

Recruitment and selection policy

Introduction

1. In order to achieve our strategic objectives, the Commission must be able to attract candidates with the right skills, experience, approach, and attributes. The purpose of the recruitment and selection policy is to ensure that in doing so, we will apply fair and open competition, ensure consistency and transparency throughout the process, and recruit on merit.
2. The policy and procedures outlined are in-keeping with the Commissions policy on equality and diversity, and all relevant employment legislation, including the Welsh Language Act.
3. There may be times when, owing to short-term operational needs, exceptions must be made to this policy. All such cases must be approved by HR.

Scope

4. This policy applies to the recruitment and selection of all employees to the Commission.
5. All employees involved at any stage of the recruitment and selection of people should be aware of and adhere to the contents of this policy. If any aspect of the documentation is unclear, then advice should be sought from HR before progressing.

Principles

6. There are a number of important principles which underpin the recruitment and selection policy:
 - Prospective candidates will have a reasonable opportunity to become aware of Commission vacancies (including any internal candidates who may be absent due to any form of long term leave), will have sufficient information on the vacancy, and will have a reasonable time in which to apply.
 - All candidates will be considered equally on merit throughout all stages of the recruitment and selection process.
 - Recruitment and selection decisions will be based on job related criteria (as outlined in the role profile) including skills, competency, relevant experience and ability. Any selection techniques applied will be reliable and relevant to the role.
 - Information relating to applicants will be treated with confidentiality and in accordance with the Data Protection Act (DPA) 1998. Applicants will have the right to feedback and to access any documentation held on them in accordance with the DPA.
 - On occasions when we recruit for roles based or working largely within Wales, we will ensure that the advertisement and recruitment literature, and interview process, complies with the Welsh Language Scheme.

Roles & responsibilities

7. All managers who are involved in recruitment and selection exercises are required to familiarise themselves with this policy document and procedural guidelines, and must ensure that the principles are applied in every case.
8. HR has responsibility for ensuring that the principles of this recruitment and selection policy are applied throughout the Commission. It also has a role in ensuring that recruitment decisions, throughout all stages of the process, are consistent with the Commissions aims.
9. Specific roles and responsibilities are as outlined within the Recruitment and Selection Procedural Guidelines at appendix 1.

Consideration of role

10. In considering whether to recruit to a particular role, and prior to putting forward the vacancy for approval, the recruiting manager must give full consideration to the skills and competencies that would complement and enhance the existing team. This may well not be the same skills and competencies that are already in place in similar or other roles, but rather we should actively seek to fill skills gaps. Particular attention should be given to recruitment to leadership positions, where skills in leading people, in a style which fits with the culture that the organisation is seeking to achieve, will in some cases be more important than technical skills.
11. HR has a clear role to play in ensuring that the mix of roles and skills across the organisation is appropriate and conducive to enabling the Commission to achieve its aims and objectives. The Directorate will, therefore, take an active role alongside line managers in making recruitment decisions and will closely scrutinise recruitment requirements, escalating any particular concerns as appropriate.

Vacancy approval

12. Recruitment to any new post must first be authorised by Management Board.
13. Recruitment to replace within an existing role must first be authorised by the relevant director, HR and Finance.
14. Where necessary, any one of these directors may escalate the approval to Management Board. This will generally be where the vacancy is at Head of function level or above or where recruitment to the role has Commission-wide implications.
15. On occasion, there may be a requirement for all vacancies, regardless of whether they are new or replacement roles, to be approved through Management Board.

Advertising

16. Advertisements and supporting literature must contain all relevant information to give candidates a clear picture of the job. At a minimum, the supporting documentation will include a comprehensive role profile, which will include details of the skills, experience, knowledge and competencies required. Further details, including timescales, of the selection process should also be included where possible.

17. The advertisement should clearly state whether the role is permanent or fixed term, full or part time, and the salary range to be applied. It should also make clear the closing date, which must allow for a reasonable time to apply.
18. There may be exceptions to the principles of appointing using open competition, for example, short-term appointments requiring a highly specialised mix of skills and experience. In these circumstances we may decide to source candidates through a specialist recruitment agency.

