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GUILDFORD
B O R O U G H

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To: All Members of the Guildford &
Waverley Joint Appointments
Committee

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Calls may be recorded for training or monitoring

Date: 12 August 2022

Membership of the Guildford & Waverley Joint Appointments Committee:

Guildford Borough Councillors:

Councillor Joss Bigmore
Councillor Julia McShane
Councillor Paul Spooner

Waverley Borough Councillors:

Councillor Paul Follows
Councillor Peter Clark
Councillor Stephen Mulliner

Dear Councillor

Guildford & Waverley Joint Appointments Committee meeting - Monday, 22 August 2022

A meeting of Guildford & Waverley Joint Appointments Committee will be held in the Room 1- Chancies, Millmead House, Millmead, Guildford, Surrey GU2 4BB on Monday, 22 August 2022 at 3.30 pm and you are hereby summoned to attend this meeting.

The Agenda for the Meeting is set out below.

Yours sincerely,

TOM HORWOOD

Joint Chief Executive of Guildford and Waverley Borough Councils

AGENDA

1. APOLOGIES FOR ABSENCE

2. DISCLOSURES OF INTEREST

To receive from Members, declarations of interest in relation to any items included on the agenda for this meeting in accordance with the Guildford and Waverley's respective Codes of Conduct for Councillors.

3. MINUTES (Pages 5 - 8)

To confirm as a correct record the minutes of the last meeting of the Joint Appointments Committee held on 16 June 2022.

4. APPOINTMENT OF JOINT SECTION 151 OFFICER (Pages 9 - 24)

Appendix 3 is to follow.

5. EXCLUSION OF PUBLIC

The Joint Appointments Committee to consider passing the following resolution:

“That pursuant to Section 100A(4) of the Local Government Act 1972, the public be excluded from the meeting during consideration of the content of the exempt Appendix 3 to Item 4 above, on the grounds that it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that if members of the public were present during the consideration of the matter, there would be disclosure to them of exempt information (as defined by Section 100I of the Act) of the description specified in Paragraphs 1 and 4 of the revised Part 1 of Schedule 12A to the Act, namely:

(1) Information relating to any individual.

(4) Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matters arising between the authority or a Minister of the Crown and employees of, or officer-holders under, the authority.”

GUILDFORD & WAVERLEY JOINT APPOINTMENTS COMMITTEE

MINUTES OF MEETING HELD ON THURSDAY 16 JUNE 2022

Present:

Councillor Paul Follows, Leader, Waverley Borough Council (co- chair – in the chair)
Councillor Joss Bigmore, Leader, Guildford Borough Council (co-chair)
Councillor Peter Clark, Deputy Leader, Waverley Borough Council
Councillor Jan Harwood, Guildford Borough Council
Councillor Julia McShane, Deputy Leader, Guildford Borough Council
Councillor Stephen Mulliner, Waverley Borough Council

Action By

1. APOLOGIES FOR ABSENCE

There were no apologies for absence.

2. DISCLOSURES OF INTEREST

There were no disclosures of interest.

3. MINUTES

The Joint Appointments Committee

RESOLVED: That the minutes of the meeting held on 5 April 2022 be approved as a correct record.

4. EXCLUSION OF THE PUBLIC

The Joint Appointments Committee

RESOLVED: That pursuant to Section 100A(4) of the Local Government Act 1972, the public be excluded from the meeting during consideration of the content of the exempt Appendices 1 and 2 to Item 4 above, on the grounds that it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that if members of the public were present during the consideration of the matter, there would be disclosure to them of exempt information (as defined by Section 100I of the Act) of the description specified in Paragraphs 1 and 4 of the revised Part 1 of Schedule 12A to the Act, namely:

- (1) Information relating to any individual.
- (4) Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matters arising between the

authority or a Minister of the Crown and employees of, or officer-holders under, the authority.

5. APPOINTMENT OF DIRECTORS FOR THE JOINT MANAGEMENT TEAM

Following the candidate assessment process held earlier in the day with regard to the appointment of Joint Strategic Directors, the Joint Appointments Committee (JAC) was now invited to consider formally making a recommendation to both councils in respect of those appointments.

