

**Date Issued: 19 May 2022**

Members of the Scottish Social Service Council are advised that a meeting of the Council is to take place at 10am on Thursday 26 May 2022 in Compass House, 11 Riverside Drive, Dundee DD1 4NY and by Teams meeting.

There is no access to the building for public. Anyone who registers can observe the meeting live online.



**Sandra Campbell  
Convener**

**AGENDA  
PUBLIC SESSION**

<b>Item</b>	<b>Report no</b>
1. Welcome and apologies for absence	
2. Declarations of interest	
3. Minutes of previous meetings	
3.1 28 February 2022	
3.2 25 March 2022	
4. Matters arising	
5. Convener's report	<b>17/2022</b>
6. Chief Executive's report	<b>18/2022</b>
7. Audit and Assurance Committee report to Council	<b>19/2022</b>
8. Annual Audit and Assurance Committee report to Council	<b>20/2022</b>
9. Complaints Performance update for 01 April 2021 to 31 March 2022	<b>21/2022</b>
10. People Management Policies	<b>22/2022</b>
11. Future Proofing Programme consultation analysis	<b>23/2022</b>
12. Council Action Record	

13. Date of next meeting and calendar of business – The next scheduled meeting of the Council will be held on Thursday 25 August 2022

### **PRIVATE SESSION**

14. Rewards Review **24/2022**
15. Confidential minutes of the private meetings of  
15.1 28 February 2022  
15.2 25 March 2022
16. Chief Executive - appraisal **25/2022**

### **Private session items explained**

The Convener of Council has directed that the following items be taken in private session and has given the following reasons for their exclusion:

Agenda item	Reason for exclusion
14.	<ul style="list-style-type: none"><li>c. matters involving issues of commercial or financial sensitivity or confidentiality.</li><li>d. matters relating to policy or the internal business of the Council which are for discussion with the Scottish Government or other regulatory or public bodies, prior to final approval by the Council.</li></ul>
15.	<ul style="list-style-type: none"><li>a. matters likely to breach personal data legislation (as defined by the UK General Data Protection Regulation and Data protection Act 20178 or any subsequent legislation)</li><li>c. matters involving issues of commercial or financial sensitivity or confidentiality.</li><li>e. information which may be considered to be legally privileged or relate to matters of legal proceedings either in progress or relating to the SSSC</li></ul>
16.	<ul style="list-style-type: none"><li>d. matters relating to policy or the internal business of the Council which are for discussion with the Scottish Government or other regulatory or public bodies, prior to final approval by the Council.</li></ul>

- a. matters likely to breach personal data legislation (as defined by the UK General Data Protection Regulation and Data Protection Act 2018 or any subsequent legislation)
- b. matters relating to named training and education providers or care service providers, such that their credibility and reputation may be affected
- c. matters involving issues of commercial or financial sensitivity or confidentiality
- d. matters relating to policy or the internal business of the Council which are for discussion with the Scottish Government or other regulatory or public bodies, prior to final approval by the Council
- e. information which may be considered to be legally privileged or relate to matters of legal proceedings either in progress or relating to the SSSC
- f. any other matters which if publicly disclosed might reasonably prejudice the effective discharge of the SSSC's functions.

**SCOTTISH SOCIAL SERVICES COUNCIL**

**Unconfirmed minutes of the Scottish Social Services Council held on  
Monday 28 February 2022 at 10:00 am by Teams meeting.**

**Present:** Sandra Campbell, Convener  
Professor Alan Baird, Council Member  
Paul Edie, Council Member  
Julie Grace, Council Member  
Lynne Huckerby, Council Member  
Rona King, Council Member  
Linda Lennie, Council Member  
Peter Murray, Council Member  
Russell Pettigrew, Council Member

**In attendance:** Lorraine Gray, Chief Executive  
Maree Allison, Director of Regulation  
Laura Lamb, Acting Director of Development and Innovation  
Lynn Murray, Interim Director of Finance and Resources  
Laura Shepherd, Director of Strategy and Performance  
Anne Garness, Head of Legal and Corporate Governance  
Audrey Wallace, Corporate Governance Coordinator

**Observing:** The meeting was live streamed, and the link shared with  
SSSC staff and members of the public

**1. Welcome**

1.1 Sandra Campbell welcomed those present to the meeting, including those observing.

**2. Apologies**

2.1 Theresa Allison submitted apologies.

**3. Declarations of interest**

3.1 There were no declarations of interest.

**4. Minutes of the previous meeting**

4.1 Council approved the minutes of 25 November 2021 as an accurate record.

**5. Matters arising**

5.1 There were no matters arising from the minutes which were not included elsewhere on the agenda.

**6. Convener's report**

- 6.1 Sandra Campbell presented report 01/2022 which summarised her activities as Convener since the last scheduled Council meeting in November 2021.
- 6.2 She also asked Members to consider her proposal for future meetings and a possible hybrid model. Any decision about hybrid meetings would be subject to any future changes in public health guidance but, following the latest guidance, where meetings can take place in-person then they should do. The Convener stressed that over the course of the pandemic, business has continued to be conducted effectively remotely however, it was noted that face to face meetings are preferable where possible and benefits include more effective team building. There was some discussion around equality of access and Members were reminded that it is a duty of the SSSC to ensure equality of access regardless of face-to-face or online meetings.
- 6.3 Discussion turned to the number of meetings which Members will be expected to attend in person rather than online. After clarification it was agreed that 50% of formal scheduled meetings and 50% of scheduled development sessions should be attended in person by any Member invited to the meeting or session. Any difficulty in achieving this would be subject to the Convener's agreement. Members will review this arrangement after one year in operation. Other bodies' experiences would also help provide learning on best practice.
- 6.4 Lorraine Gray reminded Members that the wider public health issue should be uppermost in their minds. Anyone who had circumstances which meant they did not feel that attendance in person was suitable for them should not feel compelled to do so. It was agreed that the Convener's discretion would cover such scenarios.
- 6.5 The Council
1. noted the summary of the key issues and activities covered in the report
  2. agreed the format for holding future meetings and development sessions in a hybrid format:
    - Members should attend, in person, 50% of formal scheduled meetings and 50% of scheduled development sessions, to which they are invited, subject to the Convener's discretion where she is made aware of individual circumstances
    - Council will review this arrangement after one year in operation, commencing with the May 2022 cycle of meetings (ie financial year 2022/23). This format is subject to earlier review if there's a change in public health guidance.

## **7. Chief Executive's report**

7.1 Lorraine Gray presented report 02/2022 which detailed the SSSC's key performance against strategic priorities as well as the work of the directorates.

7.2 The following areas were highlighted and discussed:

- Lorraine Gray confirmed that although the official report had not yet been received, the SSSC has gained the Investors in People Gold Award and had been encouraged to apply for the Platinum Award. We had also been encouraged to apply for the Investors in Wellbeing Award and this would be further looked into. The full report would be received in the next few weeks and highlights reported to Council in May.
- In response to a query about several forthcoming external engagement events, Lorraine Gray advised Members that there would be a full discussion session in or around May for Council Members. At that time all the relevant information will be brought together and shared. Members welcomed this and noted that the Convener had attended the most recent engagement session in Edinburgh.
- Laura Lamb clarified the roles of temporary workers and volunteers who would be moving into supporting care services. She advised that this was an initial step of a wider piece of work on induction for new entrants to the workforce. The temporary workers and volunteers were those already in the care sector but moving into frontline services.
- Lorraine Gray advised that there was no date given yet for the update on outcomes of the National Care Service review, it was anticipated that this would be available in March. She said that the extension of the Shortage Occupation List (SOL) to include health and care workers would have minimum impact on the work of the SSSC as additional workers would apply and be processed as normal.
- Lorraine Gray responded to a query about the use of the workforce data in assisting in assessing required competencies for the future workforce. While this data will be useful one of the main issues for learning and developing in the workforce was use of the minimum salary rate for workers. The SSSC is limited in lobbying against this as the regulator for the sector.

7.3 The Council

1. noted and commented on the information on the content of the report
2. noted an exceptionally busy period for the organisation.

## **8. Audit and Assurance Committee report to Council**

8.1 Alan Baird presented report 03/2023 from the Audit and Assurance Committee meeting of 03 February 2022, along with the assurance

report which was submitted to the Committee and the draft minutes of the meeting.

- 8.2 He highlighted the two internal audit reports which were presented on the areas of Workforce Planning and Development and HR Data and Performance Management. Both reports gave a good level of assurance. He also confirmed that two areas of risk had been reduced in the Risk Register, signalling progress in strengthening our digital performance.
- 8.3 Following a question regarding staff turnover, it was noted that staff turnover was generally low and this figure was not a risk or cause for concern. Exact details were not available to hand but confirmed that this number of leavers reported (six) was not a risk.
- 8.4 There was discussion around the categories of risk appended to SSSC activities and it was agreed that these were discussed at the away day in January and although will be kept under review, should not be changed at this time. The Convener reiterated that the Audit and Assurance Committee regularly reviews these and any changes will be discussed there.
- 8.5 The Council:
1. accepted that the assurance report presents a true and fair view of the SSSC's performance towards achievement of strategic objectives, financial management and risk identification and management. In particular that
    - a. operational performance as measured by strategic key performance indicators give confidence that the SSSC was delivering as forecasted to meet its strategic objectives as agreed with the Sponsor Department
    - b. financial performance was consistent with forecasted spend and presents no cause for concern relating to year-end outturn of approved budget
    - c. operational delivery and financial expenditure were consistent
  2. took sufficient assurances from the internal audit reports, the management's audit report, and the 2022/23 internal audit plan
  3. approved the revised Risk Appetite Statement and Risk Register which were attached at Appendices 3 and 4 to the report
  4. noted
    - a. approval of the external audit plan for 2021/22
    - b. the progress on assurance mapping
    - c. approval of the revised Financial Regulations and the Debt Management Policy
    - d. that the Committee took assurances that there were no instances of fraud or corruption detected in the period 1 October to 31 December 2021.

**9. Draft budget 2022/23 and indicative budgets for 2023/24 and 2024/25**

- 9.1 Lynn Murray presented report 04/2022 along with appendices showing the 2022/23 draft budget, breakdown of staffing requirements, breakdown of budget priorities and indicative budgets for 2023/24 and 2024/25. She gave a presentation, at Appendix 3 to the report, on the high-level figures for the 2022/23 budget as well as indicative predictions and scenarios for 2023/24 and 2024/25.
- 9.2 Lynn Murray highlighted figures and budget areas of significance including potential use of reserves and use of office space. She also spoke to the indicative figures for future years and how these are estimated. Members asked Lynn Murray to identify in the budget paper for consideration on 25 March, high level areas that would potentially be affected if we do not receive sufficient funding in future years. Examples could include where, if there was insufficient funding for the Future Proofing Programme, what type of Business as Usual (BAU) work and project work would not be carried out.
- 9.3 One further area of interest discussed was with regard to possible savings on the cost of office space, once the lease expires on the current headquarters building. Members noted that the Chief Executive was preparing to put a robust funding case to Michael Chalmers, the Director of Children and Families, Scottish Government at her forthcoming meeting with him.
- 9.4 Council members also asked Lynn Murray to outline savings and efficiencies that we have made as well as identifying potential efficiencies, ranked in priority order, for the next meeting to be held in March. They asked whether there are additional funds available for the outcomes of the National Care Service review and Lynn Murray advised that we are at too early a stage for funding to be available.
- 9.5 The Council
1. considered and commented on the draft budget for 2022/23. Scottish Government has agreed to fund a deficit budget of £1.638m as an unfunded pressure this year (at Appendix 1 to the report)
  2. considered and commented on the indicative budgets for 2023/24 of £0.787m deficit and 2024/25 £0.319m deficit (at Appendix 1 to the report)
  3. considered and commented on the proposed staffing establishment changes set out in paragraphs 17 to 19 of the report
  4. considered and commented on the considerations for projected general reserves and risks to the budget
  5. requested further information on areas potentially affected if funding is not available and efficiencies we have made and could make at the next meeting to be held on 25 March 2022.



**10. Review of SSSC Corporate Governance Framework**

- 10.1 Anne Garness presented report 05/2022 which sought approval of the revised Executive Framework and Code of Corporate Governance as well as approval for revised reporting dates for some annual reports, to allow more evenly spread Council business. Revising these dates would have no impact on the matters reported.
- 10.2 Members agreed minor amendments to the wording in the Code of Corporate Governance to ensure it covers facilitating access to all people wishing to attend meetings remotely or in person. This will correspond to the agreement with paragraph 6.2 above, regarding attendance at hybrid meetings.
- 10.3 The Council
1. approved the Executive Framework and authorised the Chief Executive to finalise it with the Scottish Government
  2. approved the proposed amendments to the Code of Corporate Governance subject to minor amendments discussed above
  3. approved the revised reporting dates for the Digital Development, Information Governance, Partnership Agreement and Shared Services annual reports outlined in the Council Calendar of Business
  4. noted the annual effectiveness review and new Scheme of Delegation for staff.

**11. Annual Report and Accounts timeline**

- 11.1 Anne Garness presented report 06/2022 which proposed the timeline, shown below, for preparation and approval of the Annual Report and Accounts for this year and future years, subject to future review if necessary.
- 11.2
- |   |  |
|---|--|
| Quarter 1 cycle –<br>A&A Committee<br>meeting | Committee approves its draft annual committee report.<br>Committee approves the draft annual governance statement. |
| Quarter 2 cycle –<br>Council meeting          | Draft annual report and accounts presented to Council for comments.  |
| September – A&A<br>Committee meeting          | Committee makes recommendations to Council on the annual report and accounts.                                      |
| October – Council<br>meeting                  | Final approval by Council of the annual accounts and endorsement of the annual report.                             |
| December                                      | Annual report and accounts laid before Scottish Parliament.  |
- 11.3 The Council
1. approved the proposed timeline for preparation of the annual report and accounts for this year and future years.

**12. SSSC Code of Conduct for Members**

- 12.1 Anne Garness presented report 07/2022 which asked Council to approve the new SSSC Code of Conduct for Members (the Code). The wording at paragraph 5.4 of the Code was noted, relating specifically to the roles of the Convener and the Chair of the board of the Care Inspectorate (the Board). Paul Edie confirmed that this would also be considered at the next meeting of the Board.
- 12.2 Anne Garness answered comments on the changes to the Code concerning register of interests and gifts and hospitality.
- 12.3 The Council
1. approved the new SSSC Code of Conduct for Members.

**13. People Strategy delivery plan: progress update**

- 13.1 Lynn Murray presented report 08/2022 which gave an update on the progress of the People Strategy delivery plan.
- 13.2 Members commented favourably on the clear reporting format of the strategy progress as at 31 January 2022, at Appendix 1 to the report. The Convener also advised that there were regular updates to staff which were also accessible to Members.
- 13.3 The Council
1. endorsed the update as at 31 January 2022.

**14. Council Action Record**

- 14.1 The Council considered and approved the Council action record and agreed that completed actions C61, C76, C83, C84, C85, C87, C88, C89 and C90 be archived and filed for future reference.

**15. Date and time of next meeting**

- 15.1 The date of the next Council meeting will be Friday 25 March 2022 at 10.00am for budget approval only. This meeting will be held as a trial of the hybrid format.
- 15.2 The next meeting for usual Council business will be Thursday 26 May at 10.00am.

**Council 28 February 2022**

**Start time: 10 am**

**Finish time: 12.15pm**

**Signed:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Sandra Campbell**  
**Convener**

**SCOTTISH SOCIAL SERVICES COUNCIL**

**Unconfirmed minutes of the Scottish Social Services Council held on  
Friday 25 March 2022 at 10:00 am by Teams meeting.**

**Present:** Sandra Campbell, Convener  
Theresa Allison, Council Member  
Professor Alan Baird, Council Member  
Paul Edie, Council Member  
Lynne Huckerby, Council Member  
Rona King, Council member  
Russell Pettigrew, Council Member

**In attendance:** Maree Allison, Director of Regulation  
Laura Lamb, Acting Director of Development and Innovation  
Lynn Murray, Interim Director of Finance and Resources  
Laura Shepherd, Director of Strategy and Performance  
Anne Garness, Head of Legal and Corporate Governance  
Audrey Wallace, Corporate Governance Coordinator

**Observing:** The meeting was live streamed

**1. Welcome and apologies for absence**

1.1 Sandra Campbell welcomed those present and noted apologies were received from Julie Grace, Linda Lennie and Peter Murray, Council Members and also from Lorraine Gray, Chief Executive.

1.2 Sandra Campbell confirmed that the meeting was quorate.

**2. Declarations of interest**

2.1 There were no declarations of interest.

**3. Draft budget 2022/23 and indicative budgets 2023/24 and 2024/25**

3.1 Lynn Murray presented report 15/2022. She confirmed that Members were being asked to approve the 2022/23 budget which Scottish Government had agreed would be funded as a deficit budget of £1.638 million. Lynn Murray also confirmed that the balance of reserves was £2.6 million, which is considerably higher than the target range and indicated a reasonable budget position for 2022/23.

3.2 Lynn Murray also addressed the Members on the indicative budgets and funding position for the following two years, 2023/24 and 2024/25. She advised that there were ongoing discussions with the property owner of the organisation's offices at Compass and Quadrant House and Scottish Government to negotiate the lease and we are likely to

reduce our office footprint by around 50%. As the costs will not necessarily reduce proportionately, we have not made an assumption on the potential saving in the budget. She also advised that discussions were ongoing with Scottish Government to secure more sustainable grant in aid funding of future years' budgets.

3.3 Discussion then focussed on the following issues.

- The impact that appointing people into temporary posts is having on the future work of the organisation. Lynn Murray advised that where and as necessary, the Executive Management Team would consider and reprioritise expenditure according to available funding.
- Presentations and regular discussions on the financial position have taken place with our Sponsor Team and the Chief Executive has met with Michael Chalmers, Director of Children and Families at Scottish Government to discuss the future funding position.
- Alan Baird thanked officers for the clarity of the report, particularly referring to the information contained in Appendix 3 to the report. This set out the implications of any funding gaps and the work that will not be done if funding is not secured for future years, the efficiencies that have already been made within the organisation and the limited scope to make further savings without compromising delivery of the strategic objectives.
- Maree Allison confirmed that a fee review was due to be carried out and if fees are not increased to improve income, there will be an impact on the work which can be carried out.
- Sandra Campbell referred to the outcome of the National Care Service review as this was creating an unknown impact. While it was not known when the Scottish Government would release the review outcome, it was anticipated that a discussion session on the outcome of the review and the impact for the SSSC would be held in June. Currently this uncertainty added another level of risk to the impact on the budget.

3.4 Lynn Murray closed off the discussion confirming that regular discussions will be held with management and Scottish Government and regular updates reported to the Audit and Assurance Committee and the Council.

3.5 The Council:

1. considered and approved the draft budget for 2022/23 (Appendix 1 to the report) that includes draft changes to staffing establishment (paragraphs 16 to 18 of the report), subject to written confirmation from Scottish Government. Scottish Government has agreed to fund a deficit budget of £1.638m as an unfunded pressure this year and that we can use the balance of our reserves as working capital in 2022/23
2. noted the indicative budgets for 2023/24 of £0.787m deficit and 2024/25 £0.319m deficit (Appendix 1 to the report)

3. noted that specific grant funding and associated expenditure is currently excluded from the draft 2022/23 and indicative budgets for 2023/24 and 2024/25.

**4. Date and time of next meeting**

- 4.1 The date of the next Council meeting will be Thursday 26 May 2022 at 10.00am. It is anticipated that this will be a hybrid meeting where Members may attend by teams or in person.

**Private Session**

Item 5 was taken in private and minuted separately.

**Council: 25 March 2022**

**Start time: 10am**

**Finish time: 10.30am**

**Signed:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Sandra Campbell**  
**Convener**

<b>Title of report</b>	Convener's Report
<b>Public/Confidential</b>	Public
<b>Summary/purpose of report</b>	Update on Convener's activity since the last full Council meeting on 28 February 2022.
<b>Recommendations</b>	The Council is asked to note the summary of recent key issues and activities from the viewpoint of the Convener.
<b>Author</b>	Sandra Campbell, Convener
<b>Responsible Officer</b>	Lorraine Gray, Chief Executive
<b>Link 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 policy makers 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 Risk Register</b>	<p>Risk 1: We fail to ensure that our system of regulation meets the needs of people who use services and workers.</p> <p>Risk 2: We fail to ensure that our workforce development function supports the workforce and employers to achieve the rights standards and qualifications to gain and maintain registration.</p> <p>Risk 3: We fail to meet corporate governance, external scrutiny and legal obligations.</p>

	<p>Risk 4: We fail to provide value to stakeholders and demonstrate our impact.</p> <p>Risk 5: We fail to develop and support SSSC staff appropriately to ensure we have a motivated and skilled workforce to achieve our strategic outcomes.</p> <p>Risk 6: The SSSC fails to secure sufficient budget resources to fulfil the financial plans required to deliver the strategic plan.</p> <p>Risk 7: Business Continuity Plans (BCP) are in place and tested</p> <p>Risk 8: We fail to have the appropriate measures in place to protect against cyber security attacks.</p>
<b>Impact assessments</b>	<ol style="list-style-type: none"> <li>1. An Equalities Impact Assessment (EIA) was not required.</li> <li>2. A Data Protection Impact Assessment (DPIA) was not required.</li> <li>3. A Sustainability Impact Assessment (SIA) was not required.</li> </ol>
<b>Documents attached</b>	None
<b>Background papers</b>	None

## **EXECUTIVE SUMMARY**

1. This report summarises the activity of the Convener from 28 February to date.

## **INTRODUCTION**

2. This meeting will be the first face to face meeting since the start of the Covid Pandemic and I'm looking forward to meeting up with colleagues again. This report covers the period from my last report for the meeting of 28 February 2022. There was a Council meeting on 25 March 2022 but this was dedicated to approving the budget for 2022/23 with no other items on the public agenda.

## **MEETINGS WITH PARTNER AGENCIES**

3. As an ex-officio member of the board of the Care Inspectorate I attended two board meetings during this period; on 10 March 2022 a Board Development Event focused on performance reporting, looking at how reports best met the needs of the Board as well as Officers and the public. The second meeting was on 22 March 2022 and this was a public Board meeting with a wide range of reports, including performance monitoring, budget, staffing update and the Corporate Parenting plan.
4. I also had a meeting with the chair of NHS Education Scotland, David Garbutt, on 12 April 2022, to discuss the partnership between our two organisations, not having met together for some time. It was agreed that once further detail was published regarding the plans for the National Care Service we should reconvene the joint meetings with a refreshed agenda.

## **MEETINGS WITH THE SCOTTISH GOVERNMENT**

5. I have continued to have regular meetings with Iona Colvin, the Chief Social Work Adviser and my key link with our Sponsor. These have been helpful as always, particularly as we await publication of the Scottish Government's detailed plans for the National Care Service. In the meantime, work continues apace within the SSSC to look at our future budget planning and workforce, which clearly may be impacted by the NCS plans in due course. The SSSC focus on delivering high quality services whilst delivering efficiency savings has been appreciated given the possibility of future changes, yet to be detailed.

## **COUNCIL MEMBERS**

6. I still await the recruitment of a new Member to take up post in September this year. In my last report I mentioned that Russell Pettigrew, has decided not to seek a second term of membership and his tenure ends on 31 August 2022. I should also mention that Paul Edie, Chair of the



Care Inspectorate, will complete his term at the end of August too and so later in the year we will have two new Members.

7. There is now an agreed schedule of Council Member Development Sessions for the rest of this year, covering a wide range of topics. The annual Away Day has been brought forward from January 2023 to 28 and 29 November 2022, which is a less busy time for officers planning for the sessions and hopefully the weather will be more agreeable for travelling.
8. Finally, I attended a virtual workshop on Social Work regulation on 14 March 2022, at which the SSSC was represented by our Chief Executive Lorraine Gray. This looked at regulation issues impacting regulators across the UK and provided food for thought about common issues impacting on social workers regardless of their employment context.

<b>Title of report</b>	Chief Executive's Report
<b>Public/Confidential</b>	Public
<b>Summary/purpose of report</b>	To provide Council Members with an update from the Chief Executive.
<b>Recommendations</b>	The Council is asked to note the information contained in the report and offer comment on the content.
<b>Author and Responsible Officer</b>	Lorraine Gray, Chief Executive
<b>Link 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 policy makers 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 Risk Register</b>	<p>Risk 1: We fail to ensure that our system of regulation meets the needs of people who use services and workers.</p> <p>Risk 2: We fail to ensure that our workforce development function supports the workforce and employers to achieve the rights standards and qualifications to gain and maintain registration.</p> <p>Risk 3: We fail to meet corporate governance, external scrutiny and legal obligations.</p>

	<p>Risk 4: We fail to provide value to stakeholders and demonstrate our impact.</p> <p>Risk 5: We fail to develop and support SSSC staff appropriately to ensure we have a motivated and skilled workforce or have insufficient staff resources to achieve our strategic outcomes.</p> <p>Risk 6: The SSSC fails to secure sufficient budget resources to fulfil the financial plans required to deliver the strategic plan.</p> <p>Risk 7: Business Continuity Plans (BCP) are in place and tested.</p> <p>Risk 8: We fail to have the appropriate measures in place to protect against cyber security attacks.</p>
<b>Impact assessments</b>	<ol style="list-style-type: none"> <li>1. An Equalities Impact Assessment (EIA) was not required.</li> <li>2. A Data Protection Impact Assessment (DPIA) was not required.</li> <li>3. A Sustainability Impact Assessment (SIA) was not required.</li> </ol>
<b>Documents attached</b>	None
<b>Background papers</b>	None

## **EXECUTIVE SUMMARY**

1. As set out in the Executive Framework Document agreed by Scottish Government and the SSSC, the Chief Executive is accountable for the operational performance of the SSSC and responsible for organisational governance. This report provides an assessment of performance, highlights important information that has happened since the last Council meeting on 28 February 2022, and looks forward to emerging issues.

### **OUTCOME 1: PEOPLE WHO USE SERVICES ARE PROTECTED BY ENSURING THE REGULATED WORKFORCE IS FIT TO PRACTISE**

2. We continue to support the sector by hosting a recruitment portal for both early years and adult social care. We are also ready to expand this work, if required by Scottish Government, as part of the response to the situation in Ukraine.
3. We are also continuing to monitor Scottish Government's application fee waiver trial, which is due to end in June. As part of this we are surveying employers for their feedback on how successful they have found it to encourage more people to work in the sector.
4. Members will recall that in the early stages of the pandemic we paused the process of requesting confirmation of completed qualifications. We have now re-started this process and at the point of renewing registration we will ask workers to update us on their progress and plans for completion. D365 has been developed by our Systems Development Team to help automate some of the processes that support this work. The ability to do this work in-house has avoided supplier costs of almost £25k.
5. The Registration Department have piloted an Investigator Pathway to support interested staff to develop the skills needed for this role. The first candidate has successfully secured an Investigator position and we are now working on Pathways for other roles.
6. The Registration Department's Scottish Vocational Qualifications centre has completed two positive external verification assessments. "You are operating really robust quality assurance procedures and systems which are presented in well written policies and documentation. This is ensuring that candidates receive a well informed and supported experience whilst undertaking Scottish Qualifications Authority (SQA) qualifications, which was evidenced in the conversations I had with two of your current candidates after our meeting."
7. Following the successful General Teaching Council Scotland judgment against Police Scotland, we have met with Police Scotland and they are now developing processes to release information to us. It is still early days but we have successfully obtained information without a court order in some cases.

8. We have launched improved referral guidance and an Employer Advice Line to help ensure we receive the right referrals. As part of this we have been engaging with the sector, carrying out 22 events with larger employers. We have also launched a support line for workers' wellbeing, offering telephone support and counselling as well as online resources for workers involved in the fitness to practise process. The intention is to expand phonline support both in terms of the nature, and those eligible to access it.
9. We have now held two meetings of a Fitness to Practise Representative's Group. This group's purpose is to provide a regulator forum for unions and legal representatives to highlight any issues and help us to resolve issues and improve the experience of workers and others involved with the process.

## **OUTCOME 2: THE SSSC SUPPORTS AND ENHANCES THE DEVELOPMENT OF THE REGULATED WORKFORCE TO DELIVER HIGH STANDARDS OF PRACTICE AND DRIVE IMPROVEMENT**

10. We are working in partnership with Skills Development Scotland and Scottish Government to develop a Graduate Apprenticeship for Social Work.
11. Scottish Government has made the commitment that the supported first year in practice for newly qualified social workers will become mandatory in Scotland. We continue to support roll out in ten early implementation sites with a fuller roll-out anticipated later this year.
12. SQA accreditation have submitted a recommendation to the National Occupational Standards Governance group recommending the National Occupational Standards (NOS), and thereafter the Social Services and Health SVQs, should be reviewed within the next three years. In partnership with the other UK sector skills councils, as part of Skills for Care and Development, we collectively have the responsibility to maintain these NOS and will work in partnership to review the NOS.
13. Development of the integrated health and social care award continues. We have held a series of engagement events to scope the requirements and have established a working group with representatives from the sector to take forward the content development.
14. We have refreshed our Recognition of Prior Learning (RPL) resource to help workers understand how they can gain recognition of their previous learning towards their registration qualification requirements.
15. We have published a new research report on newly qualified social workers' experiences of practice during the COVID-19 pandemic in Scotland.

16. We developed a new web page to support continuous professional learning (CPL). This page highlights national learning frameworks and programmes that the SSSC endorses and registrants can use towards their CPL.

### **OUTCOME 3: OUR WORKFORCE PLANNING ACTIVITIES SUPPORT EMPLOYERS, COMMISSIONERS AND POLICY MAKERS TO DELIVER A SUSTAINABLE AND INTEGRATED AND INNOVATIVE WORKFORCE**

17. We have undertaken system developments to MySSSC to support the delivery of the College Development Network's 'Introduction to career in care' programme to link students directly with local employers and vacancies. As of April, employers have shared 80 employment opportunities.
18. We have launched a Scottish Social Services Workforce Planning Network with now over 50 members from across Public, Third and Independent sectors. Over 30 participants engaged in our first Workforce Planning webinar and we will deliver further webinars on a quarterly basis.
19. We are collaborating with the Scottish Refugee Council and the Armed Forces Service Leavers and Veterans Programme to support recruitment of refugees, asylum seekers and armed forces service leavers into social care.
20. Our Social Service Workforce Data and Planning Group is meeting monthly to ensure the workforce data collection, analysis and reporting collected for social services is produced in a manner that assists employers with workforce planning and development and provides other users and stakeholders with useful information, data and analysis about the social services workforce. We currently have almost 30 people on the membership list with representation from across Government and key stakeholders including Social Work Scotland, COSLA, Coalition of Care and Support Providers in Scotland, Scottish Care and NHS Education for Scotland. The group is currently reviewing the data landscape of all social service workforce data and engaging with data users to review the usefulness of existing social service workforce data, and to develop a plan for change.
21. We have published the latest interactive social worker data tool which provides time series data on practising social workers (PSWs) over the last 10 years by local authority. The data include, headcount, Whole Time Equivalent (WTE) and headcount and WTE by relevant population and can also be broken down by the four different types of fieldwork teams, and whether the PSWs are full time or part-time or main grade social workers or senior social workers.

## **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**

22. We launched our new campaign to promote the work we do to support careers in care. There was a special edition of SSSC News with targeted content for workers in adult services, workers in children's services, social workers and employers. We are also running sponsored social media posts targeting people across Scotland with an interest in social care and directing them to our careers in care website. These are running on Facebook and LinkedIn.
23. We continue to drive Fair Work with our involvement in effective voice work stream. We are planning the delivery of engagement workshops and surveys with workforce groups and we will recruit a full time, fixed term appointment to support the first phase of implementation of the nine effective voice standards.

## **HIGH PERFORMING ORGANISATION**

24. We heard officially in March that we achieved the gold Investors in People accreditation for the first time, having retained silver for several years. The report identifies our overriding strength as caring about our people and being ambitious to do even more for them. The elements that contributed most to us being a gold employer include:
  - staff members are proud of the work that they do, believe their role is important in our sector and feel very valued and appreciated
  - introducing a People Strategy shows our internal as well as external focus
  - strong communication and engagement with staff and we involve them in the development of our Strategic Plan, day to day work and listen to their views and ideas about improvement with staff having a clear understanding of our vision and strategic outcomes
  - truly values driven organisation, having revised and refreshed our values, staff behave in line with our culture and values and we recruit to our values
  - embracing change and continuing to work at home supporting our customers and providing a high level of service during the pandemic
  - positive feedback from staff on the learning and development opportunities available, well planned and structured induction programme and performance review process and the immense emphasis on supporting their health and wellbeing
  - social media offerings have led to greater visibility of our organisation.
25. The report recommends that we work towards meeting the We Invest in Wellbeing Standard in 2022 as well as:
  - continuing with management training for our managers, developing a

Talent Management Strategy and continuing to work on our Succession Plan

- developing and enhancing our work on the return on investment on learning and development
  - introducing a 360° feedback process for all our managers
  - measuring the positive impact on our Corporate Social Responsibility work.
26. We will include improvement actions in the People Strategy Delivery Plan, which we will present to Council in August. We will also develop improvement plans at departmental and directorate level.
27. In February the Equality, Diversity and Inclusion Group considered several areas including a review of our progress against the Minority Ethnic Recruitment Toolkit and a proposal to promote Unconscious Bias Training for staff. We're working with colleagues across the SSSC and the Council for Minority Ethnic Voluntary Organisations (CEMVO) to explore how we can improve our recruitment information. We have also shared information with colleagues from the Scottish Government's Children and Families Directorate about our approach to considering wider areas (such as children's rights) within our Equality Impact Assessment process.
28. We recently submitted information on the 2021-22 pay remit to Scottish Government Pay Policy Unit. We need its permission before we can begin pay remit negotiations with Unison.
29. We continue to progress discussions with Scottish Government and the other tenants in Compass/Quadrant House ie Care Inspectorate and OSCR, before Scottish Ministers can finalise lease negotiations with the landlord.

## HORIZON SCANNING

30. **National Care Service (NCS):** The NCS will be up and running by the end of the Parliamentary session. We are waiting for further advice from Scottish Government on the next steps. The SSSC is involved in a number of stakeholder groups planning for the future.
31. **Early Learning and Childcare (ELC):** The Scottish Government is focusing on expanding funded ELC for children aged one and two, starting with low-income households during this Parliament. This summer the Scottish Government will publish a strategic plan setting out its proposed approach to delivering on its ELC commitments.
32. **Education Reform:** Professor Muir's report was published in March and states that 'as a matter of urgency, the new independent inspectorate should re-engage with the Care Inspectorate to agree a shared inspection framework designed to reduce the burden on ELC practitioners and centres.' The Scottish Government agrees that a shared framework for the inspection of ELC would be positive and will consult the sector before



the summer. The consultation will sit alongside work on the development of the new education inspectorate.

33. **The Promise:** In March the Scottish Government published its implementation plan for the Promise. The implementation plan confirms that the focus is to deliver on the priorities in the Promise's Plan 21-24 document. The implementation plan refers to the review of the Codes of Practice and wider work involving the SSSC around supporting Relationship Based Practice.
34. **Scottish Child Abuse Inquiry:** The Inquiry has started to hear evidence relating to Phase 7 of its investigations into the abuse of children in foster care. The Director of Regulation attended the Inquiry to give evidence relevant to the role of the SSSC.
35. **National Strategy for Community Justice:** In April the Scottish Government began a consultation on [the revision of the National Strategy for Community Justice](#). Priority areas for the strategy include strengthening leadership, engagement and partnership working, and ensuring that the local community and workforce has an improved understanding of and confidence in community justice.
36. **Incorporating the UN Convention on the Rights of the Child (UNCRC) into Scots law:** The Scottish Government is considering the implications following a Supreme Court ruling in 2021. The Government remains committed to the incorporation of the UNCRC into Scots law to the maximum extent possible as soon as practicable.