Permanent vacancies

19. It is normal practice that all vacancies for permanent posts will be advertised both internally within the Commission and externally. However, there may be occasions when, where time permits and it is considered that existing employees are likely to have the prerequisite skills, consideration may be given to advertising posts internally only.
20. Exceptionally, the relevant director in consultation with HR may waive the need to advertise. This is only likely to occur where positions may provide suitable alternative employment for existing employees whose post has been identified for redundancy, including the termination of fixed-term contracts or following a restructuring exercise or when a post has recently been advertised and the reserve candidates can fill the role.

Short term vacancies

21. Opportunities for short term posts will normally be advertised internally either in advance or at the same time as external advertisements. In order to minimise the impact of short term vacancies on the rest of the Commission, there may also be occasions when the vacancy is only advertised to employees within the same directorate as the vacant position, for example, a fixed term licensing team leader post might only be advertised to licensing officers. Employees must gain the consent of their development manager to enable them to be released from their current role for the duration of the short term post.
22. In some circumstances, for reasons of business continuity, it may not always be possible for short term vacancies to be made available to any Commission employee. If a requirement is identified for a short term post then a recruitment agency may be used to source an appropriate applicant.

Application process

23. At the application stage prospective candidates will be asked to send a CV and supplementary information or a completed application form asking them to outline their experience against key criteria. They will also be asked to submit a diversity monitoring form and an eligibility for employment and security clearance form. These 2 forms will not be available to either the shortlisting or interview panel.
24. The internal application process for temporary vacancies will normally require applicants to submit an 'expression of interest'.

Diversity monitoring

25. In order to ensure that our diversity policy is working in practice, and that there is no discrimination in the way we recruit, we will ask (but not require) all candidates to provide

information on the key characteristics that relate to equality and diversity in employment. The information will not be used for selection decisions.

26. The information will be used for monitoring purposes and to update confidential recruitment information on the employee database, under the terms of the Data Protection Act 1998. The information will be used to form statistical reports to assess the impact of the diversity policy and promote equality of opportunity.

Security clearance

27. In accordance with the Asylum and Nationality Act 2006 the Commission requires candidates to confirm their eligibility for employment before making any offer of employment. The information provided will not be used in the selection process.
28. In accordance with the Commission's security clearance policy all employees will be required to undertake a certain level of security screening and vetting which will be dependent on their role within the organisation. This screening will take place when an offer of employment is made
29. In accordance with the Rehabilitation of Offenders Act 1974 the Commission can request that applicants provide information on any spent/unspent convictions. Having a spent/unspent conviction will not prevent applicants from being considered for employment with the Gambling Commission. Offences declared will be considered in relation to their nature and seriousness in terms of the post applied for.

Selection

Shortlisting

30. Candidates will only be shortlisted for interview if they meet the essential criteria defined in the person specification. If the number of candidates meeting the essential criteria is excessive, further selection may be undertaken using the desirable criteria to achieve a workable shortlist.
31. Shortlisting will usually be undertaken by at least two individuals who are experienced in the recruitment process and who will go on to be involved in the interviewing process. Decisions not to shortlist a candidate must be clearly defensible and not based on subjective assessments. All managers sitting on shortlisting panels must be prepared to feedback to applicants not shortlisted why this was the case, and all applicants must be offered the opportunity to receive feedback.
32. If an employee involved in the recruitment process has a close personal or familial relationship with an applicant they must declare this as soon as they are aware of the application. Consideration will then be given as to whether or not they should participate in the recruitment process.
33. Note that the Commission is a user of the Disability Symbol (also known as the 'two ticks' symbol). This is a recognition given by Jobcentre Plus to employers who have agreed to take action to meet five commitments regarding the employment, retention, training and career development of disabled employees. In terms of recruitment and selection it means that the Commission will guarantee to interview all disabled applicants who have demonstrated that they meet the minimum criteria for a job vacancy – ie those criteria identified as 'essential'

Interviews

34. Interviews must always be conducted by a panel of at least two and ideally three members. Ideally, the panel will be made up of the development manager of the vacancy, another manager from the directorate, and a manager from elsewhere in the organisation. Where members of the panel lack interview panel experience it may also be necessary to involve a member of HR. All interviews for one post will normally be conducted by the same panel and where possible we will seek to ensure that the panel is as diverse as possible.
35. All candidates will be asked a standard format of questions, which will have been decided by the interview panel prior to the interviews. All questions must be related to the job requirements and the candidate's suitability to undertake the role.
36. The selection process will normally consist of one interview however there may be occasions when a second interview stage is required.
37. All managers sitting on interview panels must be prepared to feedback to unsuccessful candidates why this was the case, and all applicants must be offered the opportunity to receive feedback.

