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**North East Lincolnshire Council**

**Guidance on undertaking a Local Area Risk**

**Assessment and Local Area Profile for NEL**

**Gambling Act 2005**

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1. **Introduction and Background**
   1. North East Lincolnshire Council is a Licensing Authority under the Gambling Act 2005 and is responsible for considering and determining applications for premises licences offering facilities for gambling within North East Lincolnshire along with ensuring compliance by those premises with the Act.
   2. The Act contains three licensing objectives which guide the way that the Licensing Authority performs its functions and that gambling operators carry on their activities. These are:
2. Preventing gambling from being a source of crime and disorder, being associated with crime or disorder or being used to support crime.
3. Ensuring that gambling is conducted in a fair and open way.
4. Protecting children and other vulnerable persons from being harmed or exploited by gambling.
   1. The advice contained within the Act is that Local Authorities 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; and
* In accordance with the authority’s statement of licensing policy.
  1. The Gambling Commission (the Commission) is responsible for issuing operating licences to gambling operators who are deemed suitable and competent to provide facilities for gambling. As a requirement of these operating licences, operators must ensure that they comply with and meet the requirements of the Gambling Commissions’ Operating Licence Conditions and Codes of Practice (LCCP).
  2. More recently, there have been some changes in the recommended approach to gambling licensing and regulation. These changes can be summarised into three broad themes:
* Increased focus on risk and regulation
* Greater attention to local area risk, and;
* Encouragement of partnership and collaboration between stakeholders to mitigate risk
  1. In 2015 there was a shift in Gambling Commission policy to a risk based approach to considering the potential impacts that gambling premises may have on the licensing objectives under the Gambling Act 2005. The Commission introduced a new social responsibility code provision making it a requirement of their LCCP as of 6th April 2016 for gambling operators to assess the local risks to the licensing objectives posed by the provision of gambling facilities at each of the premises, and have policies, procedures and control measures in place to mitigate those risks. The Commission also introduced an ordinary code provision relating to sharing local risk assessments.
  2. The introduction of the new social responsibility codes encourages Local Authorities, the Commission and the gambling industry to work in partnership to address local issues and concerns.
  3. North East Lincolnshire Council has developed this guidance to assist gambling operators in undertaking and preparing their local area risk assessments. This guidance provides a framework for the local risk assessment process that will provide a uniform approach across all relevant non-remote premises within North East Lincolnshire. This will benefit the Council as Licensing Authority under the Act, as well as responsible authorities and interested parties when considering new and variation gambling premises applications. The local risk assessments will also enable the Licensing Authority to continue the establishment of a more progressive compliance inspection regime.

1. **What is a Local Area Profile?** 
   1. The Gambling Commission suggests that licensing authorities might 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. The Commission refers to these assessments as local area profiles.
   2. The objective of an effective local area profile is to increase awareness of local risks and improve information sharing, to facilitate constructive engagement with licensees and a more coordinated response to local risks. The local area profile aims help to inform specific risks that operators will need to address in their risk assessment, which will form a part of any new licence application, or an application to vary a licence.
   3. A local area profile is an assessment of the key characteristics of NELC in the context of gambling-related harm. The information obtained for the assessment helps to provide a better understanding of the types of people that are at risk of being vulnerable to gambling-related harm; where they are located and any current or emerging problems that may increase that risk. The Profile allows us to set out our expectations of operators of gambling premises.
2. **Creating NELC’s Profile**
   1. Although completion of a local area profile is not a requirement on licensing authorities, NELC appreciates there are significant benefits for both the licensing authority and operators, in having a better awareness of the local area and risks:

* 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.
  1. It is for licensing authorities to determine whether to include a local area profile within the body of their policy statement or separately.
  2. The approach this Licensing Authority has taken is to include reference to this document in our Statement of Gambling Principles so that a number of key requirements regarding local risks and local area risk assessments can be a consideration for local gambling regulation in the context of s.153 of the Act. The profile has been produced as appendices to the Statement of Principles for Gambling issued under section 349 of the Gambling Act 2005 and following recommendations of the Gambling Commission and Local Government Association. This will allow the profile to be reviewed and updated separately from the policy statement and therefore without the need for full consultation, enabling it to be updated on a regular basis as required to reflect changes to the local environment.
  3. Every effort has been made to ensure this document is both comprehensive and accurate, however in an attempt to simplify the law, some omissions may have been made. You should refer to the Gambling Act 2005 and associated regulations for full details of the law. In addition, it is strongly recommended that you seek you own independent legal advice with regards to the matters raised in this guidance.