## CONSULTATION

37. Internal stakeholders have contributed to this report. This report also provides information on how we are working with partners and stakeholders to support the sector at this time.

## IMPACT ASSESSMENTS

38. Impact assessments for equalities, data protection and sustainability are not required.

## CONCLUSION

39. This report provides Council Members with updates of matters of strategic importance and demonstrates how we are working to fulfil our statutory obligations during this time.

<b>Title of report</b>	Audit and Assurance Committee Report to Council
<b>Public/Confidential</b>	Public
<b>Summary/purpose of report</b>	To make recommendations from the Audit and Assurance Committee.
<b>Recommendations</b>	<p>The Committee recommends that:</p> <ol style="list-style-type: none"> <li>1. the Council accepts that the assurance report presents a true and fair view of the SSSC's performance towards achievement of strategic objectives, financial management and risk identification and management. In particular that: <ol style="list-style-type: none"> <li>a. operational performance as measured by strategic key performance indicators give confidence that the SSSC was delivering as forecasted to meet its strategic objectives as agreed with the Sponsor Department</li> <li>b. financial performance was consistent with forecasted spend and presents no cause for concern relating to year-end outturn of approved budget</li> <li>c. operational delivery and financial expenditure were consistent</li> </ol> </li> <li>2. the Council takes sufficient assurances from the internal audit reports, the follow up review and the internal/external audit tracker</li> <li>3. the Council approves the Annual Report of the Committee to Council</li> <li>4. the Council notes <ol style="list-style-type: none"> <li>a. the assurance map and the future process</li> <li>b. the Committee approved the Draft Annual Governance Statement for inclusion within the Annual Report and Accounts</li> <li>c. the Committee took assurances that there were no instances of fraud or corruption detected in the financial year 2021/22.</li> </ol> </li> </ol>

<b>Author</b>	Alan Baird, Chair, Audit and Assurance Committee
<b>Responsible Officer</b>	Lorraine Gray, Chief Executive
<b>Link 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 policy makers 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 Risk Register</b>	Risk 3: We fail to meet corporate governance, external scrutiny and legal obligations.
<b>Impact assessments</b>	<ol style="list-style-type: none"> <li>1. An Equalities Impact Assessment (EIA) was not required.</li> <li>2. A Data Protection Impact Assessment (DPIA) was not required.</li> <li>3. A Sustainability Impact Assessment (SIA) was not required.</li> </ol>
<b>Documents attached</b>	<p>Appendix 1: Assurance report as at 31 March 2022 including the Strategic Risk Register</p> <p>Appendix 2: Draft minutes of the Audit and Assurance Committee meeting of 03 May 2022.</p>
<b>Background papers</b>	None

## INTRODUCTION

1. As set out in the Executive Framework Document and Scheme of Delegation, accountability for strategic oversight remains with the SSSC Council and the responsibility for oversight and scrutiny of achievement of operational key performance indicators, monitoring of Financial Performance and Strategic Risk Management is delegated from the SSSC Council to the Audit and Assurance Committee.
2. This report records the recommendations of the Audit and Assurance Committee to SSSC Council following the Audit and Assurance Committee meeting of 3 May 2022.

## ASSURANCE REPORT

3. The Audit and Assurance Committee of 3 May 2022 reviewed the assurance report relating to the activities of the SSSC. Appendix 1 to this report is a copy of the assurance report as at 31 March 2022 which Committee considered. Appendix 2 is the unconfirmed minutes of the meeting, to satisfy Council that the Committee has discharged its responsibilities. The Committee highlights the areas below.
4. There were changes to the Risk Register, two risks were deleted:
  - we fail to plan and resource our activities to deliver our digital strategy
  - the SSSC is unable to operate due to effects of global pandemic COVID-19.

One risk was added:

- we fail to have the appropriate measures in place to protect against cyber security attacks.
5. Lynn Murray confirmed that the underspend at 31 March was correctly stated in the narrative of the report as £2,308k.

## INTERNAL AND EXTERNAL AUDIT

6. Members were presented with the following:  
**Annual report 2021/22**
7. This summarised the work of the internal auditors over the year. They reported there had been no significant internal control weaknesses and procedures were working well in the areas audited.  
**Budgetary Control Internal Audit**
8. This report provided Committee with a good level of assurance with no management actions recommended.

### **Data Protection**

9. This report provided Committee with a good level of assurance and no formal recommended actions. There were two suggestions on actions which would enhance current procedures.

### **Follow up reviews**

10. Members were presented with the auditors' annual follow up review with an updated action plan. The plan showed that management had fully implemented five actions and there was one ongoing action, partially implemented, with a revised completion date agreed by Committee. There were no other outstanding internal audit actions as of the end of March 2022.

### **Internal/external audit action tracker**

11. Members were presented with an up-to-date extract from the internal/external audit tracker maintained by the corporate governance team. Actions recommended by the external auditors were in progress and had revised deadline dates agreed, as did the actions arising from the recent internal audit report on HR data and performance management.
12. The Committee took assurance from the reports of the internal auditors, and the tracker. These demonstrated that internal controls were working well, that where management actions were required, these were being actioned. This included, where necessary, extensions to completion dates being sought. Committee monitored actions and approved these extensions.

## **FRAUD AND CORRUPTION ASSURANCE REPORT**

13. The Committee received a report from management indicating that no instances of fraud had been detected in the 2021/22 financial year. Members were also presented with details of recent fraud cases identified by Audit Scotland. Russell Pettigrew advised that he and Lynn Murray would participate in a fraud awareness live broadcast to staff.
14. The Committee took assurances that there were no instances of fraud or corruption detected.

## **DRAFT ANNUAL GOVERNANCE STATEMENT**

15. Committee approved and took assurances from the draft annual governance statement and the Certificates of Assurance from each director. The governance statement will be included within the Annual Report and Accounts.

## **DRAFT ANNUAL AUDIT AND ASSURANCE COMMITTEE REPORT TO COUNCIL**

16. Committee approved the draft of the Committee's Annual Report to Council on the work of the Committee over the financial year 2021/22.

### **ASSURANCE MAP**

17. The Committee reviewed and approved the Assurance Map, which officers had populated.
18. The Committee took assurance from the process now set up which included an annual report to Committee.

### **CONSULTATION**

19. No specific stakeholder engagement was necessary in the preparation of this report.

### **RISKS**

20. We have an averse risk appetite to governance matters. This report gives assurances to Council that the Committee is carrying out its remit.

### **IMPLICATIONS**

#### **Resourcing**

21. There are no resource implications arising from this report.

#### **Compliance**

22. There are no compliance implications arising from this report.

### **IMPACT ASSESSMENTS**

#### **Equalities**

23. An EIA is not necessary as this report relates to internal governance matters. It is not therefore a new proposal and has no impact on people with protected characteristics.

### **CONCLUSION**

24. This report gives assurances to Council that the Audit and Assurance Committee is carrying out its remit in accordance with the terms of reference contained in the Code of Corporate Governance. The report makes recommendations to Council on matters requiring Council approval.

<b>Title of report</b>	Assurance Report as of 31 March 2022
<b>Public/Confidential</b>	Public
<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 Officer</b>	Lorraine Gray, Chief Executive
<b>Links to Strategic Plan</b>	<p>The information in this report links to:</p> <ul style="list-style-type: none"> <li>Outcome 1: People who use services are protected by ensuring the regulated workforce is fit to practise.</li> <li>Outcome 2: The SSSC supports and enhances the development of the registered workforce to deliver high standards of practice and drive improvement.</li> <li>Outcome 3: Our workforce planning activities support employers, commissioners and policy makers to deliver a sustainable, integrated and innovative workforce.</li> <li>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.</li> </ul>
<b>Link to the Strategic Risk Register</b>	Strategic Risk 5: We fail to provide value to our stakeholders and demonstrate our impact.
<b>Documents attached</b>	Full 2021/22 Strategic Risk Register.

# ASSURANCE REPORT AS OF 31 MARCH 2022

Audit and Assurance Committee Version

03 May 2022

Agenda item: 05, Report no: 11/2022

Action: For Decision



## EXECUTIVE SUMMARY

March 2022

## SSSC PERFORMANCE SUMMARY

SPI	SPI Description	Ambition	Current	V(+/-)	Movement	Proj. YE	Actions & Comments
Finance	Net expenditure (£000)	2,203	(2,308)	-4,511	↓	Red	We have reviewed our processes and procedures to enable us to better predict patterns of income.
Finance	Risk sensitivity (£000)	N/A	140	-110	↑	Amber	
Finance	Reserves (%)	2.0-2.5	6.4	+0.2	↓	Red	A total of £1,472k remains available in our general reserve which is 6.4% of our target range of 2.0% to 2.5%.
3.1 Reg	Reduce the time taken to being registered (weeks)	<27	23.6	+1.4	↓	Green	
3.2 Reg	Time taken to process a fitness to practise case is less than organisations we benchmark against (months)	6.8	4.5	-2.1	↑	Green	
3.3 Reg	Increase the percentage workforce who engage... in fitness to practise process (%)	85.0	75.5	-8.1	↓	Amber	
3.4 D&I	Increase the percentage of the registered workforce with the correct qualification (%)	50.0	50.1	+0.1	↑	Green	
3.5 D&I	Increase the percentage of the workforce using learning resources to achieve CPL (%)	45.0	45.9	+1.0	↑	Green	
3.6 D&I	Percentage of those reporting positively that our development activity is delivering the support required by the workforce (%)	80.0	78.0	+0.3	↑	Amber	
	Cumulative performance (%)	80.0	74.5	+0.3	↑	Amber	
3.7 D&I	Percentage of those reporting positive awareness of workforce planning resources and report that resources are effective (#resources)	N/A	496	+13	↑		Need more data points before we can create a target.
3.8 D&I	Deliver National Health and Social Care Workforce Plan commitments	N/A	TBC	TBC		N/A	
3.9 Reg	Deliver the Future Proofing Programme	N/A	TBC	TBC		N/A	Under development.
3.10 S&P	The work of the SSSC promotes the value of the social care workforce (% positivity)	N/A				N/A	
4.2 S&P	External stakeholder engagement (%)	41.0	45.8	-4.2	↓	Green	
4.3 S&P	SSSC complaint information for Stage 1 (%)	90.0	97.9	+0.3	↑	Green	Of the three Stage 2 that missed target two of them had agreed extensions.
	SSSC complaint information for Stage 2 (%)	90.0	0.0			Red	
4.4 HR	The overall percentage of staff who are absent from work (%)	<4.0	2.9	-0.4	↑	Green	
4.5 HR	The overall staff turnover percentage (%)	<15.0	10.9	-1.0	↑	Green	
4.6 HR	Percentage of budgeted posts that are empty (%)	<4.0	4.1	-1.2	↑	Amber	The end of year position is a positive just above target however this may have impacted on work delivery throughout the year.
4.8 L&CG	SAR requests are dealt with within timescales (%)	100	100	+20	↑	Green	
	FOI requests are dealt with within timescales (%)	100	100	0	→	Green	
4.9 L&CG	Number of data security incidents reported (#Red)	N/A	0	0	→	Green	

March 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	➡	DoDI	
3	We fail to meet corporate governance, external scrutiny and legal obligations.	1	16	9	➡	DoFR	
4	We fail to plan and resource our activities to deliver our digital strategy.	1, 2, 3	12	1	➡	DoSP	This risk is now closed.
5	We fail to provide value to our stakeholders and demonstrate our impact.	1, 4	12	9	➡	DoSP	
6	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	12	➡	DoFR	
7	The SSSC fail to secure sufficient budget resources to fulfil the financial plans required to deliver the strategic plan.	1	20	16	➡	DoFR	
8	The current Business Continuity Plan (BCP) in place is not up to date for the SSSC.	1, 2, 3, 4	20	4	➡	CEO	
9	The SSSC is unable to operate due to effects of global pandemic COVID-19.	1, 2, 3, 4	25	2	➡	CEO	This risk is now closed.

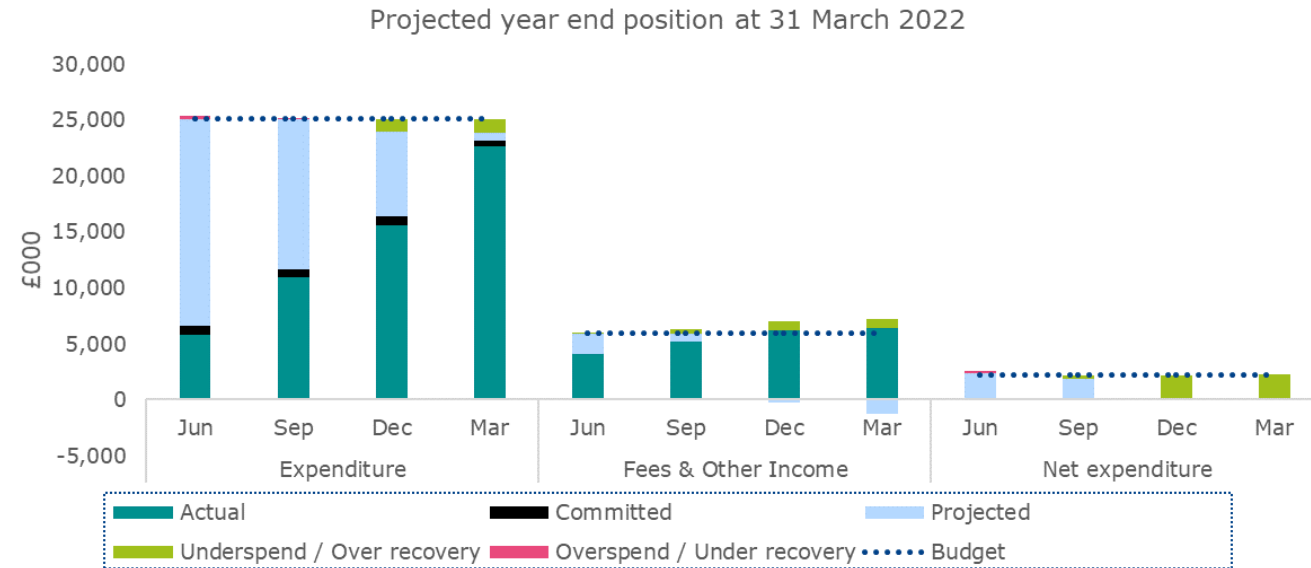
### New, Emerging and Changed Strategic/Directorate Risks identified

As agreed at Council in March 2022 risk 4 and risk 9 were closed at the end of March. A new risk re cyber security was added.

## SSSC – CORPORATE FINANCIAL POSITION

### Financial summary

2021/22 Budget	Revised budget for monitoring purposes £000
Operating budget	18,019
VSDF and disbursements	915
Postgraduate bursaries	2,868
Practice learning	3,270
	<b>25,072</b>
Workforce development and cyber resilience grants	833
<b>Total</b>	<b>25,905</b>
<b>Funded by:</b>	
Grant in aid	16,035
VSDF	900
sub total	<b>16,935</b>
Registration fee income	5,644
Other income	290
<b>sub total</b>	<b>5,934</b>
Workforce development and cyber resilience grants	450
Net deficit - funded from reserves	2,586
<b>Total</b>	<b>25,905</b>



Budget by Strategic Outcome	2021/22 Budget £000	2021/22 percentage %
S01	13,373	75%
S02	2,521	14%
S03	1,413	8%
S04	620	3%
	<b>17,927</b>	
Disbursements	7,145	
(all inc. o/heads)	<b>25,072</b>	

	Expenditure £000	Fees and other income £000	Grant in aid and disbursement income £000	Net expenditure £000
Budget for monitoring purposes	25,072	(5,934)	(16,935)	2,203
Actual	22,618	6,438	(10,361)	n/a
Committed	534	n/a	n/a	n/a
Year end projection	23,874	(6,690)	(17,289)	(105)
projected (under)/overspend	(1,198)	(756)	(354)	(2,308)

Net expenditure	Budgeted net expenditure £000	Projected net expenditure £000	Projected (under)/overspend £000
June 2021	2,203	2,384	181
July 2021	2,203	2,404	201
August 2021	2,203	2,063	(140)
September 2021	2,203	1,827	(376)
October 2021	2,203	1,298	(905)
November 2021	2,203	400	(1,803)
December 2021	2,203	102	(2,101)
January 2022	2,203	(8)	(2,211)
February 2022	2,203	(40)	(2,243)
March 2022	2,203	(105)	(2,308)

## Overview

At 31 March 2022 there is a projected corporate underspend of £2,308k (excluding grants). This is an increase to the underspend of £207k since December 2022 (last reported position). The underspend and movements are broken down as follows.

Key movements since previous report corporate position to Audit and Assurance Committee 03 February 2022	Projected overspend or (underspend/ additional income) at 31 March 2022 £000	Movement: increase/ (decrease) to projection since last report £000
<b>Overspends</b>		
Legal Fees (NR)	51	(43)
Consultancy - strategic plan (NR)	35	(7)
Registration fee write off (P)	35	35
Independent evaluation simulated practice learning model (NR)	13	(7)
<b>Underspends</b>		
Staff costs (including hired agency & secondments in) (P)	(110)	(48)
Not working in the office (P)	(195)	(37)
Digital (including phone line) (NR)	(183)	(43)
budgets no longer required (P)	(86)	(22)
Training - employees, member, and panel members (NR)	(12)	14
Panel member allowances (NR)	(70)	40
Quality assurance for FtP (NR)	(24)	(24)
Other minor unerspends (R)	6	8
<b>Disbursements - managed on behalf of Scottish Government</b>		
Postgraduate bursaries (P)	(237)	(37)
Practice learning (P)	(536)	0
<b>Additional income</b>		
Registration fees (NR)	(573)	1
Covid-19 exceptional payment (NR)	(182)	0
Secondments (P)	(105)	(2)
Modern apprenticeship fees (NR)	(80)	20
	<b>(2,253)</b>	<b>(152)</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 relates to practice learning fees.
- We project that our general reserve position will be £2,787k at 31 March 2022. Sponsor has agreed verbally to future use of any reserves as working capital. Sponsor will issue a revised grant in aid letter before the end of March.

### Budget changes

- We reported to Council in March 2021 a planned budget deficit for 2021/22 of £1.171m, which would be met from reserves, with the rest of our core budget being funded from grant in aid and fees.
- Since March Scottish Government has allocated funding for the Voluntary Sector Development Fund (VSDF) of £0.900m and £0.450m to the Workforce Development Grant (WDG). In finalising the 2020/21 financial statements we estimate a further £65k underspend will be carried forward in reserves.
- The planned budget deficit increased by £1.415m to £2.586m due to increased carry forward of underspends from 2020/21.
- Our reserves balance at 31 March 2021 increased from £2.750m to £2.813m as there were year-end adjustments in 2020/21, a provision for dilapidations and the underspend increased.

### Income and expenditure

- We have reviewed our processes and procedures to enable us to better predict patterns of income.
- Actual and committed spend, excluding disbursements is £23.2m (92%) at this point in the year due to the level of underspend.
- We have accounted for 109% of our expected fees and other income (£6.690m) as actual income is more than budgeted.

### Unpaid fees

- £142k of registration fees is unpaid. £12k relates to fitness to practise cases where we don't collect fees until the case ends. The remaining £130k relates to invoices issued between April 2021 to March 2022. This will vary at any point in time according to the number of registrants being removed from the register.

- We have written off £374k so far this year (budget £339k, projection £374k). Some of this relates to people being taken off the register from the period where we were not chasing outstanding fees, but the main reasons for removal from the register are that people have not paid their fees or no longer require to be on the register.

### Specific Grants

- There is a projected underspend of £275k on grants of which £243k relates to workforce development activity and £32k for cyber resilience.
- Scottish Government has agreed that the £32k underspend on staff costs in the cyber resilience grant can be carried forward for use in 2022/23.
- Scottish Government have also agreed the carry forward £200k underspend for workforce development activity to 2022/23 so that we can fully deliver the outcomes. We no longer require budget of £43k and will not claim it from Scottish Government.

### Reserves

- Our general reserves target is 2% to 2.5% (£457k to £572k).
- We project that our general reserves will be £2,787k at 31 March 2022. Of this balance, £290k will contribute to our planned digital replacement and £252k relates to specific grants we expect to carry forward. A total of £1,472k remains available in our general reserve which is 6.4% of our target range of 2.0% to 2.5%. There are balances of £536k from practice learning and £237k from postgraduate bursaries. Sponsor has confirmed that we can carry this forward as working capital to the 2022/23 financial year.

## Significant variances from budget & key risk

The key financial risks to the position at the end of March 2022 are shown in the table below with potential sensitivity of a further £140k underspend.

The most significant risks relate to registration fee income (overachievement), practice learning fees and postgraduate bursaries.

Budget area	Current projection £'000	Projection reported to last A&A Cttee £'000	Risk sensitivity	Likelihood (RAG status)	Reason for variance and reason for movement
<b>Fee income</b> (outcome 1)	£573k projected overachievement of income	£574k projected overachievement of income	Increased income of £10k	Low	Current projection is mainly due to the budget adjustment of £100k (prudence) and 12,000 more annual fees raised than budgeted. We set the budget too low as we didn't include in fee income registration projections an amount for people removed from the register after the registration date has passed. We did not change the projection in March as there were no significant changes to throughput of applications.
<b>Postgraduate bursaries (disbursement)</b>	£237k underspend	£200k underspend	Reduction of up to further £20k	Low	Stirling, Napier, Open University and late applicants estimated. Underspend could increase slightly as Edinburgh not used 17 bursaries and still a small number of students to assess.
<b>Practice learning fees (disbursement)</b>	£536k underspend	£536k underspend	Reduction of up to further £100k	High	Budget £3,270k; £1,412k expenditure to date (budget includes £918k c/forward). Work is ongoing and we



					expect to refine figures final information is available from universities.
<b>Digital</b> Outcomes 1 to 4	£183k underspend	£140k underspend	Up to £10k underspend	Low	
<b>Annual leave and flexi accrual</b>	£unknown	n/a	Up to £250k		Annual leave and flexi accrual 2020/21 £213k and 2019/20 £162k

### 3. STRATEGIC PERFORMANCE INDICATORS

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

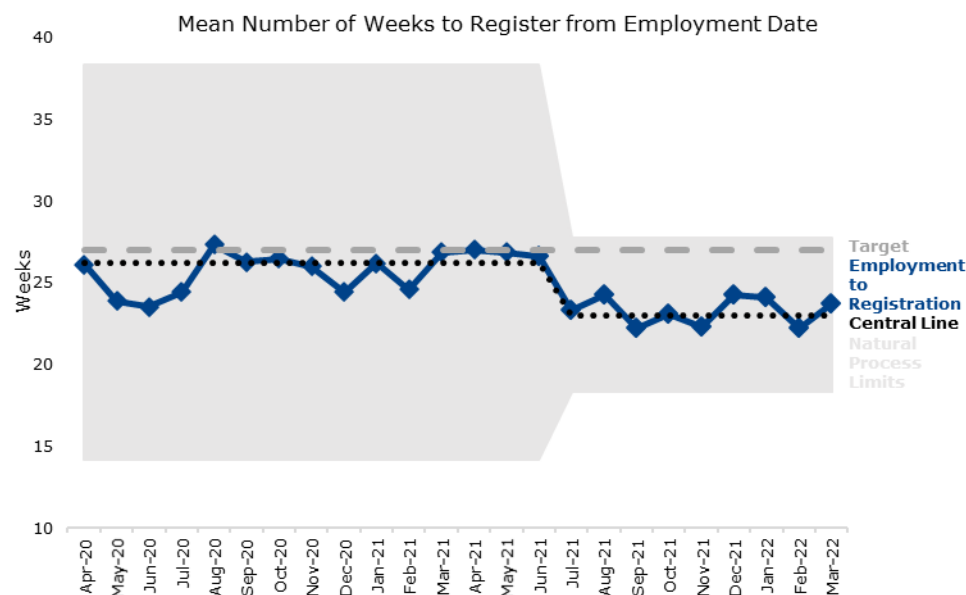
This strategic performance indicator (SPI) reflects our work to deliver strategic outcome 1: People who use services are protected by ensuring the regulated workforce is fit to practise. The indicator helps measure how quickly we process applications, that the correct people are registered and ensures new staff are registered in a timely manner.

RAG		
<27	27 to 32	>32
Target: 27 weeks		
Actual and Reforecast		
Apr-21	27.0	-0.1%
May-21	26.8	-0.6%
Jun-21	26.6	-1.6%
Jul-21	23.3	-13.8%
Aug-21	24.2	-10.4%
Sep-21	22.2	-17.7%
Oct-21	23.0	-14.6%
Nov-21	22.3	-17.5%
Dec-21	24.2	-10.3%
Jan-22	24.1	-10.8%
Feb-22	22.2	-17.8%
Mar-22	23.6	-12.4%

Time taken from employment to registration was 23.6 weeks in March 2022. Employment to application increased from 18.9 to 20.0 weeks and application to registration increased from 3.3 to 3.6 weeks.

Our aim by March 2023 is to register workers within 12 weeks of employment, 8 weeks to submit an application and 4 weeks

processing time. However, we will reassess this ambition. We have been consistently meeting or close to our 4 weeks target to process an application. Achieving this on seven times throughout the financial year. We will monitor the impact, if any, the Scottish Government's decision to revert the requirement for workers to be registered within 12 months of starting their role to 6 months has on the overall length of time it takes for an individual to become registered.



#### Management Action and Risk

This SPI is linked to strategic risk 1, we fail to ensure that our system of regulation meets the needs of people who use services and workers, which is currently scored as 12 (amber) due to the issues around Fitness to Practise case closures (indicator 3.2).

- Internal processing time has reduced despite there being an increase in applications. This is most likely due to Scottish Government paying application fees. Since the introduction of the fee waiver, we have seen a 20% increase in applications.
- The requirement for workers to be registered within 12 months of starting their role has reverted to six months from 24 March. This has resulted in a reduction of the time from employment to application and is also contributing to the increase in applications. Registration staff have been working overtime. Registration resources were dedicated to processing applications to ensure workers are registered on time.
- We expect the internal processing time will increase for March due to the increase in applications.
- This financial year we have received 4,235 more applications than projected as at 28 February 2022. The numbers on the Register remain static as similar numbers of people are removed from the register as applications processed. The increase in applications mostly relates to housing support and care at home workers where there appears to be more movement of workers coming off the register and new workers coming on.

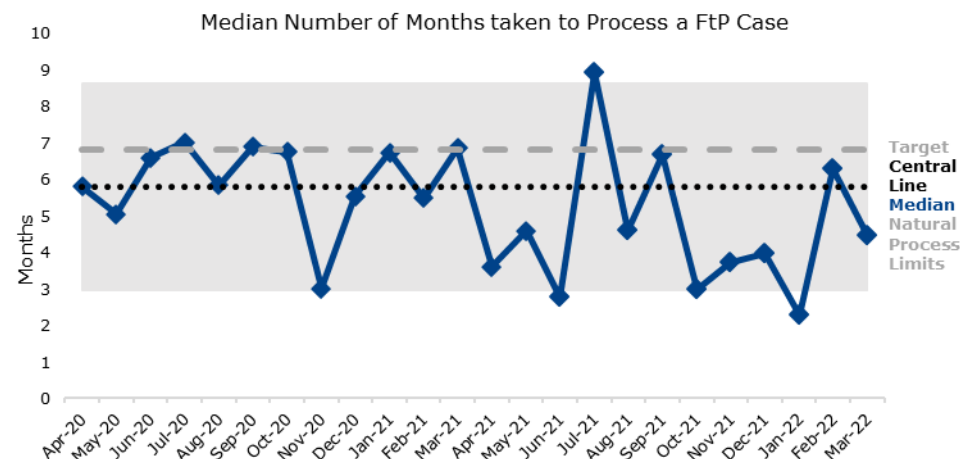
### 3.2 Regulation: The average time taken to process a fitness to practise case is maintained at less time than organisations we benchmark against.

This SPI reflects our work to deliver strategic outcome 1: People who use services are protected by ensuring the regulated workforce is fit to practise. Prompt processing of Fitness to Practise (FtP) cases ensures concerns are addressed and the right people registered. We outperform our external target of 17.4 months comparing ourselves to similar bodies so have set our own internal target of 6.8 months.

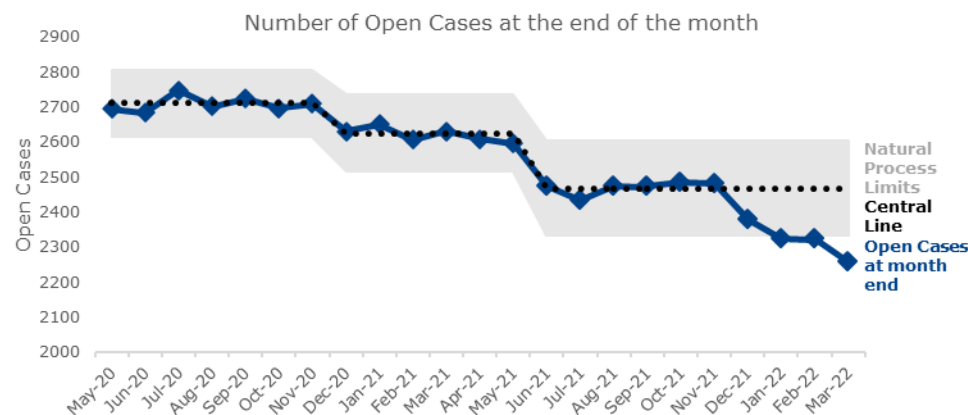
RAG		
<0%	0% to 10%	>10%
Internal Target: 6.8 months		

Actual and Reforecast		
Apr-21	3.6	-47.1%
May-21	4.6	-32.6%
Jun-21	2.8	-59.1%
Jul-21	8.9	31.3%
Aug-21	4.6	-32.5%
Sep-21	6.7	-2.1%
Oct-21	3.0	-56.2%
Nov-21	3.7	-45.6%
Dec-21	4.0	-29.4%
Jan-22	2.3	-66.5%
Feb-22	6.3	-7.9%
Mar-22	4.5	-25.6%

March 2022's performance was 4.5 months to process a Fitness to Practise case. Cases closed at screening stage were 51% in March 2022 (165 of 324 cases) compared to 45% in February 2022 (112 of 247 cases).



At the end of March 2022, the number of open cases was 2,255. A decrease of 68 from the previous month and an overall reduction of 374 from March 2021. This decrease is due to an increase in the number of cases closed in March 2022. The median age of open cases at the end of March 2022 was 318 days, an increase of nine days from the previous month.



## Management Action and Risk

This SPI is linked to strategic risk 1, we fail to ensure that our system of regulation meets the needs of people who use services and workers, which is currently scored as 12 (amber).

- The current position remains that of fragile stability.
- Existing staff capacity remains a concern. We have received four solicitor and a senior resignation in 2022. Recruitment, induction and training of new staff will continue in 2022 and we have approval to over-recruit solicitors to provide a cushion for resignations in the forthcoming financial year.
- New solicitors recruited in 2021 are taking on live case work and the time taken to train and quality assure key elements of the role has reduced by nine months. We will continue ongoing quality assurance of live cases to make sure decisions remain defensible.
- Opt-in Hearings continues to decrease the number of hearings and a slight reduction in work involved in those cases.
- There has been an increase in throughput in the investigation teams which is complimented by steady performance in the Screening Team.
- We are continuing work to highlight challenges in either team in a better way with the introduction of Power BI.
- The age profile of cases remains stable and focus is on older cases alongside high-risk cases. We are still experiencing the effects of COVID-19 in some cases particularly cases where there is a criminal case
- We have identified system and structural improvements that will free up capacity of more experienced people to

focus on complex and older cases. A temporary structure improvement has been in place since 1 February we will measure its impact after three months at the end of April. Data so far suggests this is improving case throughput.

- Updated referral guidance and Employer Advice Telephone support line was launched at the end of March 2022. This complements the wider engagement work that RIH have been doing to improve the quality of referrals, reducing the number of unnecessary referrals and ensuring we're getting the right referrals at the right time, all of which aims to assist with reducing the length of time taken to process a fitness to practise case.
- Business Intelligence team to work with Regulation to present alternative ways of displaying age of open cases information.
- FtP Managers are working on a review of all cases in the department that are more than three years old.
- Engagement with Police Scotland has resulted in better understanding of our need to obtain information from them – we hope continued dialogue will assist in reducing delays caused by refusal or delay in releasing necessary information

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

This SPI reflects our work to deliver strategic outcome 1, People who use services are protected by ensuring the regulated workforce is fit to practise, by measuring how engaged workers have been with the FtP process.

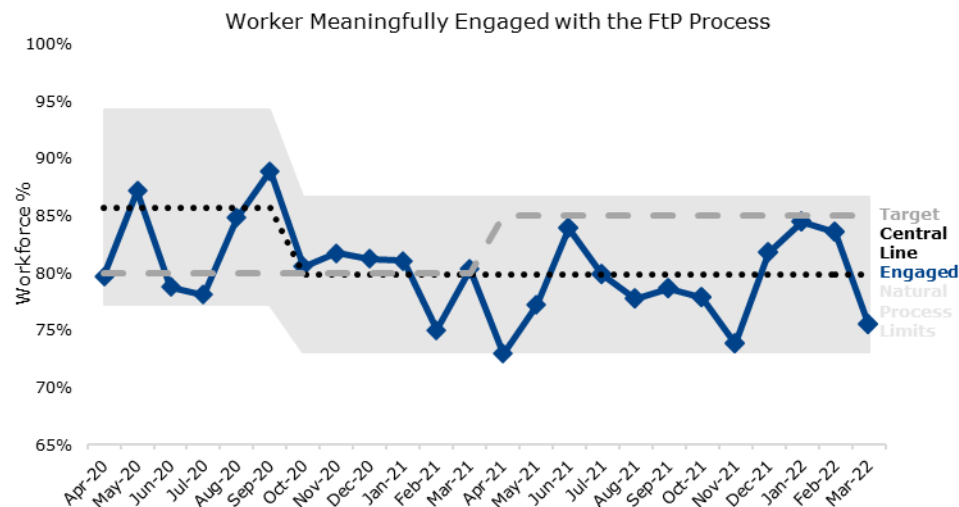
If the worker has provided a response to the allegations, this is likely to amount to meaningful engagement. The Regulation directorate set themselves a target of 85% engagement by the end of 2021/22 and 90% by the end of 2022/23.

RAG		
>85%	75% to 85%	<75%
Target: 85%		

Actual and Reforecast		
Apr-21	72.9%	-14.2%
May-21	77.2%	-9.2%
Jun-21	83.9%	-1.3%
Jul-21	79.8%	-6.1%
Aug-21	77.7%	-8.6%
Sep-21	78.6%	-7.6%
Oct-21	77.8%	-8.5%
Nov-21	73.8%	-13.2%
Dec-21	81.7%	-3.8%
Jan-22	84.5%	-0.6%
Feb-22	83.6%	-1.7%
Mar-22	75.5%	-11.2%

March 2022's performance was 75.5% engagement (120 of 159 cases). Although a lower engagement percentage to what we have seen over the last couple of months, this is the highest recorded number of cases closed this financial year and the highest number of engaged cases. Performance is still amber therefore we recommend maintaining a target of 85% rather than

increasing this to 90% for the next financial year.



