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PUBLIC

To: Members of Derbyshire Police and Crime Panel

Wednesday, 5 August 2020

Dear Councillor,

Please attend a meeting of the **Derbyshire Police and Crime Panel** to be held at **10.00 am** on **Thursday, 13 August 2020** virtually via MS teams. A recording of the meeting will be placed on the County Councils website following the meeting, the agenda for which is set out below.

Yours faithfully,

A handwritten signature in black ink, appearing to read 'S Hobbs', written over a light blue horizontal line.

Simon Hobbs
Director of Legal and Democratic Services

A G E N D A

PART I - NON-EXEMPT ITEMS

1. Apologies for Absence
To receive apologies for absence (if any)
2. Declarations of Interest
To receive declarations of interest (if any)
3. Confirmation Hearing in respect of the proposed appointment of the Chief Constable

PUBLIC

Agenda item 3

DERBYSHIRE POLICE AND CRIME PANEL

13 August 2020

**Report of the Monitoring Officer and Director of Legal Services of
Derbyshire County Council**

**CONFIRMATION HEARING FOR THE APPOINTMENT OF A CHIEF
CONSTABLE**

1. Purpose of Report

To provide background information to the Police and Crime Panel (PCP) on the appointment process leading to the selection of Mrs Rachel Swann as the preferred candidate for the role of Chief Constable.

2. Information and Analysis

The Police Reform and Social Responsibility Act 2011 specifies that the Police and Crime Commissioner (PCC) for a police area is to appoint the Chief Constable of the police force for that area.

Schedule 8 of the 2011 Act requires that a PCC must notify the relevant Police and Crime Panel (PCP) of the proposed appointment of a Chief Constable. It is the duty of the PCP to hold a public Confirmation Hearing and to review, make reports and recommendations in respect of the proposed appointment of a Chief Constable and to publish their reports or recommendations.

A confirmation hearing is defined as “*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*”. Supporting guidance produced by the Local Government Association (LGA) advises that usually, no other business should be undertaken at a meeting convened to be a confirmation hearing. A confirmation hearing should not be dealt with as an item of business at a standard Panel meeting but conducted as a separate meeting. The guidance specifies that “*the convening of a separate meeting will mean that proper time and preparation will be put in to the exercise and panel members will be able to approach the session with the right mindset*”.

The process of reviewing and reporting on a proposed appointment must be completed within three weeks of a PCP being notified of it by the PCC.

Appendix 1 provides information on the PCP's role and appendix 2 is the guidance from the LGA which explains the confirmation process at pages 15 - 17. Appendix 3 is a report from the Police and Crime Commissioner providing information on the preferred candidate's skills and experiences.

The Panel has three principal options, as follows:

- If the Panel is satisfied that the candidate meets the required standards it can recommend to the Commissioner that the appointment be made. The Commissioner may accept or reject such a recommendation and must notify the Panel of his response.
- If the Panel considers that the candidate meets the required standards but has a query or concern about their suitability it can make a recommendation to this effect to the Commissioner. Ultimately, the Panel has the option of recommending to the Commissioner that the appointment not be made. The Commissioner may accept or reject such a recommendation and must notify the Panel of his response.
- If the Panel considers that the candidate clearly does not meet the minimum standards necessary for the position the Panel can veto the proposed appointment. A decision to veto a proposed appointment must be supported by at least two-thirds of the members of the Panel. In the event that the Panel vetoes a proposed appointment the Commissioner must not appoint that candidate.

The guidance emphasises that *“a veto would need to be accompanied by very clear reasons, on which the panel should take advice”*. The Guidance points out that *“the panel will need to realise that the exercise of a veto could be potentially career-ending for the selected candidate and so an exceptionally high bar should be assumed for the use of the veto to be appropriate”*.

3. Other considerations

In preparing this report the relevance of the following factors has been considered: financial, legal, prevention of crime and disorder, equality and diversity, human resources, social value, environmental, health and transport considerations.

4. Background papers

Held with the Improvement and Scrutiny Officer, Derbyshire County Council.

5. OFFICER'S RECOMMENDATION

It is recommended that the Panel notes its responsibilities in the confirmation hearing process and considers the proposed appointment of Mrs Rachel Swann to the position of Chief Constable.

Simon Hobbs
Monitoring Officer and Director of Legal Services for Derbyshire County
Council

**THE PCP'S ROLE IN CONFIRMING SENIOR APPOINTMENTS UNDER
SCHEDULE 8 OF THE POLICE REFORM AND SOCIAL RESPONSIBILITY
ACT 2011**

Background:

The Police Reform and Social Responsibility Act 2011 Section 38 specifies that the Police and Crime Commissioner (PCC) for a police area is to appoint the chief constable of the police force for that area.

Schedule 8 of the 2011 Act requires that a PCC must notify the relevant Police and Crime Panel (PCP) of the proposed appointment of a chief constable. In such cases the PCC must also notify the Police & Crime Panel of the following information:

- the name of the person whom the PCC is proposing to appoint (“the candidate”);
- the criteria used to assess the suitability of the candidate for the appointment;
- why the candidate satisfies those criteria; and
- the terms and conditions on which the candidate is to be appointed.

When a PCP is notified of such a proposed appointment it is required to review the proposed appointment and to make a report on it to the PCC. The report must state the outcome of the review by the Panel. In the case of the proposed appointment of a chief constable these outcomes are:

- A recommendation as to whether or not the candidate should be appointed, or
- A veto of the proposed appointment, if at least two-thirds of the members of the whole PCP (not only those present) vote in favour of making that decision.

The 2011 Act requires that a PCP must review the proposed appointment at a confirmation hearing. A confirmation hearing is defined as: “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”. Supporting guidance produced by the Local Government Association (LGA) advises that

a confirmation hearing should not be dealt with as an item of business at a standard Panel meeting but conducted as a separate meeting. The process of reviewing and reporting on a proposed appointment must be completed within three weeks of a PCP being notified of it by the PCC.

Confirmation Hearing Procedure:

The confirmation hearing will be conducted as follows:

- The Panel Chair will welcome the candidate to the hearing and invite Panel members and host authority officers present to introduce themselves.
- The Chair will ask the Panel's Legal officer to outline briefly the format of the hearing.
- The Chair will invite the Commissioner to outline the proposed appointment and introduce the candidate.
- The Chair will invite Panel members to ask questions of the candidate.
- When all Panel members' questions have been asked and addressed the Chair will invite the candidate to clarify any answers that they have given during the hearing and to ask any questions of the Panel, for example about the next steps in the process.
- The candidate will then withdraw from the meeting.
- The Panel will be asked to agree a resolution to exclude the press and public from the meeting before it considers its report to the Commissioner.
- The Panel will consider its report and conclusions. The possible outcomes that may result from a review of the proposed appointment of a chief constable are discussed on the next page.
- The Panel will send its report to the Commissioner by the end of the working day following the date of the confirmation hearing.
- The Panel will publish its report once a waiting period of 5 working days has elapsed following the date of the confirmation hearing. It is understood that the Commissioner will follow the same approach in relation to publishing information about the outcome of the confirmation hearing and any actions resulting from it.

Focus of questions to the candidate:

LGA guidance recommends that confirmation hearings should focus on the following:

- Professional competence: i.e. the candidate's ability to carry out the role, for example, their professional judgement and insight; and
- Personal independence: i.e. the need for the candidate to act in a manner that is operationally independent of the PCC.

The guidance further recommends that PCPs should think in terms of minimum standards applying to particular attributes: i.e. there should be minimum standards below which it would not be appropriate to appoint a candidate under any circumstances. Above this level, the Panel might have concerns but the candidate would still be 'appointable' at the discretion of the PCC.

Possible outcomes of the review:

The Panel should use the confirmation hearing to form a view about the professional competence and personal independence of the candidate and whether or not they meet the minimum standards for the role. Based on this it should agree the conclusion about the proposed appointment that it wishes to report to the Commissioner.

The Panel essentially has the following options:

- If the Panel is satisfied that the candidate meets the required standards it can recommend to the Commissioner that the appointment be made. The Commissioner may accept or reject such a recommendation, and must notify the Panel of his response.
- If the Panel considers that the candidate meets the required standards but has a query or concern about their suitability it can make a recommendation to this effect to the Commissioner. Ultimately, the Panel has the option of recommending to the Commissioner that the appointment not be made. The Commissioner may accept or reject such a recommendation, and must notify the Panel of his response.
- If the Panel considers that the candidate clearly does not meet the minimum standards necessary for the position the Panel can veto the proposed appointment. A decision to veto a proposed appointment must be supported by at least two-thirds of the members of the whole Panel (not only those present at the hearing). In the event that the Panel vetoes a proposed appointment the Commissioner must not appoint that candidate. The Commissioner must then propose another

candidate for appointment as Chief Constable and the Panel must follow the same scrutiny process for this subsequent candidate but will not have the power to veto the appointment.

LGA guidance emphasises that as the veto means that the Commissioner must not appoint the candidate, the exercise of the veto would need to be accompanied by very clear reasons, on which the Panel should take advice. The guidance also sets out that the exercise of a veto could be potentially career-ending for the selected candidate and, therefore, an exceptionally high bar should be assumed for the use of the veto to be appropriate.

Policing and fire governance

Guidance for police
and crime panels

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Foreword

This guidance has been produced for police (fire) and crime panel chairs, members and support officers and those with whom they work. It is intended to provide information about the statutory roles of panels and to highlight good practice that has been developed over the years since panels were first established.

Since 2012, panels have shown that they are able to play a constructive role in providing challenge and support to police and crime commissioners. They are an intrinsic part of a network of relationships and processes, and integral to the governance arrangements for policing - and more recently, for some fire and rescue services.

Good governance, robust scrutiny and strong supportive partnerships are essential for communities who rely on excellent police and fire and rescue services, a fair criminal justice system and effective blue light collaboration. They are also important for a vibrant local democracy. Panels have an important role to play in these arrangements.

This is an informal guide which the Local Government Association (LGA) commissioned in order to provide information on the legislation and regulations affecting panels and their statutory functions, as well as examples of good practice by panels.

Different sections of the document provide an overview of policing and fire governance; outline panels' specific functions; and provide ideas on how they can work with key stakeholders and manage their work in a way that adds value and builds capacity and effectiveness. In short, it sets out their diverse roles and opportunities within the context of policing and crime accountabilities.

It will be for panels, in consultation with their commissioner and commissioner's office, to work out their most effective local ways of working, but we hope this guidance will assist with the prioritisation of their work and in choosing the most appropriate approaches to their varied tasks.

Councillor Simon Blackburn

Chair, LGA Safer and Stronger Communities Board

Section one: Overview of governance arrangements in policing and crime

Following enactment of the Police Reform and Social Responsibility Act 2011 (the Act), the election of the first police and crime commissioners (PCCs/commissioners) took place in 41 police force areas in England and Wales in November 2012.

Commissioners' responsibilities

Commissioners are required to:

- Secure the maintenance of the police force for that area and ensure that the police force is efficient and effective.
- Set the budget and precept for the force.
- Establish local priorities for the force through a police and crime plan which must have regard for the strategic policing requirement set by the Home Secretary, and to which the chief constable must also have regard.
- Hold the chief constable to account for the exercise of her/his functions and those under her/his direction and control, including performance against the police and crime plan and a number of specific functions, such as equalities, the force's engagement with local people, force collaboration arrangements and, most recently, police complaints.
- Use their powers to appoint, reappoint and/or dismiss the chief constable.
- Publish information specified by the Secretary of State and information that the commissioner considers necessary to enable the people who live in the force areas to assess the performance of the commissioner and the chief constable.

- Monitor complaints made against police officers and staff, whilst having responsibility for complaints made against the chief constable.
- Commission victims' services.
- Enter into collaboration agreements (in consultation with the chief constable) between other commissioners and forces where it would improve the efficiency and effectiveness of one or more forces.
- Use their powers to make crime and disorder reduction grants
- Use their powers in England to bring local community safety partnerships and local criminal justice board partners together to enhance criminal justice in the area. In Wales, commissioners do not have this power; however, they may work through local public service boards to encourage collective partnership working to improve the delivery of community safety and criminal justice services.

These responsibilities were clarified through the policing protocol, produced by the Home Office, which defined the relationship between the commissioner, the panel and the chief constable and affirms that the commissioner:

- has responsibility for setting the 'strategic direction and objectives of the force' and monitoring performance including against the priorities in the police and crime plan
- has responsibility for holding the chief constable to account, but must not fetter the chief constable's operational independence or that of the force
- will provide the local link between the police and the public, working to translate

the legitimate desires and aspirations of the public into action

- must comply with all reasonable formal requests from the panel to attend its meetings
- must prepare and issue an annual report to the panel covering delivery against the objectives in the police and crime plan.

A head of paid service is a designated post in an office of the police and crime commissioner (OPCC) and under the Act is specified as the commissioner's chief executive.

Strategic policing requirement

As well as understanding local need, carrying out local risk assessments and responding to local priorities, a commissioner will need to be aware of and support activity to address threats that require a national policing response. This is set out in the strategic policing requirement (SPR).

The SPR covers the national capabilities that police forces in England and Wales are expected to have in place to address cross-boundary threats such as civil emergencies, organised crime, public disorder and terrorism. Commissioners must take account of the SPR when setting their police and crime plan and hold their chief constables to account for their compliance with it.

Policing protocol and panel responsibilities

'The public accountability for the delivery and performance of the police service is placed into the hands of the PCC on behalf of their electorate. The PCC draws on their mandate to set and shape the strategic objectives of their force area in consultation with the Chief Constable. They are accountable to the electorate; the Chief Constable is accountable to their PCC. The [Police and Crime] Panel within each force area is empowered to maintain a regular check and balance on the performance of the PCC in that context.'

Section 14 of the Policing Protocol 2011¹

As directly elected office holders, commissioners are held to account by the electorate in the police force area through elections every four years. However, during their term of office, their police and crime panels (PCPs/panels) perform roles of challenge/scrutiny, for example to review the proposed precept, and support; for example, to assist the commissioner to deliver the police and crime plan or to submit evidence from reviews to inform the commissioner's work.

These roles collectively relate to the 'special functions' which panels are required by the Act to undertake. These are explained more fully in section two, but in summary relate to:

- scrutiny of:
 - the police and crime plan
 - the annual report
 - the precept
 - senior appointments (through a process of confirmation hearings) – these

¹ www.legislation.gov.uk/ukSI/2011/2744/schedule/made

duties are known as a panel's 'special functions'

- complaints handling
- discharge of the commissioner's functions.

All panel activity should be justified with reference to undertaking these core duties. Panels are required to establish panel arrangements, dealing with their composition, the role of the panel and support to be provided to it; and rules of procedure, setting out how they will be chaired, make decisions and manage any sub-committees.

The legislation requires that panels' activity generally should be informed by the need to support the PCC, so it should be expected that the challenge brought by formal scrutiny activity will be driven by the need to make a positive impact on the delivery by the PCC of their own duties and priorities.

The twin roles of 'challenge' and 'support' are important ones for panels, but there have sometimes been challenges where panels have taken a different view of the scope of their role than the local PCC or office of the Commissioner, who have perceived this to be more limited. Understanding and agreeing these roles and what they mean is essential if panels and commissioners are to have a positive working relationship, and some areas have found it helpful to agree a memorandum of understanding for this. In practice, it means that panels have a role of oversight over commissioners' activities, which involves:

- seeking to understand the strategic needs for policing in the area the commissioner serves
- using that insight and understanding to support the commissioner to carry out her/his statutory duties
- reviewing key activities and priorities including the delivery and resourcing of the plan.

In summary, panels are therefore an integral part of the governance structures for policing and crime in England and Wales outside of London. In England, panels are joint

committees, formed of representatives of the local authorities within the police force area and at least two independent members who are co-opted onto the panel. The four panels in Wales (Dyfed Powys, Gwent, North Wales and South Wales) are 'Part 3 panels', established by and answerable to the Home Secretary.

Mayoral arrangements

The functions of the commissioner may be taken on by the directly elected (executive) mayor in an area with a combined authority. Bringing a commissioner's responsibilities alongside those of a combined authority mayor are intended to lead to greater opportunities for alignment between strategic policing and other public functions. Provision is made for scrutiny of the mayor through a police and crime panel formed from constituent authorities, in relation to specific responsibilities for policing and crime.

The Mayor for Greater Manchester acts as the police and crime commissioner and has appointed a Deputy Mayor for Policing and Crime to support the discharge of functions. In the West Midlands in early 2019, the combined authority decided against seeking to merge the role of commissioner and mayor. At the time of writing, no formal plans were in train in other combined authority areas for similar mergers.

In London, the elected mayor is the equivalent of the PCC and responsible for policing (outside of the City of London, which has its own police force). The Mayor delegates authority to the Deputy Mayor for Policing and Crime and works through the Mayor's Office for Policing and Crime (MOPAC). MOPAC has strategic oversight of devising a police and crime plan and ensuring it is delivered over the term of office. The Police and Crime Committee of the London Assembly examines the work of MOPAC and conducts thematic investigations on key issues such as serious violence, frontline policing and counter-terrorism.

Every month the committee publicly questions senior representatives from the Metropolitan Police and MOPAC, including the Metropolitan Police Commissioner and the Deputy Mayor for Policing and Crime.

Police, fire and crime functions

The Policing and Crime Act 2017 (the 2017 Act) included provisions intended to enhance collaboration between the emergency services in England and Wales. It:

- Introduced a high-level duty on police, fire and rescue and emergency ambulance services across England and Wales to keep collaboration opportunities under review and to enter into them where it is in the interests of their efficiency or effectiveness.
- Enables commissioners in England to take on the functions and duties of their local fire and rescue authority ('the governance model'), where the Home Secretary agrees that a local case has been made to demonstrate how the transfer is in the interests of economy, efficiency and effectiveness, or is in the interest of public safety.
- Further enables commissioners in England who have taken on responsibility for fire and rescue, and mayors of combined authorities who exercise both police and fire functions, to delegate fire and rescue functions to a single chief officer for police and fire, where a local case is made ('the single employer model').
- In areas in England where a commissioner has not become responsible for fire and rescue, enables commissioners to have representation on their local fire and rescue authority with voting rights, where the fire and rescue authority agrees.

In Wales, the four commissioners have neither the option nor the power to take on direct responsibility for fire and rescue

services which, unlike policing, have been devolved. Fire and rescue authorities remain as separate bodies with their own governance and funding arrangements. option nor power.

Where a commissioner takes on governance of fire and rescue services, the commissioner replaces the fire and rescue authority which previously controlled the management of the fire and rescue service and which, depending on the precise form of the authority, had been comprised of councillors from county, unitary and district councils and lay members including magistrates. The chief fire officer subsequently manages the service in agreement with the commissioner.

The additional powers of a PFCC are to:

- implement a fire and rescue plan
- set fire and rescue service budgets
- dismiss and appoint a chief fire officer.

The expanded powers of police, fire and crime commissioners are reflected in the broader responsibilities of the police, fire and crime panels (PFCPs), which have also assumed further statutory roles.

A panel's special functions and wider role remain the same in providing challenge to and support for the commissioner but expand to include scrutiny of its commissioner in relation to her/his fire and rescue service functions as well. As such, PFCPs will be expected to:

- scrutinise an additional fire plan as well as a police and crime plan (the plans may be amalgamated into a single police, fire and crime plan)
- agree precept levels for both fire and police (which are considered separately)
- scrutinise the appointment, suspension and removal process of the chief fire officer.

The panel is also under a duty to review its membership to ensure it has the necessary skills, expertise and knowledge to fulfil its

functions in relation to fire and rescue. New PFCPs will need to consider whether the existing membership includes those with expertise not only of policing and crime, but also of fire and rescue services or whether changes need to be made through additional co-options or new appointments.

When panel members are being selected for representation on a police, fire and crime panel, local authorities should have regard to the need to appoint members who may have existing experience in oversight and governance in the fire and rescue landscape as well as policing and criminal justice.

Other collaboration

Modern policing depends upon multi-agency approaches to tackle crime and address its causes, and under the 2011 Act the commissioner plays a significant role in bringing relevant bodies together to work in partnership to deliver her/his priorities. This will include providers of services the PCC is required to commission eg victims' services.

Given this multi-agency approach, panels should be aware of their commissioner's range of partnership contributions when scrutinising their role. This might require informal information sharing between panels and organisations and between a number of panels whose respective commissioners collaborate. However, formal multi-panel scrutiny of commissioners has the potential to be unwieldy and to risk panels acting beyond their formal powers, as explained further below.

Section two: Panels' statutory powers and duties

The five statutory duties of panels are the core element of their work and referred to as special functions.

Reviewing the precept

The commissioner is responsible for setting the budget and the precept for the police force. The precept and budget should be based on the priorities set out in the police and crime plan and reflect the resources available to deliver them.

The legislative requirement is for the panel to review the precept proposed by the commissioner. Each year, before 1 February, the commissioner is required to notify the panel of the precept that s/he is proposing to issue for the following financial year. The panel must review the precept and make a report, including recommendations, which could include the exercise of a veto (as detailed below). Although panels do not have a role in setting the budget, their scrutiny of the precept will need some awareness of the budget and a report will inevitably accompany the precept proposals to give background.

At a time of unprecedented financial challenge, significant changes in the nature, type, scale and complexity of crime and increasing public expectations of policing, panels will need to be familiar with the range of challenges and pressures on the commissioner and the diversity of responses to those by the commissioner, her/his office and the wider public sector. In reviewing the proposed budget and precept, panels will also need to be aware of the priorities and objectives in the police and crime plan,

in order to consider whether resources are being made available to deliver the plan.

To ensure they are sufficiently informed and able to provide effective scrutiny of the precept, panels will need to gather information in advance of the meetings and carry out in-year monitoring of the budget eg spend against the plan and strategy and in-year variance.

In scrutinising the commissioner's precept, the panel could review:

- the budget
- the police and crime plan and the resources required for delivery
- the medium-term financial strategy
- the overall police settlement
- reserves
- capital spend
- options available
- specific issues, for example reductions in grant, cost recovery from policing large events, transparency regarding the use of resources and the procurement strategy, possibly with other forces.

Scrutiny of the precept will have to be carefully planned and carried out in a fair and transparent manner, especially as the panel has the power to issue one veto over the policing precept in each year (see below). Panels will need to understand budget material to be able to offer effective challenge and support of the commissioner on the proposed precept. Panels could therefore hold briefings potentially provided by the commissioner and

her/his chief finance officer, and/or training that might be supported by the host authority's finance officer.

The provision by the commissioner of background information explaining the budget and precept proposals will help the panel to direct its scrutiny effectively. Informal liaison, in advance of the formal panel meeting where the budget is to be discussed, will allow members of the panel to deal with general, exploratory questions and will ensure that the formal session itself can be focused and forensic. It will allow potential points of disagreement to be identified and highlighted and plans to be developed to deal with those issues constructively when the panel meets formally.

Precept scrutiny

A panel's questioning plan in relation to the commissioner's precept should focus on strategy, not numerical details and be used to seek clarification, test evidence and assumptions and explore options best able to deliver the police and crime plan through the proposed precept. Questions panels might ask their commissioner could include whether the precept enables funding to follow priorities; whether value for money is being secured; and whether there is a robust monitoring framework. Examples include:

- Is the police and crime plan integrated with budget setting and monitoring?
- Is scrutiny adequately built in to challenge how resources are allocated, to monitor how they are used and to examine their impact?
- Are resources delivering value for money?
- What are the risks?
- How will the increase in the precept enable you to deliver specific objectives in your plan?

One panel has designated a member champion for finance and resources to lead on precept scrutiny; it has a member champion for each of the commissioner's five priorities in his plan. In 2018/19 and 2019/20, the precept setting process was much improved as the member champion was in close dialogue with the commissioner's chief finance officer/ S151 officer. They met on a regular basis throughout November, December and January. In the pre-meeting to the precept meeting, the member champion updated panel members and answered their questions, addressed their concerns and provided clarity where required. Consequently, the panel was much more efficient and effective in transacting business at the main precept meeting.

Although some panels establish budget working groups or designate a member to lead on this, the panel must meet formally to consider the proposed figure of the precept: this cannot be delegated to a sub-committee of the panel. The commissioner must be invited to attend this formal meeting of the panel at which the precept is to be discussed. Once this has occurred the panel will be able to make recommendations – in particular, whether it wishes to:

- support the precept without qualification or comment
- support the precept and make recommendations
- veto the proposed precept. This requires a majority of at least two thirds of the membership of the panel at that time, not just of those attending the meeting. A lack of a quorum would prevent the panel from using the veto, even if it wanted to do so.

The commissioner must have regard to the panel's report (including any recommendations) and must give the panel (and publish) a response to its report and recommendations.

The commissioner may then publish and put in place the precept if the panel does not use the veto. If the panel does exercise the veto, the commissioner will need to demonstrate that further consideration has been given to this decision before bringing a second proposal. As noted above, the panel may not veto a second proposal.

Exercising the veto

Panels have the power of veto over the precept. However, this is a longstop, use of which should be very rare and needs to be justified. Panels should also recognise that the veto can only act as a delay; it will not prevent the commissioner from being able to re-present, and enact, a precept that is not materially different from that to which the veto has been applied.

In reality, close liaison between the panel and its commissioner in the run-up to the budget and precept being presented will limit the scope and reason for its use. Where the panel considers that the use of the veto is in prospect, professional advice should be taken from the host authority and prior engagement with the commissioner should be sought.

If the veto is used, the panel should be prepared to provide detailed reasoning to back up why; for example, the panel considers that the precept is:

- not supported by the evidence and information that the commissioner has provided
- too high, in which case the revised precept shall be lower than the previously proposed precept
- too low, in which case the revised precept shall be higher than the previously proposed precept.

It is useful to keep a reserve date in the panel's calendar in case a veto is agreed, because the precept needs to be reconsidered by the panel and a response by the commissioner issued before 15 February.

Following this, if the panel fails to make a second report to the commissioner by 22 February, the commissioner may issue the revised precept. Rejection of the revised precept by the panel does not prevent the commissioner from issuing it as the panel is unable to veto a further proposal.

Timeline for the panel's statutory responsibility as a consultee on the commissioner's precept

- ▶ **By 1 February**
Commissioner must notify the panel of her/his proposed precept.
- ▶ **By 8 February**
Panel must review it and make a report to the commissioner on the proposed precept, whether it vetoes the precept or not.
- ▶ **By 15 February**
Where the panel vetoes the precept, the commissioner must have regard to and respond to the panel's report and publish her/his response, including the revised precept.
- ▶ **By 22 February**
Panel, on receipt of a response from the commissioner notifying it of her/his revised precept, must review the revised precept and make a second report to the commissioner.
- ▶ **By 1 March**
Commissioner must have regard to and respond to the panel's second report and publish her/his response and the final precept.

Reviewing the police and crime plan

Following her/his election, a commissioner must issue a police and crime plan within the financial year in which each ordinary election is held. The plan is a high level, strategic document – not one that covers the detail of operational policing. The plan provides a means by which the chief constable can be held to account by the commissioner for

delivery against those objectives. The police and crime plan can be reviewed at any time – not just on an annual basis – although in practice most commissioners review them annually.

The plan should set out the following:

- the commissioner's police and crime objectives
- the policing that the chief constable is to provide
- the financial and other resources which the commissioner is to provide to the chief constable to exercise their functions
- the means by which the chief constable will report to the commissioner on the provision of policing
- the means by which the chief constable's performance in providing policing will be measured
- the crime and disorder reduction grants which the commissioner is to make, and the conditions (if any) to which such grants are to be made.

The Home Secretary may also give guidance to commissioners about issues to be included in the plan. For example, the plan will need to reflect local priorities in relation to the strategic policing requirements.

Themes for the panel to consider in scrutinising the plan

The panel has a statutory duty to be consulted on, and scrutinise, the plan and should be consulted by the commissioner when the plan is being reviewed. The panel might explore how the draft plan reflects assessments of local needs and could expect to be able to access, review and understand background information and evidence that has informed the plan in a timely way. The panel will also want to consider the commissioner's local police and crime objectives and the resourcing that will be put in place to deliver them.

Consideration should be given to the commissioner's grant-making for crime and disorder reduction and the commissioning of victims' services.

The panel may also be interested in whether the commissioner makes provision for collaboration with other commissioners or other forms of partnership working. However, its scrutiny role should only relate to its commissioner's governance role in relation to the force's local contribution to delivery of regional or national arrangements. Panels should not scrutinise activity which has taken place in other force areas or has been coordinated on behalf of other areas, other than where it affects delivery of the police and crime plan or proposed precept and reflects a decision of its own commissioner within the force area.

The panel might also scrutinise the commissioner's consultation on the plan and the communication strategies to promote it, as well as the partnerships that the commissioner develops to ensure delivery of the plan. As the panel's work sits within a wider consultation process by the commissioner on the plan, it might want to test the views of the public against the perceptions of the commissioner. In this, members may draw on their experiences as local councillors, within the community or within the public sector.

The panel will need to request the commissioner's attendance to present the police and crime plan at a formal meeting which is held in public, and subsequent revisions to it, in its role as a statutory consultee. It will be able to ask questions of the commissioner and to make a report on the plan.

Panels are also able to make recommendations for priorities in the plan, on performance measures to be used around delivery of the plan and for improvements in services to meet the commissioner's objectives. Scrutiny of the police and crime plan should not therefore merely be a 'sign off' by the panel for publication, but instead an opportunity to scrutinise the commissioner

and to discuss key issues and options. This approach, when also informed by in-year briefings and proactive work, will enable the panel to more effectively add value to consideration of the plan, rather than come late to a debate that has already concluded.

In 2017, a commissioner presented a new plan with four priorities. The panel was concerned about a lack of focus and priority for neighbourhood policing and following lengthy discussions and deliberations, the commissioner agreed to add neighbourhood policing as a fifth priority. It remains as a priority following a review and variation of the plan in 2019.

Over the course of the term, the panel should see the plan in the context of the commissioner's annual reports and how s/he is delivering on the priorities, as well as in relation to the annual accounts and level of the precept(s). This allows the panel to assess priorities against need and resource projections and to review performance against priorities and resource allocations. It also should provide a mechanism by which the panel can define and develop its own annual work programme.

Reviewing the annual report

The commissioner is required to publish an annual report. This should provide details of activity and achievements throughout the previous year against the priorities set out in the police and crime plan. The panel has a statutory role in scrutinising this report at a meeting held in public.

It is helpful for the panel to discuss its expectations of the annual report and the arrangements for how it might be considered with the commissioner and her/his office. For the annual report to be constructive and the panel's scrutiny of it effective, there needs to be recognition of the role the report and the public meeting can play in development and improvement.

It should not be viewed merely as a tick box exercise to comply with statutory requirements, but as a valuable tool, focused on outcomes, that benefits from collaboration between the panel, the commissioner and her/his office in the interests of improving policing, increasing community safety and reducing crime.

The annual report should have enough detail to allow the panel to have a detailed discussion of:

- the state of the force (and service) and the state of policing and crime (and fire and rescue) in the area
- performance and outcomes against priorities and budgets
- the role carried out by the commissioner.

The panel will need to have enough detail to fulfil its role and to ensure that the time available is used to best effect for the panel, the commissioner, her/his office and the public. The public meeting should come at the end of this process of exploration and should not be the first time that a panel sees the commissioner's annual report.

The public meeting of the panel to carry out this scrutiny of the annual report will need to be convened as soon as possible after it has been published. Panels might need to consider the best time to hold the review of the annual report in the final year of a commissioner's term of office. The March meeting may be too early because the annual report may not be available then, or it could be too close to the election period. However, reviewing the annual report after the election could be difficult if a new commissioner has been elected.

Scrutiny of the annual report should focus on:

- understanding whether the objectives set out in the police and crime plan have been met
- using panel members' own insight and independently gathered evidence to evaluate whether the commissioner's conclusions on this matter are robust and
- supporting the commissioner to hold the

chief constable to account on operational delivery.

An effective panel annual report session should use the report as a tool to carry out an annual review of the commissioner's activities, looking back at the last year's successes and challenges, and forward to the next year's opportunities and priorities.

A less beneficial session could involve the panel highlighting apparent factual inaccuracies in the annual report, asking for additional narrative information on details or pointing out typographical or grammatical errors. None of these would add value to the effective scrutiny of the commissioner and all of them would represent a poor use of time for everyone involved.

Scrutiny café-style meeting on the annual report

The panel is responsible for holding this public meeting to receive and discuss the commissioner's annual report each year and might use this for more creative ways to engage the public. It helps to publicise the meetings more widely and to explain the contribution a member of the public might make – and how.

Those familiar with local authority scrutiny might find a scrutiny café-style activity helpful. This enables a range of stakeholders to meet in an informal setting using group work to test opinion and share experience and insights. Using such an approach would enable a panel to better involve the public, for example, by inviting them to:

- comment on matters in the annual report
- express concerns about policing and crime (and fire and rescue services) in the presence of the commissioner
- provide ideas to inform the panel's work programme.

Holding confirmation hearings

Panel role in senior appointments

The panel has powers to review the commissioner's proposed appointment of senior staff before they are confirmed in post.² Under schedule 1 of the Act, the panel's role begins once the formal appointment process has concluded, but is limited to confirming an appointment. However, the panel also has powers to appoint an acting commissioner from among the deputy commissioner or the commissioner's staff, where the commissioner resigns or is incapacitated or is suspended from office by the panel. Arrangements for such an appointment are set out in legislation.

The senior appointments to be confirmed by the panel are:

- deputy commissioner, where appointed
- chief constable
- chief executive of the commissioner's office
- chief finance officer of the commissioner's office
- chief fire officer, in the case of a police, fire and crime commissioner.

The panel is required to hold confirmation hearings for these posts (regardless of how robust they consider the appointment process to have been), and make a report to the commissioner. This must include a recommendation as to whether or not the candidate should be appointed. The panel must also respond to and make a recommendation relating to any proposal by the commissioner to call upon the chief constable or chief fire officer to retire or resign.

Preparing for and holding a confirmation hearing

Panels should aim to complement the internal systems for appointing staff rather than duplicate or restage the interviews. The panel will need to be satisfied with the integrity and independence of the appointments process,

² The procedure differs where mayoral arrangements are in place and the executive mayor is also the commissioner.

and its role might also be to ensure that the procedure has been fair and properly conducted. The panel might take an interest in whether there has been more than one candidate for the post and if not, the reasons why. However, the panel's responsibility is only to hold a confirmation hearing for the nominee to the post.

One panel invited the Independent Member from the College of Policing to attend a hearing to explain how the commissioner and his office conducted the recruitment process for a chief constable; this provided much added value and triangulation. Other panels have sent a member as an informal observer of the recruitment process to give reassurance on appropriate practice by the commissioner and her/his office.

Professional advice might need to be taken by panels on how hearings will be managed. As well as the support officer, the panel might benefit from the advice of a monitoring officer or senior human resources officer in relation to specialist or technical information about recruitment, appointment and other employment issues, subject to resources being available to support additional officer time. This would ensure that panels conduct a fair process.

The panel must undertake its role in relation to confirmation hearings for the chief constable³ within three weeks, including notice of the need to meet, the hearing and the presentation of a report and possible recommendations. Usually no other business should be undertaken within that meeting. The confirmation hearing should not be another agenda item tacked on to an existing meeting, although the panel might choose to meet on the same day to conduct ordinary business with a separate agenda. The convening of a separate meeting will mean that proper time and preparation will be put in to the exercise and panel members will be able to approach the session with the right mindset.

³ https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/117480/pcp-chief-constable-scrutiny.pdf

Part of the preparation for the hearing will involve the panel's support officer liaising with the candidate around the logistics of attendance at the meeting and to provide general information about what the panel will expect from her/him on the day.

The way that candidates are questioned will need especially careful preparation. This is a public meeting and a candidate's appointment to a post with a public profile, involving significant responsibility, is at stake. Questions and questioning themes should be discussed in advance. There will be scope for supplementary questions, but the process and format will need to be more rigid than for a standard item on an agenda.

Preparing for confirmation hearings

As with all 'special functions', the panel will need to be fully prepared, in terms of the procedures to be followed; the approach to take; the reason for its involvement; information to be provided by others such as the commissioner and the commissioner's office; evidence to be gathered; liaison to be undertaken with the commissioner and others; and questions to be asked by the panel at the formal public session.

Legislation provides for panels to have access to:

- the name of the person whom the commissioner is proposing to appoint ('the candidate')
- the criteria used to assess the suitability of the candidate for the appointment
- the reasons the candidate satisfies those criteria
- the terms and conditions on which the candidate is to be appointed.

Panel members will be able to draw on this information in order to prepare their key lines of enquiry for the confirmation hearing and make a report. Preparation for the hearing could best be undertaken in a pre-

meeting for the panel to be briefed about and agree the process, and to develop the questioning strategy with key lines of enquiry.

The panel might become aware of additional information to that which is provided by the commissioner about the candidate, but must take care when researching, analysing and using other evidence that is in the public domain. An early pre-meeting would enable panels to address unexpected issues, for example, adverse, though not necessarily accurate, media coverage or identify any gaps in information that need to be covered.

Panels should follow a narrow set of key lines of enquiry. These should focus on the individual's capability and expertise, her/his professional competence and personal independence and her/his understanding of the commissioner's police and crime plan. Suitable questions should test the candidate's professional judgement and insights and whether s/he would feel able to act in a manner that is operationally independent of the commissioner but under her/his strategic direction.

The panel also will need to have regard to the police and crime plan and the suitability and expertise of the candidate in relation to delivery of these strategic objectives. The panel will need to assure itself that the candidate would be able to advise the commissioner effectively and understand the need to be held to account by the commissioner for the conduct of the role.

The panel might test the understanding of the candidate of the separation of the commissioner from operational responsibility. The panel also might scrutinise the candidate's understanding of the various stakeholders with whom s/he and the commissioner would need to work and demonstrate an ability to engage with them to develop and deliver the major strategy and outcomes sought.

