

ORIGINATOR: CHIEF EXECUTIVE

DECISION NUMBER: 14 - 2022

REASON FOR SUBMISSION: FOR DECISION

SUBMITTED TO: POLICE AND CRIME COMMISSIONER

SUBJECT: PROPOSED APPOINTMENT OF CHIEF FINANCE OFFICER

SUMMARY:

1. This paper describes the steps that have been taken by the Police and Crime Commissioner to recruit a new Chief Finance Officer to the Police and Crime Commissioner for Suffolk as well as the details for consideration by the Police and Crime Panel to support the Police and Crime Commissioner's proposed candidate for appointment.

RECOMMENDATION:

It is recommended that:

1. The Police and Crime Panel be notified of the proposed appointment of Colette Batson as Chief Finance Officer to the Police and Crime Commissioner.
2. This decision paper be submitted to the Police and Crime Panel for consideration at the Confirmation Hearing on Friday 27 May 2022.

APPROVAL BY: PCC

The recommendation set out above is agreed.

A handwritten signature in black ink that reads "Tim Parmore". The signature is written in a cursive style with a large initial 'T'.

Signature:

Date: 06.05.22

DETAIL OF THE SUBMISSION

1. INTRODUCTION

- 1.1 This paper describes the steps that have been taken by the Police and Crime Commissioner for Suffolk (PCC) to recruit a new Chief Finance Officer. The person who held this role decided to retire in November 2021 with their formal end date being in February 2022. The Chief Constable's Chief Finance Officer, Kenneth Kilpatrick, was appointed as Temporary Chief Finance Officer to the PCC (Decision 35-2021) to cover the period until a permanent replacement to the role of Chief Finance officer could be recruited.
- 1.2 The PCC must, under paragraph 6 (1) (b) of Schedule 1 to the Police Reform and Social Responsibility Act 2011, appoint:

“a person to be responsible for the proper administration of the commissioner’s financial affairs (referred to in this Part as the commissioner’s chief finance officer)”

Further under paragraph 6 (2) of the Schedule:

“A police and crime commissioner must comply with paragraphs 9 to 12 in appointing the commissioner’s chief finance officer”

Paragraphs 9 to 12 of the Schedule provide:

- “9 (1) A police and crime commissioner must notify the relevant police and crime panel of each proposed appointment by the commissioner of —*
-*
- (b) the commissioner’s chief finance officer;*
- (2) In a case where the police and crime commissioner notifies the relevant police and crime panel of such an appointment (“a proposed senior appointment”), the commissioner must also notify the panel of the following information —*
- (a) the name of the person whom the commissioner is proposing to appoint (“the candidate”);*
- (b) the criteria used to assess the suitability of the candidate for the appointment;*
- (c) why the candidate satisfies those criteria; and*
- (d) the terms and conditions on which the candidate is to be appointed.*
- 10 (1) This paragraph applies if a police and crime panel is notified under paragraph 9 of a proposed senior appointment.*
- (2) The panel must review the proposed senior appointment.*
- (3) The panel must make a report to the commissioner on the proposed senior appointment.*
- (4) The report must include a recommendation to the police and crime commissioner as to whether or not the candidate should be appointed.*
- (5) The panel must comply with sub-paragraphs (2) to (4), within the period of three weeks beginning with the day on which the panel receives the notification from the commissioner of the proposed senior appointment.*
- (6) The panel must publish the report to the commissioner made under this paragraph.*

(7) *It is for the panel to determine the manner in which the recommendation is to be published in accordance with sub-paragraph (6).*

.....

- 11 (1) *A police and crime panel must hold a confirmation hearing before making a report and recommendation under paragraph 10 to the police and crime commissioner in relation to a proposed senior appointment.*
- (2) *For the purposes of this Schedule a “confirmation hearing” is a meeting of the panel, held in public, at which the candidate is requested to appear for the purpose of answering questions relating to the appointment.*
- (3) *References in this Schedule to a person appearing at a meeting of the panel are references to the person —*
- (a) attending the meeting in person, or*
 - (b) not attending the meeting in person, but participating in the proceedings at the meeting by any means that enable the person to hear, and be heard in, those proceedings as they happen.*
- 12 (1) *The police and crime commissioner may accept or reject the panel’s recommendation under paragraph 10 as to whether or not the candidate should be appointed.*
- (2) *The police and crime commissioner must notify the panel of the decision whether to accept or reject the recommendation.*

1.3 Accordingly the Police and Crime Panel is required to review the proposed appointment, hold a Confirmation Hearing in public and make a report to the PCC which includes a recommendation as to whether the candidate should be appointed. The Confirmation Hearing is set Friday 27 May 2022.