#### Management Action and Risk

This SPI is linked to strategic risk 1, we fail to ensure that our system of regulation meets the needs of people who use services and workers, which is currently scored as 12 (amber) due to the issues around Fitness to Practise case closures (indicator 3.2).

We continue to work to improve access to representation and support services for workers, which helps them to meaningfully engage

- We have seen a sustained increase in attendance at Fitness to Practise Panel hearings from 30% to 50%, with attendance in March being over 80%. This is connected to online hearings and the reduction in unnecessary hearings through the introduction of Opt in Hearings.

- We are carrying out work with employers on education of the workforce about the importance of engagement and are reviewing the tone and content of correspondence with registered workers. The Regulatory Improvement team is leading this work and, while the engagement element will be ongoing, the review of letters aims to conclude by the end of May 2022. The telephone support line for workers has been procured and will launch once contracts are finalised.

We aim to promote and encourage early contact with workers under investigation at the start of the case and ensure that workers are confident using the FtP portal to keep up to date with their case

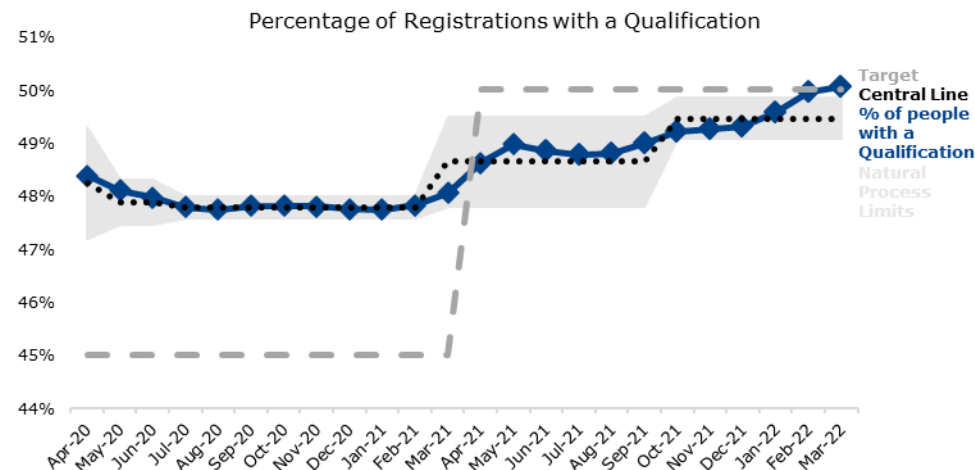
### 3.4 Development and Innovation: increase the percentage of the registered workforce with the correct qualification.

This SPI reflects our work to deliver strategic outcome 2: The SSSC supports and enhances the development of the registered workforce to deliver high standards of practice and drive improvement, by measuring the proportion of the registered workforce who have achieved the correct qualification.

RAG		
>50%	47.5% to 50%	<47.5%
Target: 50%		

Actual and Reforecast		
Apr-21	48.6%	-2.7%
May-21	49.0%	-2.1%
Jun-21	48.8%	-2.3%
Jul-21	48.8%	-2.5%
Aug-21	48.8%	-2.4%
Sep-21	49.0%	-2.0%
Oct-21	49.2%	-1.6%
Nov-21	49.3%	-1.5%
Dec-21	49.3%	-1.4%
Jan-22	49.6%	-0.8%
Feb-22	50.0%	-0.1%
Mar-22	50.1%	0.1%

March 2022's performance was 50.1%. As current performance and behaviour is different to the long-term five-year forecast, we have been examining current trends to understand why the performance is improving rather than downward trend we anticipated. We will provide a new revised forecast for the next financial year.



#### Management Action and Risk

This SPI is linked to strategic risk 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, which is currently scored as 12 (amber).

As of March 2022, 50% of the registered workforce are qualified. This percentage is higher than expected and our performance target has been met earlier than anticipated. A revised forecast of the five-year longitudinal analysis of the qualified status of the workforce and the findings from the Register for the Future consultation will support development of an action plan to address the findings of the WSR and increase the qualified status of the workforce



### 3.5 Development and Innovation: Increase the percentage of the workforce using our learning resources to achieve Continuous Professional Learning.

This SPI reflects our work to deliver strategic outcome 2: The SSSC supports and enhances the development of the registered workforce to deliver high standards of practice and drive improvement. The indicator reflects the number of learners registered to use our learning resources and the number of SSSC open badges awarded.

	RAG	
	>45%	<40%
	Target: 45%	
Apr-21	33.5%	-25.6%
May-21	36.0%	-20.0%
Jun-21	37.0%	-17.9%
Jul-21	37.9%	-15.7%
Aug-21	39.0%	-13.3%
Sep-21	40.0%	-11.1%
Oct-21	40.9%	-9.1%
Nov-21	41.9%	-6.8%
Dec-21	42.8%	-4.9%
Jan-22	43.7%	-2.9%
Feb-22	44.9%	-0.3%
Mar-22	45.9%	2.1%

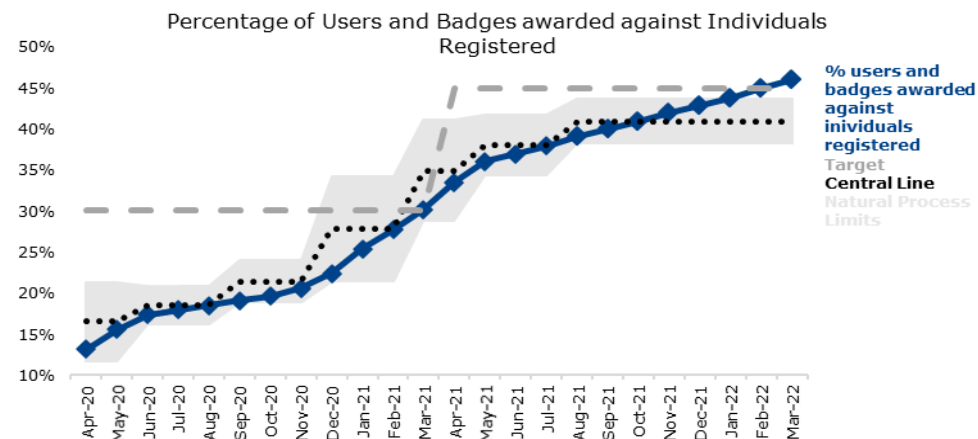
March 2022's performance was 45.9%. We track how many people have been actively using the MyLearning app in the last 30 days, which was 4,393 compared to 5,245 in February 2022. We also monitor the number of learning logs created in the last 30 days which was 12,237 compared to 16,533 in February 2022.

The number of new learner accounts was 1,207 compared to 1,306 in February 2022. The number of badges awarded was 523 compared to 487 in February 2022.

We are now able to identify dormant accounts. A dormant account is either of the following.

- A user who has no badges, no applications, no MyLearning journal logs, made no endorsements, not verified their email account and has not logged in for 3 months.
- A user who has no badges, no applications, no MyLearning journal logs, made no endorsements, verified their email account and has not logged in for 12 months.
- A user who has at least one badge, or application, or MyLearning journal log, or made an endorsement, has verified their email account but has not logged in for 24 months.

Dormant accounts are currently being issued three email reminders to login. If they do not login after 60 days of their first reminder then we will delete their account. Currently there are 13,141 dormant accounts. If we remove these accounts performance reduce by 8.1%.



## Management Action and Risk

This SPI is linked to strategic risk 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, which is currently scored as 12 (amber). The data shows a continued increase and uptake of individuals using our learning resources to achieve their CPL requirements

- The MyLearning app is helping us identify trends, target resource promotion and gauge promotion success.
- Targeted promotion of MyLearning in registrant newsletters
- Responses to the currently recent registrant stakeholder survey about use of our learning resources along with intelligence from the registrant survey and digital insights research is informing the development of an improvement plan with targeted actions to improve the uptake and use of our resources to achieve their CPL requirements.
- Planned further development of new open badges to support implementation of national guidance in respect of the Age of Criminal Responsibilities, National Child Protection Guidance and the Keeping Brothers and Sisters Together siblings guidance and development of 23 things leadership for ELC is anticipated to increase the uptake of open badges when launched.
- Our open badge resources will also be a feature within the Scottish Government Programme for Government commitment to develop a national induction framework for adult social care by May 2022

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

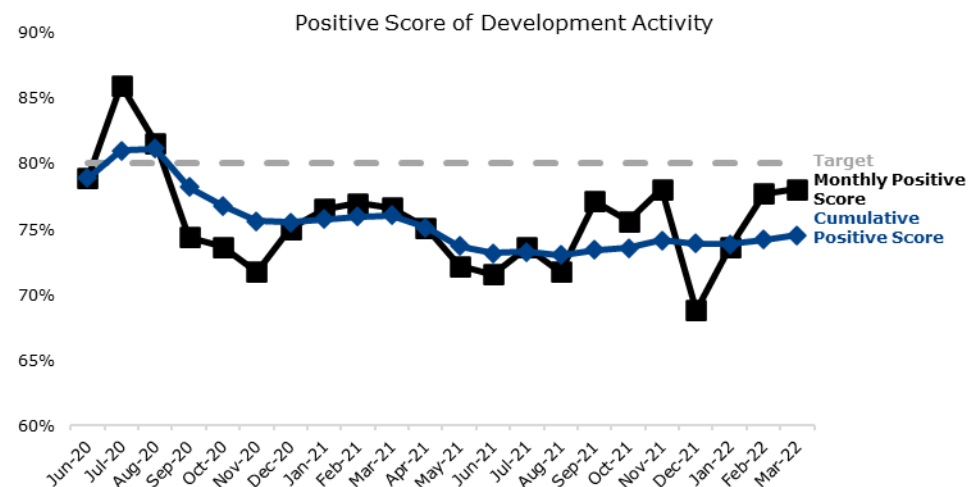
This SPI reflects our work to deliver strategic outcome 2: The SSSC supports and enhances the development of the registered workforce to deliver high standards of practice and drive improvement. This indicator reflects people who have been using SSSC learning to support their continuous professional development.

RAG			RAG		
>80%	70% to 80%	<70%	>80%	70% to 80%	<70%
Target: 80%			Target: 80%		
Monthly Performance Actual and Reforecast			Cumulative Performance actual and Reforecast		
Apr-21	75.1%	-6.1%	Apr-21	75.1%	-6.1%
May-21	72.2%	-9.8%	May-21	73.7%	-7.9%
Jun-21	71.5%	-10.6%	Jun-21	73.2%	-8.6%
Jul-21	73.6%	-8.0%	Jul-21	73.2%	-8.5%
Aug-21	71.7%	-10.3%	Aug-21	73.0%	-8.7%
Sep-21	77.1%	-3.6%	Sep-21	73.4%	-8.3%
Oct-21	75.6%	-5.5%	Oct-21	73.5%	-8.1%
Nov-21	78.0%	-2.5%	Nov-21	74.1%	-7.3%
Dec-21	68.8%	-14.0%	Dec-21	73.9%	-7.6%
Jan-22	73.6%	-8.0%	Jan-22	73.9%	-7.7%
Feb-22	77.7%	-2.9%	Feb-22	74.2%	-7.3%
Mar-22	78.0%	-2.5%	Mar-22	74.5%	-6.8%

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
- post-event feedback

From the above sources, the number of responses we received was 514 compared to 480 in February 2022. We have received 5,947 responses for this financial year. This sample size gives us a 99% confidence level that our sample results reflect that of individuals registered with the SSSC. We are confident that the final result sits in a range between 72.9% and 76.1% rating.



### Management Action and Risk

This SPI is linked to strategic risk 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, which is currently scored as 12 (amber).

Although currently amber our performance against this measure remains strong and is close to reaching our ambitious target.

Performance and Improvement and D&I are undertaking further work to measure stakeholder satisfaction with resources. This includes:

- 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, digital insights and the results of the learning resources registrant survey will inform development of an improvement action plan

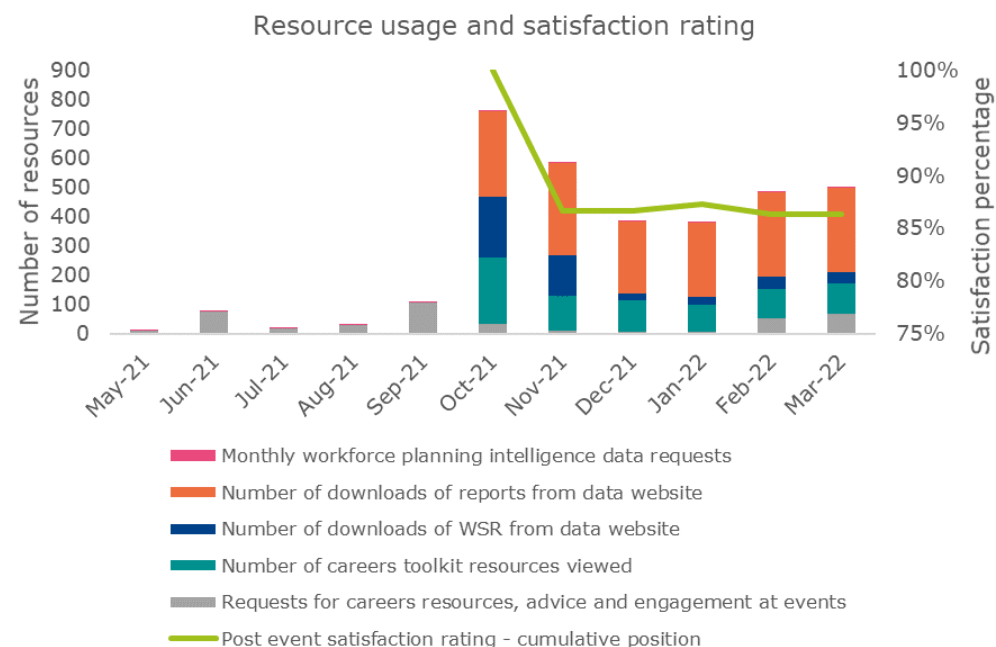
### 3.7 Development and Innovation: Percentage of those reporting positive awareness of workforce planning resources and report that resources are effective.

This SPI reflects our work to deliver strategic outcome 3: Our workforce planning activities support employers, commissioners, and policy makers to deliver a sustainable, integrated and innovative workforce. The indicator reflects the number of people using our workforce planning resources and their rating of the content.

The annual workforce planning stakeholder survey asked, 'To what extent do you agree or disagree with the following statements for the publications and datasets you used' and 'To what extent do you agree or disagree with the following statements for the resources you used'. These questions rated to what extent the resources were relevant, easy to find, useful and easy to use. Although responses were low those who did use our content found them useful and relevant and a positive score of above 60% existed for all rated questions.

We also collect post event feedback which currently indicates an 86% satisfaction rating for events conducted by SSSC for this financial year from 66 responses.

The number of resources used in March 2022 increased compared to February 2022. This was driven by the number of careers toolkit unique views which increased from 98 to 107 and the amount of requests for careers resources, advice and engagement at events which increased from 54 to 66.



#### Management Action and Risk

This SPI is linked to strategic risk 5, we fail to provide value to our stakeholders and demonstrate our impact, which is currently scored as 9 (yellow).

Resource usage trends will be developed once sufficient data is available.

The workforce planning stakeholder survey has provided a benchmark measure of satisfaction. This will help us to understand the impact of workforce planning activity and to monitor performance going forward.

Satisfaction will be monitored against the benchmark through:

- A workforce planning and intelligence blog will be published quarterly, with the first blog launched before the end of the financial year, which will have an embedded survey link to provide ongoing satisfaction feedback.
- The employability group (monthly) and career reference group (quarterly) flash report is distributed to all members after each meeting. The report includes an embedded survey link to capture feedback and satisfaction. We will encourage members to complete at each meeting to increase response rates

A network of workforce planners has been established and we are working in partnership with the network and Scottish Government policy teams to develop a programme of activity based on priority needs including the production of planning scenarios and assumptions to support national and local workforce planning for demand for social workers and MHOs.

### 3.8 Development and Innovation: Deliver the SSSC's commitments under the National Health and Social Care Workforce Plan to schedule and evaluate satisfaction with the outputs.

This SPI reflects our work to deliver strategic outcome 3: Deliver the SSSC's commitments under the National Health and Social Care Workforce Plan to schedule and evaluate satisfaction with the outputs. Commitments from Part 2 of the National Integrated Health & Social Care Workforce Plan are regularly reported and monitored by the Scottish Government (SG).

The National Workforce Strategy for Health and Social Care was published March 2022 and is the next iteration of the National Health and Social Care Workforce Plan. The NHS Recovery Plan sets out the approach to Scotland's Health and Social Care recovery from the pandemic. A key requirement to delivering the Recovery Plan is having the right workforce in place at the right time and it was therefore agreed that the workforce planning group would develop a new supporting workforce strategy to enable delivery of the recovery plan. The strategy sets out a holistic, long-term health and social care workforce vision, alongside our strategic priorities for workforce growth, recruitment, retention, training and development. The strategy includes short, medium and long term deliverables.

Our commitments within the strategy include leading or supporting:

- Development of a graduate apprenticeship route into social work
- Implementation of a supported first year in practice for all NQSWs

- Development of a national induction framework for adult social care
- Promoting career pathways and social care as a career choice
- Supporting the national recruitment campaign
- Supporting the Fair Work "effective voice" pilot
- Supporting the NTTF Introduction to Social Programme
- - Analyse and do a needs assessment of available workforce data and sources building recommendations for workforce data collection design, quantity and quality.
- - Identify options for working collaboratively with stakeholders to review the Social Care workforce data landscape as part of a whole system approach.
- - Identify options for obtaining accurate data on the unregistered workforce ensuring we consider our whole workforce when planning.

#### Management Action and Risk

This SPI is linked to strategic risk 5, we fail to provide value to our stakeholders and demonstrate our impact, which is currently scored as 9 (yellow). We are working closely with the Scottish Government, OCSWA, NHS Education for Scotland, COSLA and other partners to deliver the actions within the new Workforce Strategy.

We are working with OSCWA and Skills Development Scotland to progress the development of a graduate apprenticeship route into Social Work

We are currently supporting ten early implementation sites to implement the supported first year in practice for NQSWs with a full roll out expected later in 2022

We continue to promote careers in care and support the roll out of national recruitment campaigns and the 'Introduction to Social Care' programme currently being delivered by colleges across Scotland

We are working closely with SG and partner to progress the 'effective voice' pilot

We have established a Social Service Workforce Data and Workforce Planning Group. It has representatives from various parts of Scottish Government, COSLA, NHS, and representative bodies such as Social Work Scotland, Scottish Care and CCPS amongst others. We are also looking to expand membership to include local planners. The group will initially meet monthly and a key focus will be to review current collections and publications in order to support the implementation by employers, Government and other national bodies of new policy initiatives such as the National Care Service.

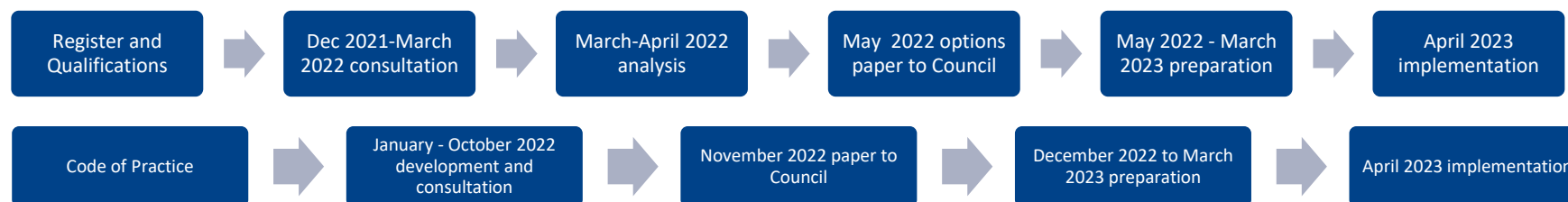


### 3.9 Regulation: Deliver the Future Proofing Programme.

This SPI reflects our work to deliver strategic outcome 1: To deliver the restructure of the register to support the sector. 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 is:



#### Management Action and Risk

This SPI is linked to strategic risk 1, we fail to ensure that our system of regulation meets the needs of people who use services and workers which is currently scored as 12 (amber).

- The biggest risk to progress remains the potential lack of Scottish Government time to implement legislative change required 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 re-profiling the timeline to take account of this.
- The consultation on the Register and qualifications has now closed. We have received over 6000 responses and are working on the analysis which will be presented to May Council.
- Whilst Sponsor Group have approved the Programme expanding to include consideration of fees, any progress on fees remains dependant on the approval of Ministers. We are working on models of fee increases for discussion with Scottish Government.
- A budget case to support the Programme in the next financial year has been approved. The most significant cost is likely to be digital system changes. The budget contains an estimate of this cost which will be more reliable after discovery workshops with the supplier conclude before the end of the financial year.
- We are appointing Scottish Government's Centre of Excellence to carry out external scrutiny of the Programme.

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

This SPI reflects our work to deliver strategic 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.

This measures for this metric will involve surveying registrants across the year as well as some of our key stakeholders.

The measures:

- we receive feedback that our work promotes the value of the social care workforce through engagement activity.
- we can demonstrate the impact of this workforce being qualified and registered, professional and regulated.

Our Registrant survey in June 2021 asked several questions to help us understand how Registrants view our promotion of the sector. Registrants were asked 'How well do you think these articles promote the positive value of social work, social care and early years services.'

'Articles' refers to the information that we provide through our SSSC Newsletter, Website and Social Media channels. We received 7,547 responses to this question, of which 5,241 or 69% were positive.

Our stakeholders are key strategic partners, policy influencers, organisations, groups and individuals who may:

- have an interest in our work
- have influence over our work

- be potentially affected by any aspect of our work
- affect our work
- have influence or an interest but are not aware of our work

In January 2022 we concluded the annual stakeholder survey asked the question 'How much do you think the work of the SSSC promotes the value of the sector and the workforce?'. 13 respondents answered this question and we received 54% positive response.

#### Management Action and Risk

This SPI is linked to strategic risk 5, we fail to provide value to our stakeholders and demonstrate our impact, which is currently scored as 9 (yellow).

- We received a low response rate to our stakeholder survey, but this was not unexpected. We will review the target audience and question set for this survey and refine as necessary.
- We are reviewing other qualitative information that can be used to inform this KPI, this includes the impact of our Career Ambassador work and our involvement in the Fair Work agenda which is report under 3.8 above.

## 4. ORGANISATION INFORMATION

### 4.1 Programme Management Office

#### Overall Summary: Programmes

Programme	Project Sponsor	Phase	Budget RAG	Risk/ Issues RAG	Stakeholder Buy In RAG	Overall RAG	Approval and Monitoring	Key Milestone	Comment
Digital Programme	Director of Strategy and Performance	Implement	Green	Amber	Green	Amber	All digital projects approved and monitored at by Digital Development Sponsor Group and Digital Development Programme Board. Updates with PMO	<ul style="list-style-type: none"> <li>Supplier appointed for digital assets project.</li> <li>LMS project passed governance gate 3 (approve designs and plans).</li> </ul>	<p>Risk and Issues tracking amber:</p> <p>Mattersphere portal customisation</p> <ul style="list-style-type: none"> <li>Lack of capacity with supplier to deliver the last milestone of training days</li> </ul> <p>LMS System</p> <ul style="list-style-type: none"> <li>This project will carry forward to 2022/23.</li> </ul>
Insight and Intelligence Project (part of Digital Programme)	Director of Strategy and Performance	Implement	Amber	Amber	Amber	Amber	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	<ul style="list-style-type: none"> <li>Power BI training course rollout for users</li> </ul>	<p>Risk and Issues tracking amber:</p> <ul style="list-style-type: none"> <li>Project will carry forward to 2022/23</li> <li>There are issues with resourcing that will impact on timescale. Digital Sponsor have been made aware.</li> </ul>

Future-Proofing Programme	Director of Registration	Define	Green	Amber	Green	Amber	Programme approved and monitored by the Future-Proofing Programme Board. Updates with PMO.	<ul style="list-style-type: none"> <li>Registration and qualifications and skills consultation closed on 14<sup>th</sup> March.</li> </ul>	Risks and issues tracking Amber <ul style="list-style-type: none"> <li>Potential changes requiring legislative change and lack of time to consult/propose.</li> <li>Scope risk – National Care Consultation may increase scope</li> </ul>
Rewards Review Programme	Director of Finance	Define	Amber	Amber	Amber	Amber	Programme approved and monitored by the Rewards Review Programme Governance Group monthly. Updates with PMO	<ul style="list-style-type: none"> <li>HR Drop-in sessions delivered</li> <li>JEGs interviews underway</li> </ul>	Risk and issues tracking Amber <ul style="list-style-type: none"> <li>Risk of JEGs process not being achieved within the timescale. Job evaluation report due originally by end of March - delayed to beginning May 2022.</li> <li>Risks to overall morale of staff due to the effects of job evaluation and organisational design.</li> <li>Uncertainty of additional costs as an outcome of job evaluation and organisational design, until phases of work complete.</li> </ul>

## Overall Summary: External Projects

Programme	Project Sponsor	Phase	Cost vs Budget RAG	Risks/ Issues RAG	Stakeholder Buy In RAG	Overall RAG	Approval and Monitoring	Key Milestone	Comment
Newly Qualified Social Worker	OCSWA	Implement	Green	Amber	Green	Amber	Approved by EMT. Implementation group meet on monthly basis	<ul style="list-style-type: none"> <li>Round 2 Supervision training delivered</li> <li>NQSW Covid Research report published</li> <li>Financial modelling and recommendation of final model for supported year provided to sponsor</li> </ul>	Risks and issues tracking Amber: <ul style="list-style-type: none"> <li>Awaiting outcome from the NCS consultation on the structure going forward.</li> <li>Timescale and funding arrangements for full roll out still to be agreed with Ministers</li> <li>Governance structure for employer accountability still to be finalised.</li> </ul>

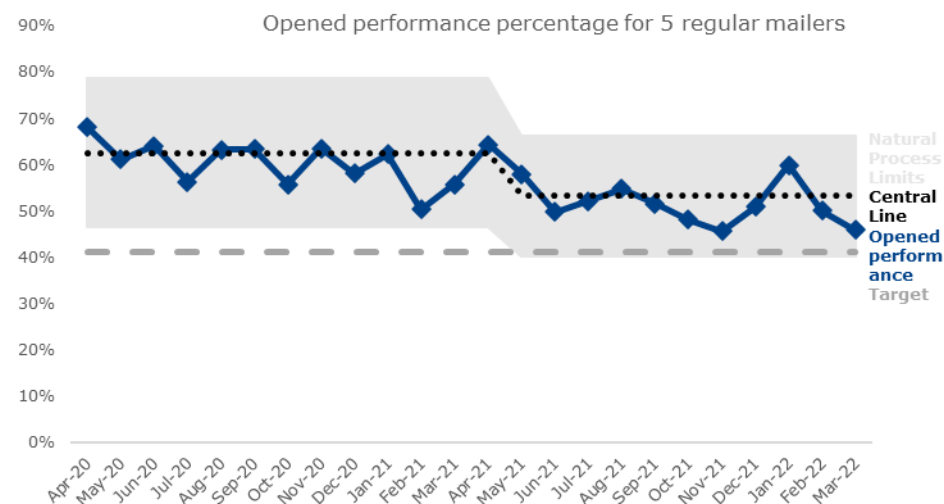
## 4.2 External Stakeholder Engagement

This strategic performance indicator (SPI) reflects our work to deliver strategic characteristic 1: Always focused on needs of our customers as well as strategic characteristic 4: We are a respected and valued organisation.

RAG		
>5%	-5% to 5%	<-5%
Target: 41%		
% Opened		
Apr-21	64.3%	56.7%
May-21	57.8%	40.9%
Jun-21	49.7%	21.2%
Jul-21	52.0%	26.9%
Aug-21	54.7%	33.4%
Sep-21	51.5%	25.5%
Oct-21	48.0%	17.0%
Nov-21	45.5%	10.9%
Dec-21	50.8%	24.0%
Jan-22	59.7%	45.7%
Feb-22	50.0%	22.0%
Mar-22	45.8%	11.8%

Our 'opened performance' is based on users opened against delivered. Each month there are five regular mailers that 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.

March 2022's performance was 45.8%. One of the lowest recorded this financial year. February's performance saw increase from 47.4% to 50.0% with an additional 8,198, we may see the same pattern in March's performance the following month.



### Management Action and Risk

This SPI is linked to strategic risk 5, we fail to provide value to our stakeholders and demonstrate our impact, which is currently scored as 9 (yellow).

The decrease in engagement for March is offset by the engagement in the previous two months for the future proofing programme consultation.

There is also technical back-end glitch, which first happened in March. The platform is not sending the follow up emails to those who haven't engaged with the first email. This is having an impact on the March and April figures and on the impact stories. The supplier is aware and we are working with them to resolve the issue.

## March impact stories

### Article: Not used the MyLearning app yet?



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

This section looks at complaints the SSSC has received about our service. This reflects our work to deliver strategic characteristic 1: Always focused on needs of our customers.

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 will show the trend in number of complaints received so that we can track any trend changes.

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-21	100.0%	11.1%
May-21	100.0%	11.1%
Jun-21	91.7%	1.9%
Jul-21	71.4%	-20.6%
Aug-21	100.0%	11.1%
Sep-21	100.0%	11.1%
Oct-21	100.0%	11.1%
Nov-21	100.0%	11.1%
Dec-21	100.0%	11.1%
Jan-22	97.8%	8.6%
Feb-22	97.6%	8.4%
Mar-22	97.9%	8.8%

We resolved 47 stage one complaints in March 2022, 45 within timescales.

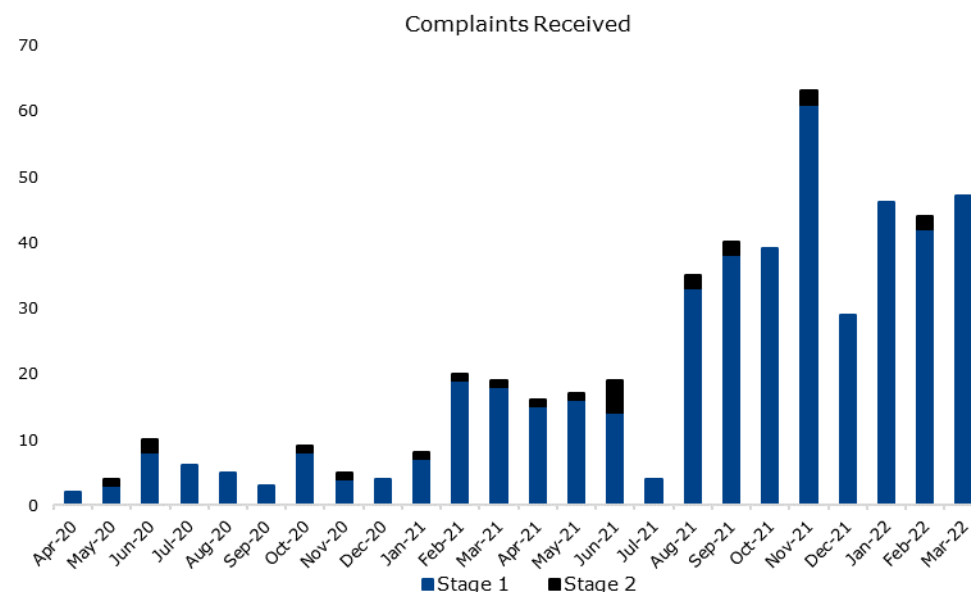
We resolved three stage two complaints in March 2022, all were out with timescales but two were given an extension. Of the three cases that missed deadline one was due to an individual wanting

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

Percentage of stage two complaints resolved on time

Apr-21	0%	-100.0%
May-21	100.0%	11.1%
Jun-21	100.0%	11.1%
Jul-21	100.0%	11.1%
Aug-21	-	-
Sep-21	100.0%	11.1%
Oct-21	100.0%	11.1%
Nov-21	100.0%	11.1%
Dec-21	-	-
Jan-22	-	-
Feb-22	-	-
Mar-22	0%	-100.0%

to meet in person with their representative and the Director of Regulation.



### Management Action and Risk

This SPI is linked to strategic risk 5, We fail to provide value to our stakeholders and demonstrate our impact, which is currently scored as 9 (yellow).

Although we did not respond to any stage two complaints within the 20 day timescale in March, two received an agreed extension per the complaints handling procedure. This means that complainants were aware of the delay and were kept updated on progress.



Based on this, we are not concerned that there are underlying issues regarding the missed deadlines and that there is reasonable explanation for these.

## HUMAN RESOURCES PERFORMANCE

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

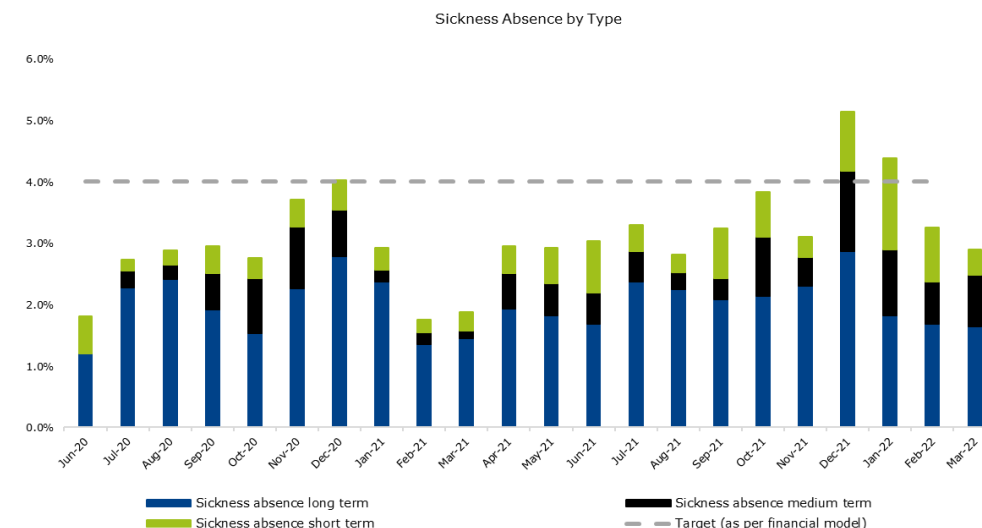
This metric combines all types of absence across the SSSC to give an overall metric. The assessment will focus on any areas of concern or risk by looking at sickness absence by directorate or team. We will identify any emerging reasons that could cause more staff absence in the future.

RAG		
<4%	4% to 5%	>5%
Target: 4%		
Actual and Reforecast		
Apr-21	3.0%	-26.2%
May-21	2.9%	-27.0%
Jun-21	3.0%	-24.0%
Jul-21	3.3%	-17.5%
Aug-21	2.8%	-29.6%
Sep-21	3.2%	-19.0%
Oct-21	3.8%	-4.3%
Nov-21	3.1%	-22.3%
Dec-21	5.1%	28.5%
Jan-22	4.4%	9.5%
Feb-22	3.3%	-18.5%
Mar-22	2.9%	-27.5%

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.

There were six employees absent due to long term sickness and we had seven COVID-19 related sicknesses in March. We expect March sickness levels to increase when we update in April due to delays in absence reporting and the lag with the payroll deadline.

We have updated the rates for February as reflected in the Sickness Absence by Type chart.



