

<b>Title of report</b>	Assurance Report as of 31 December 2022
<b>Summary/purpose of report</b>	<p>To provide performance, financial and risk information which:</p> <ul style="list-style-type: none"> <li>assesses delivery of our strategy through the analysis of strategic performance indicators</li> <li>highlights areas of concern</li> <li>identifies corrective action required.</li> </ul> <p>The report identifies variance to expected performance and any impact or risk this may have on the strategic objective to which the KPI relates. Actuals are measured against an initial forecast with the KPI owner providing an explanation for variance. If there are negative variances the KPI owner details corrective actions.</p>
<b>Recommendations</b>	<p>The Audit and Assurance Committee is asked to:</p> <ol style="list-style-type: none"> <li>endorse the direction of travel for the strategic measures</li> <li>approve the risk register position</li> </ol>
<b>Author</b>	Laura Shepherd, Director of Strategy and Performance
<b>Responsible</b>	Lorraine Gray, Chief Executive
<b>Links to Strategic Plan</b>	<p>The information in this report links to:</p> <p>Outcome 1: People who use services are protected by ensuring the regulated workforce is fit to practise.</p> <p>Outcome 2: The SSSC supports and enhances the development of the registered workforce to deliver high standards of practice and drive improvement.</p> <p>Outcome 3: Our workforce planning activities support employers, commissioners, and policymakers to deliver a sustainable, integrated and innovative workforce.</p> <p>Outcome 4: The social work, social care and early years workforce is recognised as professional and regulated and valued for the difference it makes to people's lives.</p>
<b>Link to the Strategic Risk Register</b>	Strategic Risk 4: We fail to provide value to our stakeholders and demonstrate our impact.
<b>Documents attached</b>	Full 2022/23 Strategic Risk Register.

# ASSURANCE REPORT AS OF 31 DECEMBER 2022

AAC Meeting Version

January 2023

Agenda item: 05, Report no: 01/2023

Action: For Decision

# EXECUTIVE SUMMARY

## December 2022 SSSC PERFORMANCE SUMMARY

SPI	SPI Description	Outcome	Risk	Ambition	Current	V(+/-)	Movement	Proj. YE	Actions & Comments
Finance	Net expenditure (£000) (excluding grants)	1-4		3,680	2,591		↓	Amber	Position reliant on receipt of additional £2m from Scottish Government
Finance	Risk sensitivity (£000)	1-4		N/A	-95		↓	Amber	Will be impacted by any future under/overspends
Finance	Reserves (%)	1-4		2 to 2.5	2.3		↑	Green	Current reserve projection within ambition, however, may be impacted by future under/overspends.
3.1 Reg	Reduce the time taken to being registered (weeks)	1	1	<18	27.3	+2.2	↓	Red	
3.2 Reg	Time taken to process a fitness to practise case is less than organisations we benchmark against (months)	1	1	6.8	2.3	-2.5	↑	Green	
3.3 Reg	Increase the percentage workforce who engage... in fitness to practise process (%)	1	1	80.0	75.3	-1.1	↓	Amber	
3.4 D&I	Increase the percentage of the registered workforce with the correct qualification (%)	2	2	50.0	50.4	0	→	Green	
3.5 D&I	Increase the percentage of the workforce using learning resources to achieve CPL (%)	2	2	50.0	47.0	+0.4	↑	Amber	
3.6 D&I	Percentage of those reporting positively that our development activity is delivering the support required by the workforce (%)	2	2	80.0	80.1	+4.6	↑	Green	
	Cumulative performance (%)	2	2	80.0	79.3	0	→	Amber	
3.7 D&I	Percentage of those reporting positive awareness of workforce planning resources and report that resources are effective (#resources)	3	5	N/A	324	-191	↓		
3.8 Reg	Deliver the Future Proofing Programme	1	1	N/A	-	-	-	N/A	
3.9 S&P	The work of the SSSC promotes the value of the social care workforce (% positivity)	4	5	N/A	-	-	-	N/A	
4.2 S&P	External stakeholder engagement (%)	1-4	5	41.0	45.8	-12.4	↓	Green	
4.3 S&P	SSSC complaint information for Stage 1 (%)	1-4	5	90.0	100	+2.3	↑	-	
	SSSC complaint information for Stage 2 (%)	1-4	5	90.0	100	-	-	-	
4.4 HR	The overall percentage of staff who are absent from work (%)	1-4	6	<3.6	4	+0.8	↓	-	
4.5 HR	The overall staff turnover percentage (%)	1-4	6	<12.4	13.2	-1.6	↑	-	
4.7 L&CG	SAR requests are dealt with within timescales (%)	1-4	3	100	100	-	→	-	
	FOI requests are dealt with within timescales (%)	1-4	3	100	100	-	→	-	
4.8 L&CG	Number of data security incidents reported (#Red)	1-4	3	0	0	0	→	-	

December 2022 SSSC STRATEGIC RISK REGISTER							
Risk No.	Strategic Risk Description	Outcome	Gross	Residual	V(+/-)	Owner	Actions & Comments
1	We fail to ensure that our system of regulation meets the needs of people who use services and workers.	1	20	12	➡	DoR	
2	We fail to ensure that our workforce development function supports the workforce and employers to achieve the right standards and qualifications to gain and maintain registration.	2, 3	16	12	➡	DoWES	
3	We fail to meet corporate governance, external scrutiny and legal obligations.	1	16	9	➡	DoFR	
4	We fail to provide value to our stakeholders and demonstrate our impact.	1, 4	12	9	➡	DoSP	
5	We fail to develop and support SSSC staff appropriately to ensure we have a motivated and skilled workforce to achieve our strategic outcomes.	1, 2, 3	20	16	➡	DoFR	
6	The SSSC fail to secure sufficient budget resources to fulfil the financial plans required to deliver the strategic plan.	1	20	16	➡	DoFR	
7	The current Business Continuity Plan (BCP) in place is not up to date for the SSSC.	1, 2, 3, 4	20	4	➡	CEO	
8	We fail to have the appropriate measures in place to protect against cyber security attacks	1, 2, 3, 4	20	12	➡	DoSP	
9	We do not have accommodation in place that meets our business requirements at an acceptable cost		16	4	➡	DoFR	

## [Current Full Strategic Risk Register](#)

### New, Emerging, and Changed Strategic/Directorate Risks identified

The ability to recruit to posts is a further cause for concern. Several key posts across the organisation remain vacant due to failed recruitment. We now require a more detailed analysis of recruitment stats and exit interviews to understand the turnover reasons and how this will impact on recruitment.

Accommodation issues are causing a concern. We are currently unable to determine our liability for space and the cost of this. It is recommended that the impact score is increased until a firmer position is found. This is impacting on our ability to manage the space with limited scope to make decisions.

## **SSSC – CORPORATE FINANCIAL POSITION**

### Financial summary

The information included in this financial summary is the position at November 2022 rather than December 2022. This is due to 60% vacancies in the Finance Team which has impacted on capacity to complete the full range of services. This means that there is increased risk that the current year projected figures are not correct as they are out of date so close to the year end. Two new members of staff and an agency worker will join the Finance team in January but we will still have capacity issues until they complete training and development over the next few months.

<b>2022/23 Budget</b>	<b>Revised budget for monitoring purposes £000</b>
Operating budget	20,276
VSDF and disbursements	939
Postgraduate bursaries	2,914
Practice learning	2,846
	<b>26,974</b>
Workforce development grant (WDG)	543
<b>Total expenditure</b>	<b>27,517</b>
<b>Funded by:</b>	
Grant in aid	16,035
VSDF	900
<b>Sub total</b>	<b>16,935</b>
Registration fee income	5,962
Other income	397
<b>Sub total</b>	<b>6,359</b>
WDG and cyber resilience grant income	376
WDG and Cyber resilience grant funded from reserves	167
Net deficit - funded from reserves and SG spending pressure	3,680
<b>Total net deficit</b>	<b>3,847</b>
<b>Total funding</b>	<b>27,517</b>

<b>Budget by Strategic Outcome</b>	<b>2022/23 Revised Budget £000</b>	<b>2022/23 percentage %</b>
SO1	15,884	79%
SO2	3,101	15%
SO3	1,004	5%
SO4	125	1%
	<b>20,114</b>	
Disbursements/grants	7,403	
(all inc. o/heads)	<b>27,517</b>	

	<b>Expenditure £000</b>	<b>Fees and other income £000</b>	<b>Grant in aid and disbursement income £000</b>	<b>Net expenditure £000</b>
Budget for monitoring purposes	26,974	(6,359)	(16,935)	3,680
Actual	14,206	(4,007)	(5,207)	n/a
Committed	1,778	n/a	n/a	n/a
Year end projection	26,230	(6,325)	(17,313)	2,592
projected (under)/overspend	(744)	34	(378)	(1,089)

Net expenditure	Budgeted net expenditure £000	Projected net expenditure £000	Projected (under)/overspend £000
June 2022	2,614	2,614	0
July 2022	2,614	2,627	13
August 2022	2,614	2,574	(40)
September 2022	3,680	3,082	(598)
October 2022	3,680	3,082	(598)
November 2022	3,680	2,591	(1,089)

### Overview

- At 30 November 2022 there is a projected corporate underspend of £1,089k (excluding grants). Although Scottish Government confirmed in the 2022/23 budget allocation letter of April 2022 that £1.638m spending pressure funding would be available, there is a risk that it will reduce given Scottish Government's financial challenges. Since our last report Scottish Government have agreed additional funding towards our pay award of £300k and a further £78k to fund technology developments for the Local Authority Fee Waiver. Assuming we receive the additional funding of £2.016m, we expect a general reserve balance of £1,269k at 31 March 2023.
- £666k of the general reserve balance relates to disbursements, which is ringfenced. This leaves an available general reserve balance of £603k which is 2.4% of our target minimum reserve (2% £500k to 2.5% £625k). We plan to ask Scottish Government to approve carry forward of £217k underspend from our Futureproofing project to complete development work in 2023/24. This would reduce our general reserve to £386k in 2023/24 which is 1.54% of our £500k (2%) minimum reserves target.

