
Consultation on the information requirements in the licence conditions and codes of practice (LCCP), regulatory returns, official statistics and related matters

Overview

Our data requirements change over time, reflecting developments in the gambling industry, government policy and our regulatory approach.

This consultation sets out the Gambling Commission's proposals to change the regulatory data that we require licensees to provide to us and offers an opportunity for stakeholders to comment on the proposed changes.

The proposals seek to:

- improve data quality and the efficiency of regulation
- reflect our continued focus on consumers and social responsibility
- ensure requirements are reconciled against our current and future data needs
- streamline our existing requirements and, where possible, reduce regulatory burden.

Guiding these proposals is the principle that we only request data that supports our regulatory aims, at the appropriate time and by the most efficient means.

Introduction

What is your name?

What is your email address?

If you enter your email address then you will automatically receive an acknowledgement email when you submit your response.

Please indicate which organisation you belong to?

For example, member of the public, gambling operator, financial institution, trade association, charity etc

Privacy notice

As part of this consultation, we may decide to publish your name and organisation on our website to indicate that you have responded to this consultation. We have asked you to indicate your consent to the Commission publishing your name and organisation to indicate you have responded to this consultation.

(Required)

Please select only one item

- ☐ I CONSENT to the publication of my name and organisation to indicate I responded to this consultation
- ☐ I DO NOT CONSENT to the publication of my name and organisation to indicate I responded to this consultation

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Consultation format

This consultation is split into two parts that follow each other sequentially:

- **Part 1** details changes to information reporting requirements within the licence conditions and codes of practice (LCCP). These capture matters relating to suspicious activity, events that have significant impact on the nature or structure of a licensee's business (Key events), social responsibility reporting and other reportable events.
- **Part 2** focuses on regulatory returns, which are submitted by gambling operators for each licence they hold and provide vital information to ensure we regulate effectively. It also covers proposals to improve our official statistics publications.

Part 1: Information requirements defined in licence conditions and codes of practice (LCCP)

We propose to revise some of the information reporting requirements contained within the licence conditions and codes of practice (LCCP).

These revisions are primarily deletions or rewording of requirements, but we also introduce several additional requirements.

Overall, we are proposing a reduction in the quantity of information requirements we require licence holders to report to us.

For each proposal, we have provided an extract of the updated LCCP information requirement. Proposed deletions to the current LCCP text are struck-through and additions are in italics.

The below list sets out these licence conditions and code provisions to be revised:

- Licence condition 13.1.1 (pool betting)
- Licence condition 13.1.2 (pool betting – football pools)
- Licence condition 15.1.1 (reporting suspicion of offences)
- Licence condition 15.1.2 (reporting suspicion of offences)
- Licence condition 15.1.3 (reporting suspicion of offences) (*****new*****)
- Licence condition 15.2.1 (reporting key events)
- Licence condition 15.2.2 (other reportable events)
- Licence condition 15.2.3 (other reportable events) (*****new*****)
- Licence condition 15.3.1 (general and regulatory returns),
- Social responsibility code 3.2.1 (access to gambling by children's and young persons – casinos)
- Social responsibility code 3.2.3 (access to gambling by children's and young persons – AGCs)
- Social responsibility code 3.2.5 (access to gambling by children's and young persons – bingo and FECs),
- Social responsibility code 3.2.7 (access to gambling by children's and young persons – betting)
- Social responsibility code 6.1.1 (complaints and disputes)
- Ordinary code provision 4.2.8 (betting integrity)
- Ordinary code provision 8.1.1 (information requirements)
- Personal licence conditions.

1.1 Changes to licence condition 13.1.1 (pool betting)

We propose to remove licence condition 13.1.1 (1), which requires operators to proactively notify us about persons they have authorised to offer pool betting on a track, in connection with a horserace or dog race, in reliance on an occasional use notice.

The proposed revision does not affect the existing statutory requirements and licensees will still be required nominate an authorised person under section 93(2) of the Gambling Act.

Licence condition 13.1.1

Pool betting

All pool betting operating licences, except those restricted to football pools

1. Licensees must inform the Commission, within 14 days, in writing, of any person they authorise under section 93(2) of the Act to offer pool betting on a track in connection with a horserace or dog race in reliance on an occasional use notice. In doing so, they must include the terms and conditions under which this has been agreed, and provide contact details of the management and key staff of those that are authorised.
2. Licensees and any person they so authorise *under section 93(2) of the Gambling Act 2005 to offer pool betting on a track in connection with a horserace or dog race in reliance on an occasional use notice*, must produce and retain a record of the transactions relevant to each pool that they offer. The record must be capable of identifying individual bets into the pool and relating these to subsequent payment of winnings where applicable. Licensees must make this information available to the Commission on request.

Question 1.1

Do you agree with the proposed changes to the licence condition?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.2 Changes to licence condition 13.1.2 (pool betting - football pools)

We propose to remove licence condition 13.1.2 (1), which requires licensees to proactively notify us about persons they have authorised in respect of football pool betting.

The proposed revision does not affect the existing statutory requirements and licensees will still be required nominate an authorised person under section 93(3) of the Gambling Act.

Licence condition 13.1.2

Pool betting – football pools

All pool betting operating licences which authorise football pools

1 Licensees must inform the Commission, within 14 days, in writing, of any person they authorise under Section 93(3) of the Act in respect of football pool betting. In doing so, they must include the terms and conditions under which this has been agreed.

2 Licensees and any person they so authorise *under Section 93(3) of the Gambling Act 2005 in respect of football pool betting*, must produce and retain a record of the transactions relevant to each pool that they offer. The record must be capable of identifying individual bets into the pool and relating these to the subsequent payment of winnings where applicable. Licensees must make this information available to the Commission on request.

Question 1.2

Do you agree with the proposed changes to the licence condition?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.3 Changes to licence condition 15.1.1 (reporting suspicion of offences)

We propose to amend licence condition 15.1.1 to introduce additional text which will enable us to specify the *form and manner* of the reporting of suspicion of offences.

The rationale for this change is to align the text in this licence condition with other conditions relating to information reporting.

Responsibility for meeting the licence condition rests with licensees, not third parties. We propose to remove the line *or ensure that the Commission is provided with any information* to reinforce this principle.

Licence condition 15.1.1

Reporting suspicion of offences etc - non-betting licences

All operating licences except betting, betting intermediary, ancillary remote betting, betting host and remote betting intermediary (trading rooms only) licences

1 Licensees must as soon as reasonably practicable, *in such form or manner as the Commission may from time to time specify*, provide the Commission or ensure that the Commission is provided with any information that they know relates to or suspect may relate to the commission of an offence under the *Gambling Act 2005*, including an offence resulting from a breach of a licence condition or a code provision having the effect of a licence condition.

Question 1.3

Do you agree with the proposed changes to the licence condition?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.4 Changes to licence condition 15.1.2 (reporting suspicion of offences)

We are planning to introduce standardised formats for reporting of suspicious betting activity to improve efficiency in data collection.

To facilitate this, we propose to amend 15.1.2 (1) to enable us to specify the *form and manner* of the reporting of suspicion of offences and will continue to explore alternative technological solutions, such as Application Programme Interfaces (APIs), to improve the effectiveness of suspicious activity reporting.

We propose a minor revision to licence condition 15.1.2 (1b) to reference the relevant section of the Gambling Act 2005, which gives us the powers to void a bet.

Finally, the proposed changes to 15.1.2 (2) seek to provide clarification on the reporting of suspected breaches of betting rules to the appropriate sport governing body.

Licence condition 15.1.2

Reporting suspicion of offences etc - betting licences

All betting operating licences including betting intermediary, ancillary remote betting, betting host and remote betting intermediary (trading rooms only) licences

1 Licensees must as soon as reasonably practicable provide the Commission or ensure that the Commission is provided with any information, *in such form or manner as the Commission may from time to time specify*, from whatever source that they:

a know relates to or suspect may relate to the commission of an offence under the Act, including an offence resulting from a breach of a licence condition or a code provision having the effect of a licence condition

b suspect may lead the Commission to consider making an order to void a bet *under section 336 of the Gambling Act 2005*.

