

## Code of conduct for employees

### Introduction

1. The Gambling Commission's (the Commission) position as the regulator of the gambling industry requires that the Commission and its employees are able, at all times, to demonstrate that their actions and behaviour are beyond reproach. We want to ensure that you are protected from any situation where you might be seen as vulnerable to personal compromise of any kind, or situations which might lead to the integrity of the Commission being questioned. To support this, the Code of Conduct reflects the Commission's values and sets out the standards of behaviour that are expected of everyone who works with us and the ways in which the Commission will help you to avoid any unwarranted criticism or pressure. Throughout the Code of Conduct for Employees, the term 'employee' includes all employees and others working for the Commission.

### Gambling Commission values

<b>Fair</b>	We will be consistent, proportionate, evidence-based and free from bias, prejudice or discrimination in all that we do.
<b>Accountable</b>	We will be frank about the way in which we work and reach decisions in the public interest, while safeguarding the personal and confidential data that we hold.
<b>Professional</b>	We will ensure that we have the right skills and knowledge base and follow international regulatory best practice.
<b>Constructive</b>	We will work positively and courteously with our internal and external stakeholders to ensure that their needs and views are taken fully into account in all we do.

2. This Code sets out the framework within which you must conduct yourself and forms a part of the Employee Handbook and your contract of employment. This Code applies to everyone who works for the Commission and you will be required to confirm that you have read this Code as a part of your induction. We will, on occasions, ask you to review the Code and confirm that you have done so.
3. You should normally discuss any matters arising under the Code in the first instance with your Development Manager. If you, or your manager, require further assistance, you should refer the matter to the Head of Human Resources. Certain matters under the Code require declarations to be made to a Director. These requirements are summarised in Annex A.
4. This Code has been developed to reflect the Commission's values and covers the following areas:
  - general principles
  - gambling by employees
  - confidentiality and conflicts of interest
  - appointments on leaving the Commission
  - gifts and hospitality
  - political activities
  - promoting equality and respect
  - smoking
  - dealing with the media

- employee concerns about improper conduct and public interest disclosure
- use of Commission information systems.

## General principles

5. The Commission expects the highest standards of behaviour from employees at work and in their personal lives where the Commission's position might be affected. The general principles set out below apply to everyone who works with us. It is the responsibility of each individual to be aware of the standards of conduct expected of them and to apply this Code as a general guideline to their behaviour. However, we recognise that you may encounter particular personal circumstances that are not covered by the Code, or where the strict application of the Code may seem unreasonable. You should discuss any such circumstance with your manager in the first instance (or with the Human Resources team) and we will try to arrive at a solution which is fair and reasonable for you and the Commission.

**Integrity** - you should conduct yourself in a frank and honest manner and maintain the Commission's high standards of conduct, whether or not at work. You should treat all those you encounter, including colleagues, licensees and the public, courteously and follow the guidance in this Code and the Employee Handbook.

**Personal and financial affairs** - you should conduct your financial and other personal affairs in a frank and honest manner that does not leave you exposed to the risk of corruption or improper pressure. Major financial difficulties or changes of circumstances which might make you vulnerable, or appear vulnerable, to allegations of impropriety should be disclosed (in confidence) to the Head of Human Resources. In the event of financial difficulties, the Commission is able to offer access to external advice and support. Employees should not normally take steps to borrow money from, or lend to, other employees.

**Confidentiality** - working in the Commission involves access to sensitive and confidential information about individuals; about commercial organisations and their plans and about policy developments. You must ensure that such information is not used in any way directly or indirectly for your own benefit or for the benefit of any third party or disclosed to any person (whether Commission employees or otherwise) other than as required by law. This does not prevent an employee from exercising any of his or her other rights under the Public Interest Disclosure Act 1998 (see Whistle Blowing Policy at Appendix 11).

**Accountability** - while safeguarding information that should be kept confidential, you must remember that the Commission is committed to being open about the way in which decisions are reached and how our business is conducted. You must therefore take care to record and make available material to enable our stakeholders to understand our business.