Despite the finance team being significantly understaffed at the moment, they still held budget monitoring meetings with all budget holders and all budget lines were reviewed.

The finance team have broken down the underspend and movements since the beginning of the financial year as follows.

Key movements since the beginning of the financial year 30 November 2022	Projected overspend or (underspend/ additional income) £000	Movement: increase/ (decrease) to projection since last report £000
<b>Projected overspends</b>		
Accommodation upgrade (NR)	300	0
Panel Member Allowances (P)	170	0
Legal Fees (P)	87	6
Registration fee income (P)	68	(19)
Insights and Intelligence Project (NR)	71	6
Practicing certificates (P)	29	11
Digital developments - excluding Insights and Intelligence & FPP projects (NR)	23	23
Advertising for new employees (P)	10	0
<b>Total projected overspends</b>	<b>758</b>	<b>28</b>
<b>Projected underspends/additional income</b>		
Disbursements -postgraduate bursaries (P)	(517)	(288)
Additional grant in aid - £300k staff pay award; £78k Fee waiver development (NR)	(378)	(378)
Staff costs, including hired agency and secondments inwards (P)	(306)	115
Futureproofing project including digital development (P)	(217)	168
Disbursements - practice learning fees (P)	(148)	0
Communications publicity, printing, design and postage (P)	(81)	1
Staff training (saving £20k - Flexible Workforce Development Fund grant) (NR)	(41)	(18)
Stationery, postage, travel, storage and archiving (corporate) (P)	(38)	(9)
Secondees outwards (NR)	(34)	0
Staff pay and grading review - paused (P)	(33)	(33)
Workers phone line and support advocacy (P)	(31)	(31)
WES Venue hire & hospitality and Dementia underspend (P)	(15)	(15)
Other minor underspends across the organisation (P)	(9)	(4)
Digital running costs (P)	(1)	(30)
<b>Total projected underspends</b>	<b>(1,846)</b>	<b>(520)</b>
<b>Net expenditure and movements</b>	<b>(1,089)</b>	<b>(492)</b>

KEY:

R - Recurring - likely to happen in future years

NR - Non-recurring – unlikely to happen in future years

P - Possible – Could happen in future years



We have set out risks to the underspend position in the significant variances table below. The main risk for changes to projections until the end of the financial year relate to staff costs (including pay negotiations), our futureproofing project and the accommodation upgrade. In addition, practice learning fee rates increased from August 2022, and we estimate less registration fee income than budgeted.

### Reserves

- Our general reserve position was £2.389m at 31 March 2022 (audited). This is £272k less than the draft figure of £2.661m we included in the March 2022 budget paper, due to accruals. We budgeted for an overspend of £3.847m (including grants) and projections at 30 November 2022 show our projected outturn will be £2.758m (including grants).
- Although Scottish Government confirmed in the 2022/23 budget allocation letter of April 2022 that £1.638m spending pressure funding would be available there is a risk that it will reduce given Scottish Government's financial challenges. Since our last report Scottish Government have agreed additional funding towards our pay award of £300k and a further £78k to fund technology developments for the Local Authority Fee Waiver. Assuming we receive the additional funding of £2.016m, we expect a general reserve balance of £1,269k at 31 March 2023.
- The general reserve balance of £1,269k includes £666k projected underspend on disbursements, which is ringfenced. This leaves a general reserve balance of £603k which is 2.4% of our target minimum reserve (2% £500k to 2.5% £625k).
- We plan to ask Scottish Government to approve carry forward of the £217k underspend on our Futureproofing project to allow completion of this work during 2023/24. This would reduce our general reserve to £386k in 2023/24 which is 1.54% of our £500k minimum reserves target.

### Budget changes

- Council agreed our 2022/23 budget of £1.638m (deficit) for 2022/23 on 25 March 2022. Sponsor has included a corresponding in year spending pressure of £1.638m in their projections. Council also agreed an additional £976k of expenditure (detailed in the table below) which will be funded from our general reserve as working capital.

<b>Additional 2022/23 budget</b>	<b>2022/23 £000</b>
Temporary posts	378
Futureproofing digital development	300
Fitness to practise – reinstatement of vacancy management	192
Carry forward of 2021/22 digital development underspends	59
Futureproofing service design and programme governance	36
Other planned administration expenses	11
<b>Total to be funded from our general reserve (working capital)</b>	<b>976</b>

- Since March, Scottish Government has allocated funding for the Voluntary Sector Development Fund (VSDF) of £900k and £361k to the Workforce Development Grant (WDG).
- Scottish Government agreed we could carry forward underspends from 2021/22 to use during 2022/23. We carried forward underspends totalling £943k. The breakdown of these underspends is included in the table below.
- Over the last three financial years we put aside £290k for digital replacement. This was held in our general reserve. We have a further £100k in our operating budget for 2022/23, giving a total of £390k for digital replacement and we will spend this in full during 2022/23.
- There is a total revised budget for monitoring purposes of £3.847m. This is summarised in the table below.

Summary of budget movements during the year	2022/23 Budget agreed by Council £000	Additional in year funding from Scottish Government £000	General reserve funds to be used in 2022/23 £000	2022/23 Revised budget for monitoring purposes £000
<b>Expenditure</b>				
Base budget agreed by Council on 25 March 2022	1,638			1,638
Additional budget agreed in budget report (parag 23)	976			976
Voluntary sector development funding (VSDF)		900	24	924
Workforce development grant (WDG)		361	135	496
Cyber resilience grant			32	32
Practice learning fees			493	493
Postgraduate bursaries			259	259
Digital replacement			290	290
<b>Gross expenditure</b>	<b>2,614</b>	<b>1,261</b>	<b>1,233</b>	<b>5,108</b>
VSDF and WDG grants from Scottish Govt		(1,261)		(1,261)
<b>Net expenditure</b>	<b>2,614</b>	<b>0</b>	<b>1,233</b>	<b>3,847</b>
<b>Net expenditure to be funded by:</b>				
Spending pressure from Scottish Government	(1,638)			(1,638)
General reserve (working capital)	(976)		(1,233)	(2,209)
	<b>(2,614)</b>	<b>0</b>	<b>1,233</b>	<b>(3,847)</b>

### Income and expenditure

- Actual and committed spend, excluding disbursements is £15.9m (59%) at this point in the year.
- We have accounted for 39.5% of our expected fees and other income (£5.693m).

### Registration fees

- We have written off £240k so far this year (budget £337k, projection £337k). The main reasons for removal from the register are that people have not paid their fees or no longer need to be on the register.

## Specific Grants

- Scottish Government agreed that we could carry forward £32k underspend on staff costs in the 2021/22 cyber resilience grant for use in 2022/23. We expect to fully spend the cyber resilience grant at 30 November 2022.
- Scottish Government have also agreed we could carry forward £135k underspend for workforce development activity to 2022/23 so that we can fully deliver the outcomes. We expect an underspend of £45k on workforce development grant activity. This is from Leadership and improvement learning £37k and workforce planning £8k. Scottish Government has asked us to return the underspent grant, so we will not draw down this funding.

## Significant variances from budget & key risk

The key financial risks to the position at the end of March 2023 are shown in the table below with potential sensitivity of £95k underspend.

Members of EMT met with our Scottish Government Sponsor Team last quarter and highlighted the following key risks:

- Future funding – Scottish Government (SG) has an extremely challenging financial position they are trying to manage which is likely to impact on future funding and potentially current year
- Pay remit – Unison has now submitted their pay claim. They have not asked for a specific percentage but rather a consolidated and inflation proofed pay increase for all grades. Inflation is currently around 10%.
- Reserves/ working capital – it is highly unlikely that SG will allow us to carry forward any working capital to next financial year. Areas we are particularly concerned about are:
  - Digital development required for future proofing the register estimated at £300k to £600k over 2022/23 and 2023/24.
  - Estimated costs of £300k to improve our office accommodation due to delays agreeing the lease. The Deputy First Minister agreed the lease in December, although we are still waiting to hear whether the sixth tenant is definitely moving in. This creates uncertainty on our future budget, the space we will occupy and the work we can complete this financial year from current budget.
- We are also concerned that we will not have sufficient funding in future for:
  - Vacancy management adjustment of £192k for Fitness to Practise staff, which would allow us to recruit additional solicitor posts early in the financial year to enable training and development of staff before posts become vacant due to natural turnover.
  - Temporary posts required to deliver outcomes in the Strategic Plan.

- Potential spend relating to the National Care Service and panel member remuneration decision.
- Rewards review – Council made a decision in August to pause the rewards review until next year so there will not be a financial impact this financial year, although it remains an issue for future years.
- Fees – Scottish Ministers decided to delay a consultation on fees until 2023 meaning we will have a higher budget deficit next year than we outlined in the budget paper to Council in March 2022.
- Efficiency savings – Scottish Government is likely to request efficiency savings of at least 3% next financial year.

