authorisation that a licensing authority may grant, for example, authorisations for the temporary use of premises, occasional use notices and different permits for unlicensed family entertainment centres, prize gaming, gaming machines on alcohol-licensed premises and club gaming and club machine permits.

Part 3: The Gambling Commission

Introduction

3.1 The Commission is a non-departmental public body sponsored by the Department for Digital, Culture, Media and Sport (opens in new tab). It is governed by a board of Commissioners appointed by the Secretary of State. The Commission is publicly funded, although its funding is derived in the main from licence fees that holders of operating and personal licences are required to pay, rather than coming from the Exchequer.

3.2 In common with licensing authorities, the Commission has a statutory duty to pursue and have regard to the licensing objectives as set out in s.1 of the Act, and to permit gambling so far as it thinks is reasonably consistent with them.

3.3 The Commission is required to publish and consult on a Statement of Principles for Licensing and Regulation which sets out how the Commission approaches its regulatory and other functions under the Act.

Main functions of the Commission

For the purposes of this guidance, the Commission has the following principle statutory functions:

- issuing operating and personal licences to gambling businesses and individuals occupying certain positions in the gambling industry, with appropriate conditions, and ensuring that holders of licences adhere to their terms
- publishing codes of practice
- publishing statutory guidance to licensing authorities.

3.5 The Commission also has a duty to advise the Secretary of State on gambling and its regulation. To ensure that the Commission is well placed to provide such advice, it monitors developments in gambling in Great Britain and in other jurisdictions. It works closely with a range of regulatory partners, including licensing authorities, the Advertising Standards Authority (opens in new tab), the Information Commissioner's Office (opens in new tab), Ofcom (opens in new tab), and with stakeholders including the industry itself, faith and community groups, those with lived experience of gambling harm, government departments and bodies working in the field of gambling research.

Relationship between the Commission and licensing authorities

3.6 The Commission works jointly with its regulatory partners to pursue the licensing objectives. The Commission's approach is one of partnership building and collaboration through proactive engagement, regular up to date advice and support such as quick guides and the LA Bulletin as well as intelligence sharing.

3.7 The Commission draws on the intelligence and insights of its regulatory partners, in particular licensing authorities, who may well be better positioned to identify emerging risks to the licensing objectives, or instances of illegality which can start at a local level. By working closely together we are able to prevent such risks growing into a more widespread problem and to ensure that both Commission and licensing authority resources are used efficiently.

3.8 Since the Act was introduced a great deal of collective experience and insight has been developed, enabling licensing authorities and the Commission to discharge their separate, but sometimes overlapping, functions both more effectively and more efficiently. This ongoing collaboration is vital in ensuring that compliant operators understand the requirements of the regulatory framework and that where non-compliance and illegality occur, appropriate sanctions are applied to deter others and uphold the licensing objectives. Case studies available in the LA toolkit provide examples of successful multi-agency initiatives undertaken by the Commission and its regulatory partners.

3.9 In addition to the Commission's LA bulletin that provides a summary of the key issues affecting licensing authorities, we also provide support and guidance on specific issues at forums and training events. The Commission also produces e learning modules, inspection templates and quick guides. Resource permitting we offer support for specific cases of compliance and enforcement as well as the delivery of training and awareness raising sessions throughout Great Britain.

3.10 At a headline and strategic level, the Commission meets regularly with national bodies such as the the Local Government Association (LGA) ([opens in new tab](#)), the Convention of Scottish Local Authorities (COSLA) ([opens in new tab](#)), the Welsh Local Government Association (WLGA) ([opens in new tab](#)), the Society of Local Authority Lawyers and Administrators (SOLAR) ([opens in new tab](#)), and the Institute of Licensing (IoL) ([opens in new tab](#)). These meetings provide opportunities to discuss issues of concern, emerging trends and this guidance.

Part 4: Licensing authorities

Introduction

Licensing authorities (as defined in s.2 of the Act) are responsible for local gambling regulation and the Act gives them responsibility for a number of regulatory functions in relation to gambling activities. These include:

- issuing a statement of licensing policy (policy statement) setting expectations about how gambling will be regulated in the area
- responsibility for licensing gambling premises
- the issue of permits to family entertainment centres (FEC) for the use of certain lower stake gaming machines
- granting permits for prize gaming
- registering society lotteries that fall below certain thresholds
- regulating members' clubs and miners' welfare institutes which undertake certain gaming activities
- setting and collecting fees.

4.2 The Act also provides a system of temporary and occasional use notices. These authorise premises that are not licensed generally for gambling purposes to be used for certain types of gambling, for limited periods. Parts 14 and 15 of this guidance provide more information on temporary and occasional use notices.

4.3 In exercising their statutory functions, licensing authorities have a broad discretion in regulating the local provision of gambling through the wide ranging powers at their disposal, including:

- issuing a statement of licensing policy, setting expectations about how gambling will be regulated in a particular area
- granting, refusing and attaching conditions to premises licences
- reviewing premises licences and attaching conditions or revoking them as a result.

Statutory framework

4.4 In addition to the Act, there is other legislation which licensing authorities should be aware of.

Licensing Act 2003

4.5 Licensing authorities in England and Wales have responsibilities under the Licensing Act 2003 ([opens in new tab](#)). There are some inter-dependencies between the Licensing Act 2003 ([opens in new tab](#)) and the Act, in terms of the framework for decision making and the procedures that must be followed. However, licensing authorities must take care to ensure that they follow the procedures and only take into account issues that are relevant to the Act, when dealing with applications under the Act. Particular care should be taken to distinguish considerations made under the Act from those relevant to alcohol licensing, public entertainment or late night refreshments.

Licensing (Scotland) Act 20052

4.6 The position in Scotland is similar, with procedures and decision making requirements under both the Licensing (Scotland) Act 2005 ([opens in new tab](#)) and the Act. The same care must be taken by licensing authorities in Scotland to consider only those issues which are relevant to matters under the Act in their decision making, and to ensure that they follow the prescribed procedures under the Act.

Other provisions and legislation

4.7 Conditions on premises licences should relate only to gambling, as considered appropriate in light of the principles to be applied by licensing authorities under s.153 of the Act. Accordingly, if the Commission's Licence conditions and codes of practice (LCCP) or other legislation places particular responsibilities or restrictions on an employer or the operator of premises, it is not necessary or appropriate to impose similar conditions on a premises licence issued in accordance with the Act.

4.8 Similarly, where other legislation confers powers on inspection and enforcement agencies in relation to separate activities or concerns, the Act does not affect the continued use of such powers, for example, the powers of an environmental health officer in respect of statutory nuisance under the Environmental Protection Act 1990 ([opens in new tab](#)).

Licensing authority decisions

4.9 S.153 provides that licensing authorities shall aim to permit the use of premises for gambling in so far as they think it is:

- a. in accordance with any relevant code of practice under s.24
- b. in accordance with any relevant guidance issued by the Commission under s.25
- c. reasonably consistent with the licensing objectives (subject to a and b above),
- d. in accordance with the licensing authority's statement of licensing policy (policy statement) (subject to a to c above).

4.10 Therefore, a licensing authority has no discretion in exercising its functions under Part 8 of the Act, to grant a premises licence where that would mean taking a course which it did not think accorded with the guidance contained in this document, any relevant Commission code of practice, the licensing objectives or the licensing authority's own policy statement.

Delegations

4.11 The decision making powers of licensing authorities may be delegated, as set out in s.154 of the Act for England and Wales and s.155 for Scotland. Decisions that are delegated to a licensing committee, may be further delegated to a sub-committee, which may then arrange for the decision to be taken by an officer of the authority.

4.12 It is open to licensing committees to choose not to delegate decisions. An important consideration in determining whether any particular decision should be delegated will be whether delegation might give rise to a risk of judicial review challenge, particularly on the basis of appearance of bias.

4.13 The tables at Appendix H set out a summary of licensing authority delegations permitted under the Act for England and Wales, and for Scotland.

Part 5: Principles to be applied by licensing authorities

Licensing objectives

5.1 In exercising their functions under the Act, particularly in relation to premises licences, temporary use notices and some permits, licensing authorities must have regard to the licensing objectives set out in s.1 of the Act, namely:

- 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 It is expected that the licensing authority will have set out their approach to regulation in their policy statement, having taken into account local circumstances. This is dealt with in more detail at Part 6.

Objective 1 : Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime

5.3 Among other matters, licensing authorities may need to consider the location of premises in the context of this licensing objective. For example, in considering an application for a premises licence or permit that is in an area noted for particular problems with disorder, organised criminal activity etc, the licensing authority should think about what, if any, controls might be appropriate to prevent those premises being associated with or used to support crime. That might include conditions on the premises licence, such as a requirement for door supervisors. The requirement for conditions might be determined by the operator's own risk assessment or the local area profile carried out by the licensing authority, as detailed in Part 6. A non-exhaustive list of licence conditions is provided at Appendix F.

5.4 A licensing authority will need to consider questions raised by the location of gambling premises when:

- formulating its statement of licensing policy
- receiving relevant representations to an application
- dealing with applications as a responsible authority in its own right considering applications before it.

5.5 In the context of gambling premises licences, licensing authorities should generally consider disorder as 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.

5.6 Regulatory issues arising from the prevention of disorder are likely to focus almost exclusively on premises licensing, rather than on operating licences. However, 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.

5.7 Of course, licensing 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 ([opens in new tab](#)) /Licensing (Scotland) Act 2005 ([opens in new tab](#)), in which context they have wider powers to also take into account measures to prevent nuisance.

5.8 In relation to preventing disorder, licensing authorities have the ability under s.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 s.178 of the Act. If a person employed on door supervision would be required to hold a licence issued by the Security Industry Authority ([opens in new tab](#)) (SIA), that requirement will have force as though it were a condition on the premises licence. Further information on conditions on premises licences can be found in Part 9 of this guidance.

5.9 There are a number of voluntary initiatives that the gambling industry participates in to address issues such as underage access, staff safety and security. These change from time to time and licensing authorities are advised to check with local operators, for example when conducting inspections, as to which (if any) scheme the operator is a part of. For example, The Safe Bet Alliance's Voluntary Code of Safety and Security National Standards for Bookmakers. Further information can often be found on the websites of industry trade associations.

5.10 Licensing authorities do not need to investigate the suitability of an applicant for a premises licence, including in relation to crime. The issue of suitability will already have been considered by the Commission, because any applicant (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. However, if the licensing authority receives information during the course of considering a premises licence application or at any other time, 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.

Objective 2 : Ensuring that gambling is conducted in a fair and open way

5.11 Generally the Commission would not expect licensing authorities to find themselves dealing with issues of fairness and openness frequently. Fairness and openness is likely to be a matter for either the way specific gambling products are provided 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.

5.12 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. Further information can be found in Part 20 of this guidance.

Objective 3 : Protecting children and other vulnerable persons from being harmed or exploited by gambling

5.13 In exercising their powers under s.153, licensing authorities should consider whether staff will be able to adequately supervise the gambling premises, as adequate staffing levels is a factor to consider regarding the prevention of underage gambling. The Commission would expect the operator and the licensing authority to work together to consider how any impediments to the supervision of premises might be most appropriately remedied. Supervision also applies to premises that are themselves not age-restricted (eg bingo and family entertainment centre (FEC) premises) but which make gambling products and facilities available.

5.14 Where a licensing authority considers the structure or layout of premises to be an inhibition or potential inhibition to satisfying this licensing objective, the licensee should consider what changes are required to ensure the risk is mitigated. Such changes might include the positioning of staff or CCTV, the use of floor-walkers and the relocation of the staff counter to enable direct line of sight. Licensing authorities will need to consider the proportionality of changes to the physical layout in relation to other measures that could be put in place.

5.15 If the operator fails to satisfy the licensing authority that the risks are sufficiently mitigated, it may be appropriate to conduct a review of the premises licence.

5.16 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 s.176 of the Act. The code of practice is available as part of the Licence conditions and codes of practice (LCCP) or as Gambling codes of practice. In accordance with s.176 of the Act, adherence to the code will be a condition of the premises licence. Further information can be found in Parts 9 and 17 of this guidance.

5.17 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, for example, mental health, a learning disability or substance misuse relating to alcohol or drugs.

5.18 Licensing authorities need to consider, in relation to particular premises, whether any special considerations apply in relation to the protection of vulnerable persons. This could be a local risk that is reflected in the licensing authority's policy statement. Any such considerations need to be balanced against the authority's objective to aim to permit the use of premises for gambling.

Section 153 principles

5.19 S.153 of the Act provides that, in exercising its functions under Part 8 of the Act, 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 s.24 (the LCCP)
- b. in accordance with any relevant guidance issued by the Commission under s.25 (this guidance)
- c. reasonably consistent with the licensing objectives (subject to a and b above)
- d. in accordance with the licensing authority's statement of licensing policy (policy statement) (subject to a to c above).

5.20 Whilst 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 this

guidance, any relevant Commission code of practice, its own statement of licensing policy, and the licensing objectives.

5.21 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 s.153 makes it clear that the Commission's codes and this guidance take precedence.

5.22 In determining applications for premises licences, the Act explicitly sets out two principles that licensing authorities should **not** have regard to:

- s.153 makes it clear that in deciding whether or not to grant a licence, a licensing authority must not have regard to the expected demand for gambling premises that are the subject of the application
- s.210 (1) of the Act states that 'in making a decision in respect of an application...a licensing authority should not have regard to whether or not a proposal by the applicant is likely to be permitted in accordance with law relating to planning or building'.

5.23 A licensing authority is therefore afforded significant scope to exercise its powers under s.153 on the grounds that it does not encroach on the two principles set out above.

5.24 The requirements in s.153 are subject to the licensing authority's power under s.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 s.153.

Codes of practice

5.25 The LCCP sets out the Commission's general licence conditions and associated codes of practice provisions under the Act. The codes of practice are set out within the second part of the LCCP.

5.26 To assist licensing authorities in determining premises applications and inspecting premises, all the codes of practice) are also available as a single document. The codes specify a number of requirements, many of which relate to social responsibility issues and these may be of particular interest where a licensing authority has concern about matters such as protection of the young and vulnerable. It should be noted that the codes also apply to situations in which the gambling being offered is not normally the responsibility of an operating licence holder. Examples include the code of practice for equal chance gaming and the code for gaming machines in clubs and premises with an alcohol licence.

Good practice in regulation

5.27 Under the Legislative and Regulatory Reform Act 2006 ([opens in new tab](#)), any person exercising a specified regulatory function has a legal duty to have regard to the statutory principles of good regulation in the exercise of the function (Legislative and Regulatory Reform Act 2006 ([opens in new tab](#)), section 21). 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 Commission has regard to these principles in relation to its responsibilities and also has regard to the requirements of the Regulators' Code (previously the Regulators' Compliance Code), Department of Business, Innovation and Skills⁵, 2014, issued under section 23 of the Legislative and Regulatory Reform Act 2006 ([opens in new tab](#)). 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.

5.28 The statutory principles of good regulation and the Code also apply to local authorities, who are under a statutory duty to have regard to them when fulfilling their regulatory functions under the Act. The Legislative and Regulatory Reform (Regulatory Functions) Order 2007 (opens in new tab), was amended by the Legislative and Regulatory Reform (Regulatory Functions) (Amendment) Order 2009 (opens in new tab), 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 (opens in new tab) - see Parts 3 and 7.

5.29 Guidance produced by Regulatory Delivery now replaced by the Office of Product Safety and Standards seeks to assist local authorities in interpreting the requirements of the Regulator's Code for example in delivering risk-based regulation in relation to age restrictions.

Age-restricted products and services framework (opens in new tab)⁶ 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 document forms the foundations of the Age-restricted products and services: a code of practice for regulatory delivery (opens in new tab)⁷.

Human Rights Act 1998

5.30 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 Act, licensing authorities should bear in mind that they are subject to the Human Rights Act 1998 (opens in new tab) 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.

Other considerations

5.31 Licensing authorities should not turn down applications for premises licences where relevant objections can be dealt with through the use of conditions. In determining applications for premises licences and permits, a licensing authority may request as much information as it requires to satisfy itself that all the requirements set out at s.153 of the Act are met.

5.32 Licensing authorities must ensure that the application is in accordance with the relevant codes of practice, this guidance, the licensing objectives and the licensing authority's own policy statement. There is, therefore, significant scope for licensing authorities to request additional information from the applicant where they have concerns about both new applications and variations.

5.33 Where concerns remain, licensing authorities may choose to attach conditions to the premises licence. Further details are provided in Part 9 and a non-exhaustive list of licence conditions is included at Appendix F of this guidance.

5.34 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. 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, and 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).

Part 6: Licensing authority policy statement

Introduction

6.1 S.349 of the Act requires all licensing authorities to prepare and publish a statement of licensing principles that they propose to apply in exercising their functions under the Act, commonly known as a policy statement⁸. The policy statement forms the licensing authority's mandate for managing local gambling provision and sets out how the licensing authority views the local risk environment and therefore its expectations in relation to operators with premises in the locality.

6.2 The policy statement acts as the primary vehicle for setting out the licensing authority's approach to regulation having taken into account local circumstances. For example, a licensing authority might identify the safeguarding of children as a key priority, in which case its statement would set out those policies, procedures and control measures it would expect licensees to follow to mitigate any risks relating to underage gambling.

6.3 Policy statements are likely to reflect differences in approach between different licensing authorities. The statement made by a seaside town licensing authority, which may see gambling businesses as an important part of its plans for growth and regeneration based on regular influx of visitors, may well be significantly different from that of an inner city authority, which may be more concerned with impact on the vulnerable. In this respect, licensing authorities may find it helpful to make an assessment of the pattern of gambling and associated risks to the licensing objectives in their own areas.

6.4 The Commission encourages licensing authorities to have a policy statement that is genuinely reflective of local issues, local data, local risk and the expectations that a licensing authority has of operators who either currently offer gambling facilities or wish to do so in the future. The existence of a clear and robust policy statement provides greater scope for licensing authorities to work in partnership with operators, other local businesses, communities, and responsible authorities to identify and to proactively mitigate local risks to the licensing objectives. Whilst not being a responsible authority, many

licensing authorities have found it beneficial to obtain advice from public health teams in informing the Statement.

6.5 The policy statement can be reviewed and revised by the licensing authority at any time, but must be produced following consultation with those bodies and persons set out in s.349(3) of the Act. Regulations made by the Secretary of State, or Scottish Ministers in Scotland, prescribe the form of statements, and the procedure to be followed in relation to them and their publication, as detailed in paragraph 6.11 onwards.

6.6 Licensing authorities should ensure that the policy statement balances the need for a degree of certainty on the part of gambling businesses with the need to remain responsive to emerging risks. It should be evidence led, based on the principles outlined below and reviewed at least every three years.

Fundamental principles

6.7 Licensing authorities have a duty to pursue the licensing objectives and all policy statements should begin by stating the three licensing objectives (s.1 of the Act), which the policy will promote:

- 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 gambling⁹.

6.8 The statement should also state that the licensing authority shall aim to permit the use of premises for gambling as set out in s.153 of the Act.

6.9 It is expected that licensing authorities will regulate gambling in the public interest which will be reflected in the policy statement.

6.10 While the policy statement may set out a general approach to the exercise of functions under the Act, it should not override the right of any person to make an application and to have that application considered on its merits. The exception to this is where the licensing authority has passed a 'no casino' resolution under s.166(1) of the Act, detailed in Part 17 of this guidance. Additionally, the policy statement must not undermine the right of any person to make representations on an application or to seek a review of a licence where provision has been made for them to do so.

Form and content

6.11 The Gambling Act 2005 (Licensing Authority Policy Statement) (England and Wales) Regulations 2006 (SI 2006/636) and the Gambling Act 2005 (Licensing Authority Policy Statement) (Scotland) Regulations 2006 (SSI 2006/154), set out requirements as to the form and publication of licensing authority policy statements of policy and subsequent revisions of statements. In addition to those requirements, this guidance sets out certain information that the Commission considers should be included in all licensing authority statements of policy.

6.12 The regulations provide that the form of the statement can be determined by the licensing authority itself, subject to the requirement that the policy statement must contain an introductory section summarising the matters contained within the statement. The introductory section must include:

- a description of the geographical area to which the policy statement applies, which can be satisfied by including a plan of the area
- a list of the persons consulted in preparing the statement.

6.13 The policy statement should set out the activities that the licensing authority is able to license.

6.14 The regulations also require the policy statement to set out specific matters in separate sections relating to the principles to be applied by the licensing authority in exercising:

- i. its powers under s.157(h) of the Act to designate, in writing, a body which is competent to advise it about the protection of children from harm
- ii. its powers under s.158 of the Act to determine whether a person is an interested party in relation to a premises licence, or an application for or in respect of a premises licence
- iii. the functions under s.29 and s.30 of the Act with respect to the exchanges of information between it and the Commission, and the functions under s.350 of the Act with respect to the exchange of information between it and the other persons listed in Schedule 6 to the Act
- iv. the functions under Part 15 of the Act with respect to the inspection of premises and the power under s.346 of the Act to institute criminal proceedings in respect of the offences specified in that section.

Each of these is set out in further detail below.

i. Competent authority for protection of children from harm

6.15 Under s.349 of the Act, the policy statement must set out the principles that the licensing authority proposes to apply in exercising their functions. One of those functions is to determine who will be competent to advise them about the protection of children from harm and so the policy statement must contain a section that sets out the principles the licensing authority will apply in designating a competent body.

6.16 In many licensing authority areas, the recognised competent body will be the local Safeguarding Children Board in England and Wales, or the Child Protection Committee in Scotland. However, the licensing authority has discretion to determine the most appropriate competent body to advise it, and must consider which body best fulfils this function. The policy statement should set out this consideration, or the criteria the authority intends to use, in order to designate that body and confirm that designation in writing.

6.17 A designated body is a responsible authority under s.157(h) of the Act. Licensing authorities should engage fully with the designated body and provide sufficient opportunity for them to be consulted on the development of the policy statement, as they can offer valuable insight into the impact of gambling on children in the local area. Licensing authorities might also opt to consult such groups as part of its own local area profile, discussed at paragraph 6.47 onwards.

ii. Interested parties

6.18 Licensing authority policy statements must contain a section that sets out the principles to be applied by the licensing authority to determine whether a person is an interested party in relation to a premises licence, or in relation to an application for or in respect of a premises licence.

S.158 of the Act defines interested parties as persons who, **in the opinion of the licensing authority**:

- a) live sufficiently close to the premises to be likely to be affected by the authorised activities
- b) have business interests that might be affected by the authorised activities
- c) represent persons who satisfy paragraph a) or b).

6.20 It is a matter for the licensing authority to decide whether a person is an interested party with regard to particular premises and that should be decided on a case by case basis. However, the licensing authority should set out the principles it will apply in determining whether a person is an interested party in its policy statement, and that may include relevant factors it will take into account. For example, this could be the size of the premises and the nature of the activities taking place as larger premises may be considered to affect people over a broader geographical area compared with smaller premises offering similar facilities.

6.21 Licensing authority policy statements should include guidance as to whom they consider comes within the category of those who living sufficiently close to premises to be affected by it or have business interests, that may be affected by it. For example, this could include trade associations, trade unions, residents' and tenants' associations. It is expected that the types of organisations that may be considered to have business interests will be interpreted broadly to include, for example, partnerships, charities, faith groups and medical practices.

iii. Exchange of information

6.22 Licensing authority policy statements must contain a section that sets out the principles to be applied by the licensing authority in relation to the exchange of information with the Commission (s.29 and s.30 of the Act) and other persons (s.350 of the Act).

6.23 S.29 of the Act enables the Commission to require information from licensing authorities, including the manner in which the information is compiled, collated and the form in which it is provided, providing that it:

- forms part of a register maintained under the Act
- is in the possession of the licensing authority in connection with a provision of the Act.

6.24 S.350 of the Act allows licensing authorities to exchange information with other persons or bodies for use in the exercise of functions under the Act. Those persons or bodies are listed in Schedule 6(1) as:

- a constable or police force
- an enforcement officer
- a licensing authority
- HMRC
- the First Tier Tribunal
- the Secretary of State
- Scottish Ministers.

6.25 The licensing authority policy statement must set out how it will approach information exchange with other persons or bodies under the Act, and whether it intends to establish any protocols in this regard. The policy statement should also include the authority's approach to data protection and freedom of information, in particular, how information will be protected, whether the confidentiality of those making representations will be maintained, what information will be shared with other agencies or persons and how information can be accessed by data subjects.

6.26 Further information regarding the exchange of information can be found in Part 13 of this guidance.

6.27 For the purposes of their policy statement, licensing authorities should confirm that they will act in accordance with the relevant legislation and guidance from the Commission and will adopt the principles of better regulation (detailed at paragraph 5.27).

iv. Inspection and criminal proceedings

6.28 Licensing authority policy statements must contain a section that sets out the principles to be applied by the licensing authority in exercising their inspection function (part 15 of the Act) and in instigating criminal proceedings (s.346 of the Act), except in Scotland.

6.29 The statutory principles of good regulation and the Regulators' Code¹⁰ (paragraph 5.27) apply to licensing authorities. This means that inspection and enforcement activities must be carried out in a way which is transparent, accountable, proportionate, consistent and targeted, and promotes efficient and effective regulatory approaches which improve outcomes without imposing unnecessary burdens on business.

6.30 The policy statement should set out the principles to be applied by the licensing authority in relation to inspections. It is recommended that licensing authorities adopt a risk-based approach to inspection programmes and the policy statement should outline the criteria the licensing authority will use to determine the level of risk in respect of premises. Such an approach could include targeting high-risk premises which require greater attention, whilst operating a lighter touch in respect of low-risk premises, so that resources are more effectively concentrated on potential problem premises. If the licensing authority has a local area profile, as outlined at paragraph 6.47 onwards below, their inspection approach is likely to be informed by it.

6.31 Many licensing authorities in England and Wales will have general enforcement policies which are in accordance with the codes of practice developed with the Crown Prosecution Service. Such licensing

authorities may wish to refer to these codes in their policy statement, in relation to the management of criminal cases.

6.32 Further guidance on licensing authorities' compliance and enforcement responsibilities is available in Part 36 of this guidance. This has been developed following discussions between the Commission, the police, licensing authorities and other law-enforcement and regulatory agencies to agree respective roles in relation to particular types of gambling and licensed premises.

Other matters to be considered

Relevant factors when considering applications and reviews

6.33 The policy statement should set out what factors it is likely to take into account when considering applications for premises licences, permits and other permissions, and when determining whether to review a licence. This may be informed by the licensing authority's local area profile and will include considerations such as the proximity of gambling premises to schools and vulnerable adult centres, or to residential areas where there may be a high concentration of families with children.

6.34 Although the policy statement should identify the factors to be considered, it should be clear that each application or review will be decided on its merits. Importantly, if an applicant for a premises licence can show how licensing objective concerns can be overcome, the licensing authority will need to take that into account in its decision making.

Statement regarding casino resolution

6.35 The policy statement should include details about how the licensing authority has taken or will take a decision in relation to a casino resolution. A licensing authority may resolve not to issue casino premises licences within its area. If it does so, the resolution must be published in its policy statement (s.166(5) of the Act).

Other regulatory regimes

6.36 The policy statement should include a firm commitment to avoid duplication with other regulatory regimes, so far as possible. For example, a range of general duties are imposed on the self-employed, employers and operators of gambling premises, both in respect of employees and of the general public, by legislation governing health and safety at work and fire safety. Therefore such requirements do not need to be included in the policy statement.

Demand for gaming premises

6.37 Previous legislation required that the grant of certain gambling permissions should take account of whether there was unfulfilled demand for the facilities. This is no longer the case and each application must be considered on its merits without regard to demand. The policy statement should reflect the 'aim to permit' principle (s.153 of the Act) and should not comment on whether there is demand for gambling premises.

6.38 However, the policy statement may comment on the location of premises and the general principles it will apply in considering the location so far as it relates to the licensing objectives. For example, a policy statement may set out that the licensing authority will carefully consider applications for premises licences and whether there is a need for conditions to mitigate risks, in respect of certain kinds of gambling located very close to a school or a centre for those experiencing or at risk of gambling harm, in light of the third licensing objective. The policy statement must be clear that each case will be decided on its merits and will depend to a large extent on the type of gambling that is proposed for the premises.

Other information

6.39 Licensing authorities may wish to include other information in their policy statement to ensure clarity on their approach to local regulation, particularly the factors that will not be relevant to the exercise of their functions under the Act. This will ensure that applicants or persons who wish to make representations have all the necessary information to be able to do so, including what representations may not be relevant.

6.40 For example, licensing authorities may wish to explain in their policy statements that any objections to new premises or requests for a review should be based on the licensing objectives of the Act. The policy statement could make it clear that – unlike the Licensing Act 2003 ([opens in new tab](#)) and the Licensing (Scotland) Act 2005 ([opens in new tab](#)) – the Act does not include the prevention of public nuisance and anti-social behaviour as a specific licensing objective.

Local risk assessments

6.41 The Commission's Licence conditions and codes of practice (LCCP) formalise the need for operators to consider local risks.

6.42 Social responsibility (SR) code 10.1.1 requires licensees to assess the local risks to the licensing objectives posed by the provision of gambling facilities at each of their premises, and have policies, procedures and control measures to mitigate those risks. In undertaking their risk assessments, they must take into account relevant matters identified in the licensing authority's policy statement.

6.43 Licensees are required to undertake a local risk assessment when applying for a new premises licence. Their risk assessment must also be updated:

- when applying for a variation of a premises licence
- to take account of significant changes in local circumstances, including those identified in a licensing authority's policy statement
- when there are significant changes at a licensee's premises that may affect their mitigation of local risks.

6.44 The SR provision is supplemented by an ordinary code provision indicating that licensees should share their risk assessment with licensing authorities when applying for a premises licence or applying for a variation to existing licensed premises, or otherwise at the request of the licensing authority. Both provisions took effect from April 2016.

6.45 Where concerns do exist, perhaps prompted by new or existing risks, a licensing authority might request that the licensee share a copy of its own risk assessment which will set out the measures the licensee has in place to address specific concerns. This practice should reduce the occasions on which a premises review and the imposition of licence conditions is required.

6.46 Where a licensing authority's policy statement sets out its approach to regulation with clear reference to local risks, it will facilitate operators being able to better understand the local environment and therefore proactively mitigate risks to the licensing objectives. In some circumstances, it might be appropriate to offer the licensee the opportunity to volunteer specific conditions that could be attached to the premises licence.

Local area profile

6.47 Licensing authorities will find it useful to complete their own assessment of the local environment as a means of mapping out local areas of concern, which can be reviewed and updated to reflect changes to the local landscape. For the purpose of this guidance, we refer to such assessments as local area profiles. Completion of a local area profile is not a requirement on licensing authorities but there are significant benefits for both the licensing authority and operators, in having a better awareness of the local area and risks. Importantly, risk in this context includes potential and actual risks, thereby taking into account possible future emerging risks, rather than reflecting current risks only.

6.48 An effective local area profile is likely to take account of a wide range of factors, data and information held by the licensing authority and its partners. An important element of preparing the local area profile will be proactive engagement with responsible authorities as well as other organisations in the area that can give input to map local risks in their area. These are likely to include public health, mental health, housing,

education, community welfare groups and safety partnerships, and organisations such as GamCare (opens in new tab) or equivalent local organisations.

6.49 Good local area profiles will increase awareness of local risks and improved information sharing, to facilitate constructive engagement with licensees and a more coordinated response to local risks. The local area profile will help to inform specific risks that operators will need to address in their risk assessment, discussed at paragraph 6.41 above, which will form a part of any new licence application, or an application to vary a licence.

6.50 For example, an area might be identified as high risk on the basis that it is located within close proximity to a youth centre, rehabilitation centre, or school. The licensing authority might indicate, for example, that they would expect licensees to take appropriate steps to ensure that advertising relating to their premises, or relating to events at their premises, is not displayed at a time when children are likely to be near the premises. The licensee would be reasonably expected to have sufficient controls in place to mitigate associated risks in such areas and, if not, the licensing authority would consider other controls themselves.

6.51 It is for licensing authorities to determine whether to include a local area profile within the body of their policy statement or separately. If included in the policy statement, the licensing authority's view of local risks would be a consideration for local gambling regulation in the context of s.153 of the Act. Licensing authorities may consider this is best achieved by making reference to the local area profile, so that it can be reviewed and updated without the need for full consultation.

6.52 There is no prescriptive template for a local area profile, as each assessment will be influenced by local circumstances. However it is expected that that it will draw upon the knowledge and expertise of responsible authorities and be updated on a regular basis to reflect changes to the local environment.

6.53 As stated, there is no mandatory requirement to have a local area profile, but there are a number of benefits:

- it enables licensing authorities to better serve their local community, by better reflecting the community and the risks within it
- greater clarity for operators as to the relevant factors in licensing authority decision making, will lead to improved premises licence applications, with the operator already incorporating controls and measures to mitigate risk in their application
- it enables licensing authorities to make robust but fair decisions, based on a clear, published set of factors and risks, which are therefore less susceptible to challenge
- it encourages a proactive approach to risk that is likely to result in reduced compliance and enforcement action.

Declaration by licensing authority

6.54 Licensing authorities may wish to include a declaration in their policy statement which sets out that, in producing the final policy statement, it has had regard to:

- the licensing objectives in the Act
- this guidance issued by the Commission
- any responses from those consulted on its policy statement.

6.55 Licensing authorities should note that the regulations and this guidance do not prevent them from including any additional information that they consider necessary or helpful.

Consultation

6.56 In determining its policy statement, the licensing authority must give appropriate weight to the views of those it has consulted. In deciding what weight to give, the factors to be taken into account include:

- who is making the representations, the nature of their interest and their expertise
- relevance of the factors to the licensing objectives
- how many other people have expressed the same or similar views
- how far the representations relate to matters that the licensing authority should be including in its policy statement.

6.57 A licensing authority should always be able to give reasons for the decisions it has made following consultation. Having regard to this guidance will be important for consistency.

Consultation process

6.58 S.349(3) of the Act requires licensing authorities to consult with the following on their policy statement or any subsequent revision:

- in England and Wales, the chief officer of police for the authority's area
- in Scotland, the chief constable of the Police Scotland
- one or more persons who appear to the authority to represent the interests of persons carrying on gambling businesses in the authority's area
- one or more persons who appear to the authority to represent the interests of persons who are likely to be affected by the exercise of the authority's functions under the Act.

6.59 The list of persons to be consulted is deliberately wide. This enables licensing authorities to undertake a comprehensive consultation exercise with anyone who may be affected by or otherwise have an interest in their policy statement.

6.60 It is a matter for licensing authorities to develop their own consultation practices, including the methods for consultation and who they consider it necessary to consult with, which might include consultation with relevant local groups, business and responsible authorities.

6.61 Any written consultation should follow best practice as set out by the Department for Business, Energy and Industrial Strategy ([opens in new tab](#)). Consultation responses should usually be published within 12 weeks of the consultation closing. Where licensing authorities do not publish a response within 12 weeks, they should provide a brief statement on why they have not done so. Consultation documents could be provided on the licensing authority's website.

Reviewing and updating the policy statement

6.62 The licensing authority's policy statement will have effect for a maximum of three years and must be reviewed thereafter, but the licensing authority may review and alter the policy at any time during the three year period. For example, licensing authorities will need to consider if their policy statement should be reviewed in the event of a change of policy, such as a change in local planning policy.

6.63 Where the policy statement is reviewed and changes proposed, licensing authorities must consult on any revision.

6.64 Authorities should note that where a statement is revised, it is only the revision that needs to be published and consulted on. So, for example, an authority may consult separately on whether to pass a casino resolution and then subsequently publish the resolution as part of the statement. This can be done without any need to review and reopen consultation on the main body of the statement. The same would apply if the licensing authority was updating its local area profile to take account of changing local risks. Any revisions must be published and advertised in the same way as a new statement.

6.65 The regulations referred to at paragraph 6.11 confirm that the form and content of revisions to the policy statement can be determined by the licensing authority, subject to the requirement that the revisions must include an introductory section at or near the beginning, summarising the matters dealt with in the statement and listing the persons consulted in preparing the revision.

6.66 Where the revision deals with any of the matters below, these must be presented in separate sections:

1. the principles to be applied in exercising the powers under s.157(h) of the Act to designate, in writing, a body which is competent to advise the authority about the protection of children from harm
2. the principles to be applied by in exercising the powers under s.158 of the Act, to determine whether a person is an interested party in relation to a premises licence, or an application for or in respect of a premises licence
3. the principles to be applied in exercising functions under s.29 and 30 of the Act with respect to the exchange of information between it and the Commission, and the functions under s.350 of the Act with respect to the exchange of information between it and the other persons listed in Schedule 6 to the Act
4. the principles to be applied in exercising the functions under Part 15 of the Act with respect to the inspection of premises; and the powers under s.346 of the Act to institute criminal proceedings in respect of the offences specified in that section.

Advertisement and publication

Advertising the policy statement or revisions

6.67 Before a statement or revision comes into effect, the regulations referred to at paragraph 6.11 require licensing authorities to publish a notice of their intention to publish a statement or revision. The notice must:

- specify the date on which the statement or revision is to be published
 - specify the date on which the statement or revision will come into effect
 - specify the internet address where the statement or revision will be published and the address of the premises at which it may be inspected
 - be published on the authority's website and in/on one or more of the following places for at least four weeks before it comes into effect:
 - a local newspaper circulating in the area covered by the statement
 - a local newsletter, circular, or similar document circulating in the area covered by the statement
 - a public notice board in or near the principal office of the authority
 - a public notice board on the premises of public libraries in the area covered by the statement.
-

Publishing the policy statement or revisions

6.68 The regulations at paragraph 6.11 stipulate that the policy statement or any subsequent revision, must be published on the licensing authority's website and be made available at reasonable times for inspection by members of the public at one or more public libraries in the area covered by the statement or in other premises situated in that area. The statement or revision must be published at least four weeks before it takes effect.

Additional information to be made available

6.69 In order to ensure that applicants and persons who wish to make representations have the necessary information to be able to do so, the information set out below should be made available by licensing authorities are part of their communication strategy.

6.70 It is open to licensing authorities to include any of this information in their policy statement. However, they might think it more appropriate to make it available in another form, such as on their website.

Registers

6.71 S.156 of the Act requires licensing authorities to maintain a register of the premises licences that it has issued. The register must be made available, at any reasonable time, to the public who may request copies of the entries. Authorities should ensure that information regarding the location of the registers (eg on the website, in the council offices), when they can be viewed, and the cost of obtaining copies is made available to the public.

6.72 A database of premises licences is available on the Commission's website and consists of information submitted by licensing authorities. The register is published with the caveat that the Commission cannot provide any assurance on the completeness and accuracy of this data. The Commission recommends that licensing authorities should be contacted directly for accurate and up-to-date premises information.

Fees

6.73 Under s.212(2)(d) of the Act, local authorities in England and Wales shall 'aim to ensure that the income from fees... as nearly as possible equates to the costs of providing the service to which the fees relates'. Further information on fees setting in England, Wales and Scotland is available in Part 36.

Applications

6.74 Licensing authorities should ensure that information is available on how to make applications for licences and other permissions under the Act. In particular, it would be helpful if licensing authorities ensure that a full list of responsible authorities and their appropriate contact details is readily available. Application forms, where appropriate, should also be made available. Licensing authorities should note that there are no prescribed application forms for family entertainment centre, prize gaming or licensed premises gaming machine permits. As such, the licensing authority will need to make clear how applications for these permits should be made and in what form. Additionally, licensing authorities will need to ensure that information regarding making representations, and applying for a review of a premises licence, is also made available.

Statutory application forms and notices

6.75 There are a range of statutory application forms and notices that licensing authorities are required to use as part of their gambling licensing responsibilities. A summary list of these can be found in Appendix E.

Delegation

6.76 Information should be provided as to how functions are delegated under the Act (eg whether decisions are to be taken by a licensing officer, licensing sub-committee or full committee). A table setting out the scheme of delegation required by the Act may be the most appropriate method for this and is located in Part 4 of this guidance.

Part 7: Premises licences

Introduction

7.1 Considering applications for premises licences is the main business of the licensing authority in terms of local gambling regulation. Where an individual or company uses premises, or causes or permits premises to be used to offer gambling, a premises licence is required.

7.2 Premises licences are issued by the licensing authority with responsibility for the area in which the premises are situated. Guidance on dealing with premises which are situated in more than one licensing authority can be found at paragraph 7.10.

Premises

7.3 In accordance with s.150 of the Act, premises licences can authorise the provision of facilities on:

- a) casino premises
- b) bingo premises

- c) betting premises, including tracks and premises used by betting intermediaries
- d) adult gaming centre (AGC) premises (for category B3, B4, C and D machines)
- e) family entertainment centre (FEC) premises (for category C and D machines) – the licensing authority may issue a FEC gaming machine permit, which authorises the use of category D machines only.

7.4 By distinguishing between premises types, the Act makes it clear that the gambling activity of the premises should be linked to the premises described. Thus, in a bingo premises, the gambling activity should be bingo, with gaming machines as an ancillary offer on the premises. This principle also applies to existing casino licences (but not to licences granted under the Gambling Act 2005 (opens in new tab)) and betting premises licences. The Licence conditions and codes of practice (LCCP) sets out in full the requirements on operators. Subject to the gaming machine entitlements which various types of licence bring with them (except in the case of tracks), the Act does not permit premises to be licensed for more than one of the above activities.

Meaning of premises

7.5 In the Act, ‘premises’ is defined as including ‘any place’. S.152 therefore prevents more than one premises licence applying to any place. But, there is no reason in principle why a single building could not be subject to more than one premises licence, provided they are for different parts of the building, and the different parts of the building can reasonably be regarded as being different premises. This approach has been taken to allow large, multiple unit premises such as pleasure parks, tracks, or shopping malls to obtain discrete premises licences, where appropriate safeguards are in place. However, licensing authorities should pay particular attention if there are issues about sub-division of a single building or plot and should ensure that mandatory conditions relating to access between premises are observed.

7.6 In most cases the expectation is that a single building/plot will be the subject of an application for a licence, for example, 32 High Street. But that does not mean that 32 High Street cannot be the subject of separate premises licences for the basement and ground floor, if they are configured acceptably. Whether different parts of a building can properly be regarded as being separate premises will depend on the circumstances. The location of the premises will clearly be an important consideration and the suitability of the division is likely to be a matter for discussion between the operator and the licensing authority.

7.7 The Commission does not consider that areas of a building that are artificially or temporarily separated, for example by ropes or moveable partitions, can properly be regarded as different premises. If a premises is located within a wider venue, a licensing authority should request a plan of the venue on which the premises should be identified as a separate unit.

7.8 The Commission recognises that different configurations may be appropriate under different circumstances but the crux of the matter is whether the proposed premises are genuinely separate premises that merit their own licence – with the machine entitlements that brings – and are not an artificially created part of what is readily identifiable as a single premises.

7.9 The Act sets out that the type and number of higher stake gaming machines allowable in premises is restricted according to the type of premises licence or permit granted. For example, a converted casino

licence allows for 20 gaming machines in categories B, C or D. With the exception of AGCs and FECs, premises are not permitted to be used exclusively for making gaming machines available, but rather to provide the gaming facilities corresponding to the premises licence type. Further detail on gaming machines is set out in Part 16 of this guidance.

7.10 The Act states that an application must be made to a licensing authority in whose area the premises are wholly or partly situated. In circumstances where the premises lie in more than one licensing authority's area, the operator should make their application to just one of those authorities. As both licensing authorities are responsible authorities under s.157 of the Act, the other licensing authority must be notified of the application and is entitled to make representations. As a responsible authority, it has an opportunity to pass relevant information about the premises to the licensing authority determining the application. Further detail on responsible authorities is set out at Part 8 of this guidance.

7.11 Casino premises are subject to separate regulations, involving a two-stage application process. Details of the two stage process can be found in Part 17 of this guidance.

Vessels

7.12 The Act permits premises licences to be granted for passenger vessels. Separate application forms are prescribed for vessels under the Premises Licences and Provisional Statements Regulations (SI 2007/459 or SSI 2007/196). The definition of a vessel in s.353(1) of the Act is:

- anything (other than a seaplane or amphibious vehicle) designed or adapted for use on water
- a hovercraft
- anything, or part of any place, situated on or in water.

7.13 This last part of the definition should be given a normal and sensible interpretation. Structures which are an extension of the land are not vessels, even if they arch over water. Thus, neither a pier nor a bridge is to be considered a vessel and they remain premises under the Act. This is important because not all forms of permit are available to vessels.

7.14 The Act allows pleasure boats to apply for premises licences. As with multi-purpose buildings, the part of the vessel where gambling takes place will be licensed and the usual restrictions on access for children will apply. The Act applies in relation to a vessel that is not permanently moored or berthed, as if it were premises situated in a place where it is usually moored or berthed. The relevant licensing authority for considering an application for a premises licence in respect of a vessel is the authority for the area in which it is usually moored or berthed.

7.15 Where a premises licence is sought in connection with a vessel which will be navigated while licensable activities take place, the licensing authority should be concerned with the promotion of the licensing objectives on board the vessel. It should not focus on matters relating to safe navigation or operation of the vessel, the general safety of passengers or emergency provision, all of which are subject to regulations which must be met before the vessel is issued with its Passenger Certificate and Safety Management Certificate.

7.16 Licences are not required for gambling if it takes place aboard a vessel engaged on an international journey. Such gambling is exempted from the offences under the Act if the vessel is on a journey which has taken it, or is intended to take it, into international waters (so this includes cross-channel ferries). In the case of aircraft, no offence takes place if the gambling takes place in international airspace.

7.17 This means that licensing authorities will have jurisdiction over gambling conducted on vessels on all inland waterways, at permanent moorings, and on all aircraft on the ground or in domestic airspace. If an ocean-going vessel is involved, authorities will need to establish where the vessel has been, or is intending to go.