Skills Assessment

38. As part of the selection process, it may be beneficial to apply additional selection techniques. These further assessments must be directly related to the role in question and must be measurable against objective criteria. Candidates must be informed of the details when they are invited for interview and given sufficient opportunity to prepare if necessary. Advice can be sought from HR.

Travel Reimbursement

39. Any reasonable costs incurred to an individual as a direct result of attending an interview can be reimbursed but will not be paid if an offer of further interview or employment is rejected. Mileage and Public Transport rates will be in line with the Commission's Travel and Subsistence policy. Proof of purchase will be required for all claims where available. To make a claim, the candidate should contact HR for the appropriate expense claim form.
40. Where candidates are applying from overseas, advice should be sought in advance of travel as to what expenses might be payable.

Appointment

41. The choice of candidate will be determined by the majority view from the formal interview panel and will be based on an assessment of the candidate against the job criteria. The panel will take account of any other relevant information that has been generated as part of the selection process.
42. A formal offer of appointment will be conditional upon receipt of references which satisfy the Commission's requirements, satisfactory evidence of eligibility to work in the UK and other appropriate checks as applicable to the post.

43. After the formal offer stage we will ask the appointed candidate whether they wish to disclose a disability. This will enable us to make appropriate adjustments prior to them joining the Commission.

Confidentiality

44. All application details are treated with the utmost confidentiality. It is the responsibility of the recruiting manager and HR to ensure that suitable arrangements are made for confidentiality to be maintained.
45. The Commission will adhere to the provisions of the Data Protection Act throughout all stages of the recruitment and selection process.

Documentation

46. At all stages of the recruitment process, it is the responsibility of the panel to ensure that notes are kept detailing the reasons for selection or rejection of candidates. These notes could be called upon as evidence of the fairness of the process, either through an internal assessment or to support an external investigation. The notes should therefore be relevant to, and necessary for the process itself. It should be noted that applicants would normally be entitled to have access to interview notes about them which are retained as part of the record of the interview. All records must be handed to HR by the chair of the interview panel.
47. CVs, application forms and shortlisting/interview sheets, notes of unsuccessful candidates, diversity monitoring forms, and the eligibility for employment and security clearance forms will be retained for one year.

Exceptions to following the normal process

48. Recruitment by the process outlined in this document will always be pursued where possible to test the market and secure the best person for the role. The primary objective of permitting certain exceptions from that rule is to provide flexibility where it is genuinely necessary to meet the needs of the Commission, or where significant cost savings can be made. The Commission will allow exceptions to the recruitment principles to be made in the following areas, following approval by HR together with one other relevant director.
- short term appointments
 - where there is clearly only one suitable person for the post and that person was originally recruited by fair and open competition
 - when a recruitment exercise would be a genuine waste of time and resources
 - where a secondment is planned
 - where we have surplus acceptable candidates from a previous recruitment exercise within the last 4 months

Grievances

49. If you feel that this policy has not been applied consistently or have any concerns, you should in the first instance raise them with your development manager or HR.

50. Should your concerns not be rectified, you have the right to raise them using the Grievance Procedure.

Review

51. This policy comes into effect from 16 August 2010.
52. This policy is developed and maintained by HR and will be reviewed as necessary.

Related policies

- Single Equalities Scheme
- Data Protection Policy
- Equality & Diversity Policy
- Security Clearance Policy
- Values & Behaviours
- The Commission's People Strategy
- Grievance Procedure

Recruitment and selection procedural guidelines

Role profile

1. A role profile defines the purpose, scope and principal responsibilities of the vacancy. It provides a framework which outlines the expectations for the employee and the Commission and forms part of the contract of employment.
2. Before approval to recruit is given, the recruiting manager must create a role profile either by updating an existing one or by creating a new profile. HR will provide advice as required.
3. If the vacant position is not new the recruiting manager should use the opportunity to review and update the role profile with any changes to the role and responsibilities.