The most significant risks relate to staff costs (including pay negotiations), our futureproofing project and the accommodation upgrade. In addition, practice learning fees and postgraduate bursaries are expected to be underspent. We currently estimate we will receive 1.47% less registration fee income than budgeted.

Budget area	Current projection £'000	Projection reported to last EMT £'000	Risk sensitivity	Likelihood (RAG status)	Reason for variance and reason for movement
<b>Futureproofing project</b> – (outcome 1)	£217k underspend	£385k underspend	£69k (25%) over/under	High	We received Scottish Government approval for £168k additional development work on the project during November 2022. Of the £217k underspend, £173k relates to digital development. There is a risk that we may not get permission to carry forward this underspend or alternatively this may not be affordable in 2023/23. Timeline and ability to deliver has been significantly affected by prioritisation of the local government fee waiver.
<b>Staff costs</b> – (all outcomes)	£306k underspend	£421k underspend	£75k under	Medium	Staff cost underspends (total £306k) are Regulation (including FPP) (£116k); Strategy and performance (£47k); Workforce, Education and Standards (£98k); Finance and Resources (£62k). These underspends are partially offset by an overspend of £123k on hired agency costs across the organisation.
<b>Staff costs – pay award</b>	n/a	N/a	£150k over	High	We have budgeted for the current pay policy of approx. 2%. Unison has submitted a pay claim

					to reflect inflation (10%). Every 1% increase is approx. £150k. SG is currently saying they will not pay more than 5% in total but this may increase on negotiation with Unions. SG has agreed additional funding of £300k for the pay award and this is included in our projections.
<b>Accommodation upgrade</b>	£300k overspend	£300k overspend	£100k under	High	Based on the projected spend at the end of March 2022 we expected to pay this from working capital. However, actuals were less and this funding is no longer available at this point in 2022/23. Spend estimates may change when we know the outcome of tenders for works.
<b>Panel Member Allowances - (outcome 1)</b>	£170k overspend	£170k overspend	£50k over	Medium	We reduced our budget because of opt in hearings, however, the number of days have not reduced in the same proportion as the number of overall hearings as hearings are taking longer.
<b>Registration fee income - (outcome 1)</b>	£68k less income	£87k less income	£75k over/(under)	Medium	Current projections suggest an underachievement of registration income of 1.16% of the total budget.
<b>Communications publicity, printing, design and postage - (all outcomes)</b>	£82k underspend	£82k underspend	Possibly a further £10-£20k reduction to come depending on activity for the rest of 22/23	Low	Projections reduced across professional fees and printing due to no longer being required and activities not taking place e.g. less in person events than anticipated, no progress on stakeholder involvement and engagement due to not being able to recruit staff There was money allocated in the budget for ongoing costs due to the impact of the FPP work on corporate activity however, that work hasn't reached that stage yet so this will move into 2023/24.
<b>Legal fees - (outcome 1)</b>	£81k overspend	£81k overspend	£25k under	Medium	Full legal fee budget is either committed or spent, projections based on current expectations.

<b>Insights and Intelligence Project</b> - (all outcomes)	£71k overspend	£65k overspend	0	Medium	This overspend relates to hired agency costs which are due to delays to the project timescales. We re-allocated (vired) £33k from the digital development budget to partially offset these costs, leaving a £71k overspend.
<b>Practice learning fees</b> - (disbursement)	£148k underspend	£148k underspend	£25k over	Low	We carried forward £493k from 2021/22. Current modelling data suggests an underspend of £148k on practice learning fees. This is based on estimates from the HEIs but is subject to change as the pattern of practice learning placements within programmes remains disrupted as a result of the pandemic. We expect to receive up to date data from the HEIs during December. Once these are reviewed, we will update the projection.
<b>Postgraduate bursaries</b> - (disbursement)	£518k underspend	£230k underspend	£100k under	Medium	We carried forward £259k from 2021/22. Current estimates suggest an underspend of £518k, however, we have yet to receive and process applications for all universities. Any underspend is ring-fenced for use to fund Hardship Funding applications from post graduate social work students. We expect to receive more accurate information in January 2023.

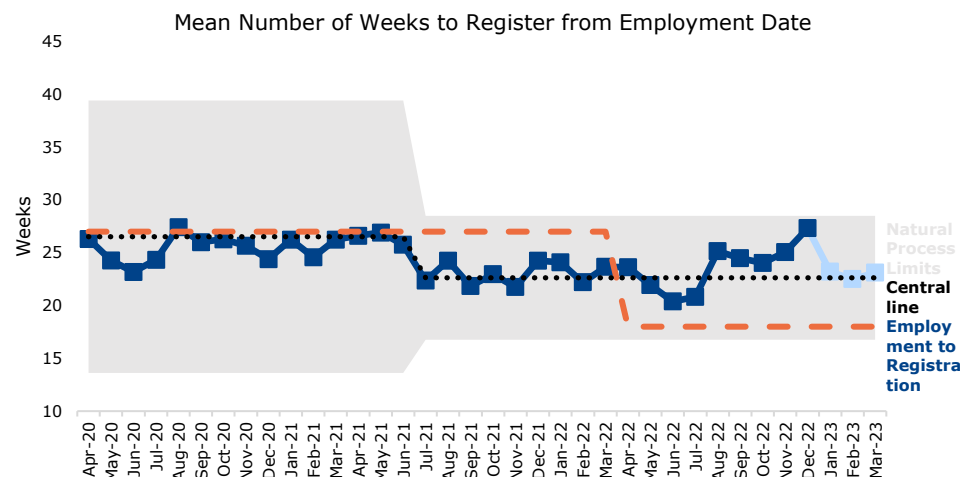
### 3. STRATEGIC PERFORMANCE INDICATORS

#### 3.1 Regulation: Reduce the average time taken from a person starting their employment to being registered with the SSSC.

Time taken from employment to registration was 27.3 weeks in December 2022. Employment to application increased by 2.4 to 23.1 weeks and application to registration decreased by 0.1 to 4.2 weeks.

RAG		
<18	18 to 22	>22
Target: 18 weeks		
Actual and Reforecast		
Apr-22	23.6	31.4%
May-22	21.9	21.9%
Jun-22	20.4	13.3%
Jul-22	20.8	15.7%
Aug-22	25.1	39.7%
Sep-22	24.5	36.0%
Oct-22	24.0	33.5%
Nov-22	25.1	39.2%
Dec-22	27.3	51.8%
Jan-23	23.2	28.9%
Feb-23	22.5	25.0%
Mar-23	23.1	28.3%

We have revised our aim to register workers within 12 weeks of employment, 8 weeks to apply and 4 weeks processing time. Recruitment and retention in the sector and the impact of the fee waiver continue to be a significant challenge. We have therefore reforecast and now predict to end the financial year in amber and above overall target of 18.0 weeks.



#### Management Action and Risk

We will be reviewing the data around this in December/January. We expect to be able to identify specific organisations who require additional support to encourage their workers to apply for registration sooner. Work with those organisations will start in February 2023.

The FPP changes to require workers to apply for registration within 3 months of commencing the role will improve the time from starting work to applying for registration. There will be lots of engagement on the FPP changes during 2023 which will include highlighting this change and encouraging employers to get into the practice of supporting workers to apply within 3 months prior to the change to Regulations.



### 3.2 Regulation: The average time taken to process a fitness to practise case is maintained at less time than organisations we benchmark against.

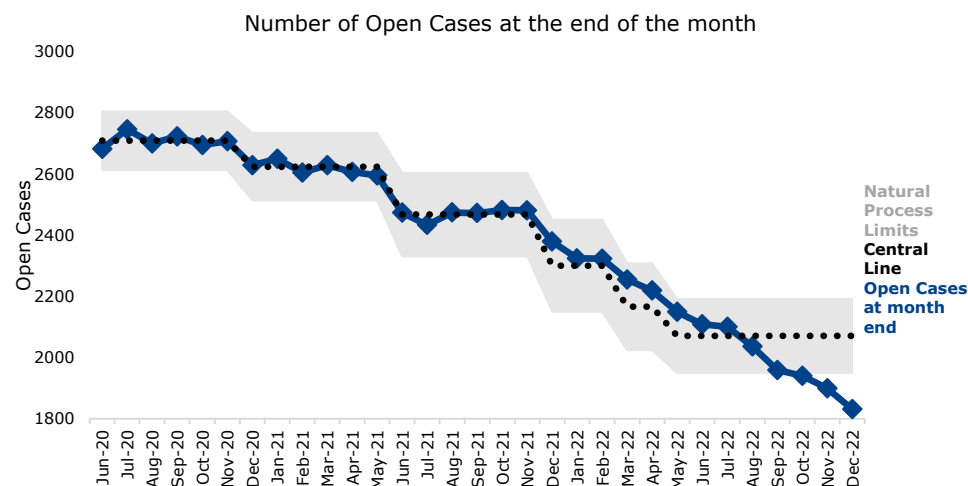
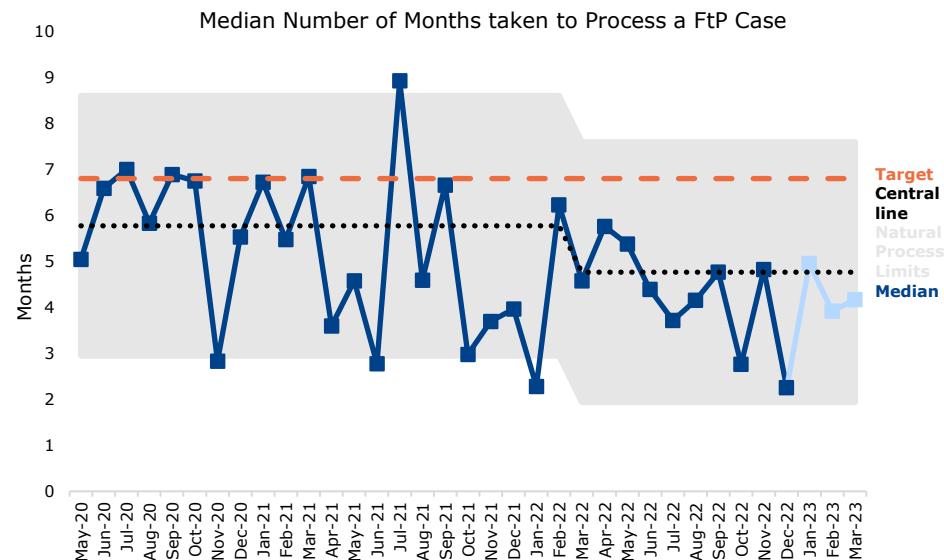
Prompt processing of Fitness to Practise (FtP) cases ensures concerns are addressed and the right people are registered. We continue to outperform similar bodies (external target 17.4 months), so an internal target of 6.8 months was set.