Reviewing the appointment and making a recommendation

Following the hearing, the panel is required to review the proposed appointment; this deliberation takes place in private. The outcome is reported at the end of the confirmation hearing and the panel is required to publish the report of the confirmation hearing on its website and send copies to each of the local authorities. The panel chair is then required to write to the commissioner to report whether it recommends appointment or not.

In the case of the appointment of the chief constable (and chief fire officer) only, the panel has the power to veto the appointment, on the basis of a majority of two thirds of the membership of the whole panel (not only those present at the hearing). If the panel exercises its veto, the commissioner must not appoint that candidate for chief constable (or chief fire officer).

Therefore, such a veto would need to be accompanied by very clear reasons, on which the panel should take advice. The panel will need to realise that the exercise of a veto, in such an instance, could be potentially career-ending for the selected candidate; an exceptionally high bar should be assumed for the use of the veto to be appropriate.

For other appointments, the commissioner is required to notify the panel if s/he accepts or rejects its recommendation(s) but does not have to give reasons.

Deputy commissioner

The role of a deputy commissioner differs from the other appointments in that it is likely to be a political appointment and therefore less able to be tested in terms of professional judgement and expertise. It may also be an unpaid position, so further outside the scope of employment procedures.

However, the panel still need to assure themselves of the understanding by the candidate of her/his role, the position of

the commissioner and the operational independence of the chief constable (and chief fire officer).

Key lines of enquiry of the panel for a deputy commissioner might focus around her/his understanding of the commissioner's vision and priorities and the role that the deputy would play in support of the commissioner's strategy and delivery of the plan. The panel might also ask questions in relation to public engagement or other significant requirements to fulfil the role profile in the more political context of the deputy commissioner post.

Handling complaints

Panels have two roles in relation to complaints handling:

- scrutinising and supporting commissioners on their oversight of force complaints and the handling of a chief constable complaint, following reforms to the police complaints and disciplinary system, and
- a direct role in dealing with non-criminal complaints about the commissioner, one of their special functions.

Reform of complaints handling

The Policing and Crime Act 2017 provides for the overhaul of the police complaints and discipline systems, in line with the Home Office's stated view that 'PCC oversight and direct involvement in complaints handling provides an opportunity to gain powerful insights in how a local force operates and key concerns for members of the public'. When fully implemented, the reforms will see commissioners take on an enhanced role in the complaints system.

All commissioners will have an explicit statutory duty to hold the chief constable to account for the efficient and effective handling of complaints locally, and

they will take on responsibility for complaints' reviews (appeals), which are currently handled internally by forces. Commissioners will also be able to give notice to their chief constable that they will take on 'front-end' initial complaints handling, ie receiving and recording complaints (optional model 2), or take on initial complaints handling together with maintaining contact with the complainant throughout the process (optional model 3).

It is a decision of the commissioner in consultation with the chief constable whether to take one of the optional models – and if so, which one. Regulations will specify the steps a commissioner must take before giving notice to take on optional functions (including consultation on the proposed optional model) and to whom s/he can delegate her/his functions. Formal resolution of complaints will remain the responsibility of the chief constable as the head of the organisation about which complaints have been received.

The 2017 Act also provides for a system of police super-complaints. This reform came into effect on 1 November 2018 and enables organisations designated by the Home Secretary to raise concerns that a feature, or combination of features, of policing in England and Wales is, or appears to be, significantly harming the interests of the public. The super-complaint system is designed to bring systemic issues in policing to light that are not otherwise captured by the existing complaints system based around individual complaints. Super-complaints will be considered by Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) the College of Policing and the Independent Office for Police Complaints who, together, will consider the matters raised and make recommendations as to what (if anything) needs to happen as a result of the super-complaint. The role of panels will be limited to scrutinising any national recommendations for the commissioner that come out of these.

Panels will need to be aware of the impact of changes effected by the 2017 Act. When complaints reforms are in place, this will include scrutinising the commissioner on the discharge of her/his functions in respect of complaints and super-complaints, the notification of them, her/his capacity to fulfil this new duty and any potential consultation on and extension of the commissioner's role to include either of the optional models. They will not have this role until the reforms are in place.

Panel complaints handling

Type of complaints

In terms of their own specific responsibility for complaints, regulations⁴ require panels to consider non-criminal complaints about the conduct of a commissioner and/or deputy commissioner, where appointed.

Complaints may refer to conduct matters including actions and omissions, statements or procedures, including the way decisions are taken. They do not include the merits of a decision with which a complainant may disagree, but only whether the decision was taken properly in accordance with procedures. Regulations divide complaints into:

- complaints – conduct of the commissioner or deputy commissioner
- serious complaints – allegation the commissioner or deputy commissioner has committed a criminal offence
- conduct matter – indication that the commissioner or deputy commissioner may have committed a criminal offence, which has come to light other than through a complaint.

Panels must refer serious complaints and conduct matters to the Independent Office for Police Conduct.

Options for dealing with complaints

It is for panels to decide how to handle their complaints function. Options include:

- work undertaken by a complaints sub-committee of the panel that reports to the panel
- delegation of the first sift of the complaint by the chief executive of the commissioner's office, possibly in the presence of a representative of the panel
- delegation of the informal resolution of the complaint.

There should be clear procedures illustrated by a flowchart with clear timescales, a form for submitting and outlining a complaint, definitions of complaints including vexatious complaints and information about routes for complaints that are not the responsibility of panels. These should be accessible to the public, including on the panel's website. These procedures should reassure the public that complaints against the commissioner or deputy are handled fairly and appropriately by the panel or referred to the proper body.

Complaints should where possible be acknowledged within five working days and conducted within forty working days (eight weeks) if dealt with through the informal resolution process.

There is a duty to record the complaint or to state reasons why it was not recorded, or other action taken, and to obtain and preserve evidence. If a complaint is recorded, the complainant and the commissioner or deputy commissioner will be provided with a copy of the record of the complaint, if necessary with redaction to protect the identity of the complainant or any other person, unless this might prejudice a criminal investigation or not be in the public interest.

4 www.legislation.gov.uk/ukxi/2012/62/contents/made

Three options are then available to the panel:

- to refer a serious complaint or conduct matter to the IOPC
- to refer the complaint to the panel or its complaints sub-committee for informal resolution
- to take no action.

A panel may choose not to refer the complaint for resolution nor take action if:

- it does not relate to the actions or statutory responsibilities of the commissioner or deputy commissioner
- the complaint is by a member of the commissioner or deputy commissioner's staff arising from their work
- it is more than 12 months old and there is no apparent good reason for the delay or the delay would cause injustice
- it is already the subject of another complaint
- it is anonymous
- it is vexatious or another abuse of the procedures for complaints
- it is repetitious
- it has been resolved before it comes to the panel's attention.

A complainant can withdraw or discontinue their complaint at any time by notifying the panel in writing with the person's signature and the commissioner or deputy commissioner must be informed. A record of all complaints received should be kept until 12 months after the commissioner or deputy commissioner leaves the post.

Managing complaints and challenge for panels

Many panels (and their host authorities especially) have found complaints handling to be very difficult because they are not responsible for and cannot investigate complaints, yet are expected to encourage

or facilitate informal resolution. Informal resolution is intended to enable the matter to be solved or explained directly with the complainant without an investigation or formal proceeding, and there are no sanctions available. As a result, there has been a seemingly disproportionate amount of time and resources spent on complaints handling.

The panel needs to have information in order to come to a judgement about the action to take. This could require clarification through a meeting with the commissioner, or deputy commissioner if the subject of the complaint.

The support officer or another officer (eg the local authority's monitoring officer) must write to the complainant setting out the procedure and timescales and giving the complainant and the commissioner or deputy commissioner the opportunity to make further written comments about the complaint within a set timescale. The panel has the power to require the commissioner or deputy commissioner to provide information and documents and to answer questions, but not to conduct an investigation by taking statements from others.

The complainant and the commissioner or deputy commissioner with the chief executive or another member of her/his office may be invited to a meeting in private but may only speak at the discretion of the chair.

The panel will consider whether the complaint has been dealt with satisfactorily and been resolved or what course of action is required. This might be an explanation or agreement on how to move forward after mediation. The decision of the panel is to be recorded and notified to the complainant, the commissioner or deputy commissioner, the support officer and the chief executive of the commissioner's office.

There is no right of appeal, but complaints about the process may be submitted to the

support officer or chair of the panel with the option to refer the matter to the Local Government Ombudsman if a satisfactory answer is not considered to have been made.

In reporting about complaints about the commissioner or deputy commissioner, it is appropriate for the panel to report on the number of such complaints and how they have been dealt with, but not provide details of the resolution of individual complaints, for example, in order to protect personal information.

Wider activity to support panels' functions around the discharge of the commissioner's functions

Whilst there is no statutory duty to undertake proactive work, panels may choose to undertake activity in addition to their special functions in order to consider more fully how the commissioner discharges her/his functions, and to inform their statutory work. Panels which undertake such proactive work and additional research are likely to provide more effective challenge and support for their commissioner because they are able to gain greater insight and understanding of the strategic policing landscape in the local area.

What 'proactive' work will look and feel like

The precise nature of this proactive work and how it engages with the commissioner's decision-making and policy cycle is best decided at local level and subject to discussion between the commissioner and the panel. However, it needs to focus on the work of the commissioner, reflect the capacity of members and officers and enhance the effectiveness of the panel in meeting its statutory duties.

Proactive work is likely to look and feel different from the scrutiny, and constructive challenge, of commissioner performance and decisions that have already been made. Whilst it is important to learn lessons through

reviewing how decisions have been made or the impact of policies and actions, proactive work connects more to a panel's supportive role and should be seen by panels and commissioners as an opportunity to liaise in order to expand and develop the evidence base that feeds into the decision-making process.

Building a broader evidence base to support the panel's 'special functions'

This exploratory work of evidence-gathering and thematic investigations enables members to build their knowledge of complex, cross-cutting issues in a way that would be impossible solely through a report submitted by the commissioner or her/his office or background research by an officer supporting the panel. This broader evidence base, once at the panel's disposal, ensures that when a panel considers the draft precept or is consulted about a refresh of the plan(s), it has a better understanding of the policing (and fire and rescue) needs of the area, the opportunities afforded by partners to deliver services and the impact of the plans of the commissioner. The greater knowledge of the panel also allows its members to ask more reasonable and searching questions of the commissioner and to provide meaningful feedback as part of any of the consultation processes, or formal consideration of key agenda items. This information may provide additional insight to the commissioner during meetings with the panel and/or the chief constable.

Understanding issues in her/his local area, including crime and disorder matters, is already part of the role of a councillor and these insights could constructively feed into the panel's deliberations. However, it is important to balance the risk around members of the public and complainants seeking to abuse the trust of councillors in attempts to circumvent normal operational policing arrangements in respect of individual concerns.

An explanation of what this proactive activity by a panel will mean for the commissioner/panel relationship (and potentially, the

relationship with other partners) should be a feature of any memorandum of understanding/protocol that is developed locally.

Given the panel's specific power to make recommendations to the commissioner on matters relating to the discharge of her/his functions, it is helpful for the panel to be well informed and better able to ask pertinent questions, evaluate the information received and formulate suggestions. The detail of how the commissioner should respond to these recommendations will be subject to local agreement, and based on similar principles for overview and scrutiny in local government with respect to events at committee, inquiry days or task and finish groups. This is expanded on in section four on running the panel.

Without effective prioritisation and a sense of focus and direction, not least from chairs and support officers, there is a risk that proactive work could be resource-intensive and add little value. However, panels that are using their resources fully, making effective use of their Home Office grant and which have clear procedures and criteria for prioritisation of their workload, should be able to undertake the routine challenge and support of the commissioner at panel meetings, fulfil their special functions and undertake more proactive work better to inform their work. This is considered in more detail in section four below.

Section three: Key stakeholders in undertaking the panel's functions

As outlined in section one, the policing protocol sets out the relationships between the commissioner, the panel and the chief constable. In fulfilling its remit, a panel will need to build relationships with the commissioner and her/his office. Commissioners and their offices will need to understand and commit to their role in facilitating panels' activities, and for this reason a memorandum of understanding or protocol between these two partners may be helpful.

A panel might also need to liaise with a wide range of stakeholders across policing and crime (fire and rescue) to inform its work. Depending on capacity and the approach taken by the panel, this could involve briefings and evidence gathering with and from a wide range of organisations to support the work of the panel in providing challenge and support of the commissioner.

The table below summarises the respective roles of panels, commissioners and chief constables in relation to their key functions.

Commissioner	Panel	Chief Constable
Secures the maintenance of the police force for that area and ensures that the police force is efficient and effective	Scrutinises the commissioner and supports the commissioner in the effective exercise of her/his functions	Responsible for maintaining the Queen's Peace; held to account by the PCC Has regard to the strategic policing requirement when exercising and planning policing functions in respect of their force's national and international policing responsibilities
Sets the budget and precept for the force	Reviews the precept (and by extension considers the budget)	Has direction and control over the force's officers and staff, and associated budgets
Establishes local priorities for the force through a police and crime plan	Contributes to the development of the commissioner's police and crime plan	Is accountable to the law for the exercise of police powers, and to the commissioner for the delivery of efficient and effective policing, management of resources and expenditure by the police force

Commissioner	Panel	Chief Constable
Holds the chief constable to account for the exercise of her/his functions and those under her/his direction and control	Scrutinises, challenges and supports the PCC	Supports the commissioner in the delivery of the strategy and objectives set out in the plan; assists the commissioner in planning the force's budget; and provides the commissioner with access to information, officers and staff as required
Uses her/his powers to appoint, reappoint and/or dismiss the chief constable	Carries out confirmation hearings for chief constables (and other key roles) Scrutinises the PCC, and receives evidence from the chief constable (by invitation), at 'set piece' events at certain points in the year	
Publishes information specified by the Secretary of State and information that the commissioner considers necessary to enable the people who live in the force areas to assess the performance of the commissioner and the chief constable	Promotes openness in the transaction of police business Uses information to carry out its special functions (the statutory requirements around the precept, police and crime plan, annual report, confirmation hearings and complaints)	Is the operational voice of policing in the force area and regularly explains to the public the operational actions of officers and staff under her/his command
Monitors complaints made against police officers and staff, whilst having responsibility for complaints made against the chief constable	Uses insight from complaints data to inform how its special functions are carried out	Responsible for professional standards for police officers and staff
May enter into collaboration agreements (in consultation with the chief constable) between other commissioners and forces where it would improve the efficiency and effectiveness of one or more forces	May consider such collaboration agreements given that they are likely to intersect with the panel's functions, and may work with other panels to carry out these responsibilities where proportionate and necessary to scrutinise the relevant commissioner	Enters into collaboration agreements with other chief constables, other policing bodies and partners that improve the efficiency or effectiveness of policing, and with the agreement of their respective policing bodies

The relationship with the commissioner

The panel's relationship with the commissioner is its principal relationship. It is defined by the statutory responsibility to provide both 'challenge' of and 'support' to the commissioner. The panel has a strategic role in relation to the totality of policing in the force area.

This relationship will be reflected in the terms of reference and rules of procedure of the panel. However, the panel and commissioner may consider that a memorandum of understanding or protocol to set out mutual expectations would be useful to clarify their ways of working together. This provides a way to reflect the legislative duties and value-added activity and to set out in more detail how these duties will be undertaken locally.

Such a protocol may form part of the panel arrangements, which are likely to contain detail on the above, as set out in section four. It might include:

- The general principles that the panel will adopt in carrying out its work including the Nolan Principles of public life and the mutual expectations in terms of behaviour that will define the relationship; the commissioner and members of the panel all have obligations to comply with the code of conduct and the register and declaration of interests.
- The principal tasks that the panel expects to carry out.
- The way that the panel's work will provide both challenge and support to the commissioner.
- The way that the panel will carry out its proactive work, including work programming arrangements.
- The way that the panel and commissioner will manage the making of recommendations and the submission of responses to recommendations.
- Arrangements for attendance at meetings and the timely provision on request of information held by the commissioner.

- Expectations around the panel's engagement with other partners and organisations, particularly insofar as this is necessary for the panel to conduct its statutory duties.

A strong and well-understood explanation of what 'challenge' and 'support' mean will be an important element of any protocol. These words, and the associated word, 'scrutiny', have particular meanings in respect of the work of panels, informed by the way those words are used in legislation. Together, they encompass the panel's statutory scrutiny tasks (relating to the precept, the budget, the police and crime plan and so on) as well as the wider duties of panels to contribute to PCCs' work by contributing to policy development and understanding the context in which PCCs operate, the better to conduct their statutory tasks.

Scrutiny practitioners with a background in local government, officers and councillors included, will need to be aware that they and OPCCs (and other relevant partners) will need to have a very clear expectation of exactly what 'challenge', 'scrutiny' and 'support' mean in this context, and in particular that colleagues in strategic policing may use or understand the word 'scrutiny' differently to those with a local government background. This is about more than semantics; as well as ensuring that panels demonstrate that they are having due regard to the legislation in how they explain and plan their work, it is also about ensuring that the opportunity for confusion and misunderstanding is minimised, and about PCCs having an associated clarity about their specific duties and responsibilities with regard to panel operations

The panel should be recognised as having significant influence through these roles of challenge and support and in particular the scrutiny activities relating to the 'special functions'. This may be enhanced significantly where the right culture exists and where commissioners are open to effective working with their panels and where members focus their activity on the commissioner's strategic priorities.

Operational independence

The separation of strategic and operational matters is fundamental to policing governance but is not always clear or understood (nor easy to apply). Operational independence has been and continues to be safeguarded for policing professionals and reduces the risk of the politicisation of policing, whatever the model of governance.

Commissioners do not manage the day to day operations of the force (nor the fire service in the case of PFCCs). The chief constable (and chief fire officer) retain(s) the direction and control of the officers and staff of the force (and service). The chief constable (and chief fire officer) are responsible for the deployment of officers and operational decisions within the context of the commissioner's plan(s), for the delivery of which they are held to account by the commissioner.

Knowing what is, and what is not, operational will impact on the way that the panel engages with the commissioner and the chief constable. This is expanded on in the section below.

The relationship with the chief constable

The policing protocol makes clear that the panel does not scrutinise the chief constable, but the commissioner. It is the role of the commissioner to hold to account the chief constable for the delivery of her/his functions. It will be important for the panel to have regard to that activity as this work is carried out, but the panel itself may not scrutinise nor seek to hold to account the chief constable.

The Home Office protocol envisages that panels may seek to scrutinise the commissioner on an operational matter that is relevant to their challenge and support of the commissioner and that under those circumstances the commissioner may ask the chief constable to attend alongside the commissioner to offer information and clarify issues. It is for the commissioner to decide whether the chief constable is 'needed' at a meeting, but on

occasion it may be decided that it would be valuable for the chief constable to attend and support the commissioner, including potentially answering questions. In the interests of clarity of role and function, such sessions will need careful planning.

Discussion of operational matters will be relevant as background information only insofar as they inform challenge and support on a specific, strategic issue into which the panel is looking in order to fulfil its statutory role. The first port of call when the panel thinks that understanding operational matters is necessary in order for it fully to fulfil its statutory role is to engage with the commissioner's office. There could be informal briefings and discussions as well as the formal meetings of the panel. Inevitably different panels, commissioners and others have different takes on the definition and scope of operational matters. The following examples are intended to be illustrative to guide local judgements.

The commissioner may ask the chief constable and the panel may invite but cannot require a relevant partner to give evidence on:

- how they are helping the commissioner to secure her/his strategic priorities
- how work that they are planning or delivering might impact on the commissioner's performance
- how decisions they are making or plan to make on resources may impact upon future iterations of the police and crime plan and the future police precept
- how they are delivering on funding or delivery agreements made with the commissioner.

In respect of operational matters, however, as we have noted above, scrutiny and questioning of the chief constable will be inappropriate. This will include:

- a decision whether, or whether not, to deploy police officers
- absolute discretion to investigate crimes and individuals
- the decision to make an arrest

- a decision taken with the purpose of balancing competing operational needs within the framework of priorities and objectives set by the commissioner
- a tactical operational decision to reallocate resources to meet immediate demand
- the allocation of officers' specific duties and responsibilities within the force area to meet the objectives set by the commissioner.

Examples of inappropriate questions that a panel should not ask a chief constable through the commissioner might be:

- Do you think that the strategic objectives in the police and crime plan are sensible?
- Why did you not deploy more officers to deal with the disorder experienced in the town at the end of last month?
- Why has the force been focusing so much of its attention on anti-social behaviour at the expense of issues such as domestic violence?

With rephrasing, these concerns could be addressed through questions to a commissioner in the context of plan priorities and the allocation of resources among different priorities.

Examples of more appropriate questions to the chief constable through the commissioner would be:

- How has the force taken steps to amend the way it works to help achieve the strategic objectives in the police and crime plan?
- Will the increase in the precept enable you and the chief constable to increase the capacity and capability of the force?
- What resources are available to you to deal with unexpected public order demands?
- What do you think the impact will be on the delivery of priorities in the plan of the decision to shift more operational resources towards dealing with anti-social behaviour?

Relationships with other local stakeholders

Panels will need to engage with local authorities in the force area, community safety partnerships, health bodies and others to inform their challenge of and support for their commissioners regarding the discharge of their functions, especially when reviewing the commissioner's precept, plan and annual report. This will include working closely with local authority committees⁵, including those that have the power to hold partners to account, for the panel to gather evidence and avoid duplication.

There is a wide range of partners that might help to build the knowledge base of the panel. These organisations and people must not be the subject of scrutiny by the panel but sources of evidence to support the panel's statutory functions.

Relevant partners for panels to engage with:

- chief constable and the force (chief fire officer and the service)
- office of the commissioner
- HMICFRS for force and service inspection data
- organisations in the criminal justice system
- other blue light services
- safer neighbourhood partnerships
- community safety partnerships
- local authority overview and scrutiny committees that cover crime and disorder
- health and wellbeing boards and public health teams in local authorities
- other local authority services including trading standards, youth offending service, highways, children's services and safeguarding boards

⁵ Or whatever committees at local level are designated by the authority concerned to carry out those duties, in authorities operating under committee system arrangements.

- in Wales, public services boards
- clinical commissioning groups and health trusts
- third sector organisations which deliver services commissioned by the commissioner
- residents and community groups
- users of services
- subject experts
- other panels for bench-marking and good practice.

Panels might consult these partners as witnesses at meetings, at site visits or through surveys. Panels might draw on their reports and research. There may be other ways for panels to engage with partners in order to be better informed and better able to fulfil their roles, and to use a broader evidence base in scrutinising the commissioner.

Panel scrutiny of collaboration

It is the stated ambition of the Government for force to force and multi-agency collaboration to increase. A panel will need to have an overview of the commissioner's collaboration in policing and crime and the criminal justice system, as well as in some cases with other blue light services, although they must remember that their legal remit relates only to their own commissioner.

Developing an overview of the commissioner's work may involve panels working with other panels in order to scrutinise collaborative work across forces. In doing so, care will need to be taken to ensure this does not result in quasi-formal joint panel activities, which could risk diluting individual panel's specific roles with respect to their own commissioner or be unwieldy and disproportionate. Panels may collaborate, but this should be focused on information sharing and enabling a panel to better scrutinise its own commissioner for her/his strategy and

around the cost, risks, benefits and outcomes from collaboration.

Effective liaison

Given this web of accountability within which the panels are located, in working with other people, agencies and organisations panels need to ensure their activity complements, rather than duplicates, that of others. Panels therefore need to ensure effective liaison and relationship building not only with their constituent local authorities, the commissioner and commissioner's office, but also with partners across the public sector and in the criminal justice system.

HMICFRS

Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) is an important partner in the governance landscape for strategic policing. HMICFRS is charged with carrying out independent assessment of the effectiveness, efficiency and leadership of police forces and fire and rescue services in the public interest. By gathering information, it promotes improvements in policing and fire and rescue services to make everyone safer.

As an inspectorate, not a regulator, the HMICFRS does not have powers of intervention, direction and enforcement. However, commissioners and chief constables are required to take action as a result of HMICFRS's recommendations. Commissioners are required to publish comments on each HMICFRS report within 56 days of its publication and to explain the steps to be taken in response to each HMICFRS recommendation or why no action has been or is to be taken in that respect.

Reports of the HMICFRS with regard to their force's area will be of interest to every panel in carrying out its roles of challenge and support of its commissioner. It is helpful for panels to work with their force's inspector and some panels invite her/him to meet with their members from time to time to inform their understanding and assist their scrutiny of the commissioner.

Section four:

Running the panel

Effective panel operation rests on clarity of role, proper prioritisation and sound use of resources. Panels' statutory duties require careful planning to fulfil. They rest on panel members carrying out work and background research in order to ensure that those statutory tasks are effectively managed. For these reasons, panel activities should in all events be justified by reference to those statutory duties, alongside a clear articulation of how the activity in question will directly contribute to those activities.

Panels have a grant at their disposal from the Home Office, the level of which has been set to match the commitment of resources necessary for panels to successfully carry out their statutory duties. Operating properly within this financial envelope requires panel members to challenge themselves and make choices about the priority and value of their work.

From inception, there was an expectation that panels could fulfil their roles within four meetings a year. Practice varies between panels but as a minimum, panels need to meet as often as required to fulfil the statutory duties of reviewing the proposed precept, the annual report and any refresh of the plan, as well as confirmation hearings and complaints handling as required. Where panels undertake further work in their roles of challenge and support, for example, through more proactive scrutiny of the discharge of any of the commissioner's functions, additional meetings may be held or work undertaken through informal task and finish groups.

Certain panel functions can be delegated (for example, the determination of complaints), but by and large formal activity must be conducted in panel meetings. However, panels may establish working groups and use other informal systems for information sharing and analysis to support their formal activity.

Calendar of meetings to fulfil the panel's statutory duties

Function	Timetable (if known)
Review precept(s)	Between 1-22 February
Review of police and crime plan (fire and rescue plan)	
Review of statement of assurance and integrated risk management plan (for PFCPS)	
Annual report	As soon as practicable after the panel receives it
Panel annual meeting, including the election of chair and vice chair	Annually
Confirmation hearings	Within three weeks of notification of a proposed appointment
Complaints (may be delegated)	Ideally to be resolved within 40 working days but acknowledged within five

Funding arrangements

The Home Office provides a grant for the purposes of maintaining a panel for each police force area, to enable it to carry out the functions and responsibilities set out in the Act. For the early PFCPs, in light of the additional responsibilities, the Home Office has increased the grant for panels that had previously been spending their full grant. The amount available to panels is calculated to reflect the amount that panels are considered to need in order to be able to undertake their work effectively. The LGA encourages panels to draw on the funding available to enhance their effectiveness.

The grant is widely used mainly to cover the cost of a support officer plus the on-costs of the post. The Centre for Public Scrutiny's annual surveys of overview and scrutiny in local government (carried out regularly since 2007) have consistently demonstrated that the provision of dedicated scrutiny officer support is likely to offer the best opportunity for panels to use the grant to maximise their effectiveness. CfPS's 2015 annual survey provides the most comprehensive recent dataset to support this argument.⁶

Dedicated officers support enables panels to fulfil constructive roles in addition to the 'special functions' and to add greater value to policing, promoting community safety and tackling crime in the area in more proactive and evidenced ways.

Other uses of the grant are for ad hoc support from specialist officers, allowances (for independent members and in some panels the chair and members), travel costs, conferences and networking for learning and development.

The Home Office has been clear that the grant must not be spent by panels to:

- lobby the Government about panels, their roles and activities
- influence the award or renewal of contracts or grants, nor to

- attempt to influence legislation or regulation.

It is sensible for a panel to consider and agree its budget and to monitor the spend in-year, in consultation with the support officer, under the oversight of the host authority's s151 officer and monitoring officer. Comprehensive rules of procedure that set out arrangements for issues such as work programming and typical methods of panel operation, will provide assurance that spend and impact can be monitored properly.

Grant funds are paid in arrears and are distributed to the host authority in each force area, which must give an account of expenditure in claiming the funding. The monitoring officer and chief financial officer of the panel's host authority must satisfy themselves as to the accuracy of this account and should assure themselves that the Home Office's requirements and expectations are met (as notified in a letter to host authorities as part of the funding arrangements).

In England, there is provision in the Act for constituent local authorities to agree joint funding mechanisms to supplement this central resource with a joint pooled budget. Depending on the work programme of the panel (for example, the number of scrutiny investigations it carries out and in what depth it conducts its challenge and support of the commissioner), it may be helpful for the constituent councils to provide further support for the panel, although resource constraints may prevent this. In Wales, joint funding mechanisms are not allowed. Also, as policing is not devolved, host authorities in Wales cannot call on the other local authorities in their force area to 'top-up' the budget of the panel.

Panels and their constituent local authorities may also decide the remuneration that may be given to its members. This varies from panel to panel with some chairs being paid a special responsibility allowance and others not and with some panel members (in addition to independent members) being paid a basic allowance.

⁶ www.cfps.org.uk/wp-content/uploads/Annual-Survey-2014-2015.pdf

These payments are at the discretion of the panel and its member local authorities but should reflect the work of members in comparison with other representative duties. The grant also covers expenses for members of the panel, for example, for travel.

Typical uses of the grant to support panels are to:

- Appoint a support officer for the panel to manage the function, carry out research and ensure there is effective liaison with the commissioner's office and others.
- Cover the time of specialist officers to support the panel from time to time such as committee clerks, communications officers, finance officers, human resources officers and legal officers from the host or other member authorities.
- Provide learning and development for the panel including through attendance at conferences and networks and in-house training.

Typical tasks of a panel support officer are to:

- help the panel to plan work
- prepare for meetings including agenda setting
- liaise with relevant colleagues
- assist the panel to carry out its statutory duties
- gather evidence in support of its duties
- help the panel to review information and carry out inquiries
- liaise with key partners including the commissioner's office
- support panel members' learning and development needs
- ensure the panel has a public profile

- maintain a dedicated panel website and use social media or liaise with the relevant communications officer for this
- ensure compliance with freedom of information requirements and general data protection regulations.

These tasks will vary according to capacity, for example, the number of hours worked and the other commitments the officer might have in the authority.

Panel arrangements

There are specific legislative provisions for how panels are constituted and run as set out in the 'panel arrangements' and 'rules of procedure' in schedule six of the Act. The following sections set out how these, and other factors, can contribute to the successful working of a panel.

Composition

Councillor membership

Each local authority in the force area is required to send a councillor to serve on the panel. Where there are ten or fewer local authorities, the number of councillors on the panel will be ten, plus two independent co-opted members. Where there are more than ten, there will be as many councillors as there are councils, plus the co-opted members. Additional councillors and lay members may be co-opted with Secretary of State approval, but the size of the panel must not exceed 20.

Composition should meet the balanced representation objective. Account should be taken of geographical and political balance in agreeing representation on the panel and according to the size of each local authority, some councils may have more than one representative.

Provision should be made for substitution and for the replacement of members, for example, when there is a change of political control in an authority that affects the political balance of the panel, or if there is a resignation. A few members changing across the local authorities within the police force area can necessitate change. It therefore is good practice proactively to review membership once a year as well as to be reactive to large-scale changes. Where a resignation takes place, the new member should be drawn from the same political group to maintain political balance; in the case of one or more changes in representation that affects political balance, membership of the panel overall needs to be reviewed to fulfil the political balance requirement.

In Wales, councils propose nominations to the host authority of the panel, who in turn submit details of the nominees to the Home Secretary to approve and appoint. In England, the appointment to the panel may be made at each council's Annual Meeting.

In mayoral and leader/cabinet authorities respectively the mayor or an executive member may be designated as an authority's representative on the panel. In practice, councils have tended to designate non-executive members to be their representatives. This gets round the potential problems around conflicts of interest where panels might be scrutinising strategic decision-making relating to local crime and disorder grant-making and decision-making in which the executive member has a direct stake. However, it is for the council to decide its representative.

Consideration should be given to appointing members for a four-year term unless there is a valid reason to review the appointments more frequently. This enables members to develop knowledge and build up expertise, and would address a significant challenge for panels in terms of the regular turnover of membership. However, local authorities that have a cycle of all out elections every four years or have

a stable political control may be better placed than other councils to appoint for four years.

Skills and expertise

It is helpful for the councillors nominated to serve on the panel to have relevant knowledge or experience and to make a commitment to participating fully in the panel's work. The panel might find it helpful to set out its expectations of local authority representatives in order to maximise the commitment, expertise and networking of its membership.

A skills audit helps a support officer to identify the knowledge, skills and experience of members that are relevant to the work of a panel and an annual refresh of the panel helps members to consider its priorities and capacity.

Given the additional responsibility of police, fire and crime panels for scrutiny of their police, fire and crime commissioner, the Home Office expects those panels to ensure they include the necessary expertise on fire and rescue services. This could be achieved by additional learning and development for existing members and/or through co-options from the outgoing fire authority or a refresh of membership where essential.

Independent members

Panels also benefit from the insights of at least two independent members, who are co-opted to bring skills, expertise and experience as lay members to assist the panel in the discharge of its functions. Widespread publicity and an information pack clearly setting out the role and the profile of people who could assist the panel can assist recruitment and create a larger pool from which to select the co-opted members. The recruitment procedures should be fair and transparent with a role profile being made available, public advertisement of the role and interviews.

The Home Secretary has reserve powers if the composition of the panel cannot be agreed at the force level.

Rules of procedure

Rules of procedure must comprise arrangements relating to panel chairing and may additionally comprise:

- a memorandum of understanding and protocol between the commissioner and panel
- information on resourcing, allowances and funding arrangements
- communications and arrangements for panel members to report back to their own local authorities
- arrangements for training and development for panel members
- detailed provisions covering:
 - how the panel will undertake its 'special functions'
 - work programming
 - running meetings (including arrangements for quorums)
 - responses by the commissioner to recommendations from the panel
 - methods available to carry out scrutiny work such as task and finish groups
 - evidence gathering and use of information
 - engagement with the public.

It makes sense for panels to take the opportunity in their rules of procedure to lay out information about their methods of operation because:

- this clarity will help the commissioner/panel relationship
- it will assist panels themselves to discuss and agree their methods of day-to-day operation
- it will make it more straightforward for panels, and other bodies, to assure themselves that they are undertaking their statutory duties effectively
- it will make it easier for panels to provide assurance to themselves (and to the Home Office) that their grants are being used appropriately.

Chairing

The panel will need to appoint a chair and vice-chair. It is a local decision as to whether to draw from its full membership rather than only from councillors on the panel in appointing a chair, but it would be a more open system to appoint either a councillor or an independent member.

The chair has an important role in the effective operation of the panel and will need to work closely with the support officer and build sound relationships with the commissioner. The chair might share responsibility for agenda setting and for assisting with arrangements for the special functions as well as driving the work programme. The chair will need to manage meetings effectively and provide leadership to the work of the panel, including potentially acting as its spokesperson and public face.

Panel meetings

The main activity of the panel will be at its formal calendared meetings, summarised above, although other methods also exist for panels to provide challenge of and support to commissioners, as set out below.

Panel meetings checklist:

- always set objectives and seek to achieve outcomes, including potential recommendations to the commissioner
- enable effective liaison and communication with the commissioner and her/his office
- always enable scrutiny of the commissioner
- enable the panel to stay informed and focused on timely and significant matters around local policing (and fire and safety)
- include the transaction of statutory business as required or within a separate agenda on the same day if a confirmation hearing
- enable the gathering of insights and evidence from partners, the public and other witnesses as appropriate

- always include the development or refresh of the work programme of the panel.

Agenda setting

Agenda setting is usually undertaken by the chair, vice-chair and support officer in consultation with the commissioner's office. This should form an integral part of the wider work programming process. It allows the chair and others to prepare for meetings by considering how an issue or discussion ought to be framed and by identifying questioning themes in order to ensure that the panel engages properly with its statutory duties. It will usually be appropriate for this preparation to involve the commissioner and/or her/his office, to ensure that s/he is prepared to address the points that the panel wishes to raise. The commissioner might take this opportunity to suggest refinements or changes to the panel's approach in order to ensure that the discussion adds as much value as possible. Of course, the final decision on how to proceed sits with the panel itself.

Pre-meetings

Many panels find a pre-meeting before the panel meeting to be helpful. Members are encouraged to attend and as they rarely see each other, it is a good opportunity for the chair or support officer to share information and air issues, as well as for the panel to review the agenda papers and prepare for the meeting. Without debating matters to be the subject of the meeting, it ensures that members do not go into a panel meeting 'cold'; have been briefed about logistics including anticipated attendees; have identified shared objectives and perceived outcomes; and are able to discuss and co-ordinate key lines of enquiry into a questioning plan for more effective challenge and support of the commissioner.

Each panel session – whether it is considering a general policy matter, a specific performance issue or one of the panel's statutory functions – will need to be undertaken with the objective of making substantive recommendations on issues. It should also add tangible value to the delivery of the commissioner's plan(s) across

the force (and service) area. The notion of adding value must be central to all the panel's activities.

Opportunities from formal panel meetings that are open to the public are to:

- receive an update from the commissioner in public
- scrutinise the commissioner through questioning and comment
- receive written reports or verbal updates, usually from the commissioner or her/his office
- receive written or oral evidence from partners and the public, possibly through public question time.

Commissioner attendance

A commissioner may be summoned by the panel to present a regular report, to speak about substantive policy issues or to answer questions on a specific agenda item. The commissioner (but not the chief constable) is required to attend. However, the commissioner is not obliged to attend for all the meeting but may wish to do so, according to the agenda.

Areas of interest that are informed by panel members experience or expertise might include:

- the commissioner's specific priorities under one or more aspects of the police and crime plan (and fire and rescue strategy)
- the way in which a commissioner is, or is not, working with partners to deliver the strategy, the plan, resources, a specific policy or a national initiative
- the volume, trends and prevalence of a specific crime across the force area or within certain parts of the area.

Where the panel undertakes work that a commissioner has suggested, it needs to be carried out in an independent, timely and constructive manner with clear objectives and achievable outcomes.