2 Licensees who accept bets, or facilitate the making or acceptance of bets between others, on the outcome of horse races or other sporting events governed by one of the sport governing bodies for the time being included in Part 3 of Schedule 6 to the *Gambling Act 2005*, must also as soon as reasonably practicable provide the relevant sport governing body with sufficient relevant and necessary information to conduct an effective investigation if the licensee suspects that they have any information from whatever source that may: *from whatever source, that they know or suspect may relate to a breach of betting rules applied by that sport governing body.*

a lead the Commission to consider making an order to void a bet

b relate to a breach of a rule on betting applied by that sport governing body.

3 In 2b above, 'rule on betting' 'Betting rules' includes any rule about bets the making or acceptance of which would be a regulated activity within the meaning of section 22 of the Financial Services and Markets Act 2000 ('spread betting').

Question 1.4

Do you agree with the proposed changes to the licence condition?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.5 Additional licence condition 15.1.3 (reporting of systematic or organised money lending)

To support our work to keep crime out of gambling, we propose to introduce a new licence condition (15.1.3) relating to the reporting of systematic or organised money lending.

Ordinary code provisions 3.8.1 and 3.8.2 currently provide for licensees to report to the Commission instances of systematic or organised money lending between customers on their premises.

We propose to formalise this reporting requirement via a new licence condition which requires all non-remote casino, non-remote bingo, general betting, adult gaming centre, family entertainment centre and remote betting intermediary (trading rooms only) licensees to report to us any systematic or organised money lending, in accordance with the ordinary code provisions.

Licence condition 15.1.3

Reporting of systematic or organised money lending

All non-remote casino, non-remote bingo, general betting, adult gaming centre, family entertainment centre and remote betting intermediary (trading rooms only) licences

1 Licensees must as soon as reasonably practicable, in such form or manner as the Commission may from time to time specify, provide the Commission with any information that they know relates to or suspect may relate to systematic or organised money lending, in accordance with the ordinary code provisions on money lending between customers.

Question 1.5

Do you agree with the proposals for the new licence condition?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.6 Changes to licence condition 15.2.1 (reporting key events – operator status)

Licensees are required to notify us of "key events" that could have a significant impact on the nature of their business. The full suite of key events is contained within licence condition 15.2.1.

Licence conditions 15.2.1 (1), (2) and (3) concern the reporting of the presenting of a winding up order or petition, entering into administration or receivership, bankruptcy, sequestration, or an individual voluntary arrangement.

We propose to improve the readability of these requirements by merging them into a single key event, as illustrated below.

Licence condition 15.2.1

Reporting key events

All operating licences

A key event is an event that could have a significant impact on the nature or structure of a licensee's business. Licensees must notify the Commission, or ensure the Commission is notified, in such form or manner as the Commission may from time to time specify, of the occurrence of any of the following key events as soon as reasonably practicable and in any event within five working days of the licensee becoming aware of the event's occurrence¹.

Operator status

1 In the case of licensees which are companies, a petition being presented for their winding up or the winding up of any group company of theirs, or they or any group company being placed in administration or receivership or their directors proposing to creditors a composition in satisfaction of its debts or a scheme of arrangement of its affairs.

2 In the case of licensees which are bodies corporate, but not companies, any event substantially equivalent to those listed at 1 above.

3 In the case of a licensee who is an individual (or a partner in a partnership licensee) their being presented with a petition for their bankruptcy or sequestration or their entering into an individual voluntary arrangement.

Any of the following applying to a licensee, group company, shareholder or anyone named as part of the licence:

- *presenting of a petition for winding up,*
- *making of a winding up order,*
- *entering into administration or receivership,*
- *bankruptcy (applicable to individuals only),*
- *sequestration (applicable in Scotland), or*
- *an individual voluntary arrangement.*

Question 1.6

Do you agree with the proposed changes to the licence condition?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.7 Changes to licence condition 15.2.1 (reporting key events - relevant persons and positions)

We are proposing to remove three key events in the relevant persons and positions section (15.2.1 (5), (7) and (9)) as we have determined that we no longer require this information to be reported to us.

We also propose to make minor adjustments to 15.2.1 (8). In addition to being notified of persons who are appointed to or cease to occupy a 'key position', we also want to be notified when they leave one position to take up another.

We propose to amend our definition of a 'key position' (8c) for the purpose of anti-money laundering and counter terrorist financing compliance and reporting.

Relevant persons and positions

4 [No change]

5 Any investment in a licensee which is not by way of subscription for shares.

6 [No change]

7 The entering into an arrangement whereby a third party provides services to, or grants any licence concession or permission to, the licensee other than for full value: full details of the arrangements must be supplied.

8 The appointment of a person to, or a person ceasing to occupy, a 'key position' (*including leaving one position to take up another*). A 'key position' in relation to a licensee is:

a in the case of a small-scale operator, a 'qualifying position' as defined in the Gambling Act 2005 (Definition of Small-scale Operator) Regulations 2006.

b in the case of an operator which is not a small-scale operator, a 'specified management office' as set out in (current) LCCP licence condition 1.2

c a position the holder of which is responsible for the licensee's anti-money laundering *and counter terrorist financing compliance procedures, including suspicious activity reporting and for the reporting of known or suspected money laundering or terrorist financing activity suspicious activity reporting.*

d any other position for the time being designated by the Commission as a 'key position'. (Notification is required whether or not the person concerned is required to hold a personal management licence and whether or not the event notified requires the licensee to apply for a variation to amend a detail of their licence.)

9 Any change to the structure or organisation of the licensee's business which affects a 'key position' or the responsibilities of its holder.

Question 1.7

Do you agree with the proposed changes to the licence condition?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.8 Changes to licence condition 15.2.1 (reporting key events – financial events)

In this section we are proposing to remove 15.2.1 (13), (14) and (16) as we have determined that we no longer require this information to be reported to us as key events.

We have reviewed whether 15.2.1 (15) constitutes a key event and propose to move the requirement to "other reportable events" under licence condition 15.2.2. We still need to be informed of this matter, but no longer consider it to be an event that could have a significant impact on the nature or structure of a licensee's business.

Financial events

10 [No change]

11 [No change]

12 [No change]

13 Any court judgments (in whatever jurisdiction) against the licensee or, where the licensee is a body corporate, a group company, remaining unpaid 14 days after the date of judgment.

14 Where the licensee is required to have their accounts independently audited, any qualification to an auditors' report; and any unplanned change of auditor including a change prompted by a dispute or resulting from auditors being unable or unwilling to sign an unqualified audit report.

15 Any change in the licensee's arrangements for the protection of customer funds in accordance with the general licence condition 4 relating to the protection of customer funds (where applicable).

16 Where the licensee holds customer funds in a separate bank account, any deficit on reconciliation of such bank account.

17 [No change]

Question 1.8

Do you agree with the proposed changes to the licence condition?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.9 Changes to licence condition 15.2.1 (reporting key events - legal or regulatory proceedings or reports)

For key events concerning legal or regulatory proceedings or reports we propose to:

- amend licence condition 15.2.1 (19a) to simplify our definition of which persons the key event relates to
- simplify the wording of licence condition 15.2.1 (19b) and add the need to report to us of any criminal investigations by a law enforcement agency involving persons in a "key position"
- remove licence condition 15.2.1 (20) as we have determined that we no longer require this information to be reported to us as a key event
- amend licence condition 15.2.1 (21) to provide further examples of the types of third parties who may raise material concerns about the provision of facilities for gambling that are referred to a licensee's Board, or persons performing the function of an audit or risk committee
- amend 15.2.1 (21) to reflect our expectation that licensees notify us of *any* material concerns raised and not just those "which are expressed...as requiring attention as a high priority".

regulatory proceedings or reports

Legal or

18 [No change]

19a Any investigation by a professional, statutory, regulatory or government body (in whatever jurisdiction) into the licensee's activities, or the activities in relation to the licensed entity of a personal licence holder or a person occupying a qualifying position employed by them of a person in a 'key position', where such an investigation could result in the imposition of a sanction or penalty which, if imposed, could reasonably be expected to raise doubts about the licensee's continued suitability to hold a Gambling Commission licence.