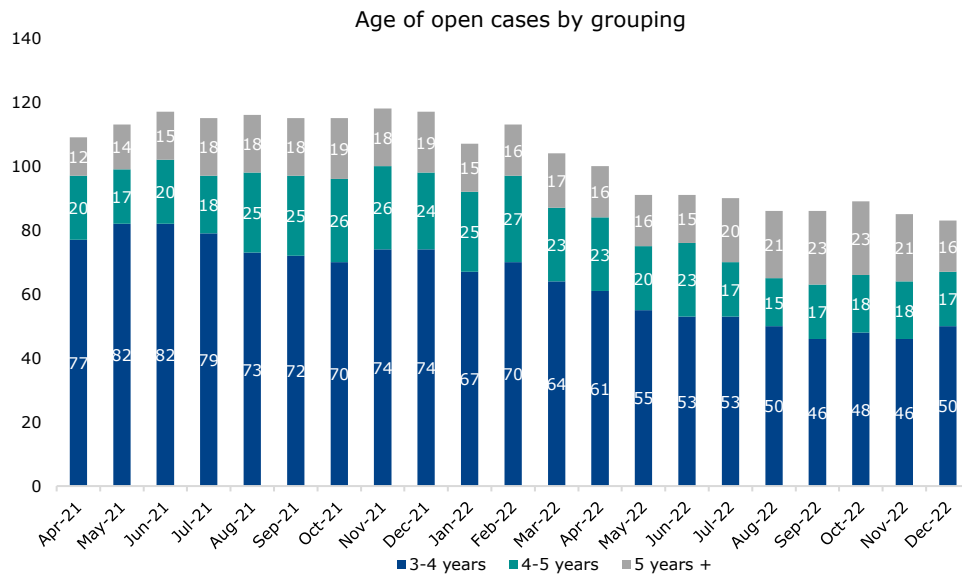
RAG		
<0%	0% to 10%	>10%
Internal Target: 6.8 months		

Actual and Reforecast		
Apr-22	5.8	-15.3%
May-22	5.4	-20.9%
Jun-22	4.4	-35.5%
Jul-22	3.7	-45.4%
Aug-22	4.1	-38.9%
Sep-22	4.8	-29.9%
Oct-22	2.8	-59.4%
Nov-22	4.8	-29.1%
Dec-22	2.3	-66.9%
Jan-23	4.9	-27.2%
Feb-23	3.9	-42.4%
Mar-23	4.2	-38.7%

December 2022's performance was 2.3 months to process a Fitness to Practise case. 51% of cases (99 of 195) were closed at screening stage, a 2% increase from last month (150 of 306).

At the end of December 2022, the number of open cases was 1,831. A decrease of 69 from the previous month and an overall reduction of 548 from December 2021. The median age of open cases at the end of December 2022 was 273 days, an increase of 19 days from the previous month.





- We are promoting the benefits of working for the SSSC including agile working and generous leave and pension provisions.
- We are focusing on building resilience in staff and encouraging autonomy in their reasoning and decision-making.

## Management Action and Risk

### Key risks:

Performance is steady and consistent. The FtP workforce has been stable since 2020. Solicitor turnover remains an ongoing challenge. Feedback from exit interviews consistently is that salary is an issue.

- There is a risk that performance could drop if we continue to lose experienced staff, especially in legal roles.

### Actions:

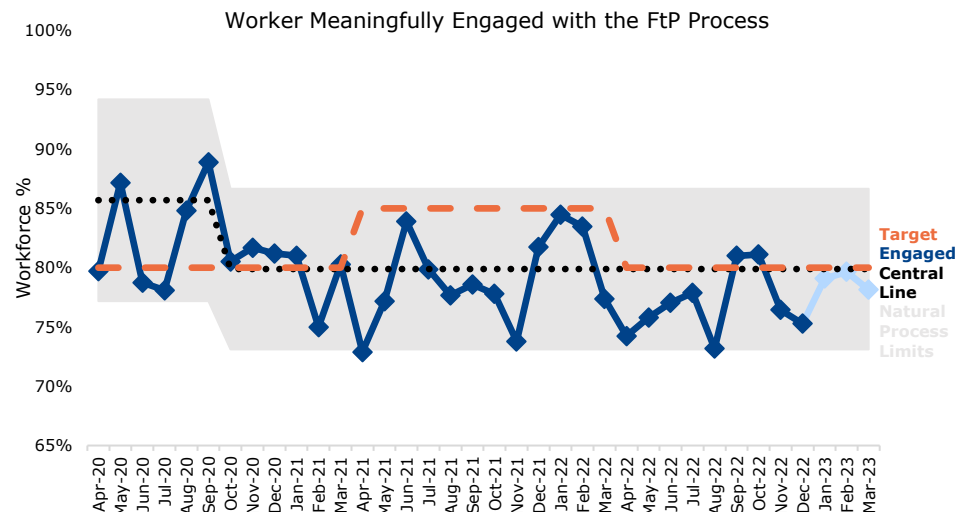
- We are continuing to ensure that we have the right people doing the right work for their role to ease the workloads on remaining solicitors.

### 3.3 Regulation: Increase the percentage of the workforce who are engaged when they are involved with the fitness to practise process.

If a worker has provided a response to allegations, this is likely to amount to meaningful engagement. December 2022's performance was 75.3% engagement (70 of 93 cases).

RAG		
>80%	70% to 80%	<70%
Target: 80%		

Actual and Reforecast		
Apr-22	74.2%	-7.2%
May-22	75.8%	-5.3%
Jun-22	77.0%	-3.7%
Jul-22	77.9%	-2.7%
Aug-22	73.2%	-8.5%
Sep-22	81.0%	1.2%
Oct-22	81.1%	1.4%
Nov-22	76.4%	-4.5%
Dec-22	75.3%	-5.9%
Jan-23	79.1%	-1.1%
Feb-23	79.6%	-0.5%
Mar-23	78.1%	-2.3%



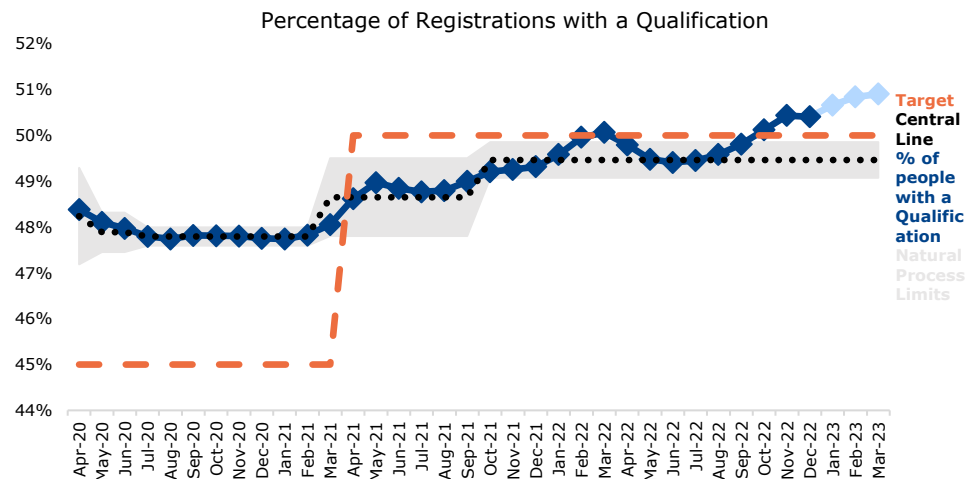
#### Management Action and Risk

- We continue to work to improve access to representation and support services for workers, which helps them to meaningfully engage. We have given staff and panel members training on trauma informed practice.
- We continue to work with employers to teach the workforce about how important it is for them to engage with us. We have produced a fact sheet for employers. This fact sheet includes the employer's role in our investigations and how to support workers.
- We prompt case holders through our case management system to phone workers under investigation at the start of the case to improve engagement as well as supporting them to use the FtP portal to keep up to date with their case.