### Management Action and Risk

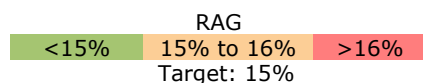
This SPI is linked to strategic risk 6, we fail to develop and support SSSC staff appropriately to ensure we have a motivated and skilled workforce to achieve our strategic outcomes, which is currently scored as 12 (amber).

We will have more accurate real time reporting when we move to self-service absence. This will use MyView for inputting the absence information and reduce the time between an absence and the data being recorded. We expect this to be available in Q2 this year.

## 4.5 HR: The overall staff turnover percentage.

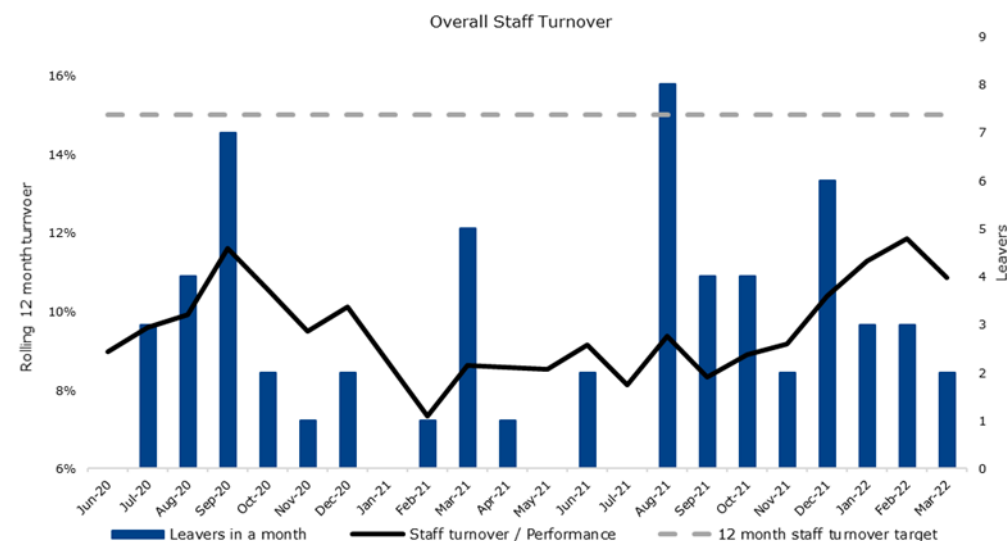
This key performance indicator (KPI) reflects our work to deliver strategic characteristic 5: People want to work at the SSSC

This metric looks at 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.



Actual and reforecast		
Apr-21	8.6%	-42.8%
May-21	8.5%	-43.1%
Jun-21	9.1%	-39.0%
Jul-21	8.1%	-45.9%
Aug-21	9.4%	-37.6%
Sep-21	8.3%	-44.5%
Oct-21	8.9%	-40.6%
Nov-21	9.2%	-38.9%
Dec-21	10.4%	-30.8%
Jan-22	11.3%	-24.8%
Feb-22	11.9%	-21.0%
Mar-22	10.9%	-27.6%

There were two leavers in March 2022.



## Management Action and Risk

This SPI is linked to strategic risk 6, we fail to develop and support SSSC staff appropriately to ensure we have a motivated and skilled workforce to achieve our strategic outcomes, which is currently scored as 12 (amber).

We are currently undertaking steps to gain more information about leavers. This change of process should allow us to get more insight into why people are leaving the organisation.

#### 4.6 HR: Percentage of people in post for less than six months and percentage of budgeted posts that are empty.

This KPI reflects our work to deliver strategic characteristic 5: People want to work at the SSSC

RAG		
<4%	4% to 5%	>5%
Target: 4%		

Budget posts that are empty actual and reforecast

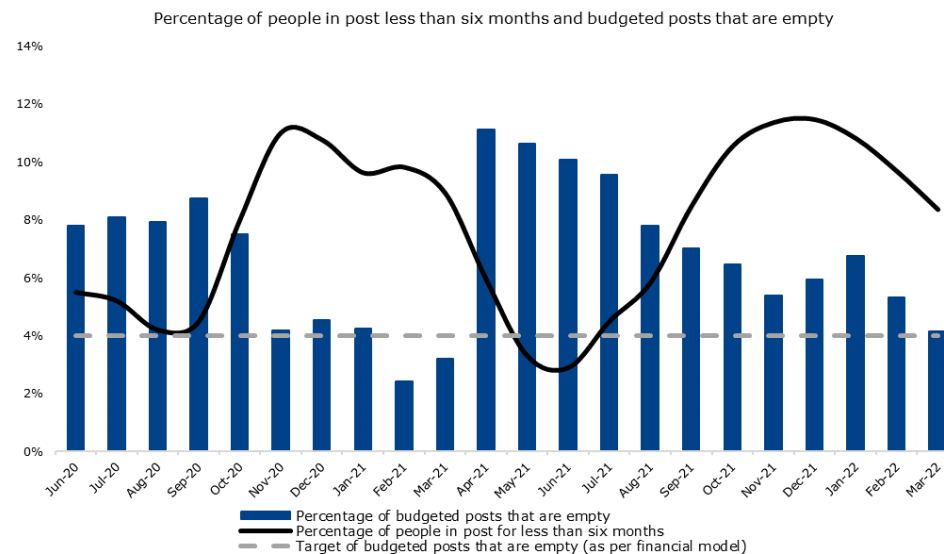
Apr-21	11.1%	178.2%
May-21	10.6%	165.8%
Jun-21	10.1%	151.8%
Jul-21	9.5%	138.6%
Aug-21	7.8%	94.9%
Sep-21	7.0%	75.6%
Oct-21	6.4%	61.2%
Nov-21	5.4%	34.7%
Dec-21	5.9%	48.6%
Jan-22	6.7%	68.5%
Feb-22	5.3%	32.6%
Mar-22	4.1%	3.7%

RAG		
Target: N/A		

People in posts for less than six months actual and reforecast

Apr-21	5.9%	--
May-21	3.3%	--
Jun-21	2.9%	--
Jul-21	4.5%	--
Aug-21	5.8%	--
Sep-21	8.5%	--
Oct-21	10.5%	--
Nov-21	11.4%	--
Dec-21	11.5%	--
Jan-22	10.8%	--
Feb-22	9.7%	--
Mar-22	8.4%	--

Vacant posts versus budgeted posts have continued to decrease in March, almost reaching the target of 4%. Four new starts began in March and so far, there is one confirmed new start in April, one in June and two in July. The number may increase again as we move to recruit into new budgeted posts approved by Council in March.



#### Management Action and Risk

This SPI is linked to strategic risk 6, we fail to develop and support SSSC staff appropriately to ensure we have a motivated and skilled workforce to achieve our strategic outcomes, which is currently scored as 12 (amber).

We will change processes that will reduce the time a vacant post remains empty.

## LEGAL AND CORPORATE GOVERNANCE

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

This strategic performance indicator (SPI) reflects our work to deliver strategic characteristic 1: Always focused on needs of our customers as well as strategic characteristic 4: We are a respected and valued organisation.

RAG		
>90%	80% to 90%	<80%
Target: 100%		

Percentage of SAR completed on time

Apr-21	86%	-14%
May-21	100%	0%
Jun-21	100%	0%
Jul-21	100%	0%
Aug-21	0%	-100%
Sep-21	100%	0%
Oct-21	100%	0%
Nov-21	75%	-25%
Dec-21	100%	0%
Jan-22	100%	0%
Feb-22	80%	-20%
Mar-22	100%	0%

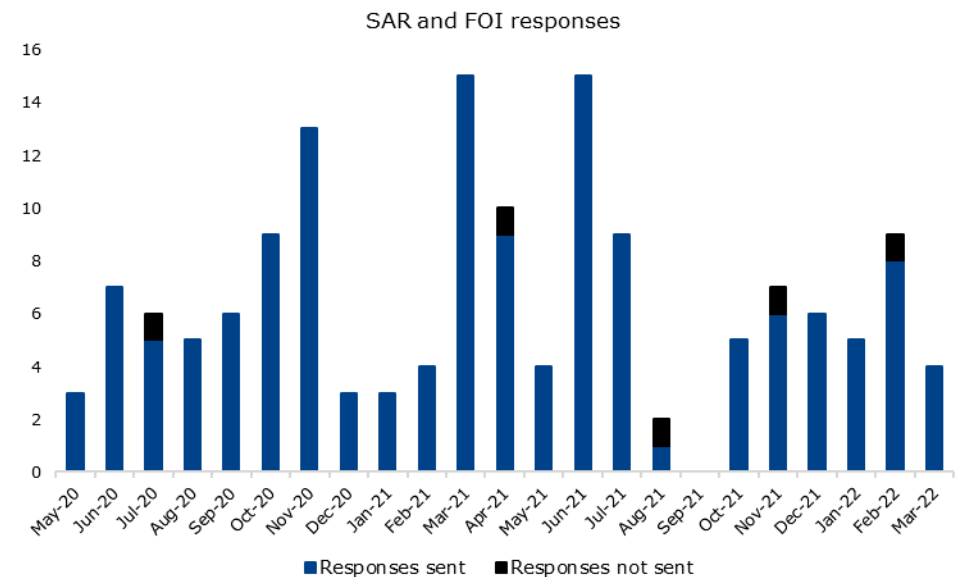
RAG		
>90%	80% to 90%	<80%
Target: 100%		

Percentage of FOI requests completed on time

Apr-21	100%	0%
May-21	100%	0%
Jun-21	100%	0%
Jul-21	100%	0%
Aug-21	100%	0%
Sep-21	100%	0%
Oct-21	100%	0%
Nov-21	100%	0%
Dec-21	100%	0%
Jan-22	100%	0%
Feb-22	100%	0%
Mar-22	100%	0%

We must respond to 100% of SAR requests within one calendar month. In March 2022 we responded to two requests and met the statutory timescale for both of these.

We must respond to Freedom of information (FOI) requests within 20 working days. In March 2022 we responded to two requests and met the statutory timescales for both of these.



### Management Action and Risk

This SPI is linked to strategic risk 3, We fail to meet corporate governance external scrutiny and legal obligations, which is currently scored as 9 (yellow).

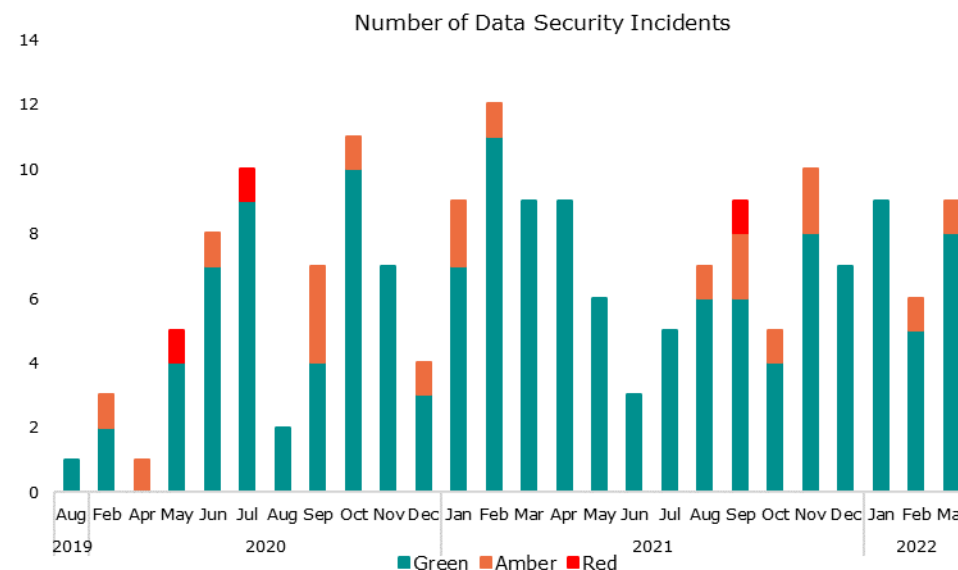
#### 4.9 L&CG: Number of security incidents/data breaches reported.

This strategic performance indicator (SPI) reflects our work to deliver strategic characteristic 1: Always focused on needs of our customers as well as strategic characteristic 4: We are a respected and valued organisation

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 nine data security incidents in March 2022 and categorised eight as low/green and one as medium/amber.



#### Management Action and Risk

This SPI is linked to strategic risk 3, We fail to meet corporate governance, external scrutiny and legal obligations, which is currently scored as 9 (yellow). The Information Governance Team assesses each breach 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 recommendations for an amber or red categorised incident.


The Information Governance Team has carried out trend analysis of security incidents in quarters one, two and three and reported to OMT.

## CONTROL CHARTS

This section gives a brief description of some of the terms used within the control charts, this will be expanded on within time.

Central line – this is the average performance and indicates the trend in performance. It 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.

ID	Risk heading	Risk appetite	Risk description	Owner	Gross risk			Mitigation/controls	Residual risk			Movement since last review	Residual exceeds appetite? Y/N	If Y, how long has it exceeded?
					Impact	Probability	Score		Impact	Probability	Score			
1	Regulatory or compliance	Averse (risk score 25)	<p>We fail to ensure that our system of regulation meets the needs of people who use services and workers.</p> <p><b>Cause:</b></p> <p>We take too long to make a decision, make an indefensible decision, or are unable to make a decision due to:</p> <ul style="list-style-type: none"> <li>Insufficient staff as a result of external factors we cannot controls such as the Scottish Abuse Inquiry, COVID-19, difficulty recruiting or errors in our resource model assumptions</li> <li>Ineffective quality assurance, decision-making frameworks or systems, reciprocal arrangements with third parties</li> <li>Legislation or third party policies preventing us from obtaining necessary information.</li> </ul> <p>Our processes and approach are bureaucratic Our legislative framework is a structural barrier to flexible working across care.</p> <p>The arrangements for Fitness to Practise Panel Hearings are not compliant with evolving legislation</p> <p>Legislative and process changes due to COVID-19 means that people are working unregistered or without their fitness to practise being assessed.</p> <p>The impact of COVID-19 means that other agencies are unable to provide us with the information we need to make fitness to practise decisions or we are unable to hold a fitness to practise hearing.</p> <p><del>Failing to respond proportionately to COVID-19 means that limited workforce capacity is spent responding to regulatory requirements.</del></p>	Director of Regulation	5	4	20 (High)	<p><b>Existing Mitigation and Controls</b></p> <p>Rules and frameworks based on risk in place to ensure legal compliance, fairness and consistency.</p> <p>Digital systems to manage our processes and casework, with ongoing development of those systems</p> <p>Resource modelling for calculating our staff base.</p> <p>Quality assurance and audit process in place for staff and panel decision making.</p> <p>Publicising hearing outcomes and decisions.</p> <p><u>Over recruitment of key posts.</u> <del>Use</del> of overtime and external legal presenter services to undertake conduct of panel hearings to provide additional capacity.</p> <p>Use of technology to hold online hearings.</p> <p><u>Liaison work with sector to embed revised thresholds</u></p> <p><b>Planned Mitigation and Controls</b></p> <p><u>Implement and embed fitness to practise help and support lines for workers and members of the public making a referral – March 2023 – Director of Regulation</u></p> <p><u>Work with representatives to improve the fitness to practise process – March 2023 – Director of Regulation</u></p>	4	3	12 (Moderate)		N	



ID	Risk heading	Risk appetite	Risk description	Owner	Gross risk			Mitigation/controls	Residual risk			Movement since last review	Residual exceeds appetite? Y/N	If Y, how long has it exceeded?
					Impact	Probability	Score		Impact	Probability	Score			
			<b>Consequence:</b>  A worker is on the register who is not fit to practise and as a consequence a service user is harmed.  Care cannot be delivered in a person-centred way because of barriers caused by registration and fitness to practise approach and processes, which leads to poorer outcomes for people using services.  A worker leaves the sector unnecessarily because of our processes and decisions, which compromises the ability for care to be delivered to people using services.  Our processes have a detrimental impact on workers and it affects their health and personal circumstances.  The public lose confidence in the profession and us as regulator.  The workforce does not have sufficient capacity to provide care and support to people who use services because they are focussed on responding to regulatory requirements.					<del>Work with sector in embedding revised thresholds. March 2022. Owner – Director of Regulation</del>  <del>Systems design work started November 21, Regulatory Improvement Team established in July and working with employers. Owner – Director of Regulation</del>  <del>Request to Scottish Government to revert 12-month rule back to six-month rule. Estimated implementation March 2022. Owner – Director of Regulation</del>  Change to the structure of our register- long-term project for completion by 20243. – Owner – Director of Regulation  Work with Police Scotland and Crown Office Procurator Fiscal Service on information sharing and decisions – ongoing with next meeting scheduled for AprilSummer 2022 – Director of Regulation  <del>Insufficient budget in future years to fund permanent posts agreed by Council in 23/24 financial year in March 2021. Highlighted to Sponsor before appointing. (Owner – Interim Director of Finance and Resources MarchJune 20222).</del>						
2	Regulatory or compliance	Averse (25)	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.  <b>Cause:</b>	Director of Development and Innovation	4	4	16 (High)	<b>Existing controls</b>  The SSSC produces a quarterly workforce intelligence report on qualification conditions.	4	3	12 (Moderate)	↔	N	

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ID	Risk heading	Risk appetite	Risk description	Owner	Gross risk			Mitigation/controls	Residual risk			Movement since last review	Residual exceeds appetite? Y/N	If Y, how long has it exceeded?
					Impact	Probability	Score		Impact	Probability	Score			
			<p>Our contribution to developing resources does not meet the needs of registrants and employers.</p> <p>Our standards don't meet the needs of employers.</p> <p>Limited funding for individuals and employers to support formal learning.</p> <p>Our legislative framework is a structural barrier to flexible working across care.</p> <p>Individuals are not able to complete qualifications.</p> <p>Extension to qualification condition timescale due to COVID-19.</p> <p>Effects of COVID-19 may limit workforce capacity is spent responding to regulatory requirements.</p> <p>Failure to respond timeously to requests for data due to lack of correct skills/capacity</p> <p><b>Consequence:</b></p> <p>Workers are not registered or removed from the register, leading to gaps in service delivery which affects the delivery of care to people using services.</p> <p>Reduced confidence of public protection.</p> <p>Existing qualifications and standards do not support new models of care.</p> <p>Workers are unable to adhere to the SSSC Codes of Practice.</p> <p>Risk to our reputation with external partners when we cannot provide the information or data requested</p>				<p>Publish data on training provision across Scotland to meet identified demand.</p> <p>-Working with Scottish Care and Coalition of Care and Support Providers in Scotland on the promotion and allocation of funding to employers.</p> <p>Published career pathways resources to promote a career in social care which link to qualifications funding and registration.</p> <p><b>Planned actions—It is to be noted not all these actions are at the sole discretion of the SSSC to implement:</b></p> <p><del>Working with partners to develop an interim award and a pathway for HNC students unable to complete the SVQ to meet registration requirements.</del> <del>(Head of Learning and Development Team—February 2021)</del></p> <p><del>We will use the findings of the Workforce Skills Report and the Register for the Future consultation analysis to develop Workforce Skills action plan to address identified skills gaps and training/learning needs, including shortage of provision, setting out short, medium and long term priorities.</del> (Head of Workforce/ Head of Learning &amp; Development Planning –June 2022 December 2021)</p> <p><del>In partnership with NES and Scottish Government we are developing a national induction framework resource</del></p>							

ID	Risk heading	Risk appetite	Risk description	Owner	Gross risk			Mitigation/controls	Residual risk			Movement since last review	Residual exceeds appetite? Y/N	If Y, how long has it exceeded?
					Impact	Probability	Score		Impact	Probability	Score			
								<p>for adult social care to support sector and SG commitment in PFG ( Head of L&amp;D May 2022) <u>The first iteration was published in February 2022 in response to winter pressures</u></p> <p><u>Developing a new Graduate Apprenticeship Route into Social Work</u></p> <p><u>Developing a new integrated health and social care SVQ qualification</u></p> <p><u>Developing an improvement plan based on the registrant and learning resources surveys and our data insights research to inform how we target and promote our resources to different registrant groups.</u></p> <p><u>Planned actions – It is to be noted not all these actions are at the sole discretion of the SSSC to implement.</u></p>						
3	Regulatory or compliance	Averse (25)	<p>We fail to meet corporate governance, external scrutiny and legal obligations.</p> <p><b>Cause:</b></p> <p>Corporate governance arrangements are not effectively discharged at the right level.  Insufficient project management.  Unclear policies and procedures.  Lack of management.  Ineffective working relationships between Council members and Officers.  Poor assurance mapping.  Shared services governance and operational arrangements are ineffective eg lack of clarity over services to be delivered, performance standards not met, consequences of service failure not understood, resources not aligned, unclear on accountability/ responsibility for decision making</p> <p><b>Consequence:</b></p>	Director of Finance and Resources	4	4	16 (High)	<p><b>Existing mitigation and controls</b></p> <p>Governance improvement plan completed to Audit and Assurance Committee's satisfaction.</p> <p>Effectiveness review of Council performance carried out annually.</p> <p>Audit and Assurance Committee review own effectiveness annually.</p> <p>Positive internal audit response to Corporate Governance review with two minor recommendations.</p> <p>Shared services – Council agreed governance documents and EMT agreed operational</p>	3	3	9 (Low)	↔	N	

ID	Risk heading	Risk appetite	Risk description	Owner	Gross risk			Mitigation/controls	Residual risk			Movement since last review	Residual exceeds appetite? Y/N	If Y, how long has it exceeded?
					Impact	Probability	Score		Impact	Probability	Score			
			Loss of credibility. Conflicts of interest. Fraud. Data breach/loss. Information and records management does not comply with legislative requirements. Reduced quality of challenge and oversight. Reduced public confidence. Qualified audit. Further section 22 action. Failure to deliver strategic objectives. Shared services not meeting SSSC requirements.					documents. Positive internal audit reports. Regular review meetings with CEOs and senior managers from SSSC and CI.  <b>Planned actions</b>  Assurance mapping exercise to be carried out during 2021/22 (Head of Legal & Corporate Governance – May <del>Feb</del> 2022).  <del>Further discussion required about Committee restructure with Council (Chief Executive – March 2022).</del>						
4	Communication and profile: Proportionate regulation	Cautious (12-15)	We fail to provide value to our stakeholders and demonstrate our impact.  <b>Cause:</b>  Impact of the Independent care review. Use of complex and formal language. People don't understand how we make decisions. Insufficient management of key relationships. Stakeholders do not have the capacity/resources to engage. We don't lead nationally on core SSSC functions. Limited ability/resource to market the role of SSSC. Increased scrutiny due to decision making around COVID-19 at a national level. Unable to respond timeously to requests for internal data due to lack of resource Effects of COVID-19 may limit workforce capacity is spent responding to stakeholder requirements  <b>Consequence:</b>  Reduced public confidence. Lack of stakeholder involvement/engagement in delivery of strategic outcomes not achieved. Stakeholder voice is not heard. Poor perception of registration.	Director of Strategy and Performance	3	4	12 (Moderate)	<b>Existing mitigation and controls</b>  Regular review of business plan objectives quarterly due to COVID-19 activity. (Operational Management Team)  Regular surveying of Registrants and Stakeholders to determine the perception of the work of the SSSC  <b>Planned actions</b>  <del>Put process in place to Agreed at OMT/ EMT meeting in June that will continue with report on outcomes based for budgeting and will monitor to inform allocation in future year budgets how we use it will be reviewed during the year.</del> (Director of Finance and Resources - March 202 <del>32</del> )  <del>Development of SSSC equalities data and potential publication of data held about the sector to support and drive</del>	3	3	9 (Low)	↔	N	

ID	Risk heading	Risk appetite	Risk description	Owner	Gross risk			Mitigation/controls	Residual risk			Movement since last review	Residual exceeds appetite? Y/N	If Y, how long has it exceeded?
					Impact	Probability	Score		Impact	Probability	Score			
			Under-utilisation of SSSC resources. Risk to reputation with our external partners who rely on SSSC data					<a href="#">policy changes (Dir of S&amp;P April 2022)</a> <a href="#">Analysis and research following equalities data collection to be published Q4 2022/23 (Dir of S&amp;P)</a>						
5	People and culture: Organisational development	Averse (25)	<p>We fail to develop and support SSSC staff appropriately to ensure we have a motivated and skilled workforce or have insufficient staff resources to achieve our strategic outcomes.</p> <p><b>Cause:</b></p> <p>Lack of a strategic workforce plan and ineffective workforce planning at directorate and team level.            Lack of effective monitoring of workload and capacity.            Effects of COVID-19 may limit workforce capacity to respond to regulatory requirements.            Lack of an effective staff learning and development plan.            Managers are unaware of their duties in relation to supporting staff.            Lack of managed mandatory training programme.            No consistent approach to development discussions.            No consistent approach to leadership and management development.            No mentoring programme for new staff.            Outcomes of job evaluation.            Continued restrictions due to COVID-19.            High number of vacant posts to support business as usual which impacts on other members of staff.            Business critical posts not recruited to.            Single points of failure in several areas.            Uncertainty due to NCS and JEGs?</p> <p><b>Consequence:</b></p> <p>High turnover of staff.            Staff leave the organisation due to uncertainty</p>	Director of Finance and Resources	5	4	20 (High)	<p><b>Existing mitigation and controls</b></p> <p>People Strategy in place and directors are accountable for delivery of particular themes. People Strategy Board reviews progress and reports to Council.</p> <p>Programme Governance Group established to monitor progress of the rewards review and reports to Council.</p> <p>Development discussions take place with every employee at least twice a year.</p> <p><b>Planned actions</b></p> <p>Delivery of People Strategy action plan (Director of Finance and Resources – September 2024)</p> <p>Complete the rewards review – organisational design and second phase of job evaluation (Director of Finance and Resources – first phase May 2022).</p> <p>Discuss with Scottish Government establishing a</p>	3	4	12 (Moderate)	↔	N	

ID	Risk heading	Risk appetite	Risk description	Owner	Gross risk			Mitigation/controls	Residual risk			Movement since last review	Residual exceeds appetite? Y/N	If Y, how long has it exceeded?
					Impact	Probability	Score		Impact	Probability	Score			
			Loss of Investors in People status. Inability to deliver our strategic objectives. Dismissal of staff due to poor performance. Unfair/constructive dismissal claim. Legal claim under Equalities Act. Reputational damage. Reduced ability to influence change and policy development. COVID-19 restrictions impact on staff motivation and cause fatigue. Increase in staff suffering from stress related illness and increased absences. Organisation is exposed and may not be able to deliver objectives if key staff are absent – single point of failure					core budget at a level that we can employ sufficient permanent staff to continue to deliver the objectives in the strategic plan. (Chief Executive – March 2023)						
6	Finance and value for money: Financial management	Cautious (12-15)	The SSSC fail to secure sufficient budget resources to fulfil the financial plans required to deliver the strategic plan.  <b>Cause:</b> Inability to convince Scottish Government as main funding source of our strategic priorities. Single year funding settlements to support a three-year strategic plan. The SSSC does not have up to date, comprehensive, forward looking financial plans aligned to the strategic plan. Failure to meet financial targets. Fee income is not in line with projections. Grant in Aid (GiA) is reduced. Late notification of Scottish Government budget allocations. Financial implications of the COVID-19 pandemic affecting public finances. Insufficient GiA to fund all permanent posts needed to deliver the strategic plan Effects of COVID-19 on national budget setting may limit our ability to allocate resources  <b>Consequence:</b> Adverse impact on our ability to deliver our strategic objectives. Reputational damage. Reduced confidence in our protection arrangements. Reduced future funding.	Director of Finance and Resources	4	5	20 (High)	<b>Existing mitigation and controls</b> Financial Strategy that considers current position plus the next six years is in place and reviewed annually (last reviewed in June 2019; Council agreed date of next review in 2021/22).  Audit and Assurance Committee consider an assurance report that integrates the financial position, organisational performance and risks at each of its meetings.  2021/22 budget agreed at Council in March 2021.  Budget performance reviewed at directorate and Executive Management Team level monthly, risks to achieving a balanced budget are identified and action taken by senior managers to mitigate.  Resource models reviewed and updated and regularly compared to the actual position.  <b>Planned actions</b>	4	4	16 (High)	↔	N	

ID	Risk heading	Risk appetite	Risk description	Owner	Gross risk			Mitigation/controls	Residual risk			Movement since last review	Residual exceeds appetite? Y/N	If Y, how long has it exceeded?
					Impact	Probability	Score		Impact	Probability	Score			
			Reduced ability to influence change and policy development. Reliant on a number of temporary posts to deliver the strategic plan which is contrary to Fair Work directives and unsustainable in the medium to long term.					<p>EMT and OMT business and budget planning sessions arranged to prepare for 2022<sup>23</sup>/2023<sup>24</sup> and beyond (Director Strategy and Performance and Director of Finance and Resources – March 2023<sup>25</sup>).</p> <p>We will review the financial strategy at the same time as developing the 2023-27 Strategic Plan (Director Strategy and Performance and Director of Finance and Resources – March 2023)</p> <p>Internal audit of resource model to be finalised and recommendations implemented (Director of Regulation and Director of Finance and Resources – February 2022)</p> <p>Indicative budgets for future years -identify significant budget gaps. Work will continue in the planning and budgeting process to achieve a balanced budget (Chief Executive/ Director of Finance and Resources – March 2023<sup>26</sup>)</p>						
7	Operational and policy delivery: Business continuity and adaptation of service	Minimalist (16-20)	<p>Business Continuity Plans (BCP) are in place and tested.</p> <p><b>Cause:</b></p> <p>Revision of BCP was suspended pending completion of the digital transformation programme. Availability of resources to take forward the updating of business impact assessments and recovery plans. Untested plans. Plans not taking account of recent increased threats – cyber-attacks on public sector</p> <p><b>Consequence:</b></p> <p>Modified audit options.</p>	Chief Executive	4	5	20 (High)	<p><b>Existing mitigation and controls</b></p> <p>Due to COVID-19 our plans were updated, and a new process has been defined earlier than planned.</p> <p>Cyber security - monitoring of attacks on other organisations and review of mitigating actions to ensure SSSC systems are process are cyber compliant (Head of Digital)</p> <p><b>Planned actions</b></p>	2	2	4 (Very low)	←→	N	

ID	Risk heading	Risk appetite	Risk description	Owner	Gross risk			Mitigation/controls	Residual risk			Movement since last review	Residual exceeds appetite? Y/N	If Y, how long has it exceeded?
					Impact	Probability	Score		Impact	Probability	Score			
			Loss of front-line services to registrants with no recovery plan. Mismanagement of major incident. Data and information loss and loss of access to core systems					Timetable for future testing of plans to be agreed. (Head of Performance and Improvement – May 2022)  New suite of BCM documentation to be developed and then agreed at EMT (July 2022)						
8	<a href="#">Operational and policy delivery: Business continuity and adaptation of service</a>	Cautious (12-15)	<p>We fail to have the appropriate measures in place to protect against cyber security attacks</p> <p><b>Cause:</b></p> <p>Insufficient funds allocated to manage core IT infrastructure. Insufficient development investment to upgrade security and systems. Lack of staff, skills and knowledge. Lack of IT policies. Insufficient horizon scanning of future threats. Lack of understanding and awareness by staff. Successful cyber attack.</p> <p><b>Consequence:</b></p> <p>Complete loss of use of core business systems. Loss of data and sensitive information. Major data breach. Financial fraud. Action by external stakeholders – ICO, SPSO, Audit Scotland. Financial penalties.</p>	<a href="#">Director of Strategy and Performance</a>	4	5	20 (Very High)	<p>Cyber essentials accreditation.</p> <p>Regular mandatory cyber security training.</p> <p>ICT security policies in place.</p> <p>Positive internal audit Relevant insurances in place.</p> <p><b>Planned actions</b> Planned Digital Development Programme for 2022/23.</p> <p>Revised business continuity and incident management testing plan. (Head of Digital Q1 2022-23)</p> <p>Simulated cyber exercises. (Head of Digital Q1 2022-23)</p>	3	4	12 (Moderate)			



## RISK SCORING MATRIX

**Table 1 Impact scores**

	Consequence score (severity levels) and examples of descriptors				
	1	2	3	4	5
Domains	Negligible	Minor	Moderate	Major	Catastrophic
<b>Impact on the safety of, staff or public (physical/psychological harm)</b>	Minimal injury requiring no/minimal intervention or treatment.  No time off work	Minor injury or illness, requiring minor intervention  Requiring time off work for >3 days	Moderate injury requiring professional intervention  Requiring time off work for 4-14 days  RIDDOR/agency reportable incident  An event which impacts on a small number of stakeholders	Major injury leading to long-term incapacity/disability  Requiring time off work for >14 days  Mismanagement of cases with long-term effects and impacts of service users	Incident leading to death  Multiple permanent injuries or irreversible health effects  An event which impacts on a large number of stakeholders
<b>Quality/complaints/audit</b>	Peripheral element of treatment or service suboptimal  Informal complaint/inquiry	Overall service suboptimal  Formal complaint (stage 1)  Local resolution  Single failure to meet internal standards  Minor implications if unresolved  Reduced performance rating if unresolved	Service has significantly reduced effectiveness  Formal complaint (stage 2) complaint  Local resolution (with potential to go to independent review)  Repeated failure to meet internal standards  Major implications if findings are not acted on	Non-compliance with national standards with significant risk if unresolved  Multiple complaints/ independent review  Low performance rating  Critical report	Totally unacceptable level or quality of service  Gross failure of findings not acted on  Inquest/ombudsman inquiry  Gross failure to meet national standards
<b>Human resources/ organisational development/staffing/ competence</b>	Short-term low staffing level that temporarily reduces service quality (< 1 day)	Low staffing level that reduces the service quality	Late delivery of key objective/ service due to lack of staff  Unsafe staffing level or competence (>1 day)  Low staff morale  Poor staff attendance for mandatory/key training	Uncertain delivery of key objective/service due to lack of staff  Unsafe staffing level or competence (>5 days)  Loss of key staff  Very low staff morale  No staff attending mandatory/ key training	Non-delivery of key objective/service due to lack of staff  Ongoing unsafe staffing levels or competence  Loss of several key staff  No staff attending mandatory training /key training on an ongoing basis
<b>Statutory duty/ Governance/inspections</b>	No or minimal impact or breach of guidance/ statutory duty	Breach of statutory legislation  Reduced performance rating if unresolved	Single breach in statutory duty  Challenging external recommendations/ improvement notice	Enforcement action  Multiple breaches in statutory duty  Improvement notices  Low performance rating  Qualified audit	Multiple breaches in statutory duty  Prosecution  Complete systems change required  Zero performance rating  Severely critical report
<b>Adverse publicity/ reputation</b>	Rumours  Potential for public concern	Local media coverage – short-term reduction in public confidence  Elements of public expectation not being met	Local media coverage – long-term reduction in public confidence	National media coverage with <3 days service well below reasonable public expectation	National media coverage with >3 days service well below reasonable public expectation. MP concerned (questions in the House)  Total loss of public confidence
<b>Business objectives/ projects</b>	Insignificant cost increase/ schedule slippage	<5 per cent over project budget  Schedule slippage	5–10 per cent over project budget  Schedule slippage	Non-compliance with national 10–25 per cent over project budget  Schedule slippage  Key objectives not met	Incident leading >25 per cent over project budget  Schedule slippage  Key objectives not met
<b>Finance including losses and claims</b>	Loss or compensation of under £1,000	Loss of up to £25k of budget  Loss or compensation less than £10,000	Loss of £25k+ to £100k of budget  Loss or compensation between £10,000 and £50,000	Uncertain delivery of key objective/Loss of £100k+ to £500k of budget  Loss or compensation between £50,000 and £1150,000  Purchasers failing to pay on time	Non-delivery of key objective/ Loss of >£500k of budget  Failure to meet specification/ slippage  Loss of contract / payment by results  Loss or compensation >£150,000
<b>Service/business interruption Environmental impact</b>	Loss/interruption of >1 hour  Minimal or no impact on the environment	Loss/interruption of >8 hours  Minor impact on environment	Loss/interruption of >1 day  Moderate impact on environment	Loss/interruption of >1 week  Major impact on environment	Permanent loss of service or facility  Catastrophic impact on environment
<b>Breaches of confidentiality involving person identifiable data (PID), including data loss</b>	No significant reflection on any individuals or body. Media interest very unlikely	Damage to an individual's reputation. Possible media interest, e.g. celebrity involved	Damage to a team's reputation. Some local media interest that may not go public	Damage to a service reputation/ low key local media coverage  Damage to an organisation's reputation/ local media coverage	Damage to SSSC reputation/ National media coverage.  Serious breach with potential for ID theft or over 1000 people affected
	Minor breach of confidentiality. Only a single individual affected	Potentially serious breach. Less than 5 people affected or risk assessed as low, e.g. files were encrypted.	Serious potential breach & risk assessed high, e.g. unencrypted file lost. Up to 20 people affected.	Serious breach of confidentiality, e.g. up to 100 people affected	

**Table 2 Probability score (L)**

What is the likelihood of the consequence occurring?

