



**National
Lottery**

**Code of Practice
Vetting Procedures**



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Purpose of this Code of Practice

Clause 19.10 of the Licence to Operate the National Lottery dated 27 February 2014 (the "Licence") requires Premier Lotteries Ireland DAC ("PLI") to prepare and submit to the Regulator of the National Lottery (the "Regulator") for approval a code of practice concerning the vetting of employees to be carried out prior to their recruitment by, or secondment to, the Licensee and, by any contractor or sub-contractor (under a Lottery Contract or Lottery Sub-Contract) nominated by the Regulator.

Schedule 5 of the Licence requires that "At least once in each Financial Year and at any other time when directed by the Regulator, the Licensee shall review each code and the manner of its operation to determine whether amendments should be made to it."

In accordance with Clause 19.10 of the Licence, this Code of Practice is intended to set out the vetting procedures to be followed when engaging employees, agency workers, contractors or sub-contractors for PLI. Vetting is carried out to ensure that, employees, agency workers, contractors and sub-contractors are suitable and appropriately qualified for the roles to which they are appointed.

Vetting Procedures

The approach to Vetting Procedures is classified under 3 headings:

1. Vetting in respect of Prospective Employees;
2. Vetting in respect of agency personnel and contractors contracted to PLI; and
3. Vetting in respect of contractors and sub-contractors (under a Lottery Contract or Lottery Sub-Contract) nominated by the Regulator.

1. Vetting in respect of Prospective Employees

Vetting is carried out under the following headings:

- Legal entitlement to work in Ireland;
- Declaration;
- Educational qualifications – where specific qualifications are required for a role;
- References;
- Fitness to work; and
- Probity and reputation (where appropriate).

To ensure that each stage of the vetting procedure is completed prior to the appointment of a new employee, the HR Department will complete the processes set out in the checklist at Appendix 1 of this Code of Practice.

Notification to Prospective Employees

A candidate who attends for interview in PLI will be informed of PLI's policy with regards to vetting. Candidates will be informed at interview stage that PLI carries out pre-employment checks in accordance with data protection principles and candidates will be required to confirm their written consent to such checks being carried out.

Legal Entitlement to Work in Ireland

A candidate being considered for a role in PLI must be legally entitled to work in Ireland.

If the candidate is not an EU national or a national of the EEA or Switzerland, the candidate must produce evidence of their right to work in Ireland as follows:

- (a) Evidence that they are permitted to live and work in Ireland;
- (b) Evidence that they have been granted refugee status in Ireland;
- (c) Evidence that they have been granted permission to operate a business in Ireland;
or
- (d) Evidence that they are a registered student who is permitted to work a maximum of 20 hours per week in Ireland.

A candidate claiming a right to work in Ireland under any one of the headings (a), (b), (c) or (d) above must produce evidence of identity in the form of a passport, an employment permit, an "in date" stamp on a Garda National Immigration Bureau (GNIB) card and/or such other documentary evidence which may be requested depending on the candidate's particular circumstances. A copy of these documents must be supplied to the HR Department before an offer of employment is made. Where the offer of employment is accepted by the candidate, there will be a requirement for the candidate to provide ongoing evidence of his/her continuing legal entitlement to live and work in Ireland during the course of his/her employment.

Declaration

It is a condition of the offer of employment at PLI that prospective employees complete, to the satisfaction of PLI, a declaration form. A copy of the form is at Appendix 2 of this Code of Practice.

Educational Qualifications

Where a candidate is being considered for a role that requires a specific qualification, for example, a qualified accountant, or a qualified solicitor, they must present evidence of having the qualification. Prospective employees are required to provide a certified copy of their certificates, degrees or diplomas to the HR Department before an offer of employment is made.

References

Before an offer of employment is made, prospective employees will be required to provide the names, contact phone numbers and e-mail addresses of two representatives of former employers who can provide a reference. One of these should be the candidate's current employer. Where a candidate is reluctant to seek a reference from a current employer, they must select another referee. However, they must agree that their current employer may be contacted once a contract has been agreed.

References must be checked using PLI's standard telephone reference form. The telephone conversation with the referee must be recorded on the reference form and placed on the candidate's personnel file.

Fitness to Work

All preferred candidates will be required to undertake a pre-employment medical with a medical practitioner selected and paid for by PLI to determine that the candidates are medically certified as fit for work.