### 3.4 Workforce Education and Standards: increase the percentage of the registered workforce with the correct qualification.

December 2022's performance was 50.4%.

RAG		
>50%	47.5% to 50%	<47.5%
Target: 50%		
Actual and Reforecast		
Apr-22	49.8%	-0.4%
May-22	49.5%	-1.0%
Jun-22	49.4%	-1.2%
Jul-22	49.5%	-1.1%
Aug-22	49.6%	-0.8%
Sep-22	49.8%	-0.4%
Oct-22	50.1%	0.2%
Nov-22	50.4%	0.9%
Dec-22	50.4%	0.8%
Jan-23	50.7%	1.3%
Feb-23	50.8%	1.7%
Mar-23	50.9%	1.8%



### Management Action and Risk

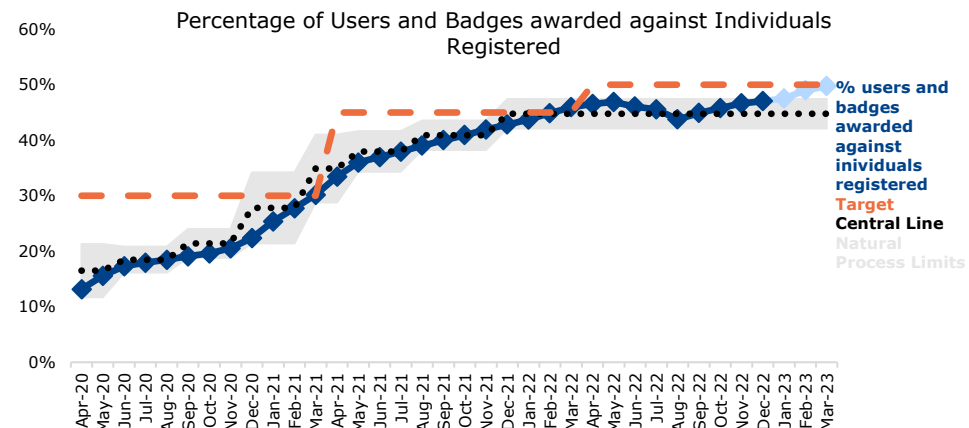
- The Register for the Future consultation proposals including more flexibility in the qualifications we accept for registration and reducing the timescales given to obtain the relevant qualification for registration were approved by Council in November 2022 and. these changes will help increase the qualified status of the workforce. .
- In partnership with SQA we surveyed all training and learning providers who currently deliver the benchmark qualifications to gather further intelligence on capacity within the system to adapt and address the supply and demand challenges highlighted within the WSR. The results show there is sufficient capacity amongst the providers,
- We are working in partnership with Skills Development Scotland, Scottish Government and NES to develop a skills response plan for Adult Social Care. The findings of the initial research and scoping will be available by end of March 2023
- The Voluntary Sector Development Fund (VSDF) this time has prioritised applications from Care at Home and Housing Support as these remain the least qualified groups on the register. Funding is available for SVQ Social Services and Healthcare at SCQF levels 6 and 7; given the increasing complexity of roles and changing models of care delivery, the SSSC/SG encouraged level 7 applications. Funding decisions were made in November, resulting in 75 voluntary organisations being awarded grants to support the workforce to gain qualifications. Grant letters were issued in December and payments will be made by March.

### 3.5 Workforce Education and Standards: Increase the percentage of the workforce using our learning resources to achieve Continuous Professional Learning.

The indicator reflects the number of learners registered to use our learning resources and the number of SSSC open badges awarded. December 2022's performance was 47.0%. We track how many people have been actively using the MyLearning app in the last 30 days, which was 2,322 compared to last month's 4,480. We also monitor the number of learning logs created in the last 30 days which was 6,071 compared to last month's 13,883.

RAG		
>50%	45% to 50%	<45%
Target: 50%		
Apr-22	46.5%	-6.9%
May-22	46.9%	-6.2%
Jun-22	46.0%	-7.9%
Jul-22	45.6%	-8.9%
Aug-22	43.8%	-12.5%
Sep-22	44.9%	-10.2%
Oct-22	45.8%	-8.4%
Nov-22	46.6%	-6.8%
Dec-22	47.0%	-5.9%
Jan-23	47.5%	-5.0%
Feb-23	49.0%	-2.0%
Mar-23	49.7%	-0.6%

There are 5,984 accounts that currently fit the criteria of a dormant account. However, not all of these accounts are true dormant accounts and some users will keep their accounts active once they have a reminder email. They will remain as part of the calculation for this financial year but for the new Strategic Plan WE&S and the Business Intelligence team will propose a different way of measuring performance for this strategic outcome.



#### Management Action and Risk

- The data shows a continued uptake of individuals using our learning resources to achieve their CPL requirements. The majority of dormant accounts are individuals who no longer work in social services. To understand the impact on performance we need to remove dormant accounts currently identified and monitor the trend data for dormant accounts per month against new users. Key actions to increase those using our learning resources include the following.
  - Using functionality within MyLearning to encourage users to remain active.
  - Implementation of improvement plan from January 2023 to ensure continual targeted promotion of MyLearning and our learning resources in registrant newsletters and on social media taking account analysis of the feedback from the analysis of our learning resources survey issued to registrants and JRS research.

- Registrant events planned for 24 January and 2 February 2023, delivered by WES that will focus on using SSSC resources to support CPL and highlight newly published resources. Over 100 people are registered for each event.

### 3.6 Workforce Education and Standards: Percentage of those reporting positively that our development activity is delivering the support required by the workforce.

This indicator reflects the feedback from people who have been using SSSC learning to support their continuous professional development. This calculation uses survey information from:

- the users of learning resources including step into leadership and open badges
- registrants who have recently renewed or completed a qualification
- surveys across our corporate website and our learning zone
- post-event feedback.

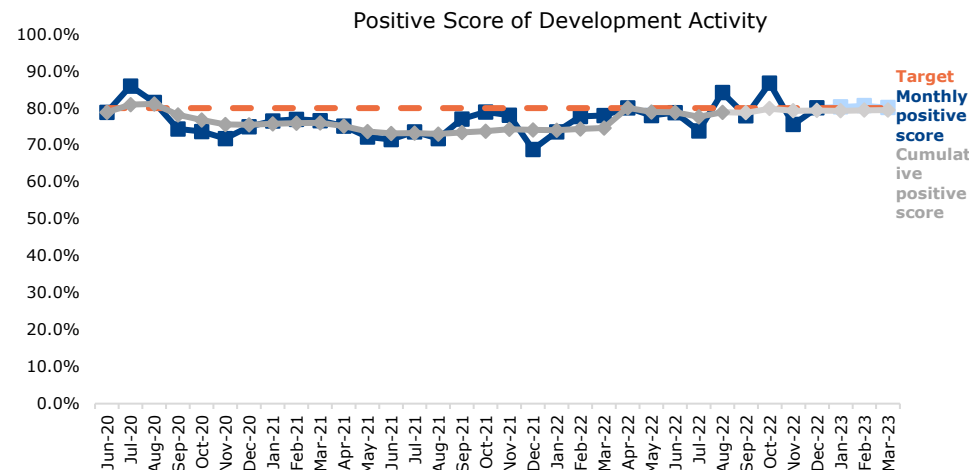
RAG		
>80%	70% to 80%	<70%
Target: 80%		

Monthly Performance Actual and Reforecast		
Apr-22	80.1%	0.1%
May-22	78.0%	-2.5%
Jun-22	78.6%	-1.5%
Jul-22	73.8%	-7.7%
Aug-22	84.2%	5.3%
Sep-22	77.9%	-2.6%
Oct-22	86.7%	8.4%
Nov-22	75.5%	-5.6%
Dec-22	80.1%	0.1%
Jan-23	80.3%	0.4%
Feb-23	80.6%	0.8%
Mar-23	80.1%	0.1%

RAG		
>80%	70% to 80%	<70%
Target: 80%		

Cumulative Performance actual and Reforecast		
Apr-22	80.1%	0.1%
May-22	79.0%	-1.3%
Jun-22	78.9%	-1.4%
Jul-22	77.6%	-3.0%
Aug-22	78.9%	-1.4%
Sep-22	78.7%	-1.6%
Oct-22	79.8%	-0.2%
Nov-22	79.3%	-0.9%
Dec-22	79.3%	-0.8%
Jan-23	79.3%	-0.9%
Feb-23	79.4%	-0.8%
Mar-23	79.5%	-0.7%

From the above sources, the number of responses we received in December 2022 was 266 compared to last month's 364. In December 2022 we received a positive score of 80.1% and overall cumulative performance to 79.3%. Since April 2022 we have received 3,005 responses.