19b Any criminal investigation by a law enforcement agency in any jurisdiction in relation to which:

- the licensee is involved (including, but not limited to investigations of crimes allegedly committed against the licensee or involving the gambling facilities provided under the licence), AND
- the circumstances are such that the Commission might reasonably be expected to question whether the licensee's measures to keep crime out of gambling had failed.

Notification of the event must occur as soon as practicable after the licensee becomes aware of any such investigation in which the licensee is involved and measures may have failed.

Any criminal investigation by a law enforcement agency in any jurisdiction in which the licensee, or a person in a 'key position' related to the licensee, is involved and where the Commission might have cause to question whether the licensee's measures to keep crime out of gambling had failed.

- 20 The receipt of any report from a professional, statutory or other regulatory or government body (in whatever jurisdiction) of the outcome of a compliance assessment in relation to the gambling activity of the licensee or, where the licensee is a body corporate, of any group company in which at least one person who holds a key position in or in respect of the licensee holds a key position: a copy of the report should be provided where available to the licensee.
- 21 The referral to the licensee's Board, or persons performing the function of an audit or risk committee, of material concerns raised by a third party (such as an auditor, *a professional, statutory or other regulatory or government body (in whatever jurisdiction)*) about the provision of facilities for gambling which are expressed (in whatever terms) as requiring attention as a high priority: a summary of the nature of the concerns must be provided.
- 22 [No change]
- 23 [No change]
- 24 [No change]

Question 1.9

Do you agree with the proposed changes to the licence condition?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.10 Changes to licence condition 15.2.1 (reporting key events – gambling facilities)

For key events concerning the provision of gambling facilities we propose to:

- update licence condition 15.2.1 (25a) to enhance our requirements for the reporting of information security incidents
- reassign licence condition 15.2.1 (26), concerning reporting of Alternative Dispute Resolution entities, from key events to "other reportable events" under licence condition 15.2.2
- remove licence condition 15.2.1 (27) as we no longer need this information to be reported to us as a key event
- update licence condition 15.2.1 (28) for remote gambling to put beyond doubt that we expect domains covered by 'white label' arrangements to be included in the reporting to us of the commencement or cessation of trading on website domains. This will improve our ability to monitor the licensee's compliance across all website domains through which gambling is being offered in reliance on a Gambling Commission licence
- amend the footnote for licence condition 15.2.1, to reinforce that key event submissions are to be made online via our eServices portal. This will enable us to capture and process key events faster and more efficiently.

facilities

Gambling

25a Any breach in the licensee's information security that adversely affects the confidentiality of customer data or prevents customers from accessing their accounts for longer than 24 hours. Any breach to the licensee's environment that affects the confidentiality of customer data contrary to the defined access control policy; prevents the licensee's customers, staff or legitimate users from accessing their accounts; indicates that the integrity of the licensee's environment is in question; and any information security attacks beyond a licensee's defined sustained period, for example (but not limited to) Distributed Denial-of-Service (DDoS) attacks or credential stuffing.

25b [No change]

26 Any change in the identity of the ADR entity or entities for the handling of customer disputes, as required by the social responsibility code provision on complaints and disputes.

27 The reference of a dispute to an ADR entity other than one in respect of which contact details were given in accordance with the social responsibility code provision on complaints and disputes; the reason for selection of that ADR entity should be given.

28 In the case of remote gambling, the commencement or cessation of trading on website domains (including mobile sites or mobile device applications) or broadcast media through which the licensee provides gambling facilities (*including domains covered by 'white label' arrangements*).

In this condition:

'body corporate' has the meaning ascribed to that term by section 1173 of the Companies Act 2006 or any statutory modification or re-enactment thereof

a in respect of a company, 'holding company' and 'subsidiary' have the meaning ascribed to that term by section 1159 of the Companies Act

2006 or any statutory modification or re-enactment thereof

b a 'group company' is any subsidiary or holding company of the licensee and any subsidiary of such holding company

¹ Key events can are to be reported securely online at the Commission's website through our to us online via the 'eServices' system digital service on our website www.gamblingcommission.gov.uk <<http://www.gamblingcommission.gov.uk>> Alternatively, for operators unable to access this system, you can report a key event by email to: key.events@gamblingcommission.gov.uk

Question 1.10

Do you agree with the proposed changes to the licence condition?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.11 Changes to licence condition 15.2.2 (other reportable events)

We propose to update licence condition 15.2.2, which details other events that must be reported to us.

We plan to remove existing licence conditions 15.2.2 (1) (a) and (b), which concern the conclusion of disputes referred to an Alternative Dispute Resolution entity and reporting of outcomes adverse to the licensee.

We intend to incorporate some of the requirements of ordinary code provision 8.1.1. Specifically, we want to be informed of any material change in the licensee's structure or the operation of its business, and any material change in managerial responsibilities or governance arrangements. The elevation of these requirements from an ordinary code provision to a licence condition better reflects our expectations in this area. Section 1.17 of this consultation contains the corresponding change to ordinary code provision 8.1.1. The revised code 8.1.1 can also be accessed via the drop-down box located at the bottom of this page.

We are suggesting minor amendments to licence condition 15.2.2 (1) (c) to provide clarity on the definition of the 3%/10% threshold contained within the condition.

The revised licence condition 15.2.2 will incorporate the following key events:

- 15.2.1 (15) - changes to customer funds arrangements, and
- 15.2.1 (16) - change in identity of the ADR entity or entities used by a licensee for the handling of customer disputes.

We still need to be informed of these matters, but no longer consider them to be events that could have a significant impact on the nature or structure of a licensee's business.

We propose to introduce a new requirement for the reporting of actual or potential breaches by the licensee of the requirements imposed by or under:

- Parts 7 or 8 of the Proceeds of Crime Act 2002
- Part III of the Terrorism Act 2000
- any UK law by which those statutes are amended or superseded.

This is to enable us to better manage money laundering and terrorist financing risks in order to keep crime out of gambling, and to encourage self-reporting by licensees.

Finally, we propose to amend the footnote for licence condition 15.2.2, to reinforce that other reportable events submissions are to be made online via our eServices portal. This will enable us to capture and process other reportable events faster and more efficiently.

Licence condition 15.2.2

Other reportable events

All operating licences

1 Licensees must also notify the Commission in such form or manner as the Commission may from time to time specify, or ensure that the Commission is so notified, as soon as reasonably practicable of the occurrence of any of the following events which could have a material impact on the licensee's business or on the licensee's ability to conduct licensed activities compliantly and consistently with the licensing objectives, so far as not already notified as key events in accordance with licence condition 15.2.1; including but not limited to:

a the conclusion of a dispute referred to an ADR entity and in such case providing the Commission with a copy of the decision or note of the outcome²:-

b any outcome adverse to the licensee of any proceedings taken against the licensee (in whatever jurisdiction) by a customer in relation to a gambling transaction; but excluding proceedings allocated to the County Court small claims track or equivalent in jurisdictions outside England and Wales.

a any material change in the licensee's structure or the operation of its business,

b any material change in managerial responsibilities or governance arrangements, or,

c their becoming aware that a group company which is not a Commission licensee is advertising remote gambling facilities to those residing in a jurisdiction in or to which it has not previously advertised or their becoming aware of a sustained or meaningful generation of the 3% of group gross gambling yield /or 10% of group revenue threshold being exceeded by the group.

d for remote gambling licences, any change in the licensee's arrangements for the protection of customer funds in accordance with the licence condition 4 (protection of customer funds) (where applicable).

e any change in the identity of the ADR entity or entities for the handling of customer disputes, as required by the social responsibility code provision on complaints and disputes.

f any actual or potential breaches by the licensee of the requirements imposed by or under Parts 7 or 8 of the Proceeds of Crime Act 2002, or Part III of the Terrorism Act 2000, or any UK law by which those statutes are amended or superseded.

In this condition:

a 'group company' has the same meaning as in condition 15.2.1; and

b without prejudice to section 327 of the *Gambling Act 2005*, 'advertising' includes: having a home page directed towards a jurisdiction and written in, or in one of, that jurisdiction's official language(s), having arrangements enabling that jurisdiction's currency to be selected for gambling or the use of payment methods available only in that jurisdiction, and providing a specific customer service facility referable to that jurisdiction.