## Gambling by employees

6. We recognise that gambling is a legitimate leisure activity and that a total ban on gambling activity by all Commission employees would be unduly restrictive and could be an obstacle to the recruitment and retention of people with direct experience of the sectors they are regulating. However, because of the Commission's role as the industry regulator, we have to place restrictions on the gambling that you can undertake to protect you and the Commission from the risk, actual or perceived, of bias, lack of objectivity, or impropriety.

### Restrictions on gambling and playing the National Lottery

7. No gambling of any kind (including spread betting, raffles, lotteries, phone or on line betting) is permitted on Commission premises, or using Commission equipment (including IT equipment whether at work or home and Commission-supplied mobile or BlackBerry type devices), at any time.
8. For gambling off Commission premises or using non Commission equipment, you will fall into one of two categories:
  - employees considered to be in a position to influence regulatory decisions or Commission employees having domain administrator privileges and/or access to software source code
  - other employees.
9. If you are unclear as to your status, you should seek guidance from your manager in the first instance or, failing this, the Commission's internal compliance officer which role is carried out by the Commission's Intelligence lead.

### **Employees in a position to influence regulatory decisions under the National Lottery etc. Act 1993**

10. You are prohibited from playing the National Lottery if you are in a position to influence regulatory decisions. You are in position to influence regulatory decisions if you are a Director or Programme Director or employee who has delegated authority to make decisions about the Licensing, Legal, Compliance or Enforcement functions in relation to the National Lottery.
11. Depending on their particular responsibilities, other employees may also fall into this category and, if you do, you will be informed of this by your manager.
12. The prohibition on playing the National Lottery does not extend to family members, but employees are encouraged to notify the Intelligence lead in the event that a member of the family were to win a substantial amount – subject always to the rights to anonymity afforded to winners.

### **Employees in a position to influence regulatory decisions under the Gambling Act 2005**

13. You are in a position to influence regulatory decisions if you are a Director or Programme Director or employee in the Intelligence, Licensing, Legal, Compliance and Enforcement functions. Also included are employees working in the ICT department having domain administrator privileges and ICT employees with access to software source code. Depending on their particular responsibilities, other employees may also fall into this category and, if you do, you will be informed of this by your manager.
14. If you are in a position to influence regulatory decisions, or you appear to be in such a position, you are not permitted to gamble in non-remote casinos, bingo halls, bookmakers premises, family entertainment centres, adult entertainment centres or with on-course bookmakers in Great Britain, or accept winnings from lotteries licensed by the Commission. If you are in this category, you are also encouraged to be aware of the potential risks to the Commission and yourself of gambling by members of your close family (which means partners and dependants).
15. If you are in a position to influence regulatory decisions, you may gamble remotely, ie by phone, television or internet, as there is a clear audit trail that would stand up to challenge. In addition, you may gamble whilst abroad. In all instances, however, you:

- must gamble only as a private individual and not identify your connection with the Commission
- must notify the Commission's Intelligence lead as to:
  - which operators you gamble with
  - any accounts opened
  - any significant individual wins or losses (ie above £500).
- are encouraged to notify any significant wins by members of your close family or by those you are with if visiting gambling premises (see below)
- must provide such additional relevant information as the Commission may need from time to time. Such information will be held in confidence, but will be available for any properly constituted investigation.

### **Other employees**

16. All other employees are permitted to gamble without restriction, but you:
- must not identify your connection with the Commission
  - must notify the Commission's Intelligence lead of any significant individual wins or losses (ie above £500)
  - are encouraged to notify any significant wins by members of your close family or by those you are with if visiting gambling premises
  - must provide such additional relevant information as the Commission may need from time to time. Such information will be held in confidence, but will be available for any properly constituted investigation.