Specific considerations for police, fire and crime panels

Agendas for police, fire and crime panels need additional consideration. Policing and fire and rescue business may form distinct sections of the agenda for specific purposes, but there will also be a need for agenda items that scrutinise the PFCC's roles across the force and service, given that the combined role is designed to enhance blue light collaboration. Agenda items for a police, fire and crime panel may also include a review of the statement of assurance and the integrated risk management plan.

Communications and panel reporting

It is important for panels to establish mechanisms for members to report back to the councils that they represent. This could be in the form of verbal reports at full council meetings on a regular basis or only when there are specific matters to share. Alternatively, a panel could prepare a written report to be submitted to each council for wider communication.

A successful practice is for a panel to communicate 'key messages' immediately after each meeting and in advance of the minutes, so that partners and the public are immediately made aware of the outcomes of a meeting.

Annual or occasional attendance by a panel chair or other representative at meetings of the community safety partnerships or crime and disorder scrutiny in the force area are another effective way to share information and receive feedback and insights about policing and crime (and fire and rescue). Equally it is important for member councils and community safety partnerships to feed in their activity or concerns to inform the panel about matters for scrutiny or to provide evidence to use in its work.

Panel training and development

Panels need to be clear about the purpose of their role and the objectives of each activity so that they can identify and if necessary build their capacity. As noted, a short skills audit can help to identify existing expertise and experience, enabling a support officer to identify any gaps among the membership that might be addressed through learning and development.

It is essential that new members receive induction and, possibly, a mentor or buddy to support them in the early days of their roles on the panel. Panels should also undergo ongoing training to keep up to date with developments at a national, regional and force (service) level. This includes annual reviews and a refresh on their powers and responsibilities. This enables panels to look at their ways of working and the potential development of their activity and resourcing.

Panels may seek briefings from time to time on aspects of the force's strategies. Panels whose commissioner has taken on the fire and rescue service, will have briefings on the fire and rescue service, given the Panel will have new responsibilities relating to the commissioner's expanded role.

Panel chairs, support officers and other members of panels may find it helpful to attend national conferences and workshops, regional networks and/or occasional thematic seminars to broaden their outlook, compare their work with other panels and draw on good practice. The National Association of Police, Fire and Crime Panels has been established as a special interest group (SIG) of the LGA to provide sector-led development support for panels. It will provide learning and development and networking opportunities for panels to share good practice, address challenges and solve problems.

Work programming

Given the breadth of responsibilities of a commissioner, the number of policies within a police and crime plan, and the complexity of policing and criminal justice systems (and fire and rescue services), panels may often feel there is a long list of agenda items but not enough time to do anything in detail or as well as they would choose. A work programme helps a panel to plan its work to reflect the resources available and its capacity. It can be drawn up at the start of each municipal year and kept under review at panel meetings in order to improve prioritisation.

A work programme helps a panel to:

- evaluate issues which are and are not priorities
- manage its limited time and resources more effectively
- plan its routine business in the calendared cycle of meetings
- prepare for its regular special functions
- enable it to carry out value-added proactive activity such as evidence sessions and task and finish groups from time to time as capacity allows.

The work programme should be managed by the support officer of the panel in consultation with the chair and members. It needs to be flexible enough to provide time for ad hoc statutory meetings to fulfil special functions as required. For matters which arise during the year, the chair (in consultation) will need to decide whether topics raised for discussion by members of the panel and others should go on the agenda.

The use of relevant criteria should help a panel to prioritise topics. This could include how the investigation of certain topics will assist it in delivering its special functions and how such an investigation will provide challenge and support⁷ to the commissioner.

⁷ www.cfps.org.uk/wp-content/uploads/CfPS-Good-Scrutiny-Guidev2.pdf

Working with the commissioner's office

It is important for the panel to develop its work programme in conjunction with the commissioner's office, drawing on the commissioner's forward plan. This liaison enables the panel to focus on key matters in more timely ways with access to the necessary briefings and reports. It also ensures that enough time is built in for the panel to add value to its work through more in-depth scrutiny in addition to the special functions, if capacity allows.

Panels should communicate with the commissioner and her/his office to find out if there are any areas where assistance and support might be helpful. They also need to notify the commissioner's office of matters that will be on the agenda of a panel meeting where the commissioner's attendance would be required.

Work programming can add value by:

- Promoting openness and transparency to demonstrate what the panel is likely to be doing, allowing others to engage in that process.
- Ensuring that the panel keeps to strategic issues and focuses on the commissioner's activities and priorities in the plan.
- Providing the commissioner with a level of certainty and assurance, as s/he will know which issues the panel would like to raise with her/him and the topics it will be likely to investigate – why, how, where and when.
- Making it easier for the panel and other bodies to work together, minimising the duplication of work and providing a stronger evidence base for the panel.

Using evidence and information

To be more effective in their roles, panels will need to develop a detailed understanding of a range of issues connected to policing and crime (and fire and rescue if applicable) in the local area, drawing on their insights

as elected councillors or in the case of independent members, their expertise or experience in the field. This additional work, as background briefing or proactive activity, should focus on key issues or areas of particular concern or significance but should avoid duplication of the commissioner's own scrutiny and investigation work with the force.

Throughout the year the panel will need to be kept updated on the commissioner's performance in delivering, resourcing and achieving her/his priorities under the plan(s). This will support the panel in scrutinising the commissioner's annual report(s), enable it to better understand the strategic policing and crime (and fire and rescue) landscape, and ensure that it is able to offer the best possible informed support to the commissioner.

It will usually be unproductive for panels to spend time in formal meetings taking reports purely to note, instead they should gather information to explore a topic, perhaps a specific item in the police and crime plan. Information should also be shared outside meetings, perhaps in a digest prepared by the support officer and the commissioner's office, to allow issues of specific concern to be escalated to the panel for more rigorous study where the panel can most clearly exercise its challenge and support functions.

As well as reports from the commissioner and her/his office, panels might hear from organisations that may be funded by, or whose services are, commissioned by the commissioner as well as from members of the public. Relying exclusively on information produced by the commissioner is likely to be inadequate as panels will want to test ('triangulate') that information with other sources.

Gathering evidence and preparing for meetings will ensure that commissioner attendance will be targeted; that the commissioner can prepare in advance for items of which s/he has already been notified; and that substantive recommendations and actions can come out of each session.

Key sources of information for panels:

- police and crime plan
- delivery plans
- performance management information
- data analytics reports
- HMIRCS Integrated PEEL Assessments.

Other forms of evidence for panels:

- regular monitoring reports on the delivery of the police and crime plan (and fire safety plan), for example, by theme or plan objective
- regular financial and performance monitoring reports
- progress reports on key strategies of the commissioner, for example, estates, change programmes, victims' services commissioning
- one-off briefing on specific matters
- proactive in-depth research through evidence sessions, inquiry days, task and finish groups and site visits
- stakeholder events to meet with and hear from partners, providers, service users and the public
- regular training to better enable a panel to fulfil its statutory commitments and develop scrutiny activity
- learning and development for a panel when it takes on new duties relating to fire and rescue services or the new complaints procedures.

Member champions

One way in which some panels have increased capacity, developed expertise and spread the workload of information gathering amongst members is to agree member champion or rapporteur roles. These involve individual members of a panel having different responsibilities for developing and

maintaining a subject expertise in respect of specific areas of the commissioner's responsibility and the broader local policing landscape. This approach better supports the panel in fulfilling its statutory duties, particularly the duties relating to the precept and the police and crime plan.

For example, each member champion might hold responsibility for keeping up to date on a topic reflecting a specific issue or priority in the plan; this member may then lead on liaison with the commissioner's office and evidence gathering from relevant partner organisations, for example, those who are responsible for delivering services on behalf of the commissioner. The panel's support officer would of course need to facilitate this process in order to ensure that information and other requests were proportionate and not managed in an ad hoc or scattergun way.

Several commissioner's offices similarly spread the workload and identify a relevant link officer, for example, who covers an aspect of the police and crime plan, to liaise with a member champion to improve liaison, briefing, ideas for work planning and the timely sharing of information. This does not compromise or dilute the challenge to the commissioner but may enhance the support and scrutiny by ensuring better-informed panels and improving the focus and work planning of their activity.

This is one approach to building capacity which many panels have commended. Its adoption will depend upon local decisions about resourcing and ways of working to fulfil the panel's statutory functions most effectively. It is presented here as an illustration of one potential model for the management of information and insight available to panel members.

Benefits of member champions and link officers from the commissioner's office:

- to enable both to keep up to date with the commissioner's forward plan and the panel's work programme
- to prepare for meetings and evidence sessions

- to share and gather information
- to avoid surprises at meetings or through the media
- to monitor performance to identify items by exception for review and recommendation
- to keep the panel up to date with developments to feed in to its work
- to undertake horizon scanning.

Panels and public engagement

As councillors, most members of the panel are likely to already be active in their communities, seeking to understand the concerns and needs of their residents and listening to the public, whether users of a service or not. It is important to feed these insights into the panel's evidence sessions in order to paint a bigger picture of policing in the area, thus presenting trends and highlighting issues of significance across the force area.

There are two needs here – firstly, assurance that the business of the panel itself is visible to the public in general terms, and secondly ensuring that substantive panel work benefits, where appropriate, from public input and insight.

General visibility of panels and their business

The primary responsibility for engaging with the public over policing matters lies with the commissioner. As such it would be useful for the panel to discuss any potential public involvement with the commissioner or her/his office to ensure that the panel complements rather than duplicates existing or planned public engagement.

Given that panels are an integral part of the policing (and in some areas, fire and rescue) governance and accountability framework, it is important that they are visible. There has been mixed practice across panels in

terms of their public profile. Many rely on a page on the host authority's website and make documentation available through that council's committee management system. Others have developed their own website. All of the panels' websites are listed in the appendix to enable panels to review each other's communications tools, documentation, procedures and meetings.

It would be helpful for panels to develop a communications strategy encompassing public engagement, reporting, websites and social media. This might be carried out with assistance from specialist officers from the host authority, funded where necessary from the grant. This will enable panels to develop a higher public profile, which in turn could lead to greater engagement with, and awareness among, the public.

Good practice in the interests of transparency suggests that panels should develop their own websites with links from and to constituent authorities and the commissioner's site; web cast and/or audio-record their meetings; and have a social media presence including a twitter feed. These would alert members of the public to the panel's activities and encourage engagement in diverse ways, whether by giving evidence to inquiries or attending public meetings.

Some panels have published their own annual reports and many hold annual reviews for self-assessment and development of their work, which can serve to make that work more visible. They track recommendations in-year, evaluate the outcomes from the work programme and identify what has gone well and what they might usefully develop – and how.

Substantive involvement of the public in panels' activities

Panel meetings are held in public (though are not public meetings). Some panel meetings are for formal business, for example, to undertake special functions and may not necessarily be appropriate settings for public involvement and participation, though provision may be made for public questions and, at the discretion of chair, to allow others to participate.

However, as panel meetings must be held in public, properly managed, they could be opportunities for wider engagement. From time to time it could be appropriate for meetings of the panel to be more obviously public-facing, for example, the panel meeting held in public to review the annual report of the commissioner. Such meetings are more likely to be of public interest and active public engagement could be worked into them.

Panels might need to think about how best to encourage attendance and participation in their meetings, for example, through a fixed time on the agenda for public questions. Many panels have developed a protocol for questions from members of the public and publicise this provision on their websites. More appropriate opportunities for public engagement are likely to be through more proactive scrutiny such as 'task and finish' working and the review of the annual report.

Panel activity held away from a traditional formal setting could enable members to listen to witnesses and enable members of the public to play a more active part by making comments, answering questions or providing their reflections on issues of local concern. These insights might be particularly useful to inform a panel's consideration of the police and crime plan or delivery of aspects of it or when reviewing the proposed precept.

That said, it is essential that the panel remains strategic and not be diverted by more parochial issues. The intention of public involvement should not give rise to an undesirable focus on individual incidents or allow very parochial issues to be considered. These are better resolved by members raising matters as case work in their roles as councillors, rather than being discussed in a meeting. Although the panel is not empowered to resolve local policing matters, it could have a role in signposting issues to the relevant policing departments or the commissioner's office.

Task and finish working

Although they are not explicitly provided for in legislation, panels may set up informal task and finish groups to investigate a specific issue. This may involve a course of several informal meetings, undertaking site visits, convening and facilitating workshops and focus groups, or any other form of evidence gathering. These enable a panel to define the scope of a detailed investigation, to commission a small group of councillors to gather evidence, to investigate a specific issue and to prepare a report for the panel to approve, with recommendations for the commissioner.

Evidence sessions also may enable panels to hear from a wide range of witnesses in order to prepare the panel for meetings with the commissioner or to scrutinise a topic. Such investigations can prove particularly useful for the panel's support function – gathering local insights into issues of concern and contention which would be useful for the commissioner.

Task and finish groups should be brief, targeted, proportionate and focused. Their objectives and approach should be clearly set out in a project scope. A task group might only meet two or three times to consider evidence and maybe once more to agree recommendations. This will enable evidence to be gathered from a wide range of sources, focusing on the role and functions of the commissioner in specific areas.

At task and finish group meetings, evidence may be taken in person, but no one (including the commissioner) is under any obligation to attend. As with all meetings, the panel will have to demonstrate that giving evidence will be a useful and constructive experience and ensure that questioning is inquisitorial, not combative.

Care will have to be taken to ensure that when scoping a review and carrying it out, there will be a return on investment from the activity; that members will be willing and able to give adequate time; and that unreasonable demands are not placed on

the support officer, the commissioner or the commissioner's staff.

Responses to recommendations

Whether meeting in a public panel meeting or having conducted more in-depth scrutiny, the panel will need to seek outcomes. These could include the publishing of reports with recommendations for the commissioner.

Panel arrangements such as a memorandum of understanding could include the following:

- The panel should notify the commissioner of any reports and recommendations in writing, making the process for responding to those recommendations clear.
- The commissioner should respond to the panel's recommendations within two months of being notified of them, unless the panel has agreed to a longer timescale.
- The commissioner's response should set out whether the recommendations are accepted or are rejected.
- Where a recommendation is, or recommendations are, rejected, the commissioner should provide reasons.
- Where a recommendation is, or recommendations are accepted, the panel should return to the topic at a pre-arranged time (usually six months or a year later) to check that the recommendations have been implemented.

Panel effectiveness

Panels are required to fulfil the statutory requirements, but also may go beyond those special functions. Through proactive activity, research and evidence gathering, panels may be better informed and thus more able to provide challenge and support. In all its work, a panel needs to have regard to legislation and regulations, to its commissioner's priorities and plan and to its capacity.

Section five:

Sources of information

Other organisations	
Home Office	www.gov.uk/government/organisations/home-office
Parliamentary Home Affairs Select Committee	www.parliament.uk/business/committees/committees-a-z/commons-select/home-affairs-committee
Local Government Association (LGA)	www.local.gov.uk/topics/community-safety www.local.gov.uk/topics/fire-and-rescue
Welsh Local Government Association	www.wlga.wales/home www.wlga.wales/policing
Centre for Public Scrutiny (CfPS)	www.cfps.org.uk/?s=policing
National Association of Police (Fire) and Crime Panels (NAPFCP)	www.local.gov.uk/topics/community-safety/policing-and-crime
Association of Police (Fire) and Crime Commissioners (APCC)	www.apccs.police.uk
Association of Policing and Crime Chief Executives (APACE)	www.apace.org.uk
National Police Chiefs' Council (NPCC)	www.npcc.police.uk
National Fire Chiefs' Council (NFCC)	www.nationalfirechiefs.org.uk
Her Majesty's Inspectorate of Constabulary, Fire and Rescue Services	www.justiceinspectors.gov.uk/hmicfrs/about-us/
Key legislation	
Police Reform and Social Responsibility Act 2011 [15th September 2011]	www.legislation.gov.uk/ukpga/2011/13/contents/enacted www.legislation.gov.uk/changes/affected/ukpga/2011/13
Policing and Crime Act 2017 [31 January 2017]	www.legislation.gov.uk/ukpga/2017/3/section/38/enacted www.legislation.gov.uk/changes/affected/ukpga/2017/3
Police and Crime Panels (Precepts and Chief Constable Appointments) Regulations 2012	www.legislation.gov.uk/uksi/2012/2271/contents/made
The Policing Protocol Order 2011	www.gov.uk/government/publications/policing-protocol-order-2011-statutory-instrument

Elected Local Policing Bodies (Specified Information) Order 2011	www.legislation.gov.uk/ukxi/2011/3050/contents/made
Fire and Rescue Services Act 2004	www.legislation.gov.uk/ukpga/2004/21/contents
Fire and Rescue National Framework for England	www.gov.uk/government/publications/fire-and-rescue-national-framework-for-england--2
Fire and Rescue National Framework for Wales	https://law.gov.wales/publicservices/fire-rescue-services/faire-rescue-national-framework/?lang=en#/publicservices/fire-rescue-services/faire-rescue-national-framework/?tab=overview&lang=en
Panel websites	
Avon and Somerset	www.avonandsomersetpoliceandcrimepanel.org.uk
Bedfordshire	www.bedford.gov.uk/council-and-democracy/beds-police-crime-panel
Cambridgeshire	https://democracy.peterborough.gov.uk/mgCommitteeDetails.aspx?ID=543
Cheshire	www.cheshireeast.gov.uk/council_and_democracy/your_council/cheshire-police-and-crime-panel.aspx
Cleveland	www.stockton.gov.uk/community-safety/police-and-crime-panel
Cumbria	http://cumbriapcp.org.uk
Derbyshire	www.derbyshire.gov.uk/community/community-safety/derbyshire-police-and-crime-panel/derbyshire-police-and-crime-panel.aspx
Devon and Cornwall	www.web.plymouth.gov.uk/modgov?modgovlink=http%3A%2F%2Fdemocracy.plymouth.gov.uk%2FmgCommitteeDetails.aspx%3FID%3D1051
Dorset	www.dorsetcouncil.gov.uk/your-council/about-your-council/partnerships/dorset-police-and-crime-panel.aspx
Durham	www.durham.gov.uk/policeandcrimepanel
Dyfed Powys	www.dppoliceandcrimepanel.wales/home
Essex	https://cmis.essexcc.gov.uk/Essexcmis5/Committees/tabid/94/ctl/ViewCMIS_CommitteeDetails/mid/483/id/127/Default.aspx
Gloucestershire	www.gloucestershire.gov.uk/council-and-democracy/joint-ventures/gloucestershire-police-and-crime-panel
Greater Manchester	www.greatermanchester-ca.gov.uk/what-we-do/police-plus-fire
Gwent	www.gwentpcp.org.uk

Hampshire	www.hants.gov.uk/aboutthecouncil/governmentinhampshire/police-crime-panel
Hertfordshire	www.hertspcp.org.uk
Humberside	www.northlincs.gov.uk/your-council/about-your-council/council-committees/humberside-police-and-crime-panel
Kent and Medway	www.kent.gov.uk/about-the-council/partnerships/kent-and-medway-police-and-crime-panel
Lancashire	www.blackburn.gov.uk/Pages/Police-and-crime-panel-for-Lancashire.aspx
Leicester, Leicestershire and Rutland	www.leicestershire.gov.uk/about-the-council/how-the-council-works/other-bodies/the-police-and-crime-panel
Lincolnshire	www.e-lindsey.gov.uk/lpcp
Merseyside	www.knowsley.gov.uk/your-council/decision-making-and-governance/merseyside-police-and-crime-panel
Norfolk	www.norfolk.gov.uk/what-we-do-and-how-we-work/policy-performance-and-partnerships/partnerships/crime-and-disorder-partnerships/police-and-crime-panel
North Wales	www.nwpcp.org.uk/en/Home/home.aspx
North Yorkshire	www.nypartnerships.org.uk/pcp
Northamptonshire	https://cmis.northamptonshire.gov.uk/cm5live/Committees/tabid/110/ctl/ViewCMIS_CommitteeDetails/mid/558/id/440/Default.aspx
Northumbria	www.gateshead.gov.uk/article/3627/Northumbria-Police-and-Crime-Panel
Nottinghamshire	www.nottinghamshire.gov.uk/council-and-democracy/meetings-and-committees/nottinghamshire-police-and-crime-panel
South Wales	www.merthyr.gov.uk/council/councillors-and-committees/south-wales-police-and-crime-panel
South Yorkshire	www.southyorks.gov.uk/webcomponents/jsecSYPCP.aspx
Staffordshire	www.staffordshire.gov.uk/yourcouncil/staffordshire-police-and-crime-panel/introductiontothestaffordshirepolicefireandcrimepanel.aspx
Suffolk	www.suffolk.gov.uk/community-and-safety/crime-and-public-safety/police-and-crime-panel-and-the-police-and-crime-commissioner/police-and-crime-panel

Surrey	www.surreycc.gov.uk/people-and-community/emergency-planning-and-community-safety/surrey-police-and-crime-panel
Sussex	www.westsussex.gov.uk/about-the-council/how-the-council-works/committees-and-decision-making/joint-arrangements/sussex-police-and-crime-panel
Thames Valley	www.southbucks.gov.uk/article/8102/Thames-Valley-Police-and-Crime-Panel
Warwickshire	https://democratic.warwickshire.gov.uk/cm5/CurrentCommittees/tabid/122/ctl/ViewCMIS_CommitteeDetails/mid/600/id/543/Default.aspx
West Mercia	www.worcestershire.moderngov.co.uk/mgCommitteeDetails.aspx?ID=147
West Midlands	www.westmidlandspcp.co.uk
West Yorkshire	www.westyorkshire-pcp.gov.uk
Wiltshire	www.wiltshire.gov.uk/council-democracy-pcp

Examples of activity by Panels

Reviewing other panel websites provides an opportunity to learn from others' experiences and good practice. The following examples are not exhaustive but highlight some approaches that have been taken in different places, which other panels may find useful to review, adopt or adapt to suit their own context and ways of working.

Panel terms of reference	www.nwpcp.org.uk/en/Home/documents/Police-and-Crime-Panel-Terms-of-Reference.pdf https://democracy.peterborough.gov.uk/mgConvert2PDF.aspx?ID=11649 https://democracy.kent.gov.uk/ecSDDisplay.aspx?NAME=Terms%20of%20Reference%20Panel%20Arrangements%20%20Rules%20of%20Pr&ID=4761&RPID=27497380
Procedure rules	www.cheshireeast.gov.uk/pdf/council-and-democracy/cheshire-police-and-crime-panel/procedure-rules-2018-19.pdf www.derbyshire.gov.uk/site-elements/documents/pdf/community/community-safety/derbyshire-police-and-crime-panel/rules-of-procedure.pdf www.glostext.gloucestershire.gov.uk/documents/s47524/Police%20and%20Crime%20Panel%20Rules%20of%20Procedure.pdf www.suffolk.gov.uk/assets/community-and-safety/crime-and-public-safety/police-and-crime-panel/2012-10-23-Rules-of-Procedure.pdf

Memorandum of Understanding	www.meetings.southyorks.gov.uk/documents/s47447/Memorandum%20of%20Understanding%20MOU.pdf?zTS=A
Working arrangements	www.hertspcp.org.uk/content/working-arrangements-police-and-crime-panel
Members' handbook	www.cumbria.gov.uk/eLibrary/Content/Internet/536/647/41236122215.pdf
Recruitment of independent members	www.gloucestershire.gov.uk/gloucestershire-county-council-news/news-july-2017/police-and-crime-panel-recruitment
Panel report on the PCC's refresh of the Police and Crime Plan	www.westyorkshire-pcp.gov.uk/Documents/Publications/WYPCP%20Report%20to%20PCC%20re%20Police%20and%20Crime%20Plan%20-%20June%202018.pdf
Publication of reports to the Commissioner including scrutiny reports	www.avonandsomersetpoliceandcrimepanel.org.uk/panels-key-roles-and-responsibilities www.westyorkshire-pcp.gov.uk/publications
Complaints handling	www.nypartnerships.org.uk/pcpcomplaints
Online complaint form	http://westmidlandspcp.co.uk/complaints/complaint-form
Flowcharts	www.cumbria.gov.uk/elibrary/Content/Internet/536/647/4339213121.pdf www.e-lindsey.gov.uk/media/5355/Complaints-Handling-Flowchart/pdf/PCPComplaintsHandlingFlowchart.pdf?m=636733771461370000
Communications strategy	https://bbcdevwebfiles.blob.core.windows.net/webfiles/Files/PCP_Communications_Strategy_June_2016.pdf
Media protocol	https://democracy.peterborough.gov.uk/documents/s36832/Media%20Protocol.pdf
Website	www.nottinghamshire.gov.uk/council-and-democracy/meetings-and-committees/nottinghamshire-police-and-crime-panel
Twitter feed	www.hertspcp.org.uk http://westmidlandspcp.co.uk
Webcasting	www.southbucks.gov.uk/article/8102/Thames-Valley-Police-and-Crime-Panel

Public participation	<p>www.avonandsomersetpoliceandcrimepanel.org.uk/getting-involved</p> <p>www.northlincs.gov.uk/your-council/about-your-council/council-committees/humberside-police-and-crime-panel/#1534153288323-741b8097-23b2</p> <p>www.nypartnerships.org.uk/sites/default/files/Partnership%20files/Rules%20of%20Public%20Question%20Time_revised%20Nov%202018%20for%20PFCP.pdf</p> <p>www.westsussex.gov.uk/about-the-council/how-the-council-works/committees-and-decision-making/joint-arrangements/sussex-police-and-crime-panel/#get-involved</p>
Proactive work	<p>www.hants.gov.uk/aboutthecouncil/governmentinhampshire/police-crime-panel/proactive-scrutiny</p> <p>https://bbcdevwebfiles.blob.core.windows.net/webfiles/Files/Creating_Confident_Communities_Review_Task_and_Finish_Group_Report.pdf</p> <p>http://westmidlandspcp.co.uk/panels-fgm-inquiry-report-published-22-june-2015/</p> <p>www.westmidlandspcp.co.uk/wp-content/uploads/2016/01/Panel-report-on-Community-Safety-Funding-Jan-2016.pdf</p> <p>www.e-lindsey.gov.uk/media/12417/Task-Group-Chief-Constable-Suspension-Report/pdf/Lincolnshire_PCP_Final_Task_Group_Report.pdf?m=636910096789070000</p>



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POLICE AND CRIME PANEL

13th August 2020

REPORT OF THE POLICE AND CRIME COMMISSIONER FOR DERBYSHIRE

Recruitment process for the new Chief Constable of Derbyshire Constabulary and notification of the 'Preferred Candidate' – Mrs Rachel Swann

1. PURPOSE OF THE REPORT

- 1.1 To inform the Police and Crime Panel (the PCP) of the process followed for the recruitment of a new Chief Constable for Derbyshire Constabulary.

2. STATUTORY REQUIREMENTS

- 2.1 Part 1 of Schedule 8 of The Police Reform and Social Responsibility Act 2011 outlines the statutory framework for the appointment of Chief Constables.
- 2.2 The Police and Crime Commissioner is required to inform the PCP of the proposed appointment, which was done following the interview process which concluded on 24th July 2020.
- 2.3 The Commissioner is also required to provide:
- 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.

This report has been written to satisfy those requirements and to provide the PCP the information required for them to review and report on the proposals.

- 2.4 The PCP must hold a confirmation hearing at which the candidate will be asked questions relating to the appointment. This meeting is held in public.
- 2.5 The PCP is required to consider the proposed appointment and make a report to the commissioner as to whether or not the candidate should be appointed.
- 2.6 The PCP have the right, under paragraph 5 of Schedule 8, to veto the proposal if a two-thirds majority of the panel agree.
- 2.7 Subject to their being no veto the Commissioner will consider the report of the PCP and will notify them of his decision whether to accept or reject the panel's decision, and therefore whether to appoint or not.

3. BACKGROUND

- 3.1 In March 2020 Chief Constable Peter Goodman started informal conversations

with the PCC in which he indicated that he wished to retire later in the year.

- 3.2 On 30th April 2020 Peter formally notified the PCC of his intention to retire and gave the 3 months notice required within in his contract.
- 3.3 In light of the Covid-19 regulations the PCC then considered if it were possible to hold a recruitment process during a lockdown or whether a temporary 'acting-up' solution would be more appropriate.
- 3.4 As it became clear that the likely Government policy was to reduce the lockdown restrictions, and recognising that the Force as a whole would benefit from the assurance of having a substantive Chief Constable in control, the PCC took the decision to progress with a substantive recruitment process, with the caveat that should the lockdown regulations require it this could be paused.

4.0 ENGAGEMENT WITH THE COLEGE OF POLICING (CoP)

- 4.1 The CoP have published guidance for the appointment of chief officers and a toolkit to assist with the process (for more details see Appendix A)
- 4.2 It should be noted that this guidance has been updated since the appointment of Peter Goodman in 2017 with a move to recruitment based on a Competency and Values Framework.
- 4.3 As the Chief Executive of the Derbyshire OPCC has considerable experience of Chief Officer Recruitment, both within a PCC context and previously under Police Authority governance, it was agreed that the process should be run internally, rather than using the College of Policing.
- 4.4 A conversations did, however, take place between the OPCC Chief Executive and the Chief Executive of the College to discuss what support was available.

5.0 THE APPLICATION PROCESS

- 5.1 Attached at Appendix B is a copy of the application pack that was developed for the recruitment.
- 5.2 The Job Description and Person Specification were developed using the guidance from the CoP, previously developed documentation from Derbyshire recruitment processes and a review of recent application packs for other Chief Constable recruitments. They were also cogniscent of the statutory requirements such as the successful completion of the Strategic Command Course¹. Applicants also needed to provide evidence, and references, of how they could evidence meeting the 10 parts of the Competency and Values Framework at Level 3.
- 5.3 The Home Office Circular 020/2012 states:

Part Two of Annex B of the Secretary of State's determinations, made under Regulation 11 of the Police Regulations 2003, specifies that vacancies must be advertised on a public website or some other form of publication which deals with police matters circulating throughout England and Wales, and the closing

¹ Rachel Swann successfully completed the Strategic Command Course in March 2015

date for applications must be at least three weeks after the date of the publication of the advertisement.

- 5.4 The post was advertised via the Police Oracle website (a policing website) as a promoted advertisement (this included the use of Police Oracle's social media), via Chiefsnet – the National Police Chiefs' Council intranet service, and via the PCC's website.
- 5.5 The post was advertised from 15th June 2020 and closed on 3rd July, giving the necessary 3 week window.

6.0 SHORTLISTING & THE INTERVIEW PROCESS

- 6.1 By the closing date (5:00pm on 3rd July 2020) two completed applications had been received. Whilst some may suggest it is disappointing that there were not more people who wanted to apply this is not a wholly unusual experience. The CoP undertook a piece of research into Chief Officer Appointments in 2017 (see Appendices Ci and Cii). As part of the press release for the publication of the report, the then CEO of the CoP, Alex Marshall, cited the following reasons as potential barriers to people applying for senior jobs within policing:
- Domestic circumstances – the impact a promotion may have on time spent away from family and on partners and children.
 - Financial impact – including pension and tax, and specifically the lack of advice and information to assist understanding of consequences in this area.
 - Force/organisational – considerations relating to the 'fit' with a recruiting force's culture and values, profile, location, existing team and PCC.
 - Location – and impacts associated with changes in cost of living and disruption through a requirement to relocate.
 - Selection process – concerns around transparency and fairness of current selection processes, including perceptions of favoured internal candidates.
- 6.2 A shortlisting meeting was convened, virtually, on 8th July and the two applications were reviewed.
- 6.3 The panel considered that both applicants met the necessary criteria and were invited to interview. (A redacted copy of Rachel Swann's CV can be found at Appendix D)
- 6.4 An interview panel had already been established and a date set of 21st and 24th July 2020 for the process to take place. The five-person panel consisted of:

Hardyal Dhindsa	Police & Crime Commissioner for Derbyshire
Kevin Gillott	Deputy Police & Crime Commissioner for Derbyshire
Gavin Tomlinson	Chief Fire Officer, Derbyshire Fire & Rescue Service
CC Peter Goodman	Outgoing Chief Constable and technical advisor
Miranda Curruthers-Watt	Independent Member of the Panel

- 6.5 The Commissioner recognised the importance of the decision he was required to and the significant impact it would have on officers, staff and volunteers within Derbyshire Constabulary and therefore wanted to understand what their view on the candidates was. To gain this feedback from officers, staff and volunteers were invited to an event on 21st July, via Teams. It was designed as an opportunity to meet the candidates, hear why they wanted to be the next leader of Derbyshire Constabulary, explain the skills they would bring to the role and then answer questions, both pre-submitted and from the audience. After the event audience members were asked to provide feedback.
- 6.6 Approximately 44 people were in attendance during the event.
- 6.7 Questions covered areas including: Personal (leadership) style, the future of the Force, recruitment, organisational culture; working for Derbyshire Constabulary; equipment, Staff Networks, Custody Visiting, diversity, frontline policing, police officer uplift, crime recording standards, job security for police staff, payments for officers on limited/adjusted duties and mental health.
- 6.8 Participants were asked to complete a short feedback survey after the event and highlights from this were shared with the Panel after the interview. (NB Interview Panel members were not in attendance at the 'Meet the Candidates' event.)
- 6.9 For the formal interview the candidate was required to complete the following tasks:

Exercise Type	Description
Media Exercise	<p>Scenario: <i>A 'down the line' interview for a section in the East Midlands Today evening news broadcast about their new role as Chief Constable of Derbyshire.</i></p> <p>A professional reporter was used for this event and were asked to ensure that whilst the interview started off with a friendly tone, it should become more challenging and critical to assess how the candidates responded to being 'put on the spot'.</p>
Presentation	<p>The candidates were asked to pre-prepare a 10 minute presentation, after which there was a 20 minute discussion about it with the Panel.</p> <p>The presentation title was: <i>The MacPherson Report, the Lammy Review, the 2017 Race Disparity Audit, The McGregor-Smith Review, my Police and Crime Plan and now the new Government commission on Racial Inequality - All touch on aspects of racial inequality in policing & criminal justice and diversity within the Police Service.</i></p> <p><i>Recognising that this is a priority for me as a Police & Crime Commissioner how do you propose addressing the challenges of delivering against my</i></p>

	<i>priority to see a representative police service serving the communities of Derbyshire and tackling the wicked issues of racial inequality within the wider Criminal Justice System?</i>
Interview	<p>Candidates were then asked a series of questions covering the following areas:</p> <ul style="list-style-type: none"> • What they would bring to the role • Weaknesses and challenges facing Derbyshire Constabulary • Learning from Covid-19 • Boundaries and operational independence • Collaboration • Neighbourhood Policing • The relationship between the PCC & Chief Constable • External scrutiny • Wider partnership working • Financial pressures and leadership

6.10 Following the formal interview the panel then individually scored the answers given before comparing scores and assigning an average score for each answer. The scoring was then considered, along with the media exercise and feedback from the meet the candidates event, for the Panel to assist the Commissioner in deciding which name to put forward.

6.13 Following a robust discussion it was agreed that whilst both candidates had met the standard required to be taken forward, Rachel Swann's performance had been stronger and it was therefore decided by the Police and Crime Commissioner for Derbyshire that Mrs Swann's name should be put forward as the preferred candidate to the Police & Crime Panel for their consideration.

7.0 AN INDEPENDENT VIEW

7.1 It is expected that the recruitment process should follow the principles of merit, fairness and openness.

7.2 Home Officer Circular 013/2018 states that at least one member of the appointment panel should be an independent member.

7.3 In order to comply with this requirement, Miranda Curruthers-Watt was invited to join the panel. Ms Curruthers-Watt has significant experience in policing and police governance having worked previously as the Chief Executive and Solicitor for the Lancashire Police & Crime Commissioner. She was also worked closely with the Home Office during the development of the Police Reform and Social Responsibility Act, the legislation that created the role of PCCs. More recently Ms Curruthers-Watt worked as the City Solicitor for Salford City Council.

7.4 It can be confirmed that the PCC and Ms Curruthers-Watt had never met previously and had never worked together.

7.4 Attached at Appendix E is a letter from Ms Curruthers-Watt giving her independent view of the process.

8.0 APPOINTMENT TERMS

8.1 The Commissioner's intention is to offer a fixed term appointment (FTA) of 5 years, subject to the Panel's approval. This is the maximum allowed under regulations and will allow time for the next Police & Crime Commissioner for Derbyshire to consider options toward the end of this FTA (in consultation with the Chief Constable.)

8.2 The appointment would be subject to a notice period of 3 months from either party should they wish to end the appointment prior to the end of the FTA.

8.3 All other terms and conditions would be in line with current Police Regulations.

9.0 RECCOMENDATION(S)

9.1 That the Police & Crime Panel approves the appointment of the 'Preferred Candidate' Rachel Swann for the role of Chief Constable of Derbyshire Constabulary.

9.2 That the appointment is on the terms outlined in section 8.0 of this report.

Contact details in the event of enquiries	Name: Hardyal Dhindsa External telephone number: 0300 122 6000 Email address: pccoffice@derbyshire.pnn.police.uk
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Appendix A

College of Policing

Guidance for appointing chief officers



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Legal

Good practice in assessment
and selection

The appointment

Post-appointment

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Introduction

This guidance equips those responsible for appointing chief officers with the skills and knowledge to deliver an appointment process based on merit, fairness and openness and confidently appoint the right candidate to the vacant position.

The guidance describes the principles, processes and responsibilities required for appointing chief constables (CCs), deputy chief constables (DCCs) and assistant chief constables (ACCs). It also describes the requirements for appointing the commissioner, deputy commissioner (DC), assistant commissioners (ACs), deputy assistant commissioners (DACs) and commanders in the Metropolitan Police Service (MPS).

Appointing the commissioner and AC of the City of London Police continues to be governed by the City of London Police Act 1839. The requirements to have successfully passed the Senior Police National Assessment Centre (SPNAC) and the Strategic Command Course (SCC) and the principles highlighted in this guidance still apply, however.