¹ Other reportable Events required to be notified to the Commission by 15.2.1 or 15.2.2 may be reported securely online at the Commission's website through our to us online via the 'eServices' system digital service on our website www.gamblingcommission.gov.uk <<http://www.gamblingcommission.gov.uk>> or by email to: key.events@gamblingcommission.gov.uk

² In respect of the referral of disputes to an ADR entity the licensee's attention is drawn to social responsibility code provision 6.

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Changes

to ordinary code provision 8.1.1 (information requirements- ordinary code)

Ordinary code provision 8.1.1

Information requirements – ordinary code

All licences

1 As stated earlier in this code, the Commission expects licensees to work with the Commission in an open and cooperative way and to inform the Commission of any matters that the Commission would reasonably need to be aware of in exercising its regulatory functions. These include in particular matters that will have a material impact on the licensee's business or on the licensee's ability to conduct licensed activities compliantly and consistently with the licensing objectives.

2 Thus, licensees should notify the Commission, or ensure that the Commission is notified, as soon as reasonably practicable and in such form and manner as the Commission may from time to time specify¹, of any matters which in their view could have a material impact on their business or affect compliance. The Commission would, in particular, expect to be notified of the occurrence of any of the following events in so far as not

already notified in accordance with the conditions attached to the licensee's licence²:

- a** any material change in the licensee's structure or the operation of its business,
- b** any material change in managerial responsibilities or governance arrangements, or
- c** any report from an internal or external auditor expressing, or giving rise to, concerns about material shortcomings in the management control or oversight of any aspect of the licensee's business related to the provision of gambling facilities.

¹ These matters can be reported securely online at the Commission's website through our eServices system www.gamblingcommission.gov.uk
<<http://www.gamblingcommission.gov.uk>>

Alternatively, for operators unable to access this system, you can these events by email to: key.events@gamblingcommission.gov.uk

² Events which **must** be reported, because the Commission considers them likely to have a material impact on the nature or structure of a licensee's business, are set out in general licence condition 15.2.1

Question 1.11

Do you agree with the proposed changes to the licence condition?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.12 Additional licence condition 15.2.3 (other reportable events)

We propose to introduce a new licence condition (licence condition 15.2.3) relating to the Money Laundering, Terrorist Financing and Transfer of Funds (Information on Payer) Regulations 2017 ("the Regulations").

This licence condition will require licensees to report to us any actual or potential breaches by the licensee of provisions of the Regulations, or any UK Statutory Instrument by which those regulations are amended or superseded.

Also, we require to be notified of the identity of the persons responsible for the licensee's compliance with the Regulations (in accordance with regulation 21(1)(a)), and the identity of the licensee's nominated officer (in accordance with regulation 21(3)).

This new licence condition applies only to non-remote and remote casino operating licences.

Licence condition 15.2.3

Other reportable events – money laundering, terrorist financing, etc

All non-remote and remote casino operating licences

1 Licensees must notify the Commission in such form or manner as the Commission may from time to time specify, or ensure that the Commission is notified, as soon as reasonably practicable of any actual or potential breaches by the licensee of the provisions of the Money Laundering, Terrorist Financing and Transfer of Funds (Information on Payer) Regulations 2017, or any UK Statutory Instrument by which those regulations are amended or superseded.

2 Licensees must, within 14 days of the appointment, notify the Commission of the identity of the individual appointed as:

a the officer responsible for the licensee's compliance with the Money Laundering, Terrorist Financing and Transfer of Funds (Information on Payer) Regulations 2017 (regulation 21(1)(a)),

b the nominated officer (regulation 21(3)), and any subsequent appointment to either of those positions.

3 Licensees must, within 14 days of the departure or removal of any individual appointed to the positions mentioned in 2 above, notify the Commission of such departure or removal.

Other reportable events are to be reported to us online via the 'eServices' digital service on our website www.gamblingcommission.gov.uk
<<http://www.gamblingcommission.gov.uk>>

Question 1.12

Do you agree with the proposals for the new licence condition?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.13 Changes to licence condition 15.3.1 (general and regulatory returns)

We propose to amend licence condition 15.3.1 (general and regulatory returns) to simplify the requirement, reduce the time allowed for the submission of annual returns, and harmonise reporting periods across the industry.

We currently allow licensees 28 days to submit quarterly regulatory returns and 42 days to submit annual returns. We propose to reduce this requirement to 28 days for both types of return in order to:

- simplify reporting processes for operators with multiple licences and/or licensed activities and
- reduce the time it takes us to publish aggregated industry data.

Currently, licensees have flexibility to choose their own reporting periods for regulatory returns. These are generally based on their accounting year or the anniversary of the granting of their operating licence.

This variation in reporting period dates complicates our internal processes and impacts on the quality of our official statistics.

We propose to change this, so that reporting periods are harmonised across the industry, with unified submission dates as follows:

Type of return	Reporting period	Submission window
Annual returns	1 April to 31 March	1 to 28 April
Quarterly returns	1 April to 30 June	1 to 28 July
	1 July to 30 September	1 to 28 October
	1 October to 31 December	1 to 28 January
	1 January to 31 March	1 to 28 April

We also aim to incorporate requirements transferred from ordinary code provision 8.1.1 (1), reinforcing our expectation that licensees inform us of any matters that the we would reasonably need to be aware of in exercising its regulatory functions. Section 1.17 of this consultation for the corresponding revision to ordinary code provision 8.1.1. The revised code 8.1.1 can also be accessed via the drop-down box located at the bottom of this page.

In addition, the revised licence condition proposes to remove the prescriptive examples of the type of information we ask for while reinforcing the need for accurate returns and for regulatory returns are to be submitted online via our eServices portal.

See Part 2 of this consultation for further information on proposals to change regulatory returns.

Licence condition 15.3.1

General and regulatory returns

All operating licences

1 The Commission expects licensees to inform the Commission of any matters that the Commission would reasonably need to be aware of in exercising its regulatory functions.

2 On request, licensees must provide the Commission with such information as the Commission may require, *in such form or manner as the Commission may from time to time specify*, about the use made of facilities provided in accordance with this licence, and the manner in which gambling authorised by this licence and the licensee's business in relation to that gambling are carried on...including in particular information about:

- a** the numbers of people making use of the facilities and the frequency of such use
- b** the range of gambling activities provided by the licensee and the numbers of staff employed in connection with them
- c** the licensee's policies in relation to, and experiences of, problem gambling.

3 In particular within 28 days of the end of each quarterly period or, for those only submitting annual returns, within 42 days of the end of each annual period, licensees must submit a Regulatory Return to the Commission containing such information as the Commission may from time to time require Licensees must submit an accurate Regulatory Return to the Commission containing information specified by the Commission within 28 days of the end of each reporting period defined by the Commission¹.

¹Regulatory returns can be submitted securely online at the Commission's website through our to us online via the 'eServices' system available at digital service on our website www.gamblingcommission.gov.uk <<http://www.gamblingcommission.gov.uk>>

Changes to ordinary code provision 8.1.1 (information requirements- ordinary code)

Ordinary code provision 8.1.1

Information requirements – ordinary code

All licences

1 As stated earlier in this code, the Commission expects licensees to work with the Commission in an open and cooperative way and to inform the Commission of any matters that the Commission would reasonably need to be aware of in exercising its regulatory functions. These include in particular matters that will have a material impact on the licensee's business or on the licensee's ability to conduct licensed activities compliantly and consistently with the licensing objectives.

2 Thus, licensees should notify the Commission, or ensure that the Commission is notified, as soon as reasonably practicable and in such form and manner as the Commission may from time to time specify¹, of any matters which in their view could have a material impact on their business or affect compliance. The Commission would, in particular, expect to be notified of the occurrence of any of the following events in so far as not already notified in accordance with the conditions attached to the licensee's licence²: –

- a** any material change in the licensee's structure or the operation of its business,
- b** any material change in managerial responsibilities or governance arrangements, or
- c** any report from an internal or external auditor expressing, or giving rise to, concerns about material shortcomings in the management control or oversight of any aspect of the licensee's business related to the provision of gambling facilities.