### **Visits to gambling premises by employees in a position to influence regulatory decisions**

17. If you are in the Intelligence, Compliance or Enforcement functions, you may only visit non-remote casinos, bingo halls or bookmakers' premises in Great Britain in an official capacity or with prior agreement from a Director (for example for a special family occasion which it would be unreasonable for you to miss).
18. If you are in the other groups (ie Directors and Programme Directors and those in the Licensing, Legal function or applicable ICT role) to which the restrictions on gambling in non-remote casinos, bingo halls or at bookmakers etc apply (see paragraph 13), you may still visit (but not gamble on) such premises on official business or in your private capacity. Such visits may include unannounced visits, but these must be cleared in advance with a Director. Private visits should not take place if you are involved in any impending regulatory decision involving the relevant premises or operator. Any official or private visits must be notified as soon as possible to the Commission's Intelligence lead.
19. If you are visiting gambling premises in any capacity, whether in Great Britain or abroad, you should ensure that neither you, nor anyone with you, receive preferential treatment nor any form of hospitality not available to other players or visitors.
20. All employees are permitted to visit licensed racecourses or greyhound race tracks (subject to the restrictions on gambling described above). If you work in the Intelligence, Compliance and Enforcement functions, however, you should notify the Commission's Intelligence lead if you visit bookmakers' premises within a racetrack.

## **Confidentiality and conflicts of interest**

### **Confidentiality**

21. It is the nature of the Commission's work that you are likely to have access to sensitive information. This may cover, for example, sensitive commercial, political or personal

information. You must not (except in the proper course of your duties) either during your employment with the Commission or at any time after its termination (howsoever occurring), divulge sensitive information to any person; or otherwise make use of any confidential information relating to the business, policies, operations, affairs, interests or financial position of the Commission or any person, firm or body with whom the Commission has or has had any dealings. (In addition, you should use your best endeavours to prevent the unauthorised publication or disclosure of any such sensitive information).

22. Failure to adhere to this policy will be regarded as a serious matter and may amount to gross misconduct.

### **Conflicts of interest**

23. We recognise that you may legitimately have interests outside the Commission. However, you should be aware that the conduct of private business might give rise to actual or perceived conflicts of interest between your private position and that of the Commission. You should ensure that any possible conflicts of interest are identified at an early stage and that appropriate action is taken to resolve them (for example, informing your manager, seeking your manager's advice).

### **Private interests and possible conflict with public duty**

24. As a public servant you have a particular duty to ensure that you do not abuse, or raise any reasonable suspicion that you have abused, your public position in your own personal interest. In particular, you must not:
- use information gained in your work to advance your private financial or other interests, or the financial or other interests of other persons. There are circumstances in which this would be insider dealing, which is a criminal offence (see Annex B)
  - participate in the taking of any decision which could affect the value of your private financial or other interests, or the financial or other interests of those to whom you give investment advice. Such a conflict of interest could, in certain circumstances, result in legal action against the Commission and against you.
25. Further guidance is in Annex B and the Employee Handbook.

### **Shareholdings**

26. If you are in a position to influence the outcome of regulatory decisions (see paragraphs 10 and 13), or you appear to be in such a position, you are not permitted to hold shares directly in companies operating in the gambling industry which are, or which may be, licensed by the Commission. You should instruct anybody carrying out investments on your behalf of this constraint. This restriction extends to your close family. Other employees may fall into this category and, if so, you will be informed of this by your manager. If you are unclear as to your status, you should seek guidance from your manager in the first instance or, failing this, the Head of Human Resources.
27. If you are not in a position to influence regulatory decisions, you may invest in shareholdings and other securities connected to the gambling industry, unless the nature of your work is such as to require constraints on this, in which case you will be informed. You must not be involved in taking any decision which could affect the value of your private investments, or the value of those on which you give advice to others. In addition, you must not use information acquired in the course of your work to advance your private financial interests or those of others. You should be aware of the strict controls which apply to insider dealing, which is a criminal offence. Further details are in Annex B and

the Employee Handbook.

28. You must declare to the Head of Finance any business interests (including directorships) or holdings of shares or other securities that you or members of your close family hold, to the extent which you are aware of them, which you may be able to further as a result of your official position. Such interests are primarily likely to be interests and direct investments in the leisure sector. You must comply with any subsequent instructions from the Commission regarding the retention, disposal or management of such interests.