2. ADVERT

2.1 The advert to recruit a new Chief Finance Officer went live on the PCC website on 20 January 2022 with a closing date of 14 February 2022. The advert appeared also on the Suffolk Constabulary website. Nationwide coverage of the vacancy was achieved through The Guardian, The Chartered Institute of Public Finance and Accountancy (CIPFA) and LinkedIn. The role was also circulated around the Association of Police and Crime Commissioners (APCC) and Association of Police and Crime Commissioners’ Chief Executives (APACE) networks.

3. APPLICATION PACK

3.1 The Application Pack was available via the PCC website – <https://suffolk-pcc.gov.uk>
This comprised a number of documents:

- Advert;
- Letter to applicants from the PCC;
- Comprehensive Role Profile;
- Information for Applicants;
- Application Form;
- Monitoring Questionnaire;
- Privacy Notice;

together with links to:

[CIPFA – The Role of CFOs in Policing March 2021](#)

3.2 Comprehensive Role Profile

- 3.2.1 The Comprehensive Role Profile is a key document in the appointment process. It is attached to this paper at Appendix A. It sets out the Role Purpose, Key Principles, Main Duties and Responsibilities, Eligibility, Behaviours sought and Person Specification.
- 3.2.2 The Eligibility Criterion requiring to be satisfied is that the officer appointed as the Chief Finance Officer must, by virtue of paragraph 6 (4) of the Schedule and Section 113 of the Local Government Finance Act 1988, be a member of a specified accounting body, which is defined to mean a qualified member of one of the six bodies comprising the Consultative Committee of Accountancy Bodies in the UK and Ireland.
- 3.2.3 The Person Specification set the experience, skills and knowledge required to perform the role of Chief Finance Officer. The Person Specification together with the Eligibility Criterion formed the basis against which shortlisting was considered. Applicants were advised of this basis for shortlisting in the Information for Applicants document.
- 3.2.4 The Behaviours in the Comprehensive Role Profile set out that the role should operate at Level 3 of the six competencies that comprise part of the Competency and Values Framework (CVF) published by the College of Policing. The Information for Applicants document set out that the Assessment and Selection process would be designed to measure the extent to which each shortlisted applicant met the requirements of the competencies and values within the CVF.

3.3 Information for Applicants

- 3.3.1 Amongst other things the Information for Applicants document set out the general terms of appointment. The post is essentially a part-time post (3 days per week) with the details thereto to be finalised by agreement between the PCC and the successful candidate. The salary for the post at the part-time rate is £48,711.60 (the full-time rate is £81,186). Advice was taken from the HR Department of the Suffolk Constabulary in order to assist establishing the appropriate salary level.

3.4 Application Form

- 3.4.1 The Application Form required completion to show that the Eligibility Criterion and the Person Specification were met.

4. APPOINTMENT PANEL

- 4.1 The PCC convened an Appointment Panel to assist him with the selection and appointment process. The Panel comprised:
- Tim Passmore, Police and Crime Commissioner;
 - David Rowe, Chair of the Audit Committee;
 - Kenneth Kilpatrick, Temporary Chief Finance Officer;
 - Luzma Grayston, HR Business Partner, Suffolk Constabulary;
 - Christopher Jackson, Chief Executive.

4.2 The Panel was selected on the basis that firstly the membership comprised key stakeholders in the appropriate delivery of corporate and financial governance of the police service in Suffolk and secondly the membership would be able to assist the PCC with appropriate financial, audit, legal compliance, and HR selection and recruitment advice.

5. APPLICATIONS

5.1 At the closing date for applications on 14 February 2022 six applications had been received and which progressed to be considered for shortlisting.