The JAC agreed to take separate votes on each element of the resolution below, including in respect of each recommended Joint Strategic Director appointment.

The JAC

RESOLVED:

(1) To recommend to both Councils that:

- (a) Annie Righton;
- (b) Ian Doyle; and
- (c) Dawn Hudd

be appointed to the new roles of Joint Strategic Director, subject to no material or well-founded objection being made by either of the Council Leaders on behalf of their respective Executives.

(2) To note that the Joint Chief Executive will provisionally offer the roles to the candidates accordingly and progress HR procedures in line with the Councils' relevant policies.

The JAC noted that its terms of reference included the consideration of any financial settlement of an affected employee who was unsuccessful in respect of the selection and appointment of any Joint Directors, and where necessary to make recommendations as appropriate for formal approval by each council.

The JAC then discussed the financial implications for each authority, in terms of possible redundancy payments and pension strain costs, if

- (i) a material or well-founded objection to an appointment was made by either Council Leader, or
- (ii) a successful candidate turned down an offer

noting that under the terms of the Inter Authority Agreement,

redundancy costs would be shared equally between the two councils, but pension strain was borne by the employing council.

Any settlement in excess of £95,000 affecting a Guildford Borough Council employee would require approval of Guildford's full Council. Any settlement in excess of £100,000 affecting a Waverley Borough Council employee would require approval of Waverley's full Council.

It was noted that, should the circumstances in (i) or (ii) above occur and these amounts were exceeded, the JAC would need to reconvene to make a formal recommendation to the relevant full Council to approve the settlement.

The JAC therefore further

RESOLVED: To note that the Joint Appointments Committee has considered the financial settlements of affected employees who are unsuccessful in respect of selection or who may decline an offer, and that further employment processes will follow before any recommendations to both Councils are made if required.

The meeting commenced at 4.17pm and concluded at 4.28pm.

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Joint Appointments Committee Report

Author: Sally Kipping, HR Manager, Waverley Borough Council

Tel: 01483 553499

Email: sally.kipping@waverley.gov.uk

Date: 22 August 2022

Appointment of Joint Section 151 Officer

Recommendation to Committee

The Joint Appointments Committee (JAC) is asked to consider the appointment of the Joint Executive Head of Finance (S151 Officer) and, where appropriate, to recommend an appointment for confirmation at the extraordinary meetings of both councils scheduled to take place in September 2022. Any formal offer of appointment is subject to no material or well-founded objection being made by either of the two Council Leaders on behalf of their respective Executives in accordance with the provisions of Paragraph 5 of Part II of Schedule 1 to the Local Authorities (Standing Orders) (England) Regulations 2001.

Therefore, following the assessment process with the candidate for the Joint Executive Head of Finance (S151 Officer) post, the JAC is recommended:

- (1) To consider whether an appointment to the Joint Executive Head of Finance (S151 Officer) post should be agreed for recommendation to the full meetings of both Councils, which will be made subject to no material or well-founded objection being made by either of the two Council Leaders on behalf of their respective Executives.
- (2) Subject to (1) above, to note that the Joint Chief Executive will conditionally offer the role to the candidate accordingly and progress HR procedures in line with the Councils' relevant policies;

Reason for recommendation:

To appoint a permanent S151 Officer for Guildford and Waverley Borough Councils.

Is the report (or part of it) exempt from publication?

Yes, Appendix 3.

- (a) The content of Appendix 3 is to be treated as exempt from the Access to Information publication rules because the process for candidate selection will involve the disclosure, or likely disclosure of personal information about the candidate and is therefore exempt from publication by virtue of paragraphs 1 and 4 of Part 1 of Schedule 12A to the Local Government Act 1972 as follows:

- (1) "Information relating to any individual".
- (4) "Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matters arising between the authority or a Minister of the Crown and employees of, or officer-holders under, the authority."
- (b) The content is restricted to the members of the Joint Appointments Committee.
- (c) It is not anticipated that the exempt information can be expected to be made available for public inspection.
- (d) The decision to maintain the exemption may be challenged by any person at the point at which the Committee is invited to pass a resolution to exclude the public from the meeting to consider the exempt information.