Vehicles

7.18 Vehicles (trains, road vehicles, aircraft, sea planes and amphibious vehicles, other than a hovercraft) may not be the subject of a premises licence and therefore all forms of commercial betting and gaming will be unlawful in a vehicle in Great Britain. Certain allowances are made for private and non-commercial gaming or betting to take place in a vehicle, but these are subject to a number of stringent requirements. These ensure that, at no point, can the gambling become a commercial activity.

Access to premises

7.19 An issue that may arise when division of a premises is being considered is the nature of the unlicensed area from which a customer may access a licensed gambling premises. The precise nature of this public area will depend on the location and nature of the premises. Licensing authorities will need to consider whether the effect of any division is to create a machine shed-type environment with very large banks of machines, which is not the intention of the access conditions, or whether it creates a public environment with gambling facilities being made available.

7.20 The Gambling Act 2005 (Mandatory and Default Conditions) Regulations (SI 2007/1409 for England and Wales (opens in new tab) and SSI2007/266 for Scotland (opens in new tab)) set out the access provisions for each type of premises. The broad principle is that there can be no access from one licensed gambling premises to another, except between premises which allow access to those under the age of 18 and with the further exception that licensed betting premises may be accessed from other licensed betting premises. Under-18s can go into FECs, tracks, pubs and some bingo clubs, so access is allowed between these types of premises.

7.21 These Regulations define street as ‘including any bridge, road, lane, footway, subway, square, court, alley or passage (including passages through enclosed premises such as shopping malls) whether a thoroughfare or not’. This is to allow access through areas which the public might enter for purposes other than gambling, for example, access to casinos from hotel foyers.

7.22 There is no definition of ‘direct access’ in the Act or regulations, but licensing authorities may consider that there should be an area separating the premises concerned, for example a street or cafe, which the public go to for purposes other than gambling, for there to be no direct access.

7.23 The relevant access provisions for each premises type is as follows:

Type of premises	Access provisions
Casinos	<ul style="list-style-type: none"> the principal entrance to the premises must be from a 'street' no entrance to a casino must be from premises that are used wholly or mainly by children and/or young persons no customer must be able to enter a casino directly from any other premises which holds a gambling premises licence
AGCs	<ul style="list-style-type: none"> no customer must be able to access the premises directly from any other licensed gambling premises.
Betting shops	<ul style="list-style-type: none"> access must be from a 'street' or from other premises with a betting premises licence no direct access from a betting shop to another premises used for the retail sale of merchandise or services. In effect there cannot be an entrance to a betting shop from a shop of any kind unless that shop is itself a licensed betting premises.
Tracks	<ul style="list-style-type: none"> no customer must be able to access the premises directly from a casino or AGC.
Bingo premises	<ul style="list-style-type: none"> no customer must be able to access the premises directly from a casino, an AGC or a betting premises, other than a track.
FECs	<ul style="list-style-type: none"> no customer must be able to access the premises directly from a casino, an AGC or a betting premises, other than a track.

Access to gambling by children and young people

7.24 The Act contains the objective of 'protecting children and other vulnerable persons from being harmed or exploited by gambling' and sets out offences at s.46 and s.47 of inviting, causing or permitting a child or young person to gamble, or to enter certain gambling premises. Children are defined in the Act as under-16s and young persons as 16-17 year olds. An adult is defined as 18 and over.

7.25 Children and young persons may take part in private and non-commercial betting and gaming, but the Act restricts the circumstances in which they may participate in gambling or be on premises where gambling is taking place as follows:

- casinos are not permitted to admit anyone under 18
- betting shops are not permitted to admit anyone under 18
- bingo clubs may admit those under 18 but must have policies to ensure that they do not play bingo, or play category B or C machines that are restricted to those over 18
- AGCs are not permitted to admit those under 18
- FECs and premises with a liquor licence (for example pubs) can admit under- 18s, but they must not play category C machines which are restricted to those over 18
- clubs with a club premises certificate can admit under-18s, but they must have policies to ensure those under 18 do not play machines other than category D machines
- all tracks can admit under-18s, but they may only have access to gambling areas on days where races or other sporting events are taking place, or are expected to take place. This was extended to other sporting venues under the Gambling Act 2005 (Exclusion of Children from Track Areas) Order 2007 (SI 2007/1410). Tracks will be required to have policies to ensure that under-18s do not participate in gambling other than on category D machines.

7.26 Licensing authorities should take particular care in considering applications for multiple licences for a building and those relating to a discrete part of a building used for other (non-gambling) purposes. In particular, they should be aware that entrances and exits from parts of a building covered by one or more licences should be separate and identifiable so that the separation of different premises is not compromised and that people do not 'drift' into a gambling area. The plan of the premises should clearly denote entrances and exits.

7.27 For bingo and FEC premises, it is a mandatory condition that under-18s should not have access to areas where category B and C gaming machines are located and this is achieved through default conditions that require the area to be:

- separated from the rest of the premises by a physical barrier which is effective to prevent access other than by an entrance designed for that purpose
- supervised at all times to ensure that under-18s do not enter the area, and supervised by either:
- one or more persons whose responsibilities include ensuring that under- 18s do not enter the areas
- CCTV monitored by one or more persons whose responsibilities include ensuring that under-18s do not enter the areas
- arranged in a way that ensures that all parts of the area can be observed.

A notice must be displayed in a prominent place at the entrance to the area stating that no person under the age of 18 is permitted to enter the area.

7.28 Products made available for use in gambling premises will often contain imagery that might be of particular appeal to children or young people. For example, cartoon imagery that is ubiquitous on gaming machine livery. Where any such product is sited on age-restricted premises or in the age-restricted area of premises (and in particular, if sited close to the entrance or threshold and therefore visible to children or young people), licensees should consider whether it might risk inviting under 18s to enter the restricted area.

7.29 The LCCP requires licensees to ensure that their policies and procedures for preventing underage gambling take account of the structure and layout of their gambling premises. This therefore requires licensees not only to be able to supervise their premises but also that they should mitigate the risks of under 18s being attracted to enter premises by the products available within them. Where a licensing

authority has concerns that such products are visible, they could for example require the licensee to re-site the products out of view.

7.30 There are a range of other conditions which attach to each type of premises which are set out in Part 9 of this guidance and other parts relating to each type of premises.

Multiple activity premises – layout and access

7.31 With the exception of bingo clubs, tracks on race-days and licensed FECs, children will not be permitted to enter licensed gambling premises. Therefore businesses will need to consider carefully how they wish to configure their buildings if they are seeking to develop multi-purpose sites.

7.32 Licensing authorities should take particular care in considering applications for multiple premises licences for a building and those relating to a discrete part of a building used for other (non-gambling) purposes. In particular, they should be aware of the following:

- the third licensing objective seeks to protect children from being harmed or exploited by gambling and premises should be configured so that children are prohibited from participating in gambling, such that they are not invited to participate in, have accidental access to, or closely observe gambling
- entrances to and exits from parts of a building covered by one or more premises licences should be separate and identifiable so that the separation of different premises is not compromised and people do not 'drift' into a gambling area. In this context it should normally be possible to access the premises without going through another licensed premises or premises with a permit
- customers should be able to participate in the activity named on the premises licence.

7.33 In determining whether two or more proposed premises are truly separate, the licensing authority should consider factors which could assist them in making their decision, including:

- Is a separate registration for business rates in place for the premises?
- Is the premises' neighbouring premises owned by the same person or someone else?
- Can each of the premises be accessed from the street or a public passageway?
- Can the premises only be accessed from any other gambling premises?

The Commission has published guidance to assist licensing authority officers when considering applications for, and conducting inspections of, multi-activity premises ([opens in new tab](#)) (this guide does not form part of the Guidance to licensing authorities).

7.34 Where a building consists of a number of areas which hold separate premises licences, each individual licence must not exceed its permitted gaming machine entitlement. The position is different for tracks, as detailed in Part 20.

7.35 The proper application of s.152 means that different premises licences cannot apply in respect of single premises at different times. There is no temporal element to a premises licence. Therefore, premises could not, for example, be licensed as a bingo club on week days and a betting shop at weekends.

Single and combined licences

7.36 Only one premises licence may be issued for any particular premises at any time although, in some circumstances, the licence may authorise more than one type of gambling. For example, a bingo licence will also authorise the provision of gaming machines. Details of the gambling permissible under each type of licence are set out in the Act and in the premises specific parts of this guidance.

7.37 The exception to this relates to tracks, that is a horse racing course, dog track or other premises where races or sporting events take place, which may be subject to more than one premises licence, provided each licence relates to a specified area of the track.

7.38 The Act sets out that there will be a main (betting premises) licence for the track, and, in addition, subsidiary premises licences for other gambling activities may be issued. The normal limitations in respect of access by children and young persons will apply, although in relation to a premises licence for a track, children and young persons will be permitted to enter track areas where facilities for betting are provided on days when dog racing and/or horse racing takes place. This is subject to the rule that children and young persons may not enter any area where gaming machines (other than category D machines) are provided.

7.39 In principle there is no reason why multiple types of gambling should not co-exist on a track (with the exception of a casino or AGC, because of the access restrictions placed on tracks by Schedule 6, Part 1 of the Gambling Act 2005 (Mandatory and Default Conditions) Regulations, but licensing authorities will want to think about how the third licensing objective is delivered by the co-location of premises. As with the granting of multiple licences in a single building, licensing authorities will need to ensure that entrances to each type of premises are distinct and that under-18s are excluded from gambling areas where they are not permitted to enter.

Applications

7.40 A summary of the application forms and statutory notices is provided at Appendix E.

7.41 An application for a premises licence may only be made by persons (which includes companies or partnerships):

- who are aged 18 or over **and**
- who have the right to occupy the premises **and**
- who have an operating licence which allows them to carry out the proposed activity. Details of operators that hold an operating licence are available on the Commission's website **or**
- who have applied for an operating licence to allow them to carry out the proposed activity. The premises licence cannot be determined until an operating licence has been issued.

7.42 The exception to this is an applicant for a premises licence to allow a track to be used for betting, as these applicants are not required to hold an operating licence if they are merely providing space for other people to provide betting (and those other people hold valid betting operating licences). However, if a track

owner is also acting as a betting operator, for example, running pool betting, they will have to have the relevant type of operating licence.

7.43 An application must be made to the relevant licensing authority in the form prescribed in regulations laid down by the Secretary of State or Scottish Ministers, and must be accompanied by:

- the prescribed fee
- the prescribed documents namely a plan of the premises – the plan needs to be to scale, however, a specific scale has not been prescribed.

Plans of premises

7.44 The licensing of premises is primarily a matter for local determination and is something which the Commission is unlikely to comment on, unless it raises matters of wider or national significance. However, there have been a limited number of occasions in which an operator has applied for a variation to a premises licence in which the accompanying plan of the premises has only contained an outline of the licensed premises and the exit points without, for example, the location of the gaming machines and counter. We therefore consider it beneficial, for both licensing authorities and operators, for us to set out the issues involved and our understanding of the options available.

7.45 The Gambling Act 2005 (Premises Licences and Provisional Statements) Regulation 2007 (opens in new tab) (as amended) states that a plan must show:

- the extent of the boundary or perimeter of the premises
- where the premises include, or consist of, one or more buildings, the location of any external or internal walls of each such building
- where the premises form part of a building, the location of any external or internal walls of the building which are included in the premises
- where the premises are a vessel or a part of a vessel, the location of any part of the sides of the vessel, and of any internal walls of the vessel, which are included in the premises
- the location of each point of entry to and exit from the premises, including in each case a description of the place from which entry is made or to which the exit leads.

7.46 The Regulation states (other than in respect of a track) ‘...the plan must show the location and extent of any part of the premises which will be used to provide facilities for gambling in reliance on the licence’. However licensing authorities may consider that this minimum requirement is not sufficient to satisfy them when determining if the application is in accordance with s.153 principles, namely the licensing objectives, this guidance and the Commissions’ codes of practice – in particular the social responsibility codes – and the licensing authorities’ own policy statement. If the application and accompanying plan are insufficient, the licensing authority should ask for more information from the applicant.

7.47 The premises plan itself is only one means by which the licensing authority may seek reassurance that the requirements will be met. It may be that conditions attached to the premises licence regarding lines of sight between the counter and the gaming machines, staffing arrangements or security devices are

a more effective method of doing so. Local circumstances and concerns, and the layout of a particular premises, will determine what is most appropriate for an individual application.

Notice of application

7.48 The Secretary of State and Scottish Ministers have made regulations (SI 2007/459: The Gambling Act 2005 (Premises Licences and Provisional Statements) Regulations 2007 and SSI 2007/196 for Scotland) requiring the applicant to publish notice of their application and to notify responsible authorities and other persons about the application. These also apply, with one or two modifications, in relation to applications for provisional statements and some ancillary applications that can be made in relation to a premises licence.

7.49 Notice must be given in three ways:

- a notice placed outside the premises for 28 consecutive days in a place where it can be read conveniently
- 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, which includes the Commission, within seven days of the application being made.

7.50 A licence application, and any licence subsequently issued, is not valid if the relevant notifications have not been made.

Application for premises variation (s.187): ‘material change’

7.51 Previous guidance from DCMS ([opens in new tab](#)) and the Commission has been that an application for a variation will only be required where there are material changes to the layout of the premises. What constitutes a material change will be a matter for local determination but it is expected that a common sense approach will be adopted. When considering an application for variations, the licensing authority will have regard to the principles to be applied as set out in s.153 of the Act.

Representations

7.52 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’. Representations from other parties are inadmissible. Further information on these categories can be found in Part 8 of this guidance.

7.53 Having determined that the representation is admissible, the licensing authority must consider its relevance. Only representations that relate to the licensing objectives, or that raise issues under the licensing authority’s policy statement, or the Commission’s guidance or codes of practice, are likely to be relevant.

7.54 The licensing authority will also need to consider if representations are ‘frivolous’ or ‘vexatious’. This is a question of fact and licensing authorities are advised to seek help from their legal advisers in interpreting these phrases although relevant considerations may 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.

7.55 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

7.56 As explained earlier, the licensing authority’s primary obligation under s.153(1) is to permit the use of premises in so far as it thinks that to do so is:

- a. in accordance with any relevant code of practice issued by the Commission
- b. in accordance with any relevant guidance issued by the Commission
- c. reasonably consistent with the licensing objectives (subject to a and b above)
- d. in accordance with the licensing authority’s statement of licensing policy (policy statement) (subject to a to c above).

7.57 Further information and guidance as to the meaning and effect of s.153 is set out at paragraph 5.19 above.

Consideration of planning permission and building regulations

7.58 In determining applications, the licensing authority should not take into consideration matters that are not related to gambling and the licensing objectives. One example 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. Equally, licences should only be issued where they are expected to be used for the gambling activity named on the licence. 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. Part 11 of this guidance gives more information about provisional statements.

7.59 As the Court has held in a 2008 case (*The Queen (on the application of) Betting Shop Services Limited –v- Southend-on-Sea Borough Council* [2008] EWHC 105 (Admin)), 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 considered in a two stage process; first, licensing authorities must decide whether, as a matter of substance after applying the principles in s.153 of the Act, the premises ought to be permitted to be used for gambling; second, in deciding whether or not to grant the application a licensing authority will need to consider if appropriate conditions can be put in place to cater for the situation that the premises are not yet in the state in which they ought to be before gambling takes place.

7.60 For example, where the operator has still to undertake final fitting out of the premises but can give a reasonably accurate statement as to when the necessary works will be completed, it may be sufficient to simply issue the licence with a future effective date, as is possible under the Regulations (SI 2007/459: *The Gambling Act 2005 (Premises Licences and Provisional Statements) Regulations 2007* and SSI No 196: for Scotland). The application form allows the applicant to suggest a commencement date and the notice of grant allows the licensing authority to insert a date indicating when the premises licence comes into effect. In other cases, it may be appropriate to issue the licence subject to a condition that trading in reliance on it shall not commence until the premises have been completed in all respects in accordance with the scale plans that accompanied the licence application. If changes to the pre-grant plans are made, then parties who have made representations should be able to comment on the changes made. Part 9 of this guidance gives more information about licence conditions.

7.61 If the plans submitted at the time of the application for a premises licence are changed in any material respect during the fitting out of the premises after the grant of the licence, then the applicant will be in breach of the licence. If the applicant wishes to change the proposed plans after grant then, in order to avoid breaching the licence, it will be necessary for the applicant to either make a fresh application under s.159 or seek an amendment to a detail of the licence under s.187 of the Act. If there are substantive changes to the plans then this may render the premises different to those for which the licence was granted. In such a case, variation of the licence under s.187 is not possible. For this reason, and while this is a matter of judgement for the licensing authority, the Commission considers it would be more appropriate in the case of any material post grant change, for the applicant to make a fresh application under s.159 to preserve the rights of interested parties and responsible authorities to make representations in respect of the application.

7.62 The local authority will need to be satisfied in any individual case that the completed works comply with the original, or changed, plan attached to the premises licence. Depending upon circumstances, this could be achieved either through physical inspection of the premises or written confirmation from the applicant or surveyor that the condition has been satisfied.

7.63 Requiring the building to be complete before trading commences would ensure that the authority could, if considered necessary, inspect it fully, as could other responsible authorities with inspection rights under Part 15 of the Act. Inspection will allow authorities to check that gambling facilities comply with all necessary legal requirements. For example, category C and D machines in a licensed family entertainment centre must be situated so that people under 18 do not have access to the category C machines. The physical location of higher stake gaming machines in premises to which children have access will be an important part of this, and inspection will allow the authority to check that the layout complies with the operator's proposals and the legal requirements.

7.64 If faced with an application in respect of uncompleted premises which it appears are not going to be ready to be used for gambling for a considerable period of time, a licensing authority ought to consider whether – applying the two stage approach advocated above – it should grant a licence or whether the circumstances are more appropriate to a provisional statement application. For example, the latter would be the case if there was significant potential for circumstances to change before the premises opens for business. In such cases, the provisional statement route would ensure that the limited rights of responsible authorities and interested parties to make representations about matters arising from such changes of circumstance are protected. Licensing authorities may choose to discuss with individual applicants which route is appropriate, to avoid them having to pay a fee for an application that the licensing authority did not think was grantable.

7.65 When dealing with a premises licence application for finished buildings, the licensing authority should not take into account whether those buildings have to comply with the necessary planning or building consents. Nor should fire or health and safety risks be taken into account. Those matters should be dealt with under relevant planning control, building and other regulations, and must not form part of the consideration for the premises licence. S.210 of the Act prevents licensing authorities taking into account the likelihood of the proposal by the applicant obtaining planning or building consent when considering a premises licence application. Equally, the grant of a gambling premises licence does not prejudice or prevent any action that may be appropriate under the law relating to planning or building.

Part 8: Responsible authorities and interested parties definitions

Introduction

8.1 The Act sets out two categories of organisations and individuals that may feature in applications for and reviews of premises licences, responsible authorities and interested parties.

Responsible authorities

8.2 Responsible authorities are public bodies that must be notified of applications and that are entitled to make representations to the licensing authority in relation to applications for, and in relation to, premises licences.

8.3 S.157 of the Act identifies the bodies that are to be treated as responsible authorities. They are:

- (a) a licensing authority in England and Wales in whose area the premises is wholly or partly situated
- (b) the Gambling Commission
- (c) the chief officer of police or chief constable for the area in which the premises is wholly or partially situated
- (d) the fire and rescue authority for the same area
- (e) in England and Wales, the local planning authority, or in Scotland, the planning authority
- (f) the relevant authority as defined in s.6 of the Police and Fire Reform (Scotland) Act 2012 ([opens in new tab](#))
- (g) an authority which has functions in relation to pollution to the environment or harm to human health
- (h) anybody, designated in writing by the licensing authority, as competent to advise about the protection of children from harm
- (i) HM Revenue & Customs ([opens in new tab](#))
- (j) any other person prescribed in regulations by the Secretary of State.

8.4 S.211(4) of the Act provides that in relation to a vessel, but no other premises, responsible authorities also include navigation authorities, within the meaning of s.221(1) of the Water Resources Act 1991 ([opens in new tab](#)), that have statutory functions in relation to the waters where the vessel is usually moored or berthed, or any waters where it is proposed to be navigated at a time when it is used for licensable activities. This would include:

- (a) the Environment Agency ([opens in new tab](#)) in England and Wales or the Scottish Environment Protection Agency ([opens in new tab](#)) in Scotland
- (b) the British Waterways Board
- (c) the Secretary of State. In practice, this would be the Secretary of State for Transport who acts through the Maritime and Coastguard Agency ([opens in new tab](#)).

8.5 The Act includes a wide range of responsible authorities to ensure that all relevant regulatory bodies and organisations are made aware of applications for gambling premises licences or other permissions. Equally, a policy of wide dissemination of applications allows responsible authorities to take action under their own legislation and enforcement powers, even if there is no direct role for them in the premises licensing process for gambling.

8.6 The Act contains no obligation on responsible authorities to respond to applications for premises licences. For example, the Commission does not routinely make representations on premises licence applications, although this should not be taken as indicating the Commission's approval of a particular 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. The Commission may also comment on an application if it has particular observations about an operator.

8.7 Licensing authorities are required to set out their approach to their functions under the Act in their policy statement. One of those functions is to determine who will be competent to advise them about the protection of children from harm and the principles for determining this must be set out in a separate section in their policy statement. Licensing authorities should engage fully with the relevant designated

body and consult with them on the development of the policy statement. Further detail can be found in Part 6 at paragraph 6.15 onwards.

8.8 The Secretary of State and Scottish Ministers may prescribe other responsible authorities by means of regulations.

Interested parties

8.9 S.158 of the Act defines interested parties. To accept a representation from an interested party, the licensing authority must take the view that the person:

- lives sufficiently close to the premises to be likely to be affected by the authorised activities
- has business interests that might be affected by the authorised activities
- represents persons in either of these two groups. Licensing authorities will need to have regard to anything an interested party says about their status to make representations.

8.10 The approach taken by licensing authorities in determining who is an interested party should be dealt with in their policy statement. As with responsible authorities, regulations require this information to be in a separate section of the policy statement, as outlined in Part 6 at paragraph 6.18 onwards.

8.11 The following gives further advice on how licensing authorities can determine whether someone is an interested party.

People living close to the premises

8.12 There are a number of factors that licensing authorities should take into account when determining whether a person 'lives sufficiently close to the premises'. These might include:

- the size of the premises
- the nature of the premises
- the distance of the premises from the location of the person making the representation
- the potential impact of the premises such as the number of customers, routes likely to be taken by those visiting the establishment
- the circumstances of the person who lives close to the premises. This is not their personal characteristics, but their interests which may be relevant to the distance from the premises.

8.13 Relevant factors will depend on the particular application. For example, it is reasonable for a licensing authority to consider that living sufficiently close to premises to likely be affected could have a different meaning for (a) a private resident, (b) a residential school for children with truanting problems and (c) a residential hostel for vulnerable adults.

The nature and scope of business interests that could be affected

8.14 It could be argued that any gambling business could be affected by another gambling business expanding into any part of Great Britain. But that is unlikely to be enough to satisfy the test of being ‘a person with business interests that might be affected by the premises’ under consideration. For example, an operator in a particular sector be it casino, bingo, betting etc, should not be able to lodge representations on every application put in by a rival operator anywhere in the country, simply because they are in competition within the same gambling sector. Specifically, licensing authorities are reminded that the ‘demand test’ from previous gambling legislation does not apply under the Act.

8.15 The licensing authority should be satisfied that the relevant business is likely to be affected. Factors that are likely to be relevant include:

- the size of the premises
- the ‘catchment’ area of the premises, that is, how far people travel to visit the premises
- whether the person making the representation has business interests in that catchment area that might be affected.

People representing those in the above categories

8.16 Interested parties can be people who are democratically elected such as councillors, MSPs, MSs and MPs, as persons representing individuals in the other categories. This would include county, parish and town councillors. Other representatives might include bodies such as trade associations and trade unions, and residents’ and tenants’ associations. A school head or governor might act in representing the interests of pupils or parents and a community group might represent vulnerable people living near to the proposed premises.

8.17 Save for democratically elected persons, licensing authorities should satisfy themselves on a case by case basis that a person does represent interested parties, and request written evidence where necessary. A letter from the interested person(s) they are representing would be sufficient.

Part 9: Premises licence conditions

Introduction

9.1 The Act provides that licences may be subject to conditions in a number of ways:

- they may attach automatically, having been set out on the face of the Act
- they may attach through regulations made by the Secretary of State or Scottish Ministers
- they may be attached to operating and personal licences by the Commission
- they may be attached to premises licences by licensing authorities.

9.2 Conditions may sometimes be general in nature attaching to all licences or all licences of a particular class, or they may be specific to a particular licence.

9.3 Conditions on premises licences should relate only to gambling, as considered appropriate in the light of the principles to be applied by licensing authorities under s.153. Accordingly, if the Commission's Licence conditions and codes of practice (LCCP) or other legislation places particular responsibilities or restrictions on an employer or the operator of premises, it is not appropriate to impose the same through conditions on a premises licence.

Conditions and authorisations by virtue of the Act

9.4 The following paragraphs set out specific sections of the Act that provide for conditions to be attached automatically to premises licences, or for authorisations to be granted automatically. The Secretary of State/Scottish Ministers may make regulations requiring these conditions to be set out on the premises licence, and there is no discretion to decide not to include them or to modify them. The table after paragraph 9.18 summarises which sections of the Act apply to which types of premises licences.

S.172 – number of gaming machines

9.5 S.172 provides for premises licences to permit a specified number of gaming machines of particular categories in each type of gambling premises. These permissions are set out in detail in Part 16 of this guidance.

S.173 – betting on virtual events

9.6 S.173 authorises the holder of a casino premises licence or a betting premises licence to make facilities available for betting on virtual events. This is separate from betting on virtual events by means of a gaming machine. It is intended to cover facilities such as virtual horse and greyhound racing which are person-to-person transactions, involving virtual images that are not displayed on a machine.

S.174 – gambling in addition to casino games

9.7 S.174 authorises the holder of a casino premises licence for a small or large casino to make available the following types of gambling in addition to casino games:

- equal chance games
- betting – but not in pre-2005 Act casinos with grandfather rights and only with a betting operating licence
- bingo – but only in large casinos and only with a bingo operating licence.

9.8 For the purposes of the Act, equal chance games are ones which do not involve playing or staking against a bank and in which the chances are equally favourable to all players. Licensing authorities must not restrict the equal chance gaming available nor prohibit casino games that have not been prohibited by the Commission. Part 17 of this guidance provides details of the casino games authorised by the Commission.

S.176 – access by children and young persons to casinos

9.9 S.176 requires the Commission to issue at least one code of practice about access to casino premises for children and young persons. In particular, the code must:

- specify steps that the premises licence holder must take to ensure that under-18s do not enter casino premises, including ensuring that each entrance to the casino is supervised by at least one person who is responsible for compliance with the code of practice
- require that, unless the supervisor is certain that a person seeking admittance is an adult, evidence of age must be provided by those seeking to enter the casino or gambling area.

9.10 S.176 makes it a condition of the premises licence that the licensee must comply with the code of practice issued by the Commission. Licensing authorities should note that the requirement under s.176 for supervision at each entrance is separate to any other condition that may be attached relating to 'door supervision' more generally.

S.177 – giving of credit

9.11 S.177 attaches a condition to casino premises licences and bingo premises licences that prohibits the licensee from:

- giving credit in connection with the gambling taking place on the premises
- participating in, arranging, permitting or knowingly facilitating the giving of credit in connection with the gambling on the premises.

9.12 However, s.177 does not prevent the licensee from contracting a third party to install cash dispensers (ATMs) on their premises, which may accept both credit and debit cards. Such an arrangement is subject to requirements that the premises licence holder has no other commercial connection in relation to gambling with the provider of the ATMs (aside from the agreement to site the machines), does not profit from the arrangement, and does not make any payment in connection with the machines. All premises licences also include a mandatory condition which requires that any ATM made available for use on the premises must be located in a place that requires any customer who wishes to use it to cease gambling in order to do so (Part 1(5) of The Gambling Act 2005 (Mandatory and Default Conditions) Regulations).

9.13 S.177 deals with the prohibition of credit in respect of casino and bingo premises licences. However equivalent prohibitions are placed on bingo and casino operating licences, as set out in s.81 of the Act, credit and inducements.

S.178 – door supervision

9.14 If a licensing authority attaches a condition relating to door supervision, and the person carrying out those duties are required by the Private Security Industry Act 2001 (opens in new tab) (PSIA) to hold a licence, s. 178 of the Gambling Act 2005 (opens in new tab) prescribes that the requirement under PSIA will be treated as if it were a condition of the premises licence. There is, however, an exemption from the

PSIA licensing requirement for in-house employees working as door supervisors at casino and bingo premises, details of which can be found in Part 33 of this guidance.

9.15 S.178 defines door supervision as requiring someone to be responsible for ‘guarding the premises against unauthorised access or occupation, against outbreaks of disorder or against damage’.

S.179 – pool betting

9.16 S.179 provides that a betting premises licence in respect of a track may not authorise pool betting to take place, other than in respect of dog or horse racing and only where the acceptance of bets is by the holder of the betting premises licence, or in accordance with arrangements made by them. In the case of dog racing, this preserves the existing arrangements at dog tracks where the totalisator is operated by or on behalf of the occupier of the track.

S.182 – access by children and young persons to tracks

9.17 S.182 applies only to a betting premises licences in respect of tracks. It requires the licensee to ensure that children and young persons are excluded from any area in which facilities for betting are provided and from any area where a gaming machine (other than a category D gaming machine) is situated. The exception to this, for betting areas only, is on race days at dog and horse racing tracks, that is on those days when racing occurs or is expected to take place. In those cases, under-18s may have access to betting areas but licensing authorities should note that this exception does not affect the prohibition on betting by children and young persons.

S.183 – Christmas day

9.18 S.183 applies a condition to all premises licences that facilities for gambling must not be provided on Christmas day, namely the period of 00.01 hours on 25 December until 00.00 hours on 26 December.

Section of the Act

Type of premises licence	Section of the Act								
	s.172	s.173	s.174	s.176	s.177	s.178	s.179	s.182	s.183
All premises licences	x					x			x
Bingo premises licences					x				
Casino premises licences		x		x	x				
Small casinos			x						
Large casinos			x						
Betting premises licences		x							
Betting premises licence in respect of a track							x	x	

Conditions attached through regulations made by the Secretary of State or Scottish Ministers – all premises

9.19 The Secretary of State and Scottish Ministers have set out conditions to be attached to all premises licences in the Gambling Act 2005 (Mandatory and Default Conditions) (England and Wales) Regulations 2007 (opens in new tab) (SI 2007/1409), and the Gambling Act 2005 (Mandatory and Default Conditions) (Scotland) Regulations 2007 (opens in new tab) (SSI 2007/266).

9.20 Conditions under these regulations fall into two categories:

- mandatory conditions made under s.167 of the Act that must be attached to premises licences
- default conditions made under s.168 of the Act, that attach to the premises licence unless the licensing authority decides to exclude them, using its powers under s.169.

9.21 Licensing authorities should note that mandatory conditions made under these regulations are set with the intention that no further regulation in relation to that matter is required. Therefore, it is extremely unlikely that licensing authorities will need to impose individual conditions in relation to matters that are already dealt with by mandatory conditions. Licensing authorities should only consider doing so where there are regulatory concerns of an exceptional nature, and any additional licence conditions must relate to the licensing objectives.

9.22 Mandatory conditions applying to all premises licences are set out at paragraph 9.25 onwards. In addition, there are mandatory conditions that relate to particular category of premises licences. Details of these can be found in Parts 17 to 22 of this guidance.

9.23 Licensing authorities have more flexibility in relation to default conditions and may exclude a default condition and substitute it with one that is either more or less restrictive. Licensing authorities should note, however, that default conditions are intended to reflect normal industry operating practices. In circumstances where default conditions are excluded, the Commission would generally expect them to be replaced by other conditions, given the requirements of s.153. Where the condition is more restrictive, the licensing authority should ensure that they have clear regulatory reasons for doing so.

9.24 Default conditions under the regulations set out above relate to particular categories of premises licence and details can be found in Parts 17 to 22 of this guidance.

Mandatory conditions

9.25 The following mandatory conditions apply to all premises licences:

- the summary of the premises licence issued by the licensing authority must be displayed in a prominent place on the premises. In England and Wales this must include a summary of the terms and conditions of the premises licence.
- the layout of the premises must be maintained in accordance with the plan that forms part of the premises licence.
- neither National Lottery products nor tickets in a private or customer lottery may be sold on the premises in England and Wales. Sale of National Lottery and private lottery tickets are prohibited in Scotland.

9.26 There are also mandatory conditions attaching to each type of premises licence controlling access between premises. There can be no direct access between one premises licensed under the Act and another premises licensed under the Act, with the following exceptions:

- between licensed betting premises
- between bingo premises and alcohol-licensed premises/clubs with a club gaming or club machine permit/family entertainment centres (FECs) and tracks
- between tracks and alcohol-licensed premises/clubs with a club gaming or club machine permit/FECs/betting premises and bingo premises
- between FECs and alcohol-licensed premises/bingo halls/clubs with club gaming or club machine permit and tracks.

Default conditions

9.27 S.169 of the Act gives licensing authorities:

- the ability to exclude from premises licences any default conditions that have been imposed under s.168
- the power to impose conditions on premises licences that they issue.

9.28 Licensing authorities should make decisions on conditions on a case-by-case basis, and in the context of the principles of s.153. They must aim to permit the use of premises for gambling and so should not attach conditions that limit their use except where it is necessary in accordance with the licensing objectives, the Commission's codes of practice and this guidance, or their own statement of policy. Conversely, licensing authorities should not turn down applications for premises licences where relevant objections can be dealt with through the use of conditions.

9.29 Licensing authority statements of policy will need to consider the local circumstances which might give rise to the need for conditions. Where there are specific risks associated with a particular locality, the licensing authority might decide to attach conditions to the premises licence to mitigate those risks. For example, local issues associated with a high crime rate may put a premises at risk of not being consistent with the licensing objectives, and specific conditions may be necessary to address the risk.

9.30 Where there are risks associated with a specific premises or class or premises, the licensing authority may consider it necessary to attach conditions to the licence to address those risks, taking account of the local circumstances.

9.31 Conditions imposed by the licensing authority must be proportionate to the circumstances which they are seeking to address. In particular, licensing authorities should ensure that the premises licence conditions are:

- relevant to the need to make the proposed building suitable as a gambling facility
- directly related to the premises (including the locality and any identified local risks) and the type of licence applied for
- fairly and reasonably related to the scale and type of premises
- reasonable in all other respects.

Conditions that may not be attached to premises licences by licensing authorities

9.32 The Act sets out certain matters that may not be the subject of conditions:

- s.169(4) prohibits a licensing authority from imposing a condition on a premises licence which makes it impossible to comply with an operating licence condition
- s.172(10) provides that conditions may not relate to gaming machine categories, numbers, or method of operation
- s.170 provides that membership of a club or body cannot be required by attaching a condition to a premises licence (the Act specifically removed the membership requirement for casino and bingo clubs and this provision prevents it being reinstated)
- s.171 prevents a licensing authority imposing conditions in relation to stakes, fees, winnings or prizes.

Part 10: Review of premises licence by licensing authority

Introduction

10.1 A premises licence may be reviewed by the licensing authority of its own volition or following the receipt of an application requesting a review from a responsible authority or an interested party (as defined in s.157 and s.158 of the Act). Licensing authorities should note that reviews cannot be delegated to an officer of the licensing authority – the lowest level of delegation permitted is to a licensing sub-committee.

10.2 The ‘aim to permit’ framework provides wide scope for licensing authorities to review premises licences where there is a potential conflict with the Commission’s Licence conditions and codes of practice (LCCP) and this guidance, the licensing objectives or the licensing authorities own statement of policy. Whilst the Act does not provide a pre-defined list of issues that might prompt a licence review, it is expected that the licensing authority will have set out its view on local issues and priorities that underpin its approach to regulation in its statement of policy in any event, which might then prompt a review.

10.3 Licensing authorities are expected to act in a manner that is in accordance with the powers set out under the Act. This means that licensing authority actions, including reviews, should be in pursuit of the principles set out in s.153 of the Act or underpinned by reasonable concerns, such as changes to the local environment or resident complaints.

10.4 Licensing authorities might consider it prudent to have constructive discussions with operators about any such concerns, prior to discharging its powers. To this end, the operator might be asked to provide the licensing authority with its own local risk assessment (as provided for under ordinary code 10.1.2 of the LCCP which sets out the controls it has put in place to mitigate risks). The licensing authority has the right to exercise its powers under the Act, if the operator does not offer reasonable or practical suggestions for mitigating risks.

Initiation of review by licensing authority

10.5 S.200 of the Act provides that licensing authorities may initiate a review in relation to a particular premises licence or a particular class of premises licence. Licensing authorities may wish to consider in their scheme of delegations who initiates reviews, and any checking system of that to prevent unwarranted reviews from being conducted.

10.6 In relation to a class of premises, the licensing authority may review the use made of premises and, in particular, the arrangements that premises licence holders have made to comply with licence conditions. In relation to these general reviews, it is likely that the licensing authority will be acting as a result of concerns or complaints about particular types of premises, which may result in them looking at, for example, default conditions that apply to that category of licence.

10.7 In relation to particular premises, the licensing authority may review any matter connected with the use made of the premises if:

- it has reason to suspect that premises licence conditions are not being observed
- the premises is operating outside of the principles set out in the licensing authority’s statement of policy
- there is evidence to suggest that compliance with the licensing objectives is at risk
- for any other reason which gives them cause to believe that a review may be appropriate, such as a complaint from a third party.

10.8 A formal review would normally be at the end of a process of ensuring compliance by the operator(s) which might include an initial investigation by a licensing authority officer, informal mediation or dispute

resolution. If the concerns are not resolved then, after a formal review, the licensing authority may impose additional conditions or revoke the licence.

10.9 The licensing authority must give written notice to the licence holder and responsible authorities that it intends to undertake a review and must also publish notice of its intention to carry out the review. The Gambling Act 2005 (Premises Licences)(Review) Regulations 2007 (opens in new tab)(SI 2007/2258) and the Gambling Act 2005 (Review of Premises Licences)(Scotland) Regulations 2007 (opens in new tab) (SSI 2007/394) require the licensing authority to display notice at a place which is as near as reasonably practicable to the relevant premises or where it can be conveniently read by members of the public. The notice must be displayed for no less than 28 consecutive days, starting on the day that the licensing authority gives notice to the holder of the premises licence.

10.10 In addition, the notice must be published **either**:

- in a local newspaper or, if there is none, a local newsletter, circular or similar document within the licensing authority's area, at least once during the period of ten working days from the day on which the licensing authority gives notice to the holder of the premises licence, **or**
- on the licensing authority's internet website for no less than 28 consecutive days, starting on the day that the licensing authority gives notice to the holder of the premises licence.

Application for a review

10.11 S.197 of the Act provides that an application for review may be made by a responsible authority or an interested party, detailed in Part 8 of this guidance. Such applications must be submitted to the licensing authority in the prescribed form and state the reasons why a review is being requested, together with any supporting information and documents.

10.12 The regulations require the applicant to provide written notice of their application to the premises licence holder and to all responsible authorities, within seven days of making their application. Failure to do so will halt the application process until notice is received by all parties.

10.13 Representations must be made within 28 days, commencing seven days after the date on which the application was received. During these seven days the licensing authority is required to publish notice of the application, as per the process set out in the regulations referred to in paragraph 10.9.

Decision whether to grant an application for a review

10.14 S.199 provides that a licensing authority must grant an application for a review, unless it decides to reject the application under s.198 of the Act. By virtue of s.198, an application may, but need not, be rejected if the licensing authority thinks that the grounds on which the review is sought:

- a) are not relevant to the principles that must be applied by the licensing authority in accordance with s.153, namely the licensing objectives, the Commission's codes of practice and this guidance, or the licensing authority's statement of policy
- b) are frivolous
- c) are vexatious
- d) will certainly not cause the licensing authority to revoke or suspend a licence or to remove, amend or attach conditions on the premises licence
- e) are substantially the same as the grounds cited in a previous application relating to the same premises
- f) are substantially the same as representations made at the time the application for a premises licence was considered.

10.15 In the case of e) and f), the licensing authority shall take into account the period of time that has passed since the previous application or representations were made, in deciding whether this is a reasonable basis for not reviewing the licence.

10.16 As licensing authorities are required to permit the use of premises for gambling, in so far as it is in accordance with the s.153 principles, applications that raise general objections to gambling as an activity, that relate to demand for gambling premises, or raise issues relating to planning, public safety, and traffic congestion are unlikely to be considered an appropriate basis for review, leading to rejection under a) above.

10.17 The decision to grant a review must not amount to pre-judging the outcome of a review.

Carrying out a review

10.18 Having given notice of their intention to initiate a review or having decided to grant a review following an application, s.201 of the Act requires the licensing authority to carry out the review as soon as possible after the 28 day period for making representations has passed.

10.19 The purpose of the review will be to determine whether the licensing authority should take any action in relation to the licence, namely:

- add, remove or amend a licence condition imposed by the licensing authority
- exclude a default condition imposed by the Secretary of State or Scottish Ministers (for example, relating to opening hours) or remove or amend such an exclusion
- suspend the premises licence for a period not exceeding three months
- revoke the premises licence.

10.20 In particular, the licensing authority may take the above action on the grounds that a premises licence holder has not provided facilities for gambling at the premises. This is to prevent people from applying for licences in a speculative manner without intending to use them. Equally, the premises licence holder must only offer the type of gambling that they are permitted to.

10.21 The licensing authority must hold a hearing, unless the applicant and any person who has made representations consent to the review being conducted without one. The licensing authority must have regard to any relevant representations when reviewing the matter, and must have regard to the principles in s.153 of the Act.

10.22 Once the review has been completed the licensing authority must notify its decision as soon as possible to:

- the licence holder
- the applicant for review (if any)
- the Commission
- any person who made representations
- the chief officer of police or chief constable
- HM Revenue and Customs (opens in new tab).

10.23 Rights of appeal are set out in Part 12 of this guidance.

Part 11: Provisional statements

Introduction

11.1 S.204 of the Act provides for a person to make an application to the licensing authority for a provisional statement in respect of premises that he or she:

- expects to be constructed
- expects to be altered
- expects to acquire a right to occupy.

11.2 Developers may wish to apply for provisional statements before they enter into a contract to buy or lease property or land, to judge whether a development is worth taking forward in light of the need to obtain a premises licence. It is also possible for an application for a provisional statement to be made for premises that already have a premises licence, either for a different type of gambling or the same type.

11.3 Whilst applicants for premises licences must hold or have applied for an operating licence from the Commission (except in the case of a track), and they must have the right to occupy the premises in respect of which their premises licence application is made, these restrictions do not apply in relation to an application for a provisional statement.

11.4 In circumstances where an applicant has also applied to the Commission for an operating licence, the Commission will not be able to comment on whether the application is likely to be granted. The licensing authority should not speculate on or otherwise take into account the likelihood of an operating licence being granted in its consideration of the application for a provisional statement.

11.5 An application for a provisional statement must be accompanied by plans and the prescribed fee. Licensing authorities in England and Wales set their own provisional statement fees up to a pre-determined maximum, whereas licensing authorities in Scotland must use the provisional statement fees set by Scottish Ministers (SI No. 479: The Gambling (Premises Licence Fees) (England and Wales) Regulations 2007 SSI No. 197: The Gambling (Premises Licence Fees) (Scotland) Regulations 2007).

11.6 Subject to any necessary modifications, the process for considering an application for a provisional statement is the same as that for a premises licence application. The applicant is obliged to give notice of the application in the same way as applying for a premises licence. Responsible authorities and interested parties may make representations and there are rights of appeal.

11.7 Once the premises are constructed, altered, or acquired the holder of a provisional statement can put in an application for the necessary premises licence. A premises licence application for a premises where the applicant already holds a provisional statement for that premises attracts a lower application fee. S.205 of the Act sets out rules on how the authority must treat this application. Licensing authorities should note that, in the absence of a requirement that an applicant for a provisional licence must have the right to occupy the premises, there may be more than one valid provisional statement in respect of the same premises.

11.8 If a provisional statement has been granted, the licensing authority is constrained in the matters it can consider when an application for a premises licence is made subsequently in relation to the same premises.

11.9 No further representations from relevant authorities or interested parties can be taken into account unless they concern matters which could not have been addressed at the provisional statement stage, or they reflect a change in the applicant's circumstances.

11.10 In addition the licensing authority may refuse the premises licence, or grant it on terms different to those attached to the provisional statement, only by reference to matters:

- which could not have been raised by way of representations at the provisional licence stage
- which, in the authority's opinion, reflect a change in the operator's circumstances
- where the premises has not been constructed in accordance with the plan and information submitted with the provisional statement application. This must be a substantial change to the plan and licensing authorities should discuss any concerns they have with the applicant before making a decision.

11.11 S.210 of the Act, which applies to both premises licences and provisional statements, makes it clear that a licensing authority must not have regard to whether or not a proposal by the applicant is likely to be permitted in accordance with planning or building law.

Part 12: Rights of appeal and judicial review

Introduction

12.1 This part deals with appeals relating to premises licensing and other decisions by licensing authorities. Licensing authority decisions may also be subject to judicial review giving reasons for decisions.

Giving reasons for decisions

12.2 It is a requirement of the Act that a licensing authority gives reasons for a rejection of an application (for example, Schedule 8 of The Gambling Act 2005 (Premises Licences and Provisional Statements) Regulations 2007 (opens in new tab) prescribes the form of notice that must be given when an application is rejected, which includes the reasons for rejection) but it is good practice for reasons to be given in relation to all decisions.

12.3 A failure to give reasons may result in an appeal of the decision or the suggestion that the licensing authority did not have regard to all the relevant information when making its decision, in line with its obligation under s.153 of the Act. It is particularly important that reasons should reflect the extent to which the decision has been made with regard to the licensing authority's statement of policy and this guidance. Reasons for decisions should be made available to all of the parties of any process.