Probity and Reputation

The purpose of requiring candidates to make a self-declaration as to their probity and reputation is to establish that, if they were employed by PLI, their conduct and behaviour would not bring PLI or the National Lottery into disrepute.

This requirement is only required for candidates prior to their appointment to roles at level 3 and above. Relevant candidates will be required to complete a declaration of good repute.

2. Vetting in respect of agency personnel and contractors contracted to PLI

An agency providing temporary or contract staff to PLI will be issued with a copy of this procedure and will be required to confirm their agreement in writing to adhere to its terms. Before a temporary or contract worker is engaged by PLI, the agency will be required to confirm to PLI in writing that they have carried out the following checks:

- Legal entitlement to work in Ireland;
- Declaration;
- Educational qualifications – where specific qualifications are required for a role;
- References; and
- Fitness to work.

Legal Entitlement to Work in Ireland

An agency must verify in writing to PLI that the individual is legally entitled to work in Ireland before that individual's engagement commences and must provide PLI with documentary evidence of the individual's right to work in Ireland (for example, a copy of the individual's passport or employment permit etc.) before that individual's engagement commences. The agency will be required to provide PLI with written confirmation of the individual's continuing legal entitlement to work in Ireland during the course of his/her engagement.

Declaration

It is a condition of the engagement with PLI that agencies ensure individuals complete, to the satisfaction of PLI, a declaration form in the form set out at Appendix 3 of this Code of Practice. A completed and signed declaration form must be provided to PLI in respect of each individual before each individual's engagement commences.

Educational Qualifications

Where an individual is being considered for a role that requires a specific qualification, for example, a qualified accountant, or a qualified solicitor, they must present evidence of having the qualification. Agencies are required to provide a certified copy of certificates, degrees or diplomas to the HR Department before that individual's engagement commences.

References

Before an individual's engagement commences, an agency must supply PLI with written evidence of at least two reference checks carried out by the agency in respect of the individual.

Fitness to work

Before an engagement commences, an agency must confirm to PLI the fact that the individual is medically fit for work.

3. Vetting in respect of contractors and sub-contractors (under a Lottery Contract or Lottery Sub-Contract) nominated by the Regulator

A contractor or sub-contractor providing a service to PLI (under a Lottery Contract or Lottery Sub-Contract) nominated by the Regulator must ensure that they are fully compliant with this Code of Practice in respect of persons assigned to provide the service and must confirm on an annual basis that they are compliant with this Code of Practice.

Before a contractor or sub-contractor is engaged by PLI, they will be required to confirm that they have carried out the following checks:

1. Legal entitlement to operate in Ireland;
2. Security Declaration; and
3. References.

Legal Entitlement to operate in Ireland

A contractor or sub-contractor must verify in writing to PLI that their company/employees is/are legally entitled to operate/work in Ireland before the engagement commences. In the case of employees, the contractor or sub-contractor must provide PLI with documentary evidence of the employees' right to work in Ireland before the engagement commences. The contractor or sub-contractor will also be required to provide PLI with written confirmation of the employees' continuing legal entitlement to work in Ireland during the course of their engagement.

Declaration

It is a condition of the engagement with PLI that the contractor or sub-contractor ensures that its employees complete, to the satisfaction of PLI, a declaration form in the form set out in Appendix 4 of this Code of Practice. A completed and signed declaration form must be provided to PLI in respect of each employee before each employee's engagement commences.

References

Before an engagement commences, a contractor or sub-contractor must supply references from two previous engagements and verify to PLI in writing that their employees have been reference checked.

Appendix 1: Vetting Checklist

The following checklist should be used to ensure that the relevant checks have been carried out before an engagement commences:

Name:

Role Being Considered for:

HR Representative:

	Legal Entitlement to Work in Ireland	Yes / No
	Vetting in respect of Prospective Employees	
	Have you received documentary evidence of the candidate's entitlement to work in Ireland? If no, please explain why not?	
	Vetting in respect of Agency personnel and contractors contracted to PLI	
	Has _____ (the Agency) verified in writing that the individual is legally entitled to work on Ireland and provided documentary evidence of this fact? If no, please explain why not?	
	Vetting in respect of contractors and sub-contractors (under a Lottery Contract or Lottery Sub-Contract) nominated by the Regulator	
	Has _____ (the Contractor) verified in writing that their company/employees are legally entitled to operate/work in Ireland and provided documentary evidence of this fact? If no, please explain why not?	