### **Business interests and outside occupations**

29. You may only have limited external business interests and occupations, provided that these do not interfere with your work or in any other way compromise the Commission's position. The starting point is that your principal paid occupation is with the Commission and nothing you do in addition to this should compromise your ability to fulfil your obligations to the Commission. The following general principles must be observed in respect of business interests and outside occupations:
- you must not engage in private activities which would require your attendance during office hours or impair your usefulness to the Commission by, for example, leaving you with insufficient time for rest and relaxation (for which you receive paid leave)
  - you must not be involved in occupations or other activities, which might conflict with the interests of the Commission or be inconsistent with your position as a Commission employee
  - you may only do things externally which depend upon your official experience if you first obtain the consent of a Director
  - generally you may only hold directorships in, or undertake work in or for, public or private companies, firms or other organisations - including in a consultancy or advisory role, with the consent of the Chief Executive. A single directorship may be allowed where individuals have the express permission of a Director. (The holding of a non-executive directorship of a small private 'family-type' company may also be permitted, if no conflict of interest is caused)
  - unremunerated directorships of charitable companies or similar organisations are permitted, provided there is no potential conflict of interest.
30. If, as a part of your work, you come into contact with matters concerning a business organisation in which you have an interest, then you must declare that interest to the Head of Finance.
31. You should not handle any official business where, because of private interests, your actions could be open to misunderstanding.
32. You should not carry out any private business transaction with an outside organisation with which you have had official dealings on behalf of the Commission unless, exceptionally, specific written approval is first obtained from a Director or Programme Director.
33. Directors, Programme Directors and Senior Managers will be asked to make a formal declaration of interests to the Head of Finance at least annually. This will include nil returns. The Commission will publish such declarations in accordance with its publication scheme.

### **Appointments on leaving the Commission**

34. Your duty of confidentiality continues after you have left the Commission's employment, whatever the reason for you leaving the Commission.

## **Rules on the acceptance of outside appointments after resignation or retirement**

35. Movement between the Commission and the regulated sectors should not be frustrated by unjustified public concern over a particular appointment. However, it is important that when a former Commission employee takes up an outside appointment there should be no cause for any suspicion of impropriety, so as to avoid:
- any suspicion that the advice and decisions of a serving employee might be influenced by the hope or expectation of future employment with a particular firm or organisation
  - the risk that a particular firm might gain an improper advantage over its competitors by employing someone who, in the course of their official duties, has had access to technical, commercial or other information which those competitors might legitimately regard as their own trade secrets.
36. For these reasons, if you are an employee who is in a position to influence regulatory decisions (see paragraphs 10 and 13) and are leaving the Commission's employment, you must not, within six months of leaving, accept any form of full, part time or fee-paid employment with a licensee or applicant for a licence without having obtained the Commission's prior written approval. Any such requests should be made in writing to the Head of Human Resources. Such approval will not be withheld unreasonably.
37. If you are on secondment to other organisations or have been on secondment to the Commission, you are also subject to these rules.

## **Reporting offers of employment**

38. If you are approached regarding an offer of employment either directly or indirectly by or on behalf of a person or organisation in or related to the gambling or gaming industry, you are under a duty to disclose the full particulars of that approach. In addition, if you are actively seeking alternative employment so that your CV is likely to be brought to the attention (whether by you or by an agency) of a person or organisation in or related to the gambling or gaming industry, you are under a duty to disclose this.
39. The disclosures referred to in paragraph 35 should be made as follows:
- the Chief Executive or an employee at Director level must inform the Chairman or Chief Executive as appropriate
  - other employees must inform a Director or the Head of Human Resources.
40. If you are working on compliance and enforcement in relation to specific operators, or in areas concerned with procurement or contract work, you should report any approach - where it comes from those specific operators or from an outside employer with whom they or their employees have had, or might have, official dealings; you do this irrespective of whether or not you are considering taking up the offer.
41. If you wish to pursue an approach about employment, you may be asked to reach a decision within a given timeframe and/or may be asked to work in a different area of the Commission's business to ensure that there is no potential conflict of interest.
42. The Commission will make operators and licence applicants aware of its policy in this area and ask them to inform the Head of Human Resources before making any approach to Commission employees.

