

People and Transformation

BUSINESS PLAN 2019-2023



2021-2022 Refresh

Service Summary and Operating Context

People and Transformation provides professional advice on a wide range of areas to support other parts of the Council to operate effectively and to change and improve. Together, all parts of People and Transformation are fundamental to achieving our Council's priorities by enabling informed decision-making and providing sound advice and support. We enable and support the modernisation of Council services by delivering on the transformation and efficient services agenda.

We develop and lead the Council's approach to transformation, communication, health, safety and wellbeing, human resources, performance and improvement, customer, digital and ICT services. We help the Council develop the capacity to learn and change, operating as a coherent and unified Council working in an efficient and effective manner.

We have a proven track record of delivering efficiencies through leading transformation, and do not underestimate the scale of the challenge over the next few years. We consistently look for opportunities to reduce operating costs and rationalise spending, recognising the importance of protecting frontline services from the impact of reducing Council funding.

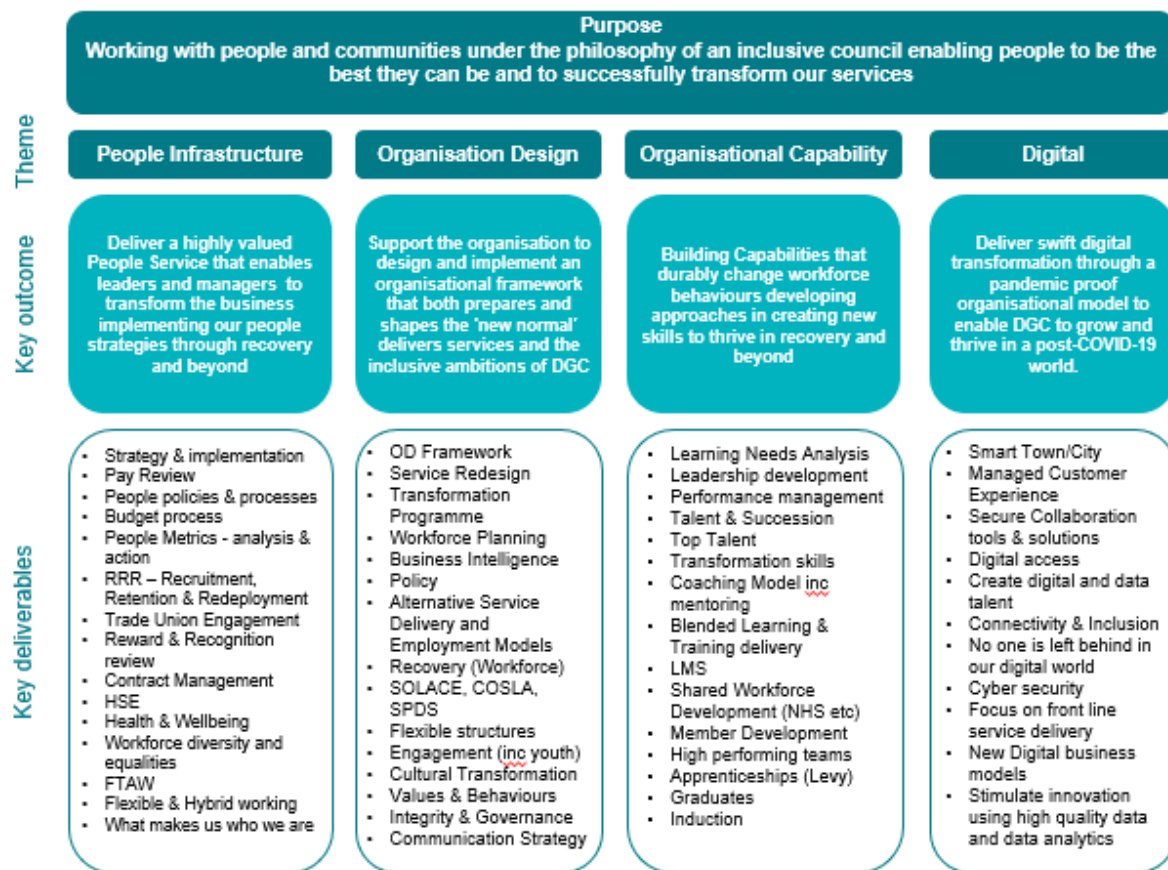
During the pandemic, our services were at the forefront of supporting the Council to continue to deliver frontline services:

- **Our Workforce:** ensuring that the workforce was safe, deployed in the areas of highest priority and that essential front-line services could continue to be delivered. A key component of the transformation of our workforce is the lateral movement of staff across the Council – throughout the response to Covid19, staff were deployed to the areas of greatest need, this approach was at the heart of the success of our response activity. We disseminated UK/Scottish Government and COSLA guidance relating to strategic workforce issues and provided essential, regular and targeted information on health and safety, working arrangements (annual leave etc.), terms and conditions and health and wellbeing through our staff briefing programme. Our team developed detailed workforce metrics to help inform SLT and CMT on key aspects linked to the pandemic, such as deployment numbers, locations, roles, COVID and self-isolation information that would help inform strategic decisions linked to workforce deployment, visibility of workforce availability, and targeted support and advice around issues of homeworking and health and wellbeing. This work enabled responsive decisions could be made to support our workforce and service delivery requirements throughout the pandemic.
- **Health and Safety:** a new structure was put in place to consolidate all health and safety expertise under a single leadership model and to deploy that expertise, and in greater numbers to where the need was greatest. Demonstrated the benefits from a collaborative and partnership approach that recognised that all 112 Schools had revised safe systems of work and risk assessments in place prior to the return of pupils, as well as significant other public buildings including Customer Service Centres, public toilets and community halls. In addition, all health and safety work was shared across the team building new skills and capability across the team giving exposure to new

areas of business for our health and safety experts. This has resulted in a new structure being approved by SLT on a new consolidated future model for health and safety using the COVID learning to drive forward a new and exciting chapter for health and safety in the future.

- **Technology:** significant work was carried out to support the council's response to the pandemic, with new functionality being provided in the Social Care system to support shielding and vulnerable clients, along side the introduction of a Single Access Point for Social Work, allowing joint delivery of critical services with the NHS through a single managed hub. Additionally 3,500 staff were enabled to work remotely with upgraded security to have full access to their corporate systems, and an additional 2,500 devices (laptops and smart phones) issued. A further 900 devices were provided to Schools to support vulnerable pupils. Work with national NHS Digital Team allowed increased collaboration with NHS colleagues. A number of online services, including a HWRC booking system were created, to support the pandemic response.
- **Communication:** the way that we communicated with staff, stakeholders and our communities changed. We increased our social media presence, introduced community newsletters, delivered podcasts to the public and staff.
- **Data and information:** the availability and use of data significantly increased including the production of weekly reporting on the national and local position and impacts.