6. SHORTLISTING

6.1 On 8 March 2022 shortlisting was undertaken by the Appointment Panel.

6.2 At the shortlisting meeting opportunity was also taken to:

- brief all panel members upon and review the appointment process to date;
- brief panel members upon the assessment and selection process;
- finalise the details of the assessment and selection process to take place on 23 and 24 March 2022;
- consider the action required following the assessment and selection process.

The Panel was made fully aware of the three principles of merit, fairness and openness which must be observed by those responsible for the selection and appointment of staff.

6.3 The Panel considered the applications received. Four applications showed strong or acceptable evidence of meeting the Person Specification as well as satisfying the Eligibility Criterion. Two applications showed insufficient or no evidence of meeting the Person Specification. After some discussion it was considered that the four applications should be taken forward to the next stage of the selection process. Before the last stage of the selection process took place one of the applicants withdrew.

7. SELECTION AND ASSESSMENT

7.1 On 23 and 24 March 2022 the Selection and Assessment took place before the Appointment Panel.

7.2 Appointment Panel – Presentation and Interview

7.2.1 The three candidates were required to give a presentation upon a theme agreed by the Panel. The candidates were required to present for up to 15 minutes followed by questions from the panel for approximately 10 minutes.

7.2.2 The presentations were assessed against one of the competencies from the CVF.

7.2.3 Following a short break after their presentation, each candidate was then interviewed by the Panel for up to an hour against a range of questions agreed by the Panel.

7.2.4 The responses to the interview questions were then assessed against five competencies and two values from the CVF. Initially, the Panel members individually assessed the candidates and rated performance against a five point rating scale (low, medium, high, very high, exceptional) before then, as a group, discussing their assessment and scores to produce a Panel score in respect of each competency and value for each candidate.

7.2.5 On the basis of the scoring against the CVF the selected candidate clearly emerged with the best score.

8. SATISFACTION OF SELECTION CRITERIA

8.1 The Panel's conclusions on how the selected candidate met the competencies and values from the CVF are set out in brief in Appendix B attached to this paper. Appendix B also shows how the selected candidate met the Eligibility Criterion and the Person Specification.

8.2 In view of the assessment detailed in Appendix B the Panel concluded unanimously that the selected candidate should, subject to the usual pre-employment checks, be proposed for appointment as the Chief Finance Officer to the PCC.

8.3 The two candidates who were unsuccessful at the Selection and Assessment were offered feedback, one of whom took up the offer.

9. THE SELECTED CANDIDATE

9.1 The selected candidate is Colette Batson. The candidate currently resides in Essex. She completed her schooling in Suffolk and went on to Oxford University where she graduated with a degree in history in 2010.

9.2 The candidate is an Associate of the Institute of Chartered Accountants in England and Wales.

9.3 Colette has 5 years of experience in commercial and group finance roles for a FTSE 100 company which was preceded by 4 years' experience in audit including a year working overseas. These roles have equipped her with experience of operating at a strategic financial level and in corporate governance both of which are important pre-requisites for the CFO role.

10. PCC'S PROPOSAL

10.1 In the period since the Appointment Panel on 24 March 2022 pre-employment checks have been carried out. These have included verification that the selected candidate meets the Eligibility Criterion, security and medical clearance and taking up references. These stages having been satisfactorily negotiated, the PCC now formally proposes to the Police and Crime Panel that the selected candidate, namely Colette Batson, be appointed as the Chief Finance Officer to the PCC, with a view to her commencement in post as soon as possible after the Confirmation Hearing.

10.2 The main terms and conditions of appointment are as set out above in paragraph 3.3.1.

ORIGINATOR CHECKLIST (MUST BE COMPLETED)	PLEASE STATE 'YES' OR 'NO'
Has legal advice been sought on this submission?	The author is a solicitor
Has the PCC's Chief Finance Officer been consulted?	The temporary PCC CFO has been involved in the recruitment process
Have equality, diversity and human rights implications been considered including equality analysis, as appropriate?	Yes
Have human resource implications been considered?	Yes – The HR Business Partner has been involved in the recruitment process
Is the recommendation consistent with the objectives in the Police and Crime Plan?	Yes
Has consultation been undertaken with people or agencies likely to be affected by the recommendation?	Yes
Has communications advice been sought on areas of likely media interest and how they might be managed?	Yes
Have all relevant ethical factors been taken into consideration in developing this submission?	Yes

In relation to the above, please ensure that all relevant issues have been highlighted in the 'other implications and risks' section of the submission.