## **Gifts and hospitality**

43. It is an important part of our work to develop contacts and build good working relations with a range of outside organisations, for example, relevant trade associations and with individual licence holders. You are encouraged to develop such contacts appropriately. In doing so, however, you are expected to observe exceptionally high standards of personal honesty and integrity. Failure to comply with the Commission's policies on the acceptance of gifts and hospitality will be regarded as a serious matter and may amount to gross misconduct. In particular, you should make yourself aware of the provisions of the Bribery Act 2010 and ensure that your actions do not place you and/or the Commission in a position where you and/or the Commission could be accused of being in breach of the provisions of that Act.
44. No gift or hospitality should be accepted if it would, or might, appear to place you under any obligation, or compromise your impartiality, or be otherwise improper. Subsequent payment for, or reciprocity of, any hospitality does not legitimise its unauthorised receipt. Prevailing practice in the private sector is not a justification for a breach of the standards required in the public sector.
45. Employees should not, therefore, accept any gifts however modest, or hospitality from actual or prospective licensees, or from current contractors or those seeking to become contractors. The only exception is light refreshments at a meeting, for example tea or coffee. Care must also be taken over acceptance of hospitality from trade associations and representative bodies.
46. If you have any doubts about the proper course of action to take when giving or receiving hospitality, it is your responsibility to discuss the issue with your manager in the first instance, or the Head of Finance.

### **Receipt of gifts or cash**

47. Generally the offer of any gift, reward or benefit arising out of your duties as an employee of the Commission should be politely refused with the explanation that public servants are not permitted to accept such offers. Where refusal would clearly be impractical, or cause offence to the donor (for example a representative of a foreign government or similar) you should let the donor know that the gift is being accepted on behalf of the Commission for retention in the office. Such gifts must be handed into the Commission for office use or subsequent disposal.
48. Any gifts received should be returned with a polite letter of explanation. Where return of gifts would be expensive or otherwise difficult, the donor should be told that the gift cannot be accepted but will be donated to charity in their name.
49. These principles do not apply to isolated gifts, for example office accessories at a conference, or from a visitor which are worth less than £10, and which may be accepted for use at work.
50. Details of any gift you have accepted (including those with a value of less than £10) must be notified immediately to the Head of Finance on the standard Hospitality declaration form. A public register of gifts and hospitality will be maintained by the Head of Finance showing all notified gifts and hospitality accepted with a value greater than £10. Unsolicited gifts passed on to charity with the donor's knowledge should also be notified to the Head of Finance.
51. Employees should not accept cash or other form of monetary payment under any circumstances from actual or prospective licensees, or from current contractors, or those seeking to become contractors. The only exception to this is the collection of fees which

are received by the Finance team as part of their accounts receivable duties.

### **Receipt of hospitality**

52. An element of modest hospitality plays an important part in the maintenance of a wide range of important business contacts and the acceptance of appropriate levels of hospitality is acceptable. It is essential, however, that you exercise careful judgment in deciding whether the acceptance of hospitality in particular circumstances is appropriate. In doing so, you should consider whether the offer and/or its acceptance would be normal and reasonable in the circumstances. If you have any doubt as to appropriateness, you should decline any offer of hospitality.
53. With the exception of modest hospitality invitations (with an estimated value of £10 or less) acceptance of hospitality invitations should first be cleared by a Director or Programme Director. As noted in paragraph 50, hospitality, even if modest, must not be accepted from actual or prospective licensees or from current contractors or those seeking to become contractors. Any working lunches, for example during a corporate inspection must be paid for. To ensure transparency in the Commission's affairs, all hospitality received must be recorded in the Commission's hospitality register. Any hospitality you have accepted (including that with a value of less than £10) must be notified immediately to the Head of Finance on the standard form Hospitality declaration form. The only exception is tea/coffee/soft drinks accepted in the course of a working visit.