1. **Format and Approach**
   1. There is no prescriptive template for a local area profile, as each assessment should be influenced by local circumstances. An effective profile should draw upon the knowledge and expertise of responsible authorities and be updated on a regular basis to reflect changes to the local environment.
   2. The approach this Licensing Authority has taken is to split the Local Profile into 2 distinct parts, the first part based around a narrative and the second part based around statistical information and maps.
      1. Part 1 is split into two sections. Section A sets out the Authorities’ expectations in relation to how risk assessments should be set out including guidance on when they must be carried out, who should do them, when they should be reviewed and how they should be shared with the Licensing Authority. Section B provides guidance on what to include in the risk assessment, focussing on particular risks to consider, depending on local factors specific to the premises being risk-assessed.
      2. Part 2 provides a general profile of North East Lincolnshire including locations of specific types of businesses, organisations and other relevant amenities along with statistics relevant to the risks identified in Part 1 of the Profile.
   3. Every effort has been made to ensure this document is both comprehensive and accurate, however in an attempt to simplify the law, some omissions may have been made. You should refer to the Gambling Act 2005 and associated regulations for full details of the law. In addition, it is strongly recommended that you seek you own independent legal advice with regards to the matters raised in this guidance.

**PART 1 – SECTION A**

1. **Gambling Local Area Risk Assessments**
   1. **What is a Local Area Risk Assessment?**

The basic principle of a local area risk assessment is that it is an assessment of the local risks to the licensing objectives posed by the provision of gambling facilities at premises licenced for such provision and should include relevant policies, procedures and control measures to mitigate risks identified. The following sections will expand upon this further.

* 1. **Requirement to carry out a Local Area risk Assessment**

Following substantial consultation with relevant stakeholders, the Gambling Commission introduced a new social responsibility code provision in February 2015 making it a requirement as of 6th April 2016 for certain gambling operators to assess the local risks to the licensing objectives posed by each of their premises based gambling operations. The Commission also introduced an ordinary code provision relating to sharing local risk assessments. The relevant provisions of the code state:

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| **Social responsibility code provision 10.1.1**  **Assessing local risk**  **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.**  ***This provision comes into force on 6 April 2016***  **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 licensing policy.  **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. |

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| **Ordinary code provision 10.1.2**  **Sharing local risk assessments**  **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**  ***This provision comes into force on 6 April 2016***  **1 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.**  These code provisions come into effect on 6th April 2016. As a result, all premises that provide facilities for gambling within North East Lincolnshire must be assessed to identify the local risks posed by the provision of gambling facilities in their respective locations. This guidance is intended to assist operators in complying with these code provisions. |

All premises that provide facilities for gambling within North East Lincolnshire must be assessed to identify the local risk posed by the provision of gambling facilities in their respective locations.

1. **Who must have a premises risk assessment in place?** 
   1. The local risk assessment code provisions place a requirement for a local risk assessment to be undertaken in respect of the following types of licenced gambling premises:

* Adult Gaming Centres (AGCs)
* Family Entertainment Centres (FECs)
* Non-Remote Betting premises
* Non-Remote Bingo premises
* Non-Remote Casino premises
* Remote betting intermediary (trading room only) licences (with some limited exceptions)
  1. In respect of remote betting intermediary (trading room only) licences, Gambling Operators are directed to the Gambling Commission’s website for further information on the relevant requirements as these licences are issued and enforced by the Gambling Commission rather than at Local Authority level.
  2. This Authority’s Gambling Policy also places an expectation on holders of unlicensed Family Entertainment Centre permits (uFEC’s) to undertake a risk assessment when applying for a new permit, and considers it best practice for the risk assessment to be updated following ‘significant changes’ (see s 3.4.1 below), though not all circumstances for review will apply. It accepts that risk assessments in respect of uFEC premises are not required to be as detailed as those produced in respect of the licenced gambling premises specified about and should instead be proportionate to the lower overall level of risk associated with premises covered by a permit. The main focus of uFEC risk assessments should be on issues such as children’s safeguarding. The below sections include specific references in relation to uFEC permitted premises where relevant.