Premises licences

12.4 Details relating to appeals against decisions by a licensing authority are set out in s.206-209 of the Act. These relate to decisions made under Part 8 of the Act, namely:

- applications for a premises licence
- applications to vary or transfer a premises licence
- applications for provisional statements
- reviews of premises licences, either at the licensing authority's instigation or following an application.

Who can appeal

12.5 The table below identifies who can appeal different types of premises licence decisions.

Type of decision	Section of Act	Who may appeal
Decision to reject an application for a premises licence or to vary a premises licence, or an application for a provisional statement	s.165, s.187 and s.188	The applicant
Decision to grant an application for a premises licence or to vary a premises licence, or an application for a provisional statement	s.164, s.187 and s.188	The applicant [†] Any person who made representations on the application

Type of decision	Section of Act	Who may appeal
Decision to take action or to take no action following a review	s.202	The applicant Any person who made representations on the application The person, if any, who applied for the review The Commission
A decision to take action or make a determination in relation to a transfer application	s.188(4) or (5)	The licensee The applicant for transfer

Who to appeal to

12.6 An appeal against a decision of a licensing authority in England and Wales has to be made to the Magistrates' Court for the local justice area in which the premises concerned are situated. In Scotland, the appeal is made to the local Sheriff court in the Sheriffdom in which the premises are situated.

12.7 There is a further right of appeal from the Magistrates' Court to the High Court in England and Wales and from the Sheriff to the Court of Session in Scotland.

How to appeal

12.8 To begin an appeal, the appellant must give notice of their appeal within 21 days of their having received notice of the relevant decision. During that period, and until any appeal that has been brought has been finally determined, a determination or other action by the licensing authority will not have effect unless the licensing authority so directs.

12.9 If the licence holder or the person who made the application appeals, the licensing authority will be the respondent. If the appeal is made by someone else, then the licence holder or applicant will be a respondent to the appeal along with the licensing authority.

Determination and outcome of appeals

12.10 In considering an appeal, the Magistrates' Court or Sheriff may review the merits of the decision on the facts and consider points of law, in conjunction with the evidence. In making their decision they will have regard to the licensing authority's statement of policy, this guidance and relevant codes of practice, Licence conditions and codes of practice (LCCP) issued by the Commission and the licensing objectives.

12.11 In deciding the appeal, they may:

- dismiss the appeal
- substitute the decision with any other decision that could have been made by the licensing authority
- remit the case back to the licensing authority to deal with the appeal in accordance with the direction of the Court/Sheriff.

12.12 The Court or Sheriff may also make such order for costs, but will consider guidance and legislation about the awarding of costs against a public body.

Implementing the appeal decision

12.13 As soon as the appeal decision has been notified to all parties, licensing authorities should not delay its implementation. Standing orders should, therefore, be put in place that necessary action is taken immediately on receipt of the decision, unless ordered by the Court or Sheriff or a higher court to suspend such action, for example as a result of a judicial review.

Permits

12.14 The process for appealing a decision in relation to a permit is set out in the relevant Schedules of the Act, as detailed below. In each case, the appeal should be made to the local Magistrates' court in England and Wales or to the Sheriff court in Scotland, and must be made within 21 days of receipt of notice of the decision.

12.15 In considering the appeal, the court or Sheriff will take into account whether the licensing authority had regard to its statement of policy, this guidance and codes of practice published by the Commission, and the licensing objectives.

Schedule 10 – family entertainment centre (FEC) gaming machine permits

12.16 Schedule 10, paragraph 22 sets out the processes for appeals for FEC gaming machine permits. The applicant or holder of a permit may appeal if the licensing authority has:

- rejected an application for a permit or renewal of a permit
- given notice that the premises are not being used as an FEC
- stated that the holder is incapable of carrying out an FEC business by reason of mental or physical incapacity.

12.17 The Magistrates' court or Sheriff may dismiss the appeal, substitute any decision that the licensing authority could have made or restore a permit. They may also remit the matter back to the licensing authority to decide in accordance with any determination they make, in which case the same rights of appeal will apply, as for the original decision. The court or Sheriff may also make an order for costs.

Schedule 11 (Parts 4 and 5) – small society lotteries

12.18 Schedule 11, paragraph 51 sets out the processes for appeals for small society lotteries. In England and Wales, the Act states that local authorities register societies to run lotteries rather than licensing authorities, and in Scotland such decisions are made by the licensing board. A society may appeal if their application for registration is refused or their registered status is revoked.

12.19 In considering an appeal, the Magistrates' court or Sheriff may uphold the licensing authority's decision, reverse it, or make any other order. If remitting the decision back to the authority, the same rights of appeal will apply as for the original decision.

Schedule 12 – club gaming permits and club machine permits

12.20 Schedule 12, paragraph 25 sets out the process of appeal for club gaming permits and club machine permits. If the authority rejects an application for the issue or renewal of a permit, the applicant may

appeal. If the authority cancels a permit, the holder of the permit may appeal. A person who made an objection to the grant of the permit, or made representations in relation to the cancellation of a permit, may appeal against a grant or refusal to cancel respectively.

12.21 The authority may only refuse an application on one or more of the following grounds:

- a) (i) for a club gaming permit: the applicant is not a members' club or miners' welfare institute, (ii) for a club machine permit: the applicant is not a members' club, miners' welfare institute or commercial club
- b) premises are used by children or young persons
- c) an offence or a breach of a condition of the permit has been committed by an applicant
- d) a permit held by an applicant has been cancelled during the last ten years
- e) an objection has been made by the Commission or local chief officer of police.

12.22 The authority may only cancel a permit on one of the following grounds:

- a) the premises are used wholly or mainly by children or young persons
- b) an offence or breach of condition of the permit has been committed in the course of gaming activities.

12.23 In considering an appeal, the court will determine whether any of these statutory grounds applied in the circumstances. In addition, the court will take into account any objections made by the Commission or local police chief and the considerations at paragraph 12.15.

12.24 In England and Wales only, there is a fast-track application procedure (set out in Schedule 12(10)) for holders of a club premises certificate that is issued under s.72 of the Licensing Act 2003 (opens in new tab). In these circumstances, the Commission and police do not have to be consulted and therefore the authority will not receive any objections. The permit must be granted unless:

- the applicant is established or conducted wholly or mainly for the purposes of the provision of facilities for gaming, other than gaming of a prescribed kind
- the applicant is established or conducted wholly or mainly for the purposes of the provision of facilities for gaming of a prescribed kind and also provides facilities for gaming of another kind
- a club gaming permit or club machine permit issued to the applicant has been cancelled during the period of ten years ending with the date of the application.

There is no equivalent provision for clubs in Scotland under the Licensing (Scotland) Act 2005 (opens in new tab).

12.25 The Commission is aware that this fast-track procedure has been used inappropriately by applicants to avoid full scrutiny of applications and licensing authorities should pay particular attention to such applications.

12.26 On an appeal, the court or Sheriff may dismiss the appeal, substitute any decision that the licensing authority could have made, restore a permit, or remit it back to the authority to decide in accordance with a determination of the court, where the same rights of appeal will apply as for the original decision. They can also make an order for costs.

Schedule 13 – licensed premises gaming machine permits

12.27 Schedule 13, paragraph 21 sets out the appeal process for licensed premises gaming machine permits, which only apply to England and Wales. The Scottish Government has set regulations (SSI no. 505: The Licensed Premises Gaming Machine Permits (Scotland) Regulations 2007) ([opens in new tab](#)) on permits for alcohol-licensed premises in Scotland. An applicant for a permit may appeal if the application is rejected. The holder of a permit may appeal if he is permitted fewer or a different category of machines than applied for, or if the licensing authority gives a notice which cancels or varies the entitlements of the permit.

12.28 On an appeal, the Magistrates' court can dismiss the appeal, substitute any decision that the licensing authority could have made, restore a permit, or remit it back to the authority to decide in accordance with a decision of the court, where the same rights of appeal will apply as for the original decision. An order for costs can be made.

Schedule 14 – prize gaming permits

12.29 Schedule 14, paragraph 22 sets out the appeal process for prize gaming permits. If the licensing authority rejects an application for the issue or renewal of a permit, the applicant may appeal.

12.30 On an appeal, the Magistrates' court or Sheriff may dismiss the appeal, substitute any decision that the licensing authority could have made, or remit it back to the authority to decide in accordance with a determination of the court, where the same rights of appeal will apply as for the original decision. They can also make an order for costs.

Temporary use notices

12.31 Appeals in relation to temporary use notices are dealt with in s.226 of the Act, which gives both the applicant and any person entitled to receive a copy of the notice (that is the Commission, local chief of police and HM Revenue & Customs ([opens in new tab](#))), the right of appeal to the Magistrates' court or Sheriff. Appeals must be made within 21 days of receiving notice of the licensing authority's decision. If the appeal is against the decision of the authority not to issue a counter-notice, then the person giving notice must be joined with the licensing authority as a respondent in the case.

12.32 The Magistrates' court or Sheriff may dismiss the appeal, direct the authority to take specified action, remit it back to the authority to decide in accordance with a decision of the court, with the same rights of appeal as applied to the original decision, and may make an order for costs.

12.33 There is no stay of proceedings in relation to temporary use notices, as there is in relation to applications under Part 8 of the Act. However, the Commission would expect an appeal to be heard before the temporary use notice would otherwise take effect.

Judicial review

12.34 Any party to a decision may apply for judicial review if they believe that the decision taken by the licensing authority is:

- illegal – that is beyond the powers available to the licensing authority
- subject to procedural impropriety or unfairness – which is a failure in the process of reaching the decision, such as not observing the rules of natural justice
- irrational – where a decision is so unreasonable that no sensible person could have reached it (in effect, ‘perverse’ or ‘Wednesbury’ unreasonable).

12.35 For an application to succeed, the application must show that:

- the applicant has sufficient standing to make that claim
- the actions of the reviewed licensing authority give grounds for review.

However the remedy is a discretionary one and the Court may decline judicial review if, for example, it considers that the applicant has an alternative remedy which is more appropriate to pursue, such as a right of appeal, or has a private law claim against the defendant.

12.36 The applicant can ask the Court to grant a number of orders. A mandatory order compels the reviewed body to do something; a prohibitory order compels it to refrain from doing something; a ‘declaration’ sets out the court’s view on the legality of a particular course of action; and a quashing order nullifies a decision and remits it for reconsideration. In addition, the applicant can seek an injunction (interdict in Scotland) which is, in practice, similar to a mandatory or a prohibitory order.

Part 13: Information exchange

Underlying principles

13.1 Shared regulation depends on effective partnerships and collaboration. The exchange of information between the Commission and licensing authorities is an important aspect of that and to the benefit of both. Licensing authorities play a particular role in sharing information about gambling activity at a local level, which is important for the Commission’s overarching view of gambling activity, not least because that enables the Commission to identify risks and feed information and intelligence back to licensing authorities. It also enables the Commission to fulfil its duty to advise the Secretary of State about the incidence of gambling and the manner in which it is conducted.

13.2 The Commission has access to a wide pool of intelligence which it is able to make available to licensing authorities upon request, to support them in carrying out their regulatory responsibilities under the Act. The Commission understands the importance of this in avoiding the risk of duplication or over-regulation and in maximising the efficient use of resources. In a similar manner, the Commission will draw upon the intelligence and insights of its regulatory partners to resolve specific issues. There have been a number of instances where there has been successful joint working to address concerns linked to a particular operator.

Information licensing authorities provide to the Commission

13.3 S.29 of the Act entitles the Commission to seek information from licensing authorities, and places an obligation on authorities to comply with its information requests, providing the information is:

- part of a register maintained by the licensing authority
 - in the licensing authority's possession in connection with a provision of the Act.
-

Premises data

13.4 The Act requires licensing authorities to maintain data on premises licences. As part of the application process for a premises licence, applicants will forward notice of the application to the Commission, and licensing authorities should subsequently notify the Commission of the outcome of each application, whether it is granted or refused. The Act also requires licensing authorities to notify the Commission of other matters such as when a licence has lapsed or been surrendered, and the cancellation of certain permits and registrations. Under s.29 of the Act, the Commission has identified further information requirements that it is necessary for licensing authorities to provide, which form part of the licensing authority return.

13.5 It is important that the Commission's national data set for premises licences is accurate, as it is used for conducting national compliance work. Accuracy also reduces the need for the Commission to request ad hoc information on particular premises from licensing authorities, which is time consuming and resource intensive. The Commission will ask licensing authorities to periodically review the premises register to ensure it is up-to-date.

13.6 The Commission may make observations and representations on the suitability of the applicant for a premises licence or any other aspect of the application. In such cases, the Commission and licensing authority will discuss matters pertaining to the application and the appropriate action to take. More information on the Commission's role as a responsible authority and its involvement in individual premises licence applications is given in Part 8 of this guidance.

13.7 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.

Returns

13.8 All licensing authorities are required to submit returns to the Commission on an annual basis, providing information on licensed gambling activity and details of compliance and regulatory work undertaken. This includes details of permits and notices issued, premises inspections conducted, and reasons for and outcome of licence reviews. The fees that are charged by licensing authorities are intended to cover the costs of administration which includes the costs of collecting, maintaining and providing data.

13.9 The annual return is included in the Single Data List that has been issued by the Department for Housing Communities and Local Government. The List is a catalogue of all the data sets that local government must submit in any given year to central government and such organisations as the Commission.

13.10 The returns are an important source of information and can assist both the Commission and licensing authorities in improving their work as risk-based regulators. The returns provide the Commission with details of licensing authority compliance and regulatory work. The Commission analyses and publishes a licensing authority statistics report (opens in new tab) each year which helps identify risks and prioritise work.

13.11 The Commission will minimise the burden imposed on licensing authorities by keeping its data requests to an absolute minimum. The data requirements will be kept under review to ensure that any data requests have a clear and valid regulatory purpose.

13.12 It is essential that licensing authorities ensure that all returns are completed and submitted to the Commission in a timely manner. The Commission would expect the licensing authority to notify it in the event that it is unable to meet a submission deadline. Failure on behalf of a licensing authority to submit the required information could lead to the escalation of the matter with senior personnel in the licensing authority including the Head of Service and Chief Executive.

Summary of information requirements

Licensing function	Event requiring information to be sent to Commission
Premises licences and provisional statements	<ul style="list-style-type: none"> Licensing authority has granted / rejected an application for a premises licence or provisional statement A premises licence has lapsed Licensing authority has granted or rejected an application to reinstate a premises licence Licensing authority has granted or rejected an application to transfer or vary a premises licence

Licensing function	Event requiring information to be sent to Commission
	<ul style="list-style-type: none"> • A review of a premises licence has been completed and a decision made • A hearing is to be held where the Commission has made a representation • A premises licence has been surrendered / revoked
Club permits	A club permit application has been granted / rejected
Small society lottery registration	<ul style="list-style-type: none"> • Licensing authority registers a society to operate small lotteries • Licensing authority cancels a society's registration to operate small lotteries • Where a society has exceeded the permitted proceeds for small lotteries
Issue of permits and temporary permissions	Licensing authority returns
Inspections and reviews	Licensing authority returns

Other licensing authority information requirements

13.13 Licensing authorities are also required to maintain the following information (Schedule 11, Part 5, para 44 of the Gambling Act 2005 (opens in new tab)):

- small society lotteries: licensing authorities are required to record details of the lottery on a register and to notify both the applicant and the Commission of this registration
- club gaming permits: when they either grants or rejects an application for a club gaming permit they are required to inform both the applicant and the Commission.

13.14 There is a range of statutory application forms and notices that licensing authorities are required to use as part of their gambling licensing responsibilities. A summary list of these can be found in Appendix E.

13.15 Licensing authorities provide advice to those who make enquiries to them, about the legal responsibilities involved in providing premises or holding permits for gambling, whether or not they currently hold a licence or a permit.

13.16 Licensing authorities should feel free to signpost enquiries relating to operating or personal licences to the Commission.

Information the Commission makes available to licensing authorities

13.17 The Commission is required under s.106 of the Act to maintain a register of operating licence holders and make this publicly available. Where a licensing authority needs to check if an applicant for a premises licence holds an operating licence, verification can be found on the register.

Local Authority Compliance Events (LACE)

13.18 In order to make the system of shared regulation as effective and efficient as possible, the Commission notifies licensing authorities of complaints and intelligence received regarding non-compliance and illegality in their geographical area which is primarily of a localised nature. These are referred to as Local Authority Compliance Events (LACE). The responsibility for the LACE referral is then discharged from the Commission to the licensing authority. Licensing authorities are requested to advise the Commission of what, if any, action is taken.

13.19 The complaints that instigate the LACE referrals come from a variety of sources including licensed operators and members of the public. A number of them are received anonymously via the Commission's intelligence line.

Other information

13.20 The Commission makes other information available to licensing authorities through a range of sources including the LA Bulletin, training events and forums. Further details are set out in Part 3 at paragraphs 3.6 onwards.

Part 14: Temporary use notices

Introduction

14.1 It is an offence to provide facilities for gambling unless either the required permissions are in place, or an exemption applies. One such exemption is for the holder of an operating licence to notify a Temporary

Use Notice (TUN) to the relevant licensing authority. This is not a permanent arrangement, but allows premises such as hotels, conference centres or sporting venues to be used temporarily for providing facilities for gambling. A TUN may also apply to a vessel, whether moored or moving. TUNs are often, but not exclusively, used to run poker tournaments.

14.2 The primary legislation in respect of TUNs can be found at s.214-234 of the Act. This sets out the nature and form of the notice to be given by the operator; other bodies to be informed (including the Commission); objections and appeals; and instructions to the licensing authority concerned.

14.3 Secondary legislation – Gambling Act 2005 (Temporary Use Notices) Regulations 2007 (opens in new tab) (SI 2007/3157) – sets out the restrictions on the type of gambling to be offered under a TUN. These restrictions are:

- it can only be used to offer gambling of a form authorised by the operator's operating licence, and consideration should therefore be given as to whether the form of gambling being offered on the premises will be remote, non-remote, or both
- gambling under a TUN may only be made available on a maximum of 21 days in any 12 month period for any or all of a named set of premises
- it can only be used to permit the provision of facilities for equal chance gaming, and where the gaming in each tournament is intended to produce a single overall winner
- gaming machines may not be made available under a TUN.

14.4 In relation to tournaments, the requirement that the gaming is 'intended to produce a single overall winner' does not restrict the gaming to only one winner through the course of the tournament, although there will ultimately be one final tournament winner. It is considered acceptable for each qualifying round of the tournament; (for example comprising several hands/games of poker) to produce a single overall winner of that qualifying round, whose prize may be the right to progress to the next stage in the tournament. There can also be additional competitions run alongside or leading up to the main event, provided that each of these also only provides one winner. Further information on poker is set out in Part 29.

14.5 Cash games are games where each hand provides a winner and are not permitted under a TUN.

Procedure

14.6 The holder of an operating licence must give notice to the licensing authority in whose area the premises are situated. The Secretary of State has prescribed the form of the notice which must specify information including:

- the type of gaming to be carried on
- the premises where it will take place
- the dates and times the gaming will take place
- any periods during the previous 12 months that a TUN has had effect for the same premises
- the date on which the notice is given
- the nature of the event itself.

14.7 A TUN must be lodged with the licensing authority not less than three months and one day before the day on which the gambling event will begin. A fee is payable to the licensing authority to whom the notification is sent. The application must be copied to:

- the Commission

- the police
- HM Commissioners for Revenue and Customs
- if applicable, any other licensing authority in whose area the premises are also situated.

14.8 The person who is giving the TUN must ensure that the notice and copies are with the recipients within seven days of the date of the notice. If these requirements are not met, then the event will be unlawful. Where the premises are situated in an area covered by more than one authority, the person giving notice must send the notice to one authority and copy to the others. Licensing authorities will have to work closely together in such circumstances to ensure that the 21-day maximum period for TUN is not breached.

14.9 When the licensing authority receives a notice, it must send a written acknowledgement as soon as is reasonably practicable.

Meaning of premises

14.10 S.218 of the Act refers to a 'set of premises' and provides that a set of premises is the subject of a TUN if 'any part' of the premises is the subject of a notice. The reference to 'a set of premises' prevents one large premises from having a TUN in effect for more than 21 days in a year by giving notification in relation to different parts of the premises and re-setting the clock. Note that this definition of a 'set of premises' differs to 'premises' in Part 8 of the Act (see Part 7 of this guidance).

14.11 The definition of 'a set of premises' will be a question of fact in the particular circumstances of each notice that is given. In considering whether a place falls within the definition, licensing authorities will need to look at, amongst other things, the ownership/occupation and control of the premises. For example, a large exhibition centre with a number of exhibition halls may come within the definition of 'premises'. A TUN should not then be granted for 21 days in respect of each of its exhibition halls. In relation to other covered areas, such as shopping centres, the licensing authority will need to consider whether different units are in fact different 'sets of premises', given that they may be occupied and controlled by different people.

14.12 A notice maybe given in respect of a vessel, but only if it is a passenger vessel or a vessel that is situated at a fixed place. A vessel at a fixed place would include a structure on water that is not intended to be able to move (such as an oil rig, or an artificially constructed island in the middle of a lake). S.231 lists responsible authorities who must be notified in relation to giving notice in respect of a vessel.

14.13 A TUN may not be given in respect of a vehicle.

Objections to TUNs

14.14 The licensing authority and the other bodies to which the notice is copied should consider whether they wish to give a notice of objection. In considering whether to do so, they must have regard to the licensing objectives and if they consider that the gambling should not take place, or only with modifications, they must give a notice of objection to the person who gave the TUN. Such a notice must be copied to the licensing authority. The notice of objection and the copy to the licensing authority must be given within 14 days, beginning with the date on which the TUN is given. An objection may be withdrawn by giving written notice to those to whom the notice of objection was sent and copied.

14.15 Licensing authorities should have procedures in place to ensure that such notices are considered without delay so that, where appropriate, the opportunity to lodge an objection is not missed.

14.16 If objections are received, the licensing authority must hold a hearing to listen to representations from the person who gave the TUN, all the objectors and any person who was entitled to receive a copy of the notice. If all the participants agree that a hearing is unnecessary, it may be dispensed with.

14.17 Those who raise objections may propose modifications to the notice that will alleviate their concerns. Remedies may include a reduction in the number of days when gambling occurs or a restriction on the type of gambling permitted. If the modifications are accepted by the applicant, a new TUN must be given, incorporating the modifications, and the original notice will be treated as withdrawn. This withdrawal will be without prejudice to the right of any other person other than the objector to give notice of objection in relation to the new notice. The three-month time limit and fee will not apply to the new notice. The person who made the original objection and proposed the modification may not object to the new notice, but others to whom it is copied may object. If there are no new objections, there will be no need for a hearing.

14.18 If the licensing authority considers that the TUN should not have effect – after a hearing has taken place or has been dispensed with – it must issue a counter-notice which may provide for the TUN:

- not to have effect
- to have effect only in respect of a specified activity
- to have effect only in respect of activity carried on during a specified period of time or at specified times of day
- to have effect subject to compliance with a specified condition.

14.19 The principles that the authority must apply in issuing a counter-notice are the same as those in determining premises licence applications. In particular, the licensing authority should aim to permit the provision of facilities for gambling under a TUN subject to its view as to whether to do so accords with the Commission's Licence conditions and codes of practice, this guidance and the licensing authority's statement of policy, and is reasonably consistent with the licensing objectives.

14.20 If the licensing authority gives a counter-notice, it must give reasons for doing so and must copy the counter-notice to all those who received copies of the TUN.

14.21 If the licensing authority decides not to issue a counter-notice, the TUN will take effect. The licensing authority must give notice of its decision to the person who gave the TUN and to others to whom it was copied.

Appeals

14.22 An appeal against the licensing authority's decision may be made by the applicant, or any person entitled to receive a copy of the TUN, to the Magistrates' court or Sheriff court within 14 days of receiving notice of the authority's decision. There is a further right of appeal to the High Court or Court of Session on a point of law.

Endorsement of the notice

14.23 If no objections are made within 14 days of the date of the notice, the licensing authority must endorse the notice as valid and return it to the person who gave it. If the endorsed copy of the notice is lost, stolen or damaged, the person who gave the notice may request a new endorsed copy from the licensing authority, subject to the payment of a fee.

14.24 S.228 of the Act sets a time limit for the completion of all proceedings on TUN of 6 weeks beginning with the date on which the TUN is received. This includes considering whether to give a notice of objection; holding a hearing if necessary, giving a counter-notice, or giving a notice of determination.

14.25 The person who gives a TUN may notify the licensing authority that it is withdrawn at anytime up to and during the time it has effect. In those circumstances the notice will have no effect, and any unexpired period of time will not count towards the 21-day maximum for a TUN having effect on the premises.

Displaying the notice

14.26 While the gambling is taking place, a copy of the TUN must be displayed prominently on the premises. It is an offence not to produce the notice endorsed by the licensing authority when requested to do so by a constable, an officer of HM Revenue & Customs (opens in new tab), an enforcement officer, or an authorised local authority officer.

Maximum period

14.27 If the premises have been the subject of one or more TUN for more than a total of 21 days in the past 12 months, the licensing authority must issue a counter-notice that has the effect of stopping the TUN coming into effect. The format of counter notices are prescribed by either the Secretary of State or Scottish Ministers (SI 2007/3157: Gambling Act 2005 (Temporary Use Notices) Regulations 2007 (opens in new tab)). Failure to comply with the counter-notice will be an offence. A licensing authority may issue a

counter-notice which limits the number of days that the TUN comes into effect, bringing it within the 21-day limit. Such counter-notices require consultation with the applicant to ensure that the restrictions they impose do not result in an unworkable event.

Large events

14.28 Licensing authorities may receive TUNs from a high profile operator such as a casino, to hold an event in a larger venue (eg a stadium or an arena). In these circumstances operators may seek to use technology, such as tablet devices, to meet the demands of hosting an event at such a venue. It is possible that operators will need to hold a remote operating licence to operate certain devices and licensing authorities are encouraged to contact the Commission for further advice and guidance.

Part 15: Occasional use notices

Introduction

15.1 S.39 of the Act provides that where there is betting on a track on 8 days or fewer in a calendar year, betting may be permitted by an OUN without the need for a full premises licence. The Secretary of State has the power to increase or decrease the number of occasional use notices that an operating licence holder could apply for each calendar year. 'Day' is defined as midnight to midnight, so an event that starts on one calendar day and ends on the following day would count as two days. OUNs are designed to allow licensed betting operators to provide betting facilities at genuine sporting events (such as point-to-point racecourses and golf courses for major competitions) within the boundaries of the identified venue on a specific date, without the need for a full betting premises licence. An OUN must be served by a person who is responsible for the administration of events on the track or by an occupier of the track. The following should be noted in relation to an OUN:

- OUNs can only be relied upon for eight days or fewer in a calendar year and therefore licensing authorities should keep a record of the number of notices served in relation to each track. The period of eight days applies to the venue and not the individual who has submitted the notice.
- an OUN must be submitted for each day that betting activity will be conducted on the premises. If betting activity is to be held over a period of eight consecutive days, the operator will be required to submit eight separate notices.
- the notice must specify the day on which it has effect. An event running past midnight and ending on the following day accounts for two occasional use days, even though in practice it is one event.
- no objection or counter notice (refusal) is possible unless the maximum number will be exceeded.
- notice must be given to the licensing authority and the police, in writing, before the event starts.
- no premises licence can exist for the place which is the subject of the notice.
- land can be used temporarily as a track, for example for a point-to-point race, provided that sporting events or races take place there. There is no need for a track to be permanently established.

What constitutes a track

15.2 While tracks are normally thought of as permanent racecourses, authorities should note that the meaning of 'track' in the Act covers not just horse racecourses or dog tracks, but also any other premises on any part of which a race or other sporting event takes place, or is intended to take place (s.353(1)). The Commission's guidance relating to tracks is contained in Part 20 of this guidance.

15.3 This means that land which has a number of uses, one of which fulfils the definition of track, can qualify for the occasional use notice provisions, for example agricultural land upon which a point-to-point meeting takes place. The point-to-point and hunter race chase calendar (opens in new tab) lists each fixture, and is a useful tool for licensing authorities to check that they are being notified of all possible OUNs. Land used temporarily as a track can qualify, provided races or sporting events take place or will take place there. The track need not be a permanent fixture.

Use (and misuse) of OUNs

15.4 Local sporting clubs or other venues seeking to become tracks through a contrived sporting event have utilised OUNs to solely or primarily facilitate betting taking place on events occurring away from the identified venue, examples include the Cheltenham Festival and Grand National meeting. Whilst we have not introduced a new licence condition limiting the betting to the outcomes of a race, competition or other sporting event taking place at the track in question whilst the OUN is in force, the situation is being kept under review.

15.5 OUNs may not be relied upon for more than eight days in a calendar year, which relates to a calendar year starting 1 January and not to any period of 12 months. The Secretary of State has the power to increase or decrease the number of OUNs that are permitted, but there are currently no plans to use this power.

15.6 Non-commercial, fundraising race nights can be run as betting events at sporting venues under the authority of an OUN, whether or not the sporting event on which the bets are taken is held at that venue. The sporting event on which the bets are or will be taken also need not be taking place at the same time as the betting under the OUN.

Procedure

15.7 Licensing authorities and track operators and occupiers should note that the processes set out in the Act for applying for an OUN are different to those for Temporary Use Notices (TUNs).

15.8 The notice must be served on the licensing authority and copied to the chief officer of police for the area in which the track is wholly or partly located. The notice must specify the day on which it has effect. Notices may be given in relation to consecutive days, so long as the overall limit of eight days is not exceeded in the calendar year.

15.9 Provided that the notice will not result in betting facilities being available for more than eight days in a calendar year, there is no provision for counter-notices or objections to be submitted.

15.10 The Act does not require the applicant or the licensing authority to notify the Commission that an OUN has been given. However the Commission does require licensing authorities to submit returns showing how many OUNs were received during each year (see also Part 13).

15.11 It should be noted that betting operators cannot provide gaming machines at tracks by virtue of an OUN.

Part 16: Gaming machines

Introduction

16.1 This part of the guidance describes the categories of gaming machine and the number of such machines that may be permitted in each type of gambling premises as set out in the Act. Licensing authorities should note that the term 'gaming machine' now covers all machines on which people can gamble – subject to the exceptions below – and the term has been preserved in the Act, because it is one that is readily understood.

16.2 S.235(1) of the Act sets out the definition of a gaming machine. The definition is wider than those included in previous gambling legislation and covers all types of gambling activity that can take place on a machine, including betting on virtual events. However, the following should be noted:

- there remains a distinction between skill machines and gaming machines, in that skill machines are unregulated
- S.235(2) contains important exemptions for equipment that is not to be considered a gaming machine, even when gambling can be performed on it – for example, a home PC is not classed as a gaming machine, even though someone could access remote gambling facilities on a home PC.

16.3 Specific guidance on machines that are exempt is set out later in this part of the guidance, although licensing authorities should take legal advice or contact the Commission directly if they have concerns about the precise legal status of equipment being used on premises.

16.4 The Commission is responsible for licensing manufacturers and suppliers of gaming machines and advises operators to obtain machines from Commission-licensed suppliers. Similarly, permit holders and those applying for permits for clubs, alcohol-licensed premises or family entertainment centres will also be advised through Commission guidance to obtain gaming machines from Commission-licensed suppliers.

16.5 The Commission has set gaming machine technical standards relating to the way in which each category of machine will operate. The Commission has also set out a testing strategy that details the testing arrangements for each category of machine. The Commission has the power to test gaming machines, both before they are supplied and when in operation in premises, to ensure that they are operating as advertised.

16.6 In order for a premises to site gaming machines some form of authorisation is normally required. Typically this is:

- an operating licence from the Commission and a gambling premises licence from a licensing authority
- an alcohol premises licence from a licensing authority
- a gaming machine permit from a licensing authority.

16.7 Depending on the authorisation, there are limits placed on the category of machines that can be sited and, in some cases, on the number of machines that can be made available for use.

16.8 If a licensing authority has concerns relating to the manufacture, supply, installation, maintenance or repair of gaming machines, or the manner in which they are operating, it should contact the Commission.

16.9 S.172 of the Act prescribes the number and category of gaming machines that are permitted in each type of gambling premises licensed by authorities. Neither the Commission nor licensing authorities have the power to set different limits or further expand or restrict the categories of machine that are permitted. The exception to this is alcohol-licensed premises that hold gaming machine permits, where licensing authorities have discretion to specify the number of permitted gaming machines. In addition, limits are set separately in the Act for certain types of permit issued by licensing authorities. Machine limits are summarised at Appendix A of this guidance.

Categories of gaming machine

16.10 Regulations define four categories of gaming machine (as per s.236 of the Act): categories A, B, C and D, with category B divided into a further five sub-categories. The categories and sub-categories have been defined according to the maximum amount that can be paid for playing the machine and the maximum prize it can deliver. Gaming machines which are capable of being used as a gaming machine, whether or not they are currently operating as a gaming machine, are classified as a gaming machine. For example, a machine fitted with a compensator, which allows it to be converted from a skill machine is classified under s.235 of the Act as a gaming machine. Appendix B provides a breakdown of machine categories and entitlements, and Parts 22 and 24 of this guidance provide further details around machines in licensed and unlicensed family entertainment centres (FECs).

Age restrictions

16.11 There is a minimum age of 18 for all players for all category A, B and C machines, including category B3A gaming machines offering lottery style games. However there is no minimum age for players of category D machines. The holder of any permit or premises licence has to comply with the codes of practice issued by the Commission on the location of and access to gaming machines by children and young persons, and the separation from category C and B machines where those are also located on the same premises.

Maximum number of machines by premises type

16.12 The maximum number of machines permitted, and in the case of casinos the ratios between tables and machines, is set out by premises type in Appendix A, and includes premises with permit entitlements, as well as licensed premises. Further detail about machine entitlement is also provided in this guidance in the parts relating to each of the individual type of premises.

Multiple activity premises

16.13 It is not unusual for different licensed activities to take place within an area, such as a track or holiday park, with those licensed activities attracting different machine entitlements. For example, an area could include FECs, adult gaming centres (AGCs) and bingo, whilst also having an alcohol licence.

16.14 It is worth checking, from the plans and a site visit, that the gaming machine entitlements are not being exceeded, and that appropriate signage to prevent unlawful entry is in place where applicable.

16.15 It may be necessary to determine, if an area shown in the plan as part of the 'club' premises is separated from another with an alcohol premises licence, that the machines intended to be made available in each part are within the respective, allowable limits. Part 25 of this guidance provides greater detail on the requirements for clubs and Appendix A provides details of the machine entitlements and gaming activities for clubs.

The meaning of 'available for use'

16.16 S.242 of the Act makes it an offence for a person to make a gaming machine available for use, where they do not hold an operating licence or other permission covering gaming machines and where no other exemption applies.

16.17 The Act does not define what 'available for use' means, but the Commission considers that a gaming machine is 'available for use' if a person can take steps to play it without the assistance of the operator.

16.18 More than the permitted number of machines may be physically located on a premises but the onus is on licensees to demonstrate that no more than the permitted number are 'available for use' at any one time.

16.19 A machine that can operate at more than one category, which is operating at a lower category, does not contribute to the number of machines 'available for use' at a higher category until it switches to that category. Licensees must ensure no more than the permitted number are 'available for use' at any one time.

16.20 Systems in which a number of machines are networked so that the player can select which game and category they play are permitted but licensees must still adhere to any restrictions on the number of machines at a certain category.

16.21 Gaming machine entitlements in AGC or bingo premises set out that only 20% of machines can be category B machines in order to ensure a balanced offering of gambling products and restrict harder gambling opportunities.

16.22 Machine design has changed in recent years and space-saving gaming machines - in the form of tablets, multi-player units and narrow/in-fill machines - have become available. Some of these machines appear to have been designed primarily to maximise category B machine entitlements.

16.23 We updated our 'available for use' guidance¹¹ in 2019 to make it clear that for the purpose of calculating the category B machine entitlement in gambling premises, gaming machines should only be counted if they can be played simultaneously by different players without physical hindrance. For example,

the Commission would consider that a multi-position machine that technically allows two or more players to play simultaneously but in reality requires those players to stand very closely together or adopt unnatural participation positions, to the effect that a second player would be discouraged from attempting to use the machine, could not be classed as two or more machines.

16.24 In relation to tablets, licensees should ensure that there is sufficient floorspace in the premises to permit counted tablets to be used simultaneously.

16.25 Electronic Bingo Terminals (EBTs) that offer gaming machine content in addition to bingo content are gaming machines and subject to adherence with the above principles. Licensees are reminded however that an EBT must only allow participation in one gambling activity at a time and should not therefore contain functionality which allows participation in bingo and gaming machine activity simultaneously.

16.26 We have published our 'available for use' guidance¹² on the Commission website, and provided additional information specifically in relation to when is a gaming machine 'available for use' in AGC or bingo premises under the 20% regulations.

Machines other than gaming machines in gambling premises

Automated roulette

16.27 There are two types of automated casino equipment that are excluded from the definition of a gaming machine in the Act. The first type is those linked to a live game of chance, for example, roulette. These enable the player to gamble on a live game as it happens, without actually being seated at the table, sometimes referred to as 'electronic roulette'. These are not regulated as gaming machines but as live gaming and there is no limit on the number of items of such equipment.

16.28 The second type is a machine that plays a live game but is fully automated, that is, it operates without any human intervention. For example, a roulette wheel that is electrically or mechanically operated with an air blower to propel the ball around the wheel. Again, these are not regulated as gaming machines, although casinos are bound by controls on the specification and number of player positions using such equipment. This is only the case where the machine is operated in accordance with a casino operating licence – if operated outside of a casino, the exclusion does not apply and it would be considered a gaming machine. The Act requires that equipment used to play a game of chance, for example, cards, dice and roulette wheels is 'real' and not 'virtual' if it is not to be classed as a gaming machine. Additionally the game outcome must not be determined by computer as this would normally be considered virtual.

Self-service betting terminals (SSBTs)

16.29 S.235(2)(c) provides that a machine is not a gaming machine by reason only of the fact that it is designed or adapted for use to bet on future real events. Some betting premises may make available for use machines that accept bets on live events, such as a sporting event, as a substitute for placing a bet over the counter. These SSBTs are not gaming machines and therefore neither count towards the maximum permitted number of gaming machines, nor have to comply with any stake or prize limits. Such betting machines merely replicate and automate the process that can be conducted in person, and therefore do not require regulation as gaming machines. S.181 of the Act contains an express power for licensing authorities to restrict the number of SSBTs, their nature and the circumstances in which they are made available, by attaching a licence condition to a betting premises licence or to a casino premises licence (where betting is permitted in the casino). Part 19 of this guidance provides further details.

Skill games

16.30 The Act does not cover machines that give prizes as a result of the application of skill by players. A skill with prizes machine (SWP) is one in which the winning of a prize is determined only by the player's skill – any element of chance imparted by the action of the machine would cause it to be a gaming machine. An example of a skill game would be trivia game machines, popular in pubs and clubs, which require the player to answer general knowledge questions to win cash prizes. Many FECs have games that give prizes by redemption of tickets accumulated. Providing these machines give prizes according to the skill of the player, for example getting a high score shooting basketball, they will be exempt.

16.31 Genuine SWPs can be sited without permissions. However, the Commission considers that the higher the payout offered by this type of machine, the less likely the machine will be viable as a genuine skill machine simply because of the risk that very skilful players will win the top prize too frequently, making the machine commercially unviable. The Commission has published advice on how to distinguish between these machines and gaming machines in *Is a prize machine a gaming machine?* and a quick guide on illegal gaming machines (the advice note and quick guide do not form part of the Guidance to licensing authorities).

Lottery ticket vending machines

16.32 Lottery ticket vending machines are generally used to dispense 'instant win' lottery tickets, usually scratch cards or 'pull tab' tickets in society lotteries and they are mostly prevalent in private society lotteries. The Act defines a private society as 'any group or society established for a purpose not

connected with gambling'. Typically a private society, such as a sports or social club, will promote a lottery and make lottery tickets available to members of the society or those on the premises of the society as part of a 'private society lottery'. Some societies buy or rent vending machines to dispense their lottery tickets.

16.33 Such machines are often supplied by licensed gaming machine suppliers but the operation and/or design of the machine must not constitute a gaming machine. Advice on the distinction between lottery ticket vending machines and gaming machines is available in the Commission's Comparing lottery ticket dispensers and category B3A gaming machines' a quick guide for licensing officers (this quick guide does not form part of the Guidance to licensing authorities).

16.34 Those who supply, manufacture and/or site lottery ticket vending machines are not required to hold an operating or premises licence or any other permission. Where a lottery ticket vending machine is used to dispense society or private society lottery tickets it is the responsibility of the promoter of the lottery to ensure that it is operated lawfully and the required information displayed on the dispensed tickets.

Other exclusions

16.35 S.235(2) of the Act sets out a number of exclusions, covering machines that are not considered gaming machines, even though gambling may take place on them, as follows:

- a domestic or dual use computer is not a gaming machine just because it can be used to take part in remote gambling. Regulations define a 'domestic computer' as one capable of being used for a purpose not related to gambling that is located in a private dwelling and used only on domestic occasions. A 'dual use computer' is also defined as having to be capable of being used for a purpose not related to gambling, but in addition must not be knowingly adapted or presented in such a way as to facilitate or draw attention to the possibility of its use for gambling (SI2007/2082: The Gambling Act 2005 (Gaming Machines)(Definitions) Regulations 2007 (opens in new tab)).
- a telephone or other 'machine facilitating communication' that could be used for gambling purposes, for example, a mobile phone via which text message based lotteries can be entered, is not considered to be a gaming machine unless that is its primary purpose. Ordinary mobile phones are therefore exempt from the definition, but telephones designed or adapted for the purpose of enabling gambling would not be.
- some machines that allow the purchase of lottery tickets are not gaming machines. However, this is intended as an exemption for the sale of tickets in a real lottery with other participants (for example a lottery vending machine), and not a virtual scratchcard lottery conducted only by means of the machine. This means, first, that if the results of the lottery are determined by the machine, the machine is not exempt; and, second, if the machine announces the results of the lottery (determined otherwise than by the machine) by display or communication then the interval between the sale of the ticket and the announcement of the result must comply with the minimum period of time specified by regulations (SI20072495: The Gambling (Lottery Machine Interval) Order 2007 (opens in new tab)). B3A machines are defined as a lottery style gaming machine and permitted under regulations within members' clubs and miners' welfare institutes in limited numbers.
- a machine operated by virtue of a bingo operating licence for the purpose of playing bingo will be exempt provided it complies with any conditions set by the Commission. This covers what are known as mechanised cash bingo and electronic bingo ticket minders.

- also exempted are machines used for the playing of bingo by way of prize gaming in AGCs and FECs, however, the prize gaming regulations must be complied with.
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Part 17: Casinos

Casino premises

17.1 Under the Act, licensing authorities in England and Wales have the role of issuing premises licences for casinos and monitoring those licences. In Scotland the licensing boards are licensing authorities and continue to have responsibilities for granting permissions for casinos in the form of premises licences.

17.2 New casino premises licences issued under the Act will fall into one of two categories namely large casino premises licence or small casino premises licence. These are subject to separate regulations, involving a two-stage application process, detailed below.

17.3 In addition, there is a third category of casino that is permitted through transitional arrangements under Schedule 18 of the Act, which may be referred to as 1968 Act converted casinos. Most of these casinos fall below the size thresholds of the other two categories. Such casinos may operate as card clubs without offering casino games.

17.4 The gaming machines permitted to be made available in new casinos are related to the number of gaming tables available for use (SI 2009/1970 The Gambling Act 2005 (Gaming Tables in Casinos) (Definitions) Regulations 2009 (opens in new tab)):

- no more than eight large casino premises licences will be permitted. Large casinos will have a minimum total customer area of 1,500m². This category of casino will be able to offer casino games, bingo and/or betting and up to 150 gaming machines in any combination of categories B1 to D (except B3A lottery machines) provided that a maximum ratio of 5:1 gaming machines to gaming tables is met. Large casinos therefore need 30 gaming tables available for use to qualify for the maximum 150 machines. These facilities can be provided under a single licence (there are two new casinos operational, in Newham and Milton Keynes).
- no more than eight small casino premises licences will be permitted. Small casinos will have a minimum total customer area of 750m². A small casino will be able to offer casino games, betting and up to 80 gaming machines in any combination of categories B1 to D (except B3A lottery machines) provided that a maximum ratio of 2:1 gaming machines to gaming tables is met. Small casinos therefore need 40 gaming tables available for use to qualify for the maximum 80 machines.

17.5 The Commission has become aware that in some instances, operators who hold a combined non-remote casino licence and betting operating licence, have looked into converting part of their casino premises to betting premises. Licensing authorities are reminded that when considering such applications they must be satisfied that, if granted, the premises in question meets the relevant mandatory and default conditions for the relevant premises licence.

Casino games

17.6 S.7(1) of the Act states that ‘a casino is an arrangement whereby people are given an opportunity to participate in one or more casino games’. Casino games are defined by the Act to mean a game of chance which is not equal chance gaming. Equal chance gaming is gaming which does not involve playing or staking against a bank, and where the chances are equally favourable to all participants. The Act gives the Commission power through conditions attached to operating licences to restrict the types of casino games that may be made available.

17.7 The Commission has the power to prohibit casino games under Licence Condition 9.1.1 of the LCCP. No games are currently prohibited.

17.8 Player information on the specific rules and odds applied to any games offered by individual operators must be displayed in each casino, as required by Social responsibility code 4.2.1 of the Licence conditions and codes of practice (LCCP) which supplements the mandatory conditions attaching to all casino premises licences.

17.9 Organisations should seek their own legal advice on any new casino games, side bets or game variations they have developed. Both the game developer, and the casino operator running any trial of that game, should satisfy themselves that the game concept will be compliant before it is made available in the market place. Operators must continue to comply with LCCP requirements to display games rules, house edge in the venue and make information available for the customer.