¹ These matters can be reported securely online at the Commission's website through our eServices system www.gamblingcommission.gov.uk <<http://www.gamblingcommission.gov.uk>>

Alternatively, for operators unable to access this system, you can these events by email to: key.events@gamblingcommission.gov.uk

² Events which **must** be reported, because the Commission considers them likely to have a material impact on the nature or structure of a licensee's business, are set out in general licence condition 15.2.1

Question 1.13

Do you agree with the proposed changes to the licence condition?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.14 Social responsibility code 3.2.1, 3.2.3, 3.2.5 and 3.2.7 (access to gambling by children's and young persons)

We propose to amend social responsibility code 3.2.1, 3.2.3, 3.2.5 and 3.2.7 (access to gambling by children's and young persons) to enable us to specify the *form and manner* in which test purchasing results are reported to us.

We do not currently specify the form or manner of reporting test purchasing results. Consequently, there is a broad variety of formats in the data submissions we receive. This makes it difficult for us to collate and analyse those results, and therefore to evaluate the effectiveness of policies and procedures to prevent underage gambling.

We are planning to develop a standard format for the reporting of test purchase results, which we will publish for further informal consultation with relevant licensees in due course.

Social responsibility code provision 3.2.1

Access to gambling by children and young persons – casinos SR code

All non-remote casino licences

1-8 [No change]

9 Licensees must conduct test purchasing or take part in collective test purchasing programmes as a means of providing reasonable assurance that they have effective policies and procedures to prevent underage gambling, and must provide their test purchase results to the Commission, *in such form or manner as the Commission may from time to time specify.*

Social responsibility code provision 3.2.3

Access to gambling by children and young persons – AGC SR code

All adult gaming centre licences

1-7 [No change]

8 Licensees in fee category C or higher must conduct test purchasing or take part in collective test purchasing programmes, as a means of providing reasonable assurance that they have effective policies and procedures to prevent underage gambling, and must provide their test purchase results to the Commission, *in such form or manner as the Commission may from time to time specify.*

Social responsibility code provision 3.2.5

Access to gambling by children and young persons – bingo and FEC SR code

All non-remote bingo and family entertainment centre licences

1-6 [No change]

7 Licensees in fee category C or higher must conduct test purchasing or take part in collective test purchasing programmes, as a means of providing reasonable assurance that they have effective policies and procedures to prevent underage gambling, and must provide their test purchase results to the Commission, *in such form or manner as the Commission may from time to time specify.*

Social responsibility code provision 3.2.7

Access to gambling by children and young persons – betting SR code

Paragraphs 1, 2 and 4-7: all non-remote betting and remote betting intermediary (trading rooms only) licences

Paragraph 3: all non-remote betting licences (except general betting (limited) licences) and remote betting intermediary (trading rooms only) licences

Paragraph 8: non-remote pool betting licences

Paragraph 9: non-remote general betting (standard) licences in fee category C or above

1-8 [No change]

9 Licensees must conduct test purchasing or take part in collective test purchasing programmes, as a means of providing reasonable assurance that they have effective policies and procedures to prevent underage gambling, and must provide their test purchase results to the Commission, *in such form or manner as the Commission may from time to time specify.*

Question 1.14

Do you agree with the proposed changes to the code provisions?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.15 Changes to social responsibility code provision 6.1.1 (complaints and disputes)

We propose to amend social responsibility code provision 6.1.1 to remove the requirement for routine reporting of the outcomes of disputes referred to ADR and court proceedings relating to these that are adverse to the licensee.

This revision is consistent with our proposal to remove event reporting for these matters, currently contained within licence condition 15.2.2 (1) (a) and (b). We may still require licensees to provide this information on request, but we will not require it to be routinely reported to us.

We also propose to make the wording of the code consistent with other sections of the LCCP and specify that licensees keep records of consumer complaints in a *form* or manner that we may from time to time specify.

Social responsibility code provision 6.1.1

Complaints and disputes

All licences (including ancillary remote licensees) except gaming machine technical and gambling software licences

1-6 [No change]

7 Licensees should keep records of customer complaints and disputes in such *form or* manner as the Commission may from time to time specify in advice or guidance. They must provide information to the Commission about customer complaints, ~~and~~ disputes, the outcomes of disputes referred to ADR, and court proceedings adverse to the licensee, also in such manner as the Commission may from time to time specify.

Question 1.15

Do you agree with the proposed changes to the code provision?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.16 Changes to ordinary code provision 4.2.8 (betting integrity)

We propose to amend ordinary code provision 4.2.8 to clarify that licensees should ensure that a condition of their accepting bets is that for a bet to be valid, customers placing such bets must not be in breach of *any* rules on betting or misuse of inside information relevant to a sports governing body.

Ordinary code provision 4.2.8

Betting integrity

All betting operating licences, including betting intermediary, ancillary remote betting and remote betting intermediary (trading rooms only) licences

1 [No change]

2 Licensees should ensure that a condition of their accepting bets is that for a bet to be valid, customers placing such bets must not be in breach of any rules about irregular and/or suspicious on betting or misuse of inside information relevant to a sports governing body, other professional body of which they are a member, or their employers. Where a breach of these rules is identified, licensees should then take steps to void the bet.

Question 1.16

Do you agree with the proposed changes to the code provision?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.17 Changes to ordinary code provision 8.1.1 (information requirements – ordinary code)

We propose to elevate elements ordinary code provision 8.1.1 into licence conditions 15.2.2 (other reportable events) and 15.3.1 (general and regulatory returns) to reinforce our expectations in the following areas:

- the requirement to *report matters that will have a material impact on the licensee's business...* (ordinary code 8.1.1 (1)) will be incorporated into licence condition 15.2.2 together with 8.1.1 (2a) and 8.1.1 (2b). We plan to remove ordinary code provision 8.1.1 (2c), which is provided for by an existing key event (licence condition 15.2.1 (21)).
- our expectation that licensees *inform us of any matters that we would reasonably need to be aware of...* (ordinary code 8.1.1 (1)) will be incorporated into licence condition 15.3.1.

We propose to remove ordinary code 8.1.1 on the basis that the provisions are covered in the proposed changes to licence conditions 15.2.2 and 15.3.1 or within other sections of the LCCP. For example, the expectation that licensees *work with the Commission in an open and cooperative way* is specified under ordinary code 1.1.1.

Sections 1.11 and 1.13 of this consultation contain the corresponding change to licence conditions 15.2.2 and 15.3.1 respectively.

Ordinary code provision 8.1.1

Information requirements – ordinary code

All licences

1 As stated earlier in this code, the Commission expects licensees to work with the Commission in an open and cooperative way and to inform the Commission of any matters that the Commission would reasonably need to be aware of in exercising its regulatory functions. These include in particular matters that will have a material impact on the licensee's business or on the licensee's ability to conduct licensed activities compliantly and consistently with the licensing objectives.

2 Thus, licensees should notify the Commission, or ensure that the Commission is notified, as soon as reasonably practicable and in such form and manner as the Commission may from time to time specify⁴, of any matters which in their view could have a material impact on their business or affect compliance. The Commission would, in particular, expect to be notified of the occurrence of any of the following events in so far as not already notified in accordance with the conditions attached to the licensee's licence²: –

a any material change in the licensee's structure or the operation of its business,

b any material change in managerial responsibilities or governance arrangements, or

c any report from an internal or external auditor expressing, or giving rise to, concerns about material shortcomings in the management control or oversight of any aspect of the licensee's business related to the provision of gambling facilities.

⁴ These matters can be reported securely online at the Commission's website through our eServices system www.gamblingcommission.gov.uk
<<http://www.gamblingcommission.gov.uk>>

Alternatively, for operators unable to access this system, you can these events by email to: key.events@gamblingcommission.gov.uk

² Events which **must** be reported, because the Commission considers them likely to have a material impact on the nature or structure of a licensee's business, are set out in general licence condition 15.2.1

Question 1.17

Do you agree with the proposed changes to the code provision?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

1.18 Changes to personal licence conditions

We propose to change the time period within which personal licence holders must report key events to us.

During the design of our new manage and maintain your licence digital service, we reviewed our requirements for the reporting of key events by personal licence holders. One of the outputs of this review is a proposal for us to allow personal licence holders more time to inform us of event occurrences by increasing the time period required for submissions from within five working days to within thirty working days.