1. **When must you do the risk assessment?**
   1. The local risk assessment code provisions provide a number of triggers for when a new assessment is required and for when an existing one requires review.
   2. Licensees must review, and update as necessary, their local risk assessments in the following circumstances:
      * 1. To take account of **significant changes in local circumstances**, including those identified in a Licensing Authority’s Statement of Licensing Policy;
        2. When there are **significant changes at a licensee’s premises** that may affect their mitigation of local risks;
        3. When applying for a **variation of a premises licence**; and,
        4. When applying for a **new premises licence**.
   3. The review of the premises risk assessment may not necessarily mean that any review action is required if the measures and systems already in place will mitigate any risk associated with that significant change. In this case licensees are strongly recommended to record that a review has taken place, why it had occurred and that no further action was required in order to maintain an appropriate audit trail so the licensee can demonstrate that action had been taken.
   4. The Gambling Commission has not provided any further detail on these triggers and it will be ultimately down to gambling operators, the Commission and the Licensing Authority to assess when these triggers have been met. In order to assist gambling operators this section sets out what the Licensing Authority’s views on what these triggers are in further detail.
      1. **Significant changes in local circumstances**

Licensees are required to review their local risk assessment if significant changes in local circumstances occur. Such changes can happen frequently and can be either temporary or permanent depending on the change, how long that change will remain in place and how it affects the local area. The requirement for review of the risk assessment is only applicable when that change is significant.

The following list sets out some examples of what the Licensing Authority considers to be significant changes in local circumstances:

* The local area is classified or declassified by the Licensing Authority as being an area of heightened risk within its Statement of Licensing Principles.
* Any substantial building development or conversion of existing premises in the local area which may increase or decrease the number of visitors to the premises. For example, where premises are converted to a local supermarket or a new office building is constructed nearby.
* Any substantial residential building development or any venue attractive to children and/ vulnerable persons with could lead to an increase in children and/or vulnerable persons in the area.
* Any new pay day loan or pawn brokers open in the local area.
* Changes are made to the provision, location and/or timings of public transport in the local area, such as a bus stop which is used by children to attend school is moved to a location in proximity to gambling premises or where London Underground services to a local station are extended later into the evening.
* Increase in provision of educational facilities in the local. For example, following construction of a new school/college or significant expansion /change in respect of an existing establishment.
* The local area is identified as a crime hotspot by the police and/or Licensing Authority.
* Any vulnerable group is identified by the Licensing Authority or venues relating to those vulnerable groups are opened in proximity to gambling premises (e.g. additional homeless hostels or gambling or mental health care/support facilities are opened in the local area).
* A new gambling premises opens in the local area.

The above list is not an exhaustive list of significant changes in local circumstances. The Licensing Authority may provide additional information to gambling operators from time to time when it feels a significant change has occurred in the local area.

It should be noted that it remains the responsibility of the operator to monitor what is happening in their local area and identify what changes may require a review and possible amendment to their risk assessment.

* + 1. **Significant changes at a licensee’s premises**

Where there is a significant change at the premises that may affect the mitigation of local risk, then the licensee must review, and if necessary update, the risk assessment for that premises, taking into account the change and how it may affect one or more of the licensing objectives.

It should be noted that the undertaking of a general refresh of the premises layout and/or décor is unlikely to prompt the requirement for a review of the risk assessment for that premises being undertaken if none of the below examples apply as a result of that refresh.

The following list sets out some examples of what the Licensing Authority considers to be significant changes to the premises:

* Any building work or premises refit where gambling facilities are relocated within the premises.
* The premises licence is transferred to a new operator who will operate the premises with its own procedures and policies which are different to those of the previous licensee.
* Any change to the operator’s internal policies which as a result requires additional or changes to existing control measures; and/or staff will require retraining on those policy changes.
* The entrance or entrances to the premises are changed, for example, the door materials are changed from metal with glazing to a full glass door or doors are reallocated from egress to ingress or vice versa.
* New gambling facilities are made available on the premises which were not provided previously, for example, bet in play, handheld gaming devices for customers, Self Service Betting Terminals, or a different category of gaming machine is provided.
* The premises operator makes an application for a licence at that premises to provide an activity under a different regulatory regime, for example, to permit the sale of alcohol or to provide sexual entertainment on the premises.

As with the examples of significant changes in local circumstances detailed above, the above is not an exhaustive list of significant changes in local circumstances and it remains the responsibility of the operator to deem whether any change that they are proposing to their premises is one that may be considered significant.

* + 1. **Variation of a premises licence**

Variations to premises licences are only those required to be made under section 187 of the Act and will not include changes of circumstances such as a Change of premises' name or a change of licensee's address, etc.