Our refreshed Business Plan for 2021/22 sets out how we will consolidate the learning and experience from responding to the pandemic as well as how we will support and enable the delivery of the Council's ambitions, priorities, and commitments. This forms the basis of all the work carried out within People and Transformation Services.



Key successes 2020/21

The support that People & Transformation provided across the Council throughout the response to the pandemic was a significant success – our staff were at the heart of working with front-line services to ensure and enable the delivery of essential services – successfully deploying staff to areas of priority, supporting and enabling the establishment of the shielding service, childcare hubs, ensuring appropriate technology was in place: to enable staff to work from home and enhancing technology available to front-line workers to allow increased contact with vulnerable people in our region, ensuring the health, safety and welfare of all staff and communicating with staff, partners and our communities.

Key activities within our existing Business Plan have increased in pace and momentum as we responded to the pandemic:

- **Implementation of the Council's ICT and Digital Strategy** - there is an increased focus and uptake on digital delivery of services, and improvements to our digital platforms. A number of systems were upgraded (e.g. CRM, GIS, Carecall and security firewalls) while further critical systems were migrated to cloud solutions (eg Mosaic, iTrent). Our telephony system was moved to a digital platform and with a call centre upgrade provided an opportunity to create a telephony platform to support services as they transform (e.g. IVR, Skills based routing), and support the shielding and registration response to the pandemic. A virtual desktop solution was created for Schools to enable blended learning supported by funding bids to DCMS (£1.3M) for additional rural bandwidth. Supported by Microsoft a Modern Workplace Centre of Excellence

was created and solutions implemented in partnership with Facilities Management colleagues. Work is progressing on a number of customer focused activities including the development of an online customer portal, customer authentication, and improvement of existing customer service delivery.

- **Mobile and agile working** – the way that we all work has changed significantly. We are further ahead than we would have ever been with flexible and agile approaches to work. The vision of ‘work is what you do, not a place you go to’ has been realised and as part of the renew activity, the future impact of this on the way that services are delivered, and our use of physical resources will be assessed.
- **Transformation Theme – Our Workforce** – the work packages within this theme are well developed. (1) Upskilling and developing our workforce: this has been a key focus over the last year with staff being supported and encouraged to work differently and across services – lateral movement of staff was key to our Council response to the pandemic; (2) Alternatives for staff: increased partnership working has seen movement of staff and joint working across organisations to support our response to the pandemic. We have also developed opportunities with Colleges and Universities as well as joint posts and apprenticeships – through the Employer Apprenticeship Grant 6 MA’s were recruited to in Roads and Transport Services, Youth Services have employed MA’s, INSPIRE Graduate Programme – recruiting five graduates to align to DGC Recovery Themes and partnering with local Universities.
- Regional Graduate placements – four regional graduates – two are partnership working with Loreburn Housing Association and Golazo UK. The other two will be in Economic Development & Employability and the final in Inclusive Digital Skills, Kickstart – 120 kickstart opportunities in DGC, bulk of the number is in Social Care with the rest in Youth Work and Roads Service, Graduate Apprenticeships – opportunities for internal staff to undertake degree courses e.g. Data Science, Business Management, through DGTransform Secondment/attachment opportunities in alternative public sector organisations e.g. NHS, Scottish Government and other local authorities (3) Helping our workforce to adapt – health and wellbeing of staff has never been more relevant. Through regular staff bulletins and dedicated support for the COVID HR team, significant development of health and well being resources were shared with and utilised by the workforce to ensure they worked safely. The strategic health and wellbeing group had oversight of all health and wellbeing initiatives and these continue to be developed, aligned to close collaborative working with the Joint Trade Unions to join up and present a suite of activities and guidance designed to support our workforce, utilising over 100 mental health champions who would be available to anyone who wished to talk through any wellbeing concerns. The Wellbeing Group has now also extended into Community support and building relationships with other organisations (SOSE now officially part of the strategic wellbeing group) in Dumfries and Galloway to build a truly partnership approach to health and wellbeing in Dumfries and Galloway region.
 - Development of a programme of mental health awareness training so senior, middle and front-line managers

- DGTogether – a strategic approach to health and wellbeing, a programme of information, campaigns and activities, self-help, communication and engagement to support a mentally healthy workforce and families, and other activities to support physical, and financial wellbeing
- Development of wellbeing checks for workforce carried out by Occupational Health in partnership with RRR
- Case Management Review Panel – Introduction of a professional scrutiny panel to review all Human Resources related cases to ensure effective progress by competent and enabled managers. Working in partnership with Legal Services
- £500 payment to Social Care Staff – On behalf of Scottish Government, implement the Social Care Payment Scheme to all eligible Social Care Staff who supported the delivery of critical and essential services during the COVID pandemic.

Challenges

The challenges facing our services and the Council are many and varied. We are facing a significant period of change as we support the Council in the recovery from Covid19. Supporting the renewal of services will take time and consideration to ensure we adapt, learn, and grow from the experiences of the last 12 months.

We must ensure that our key strategies and policies are updated to reflect new and changed delivery models and ways of working to ensure that they are both relevant and appropriate.

We must not underestimate the impact that the last year will have had on our workforce – the support that staff will require will be varied, for some returning to a physical workplace will be a significant concern. It is important that we fully engage and involve our workforce and support them.

Opportunities

There are significant opportunities to continue the progress that has been achieved in the last year, both within People and Transformation Services and in supporting services across the Council to change the way that they deliver. We will work with services to embed new ways of working, ensure that people plans are in place and that digital delivery is progressed.

We will continue to build on strengthening our partnership working – both from a people perspective and a technology perspective.

Key areas of focus for the year ahead

People Infrastructure – to deliver a highly valued people service that enables leaders and managers to transform the business, implementing our people strategies through recovery and beyond. Key deliverables:

- Development and implementation of a new People Strategy
- Pay review
- People Metrics with supporting analysis and action points
- Reward and recognition review

Organisation design – support the Council to design and implement an organisational framework that both prepares and shapes the ‘new normal’ and delivers services and the priorities of the Council. Key deliverables:

- Organisational Development Framework
- Transformation Strategy
- Service Redesign
- Development of alternative delivery models and employment models

Organisational capabilities – building capabilities that durably change workforce behaviours, developing approaches in creating new skills to thrive in recovery and beyond. Key deliverables:

- Learning needs analysis
- Leadership development
- Talent and succession planning
- Blended learning and training delivery

Digital – deliver swift digital transformation through a pandemic proof organisational model to enable the Council to grow and thrive in a post-Covid19 world. Key deliverables:

- Smart Town/City options
- Managed customer experience
- New digital business models
- Digital access

Appendix 1

Performance Information covering:

- Council Plan contributions
- Transformation Activity
- Renewal and recovery Activity
- Key Functions
- Risks

Appendix 2

Workforce Information covering

- Core charts and data
- Service specific narrative

Appendix 3

- **Financial Budgets**

Business Plan Refresh – Appendix 1

Performance Information

The tables below highlight our detailed deliverables for the year ahead, aligned to our strategic priorities and commitments, together with the risks we face.