Also, noting the introduction of the new digital service – and that we expect personal licence holders to report key events to us directly, rather than operators doing this for them – we are proposing to remove the option for operators to report event occurrences for personal licence holders.

Personal licence conditions

All personal licence holders

1-2 [No change]

3 Personal licence holders must notify the Commission of the occurrence of any of the following key events within five working thirty days, or as soon as reasonable practicable after the licensee becomes aware of the event's occurrence¹:

- a** their subjection to any criminal investigation which is listed under Schedule 7 Relevant Offences of the Gambling Act 2005;
- b** their conviction of any offence listed under Schedule 7 – Relevant Offences of the Gambling Act 2005;
- c** any current or pending investigation by a professional, statutory, regulatory or government body in Great Britain or abroad;
- d** the imposition of any sanction or penalty against them following an investigation by any professional, statutory, regulatory or government body in Great Britain or abroad;
- e** the imposition of a disciplinary sanction against them, including dismissal, for gross misconduct;
- f** their resignation from a position for which a personal licence is required following commencement of disciplinary proceedings in respect of gross misconduct;
- g** their disqualification from acting as a company director;
- h** the presentation of a petition for their bankruptcy or sequestration or their entering into an individual voluntary agreement;
- i** a change in their name or address.

¹ These matters can are to be reported securely online at the Commission's website through our eServices system to us online via the 'Manage and maintain your licence' service on our website www.gamblingcommission.gov.uk <<http://www.gamblingcommission.gov.uk>> Alternatively, for operators unable to access this system, you can these events by email to: key.events@gamblingcommission.gov.uk

Question 1.18

Do you agree with the proposed changes to the licence condition?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

Part 2: Regulatory returns and official statistics

This section sets out proposals to change regulatory returns and our official statistics publications.

We propose to reduce the total number of datapoints across regulatory returns.

We also intend to introduce new datapoints that place a greater focus on our commitment towards consumers and the prevention of gambling-related harms, and to implement several changes focused on improving data quality (for example, harmonised reporting periods).

In addition, we are proposing improvements to our official statistics publications.

For each proposal, we have outlined what we intend to change and the reasons for this.

Part 2 focuses on proposed changes to regulatory returns, to:

- reduce the amount of data we collect
- remove the requirement for licensees to report premise acquisitions and disposals
- remove the requirement for casino operators to report data on a casino-by-casino basis
- remove the requirement for gambling software licence holders to report individual gambling software titles
- enhance operational information reporting with more consumer and safer gambling questions
- enable licensees to submit a single 'operator level' or licence level return per reporting period
- link the requirement for licensees to submit quarterly or annual returns to the aggregated maximum GGY permitted by all of their licences
- improve our digital service for regulatory returns collection (eServices)
- discontinue collecting monthly non-remote casino drop and win data, and
- review requirements for Industry Statistics.

2.1 Reduce the amount of data we collect

We propose to reduce the amount of data we ask for in regulatory returns.

Areas where we are proposing significant reductions are:

- **Non-GB data.** For remote sector financial information, we intend to only ask for non-GB data at an aggregated activity level, no longer requiring it at sport and game category level (eg 'betting real events' replaces splits for football, dogs, horses, etc.)
- **B2C revenue share.** We propose that B2C revenue share Gross Gambling Yield (GGY) is reported combined with proprietary GGY (formerly labelled 'General') across all Remote Casino, Betting and Bingo (RCBB) sport and game categories. Also, that B2C revenue share turnover is reported combined with proprietary turnover in the same manner. This will simplify reporting of GGY and turnover for B2C licensees, as they will no longer have to state what amount of their GGY is subject to revenue share arrangements.
- **Gaming Machine Technical.** We will no longer ask for the number of units sold, software sales, gross value of software sales, instead just requiring total value of sales. We will remove the requirement for reporting numbers of machines leased, sold, profit share, by venue type. Also, we will remove the number of machines purchased or scrapped, by second-hand (legacy), second-hand (non-legacy), and new.
- **Premises.** We propose to remove questions on the total number of inactive premises and the total numbers of acquired or disposed of premises. We also intend to remove the requirement to report acquisitions and disposals of individual premises to us via regulatory returns. See Section 2.2 for further detail.
- **Casinos (non-remote).** We intend to simplify non-remote casino reporting and no longer require data to be provided to us on a venue-by-venue basis. See Section 2.3 for further detail. Other proposed casino question removals are the number of admissions, whether a casino address was active during the return period, and the casino size.
- **Gambling Software.** We propose to no longer require software game titles or types to be reported to us via regulatory returns. See Section 2.4 for further detail.

Other proposed removals include:

- **Bingo (non-remote).** We will no longer ask for turnover to be split between participation fees and sales.
- **Research, Education and Treatment (RET)** We propose to exchange the current seven questions with two new questions: 'Contributions made to approved beneficiaries in the period covered by this return (name of beneficiary, £value of contribution)'.
- **Workforce.** We propose to stop asking for workforce numbers, as we recognise that there are inherent data quality issues with workforce reporting (for example, apportioning an operator's employees against different licensed activities, or across GB and non-GB operations). Instead we will use the annual **DCMS Sectors Economic Estimates: Employment**
<https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/811903/DCMS_Sectors_Economic_Estimates_2018_Emp> as a proxy to measure employment in the regulated gambling industry.

In addition, we propose to amend numerous questions to better align terminology used within regulatory returns (eg Profit or Trading Results to be replaced with the term 'GGY'). Also, to reword questions to provide clarity and consistency across multiple activities.

[1] <#_ftnref1> Now known as Research, Prevention and Treatment.

Question 2.1

Do you agree with the proposals?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

2.2 Remove the requirement for licensees to report premise acquisitions and disposals.

We propose to remove the requirement for non-remote licensees to report premises acquisitions and disposals to us via regulatory returns.

Instead, we will monitor acquisitions and disposals via improved liaison with premises licensing authorities (ie local authorities), with an option for us to build a new digital service allowing licensees to self-log and maintain lists of premises with us in the future.

Question 2.2

Do you agree with the proposal?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

2.3 Remove the requirement for non-remote casino licenses to report data on a casino-by-casino basis

We propose to remove the requirement for non-remote casino licensees to report data to us in regulatory returns on a casino-by-casino basis. We will instead collect aggregated data from non-remote casinos to align with methods used for other sectors.

However, we may require this aggregate level data to be split by 'High End London' casino and 'Other' casinos^[1] .

^[1] We will clarify the definition of 'High End London' in the guidance notes to any new regulatory returns system.

Question 2.3

Do you agree with the proposal?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

2.4 Remove the requirement for gambling software licence holders to report individual gambling software titles

Regulatory returns contain a legacy requirement for gambling software companies to supply details of all their active software titles.

This requirement has been superseded by the roll-out of our **Games Register** <<https://www.gamblingcommission.gov.uk/for-gambling-businesses/Compliance/Sector-specific-compliance/Remote-and-software/Games-register.aspx>> , which is now the primary system for the submission of details of games and relevant test reports by gambling software licences holders.

We therefore propose to remove software titles collection from regulatory returns.

Question 2.4

Do you agree with the proposal?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

2.5 Enhance the operational information section of regulatory returns with more consumer and safer gambling questions

We propose to add new operational information questions to regulatory returns focusing on consumers and safer gambling.

The additional or expanded questions cover complaints and disputes, customer accounts (remote sector only), customer incidents (non-remote sector), customer interactions, marketing and advertising, problem gambling and people experiencing gambling-related harm, safer gambling tools, and self-exclusion.

We also intend to modify our questions on research, prevention and treatment and propose to add three financial information questions, related to B2B and Betting Real Events.

The full list of proposed new questions is provided in the below drop-down box.

Regulatory returns- proposals for new questions

Operational information – consumers and safer gambling

1 Complaints and disputes

- a % Complaints resolved within 8 weeks.