1. Purpose of Report

- 1.1 In the light of the decision of Guildford and Waverley Borough Councils to form a Joint Management Team (JMT), the JAC will be required to agree the formal appointment of the S151 Officer as per the role profile attached as Appendix 2.
- 1.2 In July and August 2021, Guildford and Waverley Borough Councils both considered options for collaboration and agreed (a) to put in place governance arrangements for the partnership, and (b) to create a JMT comprising Chief Executive, Directors and Heads of Service. The JMT would then be tasked with bringing forward business cases for further collaboration. A Joint Appointments Committee of three councillors from each council was established.
- 1.3 In November 2021, both councils appointed Tom Horwood as the Joint Chief Executive and he started in this role on 1 December 2021.
- 1.4 Following a formal consultation and selection process, in July 2022 both councils approved, on the recommendation of the JAC, the appointment of three joint strategic directors, namely Annie Righton, Ian Doyle, and Dawn Hudd with effect from 1 August 2022.
- 1.5 Every council must appoint the statutory roles of Head of Paid Service, Monitoring Officer, Section 151 Officer (i.e. chief financial officer as per Section 151 of the Local Government Act 1972), Electoral Registration Officer and Returning Officer. These are Full Council appointments. The Joint Chief Executive has been appointed Head of Paid Service, Electoral Registration Officer and Returning Officer. The creation of the JMT will necessitate Full Council approval for the roles of Monitoring Officer and Section 151 Officer once the selection process has concluded.
- 1.6 The JAC's role, as set out in its terms of reference, is:

“Adopting and exercising such of the functions of Guildford Borough Council and Waverley Borough Council (“the councils”) as can be delegated by those councils in respect of the appointment of the councils’ Joint Chief Executive/Head of Paid Service and any Joint Statutory Officer and Director posts as are covered by the Local Authorities (Standing Orders) (England) Regulations 2001 (as amended) or any successor regulations.”

- 1.7 Regarding the statutory offices of Monitoring Officer and Section 151 Officer, the JAC undertakes the appointment process and makes a recommendation to both Full Council meetings. The JAC is being asked to consider an application for the permanent position of Executive Head of Finance which incorporates the S151 Officer role.
- 1.8 Regarding the appointment of the S151 officer, the JAC undertakes an assessment of Leadership Competency as per the role profile. An assessment of technical skill will also be undertaken by the relevant portfolio holders (or their substitute) and an independent S151 Officer from another Council. Feedback from the technical skill assessment will be available for the consideration by the JAC at its meeting.
- 1.9 The final appointment will be “subject to no material or well-founded objection to the making of an offer of appointment being received by either Leader on behalf of their respective executives.”
- 1.10 In advance of the meeting on 22 August, members of the JAC will have been briefed on the proposed new JMT structure and process. They have already made appointments for Directors, and this committee meeting is for the purpose of appointing one of the statutory officer positions. The timetable below is being followed:
 - August-September: appointments process for Head of Service roles
 - September: extraordinary Council meetings appoint statutory office holders if required
 - 1 October: Heads of Service in post
 - October: commence external recruitments if there are any Head of Service vacancies
- 1.11 This meeting of the JAC will follow an interview and technical assessment with the candidate who has expressed an interest in the Executive Head of Finance role. The formal meeting to agree the appointment and (if required) to make a recommendation to the Full Council meetings will commence after the interview and technical assessment have taken place.
- 1.12 Current employees in scope who qualified for the role of Executive Head of Finance have been consulted formally for 30 days as per the councils’ relevant human resources policies and given the opportunity

to make alternative suggestions. Unison, as the councils' recognised trades union, has also been consulted.