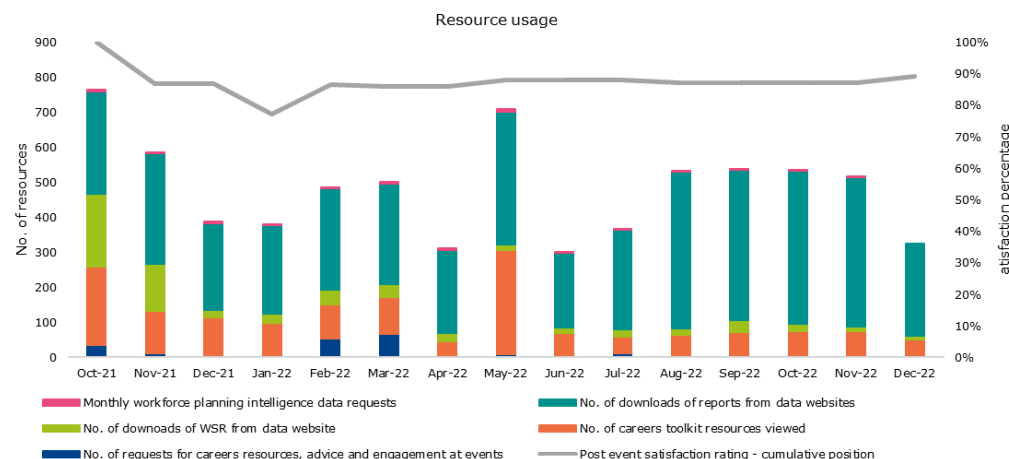
### Management Action and Risk

WES is undertaking further work to measure stakeholder satisfaction with resources. This includes the following.

- Using the data from the MyLearning app to understand what resources registrants are consuming and how they are applying these to their CPD and registration conditions.
- Analysis of registrant usage of our digital learning resources and digital insights has informed development of an improvement action plan to target promotion and use of resources.
- The registrant learning resources survey was issued in December 2022, with a return date of late January. Results will inform improvement actions.

### 3.7 Workforce Education and Standards: Percentage of those reporting positive awareness of workforce planning resources and report that resources are effective.

The indicator reflects the number of people using our workforce planning resources and their rating of the content.



324 resources were used in December 2022 compared to 515 last month. The number of careers toolkit unique views decreased from 69 to 43. The number of downloads of reports from the data website decreased from 427 to 264 in December 2022. However, all levels remain consistent.

#### Management Action and Risk

The workforce planning stakeholder survey held in January 2022 has provided a benchmark measure of satisfaction. We will be undertaking a repeat of this survey in February 2023. This will help us to understand the impact of workforce planning activity

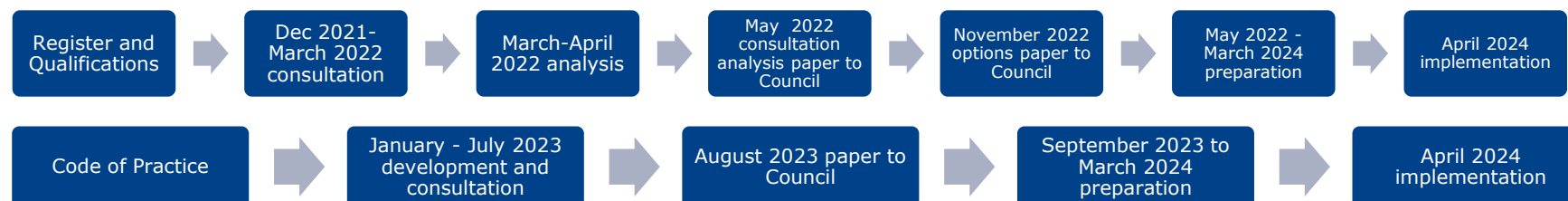
and to monitor performance going forward. Actions to increase use of our resources are set out below.

- We are developing four pre-employment resources, including 10 Steps to a Career in Care, which we will add to our suite of careers toolkit resources. We will launch these by March 2023.
- We continue to promote our resources at our quarterly workforce planner network webinars. The December webinar was popular with a 38% increase in people registering compared to the previous event (up to 184 from 133) and 58 attending. We continue to promote these and the LinkedIn group which has seen membership increase slightly in the last month.
- We published a new recruitment resource in December 2022 to support social services employers recruit people from Ukraine.
- We will be increasing the frequency of our published vacancy data for social workers. This will be produced on a quarterly rather than annual basis. Timescales for this currently being agreed.
- Producing new workforce data report focusing on workforce distribution. This will be available by the end of January 2023.



### 3.8 Regulation: Deliver the Future Proofing Programme.

The indicator reflects the development of improvements to be made through the SSSC Future Proofing Programme. Progress against project milestones are in the quarterly update provided to the Audit and Assurance Committee. Project updates will also be included in assurance reports. Delivery is projected to take up to three years. The high-level timeline has been amended as follows.



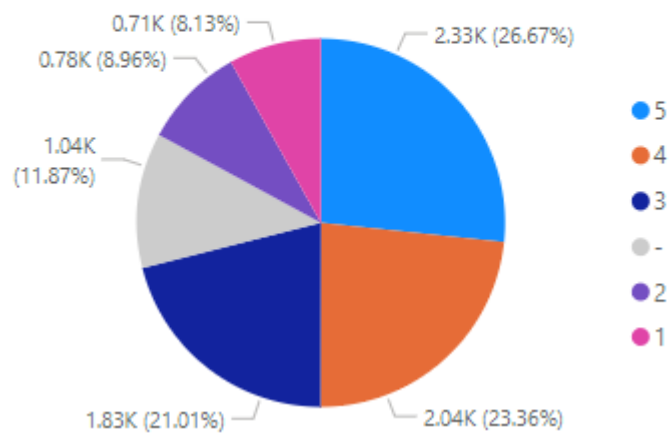
#### Management Action and Risk

- There are two significant risks to this programme. Firstly securing legislative change and secondly securing funding for this and future years to do the work necessary to change the structure of the register. Sponsor team is working on this with the Scottish Government Legal Department but it is now unlikely we will have legislative change in time for an implementation date of April 2023. We are now working towards implementation in 2024. We are continuing to speak positively with government about securing the funding that we need to complete this programme.
- Meetings with project leads regarding milestones and planned timescales are due to be held in January along with a revision of the stakeholder mapping.
- Incremental Group and staff from Systems Development and Registration completed the discovery phase of systems development work as part of the programme. Incremental Group provided a summary report following the sessions held during that phase which will inform development of Wave 1 and subsequent phases in 2023/24.

### 3.9 Strategy and Performance: The work of the SSSC promotes the value of the social care workforce.

This measure focuses on feedback that our work promotes the value of the social care workforce through engagement activity, and the impact of this workforce being qualified and registered, professional and regulated, by surveying registrants throughout the year, as well as our key stakeholders. Our Registrant Survey which ran for three weeks in July 2022 asked the following question, where 1 is 'not at all' and 5 is 'very much'.

**How much do you think the work of the SSSC promotes the value of the sector and the workforce?**



#### Management Action and Risk

Three further surveys are due for release in January and February, learning resources, stakeholder survey and workforce planning. These will also ask questions about how the work of the SSSC promotes the value of the sector. Once these are completed the full data will be analysed and actions developed as part of department's work to support the new outcomes in 2023 – 2026 strategic plan.

## 4. ORGANISATION INFORMATION

### 4.1 Programme Management Office

#### Overall Summary: Programmes

Programme	Project Sponsor	Phase	Budget RAG	Risk/ Issues RAG	Stakeholder Buy In RAG	Timescale RAG	Overall RAG	Approval and Monitoring	Key Milestone	Comment
Digital Programme	Director of Strategy and Performance	Implement	Red	Amber	Green	Green	Red	All digital projects approved and monitored at by Digital Development Sponsor Group and Digital Development Programme Board. Updates with PMO	<p>Future proofing systems changes project PID approved.</p> <p>Fee waiver digital project complete.</p>	<p>While the overall digital programme budget position is not at risk, the red level risk is being created by Future Proofing. The systems changes part of FPP is currently tracking as an underspend this year and budget commitment for 2023/24 has not yet been approved.</p> <p>The Mattersphere software upgrade project is on track to be completed by TRE in this financial year.</p> <p>The conditions not met improvements project is progressing now Fee Waiver improvement work has been implemented.</p>
Insight and Intelligence Project (part of Digital Programme)	Director of Strategy and Performance	Deployment	Red	Amber	Amber	Amber	Red	Project approved and monitored by Digital Development Sponsor Group and Digital Development Programme Board. Cross functional groups meet on a fortnightly basis to monitor and provide support. Updates with PMO	No milestones to be achieved this month.	The project has an overspend and extended timescale to January 2023. Resourcing internally is challenging.

Future-Proofing Programme	Director of Registration	Deployment	Red	Amber	Green	Amber	Red	Programme approved and monitored by the Future-Proofing Programme Board. Updates with PMO.	Systems changes PID approved.  Employee survey completed.	Budget remains red as there is a significant projected digital underspend for 2022/23 and no agreed confirmation of budget for 2023/24.  Timescales will depend on rule/legislative change via SG which we are not fully in control of.
Rewards Review	Director of Finance and Resources							Programme approved and monitored by the Rewards Review Programme Governance Group monthly.		Programme suspended until further review.

### Overall Summary: External Projects

Programme	Project Sponsor	Phase	Cost vs Budget RAG	Risks / Issues RAG	Stakeholder Buy In RAG	Timescale RAG	Overall RAG	Approval and Monitoring	Key Milestone	Comment
Newly Qualified Social Worker	OCSWA		Green	Amber	Green	Amber	Amber	Approved by EMT. Monitoring and oversight now undertaken by Social Work Education Partnership Forum	No milestones to be achieved this month.	The risks and issues level will remain at amber until OCSWA can confirm infrastructure and funding going forward.