When preparing an application to vary the premises licence the operator must undertake a review of the local risk assessment and update it if necessary. Operators submitting a variation application to the Licensing Authority should provide a copy of the reviewed local risk assessment when submitting the application. This will negate the need for the Licensing Authority putting in a request to see a copy of the risk assessment and may potentially reduce the likelihood of a representation being made to the application.

* + 1. **New Premises Licence**

If an operator intends to apply for a new premises licence under Part 8 of the Act then a local risk assessment must be carried out. That assessment should be based on how the premises are proposed to operate at the premises location and must take into account the local area. The completed assessment should be provided with the application for a new premises licence upon submission to the Licensing Authority.

* + 1. **At Regular Intervals**

As a matter of best practice the Licensing Authority recommends that operators establish a regular review regime in respect of their local risk assessments to ensure that, regardless of whether or not any of the trigger events set out above have occurred, these risk assessments are considered at regular intervals and updated if necessary. The Licensing Authority strongly recommends the review and updating of risk assessments at regular intervals on an annual basis as a minimum, or as reasonably directed by the Council’s Licensing Team.

1. **Who should do the risk assessment?**
   1. It is the responsibility of the gambling operator responsible for the Premises Licence to assign an individual to undertake the assessment of the local risks for each of their premises. Failure to properly carry out this function could result in a breach of provisions of the LCCP, therefore the licensee will need to give consideration to the following when assigning an individual to carry out the risk assessment:
      * 1. That they are **‘suitably competent’**
        2. That they have an **understanding of the local area**
   2. In order to assist licenses, the below section sets out what the Licensing Authority’s expectations are in respect of the assessor being suitably competent and having an understanding of the local area.
      1. **Suitably Competent**

The person assigned as the assessor must be competent to undertake their role and must understand factors including how the premises operate or will operate, its design, and where it is located. Although there is no specific requirement that a single individual be assigned to undertake risk assessments for all premises under the responsibility of the licensee, it is strongly recommended that the same individual carries out the risk assessments for all premises within the remit of North East Lincolnshire and that consideration be given to ensuing a consistent approach to undertaking the risk assessment is taken.

* + 1. **Understanding of the Local Area**

The assessor will need to have an understanding of the local area. It is expected that branch staff are both aware of and engaged in the process. The assessor should use the knowledge of branch staff and/or area managers to assist in gaining a good understanding of local area specific to the premises.

1. **What are you expected to do?**
   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.
   2. In making risk assessments, licensees must take into account relevant matters identified in the Licensing Authority’s Statement of Licensing Policy.

Part 1 - Section B provides further, specific details on what to consider and include in the risk assessment.

1. **Who needs to see the risk assessment?**
   1. There is no statutory requirement for licensees to share risk assessments with responsible authorities or interested parties, however it is considered best practice. Therefore, the Licensing Authority will expect licensees to provide a copy of all new and updated local area risk assessments to North East Lincolnshire Council’s Licensing Team in order to maintain a partnership approach to responsible gaming.
   2. Licensees should share their local area risk assessments with the Licensing Authority when one of the triggers identified in Part 1, Section A, occurs, namely:
      * 1. When a local risk assessment has been reviewed following significant changes in local circumstances;
        2. When a local area risk assessment has been reviewed following significant changes at a licensee’s premises that may affect their mitigation of local risks;
        3. When applying for a variation of a premises licence;
        4. When applying for a (new) premises licence;
        5. At any other time when a local risk assessment has been reviewed and updated ie where no trigger applies but the risk assessment has been carried out a regular interval or on an annual basis.
        6. Otherwise on reasonable request by an authorised officer ie during a inspection / compliance check at the premises.
   3. A copy of the local area risk assessment should be provided in a suitable format (any Microsoft Office document) to the contact details as provided below. Where reasonably practicable, risk assessments should be provided in electronic format to ensure their safe and speedy receipt, however hard copies will be accepted where this is not possible.

Email: licensing@nelincs.gov.uk

Post: Licensing Section

North East Lincolnshire Council

Doughty Road Depot

Doughty Road

Grimsby

North East Lincolnshire

DN32 0LL

* 1. The Licensing Authority will also expect that a copy of the local risk assessment is kept on site at the individual premises it relates to. This can save time and expense as well as increasing the confidence of the relevant agencies as to the awareness of the licensees’ obligations.
  2. Staff at the premises should be involved in the formulation and subsequent review of the risk assessment, be aware of the content and be able to locate it for inspection on request by an authorised officer if required. Copies of risk assessments kept on site should be in such a format as to be immediately accessible by any member of staff on duty at the time of a licensing visit or inspection to allow for the risk assessment to be produced for inspection by the licensing officer on reasonable request.
  3. This Licensing Authority will review all risk assessments and may challenge any risk assessment if it feels there is evidence that local risks have not been taken into consideration.