The frequency-based score is appropriate in most circumstances and is easier to identify. It should be used whenever it is possible to identify a frequency of occurrence.

Likelihood score	1	2	3	4	5
Descriptor	Rare	Unlikely	Possible	Likely	Almost certain
Frequency How often might it/does it happen	This will probably never happen/recur	Do not expect it to happen/recur but it is possible it may do so	Might happen or recur occasionally	Will probably happen/recur but it is not a persisting issue	Will undoubtedly happen/recur,possibly frequently

**Table 3 Risk rating = consequence x likelihood ( C x L )**

Consequence scores (C)	Likelihood scores (L)				
	1	2	3	4	5
	Rare	Unlikely	Possible	Likely	Almost certain
5 Catastrophic	5	10	15	20	25
4 Major	4	8	12	16	20
3 Moderate	3	6	9	12	15
2 Minor	2	4	6	8	10
1 Negligible	1	2	3	4	5

For grading risk, the scores obtained from the risk matrix are assigned grades as follows:

1 - 5	VERY LOW risk
6 - 10	LOW risk
12 - 15	MODERATE risk
16 - 20	HIGH risk
25	VERY HIGH risk

Risk appetites, as agreed by Council, can be aligned to the above matrix as follows:

Risk grade	Risk appetite
VERY LOW risk	HUNGRY
LOW risk	OPEN
MODERATE risk	CAUTIOUS
HIGH risk	MINIMALIST
VERY HIGH risk	AVERSE

For example, a risk heading which has been assigned a risk appetite of 'minimalist' should not exceed an overall risk grade of high.

**Instructions for use**

1. Define the risk(s) explicitly in terms of the adverse consequence(s) that might arise from the risk.
2. Use table 1 to determine the consequence score(s) (C) for the potential adverse outcome(s) relevant to the risk being evaluated.
3. Use table 2 to determine the likelihood score(s) (L) for those adverse outcomes. If possible, score the likelihood by assigning a predicted frequency of occurrence of the adverse outcome. If this is not possible, assign a probability to the adverse outcome occurring within a given time frame, such as the lifetime of a project. If it is not possible to determine a numerical probability then use the probability descriptions to determine the most appropriate score.
3. Calculate the risk rating by multiplying the consequence score by the likelihood score:  
 $C \text{ (consequence)} \times L \text{ (likelihood)} = R \text{ (risk score)}$
4. Identify the level at which the risk will be managed in the organisation, assign priorities for remedial action, and determine whether risks are to be accepted on the basis of the colour bandings and risk ratings, and the organisation's risk management system. Include the risk in the organisation risk register at the appropriate level.

**Scoring system in the trend column of the summary tables**

In the trend section up to 6 months is judged as 'improving' greater than six months is 'gradually improving' and 'steady' is self explanatory.

**SCOTTISH SOCIAL SERVICES COUNCIL**

**Unconfirmed minutes of the Audit and Assurance Committee  
held on 03 May 2022 at 10.00 am  
by Teams meeting**

**Present:** Professor Alan Baird, Council Member, Chair  
Theresa Allison, Council Member  
Rona King, Council Member  
Russell Pettigrew, Council Member

**In Attendance:** Lorraine Gray, Chief Executive  
Maree Allison, Director of Regulation  
Lynn Murray, Interim Director of Finance and Resources  
Laura Shepherd, Director of Strategy and Performance  
Laura Lamb, Acting Director of Development and Innovation  
Anne Garness, Head of Legal and Corporate Governance  
David Archibald, Internal Auditor, Henderson Loggie  
Audrey Wallace, Corporate Governance Coordinator

<b>1.</b>	<b>Welcome</b>
1.1	The Chair welcomed everyone to the meeting and noted apologies from Peter Murray, Council Member.
<b>2.</b>	<b>Declarations of interest</b>
2.1	There were no declarations of interest.
<b>3.</b>	<b>Minutes of the previous meeting</b>
3.1	The minutes of the meeting held on 3 February 2022 were approved as a correct record subject to the deletion of Lorraine Gray from the list of attendees. The minutes noted that Lorraine Gray had tendered apologies and was not present at that meeting.
<b>4.</b>	<b>Matters arising</b>
4.1	<b>Item 7 – Draft 2021/22 External Audit Plan</b> Lynn Murray confirmed that the external Audit Plan had been finalised and would be circulated to Council Members and Senior Officers shortly after today's meeting.
<b>5.</b>	<b>Assurance report as of 31 March 2022</b>
5.1	Laura Shepherd introduced report 11/2022, the assurance report to 31 March 2022. The report provided performance, financial and risk

	information as at 31 March 2022. She advised that there had been no significant movement in risk ratings in the quarter to 31 March. The Performance Summary at Strategic Performance Indicator (SPI) 4.3, Members noted that extensions had been given for time to process two level two complaints, which shifted this indicator into the red category.
5.2	<p>Laura Shepherd also confirmed that two risks which had been included in the Risk Register up until 31 March 2022, had now been removed. These are:</p> <ul style="list-style-type: none"> <li>risk 4 'we fail to plan and resource our activities to deliver our digital strategy' and</li> <li>risk 9 'the SSSC is unable to operate due to effects of global pandemic COVID-19'on COVID-19.</li> </ul> <p>COVID-19 related issues were now included within the risk description of any category in the register where it was considered as a risk cause. She confirmed that a new risk 'we fail to have the appropriate measures in place to protect against cyber security attacks' was added to the register. The risk register was attached at Appendix 1 to the report.</p>
5.3	Lynn Murray advised Members of an error in the presentation of the corporate financial position at page 7 of the assurance report. The projected underspend was stated in the narrative as £2,308k which is correct. The table below the narrative omitted to include the sum of £55k savings on travel and subsistence as we are not working in the office and therefore displayed an underspend of £2,253k which is incorrect.
5.4	Laura Shepherd confirmed that there were no other significant changes to highlight from the report.
5.5	the Committee
	1. endorsed the direction of travel for the strategic measures
	2. approved the risk register position.
<b>6.</b>	<b>Audit Reports</b>
6.1	Anne Garness presented report 12/2022 which introduced reports prepared by internal auditors Henderson Loggie for the period ending 30 April 2022 as well as the internal and external audit tracker information at Appendix 5 to the report.
6.1.1	Internal Audit Annual report 2021/22
	David Archibald advised, in terms of the audits carried out, that the SSSC was in a good position overall and compared to other organisations. The report summarised the work carried out and findings of the internal auditors over the year. He congratulated management and officers on ensuring that work was up to a good

	<p>audit standard. Alan Baird echoed the thanks on behalf of the Committee Members.</p> <p>In answer to a question, Lynn Murray advised that the recommended actions in relation to the audit on HR data and performance management was in progress. We will improve processes to follow sickness absence policy, train managers how to follow them and enhance the applications in the MyView system to assist in managing sickness absences.</p>
6.1.2	Internal Audit report – Budgetary Control
	David Archibald commented on a positive audit. There were no recommended actions, and he was particularly pleased with the management and reporting skills identified during the audit.
6.1.3	Internal Audit report – Data protection
	<p>David Archibald presented a positive report on the audit of data protection arrangements, which are working effectively for the organisation. He advised that there were no formal recommendations but there were two actions which would enhance current arrangements. These were setting up a log of historical privacy notices and setting up a process for deletion of HR documents which were past retention dates.</p> <p>Anne Garness confirmed that dates had been agreed for these recommendations. Any deletion would need to comply with our retention schedule which we are currently reviewing.</p>
6.1.4	Members congratulated officers on the positive reports and suggested that staff be made aware of the positive audit reports which had been received over the year. Lorraine Gray agreed that she would cover this in her upcoming broadcast and that the communications team would also be asked to ensure that the positive message was put out to all staff.
6.1.5	Internal Audit follow-up reviews
	David Archibald advised that there was only one outstanding recommended action and that this was a very positive position for the organisation. He emphasised that it was unusually good for a public body to be in this position. Members noted that the outstanding action was being progressed and a revised completion date was requested.
6.1.6	Internal-external audit action tracker
	Anne Garness presented the extract from the internal-external audit tracker, maintained by the corporate governance team. She drew attention to the revised completion dates for the actions recommended by the external auditor. These were regarding the dilapidation agreement and statement in actuaries report regarding the pension fund. A revised date for the procurement and implementation of a corporate learning management system was requested.

	<p>Lynn Murray updated Members that we have asked the actuaries to take the action identified on the pension fund but will not know whether this has happened until they prepare their report for the year-end financial statements.</p> <p>Committee acknowledged the difficulties in carrying out the audits over the year under the circumstances created by COVID-19 and thanked both internal and external auditors for the work carried out. David Archibald thanked staff for their help and compliance with the audit work.</p>
6.1.7	The Committee
	<ol style="list-style-type: none"> <li>1. endorsed <ul style="list-style-type: none"> <li>Appendix 1 - the 2021/22 Internal Audit Annual Report</li> <li>Appendix 2 - the Budgetary Control report</li> <li>Appendix 3 - the Data Protection report</li> <li>Appendix 4 - the Internal Audit Follow-up Reviews report</li> </ul> </li> <li>2. noted Appendix 5 - the internal and external audit tracker and endorsed the revised due dates.</li> </ol>
<b>7.</b>	<b>Fraud, Bribery and Corruption Assurance report</b>
7.1	Lynn Murray presented report 13/2022, the Fraud, Bribery and Corruption Assurance report which provided a summary of counter fraud, bribery and corruption work carried out.
7.2	Lynn Murray also advised that the Counter Fraud, Bribery and Corruption Framework had been reviewed and brought into SSSC language and style. There were no material changes necessary to the wording of the framework.
7.3	Lynn Murray then directed Members to Appendix 2 to the report which gave detail of some recent cases of fraud in the public sector that Audit Scotland had identified. There was some discussion about how this type of information should be shared with employees.
7.4	The Committee
	<ol style="list-style-type: none"> <li>1. noted there were no incidences of fraud, bribery or corruption detected in the SSSC in the 2021/22 financial year</li> <li>2. noted progress on counter fraud work and that officers have carried out the review of the Counter Fraud, Bribery and Corruption Framework and that no material changes were necessary.</li> </ol>
<b>8.</b>	<b>Draft Annual Governance Statement</b>
8.1	Anne Garness presented report 14/2022, which contained the Annual Governance Statement, to be included within the Annual Report and Accounts along with the signed Certificates of Assurance from each of the directors.

8.2	The Committee:
	1. approved the draft annual governance statement.
<b>9.</b>	<b>Draft Annual Audit and Assurance Committee report to Council</b>
9.1	Alan Baird presented report 15/2022, the Annual Report of the Audit and Assurance Committee to Council.
9.2	The Committee:
	1. approved the annual report of the Committee for submission to Council
	2. noted that the content of the report informed the preparation of the annual governance statement in the annual report and accounts for 2021/22.
<b>10.</b>	<b>Assurance Map</b>
10.1	Anne Garness presented report 16/2022 with the completed assurance map appended. Members noted that of 14 issues listed, 11 were rated as green or high, meaning that the level of controls in place were assessed as adequate/effective in proportion to the risks. Three issues were rated medium or amber, meaning there are some areas of concern over the adequacy/effectiveness of the controls in place in proportion to the risks.
10.2	Russell Pettigrew advised that in relation to the issue of fraud and fraud prevention, he and Lynn Murray were carrying out a live broadcast to all staff on 4 May.
10.3	Anne Garness advised that further procurement training will be rolled out to relevant staff. She also advised that there were no particular issues with health and safety in the organisation, but that there was a gap in that no report was made direct to Council. It was noted, however, that this is an area included in the Directors' Certificates of Assurance. It was agreed that an annual report on Health and Safety will in future be submitted to Council, the schedule for this to be decided.
10.4	The Committee:
	1. approved the assurance map
	2. endorsed the next steps.
<b>11.</b>	<b>Horizon Scanning</b>
11.1	There were no matters brought to Members' attention.

<b>12.</b>	<b>Audit and Assurance Committee Action Record</b>
12.1	The Committee reviewed the Audit and Assurance Committee action record, noted that all actions had been completed and agreed that actions A66, A80, A81, A82, A83, A84 and A85 be deleted from the quarterly report and saved in archive for future reporting.
<b>13.</b>	<b>Date of next meeting – 02 August 2022 at 10.00 am</b>
13.1	The next meeting of the Audit and Assurance Committee will be held at 10am on Tuesday 2 August 2022.
<b>14.</b>	<b>Minutes of private session of 3 February 2022</b>
14.1	The minutes of the private session of the Audit and Assurance Committee meeting of 3 February 2022 were agreed as an accurate record, subject to a correction to show that Lorraine Gray submitted apologies and was not in attendance.

Committee started: 10:00 am  
Committee finished: 10:45 am

Signed \_\_\_\_\_  
Alan Baird  
Chair of the Audit Committee

Date\_\_\_\_\_



<b>Title of report</b>	Annual Audit and Assurance Committee report to Council
<b>Public/Confidential</b>	Public
<b>Summary/purpose of report</b>	This report provides a summary of the work of the Audit and Assurance Committee during the year 2021/22.
<b>Recommendations</b>	<p>The Council is asked to</p> <ol style="list-style-type: none"> <li>1. approve the annual report of the Audit and Assurance Committee</li> <li>2. note that the content of the annual report informed the preparation of the draft annual governance statement.</li> </ol>
<b>Author and Responsible Officer</b>	Alan Baird, Audit and Assurance Committee Chair
<b>Link to Strategic Plan</b>	<p>The information in this report is about our internal governance arrangements and therefore links to all strategic outcomes:</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 policy makers 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 Risk Register</b>	Risk 3: We fail to meet corporate governance, external scrutiny and legal obligations.

<b>Impact assessments</b>	<ol style="list-style-type: none"> <li>1. An Equalities Impact Assessment (EIA) was not required.</li> <li>2. A Data Protection Impact Assessment (DPIA) was not required.</li> <li>3. A Sustainability Impact Assessment (SIA) was not required.</li> </ol>
<b>Documents attached</b>	None

## EXECUTIVE SUMMARY

1. The Audit and Assurance Committee Annual Report to Council summarises the work of the Committee over the 2021/22 financial year. The content of this report informed the Annual Governance Statement.
2. The Committee met on five occasions. All meetings were quorate.

## REMIT OF THE AUDIT AND ASSURANCE COMMITTEE

3. The remit of the Audit and Assurance Committee is to
  - review the strategic KPI performance section of the assurance report
  - review financial monitoring section of the assurance report
  - review the Strategic Risk Register/Management Plan report
  - ensure that the audit requirements of SPFM (Scottish Public Finance Manual) are being implemented
  - scrutinise accounting policies, accounts and annual report of the organisation with recommendations for the Council before submission to Parliament.
4. The function of the Audit and Assurance Committee is to advise the Council and the Accountable officer on strategic processes for risk, internal control environment, governance and the governance statement, counter fraud policies, whistleblowing processes, arrangements for special investigations, adequacy of management response to operational and financial performance, financial probity and stewardship, management of risk (financial and strategic objectives) and audit findings, effectiveness of audit functions.

## SUMMARY OF AUDIT AND ASSURANCE COMMITTEE WORK

5. Henderson Loggie were the internal auditors for 2021/22 and used a system for categorising assurance levels of an area audited where each control objective is assessed and graded using colour coding as follows:

Assessment	Colour	Definition
<b>Good (Grey)</b>		System meets control objectives.
<b>Satisfactory (Green)</b>		System meets control objectives with some weaknesses present.
<b>Requires improvement (Yellow)</b>		System has weaknesses that could prevent it achieving control objectives.
<b>Unacceptable (Red)</b>		System cannot meet control objectives.

6. The Committee considered the following internal audit reports.

Internal audit plan year	Report title	Committee date	Control objective assurance level	Management action – priority rating
2021/22	ICT systems access	4 May 2021	Good	No actions
2021/22	Regulation modelling	4 May 2021	Satisfactory	4 x priority 3
2021/22	Performance reporting/KPIs	2 November 2021	Good	No actions
2021/22	Shared services review	2 November 2021	Good	No actions
2021/22	Workforce development and planning	3 February 2022	Good	No actions
2021/22	HR data and performance management	3 February 2022	Satisfactory	4 x priority 3 1 x priority 2

### **Consideration of the 2020/21 draft annual report and accounts**

7. In May 2021 the Committee considered the annual governance statement for inclusion in the annual report and accounts.
8. The Committee held a meeting in September to consider and make comment on the draft annual report and accounts. All Council Members were invited to this meeting to provide an opportunity for comment. The auditors attended to assist with any queries. The Committee recommended approval of the annual report and accounts to Council.
9. The Committee held private meetings with the external auditors and internal auditors in September and November 2021, respectively.

### **Review of Audit plans**

10. In February 2021 the Committee commented on the draft internal audit plan for 2021/22. The Committee approved the plan at its meeting on 4 May 2021 and noted that there would be six audits carried out throughout the year. The Committee also approved the external audit plan for 2020/21, from Grant Thornton, at the same meeting.
11. The internal audit process follows a five-year cycle and a three-year plan. The timetabling of audits is matched to the priorities for the year. The auditor and the director for each directorate being audited agreed the schedule of the fieldwork portion of each audit in advance.

## **Implementation of audit recommendations**

12. The Head of Legal and Corporate Governance reports quarterly on the progress made with both internal and external audit recommendations. External audits were included in the tracker after the meeting in November 2021. Of nine recommendations from internal audits reported in 2021/22, six actions are completed, with formal reporting starting in May 2022. One further action will be completed in May 2022 and the other two are in progress. The Committee received an update, in February 2022, indicating that work was progressing to complete the actions from the audit on Workforce Planning – Mandatory Training. The external audit resulted in two recommendations both of which are progressing.
13. Directors record their evidence of completion of the recommendations in the tracker. The internal auditor accesses this tracker in order to gather information and evidence for their annual follow-up report.

## **Other work**

12. Assurance  
The Committee considered a monthly assurance report at each of its quarterly meetings. The report contained the information and data for the previous month, the summary risk register and revised risk scores. Committee had the opportunity to comment upon any changes to these or to recommend any actions to Council. The information in the assurance report was reviewed in February 2022 and a revised version of the Executive Summary was agreed.  
The auditor and officers started work on assurance mapping and the Committee approved a draft assurance map template in February 2022.
13. Audit Committee quarterly report  
The Chair submits a quarterly report from the Audit Committee to the following meeting of the Council. The report makes recommendations to Council on matters for approval and on any particular decisions or highlights from the Committee meeting. The Committee will make assurances to Council on matters it has considered.
14. COVID-19  
The Committee continued to meet to consider business via teams meetings throughout 2021/22. The Committee received a report on the impact of COVID-19 in May 2021 and a number of discussion groups were put in place to take forward planning for changes to future working in the sector.
15. Strategic Risk Register and Financial governance  
The Committee reviewed the risk register and the revised scores, as recommended by the Executive Management Team, at each quarterly meeting and agreed the revised register and risk appetite statement for the 2022/23 at its meeting in February 2022.  
The Committee approved the revised Financial Regulations and the revised Debt Management Policy in February 2022.

16. Horizon scanning/Audit Scotland publications  
At each meeting, the Committee was advised of matters relevant to the work of the SSSC which were on the horizon, including publications by Audit Scotland, which were shared with Members through the Members team. These included:

Scottish Government's Cyber Resilience Framework  
Audit Scotland - Equalities Outcomes report  
Audit Scotland – fraud and irregularity  
Audit Scotland – planning for skills.

The other major matter highlighted in 2021/22 was the review of the National Care Service.

17. Fraud and Corruption  
The Committee considered quarterly reports on Fraud and Corruption assurance. No instances of fraud or corruption were detected in the year 2021/22. The SSSC entered into a contract for services with the NHS Counter Fraud Service and appointed Russell Pettigrew to the position of Counter Fraud Champion and Lynn Murray as the Fraud Liaison Officer. The Committee approved the draft Counter Fraud, Bribery and Corruption framework in May 2021.
18. Meetings with Chair and Chief Executive  
The Chair and Vice Chair have regular, mostly monthly, meetings with the Chief Executive and the Head of Legal and Corporate Governance to review the business of the committee from the past meeting and for the following meeting. They also review the yearly planner for future committee business. The Interim Director of Finance and Resources also now attends these meetings. Eight meetings were held during 2021/22.

## **FRAUD**

19. As noted above, the Committee received assurances that no instances of fraud were reported during the 2021/22 financial year.

## **QUALITY OF INTERNAL AUDIT**

20. The Committee is content with the work of the internal auditors. The Committee's view is that the standard of the internal audit work and the reports produced for 2021/22 were good. The Committee noted the positive relationship between the auditors, management team and other officers involved in the internal audit processes. The Committee is satisfied that the processes and liaison service put in place ensure that recommended actions are progressed and reported back to Committee.

## **QUALITY OF EXTERNAL AUDIT**

21. The SSSCs external auditors are Grant Thornton, this is their final year as auditors and the Auditor General for Scotland will appoint external auditors for future years.
22. During their 2020/21 external audit, Grant Thornton provided an audit plan, attended Audit and Assurance Committee meetings and provided a report on their work. The Committee held a private meeting with the external auditors in September 2021.

## **GOVERNANCE STATEMENT**

23. The Committee noted that this report will inform the preparation of the annual governance statement.

## **ASSURANCE OPINION**

24. The Committee held a private meeting with external auditors in September 2021 and internal auditors in November 2021. No concerns were raised at these meetings about management's interactions with auditors or the internal control environment. The auditors were made aware that they should contact the Chair of the Committee at any time if they feel there are issues that need to come to the attention of the Committee. No such contact has been made.
25. The Committee is of the opinion that the assurances supplied throughout the year are reliable, have integrity and are sufficiently comprehensive to support the Council and the Accountable Officer in their decision making and their accountability obligations. Further, the Committee is satisfied that there are sufficient mechanisms in place to allow the Committee to discharge its functions.

## **RISKS**

26. We have an averse risk appetite towards governance matters. There are no risks arising from the recommendations in this report.

## **IMPLICATIONS**

### **Resourcing**

27. There are no financial, staffing or sustainability implications arising from this report.

### **Compliance**

28. This report complies with legal and governance requirements.

## **IMPACT ASSESSMENTS**

29. An Equalities Impact Assessment (EIA) is not necessary as this report relates to internal governance arrangements and does not have an impact on people with protected characteristics.

## **CONCLUSION**

30. This report summarises the work of the Audit and Assurance Committee over the financial year 2021/22 and is submitted to the Council for approval as part of the process for the annual report and accounts.



<b>Title of report</b>	Complaints performance update for 01 April 2021 to 31 March 2022
<b>Public/Confidential</b>	Public
<b>Summary/purpose of report</b>	The Council is asked to: 1. note our performance in responding to complaints in 2021/22 2. approve the annual complaints performance report to be published on our website.
<b>Recommendations</b>	For information and decision
<b>Author</b>	Graeme Henderson, Change and Improvement Co-ordinator
<b>Responsible Officer</b>	Laura Shepherd, Director, Strategy and Performance
<b>Link to Strategic Plan</b>	The information in this report links to:  Outcome 1: People who use services are protected by ensuring the regulated workforce is fit to practise.  Outcome 2: The SSSC supports and enhances the development of the registered workforce to deliver high standards of practice and drive improvement.  Outcome 3: Our workforce planning activities support employers, commissioners and policy makers to deliver a sustainable, integrated and innovative workforce.  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.
<b>Link to Risk Register</b>	Risk 3: We fail to meet corporate governance, external scrutiny and legal obligations.
<b>Impact assessments</b>	1. An Equalities Impact Assessment (EIA) was not required.

	<p>2. A Data Protection Impact Assessment (DPIA) was not required.</p> <p>3. A Sustainability Impact Assessment (SIA) was not required.</p>
<b>Documents attached</b>	Appendix 1: Complaints performance – 01 April 2021 to 31 March 2022
<b>Background papers</b>	None

## **EXECUTIVE SUMMARY**

1. We follow the model complaints handling procedure (CHP) as defined by the Scottish Public Sector Ombudsman (SPSO).
2. This report forms part of our wider reporting commitment which includes quarterly online reporting.
3. The SPSO's revised model for complaints handling was adopted in April 2021. In practice there are few material changes to the model and our reporting commitment remains the same as at present.
4. This annual report summarises our performance in 2021-22 in responding to complaints at each stage of the procedure.

## **PERFORMANCE HIGHLIGHTS**

5. Areas of performance of note this year include the following.
  - We responded to 98% of stage one complaints within five working days.
  - We responded to 76% of stage two complaints within twenty working days. Those not completed on time had extensions agreed with the complainant.
  - We have improved our average time to respond to a stage one complaint from three working days in 2020/21 to two working days in 2021/22.
  - We have also improved our average time to respond to a stage two complaint from 40 to 22 working days. One stage two complaint received in 2021/22 took 71 days to respond to due to the complexity of the case. Excluding this complaint the average time would have been 19 working days.
  - The number of stage one complaints upheld, not upheld and partially upheld has been in line with the previous year's performance, however the percentage has notably dropped due to the new 'resolved' outcome being introduced, which is what the majority of stage one complaints now have as an outcome.
  - Of the stage one complaints closed, most (225 complaints) were about one of our processes.

## **CONSULTATION**

6. We discuss and consult on complaint outcomes and improvement actions with Operational Management Team members as part of our continuous improvement approach.

## **RISKS**

7. No specific risks were identified.
8. We have an averse risk appetite towards governance matters. We are required to publicly report on our complaints handling performance. Failure to produce this report and publicise it to members of the public, including our stakeholders, may put the SSSC at risk of breaching SPSO guidance.
9. Additionally, failure to report may have a negative impact on the SSSC's reputation as a public body.

## **IMPLICATIONS**

### **Resourcing**

10. There are no resourcing implications identified.

### **Compliance**

11. This report forms part of our responsibilities in complying with the SPSO's model.

## **IMPACT ASSESSMENTS**

### **Equalities**

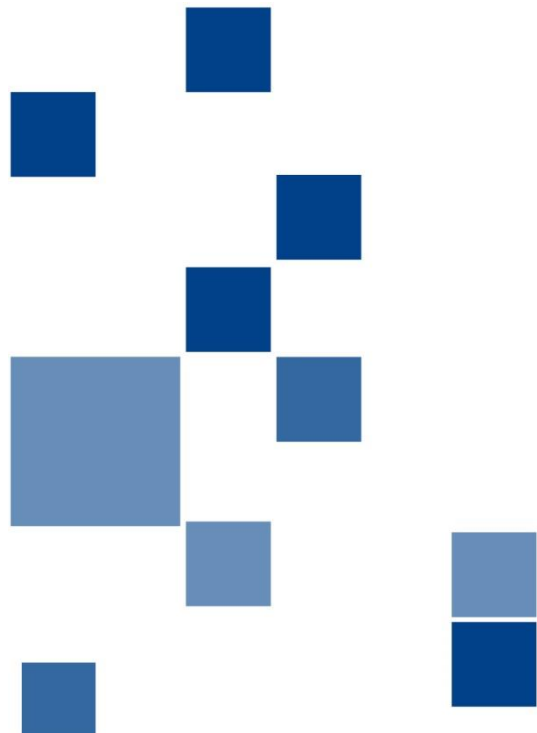
12. Equalities Impact Assessment is not required because there are no changes that propose a course of action that will have an impact on people with protected characteristics.

## **CONCLUSION**

13. Council is asked to note our performance against performance indicators and approve publication of report on our website.

# **Complaints Performance 1 April 2021 – 31 March 2022**

April 2022



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## 1. Introduction

- 1.1 We follow the model complaints handling procedure (CHP) developed by the Scottish Public Services Ombudsman (SPSO). If complainants remain unsatisfied with our response once they have gone through our process, they can complain to the SPSO. The SPSO will then decide whether to open an investigation or not.
- 1.2 Our complaints performance is in line with expectations and previous performance. We use complaints data and outcomes of complaints as part of our continuous improvement approach.
- 1.3 Our complaints handling procedure is on our [website](#).
- 1.4 We publish a quarterly summary of performance on the complaints we receive, the actions we take and areas for improvement we have identified. We also report on our performance in responding to complaints in terms of timescales and process.
- 1.5 This report covers the period 1 April 2021 to 31 March 2022. Some totals do not equal 100% due to rounding.

## 2. Performance summary

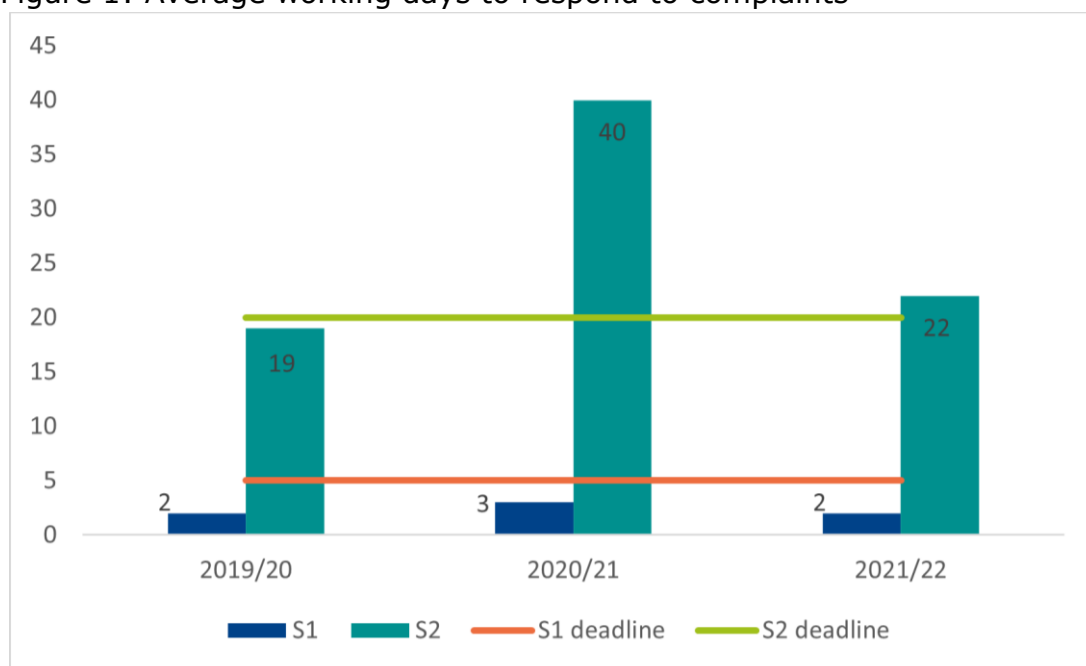
No.	Indicator	Performance April 2020 – March 2021	Performance April 2021 – March 2022	Comments on current performance
1.	Complaints received per 1,000 registered workers	0.6	2.4	On 28 March 2022 there were 163,750 individuals on the Register. We received 399 complaints in 2021/22.
2.	Percentage of complaints closed at stage one (S1)	91%	96%	We responded to 401 complaints, we closed 384 of these at stage one. We received some of these complaints before April 2021.
3.	Percentage of complaints closed at stage two (S2)	9%	4%	We closed 17 complaints at stage two. This includes 10 complaints which we escalated from stage one to stage two.
4.	Average working days to respond at stage one	3	2	Our agreed timescale to respond to a stage one complaint is five working days.

5.	Average working days to respond at stage two	40	22	Our agreed timescale to respond to a stage two complaint is 20 working days.
6.	Stage one complaints closed within five working days	94%	98%	We closed 378 stage one complaints within five working days.
7.	Stage two complaints closed within twenty working days	89%	76%	We closed 13 of the 17 stage two complaints within 20 working days.
8.	Stage one complaints with an extension	2%	1%	We extended the deadline in two stage one complaints.
9.	Stage two complaints with an extension	0%	18%	We extended the deadline in three stage two complaints.
10.	Proportion of complaints where complainant was satisfied	95%	98%	Due to reporting methods, this figure is indicative only. See para 2.6 for detail.
11.	Stage one complaints upheld	14%	5%	We upheld 18 stage one complaints.
12.	Stage one complaints not upheld	69%	25%	96 stage one complaints were not upheld.
13.	Stage one complaints partially upheld	17%	4%	17 stage one complaints were partially upheld.
14.	Stage one complaints resolved	N/A	66%	'Resolved' is an outcome introduced on 1 April 2021. We resolved 253 stage one complaints.
15.	Stage two complaints upheld	22%	18%	We upheld 3 stage two complaints.
16.	Stage two complaints not upheld	67%	76%	13 stage two complaints were not upheld.
17.	Stage two complaints partially upheld	11%	6%	1 stage two complaint was partially upheld.

2.1 Our agreed timescales are to respond to stage one complaints within five working days and stage two complaints within 20 working days. The following set of charts presents key information relating to our ability to respond within these timescales.

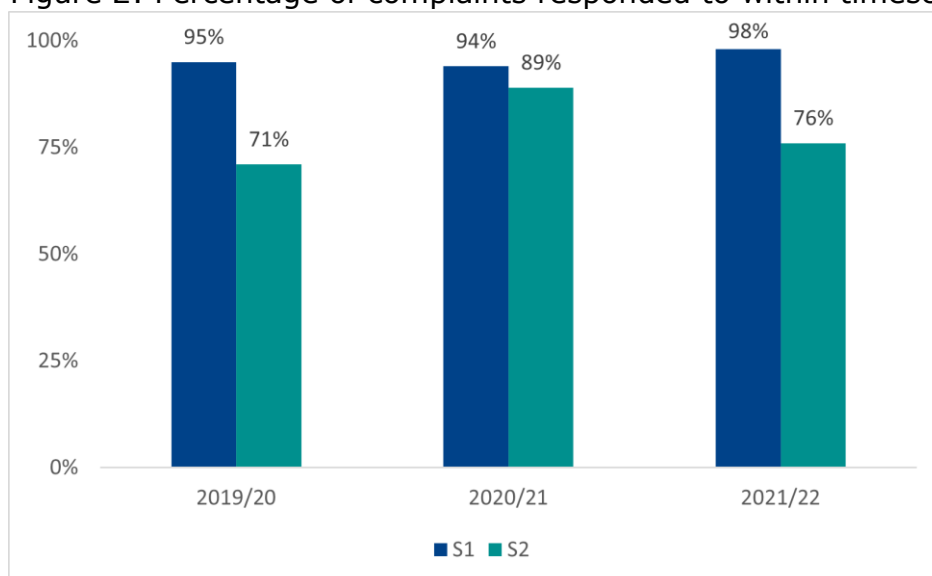


Figure 1: Average working days to respond to complaints



- 2.2 We have improved our average time to respond to a stage one complaint from three working days in 2020/21 to two working days in 2021/22.
- 2.3 The number of stage one complaints upheld, not upheld and partially upheld is in line with the previous year's performance. The percentage has dropped due to the new 'resolved' outcome being introduced, which is what the majority of stage one complaints now have as an outcome.
- 2.4 We have also improved our average time to respond to a stage two complaint from 40 to 22 working days. One stage two complaint received in 2021/22 took 71 days to respond to due to the complexity of the case. Excluding this complaint, the average time would have been 19 working days.