## 4.2 External Stakeholder Engagement

Our 'opened performance' is based on users opened against delivered. Each month there are five regular mailers are issued. These mailers are under the categories "All News", "Adults", "Children", "Employers" and "Social workers and students". Most months additional mailers are issued however to measure progress this measure will concentrate on the five regular mailers.

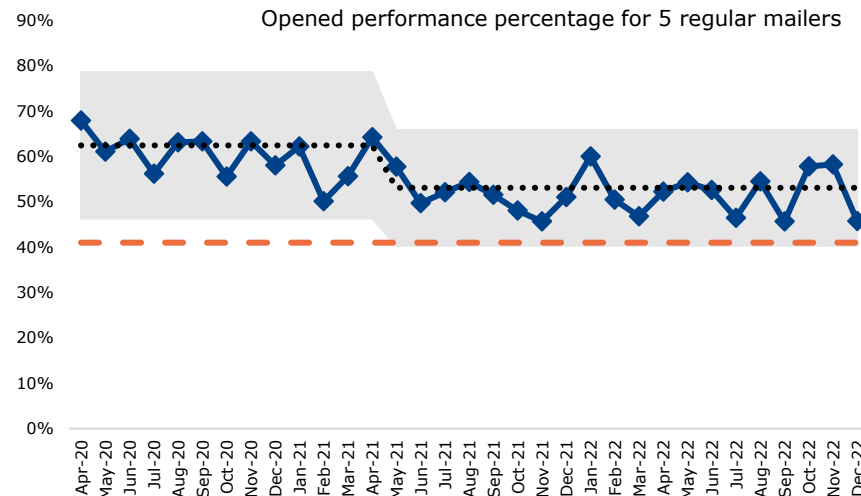
December 2022's performance was 45.8%.

RAG		
>5%	-5% to 5%	<-5%
Target: 41%		
% Opened		
Apr-22	52.3%	27.4%
May-22	54.3%	32.4%
Jun-22	52.6%	28.2%
Jul-22	46.4%	13.2%
Aug-22	54.5%	32.9%
Sep-22	45.6%	11.3%
Oct-22	57.8%	41.0%
Nov-22	58.2%	42.1%
Dec-22	45.8%	11.6%
Jan-23		
Feb-23		
Mar-23		

December was a particularly quiet month for content for SSSC News which is not unusual for the time of year. Engagement was also down and there will be a number of factors in this. Most often it is the context at the time of sending the newsletters.

The release of the SSSC and CI staff vacancies report on the sector was the top article although the engagement was significantly lower than for the report released at the same time the previous year. We are waiting for the data from the CI to assess how well the article performed in engaging people in the report.

Opened performance percentage for 5 regular mailers



### Management Action and Risk

- We are running a series of objective setting training sessions with teams and departments to make sure that we have outcomes or targets for engagement set out at the start of each campaign so that we can measure success and tailor the call to action to reach the specific audience.
- The newsletters are sent to between 165k – 185k people each time and go out twice a month. There are different newsletters for the parts of the register as well as for employers and subscribers who are people with an interest in our work.

## DECEMBER IMPACT HIGHLIGHTS

### **Article: Staff vacancies in care services 2021**

**Communications objective:** to attract our audiences to read the article and download the report.

**Client objective:** as above

**Communications outcome:** met – 2,294 clicks and waiting number of referrals to document on CI website to assess engagement. In comparison, the Staff Vacancies in Care Services 2020 article in the December 2021 enewsletters received 6,352 clicks.

**Client outcome:** as above

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### **Article: Meet the SSSC registrant events**

**Communications objective:** attract registrants to book a place at the events.

**Client objective:** around 50 people attend events.

**Communications outcome:** met with ,164 clicks- both events fully booked. However, in comparison, the events promoted in October 2022 newsletters received more than double the engagement.

**Client outcome:** TBC following the events

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### 4.3 Strategy and Performance: SSSC complaint information.

This metric will compare performance of complaints at stage one and complaints at stage two using the date when a complaint has been recorded as resolved. The graphic shows the trend in number of complaints received. We have twenty days to resolve a stage two complaint and five days to resolve a stage one complaint.

RAG		
>90%	80% to 90%	<80%
Target: 90%		

Percentage of stage one complaints resolved on time

Apr-22	96.2%	6.8%
May-22	96.4%	7.1%
Jun-22	100%	11.1%
Jul-22	97.9%	8.7%
Aug-22	100%	11.1%
Sep-22	100%	11.1%
Oct-22	100%	11.1%
Nov-22	97.7%	8.6%
Dec-22	100%	11.1%

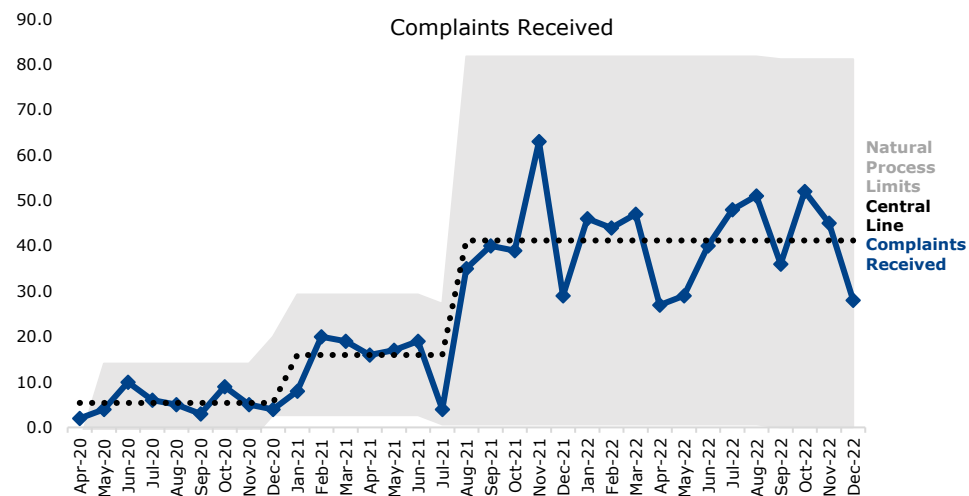
Jan-23  
Feb-23  
Mar-23

RAG		
>90%	80% to 90%	<80%
Target: 90%		

Percentage of stage two complaints resolved on time

Apr-22	-	-
May-22	-	-
Jun-22	100%	11.1%
Jul-22	100%	11.1%
Aug-22	-	-
Sep-22	100%	11.1%
Oct-22	-	-
Nov-22	-	-
Dec-22	100%	11.1%

Jan-23  
Feb-23  
Mar-23



We resolved 26 stage one complaints and 2 stage two complaints in December 2022.

Management Action and Risk

No action needed.

## HUMAN RESOURCES PERFORMANCE

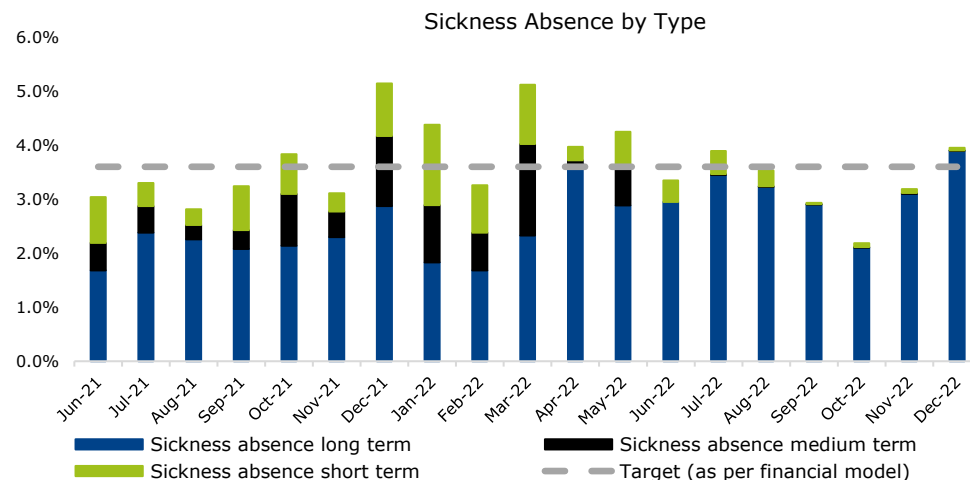
### 4.4 HR: The overall percentage of staff who are absent from work.

This metric combines all types of absence across the SSSC to give an overall metric. The assessment will focus on any areas of concern or risk by looking at sickness absence by directorate or team. We will identify any emerging reasons that could cause more staff absence in the future.

RAG		
<3.6%	3.6% to 4.6%	>4.6%
Target: 3.6%		
Apr-22	4.0%	10.3%
May-22	4.2%	18.0%
Jun-22	3.3%	-7.0%
Jul-22	3.9%	8.1%
Aug-22	3.5%	-1.9%
Sep-22	2.9%	-18.6%
Oct-22	2.2%	-39.3%
Nov-22	3.2%	-11.5%
Dec-22	4.0%	9.8%
Jan-23		
Feb-23		
Mar-23		

Definitions: Short-term absence is up to a week. Medium-term absence is between 8 and 27 calendar days. Long-term absence is a period of four weeks or more.

Ten employees were off on long term sick in December, the majority (seven) in the Regulation Directorate for a range of reasons. Three of those who were absent in December have since returned to work.