Protection of children and young persons

17.10 No-one under the age of 18 is permitted to enter a casino and operators are required to display notices to this effect at all entrances to a casino. Social responsibility (SR) code 3.2.1(2) states that ‘licensees must ensure that their policies and procedures take account of the structure and layout of their gambling premises’ in order to prevent underage gambling. There must also be a door supervisor at every entrance to a casino to ensure that this restriction is enforced (SR 3.2.1(3)). Children and young persons are not allowed to be employed at premises with a casino premises licence. Licensing authorities are able to find information about the restrictions that apply in the LCCP.

The process for issuing casino premises licences

17.11 Licensing authorities whose areas have been chosen for the new casinos should set out the principles they intend to apply when determining the ‘winner’ of a premises licence competition, in their statement of policy so that it is available to potential applicants before the authority invites applications for the available casino premises licences. The unsuccessful applicants must be informed of the result of the competition.

17.12 The Secretary of State has issued a code of practice (opens in new tab) about the procedure to be followed by licensing authorities in making determinations at both stage one and stage two, and also about the matters authorities are to take into account in making such determinations. The Act requires licensing authorities to comply with any code of practice issued by the Secretary of State.

17.13 Where an authority invites applications, those applications may be in the form of an application for a provisional statement as well as in the form of an application for the grant of a full casino premises licence. Where an application is made in the form of a provisional statement it is to be treated in the same way as an application for a casino premises licence and included in any two-stage determination process that the authority is required to carry out. If an application for a provisional statement is successful in that process, then it is not necessary for a further two-stage licensing process to be held when a casino premises licence application is eventually made by the operator to whom the statement has been issued.

17.14 As a first step in licensing a casino, the licensing authority will have to invite applications for any casino premises licences that it may issue. Regulations set out how the process of inviting applications is to be done (SI 2008/469: The Gambling (Inviting Competing Applications for Large and Small Casino Premises Licences) Regulations 2008 ([opens in new tab](#))).

17.15 It is possible that the number of applications that the relevant licensing authorities will receive will exceed the number of licences available. The Act lays down a framework for a two-stage process for considering applications in these circumstances.

17.16 As with all deliberations in premises licences, the authority should not confuse planning and building regulation considerations with the matter before it.

17.17 Authorities should think carefully before entering into any agreements or arrangements with potential casino operators which might be perceived to affect their ability to exercise their stage two functions objectively and without having prejudged any of the issues. If any such agreements or arrangements are entered into, it will be important that authorities are able to demonstrate (for example, through having obtained independent and impartial advice on the competing applications) that any decision they reach is objectively based and is not affected by the arrangements.

Stage one

17.18 If more applications are received than the number of available licences, the authority must determine whether each application would be granted a licence if there were no limit on the number of licences that the authority could grant. Each application must be considered separately and no reference made to the other applications received.

17.19 During this process each of the other applicants will be considered an 'interested party' and may make representations. The consideration of representations should be the same as that for normal applications for premises licences, detailed in Part 7 of this guidance.

17.20 This process will result in one or more provisional decisions to grant a premises licence, which will be disclosed to the applicant and any party that made representations.

17.21 The provisional decision of the licensing authority at stage one may be appealed. Until any appeal has been determined, the licensing authority may not proceed to stage two.

Stage two

17.22 The second stage of the process only applies where the number of applications which the licensing authority would provisionally grant under the stage one process exceeds the number of available casino premises licences.

17.23 Under the second stage of the process the authority has to decide between the competing applications and grant any available licences to those applications which in their opinion will result in the greatest benefit to its area.

17.24 There is no right of appeal against the grant or refusal at stage two although an applicant may seek judicial review of a licensing authority's decision.

17.25 Where a licensing authority issues a provisional statement following a two-stage determination process, they may limit the period of time for which the statement has effect. This is so that the authority can control the period within which the full casino premises licence application has to be made. Under Schedule 9 to the Act the authority is allowed to extend the period for which the provisional statement has effect if the person to whom it is issued applies to have it extended.

Resolutions not to issue casino licences

17.26 S.166(1) of the Act states that a licensing authority may resolve not to issue casino premises licences.

17.27 The decision to pass such a resolution may only be taken by the authority as a whole and cannot be delegated to the licensing committee. In passing such a resolution the authority may take into account any principle or matter, not just the licensing objectives. Where a resolution is passed, it must be published by the authority in its statement of policy.

17.28 The resolution must apply to casino premises generally, so that the authority cannot limit its effect to geographic areas or categories of casinos. The resolution must specify the date it comes into effect. The authority may revoke the resolution by passing a counter-resolution (again the whole authority must pass that resolution). The resolution will lapse after three years so, should the licensing authority wish to keep the policy in place, they should pass a resolution every three years.

17.29 A resolution not to issue casino premises licences will only affect new casinos. It will not have any effect on casino premises licences issued before the resolution takes effect or on provisional statements issued before that date. Similarly a resolution will not affect the ability of existing casinos with preserved entitlements from the Gaming Act 1968 ([opens in new tab](#)) from continuing to operate as casinos.

Converted casinos (with preserved rights under Schedule 18 of the Act)

17.30 Casino operators with licences granted under the Gaming Act 1968 were eligible to be granted a casino premises licence under 'grandfathering' arrangements. Additionally, special provisions apply to enable these operators to relocate premises by way of a variation to a converted casino premises licence providing those premises are wholly or partly situated in the area of the licensing authority which issued the licence (SI 2006/3272: The Gambling Act 2005 (Commencement No. 6 and Transitional Provisions) Order 2006 (opens in new tab); Schedule 4, paragraph 65 (12,13)).

17.31 These casinos will retain the rights to gaming machines equivalent to their entitlements under previous legislation. That means they are permitted no more than 20 machines of category B to D (except B3A machines), or they may elect to have any number of category C or D machines instead (as was previously the case under s. 32 of the Gaming Act 1968 (opens in new tab) (SI 2006/3272: Commencement No 6 and Transitional Provisions Order (opens in new tab) Schedule 4 paragraph 65(6))). There is no table-to-machine ratio in these casinos.

17.32 These premises licences are subject to the normal system of review as outlined in Part 10 of this guidance. Where a licensing authority has passed a 'no casino' resolution, this may not be taken into account in considering whether to review a premises licence.

Casino premises licence conditions

17.33 Part 9 of this guidance discusses the mandatory and default conditions that attach to premises licences.

Mandatory conditions – all casino premises licences

17.34 Access to premises is regulated to add additional safeguards for both the public and industry. The principal entrance to the casino should be from a street. A street is defined as including any bridge, road, lane, footway, subway, square, court, alley or passage (including passages through enclosed premises such as shopping centres), whether it is a thoroughfare or not.

17.35 No customer must be able to enter the casino from any other premises holding a casino, bingo, adult gaming centre (AGC), family entertainment centre (FEC) or betting premises licence, or from premises where a FEC, club gaming and club machine, or licensed premises gaming machine permit, has effect.

17.36 There should be no access to a casino from premises wholly or mainly used by children and young persons.

17.37 No other gambling equipment may be situated within two metres of any ordinary gaming table. For the purposes of these conditions an ordinary gaming table means one which is not wholly or partially automated.

17.38 A maximum of 40 separate player positions may be made available for use in relation to wholly automated gaming tables at any time.

17.39 All casinos must display the rules of each type of casino game that can be played on the premises in a prominent place within both the table gaming area and other gambling areas to which customers have unrestricted access. Licensees may do this either by displaying clear and legible signs or by making available to customers leaflets or other written material setting out the rules.

17.40 ATMs must be positioned so that customers must cease to gamble at tables or gaming machines in order to use them.

Mandatory conditions – large casino premises licences

17.41 A notice shall be displayed at all entrances to the casino stating that no person under the age of 18 will be admitted.

17.42 Large casinos must provide a minimum table gaming area of 1000m². In determining the floor area of the table gaming area, any number of separate areas within the casino may be taken into account. However, no area counting towards the minimum table gaming area may comprise less than 12.5% of the total minimum table gaming area. No gambling shall be permitted in the table gaming area of the premises other than gambling by way of table gaming.

17.43 Large casinos must offer a non-gambling area of a minimum of 500m². These areas must be readily available to customers (eg offices, kitchen areas, employee areas will not count). They may include but should not consist exclusively of, lavatories and lobby areas. The area must also include recreational facilities for casino customers that are available for use when the casino is open; where there is more than one area each area must contain recreational facilities. No gambling facilities may be offered in the non-gambling areas. In England and Wales the non-gambling area may consist of one or more areas within the casino.

17.44 Clear and accessible information about the terms on which a bet may be placed should be displayed in a prominent position on the premises.

17.45 Any admission charges, the charges for playing bingo games and the rules of bingo must be displayed in a prominent position on the premises. Rules can be displayed on a sign, by making available leaflets or other written materials containing the rules, or running an audio-visual guide to the rules prior to any bingo game being commenced.

17.46 No more than 40 separate betting positions may be made available for use if betting is provided by means of terminals rather than an over the counter service.

Mandatory conditions – small casino premises licences

17.47 A notice shall be displayed at all entrances to the casino stating that no person under the age of 18 will be admitted.

17.48 Small casinos must provide a minimum table gaming area of 500m². In determining the floor area of the table gaming area, any number of separate areas within the casino may be taken into account. However, no area counting towards the minimum table gaming area may comprise less than 12.5% of the total minimum table gaming area. No gambling shall be permitted in the table gaming area of the casino other than gambling by way of table gaming.

17.49 Small casinos must offer a non-gambling area of a minimum of 250m². These areas must be readily available to customers (eg offices, kitchen areas, employee areas will not count). They may include, but should not consist exclusively of, lavatories and lobby areas. The area must also include recreational facilities for casino customers that are available for use when the casino is open; where there is more than one area each area must contain recreational facilities. No gambling facilities may be offered in the non-gambling areas. In England and Wales the non gambling area may consist of one or more areas within the casino.

17.50 Clear and accessible information about the terms on which a bet may be placed should be displayed in a prominent position on the premises.

17.51 No more than 40 separate betting positions may be made available for use if betting is provided by means of terminals rather than an over the counter service.

Mandatory conditions – converted casino premises licences

17.52 A notice shall be displayed at all entrances to the casino stating that no person under the age of 18 will be admitted.

17.53 Casinos with converted licences, and that have a gambling area of over 200m², must offer a minimum non-gambling area equivalent to at least 10% of its total gambling area. In determining the floor area of the gambling area, all areas in which facilities for gambling are provided should be taken into account. These areas must be readily available to customers (eg offices, kitchen areas, employee areas will not count). They may include, but should not consist exclusively of, lavatories and lobby areas. The area must also include recreational facilities for casino customers that are available for use when the casino is open; where there is more than one area each area must contain recreational facilities. No gambling facilities may be offered in the non-gambling areas.

Default conditions attaching to all casino premises licences

17.54 The default opening hours of all casinos are noon to 6am.

Controlling where gaming machines may be played - casino

17.55 The following policy objectives summarise the key elements that underpin the approach to controlling where gaming machines may be played.

- with very few low risk exceptions, non-remote gambling should be confined to dedicated gambling premises
- the distinctions between different types of licensed gambling premises are maintained
- gambling activities are supervised appropriately
- within casino, bingo and betting premises, gaming machines are only made available in combination with the named non-remote activity of the operating licence.

17.56 The Act and associated regulations set out a comprehensive regulatory framework for controlling gaming machines. By linking different machine entitlements to different types of premises, the framework seeks to ensure the number and power (in terms of stakes, prizes and speed of play) of machines is proportionate to the premises. For such a framework to have any meaningful effect it must be possible for regulatory authorities and consumers to distinguish between different gambling premises.

17.57 The LCCP requires (Social Responsibility Code Provision 9) that gaming machines are only made available in combination with the named non-remote activity of the operating licence. So, unless a casino premises operator offers substantive facilities for non-remote casino games and/or games of equal chance it should not make gaming machines available for use on the premises in question. To contain the unavoidable risk to the licensing objectives associated with gaming machines, premises which offer machines must be appropriately supervised.

17.58 The current regulatory framework prescribes that Category B gaming machines may only be made available in licensed gambling premises and not in locations which may prompt more ambient gambling such as pubs. Maintaining distinctions between different gambling venues allows individuals to make a deliberate choice whether to enter that particular gambling environment. In carrying out their functions under the Act licensing authorities should satisfy themselves that a premises applying for or licensed as a casino is operating or will operate in a manner which a customer would reasonably be expected to recognise as a premises licensed for the purposes of providing facilities for casino games and/or games of equal chance.

17.59 Licensing authorities are not being asked to impose a 'one size fits all' view of how a casino should look and function. Rather they are ensuring that a premises licensed for the purposes of providing facilities

for casino and/or games of equal chance is operating as such and is not merely a vehicle to offer higher stake and prize gaming machines.

17.60 In exercising its functions under the Act a licensing authority should take account of the relevant code of practice on 'controlling where gaming machines may be played'. It is specifically obliged to do so when exercising functions under section 153 of the Act. In circumstances where a licensing authority considers an existing premises is not compliant with these general requirements they should contact the Commission at the earliest opportunity.

17.61 Both the Commission and licensing authorities have the power to attach specific conditions to operating or premises licences in circumstances where additional assurance is required. The Commission favours the approach of general conditions for all supplemented by operator specific conditions in cases where novel or contentious operating models are used which include the provision of gaming machines. This is to deliver the policy objectives above and ensure the risk to the licensing objectives is minimised.

17.62 In the Commission's view the above approach would ideally be adopted at licensing stage. Licensing authorities should ensure that they request all the information required from an applicant for a new premises or for a variation to an existing premises in order to satisfy themselves as to the matters set out at s153 of the Act. This includes the codes of practice and this guidance. The approach of adding case-specific conditions can equally be deployed in respect of an existing unit where concerns arise or when changes are made to the operating model.

Self-exclusion

17.63 Social Responsibility Code Provision 3.5.6 requires that all non-remote casino (and bingo and betting licences except those at a track) and holders of gaming machine general operating licences for adult gaming centres must offer self-exclusion schemes to customers requesting such a facility. There is also an Ordinary Code provision at 3.5.7. The full details can be found within the LCCP¹³

Part 18: Bingo

Introduction

18.1 Bingo is not given a statutory definition in the Act although two types of bingo are commonly understood:

- cash bingo, where the stakes paid make up the cash prizes that are won
- prize bingo, where various forms of prizes are won, not directly related to the stakes paid.

18.2 The game and rules of bingo have evolved to the point where, despite the absence of any formal industry standard, the way in which bingo is played is broadly similar throughout Great Britain. Bingo is equal chance gaming. The Commission has published its view of what bingo is and how it differs from

other forms of gambling. This can be found in the advice note [What constitutes bingo](#) (opens in new tab) (this advice does not form part of the Guidance to licensing authorities). This advice was developed with the support of key stakeholders from the bingo industry.

18.3 Cash bingo is the main type of bingo played in commercial bingo premises. They also offer prize bingo, largely as games played in the intervals between main stage games. This means that only premises with a bingo premises licence, or a large casino premises licence issued under the Act (where the operator holds a bingo as well as a casino operating licence), will be able to offer bingo in all its forms.

18.4 As well as commercial bingo premises, bingo can be found in other gambling premises. Prize bingo is traditionally a game played in arcades, especially seaside amusement arcades, or at travelling funfairs. For these operators, prize bingo is subject to the allowances for prize gaming in the Act. This means that, subject to limits on participation fees and prizes, adult gaming centres, licensed and unlicensed family entertainment centres, and travelling fairs, (or any premises with a prize gaming permit) are able to offer prize gaming, which includes prize bingo. In this form of gaming, the nature of the prize must not be determined by reference to the number of people playing the game, and the nature or the size of the prize must not be determined by reference to the amount paid for or raised by the gaming. See Part 27 of this guidance for a fuller discussion of prize gaming.

18.5 Licensing authorities need to satisfy themselves that bingo can be played in any bingo premises for which they issue a premises licence. An operator may choose to vary their licence to exclude a previously licensed area of that premises, and then apply for a new premises licence, or multiple new premises licences, with the aim of creating separate premises in that area. Essentially providing multiple licensed premises within a single building or site. Before issuing additional bingo premises licences, licensing authorities need to consider whether bingo can be played at each of those new premises.

Protection of children and young persons

18.6 Under the Act, children and young persons (anyone up to the age of 18) cannot be employed in providing any facilities for gambling on bingo premises, and children (under 16) cannot be employed, in any capacity, at a time when facilities for playing bingo are being offered. However, young persons, aged 16 and 17, may be employed in bingo premises (while bingo is being played), provided the activities on which they are employed are not connected with the gaming or gaming machines. Licensing authorities are able to find information about the restrictions that apply in Licence conditions and codes of practice (LCCP).

18.7 Children and young people are allowed into bingo premises; however they are not permitted to participate in the bingo and if category B or C machines are made available for use these must be separated from areas where children and young people are allowed. Social Responsibility (SR) code 3.2.5 (3) states that 'licensees must ensure that their policies and procedures take account of the structure and layout of their gambling premises' in order to prevent underage gambling.

Gaming machines

18.8 S.172(7), as amended, provides that the holder of a bingo premises licence may make available for use a number of category B gaming machines not exceeding 20% of the total number of gaming machines on the premises. For example, a premises with a total of 25 gaming machines available for use can make five or fewer category B3 gaming machines available on that premises. Premises that were licensed before

13 July 2011 are entitled to make available eight category B gaming machines, or 20% of the total number of gaming machines, whichever is the greater. There are no restrictions on the number of category C or D machines that can be made available. Regulations state that category B machines at bingo premises are restricted to sub-category B3 (SI 2007/2158: Categories of Gaming Machine Regulations 2007 (opens in new tab)) (but not B3A) and B4 machines. Licensing authorities should ensure that gambling machines are made available for use in a manner consistent with our guidance within Part 16. For the purpose of calculating the category B machine entitlement in gambling premises, gaming machines should only be counted if they can be played simultaneously by different players without physical hindrance. This includes tablets.

18.9 The gaming machines must remain within the licensed area covered by the premises licence. In the unusual circumstance that an existing bingo premises covered by one premises licence applies to vary the licence and acquire additional bingo premises licences (so that the area that was the subject of a single licence will become divided between a number of separate licensed premises) it is not permissible for all of the gaming machines to which each of the licences brings an entitlement to be grouped together within one of the licensed premises.

18.10 Equipment operated by a bingo operating licence for the purpose of playing bingo, for example what are currently known as mechanised cash bingo, electronic bingo terminal (EBTs) and video bingo terminals (VBTs), will be exempt from controls on gaming machines provided they comply with any conditions set by the Commission and, in the case of EBTs, do not hold gaming machine content.

18.11 An EBT that offers gaming machine content in addition to bingo content is considered to be a gaming machine and would count towards the total number of gaming machines or towards the offering of bingo. Any EBTs that do not offer gaming machine content would not count towards the number of gaming machines.

Self-exclusion

18.12 Social Responsibility Code Provision 3.5.6 requires that all non-remote casino (and bingo and betting licences except those at a track) and holders of gaming machine general operating licences for adult gaming centres must offer self-exclusion schemes to customers requesting such a facility. There is also an Ordinary Code provision at 3.5.7. The full details can be found within the LCCP¹⁴

Bingo in clubs and alcohol-licensed premises

18.13 Bingo is a class of equal chance gaming permitted on alcohol-licensed premises, and in clubs and miners' welfare institutes, under the allowances for exempt gaming in Part 12 of the Act. There are regulations setting controls on this form of gaming, to ensure that it remains a low stakes and prizes activity (SI 2007/1940: The Gambling Act 2005 (Exempt Gaming in Alcohol-Licensed Premises) Regulations 2007 (opens in new tab) and SI No. 1944; The Gambling Act 2005 (Exempt Gaming in Clubs) Regulations 2007 (opens in new tab)).

18.14 In addition, rules are laid down in the Act about the playing of bingo specifically in alcohol-licensed premises, clubs and miners' welfare institutes¹⁵. Where the level of bingo played in these premises reaches a certain threshold, it will no longer be authorised by these rules and a bingo operating licence will have to be obtained from the Commission for future bingo games. Even in this circumstance, bingo can

still only be offered under the rules for exempt gaming. The aim of these provisions is to prevent bingo becoming a predominant commercial activity on such non-gambling premises.

18.15 The threshold is reached if the bingo played during any seven-day period exceeds £2,000 (either in money taken or prizes awarded) once in a year, referred to as 'high turnover bingo'. There is a legal duty on the licensee or club to inform the Commission if they offer high turnover bingo in any seven day period. This allows the Commission to monitor the bingo activity on the premises, and discuss with the relevant licensee or club the point at which a bingo operating licence may be needed. A 'high turnover period' begins with the first day of the seven day period in which the threshold was exceeded and lasts for a year. If a second period of high turnover bingo occurs within that year, a bingo operating licence will be required. Where bingo is played in a members club under a bingo operating licence no premises licence will be required.

18.16 If it comes to the attention of licensing authorities that alcohol-licensed premises or clubs or institutes are playing bingo during the course of a week which involves significant stakes and prizes, that makes it possible that the £2,000 in seven days is being exceeded, authorities should inform the Commission. To help clubs and institutes to comply with the full range of statutory requirements for gaming, the Commission has developed a statutory code of practice The Code of Practice for gaming in clubs and premises with an alcohol licence.

18.17 The eight large casinos will be able to offer bingo. Bingo will be permitted as part of their casino premises licence and they will not require a separate bingo premises licence, though they will need to obtain a bingo operating licence (which may be combined with their casino licence) in order to offer facilities for bingo at a casino. The standards in this respect will be no lower than for operators seeking only to provide facilities for bingo alone.

Bingo premises licence conditions

18.18 Part 9 of this guidance discusses the mandatory and default conditions that attach to premises licences.

Mandatory conditions

18.19 A notice stating that no person under the age of 18 years is permitted to play bingo on the premises shall be displayed in a prominent place at every entrance to the premises.

18.20 No customer shall be able to enter bingo premises directly from a casino, an adult gaming centre or betting premises (other than a track).

18.21 Over 18 areas, within bingo halls that admit under-18s, must be separated by a barrier with prominently displayed notices stating that under-18s are not allowed in that area and with adequate supervision in place to ensure that children and young people are not able to access these areas or the category B or C machines. Supervision may be done either by placing the terminals within the line of sight of an official of the operator or via monitored CCTV.

18.22 Any admission charges, the charges for playing bingo games and the rules of bingo must be displayed in a prominent position on the premises. Rules can be displayed on a sign, by making available leaflets or other written material containing the rules, or running an audio-visual guide to the rules prior to any bingo game being commenced.

18.23 Any ATM made available for use on the premises shall be located in a place that requires any customer who wishes to use it to cease gambling in order to do so.

Default conditions

18.24 Bingo facilities in bingo premises may not be offered between the hours of midnight and 9am. However, there are no restrictions on access to gaming machines in bingo premises.

Controlling where gaming machines may be played – bingo

18.25 The following policy objectives summarise the key elements that underpin the approach to controlling where gaming machines may be played:

- with very few low risk exceptions, non-remote gambling should be confined to dedicated gambling premises
- the distinctions between different types of licensed gambling premises are maintained
- gambling activities are supervised appropriately
- within casino, bingo and betting premises, gaming machines are only made available in combination with the named non-remote activity of the operating licence.

18.26 The Act and associated regulations set out a comprehensive regulatory framework for controlling gaming machines. By linking different machine entitlements to different types of premises, the framework seeks to ensure the number and power (in terms of stakes, prizes and speed of play) of machines is proportionate to the premises. For such a framework to have any meaningful effect it must be possible for regulatory authorities and consumers to distinguish between different gambling premises.

18.27 The LCCP requires (Social Responsibility Code Provision 9) that gaming machines are only made available in combination with the named non-remote activity of the operating licence. So, unless a bingo premises operator offers substantive facilities for non-remote bingo it should not make gaming machines available for use on the premises in question. To contain the unavoidable risk to the licensing objectives associated with gaming machines, premises which offer machines must be appropriately supervised.

18.28 The current regulatory framework prescribes that category B gaming machines may only be made available in licensed gambling premises and not in locations which may prompt more ambient gambling such as pubs. Maintaining distinctions between different gambling venues allows individuals to make a deliberate choice whether to enter that particular gambling environment. In carrying out their functions under the Act licensing authorities should satisfy themselves that a premises applying for or licensed for bingo is operating or will operate in a manner which a customer would reasonably be expected to recognise as a premises licensed for the purposes of providing facilities for bingo.

18.29 Licensing authorities are not being asked to impose a 'one size fits all' view of how a bingo premises should look and function. Rather they are ensuring that a premises licensed for the purposes of providing facilities for bingo is operating as such and is not merely a vehicle to offer higher stake and prize gaming machines.

18.30 In exercising its functions under the Act a licensing authority should take account of the relevant code of practice on 'controlling where gaming machines may be played'. It is specifically obliged to do so when exercising functions under section 153 of the Act. In circumstances where a licensing authority considers an existing premises is not compliant with these general requirements they should contact the Commission at the earliest opportunity.

18.31 Both the Commission and licensing authorities have the power to attach specific conditions to operating or premises licences in circumstances where additional assurance is required. The Commission favours the approach of general conditions for all supplemented by operator-specific conditions in cases where novel or contentious operating models are used which include the provision of gaming machines. This is to deliver the policy objectives above and ensure the risk to the licensing objectives is minimised.

18.32 In the Commission's view the above approach would ideally be adopted at licensing stage. Licensing authorities should ensure that they request all the information required from an applicant for a new premises or for a variation to an existing premises in order to satisfy themselves as to the matters set out at s153 of the Act. This includes the codes of practice and this guidance. The approach of adding case specific conditions can equally be deployed in respect of an existing unit where concerns arise or when changes are made to the operating model.

Part 19: Betting premises

Introduction

19.1 The Act contains a single class of licence for betting premises although within this, there are different types of premises which require licensing. This part of the guidance discusses off-course betting which is betting that takes place other than at a track in what was previously known as a licensed betting office. Tracks are discussed in Part 20 of this guidance. Please note that there are also betting offices on tracks, that have a separate premises licence from the track licence, which are also discussed in Part 20.

19.2 The Act also permits betting intermediaries to operate from premises. S.13 of the Act defines a betting intermediary as a person who provides a service designed to facilitate the making or acceptance of

bets between others. Although betting intermediaries usually offer their services via remote communication, such as the internet, a betting intermediary can apply for a betting premises licence to offer intermediary services upon the premises, such as a premises based trading room. The Commission has issued an advice note on betting intermediaries (opens in new tab) (this advice note does not form part of the Guidance to licensing authorities).

19.3 Licensing authorities are responsible for issuing and monitoring premises licences for all betting premises. The issuing of premises licences is discussed in Part 7 of this guidance.

Protection of children and young persons

19.4 Children and young persons are not permitted to enter premises with a betting premises licence, although exemptions apply to tracks, as explained in Part 20 of this guidance, and s.46 and s.47 of the Act set out offences of inviting, causing or permitting a child or young person to gamble, or to enter certain gambling premises. Social Responsibility (SR) code 3.2.7(3) in the Licence Conditions and Codes of Practice (LCCP) states that 'licensees must ensure that their policies and procedures take account of the structure and layout of their gambling premises' in order to prevent underage gambling. Children and young persons are not allowed to be employed at premises with a betting premises licence.

Gaming machines

19.5 S.172(8) provides that the holder of a betting premises licence may make available for use up to four gaming machines of category B, C or D. Regulations state that category B machines at betting premises are restricted to sub-category B2, B3 and B4 machines (the terminals commonly in use are able to provide both B2 and B3 content).

Self-exclusion

19.6 Social Responsibility Code Provision 3.5.6 requires that all non-remote casino bingo and betting licences (except those at a track) and holders of gaming machine general operating licences for adult gaming centres must offer self-exclusion schemes to customers requesting such a facility. There is also an Ordinary Code provision at 3.5.7. The full details can be found within the LCCP¹⁷.

Self-service betting terminals (SSBTs)

19.7 S.235(2)(c) provides that a machine is not a gaming machine if it is designed or adapted for use to bet on future real events. Some betting premises may make available machines that accept bets on live events, such as horse racing, as a substitute for placing a bet over the counter. These SSBTs are not gaming machines and therefore neither count towards the maximum permitted number of gaming machines, nor have to comply with any stake or prize limits. SSBTs merely automate the process that can be conducted in person and the Act exempts them from regulation as a gaming machine.

19.8 However, where a machine is made available to take bets on virtual races (that is, results and/or images generated by computer to resemble races or other events) that machine is a gaming machine and

counts towards the maximum permitted number of gaming machines, and must meet the relevant category limitations for the premises.

19.9 It is the Commission's view that the use of SSBTs is a form of remote communication and that a remote licence will be required if SSBTs are used to facilitate the making or accepting of bets by others. The advice note [Betting: advice for remote, non-remote and betting intermediaries \(opens in new tab\)](#) (this advice note does not form part of the Guidance to licensing authorities) sets out the framework which the Commission applies when deciding whether it considers that a particular operator is offering betting or is acting as a betting intermediary and whether gambling is remote gambling or non-remote gambling.

19.10 S.181 contains an express power for licensing authorities to restrict the number of SSBTs, their nature and the circumstances in which they are made available by attaching a licence condition to a betting premises licence or to a casino premises licence (where betting is permitted in the casino). When considering whether to impose a condition to restrict the number of SSBTs in particular premises, the licensing authority, amongst other things, should take into account the ability of employees to monitor the use of the machines by children and young persons or by vulnerable people.

19.11 Where SSBTs include the functionality to be marketed or presented in foreign languages, licensing authorities may seek to ensure that the operator has considered the ordinary code provision (3.3.2) about making the following information also available in those languages:

- the information on how to gamble responsibly and access to help referred to in the LCCP
- the players' guides to any game, bet or lottery required to be made available to customers under provisions in LCCP
- the summary of the contractual terms on which gambling is offered, which is required to be provided to customers as a condition of the licensee's operating licence.

Betting premises licence conditions

19.12 Part 9 of this guidance discusses the mandatory and default conditions that attach to premises licences.

Mandatory conditions

19.13 A notice shall be displayed at all entrances to the betting premises stating that no person under the age of 18 will be admitted. The notice should be clearly visible to people entering the premises.

19.14 There must be no access to betting premises from other premises that undertake a commercial activity (except from other premises with a betting premises licence including tracks). Except where it is from other licensed betting premises, the entrance to a betting shop should be from a street (defined as including any bridge, road, lane, footway, subway, square, court, alley or passage - including passages through enclosed premises such as shopping centres - whether a thoroughfare or not).

19.15 Any ATM made available for use on the premises shall be located in a place that requires any customer who wishes to use it to leave any gaming machine or self-service betting terminal (SSBT) in order to do so.

19.16 No apparatus for making information or any other material available in the form of sounds or visual images may be used on the licensed premises, except where used to communicate:

- information about or coverage of sporting events, including information relating to betting on such events (and incidental information including advertisements)
- information relating to betting (including results) on any event in connection with which bets may have been affected on the premises.

Betting operator-owned TV channels are permitted.

19.17 No music, dancing or other entertainment is permitted on betting premises. This includes any form of entertainment such as apparatus producing sound or visual images which do not fall within paragraph 19.15 or machines which do not come within the categories of machine explicitly allowed in betting premises under s.172(8) of the Act.

19.18 The consumption of alcohol on the premises is prohibited during any time which facilities for gambling are being provided on the premises. Additionally in Scotland the sale of alcohol on the premises is also specifically prohibited.

19.19 The only publications that may be sold or made available on the premises are racing periodicals or specialist betting publications.

19.20 A notice setting out the terms on which a bet may be placed must be displayed in a prominent position on the premises. In Scotland this notice must be displayed at every entrance.

Default conditions

19.21 Gambling facilities may not be offered in betting premises between the hours of 10pm on one day and 7am on the next day, on any day.

Controlling where gaming machines may be played - betting

19.22 The following policy objectives summarise the key elements that underpin the approach to controlling where gaming machines may be played:

- with very few low risk exceptions, non-remote gambling should be confined to dedicated gambling premises
- the distinctions between different types of licensed gambling premises are maintained
- gambling activities are supervised appropriately
- within casino, bingo and betting premises, gaming machines are only made available in combination with the named non-remote activity of the operating licence.

19.23 The Act and associated regulations set out a comprehensive regulatory framework for controlling gaming machines. By linking different machine entitlements to different types of premises, the framework seeks to ensure the number and power (in terms of stakes, prizes and speed of play) of machines is proportionate to the premises. For such a framework to have any meaningful effect it must be possible for regulatory authorities and consumers to distinguish between different gambling premises.

19.24 The LCCP requires (Social Responsibility Code Provision 9) that gaming machines are only made available in combination with the named non-remote activity of the operating licence. So, unless a betting premises operator offers substantive facilities for non-remote betting it should not make gaming machines available for use on the premises in question. To contain the unavoidable risk to the licensing objectives associated with gaming machines, premises which offer machines must be appropriately supervised.

19.25 The current regulatory framework prescribes that category B gaming machines may only be made available in licensed gambling premises and not in locations which may prompt more ambient gambling such as pubs. Maintaining distinctions between different gambling venues allows individuals to make a deliberate choice whether to enter that particular gambling environment. In carrying out their functions under the Act licensing authorities should satisfy themselves that a premises applying for or licensed for betting is operating or will operate in a manner which a customer would reasonably be expected to recognise as a premises licensed for the purposes of providing facilities for betting.

19.26 Licensing authorities are not being asked to impose a 'one size fits all' view of how a betting premises should look and function. Rather they are ensuring that a premises licensed for the purposes of providing facilities for betting is operating as such and is not merely a vehicle to offer higher stake and prize gaming machines.

19.27 In exercising its functions under the Act a licensing authority should take account of the relevant code of practice on 'controlling where gaming machines may be played'. It is specifically obliged to do so when exercising functions under section 153 of the Act. In circumstances where a licensing authority considers an existing premises is not compliant with these general requirements they should contact the Commission at the earliest opportunity.

19.28 Both the Commission and licensing authorities have the power to attach specific conditions to operating or premises licences in circumstances where additional assurance is required. The Commission favours the approach of general conditions for all supplemented by operator-specific conditions in cases where novel or contentious operating models are used which include the provision of gaming machines. This is to deliver the policy objectives above and ensure the risk to the licensing objectives is minimised.

19.29 In the Commission's view the above approach would ideally be adopted at licensing stage. Licensing authorities should ensure that they request all the information required from an applicant for a new premises or for a variation to an existing premises in order to satisfy themselves as to the matters set out at s153 of the Act. This includes the codes of practice and this guidance. The approach in adding case-

specific conditions can equally be deployed in respect of an existing unit where concerns arise or when changes are made to the operating model.

Industry codes

19.30 The betting industry, in common with other sectors of the gambling industry, has developed a variety of codes, for example through their trade association. Their main focus has been on matters related to social responsibility. Such codes, whilst not having the force of a licence condition or code, can assist officers when conducting premises inspections. Updates are provided in the LA Bulletin and on trade association websites.

Part 20: Tracks

Definition of a track

20.1 S.353 of the Act defines a track as a horse racecourse, greyhound track or other premises on any part of which a race or other sporting event takes place or is intended to take place.

20.2 The Act does not give a list of premises that are officially recognised as ‘tracks’ but there are a number of venues where sporting events do or could take place, and accordingly could accommodate the provision of betting facilities. Examples of tracks include:

- a horse racecourse (referred to in this guidance as ‘racecourses’)
- a greyhound track
- a point-to-point horserace meeting
- football, cricket and rugby grounds
- an athletics stadium
- a golf course
- venues hosting darts, bowls, or snooker tournaments
- a premises staging boxing matches
- a section of river hosting a fishing competition
- a motor racing event.

20.3 This list is not exhaustive as, in theory, betting could take place at any venue where a sporting or competitive event is occurring. While many of these venues are not commonly understood to be ‘tracks’, they fall within the definition of ‘track’ in the Act. Licensing authorities may be of the view that they have few tracks in their area, but the definition in the Act means that most licensing authorities are likely to have venues that could be classified as a track for betting purposes.

20.4 The Act also provides for tracks which do not currently offer betting facilities, but may elect to do so at some stage in the future. This means that land which has a number of uses, one of which fulfils the definition of a track, could qualify for a premises licence. Examples could include agricultural land upon

which a point-to-point meeting takes place or a theatre, arena or exhibition centre where sporting events such as darts or snooker competitions are held. Under the Act, these may all be classified as tracks.

20.5 The Act does not define what constitutes a sporting event or race and licensing authorities will need to decide this on a case by case basis. The Commission is aware of some instances of the apparent misuse of occasional use notices (OUNs). Local sporting clubs or other venues seeking to become tracks through a contrived sporting event have utilised OUNs to solely or primarily facilitate betting taking place on events occurring away from the identified venue, examples include the Cheltenham Festival and Grand National meeting. Whilst we have not introduced a new licence condition limiting the betting to the outcomes of a race, competition or other sporting event taking place at the track in question whilst the OUN is in force, the situation is being kept under review. Further details can be found in Part 15.

20.6 If an individual or company wants to offer betting facilities on a sporting event then different forms of 'approval' are available, one of which must be obtained if betting is to be provided, irrespective of whether the betting is generally incidental to the main sporting activity. The different types of approval for the provision of betting facilities at premises are:

- a premises licence
- an occasional use notice.

Track premises licences – differences from other premises licences

20.7 There are differences between track premises licences and most other premises licences. In essence, tracks admit third-party operators to provide betting facilities, whereas other premises licence holders – betting shops, bingo clubs and casinos for instance – provide the gambling facilities themselves and are subject to the conditions of the operating licence as well as the premises licence.

20.8 The Act recognises that tracks are primarily premises intended for entertainment other than gambling and therefore places no restrictions on offering ancillary entertainment including allowing music, dancing or other entertainment on the premises and the sale of alcohol.

20.9 Tracks are also recognised as multi-purpose venues having a wide range of facilities that enable them to host various other activities, often on non-event days, including:

- private dinners and parties
- weddings
- retail events (auctions, car boot sales etc)
- concerts
- conferences
- exhibitions.

20.10 While there is no special class of betting premises licence for a track, the Act does contain rules which apply specifically to premises licences granted in respect of a track.

20.11 Premises licences in relation to tracks differ from other types of premises licence in a number of ways. Most importantly, the applicant for the licence need not hold an operating licence from the Commission (Section 159 (4) of the Act).

20.12 Tracks may be subject to more than one premises licence, provided each licence relates to a specified area of the track. For example, a limited number of track premises licences will be held by operators of pool betting licences, who may also have an alcohol licence for the premises. The Act sets out that there can be a primary premises licence for the track and, in addition, subsidiary premises licences for other parts of the track (Section 152 (3) of the Act). This allows track venues to develop leisure facilities such as a casino and apply for a premises licence for that part of the track.

20.13 The offence of inviting or permitting a child or young person to enter gambling premises under s.47 of the Act, does not apply to tracks (s.47(4)). Children and young persons are allowed to be present on the track while a sporting event is taking place on those licensed premises. Paragraph 20.28 details the position for non-event days.

20.14 There are also a number of track premises licence holders who have an operating licence because they provide facilities for pool betting. These operators, such as greyhound track owners, in addition to admitting 3rd party betting operators, run their own pool betting facilities as permitted by s.179, and are subject to licence conditions applicable to their status as both betting operators and track premises licence holders.

20.15 On a limited number of occasions it has been suggested that areas on a track such as a hospitality box have been used as a trading room. Were this to be the case a betting premises licence would be required separate to the overall track premises licence. The Commission's approach to the subject is detailed in an advice note [Is a trading room licence required?](#) (opens in new tab) (this advice note does not form part of the Guidance to licensing authorities). If a licensing authority is in any doubt as to the status of such an operation they should contact the Commission

Betting on tracks

20.16 There are various types of betting which take place in relation to tracks.

On-course betting

20.17 The on-course betting operator is one who comes onto the track, temporarily, while races or sporting events are taking place. On-course betting operators tend to offer betting only on the events taking place on the track, that day. For example, betting operators attending horserace and greyhound racing meetings will only attend on race days. Similarly, betting operators at cricket and football grounds are only likely to attend on days when matches are taking place.

20.18 Betting on tracks is organised in different ways and can take place in different parts of the track in many different forms. These include the following:

- **'Betting rings'** The ring can be dispersed throughout the track, and can include 'temporary' rings at large meetings, but all different locations form part of the betting area. On-course betting operators will be located in the betting ring according to a position (pitch) allocated to them under the commercial arrangement they have with the track owner.

- **Betting counters or kiosks** A betting counter or booth may be a permanent or temporary outlet from which a bookmaker provides betting facilities. Examples include manned stands or porta-cabins located at football grounds on match days, and the temporary kiosks used by bookmakers at cricket grounds during test matches.
 - **Mobile betting** Mobile betting machines (often handheld) operated by employees of betting operators allow customers to place a bet or receive payouts away from betting kiosks or the betting ring, most commonly in hospitality areas.
 - **Self-service betting terminals (SSBTs)** SSBT, described in paragraph 19.6, lack the direct human intervention of a betting counter staffed by a cashier, and can be located at different parts of tracks. See below more details on SSBTs at tracks.
 - **Pool betting** This involves the pooling of stakes on a given event, and the splitting of the total pool, less a commission for the operator amongst the winners. Pool betting at horseracing and greyhound tracks can be offered under a pool betting operating licence – be that the owner of the track or a third party provider. Tracks may also conduct inter-track pool betting when other tracks are holding races.
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Off-course betting

20.19 Off-course betting operators are typically those who provide betting facilities from betting premises such as those found on the high street. In addition to such premises, betting operators may operate self-contained betting premises or designated areas such as a row of betting kiosks within the track premises. These premises provide facilities for off-course betting (in effect, the opportunity to bet on other events not just those taking place on the track), although they normally operate only on race days.

20.20 The provision of off-course betting facilities as described above is generally conducted in reliance on the track premises licence held by the occupier of the track and consequently the off-course operator is prohibited from making any gaming machines available for use unless they hold a separate betting premises licence in relation to part of the track. The track premises licence holder will need to vary their existing premises licence so that it does not have effect in relation to the area where the additional betting premises licence is located. The additional betting premises licence would need to be secured by the holder of an appropriate betting operating licence. Such a premises would then be subject to the conditions outlined in Part 19.

20.21 Licensing authorities are advised to familiarise themselves with the different types of licences that may be available on tracks.

Licences and other permissions for the provision of betting facilities

20.22 A track premises licence permits the premises to be used for the provision of facilities for betting, but does not permit the licence holder to provide casino, bingo or other types of gambling on tracks, as these activities must be the subject of separate premises licences.

20.23 Sporting events and races take place at many different venues including hotels, conference centres, on agricultural land, and at designated sporting venues such as football grounds. In many cases such venues do not hold sporting events all year round and the number of 'event' days maybe limited. The Act provides that if certain conditions are met, a premises licence is not always required to permit betting facilities at such events.

20.24 S.39 of the Act provides that where there is betting on a track on eight days or fewer in a calendar year, betting may be permitted by an OUN, as described at Part 15 of this guidance. This permits licensed betting operators to provide facilities for betting on tracks for short periods. An OUN may be suitable for a point-to-point track which holds race meetings eight times a year or less. No conditions are attached to an OUN. However, only licensed betting operators may offer betting facilities at such tracks, otherwise an offence would be committed under s.33 of the Act.

Betting on event and non-event days

20.25 All track premises licences are subject to a default condition that gambling facilities can only be provided at the track between the hours of 7am and 10pm (SI no 1409: Gambling Act 2005 (Mandatory and Default Conditions) (England and Wales) Regulations 2007 (opens in new tab) and SSI no 266: Gambling Act 2005 (Mandatory and Default Conditions) (Scotland) Regulations 2007 (opens in new tab)). Gambling facilities can be provided during this time, regardless of whether or not a sporting event is taking place. The default condition does not apply however on days when a sporting event is taking place on the premises.

Hours of betting on non-event days

20.26 On days when no sporting event is taking place, a track premises licence is subject to the default condition on times for op.

20.27 Some tracks have traditionally offered, and will wish to continue to offer, facilities for gambling outside the proposed gambling hours on non-event days. For example, to screen live televised events from other time-zones (which may take place after 10pm or before 7am) and provide betting facilities during those events. Tracks can apply for the default condition to be amended or removed to address this.

20.28 Where tracks plan to open and allow provision for betting facilities on non-event days, betting operators will need to either exclude children from the premises on these days or demonstrate that they are able to exclude children and young persons from betting areas (Section 182 (2) of the Act (as amended by SI 2007 – 1410)). In simple terms, on non-event days, tracks become similar to licensed betting offices on the high street. Tracks may achieve this requirement by:

- locating all betting areas inside an area of the premises that is separated from the remainder of the premises by a physical barrier, thereby preventing access other than through a designated entrance
- only admitting adults to the part of the track where betting areas are located, by establishing procedures for verifying customer ages and refusing entry to adult-only areas for those unable to produce an acceptable form of identification (and taking action where there are unlawful attempts to enter adult-only areas)
- placing prominent notices in front of and inside each entrance stating that access to the area is prohibited to persons under 18.

20.29 Licensing authorities may choose to reduce the default gambling hours, providing any reduction is in line with the principles set out in s.153 of the Act.

Social responsibility considerations for tracks

20.30 The achievement of the licensing objectives requires betting operators to adopt socially responsible gambling policies and procedures designed both to ensure that gambling is open and fair and that children and other vulnerable people are not harmed or exploited by gambling.

20.31 While betting operators must put into effect policies and procedures to promote socially responsible gambling, there is no equivalent requirement on track premises licence holders. However, s.182(1)(a) of the Act places a condition on the track premises licence that the licensee shall ensure that children and young persons are excluded from any area where facilities for betting are provided.

20.32 As with other aspects of regulation licensing authorities may wish to make clear in their statement of policy any particular concerns or expectations that they have in relation to track premises licence holders and betting operators who provide facilities from the track.

Gaming machines

20.33 A track premises licence does not of itself entitle the holder to provide gaming machines, as this type of premises licence can be held without any corresponding operating licence. However, by virtue of s.172 (9) of the Act, track owners holding both a track premises licence and a pool betting operating licence issued by the Commission (currently only greyhound tracks), may site up to four gaming machines within categories B2 to D on the track.