### **Offer of hospitality by Gambling Commission employees**

54. Senior employees at Director/Programme Director level may, occasionally, offer hospitality in line with the specific hospitality limits set out in the Commission's expenses rules. These limits will only be varied by prior written agreement from a Director or the Chief Executive as appropriate. Without such prior agreement no reimbursement will normally be made.

### **Political activities**

55. You are entitled to your own privately held political beliefs and opinions. However, you are expected to exercise appropriate discretion in respect of any political activities that you undertake which are liable to give public expression to your private political views and your private political views should not influence, or appear to influence, your official duties.
56. Rules relating to employee political activity, including standing for election, are set out in the Employee Handbook.

### **Relationships**

57. If you have a close personal relationship with another employee of the Commission, or job applicant, where you are or will be managing the individual or involved in their performance appraisal, that relationship should be disclosed, either to the Head of Human Resources or to the relevant Director.
58. Where one party directly line manages the other party, it may be appropriate to change the management arrangements to avoid allegations of bias, impropriety or misconduct.
59. Where the relationship is between an employee and a job applicant, it will not be

appropriate for the employee to take part in any selection process in which the applicant is involved, or to take any role in the decision to appoint.

60. This paragraph applies if you have a close personal relationship with someone within the gambling industry which could give rise to allegations of bias or conflict of interest. In such circumstances the relationship should also be disclosed to your Resource Manager, who will take steps to avoid any potential conflicts of interest. This disclosure should also be copied to the relevant Director and to the Human Resources team. If you are uncertain whether a disclosure needs to be made, you should seek advice from the Head of Human Resources.
61. 'Close personal relationships' include relationships with (whether by marriage, civil partnership or blood) another employee, job applicant or someone within the gambling industry.

## **Alcohol and Substance misuse**

62. The Commission recognises that incapacity caused by drugs or alcohol may be a symptom of health problems such as alcoholism or drug dependency and, under such circumstances, will manage any necessary action under the terms of the Alcohol and substance misuse policy. It is your personal responsibility to ensure that you do not come to work if you are not fit to do so.
63. Should your actions outside of work affect your ability to undertake your work within the Commission, for example losing your driving licence, you should advise either your manager or the Head of Human Resources.
64. Although the Commission's offices will normally be alcohol free, alcohol may on appropriate official occasions, be provided by the Commission. In these circumstances, you should exercise personal discretion and ensure that your consumption of alcohol does not affect your ability to work effectively.
65. In no circumstances should employees bring alcohol onto Commission premises for consumption.

## **Smoking**

66. The Commission is a non-smoking environment; therefore you must refrain from smoking on all Commission premises. Smoking should be confined to any areas where it is legal to do so.

## **Dealing with the media**

67. As a public body, the Commission is regularly the subject of media reports and it is important that press enquiries are handled consistently and with accuracy. You are therefore required to pass on any media enquiries to the Corporate Affairs team. You should not comment to the media directly on any issue relating to the Commission's work unless specifically authorised to do so by the Head of Communications.

## **Use of Commission Information Systems**

68. You should take the time to familiarise yourself with the Commission's policies regarding use of its IT systems and mobile telephones. You are referred in particular to the Commission's Information Security Management System (ISMS) policy and BlackBerry/Wireless device usage policy, copies of which can be found on the Commission's intranet site.

## **Employee concerns about improper conduct**

69. The Commission relies on you to inform us if you believe that you are being asked or required to act in a way which:
- is illegal, improper, or unethical
  - is in breach of a professional code
  - may involve possible maladministration, fraud or misuse of public funds
  - is otherwise inconsistent with this Code.
70. You must also draw attention to cases where:
- there is evidence of criminal or unlawful activity by others
  - you believe there is evidence of irregular or improper behaviour elsewhere in the organisation
  - you are required to act in a way which, for you, raises a fundamental issue of conscience.
71. You should either raise the matter through your manager or approach, in confidence, the Chief Executive or a Commissioner.
72. If you have reported a matter as above, but believe that the response you have received does not represent a reasonable response to your concern, you may report the matter in writing to a Director at the Department of Culture Media and Sport who will investigate the matter further.
73. In accordance with the Public Interest Disclosure Act 1998, the Commission has put in place arrangements which allow you to raise any concerns in confidence and with a guarantee that the matters will be properly investigated, without damage to you. The Commission's Whistle Blowing policy is set out in Appendix 11.