APPROVAL TO SUBMIT TO THE DECISION-MAKER

Chief Executive

I am satisfied that relevant advice has been taken into account in the preparation of the report and that this is an appropriate request to be submitted to the PCC.

A handwritten signature in black ink, appearing to be 'C. G. S.', followed by a horizontal line.

Signature:

Date: 06.05.22



APPOINTMENT OF CHIEF FINANCE OFFICER

COMPREHENSIVE ROLE PROFILE

1. Post Overview

Post:	Chief Finance Officer
Accountable to:	The Police and Crime Commissioner for Suffolk The Chief Executive of the Office of the Police and Crime Commissioner
Location:	Police Headquarters, Martlesham Heath, Suffolk

2. Role Purpose

- The role is statutorily established by Schedule 1, paragraph 6 to the Police Reform and Social Responsibility Act 2011;
 - The person appointed to the role is responsible for the proper administration of the Police and Crime Commissioner's (PCC) financial affairs;
 - The person appointed to the role will discharge the responsibilities provided for by:
 - Section 151 of the Local Government Act 1972;
 - Sections 113-114 of the Local Government Finance Act 1988; and
 - as set out in the Chartered Institute of Public Finance and Accountancy (CIPFA) statement on the role of chief finance officers in policing.
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3. Key Principles

The CIPFA statement on the role of the Chief Finance Officer (CFO) sets out five principles that help define the role:

- The CFO will be a key member of the PCC Leadership Team, helping it to develop and implement strategy and to resource and deliver the PCC's strategic objectives sustainably and in the public interest;

- The CFO will be actively involved in, and able to bring influence to bear on, all material business decisions to ensure immediate and longer term implications, opportunities and risks are fully considered, and aligned with the overall financial strategy;
 - The CFO must lead and encourage the promotion and delivery of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively;
 - The CFO must lead and direct a finance function that is resourced to be fit for purpose;
 - The CFO must be professionally qualified and suitably experienced.
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4. Main Duties and Responsibilities

- To act as the professional lead officer providing strategic level leadership to the PCC on all financial matters, financial propriety, and the financial aspects of corporate governance;
- To ensure the financial affairs of the PCC are properly administered and that financial regulations are produced, observed and kept up to date;
- To ensure that the financial and other associated and relevant interests of the PCC are safeguarded;
- To work with the PCC and the Constabulary to develop an ambitious medium term financial strategy and ensure that the requisite funding is available from Government, precept and other sources to discharge the CFO's responsibility for the police fund;
- To ensure that proactive action is taken and arrangements put in place on behalf of the PCC to maximise the opportunities for income generation from all potential financial sources;
- To act as the PCC's professional lead officer on budgetary matters, including the robustness of the budget and adequacy of financial resources and to represent the PCC's financial interests on all relevant projects and boards;
- To work with and assist the PCC and the office of the PCC in the development and promotion of policies and plans;
- To play an effective part in assisting the delivery of the responsibilities of the Office of the PCC;
- To arrange for the determination, issue and transfer of the precept;

- To ensure that accurate, complete and timely financial management information is provided to the PCC;
 - To advise, in consultation with the Chief Executive, on the safeguarding of assets;
 - To advise on and ensure the adequacy of insurance arrangements;
 - To lead on and ensure the adequacy of the PCC's risk management arrangements;
 - To ensure the production of the statement of accounts of the PCC; receipt and scrutiny of the statement of accounts of the Chief Constable and ensure the production of group accounts;
 - To work with the Chief Constable's CFO to ensure the provision of efficient and effective audit services and liaise with both internal and external auditors in reporting to the Audit Committee;
 - To work with the Chief Constable's CFO to ensure the appointment and efficient and effective operation of the Audit Committee;
 - To lead on the production of the PCC's Annual Governance Statement;
 - To secure effective treasury management, including loans and investments and report on policy and performance to the Audit Committee;
 - To report to the PCC and any other relevant and interested party any unlawful, or potentially unlawful, expenditure by the PCC or officers of the PCC or when it appears that expenditure is likely to exceed the resources available to meet that expenditure;
 - To promote and sustain effective working relationships at a local, regional, and national level with key stakeholders.
 - To work with the Chief Constable's CFO in a mutually supportive way to facilitate the execution of the duties of both CFOs.
 - To undertake such other duties as may be required to be undertaken by the PCC or the Chief Executive up to a level consistent with the responsibilities of the role;
 - To discharge the CFO role in accordance with statutory requirements, the Comprehensive Role Profile, the CIPFA Statement on the role of the chief finance officers, the Financial Management Code of Practice and also relevant guidance and best practice.
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5. Eligibility