**PART 1 - SECTION B**

1. **Guidance on what to include in a local area risk assessment**
   1. A local area risk assessment of gambling premises should be carried out through a step-by-step approach. The approach the Licensing Authority suggests is to first assess the local area and identify the relevant risks, then to assess the gambling operation and finally to assess the premises design, both internal and external. Once the relevant risk have been identified, consideration should be given to what control measures can be put in place to mitigate those risks. Some control measures may already be in place, while others may need to be implemented.
   2. The risk based approach provides a better understanding of risk and enables a proportionate response to it. This approach includes looking at future risks and thinking about risks in a problematic way. Risk is not necessarily related to an event that has happened but is related is the probability of an event happening and the likely impact of that event on the licensing objectives.
   3. Importantly, risk in this context includes potential and actual risks, thereby taking into account possible future emerging risks, rather than reflecting current risks only.
   4. The Licensing Authority has provided guidance below on what factors it expects the risk assessment to consider in order to assist licensees in producing an effective risk assessment.
   5. Further information on the format and structure of the risk assessment is discussed below.
2. **What must a risk assessment include?**
   1. The local area risk assessment process requires a broad range of considerations when identifying local risk. Operators must consider the local area in which the premises are situated, the gambling operation and the premises both internally and externally.
   2. This Authority will expect the local risk assessment to consider as a minimum:

* Local area risks
* Gambling operational risks
* Premises design risks
* Interior design risks
* Exterior design risks
* Control measures
* Licence conditions

The below sections detail examples of local risks that should be considered under each of the above heading. It should be noted that not all risks listed will be relevant to the type of gambling premises being risk assessed and not all risks will apply with regards to the premises being considered. It is also important to note that these lists are not exhaustive and the assessor may identify additional risks for consideration. Ultimately the responsibility to ensure all relevant risks are identified lies with the licensee.

* + 1. **Local Area Risks**

There are a number of factors relating to the local area that operators will need to consider which will extend much further than their business and anticipated customer. The extent of the local area with be different depending on the type of gambling premises as well as the size of its operation. Licensees should give consideration to their catchment area when considering local risks.

To assist in assessing the local area, the Licensing Authority has produced a profile for North East Lincolnshire, details of which can be found under Part 2 of this document.

Examples of these include the following:

* The socio-economic makeup of the area, such as age, ethnicity, etc.
* Indicators of deprivation ie high crime area or high unemployment area.
* Geographical location of the premises in terms of general footfall in the local area, for example is it near/on a busy high street or town centre, housing estate or quiet village and what type(s) of people does it predominantly comprise of, for example, residents, workers, visitors or tourists, retirees, families, children and young people.
* Client demographic / anticipated customers
* Identification of vulnerable individuals or groups, including those at risk of gambling related harm.
* Geographical location of the premises in terms of the types and density of other premises/businesses and their operation in the local areas surrounding these premises, including:-
  + Other gambling premises, including consideration as to their density:
    - Betting Shops/Tracks, Adult Gaming Centres, Family Entertainment Centres (licenced and unlicensed), Bingo premises.
    - National Lottery terminals/outlets
  + Premises licenced under the Licensing Act 2003:
    - On/off alcohol licenced premises
    - Premises licenced for regulated entertainment
    - Late night refreshment licenced takeaways
  + Medical facilities ie:
    - Hospitals and accident & emergency centres
    - GP’s and medical centres
    - Mental health centres/facilities
    - Rehab centres ie alcohol / drugs / gambling / other
  + Cash for goods premises ie:
    - Pawn brokers, payday loan and weekly payment shops
  + Homeless/rough sleeper and refuge facilities ie:
    - Shelters, hostels and refuges
    - Food banks and soup kitchens
    - Support services
  + Sheltered, supported and assisted housing
  + Care homes and residential villages
  + Places of worship / ecclesiastical establishments ie:
    - Churches / Mosques / Synagogues / Temples and any other places of worship for all religious or faith denominations
  + Educational facilities ie:
    - Primary and Secondary Schools or Academies
    - 6th Form Colleges
    - Colleges and Universities
  + Youth facilities ie:
    - Youth centres / clubs
    - Scout Huts
    - Leisure centres / facilities
    - Playgrounds, parks and woods
    - Any other institutions, places or areas where presence of children and young persons should be expected, where they congregate or are attracted to.
    - Areas that are prone to issues of youths participating in anti-social behaviour.
  + Other community facilities ie:
    - Community centres
    - Job centres
    - Courts
    - Citizens Advice or similar services
    - Public-access Council offices
* Transport Links and Parking Facilities
  + Proximity to transport links including bus stops, train stations, taxi ranks and private hire offices
  + Proximity to both public and private parking facilities
* Local crime issues ie:
  + Prevalence of anti-social behaviour in vicinity of premises
  + Known threat of actual violence against staff and/or customers
  + Locally occurring robberies at nearby businesses or other gambling premises within the borough
  + Fraudsters operating in the local area
  + Money laundering occurring in the local area ie stained notes etc
* Any relevant Safeguarding factors