Figure 2: Percentage of complaints responded to within timescale



- 2.5 We responded to 98% of all stage one complaints within the agreed timescales, a 4% increase from the previous period. Our ability to respond to stage two complaints within the allocated timescale decreased from 89% in 2020/21 to 76% in 2021/22.
- 2.6 We do not currently ask complainants how satisfied they are with the outcome or handling of their complaint. Recent changes to the way we record complaints at each stage of the procedure will allow us to more accurately define whether a customer was satisfied or not in future.

### 3. What are complaints about?

- 3.1 We received 399 complaints between 1 April 2021 and 31 March 2022.
- 96% (384) received at stage one of the CHP.
  - 2% (6) received directly at stage two.
  - 2% (10) were stage two complaints escalated from a previous stage one complaint.
- 3.2 Of the stage one complaints closed, most (225 complaints) were about one of our processes. The most frequent topics were:
- 54 about the fees process (for example, requesting a refund)
  - 32 about our removal process
  - 26 about qualification requirements.

We would expect a comparatively high number of complaints about processes because these relate to areas of high-volume and high-impact work where we are in most contact with workers and stakeholders.

3.3 We can categorise the other complaints as follows:

- 92 about MySSSC (for example, the service not working as expected)
- 41 about communications (for example, the tone of these or the methods we used)
- 16 about customer service (for example, poor customer service or inaccurate information provided)
- nine about our website
- two about events.

3.4 Of the stage two complaints closed, these are categorised as:

- 14 about processes
- two about customer service
- one about communications.

#### 4. What have we learned and what are we doing?

4.1 We always apologise when we get things wrong. Whether we uphold a complaint or not, we always look for ways to make improvements to our service and products.

#### 4.2 Case studies

What happened	How we resolved things
We removed a worker for non-payment of fees, despite getting confirmation their payment had gone through online.	Partially upheld. The worker did not pay the full amount due and we removed them. We explained this and advised we would reinstate their registration if they paid the outstanding balance. We will review our system to highlight cases such as this so we could contact workers before removal.
An applicant was unhappy with paying more for their application fee than someone else in the same role as them.	Resolved. We explained we charged the applicant a higher amount because their counter signatory indicated on their application a PVG check had not been carried out when it had. We confirmed we had all the relevant information and arranged a refund of the overpaid balance.
A worker was unhappy that they continued to receive payment reminders despite having paid their fee over the phone with us.	Upheld. We confirmed that the payment was made and explained due to a system error, the worker's payment information had not been updated and automatic reminders were sent. We apologised for this.

<p>We provided a worker with inaccurate information on two occasions regarding applying for registration.</p>	<p>Upheld. We identified that we had provided the wrong information which was a training issue in the department and apologised for this. We confirmed guidance has been issued to staff and that we will provide further training.</p>
<p>A worker was unhappy with the length of time their investigation was taking.</p>	<p>Upheld at stage two. We apologised and confirmed we could have reached an outcome by the point of the complaint and that we did not update the worker when we said we would. We confirmed we would reach an outcome within the next four weeks and this was done.</p>

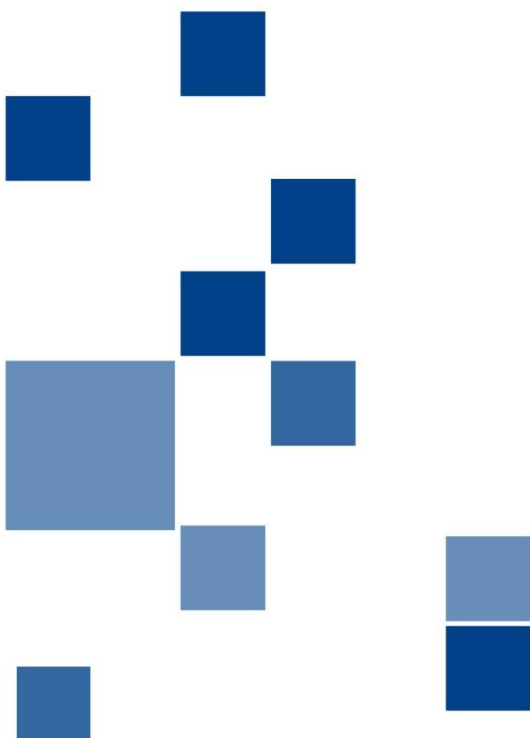
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If you would like this document in a different format, for example, in larger print or audio -format, or in another language please contact the SSSC on 0345 60 30 891.

We promote equality by removing unlawful and unfair treatment on the grounds of any protected characteristic wherever possible.

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<b>Title of report</b>	People Management Policies
<b>Public/Confidential</b>	Public
<b>Summary/purpose of report</b>	To ask Council to approve the Agile Working Policy and endorse changes to policies approved by the Executive Management Team (EMT).
<b>Recommendations</b>	<p>The Council is asked to:</p> <ol style="list-style-type: none"> <li>1. approve the Agile Working Policy</li> <li>2. endorse changes to policies which EMT has approved</li> <li>3. agree that Council no longer endorses EMT approved policies.</li> </ol>
<b>Author</b>	Lucy Finn, Head of Human Resources
<b>Responsible Officer</b>	Lynn Murray, Interim Director, Finance and Resources
<b>Link 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 policy makers 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 Risk Register</b>	<p>Risk 3: We fail to meet corporate governance, external scrutiny and legal obligations.</p> <p>Risk 5: We fail to develop and support SSSC staff appropriately to ensure we have a motivated and skilled workforce to achieve our strategic outcomes.</p>
<b>Impact assessments</b>	<ol style="list-style-type: none"> <li>1. An Equalities Impact Assessment (EIA) was developed.</li> <li>2. A Data Protection Impact Assessment (DPIA) was not required.</li> <li>3. A Sustainability Impact Assessment (SIA) was not required.</li> </ol>
<b>Documents attached</b>	Appendix 1 Agile Working Policy
<b>Background papers</b>	<a href="#">Link to Minute of Council meeting of 14 May 2020</a> - see paragraph 13.4

## **EXECUTIVE SUMMARY**

1. We ask Council to approve the Agile Working Policy, to endorse changes to policies approved by the EMT since November and agree that we do not continue to ask Council to endorse EMT approved policies (agreed at Council meeting on 14 May 2020). These policies support the SSSC in managing employment relationships fairly, without unreasonable delay and in line with employment law and best practice.
2. We are committed to supporting work life balance and to equal opportunities for all our employees. Throughout the pandemic most of our staff have worked from home. This enabled our staff and operation teams to continue to deliver throughout the pandemic.
3. We introduced interim measures to govern the working arrangements of staff during the pandemic. We have created this policy to set out the key principles and working practices for managers and staff of how we will work in the medium to long term.
4. We propose that we adopt agile working practices as our normal working practice. This will assist with meeting our operational requirements, improve work-life balance, support our equality duties and help us to remain attractive as an employer.

## **OVERVIEW OF AGILE WORKING POLICY**

5. We have not previously adopted an agile working approach and this is our first Agile Working Policy.
6. This policy identifies the practical arrangements for managers and staff to consider when they work in an agile manner eg confidentiality, resources, health and safety. This policy identifies our commitment to finding a workable solution for employees to maximise the benefits for everyone.
7. This policy is different from our Flexible Working Policy. The Agile Working Policy does not vary contractual terms and applies to all our employees. The Flexible Working Policy has provisions for employees to request to vary their times, hours and location of work as a contractual change.

## **POLICY REVIEW**

8. Council recently endorsed the Recruitment and Selection Policy and Procedure. We have since incorporated the Acting Up guidance for staff who are acting up to an alternative role. We ask Council to endorse this change.



9. We have modified our Special Leave Policy to include additional paid time off for public duties. This is in line with Scottish Government provisions and better reflects our obligations as a public sector employer to contribute towards our staff performing public duties. We ask Council to endorse this change.
10. We also ask Council to agree that we no longer ask for endorsement of people management policies that EMT has approved as no other EMT approved policies are endorsed by Council.

## **CONSULTATION**

11. We have externally benchmarked with other public bodies and non-departmental public bodies for the Agile Working Policy and other policies.
12. We have conducted internal consultation with the Operational Management Team, EMT, Unison and the Infrastructure Group. We have maintained a consultation log of comments, suggestions and changes.
13. These policies are compliant with ACAS guidance.

## **RISKS**

14. We have an averse appetite for risk 3: We fail to meet corporate governance, external scrutiny and legal obligations. We have an averse appetite for risk 5: We fail to develop and support SSSC staff appropriately to ensure we have a motivated and skilled workforce to achieve our strategic outcomes.
15. By following the Agile Working Policy we minimise risks associated with working in an agile manner. The policy provides clear guidance on the considerations and practices for managers and staff to follow.
16. By adopting agile working practices we improve our ability to recruit and retain employees and reduce the risk of being unable to meet our resource requirements.
17. Agile working practices reduce the work-life balance strains that can occur. By adopting agile working, we expect to reduce the health and wellbeing risks our employees face.
18. There are legal, financial and reputational risks to the SSSC if we do not operate processes appropriately. These policies mitigate these risks by establishing clear principles, processes and guidance to manage these situations.

## **IMPLICATIONS**

### **Resourcing**

19. The Agile Working Policy is appropriately detailed with information for managers and staff to administer. We will provide advice and guidance using existing resources.
20. We may incur additional costs associated with providing equipment to individual staff working at home which we would otherwise have made available for communal use in the office.
21. We will update and amend training to recognise agile working as the default rather than the exception.
22. The reduction in the requirement for office space is likely to lead to a financial saving – we have yet to quantify this.
23. We may incur additional costs or see a reduction in productivity where staff take time off to perform public duties. We expect to have sufficient resource to redistribute work or costs within existing resource.

### **Compliance**

24. We must consider the employment, health and safety, data protection and legal implications when supporting agile working, which are included in the policy. The policy does not amend the terms and conditions of employees.
25. These policies comply with our legal obligations.

## **IMPACT ASSESSMENTS**

### **Equalities**

26. We have developed EQIAs for these policies. We did not identify any major implications after carrying out the assessments.
27. The Agile Working Policy does not include any direct discrimination and is accessible to all employees. The assessment identifies improvements to meeting our Public Sector Equality Duties.
28. We have assessed that employees with limited work experience, most likely young workers, may not develop as quickly due to having less exposure to colleagues. We will mitigate this through managers discussing employee development through their development discussions. Human Resources will also provide advice.

## **CONCLUSION**

29. The Agile Working Policy will help us to improve our guidance for employees working in an agile manner. It will support meeting our public sector equality duties and will further aid our healthy working lives initiatives to support staff wellbeing and we will be better able to recruit and retain our staff. There are significant benefits to our adopting this policy and the negative implications of adopting this policy are limited.
30. We recommend that Council approves the Agile Working Policy, endorses the changes to the Recruitment and Selection Policy and Special Leave Policy and agrees that we will no longer ask Council to endorse EMT approved policies.

# **Agile Working Policy**

May 2022

**Document governance and management**

Document owner/author/lead	Interim Director of Finance and Resources
Version number	1.0
Current version referred for approval to	Council
Date of next review	May 2025
Date of equality impact assessment (mandatory)	April 2022
Date of protection impact assessment (if required)	Not required.
Date of sustainable impact assessment (if required)	Not required.

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# 1. Introduction

## Purpose

We are adopting agile working as we recognise the benefits for you to work in this way. We are considering this in the context of meeting business needs.

We have developed modern ways of working that help you to do your job, while at the same time allowing you to balance work and life demands. We know that work performance is better where you have flexibility in your working arrangements and we want to help with this.

Agile working arrangements (also known as hybrid working, remote working, blended working or split-working arrangements or patterns) allow you to arrange your work time and work location in the most appropriate way for a given activity. This includes working in an office, at home or at another remote location.

This policy sets out SSSC principles and practical guidance for agile working. We know that agile working may not be for everyone but we are committed to making sure that we find a workable solution as often as possible to maximise the benefits for everyone.

## Scope

This policy applies to all permanent and temporary employees. This policy does not apply to social service employers, workers, contractors or social work students.

## Legislation

This policy has also considered the following legislation:

- Data Protection Act 2018
- Employment Rights Act 1996
- Equality Act 2010
- Health and Safety at Work etc. Act 1974
- UK General Data Protection Regulation
- Working Time Regulations 1998

## Data protection

We will process any personal data collected in relation to this policy keeping to our Data Protection Policy and will record only the personal information required and keep the information only for as long as necessary.

## Monitor and review

Human Resources and the Partnership Forum are responsible for monitoring this policy to make sure that we are fairly and consistently applying it and that we meet the stated principles and values. We will review this policy every three years (or earlier if legislation changes) and make appropriate amendments in consultation with the Partnership Forum. We will outline minor amendments in the change log and update the version control. Where there are major changes, we will consult more widely and follow the consultation cycle –

Equality Impact Assessment, Operational Management Team, Partnership Forum, Executive Management Team and Council.

## 2. Principles

### Guiding Principles

The following principles apply to this policy.

- Our highest priority is to satisfy our customers by providing a public service. We will use agile working to improve on our high standards.
- We will trust our employees to act responsibly and to support each other as we adopt agile working as our operating model.
- We will operate with maximum flexibility and minimum constraints to maximise the benefits of agile working for our customers, our staff and ourselves.
- We recognise outcomes and performance are important to our customers and will focus on these in adopting agile working.
- We will embed a culture and working practices that encourage employees to use the new flexibility to have their best day at work every day wherever they are.
- Our leadership style, values and skills are explicitly supportive of agile working for all aspects of the business.

## 3. Values

In everything we do, we believe the people of Scotland have the right to be safe when accessing social care services. We do this by listening, learning and doing the right thing.

### Work together

We treat each other with kindness and respect and value the contribution every member of staff makes.

- We will work together to make sure that agile working is successful for you.
- We will recognise that different people have different requirements and preferences and will support you as much as possible to meet them.
- We recognise the value of positive and constructive involvement and participation from the recognised trade union. Our commitment to partnership working is integral to the development and maintenance of harmonious employee relations.

### Accept responsibility and accountability

We recognise the trust placed in us to ensure the safety and wellbeing of people who use social services and that is our guiding mission.

- We will assess the suitability of your work environment and provide you with equipment, resources and working practices to keep you safe.
- We respect confidentiality wherever we work and will only share information with those who should have access to it.



## Recognition and respect for others

We value the social service workforce and the life changing work they do. Our work increases recognition of, and further develops, their role. All our stakeholders contribute to our success and we recognise and respect their views.

- We treat each other with kindness and respect and value the contribution you make.
- We will treat you fairly and consistently under this process and if you require specific support and assistance due to having a protected characteristic under the Equality Act 2010, we will accommodate you appropriately.

## 4. Roles and responsibilities

### 4.1 Council

Council have reserved people management policies which include any of the following:

- associated extra costs that are out with the current budget
- any proposed fundamental change to terms and conditions of employment
- where the Council has a clearly defined role to play.

Council is responsible for:

- approving this policy and procedure
- making sure that the application of this policy does not breach any statutory requirement placed upon the SSSC
- making sure that the Chief Executive and EMT have in place appropriate and up to date policies and procedures for the effective management of employees
- making sure we apply policies and procedures fairly and keeping to the law.

### 4.2 Executive Management Team

The EMT is responsible for:

- overall responsibility for the implementation and review of the policy and creating a culture in which employees can flourish through interesting and rewarding work
- delegating responsibilities related to the policy to the Operational Management Team (OMT) and line managers
- making sure that managers and employees receive appropriate development, support and training to implement the policy appropriately
- making sure that the application of this policy and procedure does not breach any statutory requirement placed upon us.

### 4.3 Operational Management Team

The OMT is responsible for:

- making sure their managers and employees are aware of and understand the processes within this policy and procedure
- embracing and realising the benefits of agile working to achieve business objectives
- making sure that we treat employees consistently and fairly, being mindful of the needs of the organisation as well as that of the employee

- reviewing and updating policies within their own specialist areas to support the implementation of this policy.

## 4.4 Line managers

Line managers are responsible for:

- acting in a fair and consistent way, being open and honest
- dealing with issues kindly, sensitively and showing compassion
- respecting confidentiality and only sharing information, as appropriate, with relevant employees
- considering our responsibilities under the Health and Safety at Work etc. Act 1974 and, where appropriate, putting in place risk assessments, mitigation and other measures to make work a safe activity
- considering our responsibilities under the Equality Act 2010 and, where appropriate, making reasonable adjustments for any employee who may have a disability or other protected characteristic
- considering any health impact and considering supports such as occupational health.

## 4.5 Employees

Employees are responsible for:

- complying with our Code of Conduct for Employees. We expect the highest standards of integrity and conduct from all employees
- working in partnership with their manager to identify how they will carry out their role in a more agile way
- asking questions and raising concerns directly with their team/line manager
- following their duties and obligations to work safely
- taking care to protect IT and data security
- making sure that their working environment allows them to deliver their objectives.

## 4.6 Human resources (HR)

Human resources are responsible for:

- updating this policy and procedure in line with the agreed schedule or as changes occur to comply with employment and other pertinent legislation, best practice and the SSSC People Strategy
- developing this process and procedure collaboratively to meet legal and business requirements
- developing template letters, forms and guidance
- offering advice on how to apply the policy and procedure
- making sure we follow the process in line with the policy and procedure
- reminding employees and managers of their responsibilities under the policy and procedure, if required
- monitoring the use of the policy and processes and reporting any non-compliance to Heads of Department/Directors.

## 5. Policy

Agile working presents many opportunities for you and for SSSC as an employer. We want to realise these benefits as fully as possible and this policy outlines the key provisions to make agile working a success.

Agile working gives you more choice over deciding how, when and where you work best in a way that balances your needs and those of our customers, our staff and ourselves. It's about giving you more choice about how you do the right work, in the right place, at the right time. Where, when and how you choose to work may depend on the task you are doing and the kind of role you have.

We know that agile working is not for everyone. It is our intention to make agile working the default working practice wherever we can. We will provide office accommodation where required.

## 6. Procedure

### 6.1 Working hours and keeping in touch

We want you to balance your home life around the needs of your role. We trust you to manage your own time and make sure you work your contracted hours. There are some important things to know.

- Although agile workers don't necessarily have to work regular office hours, please plan and agree a work programme with your manager to make sure that appropriate contact and appropriate cover is always in place.
- Please make yourself available to others during reasonable working hours when your colleagues need you.
- If you choose to work earlier or later during unsociable hours within the scope of our flexi time scheme, please be courteous and respectful to your colleagues. You should not expect your colleagues to respond during unsociable hours.
- We know that working in this way can help you balance your home and work life. You must not use agile working as a way of masking illness or your need for emergency leave or dependents leave.
- Your manager can still require you by exception and with fair notice to attend an office for certain occasions.

### 6.2 Wellbeing

We know that for many of you, agile working can boost your wellbeing and work life balance. You can help your wellbeing in the following ways:

- You must take regular breaks away from your screen and desk as this is important to help maintain good health.
- One way to help you stay well is through collaboration, connection and having a sense of belonging. We encourage you to think about what this means for you and to actively make time to connect with your colleagues.

- You should consider establishing a consistent routine at the end of your workday as this is a great way to switch off.
- We expect you to take the time off if you are ill. You must not use agile working as a way of working when you are sick.

## 6.3 Equipment

It is important for us to know that wherever you are working from, you have the equipment that is suitable and sufficient for you to do your job well and that you feel safe, well and comfortable. We will provide you with the workstation and IT equipment that you need to do your job. You cannot claim expenses for any equipment that you buy yourself. The Support Desk can support you where you need specialist workstation and IT equipment.

You must read our [IT Security Policy](#) before using IT equipment when you are working out of the office environment.

### Display screen equipment

We issue those who work remotely with display screen equipment (typically a laptop, docking station, two monitors, keyboard and mouse). When you set yourself up to work remotely, you must do the assigned display screen equipment learning. The learning will take you through a workstation self-assessment to help you make sure that your place of work is suitable and sufficient for you.

### Desk and chair

Many of us will spend most of our working day using display screen equipment at a desk and chair. It is important that any desk, chair or similar equipment is suitable and sufficient for its intended purpose. Part of the display screen equipment learning will help you to identify whether your desk and chair are appropriate. Where they are not, we will provide alternatives to you.

You will need to let your manager know if you lose any equipment or if it is damaged or stolen. You might also have to tell our Data Protection Officer where you have lost personal data. Details of how you report a potential data breach are available here: [Data Breach Response Procedure](#)

It is important that you report faults with your equipment to the Support Desk quickly so that they can support you to fix any issues. Details of how you report an issue are available here: [Support Desk](#).

## 6.4 Environment

We have designed our offices as safe, secure and comfortable spaces for you to work in. We have risk assessed them for a range of issues (eg fire safety, water safety, manual handling, lone working etc). We have put in place measures to mitigate these risks in the environments that we can control.

When you work remotely it is important that you make sure that your workspace is similarly suitable and safe. You must always consider whether the lighting, temperature, noise, ventilation, maintenance, cleanliness and available facilities are suitable.

## 6.5 Internet connection

You must have access to a secure and stable internet connection and Wi-Fi. We do not normally provide these to you and cannot provide technical support on equipment that is not ours. You must consider and plan for alternative arrangements if your connection(s) do not work.

## 6.6 Resources

You must discuss any extra equipment, software or services you need to help you do your job with your line manager. More information on how to order equipment and other supplies is available on the intranet. Please discuss any technical or supportive equipment requirements that you have with your line manager before ordering.

## 6.7 Confidentiality

You will have access to confidential information and have discussions about confidential matters. It is important that you are alert to the risks of breaching confidentiality. It is very easy for others to overhear your conversations, see your screen or gain access to information that they should not have access to.

To read more about keeping any SSSC information safe and confidential please read our [Data Protection Policy](#).

## 6.8 Meetings

We will put in place facilities so that we can run all meetings we have in our office using an agile approach. This means those who are not in the office can contribute on the same basis as those who are there.

## 6.9 Reasonable adjustments

If you have a disability and would benefit from any reasonable adjustments whether in the office or in another location, please let us know. You must discuss any adjustments with your line manager in the first instance. They may need to discuss your circumstances with a member of HR or Health and Safety to seek specialist advice. We want to help and support everyone with reasonable adjustments. Where you have a disability, you have a legal right to reasonable adjustments under the Equality Act.

## 6.10 Costs and expenses

Your contractual normal location of work will not change so your entitlement to claim expenses will remain the same. For more information you can read the [Business Travel and Subsistence Policy](#). Any costs (eg refreshments, Wi-Fi, heating, lighting and electricity and commuting costs to and from your designated place of work) are a personal expense in line with HMRC guidelines. Where you meet people (who do not work for the SSSC) in external locations you can provide modest hospitality, you must refer to our guidance on hospitality in our [Financial Regulations](#). Where you are not meeting an external person you are required to pay for your own refreshments.

## 6.11 Mortgage, leases and insurance

We recommend that you check your mortgage, lease or insurance for any provision that would prevent you from working at home. We also advise that you seek confirmation of cover from your home insurer if work equipment causes any damage to your home.

## 6.12 Working outside the UK

We are supportive of colleagues working from outside the UK in emergency or other exceptional situations when it is necessary for specific roles or for short periods of time. Due to the potentially complex legal and tax implications, we are unable to support long term arrangements (ie working outside of the UK for longer than 30 days per year) or requests for permanent relocations outside the UK. Your line manager and the Head of Digital Services must both confirm that they are satisfied that you can work outside of the UK before you perform any work for us.

# 7. Further information

## 7.1 Learning and development

To support the fair and consistent application of this policy, we will identify the opportunities and implications for managers. We will do this by incorporating training on this policy within line management development programmes. We will consider the implications for you and make sure that you receive suitable training. We will also provide refresher training.

## 7.2 Sources of support

Further sources of support include:

- day to day support from line managers
- the employee assistance programme
- help advice and support from recognised trade union representatives
- ACAS
- Health and safety
- Human resources.

## 7.3 Related documents

This policy has strong links to other people management policies and guidance. We have listed these below.

- [Business Travel and Subsistence Policy](#)
- [Data Protection Policy](#)
- [Financial Regulations](#)
- [Health and Safety Policy](#)
- [IT Security Policy](#)
- [Maximising Attendance Policy](#)
- [Overtime and Additional Hours Policy](#)
- [Safer workplaces guidance](#)
- [Special Leave Policy](#)



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If you would like this document in a different format, for example, in larger print or audio-format, or in another language please contact the SSSC on 0345 60 30 891.

We promote equality by removing unlawful and unfair treatment on the grounds of any protected characteristic wherever possible.

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<b>Title of report</b>	Future Proofing Programme consultation analysis
<b>Summary/purpose of report</b>	The report provides a summary of the consultation responses and sets out the next steps.
<b>Recommendations</b>	The Council is asked to note the report.
<b>Author</b>	Catriona Campbell, Programme Manager
<b>Responsible Officer</b>	Maree Allison, Director, Regulation
<b>Link 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 policy makers 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 Risk Register</b>	<p>Risk 1: We fail to ensure that our system of regulation meets the needs of people who use services and workers.</p> <p>Risk 2: We fail to ensure that our workforce development function supports the workforce and employers to achieve the rights standards and qualifications to gain and maintain registration.</p> <p>Risk 4: We fail to provide value to stakeholders and demonstrate our impact.</p>
<b>Impact assessments</b>	1. An Equalities Impact Assessment (EIA) was not required.



	<p>2. A Data Protection Impact Assessment (DPIA) was not required.</p> <p>3. A Sustainability Impact Assessment (SIA) was not required.</p>
<b>Documents attached</b>	<p>Appendix 1: Registration, qualification and skills consultation analysis</p> <p>Appendix 2: Breakdown of responses by group and register part</p>
<b>Background papers</b>	None

## **EXECUTIVE SUMMARY**

1. The Future Proofing Programme (the programme) started in November 2021 with a series of aims spanning registration, qualifications, and the Codes of Practice. The first phase of programme activity involved consulting with the sector to understand their views about our registration, qualifications and skills proposals.
2. The consultation ran for 12 weeks from December 2021 to March 2022 featuring questions framed around several key areas. We experienced a high level of engagement and 6533 responses were received.
3. Respondents agreed with most of our proposals. Some concerns expressed included potential expansion of the information available on the public facing Register and possible changes to qualifications.
4. This report focuses on the consultation proposals which did not attract strong agreement and sets out future areas of work. Appendices 1 and 2 provide details of the consultation responses and breakdown by respondent group type.
5. As part of our ongoing engagement with the sector about the programme, we will publish the extent of our analysis to date.

## **AREAS OF FOCUS**

### **Public Facing Register**

6. Our proposals under this topic include showing the following information on the public facing Register:
  - level of role
  - whether a registrant has the qualification for their role
  - whether there is a fitness to practise warning and/or condition (information currently published on our website but not linked to the public facing register entry)
  - whether a registrant holds a specialist qualification such as a mental health officer award or a practice teaching award.
7. Agreement with these proposals from registrants, individuals, employers/service providers, service users, carers, organisations who represent people who use social services/carers and other organisations was between 51% – 62%.
8. The proposals did not garner the same degree of support as other questions such as, for example, whether to reduce the number of register parts where 88% of respondents from these groups agreed. However,

service user and carer respondents registered higher levels of support for these proposals.

9. Most submissions from organisations forming part of the Stakeholder Advisory Group (SAG) were not in agreement with the proposals. The concerns expressed centred around registrant privacy and the potential for the information to be used inappropriately by the public. None of the respondents agreed that the public Register should show fitness to practise warning and conditions.

### **Adult Social Care Qualifications**

10. We asked questions in the consultation about whether:
  - to set the qualification requirement for support workers in housing support services and care at home services at SCQF level 7
  - we should introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate.
11. Agreement with these proposals from registrants, individuals, employers/service providers, service users, carers, organisations who represent people who use social services/carers and other organisations fluctuated between 59% - 66%.
12. Most respondents to these questions who identified as registrants within housing support and care at home services expressed agreement ranging between 50%-78%.
13. All respondents to questions about the adult social care qualifications from care at home and housing support register parts agreed with the introduction of a new Register part for practitioners at SCQF level 7. Although there was majority agreement with changes to the qualification level, it was not significantly over 50% for each category of housing support and care at home registrant.
14. Responses from SAG members were much clearer. Most SAG respondents did not agree with our proposals with written submissions setting out concerns relating to support workers in these settings gaining the necessary evidence to meet the SCQF 7 requirements, the financial impact on both workers paying for the qualification and the sector then finding the funds to remunerate them accordingly based on a higher level of qualification.

## **FURTHER PLANNED WORK**

15. Our detailed analysis of the consultation results continues and we will use the information to form the focus of workshops with SAG members and others over the Summer.
16. The workshops will allow us to explore stakeholder views about all aspects of our consultation in more detail but crucially provide us with an opportunity to better understand specific concerns raised regarding qualification levels and the information we present on the public facing Register.
17. Subject to plans progressing as scheduled, we will continue to finalise our analysis, working with stakeholders over the summer, before presenting Council options for consideration and decision in November 2022.

## **CONSULTATION**

18. During the consultation we worked closely with the sector. We held a series of engagement sessions facilitated by the Head of Registration and the Acting Director of Development and Innovation.
19. We ran 13 online events and 256 people attended the events with an average of 21 people at each. We reached people using our social media platforms including 5,000 through Facebook, 7,000 via Twitter, 70,000 views on our website and 55,000 people accessing the consultation space via SSSC News emails. We reached out to service user and carer groups to bring their perspective. The level of response is sufficient to provide us with statistical confidence.
20. We responded to requests for specific meetings from the Scottish Out of School Care Network and the National Day Nurseries Association. We also met with Scottish Care for both care home and care at home services and the Coalition of Care Providers in Scotland (CCPS).
21. We recognise the ongoing development of the National Care Service (NCS) and its connection to our work in relation to the programme. We continue to engage in national discussions regarding the NCS and SAG membership includes NCS representation.
22. We acknowledge that each group of respondents presents their own distinct profile and our forthcoming options regarding registration, qualifications and skills will be made after careful consideration of all submissions.

## **RISKS**

23. The Sponsor Group has oversight of the risks associated with the programme. The risk to highlight in relation to the analysis of the consultation responses relates to weighting.
24. SAG members queried how we would weight responses from different stakeholder groups varying in size. Weighting ensures that our final proposals are arrived at fairly and there are reputational risks if we fail to demonstrate that we have treated responses appropriately. We will carefully consider this as part of our work developing options for Council in November 2022.

## **IMPLICATIONS**

### **Resourcing and Compliance**

25. The programme's Sponsor Group has oversight of the governance structure, including resource implications and risk as agreed by Council in 2021. The content of this report does not create any resourcing or compliance implications.

## **IMPACT ASSESSMENTS**

### **Equalities and Data**

26. The consultation proposals have equality, diversity, data and other business implications identified as part of the impact assessment developed prior to the consultation launching. We have gathered further information from respondents about impacts.
27. As we progress with our analysis, we will have a stronger understanding of the potential impacts as expressed by stakeholders and customers by Council's November 2022 meeting. We intend to provide a detailed report to support and inform Council's decision making by this time.

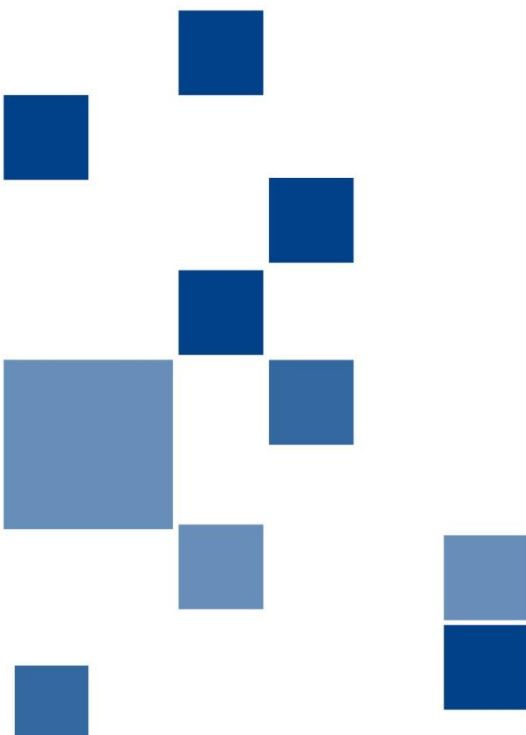
## **CONCLUSION**

28. The registration, qualification and skills consultation generated significant engagement, diverse responses and provided evidence of agreement with most of our proposals under these areas. The consultation also identified areas of concern.
29. Subject to there being no emerging requirements or issues which change our plans, over the Summer we will work with SAG and others to develop proposals and options in time for November Council, supported by analysis of equality and other impacts.



# **Future Proofing Programme Registration, qualifications and skills consultation analysis**

May 2022



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## Background

1. The consultation ran for 12 weeks from December 2021 to March 2022 featuring questions framed around several key areas. We experienced a high level of engagement and 6533 total survey responses were received.
2. Respondents generally agreed with most of our proposals but some concerns were expressed including the possibility of expanding the information available on the public facing Register and potential changes to qualifications.
3. We recognise that each group of respondents presents their own distinct profile and our forthcoming decisions on registration, qualifications and skills will be made after careful consideration of all submissions.

## Profile of respondents

4. Once blank responses were discounted, the remaining submissions were broken down into the following groups:
  - 3558<sup>1</sup> individuals (includes registrants)
  - 777 employers
  - 243 people who care for a person who uses social services
  - 223 on behalf of an organisation which represents people who use social services/carers
  - 142 on behalf of other organisations
  - 39 people who use social services
5. 3700 respondents identified as registrants and just over 3000 of those told us what part of the register they were on. The total number of responses from each register category is detailed at table 1<sup>2</sup>.

---

<sup>1</sup> Respondents to the survey were asked to select from a list in what capacity they were responding i.e. individual, employer/service provider etc before being asked if they were a registrant. 84% of 'Individual' respondents went on to select that they were also 'Registrants'.

<sup>2</sup> Where there are less than 10 respondents from a register category, the actual number of respondents has been withheld to protect anonymity.