Approval of the vacancy

4. Approval for recruitment for both new and replacement posts must be granted prior to advertising the vacancy. This will require the completion of the approval form at appendix 3 to be forwarded in the first instance to HR who will seek approval as required.

Advertising

5. The recruiting manager and a member of HR will agree the most effective way to fill the vacancy. This may include press advertisements, the use of recruitment agencies, job centres or other sources. Consideration should be given to advertise in publications that broaden the diversity of applicants.
6. Each directorate will be allocated an annual recruitment budget to fund advertising and other recruitment and selection costs (eg psychometric tests, agency placement fees, room hire).
7. The responsibility for drafting advertising copy rests with HR who will prepare text in conjunction with the recruiting manager. If the Commission wishes to offer relocation assistance this should be stated on the advert. Prior agreement must have been obtained by the relevant Director and HR.
8. Where possible adverts or the vacancy information pack should include the interview date(s).

9. All vacancies that are advertised externally will be advertised on the Commission's website. In addition, vacancy advertisements can be placed on the following websites, depending on who the advertisement is to be accessible to. We may also use alternative recruitment websites as necessary.

Site	Who has access?
Gambling Commission intranet	Gambling Commission
DCMS intranet	DCMS
CS Vacancies	Civil Service surplus pool
Servicewide Gateway	Civil Service
Civil Service Recruitment Gateway	General public
Gambling Commission website	General public

10. It may be decided to advertise some vacancies internally only. In this case, the vacancy will be advertised on the Commission's intranet on the Recruitment & Selection page.
11. Closing dates should not be less than one week after the date of advertisement and will normally be between one and two weeks. Statutory holidays will be taken into account when determining closing dates. For senior posts it may be appropriate to have a longer closing date.
12. There may be times that it is more appropriate for a vacancy to be placed with one or more recruitment agencies to source suitable candidates. In this case, a member of the HR will contact the agencies and will negotiate placement fees before commissioning the work. There are various approved S-CAT/Catalyst recruitment suppliers which can be used.

Application process

Initial contact with potential applicants

13. Advertisements are designed to attract the attention of applicants, who are then encouraged to view the website for further details and to download a recruitment information pack. A hard copy format will be sent if requested.

Curriculum vitae & supplementary application form

14. It is Commission policy that applications are made by submission of a CV and supplementary information. This will normally require the candidate to submit competency based information. Candidates are encouraged to apply via the Commission website and recruitment email address to improve efficiency and to reduce costs.

Receipt of replies

15. All applications will be sent to and logged by HR. If applicants have applied by email, they will be sent an automated acknowledgement.

Shortlisting

16. Diversity and security clearance monitoring forms will be separated from the CVs with the information recorded and monitored anonymously. Information regarding disability will be

monitored by the recruitment administrator to ensure that disabled candidates who meet the minimum criteria will be invited to an interview.

17. If not the whole interview panel, the recruiting manager and one other member of the panel will undertake the shortlisting using the appropriate form. Shortlisting will normally be completed within 1 week of the closing date.
18. The confidentiality of applicant's details is of paramount importance. It is the recruiting manager's individual responsibility to ensure that suitable arrangements are made within her/his area for this confidentiality to be maintained. It is important under the Employment Practices Data Protection Code to ensure that personal data (such as CVs) is shared only with those that need to know involved in the recruitment process. Where it is necessary for applications to be taken off site for consideration, the utmost care should be taken regarding their security. For example, applications should not be left unattended in a vehicle or in any public place.
19. The shortlisting should be undertaken against the information compiled in the role profile. It is important to ensure that there is a consistent approach to the way in which personal data is used and assessed in the shortlisting process.
20. CVs and application forms will be assessed against the criteria for the job outlined in the role profile. The panel will use the Commission's standard assessment system which is outlined on the shortlisting form. The personal specification criteria may be 'weighted' for their relevant importance prior assessing the applications. The candidates with the highest assessment will be selected for interview. Desirable criteria should be used to reduce large numbers of applicants who appear to meet all the essential criteria.
21. Selection criteria cannot be changed or new criteria introduced at this stage. If experience suggests this is needed, the process will need to be restarted with the new criteria.
22. Notes will be kept on candidates to justify any decisions made regarding selection for interview. These must be written on the shortlisting form provided by HR, in order to maintain the appropriate records. The notes should, therefore, be relevant to and necessary for the process itself. It should be noted that applicants would normally be entitled to have access to notes about them which are retained as part of the record of the shortlisting exercise. The shortlisting forms and notes forming the basis for decisions must be signed and handed to HR.