Our Strategic Priorities are numbered as follows:

1. Build the local economy

- 1.1 Improve the level of skills within our communities and workforce
- 1.2 Support our small and medium sized businesses to be established and grow
- 1.3 Invest in our key infrastructure
- 1.4 Provide an attractive location to do business

2. Provide the best start in life for all our children

- 2.1 Ensure early intervention, in particular to keep our region's most vulnerable children safe
- 2.2 Invest in creating schools fit for the 21st century which are at the heart of our communities
- 2.3 Raise ambition and attainment, in particular to address inequalities
- 2.4 Support children to be healthy and active

3. Protect our most vulnerable people

- 3.1 Tackle the causes and effects of inequality and poverty
- 3.2 Help older or vulnerable people live healthy and independent lives
- 3.3 Ensure older or vulnerable people receive the care and support they need
- 3.4 Keep our communities safe

4. Be an inclusive Council

- 4.1 Ensure that local people and communities are at the heart of our decision making
- 4.2 Empower our communities to make the most of their assets
- 4.3 Increase equality of opportunity

5. Urgently respond to climate change and transition to a carbon neutral region

- 5.1 Encourage understanding of how the way we live and work in the region impacts on climate change
- 5.2 Empower our communities and stakeholders to make significant changes to reduce emissions and adapt to a low carbon approach
- 5.3 Lead on the transition to cleaner and greener technologies
- 5.4 Promote and protect our region's natural environment
- 5.5 Contribute to a greener economy, maximising the region's green energy potential

6. Transformation Activities

- 6.1 Prioritise our resources
- 6.2 Improve our Customer and Digital Offer
- 6.3 Modernise our Council
- 6.4. Maximise use of fewer assets
- 6.5 Develop a smaller more flexibly skilled workforce for the future
- 6.6 Maximising our income and underpinning fairness through targeted concessions

7. Renewal Activity

- 7.1 Developing alternative delivery models to ensure a sustained Focus on Council Priorities with agile, affordable, and achievable services
- 7.2 Support the Local Economy and maximise the benefits of Borderlands and South of Scotland Enterprise (SOSE)
- 7.3 Take a practical and inclusive approach to everything we do focusing on tackling inequalities and supporting the Vulnerable across a broad range of services, partners, and communities.
- 7.4 Take a practical and inclusive approach to the needs of Children and Young People across a broad range of services, partners, and communities.
- 7.5 Support the development of an inspirational and engaged workforce and reduce our number of buildings.

7.6 Support Third Sector Dumfries and Galloway to develop locality hubs as the focus for working and achieve investors in volunteering status

7.7 Take forward opportunities to improve sustainability and tackle climate change.

8. Recovery Activity

8.1 Schools and learning

8.2 Economy and Business

8.3 Inequality and Vulnerability

8.4 Local Communities

8.5 Climate Recovery

9 Key service functions

9.1 People / Learning and Growth

9.2 Process

9.3 Customer

9.4 Finance / Asset

10. Health and Safety

10.1. Our Service will set out and demonstrate our commitment and arrangements for health and safety.

10.2 Our Service shall incorporate health and safety considerations when planning activities and before carrying out tasks.

10.3 Our Service shall ensure people have the competency to enable them to fulfil their H&S responsibilities

10.4 Our Service shall consult, engage, and communicate effectively on H&S arrangements.

10.5 Our Service shall work safely and be positive and pro-active in our approach.

10.6 Our Service shall monitor that we are managing H&S effectively

10.7 Our Service shall audit and review our H&S arrangements to encourage continuous improvement.

10.8 Incident Information

Service Risks

Table 1 outlines what we are going to do:

Project	Deliverable	Strategic Objective	Timescale	Status	Area Reporting
NEW -Implementation of the People Strategy 2021-2023.	A wider focus than just our workforce but with the wider population including our workforce families and communities.	1.1	31 March 2023	Not started	
NEW – Implementation of the Organisational Development Framework	To be an inclusive council that delivers agile, affordable, and achievable services.	4.1	31 March 2023	Not started	
NEW – Assessment of the digital skills within our people	To identify a baseline level of digital skills within our people.	4.1	December 2021	Not started	
Digital Improvement: Enhancements and improvements to our Digital Customer Channel	An upgraded customer relationship management system enabling a flexible multi-channel approach to redesigning our business processes to maximise the impact of technology on the customer journey.	4.3	31 May 2022	In Progress	
Implementation of the Council's ICT and Digital Strategy	To deliver a more robust, secure, and functional ICT environment to enable services to meet customer needs.	4.3	30 November 2021	In Progress	

Project	Deliverable	Strategic Objective	Timescale	Status	Area Reporting
NEW – Produce the Equalities Mainstreaming Report 2021-2023	The work the Council has undertaken to integrate equality and diversity in the day-to-day workings of our Council for the period 1 June 2021 to 31 March 2023 will be reported on as XXXX.	4.3	31 March 2023	Not started	
NEW – Pay and Reward Review	Our package of pay and reward benefits are fit for purpose, modern and flexible to support a workforce for the future.	4.3	31 March 2022	Not started	
NEW – Implement the Council's Human Resources Policy Framework 2021-2023	HR policy and procedures reviewed with consultation and engagement with Trade Unions, managers, and other stakeholders.	4.3	31 March 2023	Not started	
NEW – Development of a Transformation Strategy	The strategy will take into account the learning and opportunities to change identified through the covid response.	4.3	30 September 2021	Not started	
NEW – Implementation of the Transformation Strategy	To deliver sustainable change and future operating models and contributes savings.	4.3	31 March 2023	In progress	
NEW – Implementation of Business Intelligence for People	This will allow us to develop a better understanding of the people across our region, and our staff, as we build a great place to live and work through improvements information and reporting on achievements.	4.3	31 March 2023	In Progress	
NEW – Implementation of Business Intelligence for Services	Having the right information and processes will allow us to make wise choices in the way that we run our services and budgets through whatever societal challenges we may face at any one time.	4.3	31 March 2023	In Progress	
NEW - Implementation of Business Intelligence for Transformation	Getting the most out of our data, basing our toughest choices on the strongest analysis and using technology to both drive and transform our services.	4.3	31 March 2023	In Progress	
NEW - Refresh of the Advocacy and Lobbying Strategy and monitoring arrangements	A framework which aims to ensure that the organisation is effective in influencing decision-makers and supports our Priorities and Commitments. This will with increase our opportunity to influence major projects, decisions, and reforms, and to attract investment into our region.	4.3	31 March 2022	Not started	
NEW - Policy Development in Support of Council Priorities and plans	Elected Members supported to develop priorities and plans in line with national policy development.	4.3	31 March 2023	Not started	