This guidance can be used:

- by police and crime commissioners (PCCs) and CCs to follow, while recognising that ultimately they have responsibility for managing their appointment processes in accordance with the law
- to provide advice and guidance to PCCs and CCs on how to design and deliver an appointment process based on the principles of merit, fairness and openness that would withstand scrutiny
- to provide guidance on how to confirm the appointment and what post-appointment activities they may wish to undertake
- to advise PCCs and CCs when to seek additional advice from legal or HR professionals as required.

All those employed by the police, including police staff and those from non-Home Office forces, should follow the guiding principles outlined in this document. While these principles may not directly apply to non-Home Office forces, they may be a helpful guide where appropriate.

The guidance is a non-prescriptive reference for those making chief officer appointments. PCCs and CCs should review this document to identify their specific roles and responsibilities, as well as the essential

stages involved in designing and delivering an appointments process.

This guidance has been developed and will be maintained by the College of Policing.

For all the reports, publications and frameworks referred to in this guidance, see:

- [Code of Ethics](#)
- [Competency and Values Framework \(CVF\)](#)
- [Leadership Review](#)
- [Chief Officer Appointments Survey – Results and Analysis Report](#)
- [Chief Officer Appointments Survey – Executive Summary](#)
- [Policing and Educational Qualifications Framework.](#)

Home Office circulars:

- [HO Circular 013/2018](#)
- [HO Circular 021/2012](#)

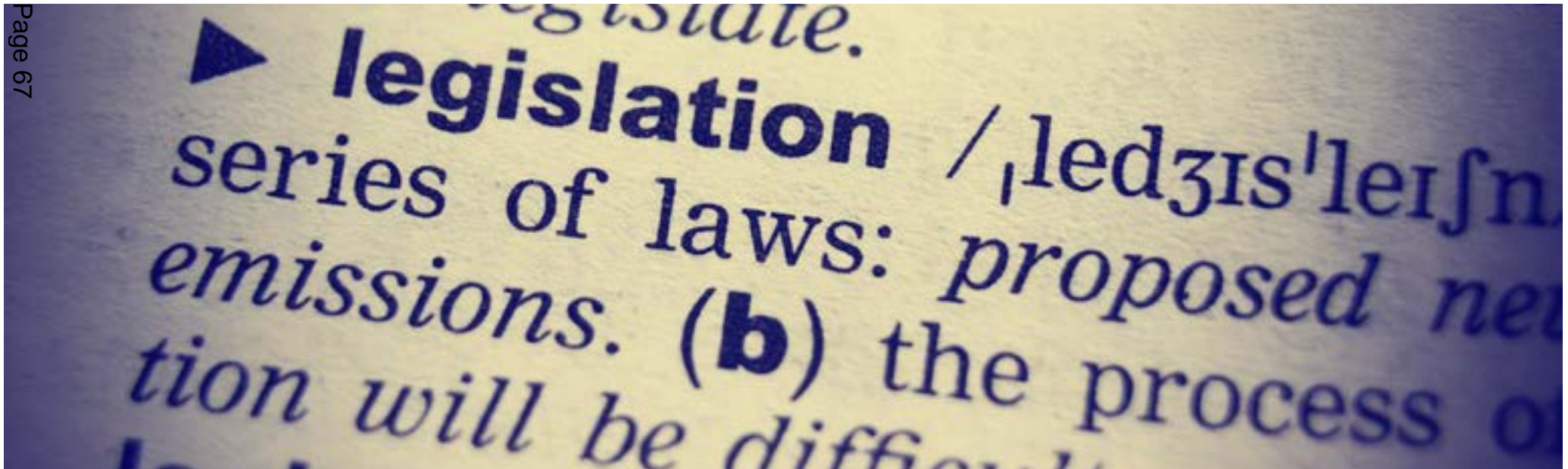
1. Legal

This section outlines the eligibility for promotion to a chief officer rank in a UK police force, as well as the legal requirements a PCC/CC must adhere to during the appointment process. There is additional legislation that PCCs need to be aware of in terms of confirming the appointment of their preferred candidate, outlined in **The appointment** section of this guidance.

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1.1. Eligibility

The table on the following page outlines the eligibility requirements for promotion to chief officer, including CC rank, for all potential applicants in a UK police force. The specific legislation behind each requirement has been noted, should the reader wish to review this further.



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Rank	UK or overseas applicants	Eligibility requirements	Legislation	Dated
Chief officers (ACC, AC, DCC, DC)	All applicants	<p>All applicants must have successfully completed the Senior PNAC and the SCC</p> <p>Police Scotland</p> <p>(i) To be eligible for appointment to the office of DCC in Police Scotland, an applicant must have held the rank of ACC or above in a relevant police force for for at least two years</p> <p>(ii) To be eligible for appointment to the office of ACC in Police Scotland, an applicant must have held the rank of superintendent or above in a relevant police force for at least two years</p>	<p>Police Regulations 2003 (SI 2003/537) Regulation 11 (Annex B – Appointment of Senior Officers)</p> <p>Police Service of Northern Ireland Police Service of Northern Ireland Regulations 2005 Regulation 11</p> <p>Police Scotland Police Service of Scotland Regulations 2013 Regulation 7, Annex 2</p>	4 January 2017
	Overseas	Overseas applicants must meet the immigration requirements to live and work in the UK	<p>Tier 2 immigration law</p> <p>It is the employer's responsibility to show that the vacancy cannot be filled by a suitably qualified or skilled settled worker</p>	
Chief Constable/ Commissioner	UK	Applicants must have served at the rank of constable in a UK police force	<p>For chief constables Police Reform and Social Responsibility Act 2011 (the 2011 Act) Section 38 of and Schedule 8 to the 2011 Act, paragraph 2(1A)(a)</p> <p>For commissioner The 2011 Act Section 42 (3A) to (3C), the eligibility criteria replicates those for CCs in paragraph 2 of Schedule 8 to the 2011 Act</p>	

Rank	UK or overseas applicants	Eligibility requirements	Legislation	Dated
Page 69 Chief Constable/Commissioner	UK	<p>Applicants must have held the rank of ACC, commander, or a more senior rank in a UK police force</p> <p>Police Scotland and the Police Service of Northern Ireland</p> <p>To be eligible to be appointed to the office of CC, an applicant must have held the rank of ACC in a relevant police force for at least two years</p>	<p>Police Regulations 2003 (SI 2003/527) Regulation 11 (Annex B), (1A)</p> <p>Police Service of Northern Ireland Police Service of Northern Ireland Regulations 2005 Regulation 11 (Annex A)</p> <p>Police Scotland Police Service of Scotland Regulations 2013 Regulation 7, Annex 2</p>	4 January 2017
	Overseas	Applicants must have served in an approved overseas police force at an approved rank – a list of the approved forces and ranks are listed in appendix A	<p>The 2011 Act Paragraph 2(1A)(b), (1B) and (1C) of Schedule 8</p> <p>HO Circular 050/2015</p>	
	Overseas	Overseas applicants must meet the immigration requirements to live and work in the UK	<p>Tier 2 immigration law It is the employer's responsibility to evidence that the vacancy cannot be filled by a suitably qualified or skilled settled worker</p>	
	Fire and rescue service applicants	<p>In forces where the PCC of the recruiting force has adopted the single employer model, those who have held a senior position in the fire and rescue service are eligible to be appointed to the position of CC</p> <p>Exemptions The single employer model does not apply to Wales, the MPS and the City of London Police</p>	<p>The 2011 Act (i) Paragraph 2 of Schedule 8 to the 2011 Act (ii) Paragraph 2(1AA) of Schedule 8 to the 2011</p> <p>Exemptions Section 4A Fire and Rescue Services Act 2004</p>	Published April 2017

1.2. Conduct

This section aims to provide PCCs and CCs with guidance on ensuring that their potential appointee has an appropriate record of conduct. When appointing a chief officer the PCC/CC should consider the applicant's disciplinary record and be aware of any outstanding allegations or ongoing investigations. A disciplinary record is a record of incidents where an officer has been found to have breached standards of professional behaviour. In relation to matters of gross misconduct the recruiting PCC/CC must review the Barred and Advisory List to confirm that their potential appointment is eligible for the vacancy ([Policing and Crime Act 2017, section 30](#)).

An investigation into an applicant's disciplinary record should be carried out with their consent. This can be achieved through including a self-disclosure of any disciplinary matters, outstanding allegations or ongoing investigations, as well as a statement on the application form which confirms that signing and submitting the application provides the recruiting force with consent to review their disciplinary record. In doing so, the recruiting force may contact an applicant's CC, the professional standards department (PSD) or the Independent Office for Police Conduct (IOPC) for further information.

(Please note that the IOPC have advised that they will become ready to consider requests for information as

part of the appointment process for a chief officer through the course of 2018).

All parties involved (home and recruiting force, IOPC and the PSD) should consider the purpose and relevancy of the information to be shared. There should also be an explanation either on the application form or pack that outlines how information shared will be used, who will have sight of this information and how it will be stored.

It is the responsibility of the PCC/CC to decide whether to appoint a candidate with evidence of a disciplinary record that is live (a written warning is live for 12 months and a final warning for 18 months) or concluded and in circumstances where an individual is subject to ongoing investigation. They should complete a risk-based assessment which considers the circumstances of the disciplinary, the potential effect on the applicant's role within the police service and the wider impact this appointment may have on their force, region and community. The PCC/CC should focus on making a balanced and proportionate decision which is based on the evidence available. Furthermore a Chief Constable should inform the PCC if they appoint a chief officer with a disciplinary record that is live or concluded. Consideration should be given to when, in an appointment

process, investigations regarding an applicant's conduct and disciplinary record are undertaken.

A new code for police vetting was given the authority of Parliament on Thursday 12 October 2017 to improve consistency across the Police Service. Further information on the code and the accompanying Authorised Professional Practice (APP) are available on the [College website](#).

1.3. Roles and responsibilities

This section provides a detailed overview of the specific roles and responsibilities of a PCC appointing a CC (1.3.1) and a CC/ commissioner appointing an ACC/AC and DCC/DC respectively (1.3.2).

There are similarities and repetition between the roles and responsibilities for a PCC and CC. As some distinct differences occur, however, these have been considered separately for ease of access and understanding.

This section refers to a number of stages involved in developing an appointment process. An explanation of what these are and the why/how they should be undertaken has been considered in the **Good practice in assessment and selection** section of this guidance.

1.3.1. Police and crime commissioners' roles and responsibilities in appointing **chief constables**

It is for the PCC to decide how they wish to run their appointment process.

Outside London

[Section 38](#) of and [Schedule 8](#) to the Police Reform and Social Responsibility Act 2011 (the Act) requires the appointment of CCs to be made by PCCs subject to a confirmation hearing held in accordance with the [Police and Crime Panels](#) (Precepts and Chief Constable Appointments) Regulations 2012.

London

City of London Police

The appointment of the commissioner of the City of London Police is governed by the City of London Police Act 1839.

Metropolitan Police Service

In the context of the MPS, the mayor of London is the holder of the Major's Office for Policing and Crime (MOPAC) and although they may delegate the day-to-day discharge of their policing and crime functions to a deputy mayor for policing and crime. The commissioner is appointed by Royal Warrant based on the recommendation of the secretary of state. The secretary of state is required to have regard to any of the MOPAC's recommendations.

The Police and Crime Panel (PCP) is required to review the information submitted by the PCC regarding the appointment process and the preferred candidate. The PCP has the option to veto the first candidate the PCC proposes.

There is a series of processes which the PCC will need to consider putting in place. The PCC's chief executive officer holds the position of statutory monitoring officer during the appointment process. While they may be responsible for putting these processes in place, the PCC should maintain oversight and hold responsibility for ensuring these are done. These processes have been considered in terms of the requirements a PCC must undertake and best practice processes, eg, what a PCC is advised to consider in order to achieve the principles of merit, fairness and openness in their selection process.

The table below outlines the PCCs roles and responsibilities in appointing chief constables:

Requirements	Good practice
<div> <div>Page 73</div> <ul style="list-style-type: none"> Ensure the appointment process is based on the principles of merit, fairness and openness (public sector equality duty) Convene an appointments panel including at least one independent panel member (HO Circular 013/2018) Ensure the vacancy is advertised for no less than three weeks Review recommendations by the PCP (Police and Crime Panels (Precepts and Chief Constable Appointments) Regulations 2012) Confirm the appointment (Police and Crime Panels (Precepts and Chief Constable Appointments) Regulations 2012) Ensure the appointment process is undertaken in accordance with relevant legislation Ensure the appointment process adheres to the Equality Act 2010 and the Data Protection Act 1998 (DPA) </div>	<ul style="list-style-type: none"> Ensure the appointment process considers the Code of Ethics and organisational competencies and values Agree the content of the advert and where this should be placed Ensure that the vacancy is publicised widely to all potential applicants Ensure those involved in assessing candidates have undertaken appropriate training in selection and assessment practices Direct the appointment panel to this guidance Develop an application and assessment process which includes a robust decision-making model In collaboration with the appointment panel, assess, shortlist and appoint applicants against the agreed assessment criteria Confirm that the potential appointee's conduct is satisfactory Submit the independent panel member's report to the PCP and inform them of the preferred candidate Provide feedback to all candidates

Appointment panel's role

The PCC should convene the appointment panel before any stage of the appointment process takes place (eg, sifting applications). They may consider involving panel members in defining role requirements.

It is the PCC's and panel members' responsibility to confirm, prior to shortlisting that no conflict of interest exists between panel members and the applicant pool. Panel members should declare if a conflict does exist and the PCC will need to determine whether it is appropriate for them to remain as a member of the appointment panel.

The appointment panel should:

■ consist of three to five panel members from a diverse range of backgrounds with experience in the assessment and selection of candidates, for example:

- PCCs from other regions
- senior managers from private sector organisations
- leaders from the fire and ambulance service
- leaders from the local authority

- include an independent member – see below for more information
- remain the same throughout the selection process to ensure consistency of assessment and approach.
- be informed of the time commitment involved.

All appointment panel members must adhere to the principles of merit, fairness and openness and read this guidance to ensure they are familiar with its content prior to starting the appointment process.

The panel's purpose is to challenge and test that the candidate meets the necessary requirements to perform the role. It supports the PCC in making the appointment by:

- helping develop the assessment criteria (0.5 to 1 day)
- undertaking appropriate briefing/assessor training (0.5 to 1 day, depending on the experience of the panel members chosen)
- in collaboration with the PCC, shortlisting applicants against the agreed appointment criteria (1 day – this will depend on the number of applicants)

- in collaboration with the PCC, assessing all shortlisted candidates against the agreed appointment criteria (this will depend on what and how many selection tools are chosen and if the assessment process is delivered across a single or multiple days)
- in collaboration with the PCC, considering which candidates most closely meet the appointment criteria (0.5 to 1 day, depending on the number of candidates assessed).

(The information in brackets outlines the likely time commitment of each task.)

The PCC should take steps to ensure the panel they select has the necessary skills to make fair assessments of candidates and is capable of undertaking the responsibilities listed above.

Independent member's role

HO Circular 013/2018 states that at least one member of the appointment panel should be an independent member. It is important that the independent member is suitably experienced in selection and assessment practices in order so they can determine the extent to which the appointment process is conducted in line with the principles of merit, fairness and openness.

The role requires them to

- be suitably experienced and competent in assessment and selection practices
- undertake appropriate briefing/assessor training
- be aware and have an understanding of the needs and interests of the recruiting force and local community
- in collaboration with the PCC and other panel members, shortlist and assess applicants against the agreed appointment criteria and consider which candidates most closely meet the appointment criteria
- produce a written report on the appointment process, to be submitted to the PCP at the same time as the name of the preferred appointee, expressly and explicitly addressing the appointment principles of merit, fairness and openness and the extent to which the panel was able to fulfil its purpose (eg, to challenge and test that the candidate meets the necessary requirements to perform the role).

The PCC is encouraged to identify an independent member who has an understanding of local, national and strategic needs and interests, for example:

- magistrates
- chief executives of local authorities
- representatives of community organisations
- local business leaders
- key stakeholders from existing partnership arrangements.

The independent panel member should not be the PCC, a member of the PCC's staff, a PCP member, a member of Parliament or member of European Parliament, local councillor, serving or retired police officer or member of police staff, civil servant, member of the National Assembly for Wales, Northern Ireland Assembly or the Scottish Government, HMICFRS staff, IOPC commissioner/staff or College of Policing staff.

Although the Home Office circular specifies certain roles that are not eligible to be an independent member, this does not preclude those in these roles being part of the appointments process and/or the wider appointment panel in other roles. This involvement would be at the PCC's discretion.

When a PCC appoints an independent member, they should base their decision on who to appoint on the principles of merit, fairness and openness. For instance, the PCC should consider the skills/experience required

and the responsibilities and time commitment involved in being an independent member. When an independent member is appointed, it is important to clearly outline their role and responsibilities throughout the selection process, the purpose of having an independent member in terms of ensuring the appointment is based on the principles of merit, fairness and openness and the time commitment involved.

There are a number of ways a PCC can identify and appoint an independent member:

- outline the position on the force website
- promote the position on public sector job websites, local business groups and at networking events
- promote the position with existing partners
- discuss the position at stakeholder meetings/boards.

If there is more than one independent member, they should seek to agree a single report for submission to the PCP.

Policing adviser's role

There is no requirement for an individual with professional policing knowledge to act either as a member of the appointments panel or in an advisory capacity during any stage of the appointment process. Should a PCC choose to include such an individual in the process, however, the policing adviser's role is to provide the PCC with professional advice at an appropriate level from a policing perspective. Responsibilities may include one or more of the following in an advisory capacity to be determined by the PCC responsible for the appointment process:

- provide professional policing advice in developing and designing the appointment process, including the assessment criteria and selection tools
- provide professional policing advice on how well each candidate's experience and skills fit with the policing-specific requirements of the role during shortlisting and the appointment process
- play an active role (where required) as part of the appointment panel in reviewing the documented procedures and related assessment material, conducting interviews/assessment exercises and making an independent assessment of the candidate's performance against the required criteria

- support the PCC during their decision-making process prior to making an appointment.

Role of the chief executive of the Office of the PCC

The role of the chief executive is to support the PCC in undertaking their responsibilities. In supporting the PCC in the appointments process, the chief executive should:

- ensure the principles of merit, fairness and openness are adhered to throughout the design and delivery of the appointment process
- advise and assist the PCC throughout the appointment process
- ensure that the appointment process is properly conducted and in line with responsibilities and requirements outlined in legislation
- ensure appropriate monitoring of the appointment process.

Applicant's role

The applicant's role is to comply with the requirements of the appointment process. They should:

- complete and submit an application within the published deadlines

- ensure that all information requested as part of the application process is accurate and complete
- disclose any record of disciplinary or conduct issues, regardless of whether these are ongoing or concluded
- attend assessment stage(s)
- if successful, participate in the confirmation hearing held by the PCP.

Police and Crime Panel's role

The PCP's role is to review the information and decision submitted by the PCC. The PCP is required to adhere to the guidelines set out in the Police Reform and Social Responsibility Act 2011. In line with this responsibility, it has specific responsibilities within the appointment process as set out in Schedule 8 of the Act. These responsibilities state that the PCP is required to consider recommendations made by the PCC in terms of the appointment. The PCP should satisfy itself that the process was properly conducted and adhered to the principles of merit, fairness and openness and that the preferred candidate meets the requirements of the role by:

- considering the report submitted by the independent member
- reviewing the PCC's proposed appointment
- holding a public confirmation meeting
- making a report to the PCC on the proposed appointment, including a recommendation as to whether or not the candidate should be appointed

- the PCP must produce their report within three weeks of being notified by the PCC of the proposed appointment
- the PCP must ensure that the report is made available to the public.

The PCP can veto the appointment if agreed by at least two thirds of PCP members within three weeks of being notified of the proposed appointment (see guidance on vetoing appointments in [The Appointment](#) section).

1.3.2. Chief constables' roles and responsibilities in appointing assistant chief constables, deputy chief constables and equivalent chief officer ranks in the Metropolitan Police Service

CCs are ultimately responsible for deciding how to design and deliver their appointment process.

Appointments must be made in accordance with Regulation 11 of the Police Regulations 2003 and the relevant parts of the Police Reform and Social Responsibility Act 2011.

Outside London

It is the CC's responsibility to make the decision about which candidate to appoint. In line with the Police Reform and Social Responsibility Act 2011, however, the CC must consult the PCC on any proposed increase in numbers of DCCs or ACCs and may wish to consult on any decrease. Before appointing a DCC or an ACC, the CC is required to consult the PCC on their proposed appointment. The legislation outlining this requirement can be found in [section 39](#) (DCC), and [section 40](#) (ACC) of the Police Reform and Social Responsibility Act 2011.

London

City of London

The appointment of the assistant commissioner of the City of London Police is governed by the City of London Police Act 1839

Metropolitan Police Service

The DC is appointed by Royal Warrant based on the recommendation of the secretary of state. The secretary of state must have regard to any recommendations made by the commissioner and any representations from the Mayor's Office.

The Commissioner of Police of the Metropolis must consult the Mayor's Office for Policing and Crime before appointing a person as AC or DAC. The legislation outlining this requirement can be found in [section 45](#) (AC) and [section 46](#) (DAC) of the Police Reform and Social Responsibility Act 2011.

There are a series of processes which the CC will need to consider putting in place prior to the decision-making stage. Although the CC may not put all these processes in place personally, they should have oversight and hold responsibility for ensuring these are done.

These processes have been considered in terms of the requirements a CC must undertake and best practice processes, eg, what a CC is advised to consider in order to achieve the principles of merit, fairness and openness.

The table below outlines the chief constables roles and responsibilities in appointing assistant chief constables, deputy chief constables and equivalent chief officer ranks in the Metropolitan Police Service:

Requirements	Good practice
<ul style="list-style-type: none"> Ensure the appointment process is based on the principles of merit, fairness and openness (public sector equality duty) Convene an appointments panel including at least one independent panel member (HO Circular 013/2018) Ensure the vacancy is advertised for no less than three weeks Ensure a discussion with the PCC is undertaken regarding the proposed appointee prior to confirmation of the appointment Ensure the appointment process is undertaken in accordance with relevant legislation Ensure the appointment process adheres to the Equality Act 2010 and the DPA 	<ul style="list-style-type: none"> Ensure the appointment process considers the Code of Ethics and organisational competencies and values Agree the content of the advert and where this should be placed Ensure that the vacancy is publicised widely to all potential applicants Ensure those involved in assessing candidates have undertaken appropriate training in selection and assessment practices Direct the appointment panel to this guidance Develop an application and assessment process which includes a robust decision-making model In collaboration with the appointment panel, assess, shortlist and appoint applicants against the agreed assessment criteria Confirm that the potential appointee's conduct is satisfactory Submit the independent panel member's report to the PCP and inform them of the preferred candidate Provide feedback to all candidates

Appointment panel's role

The CC should convene the appointment panel before any stage of the appointment process takes place (eg, sifting applications). Consideration may be given to having panel members involved in helping to define the requirements of the role.

It is the CC and panel members' responsibility to confirm, prior to shortlisting that no conflict of interest exists between panel members and the applicant pool. Panel members should declare if a conflict does exist and the CC will need to determine whether it is appropriate for them to remain as a member of the appointment panel.

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The appointment panel should:

- consist of three to five panel members from a diverse range of backgrounds with experience of selection and assessment, for example:
 - the PCC
 - deputy PCC
 - officers or staff from a suitable rank/level from the appointing or other forces

- professionals from the College of Policing
- senior individuals from private sector organisations
- members of community groups
- local authority leaders
- representatives from existing partnerships
- include an independent member
- be maintained throughout the appointment process to ensure consistency of assessment and approach.
- be made aware of the time commitment involved.

All appointment panel members must adhere to the principles of merit, fairness and openness and read this guidance to ensure they are familiar with its content prior to starting the appointment process.

The panel's purpose is to challenge and test that the candidate meets the necessary requirements to perform the role. It supports the CC in making the appointment by:

- helping develop the assessment criteria (0.5 to 1 day)
- undertaking appropriate briefing/assessor training

(0.5 to 1 day depending on the experience of the panel members chosen)

- in collaboration with the CC, shortlisting applicants against the agreed appointment criteria (1 day – this will depend on the number of applicants)
- in collaboration with the CC, assessing all shortlisted candidates against the agreed appointment criteria (this will depend on what and how many selection tools are chosen and if the assessment process is delivered across a single or multiple days)
- in collaboration with the CC, considering which candidates most closely meet the appointment criteria (0.5 to 1 day, depending on the number of candidates assessed).

(The information in brackets outlines the likely time commitment of each task.)

CCs or the MPS commissioner may also consider including policing advisers where the role contains areas of policing with which they are less familiar.

The CC should take steps to ensure the panel they select has the necessary skills to make fair assessments of candidate and is capable of undertaking the responsibilities listed above.

Independent member's role

HO Circular 013/2018 states that at least one of the appointment panel members should be an independent member. Principles governing the selection of an independent member, the restrictions on appointment and their role in the appointment process outlined in 1.3.1 also apply in this context.

While the independent member in a CC appointment process produces a report for consideration by the PCP, here they should submit this to the PCC at the same time as the CC consults the PCC about the proposed appointee. This report should specifically address the appointment principles of merit, fairness and openness, and the extent to which the panel was able to fulfil its purpose (eg, to challenge and test that the candidate meets the necessary requirements to perform the role).

Applicant's role

The applicant's role is to comply with the requirements of the appointment process. They should:

- complete and submit an application within the published deadlines

- ensure that all information requested as part of the appointment process is accurate and complete
- disclose any record of disciplinary or conduct issues regardless of whether these are ongoing or concluded
- attend assessment stage(s).

PCC's role

In a chief officer appointment process, the PCC is required to review the report submitted by the independent member and engage in a discussion with the CC regarding their proposed appointee.

1.4. Equal opportunities and data protection

A PCC and CC need to maintain an overview of their respective selection processes from the start and throughout to ensure that the requirements outlined within the Equality Act 2010 and the DPA are met.

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1.4.1. The Equality Act 2010

Those involved in appointing chief officers must ensure that they comply with provisions of the Equality Act 2010. The Act prohibits discrimination, harassment and other unlawful conduct because of the following protected characteristics:

- age
- disability
- gender reassignment
- marriage and civil partnership
- pregnancy and maternity
- race
- religion or belief
- sex
- sexual orientation.

The Equality Act 2010 sets out the different ways in which it is unlawful to treat someone, such as direct and indirect discrimination, harassment, victimisation and failing to make a reasonable adjustment for a disabled person.

A key measure in the Equality Act 2010 is [section 149](#) of the public sector equality duty, which came into force on 5 April 2011 and places a legal duty on public authorities to take account

of the need to eliminate unlawful discrimination, harassment and victimisation as well as to promote equal opportunities and encourage good relations between persons who share a relevant protected characteristic and those who do not. The Police Reform and Social Responsibility Act 2011 amends the Equality Act to make the public-sector equality duty apply to PCCs and MOPAC.

The equality duty has three aims. It requires public bodies to have due regard to the need to:

- **eliminate unlawful discrimination**, harassment, victimisation and any other conduct prohibited by the Act
- **advance equality of opportunity** between people who share a protected characteristic and people who do not
- **foster good relations** between people who share a protected characteristic and people who do not.

In order to meet the aims of the equality duty, PCCs and CCs should ensure that:

- they are aware and have an understanding of the requirements of the equality duty
- they consider the equality duty at every stage of the appointment process from planning to delivery and the final decision-making process – a public

body cannot satisfy the equality duty by justifying a decision after it has been taken

- the three aims of the equality duty form an integral part of the decision-making process and are applied with rigour
- they have sufficient information to give proper consideration to the equality duty
- any third parties involved in the appointment process are capable of complying with the equality duty and that they do so in practice (it is a duty that cannot be delegated)
- refer to the Equality Duty in recording the process of consideration (there is no explicit requirement for this but it is good practice to do so)

[Section 159](#) of the Equality Act 2010 refers to positive action in the context of recruitment and promotion processes. It states that in certain circumstances an employer can treat one candidate more favourably than another if they suffer a disadvantage or have difficulty participating in certain activities in connection with a protected characteristic. An employer can treat the candidate more favourably if they are equally qualified to the other candidates.

1.4.2. The Data Protection Act 1998

The individual responsible for the appointment process must be familiar with their responsibilities in relation to the DPA. The DPA regulates how and when information about candidates and employees may be collected, used and managed.

Information covered by the DPA includes computerised records, health records and manual records. The DPA states that information must be:

- processed fairly and lawfully
- adequate for the purpose (ie, to make a fair appointment decision)
- relevant and not excessive
- accurate
- retained no longer than is necessary.

Candidates who have records kept with their details on are entitled to formal access to those records as well as the reasons why they are being used. In relation to the appointment process, this refers to all notes taken during the process, either in relation to candidates' verbatim comments or notes on appointment decisions.

2. Good practice in assessment and selection

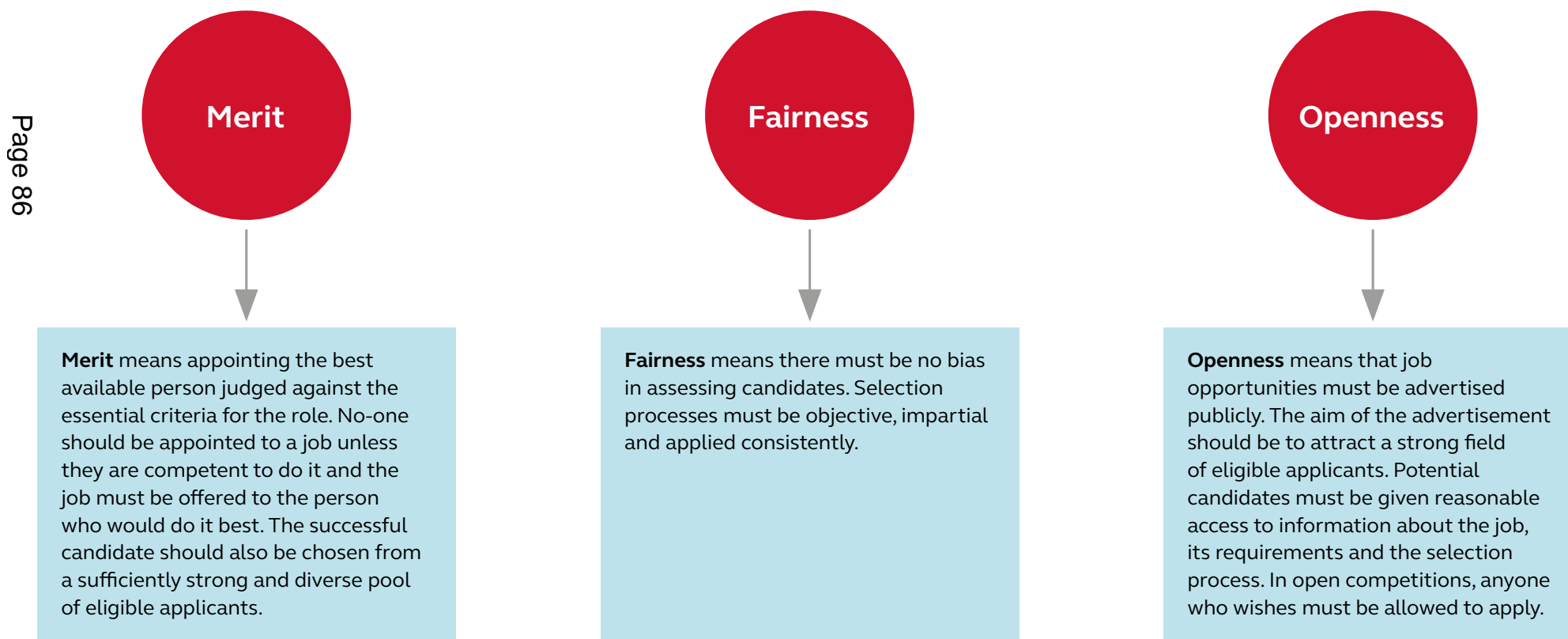
PCCs and CCs must adhere to legal requirements relating to appointments they make. In addition to this, there are a number of principles which underpin designing and delivering fair and effective appointment processes which are robust and transparent in response to scrutiny. This section outlines what these principles are and how they can be embedded from the start and throughout an appointment process in order to ensure the right candidate is appointed.

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2.1. Merit, fairness and openness

[Home Office circular 2012](#) on the Selection and Appointment of Chief Officers states that those responsible for selecting and assessing chief officers must observe the three principles of merit, fairness and openness.

The definition of these principles outlined below are based on those contained in the [Civil Service Recruitment Principles 2015](#).



2.2. The Code of Ethics and values-based recruitment

The [Code of Ethics](#) outlines the principles and standards of behaviour expected of officers and staff in policing. In order to ensure that the workforce reflects these principles and standards of behaviour, it is important to take steps to embed the [Code of Ethics](#) in local and national selection and promotion processes. A means of achieving this would be using values-based recruitment (VBR).

There are a number of benefits to employing VBR, alongside assessing for competencies, as there is a wealth of research which suggests that assessing and selecting a candidate on the basis of their personal values and the extent to which these fit with the values of the organisation can lead to improved person-organisation fit. In turn, appointing an individual with high person-organisation fit can lead to improvements in:

- perceived organisational support
- trust in managers
- performance
- organisational commitment
- job satisfaction
- co-worker satisfaction
- engagement.

The **first** and **most important** step when introducing values into an appointment process is to clearly define the organisation's values. It is then essential to identify the behaviours that demonstrates these values so they can be measured.

Values based recruitment

Values are beliefs which are important to an individual and which guide behaviours and actions. VBR is centred on ensuring that values are considered and assessed at every stage of a selection process, from attraction through to developing an application and assessment process and inducting the appointed candidate into the new organisation.

2.3. Competency and Values Framework

The College of Policing has developed a Competency and Values Framework (CVF) which outlines the behaviours associated with effective and ethical performance in the police service. The CVF aims to support officers and staff and provides a consistent foundation on which all local and national selection and promotion processes can be based.

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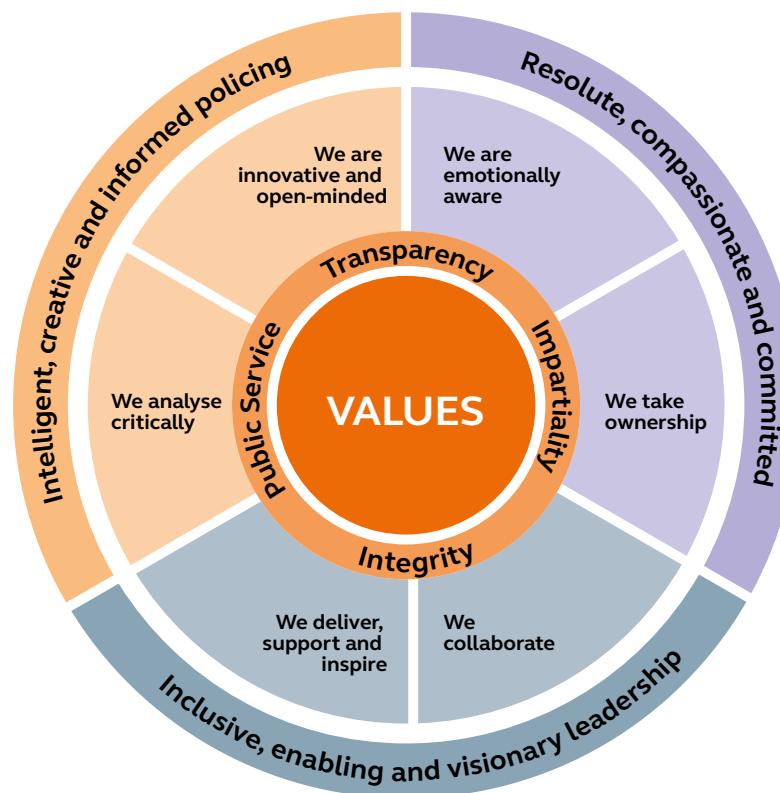


The Competency and Values Framework

The framework consists of six competencies that have been clustered into three groups. Each competency includes a description and a list of behaviours which indicate whether a person is displaying that particular competency. Each competency is split into three levels, which are intended to be used flexibly to allow for a better fit with frontline and non-frontline policing roles, rather than ranks or work levels. The levels are designed to be cumulative, so those working at higher levels should also demonstrate each preceding level's behaviours. The competency levels can broadly be matched to work levels as:

- level 1 – practitioner
- level 2 – supervisor/middle manager
- level 3 – senior manager/executive.

The framework is underpinned by four values. These four values reflect the Code of Ethics and represent measurable behaviours. The diagram depicts the College's CVF. View the full framework [here](#).



2.4. Assessment principles

Assessment principles address how an appointment process is designed and delivered and how candidates are assessed and overall grades/results are agreed. The assessment principles outlined here are important as they ensure that the appointment process delivered is fair and effective. These principles also enable PCCs and CCs to have confidence in what they are measuring, that each candidate is being assessed in the same way and that they have transparent and justifiable reasons why the appointed candidate is the right candidate for the position. These principles can also help a PCC/CC ensure that their appointment process adheres to the requirements outlined in the **Equality Act 2010**.

2.4.1. Reliability and validity

The main assessment principles that any appointment process must adhere to in order to fairly compare candidates and confidently select the right person for the role are:

Reliability

Reliability is the extent to which an assessment, delivered in a standardised manner (see 2.4.2) can consistently produce the same result or behaviour. To achieve reliability in an appointment process, it is important to consider:

■ Inter-rater reliability

The extent to which assessors assess candidates in the same way, use the same framework and method to ensure consistent and fair assessments are made. This can be achieved by assessors benchmarking performance prior to beginning the assessment of candidates, eg, discussing and confirming as an assessor panel what performance looks like at each point of the rating scale. In addition the assessor panel could complete a trial run of the exercise to identify the spread of scores and ensure consistency during the live assessments of candidates

■ Test-retest reliability

The extent to which the measure itself (interview, media exercise, presentation etc.) can consistently measure the construct (competency or value) it has been designed to measure each time it is delivered.