2. Strategic Priorities

- 2.1 The Joint Executive Head of Finance will play a pivotal role in the delivery of Guildford and Waverley Borough Councils' aspirations set out in the respective Corporate Plan and Corporate Strategy through the assessment of financial risk, the provision of high-quality financial advice to Councillors and to other members of the JMT. The appointment reflects the next step in both councils' strategic aim of exploring shared opportunities with other local authorities for the benefit of local residents.

3. The appointments process

- 3.1 The Councils seek to recruit a Joint Executive Head of Finance who will form part of the new JMT. The existing Head of Service post in Waverley Borough Council and the existing S151 Officer post covering both councils will be deleted following this process.
- 3.2 Consultation with the Heads of Service ended at 17:00 on 5 August 2022 and the existing Head of Service has until 17:00 on 19 August to express an interest in the role. The role has been ringfenced to the existing Head of Service to minimise the risk of redundancy, and due to the essential accountancy qualification that is required for the role.
- 3.3 The selection process consists of the following steps:
- (a) Expression of interest and current copy of CV
 - (b) Leadership Exercise
 - (c) Presentation to the JAC and Joint Chief Executive followed by questions and answers
 - (d) Competency based questions with the JAC and Joint Chief Executive
 - (e) Technical skills assessment of financial expertise and experience by independent S151 officer together with the Financial Portfolio Holders from both Councils (or their appointed deputy).

Should an expression of interest be received, a copy will be sent under separate cover, together with a copy of the CV of the applicant, to JAC members (the EXEMPT Appendix 3) shortly prior to the interview date of 22 August 2022. A timetable will also be included at that point.

- 3.4 The JAC, supported by the Joint Chief Executive, will assess the applicant using the process above with the interview to be held on 22 August 2022.

4. Appendices

- Appendix 1: Selection Process for Heads of Service into the Joint Management Team
- Appendix 2: Role profile and person specification for the Executive Head of Finance (S151 Officer)
- Appendix 3: (To follow) Timetable of interview, expressions of interest and CVs of applicant (EXEMPT)

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Guildford and Waverley Borough Council: Selection Process for Heads of Service into the Joint Management Team (Updated August 2022)

Date	Details	Comments
By 5pm on 19 August 2022	Candidates express an interest in up to three different roles.	Only one expression of interest (max 500 words outlining interest and suitability + CV) is needed for up to three roles. Roles may be preferred. EOIs are sent to the JCX copied into the Lead Specialist HR and HR Manager.
By 5pm on 19 August 2022	Candidate includes in expression of interest the Leadership Exercise	The topic for the Leadership Exercise and the Presentation topic has been shared with all in scope Heads of Service
W/C 22 August 2022	Interviews with candidates Presentation Structured questions	Presentation (10 minutes) Follow up questions (10 minutes) Interview questions (60 minutes) Questions from candidate/AOB (10 minutes) Panel will be: Head of Paid Service, Director, Portfolio Holder (HR Notetaker)
W/C 22 August 2022	S151 Officer post also has professional discussion with panel	Feedback from panel is sent to the JAC who interview for statutory posts.
By 16 September	Outcomes communicated	
1 October 2022	New JMT are in post	
29 October 2022	4-week statutory trial period ends	

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Role Title	Joint Executive Head of Service for Finance Reporting to: Joint Strategic Director of Transformation and Governance
Role Purpose	<p>Accountable for efficient operational delivery of Guildford and Waverley council services consistent with the strategic aims and values of both councils.</p> <p>Acting as strong leadership and cultural role models, provide energetic, proactive, inspirational decision making, direction, support and guidance to all internal and external stakeholders including partners, Councillors, staff. This will include working collaboratively across partnerships, services, and Councils, driving the collaboration, harmonised culture and change agendas as set by the Councils.</p> <p>As a key member of the Joint Management Team, this role will make a major contribution to driving service efficiency and quality for the residents of Guildford and Waverley.</p>
Senior Leadership Accountabilities	<p>Accountabilities include:</p> <ol style="list-style-type: none"> 1. Providing operational leadership for the functions above. 2. Giving high quality advice and guidance to elected councillors and staff to enable the Councils' priorities and responsibilities to be progressed. 3. To empower your managers to be visibly accountable for the operational outcomes and details of their teams, promoting a positive outward facing culture of high performing, customer focused service and facilitating the drive for collaboration and transformational change. 4. Building constructive working relationships with all relevant stakeholders, including staff colleagues, councillors and relevant external parties. 5. Horizon scanning to keep abreast of innovations, economic legislative and social development affecting your service areas and developing commercial and business thinking to your services. 6. Effectively managing and mitigating risks associated with your services including the Safeguarding Policy for Children and Adults, Health and Safety, business continuity and the risk of fraud and corruption. 7. Promoting equality and inclusion at all levels of service delivery and employment.