**Table 1**

<b>Register Part</b>	<b>Number of responses</b>
<b>Managers of a day care of children service</b>	233
<b>Practitioners in a day care of children service</b>	657
<b>Support workers in a day care of children service</b>	141
<b>Manager of a residential school care accommodation service</b>	<10
<b>Supervisor in a residential school care accommodation service</b>	<10
<b>Worker in a residential school care accommodation service</b>	<10
<b>Manager of a residential childcare service</b>	22
<b>Residential childcare worker with supervisory responsibilities</b>	34
<b>Residential childcare worker</b>	90
<b>SCSWIS authorised officer</b>	19
<b>Manager of an adult day care service</b>	23
<b>Manager in a care home service for adults</b>	28
<b>Supervisor in a care home service for adults</b>	86
<b>Practitioner in a care home service for adults</b>	71
<b>Support worker in a care home service for adults</b>	322
<b>Social Worker</b>	359
<b>Student</b>	36
<b>Manager of a housing support service</b>	45
<b>Supervisor in a housing support service</b>	46
<b>Support worker in a housing support service</b>	240
<b>Manager of a care at home service</b>	61
<b>Supervisor in a care at home service</b>	79
<b>Support worker in a care at home service</b>	437

## Registration

### Reduce the number of Register parts

#### **Summary of responses from: registrants, individuals, employers, service users, carers, organisations which represent people who use social services/carers and other organisations**

6. Most respondents to the following questions from these groupings agreed with the proposals:
- Q7: Will reducing the number of Register parts be an improvement to the current structure?  
  
3411 total responses  
88% responded 'Yes'
  - Q8: How much would this change make the registration information we publish on our website more easy or difficult to understand?  
  
3391 total responses  
70% responded 'Somewhat or very easy'
  - Q9: Will the proposed new structure help to provide a more flexible approach to how care is delivered?  
  
3301 total responses  
71% responded 'Yes'
  - Q10: Do the proposed five new Register parts accurately describe these workers?  
  
3270 total responses  
86% responded 'Yes'

### Summary of key stakeholder responses

7. Most stakeholders indicated agreement with the above questions. There were some exceptions and comments added requesting that other details be considered.

8. Representative bodies expressed that a reduction in the number of Register parts would make the information published on our website somewhat difficult to understand. One commented that to grow the school age childcare workforce, a wide range of new staff need to be attracted and that many in the sector do not find it helpful to be classified the same as staff in early learning and childcare.
9. A trade union submitted that a smaller list of broad groupings has advantages including helping employers and workers in services that are larger to deploy staff flexibly across a more diverse range of integrated activities.
10. They stated that children's residential care should be separated from early education and childcare as these staff are engaged in social care roles rather than education. They also seek clarification that social workers who work in residential childcare should register under the social worker register part and not under the part in which children's residential care eventually sits.
11. Other regulators expressed that the reduction in Register parts enhances an integrated approach. One commented that new categories will make transition between roles easier but that the broader categories will need clear definitions to make sure they are easily understood.

## **Getting registered: Make registration processes quicker and easier**

### **Summary of responses from: registrants, individuals, employers, service users, carers, organisations which represent people who use social services/carers and other organisations**

12. Most respondents to the following questions from these groupings agreed with the proposals:
  - Q14: Will changing the regulations make it easier for employers to comply with the requirements?  
  
2998 total responses  
75% responded 'Yes'
  - Q15: Is three months after starting their role an appropriate timescale to require workers to apply for registration  
  
3018 responses  
78% responded 'Yes'
13. Employers and service provider respondents were not as strongly in agreement with these questions when compared to service users and carers. 69% of employers and service providers agreed with question 14

and 70% with question 15 whereas 80% of service user respondents agreed with question 14 and 91% with question 15.

### **Summary of key stakeholder responses**

14. One representative body and a trade union did not agree that changing regulations will make it easier for employers to comply with requirements.
15. A different representative body along with the same trade union did not agree that three months after starting a role would be an appropriate timescale to require workers to apply for registration.
16. A trade union questioned the proportionality of reducing the period to three months. They state that their understanding of the reasoning is that this proposal is to address the administrative logjam as the current six-month deadline approaches. They consider that the likely outcome will be to shift the logjam to the earlier deadline.
17. The trade union is concerned about the impact on low paid workers as in their experience, the main reason people don't register immediately is because they cannot afford it. Their preferred solution to this is for employers to pay the annual registration fee. They cite the outcome of the Scottish Government's decision to cover the cost of registration fees for new starts having an immediate impact in speeding up applications for registration. An alternative they suggest would be to allow applicants to pay the fee at the end of the registration process which we state takes an average of 27 days.

## Information on the public Register

### **Summary of responses from: registrants, individuals, employers, service users, carers, organisations which represent people who use social services/carers and other organisations**

18. Most respondents to the following questions from these groupings agreed with the proposals:

- Q19: Should the public Register on our website show the level of role someone is carrying out, such as manager, supervisor, practitioner, support worker?

2921 total responses  
75% responded 'Yes'

- Q20: Should the public Register online show whether someone has the qualification for their role or not?

2911 total responses  
64% responded 'Yes'

- Q21: Should the public Register online show fitness to practise warnings and conditions, that are currently on a separate area of the website?

2902 total responses  
55% responded 'Yes'

- Q22: We are considering publicising information about additional practice qualifications registrants may hold, for example mental health officer awards and practice teaching awards. Should the public Register show if a registrant holds an additional qualification?

2904 total responses  
62% responded 'Yes'

19. Despite the responses being more positive than negative for each of these questions, the margins were narrow for some groups. These are detailed below:

- Q20: Employers/service providers – 57% 'Yes' and 43% 'No'
- Q21: Employers/service providers – 51% 'Yes' and 49% 'No'
- Individuals – 54% 'Yes' and 46% 'No'
- Q22: Employers/service providers – 58% 'Yes' and 42% 'No'
- Individuals – 62% 'Yes' and 38% 'No'

20. Service user respondents to question 21 were in stronger agreement with our proposals including warnings and conditions:
- Q19: 75% 'Yes' and 25% 'No'
  - Q20: 70% 'Yes' and 30% 'No'
  - Q21: 63% 'Yes' and 37% 'No'
21. Most of the respondents to these questions did not agree that any other information we had not identified should be shown on the public Register.

### **Summary of key stakeholder responses**

22. An emerging theme were concerns around the registrant privacy. Several representative bodies for both the sector and Higher Education Institutes (HEIs) do not agree that the level of role should appear on the public register. These organisations, in addition to a trade union and a regulator, also do not agree that the public Register should show whether someone has a qualification or not.
23. Two representative bodies agree that the public Register should show if a registrant holds a qualification for their role and an additional qualification such as mental health officer and practice teaching awards.
24. An emerging theme were concerns around the registrant privacy. One representative body commented that the proposed changes to the public Register were seen as an invasion of registrant's privacy.
25. A trade union has serious concerns about the efficacy and legality of the proposal to publish more information. They are particularly opposed to proposed changes regarding fitness to practice and/or conditions placed on practice. The change to include this type of information is in their view punitive, unnecessary and unjustified.
26. Another representative body stated that the inclusion of additional information is out of kilter with the goal of reducing and simplifying the Register.
27. One regulator suggested that the public Register could show information on current employer/service provider registrants work for.

## Ongoing registration period

### **Summary of responses from: registrants, individuals, employers, service users, carers, organisations which represent people who use social services/carers and other organisations**

28. Most respondents to the following questions from these groupings agreed with the proposals:

- Q27: Will removing the need to renew registration be an improvement over the current requirements?

2811 total responses  
90% responded 'Yes'

### **Summary of key stakeholder responses**

29. Most stakeholders except for one representative body agreed that removing the need to renew would be an improvement.
30. In terms of transitioning the workforce to this proposal should it be implemented, a trade union commented that the completion of an annual declaration represents a significant change for registrants and that a reduction to two years at least for an interim period might work better. They also propose that there be some agreement on a 'no fault' missing of the date in the first year of any regime to implement this change while awareness beds in.

## Qualifications and skills

### **Flexibility of qualifications**

### **Summary of responses from: registrants, individuals, employers, service users, carers, organisations which represent people who use social services/carers and other organisations**

31. Most respondents to the following questions from these groupings agreed with the proposals:

- Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?

2648 total responses  
89% responded 'Yes'

- Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings.

2639 total responses

79% responded 'Yes'

- Q33: How much more or less would qualifications that are accepted for different roles support new models of care?

2605 total responses

76% responded either 'a little more support' or 'much more support'

- Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention pressures in the sector, especially in remote and rural areas?

2599 total responses

84% responded either 'a little helpful' or 'very helpful'.

- Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?

2606 total responses

81% responded either 'a little more attractive' or 'much more attractive'

- Q36: Taking into consideration our key principles and criteria that underpin all our qualification standards, are there any other qualifications we should consider for any of the Register parts?

- Free text responses highlighted below at paragraph 34.

32. Respondents from employers/service provider and individual groups both overwhelmingly agreed with questions 31 and 32. Most employers/service provider respondents also felt that the proposal in question 34 would be either a little or very helpful.
33. For question 35, the majority of employer/service provider and individual respondents felt that qualifications being accepted for different roles would make a career in the sector either a little or much more attractive.
34. Question 36 prompted a range of suggestions. Although not exhaustive, a sample of other qualifications for consideration are as follows:
  - Housing qualification for housing support service workers
  - Play-work for early years practitioners
  - Management qualifications for social work managers.



## **Summary of key stakeholder responses**

35. Most stakeholders who gave a response agreed with and support all our proposals regarding qualification flexibility. Most responses also indicated that flexibility to accept qualifications for different roles would not make a career in the sector less attractive.
36. Two representative bodies, one for the sector and the other for HEIs, do not agree that a new SVQ qualification would support individuals to work across different roles and settings.
37. A HEI representative body considers that there are sufficient crossover qualifications that could be used rather than a new one created.
38. A representative body commented that the current SVQ landscape is already confusing and cluttered and that it was difficult for them to make comment without additional information about what the new SVQ qualification would look like.
39. One regulator was supportive of the proposals but stated that current workforce challenges could be addressed through increased flexibility within professional roles and boundaries rather than through changes to qualifications. They also state that whilst they would wish to see a strong, qualified workforce at appointment rather than qualifying staff post appointment, they suggest that appropriate roles and responsibilities are based on experience, knowledge and skills identified pre-qualification if applicants are appointed without a qualification.
40. A trade union stated that they understand the rationale for having a new SVQ qualification for registration acceptable for different roles and settings. They state that this would not address other outstanding barriers to labour supply related to qualifications. These include lack of access to placements and a shortage of assessors.
41. Local authority respondent's views indicated that the proposal to develop wider acceptance of SVQ units appears positive and supports the intention of increased flexibility across a wide range of care roles, a more flexible Register and new and emerging roles. They consider that developing qualifications must be seen alongside other issues and challenges in the sector such as improving the narrative and understanding of social care as a profession.
42. In response to question 35, one representative body highlighted that to address the recruitment crisis the expansion of school age childcare will create over the next 4-5 years, the SSSC should be open to looking at a wide and diverse range of qualifications already held by candidates. They

state that those who are qualified in sports, arts and drama, outdoor ranges, management, HR and business skills are also badly needed, especially in the mainly third and private sector services.

43. In terms of question 36, key stakeholder respondents indicated issues with the current qualification framework becoming overcomplicated but did have suggestions around what other qualifications might be. A representative body referred to recent workforce surveys and events where the school age childcare sector wants to see a much wider range of qualifications, the priority being play-work followed by youth work and a range of qualifications for supporting children with additional support needs and disabilities. Another stated that we should consider Care Practice Licences.

### **Level of qualification for support worker level in adult social care**

#### **Summary of responses from: registrants, individuals, employers, service users, carers, organisations which represent people who use social services/carers and other organisations**

44. Most respondents to the following questions from these groupings agreed with the proposals:
- Q40: Should the qualification requirement for support workers in housing support be at SCQF level 7?  
  
2268 total responses  
59% responded 'Yes'
  - Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?  
  
2255 total responses  
59% responded 'Yes'
  - Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?  
  
2233 total responses  
66% responded 'Yes'

45. Respondents from these categories gave a mixed response to the following questions:
  - Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?
  - Q44: How much more or less likely would individuals be to join the workforce if the qualification level was changed?
46. Although the majority of respondents did agree with the proposals, questions the responses were more marginal. At question 40, 54% of employers/service provider respondents agreed with there being a requirement at SCQF level 7 however 46% did not. The results at question 41 were similar with 55% agreeing and 45% not.
47. Individuals' responses were not hugely dissimilar. At question 40, 61% agreed and 39% did not and for question 41, 61% agreed and 39% did not. Service users and carer respondents also did not significantly agree with the proposals set out in these questions.
48. Considering question 43, 33% of employers/service provider respondents considered that recruitment would be a little or much easier but 42% expressed that it would make it either a little or much more difficult. Question 44 results for this group also indicated marginal support with 38% responding that individuals would be a little or much more likely to join the workforce and 33% stating it would be a little or much less likely.
49. Question 43 and 44 responses from individuals also indicated limited support for our proposals. At question 43, 37% of respondents stated that if the qualification was change it would make it either a little or much easier to recruit to these roles and 36% responded that it would make it a little or much more difficult. For question 44, 38% of individual respondents felt that the qualification change would make individuals a little or much more likely to join the workforce and 32% responded that it would make individuals either a little or much less likely to join.

### **Summary of key stakeholder responses**

50. Most key stakeholder respondents did not agree with our proposals at questions 40 and 41 but one regulator did agree. At question 42, a representative body and a trade union agreed with the introduction of an additional register part at level 7 to allow employers to decide what level is most appropriate.
51. For question 43, respondents felt that recruitment would be either a little or much more difficult and for question 44, that individuals would either be a little or much less likely to join the workforce.

52. A HEI representative body commented that an uplift in the SCQF level required for registration would have a detrimental impact on worker 'pipeline' supply and would diminish attraction of the sector through an extended learner journey.
53. They state that it would be extremely challenging for a care at home or housing support worker to generate the evidence to meet the requirements of an SVQ3 (SCQF level 7+) and a subsequent level increase for registration. The tasks and responsibilities associated with these roles are more suited to the level 2 award.
54. Concerning economic reality, they add that organisations' pay scales are typically linked to qualifications. From the perspective of affordability, they question how the sector would finance an anticipated increase in salaries for those who move from SCQF level 6 to SCQF level 7.
55. In conclusion, they state that any imposition of a registration requirement to achieve a higher qualification may result in workers leaving the sector due to a number of reasons including inability (or unwillingness) to undertake further studies, pursuit of a career elsewhere with better or equal pay, with a prospect of no requirement to achieve a SCQF qualification. They ask that this recommendation be rethought.
56. A third sector representative body submitted that the increase from SCQF level 6 to 7 comes with an increased cost. They state that voluntary sector providers are not funded for the cost of financial training and other than the voluntary sector development fund there is no other financial support available to workers. This means that workers who do struggle financially will face a further burden to pay for a more expensive qualification in addition to registration and PVG fees.
57. In a local authority response, a Council stated they are keen to support staff who wish to progress their careers and achieve the SVQ level three but express concerns. Amongst these are apprehensions that qualification costs would substantially increase for all support workers to become SVQ 3 qualified and this could result in an increase in recruitment costs due to staff turnover as a result of them leaving due to not wishing or feeling able to undertake the qualification.
58. A trade union stated that increasing the formal requirement for registration from SCQF 6 to SCQF 7 is fraught with difficulty if it is not adopted within a wider range of measures. They comment that in any other profession, raised qualifications are linked to grading, pay and reward. They add that if there is an intensification of the training obligation on workers with no increase in pay, this undermines sector recruitment, drives turnover and reduces both the capacity and quality of care as whole.

59. They state they anticipate that the proposal to change the qualification level will create significant salary issues and have a substantial equal pay impact.
60. Other local authorities believe that there is a need to support ongoing professional development in social care but believe that a universal move in this direction would be likely to have a number of unintended consequences, not least that it could impact negatively on recruitment and retention and would have wider financial implications.
61. A representative body stated that the proposal to change this qualification is of concern from the sector due to the current situation regarding lack of staff and difficulty in recruiting social care workers. They commented that if such a qualification was properly funded and paid for appropriately, social care staff could obtain a level 7 qualification in accordance with their skill level.

## **Length of time to complete qualifications**

### **Summary of responses from: registrants, individuals, employers, service users, carers, organisations which represent people who use social services/carers and other organisations**

62. Most respondents from these groupings who answered the question posed did not consider that changing the time to gain a qualification would ensure individuals complete the required qualification on time.
63. Question 48 asked 'How much easier or difficult will this change make to ensuring individuals complete the required qualification on time?' 61% of employer/service provider respondents felt it would make it either a little or much more difficult contrasting with 23% who responded a little or much easier. For individual respondents, 50% stated that the change would make it a little or much more difficult with 26% responding that it would make it a little or much easier.

### **Summary of key stakeholder responses**

64. Most key stakeholder respondents to question 48 stated that the proposed change would make it either a little or much more difficult for individuals to complete the required qualification on time. One representative body for the sector and another for HEIs responded that it would make it neither easier nor more difficult.

65. A third sector representative body commented that the proposals being based on SSSC data mean they are not sector led. They state that SSSC data shows that qualifications are gained in around three years but the changes proposed risk losing those staff who take longer and will generally have a good reason for this, such as family/caring responsibilities and working part time hours.
66. They add that most voluntary sector organisations are large and would struggle to maintain the pace of completion for the workforce especially given the current levels of turnover. The organisation hopes that changes to the health and care worker visa will allow asylum seekers to be employed and for any of these workers, English may not be their first language therefore support will be needed to allow sufficient time to gain qualifications.
67. A trade union stated that it has always been difficult for employers to release staff from duty to attend training. They consider that reducing the qualifying period from five to three years simply intensifies a pre-existing workforce development problem and releasing staff for training is only realistic if the change is matched by investment.
68. They comment that the proposed reduction in timescale may disadvantage certain groups who are more likely to need to take time out from study, for example female students with dependents or disabled students including individuals with mental health difficulties, or people doing zero hours jobs.
69. They state that it must be taken into consideration that very many social care staff are having to study for qualification unpaid in their own time. They ask that the practicality of the proposed reduction be considered within the wider context of the staffing crisis.
70. A representative body stated that consideration must be given to the current context and situation, specifically the large backlog of staff nearing the end of their qualification criteria period due to the impact of the pandemic. They state that our proposals in this area must not result in further numbers of staff leaving social care as they have not completed the required qualification on time.
71. Another representative body commented that the school age childcare sector cannot compete with offering full time jobs at the living wage and adding to this low pay and part time work, a three-year limit to complete a qualification, often within the worker's own time, will make it harder for the sector to recruit and retain staff.
72. Another further representative body commented that three years is a reasonable timescale to achieve a qualification, but the timescale should

be set at a period appropriate for all individuals to avoid excluding or disadvantaging specific groups.

## **Return to Practice**

### **Summary of responses from: registrants, individuals, employers, service users, carers, organisations which represent people who use social services/carers and other organisations**

73. Most respondents to the following questions from these groupings agreed with the proposals:

- Q53: Should there be a return to practice process for social workers?

2235 total responses  
86% responded 'Yes'

- Q54: Should there be a return to practice process for other Register groups?

2222 total responses  
79% responded 'Yes'

74. Respondents from both employer/service provider and individual groups were overwhelmingly agreed with these proposals.

### **Summary of key stakeholder responses**

75. All key stakeholders that responded to questions 53 and 54 agreed with our proposals.

76. One representative body commented that if there was a streamlined process and a clear and easy pathway back to the sector, some workers may choose to return after a period away. Another stated that the introduction of return to practice process would align the SSSC with other professions but it should be simple and the timescale be extended to at least three years.

## **Continuous Professional Learning**

### **Summary of responses from: registrants, individuals, employers, service users, carers, organisations which represent people who use social services/carers and other organisations**

77. Most respondents to the following questions from these groupings agreed with the proposals:
- Q58: Should the SSSC be able to set mandatory training for CPL requirements?  
  
2285 total responses  
70% responded 'Yes'
  - Q59: Should there be mandatory CPL requirements for those new into role?  
  
2281 total responses  
77% responded 'Yes'
  - Q60: Should there be annual CPL requirements?  
  
2269 total responses  
63% responded 'Yes'
78. Regarding question 60, when all responses are considered together, 63% agreed and 37% did not. At employer/service provider level, agreement increased slightly to 66% and for individuals, decreased slightly to 61%.
79. Although more than half of respondents agreed with the annual CPL requirement, it is important to note that there was not a huge difference between those who did and did not agree with the proposal.

### **Summary of key stakeholder responses**

80. Key stakeholder responses to our return to practice proposals varied. Regarding question 58, responses from a regulator and three representative bodies agreed that we should be able to set mandatory training for CPL requirements, however, two other representative bodies disagreed.
81. For question 59, a regulator and two representative bodies agreed that there should be mandatory CPL requirements for those new into role. A third sector representative organisation, a HEI representative body and two sector representative bodies did not agree.



82. Under question 60, one representative body and a trade union agreed that there should be annual CPL requirements whereas other representative bodies do not agree.
83. A regulator questioned how the mandatory training for CPL requirements would work in practice and be implemented. They also state that mandatory training may also result in less flexibility for them as a regulator to respond to current and emerging for their staff, and also any changing role/expectations of them. They added that they would wish to see a retention of individual flexibility to address personal development needs for staff and that existing resources such as the national induction resource could be signposted rather than creating a separate, new mandatory training.
84. One representative body commented that if some aspects of CPL are made mandatory, there should be free online training courses to cover the mandatory elements. The school age childcare workforce being part time and low pay means that making some core requirements mandatory penalises those who can barely afford to pay for further training.
85. Another considers that mandatory CPL for registered staff is useful but this should not be onerous or complex to evidence. Additionally, they do not consider mandatory CPL for those new to a role to be the province of the SSSC. Their view is that mandatory CPL and the induction should sit with employers.

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## **Appendix 2:**

### **Breakdown of responses by group and register part.**

#### **Note:**

To protect anonymity, where fewer than 10 responses were received to a question, the results have been aggregated and included at part A.

All responses from Residential School Care Accommodation registrants have been aggregated.

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## Part A: Breakdown by respondent group

## Registration

### 1. The structure of the register

'We propose changing the structure and reducing the Register to five parts. We will still record what level of role someone is working at so we can assess whether they hold the correct level of qualification. This information would be displayed on MySSSC for employers to see as well as any details of conditions applied to a person's registration'

Group	Question and response			
	Q7. Will reducing the number of Register parts be an improvement to the current structure?  [Yes or No]	Q8. How much would this change make the registration information we publish on our website more easy or difficult to understand?	Q9. Will the proposed new structure help to provide a more flexible approach to how care is delivered?  [Yes or No]	Q10. Do the proposed new five Register parts accurately describe these workers?  [Yes or No]
Individuals/Registrants	2498 responses  Yes: 88% No: 12%	2489 responses  Easy: 70%	2423 responses  Yes: 69% No: 31%	2394 responses  Yes: 86% No: 14%
Employers/Service Providers	496 responses  Yes: 89% No: 11%	492 responses  Easy: 73%	478 responses  Yes: 74% No: 26%	476 responses  Yes: 86% No: 14%
Service users	22 responses  Yes: 91% No: 9%	22 responses  Easy: 86%	22 responses  Yes: 91% No: 9%	21 responses  Yes: 95% No: 5%
Carers	164 responses  Yes: 86% No: 14%	163 responses  Easy: 69%	159 responses  Yes: 71% No: 29%	161 responses  Yes: 97% No: 13%



Group	Question and response			
	<b>Q7. Will reducing the number of Register parts be an improvement to the current structure?</b>  <b>[Yes or No]</b>	<b>Q8. How much would this change make the registration information we publish on our website more easy or difficult to understand?</b>	<b>Q9. Will the proposed new structure help to provide a more flexible approach to how care is delivered?</b>  <b>[Yes or No]</b>	<b>Q10. Do the proposed new five Register parts accurately describe these workers?</b>  <b>[Yes or No]</b>
Organisations which represent people who use social services/carers	149 responses  Yes: 89% No: 11%	147 responses  Easy: 73%	145 responses  Yes: 81% No: 19%	144 responses  Yes: 94% No: 6%
Other organisations	82 responses  Yes: 94% No: 6%	78 responses  Easy: 72%	74 responses  Yes: 77% No: 23%	74 responses  Yes: 91% No: 9%

## 2. The timescale for new starts to apply to register

'We are proposing that the regulations are changed to say that a worker must apply for registration within three months of starting in the role'

Group	Questions and responses	
	Q14: Will changing the regulations make it easier for employers to comply with the requirements? [Yes or No]	Q15: Is three months after starting in their role an appropriate timescale to require workers to apply for registration? [Yes or No]
Individuals/Registrants	2181 responses  Yes: 76% No: 24%	2196 responses  Yes: 80% No: 20%
Employers/Service Providers	442 responses  Yes: 69% No: 31%	443 responses  Yes: 70% No: 30%
Service users	20 responses  Yes: 80% No: 20%	21 responses  Yes: 91% No: 9%
Carers	148 responses  Yes: 76% No: 24%	151 responses  Yes: 81% No: 19%
Organisations which represent people who use social services/carers	137 responses  Yes: 76% No: 24%	135 responses  Yes: 77% No: 23%
Other organisations	70 responses	72 responses

Group	Questions and responses	
	Q14: Will changing the regulations make it easier for employers to comply with the requirements?  [Yes or No]	Q15: Is three months after starting in their role an appropriate timescale to require workers to apply for registration?  [Yes or No]
	Yes: 71% No: 29%	Yes: 72% No: 28%

### 3. Public Register online

'We are proposing to change the information we make available about registrants on the public Register on our website.'

Group	Question and response				
	Q19: Should the public Register on our website show the level of role someone is carrying out, such as manager, supervisor, practitioner, support worker?	Q20: Should the public Register online show whether someone has the qualification for their role or not?	Q21: Should the public Register online show fitness to practise warnings and conditions, that are currently on a separate area of the website?	Q22: We are considering publicising information about additional practice qualifications registrants may hold, for example mental health officer awards and practice teaching awards. Should the public Register show if a registrant holds an additional qualification?	Q23: Should any other information be show on the public Register online?
	[Yes or No]	[Yes or No]	[Yes or No]	[Yes or No]	[Yes or No]
Individuals/ Registrants	2136 responses  Yes: 74% No: 26%	2125 responses  Yes: 65% No: 35%	2121 responses  Yes: 54% No: 46%	2123 responses  Yes: 62% No: 38%	2039 responses  Yes: 15% No: 85%
Employers/Service Providers	421 responses  Yes: 81% No: 19%	420 responses  Yes: 57% No: 43%	420 responses  Yes: 51% No: 49%	416 responses  Yes: 58% No: 42%	395 responses  Yes: 16% No: 84%
Service users	20 responses  Yes: 75% No: 25%	20 responses  Yes: 70% No: 30%	19 responses  Yes: 63% No: 37%	20 responses  Yes: 75% No: 75%	19 responses  Yes: 26% No: 74%
Carers	143 responses  Yes: 72% No: 28%	143 responses  Yes: 66% No: 34%	142 responses  Yes: 64% No: 36%	144 responses  Yes: 63% No: 37%	139 responses  Yes: 19% No: 81%

Group	Question and response				
	Q19: Should the public Register on our website show the level of role someone is carrying out, such as manager, supervisor, practitioner, support worker?  [Yes or No]	Q20: Should the public Register online show whether someone has the qualification for their role or not?  [Yes or No]	Q21: Should the public Register online show fitness to practise warnings and conditions, that are currently on a separate area of the website?  [Yes or No]	Q22: We are considering publicising information about additional practice qualifications registrants may hold, for example mental health officer awards and practice teaching awards. Should the public Register show if a registrant holds an additional qualification? [Yes or No]	Q23: Should any other information be show on the public Register online?  [Yes or No]
Organisations which represent people who use social services/carers	131 responses  Yes: 82% No: 18%	131 responses  Yes: 70% No: 30%	128 responses  Yes: 65% No: 35%	129 responses  Yes: 70% No: 30%	128 responses  Yes: 24% No: 76%
Other organisations	70 responses  Yes: 80% No: 20%	72 responses  Yes: 68% No: 32%	72 responses  Yes: 65% No: 35%	72 responses  Yes: 64% No: 36%	66 responses  Yes: 27% No: 73%

#### 4. Registration period

'We are considering bringing in a continuous registration period which would not have an end date. This means that workers would not have to renew their registration every three or five years. Instead, registrants would complete an annual declaration at the same time as they are paying their fees. The annual declaration would include telling us of any changes that might affect registration.'

Group	Question and response
	<b>Q27: Will removing the need to renew registration be an improvement over the current requirements?</b>
	<b>[Yes or No]</b>
Individuals/Registrants	2061 responses  Yes: 90% No: 10%
Employers/Service Providers	405 responses  Yes: 89% No: 11%
Service users	18 responses  Yes: 89% No: 11%
Carers	138 responses  Yes: 91% No: 9%
Organisations which represent people who use social services/carers	122 responses  Yes: 86% No: 14%
Other organisations	67 response  Yes: 81% No: 19%

## Qualifications and skills

### 5. Flexible qualifications that can move with different roles

'We are proposing wider acceptance of units within SVQs which are transferable across different sector areas so qualifications become more flexible and may be accepted for different roles without the need to do another qualification that covers similar core skills.

We propose to map SVQ units to job functions we register in order to set out the combination of units an individual can undertake to allow them to register with the SSSC and move roles with the same level of SVQ qualification requirement without having to gain additional qualifications. We also propose that we develop a new SVQ qualification for registration that would be accepted for different roles and settings.'

Group	Question and response				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?  [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings?  [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
Individuals/Registrants	1934 responses  Yes: 88% No: 12%	1931 responses  Yes: 79% No: 21%	1905 responses  A little or much more support: 76%  Neither more or less support: 20%	1907 responses  A little or very helpful: 83%  Neither helpful or unhelpful: 13%	1908 responses  A little or much more attractive: 80%  Neither more or less attractive: 16%

Group	Question and response				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?  [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings?  [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
			A little or much less support: 4%	A little or very unhelpful: 4%	A little or much less attractive: 4%
Employers/Service Providers	390 responses  Yes: 90% No: 10%	385 responses  Yes: 77% No: 22%	381 responses  A little or much more support: 77%  Neither more or less support: 18%  A little or much less support: 5%	373 responses  A little or very helpful: 84%  Neither helpful nor unhelpful: 12%  A little or very unhelpful: 4%	378 responses  A little or much more attractive: 80%  Neither more or less attractive: 15%  A little or much less attractive: 5%
Service users	17 responses  Yes: 94% No: 6%	17 responses  Yes: 76% No: 24%	17 responses  A little or much more support: 76%  Neither more or less support: 12%	17 responses  A little or very helpful: 88%  A little or very unhelpful: 12%	17 responses  A little or much more attractive: 82%  Neither more nor less attractive: 12%



Group	Question and response				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?  [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings?  [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
			A little or much less support: 12%		A little or much less attractive: 6%
Carers	132 responses  Yes: 90% No: 10%	132 responses  Yes: 81% No: 19%	133 responses  A little or much more support: 76%  Neither more or less support: 19%  A little or much less support: 5%	131 responses  A little or very helpful: 80%  Neither helpful nor unhelpful: 15%  A little or very unhelpful: 5%	132 responses  A little or much more attractive: 80%  Neither more or less attractive: 16%  A little or much less attractive: 4%
Organisations which represent people who use social services/carers	116 responses  Yes: 93% No: 7%	115 responses  Yes: 83% No: 17%	111 responses  A little or much more support: 87%  Neither more or less support: 11%  A little or much less support: 2%	113 responses  A little or very helpful: 89%  Neither helpful nor unhelpful: 9%  A little or very unhelpful: 2%	112 responses  A little or much more attractive: 90%  Neither more or less attractive: 8%  A little or much less attractive: 2%

Group	Question and response				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?  [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings?  [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
Other organisations	59 responses  Yes: 97% No: 3%	59 responses  Yes: 83% No: 17%	58 responses  A little or much more support: 79%  Neither more or less support: 17%  A little or much less support: 4%	58 responses  A little or very helpful: 86%  Neither helpful nor unhelpful: 14%	59 responses  A little or much more attractive: 86%  Neither more or less attractive: 14%

## 6. Adult social care qualification level

'We are proposing wider acceptance of units within SVQs which are transferable across different sector areas so qualifications become more flexible and may be accepted for different roles without the need to do another qualification that covers similar core skills.

We propose to map SVQ units to job functions we register in order to set out the combination of units an individual can undertake to allow them to register with the SSSC and move roles with the same level of SVQ qualification requirement without having to gain additional qualifications. We also propose that we develop a new SVQ qualification for registration that would be accepted for different roles and settings.'

Group	Question and response				
	Q40: Should the qualification requirement for support workers in housing support be at SCQF level 7?  [Yes or No]	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?  [Yes or No]	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?  [Yes or No]	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
Individuals/Registrants	1649 responses  Yes: 61% No: 39%	1638 responses  Yes: 61% No: 39%	1628 responses  Yes: 65% No: 35%	1638 responses  A little or much easier: 37%  Neither easier nor more difficult: 27%  A little or much more difficult: 36%	1630 responses  A little or much more likely: 38%  Neither more nor less likely: 30%  A little or much less likely: 32%

Group	Question and response				
	Q40: Should the qualification requirement for support workers in housing support be at SCQF level 7?	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
	[Yes or No]	[Yes or No]	[Yes or No]		
Employers/Service Providers	330 responses  Yes: 54% No: 46%	326 responses  Yes: 55% No: 45%	323 responses  Yes: 67% No: 33%	318 responses  A little or much easier: 33%  Neither easier nor more difficult: 25%  A little or much more difficult: 42%	320 responses  A little or much more likely: 38%  Neither more nor less likely: 29%  A little or much less likely: 33%
Service users	14 responses  Yes: 57% No: 43%	14 responses  Yes: 57% No: 43%	14 responses  Yes: 64% No: 36%	13 responses  A little or much easier: 23%  Neither easier nor more difficult: 31%  A little or much more difficult: 46%	13 responses  A little or much more likely: 31%  Neither more nor less likely: 31%  A little or much less likely: 38%
Carers	121 responses  Yes: 51% No: 49%	121 responses  Yes: 52% No: 48%	119 responses  Yes: 69% No: 31%	121 responses  A little or much easier: 40%	120 responses  A little or much more likely: 43%

Group	Question and response				
	Q40: Should the qualification requirement for support workers in housing support be at SCQF level 7?  [Yes or No]	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?  [Yes or No]	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?  [Yes or No]	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
				Neither easier nor more difficult: 28%  A little or much more difficult: 32%	Neither more nor less likely: 25%  A little or much less likely: 32%
Organisations which represent people who use social services/carers	101 responses  Yes: 59% No: 41%	103 responses  Yes: 61% No: 39%	100 responses  Yes: 76% No: 24%	100 responses  A little or much easier: 45%  Neither easier nor more difficult: 21%  A little or much more difficult: 34%	100 responses  A little or much more likely: 47%  Neither more nor less likely: 23%  A little or much less likely: 30%
Other organisations	53 responses  Yes: 60% No: 40%	53 responses  Yes: 62% No: 38%	49 responses  Yes: 57% No: 43%	53 responses  A little or much easier: 30%	52 responses  A little or much more likely: 25%

Group	Question and response				
	Q40: Should the qualification requirement for support workers in housing support be at SCQF level 7?	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
	[Yes or No]	[Yes or No]	[Yes or No]		
				Neither easier nor more difficult: 21%  A little or much more difficult: 49%	Neither more nor less likely: 25%  A little or much less likely: 50%

## 7. Timescale to gain qualifications for registration

‘We are proposing to reduce the timescale for individuals to gain the required qualification from five to three years.’