Validity

The validity of an appointment process is the accuracy of the selection tools used. Do they measure what you think they are measuring? In order for a PCC/CC to ensure that their appointment process is valid, they must first know what it is they want to measure, then choose selection tools that provide the opportunity for candidates to display the evidence they have defined as being required for effective performance in the role. There are many types of validity. PCCs/CCs should consider the following examples when developing their appointment process:

■ Face validity

The extent to which the assessment looks like it measures what it says it is measuring. Another way of looking at this is: will candidates feel they have been given a realistic opportunity to demonstrate evidence of the construct being measured?

■ Content validity

The extent to which an assessment measures the different aspects of the specific construct being measured. For example, to what extent is the interview question assessing the competency of 'take ownership' and how much of the candidate's response relates to something else?

■ Predictive validity

The extent to which an assessment is able to accurately predict the likelihood of future job performance. For example, are those candidates who performed well in the assessment process now performing well in the role?

2.4.2. Standardisation

Standardisation addresses the consistency with which the process itself is delivered and is a key way of achieving reliability. A standardised selection process is one which ensures that:

- all applicants undertake the same assessment in terms of instructions, information provided, preparation materials and environment
- the same assessment criteria are applied consistently across all candidates
- the same decision-making model is applied consistently across all candidates.

2.4.3. Unconscious bias

Steps can be taken to standardise the design and delivery of an appointment process and ensure it is reliable, however, no assessment system is perfect. Human and environmental factors can and do influence the consistency with which assessors apply the assessment criteria and the objectivity of their decision making.

At least twenty barriers to accurate assessment have been highlighted in research literature. Almost all of these exist within everyone to some extent, either conscious or unconscious. The important point, however, is for an assessor is to understand them, to be able to identify when they may be starting to influence decisions and to take steps to remain as objective as possible.

During candidate assessment, assessors listen to and observe a high level of information, causing an increase in demand on their cognitive processes. In order to manage these demands, assessors can begin to rely on short cuts and snap judgements to make decisions regarding a candidate's performance. It is in these circumstances where biases, conscious or unconscious, can begin to affect an assessor's ability to remain objective in their decision making.

The table below provides an overview and definition of some of the most common barriers to accurate assessment:

Unconscious bias	Definition
Expectancy effect	Tendency for assessors to generate either a positive or negative expectation from pre-assessment information (eg, application form, word-of-mouth opinion, appraisal document) and for their evaluation and decisions to follow these expectations.
Confirmatory information	Assessors actively seek information to confirm their initial impressions. This is closely linked to the expectancy effect. Interviewers tend to ask questions designed to elicit information confirming their initial impressions or may ignore evidence which goes against their initial impression.
Similar-to-me effect	Also known as the 'clone syndrome', the similar-to-me effect is where assessors' views are biased in favour of candidates similar to themselves, based on personal characteristics or even based on how they would complete the exercise or the style of presentation they would use. They could then give more favourable ratings to candidates who complete the exercise in a similar way, rather than those who score highly on an objective marking guide.
Fundamental attribution error	The tendency for an assessor to erroneously ascribe or attribute candidate behaviour to facets of their personality, rather than to the actual cause of their behaviour.
Halo/horns effect	Assessors assume that if a candidate scores well or is viewed favourably in a particular exercise/situation, they will also do well throughout and is scored accordingly (halo). Alternatively, candidates who score poorly or are viewed negatively in a particular exercise/situation are assumed to do poorly throughout and are scored accordingly (horns).

Unconscious bias	Definition
Central tendency, leniency and stringency	The assessor gives many applicants similar ratings, rather than using the full rating scale to evaluate differences in performance. It is the assessor's task to highlight the differences using the full extent of the rating scale. Leniency is similar to central tendency but refers to assessors rating every candidate very favourably across all dimensions. Stringency refers to assessors rating every candidate unfavourably across all dimensions.
Fatigue	When assessors become tired, this often results in cognitive overload, where the mental demands of the task outweigh the attention available. When this state occurs, the assessor will intentionally or unintentionally only select what they consider the salient or pertinent points from the candidates' performance, ie, selective attention.
Contrast and quota effects	Contrast effect refers to when the assessor's evaluation of the present candidate's performance is influenced by the quality of previous candidates' performances. Quota effects are seen when candidates are only selected because they are from a group that is under-represented in the organisation, eg, women, people with disabilities or members of minority ethnic groups.
Negative information	Assessors' decisions are influenced significantly more by negative information than by positive information. Assessors can be affected by negative information bias when evaluating candidates' performances in most types of exercise. Sometimes this bias can be so strong that the assessors do not discuss the candidate's positive behaviours at all.
Rushing	The assessment and decision-making processes are rushed in order to meet logistical arrangements, rather than giving each candidate fair consideration. Effort should be made to ensure that sufficient time is set aside to evaluate candidate performance and to discuss each candidate individually in detail about their performance.

2.4.4. Assessment methodology

The approach used to assess candidates must be consistent between candidates and throughout the assessment process, from assessing and shortlisting the written application to the live assessment of candidates' behaviour. A way of avoiding biases and ensuring decisions made remain objective throughout the process is to follow a structured evidence-based assessment method.

The assessment method used must consider each individual stage involved in assessing the evidence a candidate has provided. By breaking down the assessment of candidates and their evidence into individual stages, a transparent audit trail is created which can identify where the evidence has come from and why and how the final decision has been made.

The stages involved in a structured evidence-based assessment method can include:

- understanding the evidence
 - reading (application form) or observing (live assessment, eg, interviews) the evidence a candidate provides in response to the question/task they have been presented with
- reviewing the evidence
 - reviewing the evidence provided in terms of the extent to which it answered the question or task the candidate has been presented with
 - considering whether the evidence provided meets the assessment criteria
- evaluating the evidence
 - considering the quantity and quality of evidence provided in relation to the assessment criteria
 - considering whether the evidence was at the required level and relevant to the question/task presented
 - considering anything the candidate did that detracted from their performance or anything they omitted
 - using a rating scale to determine the mark awarded to a candidate and to ensure that marking across all candidates is standardised
 - making a record of the individual and overall mark awarded to each candidate.

ORCE assessment model

A well-known example of a structured evidence-based method of assessment is the **Observe, Record, Classify and Evaluate (ORCE)** assessment model. The ORCE model is based on research into the role of the assessor and the cognitive processes assessors use that may help or hinder the decisions they make. The ORCE model has four distinct sequential stages of assessment. This is effective in supporting objective decision making as assessors are not required to undertake multiple tasks at once, which requires greater cognitive effort and therefore presents a greater risk of decisions being influenced by unconscious biases.

The four stages of ORCE are:

Observe

Assessors watch and listen to what the candidate says and does. They carry out the Record stage at the same time.

Record

Assessors write down the candidate's response, recording what they say and do. Assessors do not provide any interpretation or link this to a competency or value being assessed.

Classify

Assessors classify the behavioural evidence into the specific competencies or values being assessed. A piece of evidence must only be recorded in one competency/value area.

Evaluate

Assessors consider the quality of evidence provided and whether the candidate did/said anything that detracted from their performance.

Assessors complete each stage independently from any other assessors present and do not discuss the behaviour recorded before they have awarded their independent ratings.

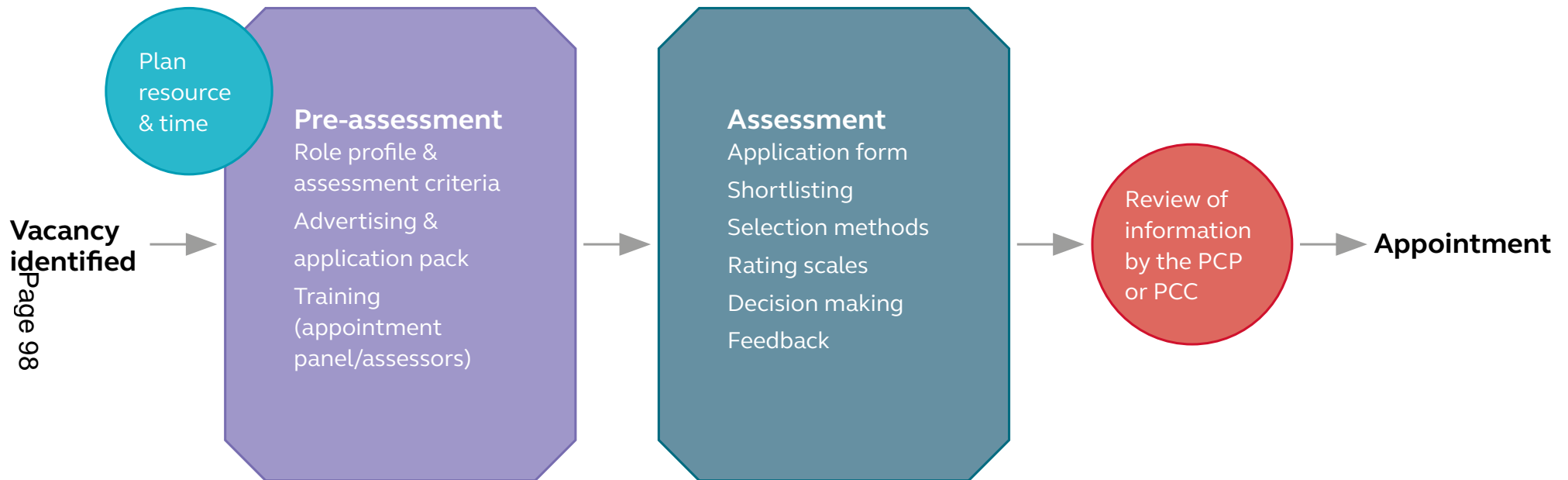
2.5. Key selection stages

The main objective of any appointment process is to identify the right candidate for the position. The content of a process can vary as there are a number of selection techniques that can be used, depending on the needs and interests of the organisation, as well as the competencies and values being assessed.

Page 97 Planning

In order for a fair and reliable appointment process to develop, sufficient time must be allocated for planning and delivery. Forces should avoid confirming an ideal appointment date and working backwards from this before they have determined what they want their selection process to involve. This is important when you consider that an appointment panel needs to be selected and then all members to be available at the same time to undertake training, attend shortlisting and potentially assess as an interview panel.

The diagram below highlights the key stages of selection considering pre-assessment and assessment activities:



2.5.1. Pre-assessment

Police professional profiles

The College of Policing has engaged with key stakeholders to develop police professional profiles for all ranks (policing roles and policing-specific staff roles). The role profiles define the skills and professional standards, competencies and behaviours required for policing on a national basis. All professional profiles will indicate the required minimum CVF competency level from 1-3.

The role profiles are intended to capture the primary and nationally consistent elements of the specific role. However, the role profiles also provide an opportunity for a PCC/force to define what it is they want from prospective candidates and to reflect the needs and values specific to their organisation. It is therefore expected that the role profile will be used to develop a job description where locally specific requirements can be included. In doing so it is advisable to liaise with key stakeholders such as the PCC (unless it is a CC process), the outgoing chief officer, remaining chief officers, chief executive, officers and staff, local community safety partners, criminal justice bodies and community interest groups to determine what specific or desirable requirements may need to be included and therefore reflected throughout the appointment process.

Assessment criteria

These are the criteria against which candidate assessments will be made and on which applicants will base their evidence of suitability. The assessment criteria detail what is required for effective performance in the role and provide a benchmark for what candidates will be assessed against during the appointment process. The assessment criteria are usually developed from the role profile highlighting the key aspects required.

It is important that the assessment criteria;

- reflect the level of the vacancy
- consider the current and future demands of the force, enabling the appointment process to identify a candidate who meets the short, medium and long-term requirements of the force and community.

Forces should refer to the [CVF](#) when identifying the assessment criteria to be used in the appointment process. Support is available from the College of Policing to assist forces in doing this, however, forces should also take into consideration the perspective of key stakeholders when developing the assessment criteria. Appendix B outlines a template questionnaire that can be sent to stakeholders as a means of identifying the most important and relevant

competencies or values from the CVF that are to be assessed during the appointment process.

It is **essential** that the recruiting PCC/CC confirms the assessment criteria before progressing with the appointment process.

The relationship between the PCC and CC (and the CC and their chief officers) is important and, while this may be something a PCC/CC considers during the appointment process, it is important that the relationship dynamic does not become part of the assessment criteria. Decisions need to remain objective and be made based only on the evidence a candidate has provided during the appointment process.

Attraction: advertising

The advert is the first contact between the PCC/CC and the potential applicant pool. It is an opportunity to promote the fairness and transparency of the selection process by ensuring it clearly states what the PCC or CC want (key requirements and eligibility), how they are going to assess for this (selection tools) and why an applicant would want to work for them (promotion of the role, force and community). The advert may include the following information:

- remuneration, eg, salary and relocation support available
- post location
- direct force contact name and details
- dates outlining the main stages in the selection process, eg, application deadline
- key skills and attributes required or information outlining where an applicant can find further information about the role and key requirements (link to the application pack).

Where or how the advert is published also needs to be considered in order to ensure all eligible applicants are aware of the vacancy. In accordance with Police Regulations, the advert must specify the date by which

applications must be made, which should not be less than three weeks after the date of the advert. The advert must be published through a public website or some other form of publication that deals with policing matters. Vacancies for promotion should be advertised nationally, so all potential opportunities within policing are open to the widest pool of eligible candidates.

A PCC/CC may also want to consider promoting their vacancy via:

- the College of Policing website
- police organisations (CPOSA, PSAEW and ChiefsNet, run by the NPCC, which includes a regular newsletter)
- LinkedIn
- the force website
- a vlog post
- another channel of communication.

In order to encourage applications from external candidates, a force may want to consider holding an open day or familiarisation event to promote access to the force and demonstrate the commitment that will be shown to applications received from external candidates.

Attraction: application pack

Forces should develop an application pack which can be sent to the candidate alongside the application form. The application pack should include additional detail regarding the role and is a further opportunity to promote the force and community as a place to live and work. It can also highlight the benefits and experience the successful applicant can expect to gain. The application pack could be developed in partnership with the recruiting force's corporate communications team and may include:

- a letter from the PCC/CC promoting an open and transparent process and expressing an interest in applications from all eligible candidates
- key responsibilities, demands and challenges involved in the role – what portfolio will the new chief officer be undertaking
- priorities and ambitions for the force
- the PCC's Police and Crime Plan
- learning and development opportunities
- organisational values
- full details of salary and benefits, including any relocation support that is offered

- financial information
- details of the location of the post, including information on local schools, houses, activities and other benefits of the region
- details of what the assessment process will involve, eg, timeframes, who will be involved and by when the appointed candidate is likely to be in post
- links to testimonials from current members of the chief officer team and/or comments from members of the public.

Biases can influence an appointment process at various points. The perception of bias, possibly of a candidate who has been 'acting up' in the rank being preferred, needs to be addressed during the pre-assessment stage and through attraction activities. The PCC/CC should take steps to promote to potential applicants that they recognise and value the effort and commitment involved in applying. This could be achieved through engaging with corporate communication teams to develop an attractive advert and application pack, promoting the presence of a neutral adviser on the appointment panel and holding a force open day.

Training the appointment panel (assessor training)

A PCC/CC should ensure that those involved in the appointment process have recently undertaken appropriate briefing/training in selection and assessment practices. Ideally, the appointment panel chosen will also have some prior experience within selection and assessment. If these two criteria are met, then a PCC/CC may decide not include this stage in their appointment process. As each appointment process is likely to assess different criteria and use different selection tools, however, all those involved should participate in a briefing to ensure the reliability and fairness of their appointment process.

Training can be completed in person or remotely. The time required to undertake appropriate training will depend on the assessors' experience. This stage can be provided by HR professionals based in a force or by the College of Policing. Regardless of provider, a first step for those involved in assessing candidates will be to review this guidance. Following that, there are a number of key areas the appointment panel and assessors will need to be briefed on:

- assessment principles
 - merit, fairness and openness
 - standardisation
 - unconscious bias

- assessment methodology
 - overview of the structured assessment method being used to shortlist candidates and assess performance
- assessment criteria and rating scales
 - overview of the assessment criteria – training is an opportunity for the appointment panel to discuss what this criteria means and to confirm consistency in their understanding and application
 - training should involve a discussion with the appointment panel on what effective and ineffective performance looks like for each assessment criteria
 - training should also involve a discussion on the rating scales to be used and the standard required to progress to the next stage of the assessment process
- practicalities and logistics
 - confirm the time commitment required of the appointment panel for the whole process, from shortlisting to identifying the preferred candidate.

2.5.2. Assessment

Application form

The application form is usually a written application, however, forces may want to consider alternative means of beginning their appointment process, such as requesting expressions of interest. The aim of an application form is to obtain information about the candidate relevant to the requirements set out in the role profile, eg, eligibility and assessment criteria. The information gained is then used to determine the extent to which the applicant meets these requirements, to confirm their eligibility for the promotion opportunity and whether they will progress to the next stage of the appointment process.

The application is a further opportunity to reflect the force's values and create greater transparency in the process. To achieve this, it is important to consider the purpose of the questions asked and how the information gained will be used. It is important that unnecessary, intrusive or inappropriate information is not asked for. The application should therefore only include questions relevant to the role requirements and provide the applicant with the opportunity to represent their eligibility, the extent to which they meet the assessment criteria and their experience and skills. A PCC/CC can sometimes request additional

information from applicants, such as previous performance reviews or feedback received from attending the SPNAC and the SCC. Any additional information should be considered carefully in relation to the variety of reporting methods and how up-to-date this information is. Applicants will usually have gained further experience and abilities since completing SPNAC and the SCC and this should be considered when requesting such information, especially if not all applicants are able to produce this information.

Shortlisting

The appointment panel, led by the PCC or CC, should review the application forms against the eligibility requirements and predefined assessment criteria and identify suitable candidates to take forward to the next stage of the assessment process.

The appointment panel should use a structured assessment method to ensure standardisation at the shortlisting stage. For example, ORCE can be applied here. The observe and record stages have already been completed by the candidate, so the appointments panel would begin at the classification stage and identify information recorded on the application form

that is evidence of the assessment criteria. They would then evaluate the quality of the evidence provided using the rating scale discussed during training. Once completed, the appointment panel members should discuss their individual marks and agree on which applicants to shortlist. An example of an individual and overall shortlisting scoring sheet can be found in appendix C and appendix D respectively.

All candidates should be informed of the shortlisting outcome. Applicants who are not shortlisted should be informed as soon as possible and provided with feedback in a timely manner about where they did and did not meet the requirements of the role and any development needs arising from their application.

Timing

The time needed for shortlisting will depend on the number of applicants and how familiar/experienced in selection and assessment members of the appointment panel are. If sufficient time is not allocated to this stage, shortlisting assessments can be rushed. This can lead to biases affecting the objectivity and fairness of decisions.

Selection methods

The selection tools chosen must be able to consistently identify and measure the assessment criteria required for effective performance in the role. This is especially important to consider when the exercise chosen needs to withstand the scrutiny placed on the appointment process by the PCP. In choosing relevant and valid selection tools it is important to consider that they:

- reflect the role profile and assessment criteria
- provide the candidate with an opportunity to demonstrate the competencies and values which have been identified as important for the role
- mirror as much as possible the activities that are critical to the role
- provide new information to the appointment panel in addition to what is known from the written application
- provide all candidates equality of opportunity to perform
- are not vulnerable to subjective bias, e.g., informal or social meetings can be vulnerable to subjective biases, making comparisons between candidates unreliable
- allow assessors to differentiate across candidates in terms of performance.

(The [British Psychological Society](#): The Design and Delivery of Assessment Centres (2015)).

The table below outlines several selection techniques with a description of what they are and how they can be tailored to assess the specific needs and interests of the role and organisation.

Selection technique	Description
Presentation exercise	Bespoke presentation topics can be developed which relate specifically to current and future challenges/priorities the force is likely to experience, ethical decision making as well as criteria that have been defined as essential to the role and outlined on the advertisement. The topic can also include an ethical dilemma or focus on the rationale for why a decision or action is undertaken, thereby providing an opportunity to assess the extent to which the candidate's values meet those required by the organisation and role.
Structured and semi-structured interviews	A structured interview ensures that all candidates are asked the same questions in the same order, while a semi-structured interview allows for further exploration of a candidate's response by the interview panel. Questions can focus on past and future behaviour, enabling information to be gathered regarding a candidate's current ability and future potential.
Stakeholder panel	This is an opportunity for candidates to interact with stakeholders they will most likely be working with if appointed. The aim or task involved in a panel exercise can be focused on a key issue or challenge the force is experiencing or related to PCC priorities. For example, if there is a concern regarding workforce engagement, then a police officer/staff panel may be appropriate. If the PCC has a priority to develop opportunities for young people, a youth community panel may be beneficial. Additional stakeholder panels may include local authority and community group panels.

Selection technique	Description
Work sample exercises	A work sample exercise is an assessment that reflects the task and role the candidate will actually be performing. A work sample exercise can be an interactive roleplay involving the use of role actors to mirror a real situation a candidate would be likely to work in. Another work sample exercise can have a media focus, with the use of a journalist and set in a studio, as well as being completed as a written task. The advantage of this technique is that an assessment can be made not only of what a candidate would do and how, but also how effectively they communicate this message and how they engage with the media and stakeholders verbally and in written format.
Personality questionnaires	Assessments of personality in a workplace context can be used to determine a candidate's preference to how they approach their work. Assessments can indicate how an individual may respond or manage in a specific situation and environment, as well as how they are likely to communicate or support others in their team. There are several types of personality assessment, so research regarding what each aims to assess is needed to ensure the results gained are worthwhile and provide additional information to the appointments panel. The information gained from a personality questionnaire can be used to inform the interview questions a candidate may be asked. Personality questionnaires should never be used in isolation, however, and should always sit alongside another form of assessment.

2.5.2. Assessment (continued)

It is worthwhile spending time fully considering what selection techniques to use, as they provide a number of beneficial opportunities for the candidate and the organisation to learn more about each other. For instance, when appropriate and effective selection techniques are chosen, benefits can be derived, such as the opportunity to:

- assess and differentiate between candidates and identify the right candidate in terms of competencies, values and person-organisation fit
- further attract a candidate as they learn more about the role and organisation
- assess candidates by what they would actually be doing in the role
- thoroughly assess of the candidate and gain detailed, reliable and relevant information.

The standards set by the [British Psychological Society](#) in The Design and Delivery of Assessment Centres regarding designing and delivering assessments state that more than one selection tool should be used within a single assessment process.

As noted previously, if the selection tool(s) are confirmed early in the process, then this information should be highlighted in the application pack sent to prospective applicants.

Rating scales

The aim of a rating scale is to provide a means by which a candidate's performance can be evaluated objectively. This creates a consistent, fair, transparent and merit-based means of differentiating between candidate performances.

Each point on the rating scale must differentiate between different levels of performance in order to enable assessors to distinguish between effective and ineffective performance. Rating scales vary on the number of rating points used. Too few points and all of the candidates tend to be rated similarly, with no differentiation possible. With too many rating points, it becomes difficult to meaningfully describe the difference between a rating of '10' and '11' in observable terms. Generally, a rating scale should not exceed a maximum of nine points, but often between five and seven is sufficient to allow for fair and reliable differentiation.

An example of a five-point rating scale has been provided in appendix E. The number of points on the rating scale should remain consistent throughout the

assessment process, however, the definition of each point on the scale should be reviewed and relate to what is being assessed, especially if multiple types of selection tools are used within a single selection process.

Decision making

A PCC/CC needs to confirm the point on the rating scale which distinguishes between a candidate who has met the standard and a candidate who has not met the standard. If multiple selection tools are used, a way of collating the ratings from each assessment into an overall rating will be needed. The PCC/CC and the appointment panel should discuss these two points and confirm them prior to shortlisting.

Once the individual ratings have been discussed and a final mark has been agreed, the appointment panel should be in a position to identify the candidate who most closely meets the requirements of the post.

The decision on who to appoint is ultimately the responsibility of the PCC/CC, however, they must base this decision on the final marks that have been agreed by the appointment panel and all the information that has been gained throughout the appointment process. This is to ensure that the decision made is based on merit as identified by the information gained through a fair and open selection process.

Feedback

Feedback should be provided to all successful and unsuccessful candidates. This can be completed either face-to-face, by telephone or in a written report format. Feedback should be provided in a clear and timely manner within a reasonable timeframe following the conclusion of the selection process. This is an important stage to consider in the selection process, as providing feedback can influence the reputation of the organisation, regardless of whether a candidate was successful or not.

All those involved in the selection process, ie, members of the appointments panel, assessors or stakeholder panel members, must be informed that the observations they have recorded and the feedback/grades they have provided may be discussed directly with the candidate if requested.

The purpose of feedback is to enable the candidate to understand how they performed against the assessment criteria and the selection decision made. Therefore, the content of the feedback must accurately reflect only what a candidate said or did.

3. The appointment

This section outlines the legal processes PCCs and CCs are required to undertake in order to confirm the appointment of their preferred candidate. While there is some overlap between what is required of a PCC and CC, there are also differences and, as such, these processes have been outlined separately.

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Legal

Good practice in assessment
and selection

The appointment

Post-appointment

3.1. PCC – appointing and confirming a new chief constable

In line with [Schedule 8 of the Police Reform and Social Responsibility Act 2011](#), the PCC should identify the candidate who most closely meets the role requirements, incorporating the recommendations of the appointment panel members.

The PCC must notify the PCP of:

the name of the person whom the PCC is proposing to appoint (the preferred candidate)
the report completed by the independent member detailing the criteria used to assess the candidate's suitability for the appointment
why the candidate satisfies the assessment criteria
the terms and conditions on which the preferred candidate is to be appointed.
In the event that the PCP vetoes the preferred candidate (see section 3.2), the PCC must notify the PCP of:

- the name of the reserve appointee (the reserve candidate)
- the report completed by the independent member detailing the criteria used to assess the suitability of the candidate for the appointment

- why the reserve candidate satisfies those criteria
- the terms and conditions on which the reserve candidate would be appointed.

Once the PCC has notified the PCP of their preferred candidate, the PCP must review the proposed appointment and hold a confirmation hearing. A confirmation hearing is a meeting of the PCP, held in public, at which the preferred candidate is requested to appear for the purpose of answering questions relating to the appointment from members of the PCP.

The candidate does not need to attend in person, but can participate in the proceedings by any means that enable the person to hear and be heard in those proceedings as they happen.

After the confirmation hearing, the PCP must make a report to the PCC on the proposed appointment which includes a recommendation as to whether or not the candidate should be appointed. This report must be submitted to the PCC within a three-week period from the date the PCP receives notification from the PCC of the proposed appointment. The PCP is required to publish its report.

3.2. Veto the appointment of a chief constable

There is no statutory list of reasons why the PCP may veto the appointment of a CC, however, the requirements and process that must be followed are set out in the Police and Crime Panels ([Precepts and Chief Constable Appointments Regulations 2012 Part 3 Regulations 9 and 10](#)).

Vetoing the appointment of a CC can only occur when the following two criteria apply:

- at least two thirds of the PCP at the time the decision is made must vote to veto the appointment
- the power of veto only applies during the period of three weeks, beginning with the day on which the PCP receives notification from the PCC of the proposed appointment.

The stages and actions involved should the PCP veto the PCC's preferred candidate are:

- the PCP must include in their report a statement explaining that the preferred candidate has been vetoed and the PCC cannot appoint the candidate
- the PCC is then required to inform the PCP of their reserve candidate (see 3.1 above)

- the PCP must then undertake a further confirmation hearing to consider the PCC's proposed reserve candidate – the same process for considering this candidate and reporting to the PCC applies in these instances
- the subsequent report produced by the PCP should include a recommendation as to whether or not the candidate should be appointed – the PCP is required to publish this report
- the PCP has no power to veto the reserve candidate and the PCC can appoint them, regardless of the recommendation.

The PCP's power to veto a candidate only applies to one particular appointment process. Therefore, should the same candidate apply again for a subsequent position, this would be a fresh appointment process and, if the PCC put forward the same candidate again, the PCP would have the option to deploy their veto again, if that was their decision.

Once the appointment and confirmation is finalised, the PCC should publicise the details.

3.3. Chief constable – appointing chief officers

The CC should identify the candidate who most closely meets the agreed assessment criteria, incorporating the recommendations of the appointments panel. In line with the Police Reform and Social Responsibility Act 2011, the CC must consult the PCC regarding the proposed appointment.

The relationship between the PCC and CC is collaborative and where differences in opinion occur regarding the proposed chief officer appointment these should be discussed and resolved locally between the PCC and CC. Professional advice may be offered by HMICFRS. However the CC is ultimately responsible for the appointment of chief officers and the PCC does not have the power to veto the candidate the chief constable proposes. The guidance for this is set out in the Policing Protocol Order 2011.

3.4. Exercising the functions of a chief constable

Outside London

[Section 41](#) of the Police Reform and Social Responsibility Act 2011 provides:

- a DCC may exercise or perform any or all of the functions of the CC during any period when the CC is unable to exercise functions, or at any time with the consent of the CC
- the CC must designate an ACC to exercise the functions of the CC, in circumstances where the CC and DCC are unable to do so

There may be circumstances in which these provisions cannot be applied; in these instances it is advised that further advice and guidance is sought from the College of Policing and the Home Office.

London

[City of London Police](#)

Please refer to the City of London Police Act 1839 regarding exercising the functions of the commissioner of the City of London Police.

[Metropolitan Police Service](#)

[Section 44](#) and [section 45](#) of the Police Reform and Social Responsibility Act 2011 provides:

- the DC may exercise any or all of the powers and duties of the Commissioner during any absence, incapacity, suspension or vacancy, or with consent, of the Commissioner. Any period exceeding three months will require the consent of the Home Secretary.
- an AC may exercise any of the powers and duties of the Commissioner with the consent of the Commissioner. The Commissioner should give this consent to an AC as part of routine MPS leadership contingency planning.

Guidance on temporary DCC and ACC appointments

There is no requirement for an individual to have satisfactorily completed Senior PNAC or the SCC before being temporarily promoted or otherwise required to perform the duties at a rank higher than that of Chief Superintendent, but below that of CC. There are also no similar provisions in legislation on the exercising of functions at DCC or ACC level.

In cases where it may be operationally appropriate (e.g. due to a DCC exercising the functions of a CC) to temporarily promote an individual to a DCC or ACC position forces should be fairly and openly selecting appropriately qualified individuals from the widest possible talent pool. Therefore, although temporary appointments may sometimes be required, the substantive position should be made subject to open competition at the earliest opportunity.

4. Post-appointment

The College of Policing is responsible for supporting the development of its members and, in view of this, has introduced the **PEQF** as a means of providing officers and staff at all ranks the opportunity to gain academic recognition for their skills, police training and practical experience. This section considers the immediate and long-term post-appointment activities that can be undertaken to promote and support the ongoing professional and personal development of chief officers in the UK police service.



Legal

Good practice in assessment
and selection

The appointment

Post-appointment

4.1. Overview

With regards to a newly appointed chief officer, the PCC/CC can begin promoting professional development immediately by engaging with key post-appointment activities such as providing a formal induction program and planning continuing professional development (CPD) activities. The aim of this section is not to suggest a one size fits all approach to induction and CPD. Every force should take the lead in designing and delivering the post-appointment activities that reflect the challenges and needs of their force and community.

The purpose of undertaking post-appointment activities is to provide the newly appointed chief officer with early and ongoing support, guidance and learning required to embed them into their new role, force and region. This will also help officers and staff identify what learning and training they have completed that can be accredited and contribute to progress in the PEQF.

The College of Policing has developed a standardised national framework for the accreditation of prior learning gained from experience and training thereby providing a minimum credit level and value for specific skills and training. The Recognition of Prior Experience and Learning (RPL) process is a way of recognising the learning an individual has gained through skills and experience and helping them to access academic qualifications. The process could be used by forces and individuals. Further information on how to use RPL can be found on the [College of Policing website](#).

There are a variety of ways a PCC/CC can promote ongoing learning and development. For the purpose of this guidance, however, a focus has been given to planning induction and CPD activities. This is because induction planning should happen immediately following appointment and may be something a PCC/CC could consider when designing and delivering their selection process.

4.2. Induction planning

An induction process ensures that any appointee is able to successfully engage with the team and force and effectively fulfil the role requirements. There are benefits to this for employer and employee. For the employer, an effective induction may help improve the organisation-person fit and productivity. For the employee, an effective induction is likely to assist in developing new working relationships and clearly define their role and responsibilities, allowing a new chief officer to reach their full potential in their new position.

An induction programme should focus on the role, force and local region and could include:

- a clear outline of the job role, core responsibilities and an explanation of force specific policies and strategies
- organisational overview outlining to the new chief officer where they fit in the existing chief officer team and wider force, as well as informing them of how they and their role are expected to align with the organisation's strategies and goals – this could be achieved through one-to-one meetings with senior colleagues and group meetings with the teams they will be leading
- meeting officers from current force collaborations
- meeting external/local stakeholders such as fire and ambulance service representatives, community group leaders, local politicians and government officials
- an awareness of learning and development opportunities available in the organisation and how to access these
- engaging with a learning and development or HR professional to begin creating a personalised development plan – the PCC or CC should be involved in the initial development and undertake regular reviews to ensure that appropriate time and opportunity has been given to the new chief officer
- an understanding of the organisation's culture and values – this would need to consider an outline of how the culture and values were developed and if/how they are to develop, how these are promoted throughout the organisation.

4.3. Continuing professional development

The College of Policing defines CPD as ‘a range of learning activities through which you can maintain or enhance your capacity to practice legally, safely, ethically and effectively’.

The College has developed a CPD model and toolkit which aim to support everyone in policing in making the best possible decisions and gaining recognition for their skills and knowledge so that they can provide the best service to the public. While this section focusses on CPD, there are multiple ways in which a chief officer can engage with professional development throughout their career. Further information outlining how to plan, manage and review professional development throughout an individual’s career is available on the [College of Policing website](#).

Newly appointed chief officers must understand the importance of their part in promoting CPD by acting as a role model for the rest of the force. This can start with an initial CPD planning session to identify their personal and professional goals and consider how these can support delivering force objectives. The newly appointed chief officer should also be made aware of and provided with the opportunity to engage with the following activities throughout their appointment:

- e-learning
- placement and secondments opportunities
- input from senior police leaders
- peer reviews
- building effective collaborations
- attendance at formal training courses and conferences
- 360 feedback.

During the initial CPD planning meeting, additional queries should be discussed and confirmed, including:

- how an officer’s CPD will be monitored and by who
- how their achievements and progress will be advertised to the wider force
- how the newly appointed chief officer will engage the teams they are leading in similar CPD and professional development activities during their appointment.

The College has also developed a toolkit of resources including CPD recording tools, case studies and research. A newly appointed chief officer should have access to this information in order to effectively monitor and build on CPD activity undertaken throughout their appointment. This toolkit and further information and guidance relating specifically to CPD for chief officers can be found on the [College of Policing website](#).

4.4. Overseas appointments

If an applicant from an approved overseas force and rank is appointed to the position of CC in a UK police force, this would be on the basis that they have the relevant experience and competence to perform at the rank. There is learning specific to UK policing, however, that an overseas candidate may be required to undertake – what specific learning is required is likely to vary between candidates.

The PCC is required to ensure that a tailored development plan is established to support an overseas CC during the initial stages of their appointment. A development plan should be confirmed prior to the appointee taking up the position as CC.

The College is currently undertaking work to identify the knowledge and learning specific to UK policing which will inform the content of the development plan, should an overseas applicant be appointed as CC in a UK police force. An amendment to this guidance will be made once the learning specific to UK policing has been confirmed.

4.5. Home Office post-service standards

The standards outlined below are to be considered for inclusion when appointing a chief officer and recruiting PCCs/CCs may wish to discuss them with a new appointee to ensure all aspects of the appointment process are open and transparent to all those involved.

The Home Office has provided the following background and advice regarding the post-service standards currently being developed:

“Lord Leveson’s Report into the ‘Culture, Practices and Ethics of the Press recommended that consideration be given to whether limits should be placed upon the nature of any employment of chief officers within or by the media post-service (Recommendation 80).

In response to a request from the Minister for Policing, the National Police Chiefs Council (NPCC),

the Chief Police Officers Staff Association (CPOSA), the Association of Police and Crime Commissioners (APPC) and the Association of Policing and Crime Chief Executives (APACE) have worked with Home Office officials to develop and consult on a new system for approving any post-service employment for chief officers, which is akin to the Business Appointment Rules used by the Civil Service. The new system supports integrity and transparency, by capturing information on all post-service employment taken up by chief officers, within 12 months of them leaving the force. When former chief officers make a notification of post-service employment, the PCC (in the case of chief constables) or chief constable (for other chief officer ranks) will make a recommendation on whether the proposed employment is suitable and whether any conditions should be attached.”