The officer appointed as the CFO must, by virtue of section 113 of the Local Government Finance Act 1988 be a member of a specified accountancy body, which is defined to mean a qualified member of one of the six bodies comprising the Consultative Committee of Accounting Bodies in the UK and Ireland, that is:

- Chartered Institute of Public Finance and Accounting;
- The Institute of Chartered Accountants in England and Wales;
- The Institute of Chartered Accountants of Scotland;
- The Institute of Chartered Accountants in Ireland;
- Chartered Institute of Management Accountants;
- The Association of Chartered Certified Accountants.

6. Behaviours

The role is expected to understand and act within the ethics and values of the police service.

The Competency and Values Framework (CVF) for policing published by the College of Policing has six competencies that are clustered into three groups. Under each competency are three levels that show how the behaviours will look in practice. [College of Policing – Competency and Values Framework - 2016](#)

The role should operate at the following levels of the CVF:

Resolute, compassionate and committed

- we are emotionally aware Level 3
- we take ownership Level 3

Inclusive, enabling and visionary leadership

- we are collaborative Level 3
- we deliver, support and inspire Level 3

Intelligent, creative and informed policing

- we analyse critically Level 3
- we are innovative and open-minded Level 3

7. Person Specification

Experience

- Substantial experience of operating at a strategic financial level, preferably within a political or high profile environment;
- Evidence of continuing professional and personal development;
- Substantial experience of managing large budgets, including the management of financial planning, budget-setting and medium term strategies;
- Significant experience of corporate governance, procurement, commissioning and income generation;
- Experience of public sector finance and its regulatory environment.

Skills and Knowledge

- Knowledge and understanding of the financial and corporate governance environment within which policing operates;
- Ability to work as an efficient and effective team-player as well as being able to network and build effective partnerships;
- Knowledge and understanding of the importance of scrutiny, audit, corporate governance and risk management arrangements;
- Demonstrate excellent analytical skills and a commitment to innovation and performance management.

8. Special Points of Note

- The post of CFO is politically restricted. The Local Government and Housing Act 1989 imposes restrictions on public political activity by the holders of such posts. The restrictions imposed include:
 - Becoming or remaining a member of a Local Authority, the House of Commons or Police and Crime Commissioner;
 - Announcing or allowing others to announce, ones candidature for one of the aforementioned offices;
 - Holding office in a political party;
 - Canvassing at elections; and

- Speaking or writing publicly on matters of party political controversy.
- The purpose of this comprehensive role profile is to indicate the general level of the duties and responsibility of the role. The duties may from time to time vary without changing the general character of the role or the levels of responsibility;
- Whilst the role is normally based at Martlesham Heath, you may be required to work at other establishments within Suffolk as may be reasonably required;
- Appointment to this post is subject to a confirmation hearing by the Police and Crime Panel;
- The postholder must be able to travel around the county and region;
- The post is subject to vetting approval.

Chief Executive
January 2022



SUITABILITY OF SELECTED CANDIDATE FOR APPOINTMENT

The PCC must, amongst other things, provide to the Police and Crime Panel, information upon the criteria used to assess the suitability of the candidate for the appointment and further an explanation of why the candidate satisfies these criteria. This document sets out the criteria and the material which demonstrates how the criteria are satisfied.

Applicants were shortlisted against the eligibility requirements and person specification set out in the Comprehensive Role Profile.

1. ELIGIBILITY

- 1.1 The candidate has been admitted as an Associate of the Institute of Chartered Accountants in England and Wales.
- 1.2 The candidate accordingly met the statutory eligibility criteria.