	<p>8. Demonstrating the councils leadership competencies and values.</p> <p>9. Building high performing services that continuously improve.</p> <p>10. Proactively identify opportunities for collaboration and change in accordance with agendas set by the Councils, promoting a culture of collaborative leadership through the wider joint management team, fairly and objectively representing the interests of both councils and the effective working of the organisations.</p> <p>11. Leading on key corporate programmes and projects as required.</p> <p>12. Champion and role model the harmonised organisational culture of the Councils ensuring that the Councils' values are lived.</p> <p>13. Leading the engagement with key strategic stakeholders in your service areas, including those from the statutory, business and voluntary sectors at borough, county and national level.</p> <p>14. Attending, as required, meetings of the Councils, Executives, Committees, Special Interest Groups and external meetings.</p> <p>15. Representing the Councils (and/or ensure that the Council is represented) externally and to promote and present a positive image to partners, representative bodies and other organisations, as necessary.</p>
<p>Initial Role Specific Accountabilities</p>	<p>This role has shared responsibility for Council budgets</p> <p>This role is the Section 151 Officer and is therefore the Chief Financial Officer with responsibility for the development of the medium-term financial strategy and provision of financial leadership to deliver long-term financial sustainability, optimising the efficient use of resources to support Council priorities. The role provides timely and pragmatic financial advice which is solutions-driven and incorporates a thorough understanding and assessment of risk in accordance with the CIPFA guidance: Role-of-CFO-in-LG 2016.</p> <p>The functions that this role leads are:</p> <ul style="list-style-type: none"> • Finance and Accounting (General Fund and HRA) • Internal Audit • Procurement • Revenues and Benefits <p>Please note that this is a statutory officer role and as such appointment must be agreed by Guildford and Waverley full Council.</p>

Role Dimensions	<p>Direct Reports <i>(NB Please note that as job titles frequently change, the below represent functions of roles and not job titles)</i></p> <p>TBC</p> <p>Number of staff approximately: Up to 100</p>
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Additional Notes:

1. All work performed and duties undertaken must be carried out in accordance with relevant Council and Service policies and procedures, within legislation and with regard to the needs of our customers and the diverse communities we serve.
2. This document sets out the main dimensions of the job it describes. It does not define all individual tasks, which may be expected to change from time to time to meet operational needs.
3. You will be expected to be flexible in your duties and carry out any other duties commensurate with the grade and falling within the general scope of the job, as request by your line manager.
4. This is a politically restricted post. You cannot be elected as a councillor in any local authority whilst employed in this role.
5. The statutory roles of Monitoring Officer and Section 151 Officer will be held by a member of the Joint Management Team. Deputy roles may be held by other senior managers.

Health and Safety / Risk Management

1. Ensure that all aspects of the Councils' Health and Safety Policies and Procedures are adhered to.
2. Be responsible for identifying and managing all risks associated with the job role through effective application of internal controls and risk assessments to support the achievement of corporate and service objectives.
3. Be available to assist in Emergency / Disaster Recovery situations.
4. Participate in the Councils' out of hours rota.
5. Adhere to the relevant Councils' constitution.
6. Champion Safeguarding policy and practice.



Contacts and Relationships

In this post, you will have significant contact with Councillors and senior officers of the Council. The Council's Code of Conduct will apply.