20.34 Some tracks will also hold an alcohol licence and as such they will be automatically entitled under s.282 of the Act to two gaming machines of category C or D. This permission is activated by notifying the licensing authority and paying the required fee. If a track premises licence holder has both an alcohol licence and a pool betting operating licence, then they will be entitled to a total of six gaming machines (two via the alcohol licence and four via the operating licence).

20.35 Applications for licensed premises gaming machine permits to allow more than two gaming machines are not permitted where the premises are, or are part of, premises already covered by a premises licence including a betting premises licence in respect of a track (Schedule 13(1)(2), of the Act). However, there is a special saving for any alcohol-licensed premises within tracks in England and Wales which already had permission for more than two gaming machines pursuant to permits issued under s.34 of the Gaming Act 1968 (opens in new tab) and made an application for licensed premises gaming machine permits in accordance with transitional provisions (SI 2006/3272 - The Gambling Act 2005

(Commencement No.6 and Transitional Provisions) Order 2006 (opens in new tab) - Schedule 4, paragraphs 27 and 30).

20.36 Children and young persons can play category D gaming machines on a track, but are not allowed to play other categories of machine.

20.37 Alcohol premises licence holders who wish to make one or two gaming machines available for use in reliance on s.282 of the Act are required to send the licensing authority written notice of their intention and to pay the prescribed fee (SI 2007/1832 - Gaming Machines in Alcohol Licensed Premises (Notification Fee) (England and Wales) Regulations 2007 (opens in new tab), Regulation 3). It is also a requirement that any relevant provision of a code of practice under s.24 about the location and operation of a gaming machine is complied with. This includes The gaming machine permits code of practice.

20.38 The Commission has attached a condition to all pool betting operating licences that the operator must:

- have and put into effect policies and procedures designed to prevent underage gambling
- monitor the effectiveness of these.

Self-service betting terminals (SSBTs)

20.39 S.235(2)(c) of the Act provides that a machine is not a gaming machine by reason only of the fact that it is designed or adapted for use to bet on future real events. Betting operators may make available machines that accept bets on live events, such as horseracing, as a substitute for placing a bet with a member of staff. These self-service betting terminals are not gaming machines; they merely automate the process that can be conducted in person and therefore are not regulated as gaming machines.

20.40 Licensed operators may install SSBTs on tracks. There is no restriction on the number of SSBTs that may be in use but operators must, by virtue of their operating licence conditions, supervise such terminals to prevent them being used by those under 18 years of age.

20.41 There is no formal requirement on track premises licence holders to involve themselves in the procedures used by betting operators to supervise their SSBTs (unless specific local conditions specifying supervisory arrangements are added to the track premises licence by the licensing authority). Some betting operators may agree supervisory assistance to be provided by employees of the track premises licence holders, but this is a commercial matter between the track owner and betting operators.

20.42 While track premises licence holders have no formal responsibilities in this regard, the Commission has advised them to inform it of instances where they are aware that betting operators are persistently failing to ensure the adequate supervision of their SSBTs.

Applications

Defining the premises

20.43 S.151 of the Act requires applicants for premises licences to submit plans of the premises with their application. This ensures that licensing authorities have the necessary information to make an informed judgement about whether the premises are fit for gambling. The plan also informs future premises inspection activity.

20.44 Plans for tracks need not be in a particular scale, but should be drawn to scale and should be sufficiently detailed to include the information required by regulations.

20.45 In the majority of cases, such as greyhound tracks, racecourses, football stadia and cricket grounds, defining the extent of boundaries may be assisted by reference to existing plans already submitted to obtain other permissions. These could include:

- the obtaining of a safety certificate under Safety at Sports Ground legislation (this applies in respect of sports grounds with capacity to accommodate more than 10,000 spectators)
- the historic boundaries under previous legislation such as, the approval of tracks under Schedule 3 of the Betting, Gaming and Lotteries Act 1963 ([opens in new tab](#)).

20.46 It is sometimes difficult to define the precise location of betting areas on tracks. The precise location of where betting facilities are provided is not required to be shown on track plans, both by virtue of the fact that betting is permitted anywhere on the premises and because of the difficulties associated with pin-pointing exact locations for some types of track. Licensing authorities should satisfy themselves that the plan provides sufficient information to enable them to assess an application.

20.47 As the plan forms part of the licence document, it also needs to be sufficiently flexible to ensure that a relatively small change in the premises layout would not require an operator to submit an application to vary the track premises licence. Only a significant change to the track layout would require a licence variation. For example, moving a category C gaming machine from one end of a bar that had been marked on the plan as a gaming machine area to another may not necessitate a full variation to a tracks premises licence, nor would the establishment of a new betting area at a race track, as neither of these events have any impact on the purpose of the licence or the conditions attached to it. However, relocating category C machines to entirely different parts of a track would generally need to be the subject of an application to vary the premises licence.

Ensuring that premises are fit for the provision of gambling facilities

20.48 Licensing authorities are required to ensure that premises are fit for a specific type of gambling. Premises which meet the conditions required to operate as, for example, a casino may not meet the requirements for offering track betting facilities.

Access to premises and other parts of the track

20.49 S.152 of the Act provides that premises may not have more than one premises licence authorising a type of activity, with the exception of track premises, whereby a track may be the subject of multiple premises licences.

20.50 Access between premises licensed for gambling and non-gambling areas is an important local licensing consideration, for reasons such as the following:

- to prevent operators from seeking to circumvent the Act by artificially subdividing a premises and securing separate premises licences for its composite parts
- to ensure that operators do not circumvent regulations governing the maximum number of gaming machines applicable to specific premises
- to ensure that people who have entered a premises for one type of gambling are not exposed to another, potentially harder, form of gambling
- to ensure that there is no direct access between gambling premises to which children have access and those which they are prohibited from entering
- to ensure that all gambling premises have publicly accessible entrances
- to ensure that gambling premises are not developed in the backrooms of other commercial premises.

20.51 As tracks may be the subject of multiple premises licences, regulations (SI 2007/1409: Gambling Act 2005 (Mandatory and Default Conditions) (England and Wales) Regulations 2007 ([opens in new tab](#)) and SSI no 266: Gambling Act 2005 (Mandatory and Default Conditions) (Scotland) Regulations 2007 ([opens in new tab](#))) have been laid to stipulate the access requirements between gambling premises, and when entering or leaving gambling premises. By virtue of the regulations no direct access is allowed from a track to a casino or adult gaming centre. Therefore if, for example, a casino is built on a track premises that is the subject of a track premises licence, clearly defined public thoroughfares should be in place to ensure that customers have to leave one gambling premises, and be aware they have done so, before entering another.

Access by children – special dispensation for tracks

20.52 Persons under 18 years old are not permitted to enter premises when betting facilities are being provided, other than at tracks. This dispensation allows families to attend premises such as greyhound tracks or racecourses on event days, and children to be permitted into areas where betting facilities are provided, such as the 'betting ring', where betting takes place.

20.53 Licensing authorities should note however that the exemption allowing children access to betting areas on tracks does not extend to areas within a track where category C or above machines are provided, or other premises to which under 18 year olds are specifically not permitted access. For example, where betting facilities are provided through a self-contained betting office on a track which has a separate betting premises licence, the betting operator of the self-contained premises is required to exclude under-18s from their premises.

20.54 The Act creates offences relating to gambling by children and young people and the operating licence conditions require operators to have policies and procedures in place to prevent betting from persons who are under 18 years old. As under-18s are permitted to enter betting areas on tracks on event days, this needs to include policies and procedures to mitigate the likelihood of underage betting occurring. The track premises licence holder is also required to display a notice in a prominent place at every public entrance stating that no person under the age of 18 is permitted to bet on the premises.

20.55 Licensing authorities should be aware that there is an anomaly in the Act, wholly prohibiting the employment of children and young people on tracks.

Multiple licences

20.56 S.152(3) of the Act permits the issuance of more than one premises licence for a track provided that each licence relates to a distinct specified area of the track. There cannot be more than one premises licence covering the same area of the track.

20.57 This enables track owners to extend existing facilities to provide other gambling facilities, such as a casino, on their existing tracks. In such a case, the licensing authority will need to consider access issues as direct access between a track and other betting premises (other than a track betting shop) is not permitted. Access for casino and bingo is dealt with in Parts 17 and 18.

20.58 Where a particular area of a track is already subject to a premises licence, and a person wishes to apply for a licence to offer another type of activity in that area, an application must be made to the issuing

licensing authority to vary the original premises licence, under s.187 of the Act. The new track premises licence can only be granted at the same time as, or after, the original licence has been varied.

20.59 Licensing authorities may receive applications indicating separate betting areas that may not necessarily have clear physical boundaries, such as walls or fencing. Such areas could still be the subject of a separate betting premises licence provided the area is clearly delineated, both in terms of making it clear to the public that they are entering a 'betting office', and to keep out persons aged under 18. Customers should be aware that they are entering separate betting premises subject to its own licence conditions in respect of underage access and alcohol for example. The delineation of such an area is best achieved through a physical barrier. A licensing authority concerned that such an area cannot be satisfactorily delineated may wish to refuse an application for a separate betting premises licence.

20.60 Conditions applicable to off-track betting premises also apply to self-contained betting premises on tracks that are the subject of their own betting premises licence, which entitles the self-contained premises to offer up to four gaming machines (from categories B2 to D).

20.61 Track owners should decide in conjunction with the betting operators offering facilities at their track which premises licensing arrangement best suits the specific nature and circumstances of their track.

Licence conditions and requirements

The role of track premises licence holders

20.62 Since September 2012 on-course bookmakers have entered into licences with racecourses regarding the allocation of betting positions. The responsibilities of track premises licence holders are established by the mandatory and default licence conditions attaching to their premises licence. The licensed betting operators authorised by track owners to provide betting facilities at tracks must comply with their operating licence conditions and codes of practice issued by the Commission.

Acceptance of bets

20.63 Under s.33(2) of the Act, only licensed betting operators may accept bets or provide facilities for gambling. The Commission is responsible for issuing betting operating licences, and each betting operator must comply with the conditions of their operating licence. The Commission can invoke penalties or revoke licences if they fail to do so.

Pool betting

20.64 By virtue of s.179 of the Act, a track premises licence may only authorise the acceptance of bets by way of pool betting on horseracing or dog racing, and if the bets are accepted by the holder of the track premises licence or in accordance with arrangements made by him. Additionally, pool betting on a licensed greyhound track will only be permitted while the public are admitted to the track for the purpose of attending greyhound races, and no other sporting events are taking place. A mandatory condition is attached to the premises licence to this effect (SI 2007/1409: Gambling Act 2005 (Mandatory and Default Conditions) (England and Wales) Regulations 2007 (opens in new tab), Schedule 6(3)(1)).

Admission of betting operators

20.65 It is a mandatory premises licence condition of track premises licences that the licence holder makes arrangements to ensure that the betting operators they admit to their track operate under valid operating licences.

20.66 Track premises licence holders, or their appointees, are therefore responsible for identifying and admitting those providing facilities for betting to operate on-course. This means both betting operating licence holders themselves and persons 'employed by the licensee under a written contract of employment' (Section 92 of the Act).

20.67 Track premises licence holders are responsible for determining their own arrangements for the verification of betting operators. As part of this process, the track premises licence holder should make arrangements for ensuring that the betting operator holds an operating licence.

20.68 There are special regulatory arrangements in place which mean that not all employees need to be listed on the licence, referred to as Schedule Y arrangements (a Schedule Y operator is an employee whose details have been provided to the Commission as authorised by the licensee to accept bets on their behalf otherwise than under the supervision of a qualified person on the same track). This means that bookmakers' assistants - such as computer operators and floormen - do not need to appear on the operator's licence. This light touch regulatory position allows for existing arrangements for supervision.

20.69 In instances where an operator holds more than one betting position at a track they can staff their subsequent positions with non-licensed employees as long as those betting positions are networked to the first pitch and the operator or a Schedule Y representative is in attendance at the track and operating the primary pitch. In this situation the licensee or Schedule Y representative is responsible for all actions carried out by employees on the pitches that he is not physically standing on.

20.70 Licensing authorities should be aware that, as track premises licence holders are required through mandatory licence conditions to make arrangements for identifying and admitting only valid betting

operating licence holders to offer betting on-track, different arrangements may be in place at different tracks to achieve this. Licensing authorities are advised to make themselves aware of the processes used by tracks that they license in their localities.

Removal of illegal betting operators

20.71 Track premises licence holders are required by a mandatory licence condition to take reasonable steps to remove from the racecourse anybody found to be providing facilities for gambling without authorisation - in effect illegal bookmakers. This could include someone claiming to be a representative of a licensed betting operator who has been unable to prove their identity to the track premises licensee. Failure to uphold this requirement could result in action being taken against the premises licence holder.

20.72 Track premises licence holders should have policies and procedures for identifying illegal gambling in addition to the mandatory requirement to verify that betting operators offering betting facilities on their track hold suitable operating licences.

Display of rules

20.73 It is a mandatory condition of premises licences that clear and accessible information about the terms on which a bet may be placed must be displayed at betting premises, including tracks. The terms or rules of betting is a consideration of the Commission in respect of the licensing of betting operators.

20.74 There are often multiple locations of betting on a track. For instance, on a large racecourse there may be a number of betting rings and pool betting outlets and at least one betting shop, while at a football ground there could be several betting booths located throughout the various stadium concourses.

20.75 It may be considered disproportionate and unnecessary to insist that betting rules are displayed at each distinct betting location; rather, the rules should be made available at suitable central locations. The track premises licence holder should make the necessary arrangements to ensure that betting rules are accessible to all customers, regardless of which area of the track they are in. If certain areas are restricted to certain customers (such as different stands within a football ground) then rules could be displayed at various parts of the track. Other measures could be taken to ensure that they are made available to the public, such as printing them in the race-card or programme. The requirement could also be met by making a copy of the rules available in leaflet form from the main track office, and customers could be given a copy if they request one.

20.76 As track premises licence holders do not necessarily provide betting facilities themselves (unless they hold a pool betting licence), they do not have their own set of betting rules to apply. In such cases, the licence holder should make it clear that the operator's betting rules will apply. At horserace meetings, for

example, betting operators generally abide by Tattersall's Rules on Betting (opens in new tab), and as such the premises licence holder should make this clear to customers. At a sports stadium where betting facilities are provided by a high street operator, the track licence holder may choose to state on the centrally provided notice that the rules followed by the betting operator will apply throughout the track.

20.77 Betting operators offering betting facilities on racecourses and at greyhound tracks are required through the conditions of their operating licence to clearly display any of their own rules that differ from those that the track premises licence holder elects to display, and their rules concerning voids, late bets, and maximum payouts. Track premises licence holders are expected to refer customers to the rules of individual on-course betting operators who are required to display this information on their stands (often referred to as 'bookmaker joints').

Part 21: Adult gaming centres

Introduction

21.1 Persons operating an adult gaming centre (AGC) must hold a gaming machines general operating licence (adult gaming centre) from the Commission and a premises licence from the relevant licensing authority. They are able to make category B, C and D gaming machines available.

Protection of children and young persons

21.2 No-one under the age of 18 is permitted to enter an AGC. The Act sets out offences at s.46 and s.47 of inviting, causing or permitting a child or young person to gamble, or to enter certain gambling premises. In addition, Social Responsibility (SR) code 3.2.3(3) in the Licence conditions and codes of practice (LCCP) states that 'licensees must ensure that their policies and procedures take account of the structure and layout of their gambling premises in order to prevent underage gambling'.

21.3 Licensing authorities will wish to have particular regard to the location of and entry to AGCs to minimise the opportunities for under-18s to gain access. This may be of particular importance in areas where young people may be unsupervised for example, where an AGC is in a complex, such as a shopping centre or airport. Licensing authorities should consider whether their statement of policy can be used to reflect such locally based considerations.

Self-exclusion

21.4 Social Responsibility Code Provision 3.5.6 requires that all non-remote casino and bingo and betting licences (except those at a track) and holders of gaming machine general operating licences for adult gaming centres must offer self-exclusion schemes to customers requesting such a facility. There is also an Ordinary Code provision at 3.5.7. The full details can be found within the LCCP¹⁸.

Gaming machines

21.5 Gaming machine provisions by premises are set out at Appendix A. S.172(1) of the Act, as amended, provides that the holder of an AGC premises licence may make available for use a number of category B gaming machines not exceeding 20% of the total number of gaming machines which are available for use on the premises and any number of category C or D machines. For example, a premises with a total of 25 gaming machines available for use can make five or fewer category B3 gaming machines available on those premises.

21.6 Premises subject to a licence granted before 13 July 2011 are entitled to make available four category B3/B4 gaming machines, or 20% of the total number of gaming machines, whichever is the greater. AGC premises licences granted on or after 13 July 2011 are entitled to 20% of the total number of gaming machines only. Regulations specify that the category B machines should be restricted to sub-category B3 and B4 machines, but not B3A machines (S1 2158 The Categories of Gaming Machine Regulations 2007 (opens in new tab)). Licensing authorities should ensure that gambling machines are made available for use in a manner consistent with our guidance within Part 16. For the purpose of calculating the category B machine entitlement in gambling premises, gaming machines should only be counted if they can be played simultaneously by different players without physical hindrance. This includes tablets.

21.7 Where the operator of an existing AGC premises licence applies to vary the licence and acquire additional AGC premises licences - so that the area that was the subject of a single licence will become divided between a number of separate licensed premises - each separate licensed premises must only contain the permitted machine entitlement. For example, where two separate AGC premises have been created adjacent to each other by splitting a pre-existing premises, it is not permissible to locate eight category B3 gaming machines in one of the resulting premises and none in the other, as the gaming machine entitlement for that premises would be exceeded. Part 7 explains in greater detail what constitutes premises.

AGC premises licence conditions

21.8 Part 9 of this guidance discusses the mandatory and default conditions that attach to premises licences. Currently there are no default conditions specific to AGCs.

Mandatory conditions

21.9 A notice must be displayed at all entrances to AGCs stating that no person under the age of 18 years will be admitted to the premises.

21.10 There can be no direct access between an AGC and any other premises licensed under the Act or premises with a family entertainment centre (FEC), club gaming, club machine or alcohol licensed premises gaming machine permit. (England and Wales only). There is no definition of 'direct access' in the

Act or regulations, although licensing authorities may consider that there should be an area separating the premises concerned, such as a street or cafe, which the public go to for purposes other than gambling, for there to be no direct access.

21.11 Any ATM made available for use on the premises shall be located in a place that requires any customer who wishes to use it to cease gambling at any gaming machine in order to do so.

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

Part 22: Licensed family entertainment centres

Introduction

22.1 The Act creates two classes of family entertainment centre (FEC). This part of the guidance concerns licensed FECs. Unlicensed FECs are dealt with in Part 24. Persons operating a licensed FEC must hold a gaming machine general operating licence (Family Entertainment Centre) from the Commission and a premises licence from the relevant licensing authority. They will be able to make category C and D gaming machines available.

Protection of children and young persons

22.2 FECs are commonly located at seaside resorts, in airports and at motorway service stations, and cater for families, including unaccompanied children and young persons. Licensing authorities should take into account this specific risk when considering applications and when inspecting such premises, and will likely reflect the risks in their statement of policy.

22.3 Children and young persons are permitted to enter an FEC and may use category D machines. They are not permitted to use category C machines and it is a requirement that there must be clear segregation between the two types of machine, so that under-18s do not have access to them. Social Responsibility (SR) code 3.2.5(3) in the Licence conditions and codes of practice (LCCP) states that 'licensees must ensure that their policies and procedures take account of the structure and layout of their gambling premises' in order to prevent underage gambling. Mandatory conditions apply to FEC premises licences regarding the way in which the area containing the category C machines should be set out, detailed below at paragraph 22.9.

22.4 SR 3.2.5(2) requires operators to ensure that employees prevent access and challenge children or young persons who attempt to use category C machines. It is strongly recommended that licensing

authorities ensure that staffing and supervision arrangements are in place to meet this requirement, both at the application stage and during subsequent inspections.

Meaning of premises

22.5 A licensed FEC is classified as 'premises' and only premises that are wholly or mainly used for making gaming machines available may hold an FEC premises licence (s.238 of the Act). As a result, it is generally not permissible for such premises to correspond to an entire shopping centre, airport, motorway service station or similar. Typically, the machines would be in a designated, enclosed area.

22.6 The Commission considers that it is not permissible for gaming machines which should be contained within the FEC premises, to be located in corridors and walkways which form part of the larger building. Machines have been found in such venues without the requisite FEC premises licence and as such the machines are being made available unlawfully and are not subject to the controls necessary to minimise gambling-related harm and to protect children and vulnerable people. This exposes young people to ambient gambling that the Act was designed to prevent (through the removal of machines from take-aways, taxi offices etc).

22.7 In the event that a licensing authority may have granted an FEC premises licence to premises that should not have qualified for one, the procedure for review will apply as set out in Part 10 of this guidance. Depending on circumstances this might include sharing concerns with the premises licence holder (exploring the possibility of them applying to vary the premises licence to render it compliant), seeking a review of the premises licence and/or imposing conditions.

Licensed FEC premises licence conditions

22.8 Part 9 of this guidance discusses the mandatory and default conditions that attach to premises licences. Currently there are no default conditions specific to FECs.

Mandatory conditions

22.9 The summary of the terms and conditions of the premises licence issued by the licensing authority under s.164(1)(c) of the Act must be displayed in a prominent place within the premises.

22.10 The layout of the premises must be maintained in accordance with the plan.

22.11 The premises must not be used for the sale of tickets in a private lottery or customer lottery, or the National Lottery.

22.12 No customer shall be able to enter the premises directly from a casino, an adult gaming centre or betting premises (other than a track). There is no definition of 'direct access' in the Act or regulations, but licensing authorities may consider that there should be an area separating the premises concerned, such

as a street or cafe, which the public go to for purposes other than gambling, for there to be no direct access.

22.13 Any ATM made available for use on the premises must be located in a place that requires any customer who wishes to use it to cease gambling at any gaming machine in order to do so.

22.14 Over-18 areas within FECs that admit under-18s, must be separated by a barrier with prominently displayed notices at the entrance stating that under-18s are not allowed in that area and with adequate supervision in place to ensure that children and young persons are not able to access these areas or the category C machines. Supervision may be done either by placing the terminals within the line of sight of an official of the operator or via monitored CCTV.

22.15 The consumption of alcohol in licensed FECs is prohibited at any time during which facilities for gambling are being provided. Additionally in Scotland the sale of alcohol on the premises is specifically prohibited. A notice stating this should be displayed in a prominent position on the premises.

Part 23: Introduction to permits

Introduction

23.1 The Act introduces a range of permits for gambling which are granted by licensing authorities. Permits are designed as a light-touch approach to low level ancillary gambling - they are used in circumstances where stakes and prizes are subject to very low limits and/or gambling is not the main function of the premises. The permits regulate gambling and the use of gaming machines in specific premises.

23.2 Holders of alcohol-licensed premises gaming machine permits and club permits are required to comply with codes of practice drawn up by the Commission, on the location and operation of machines, namely The gaming machine permits code of practice.

23.3 The following parts of this guidance discuss, amongst other things, the various permits that licensing authorities are responsible for issuing:

- Part 24 – family entertainment centre gaming machine permits, Schedule 10
- Part 25 – club gaming permits and club machine permits, Schedule 12
- Part 26 – alcohol-licensed premises gaming machine permits, Schedule 13
- Part 27 – prize gaming permits, Schedule 14.

23.4 Licensing authorities may only grant or reject an application for a permit. No conditions may be attached to a permit.

23.5 There are different factors to be taken into account by licensing authorities when considering the different types of permit applications and further information is provided in the relevant parts of this guidance identified above.

23.6 In addition, licensing authorities are responsible for receiving notifications from holders of alcohol licences under the Licensing Act 2003 ([opens in new tab](#)) or the Licensing (Scotland) Act 2005 ([opens in new tab](#)), that they intend to exercise their automatic entitlement to two gaming machines in their premises under s.282 of the Act.

Part 24: Unlicensed family entertainment centres

Introduction

24.1 Unlicensed family entertainment centres (uFEC) are able to offer only category D machines in reliance on a gaming machine permit. Any number of category D machines can be made available with such a permit, although there may be other considerations, such as fire regulations and health and safety, to take into account. Permits cannot be issued in respect of vessels or vehicles.

24.2 uFECs are premises which are ‘wholly or mainly’ used for making gaming machines available (S238 Gambling Act 2005 ([opens in new tab](#))). As a result, it is generally not permissible for such premises to correspond to an entire shopping centre, airport, motorway service station or similar. Typically, the machines would be in a designated, enclosed area.

24.3 A permit lapses if the licensing authority informs the permit holder that the premises are not being used as an FEC (Schedule 10 (14) Gambling Act 2005 ([opens in new tab](#))). Further guidance is set out at paragraph 22.5.

24.4 If the operator wishes to make category C machines available in addition to category D machines, the operator will need to apply for a gaming machine general operating licence (Family Entertainment Centre) from the Commission and a premises licence from the licensing authority.

24.5 Schedule 10 of the Act sets out the application process and regulatory regime for FEC gaming machine permits.

Applying for a permit

24.6 The application for a permit can only be made by a person who occupies or plans to occupy the premises to be used as an uFEC and, if the applicant is an individual, he or she must be aged 18 or over. Applications for a permit cannot be made if a premises licence is in effect for the same premises. The application must be made to the licensing authority in whose area the premises are wholly or partly situated.

24.7 The licensing authority must specify the form and manner in which the application should be made, and specify what other information and documents (such as insurance certificates, plans of building, and

so on) they require to accompany the application. Applications must be accompanied by a fee, as prescribed in regulations (SI No 454/2007: The Gambling Act 2005 (Family Entertainment Centre Gaming Machine)(Permits) Regulations 2007 (opens in new tab) and SSI No 309/2007: The Gambling Act 2005 (Fees)(Scotland) Regulations 2007 (opens in new tab)) set by the Secretary of State for England and Wales and Scottish Ministers for Scotland.

24.8 In its statement of policy, a licensing authority may include a statement of principles that it proposes to apply when exercising its functions in considering applications for permits. In particular it may want to set out the matters that it will take into account in determining the suitability of the applicant. Given that the premises is likely to appeal particularly to children and young persons, licensing authorities may wish to give weight to matters relating to protection of children from being harmed or exploited by gambling and to ensure that staff supervision adequately reflects the level of risk to this group. Licensing authorities are also encouraged to also specify in their statement of policy that a plan for the uFEC must be submitted.

Granting or refusing a permit

24.9 The licensing authority can grant or refuse an application for a permit, but cannot add conditions. An application for a permit may be granted only if the licensing authority is satisfied that the premises will be used as an uFEC, and if the chief officer of police has been consulted on the application. In considering the application, the licensing authority shall have regard to this guidance and may have regard to the licensing objectives (Schedule 10, paragraph 7 of the Act). The licensing authority may also consider asking applicants to demonstrate:

- a full understanding of the maximum stakes and prizes of the gambling that is permissible in uFECs
- that the applicant has no relevant convictions (those that are set out in Schedule 7 of the Act)
- that employees are trained to have a full understanding of the maximum stakes and prizes.

24.10 The licensing authority may not refuse an application unless it has notified the applicant of the intention to refuse and the reasons for it, and given them an opportunity to make representations orally or in writing or both. The rights of appeal in relation to permits are discussed in Part 12 of this guidance.

24.11 If a permit is granted, the licensing authority must issue it as soon as is reasonably practicable. The Secretary of State has set out the form of the permit in regulations (SI No 454/2007: The Gambling Act 2005 (Family Entertainment Centre Gaming Machine)(Permits) Regulations 2007 (opens in new tab)). The permit must specify the person to whom it is issued, the premises it relates to, the date on which it takes effect, the date on which it expires and the name and address of the licensing authority issuing it.

24.12 The permit will have effect for ten years, unless it ceases to have effect because it is surrendered or lapses or is renewed. There is no annual fee for FEC gaming machine permits. Permits that were first granted under the Act expired in 2017.

24.13 If the person to whom the permit is issued changes their name, or wants to be known by another name, they may send the permit to the issuing authority for amendment, together with the appropriate fee. The authority must comply with the request and return the permit to the holder.

Lapse, surrender and forfeiture

24.14 The permit may lapse for a number of reasons, namely:

- if the holder ceases to occupy the premises
- if the licensing authority notifies the holder that the premises are not being used as an uFEC
- if an individual permit holder dies, becomes incapable by reason of mental or physical incapacity, becomes bankrupt, or sequestration of his estate is ordered
- if the company holding the permit ceases to exist, or goes into liquidation.

24.15 The purpose of the second reason listed above is to ensure that there is no erosion of the principle that an uFEC permit should be obtained for premises that are wholly or mainly used for gaming machines. Licensing authorities would need to use this power in circumstances in which, since the grant of the permit, other activities have been introduced in the premises that mean the gaming machines have become ancillary.

24.16 In the last two circumstances listed above, the Act provides that the personal representative (in the case of death), trustee of the bankrupt estate or liquidator of the company may rely on the permit for a period of six months as though it had effect and was issued to them.

24.17 The permit may also cease to have effect if the holder surrenders it to the licensing authority. Notice of such surrender must be accompanied by the permit, or by an explanation of why the permit cannot be produced.

24.18 If the permit holder is convicted of a relevant offence the court may order the forfeiture of the permit. The court may order the holder to deliver the permit to the licensing authority and it must, in any case, notify the licensing authority that it has made a forfeiture order as soon as is reasonably practicable after making the order. Such an order may be suspended by a higher court, pending appeal.

Renewal

24.19 In accordance with paragraph 18 of Schedule 10 of the Act, an application for renewal of a permit must be made during the period beginning six months before the permit expires and ending two months before it expires. The procedure for renewal is the same as for an application. The licensing authority may only refuse to renew a permit on the grounds that:

- an authorised local authority officer has been refused access to the premises without reasonable excuse
- renewal would not be reasonably consistent with the licensing objectives. In this respect, the licensing authority will have the benefit of having consulted the chief officer of police and will be aware of any concerns that have arisen about the use of the premises during the life of the permit.

24.20 The duration of the permit will not be curtailed while a renewal application is pending, including an appeal against a decision not to renew.

Maintenance

24.21 The permit must be kept on the premises and it is an offence not to produce it when requested to do so by a constable, an enforcement officer, or an authorised local authority officer.

24.22 If a permit is lost, stolen or damaged, the holder may apply for a replacement, subject to paying a fee that has been set by the Secretary of State or Scottish Ministers in regulations. The licensing authority

must grant the application if it is satisfied that the permit has been lost, stolen or damaged and a report has been made to the police. The licensing authority should issue a copy and certify it as a true copy of the original permit.

Part 25: Clubs

Defining clubs

25.1 The Act creates a separate regime for gaming in clubs from that in other relevant alcohol licensed premises. It defines two types of club for the purposes of gaming:

- members' clubs (including miners' welfare institutes)
- commercial clubs.

This is an important distinction in respect of the gaming that may take place.

Members' club

25.2 A members' club is a club that is not established as a commercial enterprise and is conducted for the benefit of its members. Examples include working mens' clubs, miners' welfare institutes, branches of the Royal British Legion and clubs with political affiliations. Members' clubs may apply to their local licensing authority for club gaming permits and club machine permits. Particular care should be taken when assessing applications for gaming permits which have been used for illegal poker clubs under the guise of members' clubs. Experience very strongly indicates that taking care at the application stage in robustly checking the credentials of the applicant will save a great deal of time and effort afterwards. If a licensing authority is in any doubt as to the suitability of an applicant they should contact the Commission who will offer the appropriate support, advice and any intelligence that may be available.

25.3 In short, the statutory definition of a members' club requires that:

- it must be established and conducted wholly or mainly for purposes other than the provision of facilities for gaming
- the club satisfies the conditions attached to a club gaming permit
- they are not commercial clubs that would then be offering gambling illegally.

25.4 The Act states that members' clubs must have at least 25 members and be established and conducted 'wholly or mainly' for purposes other than gaming, unless the gaming is restricted to that of a

prescribed kind (currently bridge and whist). Members' clubs must be permanent in nature but there is no need for a club to have an alcohol licence.

Miners' welfare institute

25.5 Miners' welfare institutes are associations established for recreational or social purposes. They are managed by representatives of miners or use premises regulated by a charitable trust which has received funds from one of a number of mining organisations. Miners' welfare institutes may also apply for club gaming permits and club machine permits.

Commercial club

25.6 A commercial club is a club established for commercial gain, whether or not they are actually making a commercial gain. Examples include commercial snooker clubs, clubs established as private companies and clubs established for personal profit. Commercial clubs may only apply for club machine permits. There are established tests to determine a club's status (see paragraphs 25.46 to 25.48) but if in doubt, legal advice should be sought.

Bingo in clubs

25.7 Clubs and miners' welfare institutes are able to provide facilities for playing bingo under s.275 of the Act or in accordance with a permit under s.271, provided that the restrictions in s.275 are complied with. These include that in any seven day period the aggregate stakes or prizes for bingo must not exceed £2,000 (Code of practice for equal chance gaming in clubs and premises with an alcohol licence). If that limit is breached the club must hold a bingo operator's licence and the relevant operating, personal and premises licences must be sought. The bingo must comply with any code issued by the Commission under s.24 of the Act (Code of practice for gaming in clubs and premises with an alcohol licence). Further information about bingo in clubs can be found in paragraphs 18.12 to 18.15¹⁹.

Betting in clubs

25.8 Commercial betting, regardless of the level of stakes, is not allowed in clubs. Those who facilitate such betting - whether designated premises supervisors or club officials - are providing illegal facilities for gambling and are breaking the law. Even where designated premises supervisors or club officials accept

bets on behalf of licensed bookmakers, or just facilitate betting through their own telephone accounts, they are acting as betting intermediaries and could be prosecuted.

25.9 Licensed bookmakers with a full or ancillary remote licence may accept telephone bets from a customer watching an event in a club, as long as that customer has an individual account with them. It is illegal for bookmakers to sit in the club taking bets themselves. Similarly, it is also illegal for operators to put their agent in clubs, for example, in a working men's club on a Saturday, to take bets.

Exempt gaming

25.10 Exempt gaming is generally permissible in any club. Such gaming must be equal chance gaming and be ancillary to the purposes of the club. This provision is automatically available to all such premises, but is subject to statutory stakes and prize limits determined by the Secretary of State.

25.11 Equal chance gaming is gaming that does not involve staking against a bank and the chances of winning are equally favourable to all participants. It includes games such as backgammon, mah-jong, rummy, kalooki, dominoes, cribbage, bingo and poker.

25.12 The Secretary of State has set both daily and weekly prize limits for exempt gaming. Different higher stakes and prizes are allowed for exempt gaming in clubs than are allowed in alcohol-licensed premises (SI No 1944/2007: The Gambling Act 2005 (Exempt Gaming in Clubs) Regulations 2007 (opens in new tab)). These limits are set out in Appendix C to this guidance.

25.13 Exempt gaming should comply with any code of practice issued by the Commission under s.24 of the Act.

25.14 Clubs may levy a charge for participation in equal chance gaming under the exempt gaming rules. The amount they may charge is as prescribed in regulations (SI No 1944/2007: The Gambling Act 2005 (Exempt Gaming in Clubs) Regulations 2007) (opens in new tab). See Appendix C for further details.

25.15 In order to qualify as exempt gaming, clubs may not charge a rake on games (a commission or fee deducted from the prize fund), or levy or deduct an amount from stakes or winnings.

25.16 Members' clubs may only be established wholly or mainly for the purposes of the provision of facilities for gaming, if the gaming is of a prescribed kind. Currently, bridge and whist are the only prescribed kinds of gaming (SI No 1942/2007: The Gambling Act 2005 (Gaming in Clubs) Regulations 2007 (opens in new tab)). So long as it does not provide facilities for other types of gaming, a club established wholly or mainly for the purposes of the provision of facilities for gaming (currently bridge and whist) may apply for a club gaming permit. In any other case, if gaming is the main purpose of the club, that gaming cannot be treated as exempt gaming under s.269 of the Act. For example, if poker was the main purpose of the club, it could not be provided as exempt gaming.

25.17 The gaming offered must not be linked to gaming in other premises and no person under 18 may participate in the gaming.

25.18 Gaming which meets these conditions needs no permission from the licensing authority. However, if an authority believes that these conditions are being breached, it has a power to remove the exemption and ban gaming in a specific pub or club. Examples of potential breaches include:

- poker prize limits being exceeded on a regular basis

- a rake being applied to a poker game
- the siting of illegal gaming machines
- failure to adhere to other exemptions and codes.

25.19 The Commission has issued a code of practice under s.24 of the Act in respect of exempt equal chance gaming.

25.20 The code of practice requires owners/licensees to adopt good practice measures for the provision of gaming in general and poker in particular. The code also sets out the stakes and prizes limits and the limits on participation fees laid out in regulations.

25.21 The emphasis of the regulations and the code of practice is on self-regulation by the management of the premises and licensing authorities should take a strong line in cases where breaches are detected. There are a number of powers available to licensing authorities in circumstances where breaches have been committed including:

- attaching additional conditions to the premises licence
- withdrawal of the permit
- removal of automatic machine entitlement, attached to alcohol licence
- review of the alcohol licence.

Protection of children and young persons

25.22 S.273 sets out the conditions that will apply to the club machine permit, including that in respect of gaming machines no child or young person uses a category B or C machine on the premises and that the holder complies with any relevant provision of a code of practice about the location and operation of gaming machines. It should be noted that clubs do not have to have permanent premises or an alcohol licence.

Permits

Club gaming permits

25.23 Schedule 12 of the Act sets out the application process and regulatory regime for club gaming permits and club machine permits. Scottish Ministers may, with the consent of the Secretary of State, make separate regulations in relation to club gaming or club machine permits in place of Schedule 12, if the applicant or the holder of the permit is the holder of a relevant Scottish licence. Scottish Ministers have made regulations in this regard (SSI No 504/2007: The Club Gaming and Club Machine Permits (Scotland) Regulations 2007 ([opens in new tab](#))). In exercising a function under Schedule 12, the licensing authority must have regard to this guidance and, subject to the guidance, the licensing objectives.

25.24 A club gaming permit or club machine permit may not be issued in respect of a vessel or vehicle.

25.25 Under s.271 of the Act, the licensing authority may grant members' clubs and miners' welfare institutes (but not commercial clubs) club gaming permits which authorise the establishments to provide gaming machines, equal chance gaming (without having to abide by the stake and prize limits which would apply to exempt gaming in the absence of a permit) and games of chance as prescribed in regulations (SI No 1945/2007: The Gambling Act 2005 (Club Gaming Permits) (Authorised Gaming) Regulations 2007 (opens in new tab)), namely pontoon and chemin de fer. This is in addition to the exempt gaming authorisation under s.269 of the Act.

25.26 Club gaming permits allow the provision of no more than three gaming machines. These may be from categories B3A, B4, C or D but only one B3A machine can be sited as part of this entitlement. See Part 16 of this guidance for information on machine categories.

25.27 Where a club has gaming machines, it is required to comply with the code of practice issued by the Commission on the location and operation of machines.

25.28 The gaming which a club gaming permit allows is subject to conditions:

- (a) in respect of equal chance gaming:
- the club must not deduct money from sums staked or won
- the participation fee must not exceed the amount prescribed in regulations
- the game takes place on the premises and must not be linked with a game on another set of premises.

Two games are linked if:

- the result of one game is, or may be, wholly or partly determined by reference to the result of the other game or
- the amount of winnings available in one game is wholly or partly determined by reference to the amount of participation in the other game, and a game which is split so that part is played on one site and another part is played elsewhere is treated as two linked games
- only club members and their genuine guests participate.
- (b) in respect of other games of chance:
- the games must be pontoon and chemin de fer only
- no participation fee may be charged otherwise than in accordance with the regulations
- no amount may be deducted from sums staked or won otherwise than in accordance with the regulations.

25.29 There are limits on stakes and prizes for poker played in those clubs and institutes that do not hold a club gaming permit issued by their local licensing authority. The introduction of these limits reflects significant recent growth in the popularity of poker, and the need to address the particular risks associated with such gaming. The regulations (SI No 1944/2007: The Gambling Act 2005 (Exempt Gaming in Clubs) Regulations 2007 (opens in new tab)) impose a stakes limit of £10 per person per game, within a premises limit of up to £250 in stakes per day and £1,000 per week. The maximum fees that clubs may charge their members for participating in gaming has been set at £1 per day (or £3 if they hold a club gaming permit). Clubs and institutes holding a club gaming permit are also able to provide facilities for specified banker's games.

25.30 To help clubs and institutes to comply with the full range of statutory requirements for gaming, the Commission has issued a statutory code of practice on equal chance gaming in consultation with interested parties. The provisions of the Code of practice for equal chance gaming in clubs and premises with an alcohol licence (which also applies to alcohol-licensed premises) include:

- ensuring that young people and children are protected by excluding them from gaming (even if they are permitted on the premises)
- ensuring that gaming is fair and open by requiring close supervision of the games, record keeping (as appropriate), the need for standard rules and the display of stakes and prizes limits and the rules during play.

25.31 A 48-hour rule applies in respect of all three types of gaming, so that the games may only be played by people who have been members of the club for at least 48-hours, or have applied or been nominated for membership or are genuine guests of a member.

Club machine permits

25.32 If a members' club or a miners' welfare institute does not wish to have the full range of facilities permitted by a club gaming permit, they may apply to the licensing authority for a club machine permit under s.273 of the Act. This authorises the holder to have up to three gaming²⁰ machines of categories B3A, B4, C and D. Commercial clubs are not permitted to provide non-machine gaming other than exempt gaming under s.269 of the Act, so they should apply for a club machine permit (although such a permit does not allow the siting of category B3A gaming machines by commercial clubs).

25.33 In England and Wales, premises which operate membership-based social clubs (often work premises) are able to apply for a club machine permit. Before granting the permit the licensing authority will need to satisfy itself that the premises meet the requirements of a members' club and may grant the permit if the majority of members are over 18 years of age. The permit will allow up to three machines of category B3A, B4, C or D but only one B3A machine can be sited as part of this entitlement. If under-18s use the club, for example they are apprentices, they may play the category D, but not the B4 or C machines. This does not apply in Scotland because only a club with a premises licence under the Licensing (Scotland) Act 2005 ([opens in new tab](#)) may apply for a club machine permit (See SSI No 504/2007: The Club Gaming and Club Machine Permits (Scotland) Regulations 2007 ([opens in new tab](#)) and SSI No 150/2011: The Licensing (Scotland) Act 2005 (Consequential Provisions) Order 2011 ([opens in new tab](#))).

25.34 Holders of licensed premises club machine permits are required to comply with the code of practice, which has been issued by the Commission on the location and operation of machines.

Applications for club gaming permits and club machine permits

25.35 The Secretary of State has made regulations in relation to applications for these permits, and Scottish Ministers have made separate regulations setting out the fees and applications requirements that apply in Scotland.

25.36 Applications must be made to the licensing authority in whose area the premises are located, and must be accompanied by the fee and documents prescribed in regulations (SI No 1834/2007: The Gambling Act 2005 (Club Gaming and Club Machine Permits) Regulations 2007 (opens in new tab) and SI No 2689/2007: The Gambling Act 2005 (Club Gaming and Club Machine Permits)(Amendments) Regulations 2007 (opens in new tab), SSI No 504/2007: The Club Gaming and Club Machine Permits (Scotland) Regulations 2007 (opens in new tab)). Within a time prescribed in the regulations, the applicant must also copy the application to the Commission and to the chief constable. The Commission and the police may object to the permit being granted. The period within which such objections must be lodged and the grounds on which they may be made are set out in regulations. If any objections are made, the authority must hold a hearing (unless consent has been given to dispense with it), otherwise no hearing is necessary.

25.37 A licensing authority may grant or refuse a permit, but it may not attach any conditions to a permit. The authority has to inform the applicant, the Commission and the police of the outcome of the application and of any objections made.

25.38 Licensing authorities may only refuse an application on the grounds that:

1. the applicant does not fulfil the requirements for a members' or commercial club or miners' welfare institute and therefore is not entitled to receive the type of permit for which it has applied
2. the applicant's premises are used wholly or mainly by children and/or young persons
3. an offence under the Act or a breach of a permit has been committed by the applicant while providing gaming facilities
4. a permit held by the applicant has been cancelled in the previous ten years
5. an objection has been lodged by the Commission or the police.

25.39 If the authority is satisfied that (a) or (b) is the case, it must refuse the application. Licensing authorities shall have regard to relevant guidance issued by the Commission and (subject to that guidance), the licensing objectives.

25.40 In cases where an objection has been lodged by the Commission or the police, the licensing authority is obliged to determine whether the objection is valid.

Fast-track procedure

25.41 There is a fast-track procedure for clubs in England and Wales which hold a club premises certificate under s.72 of the Licensing Act 2003 (opens in new tab). Under the fast-track procedure there is no opportunity for objections to be made by the Commission or the police, and the grounds upon which an authority can refuse a permit are reduced. This is because the club or institute will already have been through a licensing process in relation to its club premises certificate under the 2003 Act, and it is therefore unnecessary to impose the full requirements of Schedule 12. Commercial clubs cannot hold club premises certificates under the Licensing Act 2003 (opens in new tab) and so cannot use the fast-track procedure. The fast-track procedure also does not apply in Scotland.

25.42 Those clubs applying for permits by way of conversion of their pre-existing 1968 Gaming Act (opens in new tab) Part II or Part III club registrations do not have the fast-track procedure available to them, even if they hold club premises certificates. In these instances, the club must still send a copy of the application to the Commission and chief officer of police. However, the Commission (and the police) may not object to the application and the licensing authority is, in fact, obliged to grant the application. However, care should be taken that the emphasis of the club is not being changed, to become a dedicated poker club for example.