2. PERSON SPECIFICATION

- 2.1 The Appointment Panel in considering the candidate's application form rated the information shown as providing acceptable evidence of her experience and strong evidence of her skills and knowledge. Accordingly, the Panel considered unanimously that the candidate should progress to the assessment and selection process.
- 2.2 The candidate possessed 5 years experience as a qualified finance manager in commercial and group finance roles for a FTSE 100 company and 4 years experience in audit, including a year working overseas. These roles caused the candidate to operate at a strategic financial level. She demonstrated her keenness for continuing professional development to gain skills in new areas of business with which she was not familiar.
- 2.3 The candidate demonstrated good experience of corporate governance including experience of public sector finance and its regulatory environment from her audit experience with a private sector audit business operating in the public sector.
- 2.4 The roles performed by the candidate enabled her to demonstrate the skills and knowledge required for the CFO role.

3. ASSESSMENT AND SELECTION – COMPETENCIES AND VALUES FROM THE COMPETENCY AND VALUES FRAMEWORK FOR POLICING

3.1 The assessment and selection process was designed to measure the extent to which shortlisted applicants met the competencies and values within the Competency and Values Framework as applicable to the post.

3.2 Competencies

3.2.1 We are emotionally aware

The candidate was rated as performing in the range high to very high and showed evidence against the behavioural descriptors associated with the competency. She showed a clear understanding of the worthwhile nature of the role and the public interest in holding to account for spending and overseeing financial affairs. A clear enthusiasm for discharging a challenging role was demonstrated.

3.2.2 We take ownership

The candidate was rated as performing in the range high to very high in demonstrating the behavioural descriptors for this competency. She demonstrated a clear sense of taking personal responsibility. Whilst quietly confident in her own ability she understood how to work with stakeholders to achieve objectives.

3.2.3 We are collaborative

The candidate was rated as performing in the high range in demonstrating the behavioural descriptors for this competency. She showed an understanding of tailoring her approach to those being collaborated with together with an awareness of the environment in order to achieve objectives.

3.2.4 We deliver, support and inspire

The candidate was rated as performing in the high to very high range. The presentation was used to measure this competency. She performed strongly in delivering a well organised, clear and concise presentation upon her plan to perform the statutory Chief Finance Officer role. She was very mindful of how key the Police and Crime Plan was in the delivery of strategic aims and her role in assisting the PCC deliver the Plan, as well as the duty towards the taxpayer.

3.2.5 We analyse critically

The candidate was rated as performing in the high to very high range for this competency. She demonstrated a methodical systematic approach to making decisions and solving problems, liking to understand and being convinced in discussion over issues. She was quietly confident in her ability to get along with people at all levels of an organisation notwithstanding whatever challenge she was faced with.

3.2.6 We are innovative and open-minded

The candidate was rated as performing in the high to very high range for this competency. She considered her skills learnt in the retail industry as readily transferable to the financial policing environment and showed she would be proactive in seeking solutions to problems

3.3 Values

3.3.1 Integrity

The candidate was rated as performing in the high to very high range for this competency. She showed a clear sense of doing the right the right thing even in difficult and challenging circumstances.

3.3.2 Impartiality

The candidate was rated as performing in the high range for this competency. She demonstrated a clear sense of wanting to hear views, understand issues and reach appropriate judgements.

3.3.3 Public Service

Not assessed.

3.3.4 Transparency

Not assessed.

3.4 Overall during the Selection and Assessment day the Appointment Panel considered that the candidate provided evidence in the range high to very high in terms of meeting the competency and value areas set out above.

4. CONCLUSION

4.1 The Appointment Panel concluded that the candidate met the competencies and values required for the role in the range high to very high on the 5 point rating scale used in the assessment. The candidate performed to a higher level than the other candidates assessed at the Assessment and Selection. The Panel was unanimously of the view that the candidate should be appointed to the role of Chief Finance Officer to the Police and Crime Commissioner.

5. PRE-EMPLOYMENT CHECKS

5.1 Nothing arose in the pre-employment checks relating to security, medical clearance and references which would cause the Appointment Panel to demur from its conclusion.

Chief Executive
April 2022