Guidance on chief officers’ post employment standards can be found [here](#)

Appendix A – Approved overseas police forces and ranks

Approved overseas police force	Approved ranks
Australia	
Australian Federal Police	Commissioner Deputy Commissioner Assistant Commissioner
New South Wales Police	Commissioner Deputy Commissioner Senior Assistant Commissioner Assistant Commissioner
Northern Territory Police	Commissioner Deputy Commissioner Assistant Commissioner
Queensland Police	Commissioner Deputy Commissioner Assistant Commissioner
South Australia Police	Commissioner Deputy Commissioner Assistant Commissioner

Approved overseas police force	Approved ranks
Tasmania Police	Commissioner Deputy Commissioner Assistant Commissioner
Victoria Police	Chief Commissioner Deputy Commissioner Assistant Commissioner
Western Australia Police	Commissioner Deputy Commissioner Assistant Commissioner
Canada	
Royal Canadian Mounted Police	Commissioner Deputy Commissioner Assistant Commissioner
Ontario Provincial Police Force	Commissioner Deputy Commissioner
Calgary Police	Chief of Police Deputy Chief
Durham Regional Police	Chief of Police Deputy Chief
Edmonton Police	Chief of Police Deputy Chief

Approved overseas police force	Approved ranks
Hamilton Police	Chief of Police Deputy Chief
Ottawa Police	Chief of Police Deputy Chief
Peel Regional Police	Chief of Police Deputy Chief
Toronto Police	Chief of Police Deputy Chief
Vancouver Police	Chief Constable Deputy Chief Constable
Winnipeg Police	Chief of Police Deputy Chief
Waterloo Regional Police	Chief of Police Deputy Chief
York Regional Police	Chief of Police Deputy Chief
New Zealand	
New Zealand Police	Commissioner Deputy Commissioner Assistant Commissioner

Approved overseas police force	Approved ranks
United States of America (USA) – USA State Police	
Alabama Dept. of Public Safety	Colonel/Director Lieutenant Colonel/Assistant Director
Arizona Dept. of Public Safety	Colonel/Director Lieutenant Colonel/Deputy Director/Lieutenant Colonel/Assistant Director.
California Highway Patrol	Commissioner Deputy Commissioner Assistant Commissioner
Connecticut State Police	Colonel/Commander Lieutenant Colonel.
Florida Highway Patrol	Colonel Lieutenant Colonel/Deputy Superintendent.
Georgia Dept. of Public Safety	Colonel/Commissioner Lieutenant Colonel/Deputy Commissioner.
Illinois State Police	Director First Deputy Director Colonel
Indiana State Police	Superintendent Colonel Lieutenant Colonel

Approved overseas police force	Approved ranks
Kentucky State Police	Colonel/Commissioner Lieutenant Colonel/Deputy Commissioner
Maryland State Police	Colonel/Superintendent Lieutenant Colonel
Massachusetts State Police	Colonel/Superintendent Lieutenant Colonel/Deputy Superintendent.
Michigan State Police	Colonel/Director Lieutenant Colonel
Missouri State Highway Patrol	Colonel/Superintendent Lieutenant Colonel / Assistant Superintendent
New Jersey State Police	Colonel/Superintendent Lieutenant Colonel
New York State Police	Superintendent First Deputy Deputy Superintendent/Colonel Assistant Deputy Superintendent/ Lieutenant Colonel
North Carolina State Highway Patrol	Colonel Lieutenant Colonel
Ohio State Highway Patrol	Commissioner Assistant Commissioner

Approved overseas police force	Approved ranks
Oklahoma Dept. of Public Safety	Colonel/Commissioner Lieutenant Colonel/Deputy Commissioner
Pennsylvania State Police	Colonel/Commander Lieutenant Colonel
South Carolina Highway Patrol	Commissioner Deputy/Assistant Commissioner Colonel of Tennessee Highway Patrol, Lieutenant Colonel
Tennessee Dept. of Safety	Colonel/Director Lieutenant Colonel/Dep Director Assistant Director
Texas Department of Public Safety	Colonel/Superintendent Lieutenant Colonel/Deputy Superintendent.
Virginia State Police	Colonel/Superintendent Lieutenant Colonel/Deputy Superintendent.
Washington State	Patrol Chief Deputy Chief Assistant Chief
USA Local Police	
Albuquerque Police Department (NM)	Chief of Police Deputy Chief

Approved overseas police force	Approved ranks
Atlanta Police Department (GA)	Chief of Police, Deputy Chief
Austin Police Department (TX)	Police Chief Assistant Chief
Baltimore County Police Department (MD)	Chief of Police Colonel
Baltimore Police Department (MD)	Police Commissioner Deputy Police Commissioner Colonel
Birmingham Police Department (AL)	Chief of Police Deputy Chief
Boston Police Department (MA)	Commissioner Superintendent in Chief Superintendent
Buffalo Police Department (NY)	Chief of Police Deputy Chief
Charlotte - Mecklenburg Police Department (NC)	Chief of Police Deputy Chief
Chicago Police Department (IL)	Superintendent First Deputy Superintendent Chief (Assistant Superintendent) Deputy Chief

Approved overseas police force	Approved ranks
Cincinnati Police Department (OH)	Police Chief Executive Assistant Chief Assistant Chief (Lieutenant Colonel)
Cleveland Police Department (OH)	Chief Deputy Chief
Columbus Police Department (OH)	Chief of Police Deputy Chief
Dallas Police Department (TX)	Chief of Police First Assistant Chief of Police Assistant Chief Deputy Chief
DeKalb County Police Department (GA)	Chief Deputy Chief Assistant Chief
Denver Police Department (CO)	Chief of Police Deputy Chief
Detroit Police Department (MI)	Chief of Police Assistant Chief Deputy Chief
El Paso Police Department (TX)	Chief Assistant Chief

Approved overseas police force	Approved ranks
Fairfax County Police Department (VA)	Chief of Police Deputy Chief of Police
Fresno Police Department (CA)	Chief of Police Deputy Chief
Fort Worth Police Department (TX)	Chief of Police Assistant Chief Deputy Chief
Honolulu Police Department (HI)	Chief of Police Deputy Chief Assistant Chief
Houston Police Department (TX)	Chief Executive Assistant Chief Assistant Chief
Indianapolis Metropolitan Police Department (IN)	Chief of Police Assistant Chief Deputy Chief
Jersey City Police Department (NJ)	Chief of Police Deputy Chief
Kansas City Police Department (MO)	Chief of Police Deputy Chief

Approved overseas police force	Approved ranks
Las Vegas Metropolitan Police Department (NV)	Sheriff Under Sheriff Assistant Sheriff
Long Beach Police Department (CA)	Chief Assistant Chief Deputy Chief
Los Angeles Police Department (CA)	Chief of Police Assistant Chief (Police Deputy Chief II) Deputy Chief I
Louisville Metropolitan Police Department (KY)	Chief of Police Deputy Chief of Police Assistant Chief of Police
Memphis Police Department (TN)	Director Deputy Director Deputy Chief
Mesa Police Department (AZ)	Chief Assistant Chief Deputy Chief
Miami-Dade County Police Department (FL)	Director/Sheriff Assistant Director

Approved overseas police force	Approved ranks
Miami Police Department (FL)	Chief of Police Deputy Chief of Police Assistant Chief of Police
Milwaukee Police Department (WI)	Chief of Police Assistant Chief of Police
Minneapolis Police Department (MN)	Chief of Police Assistant Chief Deputy Chief
Montgomery County Police Department (MD)	Chief of Police Assistant Chief of Police
Nashville Metro Police Department (TN)	Chief of Police Deputy Chief
Nassau County Police Department (NY)	Police Commissioner Deputy Commissioner Assistant Commissioner Chief of Department
Newark Police Department (NJ)	Police Director Chief of Police Deputy Director Deputy Chief

Approved overseas police force	Approved ranks
New York City Police Department (NY)	Police Commissioner First Deputy Commissioner Deputy Commissioner Chief of Department
Norfolk Police Department (VA)	Chief Senior Assistant Chief Assistant Chief
Oakland Police Department (CA)	Chief of Police Assistant Chief of Police Deputy Chief
Oklahoma City Police Department (OK)	Chief of Police Deputy Chief
Orlando Police Department (FL)	Chief of Police Deputy Chief of Police
Philadelphia Police Department (PA)	Commissioner First Deputy Commissioner Deputy Commissioner
Phoenix Police Department (AZ)	Chief of Police Executive Assistant Chief Assistant Chief

Approved overseas police force	Approved ranks
Pittsburgh Police Department (PA)	Chief of Department Deputy Chief Assistant Chief
Portland Police Bureau (OR)	Chief of Police Assistant Chief
Prince George's County Police Department (MD)	Chief of Police Assistant Chief of Police Deputy Chief
Richmond Police Department (VA)	Chief of Police Deputy Chief
San Antonio Police Department (TX)	Chief of Police Assistant Chief Deputy Chief
San Diego Police Department (CA)	Chief Executive Assistant Chief Assistant Chief
San Francisco Police Department (CA)	Chief Deputy Chief
San Jose Police Department (CA)	Chief of Police Assistant Chief of Police Deputy Chief

Approved overseas police force	Approved ranks
Seattle Police Department (WA)	Chief of Police Deputy Chief Assistant Chief
St. Louis County Police Department (MO)	Chief of Police Deputy Chief
St. Louis Metropolitan Police Department (MO)	Chief of Police Lieutenant Colonel
Suffolk County Police Department (NY)	Police Commissioner Chief of Department
Tampa Police Department (FL)	Chief of Police, Assistant Chief
Tucson Police Department (AZ)	Chief of Police Deputy Chief Assistant Chief
Tulsa Police Department (OK)	Chief of Police Deputy Chief
Virginia Beach Police Department (VA)	Chief of Police Deputy Chief
Washington Metropolitan Police Department (DC)	Chief of Police Assistant Chief

Approved overseas police force	Approved ranks
USA Sheriff's Offices	
Alameda County (CA)	Sheriff Under Sheriff Assistant Sheriff
Broward County (FL)	Sheriff Under Sheriff
Cook County (IL)	Sheriff/Chief of Police First Deputy Chief Deputy Chief
Harris County (TX)	Sheriff Chief Deputy
Hillsborough County (FL)	Sheriff Chief Deputy
Jacksonville-Duval County (FL)	Sheriff Under Sheriff Director
Los Angeles County (CA)	Sheriff Under Sheriff Assistant Sheriff

Approved overseas police force	Approved ranks
Maricopa County (AZ)	Sheriff Deputy Chief Chief Deputy
Oakland County (MI)	Sheriff Under Sheriff
Orange County (CA)	Sheriff Under Sheriff Assistant Sheriff
Orange County (FL)	Sheriff Under Sheriff Chief Deputy
Palm Beach County (FL)	Sheriff Chief Deputy
Pinellas County (FL)	Sheriff Chief Deputy
Riverside County (CA)	Sheriff Under Sheriff Assistant Sheriff
Sacramento County (CA)	Sheriff Under Sheriff Chief Deputy

Approved overseas police force	Approved ranks
San Bernardino County (CA)	Sheriff Under Sheriff Assistant Sheriff
San Diego County (CA)	Sheriff Under Sheriff Assistant Sheriff
San Francisco (CA)	Sheriff Under Sheriff Assistant Sheriff
Ventura County (CA)	Sheriff Assistant Sheriff
Wayne County (MI)	Sheriff Under Sheriff

Appendix B – Assessment criteria questionnaire

When developing the role profile and assessment criteria, it is preferable to meet with subject matter experts and stakeholders in person. An alternative, however, is to use a questionnaire that can be completed independently and returned for consideration. This template provides an explanation of the benefits and aims of undertaking this type of activity and considers the content/design of the questionnaire. PCCs and CCs are encouraged to consider questions relevant to their force and role when developing their own questionnaire. The questionnaire can also be used as an introductory task when meeting with stakeholders face-to-face.

Aims and benefits (this explanation can be used as an introduction to the questionnaire when forwarded to the relevant subject matter experts and stakeholders) In order to develop a selection process that accurately reflects local needs and priorities and can identify the right candidate for the promotion, it is essential to thoroughly research the role.

The aim of this questionnaire is to enable all stakeholders to have an input into the selection process and to assist in prioritising the skills, competencies and values that are more and less critical for effective performance in this particular chief officer vacancy. The information gained will be used to develop the assessment criteria but can also contribute to the development of a role profile as responses will be analysed to identify the common and unique tasks and responsibilities a chief officer is expected to undertake. In addition, the information gained can also be used to inform the development of assessment materials that accurately reflect what the successful candidate will be doing in the role.

Design

The questionnaire should consider the competencies, values, experience and responsibilities of a chief officer. Respondents can then be asked to rate each of these in terms of importance and frequency to identify what are the essential requirements. Examples of these rating scales are:

Importance

Very important	Important	Neither	Unimportant	Very unimportant
5	4	3	2	1

Frequency

Very frequent	Frequent	Neither frequent nor infrequent	Infrequent	Very infrequent
5	4	3	2	1

An example of a question considering the importance and frequency of the competencies and values identified in the CVF is:

You will require a copy of the Competency and Values Framework to refer to when completing the next two sections. You should read the full definitions of each competency and value before rating them in terms of their importance and the frequency with which they will be required in the role:

Competencies	Importance	Frequency
Emotionally aware		
Take ownership		
Collaborative		
Deliver, support, inspire		
Analyse critically		
Innovative and open-minded		

Values	Importance	Frequency
Impartiality		
Integrity		
Public service		
Transparency		

Learning and professional development	Importance	Frequency
Lead on learning and development for the organisation across all levels/ranks		
Create a culture of empowerment and motivation to support staff in achieving their full potential and organisational goals.		

The following are example questions only that consider possible activities and skills likely to be required of a chief officer. A force is encouraged to amend these questions to reflect their specific organisational needs, challenges and priorities:

Strategic objectives	Importance	Frequency
Delivering financial savings		
Managing rapid and ongoing change programmes		
Sustaining collaborations and identifying opportunities for new partnerships		

Leadership	Importance	Frequency
Communicating a clear strategic direction for the organisation		
Setting the standards and values of the organisation		
Developing and motivating the chief officer team		
Developing wellbeing initiatives		
Engaging in coaching and mentoring		
Overview of recruitment and promotion processes		

Appendix C – Shortlisting – individual scoring sheet

You should complete this stage independently from other assessors present. You should read the candidate's application form and, using the assessment method and rating scale applied, award a rating against each assessment criterion. Then, in view of this evidence, make a recommendation regarding each candidate's eligibility to progress in the selection process.

Assessor name:						Date:		
Candidate name	Application form – questions marks					Overall score	Recommended	Comments
	1	2	3	4	5			

Appendix D – Shortlisting panel agreed scores

This should be completed as the appointment panel members are discussing their individual ratings to record the agreed ratings and decisions reached. This creates a clear audit of all the ratings and decisions made and how the final decision has been reached.

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Panel's agreed rating								
Candidate name	Application form – questions agreed marks					Overall agreed score	Panel's agreed final recommendation – progress to assessment (yes/no)	
	1	2	3	4	5			

Appendix E – Rating scale

The example below is a five-point rating scale. PCCs/CCs should consider the number of points to include on a rating scale in view of their assessment criteria and the activity the scale will be used to assess. Using a standardised rating scale enables transparent and consistent assessment of all candidates throughout a selection process.

Rating	Definition
1	Exceptional The candidate has provided substantial evidence that directly relates to the criteria being assessed. The evidence clearly explains their role and what they did in relation to the questions asked/aim of the task.
2	Very high The candidate has provided evidence that relates to the criteria being assessed. The evidence explains their role and what they did in relation to the questions asked/aim of the task.
3	High The candidate has provided evidence that mostly relates to the criteria being assessed. In the main the evidence explains their role and what they did in relation to some of the questions asked/they have met some of the aims of the task.
4	Medium The candidate has provided acceptable evidence that relates to some of the criteria being assessed. The evidence may explain their role and what they did in relation to some of the questions asked/aim of the task, but this may not be clear.
5	Low The candidate has provided little or no evidence that relates to the criteria being assessed. The evidence does not clearly explain their role and what they did in relation to the questions asked/aim of the task.



CHIEF CONSTABLE RECRUITMENT

Candidate Information Pack



June 2020

Dear Applicant

Thank you for your interest in the role of Chief Constable of Derbyshire Constabulary. I hope that you find the information in the application pack useful and I look forward to receiving your completed application if you feel that you have the skills to take up this exciting opportunity.

Like all police forces Derbyshire does have to respond to the challenges of the changing face of crime and the tough economic environment that we have to deliver policing in. Strong financial management has meant that Derbyshire is in a relatively good position and is able to respond to these challenges, though this is no reason for complacency. Through your strong leadership I expect to see this continue and Derbyshire to remain a safe county to live, work in and visit.

I enjoy an excellent working relationship with the Chief Constable, the senior team and the whole of Derbyshire Constabulary and the relationship between the Force and my office is a very effective, open and honest one. It is vital that as the new Chief Constable you are committed to maintaining this relationship.

Derbyshire has a strong and established record of multi-agency and partnership working. As the new Chief Constable I will expect you to bring a strong partnership approach and be able to develop and maintain effective partnerships to support the work of the Force as well as contributing to wider community safety, criminal justice and other relevant agendas.

As part of the pack you will see my Police and Crime Plan that sets out my seven key strategic objectives. Whilst this is my plan, I worked closely with the Chief Constable and the senior officer team to develop it and you will play a vital role in its delivery.

As you would expect there is a wealth of information on both my own website, the force's site and other portals, but I fully appreciate that you may feel you wish to get a closer view. Therefore, if you wish to arrange a familiarisation session we have arranged for John Tanner, the Chief Constable's Staff Officer, to help you. Please contact John by telephone on 0300 122 8248 or e-mail john.tanner@derbyshire.police.uk

Please be aware of the key dates set out below, and ensure that, should you be shortlisted, you are available for the dates indicated. Please note that with the current Covid-19 situation there may be a need to change the process at short notice if the Health Protection guidance changes. We will endeavour to give as much notice as possible if this were to be the case.

Application Process Opens	15th June 2020
Deadline for applications	5pm on 3rd July 2020
Shortlisting and notification to successful candidates	Week Commencing 6th July
Discussion event with Force colleagues	Week Commencing 20th July
Interview & Media exercises	24th July 2020
Police & Crime Panel Confirmation meeting	TBC – must be within 3 weeks of selection of preferred candidate

If you have any further questions relating to the process, or the working of my office, please do not hesitate to get in touch with my Chief Executive, David Peet who will be happy to assist in the first instance. David can be contacted by calling 0300 122 6000 or emailing david.peet@derbyshire.police.uk.

I look forward to receiving your completed application,

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Hardyal Dhindsa', with a stylized flourish extending to the right.

Hardyal Dhindsa
Police & Crime Commissioner for Derbyshire

Overview of the Role

I am looking for an enthusiastic, innovative energetic, focused Chief Constable to lead the delivery of policing services for the communities of Derbyshire. The individual should have strong communication skills, focus, drive and energy.

The Chief Constable will be responsible for fulfilling all professional and legal obligations of the office of Chief Constable, and must account to the Police and Crime Commissioner for policing in Derbyshire. In particular the Chief Constable will be expected:

- to develop and communicate **a clear, effective and deliverable plan for Derbyshire Constabulary**, which will enable it to deliver its part in the Police and Crime Plan and ensure policing across Derbyshire best serves the needs of local people, increases public confidence and makes the area safer.
- to **review, determine and lead changes** to the future shape and culture of the organisation to enable delivery of the strategy within financial and resource constraints, responding to both national and local demands and improving productivity and performance.
- to develop a cohesive and well led chief officer team and organisation, where the **workforce is enthused, inspired, held to account, is highly productive** yet flexible enough to respond to a changing environment whilst delivering a first-class policing service, which responds to the needs of local people.
- to develop **strong, effective relationships** through influence, negotiation, trust and respect, where key partners and stakeholders at local, regional and national levels want to engage in working together to achieve improved outcomes for local people.
- To be a role model for upholding high standards of professional and ethical behaviour.

Detailed Role Profile

Role Purpose:

1. The Chief Constable has overall responsibility for leading the Force, creating a vision and setting direction and culture for the Force that builds public and organisational confidence and trust and enables the delivery of an effective policing service.
2. The Chief Constable is accountable for the totality of policing within their Force area, including the operational delivery of policing services and the effective command and leadership of the policing response to crime, and major and critical incidents.
3. The Chief Constable is responsible for influencing the development of regional and national policing and may be accountable for national operations or standard setting and is responsible for providing a professional, effective and efficient policing service.
4. As a Corporation Sole the Chief Constable is responsible for fulfilling all statutory and legal obligations of the office of Chief Constable and complying with any Schemes of Governance or Consent that exist, which determine Force governance arrangements.

Key Accountabilities

1. Set and ensure the implementation of organisational and operational strategy for the Force, having due regard to the Police and Crime Plan and Strategic Policing Requirement and any wider plans and objectives, in order to provide an effective and efficient policing service that meets current and future policing demands.
2. Develop and maintain governance arrangements and processes within the Force, to ensure effective decision making and appropriate action at all levels/tiers of the organisation.
3. Develop a mutually productive strategic relationship with the Police and Crime Commissioner in line with the requirements of the Policing Protocol, whilst fulfilling all statutory and legal obligations as Corporation Sole.
4. Lead the Force, communicating a clear direction, setting organisational culture and promoting values, ethics and high standards of professional conduct to enable an effective and professional service.



5. Lead, inspire and engage the Chief Officer team; setting and role modelling approaches to a workforce culture that promotes wellbeing, facilitates impactful professional development and performance management to create empowered teams that effectively enable the achievement of the Force vision and goals.
6. Fulfil the authorising responsibilities of a Chief Constable e.g. authorisation of intrusive surveillance and maintain operational oversight, holding accountability for effective, compliant policing responses, in order to protect the public and further develop the Force's operational strategies.
7. Lead and command the operational policing responses on occasion, in the most high risk and high profile instances, in order to protect the public and ensure an appropriate and effective response.
8. Hold accountability for Force financial management and determine functional budgets within the agreed framework as issued by the Police and Crime Commissioner, to ensure the effective use of public spending and maximise value for money.
9. Develop and maintain strategic relationships with local, regional and national partners, effectively influencing and collaborating to contribute to improvements and change in the broader operating context and enable the achievement of the Force objectives.
10. Advise national bodies on matters of public safety and national security to contribute to effective decision making that protects the public from serious threat and upholds the law.
11. Represent the Force at a local, regional and national level to the public, media and other external stakeholders to promote visibility, connect with the public and build confidence in policing.
12. Lead national thinking, policy and guidance within an area of specialism to enable the continuous improvement of effective policing practice.
13. Create and drive a culture of development, change and innovation to ensure enhanced productivity, value for money and continuous improvement in evidence-based policing.
14. Play an active role in national decision making on the development of the Police Service to enable the effective co-ordination of operations, reform and improvements in policing and the provision of value for money.

Education, Qualifications, Skills and Experience

Prior Education and Experience:

1. Has held rank of ACC/Commander or a more senior rank in a UK Police Force (or have held one of the designated roles if appointed from overseas).
2. Successful completion of the Senior Police National Assessment Centre (PNAC) and the Strategic Command Course (SCC).
3. Authorising Officer Training.
4. Wide ranging operational law enforcement experience.
5. A demonstrable track record of successful experience of working at a strategic level, including the leadership of law enforcement officers and staff at senior leadership level.
6. Experience of successfully engaging with and influencing multi-agency partnerships.
7. Experience of implementing an effective performance management framework.
8. Experience of implementing successful organisational development, change and innovation.
9. Experience of accountability for management of significant budgets.
10. Up to date operational/technical policing knowledge.
11. Knowledge of developing legal, political, economic, social, technological and environmental factors and an understanding of the implications for strategic planning.
12. Knowledge of relevant local, regional and national policies, strategies and initiatives and an understanding of the implications within the policing context.

Skills

13. Highly skilled in the development of ambitious vision, strategy and policy, aligned to operational realities and wider plans/goals.
14. Able to operate with high levels of commercial acumen, skilled in effective organisational financial management which balances conflicting resource demands and drives value for money.
15. Able to create strategic organisational change, to deliver appropriate responses to emerging trends and issues.

16. Able to scan the internal and external horizon, identifying emerging trends and issues and use these to inform strategic planning.
17. Able to operate with high levels of political astuteness, skilled in impacting the internal and external political landscape effectively.
18. Able to use a wide range of highly effective communication and influencing techniques and methods to successfully negotiate, collaborate and influence change at the most senior levels and across a diverse range of stakeholders.
19. Skilled in building and maintaining strategic stakeholder relationships at the most senior levels, being able to resolve issues and to reconcile conflicts of interest.
20. Skilled in leading, developing and inspiring people, engaging the organisation with strategic priorities, values and behaviours.
21. Able to reflect on and hold themselves, individuals and the organisation to account for performance and behaviours.
22. Able to identify, commission and implement new or improved technologies/services that have a transformational impact on Force service delivery and/or cost.

Terms and conditions

1.1 Appointment

The appointment will be subject to the provisions of the Police Act 1996, Police Regulations, successful completion of the Senior Police National Assessment Centre (or equivalent) and Strategic Command Course (or equivalent), a satisfactory medical examination and such other conditions of service as determined by the Police and Crime Commissioner for Derbyshire. The successful candidate will be expected to take up the appointment as soon as possible.

1.2 Terms of appointment

Appointment is on a fixed term basis, initially for 5 years. Termination of appointment is subject to 3 calendar months' notice in writing from either party.

1.3 Salary

The annual salary is £152,871 per annum

2. Benefits package

The Force offers a comprehensive benefits package which includes:-

- 2.1 Either a car allowance or the provision of a car;
- 2.2 Health Insurance;
- 2.3 Relocation Package;
- 2.4 Incidental Expenses;
- 2.5 Fees & Professional Body Membership;
- 2.6 Home Security.

(A copy of the detailed agreement can be obtained from David Peet)

3. Working location

The majority of work will be carried out from Derbyshire Police Headquarters, Butterley Hall, Ripley DE5 3RS. However, the nature of the work will also require travel throughout the East Midlands and across the UK.

4. Working hours

Working hours will be not less than 40 hours per week and such as are needed to fulfil the requirements of the post, subject to the requirements of the Working Time Directive. There is a requirement to be contactable 24 hours per day when not on leave. This role will require evening and weekend working including attending meetings and events during these times. In addition, the post holder will have responsibility for representing Derbyshire Constabulary and meeting



statutory and operational requirements, often at short notice, which may require working additional hours from time to time.

5. Holiday

The post holder is entitled to leave in accordance with Police Regulations.

6. Medical examination

Applicants to this position will be required to undertake a medical examination before taking up appointment.

7. Security clearance

The successful applicant will be appointed subject to holding or obtaining security clearance at Developed Vetting (DV) level.

8. Pension

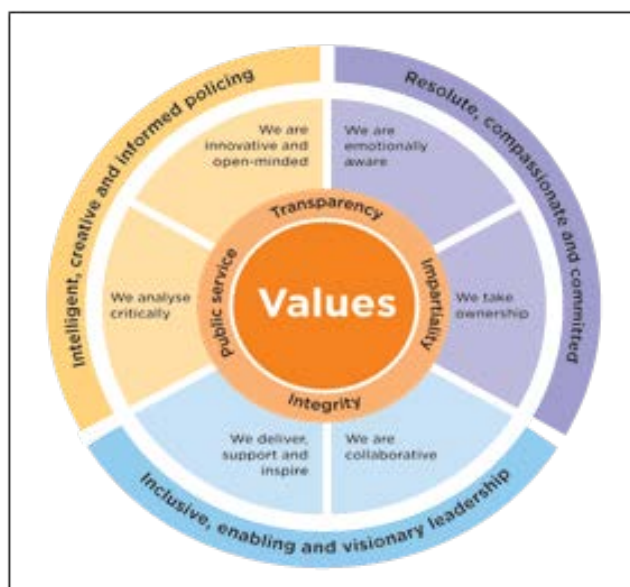
The post holder will be eligible for membership of the Police Pension Scheme.

9. Telephones, IT and other equipment

Mobile telephone and other equipment, which is necessary to ensure convenient working arrangements, will be made available.

Chief Constable: Competencies & Values

Following the College of Policing's 2015 Leadership Review, the College have produced a Competency and Values Framework (CVF) that replaces the Policing Professional Framework. The CVF clearly defines new and relevant competencies and values which strongly uphold the principles of the Code of Ethics.



Each competency is described at three levels which reflect increasing complexity of behaviours. As expected behaviours tend to become more complex at more senior levels in the organisation. As a Chief Constable it is expected that you will be able to demonstrate each competency at **Level Three**.

Core Values

Working with Integrity

- I always act in line with the values of the police service and the Code of Ethics for the benefit of the public
- I demonstrate courage in doing the right thing, even in challenging situations
- I enhance the reputation of my organisation and the wider police service through my actions and behaviours
- I challenge colleagues whose behaviour, attitude and language falls below the public's and the service's expectations
- I am open and responsive to challenge about my actions and words
- I declare any conflicts of interest at the earliest opportunity
- I am respectful of the authority and influence my position gives me
- I use resources effectively and efficiently and not for personal benefit

Impartiality

- I take into account individual needs and requirements in all of my actions
- I understand that treating everyone fairly does not mean everyone is treated the same
- I always give people an equal opportunity to express their views
- I communicate with everyone, making sure the most relevant message is provided to all
- I value everyone's views and opinions by actively listening to understand their perspective
- I make fair and objective decisions using the best available evidence
- I enable everyone to have equal access to services and information, where appropriate

Transparency

- I ensure that my decision-making rationale is clear and considered so that it is easily understood by others
- I am clear and comprehensive when communicating with others
- I am open and honest about my areas for development and I strive to improve
- I give an accurate representation of my actions and records
- I recognise the value of feedback and act on it
- I give constructive and accurate feedback
- I represent the opinions of others accurately and consistently
- I am consistent and truthful in my communications
- I maintain confidentiality appropriately

Public Service

- I act in the interest of the public, first and foremost
- I am motivated by serving the public, ensuring that I provide the best service possible at all times
- I seek to understand the needs of others to act in their best interests
- I adapt to address the needs and concerns of different communities
- I tailor my communication to be appropriate and respectful to my audience
- I take into consideration how others want to be treated when interacting with them
- I treat people respectfully regardless of the circumstances
- I share credit with everyone involved in delivering services

Competencies

Emotional Awareness

- I seek to understand the longer-term reasons for organisational behaviour. This enables me to adapt and change organisational cultures when appropriate.
- I actively ensure a supportive organisational culture that recognises and values diversity and wellbeing and challenges intolerance.
- I understand internal and external politics and I am able to wield influence effectively, tailoring my actions to achieve the impact needed.
- I am able to see things from a variety of perspectives and I use this knowledge to challenge my own thinking, values and assumptions.
- I ensure that all perspectives inform decision making and communicate the reasons behind decisions in a way that is clear and compelling

Taking Ownership

- I act as a role model, and enable the organisation to use instances when things go wrong as an opportunity to learn rather than blame.
- I foster a culture of personal responsibility, encouraging and supporting others to make their own decisions and take ownership of their activities.
- I define and enforce the standards and processes that will help this to happen.
- I put in place measures that will allow others to take responsibility effectively when I delegate decision making, and at the same time I help them to improve their performance.
- I create the circumstances (culture and process) that will enable people to undertake development opportunities and improve their performance.
- I take an organisation-wide view, acknowledging where improvements can be made and taking responsibility for making these happen.

Collaboration

- I am politically aware and I understand formal and informal politics at the national level and what this means for our partners. This allows me to create long-term links and work effectively within decision-making structures.
- I remove practical barriers to collaboration to enable others to take practical steps in building relationships outside the organisation and in other sectors (public, not for profit, and private).
- I take the lead in partnerships when appropriate and set the way in which partner organisations from all sectors interact with the police. This allows the police to play a major role in the delivery of services to communities.
- I create an environment where partnership working flourishes and creates tangible benefits for all.

Delivering, Supporting & Inspiring

- I challenge myself and others to bear in mind the police service's vision to provide the best possible service in every decision made.
- I communicate how the overall vision links to specific plans and objectives so that people are motivated and clearly understand our goals.
- I ensure that everyone understands their role in helping the police service to achieve this vision.
- I anticipate and identify organisational barriers that stop the police service from meeting its goals, by putting in place contingencies or removing these.
- I monitor changes in the external environment, taking actions to influence where possible to ensure positive outcomes.
- I demonstrate long-term strategic thinking, going beyond personal goals and considering how the police service operates in the broader societal and economic environment.
- I ensure that my decisions balance the needs of my own force/unit with those of the wider police service and external partners.
- I motivate and inspire others to deliver challenging goals.

Critical Analysis

- I balance risks, costs and benefits associated with decisions, thinking about the wider impact and how actions are seen in that context. I think through 'what if' scenarios.
- I use discretion wisely in making decisions, knowing when the 'tried and tested' is not always the most appropriate and being willing to challenge the status quo when beneficial.
- I seek to identify the key reasons or incidents behind issues, even in ambiguous or unclear situations.
- I use my knowledge of the wider external environment and long-term situations to inform effective decision making.
- I acknowledge that some decisions may represent a significant change. I think about the best way to introduce such decisions and win support.

Innovation & Open-Mindedness

- I implement, test and communicate new and far-reaching ways of working that can radically change our organisational cultures, attitudes and performance.
- I provide space and encouragement to help others stand back from day-to-day activities, in order to review their direction, approach and how they fundamentally see their role in policing. This helps them to adopt fresh perspectives and identify improvements.
- I work to create an innovative learning culture, recognising and promoting innovative activities.
- I lead, test and implement new, complex and creative initiatives that involve multiple stakeholders, create significant impact and drive innovation outside of my immediate sphere.
- I carry accountability for ensuring that the police service remains up to date and at the forefront of global policing.

Application and selection process

Applications

Applicants are required to submit a CV which outlines their relevant experience along with the following documents:-

- **Evidence page:** evidence of how you meet the criteria set out in the Competencies and Values Framework and the contact details of a reference who may be asked to confirm the accuracy of the examples you have provided.
- **Chief Constable's Reference:** a reference from your current Chief Constable or equivalent. This reference template should be given to your Chief Constable (or equivalent) to complete and be returned in hardcopy or electronically to the address below.
- **Biographical Data Monitoring Questionnaire:** This will be separated from your application and will be used for monitoring purposes only.

All the requested documents should be sent by email to David Peet at the following email address: david.peet@derbyshire.police.uk

Documentation should be received no later than **5pm on Friday 3rd July 2020**

Recruitment process

Please note that due to the current Covid-19 Pandemic this process is subject to change to reflect the latest guidance on social distancing and other relevant health protection measures. Applicants will be kept informed of any changes as soon as is practically possible

Shortlisting panel

All the information submitted by applicants will be considered by the Police and Crime Commissioner and his shortlisting panel.

Evidence will be drawn from your CV, evidence against the Values and Competencies Framework and Chief Constable's reference.

Shortlisting will take place during the week commencing 6th July 2020 and candidates will be informed of their results as soon as possible after it has completed

Discussion Event

An online event will take place during the week commencing 20th July 2020 where the candidates will be given the opportunity to introduce themselves, share their thinking about the future and answer questions from an audience of Derbyshire Constabulary officers and staff. The interview panel will not be in attendance but feedback from audience members will be shared with the panel to help them inform their decision making.

Interviews

Interviews will take place on **24th July 2020** at the Police Headquarters at Ripley. The interview panel will be:

Hardyal Dhindsa	Police & Crime Commissioner for Derbyshire
Kevin Gillott	Deputy PCC for Derbyshire
Gavin Tomlinson	Chief Fire Officer, Derbyshire Fire & Rescue
Mirander Curruthers-Watt	Independent member of the panel
CC Peter Goodman	Outgoing Chief Constable will act as policing advisor

Police and Crime Panel – Confirmation Hearing

Pursuant to Schedule 8 of the Police Reform and Social Responsibility Act 2011 the appointment of a Chief Constable is subject to a Confirmation Hearing of the Police and Crime Panel, at which the nominated candidate is expected to be present. It should be noted that the Panel does have the right to veto the proposed appointment by a two-thirds majority vote by the Panel. The Confirmation Hearing must be called within 3 weeks of the notification to the panel of the nominated candidate.

Interview expenses

The PCC, in accordance with Police Regulations, will pay reasonable and necessary expenses of candidates invited for interview.

Any questions in relation to the selection process or role should be addressed to:

David Peet, Chief Executive

Contact details Tel 0300 122 6000, david.peet@derbyshire.police.uk



Chief Officer Appointments Surveys

Executive summary

1 Background

- 1.1 The College of Policing was tasked with addressing concerns that had been expressed by some senior stakeholders regarding the limited number of applicants for chief officer vacancies. The research also supports work being carried out under Recommendation 1 of the Leadership Review, which stated that the College of Policing will:

promote a debate with the Home Office, police and crime commissioners and the National Police Chiefs' Council about how strategic advice, support and coordination can be offered to those making decisions about appointment to senior leadership positions.

- 1.2 In addition, the Home Affairs Select Committee has discussed the limited number of applicants and considered why eligible candidates may not apply for chief officer positions.

Methodology

- 1.3 In partnership with the Chief Police Officers Staff Association (CPOSA), the National Police Chiefs' Council (NPCC), the Police Superintendents' Association of England and Wales (PSAEW), the Association of Police and Crime Commissioners (APCC) and the Home Office, the College of Policing developed four questionnaires to gather further information on the issues raised. The questionnaires were aimed at four distinct response groups: selection and HR leads, PCCs, chief constables and potential applicants, including deputy chief constables, assistant chief constables, chief superintendents and superintendents.
- 1.4 The questionnaires asked about how forces currently advertise for and deliver their selection processes, as well as considering common barriers and seeking feedback on potential ways to widen the applicant pool for chief officer positions.
- 1.5 The four questionnaires were sent via email links and completed online. In total, 41 PCCs, 45 chief constables, 273 chief officers (deputy and assistant chief constables) and 1,200 potential applicants (chief superintendents and superintendents) were sent the questionnaire.
- 1.6 Overall, the following responses were received: selection process (12 responses), PCC (24 responses), chief constables (23 responses) and potential applicants (124 responses).

2 Findings

- 2.1 The findings from the questionnaires have been considered in terms of challenges, barriers and ways forward.

Challenges

- 2.2 The majority of PCCs and chief constables confirmed that they received ‘too few’ applicants for a chief officer vacancy. PCCs and chief constables only were asked a series of questions regarding the main challenges they experienced in preparing for and delivering selection processes for chief officers.

Lack of available candidates

The main challenge identified across a number of questions was the lack of available candidates from which to attract applicants. Chief constables in particular reported that the lack of available candidates affected their ability to make comparisons during the selection process. The small number of applicants meant a lack of choice, which could limit the decisions made. Responses from PCCs and chief constables which support this challenge included ‘inability to select the best possible candidate due to small pools’, ‘lack of competitiveness could lead to complacency’ and ‘not enough candidates to compare one against another’.

