



GUILDFORD
BOROUGH



Guildford Borough Council

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To: All Members of the Guildford &
Waverley Joint Senior Staff
Committee

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Calls may be recorded for training or monitoring

Date: 4 April 2024

Membership of the Guildford & Waverley Joint Senior Staff Committee:

Guildford Borough Councillors:

Cllr Julia McShane (co-chair)
Cllr Philip Brooker
Cllr Fiona White

Waverley Borough Councillors:

Cllr Paul Follows (co-chair)
Cllr Tony Fairclough
Cllr Peter Martin

Dear Councillor

**GUILDFORD & WAVERLEY JOINT SENIOR STAFF COMMITTEE
MEETING - FRIDAY 12 APRIL 2024**

A meeting of GUILDFORD & WAVERLEY JOINT SENIOR STAFF COMMITTEE will be held in Committee Room 2 (Newlands), Millmead House, Millmead, Guildford, Surrey, GU2 4BB on FRIDAY 12 APRIL 2024 at 10.00 am and you are hereby summoned to attend this meeting.

The Agenda for the Meeting is set out below.

Yours sincerely

PEDRO WROBEL
Chief Executive

AGENDA

1. APOLOGIES FOR ABSENCE
2. DISCLOSURES OF INTEREST
3. EXCLUSION OF THE PUBLIC

The Joint Senior Staff Committee is asked to consider passing the following resolution:

“(1) That pursuant to Section 100A(4) of the Local Government Act 1972, the public be excluded from the meeting during consideration of agenda item 4 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 items, there would be disclosure to them of exempt information (as defined by Section 100I of the Act) of the description specified as appropriate in Paragraph 1 of the revised Part 1 of Schedule 12A to the Act namely:

Para (1): Information relating to any individual.

(2) That the public interest in maintaining the exemption outweighs the public interest in disclosing the information.”

4. APPOINTMENT OF JOINT STRATEGIC DIRECTOR OF FINANCE/SECTION 151 OFFICER (Pages 3 - 20)

Guildford and Waverley Borough Councils

Report to: Joint Senior Staff Committee

Date: 12 April 2024

Ward(s) affected: N/A

Report of Manager: HR Manager

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Report Status: Open

Appointment of Joint Strategic Director of Finance /Section 151 Officer

1. Executive Summary

- 1.1 Section 151 of the Local Government Act 1972 requires local authorities to make arrangements for the proper administration of their financial affairs and appoint a S151 Officer, also known as a Chief Financial Officer, to have responsibility for those arrangements.
- 1.2 Due to the changes to the Corporate Management Board structure and the advertising of the permanent role of Joint Strategic Director of Finance/Section 151 Officer a permanent appointment is required to ensure that both Councils meet their statutory requirements.
- 1.3 The role of permanent Joint Strategic Director of Finance/Section 151 Officer was advertised internally and externally across the recruitment platforms at Waverley Borough Council and Guildford Borough Council from Monday 18 March to Monday 25 March 2024. The external advertising at Waverley included the role being placed on Jobs Go Public an external recruitment site specialising in public

sector recruitment. Jobs Go Public is also the chosen platform for the Local Government Association. The role is advertised on their main sites and across their social media platforms as well as on the LG Jobs (Local Government site).

- 1.4 The statistics on the Jobs Go Public site indicate that the role received 464 views across all platforms and 118 apply clicks which meant potential candidates also then clicked through to find out further information on the role.
- 1.5 Only one application was received, which was from the current interim S151 Officer, Richard Bates.
- 1.6 Richard Bates has been in the role of interim Executive Head of Finance/ S151 Officer since 17 July 2023, and, latterly, the role of Interim Joint Strategic Director of Finance.
- 1.7 The Joint Senior Staff Committee (JSSC) is asked to conduct an interview of Richard Bates for the permanent role of Joint Strategic Director of Finance/Section 151 Officer and, where appropriate, to recommend an appointment for confirmation at the full meetings of both Guildford and Waverley Borough Councils to be held respectively on 16 and 23 April 2024. 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.

2. Recommendation to Joint Senior Staff Committee

- 2.1 That the Joint Senior Staff Committee interviews Richard Bates for the permanent role of Joint Strategic Director of Finance/Section 151 Officer.
- 2.2 That, subject to satisfactory interview, the Joint Senior Staff Committee is asked to recommend to the full meetings of both Guildford and Waverley Borough Councils to be held respectively on 16 and 23 April 2024 the appointment of Richard Bates to the permanent role of Joint

Strategic Director of Finance / Section 151 Officer, 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.

3. Reasons for Recommendation:

- 3.1. Section 151 of the Local Government Act, 1972 requires that local authorities have in place arrangements for the proper administration of their financial affairs.
- 3.2. Richard Bates is a qualified Accountant and experienced local authority Chief Financial Officer. He has held the S151 Officer role at Dorset County Council and interim S151 Officer at Mendip District Council (see Exempt Appendix 2 – Richard Bates - Summary Curriculum Vitae)
- 3.3. Richard Bates has been carrying out the responsibilities of the role of interim Executive Head of Finance/S151 Officer at both authorities since 17 July 2023 and, latterly, the role of Interim Joint Strategic Director of Finance.