25.43 The grounds on which an application under this process may be refused are that:

1. the club is established primarily for gaming, other than gaming prescribed by regulations under s.266 of the Act
2. in addition to the prescribed gaming, the applicant provides facilities for other gaming
3. a club gaming permit or club machine permit issued to the applicant in the last ten years has been cancelled.
4. Factors to consider when granting a club gaming permit

25.44 The licensing authority has to satisfy itself that the club meets the requirements of the Act to obtain a club gaming permit. It is suggested that applicants for permits should be asked to supply sufficient information and documents to enable the licensing authority to take account of the matters discussed in paragraphs 25.46 to 25.46, at the time they submit their applications to the licensing authority. Licensing authorities should be particularly aware that club gaming permits may be misused for illegal poker clubs.

25.45 In determining whether a club is a genuine members' club, the licensing authority should take account of a number of matters, such as:

- Is the primary purpose of the club's activities something other than the provision of gaming to its members? This is an indicator that it's a genuine members' club.
- Are the profits retained in the club for the benefit of the members? This is the key difference between a members' club and a commercial club
- Are there 25 or more members? This is the amount of members a club has to have to qualify.
- Are there genuine domestic addresses on the register of members? Are domestic addresses listed for every member? Are members local to the club? These are all indicators that the member lists are bona fide and are made up of genuine members.
- Do members participate in the activities of the club via the internet? It is less likely to be a genuine members' club if this is the case.
- Do guest arrangements link a member to every guest? Is there evidence of a signing-in register for guests? Guests must be genuine guests of members and not members of the general public.
- Is the 48-hour rule between applying for membership and participating in any gaming properly applied? This is an indication that the club has a proper membership scheme.
- Are there annual accounts for more than one year? This would indicate that the club is permanent in nature, rather than temporary.

- How is the club advertised and listed in directories, including on the internet? If the club is categorised under 'gaming' or 'poker', it is less likely to be genuine members' club.
- What information is provided on the club's website? This can be a useful source of information about the club.
- Are children permitted into the club? Appropriate access to the premises by children may indicate that it is less likely that the club is primarily for gambling activities.
- Does the club have a constitution and can it provide evidence that the constitution was approved by the members of the club? This provides further evidence that it is a properly constituted members' club.
- Is there a list of committee members and evidence of their election by the members of the club? Can the club provide minutes of committee and other meetings? These are further evidence that the club is a properly constituted members' club.

25.46 The constitution of the club could also indicate whether it is a legitimate members' club. Amongst the things to consider when examining the constitution are the following:

- Who makes commercial decisions on behalf of the club and what are the governance arrangements? Clubs are normally run by a committee made up of members of the club, rather than individuals or managers, who make decisions on behalf of the members. There will normally be a system (consultation, voting, paper ballots, annual general meetings, special meetings etc) which allows members to be involved in major decisions concerning the management and running of the club. Such arrangements would normally be spelt out in the constitution.
- Are the aims of the club set out in the constitution? A lack of aim or aims which involve gaming could indicate that it is not a genuine members' club.
- Are there shareholders or members? Shareholders would indicate a business enterprise linked to a commercial club.
- Is the members' club permanently established? Clubs can't be temporary and must be permanent in nature.
- Can people join with annual or quarterly membership? This would indicate that the club is permanent in nature.
- Are there long term membership benefits? This would also indicate that the club is permanent in nature and that it is a genuine members' club. The benefits of membership would normally be set out in the rules of membership.

25.47 Other than bridge and whist clubs, which are separately catered for in regulations, a club cannot be established wholly or mainly for purposes of gaming. In applying for a club gaming permit, a club must therefore provide substantial evidence of activities other than gaming. Useful questions which a licensing authority should consider include:

- How many nights is gaming made available? If gaming is available for all or most nights with little other activity, then it is likely that the club is established wholly or mainly for gaming.
- Is the gaming advertised? If gaming is advertised with little or no reference to the other activities of the club, then it is likely that gaming is the main activity of the club and that the gaming is run commercially.
- What are the stakes and prizes offered? The stakes and prizes limits must be complied with. Unlimited stakes and prizes are only available to genuine members' clubs once a club gaming permit has been granted. If high stakes and prizes are offered, this is also likely to indicate that gaming is one of the main activities of the club.
- Is there evidence of leagues with weekly/monthly/annual winners? This could indicate that the club's main activity is gaming.

- Is there evidence of non-playing members? If members participate in gaming exclusively, this is an indication that the main or only activity of the club is gaming.
- Are there teaching sessions to promote gaming, such as poker? This could be evidence that the club's main activity is gaming.
- Is there tie-in with other clubs offering gaming, such as poker, through tournaments or leagues? This is also an indication that gaming is possibly one of the main activities of the club.
- Is there sponsorship by gaming organisations, for example online poker providers? Similarly, this could indicate that poker is one of the main activities of the club.
- Are participation fees within limits? The licensing authority could consider club records and adverts for gaming etc. Fees that exceed the limits could indicate that the gaming is run commercially.

25.48 A visit to the premises before granting of the permit may assist the licensing authority to understand how the club will operate.

Factors to consider for gaming under a club machine permit

25.49 The licensing authority should satisfy itself that the gaming on offer meets the conditions set out in the Act and relevant regulations. To do this, the licensing authority may wish to ask questions of the applicant or ensure that the exempt gaming complies with these conditions. The conditions are:

- there must be no rake from the pot (that is, the organiser cannot take any money from the prize fund, or deduct money from the stakes or winnings). Licensing authorities should examine the records for gaming or, if possible, observe or get statements about the pot.
- there must be no side bets. This is probably only going to be possible to verify through observation.
- participation fees must be within the limits prescribed in the regulations. Is there evidence of excess participation fees in club records, adverts for gaming in or outside of the club or from complaints? Participation fees must not be disguised as charges for dealers, mandatory tipping of dealers, table charges or hire charges. Again, observation of the gaming may be necessary.
- prizes must be within the limits prescribed in the regulations. Is there evidence that they are excessive from records at the club, in adverts for gaming etc? Note that daily and weekly limits must be monitored by the operator and that 'money or money's worth' (for example, goods) counts towards the prize limits.
- where the games are poker tournaments or leagues, the licensing authority may find it useful to consult Part 29 which sets out how the law applies to poker. This should help the licensing authority to determine whether the gaming is within the law from evidence such as records in the club and adverts for gaming.

Factors to consider when monitoring club gaming permits

25.50 Once the licensing authority has issued a club gaming permit, various aspects need to be considered by licensing authorities in monitoring the club gaming permit. In addition to monitoring whether the club continues to meet the requirements of the Act for a club gaming permit (that is, whether it remains a genuine members' club) and whether the gaming meets the conditions set out in the Act and the relevant regulations.

25.51 Where clubs have computers available for use by members, licensing authorities should be aware that these computers may be taken to be gaming machines in certain circumstances. Generally, a computer is not a gaming machine merely because there is a possibility of accessing a gambling website via the internet. However, a computer will be taken to be a gaming machine if it is knowingly adapted or presented to facilitate or draw attention to the possibility of it being used for gambling.

25.52 Each case will need to be looked at individually and ultimately the decision regarding whether a machine is a gaming machine is one for the courts to make.

25.53 The precise circumstances in which the facilities are offered - including the environment in which they are offered and the relationship with other gambling facilities provided - will need to be taken into account when assessing the status of those facilities. The following indicators may help in making decisions about whether a computer is knowingly adapted or presented to facilitate or draw attention to the possibility of it being used for gambling. This list is not exhaustive, and the presence or absence of any single factor is not necessarily conclusive:

- icons for gambling websites displayed on the desktop screen
- links to gambling websites available via the start menu
- screensavers, desktop wallpapers referring to gambling websites
- internet browsing history or favourites menu containing gambling websites
- promotional material (posters, flyers) indicating the use of computers for gambling
- gambling software downloaded onto a computer
- staff informing customers of the existence of the computer for access to gambling websites
- email messages or other promotional material sent to customers/individuals referring to the availability of computers on premises for gambling purposes.

25.54 Licensing authorities should note that, as a consequence of the Gambling (Licensing and Advertising) Act 2014 ([opens in new tab](#)), there is a requirement on remote gambling operators selling into the British market, whether based here or abroad, to hold a Commission licence to enable them to transact with British consumers.

25.55 Any of the factors mentioned in the preceding paragraphs in this section may give rise to the need to review the club gaming permit or take appropriate enforcement action.

25.56 The Commission provides advice and guidance to licensing authorities on permits and related matters and, on a case-by-case basis, will undertake targeted collaborations with licensing authorities in order to establish principle and precedent, and a clear understanding of the legal requirements.

25.57 An agency that may also be able to assist licensing authority enquiries is HM Revenue & Customs. If a club is trading under the auspices of a club gaming permit (as a members' club) but is in fact a commercial club with, for example, their main activity being poker, they would be liable for gaming duty. Licensing authorities should bear in mind that clubs of this nature have premises to maintain, as well as staff and other costs, so the sums involved may be significant.

25.58 Under the Act, a private club with a club gaming permit cannot run the premises wholly or mainly for the purposes of gaming, nor can the club make a profit as all funds must be applied for the benefit of the member.

25.59 There have been occasions where club gaming permits have been misused by individuals seeking personal financial gain. One case led to the successful prosecution of a private member's club owner under the Proceeds of Crime Act 2002 (opens in new tab). The club owner had been granted a club gaming permit but was later charged with money laundering in relation to the running of an illegal poker club. More poker-related case studies are in the LA Toolkit.

Maintenance of permits

25.60 The permit will have effect for ten years, unless it ceases to have effect because it is surrendered or lapses or is renewed. However, a permit granted under the fast-track procedure does not expire, unless it ceases to have effect because it is surrendered, cancelled or forfeited or it lapses.

25.61 The holder of the permit must pay to the licensing authority the first annual fee, and an annual fee before each anniversary of the issue of the permit, in accordance with regulations.

25.62 Permits may be amended to meet changing circumstances. Licensing authorities may only refuse a variation if on consideration of a completely new application they would refuse the permit.

25.63 The permit, which is to be kept on the premises it relates to, must be in a form specified by the regulations and, if obtained through the fast-track procedure, must identify the appropriate club premises certificate it relates to. It is an offence not to produce the permit when requested to do so by a constable or an enforcement officer.

25.64 If a permit is lost, stolen or damaged, the holder may apply for a replacement, subject to payment of a prescribed fee. The licensing authority must grant the application if it is satisfied that the permit has been lost, stolen or damaged and, where the permit is lost or stolen, a report has been made to the police. It should issue a copy and certify it as a true copy.

25.65 A permit will lapse if the holder of the permit stops being a club or miners' welfare institute, or if it no longer qualifies under the fast-track system for a permit. In addition, a permit will cease to have effect upon being surrendered to the authority. A notice to surrender must be accompanied by the permit or a statement explaining why it cannot be produced. The authority must inform the police and the Commission when a permit has been surrendered or lapsed.

Cancellation and forfeiture of permits

25.66 The licensing authority may cancel the permit if:

- the premises are used wholly by children and/or young persons
- an offence or breach of a permit condition has been committed in the course of gaming activities by the permit holder.

25.67 Reference here to ‘a permit condition’ means a condition in the Act or in regulations that the permit is operating under.

25.68 Before cancelling a permit, the licensing authority must give the permit holder at least 21 days’ notice of the intention to cancel and consider any representations that they may make. The authority must hold a hearing if the permit holder so requests and must comply with any other procedural requirements set out in regulations. If there is no appeal, the cancellation will take effect 21 days after notice of the intention to cancel was given. The authority must notify the permit holder, the Commission and the police that the permit has been cancelled and the reasons for the cancellation.

Renewal of permits

25.69 In England and Wales, in accordance with paragraph 24 of Schedule 12 of the Act, an application for renewal of a permit must be made during the period beginning three months before the licence expires and ending six weeks before it expires. The procedure for renewal is the same as for an application. In Scotland, the Club Gaming and Club Machine Permits (Scotland) Regulations 2007 (SSI No 504/2007) ([opens in new tab](#)) apply. Permits granted in terms of these regulations do not expire, although they can cease to have effect in certain circumstances, can be cancelled and can be varied.

25.70 The duration of the permit will not be curtailed while a renewal application is pending, including an appeal against a decision not to renew.

25.71 If, at the time a permit is renewed, the applicant holds a club premises certificate, the fast-track procedure will apply as it does when application is first made for the permit. This does not apply in Scotland.

Appeals

25.72 The rights of appeal in relation to permits are discussed in Part 12 of this guidance.

Part 26: Premises licensed to sell alcohol

Introduction

26.1 It is important to remember that gambling must remain ancillary to the main purpose of the premises and the exemptions and permits are reliant on the premises holding a valid alcohol licence. Experience indicates that, in circumstances where breaches of gambling regulations occur, licensing authorities have a powerful lever in securing compliance, due to their ability to review the alcohol licence.

26.2 S.279-284 of the Act only apply to premises in respect of which an on-premises alcohol licence (in England and Wales) or a premises licence under the Licensing (Scotland) Act 2005 (opens in new tab) has been issued - provided that, in the case of Scotland, it is not a licence authorising the sale of alcohol for consumption off the premises only - and that have a bar at which alcohol is served, without a requirement that alcohol is served only with food. So any hotel, restaurant or pub that has a bar can offer gambling under Part 12 of the Act, but hotels and restaurants that serve alcohol only with food cannot.

26.3 Licensing authorities might seek to reassure themselves that a premises has not applied for an alcohol licence under the Licensing Act 2003 (opens in new tab)/Licensing (Scotland) Act 2005 (opens in new tab) with the sole aim of benefiting from the associated machine and exempt gaming entitlements. It is expected that all gambling made available on the premises will remain ancillary to the premises main activity. Where concerns exist that this might not be the case, and the premises is primarily used to make gambling available, the licensing authority might choose to exercise its powers under s.284 of the Act and remove the exemption.

Automatic entitlement to two machines

26.4 S.282 of the Act provides an automatic entitlement to alcohol licence holders to make available two gaming machines (of category C or D) for use in alcohol-licensed premises. To take advantage of this entitlement, the person who holds the on-premises alcohol licence or relevant Scottish licence must give notice to the licensing authority of their intention to make gaming machines available for use, and must pay the prescribed fee (as set by regulations) (SI No 1832/2007: The Gaming Machines in Alcohol Licensed Premises (Notification Fee)(England and Wales) Regulations 2007 (opens in new tab) or SSI No 311/2007: The Gambling Act 2005 (Fees No. 2)(Scotland) Regulations 2007 (opens in new tab)). If the person ceases to be the holder of the relevant alcohol licence for the premises, the automatic entitlement to the two gaming machines also ceases. Whoever applies for the new premises alcohol licence would also need to apply under s.282(2). A renewal of the automatic entitlement is required only where there is a change in the alcohol licence premises holder (either due to a transfer of licence or application for new licence), not for a change in designated premises supervisor/designated premises manager alone. As there is no requirement to stipulate whether the alcohol licensed premises intends to site category C or D or one of each category, a re-notification should not be required for a change in the mix of gaming machines made available provided it remains within the automatic entitlement to two machines of either category C or D.

26.5 This is not an authorisation procedure. Licensing authorities have no discretion to consider the notification or to turn it down. The only matter to determine is whether the person applying for the automatic gaming machine entitlement is the holder of the alcohol licence and whether the prescribed fee has been paid. There is no statutory requirement for pubs and other alcohol-licensed premises to display a notice of their automatic entitlement to gaming machines.

Removal of exemption

26.6 Licensing authorities can remove the automatic authorisation in respect of any particular premises by making an order under s.284 of the Act. They can do so if:

- provision of the machines is not reasonably consistent with the pursuit of the licensing objectives
- gaming has taken place on the premises that breaches a condition of s.282, for example the gaming machines have been made available in a way that does not comply with requirements on the location and operation of gaming machines
- the premises are mainly used for gaming
- an offence under the Act has been committed on the premises.

26.7 Before making an order, the licensing authority must give the licensee at least 21 days' notice of the intention to make the order and consider any representations that they may make. The licensing authority must hold a hearing if the licensee so requests and must comply with any other procedural requirements set out in regulations. If there is no appeal, the order will take effect 21 days after notice of the intention was given. The authority must give the licensee a copy of the order and written reasons for making it. The licensee may appeal to the Magistrates' court or the Sheriff.

Licensed premises gaming machine permits

26.8 Licensing authorities may issue licensed premises gaming machine permits for any number of category C or D machines in licensed premises (alcohol licensed premises as described in s.277 of the Act). Where a permit authorises the making available of a specified number of gaming machines in particular premises, this will effectively replace, and not be in addition to, any automatic entitlement to two machines under s.282 of the Act.

26.9 Holders of licensed premises gaming machine permits are required to comply with a code of practice issued by the Commission on the location and operation of machines, Code of practice for gaming machines in clubs and premises with an alcohol licence.

26.10 The detail of how to apply for licensed premises gaming machine permits is set out in Schedule 13 of the Act (for England and Wales) and in the Licensed Premises Gaming Machine Permits (Scotland) Regulations 2007 (for Scotland) ([opens in new tab](#)) (SSI No 505/2007).

26.11 Applications must be made by a person or organisation that holds the on-premises alcohol licence for the premises for which the application is made. An application may not be made if a premises licence under the Act is in effect at the premises. The application must be made to an authority in whose area the

premises are wholly or partly situated. The Act requires an application to include information on the premises to which it relates and the number and category of gaming machines sought. Apart from this it is for the licensing authority to direct the form and manner of the application and what additional information and documents are required.

26.12 In determining an application, the licensing authority must have regard to the licensing objectives and to this guidance. They may also take account of any other matters that are considered relevant to the application. The application does not require notification to the Commission or police before determination, however, licensing authorities are able to specify this as a requirement should they see fit.

26.13 The licensing authority may grant or refuse an application. In granting the application, it may vary the number and category of gaming machines authorised by the permit. If granted, the licensing authority must issue the permit as soon as possible after that. Where they refuse the application they must notify the applicant as soon as possible, setting out the reasons for refusal. The licensing authority must not refuse an application, or grant it for a different number or category of machines, unless they have notified the applicant of their intention to do so and given the applicant an opportunity to make representations, orally, in writing, or both.

26.14 The permit must specify the person or organisation to which it is issued, the number and category of gaming machines for which the permit has effect, the address of the premises and the date on which it takes effect.

26.15 The permit holder can apply to the licensing authority to amend the permit to reflect a change in the holder's name. They must comply with the request, provided the prescribed fee is paid.

26.16 The permit holder must keep the permit on the premises and it must be produced on request for inspection by a constable, enforcement officer or local authority officer. Not to do so is an offence. If the permit is lost, stolen or damaged, the holder may apply to the issuing authority for a copy, accompanied by the prescribed fee.

26.17 There are no renewal provisions for this class of permit because they are indefinite and continue in force for so long as the premises continues to have an alcohol licence and the holder of the permit continues to hold that licence. The permit can lapse if the holder surrenders it to the licensing authority.

26.18 The holder may apply to vary the permit by changing the number and/or category of machines authorised by it.

26.19 The licensing authority is able to cancel a permit. It may only do so in specified circumstances which include if the premises are used wholly or mainly by children or young persons or if an offence under the Act has been committed. Before it cancels a permit the licensing authority must notify the holder, giving 21 days notice of intention to cancel, consider any representations made by the holder, hold a hearing if requested, and comply with any other prescribed requirements relating to the procedure to be followed. Where the licensing authority cancels the permit, the cancellation does not take effect until the period for appealing against that decision has elapsed or, where an appeal is made, until the appeal is determined.

26.20 The licensing authority can also cancel a permit if the holder fails to pay the annual fee, unless failure is the result of an administrative error. The court may order forfeiture of the permit if the holder is convicted of a relevant offence.

26.21 Where a person applies to a licensing authority for the transfer of an alcohol premises licence, they will also need to apply separately for the transfer of the licensed premises gaming machine permit. Both applications will require a fee to be paid.

26.22 The applicant may appeal to the Magistrates' court or Sheriff against an authority's decision not to issue a permit. The holder can also appeal against a decision to cancel a permit.

Exempt gaming

26.23 Exempt gaming is detailed at paragraphs 25.10 to 25.21 in Part 25 of this guidance.

26.24 A fee may not be levied for participation in the equal chance gaming offered by an alcohol-licensed premises under the exempt gaming rules. A compulsory charge, such as charging for a meal, may constitute a participation fee, depending on the particular circumstances.

26.25 Information about poker in alcohol licensed premises can be found in Part 29 of this guidance.

Removal of exemption

26.26 Licensing authorities can remove the automatic authorisation for exempt gaming in respect of any particular premises by making an order under s.284 of the Act, if:

- provision of the gaming is not reasonably consistent with the pursuit of the licensing objectives
- gaming has taken place on the premises that breaches a condition of s.279, for example the gaming does not abide by the prescribed limits for stakes and prizes, a participation fee is charged for the gaming or an amount is deducted or levied from sums staked or won
- the premises are mainly used for gaming
- an offence under the Act has been committed on the premises.

26.27 Before making an order, the licensing authority must give the licensee at least 21 days' notice of the intention to make the order and consider any representations that they may make. The authority must hold a hearing if the licensee so requests and must comply with any other procedural requirements set out in regulations. If there is no appeal, the order will take effect 21 days after notice of the intention was given. The authority must give the licensee a copy of the order and written reasons for making it. The licensee may appeal to the Magistrates' court or the Sheriff.

Bingo

26.28 Alcohol licensed premises are able to provide facilities for bingo²¹ under s.281 of the Act, provided that the restrictions in s.281 are complied with. These include that, in any seven day period, the aggregate stakes or prizes for bingo must not exceed £2,000. If that limit is exceeded, the relevant operating and personal licences must be sought. It should be noted, however, that the bingo will still be subject to the conditions for exempt gaming prescribed in s.279 of the Act. Further details are provided in Part 18 of this guidance.

26.29 The bingo must comply with any code issued by the Commission under s.24 of the Act.

Betting

26.30 Commercial betting, regardless of the level of stakes, is not permitted in alcohol licensed premises. Those who facilitate such betting in pubs are providing illegal facilities for gambling and are breaking the law. Even where publicans accept bets on behalf of licensed bookmakers, or just facilitate betting through their own telephone betting accounts, they are acting as betting intermediaries and could be prosecuted.

26.31 Licensed bookmakers who knowingly accept bets from pub customers through a single account are encouraging illegal gambling and may be in breach of the Act and could risk losing their licence.

26.32 Licensed bookmakers with a remote or ancillary licence can accept telephone bets from a customer watching an event in a pub, as long as that customer has an individual account with them. It is illegal for bookmakers or their agents to sit in the pub taking bets themselves.

26.33 It should be noted, however, that the prohibition on commercial betting in alcohol licensed premises does not apply in relation to tracks in certain circumstances. Where the betting takes place under the authority of a track premises licence, it can take place in an area on the track licensed for the sale of alcohol, provided that the licensing authority has approved the betting area as part of the track premises licence application. However, this does not apply in relation to separate and discrete premises on the track where betting takes place under the authority of a general betting licence. In this case, the consumption of alcohol on those premises is prohibited.

Commission codes of practice

26.34 The Commission has issued a code of practice under s.24 of the Act in respect of exempt equal chance gaming.

26.35 The code of practice requires owners/licensees to adopt good practice measures for the provision of gaming in general and poker in particular. The code also sets out the stakes and prizes limits laid out in regulations.

26.36 The emphasis of the regulations and the code of practice is on self-regulation by the management of the premises and licensing authorities should take a strong line in cases where breaches are detected.

26.37 Under s.310(2) of the Act, an authorised licensing authority officer may enter premises with an alcohol licence for the purpose of:

- determining whether the gaming satisfies the conditions in s.279 of the Act
- in the case of bingo played on the premises, determining:
 1. whether the terms and conditions of any relevant operating licence are being complied with
 2. whether s.281 of the Act applies.
- ascertaining the number and category of gaming machines being made available for use on the premises.

26.38 Additionally, the Commission's Code of practice on gaming machines in alcohol-licensed premises includes sections relating to:

- the location and operation of machines, which are a requirement of machine permits
- access to gambling by children and young persons, which sets out good practice guidance for permit holders
- customer complaints and disputes, which again sets out good practice for permit holders.

Scotland

26.39 The provisions of the Act which relate to gaming and gaming machines in licensed premises also apply to Scotland. In Scotland they apply to premises which have a premises licence granted under the Licensing (Scotland) Act 2005 (opens in new tab), provided that it is not a licence authorising the sale of alcohol for consumption off the premises only.

26.40 The provisions affecting licensed premises gaming machine permits in Scotland have been set out separately. This is because Schedule 13 of the Act does not apply in Scotland. Instead, Scottish Ministers have power under s.285 of the Act to make regulations about the regime in Scotland. The same also applies to gaming and gaming machine permits for clubs in Scotland. Schedule 12 of the Act does not apply in that case and, instead, Scottish Ministers have the power to make provision in regulations about the regime for club gaming and club machine permits. The Scottish Government has made separate regulations in this regard (SSI No 505/2007: The Licensed Premises Gaming Machine Permits (Scotland) Regulations 2007 (opens in new tab) & SSI No 504/2007: The Club Gaming and Club Machine Permits (Scotland) Regulations 2007 (opens in new tab)). It is also important to note that, in Scotland, Schedule 12 does not apply to clubs licensed to sell alcohol (by virtue of s.274(2) of the Act).

Protection of children and young persons

26.41 The Commission's code of practice relating to the location and operation of gaming machines provides that, in respect of gaming machines in alcohol licensed premises, the licence holder or permit holder should put into effect procedures intended to prevent underage gambling. This should include procedures for:

- checking the age of apparently underage customers
- refusing access to anyone who appears to be underage and who tries to use category B or C gaming machines, and cannot produce an acceptable form of identification.

26.42 The code requires that all gaming machines situated on the premises must be located in a place within the premises where their use can be supervised, either by staff whose duties include such supervision (including bar or floor staff) or by other means. Alcohol premises licence holders or permit holders must have in place arrangements for such supervision.

26.43 In respect of exempt equal chance gaming, the code requires the gaming supervisor to put into effect procedures designed to prevent underage gambling. These should include:

- holding the gaming in premises or parts of premises which are restricted to adults
- checking the age of potentially underage players

- refusing access to the gaming to anyone apparently underage who cannot produce an acceptable form of age verification and identification.

26.44 Procedures should be in place for dealing with cases where an underage person repeatedly attempts to gamble, including verbal warnings and reporting the offence to the Commission and the police. The gaming supervisor should also take reasonable steps to ensure that all employees understand their responsibilities under the code of practice.

Prohibited gaming

26.45 No bankers' games may be played in alcohol licensed premises, commercial clubs or in members' clubs and or miners' welfare institutes unless they have a club gaming permit. With a permit the two bankers' games of pontoon and chemin de fer may be played. Otherwise, games such as blackjack, roulette and any others which involve staking against the holder of the bank are unlawful on such premises.

Part 27: Prize gaming and prize gaming permits

Prize gaming

27.1 S.288 defines gaming as prize gaming if the nature and size of the prize is not determined by the number of people playing or the amount paid for or raised by the gaming. Normally the prizes are determined by the operator before play commences.

Prize gaming permits

27.2 A prize gaming permit is a permit issued by the licensing authority to authorise the provision of facilities for gaming with prizes on specified premises.

Prize gaming without a prize gaming permit

27.3 A casino operating licence gives authority to provide all games of chance, except any form of bingo, which is excluded from the scope of the casino licence by s.68(3)(b). If a casino wishes to provide bingo generally, it would need to obtain a bingo operating licence, however, this is subject to the constraint that only one premises licence may be issued for any particular premises at any time (s.152) and so the premises would have to be distinct. Only casino premises licences for 2005 Act large casinos permit bingo to be offered within the casino premises (s.174). If a casino wishes to offer prize bingo, it could obtain a prize gaming permit, however, it is more likely that the casino will apply for an operating licence to cover all forms of bingo (subject to the constraint already mentioned).

27.4 S.291 enables any form of prize gaming to be provided in premises in reliance on their bingo operating licence. This provision allows bingo operators to provide prize gaming in respect of casino games as well as games of equal chance, which they would not otherwise be able to do under the conditions of their operating licence. In the case of bingo operators, the Commission or Secretary of State could impose conditions preventing specified games from being offered. Additionally, limits have been set on individual and aggregated stakes and prizes for prize gaming in bingo premises, the purpose of which is to ensure that such gaming is restricted to low stakes (SI No 2257/2007: The Gambling Act 2005 (Operating Licence Conditions) Regulations 2007 (opens in new tab) and SI No 774/2010: The Gambling Act 2005 (Operating Licence Conditions) (Amendment) Regulations 2010) (opens in new tab).

27.5 S.290 provides that any type of prize gaming may be provided in adult gaming centres (AGCs) and licensed family entertainment centres (FECs), and that unlicensed FECs may only offer equal chance prize gaming under the auspices of their gaming machine permit, without the need for a prize gaming permit.

27.6 S.292 provides that travelling fairs are also able to offer equal chance prize gaming without a permit, provided that, taken together, the facilities for gambling are an ancillary amusement at the fair.

27.7 Children and young persons may participate in equal chance prize gaming only.

27.8 S.293 sets out four conditions that permit holders, AGCs, FECs and travelling fairs must comply with to lawfully offer prize gaming. These are:

- the limits on participation fees, as set out in regulations (SI No 1272/2009: The Gambling Act 2005 (Limits on Prize Gaming) Regulations 2009) (opens in new tab), must be complied with
- all chances to participate in the gaming must be allocated on the premises on which the gaming is taking place and on one day; the game must be played and completed on the day the chances are allocated; and the result of the game must be made public in the premises on the day that it is played
- the prize for which the game is played must not exceed the amount set out in regulations (if a money prize), or the prescribed value (if non-monetary prize)
- participation in the gaming must not entitle the player to take part in any other gambling.

Application for a prize gaming permits

27.9 Schedule 14 sets out the application process and regulatory regime for prize gaming permits. In considering an application, the licensing authority shall have regard to this guidance and need not, but may wish, to have regard to the licensing objectives.

27.10 An application for a permit can only be made by a person who occupies or plans to occupy the relevant premises and if the applicant is an individual, he must be aged 18 or over. An application for a permit cannot be made if a premises licence or club gaming permit is in effect for the same premises. The application must be made to the licensing authority in whose area the premises are wholly or partly situated.

27.11 The authority must specify the form and manner in which the application should be made, and specify what information and documents (for example, insurance certificates, plans of building) they require to accompany the application. An application must specify the premises and the nature of the gaming for which the permit is sought.

27.12 In their statement of policy, licensing authorities should include a statement of principles that they propose to apply when exercising their functions in considering applications for permits. In particular, they may want to set out the matters that they will take into account in determining the suitability of the applicant. For example, if the premises will appeal to children and young persons, licensing authorities should think about matters relating to protection of children from being harmed or exploited by gambling and where necessary consult the Safeguarding Children Board or local equivalent. Licensing authorities should ask the applicant to set out the types of gaming that they are intending to offer and the applicant should be able to demonstrate that:

- they understand the limits to stakes and prizes that are set out in regulations
- the gaming offered is within the law.
- Granting or refusing a permit

27.13 The licensing authority can grant or refuse an application for a permit, but cannot add conditions. The licensing authority may grant a permit only if they have consulted the chief officer of police about the application. The licensing authority will want to take account of any objections that the police may wish to make which are relevant to the licensing objectives. Relevant considerations would include the suitability of the applicant in terms of any convictions that they may have that would make them unsuitable to operate prize gaming; and the suitability of the premises in relation to their location and any issues concerning disorder.

27.14 A permit cannot be issued in respect of a vessel or a vehicle.

27.15 The licensing authority may not refuse an application unless they have notified the applicant of the intention to refuse and the reasons for it, and given them an opportunity to make representations orally or in writing or both.

27.16 If a permit is granted, the licensing authority must issue it as soon as is reasonably practicable. The Secretary of State has set out the form of the permit in regulations (SI No 455/2007: The Gambling Act 2005 (Prize Gaming)(Permits) Regulations 2007) ([opens in new tab](#)). The permit must specify the person to whom it is issued, the premises to which it relates, the nature of the gaming, the date on which it takes effect, the date on which it expires, and the name and address of the licensing authority issuing the permit. Scottish Ministers have made separate regulations (SSI No 309/2007: The Gambling Act 2005 (Fees) (Scotland) Regulations 2007 ([opens in new tab](#))) in respect of fees associated with prize gaming permits.

27.17 If the person to whom the permit is issued changes their name, or wants to be known by another name, they may send the permit to the issuing authority for amendment, together with the appropriate fee. The authority must comply with the request and return the permit to the holder.

Duration, lapse, surrender and forfeiture

27.18 The permit will have effect for ten years, unless it ceases to have effect, lapses or is renewed. There is no annual fee for prize gaming permits.

27.19 The permit may lapse for a number of reasons:

- if the holder ceases to occupy the premises
- if an individual permit holder dies, becomes incapable by reason of mental or physical incapacity, becomes bankrupt, or sequestration of his estate is ordered
- if a company holding the permit goes into liquidation
- if the holder (for example a partnership) otherwise ceases to exist.

27.20 Where a permit lapses, the Act provides that the permit may be relied upon for a period of six months after it has lapsed, by the following persons:

- the personal representative of the holder (in the case of death)
- the trustee of the bankrupt estate (in the case of individual bankruptcy)
- the holder's interim or permanent trustee (in the case of an individual whose estate is sequestrated)
- the liquidator of the company (in the case of a company that goes into liquidation).

27.21 The permit may also cease to have effect if the holder surrenders it to the licensing authority. Notice of such surrender must be accompanied by the permit, or an explanation as to why the permit cannot be produced.

27.22 If the permit holder is convicted of a relevant offence (that is an offence listed in Schedule 7 of the Act), the court may order the forfeiture of the permit. The court must order the holder to deliver the permit to the licensing authority, or provide a statement explaining why it is not reasonably practicable to produce it. The court must notify the licensing authority that it has made a forfeiture order as soon as is reasonably practicable after making the order. Such an order may be suspended by a higher court pending appeal against conviction of a relevant offence.

Renewal

27.23 In accordance with paragraph 18 of Schedule 14, an application for renewal of a permit must be made during the period beginning six months before the permit expires and ending two months before it expires. The procedure for renewal is the same as for an application.

27.24 A permit will not cease to have effect while a renewal application is pending, including an appeal against a decision not to renew.

Maintenance

27.25 The permit must be kept on the premises and it is an offence not to produce it when requested to do so by a constable, an enforcement officer, or an authorised local authority officer.

27.26 If a permit is lost, stolen or damaged, the holder may apply for a replacement subject to paying the fee set by the Secretary of State and Scottish Ministers. The licensing authority must grant the application if it is satisfied that the permit has been lost, stolen or damaged and a report has been made to the police. It should issue a copy and certify it as a true copy.

Appeals

27.27 The rights of appeal in relation to permits are discussed in Part 12 of this guidance.

Part 28: Non-commercial and private gaming, betting and lotteries

Introduction

28.1 The Act permits gambling without any specific permissions under limited circumstances, namely:

- non-commercial gaming
- private gaming and betting
- incidental lotteries

- private society lotteries
- work lotteries
- residents' lotteries
- customer lotteries²².

Children and young persons are permitted to participate in all of the above, except for customer lotteries where children are not permitted to participate (S.46 and s.48 of the Act).

28.2 With regard to exempt lotteries, this part addresses incidental lotteries only. Further information about exempt lotteries in general is available in [Organising small lotteries: Advice on lotteries that do not require a licence or registration](#) (opens in new tab).

Non-commercial gaming

28.3 The Act permits non-commercial gaming if it takes place at a non-commercial event, either as an incidental or principal activity at the event. Events are non-commercial if no part of the proceeds is for private profit or gain. The proceeds of such events may benefit one or more individuals if the activity is organised:

- by, or on behalf of, a charity or for charitable purposes
- to enable participation in, or support of, sporting, athletic or cultural activities.

28.4 So it would be possible to raise funds providing the proceeds were, for example, to support a local hospital appeal or a charitable sporting endeavour. Additionally, events such as race nights or casino nights may be permitted if they comply with the regulations and profits go to a good cause.

28.5 S.297(3) of the Act defines proceeds of an event as:

1. the sums raised by the organisers, whether by way of fees for entrance or for participation, sponsorship, commission from traders, or otherwise **minus**
2. amounts deducted by the organisers in respect of costs reasonably incurred in organising the event.

However, sums raised by other persons will not form part of the proceeds of the event and may be appropriated for private gain. An example would be refreshments provided at the event by an independent third party.

28.6 If someone uses any profits from non-commercial gaming for something other than the specified purpose, then they commit an offence under s.301 of the Act, which can result in a fine or imprisonment.

28.7 The Act identifies two types of permissible non-commercial gaming:

- prize gaming which must comply with the conditions set out in s.299 of the Act
 - equal chance gaming which must comply with the conditions set out in s.300 of the Act and the conditions prescribed in regulations.
-

Non-commercial prize gaming

28.8 An organiser does not need to have an operating or premises licence nor a prize gaming permit, provided that the conditions in s.299 are met, namely:

- players are told that the purpose of the gaming is to raise money for a specified charitable, sporting, athletic or cultural purpose
- profits are not for private gain
- the event cannot take place in a venue (other than a track) which has a premises licence. If at a track, the premises licence cannot be in use (in effect no betting can be taking place) and no temporary use notice can have effect
- the gaming must be on the premises and not be remote gaming²³.

28.9 In these circumstances, prize gaming occurs if the nature and size of the prize is not determined by the number of people playing or the amount paid for or raised by the gaming. Normally the prizes will be determined by the operator before play commences.

Non-commercial equal chance gaming

28.10 The conditions set out under s.300 are as follows:

- All players must be told what purpose the money raised from the gaming is going to be used for - which must be something other than private gain - and the profits must be applied for that purpose.
- The gaming must also comply with regulations (SI No 2041/2007: The Gambling Act 2005 (Non-Commercial Equal Chance Gaming) Regulations 2007) (opens in new tab):
- limiting the maximum payment each player can be required to make to participate in all games at an event to £8
- limiting the aggregate amount or value of prizes in all games played at an event to £600, although where an event is the final one of a series in which all of the players have previously taken part, a higher prize fund of up to £900 is permitted
- The non-commercial event cannot take place on premises (other than a track) which hold a premises licence, nor on a track at a time when activities are being carried on in reliance on a premises licence, nor on premises at a time when activities are being carried on in reliance on a temporary use notice. There is nothing to stop such premises running charitable or other gambling events to raise money for good causes, but they should do so using the gambling permissions granted to them by their premises licence or use notice. The one exception to this is that a non-commercial event can take place at a track, provided no licensed gambling activities are taking place at the same time. This enables a track to be used for non-commercial gambling when races are not taking place
- The gaming must be non-remote gaming²⁴. In other words, the authorisation can only apply to gaming which takes place at events, on premises, and for gaming in person.

Private gaming

28.11 Private gaming can take place anywhere to which the public do not have access, for example, a workplace. Domestic and residential gaming are two subsets where non-equal chance gaming is allowed.

- Domestic gaming is permitted without the need for permissions if:
 - it takes place in a private dwelling
 - it is on a domestic occasion
 - no charge or levy is made for playing.
- Residential gaming is permitted when:
 - it takes place in a hall of residence or hostel not administered in the course of a trade or business
 - more than 50% of the participants are residents.

28.12 Private gaming can potentially take place on commercial premises in circumstances where a members' club hires a room in, for example, a pub or hotel for a private function where equal chance gaming only is played. However, organisers would need to scrutinise very carefully the arrangements put in place to make sure that the particular area of the pub, hotel or other venue in which the gaming takes place is not, on the occasion of the private function, a place to which the public have access and that those participating are not selected by a process which means that, in fact, they are members of the public rather than members of the club. The law in this area is complex and organisers should be advised to seek their own legal advice before organising events of this nature.

28.13 It is a condition of private gaming that no charge (by whatever name called) is made for participation and Schedule 15 to the Act makes it clear that a deduction from or levy on sums staked or won by participants in gaming is a charge for participation in the gaming. It is irrelevant whether the charge is expressed to be voluntary or compulsory, particularly if customers are prevented from playing if they do not make the 'voluntary' donation, or there is strong peer pressure to make the donation. A relevant decided case in another licensing field is that of *Cocks v Mayner* (1893) 58 JP 104, in which it was found that an omnibus, said to be available free of charge but whose passengers were invited to make a voluntary contribution, was 'plying for hire' without the appropriate licence.

28.14 Additionally, the decided cases of *Panama (Piccadilly) Ltd v Newberry* (1962) 1WLR 610 and *Lunn v Colston-Hayter* (1991) 155 JP 384 are helpful in guiding licensing authorities in deciding whether a person ceases to be a member of the public merely because they have agreed to become a member of a club.

28.15 In the first of these cases, which related to a strip show, the Court said that an applicant for membership of the club and admission to the show was and remained a member of the public, as the whole purpose of membership was to get members of the public to see the show and there was no sufficient segregation or selection to cause an applicant to cease to be a member of the public and to acquire a different status as a member of a club on signing his application form and paying the charge. In the second case, which related to an acid house party, the judge said that it was impossible, merely because of the existence of a formal scheme of club membership enforced to the extent of requiring tickets to be obtained 24-hours in advance of the event, to regard those who obtained such membership and tickets as having ceased to be members of the public.

28.16 This means that people joining a club to attend and take part in a private event are likely to remain members of the public, particularly if club membership is acquired only a short time before, in order to attend the event. The courts will not readily allow membership status to be abused in order to circumvent the law in this way.

Private betting

28.17 The Act also says that betting is private if it is domestic betting or workers' betting. Domestic betting is a betting transaction made on premises in which each party to the transaction habitually resides. Workers' betting is where a betting transaction is made between persons who are employed by the same employer. A person does not commit an offence under s.33 or s.37 of the Act if he or she provides facilities for private betting.

Incidental lotteries

28.18 An incidental lottery is a lottery that is incidental to an event. The lottery must be promoted wholly for a purpose other than that of private gain, that is, the lottery can only be promoted for a charity or other good cause. Examples may include a lottery held at a school fete or at a social event such as a dinner dance.

Non-commercial 'casino night'

28.19 A non-commercial casino night is an event where participants stake money on casino-style games, such as poker or roulette, at a non-commercial event, where none of the money the organisers raise from the event is used for private gain.

28.20 Apart from reasonable costs, proceeds (including any entrance fees, sponsorship, the difference between stakes placed and payout made):

- must not be used for private gain
- must all be given to a good cause.

Reasonable costs would include costs incurred by providing the prizes. If third parties are selling goods or services at the event, this does not count as money raised for the charity or good cause and can be retained by that third party.

28.21 A non-commercial casino night can be run without a licence, or any other form of permission, providing the operation of the gaming falls into one of the three categories discussed below.

28.22 Organisers should note that, under the Act, it is illegal to organise a commercial casino night outside of a licensed casino. However an application can be made for a temporary use notice (TUN) in respect of other premises to offer gaming on a commercial basis, so far as the appropriate operating licence covers the proposed activities in the application, but then only in respect of equal chance gaming organised on a tournament basis with a single overall winner (SI No 3157/2007: The Gambling Act 2005 (Temporary Use Notices) Regulations 2007) (opens in new tab). There can, however, be more than one competition with a single winner held at the individual event covered by a specific TUN.

Casino night as non-commercial prize gaming

28.23 Casino nights can be held as non-commercial prize gaming²⁵. The players must be told what good cause will benefit from the profits of the gaming before placing a bet. The prizes must be advertised in advance and must not depend on the number of people playing or the stakes raised. In non-commercial prize gaming, the casino gaming determines the individual winner or winners, for example by counting who has the most casino chips at a set time. The winners are then awarded the prizes that have been advertised in advance.

Casino night as non-commercial equal chance gaming

28.24 Casino nights can also be run as non-commercial equal chance gaming²⁶, where the chances are equally favourable to all participants and players are not competing against a bank. In non-commercial equal chance gaming, the charitable funds are usually raised through an entrance fee, participation fee, or through other payments related to the gaming. The maximum amount that a player may be charged is £8 per day which includes entrance or participation fees, stakes and any other payments in relation to the gaming. Organisers must ensure that the total amount paid out in prizes remains below £600 in total across all players. However, where an event is the final one of a series in which all of the players have previously taken part, a higher prize fund of up to £900 is allowed.

Casino night as private gaming

28.25 A casino night may also be run under the private gaming provisions in the Act. Private gaming may only occur in a place to which the public does not have access, normally a private dwelling, hostel, hall of residence or similar establishment. No charge may be made for participation in private gaming including an entrance fee or other charge for admission, nor may any amounts be deducted from stakes or prizes. No profits can be made from private gaming, irrespective of how the organiser intended to use those profits and, thus, even if intended for charitable purposes.

28.26 Private gaming is restricted to equal chance gaming except where it is domestic or residential gaming.

28.27 Private gaming can potentially take place on commercial premises in circumstances where a members' club hires a room in, for example, a pub or hotel for a private function where equal chance gaming only is played. However, organisers would need to scrutinise very carefully the arrangements put in place, as detailed at paragraph 28.11 above.

Non-commercial race night

28.28 Race nights are permitted for charitable purposes but, in some circumstances, can only be undertaken by a licensed betting operator and after appropriate notification to the licensing authority. Further details are set out at paragraph 28.36 below.

28.29 A non-commercial race night is an event where participants stake money on the outcome of live, recorded or virtual races.

28.30 Apart from reasonable costs, proceeds which includes any entrance fees, sponsorship, and the difference between stakes placed and payout made:

- must not be used for private gain
- must all be given to a good cause.

Reasonable costs would include costs reasonably incurred, for example by providing any prizes and for betting slips. If third parties are selling goods or services this does not count as money raised for the charity or good cause and can be retained by that third party.

Race night as non-commercial gaming

28.31 A non-commercial type of race night occurs where the selection of a 'horse' by a participant is totally dependent on chance, and where no 'odds' or 'form' are available to assist the gambler's selection. An example would be the use of archive films of horseracing without revealing the details of each race.

28.32 Such nights can be run without a licence, or any other form of permission, providing the operation of the gaming falls into one of the three categories discussed below.