### Management Action and Risk

There are no areas of concern in terms of absence – there are no common themes or causes and the reasons for absence are varied. HR continue to work with managers to support them to manage staff who are absent and escalate as appropriate through the maximising attendance processes.

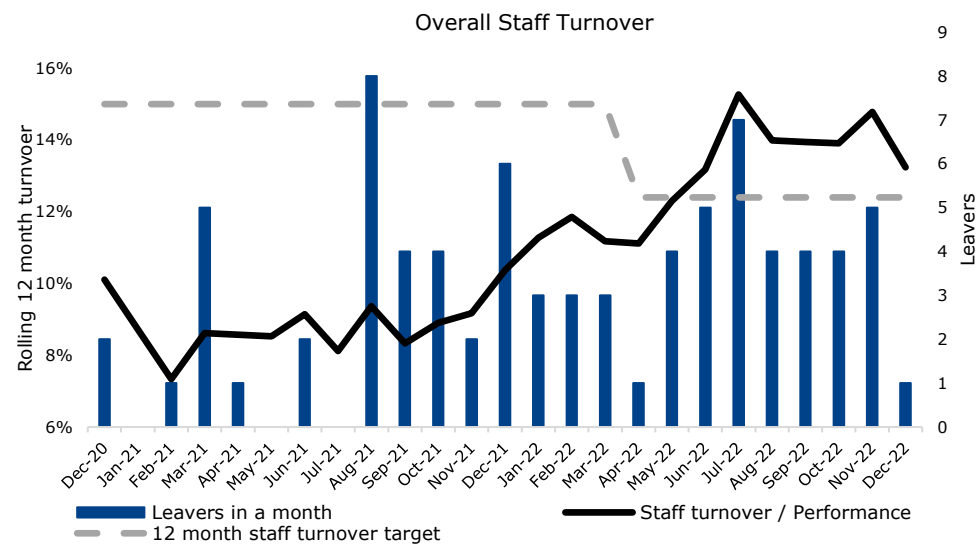


4.5 HR: The overall staff turnover percentage.

This metric looks at the average staff turnover each month for the SSSC and we will compare this with the yearly rolling average. The assessment will focus on any areas of concern or risk by looking at staff turnover in certain directorates or team. We will identify any emerging reasons that could cause more staff turnover within an area.

RAG		
<12.4%	12.4% to 13.4%	>13.4%
Target: 12.4%		
Apr-22	11.1%	-10.3%
May-22	12.3%	-0.8%
Jun-22	13.2%	6.3.%
Jul-22	15.3%	23.1%
Aug-22	14.0%	12.8%
Sep-22	13.9%	12.5%
Oct-22	13.9%	12.1%
Nov-22	14.8%	19.2%
Dec-22	13.2%	6.8%
Jan-23		
Feb-23		
Mar-23		

There was one leaver in December 2022 who left for a career development opportunity. There are three confirmed leavers in January 2023 all three from Regulation directorate.



Management Action and Risk

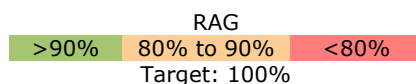
HR are making sure that exit interviews are carried out for all leavers where possible and will report on reasons for leaving and any themes emerging via the Assurance report and the People Strategy Board. Reporting will include comparisons to previous years where possible and we will also assess any areas where we are having recruitment difficulties and outline action taken.

## LEGAL AND CORPORATE GOVERNANCE

### 4.7 L&CG: SAR and FOI requests are dealt with within timescales.

We must respond to 100% of SAR requests within one calendar month. In December 2022 we responded to five SAR requests and met the statutory timescales.

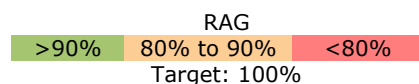
We must respond to Freedom of Information (FOI) requests within 20 working days. In December 2022 we responded to five request and met the statutory timescales.



Percentage of SAR completed on time

Apr-22	100%	0%
May-22	100%	0%
Jun-22	100%	0%
Jul-22	100%	0%
Aug-22	100%	0%
Sep-22	100%	0%
Oct-22	--	--
Nov-22	--	--
Dec-22	100%	0%

Jan-23  
Feb-23  
Mar-23

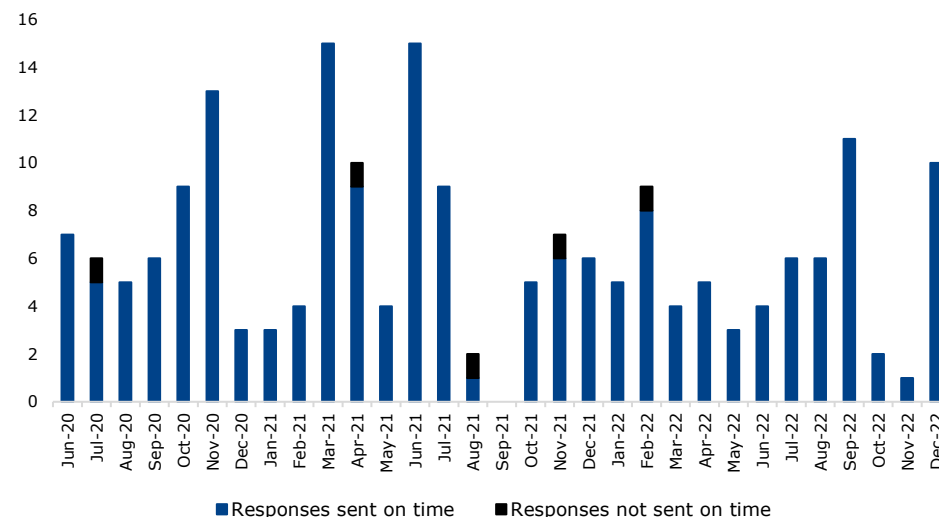


Percentage of FOI requests completed on time

Apr-22	100%	0%
May-22	100%	0%
Jun-22	100%	0%
Jul-22	100%	0%
Aug-22	100%	0%
Sep-22	100%	0%
Oct-22	100%	0%
Nov-22	100%	0%
Dec-22	100%	0%

Jan-23  
Feb-23  
Mar-23

SAR and FOI responses



Management Action and Risk

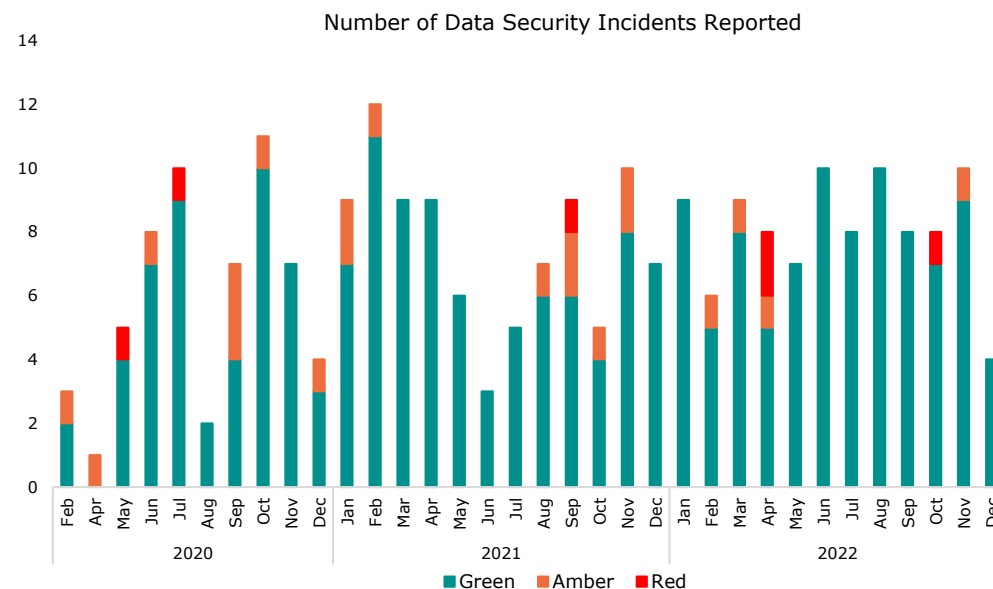
No action needed.

#### 4.8 L&CG: Number of security incidents/data breaches reported.

We complete a risk assessment and investigation in relation to each data security incident reported to the Information Governance team. We decide if the incident is a data breach. A data breach is a breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, personal data. We also note when we must refer a data breach to the ICO.

As part of the risk assessment process, we categorise data security incidents as low/green, medium/amber, or high risk/red, dependent on factors such as the volume of data released, the sensitivity of information released and the risk to affected individuals.

The Information Governance Team assessed four data security incidents in December 2022 and categorised all four as low/green.



#### Management Action and Risk

The Information Governance Team assesses each incident and makes recommendations to ensure that a repeat of the incident does not happen.

We send the breach investigation report with the recommendations to the Head of Department. The DPO follows up on recommendations for an amber or red categorised incident.

## CONTROL CHARTS

This section gives a brief description of some of the terms used within the control charts.

Central line – this is the average performance and indicates the trend in performance. The line is also used to calculate the lower and upper natural processes. If the line is flat then performance is steady, if the central line moves up or down this indicates that the trend in performance has changed over several months and the central line has had to be recalculated.

Natural process limit – This is the region between the lower natural process limit and the upper natural process limit. How performance sits within this limit will determine if we need to calculate the central line. If a performance point sits outside of this natural process limit, then it would be considered an outlier. The upper and lower natural limits are calculated based on the average of the moving range, the moving range being the difference between two performance points.