Interviews

23. Following shortlisting, selected applicants will be invited for interview by a member of HR. The purpose of an interview is to facilitate the selection of the most suitable candidate for the post, although it should be recognised that this is only one part of the selection process.
24. Candidates will normally be told of the interview date when the post is advertised but should in any event be given at least one week's clear notice of an interview date. The invitation should include the details of any skills assessments and related preparatory work that they will be required to undertake prior to or as part of the recruitment process. The candidates should also be asked whether any reasonable adjustments are to be made for the interview.
25. Interviews do not always need to be held on a face to face basis, although this is best practice and recommended. Telephone interviews may be used if the shortlist has more

than 5 strong applicants. Video conference and/or telephone interviews will normally be used when candidates are based overseas and it is not practical to interview them in the UK.

26. For management or senior level appointments, it is recommended to have a two-step interview process and invite the top one or two applicants from the first interview stage back for a second and final interview and to meet other members of the management team or department.

Composition of interview panels

27. Interviews must always be conducted by a panel of at least two and ideally three members. Ideally, the panel will be made up of the development manager of the vacancy, another manager from the directorate, and a manager from elsewhere in the organisation. Where members of the panel are inexperienced it may also be necessary to involve a member of HR. All interviews for one post will normally be conducted by the same panel and where possible we will seek to ensure that the panel is as diverse as possible (ie will not be made up of 3 white male managers or 3 people with similar backgrounds).

Conduct of the interview

28. When conducting interviews the panel will make notes of questions asked and answers given. This will provide feedback and evidence of why the candidate has been selected or rejected. These notes must be signed and given to the HR representative. Just as with shortlisting, these notes should be relevant to, and necessary for the process itself. It should be noted that applicants will normally be entitled to have access to interview notes about them which are retained as part of the record of the interview.
29. The panel will determine, prior to the interview, the questions and areas of discussion which will be put to each candidate. Care must be taken to avoid questions which are discriminatory.
30. Selection criteria cannot be changed or new criteria introduced at this stage.
31. The panel will normally use the Commission's standard scoring system which is outlined on the interview assessment form.
32. It is helpful to appoint an interview panel Chair. As well as leading the process, the following are the administrative responsibilities of the Chair:
 - advise candidates what happens next
 - advise candidates that all employment is offered subject to satisfactory references which meet the Commission's requirements and other checks including CRB checks if appropriate to the role
 - check whether candidates require a work permit and seek evidence of eligibility to work in the UK. This should be asked of every candidate unless clearly irrelevant such as when their status has already been checked in a previous post
 - ask candidate whether they need to advise of anything that could adversely affect the Commission's or their reputation
 - collect completed notes and the signed Interview Assessment Forms from the panel members and hand them to HR.

33. It is important that interviews are conducted in a courteous and professional manner, since a badly managed and conducted interview could lead to an unsuccessful appointment or to legal action against the Commission or the individual(s) involved in the interview. The interview process is a key opportunity for the Commission to leave candidates with a positive impression.

Other selection activities

34. The recruiting manager may decide, in conjunction with HR, that candidates should undertake a skills or ability related test.
35. Presentations, skill tests or other activity that forms part of the selection process must be measurable against objective criteria and a written note made; again to be handed to the Chair of the selection panel to be retained by HR as part of the selection process.

The choice of candidate

36. Panel members will complete an interview assessment sheet which will assess the candidate's responses against the role profile criteria. The successful candidate will be the one with the highest assessment.
37. The panel will take account of any other information that will have been generated as part of the selection process. Where a majority agreement cannot be reached, the Chair will have the final decision.
38. There may be occasions when none of the candidates are assessed as meeting the criteria for the role. In this situation the panel must not appoint any of the interviewed candidates.
39. If the candidate selected does not take up the appointment, any decision to offer the appointment to the second choice applicant must be taken by the whole panel. Before the panel disbands it should agree, if possible, on the reserve candidate(s).
40. Reserve candidates may be offered a role if:
 - the first-choice candidate declines the role
 - the offer is made within 4 months of the interview
 - the offer is for the same job, within the same directorate
 - another vacancy arises for the same job in the same directorate within 4 months of the interview.