	Declaration	Yes / No
	Have you received a signed Declaration Form from the above?	

	Educational Qualifications	Yes / No
	Does this role require specific Educational Qualifications?	
	If yes, have a copy of the relevant certificates, degrees or diplomas been supplied to PLI?	

	References	Yes / No
	Have you completed/received at least two references checks in respect of the above?	

	Fitness to Work	Yes / No
	Has the above been declared/verified (by agency) medically fit to work?	

	Probity and Reputation (Level 3 Manager or Above)	Yes / No
	Have you received a signed Declaration of Good Repute from the above?	

Appendix 2: Declaration Form – Prospective Candidate

Satisfactory completion of this form is a pre-condition to an employee commencing work at Premier Lotteries Ireland DAC. The purpose of the form is to provide Premier Lotteries Ireland DAC, as your prospective employer, with a declaration that you are a suitable person to carry out the role for which you are being recruited.

Name:	
State your home address:	
Date of birth:	

I am being considered for a role as (state job title) _____ in Premier Lotteries Ireland DAC.

I declare that I have never been convicted of a criminal offence (other than an offence under the Road Traffic Acts 1961 – 2014). I am aware that I am not now, or in the future, required to disclose to PLI details of any conviction regarded as spent under the Criminal Justice (Spent Convictions and Certain Disclosures) Act 2016, but that, in accordance with section 10 of that Act, this does not however apply in the case of any conviction in respect of offences specified in Part 1 or 2 of Schedule 1 of that Act or those specified in Schedule 3 of the National Vetting Bureau (Children and Vulnerable Persons) Acts 2012 to 2016.

I further confirm that I have not been subject to the sanction of serious or gross misconduct in any previous employment nor have I been subjected to any sanction(s) or investigations from any professional body and/or any regulatory authority.

Signed: _____

Signed by a Witness: _____

Name of Witness: _____

Date: _____

Appendix 3: Declaration Form – Agency

Satisfactory completion of this form is a pre-condition to an individual commencing an engagement at Premier Lotteries Ireland DAC. The purpose of the form is to provide Premier Lotteries Ireland DAC with a declaration that you are a suitable person to engage.

Name:	
If you are employed by a recruitment agency, state the name of the agency:	
State your home address:	
Date of birth:	

I am being considered for an engagement in Premier Lotteries Ireland DAC.

I declare that I have never been convicted of a criminal offence (other than an offence under the Road Traffic Acts 1961 – 2014). I am aware that I am not now, or in the future, required to disclose to PLI details of any conviction regarded as spent under the Criminal Justice (Spent Convictions and Certain Disclosures) Act 2016, but that, in accordance with section 10 of that Act, this does not however apply in the case of any conviction in respect of offences specified in Part 1 or 2 of Schedule 1 of that Act or those specified in Schedule 3 of the National Vetting Bureau (Children and Vulnerable Persons) Acts 2012 to 2016.

I further confirm that I have not been subject to the sanction of serious or gross misconduct in any previous employment nor have I been subjected to any sanction(s) or investigations from any professional body and/or any regulatory authority.

Signed: _____

Signed by a Witness: _____

Name of Witness: _____

Date: _____

Appendix 4: Declaration Form - Contractor / Sub Contractor

Satisfactory completion of this form is a pre-condition to a contractor / sub-contractor or their employees commencing an engagement with Premier Lotteries Ireland DAC. The purpose of the form is to provide Premier Lotteries Ireland DAC with an undertaking that you are a suitable person to engage.

Name:	
If you are employed by a contractor / sub-contractor, state the name of the contractor:	
State your home address:	
Date of birth:	

I declare that I have never been convicted of a criminal offence (other than an offence under the Road Traffic Acts 1961 – 2014). I am aware that I am not now, or in the future, required to disclose to PLI details of any conviction regarded as spent under the Criminal Justice (Spent Convictions and Certain Disclosures) Act 2016, but that, in accordance with section 10 of that Act, this does not however apply in the case of any conviction in respect of offences specified in Part 1 or 2 of Schedule 1 of that Act or those specified in Schedule 3 of the National Vetting Bureau (Children and Vulnerable Persons) Acts 2012 to 2016.

I further confirm that I have not been subject to the sanction of serious or gross misconduct in any previous employment nor have I been subjected to any sanction(s) or investigations from any professional body and/or any regulatory authority.

Signed: _____

Signed by a Witness: _____

Name of Witness: _____

Date: _____