Incidental lottery

28.33 It is possible to operate a race night as an incidental lottery (incidental lotteries must comply with conditions set out in Schedule 11 of the Act, The Gambling Act 2005 (Incidental Lotteries) Regulations 2016 (opens in new tab) (SI 2016 No 239) and The Legislative Reform (Exempt Lotteries) Order 2016

(opens in new tab) (SI 2016 No124)). An incidental lottery is a lottery that is incidental to an event. The lottery must be promoted wholly for a purpose other than that of private gain, that is, the lottery can only be promoted for a charity or other good cause. The event may last more than a single day.

28.34 There are no limits on the amount that players may be charged to participate in an incidental lottery, but no more than £500 may be deducted from the proceeds of the lottery for the cost of prizes, which may be in cash or kind. Other prizes may be donated to the lottery and there is no maximum limit on the value of donated prizes. No more than £100 may be deducted from the proceeds in respect of the expenses incurred in organising the lottery, such as the cost of printing tickets, hire of equipment etc.

28.35 The organisers can only sell tickets at the location (by non remote means)²⁷ and during the event. The results of the lottery can be drawn at the event or after it has finished. It is recommended that the organisers of the lottery make it clear to participants when the result of the lottery will be decided. The lottery cannot involve a rollover of prizes from one lottery to another.

28.36 An example of a race night run as an incidental lottery is where a 'horse' is picked at random for each paying customer, who is then awarded a prize if the horse 'wins' the race.

Non-commercial prize gaming

28.37 Race nights can be held as non-commercial prize gaming. The players must be told what good cause will benefit from the profits of the gaming. The prizes must be advertised in advance and must not depend on the number of people playing or the stakes raised. In non-commercial prize gaming, the 'race' determines the individual winner or winners, for example, those who have paid are allocated or select a named horse in the race. The winners are then awarded the prizes that had been advertised in advance.

Non-commercial equal chance gaming

28.38 Race nights can also be run as non-commercial equal chance gaming, where the chances are equally favourable to all participants and players are not competing against a bank.

28.39 The maximum amount that a player may be charged is £8 per day which includes entrance or participation fees, betting stakes and any other payments in relation to the gaming. Organisers must ensure that the total amount paid out in prizes remains below £600 in total across all players. However, where an event is the final one of a series in which all of the players have previously taken part, a higher prize fund of up to £900 is allowed. This could take place, for example, where each participant pays a fee for a randomly selected 'horse' in each 'race' and the participant with the winning horse or chooser of the winning horse receives a prize commensurate with the stakes placed.

Race night as private gaming

28.40 A non-commercial race night may also be run under the private gaming provisions in the Act. Private gaming may only occur in a place to which the public does not have access, such as a private dwelling, hostel, hall of residence or similar establishment. No charge may be made for participation in private gaming including an entrance fee or other charge for admission, nor may any amounts be deducted from stakes or prizes. Thus, no profits can be made from private gaming, irrespective of how the organiser intended to use those profits, and not even for charitable purposes.

Race night as a betting event

28.41 A fundraising race night can be run as a betting event at a track where there is a track premises licence in place. Where there is no track premises licence in place for the track, the organiser of such an event will need to give notice under the occasional use notice (OUN) procedure. Licensing authorities are reminded that a track is defined by s.353 of the Act as a horse racecourse, greyhound track or other premises on any part of which a race or other sporting event takes place, such as a football ground, golf course or an athletics stadium. The person responsible for the administration of events on the track must serve notice on the licensing authority and copy it to the chief officer of police for the area. Further details on the procedure for OUNs can be found in Part 15. At such an event, the person administering the betting must be a licensed bookmaker.

Part 29: Poker

Introduction

29.1 Poker is a card game which involves elements of both chance and skill and is therefore classified as a game of chance under the Act by virtue of s.6(2). There are many variations on the game of poker, but this part deals primarily with equal chance poker where players compete against each other on equal terms.

29.2 In most forms of equal chance poker, players bet or stake progressively into a communal pot or kitty, with the player holding the best hand at the end of the game winning the accumulated stakes.

29.3 Non-equal chance poker, on the other hand, is where the banker or dealer participates in the game and holds a mathematical edge over the other players. Unequal chance poker may only be played in licensed casinos or, if it is 'domestic' or 'residential' gaming, under the private gaming provisions in the Act.

29.4 This part sets out all the circumstances in which poker can be legally provided. These circumstances include poker:

- in casinos (including under temporary use notices)
- as exempt gaming in clubs and alcohol licensed premises
- under a club gaming permit
- as non-commercial gaming poker
- as private gaming.

Poker in casinos

29.5 Poker can be played in casinos licensed by the Commission. Casinos can also run poker tournaments at temporary venues, for a limited amount of time, under temporary use notices (TUNs). Further information in relation to TUNs is at Part 14.

29.6 Casinos can offer both equal chance and unequal chance poker, except where the poker is provided under a TUN, in which case it can only be equal chance poker.

29.7 Where a third party organisation is involved in a poker competition held in a licensed casino, the casino operator must bear full responsibility for that competition.

29.8 Where an online competition culminates in live competition in a casino, the online partner may provide systems and staff for the event but responsibility lies with the operator whose premises are being used.

29.9 A casino may have a commercial relationship with an agent to promote poker in the casino, but the poker games that result are the responsibility of the casino and not of the agent. Further information on poker in a licensed casino can be found in the Commission's Advice on poker played in non-remote casinos ([opens in new tab](#)).

Poker as exempt gaming in clubs and alcohol licensed premises

29.10 Exempt gaming is equal chance gaming generally permissible in any club or alcohol licensed premises. Such gaming should be ancillary to the purposes of the premises. This provision is automatically available to all such premises, but is subject to statutory stakes and prize limits determined by the Secretary of State.

29.11 A fee may not be levied for participation in poker offered by alcohol-licensed premises under the exempt gaming rules. A compulsory charge, such as charging for a meal, may constitute a participation fee, depending on the particular circumstances. However, clubs may charge a participation fee. The amount they may charge is as prescribed in regulations (SI No 1944/2007: The Gambling Act 2005 (Exempt Gaming in Clubs) Regulations 2007) ([opens in new tab](#)). See Appendix C for further details.

29.12 In order for the poker to qualify as exempt gaming, clubs and alcohol licensed premises may not charge a fee on games or levy or deduct an amount from stakes or winnings. The gaming should also be supervised by a nominated gaming supervisor and comply with any code of practice issued by the Commission under s.24 of the Act.

29.13 Poker clubs established primarily for the purpose of providing poker or other gaming require Commission operating licences and premises licences. Further information is available in the Commission's quick guides [Poker in pubs](#) (opens in new tab) and [Poker in clubs](#) (opens in new tab).

Removal of exemption for alcohol licensed premises

29.14 Licensing authorities can remove the automatic authorisation for exempt gaming in respect of any particular alcohol licensed premises by making an order under s.284 of the Act (see also Part 26). That section provides for the licensing authority to make such an order if:

- provision of the gaming is not reasonably consistent with the pursuit of the licensing objectives
- gaming has taken place on the premises that breaches a condition of s.279 – for example, the gaming does not abide by the prescribed limits for stakes and prizes, a participation fee is charged for the gaming or an amount is deducted or levied from sums staked or won
- the premises are mainly used for gaming
- an offence under the Act has been committed on the premises.

29.15 Such an order could be used by a licensing authorities where, for example, they discover that poker is being offered in alcohol licensed premises that consistently breaches the prescribed limits on stakes and prizes, participation fees are being charged for the poker, amounts are deducted from stakes or winnings, or poker (and other gaming) is the main activity offered on the premises.

Code of practice for exempt equal chance gaming

29.16 The Commission has issued a code of practice under s.24 of the Act in respect of exempt equal chance gaming.

29.17 The code of practice requires owners/licensees/clubs/welfare institutes to adopt good practice measures for the provision of gaming in general, and poker in particular. The code also sets out the stakes and prizes limits and the limits on participation fees (for clubs) laid out in regulations.

Poker in alcohol licensed premises

29.18 The Commission actively engages with the larger national and regional organisers of poker leagues to remind them of the limited exemptions that apply to poker being offered in pubs. Infringements of such requirements as stake and prize limits which are localised are normally best managed by the local authority responsible for issuing the alcohol premises licence. Template letters published on the Commission's website have proved effective in assisting management of such cases.

29.19 Gaming is only covered by the Act if it is played for prizes of money or money's worth. A number of poker tournaments and leagues have been established in alcohol licensed premises based on playing for points. In some leagues the organisers offer 'prizes' at the end of a series of weekly games for the players with the most points.

29.20 It is likely that the association of a prize with a monetary value with a game or series of games constitutes gaming, certainly by the latter stages of the competition. If the eventual prize is worth more than the maximum prize set out in regulations then it could be unlawful gaming. For example, if a tournament simply involves a series of straightforward 'knockout' qualifying rounds, culminating in a 'final' game, then the winner's prize in the final - whether it comprises the stakes laid in that game, a separate prize provided by the organiser, or a combination of the two - must not exceed £100. The regulations set a limit of £100 on a prize that may be won in any game of poker (in a pub). In a knockout tournament, the overall prize is clearly winnable in a single game (the 'final') and is therefore won in a game of poker and subject to the prize limit. The stake and prize limits must also, of course, be applied to each game in the tournament.

29.21 Alternatively the prize competed for may be the opportunity to play in 'invitational cash tournaments'. Notwithstanding that these 'prizes' may be of an uncertain value, and are likely to be held in mainstream gaming venues under regulated conditions, usually a casino, the Act prohibits gaming in alcohol licensed premises being linked to gaming in any other premises. Players competing across premises for a 'prize' are likely to be engaged in linked gaming, which is unlawful (s.269(5) of the Act). Consequently, organisers should not host events where players are competing against players in other premises for a prize.

29.22 In some types of tournaments there will be no single 'final' game in which it can be said with certainty that the player won the overall prize. In such circumstances, one should look to the individual games played by the overall winner and ensure that the overall prize does not cause any of those individual games to exceed the maximum £100 prize limit per game and the maximum stake of £100 per day.

29.23 For examples of poker tournament, league and competitions games and prize and stake examples see Appendix H.

Poker under a club gaming permit

29.24 A club gaming permit can only be granted to a members' club (including a miners' welfare institute), but cannot be granted to a commercial club or other alcohol licensed premises.

29.25 Other than in the case of clubs established to provide facilities for gaming of a prescribed kind (currently bridge and whist), clubs seeking club gaming permits must be established 'wholly or mainly' for purposes other than gaming. When a club gaming permit is granted there are no limits on the stakes and prizes associated with poker.

29.26 If a club established to provide facilities for gaming of a prescribed kind (currently bridge and whist) has a club gaming permit, it may not offer any other gaming besides bridge and whist. If such a club does not have a permit, it may provide exempt gaming provided it is not established to function for a limited period of time and it has at least 25 members. If it wishes to offer other non-exempt gaming it will require a Commission casino operating licence and any relevant personal licences.

29.27 The poker which a club gaming permit allows is subject to conditions:

(a) in respect of equal chance gaming:

- the club must not deduct money from sums staked or won
- the participation fee must not exceed the amount prescribed in regulations
- the game takes place on the premises and must not be linked with a game on another set of premises.

Two games are linked if:

- the result of one game is, or may be, wholly or partly determined by reference to the result of the other game or
- the amount of winnings available in one game is wholly or partly determined by reference to the amount of participation in the other game, and a game which is split so that part is played on one site and another part is played elsewhere is treated as two linked games
- only club members and their genuine guests participate.

(b) in respect of other games of chance:

- the games must be pontoon and chemin de fer only
- no participation fee may be charged otherwise than in accordance with the regulations
- no amount may be deducted from sums staked or won otherwise than in accordance with the regulations.

29.28 A 48-hour rule applies in respect of all three types of gaming, so that the games may only be played by people who have been members of the club for at least 48-hours, or have applied or been nominated for membership or are genuine guests of a member.

29.29 More information about club gaming permits can be found in Part 25.

29.30 Private clubs with a club gaming permit cannot run the premises wholly or mainly for the purposes of gaming, nor can the club make a profit as all funds must be applied for the benefit of members. Experience indicates that illegal clubs will go to considerable lengths to disguise the true nature of their activities. Consequently building the evidence required to review and rescind the permit can be time consuming and resource intensive. It is therefore essential that licensing authorities scrutinise applications for club gaming permits carefully. The applicant should be asked for as much information as required (such as a business plan) in order to satisfy the licensing authority that it is a bone fide club whose main activity will not be gambling. The Commission are in a position to assist in sharing intelligence on individuals or organisations in circumstances where a licensing authority has doubts as to the credentials of an applicant.

29.31 There is now a considerable body of knowledge and experience as to how a gaming permit can be withdrawn. This may include using other legislation such as the Proceeds of Crime Act (opens in new tab) which was used by a licensing authority to prosecute and imprison one club owner.

29.32 On occasion licensing authorities may consider that, as they have not received complaints about a club, there is no requirement for them to act. In these circumstances it is worth bearing in mind that they are very unlikely to receive complaints about such clubs, unless it is issues such as local noise and nuisance. The people attending the club do so from choice. Secondly, the club is effectively operating as an illegal casino and none of the protections afforded in a casino are in place, such as personal licence holders and anti-money laundering safeguards.

Poker as non-commercial gaming

29.33 The Act permits non-commercial gaming if it takes place at a non-commercial event, either as an incidental or principal activity at the event. Events are non-commercial if no part of the proceeds is for private profit or gain. The proceeds of such events may benefit one or more individuals if the activity is organised:

- by, or on behalf of, a charity or for charitable purposes
- to enable participation in, or support of, sporting, athletic or cultural activities.

So it would be possible to raise funds for an individual providing the proceeds were, for example, for a wheelchair or to support a sporting endeavour. Additionally, events such as casino nights or poker nights may be permitted if they comply with the regulations and are run on a non-commercial basis.

29.34 S.297(3) of the Act defines proceeds as:

1. the sums raised by the organisers, whether by way of fees for entrance or for participation, by way of sponsorship, by way of commission from traders, or otherwise, minus
2. amounts deducted by the organisers in respect of costs reasonably incurred in organising the event.

However, sums raised by other persons will not form part of the proceeds of the event and may be appropriated for private gain. An example would be refreshments provided at the event by an independent third party.

29.35 If someone uses any profits from non-commercial gaming for something other than the specified purpose, then they commit an offence under s.301 of the Act. The maximum penalty, upon conviction for such an offence, is a term of imprisonment not exceeding 51 weeks for England and Wales (six months in Scotland), and/or a level five fine.

29.36 The Act identifies two types of permissible non-commercial gaming:

- prize gaming (which must comply with the conditions set out in s.299 of the Act)
 - equal chance gaming (which must comply with the conditions set out in s.300 of the Act and the conditions prescribed in regulations).
-

Non-commercial prize gaming

29.37 Provided that the conditions set out in s.299 are met, poker can be offered as non-commercial prize gaming without the need to have an operating or premises licence, nor a prize gaming permit. Paragraphs 28.7 onwards set out detail on s.299 of the Act.

29.38 Poker as prize gaming occurs if the nature and size of the prize is not determined by the number of people playing or the amount paid for or raised by the gaming. Normally the prizes will be determined by the organiser before play commences.

Non-commercial equal chance gaming

29.39 Provided that the conditions set out under s.300 are met, poker can be offered as non-commercial equal chance gaming without the need to have an operating or premises licence. Paragraphs 28.9 onwards set out detail on s.300 of the Act.

Non-commercial casino night or poker night

29.40 A non-commercial casino night or poker night is an event where participants stake money on casino-style games, such as poker, at a non-commercial event, where none of the money the organisers raise from the event is used for private gain.

29.41 Apart from reasonable costs, proceeds (including any entrance fees, sponsorship, the difference between stakes placed and payout made):

- must not be used for private gain
- must all be given to a good cause.

Reasonable costs would include costs incurred by providing the prizes. If third parties are selling goods or services at the event, for example if someone is selling refreshments, this does not count as money raised for the charity or good cause and can be retained by that third party.

29.42 A non-commercial casino night or poker night can be run without a licence, or any other form of permission, providing the operation of the gaming falls into one of the three categories discussed below.

29.43 Organisers should note that, under the Act, it is illegal to organise a commercial casino night or poker night outside of a licensed casino. As the law stands, only the holder of a valid non-remote casino operating licence can apply to a licensing authority for a temporary use notice (TUN) in respect of other premises to offer gaming on a commercial basis, and then only in respect of equal chance gaming organised on a tournament basis with a single overall winner (SI No 3157/2007: The Gambling Act 2005 (Temporary Use Notices) Regulations 2007) ([opens in new tab](#)).

Casino night or poker night as non-commercial prize gaming

29.44 Casino nights or poker nights can be held as non-commercial prize gaming. The players must be told what good cause will benefit from the profits of the gaming before placing a bet. The prizes must be advertised in advance and must not depend on the number of people playing or the stakes raised. For example, the individual winner or winners could be determined by counting who has the most casino chips after the game or tournament ends. The winners are then awarded the prizes that have been advertised in advance.

Casino night or poker night as non-commercial equal chance gaming

29.45 Casino nights or poker nights can also be run as non-commercial equal chance gaming. In non-commercial equal chance gaming, the charitable funds are usually raised through an entrance fee, participation fee, or through other payments related to the gaming. The maximum amount that a player may be charged is £8 per day (this includes entrance or participation fees, stakes and any other payments in relation to the gaming). Organisers must ensure that the total amount paid out in prizes remains below

£600 in total across all players. However, where an event is the final one of a series in which all of the players have previously taken part, a higher prize fund of up to £900 is allowed.

Poker as private gaming

29.46 Poker offered as private gaming can take place anywhere to which the public do not have access and this would include a workplace. Domestic and residential gaming are two subsets where non-equal chance gaming is allowed:

- Domestic gaming is permitted without the need for permissions if:
 - it takes place in a private dwelling
 - it is on a domestic occasion
 - no charge or levy is made for playing.
- Residential gaming is permitted when:
 - it takes place in a hall of residence or hostel not administered in the course of a trade or business
 - more than 50% of the participants are residents.

29.47 Private gaming can potentially take place on commercial premises in circumstances where a members' club hires a room in, for example, a pub or hotel for a private function where equal chance gaming only is played. However, organisers would need to scrutinise very carefully the arrangements put in place to make sure that the particular area of the pub, hotel or other venue in which the gaming takes place is not, on the occasion of the private function, a place to which the public have access and that those participating are not selected by a process which means that, in fact, they are members of the public rather than members of the club. The law in this area is complex and organisers should be advised to seek their own legal advice before proceeding with the event.

29.48 It is a condition of private gaming that no charge (by whatever name called) is made for participation and Schedule 15 to the Act makes it clear that a deduction from or levy on sums staked or won by participants in gaming is a charge for participation in the gaming. It is irrelevant whether the charge is expressed to be voluntary or compulsory, particularly if customers are prevented from playing if they do not make the 'voluntary' donation, or there is strong peer pressure to make the donation. A relevant decided case in another licensing field is that of *Cocks v Mayner* (1893) 58 JP 104, in which it was found that an omnibus said to be available free of charge but whose passengers who were invited to (and in some cases did) make a voluntary contribution was 'plying for hire' without the appropriate licence.

29.49 Additionally, the decided cases of *Panama (Piccadilly) Ltd v Newberry* (1962) 1WLR 610 and *Lunn v Colston-Hayter* (1991) 155 JP 384 are helpful in guiding local authorities in deciding whether a person ceases to be a member of the public merely because they have agreed to become a member of a club.

29.50 In the first of these cases (which related to a strip show), the court said that an applicant for membership of the club and admission to the show was and remained a member of the public, as the whole purpose (of membership) was to get members of the public to see the show and there was no sufficient segregation or selection to cause an applicant to cease to be a member of the public and to acquire a different status as a member of a club on signing his application form and paying the charge. In the second (which related to an acid house party), the judge said that it was impossible, merely because of the existence of a formal scheme of club membership enforced to the extent of requiring tickets to be obtained 24-hours in advance of the event, to regard those who obtained such membership and tickets as having ceased to be members of the public.

29.51 This means that people joining a club to attend and take part in a 'private' event are likely to remain members of the public, particularly if 'club membership' is acquired only a short time before, and in order to attend the event.

Advertising

29.52 The Gambling (Licensing and Advertising) Act 2014 ([opens in new tab](#)) amended the Act so that from 1 November 2014, gambling operators that provide facilities for remote gambling requires remote gambling operators selling into the British market, whether based here or abroad, to hold a Commission licence to enable them to transact with British consumers.

Part 30: Travelling fairs

Introduction

30.1 The Act defines a travelling fair as 'wholly or principally' providing amusements and they must be on a site that has been used for fairs for no more than 27 days per calendar year. The Act does not change the principles on which travelling fairs have been regulated under previous legislation.

30.2 Travelling fairs may provide an unlimited number of category D gaming machines provided that facilities for gambling amount to no more than an ancillary amusement at the fair. They do not require a permit to provide these gaming machines but must comply with legal requirements about how the machine operates. Current stakes and prizes can be found at Appendix B of this guidance.

30.3 Higher stake category B and C fruit machines, like those typically played in arcades and pubs, are not permitted. Fairground operators must source their machines from a Commission licensed supplier and employees working with gaming machines must be at least 18 years old.

30.4 Part 27 of the guidance discusses the prize gaming that may be provided at travelling fairs.

30.5 Licensing authorities should note that the 27-day maximum is during a calendar year and not in any 12-month period, and applies to the piece of land on which fairs are held, regardless of whether it is the same or different travelling fairs occupying the land. Authorities should therefore monitor the use of land and maintain a record of the dates on which it is used. If the land straddles licensing authority areas, the authorities concerned will need to work together to maintain a central log.

30.6 Local authorities in England and Wales may adopt by laws to control travelling fairs under a discretionary power set out in s.75 of the Public Health Act 1961 ([opens in new tab](#)), as amended. In Scotland travelling fairs are licensed by the Civic Government (Scotland) Act 1982 ([opens in new tab](#)).

Part 31: Crown immunity and excluded premises

Crown immunity and excluded premises

31.1 With the exception mentioned below, the Act applies to the Crown. This includes government departments and therefore there is no immunity for establishments such as civil service social clubs, which must apply for club machine permits or other permissions in the normal way.

31.2 However the Act has no effect in relation to anything done on premises occupied, either on a permanent or temporary basis, by the armed forces namely Her Majesty's naval, military or air forces.

31.3 The Act enables the Secretary of State to classify a premises as exempt from the Act on the grounds of national security.

Part 32: Territorial application of the Gambling Act 2005

Territorial application of the Gambling Act 2005

32.1 By virtue of the Gambling (Licensing and Advertising) Act 2014 (opens in new tab), the Act applies to all operators who provide facilities for gambling to consumers in Great Britain (England, Wales and Scotland) except for two areas which also apply to Northern Ireland. These are:

- Chain gift schemes dealt with in Part 35 of this guidance
- Section 340 of the Act (foreign betting provisions of Betting and Gaming Duties Act 1981 (opens in new tab) ceasing to have effect).

The offence of advertising unlicensed remote gambling is also applicable to Northern Ireland (see section 5 of the 2014 Act).

Vessels

32.2 Vessels such as cruise ships, ferries, boats and hovercrafts are required to have a premises licence if commercial gambling is provided at them. However if a vessel is engaged on a journey into or from international waters then no premises licence is required. Further information is available at Part 7 paragraphs 7.12 to 7.17.

Vehicles

32.3 No premises licences can be issued in respect of a vehicle. In addition to a car, lorry or coach, the Act also provides that 'vehicle' includes a train, aircraft, seaplane and any amphibious vehicle other than a hovercraft. There is no exemption for international travel. Whilst this is ultimately a matter for the courts it is the Commission's view that a vehicle remains a vehicle not only when stationary but also if located permanently at a particular site, perhaps with its wheels removed but capable of being re-instated.

Aircraft

32.4 No offence occurs if gambling is conducted on an aircraft which is in international space. As an aircraft is a vehicle, no premises licences can be granted to aircraft for gambling in domestic airspace.

Part 33: Door supervision

Door supervision

33.1 If a licensing authority is concerned that a premises may attract disorder or be subject to attempts at unauthorised access, for example, by children and young persons, then it may require that the entrances to the premises are controlled by a door supervisor. The licensing authority is able to impose a condition on the premises licence to this effect.

33.2 S.178 of the Act sets out a definition of ‘door supervisor’ and provides that where a person employed in such a role is required to hold a licence issued by the Security Industry Authority (opens in new tab) (SIA), that requirement will have force as though it were a condition on the premises licence.

33.3 The SIA regulates the private security industry in England, Wales and Scotland, and is responsible for licensing individuals working within the various industry sectors, by virtue of the Private Security Industry Act 2001 (opens in new tab) (PSIA). The majority of persons employed to work as door supervisors at premises licensed for gambling, and carrying out the functions listed under Schedule 2 Part 1 of the PSIA, will need to be licensed by the SIA. There are, however, exceptions to this requirement.

33.4 The PSIA requires that all contract staff (those employed under a contract for services) carrying out the functions set out under Schedule 2 Part 1 of the PSIA must be licensed by the SIA. However, certain premises also need to have their in-house employees (those employed under a contract of service) who carry out these functions, licensed. These premises include those holding a premises licence for the supply of alcohol or regulated entertainment under the Licensing Act 2003 (opens in new tab).

33.5 This requirement is relaxed when applied to door supervisors at casino and bingo premises. Where contract staff are employed as door supervisors at casino or bingo premises, such staff will need to be licensed by the SIA. However, in-house employees working as door supervisors at casino and bingo premises are exempt from these requirements.

33.6 In Scotland, the PSIA currently applies in respect of the Licensing (Scotland) Act 2005 (opens in new tab) by virtue of the Licensing (Scotland) Act 2005 (Consequential provisions) Order 2009 (opens in new tab), SSI No. 2009/248. This ensures that the same requirements in relation to the licensing of staff by the SIA in England and Wales also apply in Scotland.

33.7 Licensing authorities are encouraged to set out the circumstances in which such matters as door supervision may be required in their statement of policy.

Part 34: Small society lotteries

Small society lotteries

34.1 The Act denotes ‘local authorities’ as being responsible for registering societies to run small society lotteries, as opposed to licensing authorities. S.2 of the Act defines licensing authorities and s.25 defines local authorities, with both given the same definition. The Commission considers therefore that for the purposes of the Act both terms are broadly the same, and in the interests of consistency with the other areas of this guidance, we refer throughout this part to licensing authorities, as opposed to local authorities, except when referring to lottery licences that local authorities can apply for themselves.

The status of lotteries under the Act

34.2 The Gambling Commission and the National Lottery Commission merged on 1 October 2013. No change has been made to the legislation which governs how commercial gambling and the National Lottery are regulated. The Commission licenses and regulates all commercial gambling and the National Lottery in Great Britain.

34.3 The Act sets out a definition of a lottery, detailed below, and provides that promoting or facilitating a lottery is illegal, unless it falls into one of two categories of permitted lottery²⁸, namely:

- licensed lotteries – these are large society lotteries and lotteries run for the benefit of local authorities that are regulated by the Commission and require operating licences
- exempt lotteries – there are four types of exempt lottery that are expressly permitted under Schedule 11 of the Act, including the small society lottery.

Definition of lottery

34.4 A lottery is any arrangement that satisfies all of the criteria contained within the statutory description of either a simple lottery or a complex lottery, under s.14 of the Act.

34.5 An arrangement is a simple lottery if:

- persons are required to pay to participate
- one or more prizes are allocated to one or more members of a class
- the prizes are allocated by a process which relies wholly on chance.

34.6 An arrangement is a complex lottery if:

- persons are required to pay to participate
- one or more prizes are allocated to one or more members of a class
- the prizes are allocated by a series of processes
- the first of those processes relies wholly on chance.

Definition of society

34.7 Licensing authorities should define ‘society’ as the society, or any separate branch of such a society, on whose behalf a lottery is to be promoted, and need to understand the purposes for which a society has been established in ensuring that it is a non-commercial organisation. Further information about establishing non-commercial societies can be found in paragraph 34.29. S.19 of the Act defines a society as such if it is established and conducted:

- for charitable purposes, as defined in s.2 of the Charities Act 2006 ([opens in new tab](#))
- for the purpose of enabling participation in, or of supporting, sport, athletics or a cultural activity
- for any other non-commercial purpose other than that of private gain.

34.8 It is inherent in this definition that the society must have been established for one of the permitted purposes as set out in s.19 of the Act, and that the proceeds of any lottery must be devoted to those purposes. It is not permissible to establish a society whose sole purpose is to facilitate lotteries.

Local authority lotteries

34.9 Local authorities are entitled to operate their own lotteries, but may only do so if licensed by the Commission. Local authorities must commit a minimum of 20% of the proceeds from such lotteries for a purpose for which they have power to incur expenditure, and must also adhere to the other relevant provisions in the Act. They may also need to hold a remote gambling operating licence, in the event that they wish to sell lottery tickets via electronic or other remote technological methods such as over the telephone, email or via the internet.

Licensing authority guidance

34.10 Licensing authorities may consider producing their own guidance for organisations and individuals seeking to operate small society lotteries. If so, the Commission's advice note [Promoting society and local authority lotteries advice note \(opens in new tab\)](#) (This advice note does not form part of the Guidance to Licensing Authorities) may provide a useful starting point.

Social responsibility

34.11 Participation in a lottery is a form of gambling, and as such licensing authorities must be aware that the societies they register are required to conduct their lotteries in a socially responsible manner and in accordance with the Act.

34.12 The minimum age for participation in a lottery is 16 and Social Responsibility (SR) code 3.2.9 in the Licence conditions and codes of practice (LCCP) requires lottery licences to have effective procedures to minimise the risk of lottery tickets being sold to children, including procedures for:

- checking the age of apparently underage purchasers of lottery tickets
- taking action where there are unlawful attempts to purchase tickets.

34.13 The licensee must take reasonable steps to ensure that all those engaged in the promotion of lotteries understand their responsibilities for preventing underage gambling, returning stakes and not paying prizes to underage customers.

34.14 As with other aspects of local gambling regulation, licensing authorities are encouraged to use their statement of policy as a means of making clear their expectations of lottery operators and particular risks that may exist.

External lottery managers' licence status

34.15 External lottery managers (ELMs) are required to hold a lottery operator's licence issued by the Commission to promote a lottery on behalf of a licensed society.

34.16 However, individuals or firms can and do provide services to a society or local authority lottery without assuming the role of an ELM. When determining whether a third party is a 'service provider' only, or has assumed the role of an ELM, the degree of management undertaken by both the promoter and the sub-contractor will be crucial factors. Key indicators will include:

- who decides how the lottery scheme will operate
- who appoints and manages any sub-contractors
- the banking arrangements for handling the proceeds of the lottery
- who sells the tickets and pays the prizes
- who controls promotional aspects of the lottery.

34.17 Societies employing an unlicensed ELM may be committing an offence and they will need to satisfy themselves that any ELM they employ holds the relevant operator's licence issued by the Commission. The Commission publishes a register of operating licences.

34.18 Licensing authorities can refer those seeking further information on ELMs to the Commission's website or its publication [Promoting society and local authority lotteries advice note](#) (opens in new tab) (the advice note does not form part of the Guidance to licensing authorities).

Lottery tickets

34.19 Lotteries may involve the issuing of physical or virtual tickets to participants (a virtual ticket being non-physical, for example in the form of an email or text message). All tickets must state:

- the name of the promoting society
- the price of the ticket, which must be the same for all tickets
- the name and address of the member of the society who is designated as having responsibility at the society for promoting small lotteries or, if there is one, the ELM
- the date of the draw, or information which enables the date to be determined.

The requirement to provide this information can be satisfied by providing an opportunity for the participant to retain the message electronically or print it.

34.20 The Commission recommends that licensing authorities require all registered small society lottery operators to maintain written records of any unsold and returned tickets for a period of one year from the date of the lottery draw. The licensing authority is permitted to inspect the records of the lottery for any purpose related to the lottery.

34.21 The Act requires that lottery tickets may only be sold by persons that are aged 16 or over to persons that are aged 16 or over.

34.22 With regards to where small society lottery tickets may be sold, the Commission recommends that licensing authorities should apply the following criteria to all small society lottery operators:

- lottery tickets must not be sold to a person in any street. For these purposes 'street' includes any bridge, road, lane, footway, subway, square, court, alley or passage (including passages through enclosed premises such as shopping malls) whether a thoroughfare or not. Tickets may, however, be sold in a street from a static structure such as a kiosk or display stand. Tickets may also be sold door to door. Licensees must ensure that they have any necessary local authority permissions, such as a street trading licence.

This approach is consistent with the operating licence conditions imposed upon operators of large society lotteries and local authority lotteries.

Prizes

34.23 Prizes awarded in small society lotteries can be either cash or non-monetary. Licensing authorities need to be aware that the value of prizes declared on returns must not exceed the limits on prizes set out by the Act - in effect that combined with any expenses incurred with the running of the lottery, such as managers' fees, they must not comprise more than 80% of the total proceeds of the lottery. Donated prizes would not be counted as part of this 80% (as no money would be withdrawn from the proceeds to cover their purchase) but are still subject to the limit on a single maximum prize of £25,000 and should be declared on the return following the lottery draw.

34.24 The Commission recommends that licensing authorities should advise small society lottery operators to check with local police if they wish to award items containing alcohol as prizes. This is in order to ensure that licensing law is not breached.

Specific offences in relation to lotteries

34.25 The Act sets out a number of offences that apply to lotteries, as follows:

Section of the Act	Offence
s. 258	Promoting a non-exempt lottery without a licence
s. 259	Facilitating a non-exempt lottery without a licence
s. 260	Misusing the profits of a lottery
s. 261	Misusing the profits of an exempt lottery
s. 262	Purporting to operate a small society lottery when not registered, or failing to make the required, or making false or misleading, returns in respect of such lotteries
s. 326	Without reasonable excuse, obstructing or failing to co-operate with an authorised person exercising his/her powers
s. 342	Without reasonable excuse, giving false or misleading information to the Commission or a licensing authority

34.26 If a society running small lotteries fails to comply with any of the conditions of running such lotteries specified in Part 4 of Schedule 11 of the Act, it will be operating in an illegal manner, irrespective of whether it is registered with a licensing authority or not. In these circumstances, small society lottery operators may face prosecution by the Commission, a licensing authority, or the police. The lead organisation for initiating prosecutions will vary depending upon the specific circumstances of the case, but it is expected that licensing authorities will investigate offences in respect of small society lotteries. If necessary, licensing authorities can ask for advice from the Gambling Commission, but the Commission is unlikely to investigate a case unless it has national or regional significance.

34.27 Licensing authorities in Scotland should refer cases where there has been a breach of the Act to the police for investigation, in line with Crown Office and Procurator Fiscal Service ([opens in new tab](#)) guidance on reporting practices for non-police agencies.

Application and registration process for small society lotteries

34.28 When licensing authorities are approached by societies who want to register with them to operate lotteries, they will need to refer to the Act's definition of a small society lottery, which falls into two distinct areas:

- society status - the society in question must be 'non-commercial'
- lottery size - the total value of tickets to be put on sale per single lottery must be £20,000 or less, or the aggregate value of tickets to be put on sale for all their lotteries in a calendar year must not exceed £250,000. If the operator plans to exceed either of these values then they may need to be licensed with the Commission to operate large lotteries instead.

34.29 Additional information is available to assist licensing authorities with society lottery applications. This can be found within our Feature article: [Small society lottery applications – things to consider](#). Please note this article does not form part of the Guidance to licensing authorities.

34.30 The Commission has published a series of advisory documents as well as a toolkit²⁹ which licensing authorities may wish to refer applicants or potential applicants to, to enable them to establish which type of lottery they plan to operate. Promoting society and local authority lotteries advice note provides information for those seeking to run small and large society lotteries and local authority lotteries. Organising small lotteries provides advice on exempt lotteries that do not require a licence or registration. The Commission has also published Running a lottery, a quick guide for fundraisers, to help them identify what types of lottery they can run (the advice note/leaflet/quick guide do not form part of the Guidance to licensing authorities).

34.31 The promoting society of a small society lottery must, throughout the period during which the lottery is promoted, be registered with a licensing authority. Parts 4 and 5 of Schedule 11 of the Act set out the requirements on both societies and licensing authorities with respect to the registration of small society lotteries.

34.32 The licensing authority with which a small society lottery is required to register must be in the area where their principal office is located. If a licensing authority believes that a society's principal office is situated in another area, it should inform the society and the other licensing authority as soon as possible.

34.33 Applications for small society lottery registrations must be in the form prescribed by the Secretary of State and be accompanied by both the required registration fee and all necessary documents required by the licensing authority to assess the application. Licensing authorities are encouraged to ask applicants for a copy of their terms and conditions and their constitution to establish that they are a non-commercial society. They may also choose to require applicants to provide a declaration, stating that they represent a bona fide non-commercial society.

34.34 The Commission has been made aware that some small society lotteries may be avoiding applying for a society lottery operating licence from the Commission by obtaining two or more registrations with the same or different licensing authorities. As set out previously, the Act states that a society lottery is a large lottery if the arrangements for it are such that its proceeds may exceed £20,000 in a single lottery, or if the aggregate proceeds in a calendar year exceed £250,000.

34.35 In cases where a society has separate branches with different aims and objectives, it is acceptable for them to hold more than one licence or registration. However, in cases where a society holds more than one registration and the aims and objectives of those societies are the same, this may constitute a breach of the threshold limits for small society lotteries set out in Schedule 11 of the Act.

34.36 Licensing authorities are advised to carefully consider any application by a society who is applying for or already holds more than one registration, including through another society with the same purposes. If the aims and objectives are the same and therefore the threshold limits for small society lotteries are likely to be exceeded, the applicant should be advised to apply to the Commission for a society lottery operating licence.

34.37 By virtue of Schedule 11 paragraph 31(5), societies may not hold an operating licence and a local authority registration with the same aims and objectives at the same time. This paragraph also provides for a statutory period of three years during which a large society cannot convert to small society status. Licensing authorities should check that applicants for registration do not hold (and have not held in the preceding three years) a society lottery operating licence granted by the Commission.

34.38 Licensing authorities may also wish to check with the society at the time the annual fee is paid to renew the registration, to ensure that a society does not hold a duplicate registration with them or another licensing authority where the aims and objectives of the societies are the same. If that is the case and the combined proceeds exceed or are likely to exceed the threshold limits for small society lotteries, the society should be advised to apply to the Commission for a society lottery operating licence. The licensing authority should also notify the Commission.

34.39 Licensing authorities may delegate the registration of small societies to licensing officers, subject to each authority's own specific process of delegations.

34.40 Licensing authorities are required by paragraph 44 of Schedule 11 of the Act to record details of the society on a register. While it does not have to be a public register, the Commission recommends that licensing authorities make the register available to the public on request.

34.41 Once the application for registration has been accepted and entered on the local register, the licensing authority must then notify both the applicant and the Commission of this registration as soon as practicable.

34.42 Registrations run for an unlimited period, unless the registration is cancelled. If a licensing authority cancels the registration of a society, due to non-payment of their annual fee, the licensing authority are required by paragraph 54 of Schedule 11 of the Act to notify the Commission and the formerly registered society.

If a licensing authority cancels the registration of a society they are required by paragraph 53 of Schedule 11 of the Act to notify the Commission. An annual fee is payable to maintain the registration.

Refusal of an application

34.43 Paragraphs 47 and 48 of Schedule 11 of the Act set out the grounds for licensing authorities to refuse a small society lottery registration application. In summary, licensing authorities may propose to refuse an application for any of the following reasons:

- **An operating licence held by the applicant for registration has been revoked or an application for an operating licence made by the applicant for registration has been refused, within the past five years.** The Commission will be able to advise the details of people and organisations that have been refused an operating licence or have had an operating licence revoked in the past five years. Licensing authorities should consult the Commission as part of their consideration process.
- **The society in question cannot be deemed non-commercial.** Under previous regimes, licensing authorities often required applicants to provide a statement with their application form declaring that they represented a bona fide non-commercial society, and identifying how the purpose of the society could be established. The Commission considers that a similar approach remains appropriate. However, licensing authorities should also consider whether such a declaration is sufficient in the particular circumstances of each case or whether there are additional determining factors, such as an unusual or novel purpose of the society, which may suggest that further enquiry is needed.
- **A person who will or may be connected with the promotion of the lottery has been convicted of a relevant offence, listed in Schedule 7 of the Act.** Under previous regimes, licensing authorities often required applicants to provide a statement alongside their application form declaring that they had no relevant convictions that would prevent them from running lotteries. The authority could then verify the accuracy of the statement with the police. The Commission considers that this approach remains appropriate.
- **Information provided in or with the application for registration is found to be false or misleading.**

34.44 A licensing authority may only refuse an application for registration after the society has had the opportunity to make representations. These can be taken at a formal hearing or via correspondence. Licensing authorities should inform the society of the reasons why it is minded to refuse registration and provide it with at least an outline of the evidence on which it has reached that preliminary conclusion, in order to enable representations to be made.

34.45 Representations, and any objections that may result after such a decision, should be handled in accordance with local procedures, and in the same way that the licensing authority would deal with any other licensing matters. The Commission considers that, as a matter of good practice, licensing authorities should set out the principles they will apply in such circumstances. This could be in their statement of policy or on their website.

Revocation of a small society's registered status

34.46 A licensing authority may determine to revoke the registration of a society if it thinks that they would have had to, or would be entitled to, refuse an application for registration if it were being made at that time. Revocations cannot take place unless the society has been given an opportunity to make representations at a hearing or via correspondence. In preparation for this, licensing authorities should inform the society of the reasons why it is minded to revoke the registration and provide them with the evidence on which it has reached that preliminary conclusion. Representations that may result after such a decision should be handled in accordance with local procedures.

Appeals

34.47 Following the conclusion of any hearings and receipt of representations, paragraph 51 of Schedule 11 of the Act then requires the authority to notify the applicant or the society as soon as possible if their registration is still to be revoked, or if their application for registration has still been rejected.

34.48 The applicant or society may decide to make an appeal against the decision, and has 21 days following receipt of the notice of the decision to lodge an appeal, which must be made directly to the local Magistrates' court if in England or Wales, or the Sheriff court in Scotland. On appeal they may choose to affirm the decision of the licensing authority, reverse the decision, or make any other order.

Administration and returns

34.49 As the purpose of permitted lotteries is to raise money for non-commercial causes, the Act requires that a minimum proportion of the money raised by the lottery is channelled to the goals of the society that promoted the lottery. If a small society lottery does not comply with these limits it will be in breach of the Act's provisions, and consequently be liable to prosecution.

34.50 The limits are as follows:

- at least 20% of the lottery proceeds must be applied to the purposes of the society (Schedule 11, paragraph 33)
- no single prize may be worth more than £25,000 (Schedule 11, paragraph 34)
- rollovers between lotteries are only permitted where every lottery affected is also a small society lottery promoted by the same society, and the maximum single prize is £25,000 (Schedule 11, paragraph 35)

- every ticket in the lottery must cost the same and the society must take payment for the ticket fee before entry into the draw is allowed (Schedule 11, paragraph 37).

34.51 Paragraph 39 of Schedule 11 in the Act sets out the information that the promoting society of a small society lottery must send as returns to the licensing authority with which it is registered, following each lottery held. This information allows licensing authorities to assess whether financial limits are being adhered to and to ensure that any money raised is applied for the proper purpose.

34.52 The following information must be submitted:

- the arrangements for the lottery - specifically the date on which tickets were available for sale or supply, the dates of any draw and the value of prizes, including any donated prizes and any rollover
- the total proceeds of the lottery
- the amounts deducted by the promoters of the lottery in providing prizes, including prizes in accordance with any rollovers
- the amounts deducted by the promoters of the lottery in respect of costs incurred in organising the lottery
- the amount applied to the purpose for which the promoting society is conducted (this must be at least 20% of the proceeds)
- whether any expenses incurred in connection with the lottery were not paid for by deduction from the proceeds, and, if so, the amount of expenses and the sources from which they were paid.

34.53 Paragraph 39 of Schedule 11 in the Act also requires that returns must:

- be sent to the licensing authority no later than three months after the date of the lottery draw, or in the case of 'instant lotteries' (scratchcards) within three months of the last date on which tickets were on sale
- be signed (electronic signatures are acceptable if the return is sent electronically) by two members of the society, who must be aged 18 or older, are appointed for the purpose in writing by the society or, if it has one, its governing body, and be accompanied by a copy of their letter or letters of appointment.

34.54 The Commission may inspect a society's returns, although it will not routinely do so. As such, licensing authorities are required to retain returns for a minimum period of three years from the date of the lottery draw. They should also make them available for inspection by the general public for a minimum period of 18 months following the date of the lottery draw. Licensing authorities should ensure that information is made available to the public regarding the location of statements, when they can be viewed and the cost of obtaining copies.

34.55 Licensing authorities should allow for returns to be sent to them both electronically and manually. The Commission recommends that each licensing authority should make details concerning the form of returns required available through appropriate media, such as licensing authority websites and leaflets.

34.56 Where societies run more than one lottery in a calendar year, licensing authorities must monitor the cumulative totals of returns to ensure that societies do not breach the annual monetary limit of £250,000 on ticket sales. Licensing authorities must notify the Commission if returns reveal that a society's lotteries have exceeded the values permissible, and such notifications should be copied to the society in question. The Commission will contact the society to determine if they are going to apply for a lottery operator's licence, thereby enabling them to run large society lotteries lawfully, and will inform the licensing authority of the outcome of its exchanges with the society.

34.57 Licensing authorities will also need to be aware of the status of external lottery managers, when monitoring returns. They are an individual, a firm or a company appointed by a society to manage a lottery or lotteries on behalf of the society, and are generally consultants that take their fees from the expenses of the lottery. A maximum of 80% of a lottery's proceeds may be attributed to expenses and prizes, and managers' fees must be included within this total.

Part 35: Chain gift schemes

Introduction

35.1 S.43 of the Act makes it an offence to invite others to join a chain gift scheme or to participate knowingly in the promotion or administration of a scheme. These schemes have many of the features of pyramid selling schemes, but escape the ban on them because they do not involve the sale of any product. A person found guilty of the offence could be liable to a fine or imprisonment.