Project	Deliverable	Strategic Objective	Timescale	Status	Area Reporting
Implementation of the Council Communications Strategy	To ensure that we deliver the right message, to the right people, in the right format, at the right time. All communications produced by the Council should be recognisable, internally, and externally.	9.3	31 March 2022	In Progress	
NEW – Implement the Communications and Marketing Strategy		9.3			
Integrate ICT Systems, Budgets & Staffing	Realising the savings due to the consolidation of all council ICT expenditure	6.2	31 March 2022	In Progress	
Increase opportunities for customers to self-serve online	An increase in the number of online council services available to citizens of Dumfries and Galloway.	6.2	17 December 2021	In Progress	

Table 2 outlines how we will measure what we do:

Indicator	Purpose of measure	Target	Strategic Objective	Area Reporting
Number of participants within the Graduate Employment Scheme	The Council is committed to providing opportunities to graduates that live or have gained their qualification in the region to retain the skills.	5	1.1	
Percentage of opportunities which are filled in the Graduate Employment Scheme	To understand the percentage of graduates that successfully go into further employment or education after completing the graduate programme.	100%	1.1	
NEW - Percentage of staff who are registered as carers who feel supported in carrying out their caring role.	To understand how effective the Carer's policy is in terms of providing the support to our staff who have caring duties and identify any areas in the policy development and to provide further support and guidance for individuals as required.	XX	3.3	
NEW - Percentage of staff who are registered as carers have carers maintained or improved their level of health and wellbeing.	To understand how effective the Carer's policy is in terms of ensuring that our staff's health and wellbeing is maintained or improved and if not provide further support and/or signposting to where they can access services to help them.	XX	3.3	
NEW - Number of people who have completed mandatory training	To demonstrate compliance with Council policy and procedures by ensuring that people have the appropriate training in order to carry out specific duties within their job.	XX	4.3	
Percentage of successful visits to the Council Website	To provide an insight into use of our website and areas where difficulties are experienced, so we can deliver a better online experience and measure the success of the improvements we make.	53%	4.3	
The percentage employees in the highest paid 5% of earners among council employees that are	This indicator provides a picture of the current gender balance in more senior posts. The delivery of quality services is dependent on a trained and motivated workforce and it is essential that councils' employment policy reflects their commitment to equal opportunities.	50%	4.3	

women (excludes teachers) - LGBF	This helps identify areas of potentially unfair or discriminatory practices.			
Number of people purchasing annual leave	The Council has a Scheme which allows employees to purchase up to 72 hours (maximum for a full-time employee) in additional annual leave per annum to be used along with their standard annual leave. The effectiveness of Scheme is measured through the increase in additional annual leave purchased.	290	4.3	
Number of people on flexible working arrangements	The Council has a wide range of flexible working policies and procedures where employees can request to change their working pattern/hours to suit their personal circumstances and improve work/life balance. The effectiveness of these policies and procedures is measured through an increase in the number of employees who have flexible working arrangements.	4,250	4.3	
Number of people who identify themselves as carers	The number of staff who have caring responsibilities and have joined the Carers Register to benefit from enhanced flexible working and support with the aim of achieving a better work/life balance. The effectiveness of Council Policy is measured through an increase in the number of registered carers within the Council.	190	4.3	
Gender Pay Gap - LGBF	The indicator provides a picture of the current gender pay gap between male and female employees. This will help councils to identify areas of potentially unfair or discriminatory practices as well as providing a baseline for measuring improvement over time.	5%	4.3	
Percentage of corporate information systems available during core working hours	To provide information on access to key corporate information systems available during core working hours.	99.98%	9.3	
Corporate Indicators				
The average number of days lost per all other (non-teacher) local government employees through sickness absence	The indicator looks at the effectiveness of the HR function in terms of impact on the overall levels of sickness absence in the council through development of processes and procedures, and training for managers. Councils should aim to reduce the number of days lost through sickness absence over time.	9 days	9.1	
Percentage of days lost per employee through sickness absence as a percentage of total possible attendances	The indicator looks at the effectiveness of the HR function in terms of impact on the overall levels of sickness absence in the Council through development of processes and procedures, and training for managers. Councils should aim to reduce the number of days lost through sickness absence over time	4%	9.1	
Percentage of staff who have completed an annual performance development review	The percentage of staff who have received an annual performance review within the service. Performance development reviews take place to: - effectively manage, develop, and support employees through periods of significant change; develop our workforce; and measure and report on performance against our objectives to help improve commitment, performance, and service delivery.	95%	9.1	
Level of positive engagement recorded in employee survey	Provides feedback on how staff within the service are feeling through the staff survey. The temperature check questions are asked every quarter and provides evidence of positive engagement through the level of positive return.	80%	9.1	
Percentage of Council staff who know how their	To demonstrate whether our employees know how their job contributes to Council priorities and recognise	80%	9.1	

job contributes to Council Priorities	their role in the achievement of the Council's Priorities through effectively engaging through improved communication and participation to help improve service delivery.			
Percentage of Member enquiries dealt with through the Elected Members Enquiry Service within the agreed timescales	This is to ensure that these 5 day and 20-day timescales are met within the service	85%	9.3	
Percentage of Stage 2 complaint responses issued within statutory timescales	This is to ensure that the Stage 2 complaint responses are issued within statutory timescales within the service.	80%	9.3	
Percentage of Freedom of Information and Environmental Information (Scotland) Regulations requests received that have been responded to within 20 working days of receipt	This is to ensure that when information is requested from a Scottish public authority, it must give it (or explain why it is allowed to withhold it) as quickly as possible and within 20 working days.	94%	9.3	
Percentage of requests for subject access requests completed within one month	This is to ensure that we comply with a request within undue delay and at the latest within one month of receipt of the request.	85%	9.3	
Percentage of Community Council enquiries dealt with through the Community Council Enquiry Service within the agreed timescale	This is to ensure that the 20-day timescale is met within the service.	85%	9.3	
Percentage of MP/MSP enquiries dealt with through the Enquiry Service within agreed timescale	This is to ensure these 5 day and 20-day timescales are met within the service.	85%	9.3	
NEW - Percentage of Youth Councillor enquiries dealt with through the Enquiry Service within the agreed timescale	This indicator is to ensure that the 5 day and 20 day agreed timescales are met within the service.	85%	9.3	
Revenue Budget Outturn - Projected Outturn as a % of Budget	This highlights the service's performance against agreed budget limits set by Elected Members to ensure that spend is being maintained within those levels.	100%	9.4	

Table 3 outlines how we measure our health and safety requirements:

Indicator	Target	Strategic Objective
Head of Service H&S Management Arrangements are up-to-date, relevant and within programmed review.	Yes	10.1
Health & Safety priorities from Head of Service (risk based) have been provided to H&S.	Yes	10.2
Head of Service has trained Health & Safety Duty Holders appointed and recorded in register	Yes	10.2