4. Exemption from publication

- 4.1 Yes. Appendix 2.

The content of Appendix 2 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."

- 4.2 The content is restricted to the members of the JSSC.
- 4.3 It is not anticipated that the exempt information can be expected to be made available for public inspection.
- 4.4 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.

5. Purpose of Report

5.1 In the light of the decision of Guildford and Waverley Borough Councils to form a Joint Management Team (JMT), the JSSC will be required to agree the formal appointment of the S151 Officer as per the role profile attached as Appendix 1.

5.2 Every council must appoint an officer to the statutory role of Section 151 Officer (Chief Financial Officer).

5.3 The JSSC'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.”

5.4 Regarding the statutory office of Section 151 Officer, the JSSC undertakes the appointment process and makes a recommendation to both Full Council meetings. The JSSC is being asked to consider an application for the permanent position of Joint Strategic Director of Finance which incorporates the S151 Officer role.

5.5 Regarding the appointment of the S151 officer, the JSSC undertakes an assessment of Leadership Competency as per the role profile.

- 5.6 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.”

6. Strategic Priorities

- 6.1 The Joint Strategic Director of Finance plays 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.

7. Background

- 7.1. Richard Bates has fulfilled the role of interim Executive Head of Finance / Section 151 Officer since 17 July 2023.
- 7.2. Both Councils are required to have a Section 151 Officer in place to fulfil their statutory financial obligations under Section 151 of the Local Government Act 1972.

8. Key Risks

- 8.1 Local authorities are required to have a Section 151 Officer in place so that they can fulfil their statutory financial obligations under Section 151 of the Local Government Act 1972.

9. Financial Implications

- 9.1 Under the collaboration agreement, the cost of employing a Joint Strategic Director of Finance and Section 151 Officer is split equally between the two councils, with Waverley being the employing council. From 1 April 2024, the salary for a Strategic Director is a spot salary of £127,850 p.a.
- 9.2 The candidate is provided by Hays Specialist Recruitment Ltd. At this level of seniority of role, a placement fee of 25% is normally charged based on the annual salary. This would equate to £31,962.50. Again, this would be split equally between the two councils.

10. Legal Implications

- 10.1 Section 2 (6) Local Government & Housing Act 1989 provides that the officer having responsibility, for the purposes of section 151 of the Local Government Act 1972, for the administration of an authority's financial affairs is a Statutory Chief Officer.
- 10.2 Both Councils are required to have a Section 151 Officer to fulfil statutory financial obligations under Section 151 of the Local Government Act.
- 10.3 In accordance with Officer Employment Procedure Rule 3.3, the JSSC is responsible for the recruitment and selection process of the Joint Section 151 Officer, and for making a recommendation to the Council of both Waverley Borough Council and Guildford Borough Council for the designation of the role to their preferred candidate. Approval of the appointment of the Joint Section 151 Officer must be confirmed at Full Council Meetings of both authorities.
- 10.4 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.

11. Human Resource Implications

- 11.1 The Joint Strategic Director of Finance and Section 151 Officer is a key role and part of Corporate Management Board at Waverley and Guildford Borough Councils.

12. Equality and Diversity Implications

- 12.1 Equality impact assessments are carried out when necessary to ensure service delivery meets the requirements of the Public Sector Equality Duty under the Equality Act 2010. There are no immediate equality, diversity, or inclusion implications in this report's recommendations. Impact assessments may be required as further

collaboration proposals are developed and implemented and will be reported as appropriate.

13. Climate Change/Sustainability Implications

13.1 None

14. Conclusion

14.1 To ensure continuity and consistency at challenging financial times it is essential for the Finance Service to have a Joint Strategic Director of Finance / Section 151 Officer.

14.2 Appointment to the role is essential to ensure that both Councils meet the statutory requirements of Section 151 of the Local Government Act 1972.

15. Background Papers

None

16 Appendices

Appendix 1 – Joint Strategic Director of Finance / Section 151 Job Profile

Appendix 2 – Richard Bates – Curriculum Vitae (EXEMPT)

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Role Title	Joint Strategic Director of Finance (Section 151 Officer) Reporting to: Joint Chief Executive
Role Purpose	<p>This role provides leadership, engagement and vision for Council's managers and staff and guidance to the Joint Chief Executive and Councillors of both Councils.</p> <p>Accountable for efficient operational delivery of Guildford and Waverley council services consistent with the strategic aims and values of both councils.</p> <p>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 Director Team, this role will make a major contribution to corporation direction and leadership, achieving the aims of the collaboration and 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.



	<p>7. Promoting equality and inclusion at all levels of service delivery and employment.</p> <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

	Please note that this is a statutory officer role and as such appointment must be agreed by Guildford and Waverley full Council.
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>

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 Councils' Code of Conduct will apply.

Joint Strategic Director of Finance Person Specification

(please note the below are all essential requirements)

Qualifications

1. Educated to at least degree level or equivalent experience
2. Professional qualification in business management (e.g. MBA) or clear evidence of commitment to developing as a senior leader
3. Evidence of commitment to professional development (CPD)
4. 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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By virtue of paragraph(s) 1 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Agenda item number: 4
Appendix 2

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