Lack of diversity

Chief constables reported that, due to the limited number of eligible applicants from which to attract candidates, there was a lack of diversity and ability to share ideas, thoughts and experiences. Responses included; ‘lack of diversity in command teams’, ‘lack of diversity in the process in the widest sense’ and ‘lack of cross-fertilisation of ideas and experiences’.

Attraction

While this is linked to the challenge outlined above, PCCs and chief constables also reported concern regarding their ability to attract candidates to a vacancy in view of factors, including a ‘competitive job market’, the impact on pensions and the time remaining until pensionable age.

Location

This challenge was reported by chief constables only (and identified as a barrier by chief constables and potential applicants) and refers to the need for a candidate to travel or relocate. This appears to be more pertinent for forces that are geographically isolated, making relocation more of a requirement than a choice.

Barriers

- 2.3 Chief constables and potential applicants were asked a series of questions which focused on the factors most likely to influence their decision to apply for a chief officer vacancy and what barriers they currently experienced. The main barriers outlined below are those that have been reported by both response groups across a number of questions:

Domestic circumstances

The impact a promotion may have on an individual's family includes the time spent away from their children, difficulty in finding a suitable school and house, disruption to a child's education as well as the impact on a partner's job. While this did influence a chief constable's decision, it was the most prominent barrier to promotion for potential applicants in the ranks between superintendent and deputy chief constable.

Financial

The financial impact a promotion is likely to have includes the impact on an individual's pension, tax and lifetime allowances. The likely financial impact of a substantive promotion was considered in more detail, with chief constables and potential applicants being asked what it was that caused them the most concern. Two further considerations were identified:

- Scale of impact: the responses suggest that it is the unknown scale of the financial impact and what future changes may occur which cause concern and create a barrier to applying for a chief officer vacancy.
- Lack of advice and understanding: responses also suggest that a lack of clarity and understanding exist regarding what support is available and how to manage the financial impact in the short and long term.

Force/organisational

This was a more prominent barrier for chief constables, compared to potential applicants, and includes the influence the recruiting force's culture and values, profile (eg, size of force and location), the existing chief officer team and PCC are likely to have on their decision to apply for a chief officer vacancy.

Location (eg, change in cost of living and the requirement to relocate)

The location of a vacancy is likely to affect an individual's decision to apply due to a potential increase in the cost of living and the requirement to relocate. This has an equal impact across the chief constable and potential applicant response groups.

Selection process

Chief constables and potential applicants expressed concern regarding the perceived fairness, integrity and transparency of current selection processes. Responses focused on barriers including ‘favoured internal candidate in applicant pool’, inconsistencies in support available, with some being able to access mentoring support while others cited a lack of support from their existing force in comparison to colleagues.

Ways forward

- 2.4 A number of ways forward were suggested, with some shared agreements and differences between PCCs, chief constables and potential applicants being identified. The most agreed way forward for PCCs was reinstating the requirement to have served within another force (including secondments). The most agreed way forward for chief constables and potential applicants was to have a national coordination of an ‘executive search’ function working with the recruiting PCC/CC to match candidates with requirements.
- 2.5 The least-agreed on way forward for PCCs was introducing the requirement to have a minimum number of applicants per vacancy before a selection process could go ahead, which was similar to the responses from chief constables and potential applicants.
- 2.6 There was agreement between chief constables and potential applicants regarding the least-preferred solution, which was introducing a national assessment centre for the rank of chief constable and deputy chief constable. This was mirrored by more than half of the PCCs.
- 2.7 In order to identify the widest possible range of ways forward, a series of open questions were asked. Additional ways forward were identified and include providing independent financial advice (eg, support to identify the long-term impact a promotion may have), career planning (eg, secondments opportunities, the availability of early and consistent coaching, mentoring and CPD activities), organisational/legislative changes (introducing the requirement to have gained experience at a senior level in an external organisation) and a review of current selection processes such as Senior Police National Assessment Centre (PNAC) and training courses such as the Strategic Command Course (SCC). PCCs in particular focused on how to improve attraction through a truly open selection process. Their responses suggested that an open selection process can be achieved through a strong advert, clearly outlining who and what is involved in each stage of the selection process and promoting the local region as a good place to live and work.

3 Options

- 3.1 The main report contains a full outline of the options suggested, which have been informed by the findings of the survey and aim to mirror the preferred ways forward and the needs of the PCCs, chief constables and potential applicants. While below is a summary of these options, it is important to view them alongside the pros and cons reported in the main report, especially when if and how they can be implemented is discussed.

Career management and planning

This was identified by current chief constables and potential applicants as something which is not consistently available and may assist in encouraging applicants to apply for chief officer positions. It was also reported as a possible role for national organisations to hold in selection processes. Examples include: a career module as part of SCC, secondment opportunities internally and with external partners and industries, a careers fair and developing an online careers portal.

Independent financial advice

The financial impact of a promotion and the lack of understanding around this impact were frequently reported barriers among potential applicants in particular. Access to support to manage the long-term impact and independent financial advice were repeatedly cited as potential ways forward. Examples of what this option could include are subsidised access to 1-2-1 independent financial advisors throughout an individual's career and regular updates regarding pensions, taxation and allowances.

Attraction and selection

The ability to attract applicants to a chief officer vacancy was the main challenge identified by both PCCs and chief constables. This could be resolved by developing clear and unambiguous role profiles, defining expectations, openly stating who and what is involved in each stage of the selection process, ensuring that the vacancy is advertised across multiple forms of media, holding an open day or force visits and offering a relocation support package.

National oversight

As noted, chief constables and potential applicants shared some agreement on national organisations having oversight and input throughout a selection process. Examples of this could include early professional support to PCCs and chief constables on delivering selection processes, central management and tracking applications and short-listing.

- 3.2 The findings from this report have fed into further discussions with the NPCC, CPOSA, PSAEW, the Home Office, the APCC and within the College of Policing. The aim will be to address the issues raised and identify opportunities to implement the options highlighted through existing processes and meeting structures such as the SCC and PRG.

About the College

We're the professional body for everyone who works for the police service in England and Wales. Our purpose is to provide those working in policing with the skills and knowledge necessary to prevent crime, protect the public and secure public trust.

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Chief Officer Appointments Surveys

Results and analysis report

1 Background

- 1.1 This research was undertaken to explore concerns expressed by some senior stakeholders regarding the number and breadth of applications for recent chief officer appointment processes. The research also supports work being carried out under Recommendation 1 of the Leadership Review which states that the College of Policing will:

promote a debate with the Home Office, police and crime commissioners and the National Police Chiefs' Council about how strategic advice, support and coordination can be offered to those making decisions about appointment to senior leadership positions.

- 1.2 In addition to this, the Home Affairs Select Committee (HASC) has also discussed the limited number of applicants and potential barriers to application for eligible candidates. The HASC made a series of recommendations based on comments by existing police and crime commissioners (PCCs) which, in the first instance, held PCCs accountable for ensuring that there is a sufficient pool of candidates for chief officer vacancies. Additional recommendations focused on flexibility in pay scales offered and the requirement to have served in another force before being eligible for a chief officer position.
- 1.3 Four questionnaires were designed which were respectively aimed at HR and selection leads, PCCs, chief constables and potential applicants, including deputy chief constables, assistant chief constables, chief superintendents and superintendents. The questionnaires were developed in consultation with the Chief Police Officers Staff Association (CPOSA), the National Police Chiefs' Council (NPCC), the Police Superintendents' Association of England and Wales (PSAEW), the Association of Police and Crime Commissioners (APCC) and the Home Office.

1.4 The questionnaires were completed online and, prior to completing, respondents were sent the background to the aims of the research via email. This information was emailed direct from the College to PCCs and via CPOSA and PSAEW for chief constables and potential applicants. The questionnaires were open for two weeks (an extension of a week was applied to the PCC survey in view of the elections taking place during the time the surveys were made available). 41 PCCs and 45 chief constables received a questionnaire direct from the College of Policing, with the selection process questionnaire being sent alongside this. The questionnaire for potential applicants was sent via CPOSA and PSAEW to 273 and 1,200 members respectively. Members of these organisations were encouraged to forward to relevant non-members. It is unknown in how many incidences this occurred, however, and, as such, it is not possible to confirm the specific number of potential applicants who received the questionnaire. The following overall responses were received.

- Selection process (HR and selection leads): 12 responses
 - The ranks/roles of the individuals who completed the selection process questionnaire are: chief constables, chief executives, directors, ACOs, heads of HR, strategic workforce leads and advisers.
- PCC: 24 responses
- CC: 23 responses
- Potential applicants: 124 responses
 - The following ranks responded to the potential applicant questionnaire:

Superintendent:	45
Chief superintendent:	30
Assistant chief constable:	21
Deputy chief constable:	22
Chief constable:	2
Senior police staff/director:	4

1.5 The main body of this report presents the findings from the questionnaire responses, regarding chief officer appointments, challenges experienced in selecting a chief officer, barriers to applying and potential ways forward. An overview of possible options has also been outlined, which draws on the main findings from the surveys.

2 Current overview

- 2.1 The aim of the selection process questionnaire was to gather information regarding how selection processes are delivered in terms of typical applicant numbers, how a vacancy is advertised and what a selection process involves. The intended respondents were HR and selection leads. This questionnaire was sent alongside those sent to PCCs and chief constables, with the request that it was forwarded to the relevant individual managing selection processes for chief officers in their force.
- 2.2 Respondents were asked to repeat questions for each selection process they had managed in the previous 24 months. The results below outline the main findings from the selection process survey.
- 2.3 The headings in bold indicate the question asked, with the responses summarised below.

What chief officer role did you select for?

- 2.4 13 forces were represented, reporting on a total of 25 selection processes.

	Number of roles selected for
Chief constable	3
Deputy chief constable	11
Assistant chief constable	11

How did you advertise your vacancy? Please select all that apply.

- 2.5 There were 18 appointment processes reported on, with individuals selecting all methods that applied. The table below demonstrates the most commonly used method of advertising a vacancy:

	Number of times used (18 selection process)
Policing magazines, eg, Police Oracle	13
College of Policing website	11
Direct contact with potential candidates	9
Social media	7
Force website	7
Professional networks to e-mail members	5
National newspaper	1
Used a search agency	1
NPCC website	1
Organisation internet	1

How many people made an 'expression of interest?'

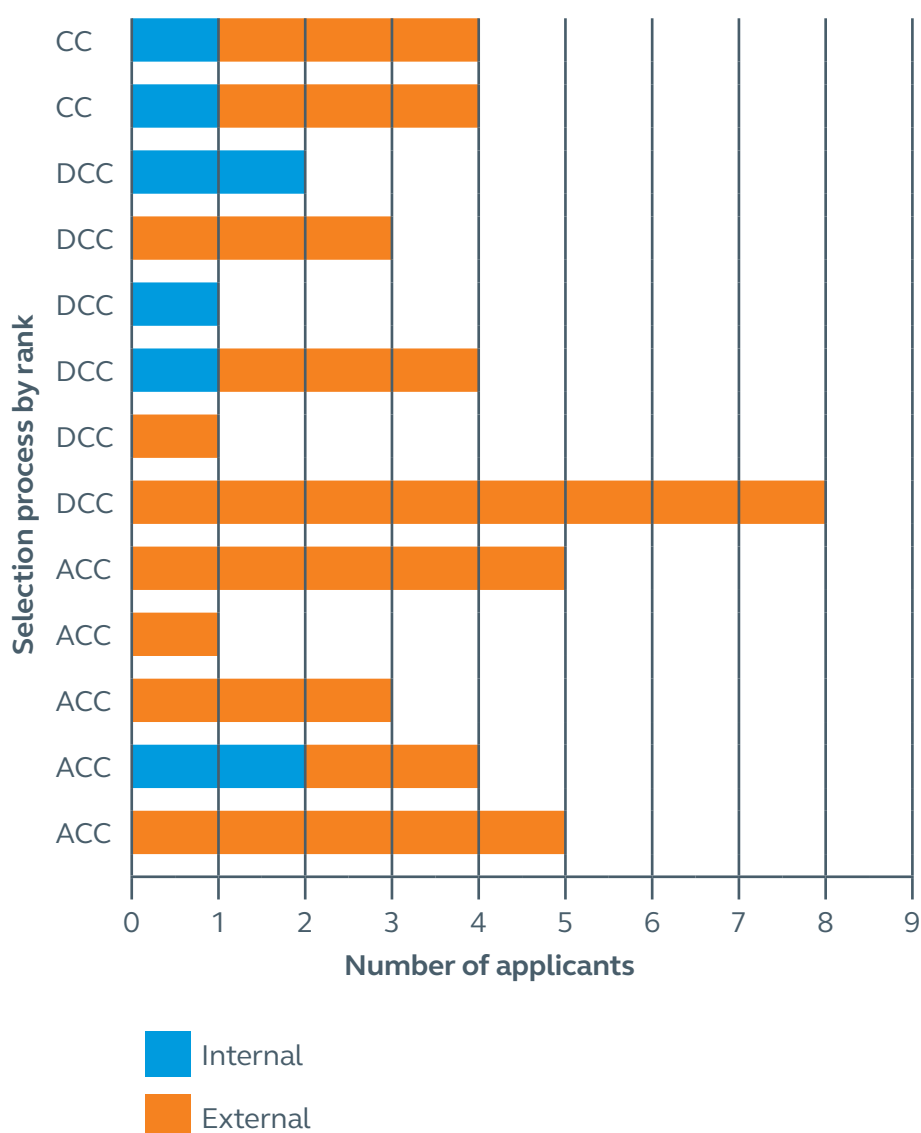
2.6 There were 19 responses to the following question.

The number of expressions of interest ranged from 1 to 8, with an average of 3 expressions of interest being received for each vacancy.

How many internal and external applicants did you receive?

2.7 The definition of an internal candidate is someone currently working in the recruiting force, and an external candidate is someone from outside the recruiting force. There were 12 responses to this question. The number of applicants ranged from one to eight per process. The graph below shows the number of internal and external applicants per reported process.

Number of internal and external applicants per selection process



What assessment tools did you use during your selection process for a chief officer role?

- 2.8 18 people responded and reported on 22 individual selection processes. The number of assessment tools used per selection process ranged from one to six, with the average being two types of assessment per selection process. The table below outlines the different types of assessment tools used across the 22 selection processes:

	Number of time used (22 selection processes)
Interviews	20
Presentation exercise	17
Community panel	3
Personality profiling	4
Situation judgement test	1
Written exercise	1
Media exercise	1
Briefing exercise	1
Partner panels	1
Question time event with staff/ officers	1

It is evident from the data above that interviews and presentation exercises are the most commonly used form of assessment in a selection process for chief officers.

How long, if at all, was the role vacant before the recruitment process was started?

- 2.9 This question considered the length of time a chief officer role was vacant before an appointment was made. Only eight responses were gained to this question:

Length of time the role was vacant before a recruitment process was started	Responses
Less than a month	4
1-2 months	2
More than 6 months	2

The following two questions focused on what support or services were used, if any, to assist in the selection process for a chief officer.

Did you use any of the following College of Policing services?

- 2.10 Respondents were able to select all services that applied. Overall, 14 processes were reported on, with a total of 18 services being selected.

The responses demonstrate that the most commonly used services delivered by the College of Policing for chief officer selection processes are providing advice, guidance and advertising.

College of Policing services	Number of times service used (14 selection processes)
Advice and guidance	6
Advertising	6
Independent member on selection panel	2
Personality profiling	1
Eligibility checks	1
None	2

For what reasons did you not use other/all services from the College of Policing?

- 2.11 Respondents were able to select all services that applied. Overall, 14 processes were reported on, with a total of 20 other/alternative options being selected:

Reasons	Number of processes that stated not used
Alternative provider	7
Not required	7
Wasn't aware of services provided	4
Timescales of promotion	1
Timescales associated with the College of Policing service delivery	1

Challenges, barriers and ways forward

3

- 3.1 The following sections consider the current challenges in selecting a chief officer, the barriers experienced in applying for a chief officer vacancy and potential ways forward which may help widen the applicant pool. There are a number of questions which have been repeated across two or more of the surveys, allowing for comparisons to be drawn between PCCs, chief constables and potential applicants, regarding the most common challenges and barriers, as well as highlighting what may be the more preferred way forward.
- 3.2 The aim of the PCC questionnaire was to gather information regarding the challenges they have experienced in delivering selection processes and appointing a chief constable. Additional questions considered their expectations regarding the role of a chief constable, skills required and what may help widen the applicant pool.
- 3.3 The focus of the chief constable questionnaire was similar to the one for PCCs. As a chief constable is responsible for recruiting assistant and deputy chief constables, however, the questions focused on their expectations and requirements of a chief officer.
- 3.4 The aim of the potential applicant questionnaire was to identify the barriers currently experienced to progressing in the police service to chief officer rank, to identify why eligible candidates may choose not to apply for a vacancy and also to consider what factors have influenced their career aspirations. Potential applicants therefore consisted of the ranks from superintendent to deputy chief constable.
- 3.5 All response groups were asked the questions that considered potential ways forward.
- 3.6 The questionnaires contained a mix of closed and open questions. The responses to free-response questions were coded and analysed to identify overall themes among the responses.

4 Challenges

4.1 A series of questions regarding the selection process (HR and selection leads) in general for chief officer positions were asked of HR professionals, PCCs and chief constables.

4.2 What have been the main challenges in preparing for and delivering your selection processes for chief officer overall? (HR and selection leads)

What, if any, do you feel have been the main challenges in your selection processes for chief constable/chief officer (time, support available, legislation requirements etc.)? (PCCs and chief constables)

4.2.1 There were 18 responses gained from HR and selection leads, 11 from the PCC survey and 20 responses from the chief constable survey. Thematic analysis was used to identify the main themes identified from these responses.

4.2.2 The main challenge reported across each of the response groups (total sample of 49) was attracting a broad field of applicants to a chief officer vacancy (17 responses). The second challenge reported across each of the response groups was concerned with the lack of availability of suitable applicants (nine responses).

4.2.3 Examples of statements relating to difficulty in attracting applicants to a chief officer vacancy include:

- 'Encouraging a wide selection of candidates to apply' (PCC)
- 'Attracting candidates in a competitive market of officers who are often at the end of their career, not wishing to remain beyond their pensionable service due to effects on pension changes and effects of changes to service.' (HR/selection lead)
- 'No real challenges other than encouraging applicants' (CC)
- 'Attracting candidates' (CC).

4.2.4 The responses concerned with the lack of available candidates do relate to the main theme of attraction, however, one PCC and eight chief constable responses suggest that there is a lack of available candidates from which to attract applicants:

- 'Provision of an adequate range of candidates' (PCC)
- 'Lack of applicants' (CC)
- 'Number 1 issue has been the decreasing pool of qualified officers for ACC appointments' (CC)
- 'Lack of applications' (CC)
- 'Securing applicants for the posts in question' (CC).

4.2.5 A third theme identified in responses made by chief constables (sample of 20) focussed on the location of the vacancy (five responses). This reflects the need to travel or relocate. Responses relating to this theme were:

- 'The most significant challenge has been geography - the location of the role is in a coastal location and the number of applicants is constrained by the wish to relocate.' (CC)
- 'The force is geographically isolated and often requires relocation, which people are reluctant to do.' (CC)
- 'Ability to encourage movement from outside of the region' (CC)
- 'A reluctance to move forces, which appears to have emerged since the restriction upon serving at all chief officer ranks in one force has been lifted.' (CC)
- 'The force is geographically isolated and often requires relocation which people are reluctant to do.' (CC).

4.3 From the options below, please select the statement that best reflects your thoughts on the number of applicants for your most recent chief officer vacancy.

4.3.1 PCCs and chief constables were also asked to comment on whether they considered the number of applicants received to be sufficient:

	Too few	Just right	Too many
PCC	8	3	0
CC	17	4	0

4.3.2 In total, 11 PCCs and 21 chief constables responded to this question. The table above demonstrates that the majority of PCCs and chief constables reported that they do not receive a sufficient number of applicants for a chief officer vacancy. This data supports the comments made by PCCs and CCs reported in 4.2.3 and 4.2.4 that their main challenges in selection were the ability to attract applicants and the limited availability of applicants.

4.4 What concerns would you have about low numbers of applicants for a chief constable/chief officer selection process?

4.4.1 PCCs and chief constables were asked the following question in order to identify why a low number of applicants for a chief officer would be a concern or may present a challenge in selection. 10 PCCs and 23 chief constables responded to this question.

4.4.2 The main theme reported by chief constables (sample of 23) is the concern regarding their ability to select the best candidate for the position due to the lack of applicants and, therefore, their ability to compare candidates during the selection process (six responses). An example of responses relating to this theme are:

- 'Inability to select the best possible candidate due to small pools'
- 'A lack of comparison and no confidence in best field available'
- 'Lack of choice and limitation on making a balanced team decision.'

4.4.3. A further two themes were identified in the chief constables' responses, which relate to a lack of diversity (four responses) and the ability to share ideas, thoughts and experiences (two responses). These responses are:

- 'Lack of diversity'
- 'Lack of diversity in command teams'
- 'Creating diverse teams in thought and background'
- 'Lack of diversity in the process in the widest sense'
- 'Lack of opportunity to share personal and organisational experiences'
- 'Limited cross-fertilisation of ideas and experiences.'

4.4.4 Responses from PCCs (sample of 10) fell into similar themes as those for chief constables. The main theme identified in the responses of PCCs were similar to those of the chief constables and related to the level of competitiveness that exists between candidates during a selection process (five responses). PCCs made the following statements:

- 'Lack of competitiveness could lead to complacency.'
- 'Not enough candidates to compare one against another.'
- 'Restricted choice and lack of competition, not necessarily seeing the best candidate.'
- 'This is not simply a question of competition for a post. For me, it is more the knowledge that all applicants have been through the same career progression and the same work life-long influences. This is why I support direct entry. The pool from which all applicants are drawn can, at the moment, be very shallow indeed.'

4.4.5 The remaining responses from PCCs were mainly individual statements with no overall theme being identified.

4.5 Selection panels will often have background knowledge of evidence provided by internal candidates. With that in mind, to what extent do you agree with the following statement: 'The selection process provided me with sufficient information to assess the potential of external candidates compared with internal candidates'? (PCC

To what extent do you agree with the following statement: 'The selection process provided me with sufficient information in order to make a comparative assessment of an external candidate alongside an internal candidate'? (CC)

4.5.1 In total, 10 PCCs and 21 chief constables responded to these questions.

	PCCs 10 responses	Chief constables 21 responses
Strongly agree	1	5
Agree	5	6
Don't know	1	1
Disagree	0	4
Strongly disagree	0	0
N/A	3	5

4.5.2 The results above demonstrate that PCCs largely agreed with the statement that the selection process provided them with sufficient information to assess the potential of external candidates compared with internal candidates (six). This is in comparison to 11 chief constables agreeing and four disagreeing with the same statement.

4.5.3 PCCs were asked to provide an explanation for why they had given the rating above. The main theme identified (three responses) within the PCCs' responses (sample of seven) was that consideration is being given towards how a selection panel is managed, what assessment tools to use and how to ensure consistency and fairness. These responses are:

- 'We used external support, several panel interviews, paper sifts, psychological testing, and a final interview, as well as a question-time event with officers and staff.'
- 'The College of Policing provided an extremely effective panel member who was very determined to ensure fair process took place. The interview questions of the main panel were neutral and not biased towards internal candidates. Each candidate appeared before a political stakeholder panel and a partnership panel and were asked questions which were pre-vetted by the OPCC to ensure fairness to all candidates.'
- 'I agree because I set up the recruitment panel to be searching in its method and I was satisfied in its findings and have been very well served by the selected candidate.'

4.5.4 Additional individual comments made by PCCs include:

- 'The process did allow me to test the calibre of the external applicants, but it doesn't allow for you to test the personal relationship dynamic, which is a huge part of the relationship.'
- 'I believe there should be greater insight as to what their vision is. The evidence of what they have done is essential of course, but it is the direction that they see the police service moving is critical.'

4.5.5 Chief constables were also asked to provide an explanation for the rating given, with 18 responses being received. Their responses suggested that the process itself either allowed for sufficient information and assessment to take place, or further information was required (seven responses). The responses below demonstrate why chief constables provided an agree or a disagree response:

(Agree – 11 responses)

- 'ACC applicants come with a significant amount of recent, independent, evidence in support of their application. We can build in sufficient local scrutiny to ensure 'best fit' for the role and the wider chief officer team.'
- 'I felt the application process and comprehensive interview, alongside credible interviewers from policing and other agencies, allowed for the appropriate level of assessment.'
- 'Followed College guidance and also facilitated open access to force and partners.'
- 'I asked for SCC and SPNAC feedback.'

(Disagree – four responses)

- 'Formal HMIC assessment of external candidates would be helpful.'
- 'Reliant on application and process for all the info (good or not so) on internal candidate.'
- 'The application form was the only information available for the candidate, other than that gathered during their performance in the selection process.'

4.6 What, if any, additional information do you think would be useful in a selection process to compare external and internal candidates?

4.6.1 PCCs only were asked this question, with six responses in total being gained.

4.6.2 The six responses from PCCs have been noted below. While no specific theme has been identified, some commonalities between responses can be drawn. First, there is a suggestion that if a structured application form and specific role requirements are defined, they are likely to lay the 'foundation for a credible process' (two responses). Second, a further two responses reported that having the opportunity to work together, to interact with candidates, may be useful in a selection process where there is a comparison between external and internal candidates.

- 'Application form needs to be structured to encourage information base which transcends a county area, but which gives an insight into capability.'
- 'Very detailed consideration of the role requirements and person spec laid the foundation for a credible process to select the CC. A requirement of the application process was to address the person spec and provide chief officer write up, plus previous performance development reviews as well as the candidate's formal write up from the strategic command course. In addition, the design of the application form was important to ensure all meaningful relevant information about each candidate was available for the short-listing process and the final selection process. It would be helpful if a prescribed application form could be provided.'

- 'Opportunity to work together.'
- 'A way to interact socially with all of the candidates prior to interview, especially if you are now testing people from abroad or from a different landscape.'
- 'The process used would have allowed a rounded evaluation of candidates, if there had been more than one.'
- 'On the day, the panel (with help from the College) was exceptionally well qualified to make a decision. I do think the College's input was essential.'

4.7 Nationally, it appears that there has been an increase in the proportion of chief constable appointments that have been given to internal candidates (current deputy chief constable). What factors, if any, do you think may have driven this increase?

4.7.1 PCCs only were asked this question, with 12 PCCs providing multiple responses. In total, 12 PCCs answered this question, providing multiple responses. Three main themes were identified. The first theme (five responses) was concerned with the lack of applicants and available candidates:

- 'Too few applicants'
- 'Lack of alternatives that are credible'
- 'Lack of field of candidates'
- 'Lack of external applicants'
- 'The smaller field of external candidates.'

4.7.2 The second theme (four responses) relates to a perception that an internal candidate will be favoured, which acts to discourage external candidates from applying:

- 'The natural advantage of an internal candidate if there is one'
- 'If there is a feeling, genuine or not, that an internal candidate is in line for the job, this naturally will greatly restrict the number of external applicants.'

4.7.3 The third theme (three responses) focuses on the PCC/chief constable relationship, as well as the impact PCC elections may have on applications being made:

- 'The perception of a possibly 'difficult' PCC plus the uncertainty of PCC elections.'
- 'The personal relationship between PCC and CC is a leap of faith if appointing an external candidate. Get it wrong and it can be a huge challenge, so people opt for the personal relationship they know.'
- 'PCCs and their relationships with internal candidates have had some influence, but this is an embedded problem.'

4.7.4 The remaining themes related to the impact on family limiting external applicants (two responses), the removal of the need to have served outside of the force (two responses) and tax implications (one response).

4.8 Do you think there is anything PCCs could do to attract a higher number of candidates to chief constable selection processes? (PCC)

4.8.1 PCCs only were asked this question.

4.8.2 11 PCCs responded to this question, providing multiple reasons per response. The main theme identified focused on the suggestion that a more open selection process would likely attract a higher number of applicants (seven responses). An example of the responses supporting this include:

- 'Use all available sources to clarify that it is an open process.'
- 'The PCC should be emphatic that the process is a truly open one and that all applications will be welcomed and carefully considered.'
- 'Be very public (internally and externally) about the need for the best candidate and having no preconceptions.'
- 'The OPCC chief exec spoke to each candidate informally prior to the applications being submitted to provide reassurance that the process was open and fair.'
- 'The selection process itself could be designed to make it clearer that it is a wholly open process – involvement of professional advisors, search organisations, local stakeholders etc. would help. More overt comments from the PCC and their office may help.'

4.8.3 A second theme was that of attraction (four responses). Attraction is concerned with the recruiting force being welcoming, clear about their values and what their role requirements are. Responses received were:

- 'Be welcoming and hospitable, send out the right signals that this is an area that you would feel valued in and respected.'
- 'Take a lot of care and effort to ensure that the application pack and advert is attractive and sets out exactly what the process will be to selecting the CC. Head hunting is not appropriate. Sell the role as an attractive proposition to potential candidates, which welcomes external applicants.'
- 'Produce effective promotional material to sell the job and the police area as a good place to work and live.'
- 'I will also record a recruitment video, so candidates can see you before they apply.'

- 4.8.4 The remaining responses tended to be individual comments and did not fall directly into an overall theme. They considered advertising internationally (one response), independence on the selection panel (one response) and continuing to work with external organisations such as the College of Policing and the NPCC to drive innovation and develop a more outward-looking philosophy (one response).

4.8.5 Do you think there is anything chief constables could do to attract a higher number of candidates to chief constable selection processes? (Chief constable)

- 4.8.5.1 A similar question was asked of chief constables only, with 22 chief constables providing a response.
- 4.8.5.2 Chief constables provided multiple reasons per response, which considered a broad range of options that could attract a higher number of applicants to a chief officer selection process. The main themes, which have been outlined in more detail below, are concerned with finances and pensions, favoured internal candidate, assessment process and providing consistent support and coaching.

Financial and pensions (five responses)

Responses here are concerned with the financial impact a promotion may have in terms of taxation, pensions and the cost of relocating. Greater clarity regarding these concerns may help a potential applicant decide on whether to apply for a chief officer vacancy, thereby increasing the number of applications received. The responses received relating to this theme include:

- 'Why are we not seeing more applicants? Pension and tax implications.'
- 'Clarity with PCC/CC and CPOSA on financial implications for promotion/relocation.'
- 'Better communication of the impacts of taxation on the police pension scheme.'
- 'More flexibility within the police pension scheme.'
- 'The remuneration package will have an effect. People will be more likely to uproot and move if the financial compensation is sufficient.'

Favoured internal candidate (four responses)

These comments focused on the need to overcome the perception that an internal candidate was favoured and therefore likely to be appointed. In addition, this theme also related to the perception of disloyalty that can be created if applying for a vacancy outside your current force:

- 'That all hinges on perceptions of fairness. The rule making people move forces would create a market, but needs supporting regarding some of the above.'
- 'They should be less obvious that an internal candidate is the 'chosen one'. Some chiefs also indicate to applicants from their force to another that to do so is disloyal, thus inhibiting people from applying, for fear of their career within force if unsuccessful.'
- 'It is really difficult. If a chief constable phones potential applicants, this could be seen as a favourable indication. If a letter of encouragement to apply is sent around, candidates view this with some skepticism. A recent personally written email by a chief was well received and considered genuine, but this had a lot to do with that chief's reputation as a fair and ethical leader.'
- 'Some need to recognise the perception that internal candidates are generally favoured, which on occasion is in fact consciously reinforced by the chief constables in question for particular selection processes.'

Process (four responses)

These comments focused on the barriers to applying that SCC may create and suggests that removing SCC and PNAC may be a means of attracting a higher number of applicants to chief officer selection processes. The four responses relating to the assessment process itself have been noted below:

- 'Controversial – but ignore the requirement to have completed the SCC. Not something I would consider yet, but if I am unable to appoint, then I am faced with an unqualified temp ACC for at least 12 months anyway.'
- 'Scrap PNAC.'
- 'No requirement for SPNAC.'
- 'No requirement for SCC.'

Support (three responses)

These comments were that support and guidance in developing chief officers would assist in attracting a higher number of applicants to a chief officer selection process. These responses were:

- 'It is important that chief constables actively support and encourage the development of senior officers and help them to aspire to the most senior roles.'
- 'I am already seeking to develop our own cadre of potential chief officers locally with support for academic work, coaching, temp ACC secondments etc.'
- 'Personal reassurance of support and mentoring. A commitment to a strong 'team ethos' rather than the blame culture that currently dominates much of the organisation. People want to work for leaders who stand up for what is right and I fear we, as a body, are too passive.'

4.8.6 Additional responses were gained which did not fall within the main themes outlined above. These responses focus on exploring external opportunities such as recruiting from outside the UK and other emergency services (two responses), for the candidate to have greater opportunity to consider accepting a job rather than accepting immediately (one response), advertising the process (one response) and using a prioritisation system for recruitment which would allow the police service to 'prioritise the needs of forces' (one response).

5 Barriers

- 5.1 In the surveys for chief constables and potential applicants, there were a series of questions aimed at identifying what factors were likely to influence an individual's decision to apply for a promotion to a chief officer.

5.2 Have you seen any chief officer vacancies in any UK police force, for which you have been eligible, but you have chosen not to apply for?

- 5.2.1 Potential applicants only were asked this question, with 105 responses being received in total:

Yes: 40%
No: 32.3%
N/A: 27.6%

5.3 If you have selected 'Yes', please provide the main reasons for this decision.

- 5.3.1 Potential applicants were then asked a follow-up question, asking them to explain why they had chosen not to apply for a chief officer vacancy.
- 5.3.2 The reasons why an eligible applicant chose not to apply for a vacancy fell into the four themes outlined below. Overall, 42 potential applicants responded to this question, giving multiple reasons (total of 62 responses):

Domestic (24 responses)

The majority of respondents identified this reason for why a potential applicant had chosen not to apply for a vacancy and relates to the likely impact a promotion will have on their family. Impact on family included the need to relocate children and the time spent looking for schools and a new home, disruption to family life and an unwillingness to undertake a long commute due to time spent away from the family. This reason also considered the readiness of an applicant, the need to commute and the ability to maintain a work/life balance. Examples of responses gained are:

- 'Distance from home-travelling impact as I have children.'
- 'Implications of relocation for family.'
- 'Family; my husband is a serving superintendent and this would make transferring difficult. Not prepared to live away from family.'

Financial (14 responses)

This was the second most common reason, with the majority of potential applicants citing a lack of financial reward and concerns regarding pension, taxation and the impact a promotion will have on lifetime allowances. Some responses indicated that potential applicants felt that there were limited benefits and the impact on their work/life balance did not justify applying for and taking a promotion. Responses included:

- 'Cost of re-location and tax implications.'
- 'Financial – the cost of the tax hit on your pension increase, followed by the relocation costs for which you are not recompensed makes it unaffordable.'
- 'Cost of moving / tax implications.'
- 'The financial rewards have been significantly reduced and, in particular, the impact of pension tax is wholly disproportionate, particularly if you need to relocate. It is just not worth it.'

Selection process (13 responses)

The third theme refers to a perceived lack of integrity and fairness in the selection process and the understanding that an internal or preferred candidate will be appointed. Responses include:

- 'Done deal.'
- 'Know somebody is already nailed on for the job.'
- 'Lack of faith in integrity of process.'
- 'It was clear that a preferred candidate had been propped up.'

Organisational/force (11 responses)

The fourth theme considers the perceptions of disloyalty, the type of force and in particular the culture, values and ethics of the force and current chief officer team (five responses). Responses included:

- 'Values of the chief and team/culture of the force.'
- 'In the past, I've not been attracted to team or leadership of chief constable.'

5.4 As part of this survey, we are trying to clarify the reasons why candidates may not apply for a chief officer vacancy. The table below contains some possible reasons. Please indicate which reasons you feel:

1. Have an impact on your own decision to apply; and

2. Have an impact on other people's decision to apply.

5.4.1 Both chief constables and potential applicants were asked this question.

5.4.2 The question on whether a reason may have an impact on 'other people's decision to apply' was also asked as, although an impact may not be specific to an individual's current circumstances, they may believe it to be an influence more generally. The table below has been sorted on potential applicants and the impact on their own decision to apply:

	Chief constables 22 respondents		Potential applicants	
	Impact on own decision to apply	Impact on others people's decision to apply	Impact on own decision to apply 97 respondents	Impact on others people's decision to apply 101 respondents
Impact on family, eg, children moving schools/partner's job	16	20	82 (85%)	77 (76%)
Impact on pension and tax	11	20	73 (75%)	76 (75%)
Requirement to relocate	13	19	73 (75%)	71 (70%)
Location, eg, change in cost of living	16	20	68 (70 %)	84 (83%)
Cost of relocating	11	16	56 (58%)	59 (58%)
Perceived fairness of the promotion process	9	13	45 (46%)	56 (55%)
Internal candidate from the force in the pool of applicants	12	18	37 (38%)	65 (64%)
Recruiting forces profile, eg, size of force and whether it is a rural/urban force	11	17	37 (38%)	40 (40%)
Lack of oversight to the process (as performed by SAP/HMIC)	5	6	36 (37%)	34 (34%)
Temporarily promoted (to the rank advertised) candidate in the pool of applicants	4	10	35 (36%)	49 (49%)
Being unsuccessful could adversely affect existing working relationship(s)/create poor perceptions of applicant	9	6	28 (29%)	32 (32%)
Timing (preference to apply for chief officer posts later in career)	3	9	26 (27%)	34 (34%)
Salary	4	5	24 (25%)	36 (36%)
PCCs' ability to use section 38 of the Police Reform and Social Responsibility Act (2011) (to call on the chief constable to retire or resign)	7	7	22 (23%)	47 (48%)
Length of appointments	7	8	22 (23%)	42 (42%)
Public exposure of being a chief officer (personal and operational risk)	5	13	19 (20%)	43 (43%)
Potential to appear disloyal if applying to an external force	8	9	18 (19%)	27 (27%)
Chief constables ability to use Section 39 of the Police Reform and Social Responsibility Act (2011) (to call on a chief officer to retire or resign)	1	6	13 (13%)	35 (35%)
Potential to come under scrutiny regarding allowances and expenses received	4	8	4 (4%)	19 (19%)

5.4.3 The table above demonstrates that the main reason likely to have the most impact on both a chief constables' and potential applicant's decision is the effect a promotion may have on the family.