## **Compliance with this code**

74. All employees are required to comply with the provisions outlined in this Employee Code of Conduct. Should there be any concern that this is not the case, the circumstances may be investigated in line with the Discipline and Grievance policy and procedure.
75. If you are concerned that any other employee, regardless of their status or level within the organisation, is behaving in ways which do not support this Code, you should outline your concerns to your manager or a member of the Head of Human Resources, who will ensure that your concerns are treated seriously, confidentially and without recrimination.

**Annex A: Summary of reporting requirements**

<b>Paragraph</b>	<b>Requirement</b>	<b>Reported to</b>
	<b>Gambling by employees</b>	
15, 16	<p>Employees in a position to influence regulatory decisions (see paragraph 13) must notify the Intelligence lead:</p> <ul style="list-style-type: none"> <li>• which operator they gamble with</li> <li>• any accounts opened.</li> </ul> <p>All employees are required to notify the Intelligence lead of:</p> <ul style="list-style-type: none"> <li>• any wins or losses that are significant (more than £500).</li> </ul> <p>And are encouraged to notify:</p> <ul style="list-style-type: none"> <li>• any significant wins by their close family or people they have accompanied on visits to gambling premises.</li> </ul>	Intelligence lead
	<b>Visits to gambling premises</b>	
17, 20	Employees in Compliance, Enforcement and Intelligence functions can only visit gambling premises (including bookmakers' premises at race tracks) in their official capacity or with the prior consent of a Director or Programme Director.	A Director or Programme Director
18	<p>Other employees in a position to influence regulatory decisions (see paragraph 13) must:</p> <ul style="list-style-type: none"> <li>• obtain a Director or Programme Director's prior consent for any official visit</li> <li>• notify the Intelligence lead of any other permitted visit.</li> </ul>	Intelligence lead
	<b>Shareholdings</b>	
28	All employees must declare to the Head of Finance any business interests (including directorships) or holdings of shares or other securities held by themselves or members of their close family, to the extent which they are aware of them, which they may be able to further as a result of their official position.	Head of Finance
	<b>Business interests</b>	
30	If, as a part of their work, employees come into contact with matters concerning a business organisation in which they have an interest, then they must declare that interest to the Head of Finance.	Head of Finance

	<b>Outside offers of employment</b>	
36	An employee who is in a position to influence regulatory decisions (see paragraphs 10 and 13) and is leaving the Commission's employment, must not, within six months of leaving, accept any form of full, part-time or fee-paid employment with a licensee or applicant for a licence without having obtained the Commission's prior written approval. Any such requests should be made in writing to the Head of Human Resources. Such approval will not be withheld unreasonably.	Head of Human Resources
38, 39	Employees considering an approach from an outside employer which is regulated by the Commission, or which is seeking to be regulated by the Commission, are under a duty to disclose, as soon as possible, the full particulars of any such approach received directly or indirectly from or on behalf of a person or an organisation in or related to the Gambling or Gaming industry, other than in the normal course of their employment with the Commission. Such notification should be made as follows: <ul style="list-style-type: none"> <li>the Chief Executive, or an employee at Director level must inform the Chairman or Chief Executive as appropriate</li> <li>other employees must inform their Director.</li> </ul>	Chairman/Chief Executive  Responsible director
	<b>Gifts and hospitality</b>	
49	Employees must disclose details of all gifts and hospitality received to the Head of Finance.	Head of Finance
	<b>Media enquiries</b>	
69	Employees must refer all media enquiries to the Head of Communications.	Board Advisor - Corporate Affairs
	<b>Improper conduct</b>	
74, 75	Employees should refer any suspicion of improper conduct within the Commission (see paragraphs 72 and 73) to: <ul style="list-style-type: none"> <li>in the first instance, the Chief Executive or a Commissioner</li> <li>if the response is unsatisfactory, in writing to a DCMS Director.</li> </ul>	Chief Executive/Commissioner  DCMS Director
76	In accordance with the Public Interest Disclosure Act 1998, which allows you to raise any concerns in confidence and with a guarantee that the matters will be properly investigated, without damage to you. The Commission's Whistle Blowing policy is set out in Appendix 11.	See Appendix 11