35.2 The Commission is aware that local authority trading standards officers have considerable relevant experience in dealing with chain gift schemes and are well placed to deal with schemes that arise from time to time. The Commission will keep its role in tackling chain gift schemes, where there is a gambling issue related to the scheme, under review so that if more concerted action is required centrally it can liaise with other bodies to determine what action maybe taken.

35.3 The chain gifting offence is part of a suite of consumer protections set out in the Consumer Protection from Unfair Trading Regulations 2008 ([opens in new tab](#)). The main element of consumer protection against these schemes is publicity to prevent people becoming involved in them. Local authorities may wish to use their websites and other publicity tools to educate consumers against participation in such schemes.

35.4 If licensing authorities are contacted by members of the public regarding schemes of this nature they should, in the first instance, refer to their trading standards department as they are likely to have relevant experience of dealing with chain gift schemes, lottery-style scams and similar arrangements.

Street collectors selling game cards

35.5 Licensing authorities may also be aware of street sellers in their areas approaching the public to sell them game cards, often saying that the cards are being sold to raise money for good causes. If such cards require an element of skill on the part of the player, such as completing a tiebreak question, they may be genuinely distinguishable from a lottery.

35.6 It will be unlikely that the product being sold is a legal lottery. This is because societies running large lotteries are not permitted to sell lottery tickets in the street by virtue of a condition on their operating licence, and the Commission recommends in this guidance that those running small lotteries have a similar restriction imposed upon them by the local authority that registers them.

35.7 The Commission has no comment on products that are not classed as gambling under the Act, but would advise authorities with concerns over street sales of such products to contact the trading standards department. They will be able to advise on whether the product being sold amounts to a gambling product and agree on the best course of action, which may include relying on relevant legislation such as street trading regulations.

Part 36: Compliance and enforcement matters

Fees

36.1 Licensing authorities' compliance and enforcement work and the costs of dealing with illegal gambling is covered by fees from premises licences and permits.

36.2 Licensing authorities in England and Wales will be aware that section 212(2)(d) of the Act specifically states that local authorities 'shall aim to ensure that the income from fees... as nearly as possible equates to the costs of providing the service to which the fees relates'.

36.3 Furthermore DCMS ([opens in new tab](#)) Guidance to licensing authorities on setting premises licence fees states 'The annual fee will cover the reasonable costs of compliance and enforcement work, including the cost of dealing with illegal gambling in a licensing authority's area'.

36.4 Fee setting must be transparent and licensing authorities should closely track their costs and be able to evidence how they arrived at the fee levels in order to demonstrate that they have been calculated on a cost recovery basis only. Fees should be reviewed annually.

36.5 In Scotland all fees for gambling licences and permits are set centrally by Scottish Ministers at a flat rate but again are designed to cover the costs of compliance and enforcement work.

Enforcement officers and authorised persons

36.6 S.303 of the Act enables the Commission to designate employees of the Commission and to appoint persons other than employees, as enforcement officers for the purpose of the Act.

36.7 An officer of a licensing authority can be an authorised local authority person (authorised person) under s.304 of the Act, if the conditions in s.304(2) of the Act are met, namely if:

- the premises are wholly or partly situated in the authority's area
- the officer is designated by the authority as an authorised person for the purposes of s.304.

36.8 Designation of someone as an authorised person for the purposes of s.304(2) is likely to be carried out by the local authority's licensing committee.

36.9 In England and Wales, s.101(1) of the Local Government Act 1972 (opens in new tab) provides that 'a local authority may arrange for the discharge of any of its functions by a committee, sub-committee or officer of the authority'. Delegations are set out in tables at Appendix G.

36.10 In Scotland, a Council's internal functions are laid down in the Local Government (Scotland) Act 1973 (opens in new tab) as amended, principally by the Local Government (Scotland) Act 1994 (opens in new tab) and the Local Government in Scotland Act 2003 (opens in new tab). S.56 of the Local Government (Scotland) Act 1973 (opens in new tab) provides that 'a local authority may arrange for the discharge of any of their functions by a committee of the authority, a sub-committee, an officer of the authority or by any other local authority in Scotland'.

36.11 Authorised persons of the licensing authority exercise their inspection powers in accordance with the principles set out in the licensing authority's statement of policy.

36.12 S.304(3) and (4) set out the circumstances in which officers of local authorities that are not licensing authorities, and certain other persons, can be authorised persons for the purposes of Part 15 of the Act. One example is Trading Standards officers who can be authorised by licensing authorities under s.304(3) (b) of the Act for the purposes of conducting test purchasing exercises.

Powers of entry – England and Wales

36.13 The Act states that authorised persons, constables and enforcement officers may:

- undertake activities for the purpose of assessing compliance with provisions made under the Act or to assess whether an offence is being committed under the Act, by virtue of s.305. This is a general power and so it is unlikely that an authorised person can gain entry under s.305 alone. It should be read in conjunction with the sections of the Act that follow it and set out specific powers
- enter premises if they reasonably suspect that facilities for gambling are being, are about to be, or have been provided on the premises. This would include a private club but does not apply if the suspected gambling is private or non-commercial gaming or betting (s.307). If in doubt, a licensing authority should seek legal advice about also securing a warrant issued by a justice of the peace
- enter a premises in respect of which an application has been made for a family entertainment centre (FEC) gaming permit, for a purpose connected with the consideration of the application, or to enter a premises in respect of which a FEC gaming machine permit has effect, in order to determine compliance with gaming machine permit requirements (s.309)
- enter premises in respect of which an on-premises alcohol licence has effect for the purpose of determining if any gaming that is taking place satisfies the conditions for exempt gaming in s.279 of the Act, to ascertain that any bingo taking place meets the requirements of the Act, or to ascertain the number and category of gaming machines being made available for use on the premises (s.310)
- enter premises in respect of which an application has been made for a prize gaming permit, for a purpose connected with the consideration of the application, or to enter a premises in respect of which a prize gaming permit has effect in order to determine whether prize gaming on the premises complies with the requirements of the Act and regulations under it (s.311).

36.14 Where an application for a club gaming permit or club machine permit has been made, authorised persons, constables and enforcement officers may also enter a members' club, a commercial club or

miners' welfare institute under s.312 of the Act, for a purpose connected with consideration of the application, to:

- determine whether gaming is taking place on the premises or is about to take place on the premises
- or to determine whether any gaming that is taking place or is about to take place on the premises meets the requirements for exempt gaming in section 269 of the Act, a club gaming permit or a club machine permit.

It should be noted that only police officers and enforcement officers can enter the premises that have been granted a permit to determine if the things being done are in accordance with that permit (and not primarily because they suspect a crime is taking place/has taken place). Therefore, if an authorised person was to accompany a police officer or enforcement officer (under s.324, see below), they would not then be able to exercise any powers whilst on the premises such as the seizure of evidence.

36.15 Under s.318 of the Act a constable, enforcement officer or authorised person can only enter a dwelling under a warrant issued by a justice of the peace.

36.16 S.324 of the Act allows a constable, enforcement officer, or authorised person who is exercising a power under Part 15 of the Act, to take one or more persons with him. It should be noted that the Act would not permit an authorised person to exercise any powers on premises such as the seizure of evidence, unless they had entered under a power of entry under the Act that is applicable to their status as an authorised person. This section of the Act seeks to provide access to premises for those assisting a constable, enforcement officer or authorised person in carrying out duties, such as photographers, forensic examiners and note takers.

36.17 Further detail about powers of entry and inspection are set out in Appendix F.

Powers of entry in Scotland

36.18 In Scotland, the relevant licensing authority is called a licensing board. The powers of licensing boards are the same as to those of licensing authorities in England and Wales.

36.19 However, the wording of s.304(2) of the Act has created an anomaly in Scotland where the equivalent of a licensing officer is a licensing standards officer (LSO). Although s.304(2) of the Act was intended to provide licensing authorities with the opportunity to empower licensing authority staff already involved in licensing, it does not specifically apply to licensing standards officers in Scotland who are not directly employed as officers of the licensing authority but rather by the local authority. The licensing boards are separate and LSOs are deliberately legally separated from the boards.

36.20 S.304(3) and (4) of the Act provide licensing authorities in Scotland with the opportunity to empower LSOs and council staff involved in other regulatory roles, such as trading standards officers and environmental health officers, to exercise the powers of authorised persons under the legislation. Indeed, council staff like environmental health officers are already authorised persons under the Act by virtue of the legislation they enforce.

36.21 The Commission encourages local authorities to deploy suitably trained authorised persons under the Act to ensure that gambling is regulated effectively and that the public are afforded the protections set out in the three licensing objectives. The advice note [The role of authorised persons in Scotland](#) (opens in new tab) (this advice does not form part of the Guidance to licensing authorities) sets out the Commission's understanding of the powers of authorised persons in Scotland. The note also offers

guidance to licensing authorities and others about how they might contribute to effective co-regulation of the gambling industry in Scotland.

Illegal gambling

36.22 The Commission views the prevention of illegal gambling as an enforcement priority. Combating illegal gambling is of significant benefit to the licensed community as the provision of illegal unregulated gambling impacts upon the reputation of the industry as a whole. The persistent and widespread existence of illegal gambling also reduces the incentive on operators to be correctly licensed. Those engaged in illegal gambling should expect to be subject to the criminal investigation and prosecution process.

36.23 The Commission will generally take the lead in prosecuting the offence of providing facilities for gambling where it is committed in the context of illegal gambling which appears organised and has a potentially national or regional impact, or where there are deliberate, reckless or significant breaches by a licensed operator.

36.24 In England and Wales, the expectation is that licensing authorities will take prosecutions against those providing or facilitating illegal gambling - in effect gambling without a licence or permit - where the criminality is contained in one premises. In Scotland, the expectation is that licensing authorities will work with the police to address this criminality.

36.25 Dealing with illegal poker or illegal/illegally sited machines in a specific premises often lends itself to a multi-agency coordinated approach with licensing authority officers leading the operation and the police and sometimes HMRC ([opens in new tab](#)) providing support, advice and expertise. Licensing officers should contact the Commission in the first instance to agree if such a multi-agency approach would be appropriate.

36.26 As stated in paragraph 36.1, the annual premises licence fee is set to cover the costs of compliance and enforcement work undertaken by licensing authorities, including the cost of dealing with illegal gambling in a licensing authority's area.

Test purchasing and age verification

36.27 Test purchasing is one method by which the Commission or licensing authorities may, in England and Wales, measure the compliance of licensed operators or groups of licensed operators, with aspects of the Act subject to Primary Authority (PA) arrangements, detailed in paragraph 36.36 below. Test purchasing in Scotland is the subject of an Enforcement Protocol with offences prosecuted by the Crown Office and Procurator Fiscal Service ([opens in new tab](#)).

36.28 Licensing authorities are familiar with the methodology in relation to the sale of age restricted products and are aware of the importance of following current guidance in this area, in order to ensure that tests are carried out in a manner that is risk-based and fair, with due regard to the welfare of young people involved in the test purchasing.

36.29 As noted above, in the first instance it is up to operators to ensure they are compliant with the Act and the associated regulations. The Commission's approach in relation to test purchasing in general and age verification in particular is set out in our Advice note on test purchasing in England and Wales ([opens in new tab](#)) (this advice note does not form part of the Guidance to licensing authorities). This approach is

in line with the responsibilities set out for regulators and enforcers in the Code of Practice: age restricted products and services published by the Better Regulation Delivery Office³⁰ (opens in new tab) (Age Restricted Products and Services: A Code of Practice for Regulatory Delivery), which applies to England and Wales.

36.30 The Commission encourages operators to manage the business risk associated with both underage access to premises and permitting a young person to gamble. Where an operator is required to commission a third party to test the effectiveness of their policies and procedures or put its own testing in place as required by the Licence conditions and codes of practice (LCCP) and where the results of the tests are shared with us, we are less inclined to conduct our own test purchasing.

36.31 Local authorities, whether acting as a licensing authority or through another function such as trading standards, should consult with operators in the first instance where they have concerns about the underage access and age verification policies or whose premises they plan to test purchase. This will enable them to identify what programmes are in place to manage the business risk and take these into account in planning a test purchase exercise.

36.32 Local authorities should also consult with the Commission before planning such exercises in order to ensure that there is no conflict between any ongoing investigation or enforcement activity related to either the premises or the operator that we have initiated and the test purchase operation. Local authorities in England and Wales are also subject to PA arrangements.

36.33 Local authorities undertaking their own test purchase operations are requested to share any test purchasing results with the Commission.

36.34 However, local authorities will have in place democratically determined priorities and resource allocations as well as the ability to respond to complaints and intelligence related to specific premises. As a result, irrespective of the actions of an operator on their overall estate, test purchasing may be deemed to be an appropriate course of action.

Primary Authority

36.35 The PA scheme, previously administered by the Better Regulation Delivery Office (opens in new tab) (BRDO), now the Office for Product Safety and Standards (opens in new tab), provides for a statutory partnership to be formed between a business and a single authority, eg a local authority. That single authority, the PA, can provide a national inspection strategy within which other local regulators can operate (Primary Authority statutory guidance), to improve the effectiveness of visits by local regulators and enable better sharing of information between them. The PA scheme therefore aims to ensure that local regulation is consistent at the national level.

36.36 Since October 2013, the PA has been extended to include age-restricted sales of gambling in England and Wales (it currently does not apply in Scotland). It does not apply to any other aspect of the Act. This means local authorities in England and Wales must follow any age restricted sales of gambling national inspection plans and strategies that are published on the PA register when considering proactive age restricted sales (gambling) activity including testing. PA plans do not prohibit licensing authorities undertaking reactive test purchasing. PA does not apply to the police or the Commission.

36.37 The Commission fully supports the development of PA schemes between gambling operators and local authorities, and has already worked closely with PAs in the development of their national inspection strategies for the some larger non remote licensed operators with whom they have entered into

partnerships. The inspection plans are designed to be largely uniform and to bring consistency to proactive test purchasing in those betting shops.

36.38 The PA scheme, does not, of course, transfer responsibility for the regulation of age restricted sales of gambling to PAs. The PA inspection plans have the potential to help gambling businesses achieve high standards while also providing for more efficient and consistent regulation. These arrangements underpin the primary objectives of the Act in relation to protecting children from gambling-related harm and preventing them from accessing gambling facilities. The regulatory frameworks for gambling and for PA are therefore complementary.

Prosecutions

36.39 The Act gives licensing authorities in England and Wales, the police and the Commission the power to prosecute the offence of using premises for gambling without the requisite permissions. In exceptional circumstances, such as repeated deliberate breaches of premises licence conditions, licensed operators or permit holders may be prosecuted without any prior regulatory action, such as warnings, suspension or revocation of licence or removal of permit. Most prosecutions will be against those illegally providing gambling without a licence or permit.

36.40 In Scotland, licensing authorities are not able to institute criminal proceedings themselves, but are to refer cases where there has been a breach of the Act to the police for further consideration by the Crown Office and Procurator Fiscal Service ([opens in new tab](#)).

36.41 Normally the Commission or the licensing authority would decide when to involve the police, rather than the police initiating any action. The Commission considers that examples of scenarios where the police should be involved include:

- when non-gambling offences are discovered, for example large-scale theft or other serious crime which extends beyond the reach of licence conditions
- assistance with Commission investigations, for example enquiries into other criminal activity.

36.42 There is a distinction between those who conduct gambling operations under a licence or permit but breach the conditions of that, and those who seek to profit from providing facilities for gambling without a licence or permit. While both situations result in unlawful gambling, the latter situation is generally considered by the Commission to be more serious.

Other powers

36.43 Licensing authorities may want to consider whether their officers have powers under other relevant legislation, such as the Licensing Act 2003 ([opens in new tab](#)) or Local Government Act 1972 ([opens in new tab](#)). For example, s.87, s.88 and s.89 of the Licensing Act 2003 ([opens in new tab](#)) give licensing authorities the ability to review club premises certificates, including suspending and withdrawing certificates, and s.90 allows licensing authorities to withdraw certificates where it appears to the licensing authority that the club does not satisfy the conditions for being a qualifying club.

36.44 There are various local authority and police powers to manage issues such as street drinking and anti-social behaviour, and licensing authorities should look to these powers in the first instance as being more appropriate remedies than the Act.

36.45 Whilst of limited use due to the absence of a central database and the ability to share information with other authorities, licensing authorities may wish to consider the use of police cautions as a deterrent.

Case law, templates and case studies

36.46 Supplementary enforcement and compliance materials are available on the Commission's website including case law, sample conditions, letter templates and examples of circumstances in which LAs have made effective use of their powers under the Act in the LA Toolkit.

Appendix A: Summary of machine provisions by premises

Premises type	Machine category						
	A	B1	B2	B3	B4	C	D
Large casino (machine/table ratio of 5-1 up to maximum)	Maximum of 150 machines Any combination of machines in categories B to D (except B3A machines), within the total limit of 150 (subject to machine/table ratio)	Maximum of 150 machines Any combination of machines in categories B to D (except B3A machines), within the total limit of 150 (subject to machine/table ratio)	Maximum of 150 machines Any combination of machines in categories B to D (except B3A machines), within the total limit of 150 (subject to machine/table ratio)	Any combination of machines in categories B to D (except B3A machines), within the total limit of 150 (subject to machine/table ratio)	Any combination of machines in categories B to D (except B3A machines), within the total limit of 150 (subject to machine/table ratio)	Any combination of machines in categories B to D (except B3A machines), within the total limit of 150 (subject to machine/table ratio)	Any combination of machines in categories B to D (except B3A machines), within the total limit of 150 (subject to machine/table ratio)
Small casino (machine/table ratio of 2-1 up to maximum)	Maximum of 80 machines Any combination of machines in categories B to D (except B3A machines), within the total limit of 80 (subject to machine/table ratio)	Maximum of 80 machines Any combination of machines in categories B to D (except B3A machines), within the total limit of 80 (subject to machine/table ratio)	Maximum of 80 machines Any combination of machines in categories B to D (except B3A machines), within the total limit of 80 (subject to machine/table ratio)	Maximum of 80 machines Any combination of machines in categories B to D (except B3A machines), within the total limit of 80 (subject to machine/table ratio)	Any combination of machines in categories B to D (except B3A machines), within the total limit of 80 (subject to machine/table ratio)	Any combination of machines in categories B to D (except B3A machines), within the total limit of 80 (subject to machine/table ratio)	Any combination of machines in categories B to D (except B3A machines), within the total limit of 80 (subject to machine/table ratio)

	Machine category					
	80 (subject to machine/table ratio)	80 (subject to machine/table ratio)	80 (subject to machine/table ratio)	machine/table ratio)	machine/table ratio)	machine/table ratio)
Pre-2005 Act casino (no machine/table ratio)	Maximum of 20 machines categories B to D (except B3A machines), or any number of C or D machines instead	Maximum of 20 machines categories B to D (except B3A machines), or any number of C or D machines instead	Maximum of 20 machines categories B to D (except B3A machines), or any number of C or D machines instead	Maximum of 20 machines categories B to D (except B3A machines), or any number of C or D machines instead	Maximum of 20 machines categories B to D (except B3A machines), or any number of C or D machines instead	Maximum of 20 machines categories B to D (except B3A machines), or any number of C or D machines instead
Betting premises and tracks occupied by pool betting		Maximum of 4 machines categories B2 to D (except B3A machines)	Maximum of 4 machines categories B2 to D (except B3A machines)	Maximum of 4 machines categories B2 to D (except B3A machines)	Maximum of 4 machines categories B2 to D (except B3A machines)	Maximum of 4 machines categories B2 to D (except B3A machines)
Bingo premises ¹			Maximum of 20% of the total number of gaming machines which are available for use on the premises categories B3 or B4	Maximum of 20% of the total number of gaming machines which are available for use on the premises categories B3 or B4	Maximum of 20% of the total number of gaming machines which are available for use on the premises categories B3 or B4	No limit on category C or D machines
Adult gaming centre ²			Maximum of 20% of the total number of gaming machines which are available for use on the premises categories B3 or B4	Maximum of 20% of the total number of gaming machines which are available for use on the premises categories B3 or B4	Maximum of 20% of the total number of gaming machines which are available for use on the premises categories B3 or B4	No limit on category C or D machines
Licensed family entertainment centre ³						No limit on category C or D machines
Family entertainment						No limit on category D machines

Machine category			
centre (with permit) ³			
Clubs or miners' welfare institute (with permits) ⁴	Maximum of 3 machines in categories B3A or B4 to D	Maximum of 3 machines in categories B3A or B4 to D	Maximum of 3 machines in categories B3A or B4 to D
Qualifying alcohol-licensed premises			1 or 2 machines of category C or D automatic upon notification
Qualifying alcohol-licensed premises (with licensed premises gaming machine permit)			Number of category C-D machines as specified on permit
Travelling fair			No limit on category D machines

Appendix B: Summary of gaming machine categories and entitlements

Category of machine	Maximum stake (from April 2019)	Maximum prize (from Jan 2014)
A	Unlimited – No category A gaming machines are currently permitted	Unlimited – No category A gaming machines are currently permitted
B1	£5	£10,000 [†]
B2	£2	£500
B3A	£2	£500
B3	£2	£500
B4	£2	£400

Category of machine	Maximum stake (from April 2019)	Maximum prize (from Jan 2014)
C	£1	£100
D – non-money prize	30p	£8
D – non-money prize (crane grab machines only)	£1	£50
D – money prize	10p	£5
D – combined money and non-money prize	10p	£8 (of which no more than £5 may be a money prize)
D – combined money and non-money prize (coin pusher or penny falls machines only)	20p	£20 (of which no more than £10 may be a money prize)

Appendix C: Summary of gaming entitlements for clubs and alcohol-licensed premises

	Members' club or MW institute with club gaming permit	Clubs established to provide facilities for gaming of a prescribed kind (currently bridge or whist clubs)	Members' club or commercial club with club machine permit	Members' club, commercial club or MW institute without a club gaming permit or club machine permit	Pubs and other alcohol-licensed premises
Equal chance gaming	Yes	Bridge and/or Whist only	Yes	Yes	Yes
Limits on stakes	No limit	No limit	Poker £1000 / week £250 / day £10 /person per game Other gaming No limit	Poker £1000 / week £250 / day £10 /person per game Other gaming No limit	Poker £100 / premises per day Other gaming £5 / person per game Cribbage &

	Members' club or MW institute with club gaming permit	Clubs established to provide facilities for gaming of a prescribed kind (currently bridge or whist clubs)	Members' club or commercial club with club machine permit	Members' club, commercial club or MW institute without a club gaming permit or club machine permit	Pubs and other alcohol-licensed premises
					dominoes No limit
Limits on prizes	No limit	No limit	Poker £250 / game Other gaming No limit	Poker £250 / game Other gaming No limit	Poker £100 / game Other gaming No limit
Max participation fees – per person per day	Bridge/whist[†] £20 Other gaming £3	£18 (without club gaming permit) £20 (with club gaming permit)	Bridge/whist[†] £18 Other gaming £3 (for a commercial club) £1 (members' club)	Bridge/whist[†] £18 Other gaming £1	None permitted
Bankers/unequal chance gaming	Pontoon Chemin de fer	None permitted	None permitted	None permitted	None permitted
Limits on bingo^{††}	Maximum of £2,000 / week in stakes or prizes.	No bingo permitted	Maximum of £2,000 / week in stakes or prizes.	Maximum of £2,000 / week in stakes or prizes.	Maximum of £2,000 / week in stakes or prizes.

Appendix D: Summary of offences under the Gambling Act 2005

General offences regarding the provision of gambling facilities

Providing gambling facilities in Great Britain without a relevant licence, permit, notice, or exemption included under the Act.	S.33
Using premises to provide gambling facilities from, or causing them to be provided, without a relevant licence, permit, notice or exemption under the Act.	S.37

Offence regarding cheating at gambling

Cheating, attempting to cheat, or assisting another person to cheat at gambling.	S.42
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Offences committed towards or by under-18s

Inviting, causing or permitting a child (under 16) or young person (16 – 17) to gamble, with the exception of:	
<ul style="list-style-type: none"> • private / non-commercial gaming and betting • participating in lotteries • participating in football pools • using a category D gaming machine • participating in equal chance gaming at premises subject of a prize gaming permit or an FEC premises licence • participating in prize gaming at a fair or an unlicensed FEC 	
	S.46
	S.48

This offence includes intentional distribution of advertising to under-18s where the intent is to encourage gambling.

It is also an offence on the part of a young person to gamble with the exception of situations listed above.

Inviting or permitting a child or young person to enter:

<ul style="list-style-type: none"> • a casino • a betting premises (except for betting areas of horse and greyhound tracks on race days) • an adult gaming centre • areas of a family entertainment centre where category C gaming machines are situated. 	<p>S.47</p> <p>S.49</p>
<p>This offence is committed at all times when the premises listed above are being used in reliance on the premises licence.</p> <p>It is also an offence on the part of a young person to enter the premises listed above.</p>	
<p>Young person providing facilities for gambling, with the exception of:</p> <ul style="list-style-type: none"> • private / non-commercial gaming and betting • a lottery • football pools • prize gaming at a travelling fair. 	<p>S.50</p>
<p>Employing a child or young person to provide gambling facilities, with the exception of providing the following facilities:</p> <ul style="list-style-type: none"> • private / non-commercial gaming and betting • prize gaming at a travelling fair. 	<p>S.51</p> <p>S.52</p>
<p>Employing a child to provide facilities in connection with:</p> <ul style="list-style-type: none"> • a lottery • football pools. 	
<p>Employing a child for any purposes when bingo is provided or gambling provided in accordance with a club gaming permit or club machine permit.</p>	<p>S.53</p>
<p>Employing a child or young person to perform any function connected to a gaming machine.</p> <p>It is also an offence on the part of a young person if they are employed in such a role</p>	<p>S.54</p>
<p>Employing a child or young person in a casino, an adult gaming centre, or at a betting premises, unless it is at a time when no activity is being carried on in reliance on the premises licence.</p> <p>It is also an offence on the part of a young person if they are employed in such a role.</p>	<p>S.55</p>
<p>Inviting, causing or permitting a child to take part in football pools or a lottery with the exception of:</p> <ul style="list-style-type: none"> • an incidental lottery • an private lottery • part of the National Lottery. 	<p>Sections 56 and 57</p>
<p>Failure to comply with an operating licence condition to return stake to a child or young person.</p>	<p>S.58</p>

Offence regarding cheating at gambling

Failure to comply with an operating licence condition to return stake to a child or young person.	S.58
Failing without reasonable excuse to notify the Commission of change in circumstances.	S.101
Licensee failing without reasonable excuse to produce their operating licence when requested by a police officer or enforcement officer.	S.108
Licensee failing to notify the Commission without reasonable excuse and as soon as reasonably practicable about conviction of an offence.	S.109
Licensee failing to notify the court upon conviction of a relevant offence that they are an operating licence holder.	S.109
Licensee failing without reasonable excuse to produce records for the Commission relating to operating licensed activities or information about licensed activities.	S.122
Operating licence holder fails without reasonable excuse to produce the authorisation they have given to someone to accept bets on their behalf, when asked to do so by a police officer or enforcement officer.	S.316
This offence can also apply to the person that has been authorised to accept bets.	

Offences connected to personal licences

Failure without reasonable excuse to produce a personal licence to a police officer or enforcement officer.	S.134
Licensee failing to notify the Commission as soon as reasonably practicable about a conviction of offence.	S.138
Licensee failing to act within the terms and conditions of their licence/	S.139

General offences connected to all premises licences

	S.185
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Licensee failing without reasonable excuse to keep premises licence on premises and make available for inspection to a police officer, enforcement officer or authorised person.	
Licensee failing to notify without reasonable excuse the licensing authority about change of residential address or other details on the licence.	S.186

Offences connected to temporary use notices

Failure of premises licence holder to without reasonable excuse prominently display or make available their temporary use notice to a police officer, customs and excise officer, enforcement officer or licensing authority officer.	S.229
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Offences connected to lotteries

Making a gaming machine available for use without a relevant licence or permit, or in contravention of regulations made under s.240 of the Act (SI No 2007/2319).	S.242
Manufacturing, supplying, installing, adapting, maintaining, or repairing a gaming machine without a suitable operating licence, unless: <ul style="list-style-type: none"> the gaming machine is scrap with no commercial value the gaming machine is incidental to the sale/letting of previously-licensed property. 	S.243
Supplying, installing, adapting, maintaining or repairing a gaming machine (or part of) without complying with regulations made under s.241 of the Act (SI: No. 2007/2320), unless <ul style="list-style-type: none"> the gaming machine is scrap with no commercial value the gaming machine is incidental to the sale/letting of previously-licensed property. 	S.243
Supplying, installing or making available for use a gaming machine allowing payment by credit card.	S.245

Offences connected to lotteries

The offences listed here do not apply to lotteries or products forming part of the National Lottery, which are dealt with under the National Lottery etc. Act 1998 (opens in new tab) rather than the Gambling Act 2005 (opens in new tab). Police enquiries regarding offences connected to the National Lottery should be directed to the Commission.

Promoting a non-exempt lottery without a suitable operating licence or on behalf of someone with a suitable operating licence.	S.258
Facilitating a non-exempt lottery without holding a suitable operating licence (where facilitating includes functions such as advertising and printing tickets and promotional materials).	S.259
Misusing profits from a lottery, ie using them or causing them to be used for purposes other than the advertised purpose of the lottery.	S.260
Misusing profits from an incidental lottery, a private society lottery, a work lottery, a residents' lottery or a small society lottery.	S.261
A non-commercial society promoting a lottery without being registered with a licensing authority, or failing to provide the licensing authority with returns (or providing false returns) following a small society lottery.	S.261

Offence connected to bingo played in clubs and institutes

Failing without reasonable excuse to inform the Commission of periods of high turnover bingo if the club or institute does not hold an operating licence (high turnover bingo being where the stakes or prizes of all games of bingo played in a seven day period exceed £2,000).	S.275
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Offence connected to use of proceeds from gaming at non-commercial events

Using the profits (or permitting them to be used) from non-commercial prize gaming or equal chance gaming for a purpose other than that specified as the fund-raising purpose of the gaming.	S.301
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Offence connected to casino premises licences

Failure on the part of the casino premises licence holder to produce upon demand (by a police officer or enforcement officer) the authorisation they have given to someone to provide bingo or betting facilities at the casino in question.

S.316

This offence can also be committed by the individual or organisation authorised by the casino premises licence holder if they fail to produce the authorisation.

Offence of obstructing or failing to co-operate during an inspection

Obstructing or failing to cooperate without reasonable excuse with a police officer, enforcement officer or authorised person carrying out inspection activity under Part 15 of the Act.

S.326

Offence of providing false or misleading information

Providing false or misleading information to the Commission or a licensing authority regarding any provision of the Act.

S.342

Offences connected to advertising of gambling facilities

Contravention of any regulations relating to gambling advertising. (Nb the Secretary of State for Culture, Media and Sport has chosen not to exercise their reserve powers to make such secondary legislation at this time).	S.328
Knowingly advertising unlawful gambling without reasonable belief otherwise.	S.330
Advertising foreign gambling facilities other than lotteries (in accordance with regulations SI: 2007/2329).	S.331

Offence of failing to comply with a forfeiture order

Failure to comply with a court's forfeiture order to surrender named materials to a police officer, or co-operate with steps to comply with the order.	S.345
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Offence connected to unlicensed family entertainment centres

Occupier of premises failing without reasonable excuse to produce their family entertainment centre gaming machine permit for a police officer, enforcement officer or authorised officer.	Schedule 10 (20)
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Offences connected to club gaming and club machine permits

Failing without reasonable excuse to produce a club gaming permit or club machine permit for a police officer or enforcement officer.	Schedule 12 (13)
Failure without reasonable excuse to have club gaming or club machine permits varied by the licensing authority as soon as practicable upon a change of circumstances.	Schedule 12 (15)

Offence connected to alcohol licensed premises gaming machine permits

Failure without reasonable excuse to produce a licensed premises gaming machine permit upon the request of a police officer, enforcement officer or authorised person.	Schedule 13 (10)
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Offence connected to prize gaming permits

Failure without reasonable excuse to produce a prize gaming permit upon the request of a police officer, enforcement officer or authorised person.	Schedule 14 (20)
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Offence connected to gambling software

Manufacturing, supplying, installing or adapting gambling software without holding a relevant operating licence.	S.41
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Offence connected to chain-gift schemes

Inviting another person to join chain-gift schemes or participating in the promotion of chain-gift schemes.	S.43
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Appendix E: Summary of statutory application forms and notices

These forms are available in the forms section of the website.

List of prescribed forms

Application

Application for a premises licence under the Gambling Act 2005 (standard form)
Application for a premises licence under the Gambling Act 2005 (vessel)
Notice of application for a premises licence under the Gambling Act 2005 (to be published)
Notice of application for a premises licence (Form A) (for responsible authorities)
Notice of application for a premises licence (Form B) (for responsible authorities)
Summary of the Terms and Conditions of a premises licence
Premises licence
Notice of a grant of an application for a premises licence
Annex A – form to accompany notice of grant (conditions to be attached)
Annex B – form to accompany notice of grant (conditions to be excluded)
Annex C – form to accompany notice of grant (representations)
Notice of rejection of an application for a premises licence

Variation

Application to vary a premises licence under the Gambling Act 2005
Notice of Application to vary a premises licence under the Gambling Act 2005 (to be published)
Notice of Application to vary a premises licence (Form A) (for responsible authorities)
Notice of Application to vary a premises licence (Form B) (for responsible authorities)
Notice of grant of an application to vary a premises licence
Annex A – form to accompany notice of grant (conditions to be attached)
Annex B – form to accompany notice of grant (conditions to be excluded)
Annex C – form to accompany notice of grant (representations)
Notice of rejection of an application to vary a premises licence

Review

Application for a review of a premises licence under the Gambling Act 2005

Notice of application for a review of a premises licence under the Gambling Act 2005

Notice of application for a review of a premises licence (to the premises licence holder and responsible authorities)

Notice of intention to hold a review of a premises licence under the Gambling Act 2005

Notice of intention to hold a review of a premises licence (to the premises licence holder)

Notice of the decision on a review of a premises licence

Provisional

Application for a provisional statement under the Gambling Act 2005 (standard form)

Notice of application for a provisional statement under the Gambling Act 2005

Application for a provisional statement under the Gambling Act 2005 (vessel)

Notice of application for a provisional statement (Form A) (for responsible authorities)

Notice of application for a provisional statement (Form B) (for responsible authorities)

Provisional statement

Notice of grant of an application for a provisional statement

Annex A – form to accompany notice of grant (conditions to be attached)

Annex B – form to accompany notice of grant (conditions to be excluded)

Annex C – form to accompany notice of grant (representations)

Notice of rejection of an application for a provisional statement

Transfer

Application to transfer a premises licence under the Gambling Act 2005

Notice of application to transfer a premises licence (Form A) (for responsible authorities)

Notice of application to transfer a premises licence (Form B) (for responsible authorities)

Summary of terms and conditions of a premise licence

Premises Licence

Notice of grant of an application to transfer a premises licence

Annex A – form to accompany notice of grant (conditions to be attached)

Annex B – form to accompany notice of grant (conditions to be excluded)

Annex C – form to accompany notice of grant (representations)

Notice of rejection of an application to transfer a premises licence

Reinstatement

Application for the reinstatement of a premises licence under the Gambling Act 2005

Notice of application of the reinstatement of a premises licence (Form A)

Notice of application of the reinstatement of a premises licence (Form B)

Summary of terms and conditions of a premise licence

Premises Licence

Notice of grant of an application for the reinstatement of a premises licence
 Annex A – form to accompany notice of grant (conditions to be attached)
 Annex B – form to accompany notice of grant (conditions to be excluded)
 Annex C – form to accompany notice of grant (representations)
 Notice of the rejection of an application for the reinstatement of a premises licence

Temporary Use Notices

Gambling Act 2005 – Temporary Use Notice (for premises other than vessels)
 Gambling Act 2005 – Temporary Use Notice (vessel)
 Counter Notice (given in response to a temporary use notice)

Permits /lottery

Application Form for Club Gaming Permit or Club Machine Permit
 Registration of Small Society Lotteries (Application form for registration of non commercial society)
 Club Gaming Permit
 Club Machine Permit
 Prize Gaming Permit
 Family Entertainment Centre Gaming Machine Permit
 Licensed Premises Gaming Machine Permit

Appendix F: Inspection powers

- PO - Police Officer
- EO - Enforcement Officer
- AP - Authorised Person
- LAAP - Licensing Authority Authorised Person

Section of Act	Classes of person	Premises to which the inspection power applies	Purpose for which inspection power is available
S.307 Inspection of gambling	PO, EO, AP	Reasonable suspicion of provision at premises of gambling other than private and non-commercial gaming or betting	1. Whether gambling facilities are/have been provided 2. Whether there is an operating licence or premises licence 3. Whether there is compliance with licence conditions
	PO, EO	Reasonable belief premises used by operating licensed holder for	Whether there is compliance with licence conditions

Section of Act	Classes of person	Premises to which the inspection power applies	Purpose for which inspection power is available
S.308 Operating licence holders		purpose connected with licensed activities	
S.309 Family Entertainment Centres	PO, EO, LAAP	Premises for which an application for a family entertainment centre gaming machine permit has been made	<ol style="list-style-type: none"> 1. A purpose connected with consideration of the application 2. For determining whether gaming machines comply with the Act and the Regulations
S.310(1) Premises licensed for alcohol	EO, LAAP	Premises licensed for the supply of alcohol	A purpose connected with consideration of the application
S.310(2) Premises licensed for alcohol	PO, EO, LAAP	Premises licensed for alcohol for consumption on the premises	<ol style="list-style-type: none"> 1. whether gaming satisfies conditions under S179 for exempt gaming 2. whether there is compliance with any operating licence conditions where bingo is played 3. whether high turnover bingo is played under s181 4. the number and category of gaming machines available for use
S.311 Prize gaming permits	PO, EO, LAAP	Premises for which an application for a prize gaming permit has been made	<ol style="list-style-type: none"> 1. A purpose connected with consideration of the application 2. For determining whether gaming machines comply with the Act and the Regulations
S.312(1)-(3) Clubs	PO, EO	Premises reasonably believed to be a members' club, commercial club or miners welfare institute	<ol style="list-style-type: none"> 1. whether gaming is or is about to take place 2. whether any gaming accords with a club gaming permit, club machine permit or exempt gaming provision under s169
S.312(4) Clubs	LAAP	Premises for which an application for a club gaming permit or club machine permit has been made	A purpose connected with consideration of the application
S.313(1) Licensed premises	PO, EO, AP	Premises for which an application for a premises licence has been made	Assess likely effects of activities on licensing objectives

Section of Act	Classes of person	Premises to which the inspection power applies	Purpose for which inspection power is available
S.313(2) Licensed premises	PO, EO, AP	Premises for which a premises licence is in force	A purpose connected with a premises licence review under s201
S.314 Registered society lotteries	EO, LAAP	Premises owned or used by a (non-commercial) society registered with a local authority for exempt lotteries	Enquiries in connected with a lottery promoted on behalf of the society
S.315(1) Temporary use notice	PO, EO, AP	Premises for which a temporary use notice has effect	Assess likely effectiveness of activities on licensing objectives
S.315(2) Temporary use notice	PO, EO, AP	Premises for which a temporary use notice has effect	Whether activities accord with the temporary use notice

Appendix G: Licensing authority delegations

Summary of licensing authority delegations permitted under the Gambling Act, applicable to England and Wales only

Matter to be dealt with	Full Council	Sub-committee of licensing committee	Officers
Final approval of the Licensing Authority statement of policy	X		
Policy not to permit casinos	X		
Fee setting (when appropriate)		X (if delegated by full council)	

Matter to be dealt with	Full Council	Sub-committee of licensing committee	Officers
Application for premises licences		X Where representations have been received and not withdrawn	X Where no representations received/representations have been withdrawn
Application for a variation to a licence		X Where representations have been received and not withdrawn	X Where no representations received/representations have been withdrawn
Application for a transfer of a licence		X Where representations have been received from the Commission or responsible authority	X Where no representations have been received from the Commission or responsible authority
Application for a provisional statement		X	X
Review of a premises licence		X	
Application for club gaming/club machine permits		X Where objections have been made and not withdrawn	X Where no objections have been made and not withdrawn
Cancellation of club gaming/club machine permits		X	
Applications for other permits			X
Cancellation of licensed premises gaming machine permits			X
Consideration of temporary use notice			X
Decision to give a counter notice to a temporary use notice		X	

X indicates the lowest level to which decisions can be delegated

Appendix H: Poker games and prizes

The overall winner wins the pot in each game and wins an overall prize based on points

If the tournament winner played three games in the whole tournament, and his winnings (from the pot) in each of these games were £100, £70 and £60 respectively, each game would fall under the £100 prize limit. This would leave £0 from the first game, £30 from the second game and £40 from the third game, which could be put towards the winner's overall tournament prize. In these circumstances, the tournament prize could be up to £70 (£0 + £30 + £40). Thus where the pot in individual games is under £100, the tournament winner's overall prize must not exceed the aggregate of the shortfall in each of the games he plays.

The overall winner is only awarded points in each game and wins an overall prize based on points

Let's still assume that the tournament winner plays three games in the whole tournament. If there is no individual prize in any of the three games, then the overall prize can be up to £300 (£100 for each game the winner has played). If, on the other hand, the winner played in only two games, then his overall prize may not exceed £200, and so on. Please note that the relevant number of games is the games in which the winning player participated, and not only the games that they won.

Organisers of such competitions will therefore need to work out the total value of any overall prize with reference to the number of games to be played by the overall winner and the total pot (if any) in each game.

While 'non-cash' poker for points leagues can provide harmless and legal entertainment, those promoting such leagues should be aware of the Commission's code of practice on equal chance gaming, and take

steps to prevent individual stakes limits being exceeded through side bets or illegal activity such as agreements to 'settle' games outside the gaming area. Where illegal activity is detected, licensing authorities should consider the removal of the alcohol licensed premises' exemption, which allows poker and other exempt gaming to be played.

The overall winner is only awarded points in each game and wins an overall prize such as the opportunity to participate in a major poker tournament, casino vouchers, holidays etc

In these circumstances, tournament organisers must ensure that the statutory limits for poker in alcohol licensed premises and clubs are complied with. In particular, they must carefully consider the value of the prizes offered for games leading up to the tournament final (including money's worth or non-monetary prizes such as holidays, cars, casino vouchers, or buy-ins or seats at the final). In addition, organisers should take into account that where players are competing across premises for an overall prize, they are likely to be engaged in linked gaming, which is not permitted.

Free or donated prizes are awarded to players in addition to the maximum prize pools for poker in clubs and alcohol licensed premises

The Act refers to money or money's worth in respect of prizes. This would include free or donated prizes which have an intrinsic value. Any prizes offered in addition to the prize pool must remain within the limits for prizes in games of poker in clubs and alcohol licensed premises. The prize limit is £250 per game in a club and £100 per game in a pub. Therefore, for example, if the prize pool available for a particular game is £80, then any non-monetary prizes must not have a value exceeding £20.

Poker is offered in a members' club or miners' welfare institute with a club gaming permit

Members' clubs or miners' welfare institutes with club gaming permits may offer poker with unlimited stakes and prizes, but the only persons who may participate in such gaming are club members and their genuine guests. In this regard, the club must be able to demonstrate that it has a genuine and legitimate club membership scheme. Clubs must also ensure that the statutory limits on participation fees are not exceeded. The limit for bridge and whist is £20 and for other gaming is £3. In addition, there is a limit of a maximum of £2,000 per week in stakes and prizes for bingo in a members' club or welfare institute. If it is the intention of the club or institute to exceed these limits, it will be necessary for them to apply for an operating licence.

What constitutes 'money's worth'?

Money's worth relates to the realistic value of the prize offered. It includes emoluments, vouchers, goods or other items which have a value. A prize such as a 'goody bag' would be considered money's worth and is, therefore, subject to the statutory limits for exempt gaming. Donated prizes would also be considered money's worth. This would include prizes such as the buy-ins at major poker tournaments or the opportunity to participate in poker tournaments at venues such as Monte Carlo, especially as this type of prize is likely to include the cost of the airfare and accommodation.

Appendix I: Glossary of terms

Term	Meaning
The Act	The Gambling Act 2005 (opens in new tab)
AGCs	Adult Gaming Centres
ATM	Automated telling machine
AWP	Amusement with prizes
CCTV	Closed Circuit Television

Term	Meaning
The Commission	The Gambling Commission
COSLA	Convention of Scottish Local Authorities
DCLG	Department of Communities and Local Government
DCMS	Digital Culture Media and Sport (opens in new tab)
EBT	Electronic Bingo Terminal
ELM	External lottery manager
FCA	Financial Conduct Authority (opens in new tab)
FECs	Family Entertainment Centres
Guidance	Guidance to Licensing Authorities, issued by the Commission under S.25 of the Gambling Act 2005 (opens in new tab)
HRA 1998	Human Rights Act 1998 (opens in new tab)
IOL	Institute of Licensing (opens in new tab)
LACE	Local Authority Compliance Events
LBO	Licensed betting office
LCCP	Licence Conditions and Codes of Practice
LGA	Local Government Association
LSO	Licensing Standards Officer
OC	Ordinary Code
OPSS	Office for Product Safety and Standards (opens in new tab)
OUN	Occasional use notices
Statement of policy	Licensing Authority's statement of licensing policy published under S.349 of the Gambling Act 2005 (opens in new tab)
PA	Primary Authority
SIA	Security Industry Authority
SOLAR	Society of Local Authority Lawyers and Administrators
SR code	Social Responsibility code
SSBT	Self-service betting terminal
SSL	Small society lotteries
SWP machines	Skill with prizes machines
TUN	Temporary use notices
uFECs	Unlicensed Family Entertainment Centres
VBT	Video bingo terminals
WLGA	Welsh Local Government Association (opens in new tab)