Several Google Maps and Word documents have been provided in Part 2 which will provide the locations of many premises from this list, however it its non-exhaustive and further research may be required.

* + 1. **Gambling Operational Risks**

The gambling operation relates to how the premises is or will be run. This should include the policies and procedures put in place to meet the various requirements of the Act, specific code provisions within the LCCP, mandatory and default licence conditions and any conditions attached by the Licensing Authority. It should also include consideration of the following:

* The type of gambling premises and type(s) of gambling products provided at the premises
* Other facilities offered at the premises which may alter the customer demographic ie:
  + Food & non-alcoholic drinks ie via café / restaurant etc
  + On/off sales of alcohol (in respect of Bingo premises)
  + Gift shop (in respect of licenced and unlicensed FEC’s)
  + Other leisure facilities ie where located on a holiday park (in respect of licenced and unlicensed FEC’s)
  + Tanning salons (in respect of AGC’s)
* The opening hours, taking into account:
  + Statutory restrictions depending on type of gambling premises
  + Where default timings have been amended by the licensee or conditions have been attached to the premises licence by the Licensing Authority
  + Possible interaction with any surrounding night time economy
* Staffing levels, including:
  + Lone working / single manning of the premises.
  + Staff coming into contact with children (in relation to licensed and unlicensed FEC’s)
  + Staff roles and other duties / engagement with other activities ie serving food/drink, manning change, prize or gift kiosks, providing supervision of tanning booths etc
* Staff training, including frequency and level of training required / provided
* Security control/levels in place to prevent/deter crime ie:
  + Effective CCTV coverage
  + Door staff/stewards
  + MAG locks on doors
  + Time delay safe
  + Access to cash desk area restricted
  + Panic button for staff
* Methods of local advertising and marketing materials within the premises
* The display and provision of information such as betting terms and conditions, information on self-exclusion schemes, problem gambling materials etc.
* The use of loyalty or account cards
* Procedures for handling customer complaints and disputes
* Information held by the licensee regarding self-exclusions and incidences of underage gambling
* Gambling trends / increases in betting over the counter and/or on gaming machines or bingo machines, as relevant to the type of premises (these may mirror days for financial payments such as pay days or benefit payments)

The control measures put in place by the licensee to mitigate the identified risks associated with the gambling operation will be dependent on the type of gambling activities provided, how the licence holder company operates and the size of the organisation.

* + 1. **Premises Design Risks**

The design and layout of the premises is a key consideration as it could have a significant impact on the risk to the licensing objectives. The design, both internal and external should be considered and specific risks identified and noted.

The overall premises design is likely to reflect the type of gambling premises and gambling products and facilities offered, as well as the licensees gambling operation. It may also be affected by other facilities offered at the premises, for example the business model of some AGC operators is to have a tanning booth business located inside the premises and as North East Lincolnshire is a seaside resort there are a number of AGC’s located within FEC’s and many of the FEC’s will have also adjoining cafes and/or gift shops. This will give rise to additional considerations in terms of access and monitoring.

The interior and exterior design risks and factors for consideration are discussed in more detail in the following two sections.

* + 1. **Interior Design Risks**

The internal design and layout of the premises will reflect the type of gambling premises and gambling products and facilities offered, as well as the licensees gambling operation. The design of some types of gambling premises will be subject to certain limitations due to mandatory conditions on the gambling premises licence, such as restrictions on the location of ATM’s.