Offer of employment

41. HR must be consulted to provide detailed guidance and advice on determining an appropriate salary level. For further information refer to the Pay Guidance available on the intranet.
42. Normally, either the development manager or a member of HR will make an offer of employment by telephone, within two days of the interview. It must be made clear, however, that the offer is conditional upon the satisfactory completion of references, satisfactory evidence of eligibility to work in the

UK and other appropriate checks. HR will follow up an oral offer of employment in writing within 2 working days.

43. Normally, the Chair of the panel or a member of HR will notify unsuccessful candidates as early as possible of the outcome of their interview. This should be no more than five working days after the interview process has ended. Unsuccessful candidates will be notified in writing if it has not been possible to notify them orally.

Final administration

44. In order to finalise the recruitment process the following will be completed:
- all recruitment documentation is given to the HR for archiving. Documentation is kept for 12 months and then destroyed.
 - all diversity and security clearance monitoring forms for unsuccessful candidates are destroyed by HR after completion of the recruitment process and the appropriate recording of the information
 - all original copies of the details relating to the successful candidate are sent to HR for inclusion on the individual's personal file, together with their application/CV. All additional copies of candidate details used for interview purposes are collected and destroyed

Candidate feedback

45. Candidates often wish to gain feedback, in relation to either initial selection and/or interview, for their own development. It is Commission policy that feedback from shortlisting or interview will be provided by a member of the interview panel, normally the Chair.
46. This feedback should be judged against the selection criteria. It should be honest, but constructive. It is important to realise that a prospective employer can be held liable for unfair selection by a candidate and this feedback can be used as evidence. This, however, is a rarity if the feedback is honest and appropriate to the candidate. It is essential that both shortlisting forms and interview notes are completed in order that a professional approach may be taken.

Monitoring

47. The Commission will from time to time undertake audit exercises in order to monitor the effectiveness of this policy and procedures and its performance against the Diversity Policy and Single Equalities Scheme. Diversity information will also be submitted to the Management Board to review.

Unsolicited applications

48. It is acknowledged that the Commission may receive from time to time unsolicited applications, typically by way of receipt of a speculative letter or email. In such circumstances, the communication should be acknowledged and the author referred to the Commission's website for reference to current vacancies. The speculative communication should then be destroyed unless the author is specifically advised to the contrary.

Hiring temporary/interim workers

49. A recruitment agency may be used to source an appropriate applicant for a temporary vacancy.
50. There are various approved S-CAT/Catalyst suppliers which can be used. We have in place an arrangement with two external suppliers which is kept under review.
51. Recruiting managers must contact HR for assistance with obtaining temporary employees.

Roles and Responsibilities

Responsibility	Ownership	
	Manager	P&OD
Update role profile and submit for job evaluation if necessary	✓	
Undertake job evaluation		✓
Prepare business case for approval and forward to P&OD	✓	
Follow vacancy approval process		✓
Draft advertisement copy	✓	✓
Advertise vacancy		✓
Commission recruitment agencies		✓
Send out application packs if necessary		✓
Acknowledge receipt of applications		✓
Separate diversity/security forms from applications		✓
Agree shortlisting process/timescale	✓	✓
Shortlist and make appropriate notes	✓	
Provide feedback to unsuccessful candidates	✓	
Make interview/testing arrangements		✓
Invite candidates to interview		✓
Prepare shortlisting form and a copy of CVs/application form for the panel		✓
Prepare interview packs including a copy of the CV/application form and interview assessment forms for the panel		✓
Conduct interviews and make notes	✓	
Make offer of post and advise unsuccessful candidates	✓	✓
Provide feedback to unsuccessful candidates	✓	

Approval to Recruit/Replace

Post to recruit/replace:
(please attach job description)

Is this post a new post or a replacement post? new / replacement

If a replacement, who is leaving:

Have you had this post evaluated by HR?

If so, what is the proposed salary?

What type of contract are you intending to recruit: permanent / fixed term / consultancy
/ agency

If not permanent, what is the period of contract:

Have you revised the job description? If so, what are the main changes?

Why is it important that this post is recruited / replaced? (business case):

What will be the impact of not recruiting to this role?

Once completed, please forward to HR