5.4.4 The table also indicates that, in comparison to potential applicants, a main barrier perceived by chief constables relates to the recruiting force's profile in terms of its size and location.

5.5 Please list the top five issues you feel have the most impact on your decision to apply for a chief officer vacancy. These can include or be in addition to what has been listed above.

5.5.1 Chief constables and potential applicants were then asked this follow-up question to determine the main barriers they had experienced or perceived to exist.

5.5.2 In total, 22 chief constables responded. The table below demonstrates those issues ranked only as number one with the recruiting force having the greatest impact on a chief constable's decision to apply for a chief officer vacancy. The definition of the 'force' considers the values and culture of the recruiting force, the ethos of the chief officer team and behaviour of the PCC.

5.5.3 The two tables below, listing the issues ranked at number one for chief constables and potential applicants, have been coloured coded to allow for comparisons to be drawn across the response groups with regards to the issues that have the most impact on their own decision to apply for a chief officer vacancy.

Issues ranked at number 1 – chief constables

	Number of responses
Force (Eg, values and culture of chief officer team and PCC)	7
Domestic (Eg, time spent away from children, disruption to a child's education and the need to find a new school and the impact on a partner's job)	4
Location (Eg, the need to travel or to relocate)	4
Financial (Eg, impact on tax, pensions and life-time allowances, cost of living, salary)	2
Process (Eg, transparency of the selection process, support provided to potential applicants, availability of mentoring)	1
Skills (Eg, the relevant skills and experience, the value of external experience)	1
Role (Eg, the challenge of the role, demands and expectations associated with a chief officer rank)	1
Professional (Eg, being removed from operational policing, being happy to stay at current rank)	1
Vulnerability and scrutiny (Eg, scrutiny from the public and media, vulnerability of being removed from post)	1

5.5.4 The statements above are from existing chief constables and, as such, are likely to have been based on barriers experienced throughout their careers with the police service.

5.5.5 Responses across the top five issues were then grouped to identify the most commonly stated issue affecting a chief constables' decision. Overall, from all top five-ranked issues, the force was also the most frequently mentioned issue.

5.5.6 The same question was asked of potential applicants, with 98 responses.

The table below demonstrates those issues ranked only as number one, with domestic issues as having the greatest impact on a potential applicant's decision to apply for a chief officer vacancy. The impact on an individual's family considers the disruption to children and to a partner's job, the need to find a new home and the time it takes to find a new school, as well as the effect changing schools at certain points will have on a child's education.

Issues ranked at number 1 – potential applicants

	Number of responses
Domestic (Eg, time spent away from children, disruption to a child's education and the need to find a new school and the impact on a partner's job)	29
Process (Eg, transparency of the selection process, support provided to potential applicants, availability of mentoring)	17
Financial (Eg, impact on tax, pensions and life-time allowances, cost of living, salary)	16
Professional (Eg, being removed from operational policing, being happy to stay at current rank)	14
Perception of preferred candidate (Eg, internal candidate being supported)	10
Location (Eg, the need to travel or to relocate)	5
Force (Eg, values and culture of chief officer team and PCC)	3
Length of appointment (Eg, fixed-term contracts)	2
Rank availability (Eg, availability of chief superintendent appointments and the need to hold a chief superintendent rank)	1
Timing of appointment (Eg, time until retirement/pensionable age)	1

5.5.7 Responses across the top five issues were then grouped to identify the most commonly stated issue affecting a potential applicant's decision. Overall, from all top five-ranked issues, financial concerns – including the impact on pensions, taxation and life-time allowances – were the most frequently cited issue.

5.6 Whilst it is understood that an individual will ultimately gain overall from a substantive promotion, what is it about pensions and taxation that may cause the most concern for applicants for chief officer?

5.6.1 Chief constables and potential applicants were then both asked a question relating specifically to pensions and taxation.

5.6.2 In total, 21 chief constables and 100 potential applicants responded to this question. The main theme identified across both response groups was concerned with how and to what extent the change to taxation and pensions would affect them. For example, what tax bill or liability would be sustained, what future changes may occur and how a promotion will impact them in the immediate and long-term future. Responses included:

- 'Being caught with a huge upfront bill without the guarantee that it will be offset by future earnings, fear of future tax changes which may further erode pension savings' (CC)
- 'Scale of tax charges, taken with other potential adverse implications, eg, impact on family and potential that relocation costs will not be met in full, as well as higher risks associated with new role' (CC)
- 'Facing a large tax liability if promoted too close to retirement' (potential applicant)
- 'The candidate is no better off due to a tax liability' (potential applicant)
- 'The impact longer term if people get promoted earlier in service and the subsequent tax implications, plus extra costs, ie, moving house' (potential applicant).

5.6.3 A second theme identified across both response groups was the lack of advice and guidance on how a promotion will affect their allowances and pensions. Responses reported that, while chief constables and potential applicants are aware that a promotion may entail some financial impact, what concerns them is a lack of understanding and available advice on how to manage this impact. Chief constables and potential applicants both reported a need for independent financial advice and guidance throughout their career:

- 'Lack of clear advice on financial impact' (CC)
- 'Lack of clarity as to what the financial deal is' (CC)
- 'The unknown nature of the tax impact' (potential applicant)
- 'Relocation is not clear, often viewed with suspicion and never recompenses the change properly' (potential applicants).

6 Ways forward

6.1 In each of the surveys sent to a PCC, chief constable and potential applicant, recipients were presented with a series of potential ideas or ‘ways forward’ which may assist in attracting a larger pool of the most suitable candidates. Each response group was also given the opportunity to provide additional ideas.

6.2 What financial information would you wish to see that may help inform your decision to apply for a chief officer promotion? For example, information in your annual pension statement?

6.2.1 This question was asked of chief constables and potential applicants, with 20 chief constables and 91 potential applicants (total sample of 111) providing a response.

6.2.2 Responses from both groups tended to fall into three main themes outlined below:

Cost and impact

The most frequent theme identified, with a total of 32 responses, focusses on the ‘cost and impact’ of a promotion. This refers to an understanding of specifically how much impact a promotion will have. Responses gained include:

- ‘Clarity of the impact of a promotion’ (potential applicant)
- ‘Impact of taking a contract that doesn’t take you to retirement’ (potential applicant)
- ‘Total impact on pensions, tax and retirement plans’ (potential applicants)
- ‘Clarity on what the figures actually mean’ (CC)
- ‘Scale of tax changes’ (CC)
- ‘Loss of protected life-time allowances which would have an impact on retirement’ (CC).

Advice and guidance

The second most frequent theme, with 22 responses, relates to advice and guidance. Responses suggested that it is not just about understanding the impact or cost of a promotion – it is having access to advice on how to manage the impact in the long term throughout a career which would be of benefit. Examples of responses received include:

- 'Most important is information about effective management of the impact' (potential applicant)
- 'Independent financial advice' (potential applicant)
- 'CPOSA should offer a personal valuation and advice service' (potential applicant)
- 'There should be an opportunity to access advice before applying' (CC)
- 'It is one thing providing the information – it needs someone to explain/interpret it' (CC).

Forecasting

This theme is closely linked to the two above, however, it has been stated separately as some responses focused on the long-term impact and access to financial projections. This may suggest that financial advice and guidance would benefit from including long-term management and support (19 responses). Responses included:

- 'Access to long-term projections' (potential applicant)
- 'Increase in pension and yearly cost compared to future earning potential' (potential applicant)
- 'Predicted annual allowance charges' (CC)
- 'Projections based on future promotions' (CC).

6.2.3 Additional responses from potential applicants focused on receiving regular and annual pension statements (four responses) and assurances from government that there won't be further changes (two responses). A further response from chief constables stated 'none' (three responses), suggesting that no further information or support was required.

6.3 The following question proposes some initial ideas on possible ways forward to attract a larger pool of the most suitable candidates. They are not an exclusive list of ideas to be considered.

To what extent do you agree or disagree with the following suggestions for how to attract a larger pool of the most suitable candidates to apply for a chief officer role?

- 6.3.1 PCCs, chief constables and potential applicants were all asked to rate these ideas on a scale of strongly agree, agree, undecided, disagree and strongly disagree.
- 6.3.2 A comparison of what PCCs, chief constables and potential applicants thought may be effective in attracting a wider pool of applicants to a chief officer vacancy has been outlined below.

	PCC 11 respondents		CC 22 respondents		Potential applicants 103 respondents	
	Agree	Disagree	Agree	Disagree	Agree %	Disagree %
Reinstating the requirement to have served with another force (this could include secondments)	10	1	15	5	47 (46%)	44 (43%)
Introducing the requirement to have a minimum number of applicants per vacancy before a selection process can go ahead	4	7	6	14	35 (34%)	63 (61%)
Creating more directive and mandated guidelines from the College of Policing for PCCs and chief constables to adhere to in selection processes	4	6	12	9	59 (57%)	34 (33%)
A national assessment centre for the rank of chief constable and deputy chief constable that would lead to approval for successful candidates to apply for chief constable and deputy chief constable positions	6	4	2	19	24 (23%)	69 (67%)
A national development centre to identify strengths and areas for development to support applications and selection at the rank of chief constable and deputy chief constable	6	4	13	9	58 (56%)	35 (34%)
National coordination and input into chief officer selection processes from the start and throughout	5	3	12	9	64 (62%)	29 (28%)
National coordination of an 'executive search' function, working with recruiting PCC/CC to match candidates with requirements	7	2	19	3	72 (70%)	20 (19%)
National process to identify suitable candidates and provide a shortlisting service prior to force selection processes	4	6	9	11	64 (62%)	33 (32%)
Opening up the pool of applicants to external organisations, eg, Home Office, security agencies	6	3	8	10	22 (21%)	68 (66%)

6.3.3 An overview of the main results from the table above have been outlined below:

6.3.4 The most agreed with way forward for each response group was:

- PCC: Reinstating the requirement to have served in another force, including secondments (10). Although there was support for this among PCCs and chiefs, however, it was only 'favoured' by 47 potential applicants.
- Chief constables: National coordination of an 'executive search' function, working with recruiting PCC/CC to match candidates with requirements (19). Results demonstrate that all three response groups share agreement on this.
- Potential applicants: National coordination of an 'executive search' function, working with recruiting PCC/CC to match candidates with requirements (72).

6.3.5 The least preferred solution or way forward for PCCs was introducing the requirement to have a minimum number of applicants per vacancy before a selection process can go ahead, with seven PCCs disagreeing with this option. This was mirrored by 14 and 63 chief constables and potential applicants respectively also disagreeing with this option.

6.3.6 There was agreement between chief constables and potential applicants regarding the least preferred solution, which was introducing a national assessment centre for the rank of chief constable and deputy chief constable that would lead to approval for successful candidates to apply for chief constable and deputy chief constable positions. Conversely, this was supported by more than half of PCCs.

6.4 Please use the space below to outline any suggestions you may have that you think would encourage eligible candidates to apply for chief constable/officer vacancies.

6.4.1 PCCs, CCs and potential applicants were provided with the opportunity to report free responses regarding what they thought may encourage eligible applicants to apply for chief officer vacancies.

6.4.2. In total, seven PCCs provided a response to this question. No single theme was identified across the responses and, as such, individual comments have been noted below:

- 'Free up the requirements to have tests to be chief officers, so that the best strategic leaders can find their way to the top.'
- 'A clear indication of what to expect from the PCC.'
- 'A required minimum number of candidates would result in extended vacancies – some jobs very few people will want. Whether more directive guidance would help depends on what the guidance is. A further national assessment would prevent PCCs from finding people they can work with and reinforce the mould that chief officers come out of.'

- 'The reputation of the force and strength of relationships within and outside the force is what attracts people.'
- 'Job swap for people in similar roles outside policing.'
- 'Direct entry is needed sooner rather than later.'

6.4.3 In total, 12 chief constables responded to this question. Overall, individual responses were received, however, one theme was identified (four responses) that stated that providing career planning, advice and development support would be of benefit in encouraging eligible candidates to apply for chief officer vacancies. These responses are noted below:

- 'I think career planning starts much earlier but I do not think there is much evidence of it happening consistently across the service.'
- 'Do more to help external candidates understand force and partners.'
- 'More structured support from the NPCC and College of Policing, mentoring in the police service and mandatory coaching.'
- 'Ultimately, this has to be about local decision making, so I don't see national mandation adding any value, though offering more opportunities for development would help.'

6.4.4 In total, 63 potential applicants responded to this question, with the main themes being outlined below:

- **Organisational/legislative (15 responses)** – this was the theme identified in the responses by potential applicants and refers to introducing organisational and legislative changes, including gaining experience in another organisation at a senior level, secondment opportunities, removing a PCC's ability to dismiss a chief constable, national endorsement of an application, the ability to rank skip and removing fixed-term contracts.
- **Financial (12 responses)** – responses suggested that improved remuneration packages, financial incentives and greater relocation support would help encourage eligible applicants to apply for chief officer vacancies.
- **Assessment process (10 responses)** – comments focussed on a review of current selection process, use of more work-based assessments, reducing the level of preparation required for PNAC and enabling chief constables to recommend applicants for SCC.
- **Executive search (four responses)** – responses indicated that having a function to identify suitable applicants and to provide a short-listing service may assist in encouraging eligible candidates. One response extended this further by stating that a central short-listing service would reassure incumbent applicants that they were being tested against their peers.

6.5 What role do you think there is for national organisations such as the College of Policing, HMIC, NPCC and CPOSA in providing strategic advice, support and coordination in order to ensure that the strongest possible field of candidates is available to a PCC and chief constable?

6.5.1 PCCs, CCs and potential applicants were each asked this question, with 10 PCCs, 22 chief constables and 88 potential applicants providing multiple responses to this question. The table below demonstrates the type of roles national organisations could have:

	PCC 10 respondents	Chief constable 22 respondents	Potential applicant 88 respondents
Coaching and mentoring	2	4	10 (11%)
Advice and guidance	3	8	5 (2%)
National/central overview	5	10	22 (25%)
Executive search		3	5 (6%)
Advertising		3	
None			9 (10%)

6.5.2 Results demonstrate that there are some similarities in the role national organisations can have across each of the three response groups. The table above demonstrates that the main theme identified or role for national organisations is to have a central overview of the selection process. The second and third strongest themes reported across each response group relate to advice and guidance and coaching and mentoring. An outline of what each theme refers to has been explored below.

National/central overview

This was the strongest theme identified and refers to national organisations being involved in the selection process, tracking applications, ensuring consistency of the selection process, role definitions and expectations. Some responses suggested that a central oversight was required from the start and throughout, with others reporting that the College was responsible for widening the applicant pool, CPOSA for providing advice and the NPCC for promoting the role of chief officers.

Coaching and mentoring service

This relates to providing coaching and mentoring for potential applicants and current chief officers and includes CPD activities, consistent support in preparing for selection processes such as PNAC and SCC, using a development plan for potential applicants to address any barriers early in their career, providing career planning advice earlier on and creating more open access to information regarding each force.

Advice and guidance

Responses indicated that there was a need for national organisations to provide advice and guidance related to a number of features of a selection process. This included financial and legal advice to applicants, guidance for PCCs and chief constables in attracting a wider pool of applicants and information of what is involved in the promotion process.

Executive search

Responses gained from chief constables and potential applicants stated that there is a role for national organisations to coordinate suitable applicants, to sign-post suitable applicants and to identify a fit with forces without being prescriptive.

Advertising service

Three chief constables reported that national organisations could provide a central advertising service or portal to ensure that a vacancy is advertised to the widest group of eligible applicants.

7 Additional questions

7.1 The two additional questions highlighted in this section were both presented to potential applicants only.

7.2 What are your current career aspirations in terms of rank progression?

7.2.1 105 potential applicants responded with the following aspirations being identified:

- 47% stated that they wanted to progress to a chief officer rank. This included chief constable, deputy chief constable and assistant chief constable.
- 17% reported that they would like to progress to the rank of chief superintendent only.
- 11% stated they were happy to remain at their current rank. Reasons included consolidating their skills, not thinking they held the ability to progress and being comfortable at their current level.
- 11% stated that they had no career aspirations. 5% reported no career aspirations as they were due to retire.
- 6% expressed an interest to eventually complete Senior PNAC.

7.3 Have your career aspirations changed at all in recent years? If 'Yes', please provide an explanation/reasoning for this response.

7.3.1 A total of 107 potential applicants provided a response to this question.

7.3.2 Results demonstrate that 41% reported a decrease, with 13% reporting an increase in career aspirations. The remaining responses did not provide a clear indication that there had been an increase or decrease and have therefore not been reported on.

7.3.3 Potential applicants were asked to provide a reason for their response. The response rate fell to 65 for this question.

7.3.4 Explanations indicated that 41% (27 potential applicants) had stated that their career aspirations have decreased in recent years. The main reason for these changes fell within three main themes, which have been outlined below:

Chief officer role

Responses suggest that there has been a change in the perception of what a chief officer role involves. The theme refers to a change in demands and expectations faced by a chief officer, as well as the perceived vulnerability that may be experienced in that rank. Responses include:

- 'Position of CC being too vulnerable.'
- 'Role of chief officer more complex and challenging.'
- 'Politicisation of the role with PCCs.'
- 'I am less keen on taking up more senior posts than I thought I would be when I reached this point in my career. In part, the introduction of PCCs has been a factor and the increasing political nature of the role/loss of operational control.'

Personal

This refers to a change in an individual's personal circumstances. Responses included:

- 'Work-life balance.'
- 'Once reached 25 years in service, I reviewed aspirations and decided I wasn't prepared for the upheaval to my personal life.'
- 'My ambition has decreased, largely because of the increased complexity of managing work and personal factors.'

Change in benefits

This related to the change in financial rewards and the impact of a promotion on tax, pensions and life-time allowances. Responses included:

- 'Tax implications for promotions'
- 'Pay and condition reform has caused me to consider a career outside of policing'
- 'Tax and relocation costs.'

7.3.5 Career aspirations had increased for 15% of potential applicants in recent years. The reasons for this increase in aspirations tended to fall within two main themes:

- **Confidence:** this refers to a potential applicant's change in confidence and the belief that they are capable of progressing to a chief officer rank (seven responses):
 - 'Realisation that I could be competent at the next rank'
 - 'I have become more confident about my ability to progress further as I have become established as a chief officer'
 - 'My adjustment to ACC role and realisation that I could be effective and competent in the next rank, if the post is the right one for me'
 - 'Never thought I could get promoted and have managed to do so.'
- **Support:** responses suggested that some potential applicants had experienced greater support from within forces and the chief officer team, which had led to an increase in career aspirations (three responses):
 - 'I now have a gender supportive CC who invests in development and is not biased'
 - 'My chief encouraged me to do SPNAC and supported me.'

8 Options

- 8.1. The following are potential options for consideration, which may assist in increasing the applicant pool for chief officer vacancies. These options consider the current challenges experienced and the apparent preferred ways forward as highlighted in this report. They do not, however, represent an exhaustive list of options to be considered.

Option	Why	Example	Potential responsibility	Pros	Cons
Career management and planning	This was identified by current chief constables and potential applicants as something which was not consistently available at present and may assist in encouraging eligible applicants to apply for chief officer vacancies in the future. It was also reported as a possible role for national organisations to have within selection processes.	A career module as part of SCC (could be optional in view of current length/demands of SCC)	College of Policing	Providing additional advice and guidance Enabling potential applicants to make informed decisions	Lengthening duration of SCC

Option	Why	Example	Potential responsibility	Pros	Cons
		Careers fair	Collaborative, College of Policing membership, CPOSA, NPCC and the APCC	Reaching a broad range of potential applicants and current chief officers Involving multiple stakeholders, sharing experiences and best practice Enabling face-to-face meetings and networking Recruiting organisations in order to attract talent	Cost
		Career development planning for newly appointed superintendent, chief superintendent and ACCs	Individual forces with guidance provided by the College of Policing	Providing support earlier in an individual's career, allowing them to tailor their training and next steps	Time and cost considerations
		Online career advice portal, ready access to resources on next steps and the financial impact	Forces and College of Policing membership	Easy access to information Quick reference guide	Resource/time taken to set up
		Secondment opportunities for existing officers from the rank of superintendent upwards, flexible movement between forces and external industries on a specified temporary basis	Forces, College of Policing CPD team, CPOSA, NPCC and the Home Office	New experiences, skills and information Establishing relationships and promoting partnership working with external organisations	Resource considerations, accommodating the gap in force left by an officer who pursues a secondment opportunity

Option	Why	Example	Potential responsibility	Pros	Cons
Independent financial advice	The financial impact of a promotion and the lack of understanding around this impact was a common barrier for potential applicants. Long-term management and independent financial advice was frequently cited as a potential way forward.	Access to independent financial advice, pre-applying for a promotion and throughout a career	CPOSA	Applicants making informed decisions on whether to apply for a promotion Increasing understanding and awareness, increasing openness of the impact	It is likely that a cost will be incurred for providing this for all members
		Regular financial updates including pension, taxation and allowance information	CPOSA/force	Applicants making informed decisions on whether to apply for a promotion Increasing understanding and awareness, increasing openness of the impact	It is likely that a cost will be incurred for providing this for all members
		Support in forecasting and the long-term management of obtaining a chief officer position	Collaboration, SCC membership, CPOSA, HO	As above	As above

Option	Why	Example	Potential responsibility	Pros	Cons
Attraction and selection	The ability to attract applicants to a chief officer vacancy was a main challenge for HR and selection leads, PCCs and chief constables.	Clearly defined role requirements/ expectations	Forces	Developing effective and relevant selection processes Open and fair basis for selection, reducing the perception that a preferred candidate will be appointed	Time considerations
		Clearly define what and who will be involved in the selection process	Independent local partnerships, forces and the College of Policing	Greater openness and transparency Reducing the perception that a preferred candidate will be appointed	
		Information easily available on each force in terms of values, COT, what positions are likely to be available in the next 12-24 months Linked to online career advice portal	College of Policing membership and forces	Access	Time and cost involved in setting up and maintaining
		Advertisement, vacancy must be advertised externally from the recruiting force and across a minimum of three media channels, eg, College of Policing website, trade publication and LinkedIn/Twitter	Forces	To increase the number of applicants	Additional effort/resource for PCC/CC

Option	Why	Example	Potential responsibility	Pros	Cons
		Recruiting force to hold open days when selecting for a chief officer, or having the option for an interested candidate to visit the force ahead of applying	Forces	Promoting force values and culture	Time/cost to facilitate this
		Providing a relocation consultant/ relocation support package	Forces/HO/ CPOSA	Reducing concerns related to relocating, eg, time and cost	Cost involved in providing this support
		Support to identify a school	Collaborative, NPCC, CPOSA, HO and local authorities	Reducing concerns related to relocating, eg, time and cost	
		Support to develop a flexible commuting-working pattern to minimise time spent away from family and still meet force needs	Force, CPOSA, NPCC	Reducing concerns related to relocating, travel time and time away from the family	Difficulty in ensuring force needs and demands are successfully met

Option	Why	Example	Potential responsibility	Pros	Cons
National oversight	Central coordination or a national oversight of a chief officer selection process from start to finish was largely supported by PCCs, chief constables and potential applicants. It was also reported as a role for national organisations such as the College of Police and CPOSA to have during chief officer selection processes.	Early professional support to PCCs and chiefs on running attraction and selection processes	College of Policing External private consultancies	Openness and transparency Increased standardisation and quality of process and reputation of fairness Increase in clarity and therefore attraction	Cost
		National oversight of the selection process throughout	College of Policing	Transparent process, reducing perception that a preferred candidate will be appointed Relevant assessment tools used	
		Developing a candidate guidance/ information pack to outline what steps will be involved in individual selection process and who will be undertaking these	Forces and the College of Policing	Transparency, likely to reduce the perception that a PCC/ CC will choose a preferred candidate	Resource required to develop, would need to ensure the pack is tailored to individual selection processes

Option	Why	Example	Potential responsibility	Pros	Cons
		Independent progression scheme – removing the need to have support from the COT from within current force before applying for PNAC	HO, NPCC, CPOSA and the College of Policing	Greater movement through senior ranks may encourage more applicants for chief officer positions Reduces the impact of the relationship with the existing COT/CC	Readiness in terms of operational experience and competence Potential for variance on how this is managed/ applied across forces
		Review of current PNAC and SCC processes	College of Policing	Identifying positive updates and requirements	Time and cost
		SCC to be more accessible, not such an extensive time away from home and force, process could be split	Collaborative, College of Policing, NPCC, CPOSA and HO	More accessible for potential applicants to attend	Will need a change in planning and time management
		Independent pre-assessment with information to be forwarded to PCC/CC with the candidate application	College of Policing HMIC	Reducing PCC/CC ability to select/assess a single candidate	
		Central management and tracking of applications	College of Policing	Easy to identify the number of applications received, what support may be required and recommend eligible candidates to forces	Time and resources required to ensure this is accurately maintained

Option	Why	Example	Potential responsibility	Pros	Cons
		Central application short-listing service and providing a short-list of candidates to interview to PCC/CC	College of Policing HMIC	Consistent and fair approach to short-listing Ensuring that candidates are short-listed against the role profile/ requirements	Time and resource required
		Eligibility database. This could be used two-ways, for a force to view or for the College of Policing to recommend out	College of Policing membership and S&A	Would assist in identifying who the eligible applicants are Would allow PCC/CC to proactively review options and encourage them to consider external applicants	Time and resource required
		Contract end dates, centrally held database	CPOSA/ NPCC to hold, accessible via College of Policing website	Candidates would have the flexibility to manage their own careers, judging when and what vacancies are suitable	

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RACHEL SWANN

PROFILE

I have been a Deputy Chief Constable since May 2017, and a Chief Officer since May 2015. I am an experienced and successful leader having transformed the delivery of services across two police forces. I am a leader who inspires confidence in others, using a conversational leadership style day-to-day with strong command leadership in a crisis. I provide a clear vision to improve services to communities, employing a demand-led and evidence-based approach. I seek innovative solutions and utilise technology, leading relevant programmes of work at a national level, influencing how UK policing operates.

People are at the heart of how I lead and I create an inclusive “one team” approach as a passionate advocate of equality and diversity. I actively seek to remove barriers to those joining policing or within our policing family, challenging stereotypes and acting as a strong role model. I invest in people and am committed to ensuring my colleagues have the right skills and training to deliver the best service we can. I foster a sense of personal accountability, knowing that people care about what they do. I equip our leaders to feel empowered to appropriately hold our people to account for the service they deliver.

I believe we should provide the best service that we can to the public. We must keep them safe and make them feel safe. My role as a senior police leader is to balance these two elements.

EXPERIENCE

DEPUTY CHIEF CONSTABLE - DERBYSHIRE CONSTABULARY

February 2019 - Present

Portfolio: Equality & Inclusion, Human Resources, Information Services, Business Change & Innovation, Corporate Services, Corporate Communications, Information Management, Organisational Learning, Culture & Ethics (OLCE), Police & Fire Collaboration, Force Senior Information Risk Officer (SIRO), Local Resilience Forum Chair. NPCC - Fingerprint & Footwear, Frontline Digital Mobility (Digital Policing Programme), Race, Religion & Belief – Recruitment, Retention & Progression. Transforming Forensics – Senior Responsible Officer (SRO) Fingerprint Capability Network.

MAJOR ACHIEVEMENTS:

Inclusive workplace. My ambition is for an inclusive workplace delivering an inclusive service. Leading on equality and diversity I have developed the force positive action strategy. I have removed some of the unseen barriers facing our staff by creating development programmes for BAME staff, and involving our workforce in devising promotion processes which focus on leadership qualities.

Learning and development culture. I am radically changing the approach of our Learning & Development Department from old style police training to a learning academy using technology and an adult learning approach. This fosters personal responsibility for continued professional development. We are at the forefront nationally in adopting new entry routes into policing. This has enabled us to maximise the opportunities the national uplift provides, remaining ahead of recruitment profiles and deploying additional officers to threat and risk.

Leadership and accountability. I have developed a culture of greater accountability within senior leaders, as reflected in the HMICFRS improvement plans. Upon my arrival in force I created a pre-inspection team to identify and address gaps for the 2019 PEEL inspection. I was able to affect some positive changes in areas such as demand and legitimacy. Since the inspection I have been instrumental in bringing clarity as to what improvement is needed, leading this work on behalf of the Chief Constable.

Strategic planning. It is vital that our colleagues are clear on the direction of the force and their role in it. I created the Chief Constable's '3 Ps' plan to link organisational strategic aims to tactical delivery. Supporting this I have created a performance framework which measures what is important to deliver our priorities, focusing on outcomes. It brings the Chief's vision into place, supporting delivery of the PCC's Police and Crime Plan, whilst also recognising the HMICFRS improvement work. This has been communicated to all staff, and is reviewed and revised as part of the annual planning cycle.

Change and innovation. I have transformed the approach to change in Derbyshire through the creation of a Change & Innovation Team focused on demand, threats and risks. Their skills include business benefits and cultural change, as well as business analysts and systems architects; this is a first for the Derbyshire Constabulary. There is now a clear change and innovation plan which uses the best of national programmes for the benefit of the Constabulary, such as Single Online Home (SOH) and National Enablers Programme (NEP), as well as maximising opportunities from local work including business intelligence and analytics.

Frontline digital mobility. As the NPCC Frontline Digital Mobility lead I created legacy products to enable police forces, especially frontline colleagues, to be at their best in a digital world regardless of their location. This saw the delivery of several products including a maturity matrix for forces to use to benchmark and improve, supported by product assessments and guidelines for best practice when engaging with suppliers.

Whaley Bridge major incident. As Strategic Coordination Group (SCG) chair for the Toddbrook reservoir collapse I led the successful response to save the lives and homes of over 1500 people. It was the biggest evacuation of civilians since WWII and attracted international media attention. In leading this response, I attended daily COBRA meetings, chaired multiple SCGs, hosted community meetings where hundreds of people attended and faced regular international media spotlight. My leadership demonstrated my resilience, ability to lead partners on a national scale, and the importance I place on policing with public support.

Coronavirus response. I have led the complex and challenging multi-agency response as Derbyshire SCG chair. This has involved leading partners from different sectors and authorities, linking the local and regional response to the national, and managing key stakeholders throughout. This has ensured a dynamic and robust coordinated partnership response.

DEPUTY CHIEF CONSTABLE - NORTHAMPTONSHIRE POLICE

May 2017 – February 2019

Portfolio: Change & Transformation, Enabling Technology, Corporate Development and Continuous Improvement, Equality & Diversity and Professional Standards. Force SIRO, Designated Appropriate Authority and lead for the Emergency Services Cadets. NPCC Fingerprints & Footwear. SRO Home Office Biometrics (HOB) Mobile ID solution. Transforming Forensics – Senior Responsible Officer (SRO) Fingerprint Capability Network.

MAJOR ACHIEVEMENTS:

Re-designed force operating model. Designed and implemented a force operating model, transforming and improving services to communities. Intended to increase public confidence and satisfaction through customer focus and more efficient and effective use of resources. Based on current and future demand. Provided a more responsive service to meet customer needs through managed appointments and call backs. Managed public expectation with clear communication of the service they would receive. This was determined through consideration of best use of resources needed to manage demand, threat and risk.

Development of force ICT strategy. Following the dissolution of the Tri-Force ICT Collaboration I created an ambitious and exciting Force IT strategy and business plan, and reviewed the IT Department to make it fit for the future. The strategy provided a force response to the national police technology agenda, maximising the use of national programme to enable the improved delivery of local services, for example, SOH and NEP. Staff were provided with the technology which met their expectations through new mobile devices and improved connectivity via a new middleware supplier.

Improved performance management. Significant performance progress against a backdrop of HMICFRS 'requires improvement' findings for PEEL and numerous 'areas for improvement'. Delivered through leading a force oversight meeting, raising standards and providing clarity and strategic direction, creating and testing associated business plans. For example, xxxxx REDACTED AS OPERATIONALLY SENSITIVE xxxxxx through a transparent and ethical approach where threat and risk were managed robustly.

Inclusion agenda. Successful recruitment of a Positive Action Officer, implementing national good practice to create a more representative workforce. Development of the Gender Agenda and adoption of Gender Based Hate Crime. Created a dementia friendly force.

Financial challenges. Identification and realisation of over £2M savings in 2017-2018 to meet the financial gap. Delivered against the backdrop of significant change implementing a new force operating model, and ensuring an improved service to the public. Successful bid for additional funds and resource from the PCC through an evidenced business case addressing force threats and risks.

National Mobile ID Programme. National lead for the design and delivery of an innovative disaggregated 'app' led solution for the HOB National Mobile ID Programme. This provided an instantly available street identification for officers, suitable for any mobile device and middleware supplier, thereby creating a solution for all forces and future proofed compatibility with ESN.

Critical incident management. Strategic command of several critical incidents and issues affecting confidence in service, including historical failure to deal with human tissue samples and force participation in national public inquiries. Complex covert firearms command working with the NCA.

ASSISTANT CHIEF CONSTABLE - NORTHAMPTONSHIRE POLICE

May 2015 – May 2017

Portfolio: Single ACC responsible for Crime, Intelligence, Public Protection, Control Room, Local Policing, Response, Equality & Diversity. SRO for the development of a new force operating model. SRO for the implementation of a new IT platform - Niche. NPCC Public Order - Protest, Fingerprints & Footwear.

MAJOR ACHIEVEMENTS:

Evidence-based force operating model. Design of new force operating model, utilising an evidence-based approach to focus on demand and involving the workforce in shaping solutions. Created a shared vision for the solution and agreement of stakeholders on the methodology and engagement processes.

HMICFRS improvement. Utilised this ‘one team’ approach to improve force performance. The force was one of a small number of forces ‘engaged’ by HMICFRS, and had been for a number of years. Achieved through setting a smaller number of strategic priorities, giving clear parameters and standards expected, and delivering an all force approach to the priorities which resulted in the force no longer being engaged.

Early Intervention Scheme. Creation of an Early Intervention Scheme with safeguarding partners from the public and private sector. Delivered through dedication of a Chief Inspector and other staff. The aim being to provide long term partnership solutions to county wide issues such as a nationally high rate of exclusion, leading to long term demand on public services through reduced life chances for young people. This strong partnership working and relationship building developed into the county-wide Prevention and Intervention work.

Prevention and intervention serious crime. Gun crime, violence and gang related activity involving young people in Wellingborough had escalated. With partners I created a safeguarding approach to tackle the issues. All involved were young people under 17. Intervention pathways were created and a prevention approach used for those at risk of becoming involved. This successfully reduced the risk, leading to increased reporting from the community of those at risk and of those undertaking gang activities, and delivered greater community confidence. The good practice was been included in the county prevention and intervention plans and the force approach to serious organised crime.

NPCC public order - protest. As NPCC lead for Public Order Protest I dealt with a number of political issues including ‘fracking’ and anti-abortion protest, engaging with the Policing Minister and other MPs. I created a portfolio lead for fracking, commissioning a review of national guidance to ensure consistency. I led the policing response to the abortion clinic protest survey commissioned by the Home Office, effectively influencing debate on the police role in lawful protest and the issues surrounding buffer zones.

EDUCATION	<ul style="list-style-type: none">• MSc Recreation Management – Loughborough University• BSc (hons) 2:1 PE & Sports Science – Loughborough University
QUALIFICATIONS	<ul style="list-style-type: none">• Counter Terrorist Commander (2017)• Specialist Firearms Strategic Commander (2017)• Senior Information Risk Owner (2017)• Authorising Officer (2015)• Strategic Command Course (2015)• Strategic Firearms Commander (2013)• Public Order Gold Commander (2013)
SKILLS & INTERESTS	Married • One human and four feline children • Spare time revolves around family and regular exercise

MIRANDA CARRUTHERS-WATT
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Mr D Peet
Chief Executive
Office of the PCC for Derbyshire
By email

Dear David,

Report of the Independent Member of the recruitment Panel

Thank you for asking me to be part of the recruitment process for the Chief Constable of Derbyshire on 24th July 2020. The process was in two parts, a shortlisting meeting and a full day interview. Before the shortlisting, I reviewed the material that was available to candidates. It was a clear explanation of the process and the requirements of the role as well as the evidence that was required. The panel received two applications. The applications were comprehensive and the short-listing panel considered that both candidates demonstrated the necessary qualities, skills and experience to be put forward for interview. The process was set out and conveyed to the candidates. The candidates were evaluated across all of the competencies in the person specification. They were also assessed in respect of their media awareness, and presentation and communication skills.

There were five members of the interview panel, the PCC and Deputy, the outgoing Chief Constable and the Chief Fire Officer as well as myself. Both candidates were given the same presentation topic as well as the same questions. All of the members of the interview panel had an opportunity to ask questions and put supplementary questions as they felt necessary to each candidate. The panel also viewed the media exercises done by both candidates to see how the candidates responded to challenging questions on current policing concerns. Each candidate was scored against the answers to their questions against agreed criteria and marked individually by each of the panel members.

Both candidates were considered to meet all of the criteria for the role and were capable of being appointed. The marks for the candidates were considered individually and were then aggregated. The panel awarded the highest marks to Rachel Swann and it was agreed that she met the standards and criteria for the role of Chief Constable of Derbyshire.

I confirm that I am happy to attend the meeting of the Police and Crime Panel. Please do not hesitate to contact me if you would like any further information.

Yours sincerely,

Miranda Carruthers-Watt FCIM, MBA, LLB(Hons) Solicitor.

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