As with the overall premises design, poorly conceived design may create significant risk to one or more of the licensing objectives, whereas well-conceived design may significantly reduce the risk to the licensing objectives. It is therefore important that the licensee gives sufficient consideration to interior design and how it interrelates with the local area risks already identified to ensure the design doesn’t add to those risks.

Examples of factors that should be given consideration include the following:

* The size, shape and general layout of the premises.
* Location of ATM’s within the premises (including restrictions due to the mandatory condition on the gambling premises licence).
* Location of gaming machines and gambling products.
* Location of any supporting pillars, walls or other features which may fully or partially obstruct the view of customers entering/exiting the premises or using the gaming machines from the cashier counter.
* Location of CCTV, convex security mirrors and other monitoring devices.
* Location of any other fixed / large furniture and fittings such as customer tables and chairs, drinks counters, storage/display units etc which might pose potential risks ie restricting vision or access.
* Distance from the cashiers counter to the front door and the ease/speed at which a member of staff could challenge customers who appear to be underage, under the influence or drink and/or drugs, self-excluded or should otherwise have their entry to the premises challenged.
* Location of customer toilets and ability of staff to monitor customers using these facilities to guard against drink/drug taking or criminal damage.
* Access to other facilities offered within or adjoining the premises and how that access is monitored.
  + 1. **Exterior Design Risks**

The exterior of the premises acts as a major advertisement for the business, however as with the overall premises design, poorly conceived design may create significant risk to one or more of the licensing objectives, whereas well-conceived design may significantly reduce the risk to the licensing objectives. It is therefore important that the licensee gives sufficient consideration to exterior design and how it interrelates with the local area risks already identified to ensure the design doesn’t add to those risks.

Examples of factors that should be given consideration include the following:

* The size/expanse of frontage to the premises (larger areas may be more difficult to monitor / control)
* The materials used in construction of the frontage, and how they may mitigate or give rise to additional risks:
  + Do the materials used allow staff to see out of and monitor the premises and/or do they allow underage customers to be enticed by the gambling being offered
  + Are the materials used appropriate when considering factors such as whether the premises is located in an area prone to criminal damage ie consider avoiding the use of large expanses of glass and/or installing shutters.
* How much of the exterior is visible from the interior and is there sufficient CCTV coverage in place covering any less visible areas.
* The design of the entrance including whether its location makes it visible from the interior/cashier counter and whether it is sufficiently covered by CCTV so that customers entering the premises can be easily monitored and potential offenders can be identified.
* Whether the design creates a canopy or sheltered area which may encourage people to congregate or shelter from the weather. Consideration should be given as to the of people this is likely to affect, for example:
  + Children and young people who may then potentially be exposed to gambling
  + Individuals/groups who may potentially engage in undesirable activities such as criminal damage
  + Customers who may attempt to leave a baby in a pram or even a child outside while they gamble inside the premises

It is important to note that some factors may present both a potential risk to the licensing objectives and a mitigation to other identified risks, for example a large expanse of glass frontage may enable children to see into the premises and be exposed to gambling taking place, however it may also enable staff to better see out of and monitor the premises. Control measures should therefore be tailored to address local risks.

* + 1. **Control Measures**

Once the risk factors have been identified, the assessor should seek to identify control measures that would mitigate the identified risks. Such control measures will relate to one of the below three categories of control measures.

* + - 1. Systems
      2. Design
      3. Physical

Depending on the nature of the risks identified, control measures identified to mitigate a perceived risk may involve a combination of two or all three of the above measures. Consideration should be given to how an individual or set of control measures has the potential to help mitigate a number of identified risks, for example external CCTV cameras might reduce the risk of criminal damage to the frontage of the premises as well as reduce the risk of children entering the premises unnoticed.

In addition, measures put in place to mitigate one identified risk may potentially give risk to another risk, such as the example given in 2.4.5 above where large expanse of glass frontage could help staff see out of and monitor the premises but could also enable children to see into the premises and be exposed to gambling. It is therefore important to consider how different control measures might be used in conjunction with each other to both mitigate identified risks and avoid giving rise to additional risks.

* + - 1. **Systems**

These are measures put into place through policies and procedures and may be systems that apply to all of the licensee’s premises or may be systems specifically developed for a particular premises to mitigate a specific, local risk.

* + - 1. **Design**

These are measures built into the design of the premises, including the location of gambling facilities, design and location of cashier counter within the premises and the exterior design of the premises.