Indicator	Target	Strategic Objective
Planned occupational health needs verified and submitted to OD&HR	Yes	10.2
H&S risks and resource considered within business cases/Project Briefs	Yes	10.2
Competence requirements for Service Manager posts reviewed in terms of managing their service safely	Yes	10.3
Service Health & Safety training requirements reviewed, prioritised, and submitted to Lifelong Learning Centre	Yes	10.3
Consultation arrangements for H&S Implemented	Yes	10.4
Communication arrangements for H&S Implemented	24	10.4
Number of Service wide Management meetings where H&S is discussed	10	10.4
Number of H&S Briefing Notes provided to managers	10	10.4
Number of H&S Newsletters issued to staff	4	10.4
Implementation of service H&S risk priorities	90%	10.5
Action plans produced within 6 weeks following health and safety management audits	Yes	10.5
Percentage of Corporate Health & Safety Audit Service action plans completed or on target as planned and agreed	90%	10.5
H&S Support offered, and performance reviewed with Service Management	Yes	10.6
Percentage of Service Health & Safety Plan actions completed or on target and verified by the Head of Service	90%	10.6
Number of planning/review meetings held between Head of Service and H&S Partner	2	10.6
Number of performance reports incorporating delivery of Service Health & Safety Action Plan submitted to Service Committee	2	10.6
Carry out statistical analysis of work-related incidents and ill health and take appropriate actions	Yes	10.6
Percentage of RIDDOR investigations completed within 3 weeks	100%	10.6
Percentage of RIDDOR incidents reported to HSE within legal timescales	100%	10.6
Percentage of planned Service Health & Safety audits carried out	90%	10.7
Number of Service-wide employee accidents	Data only	10.8
Number of Service-wide violent incidents (all)	Data only	10.8
Number of Service-wide employee near miss incidents	Data only	10.8
Total number of Service-wide employee RIDDOR reportable incidents	Data only	10.8
Service-wide RIDDOR employee reportable incidents over 7 days	Data only	10.8
Service-wide RIDDOR employee serious injuries	Data only	10.8
Number of Service-wide RIDDOR employee specified diseases	Data only	10.8
Number of Service-wide RIDDOR employee specified diseases	Data only	10.8
No. 3rd party RIDDOR incidents	Data only	10.8

Table 4 outlines our high-level risks:

Risk	Risk Factors	Mitigation / Contingency
Not managing our resources effectively to meet expectations reflected in the Business Plan commitments	<ol style="list-style-type: none"> 1. Extent of investment in employee development, knowledge, and skills to deliver future Council services. 2. Balancing a reducing workforce with increasing demands. 3. High levels of sickness absence impacting on a 	<ol style="list-style-type: none"> 1. Business Planning to deliver Council Plan and regular monitoring through the Directorate Management Team – monthly reporting and monitoring on all resources 2. Anticipate new or incidental demands on our resources to assist or address issues. Pausing or re-prioritise activity to accommodate this, we accurately reflect any impact on our delivery of the Business Plan for unplanned but necessary activity. 3. Budget Development, monitoring and control arrangements as part of regular financial controls

	<p>healthy, engaged, and effective workforce through a time of significant change.</p> <ol style="list-style-type: none"> 4. Difficulty in recruiting to critical posts. 5. Securing the efficiencies that technology provides. 6. Effectively managing our property estate effectively to secure savings and agreed changes in service delivery. 7. Diverting funding from delivery of agreed Council Priorities on significant unanticipated expenditure. 	<ol style="list-style-type: none"> 4. Workforce Plan and succession planning is considered through regular Directorate Management Team meetings and through positive interventions to secure roles and skills 5. Learning and development plans exist for the whole Directorate based on Performance Development Reviews for each member of staff 6. Wellbeing Action Plans are in place and wellbeing champions work with managers to ensure Council policies are supported. 7. Strategic Asset Board oversees asset management and use. 8. Capital Asset Class development, monitoring and control is in place for asset classes delegated to the Directorate. 9. Regular reporting takes places with Members on financial and other performance, risk and health and safety measures 10. Performance and Improvement Team – review our effectiveness on a programmed basis 11. Workforce Transition Board is guiding succession opportunities and approaches.
Overspending on the BTS budget to meet needs and demands	<ol style="list-style-type: none"> 1. We don't achieve committed savings. 2. Savings put forward by services are unrealistic or there is optimism bias in the likelihood of achievement. 3. Funding is diverted away from delivery of agreed Council Priorities on significant unanticipated/unbudgeted expenditure. 4. Costs of core services including energy, fuel, broadband, telephony, rates, etc are significantly higher than forecast and subject to inflation and price increases during the financial year 	<ol style="list-style-type: none"> 1. Budget process which incorporates the development of detailed service and financial plans, the identification of required savings, the development of budget proposals and the agreement of annual budgets through Full Council. 2. Budget process includes the development of budget plans over three years to ensure ongoing financial sustainability. 3. An agreed five-Year Financial Strategy. 4. Agreed policy for the retention of a prudent level of General Fund Balances to support unanticipated expenditure demands. 5. A modest level of contingency funding is retained to support specific issues. 6. Established insurance arrangements, including element of self-insurance, to help offset costs associated with insurable events. 7. A comprehensive Treasury Management Strategy with arrangements for the investment and deposit of Council funds, with appropriate counterparty limits, to minimise the risk of loss. 8. Directorate Management Team – monthly reporting and monitoring on all resources 9. Financial monitoring and control 10. Regular reporting to Members on financial monitoring against agreed budgets and clear forecasting of outturn.
People and Transformation not delivering customer focused services and advice	<ol style="list-style-type: none"> 1. Achievement of Council Plan outcomes. 2. Activity and resources deployed on matters which are counter or not directly impacting on the Council Plan. 3. Progress of Transformation Programme. 4. Sufficiency or timing of advice relative to customer needs. 5. Consistency of response and adherence to Council Policy and Guidance. 	<ol style="list-style-type: none"> 1. Corporate Policies and Guidance involve users in development and are scrutinised by Members. 2. Active participation in improvement and quality initiatives such as Public Service Improvement Framework. 3. Business Plan focuses on improving customer and user experience and responsiveness and external benchmarking for improvement. 4. Workforce Plan values and develops core skills to ensure there are sufficient professional and skilled resources to meet customer needs. 5. All systems and processes should be rigorously tested before they are introduced. 6. Collegiate leadership and senior management across the Council provides close working arrangements with internal customers to ensure priorities understood and resources deployed effectively. 7. Full participation in Transformation Programme of all Directorate managers enables clear understanding and triage of Directorate resources to support this programme.
Not retaining the right skills and experience to	<ol style="list-style-type: none"> 1. Vacancies for experienced and skilled roles 	<ol style="list-style-type: none"> 1. Business Planning to deliver Council Plan and regular monitoring through the Directorate Management Team – monthly reporting and monitoring on all resources