Head of Service Person Specification

(please note the below are all essential requirements)

Qualifications

1. Educated to at least degree level or equivalent experience
2. Evidence of commitment to professional development (CPD)
3. As this role is the Section 151 Officer, the post-holder must hold appropriate accountancy qualifications and supporting experience to be able to fulfil the role of Chief Financial Officer in accordance with CIPFA guidance.

Experience

1. Significant post-qualification experience of strategic financial management, accounting and governance, preferably in a local government setting
2. In depth knowledge of local government financial management and accounting including the legal and regulatory framework
3. Experience leading across different specialisms with staff leadership and budgetary responsibility.
4. Experience of procurement, contract management and service commissioning.
5. Experience of developing business cases and projects to work collaboratively, overseeing implementation and evaluating success.
6. Experience of achieving positive outcomes when handling complex employment relationships issues including change programmes, culture development and case management
7. Proven track record of working successfully in a public sector environment with experience in their Service area.

Knowledge

1. Highly numerate and commercially aware, recognising the importance of value for money in all Council activity
2. Detailed understanding of strategic operational delivery including specific operational knowledge in Service area.
3. Knowledge of leadership models, styles and behaviours including an ability to engage, motivate and coach/mentor others to deliver.
4. Knowledge of facilitating business transformation based on systems thinking and use of technology.
5. An understanding of, and a commitment to, addressing equality and inclusion issues.

Skills and Abilities

1. Able to maintain effective relationships with Councillors.
2. A strong corporate player, able to align with the Councils' values, work collaboratively and develop shared approaches with colleagues across both councils, representing the interests of both Councils fairly and objectively.
3. An enabler, with the ability to manage a wide range of complex issues and agendas at the same time and drive change through influence and diplomacy.
4. Creative and imaginative. Able to see new approaches with an ability to communicate the vision, overcoming obstacles and showing that ambitious goals can be achieved.
5. Able to provide a clear and articulate overview of complex issues and provide sound professional and reliable advice in an accessible and non-technical manner.
6. Commercially aware, recognising the importance of value for money in all Council activity.
7. Able to demonstrate the leadership competencies including being able to lead, motivate and inspire diverse teams of staff, build capacity and promote a highly engaged, high performing staff team who can adapt to change.
8. Able to work collaboratively with other service areas and external organisations and build alliances and long and short-term partnerships.
9. Excellent communication skills and ability to positively enhance the reputation of the Councils.



10. Ability to work at pace, while managing a complex workload and maintaining your own resilience.

Leadership Competencies

Strategic Thinking:

- Sees the bigger picture
- Predicts future risks and opportunities
- Communicates overall direction
- Adapts to changing circumstances
- Maintains positivity in difficult times
- Supports organisational decisions
- Is comfortable with ambiguity
- Drives innovation and transformation
- Turns vision into tangible plans
- Brings the outside in to the organisation
- Takes time for own professional development
- Works with uncertainty

Delivery Through People

- Engages and motivates people
- Listens and responds appropriately
- Builds relationships with key stakeholders
- Works in partnership within and across Councils
- Builds effective working relationships
- Encourages creativity
- Communicates clearly and appropriately
- Is a positive role model
- Coaches and supports
- Celebrates, encourages and learns from different views and experiences
- Is politically astute
- Negotiates and influences

Excellence for Customers

- Provides good value for money
- Achieves high quality outcomes / results
- Is personally effective
- Focuses on customer service

- Manages conflicting priorities
- Embraces technology
- Manages risk
- Manages peaks and troughs of demand
- Focuses on community and local economy
- Takes a 'digital first' approach
- Takes a learning approach to continuously improve
- Champions collaboration

Governance

- Follows policies, processes, procedures and standards
- Is open, honest, and transparent
- Acts with integrity
- Has strong ethical compass
- Ensures fairness in all dealings
- Builds trust
- Takes accountability and ownership of issues
- Bases decisions on evidence and research
- Is consistent with decision making
- Understands the community and environmental impact of decisions
- Demonstrates financial responsibility

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