This new question is linked to our requirement that licensees give customers the option to refer their complaint(s) to an ADR entity if it they are not resolved within 8 weeks. It will give us an indication of the performance of a licensee's complaints process. Additional information on complaints handling can be found here:

<https://www.gamblingcommission.gov.uk/PDF/Complaints-and-disputes-procedural-information-provision-and-reporting-requirements.pdf>

<<https://www.gamblingcommission.gov.uk/PDF/Complaints-and-disputes-procedural-information-provision-and-reporting-requirements.pdf>>

- b Complaints logged, split by type.

We currently ask for total quantities of complaints logged in our regulatory returns. This revised question is for licensees to split total complaints, disputes and referrals by the following types: self-exclusion, safer gambling tools and interactions, marketing and advertising, customer service, transactional issues, withdrawals, bonus or promotional offer terms, and other. This will give us more detailed insight into the types of customer complaints logged. More guidance around these types would be inserted into the following document:

<https://www.gamblingcommission.gov.uk/PDF/Complaints-and-disputes-procedural-information-provision-and-reporting-requirements.pdf>

<<https://www.gamblingcommission.gov.uk/PDF/Complaints-and-disputes-procedural-information-provision-and-reporting-requirements.pdf>>

- c Referrals to ADR entity logged by the operator, split by type.

We currently ask for total quantities of referrals to ADR entities logged in our regulatory returns. This revised question is for licensees to split total complaints, disputes and referrals by the following types: self-exclusion, safer gambling tools and interactions, marketing and advertising, customer service, transactional issues, withdrawals, bonus or promotional offer terms, and other. This will give us more detailed insight into the types of customer complaints which are referred to ADR entities.

2 Customer accounts (remote sector only)

- a Average time for customer fund withdrawals (GB only).

This new question is a broad measure to enable us to understand the level of 'friction' when customers withdraw funds; which our data on complaints suggests is an issue for customers. While we recognise that the length of time a withdrawal takes is, to some extent, determined by payment providers and the banking system, other delay can be attributed to licensees' internal processes. We propose to define "average time for customer fund withdrawals" as:

"The average (arithmetic mean) of all withdrawals, as measured from the time that the withdrawal was requested by the customer to the time it was sent for processing to the operator's payment provider".

- b Total number of accounts active in the return period (GB only).

Previously we have only asked licensees to report the total quantity of 'active' customer accounts (defined as those with activity in the last 12 months). This additional question will enable us to directly relate active customer activity with the gambling activity (represented by GGY) reported for a specific quarterly period.

- c Number of dormant accounts (GB only).

This new question is proposed to enable us to understand the level of dormant customer accounts held by a licensee.

- d Funds held in dormant accounts (GB only).

This question, linked to the previous one, is to enable us to monitor the level of customer funds held in dormant accounts.

3 Customer incidents (non-remote sectors only)

- a Incidents (incidences of crime and disorder) not requiring police.

Our current regulatory returns require licensees to report the total quantity of 'incidents requiring police'. This provides a proxy indicator for us to understand the levels of crime and disorder associated with gambling premises but does not cover the multitude of incidences where crime or disorder does not result in a police call-out. We want to more fully measure the levels of crime and disorder associated with gambling premises and are therefore proposing this new question. Stakeholder views on this, or an alternate measure, are welcomed.

4 Customer interactions

- a Customer interactions logged by the operator, split by type.

We currently ask for total quantities of customer interactions logged in our regulatory returns. This revised question is for licensees to split total customer interactions by the following types: emails and sms; pop up; live chat; telephone call; face-to-face in a gambling premise. This will give us more detailed insight into the types of customer interactions logged by operators; which will support our analysis on their scale of use and effectiveness. Note that not all interaction types will be applicable to all gambling businesses.

- b Customer interactions initiated by the operator.

This new question seeks to understand, of the total quantity of customer interactions logged by an operator, how many were initiated by the operator, rather than by the customer. We are not proposing for this data to be split by type of interaction.

We define customer interactions initiated by the operator, as those proactively initiated by the operator in line with LCCP requirement for operators to identify customers who may be at risk of or experiencing harms associated with their gambling. The operator then interacted with them in order to minimise their risk of experiencing harms associated with their gambling. Customer initiated interactions are defined as interactions initiated by a customer who raised concerns with the operator about being at risk of or experiencing harms associated with their gambling.

5 Problem gambling or people experiencing gambling-related harms

- a Number of active customers identified as moderate risk gamblers (remote only).

This question links to the LCCP Social responsibility code provision 3.4.1 and our requirement for licensees to identify customers who are at moderate risk of experiencing harms associated with gambling. The data derived from this question will enable us to monitor the numbers of moderate risk customers on a per licensee basis.

- b Number of active customers identified as problem gamblers.

This question links to the LCCP Social responsibility code provision 3.4.1 and our requirement for licensees to identify customers who may be at risk of or experiencing harms associated with gambling. The data derived from this question will enable us to monitor the numbers of 'problem gamblers' on a per licensee basis.

- c % of total GGY from top 10% of customers by losses (remote only).

This question will help us understand more about the distribution of GGY across the player base, particularly for those who may be potentially experiencing gambling-related harms due to high levels of spending.

6 Safer gambling tools

- a Number of deposit limits applied by customers (remote only).

This question is one of four to replace the existing single question on time and money limits. We are proposing to split 'time and money' limits into component parts, to enable us to better understand the application of these safer gambling tools.

- b Number of deposit limits reached (remote only).

This question is one of four to replace the existing single question on time and money limits. We are proposing to split 'time and money' limits into component parts, to enable us to better understand the application of these safer gambling tools.

- c Number of time limits applied by customers.

This question is one of four to replace the existing single question on time and money limits. We are proposing to split 'time and money' limits into component parts, to enable us to better understand the application of these safer gambling tools.

- d Number of time limits reached.

This question is one of four to replace the existing single question on time and money limits. We are proposing to split 'time and money' limits into component parts, to enable us to better understand the application of these safer gambling tools.

7 Exclusions

- a Self-exclusion breaches detected by the operator.

This question will enable us to understand the effectiveness of a licensee's procedures to identify self-exclusion breaches, in accordance with LCCP Social responsibility code provisions 3.5.1 and 3.5.3. We currently ask licensees to report to us the total number of self-exclusions made by their customer base. We want to introduce this additional question to understand the breakdown of breaches between those identified by the licensee and those the licensee becomes aware of because a customer has complained or informed them that they were able to breach.

- b Operator bans as a result of safer gambling concerns.

We propose to add this question to understand how many customers an operator has banned because they were not content to continue the relationship due to safer gambling concerns. This question is about bans made directly by an operator with a customer and would not include exclusions made via GAMSTOP or other multi-operator exclusion schemes.

8 Research, prevention and treatment (formerly research, education and treatment).

- a Contributions made to approved beneficiaries in the period covered by this return - name of beneficiary.

This is one of two new simplified questions, replacing the existing seven RET questions in regulatory returns. Data from these questions will allow easier analysis of RET contributions by licensee and across the industry.

- b Contributions made to approved beneficiaries in the period covered by this return (-£value of contribution).

This is one of two new simplified questions, replacing the existing seven RET questions in regulatory returns. Data from these questions will allow easier analysis of RET contributions by licensee and across the industry.

Financial information - other new questions

9 B2B

- a eSports – Revenue Share (GB only).

This additional question corrects inconsistencies in our question set, which includes eSports in other sections of regulatory returns. Adding these questions will enable us to collect and publish channel-based eSports statistics.

10 Betting real events

- a eSports GGY and eSports Turnover (off-course betting and remote).

We already ask for eSports betting data (GGY and turnover) in some regulatory return types. This change extends the questions to off-course betting and remote, improving consistency across licence types and enabling us to collect and publish channel-based eSports statistics.

- b Tennis GGY and Tennis Turnover (off-course betting).

We already ask for tennis betting data (GGY and turnover) in some regulatory return types. This change extends the questions to off-course betting, improving consistency across licence types and enabling us to collect and publish channel-based tennis statistics.

Question 2.5

Do you have any comments on our proposals for the new and modified regulatory returns questions?

Please respond in the comments box below

2.6 Link the requirement for licensees to submit quarterly or annual returns to the aggregate maximum GGY permitted by all of their licences

We currently require some of our licensees to submit annual returns and others to submit quarterly returns – based on the sector their licences relate to. We propose to change this requirement from a sector to an aggregated GGY basis and link the requirement for licensees to submit either quarterly or annual returns to the aggregate of GGY that each of their licences permits.