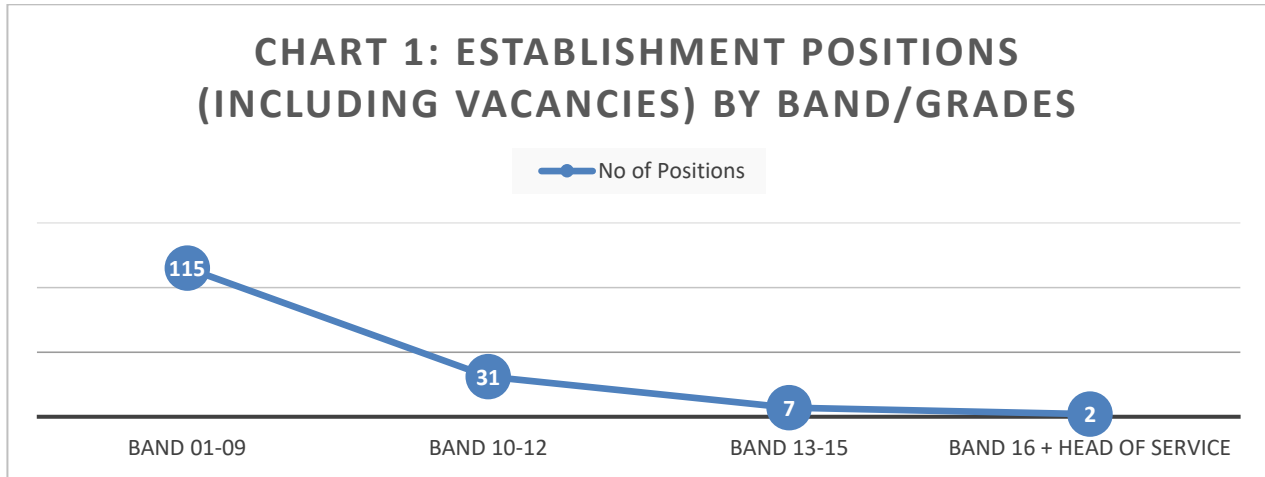
meet needs and demands	<p>creating a gap or shortage within services</p> <ol style="list-style-type: none"> 2. Recruitment of suitably qualified and experienced staff. 3. Progress on integration and core business systems, to remove inefficiencies in business processes. 4. Progress in growing our own future workforce to manage succession and overall workforce reduction effectively. 5. Leadership and management capacity. 	<ol style="list-style-type: none"> 2. Workforce Plan and succession planning is considered through regular Directorate Management Team meetings and through positive interventions to secure roles and skills 3. Learning and development plans exist for the whole Directorate based on Performance Development Reviews for each member of staff, prioritising investing in training and ICT to enable the integration of business systems and improved efficiency in working practices. 4. Wellbeing Action Plans are in place and wellbeing champions work with managers to ensure Council policies are supported. 5. Smarter working is encouraged to enable individuals to work flexibly and sustain the retention of skilled resources within the Council. 6. Investment is made in formal training programmes to develop options for succession planning, through career grade and investment in training posts. 7. Participation in the graduate programme and apprenticeship opportunities to help us develop 'grow your own' opportunities for hard to fill, skilled or professional roles. 8. Pursuing opportunities to share skilled resources with partners. 9. Participating in workforce development and training, employee engagement and building transferable skills, supporting employees career pathway development to meet future needs and by deploying effective coaching and mentoring 10. Working across the Council to support retraining opportunities in growth areas such as early years to enable a sustainable transition of staff to new careers elsewhere in the Council 11. Investing in staff development for training opportunities and lateral role changes to encourage and support career development and re-skilling.
Being unable to defend and recover from a cyber attack	<ol style="list-style-type: none"> 1. Extent of preparation to withstand or recover from a deliberate cyber-attack or accidental event online is not effective. 2. Poor or Inappropriate security solutions, and poor digital hygiene by council staff could make Dumfries & Galloway Council vulnerable to breaches 3. BTS unaware of changes to directorate based solutions reducing corporate security provision 4. Organised and targeted attacks of cyber-crime and malware 	<p>Mitigation Actions:</p> <ol style="list-style-type: none"> 1. Maintain Network compliance. 2. Regularly assess network security. 3. Regularly assess application security. 4. Improve network security monitoring. 5. Enforce use of existing BTS Sign on and Design Authority Processes. <p>Other Actions</p> <p>Improve monitoring of safety threats. Introduce Intruder Protection Systems. Improve firewall and mail filtering monitoring.</p> <p>Contingency Plan</p> <ol style="list-style-type: none"> 1. Regular assessment and action taken in line with Scottish and UK governments cyber security standards to build resilience. 2. Programme of testing, development and review of core network and systems. 3. Participation in cyber catalysts with Scottish Government. 4. Development and improvement of current security and anti-virus software and processes 5. Participate in information sharing with partners on cyber incidents, threats, and vulnerabilities. 6. Training and education of staff and other ICT users to raise awareness and improve skills. 7. Business Continuity plans & embedded Business Continuity Coordinators 8. Building resilience into data centre and networks through cyber resilient systems and back up.

		<p>9. A modest level of contingency funding is retained to support specific issues.</p> <p>10. Established insurance arrangements, including element of self-insurance, to help offset costs associated with insurable events.</p>
<p>Failure to meet the statutory /legislative training and learning needs of our workforce</p>	<ol style="list-style-type: none"> 1. Failure to ensure front line staff (i.e. those who require to operate specialist equipment /machinery such as Pool Plant operators; require driver CPC qualifications to operate. buses/lorries, etc) have the relevant certificates to work safely and legally to comply with legislation. 2. Failure to ensure that our workforce have the relevant professional certificates/qualifications, including refresher qualifications to practice. 3. Failure to have adequate resource available to deliver on SVQ requirements and particularly those within the Social work/Care sector. 4. Inability to deliver provide front line services to the public. 5. Risk to staff and customer safety. 6. Increased risk of claims against the Council 7. Increased risk of fines due to breaches in legislation. 	<p>Mitigation</p> <ol style="list-style-type: none"> 1. Ensure Directorates complete learning plans which highlight all essential, legislative and statutory learning needs and which is refreshed annually with any new requirements being highlighted. 2. Systems in place to automatically capture renewal dates so that re-fresher training can be planned and booked well in advance (i.e. Course MGT system). 3. Strong working relationships in place with key Directorate contacts to enhance awareness and understanding of training and learning needs 4. Effective forward planning mechanisms in place to help foresee increased demand for certain types of essential qualifications and make a case for additional resource if required.