## Annex B: Insider dealing

1. Insider dealing is a serious criminal offence under the Criminal Justice Act 1993. If you come into possession of 'inside information' you must be scrupulous in your use of that information. In particular:
  - you must not deal on a regulated market or through a professional intermediary in securities whose price would be significantly affected if the inside information were made public
  - you must not encourage anyone else to do so (whether for your benefit or theirs)
  - you must not disclose such information to others (even in confidence to other Commission officials) unless it is necessary for the proper performance of your work.
2. 'Inside information' means information which:
  - relates to particular securities or to a particular issuer or issuers of securities
  - is specific or precise
  - has not been made public
  - if it were made public would be likely to have a significant effect on the price of any securities.

### Conflict of interest

3. A decision by the Commission would be open to legal challenge, and could be set aside, if the private financial interests of any person substantively involved in the decision making process were such as to give rise to a reasonable presumption of bias. (Persons 'substantively involved' include not only the decision taker but also others who contribute to the decision, for example through research or advice). Any person who feels adversely affected by such a decision and who alleges bias by an official involved in the decision making process may:
  - take legal action against the Commission in respect of the decision
  - seek damages against a person with a conflict of interest against whom bias is alleged.
4. In law, the possibility of conflict of interest does not necessarily stop with consideration of financial interests held by you. Bias could be alleged in respect of the interests of anyone with whom you may have a family, domestic or other relationship and over whose decisions on investment matters you may reasonably be thought to exert an influence and where knowledge of such matters can reasonably be imputed to you. In that event a court would examine the facts of the matter to decide whether bias should be presumed.

### Relevant financial interests

5. For the purpose of these instructions, you should consider both your own financial interests and those of others to whom you give investment advice. You should consider financial interests such as shares and other forms of investment such as options and other similar products. Nevertheless, you should always bear in mind that a financial interest even though small could, depending on circumstances, give rise to a legal presumption of conflict of interest and therefore of bias.

### Basic rules

6. You must then closely observe the following basic rules:
  - if you are in possession of any inside information, you must not purchase or sell an interest in securities whose price would be significantly affected if the inside information were made public, or encourage others to do so (whether for your

benefit or theirs) or pass on the information to third parties unless disclosure is necessary for the proper performance of your work

- if you, or those to whom you give investment advice, have a financial interest of which the value could reasonably be thought to be affected by an impending decision by the Commission, you must not participate in any way in the decision-taking process. You must immediately declare your position to your manager. This should be done even if you have already declared your interest under supplementary rules that apply to you (see below).

### **Supplementary rules**

7. It is not possible to set out in these procedures all the requirements which, in order to avoid conflict of interest, apply to different types of work in the Commission. Therefore, Directors may issue from time to time, as a supplement to these rules, local instructions to their employees relevant to the needs of the work. Depending on the circumstances of the work these supplementary rules might include, for example:
  - notification to the Development Manager of all or specified categories of financial interest; although it should not be necessary to require notification of the size of such interests
  - a ban of a defined group of employees engaging in dealings in financial interests within particular periods of time
  - a ban on a defined group of employees holding certain kinds of financial interests
  - a requirement for defined groups of employees to obtain prior permission to deal in certain financial interests.
8. If you are in any doubt as to your proper course of action in any of these areas, you must consult your Development Manager who will consider whether or not to refer the matter to the Commission's legal advisers. However, it is your responsibility to ensure that you act within the law and within the Commission's rules. Even if not a criminal offence under the insider dealing legislation, a breach of these requirements or of any supplementary instructions issued by a Director will make you liable to disciplinary proceedings. Any enquiries about this information should be addressed to the Head of Human Resources.