Therefore, to determine whether a licensee submits a quarterly or an annual return, we would add together the ‘upper level’ of GGY permitted by the fee category for each licensed activity the licensee holds a licence for. This would give us an aggregated ‘total maximum’ GGY amount for each operator.

For example, an operator with the following fee categories would be allowed to generate the following maxima of GGY in reliance on each licence:

AGC – Category A1 – maximum GGY of £200,000

Bingo – Category A2 – maximum GGY of £750,000

Maximum aggregated GGY = £950,000

We would then set a GGY level across the industry above which a quarterly return would be required. If an operator’s aggregated total permissible GGY is below this threshold, we would only require them to submit an annual regulatory return.

For example, larger bingo operators may change from annual returns to quarterly returns, whereas small remote sector operators, with no or few other licensed activities, may change from quarterly returns to annual.

We have not yet determined the levels for this differentiation, but it is likely to be around £5million (aggregated total GGY, based on the upper level of GGY allowed for each licensed activity an operator holds).

This proposal will improve our visibility of licensees who contribute most industry GGY while reducing the regulatory burden on smaller operators. Overall, we have assessed that this will reduce the total number of regulatory returns we collect from the industry.

Question 2.6

Do you agree with the proposal?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

2.7 Improve our digital service for regulatory returns collection (eServices)

We propose to improve the usability, accessibility and availability of our eServices system for the submission of regulatory returns; possibly building a new digital service.

We are exploring adding additional tailoring to the regulatory returns part of eServices, allowing licensees to specify at the start of the report submission which of their licensed activities they have conducted.

This will enable us to remove sections from the regulatory return which are not relevant for that licensee for that period's return.

We are considering options for multi-format data submissions of regulatory returns. For example, a Commission approved software package, technical specifications for licenses to develop their own software, or an Application Programme Interface (API).

Question 2.7a

Do you agree with the proposals?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

Question 2.7b

Do you have any other suggestions to improve our systems for regulatory return data submissions?

Please respond in the comments box below

2.8 Proposal to discontinue collecting monthly non-remote casino drop and win data

We propose to stop collecting monthly casino drop and win data from non-remote casino licensees; and stop producing our monthly Casino Drop & Win publication.

Casino Drop & Win reporting originated under the Gaming Board of Great Britain. The reports provide data on non-remote casino drop, win and attendance; together with calculations for house win/drop percentage and win/drop per head. Data is collected from licensees via email, aggregated to regional level and published monthly.

The data is provided to us on a voluntary basis. A Casino Drop & Win – Summary Report (containing drop and win data points only) is published on our website and is classified as an Official Statistic.

A more detailed Casino Drop & Win – Full Report, containing the other reported and calculated data fields, plus lists of active/inactive/closed casinos was also produced for the National Casino Forum (until December 2019).

We have reviewed our Casino Drop & Win reporting requirements and concluded that the data non-remote casino licensees supply us on a quarterly basis, through regulatory returns, is sufficient to meet our regulatory needs.

This proposal also reflects the **Code of Practice for Statistics** <<https://www.statisticsauthority.gov.uk/wp-content/uploads/2018/02/Code-of-Practice-for-Statistics.pdf>> , which requires that statistics we produce must be equally available to all, and not be released to partially or to selected audiences.

We will continue to publish casino financial data from regulatory returns in our biannual Industry Statistics publications.

Question 2.8

Do you agree with the proposal?

Please select only one item

☒ Yes ☐ No

Please give reasons for your answer in the comments box below

2.9 Industry statistics - review of user requirements

We propose to make improvements to our Industry Statistics publication.

Good practice, and the **Code of Practice for Statistics** <<https://www.statisticsauthority.gov.uk/wp-content/uploads/2018/02/Code-of-Practice-for-Statistics.pdf>> , requires that we regularly review the effectiveness of our statistics publications and ensure that they meet user needs. Our primary statistics publication of regulatory data is **Industry Statistics** <<http://www.gamblingcommission.gov.uk/news-action-and-statistics/Statistics-and-research/Statistics/Industry-statistics.aspx>> .

For this consultation, we are gathering views on the following proposals:

- **Time lag.** There is currently a lag of 7-8 months from the end of the reporting period to publication of Industry Statistics. We want to reduce this. Our initial target is to publish Industry Statistics within 6 months of the reporting period end; aiming for a 3-month time lag in the future.
- **Time period.** Industry Statistics currently report data from 1 April to 31 March (November publication) and from 1 October – 30 September (May publication). This is an incongruous time period which is not useful for users. We propose to change the latter to 1 April to 30 September (ie a true half-year update).
- **Quarterly reporting.** We propose to publish Industry Statistics data broken down by quarterly periods, within our biannual publications. This would enable users to compare quarterly performance with other market indicators, to understand quarter-on-quarter change and to analyse the data from a calendar year / European financial year, UK financial year or US financial year perspective.
- **Accessibility.** We are proposing to publish Industry Statistics as a PowerBI-based report containing interactive charts, embedded within our website.^[1] <#_ftn1> This will replace the current PDF document. Alongside, we will continue to publish industry data as a downloadable Excel data table (but without charts).
- **Content.** We plan to stop publishing detailed Non-GB data in the Remote section of Industry Statistics, as we propose to no longer collect this data in full.
- **Time series.** We plan to reformat the MS Excel version of Industry Statistics, so that the data is presented as a time series, making it easier for analysts to export and interrogate the data.
- **B2B.** We recognise that there are inconsistencies within Industry Statistics over the presentation of B2B data points. To aid clarity, we propose to present all B2B data (gambling software and gambling machine technical) in a separate section.

Most of the changes above are, in large part, contingent on implementation of the regulatory return improvements proposed earlier in this consultation.

[1] Users will not require PowerBI software licences to view or interact with the report.

Question 2.9a

Do you agree with the proposals?

Please select only one item

☐ Yes ☐ No

Please give reasons for your answer in the comments box below

Question 2.9b

Do you have any other suggestions on how we could improve Industry Statistics?

Please respond in the comments box below

Impact assessment and next steps

Impact Assessment

These changes will affect all licensees, both those with operating licences and – to a lesser extent – personal licence holders. Other persons impacted are users of our official statistics publications.

While this consultation proposes changes to our LCCP, regulatory returns and related matters, the balance of the revisions are deregulatory in nature.

Next steps

After the consultation closes, we will collate and evaluate the responses. We will then publish one or more consultation response documents within three months of the closing date.

The consultation response document(s) will provide further detail on implementation of the final regulatory data changes.

Any changes to the LCCP as a result of this consultation will most likely take place in October 2020. Some changes may be contingent on us updating or rebuilding parts of our data collection system (eServices).

In these cases, if we do not have sufficient time to implement the necessary IT changes by October 2020, we will delay changing the related LCCP sections until the new IT arrangements are in place. In all cases, we will give licence holders a minimum of three months' notice before LCCP changes come into force.

For regulatory return changes, we recognise that licensees will need time to reconfigure their systems and processes to align with the new arrangements; and to start collecting the necessary data if we introduce new data points. To assist this process, we will consider adopting a phased implementation and allow for a transition period.

Changing eServices for the collection of regulatory returns will take some time. We will provide an indication of the planned 'go live' for the new system in the consultation response document(s).

Alongside any changes to the information requirements contained in the LCCP or within regulatory returns, we plan to produce updated guidance documents for licensees.

Changes to our official statistics publications will also be notified in the consultation response documents and on the relevant pages of our website.

Any redesign or rebuilding of eServices will likely require further user-level consultation.

Before you submit your response

We have a few questions we would like to ask you to improve future consultations.

How did you hear about this consultation?

Please select only one item

- ☐ Social media ☐ Word of mouth ☐ Gambling Commission website ☐ Broadcast (News, TV, or radio)
☐ Newspaper (print or online) ☐ Website (non-government) ☐ Other

If you answered other, please specify

Overall, how satisfied were you with our online consultation tool?

Please select only one item

- ☐ Very satisfied ☐ Satisfied ☐ Somewhat satisfied ☐ Disappointed

How could we improve this service?