Business Plan Refresh – Appendix 2

Workforce Information

In People and Transformation there are a range of employment types including full-time, part-time, fixed-term and term-time. Using a ‘snap-shot’ position as at 1 April 2021, there are 140 staff in 155 positions. We actively manage jobs, and vacancies to help contribute to our overall balanced budget which has a vacancy saving against establishment applied.



The age profile of staff in People and Transformation shows a high concentration of staff aged 45 and older. This information is helpful in directing our planning and actions around future retirements and where we might need to recruit or retrain staff in the future. Workforce planning is in place to address these challenges and apprenticeships and graduate programmes encourage younger employees to join the Council.

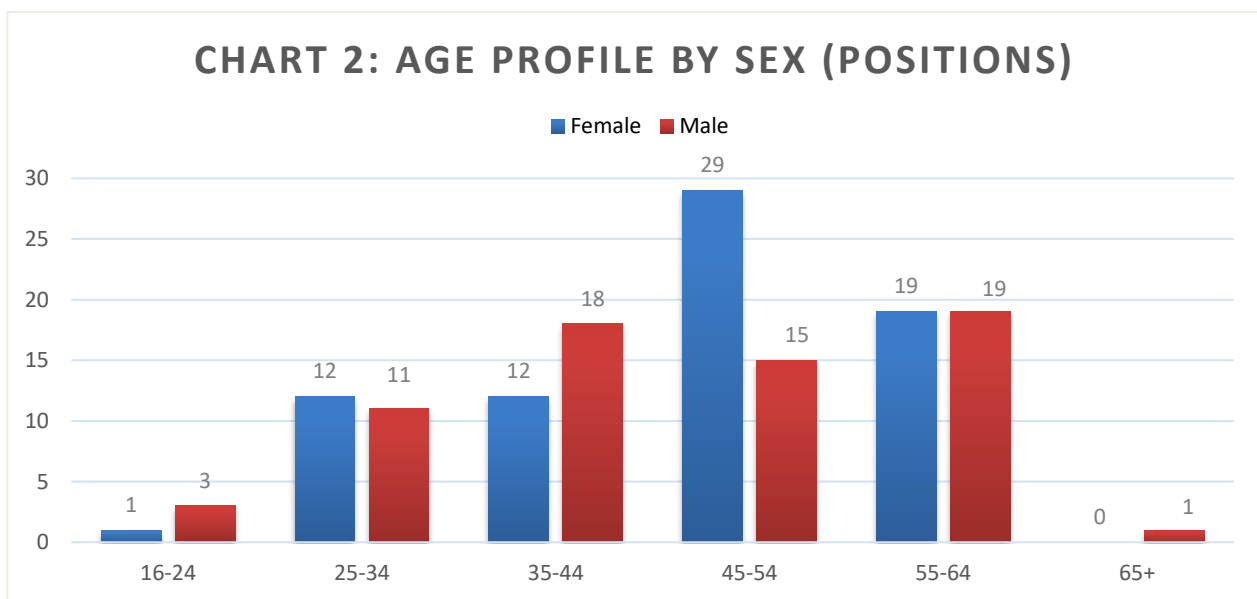


CHART 3: AGE PROFILE BY BANDINGS (POSITIONS)

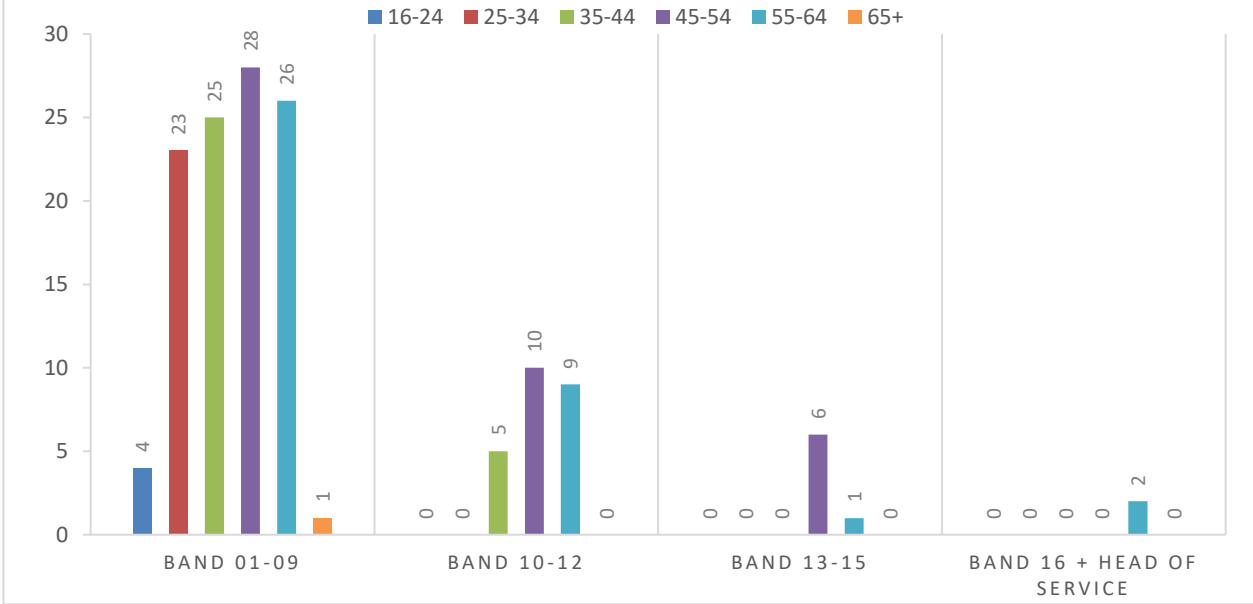
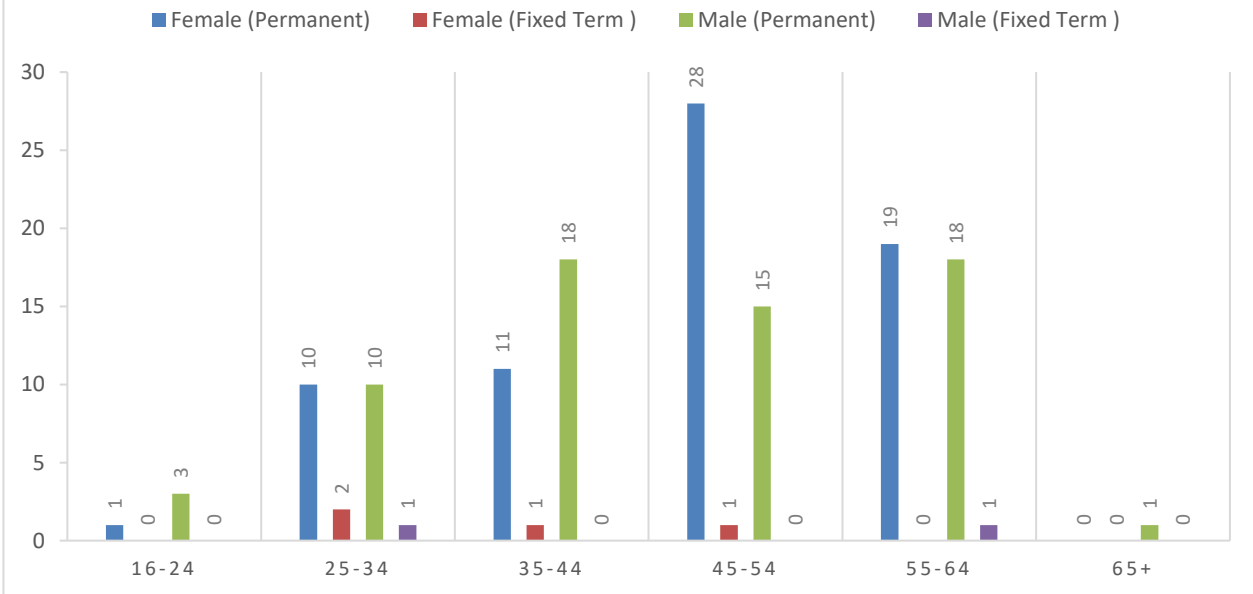
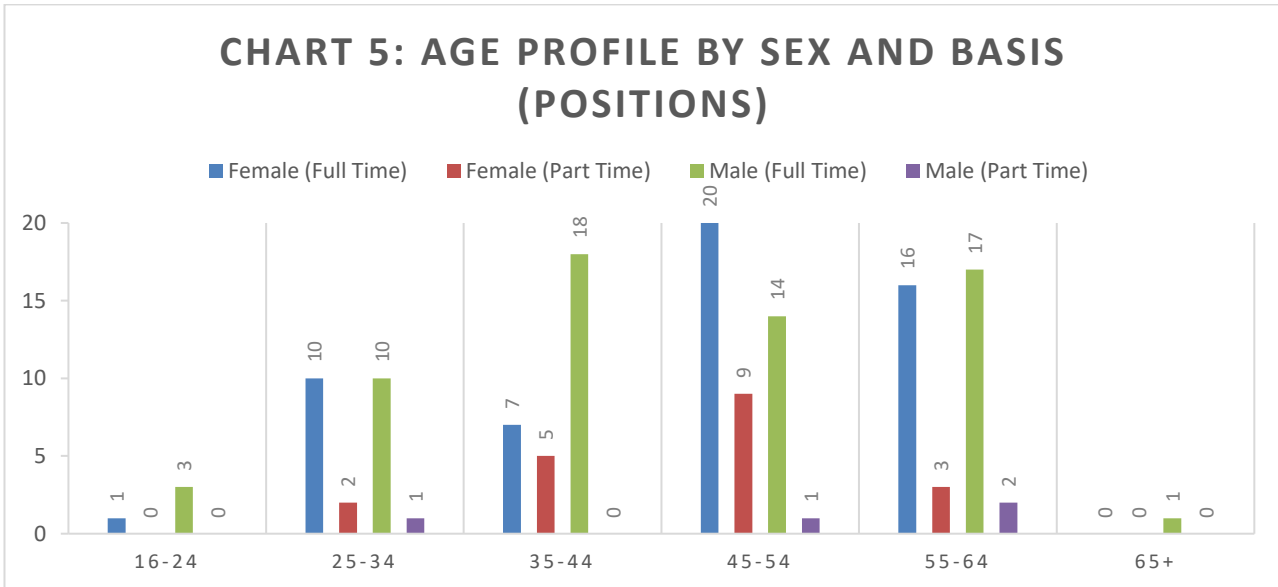