* + - 1. **Physical**

These are measure relating to specific physical measures put into place to address an identified risk, including alarms or panic buttons, CCTV, convex/security mirrors, magnetic doors locks, window shutters, time delay locks on safes, UV lights in toilets, infra-red beams across entrances etc.

Once the risk assessment has been completed, the control measures required to mitigate the risks identified should be implemented on the premises and, if applicable, staff on the premises should be trained in their use or trained on the new policy or procedure.

* + 1. **Licence Conditions**

As set out in the LCCP and detailed above, applications for new premises licences and for variations to existing licenced will require submission of a local risk assessment. The control measures specified in these risk assessment may be incorporates into the new or varied premises licences through the proposition of appropriate conditions. Although this Licensing Authority has not produced a pool of conditions, licensees should have regard to the Gambling Statement of Licensing Principles published by the Licensing Authority in formulating conditions which seek to reinforce control measures implemented to mitigate risks to the licensing objectives identified in their local risk assessments.

1. **Format and Structure**
   1. Local area risk assessments should be structured in a manner that offers sufficient assurance that the premises has suitable controls and procedures in place. These controls should reflect the level of risk within the particular area, which will be determined by local circumstances.
   2. This Authority has made the decision not to impose a prescribed template for risk assessments as it appreciates that many operators may have developed their own in-house templates for use across all their licenced premises to ensure consistency or will have premises in other Local Authority Areas which may impose a requirement to use their own template.
   3. Members of BACTA may wish to use the template which has been developed and provided by BACTA.
   4. When providing copies of risk assessments this Authority is happy to accept risk assessments in any Microsoft Office document format. We are also happy to accept hard copies, though would prefer to receive risk assessments in electronic form, where possible.
   5. Copies of risk assessments kept on site should be in such a format as to be immediately accessible by any member of staff on duty at the time of a licensing visit or inspection to allow for the risk assessment to be produced for inspection by the licensing officer on reasonable request.

**PART 2 – Local Area Profile**

1. **Profile for North East Lincolnshire**
   1. North East Lincolnshire is a small unitary authority covering an area of 192 square kilometres. The majority of the resident population live in the towns of Grimsby and Cleethorpes with the remainder living in the smaller town of Immingham, or in surrounding rural villages.

Although the majority of the area is classified as urban North East Lincolnshire has a wide variety of parks and open spaces. On the northern border, the Humber estuary has been designated as a *'Site of Special Scientific Interest'* and to the south, the Lincolnshire Wolds are recognised as an *'Area of Outstanding Natural Beauty'.*

North East Lincolnshire consists of 15 electoral wards, the boundaries of which were allocated in 2003.

* 1. 2 maps giving the geographical locations of a number of key relevant types of businesses in the area that applicants should have regard to when preparing their Local Area Risk Assessments have been created:
* [Map 1](https://www.google.com/maps/d/embed?mid=1sPMwblLW-HouOR-G7qvgvm426bolNCdU)
* [Map 2](https://www.google.com/maps/d/edit?hl=en&mid=1aFM2CbFuzkq5dmzI1YArMD70v2X2bdXn&ll=53.556043830778215%2C-0.12868234999996275&z=12)
  1. Areas of overall deprivation and locations of National Lottery terminals can be found on Word documents on the following webpage: <https://www.nelincs.gov.uk/licensing/gambling-and-gaming-machines/gambling-act-2005-statement-licensing-policy/>
  2. Additional data and information on North East Lincolnshire including a brief overview of the key statistics of each Ward, including ward boundary, geography, population by gender and age band, comparison of age by gender profiles, ethnicity and country of birth, multiple deprivation, economic activity, health and education and skills. can be obtained from the North East Lincolnshire Data Observatory website, which can be accessed here:

<http://www.nelincsdata.net/>

1. **References and Links** 
   1. Further information about Local Are Profiles and Local Risk Assessments can be found on the Gambling Commission’s website here:

<http://www.gamblingcommission.gov.uk/for-licensing-authorities/GLA/Part-6-Licensing-authority-policy-statement.aspx#DynamicJumpMenuManager_1_Anchor_6>

* 1. A copy of the LCCP Licence conditions and codes of practice can be found here:

<http://www.gamblingcommission.gov.uk/for-gambling-businesses/Compliance/LCCP/Licence-conditions-and-codes-of-practice-sector-extracts.aspx>