CHART 4: AGE PROFILE BY SEX AND TYPE (POSITIONS)



The profile within People and Transformation is 52% female and 48% male and most staff are employed within salary bands 3-9. Our Council Plan 2017 – 2022 sets out clear objectives on ensuring that we address equality and diversity in the workplace, and we have consolidated the Scottish Living Wage into normal pay for all staff. Our Council has reduced the Gender Pay Gap since 2013 (11.99%) to 4.63% in 2020



Business Plan Refresh – Appendix 3

Financial Budgets

Apportionment of Budget to Activities Economy and Resources - People and Transformation		Budget Estimates	Business & Technology	Human Resources	Performance & Improvement	Policy & Communications
		2020/21 £	2020/21 £	2020/21 £	2020/21 £	2020/21 £
EXPENDITURE						
Employee Costs	Salaries - SJC	4,722,153	2,967,511	1,032,892	259,535	462,215
	Superannuation - SJC	1,004,757	619,769	226,968	57,137	100,893
	National Insurance - SJC	449,880	260,979	109,297	29,397	50,207
	Overtime Costs	17,392	12,478	4,914	0	0
	Vacancy Assumption	-83,535	-51,735	-18,330	-4,990	-8,480
	Other Employee Related Costs	9,005	1,250	7,065	200	490
	Total	6,119,652	3,810,252	1,362,796	341,279	605,325
Property Costs	Heating and Lighting	1,200	1,200	0	0	0
	Refuse Collection	51	51	0	0	0
	Total	1,251	1,251	0	0	0
Transport Costs	Vehicle Fuel Costs	18,758	11,546	6,062	50	1,100
	Vehicle Repairs and Maint	14,544	13,674	870	0	0
	Vehicle Insurance	360	360	0	0	0
	Vehicle Hire and Leasing	32,351	30,351	1,900	0	100
	Fleet Management	3,666	3,436	230	0	0
	Other Transport Related Costs	1,885	760	450	275	400
	Total	71,564	60,127	9,512	325	1,600
Supplies and Services	Computer Equipment and Maint	2,955,941	2,934,479	9,112	100	12,250
	Telecommunications	150,769	148,994	594	356	825
	WAN Charges	269,472	269,472	0	0	0
	Professional Services	20,100	20,000	100	0	0
	Membership Fees and Subs	67,935	23,695	12,050	2,440	29,750
	Health and Safety	40	40	0	0	0
	Subsistence	3,470	900	2,170	400	0
	Other Supplies & Services Related	197,518	175,483	18,523	60	3,452
	Total	3,665,245	3,573,063	42,549	3,356	46,277
TOTAL EXPENDITURE		9,857,712	7,444,883	1,414,867	344,980	863,202
INCOME	Internal Recharge Income	-1,748	0	0	0	-1,748
	Fees and Charges	-322,872	-320,872	0	0	-2,000
	Total	-324,620	-320,872	0	0	-3,748
TOTAL INCOME		-324,620	-320,872	0	0	-3,748
NET EXPENDITURE		9,533,092	7,123,821	1,414,867	344,980	849,454

The detailed budget estimates for 2021/22 are currently being finalised and the above details are based on the 2020/21 figures.

If you would like some help understanding this document or need it in another format or language please contact:

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