Group	Questions and responses
	Q48: How much easier or more difficult will this change make to ensuring individuals complete the required qualification on time?
Individuals/Registrants	<p>1743 responses</p> <p>A little or much easier: 26%</p> <p>Neither easier nor more difficult: 24%</p> <p>A little or much more difficult: 50%</p>
Employers/Service Providers	<p>364 responses</p> <p>A little or much easier: 23%</p> <p>Neither easier nor more difficult: 16%</p> <p>A little or much more difficult: 61%</p>
Service users	<p>16 responses</p> <p>A little or much easier: 31%</p> <p>Neither easier nor more difficult: 25%</p> <p>A little or much more difficult: 44%</p>
Carers	<p>124 responses</p> <p>A little or much easier: 27%</p> <p>Neither easier nor more difficult: 28%</p>

Group	Questions and responses
	Q48: How much easier of more difficult will this change make to ensuring individuals complete the required qualification on time?
	A little or much more difficult: 45%
Organisations which represent people who use social services/carers	<p>105 responses</p> <p>A little or much easier: 37%</p> <p>Neither easier nor more difficult: 24%</p> <p>A little or much more difficult: 39%</p>
Other organisations	<p>55 responses</p> <p>A little or much easier: 27%</p> <p>Neither easier nor more difficult: 26%</p> <p>A little or much more difficult: 47%</p>



## 8. Return to practice

'We are proposing to develop return to practice standards for social workers who have come off the Register for over two years and want to re-join and for social workers who have not practised in Scotland within the last two years (or longer). Individuals will need to evidence that they have met the continuous professional learning (CPL) requirements and to demonstrate how they have updated their skills and knowledge.'

Group	Questions and responses	
	Q53: Should there be a return to practice process for social workers? [Yes or No]	Q54: Should there be a return to practice process for other Register group? [Yes or No]
Individuals/Registrants	1637 responses  Yes: 85% No: 15%	1628 responses  Yes: 78% No: 22%
Employers/Service Providers	323 responses  Yes: 89% No: 11%	322 responses  Yes: 81% No: 19%
Service users	14 responses  Yes: 71% No: 29%	12 responses  Yes: 75% No: 25%
Carers	114 responses  Yes: 86% No: 14%	116 responses  Yes: 78% No: 22%
Organisations which represent people who use social services/carers	94 responses  Yes: 86% No: 14%	93 responses  Yes: 87% No: 13%
Other organisations	53 responses	51 responses

Group	Questions and responses	
	Q53: Should there be a return to practice process for social workers? [Yes or No]	Q54: Should there be a return to practice process for other Register group? [Yes or No]
	Yes: 83% No: 17%	Yes: 78% No: 22%

## 9. Continuous professional learning (CPL) requirements

'To make sure the workforce has the right skills and knowledge at the right time to support their professional development and equip them to be a confident, skilled workforce, the SSSC is considering introducing mandatory requirements to CPL. For example, this could include mandatory requirements for workers new into roles that will need to be achieved as part of their induction. This would allow us to support the workforce and respond to emerging skills more quickly when required for example, the infection control skills and knowledge required at the start of the pandemic.'

Group	Questions and responses		
	Q58: Should the SSSC be able to set mandatory training for CPL requirements?  [Yes or No]	Q59: Should there be mandatory CPL requirements for those new into role?  [Yes or No]	Q60: Should there be annual CPL requirements?  [Yes or No]
Individuals/Registrants	1662 responses  Yes: 69% No: 31%	1656 responses  Yes: 76% No: 24%	1649 responses  Yes: 61% No: 39%
Employers/Service Providers	343 responses  Yes: 72% No: 28%	342 responses  Yes: 80% No: 20%	339 responses  Yes: 66% No: 34%
Service users	16 responses  Yes: 75% No: 25%	16 responses  Yes: 94% No: 6%	16 responses  Yes: 69% No: 31%
Carers	115 responses  Yes: 76% No: 24%	115 responses  Yes: 78% No: 22%	115 responses  Yes: 63% No: 37%

Group	Questions and responses		
	Q58: Should the SSSC be able to set mandatory training for CPL requirements?  [Yes or No]	Q59: Should there be mandatory CPL requirements for those new into role?  [Yes or No]	Q60: Should there be annual CPL requirements?  [Yes or No]
Organisations which represent people who use social services/carers	94 responses  Yes: 81% No: 19%	98 responses  Yes: 86% No: 14%	95 responses  Yes: 69% No: 31%
Other organisations	55 responses  Yes: 80% No: 20%	54 responses  Yes: 80% No: 20%	55 responses  Yes: 82% No: 18%

## Part B: Breakdown by register part

## Registration

### 1. The structure of the Register

'We propose changing the structure and reducing the Register to five parts. We will still record what level of role someone is working at so we can assess whether they hold the correct level of qualification. This information would be displayed on MySSSC for employers to see as well as any details of conditions applied to a person's registration'

### Social Workers, students and SCSWIS Authorised Officers

Group	Questions and responses			
	Q7. Will reducing the number of Register parts be an improvement to the current structure?  [Yes or No]	Q8. How much would this change make the registration information we publish on our website more easy or difficult to understand?  [Yes or No]	Q9. Will the proposed new structure help to provide a more flexible approach to how care is delivered?  [Yes or No]	Q10. Do the proposed new five Register parts accurately describe these workers?  [Yes or No]
Social Workers	279 responses  Yes: 88% No: 12%	279 responses  Somewhat or very easy: 67% Neither easy or difficult: 30% Somewhat or very difficult: 3%	267 responses  Yes: 58% No: 42%	266 responses  Yes: 85% No: 15%
Students	27 responses  Yes: 93% No: 7%	26 responses  Somewhat or very easy: 88% Neither easy or difficult: 12%	27 responses  Yes: 81% No: 19%	27 responses  Yes: 100%

Group	Questions and responses			
	Q7. Will reducing the number of Register parts be an improvement to the current structure?  [Yes or No]	Q8. How much would this change make the registration information we publish on our website more easy or difficult to understand?  [Yes or No]	Q9. Will the proposed new structure help to provide a more flexible approach to how care is delivered?  [Yes or No]	Q10. Do the proposed new five Register parts accurately describe these workers?  [Yes or No]
SCSWIS AOs	15 responses  Yes: 73% No: 27%	15 responses  Somewhat or very easy: 67%  Neither easy or difficult: 20%  Somewhat or very difficult: 13%	15 responses  Yes: 67% No: 33%	14 responses  Yes: 86% No: 14%

## Care Home Services for Adults

Group	Questions and responses			
	Q7. Will reducing the number of Register parts be an improvement to the current structure?  [Yes or No]	Q8. How much would this change make the registration information we publish on our website more easy or difficult to understand?	Q9. Will the proposed new structure help to provide a more flexible approach to how care is delivered?  [Yes or No]	Q10. Do the proposed new five Register parts accurately describe these workers?  [Yes or No]
Managers	24 responses  Yes: 92% No: 8%	24 responses  Somewhat or very easy: 88%  Neither easy or difficult: 13%	23 responses  Yes: 22% No: 78%	24 responses  Yes: 83% No: 17%
Supervisor	70 responses  Yes: 90% No: 10%	71 responses  Somewhat or very easy: 68%  Neither easy or difficult: 24%  Somewhat or very difficult: 8%	69 responses  Yes: 70% No: 30%	70 responses  Yes: 87% No: 13%
Practitioner	56 responses  Yes: 91% No: 9%	56 responses  Somewhat or very easy: 80%  Neither easy or difficult: 18%  Somewhat or very difficult: 2%	56 responses  Yes: 77% No: 23%	54 responses  Yes: 91% No: 9%
Support worker	272 responses  Yes: 87% No: 13%	271 responses  Somewhat or very easy: 68%  Neither easy or difficult: 29%  Somewhat or very difficult: 3%	268 responses  Yes: 78% No: 22%	264 responses  Yes: 88% No: 12%



## Adult Day Care Services

Group	Questions and responses			
	Q7. Will reducing the number of Register parts be an improvement to the current structure?  [Yes or No]	Q8. How much would this change make the registration information we publish on our website more easy or difficult to understand?  [Yes or No]	Q9. Will the proposed new structure help to provide a more flexible approach to how care is delivered?  [Yes or No]	Q10. Do the proposed new five Register parts accurately describe these workers?  [Yes or No]
Manager	14 responses  Yes: 86% No: 14%	14 responses  Somewhat or very easy: 71%  Neither easy or difficult: 21%  Somewhat or very difficult: 8%	15 responses  Yes: 73% No: 27%	16 responses  Yes: 69% No: 31%

## Care at home and housing support services

Group	Questions and responses			
	Q7. Will reducing the number of Register parts be an improvement to the current structure?  [Yes or No]	Q8. How much would this change make the registration information we publish on our website more easy or difficult to understand?  [Yes or No]	Q9. Will the proposed new structure help to provide a more flexible approach to how care is delivered?  [Yes or No]	Q10. Do the proposed new five Register parts accurately describe these workers?  [Yes or No]
Manager of a housing support Service	36 responses  Yes: 97% No: 3%	36 responses  Somewhat or very easy: 81%  Neither easy or difficult: 19%	36 responses  Yes: 64% No: 36%	36 responses  Yes: 94% No: 6%
Manager of a care at home service	47 responses  Yes: 83% No: 17%	48 responses  Somewhat or very easy: 77%  Neither easy or difficult: 23%	47 responses  Yes: 62% No: 38%	46 responses  Yes: 85% No: 15%
Supervisor in a housing support service	39 responses  Yes: 92% No: 8%	40 responses  Somewhat or very easy: 75%  Neither easy or difficult: 23%  Somewhat or very difficult: 2%	40 responses  Yes: 75% No: 25%	40 responses  Yes: 83% No: 17%
Supervisor in a care at home service	65 responses  Yes: 86% No: 14%	65 responses  Somewhat or very easy: 75%  Neither easy or difficult: 25%	64 responses  Yes: 70% No: 30%	65 responses  Yes: 92% No: 8%

Group	Questions and responses			
	Q7. Will reducing the number of Register parts be an improvement to the current structure?  [Yes or No]	Q8. How much would this change make the registration information we publish on our website more easy or difficult to understand?  [Yes or No]	Q9. Will the proposed new structure help to provide a more flexible approach to how care is delivered?  [Yes or No]	Q10. Do the proposed new five Register parts accurately describe these workers?  [Yes or No]
Support worker in a housing support service	197 responses  Yes: 90% No: 10%	196 responses  Somewhat or very easy: 71%  Neither easy or difficult: 26%  Somewhat or very difficult: 3%	189 responses  Yes: 70% No: 30%	184 responses  Yes: 86% No: 14%
Support worker in a care at home service	342 responses  Yes: 88% No: 12%	341 responses  Somewhat or very easy: 71%  Neither easy or difficult: 28%  Somewhat or very difficult: 1%	333 responses  Yes: 73% No: 20%	330 responses  Yes: 90% No: 10%

## Day Care of Children Services

Group	Questions and responses			
	Q7. Will reducing the number of Register parts be an improvement to the current structure?  [Yes or No]	Q8. How much would this change make the registration information we publish on our website more easy or difficult to understand?  [Yes or No]	Q9. Will the proposed new structure help to provide a more flexible approach to how care is delivered?  [Yes or No]	Q10. Do the proposed new five Register parts accurately describe these workers?  [Yes or No]
Manager	200 responses  Yes: 90% No: 10%	199 responses  Somewhat or very easy: 69%  Neither easy or difficult: 27%  Somewhat or very difficult: 4%	195 responses  Yes: 67% No: 33%	191 responses  Yes: 82% No: 18%
Practitioner	513 responses  Yes: 87% No: 13%	508 responses  Somewhat or very easy: 68%  Neither easy or difficult: 30%  Somewhat or very difficult: 2%	487 responses  Yes: 67% No: 33%	485 responses  Yes: 88% No: 12%
Support worker	122 responses  Yes: 90% No: 10%	121 responses  Somewhat or very easy: 66%  Neither easy or difficult: 31%  Somewhat or very difficult: 3%	120 responses  Yes: 67% No: 33%	117 responses  Yes: 87% No: 13%

## Residential Childcare

Group	Questions and responses			
	Q7. Will reducing the number of Register parts be an improvement to the current structure?  [Yes or No]	Q8. How much would this change make the registration information we publish on our website more easy or difficult to understand?	Q9. Will the proposed new structure help to provide a more flexible approach to how care is delivered?  [Yes or No]	Q10. Do the proposed new five Register parts accurately describe these workers?  [Yes or No]
Manager	17 responses  Yes: 88% No: 12%	17 responses  Somewhat or very easy: 59%  Neither easy or difficult: 41%	16 responses  Yes: 56% No: 44%	14 responses  Yes: 79% No: 21%
Worker with supervisory responsibilities	27 responses  Yes: 89% No: 11%	27 responses  Somewhat or very easy: 70%  Neither easy or difficult: 26%  Somewhat or very difficult: 4%	26 responses  Yes: 77% No: 23%	27 responses  Yes: 96% No: 4%
Worker	69 responses  Yes: 87% No: 13%	68 responses  Somewhat or very easy: 68%  Neither easy or difficult: 31%  Somewhat or very difficult: 1%	68 responses  Yes: 68% No: 32%	66 responses  Yes: 92% No: 8%

## 2. The timescale for new starts to apply to register

'We are proposing that the regulations are changed to say that a worker must apply for registration within three months of starting in the role'

### Social Workers, students and SCSWIS Authorised Officers

Group	Questions and responses	
	Q14: Will changing the regulations make it easier for employers to comply with the requirements?	Q15: Is three months after starting in their role an appropriate timescale to require workers to apply for registration?
	[Yes or No]	[Yes or No]
Social Workers	241 responses  Yes: 78% No: 22%	244 responses  Yes: 85% No: 15%
Students	25 responses  Yes: 80% No: 20%	25 responses  Yes: 88% No: 12%
SCSWIS AOs	13 responses  Yes: 77% No: 23%	14 responses  Yes: 86% No: 14%

## Care Home Services for Adults

Group	Questions and responses	
	Q14: Will changing the regulations make it easier for employers to comply with the requirements?  [Yes or No]	Q15: Is three months after starting in their role an appropriate timescale to require workers to apply for registration?  [Yes or No]
Managers	22 responses  Yes: 59% No: 41%	22 responses  Yes: 55% No: 45%
Supervisors	62 responses  Yes: 74% No: 26%	62 responses  Yes: 73% No: 27%
Practitioners	47 responses  Yes: 89% No: 11%	47 responses  Yes: 89% No: 11%
Support Workers	239 responses  Yes: 82% No: 18%	240 responses  Yes: 80% No: 20%

## Adult Day Care Services

Group	Questions and response	
	Q14: Will changing the regulations make it easier for employers to comply with the requirements?	Q15: Is three months after starting in their role an appropriate timescale to require workers to apply for registration?
	[Yes or No]	[Yes or No]
Managers	14 responses  Yes: 64% No: 36%	14 responses  Yes: 71% No: 29%



## Care at home and housing support services

Group	Questions and response	
	Q14: Will changing the regulations make it easier for employers to comply with the requirements?  [Yes or No]	Q15: Is three months after starting in their role an appropriate timescale to require workers to apply for registration?  [Yes or No]
Managers of a housing support service	35 responses  Yes: 69% No: 31%	35 responses  Yes: 80% No: 20%
Managers of a care at home service	42 responses  Yes: 71% No: 29%	43 responses  Yes: 81% No: 19%
Supervisor in a housing support service	34 responses  Yes: 56% No: 44%	33 responses  Yes: 70% No: 30%
Supervisor in a care at home service	57 responses  Yes: 81% No: 19%	58 responses  Yes: 78% No: 22%
Support worker in a housing support service	174 responses  Yes: 74% No: 26%	175 responses  Yes: 79% No: 21%
Support worker in a care at home service	310 responses  Yes: 76% No: 24%	312 responses  Yes: 79% No: 21%

## Day Care of Children Services

Group	Questions and response	
	Q14: Will changing the regulations make it easier for employers to comply with the requirements?  [Yes or No]	Q15: Is three months after starting in their role an appropriate timescale to require workers to apply for registration?  [Yes or No]
Managers	181 responses  Yes: 62% No: 38%	180 responses  Yes: 70% No: 30%
Practitioners	433 responses  Yes: 83% No: 17%	440 responses  Yes: 86% No: 14%
Support workers	104 responses  Yes: 74% No: 26%	106 responses  Yes: 80% No: 20%

## Residential Childcare

Group	Questions and response	
	Q14: Will changing the regulations make it easier for employers to comply with the requirements?  [Yes or No]	Q15: Is three months after starting in their role an appropriate timescale to require workers to apply for registration?  [Yes or No]
Manager	14 responses  Yes: 57% No: 43%	14 responses  Yes: 71% No: 29%
Worker with supervisory responsibilities	26 responses  Yes: 88% No: 12%	26 responses  Yes: 88% No: 12%
Worker	60 responses  Yes: 75% No: 25%	59 responses  Yes: 85% No: 15%

### 3. Public Register Online

'We are proposing to change the information we make available about registrants on the public Register on our website.'

#### Social Workers, students and SCSWIS Authorised Officers

Group	Questions and responses				
	Q19: Should the public Register on our website show the level of role someone is carrying out, such as manager, supervisor, practitioner, support worker?  [Yes or No]	Q20: Should the public register online show whether someone has the qualification for their role or not?  [Yes or No]	Q21: Should the public facing register online show fitness to practise warnings and conditions, that are currently on a separate area of the website?  [Yes or No]	Q22: We are considering publishing information about additional practice qualifications registrants may hold, for example mental health officer awards and practice teaching awards. Should the public register show if a registrant holds an additional qualification?  [Yes or No]	Q23: Should any other information be shown on the public Register online?  [Yes or No]
Social Workers	246 responses  Yes: 67% No: 33%	241 responses  Yes: 65% No: 35%	242 responses  Yes: 64% No: 36%	243 responses  Yes: 51% No: 49%	231 responses  Yes: 11% No: 89%
Students	24 responses  Yes: 83% No: 17%	24 responses  Yes: 83% No: 17%	24 responses  Yes: 50% No: 50%	24 responses  Yes: 75% No: 25%	24 responses  Yes: 8% No: 92%
SCSWIS AOs	14 responses  Yes: 79% No: 21%	14 responses  Yes: 64% No: 36%	14 responses  Yes: 64% No: 36%	14 responses  Yes: 57% No: 43%	10 responses  Yes: 20% No: 80%

## Care Home Services for Adults

Group	Questions and responses				
	Q19: Should the public Register on our website show the level of role someone is carrying out, such as manager, supervisor, practitioner, support worker?	Q20: Should the public register online show whether someone has the qualification for their role or not?	Q21: Should the public facing register online show fitness to practise warnings and conditions, that are currently on a separate area of the website?	Q22: We are considering publishing information about additional practice qualifications registrants may hold, for example mental health officer awards and practice teaching awards. Should the public register show if a registrant holds an additional qualification?	Q23: Should any other information be shown on the public Register online?
	[Yes or No]	[Yes or No]	[Yes or No]	[Yes or No]	[Yes or No]
Managers	22 responses  Yes: 77% No: 23%	21 responses  Yes: 52% No: 48%	21 responses  Yes: 62% No: 38%	22 responses  Yes: 64% No: 36%	22 responses  Yes: 18% No: 82%
Supervisors	61 responses  Yes: 77% No: 23%	61 responses  Yes: 67% No: 33%	61 responses  Yes: 62% No: 38%	61 responses  Yes: 69% No: 31%	55 responses  Yes: 11% No: 89%
Practitioners	47 responses  Yes: 74% No: 26%	46 responses  Yes: 63% No: 37%	47 responses  Yes: 62% No: 38%	47 responses  Yes: 66% No: 34%	46 responses  Yes: 89% No: 11%
Support workers	226 responses  Yes: 74% No: 26%	225 responses  Yes: 67% No: 33%	225 responses  Yes: 68% No: 32%	225 responses  Yes: 66% No: 34%	222 responses  Yes: 24% No: 76%

## Adult Day Care Services

Group	Questions and responses				
	Q19: Should the public Register on our website show the level of role someone is carrying out, such as manager, supervisor, practitioner, support worker?  [Yes or No]	Q20: Should the public register online show whether someone has the qualification for their role or not?  [Yes or No]	Q21: Should the public facing register online show fitness to practise warnings and conditions, that are currently on a separate area of the website?  [Yes or No]	Q22: We are considering publishing information about additional practice qualifications registrants may hold, for example mental health officer awards and practice teaching awards. Should the public register show if a registrant holds an additional qualification?  [Yes or No]	Q23: Should any other information be shown on the public Register online?  [Yes or No]
Managers	14 responses  Yes: 71% No: 29%	13 responses  Yes: 54% No: 46%	13 responses  Yes: 69% No: 31%	13 responses  Yes: 69% No: 31%	12 responses  Yes: 8% No: 92%

## Care at home and housing support services

Group	Questions and responses				
	Q19: Should the public Register on our website show the level of role someone is carrying out, such as manager, supervisor, practitioner, support worker?  [Yes or No]	Q20: Should the public register online show whether someone has the qualification for their role or not?  [Yes or No]	Q21: Should the public facing register online show fitness to practise warnings and conditions, that are currently on a separate area of the website?  [Yes or No]	Q22: We are considering publishing information about additional practice qualifications registrants may hold, for example mental health officer awards and practice teaching awards. Should the public register show if a registrant holds an additional qualification?  [Yes or No]	Q23: Should any other information be shown on the public Register online?  [Yes or No]
Managers of a housing support service	34 responses Yes: 88% No: 12%	34 responses Yes: 68% No: 32%	34 responses Yes: 53% No: 47%	34 responses Yes: 65% No: 35%	31 responses Yes: 13% No: 87%
Managers of a care at home service	42 responses Yes: 81% No: 19%	42 responses Yes: 67% No: 33%	41 responses Yes: 54% No: 46%	41 responses Yes: 56% No: 44%	40 responses Yes: 20% No: 80%
Supervisor in a housing support service	33 responses Yes: 88% No: 12%	33 responses Yes: 54% No: 45%	32 responses Yes: 50% No: 50%	32 responses Yes: 53% No: 47%	29 responses Yes: 14% No: 86%
Supervisor in a care at home service	57 responses Yes: 84% No: 16%	57 responses Yes: 68% No: 32%	57 responses Yes: 63% No: 37%	57 responses Yes: 74% No: 26%	55 responses Yes: 11% No: 89%

Group	Questions and responses				
	Q19: Should the public Register on our website show the level of role someone is carrying out, such as manager, supervisor, practitioner, support worker?  [Yes or No]	Q20: Should the public register online show whether someone has the qualification for their role or not?  [Yes or No]	Q21: Should the public facing register online show fitness to practise warnings and conditions, that are currently on a separate area of the website?  [Yes or No]	Q22: We are considering publishing information about additional practice qualifications registrants may hold, for example mental health officer awards and practice teaching awards. Should the public register show if a registrant holds an additional qualification?  [Yes or No]	Q23: Should any other information be shown on the public Register online?  [Yes or No]
Support worker in a housing support service	174 responses Yes: 65% No: 35%	174 responses Yes: 55% No: 45%	172 responses Yes: 56% No: 44%	175 responses Yes: 54% No: 46%	172 responses Yes: 15% No: 85%
Support worker in a care at home service	296 responses Yes: 73% No: 27%	297 responses Yes: 62% No: 38%	297 responses Yes: 63% No: 37%	297 responses Yes: 68% No: 32%	285 responses Yes: 17% No: 83%



## Day Care of Children Services

Group	Questions and responses				
	Q19: Should the public Register on our website show the level of role someone is carrying out, such as manager, supervisor, practitioner, support worker?  [Yes or No]	Q20: Should the public register online show whether someone has the qualification for their role or not?  [Yes or No]	Q21: Should the public facing register online show fitness to practise warnings and conditions, that are currently on a separate area of the website?  [Yes or No]	Q22: We are considering publishing information about additional practice qualifications registrants may hold, for example mental health officer awards and practice teaching awards. Should the public register show if a registrant holds an additional qualification?  [Yes or No]	Q23: Should any other information be shown on the public Register online?  [Yes or No]
Managers	177 responses  Yes: 80% No: 20%	175 responses  Yes: 61% No: 39%	177 responses  Yes: 51% No: 49%	175 responses  Yes: 59% No: 41%	167 responses  Yes: 6% No: 94%
Practitioners	429 responses  Yes: 76% No: 24%	428 responses  Yes: 74% No: 26%	422 responses  Yes: 52% No: 48%	422 responses  Yes: 64% No: 36%	404 responses  Yes: 13% No: 87%
Support Workers	105 responses  Yes: 70% No: 30%	105 responses  Yes: 61% No: 39%	104 responses  Yes: 55% No: 45%	104 responses  Yes: 69% No: 31%	101 responses  Yes: 17% No: 83%

## Residential Childcare

Group	Questions and responses				
	Q19: Should the public Register on our website show the level of role someone is carrying out, such as manager, supervisor, practitioner, support worker?  [Yes or No]	Q20: Should the public register online show whether someone has the qualification for their role or not?  [Yes or No]	Q21: Should the public facing register online show fitness to practise warnings and conditions, that are currently on a separate area of the website?  [Yes or No]	Q22: We are considering publishing information about additional practice qualifications registrants may hold, for example mental health officer awards and practice teaching awards. Should the public register show if a registrant holds an additional qualification?  [Yes or No]	Q23: Should any other information be shown on the public Register online?  [Yes or No]
Manager	14 responses  Yes: 86% No: 14%	14 responses  Yes: 57% No: 43%	14 responses  Yes: 64% No: 36%	14 responses  Yes: 64% No: 36%	14 responses  Yes: 29% No: 71%
Worker with supervisory responsibilities	25 responses  Yes: 72% No: 28%	25 responses  Yes: 68% No: 32%	24 responses  Yes: 63% No: 37%	25 responses  Yes: 68% No: 32%	24 responses  Yes: 25% No: 75%
Worker	54 responses  Yes: 56% No: 44%	53 responses  Yes: 51% No: 49%	53 responses  Yes: 51% No: 49%	53 responses  Yes: 58% No: 42%	51 responses  Yes: 20% No: 80%

#### 4. Registration Period

'We are considering bringing in a continuous registration period which would not have an end date. This means that workers would not have to renew their registration every three or five years. Instead, registrants would complete an annual declaration at the same time as they are paying their fees. The annual declaration would include telling us of any changes that might affect registration.'

#### Social Workers, students and SCSWIS Authorised Officers

Group	Questions and responses
	Q27: Will removing the need to renew registration be an improvement over the current requirements? [Yes or No]
Social Workers	238 responses  Yes: 92% No: 8%
Students	24 responses  Yes: 96% No: 4%
SCSWIS AOs	14 responses  Yes: 100%

## Care Home Services for Adults

Group	Questions and responses
	Q27: Will removing the need to renew registration be an improvement over the current requirements? [Yes or No]
Managers	21 responses  Yes: 95% No: 5%
Supervisors	58 responses  Yes: 93% No: 7%
Practitioners	46 responses  Yes: 89% No: 11%
Support Workers	216 responses  Yes: 87% No: 13%

## Adult Day Care Services

Group	Questions and responses
	Q27: Will removing the need to renew registration be an improvement over the current requirements? [Yes or No]
Managers	13 responses  Yes: 92% No: 8%

## Care at home and housing support services

Group	Questions and responses
	Q27: Will removing the need to renew registration be an improvement over the current requirements? [Yes or No]
Managers of a housing support service	33 responses  Yes: 91% No: 9%
Managers of a care at home service	39 responses  Yes: 95% No: 5%
Supervisor in a housing support service	33 responses  Yes: 91% No: 9%
Supervisor in a care at home service	56 responses  Yes: 88% No: 12%
Support worker in a housing support service	171 responses  Yes: 90% No: 10%
Support worker in a care at home service	282 responses  Yes: 91% No: 9%

## Day Care of Children Services

Group	Questions and responses
	Q27: Will removing the need to renew registration be an improvement over the current requirements? [Yes or No]
Managers	<p>169 responses</p> <p>Yes: 94%</p> <p>No: 6%</p>
Practitioners	<p>412 responses</p> <p>Yes: 90%</p> <p>No: 10%</p>
Support workers	<p>104 responses</p> <p>Yes: 92%</p> <p>No: 8%</p>

## Residential Childcare

Group	Questions and responses
	Q27: Will removing the need to renew registration be an improvement over the current requirements? [Yes or No]
Managers	14 responses  Yes: 93% No: 7%
Workers with supervisory responsibilities	23 responses  Yes: 91% No: 9%
Workers	50 responses  Yes: 90% NO: 10%

## Qualifications and skills

### 5. Flexible qualification that can move with different roles

'We are proposing wider acceptance of units within SVQs which are transferable across different sector areas so qualifications become more flexible and may be accepted for different roles without the need to do another qualification that covers similar core skills.

We propose to map SVQ units to job functions we register in order to set out the combination of units an individual can undertake to allow them to register with the SSSC and move roles with the same level of SVQ qualification requirement without having to gain additional qualifications. We also propose that we develop a new SVQ qualification for registration that would be accepted for different roles and settings.'

#### Social Workers, students and SCSWIS Authorised Officers

Group	Questions and responses				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles? [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings? [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention pressures in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
Social Workers	220 responses  Yes: 85% No: 15%	223 responses  Yes: 87% No: 13%	218 responses  A little or much more support: 74%	218 responses  A little or very helpful: 81%	219 responses  A little or much more attractive: 81%



Group	Questions and responses				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?  [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings? [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention pressures in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
			Neither more nor less support: 23%  A little or much less support: 2%	Neither helpful nor unhelpful: 16%  A little or very unhelpful: 3%	Neither more nor less attractive: 16%  A little or much less attractive: 3%
Students	20 responses  Yes: 90% No: 10%	21 responses  Yes: 100%	21 responses  A little or much more support: 86%  Neither more nor less support: 10%  A little or much less support: 4%	21 responses  A little or very helpful: 90%  Neither helpful nor unhelpful: 10%	21 responses  A little or much more attractive: 86%  Neither more nor less attractive: 10%  A little or much less attractive: 4%
SCSWIS AOs	14 responses  Yes: 71% No: 29%	13 responses  Yes: 85% No: 15%	14 responses  A little or much more support: 79%  Neither more nor less support: 7%  A little or much less support: 14%	14 responses  A little or very helpful: 79%  Neither helpful nor unhelpful: 7%  A little or very unhelpful: 14%	14 responses  A little or much more attractive: 57%  Neither more nor less attractive: 29%  A little or much less attractive: 14%

## Care Home Services for Adults

Group	Questions and responses				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?  [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings? [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention pressures in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
Managers	21 responses  Yes: 95% No: 5%	21 responses  Yes: 90% No: 10%	21 responses  A little or much more support: 90%  Neither more nor less support: 10%	21 responses  A little or very helpful: 95%  Neither helpful nor unhelpful: 5%	21 responses  A little or much more attractive: 90%  Neither more nor less attractive: 10%
Supervisors	52 responses  Yes: 90% No: 10%	53 responses  Yes: 72% No: 28%	53 responses  A little or much more support: 79%  Neither more nor less support: 13%  A little or much less support: 8%	52 responses  A little or very helpful: 85%  Neither helpful nor unhelpful: 12%  A little or very unhelpful: 3%	52 responses  A little or much more attractive: 87%  Neither more nor less attractive: 10%  A little or much less attractive: 3%

Group	Questions and responses				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?  [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings? [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention pressures in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
Practitioners	41 responses  Yes: 88% No: 12%	42 responses  Yes: 67% No: 33%	41 responses  A little or much more support: 76%  Neither more nor less support: 20%  A little or much less support: 4%	40 responses  A little or very helpful: 88%  Neither helpful nor unhelpful: 10%  A little or very unhelpful: 2%	40 responses  A little or much more attractive: 78%  Neither more nor less attractive: 22%
Support workers	198 responses  Yes: 90% No: 10%	198 responses  Yes: 78% No: 22%	198 responses  A little or much more support: 75%  Neither more nor less support: 23%  A little or much less support: 2%	198 responses  A little or very helpful: 81%  Neither helpful nor unhelpful: 16%  A little or very unhelpful: 3%	196 responses  A little or much more attractive: 80%  Neither more nor less attractive: 18%  A little or much less attractive: 2%

## Adult Day Care Services

Group	Questions and responses				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?  [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings? [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention pressures in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
Managers	13 responses  Yes: 92% No: 8%	13 responses  Yes: 77% No: 23%	13 responses  A little or much more support: 69%  Neither more nor less support: 23%  A little or much less support: 8%	13 responses  A little or very helpful: 77%  Neither helpful nor unhelpful: 15%  A little or very unhelpful: 8%	13 responses  A little or much more attractive: 62%  Neither more nor less attractive: 31%  A little or much less attractive: 7%

## Care at home and housing support services

Group	Questions and responses				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles? [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings? [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention pressures in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
Managers of a housing support service	30 responses  Yes: 100%	30 responses  Yes: 87% No: 13%	30 responses  A little or much more support: 83%  Neither more nor less support: 17%	29 responses  A little or very helpful: 93%  Neither helpful nor unhelpful: 7%	30 responses  A little or much more attractive: 90%  Neither more nor less attractive: 10%
Managers of a care at home service	36 responses  Yes: 92% No: 8%	36 responses  Yes: 86% No: 14%	37 responses  A little or much more support: 86%  Neither more nor less support: 14%	36 responses  A little or very helpful: 89%  Neither helpful nor unhelpful: 11%	36 responses  A little or much more attractive: 89%  Neither more nor less attractive: 8%  A little or much less attractive: 3%

Group	Questions and responses				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?  [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings? [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention pressures in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
Supervisor in a housing support service	33 responses  Yes: 97% No: 3%	30 responses  Yes: 80% No: 20%	32 responses  A little or much more support: 84%  Neither more nor less support: 16%	31 responses  A little or very helpful: 87%  Neither helpful nor unhelpful: 13%	31 responses  A little or much more attractive: 94%  Neither more nor less attractive: 6%
Supervisor in a care at home service	53 responses  Yes: 98% No: 2%	54 responses  Yes: 87% No: 13%	54 responses  A little or much more support: 81%  Neither more nor less support: 19%	53 responses  A little or very helpful: 89%  Neither helpful nor unhelpful: 9%  A little or very unhelpful: 2%	53 responses  A little or much more attractive: 87%  Neither more nor less attractive: 13%

Group	Questions and responses				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?  [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings? [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention pressures in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
Support worker in a housing support service	161 responses  Yes: 96% No: 4%	162 responses  Yes: 77% No: 23%	159 responses  A little or much more support: 78%  Neither more nor less support: 20%  A little or much less support: 2%	161 responses  A little or very helpful: 81%  Neither helpful nor unhelpful: 14%  A little or very unhelpful: 5%	159 responses  A little or much more attractive: 79%  Neither more nor less attractive: 18%  A little or much less attractive: 3%
Support worker in a care at home service	261 responses  Yes: 95% No: 5%	260 responses  Yes: 82% No: 18%	257 responses  A little or much more support: 75%  Neither more nor less support: 21%  A little or much less support: 4%	257 responses  A little or very helpful: 84%  Neither helpful nor unhelpful: 12%  A little or very unhelpful: 4%	258 responses  A little or much more attractive: 79%  Neither more nor less attractive: 19%  A little or much less attractive: 3%

## Day Care of Children Services

Group	Questions and responses				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?  [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings? [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention pressures in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
Managers	164 responses  Yes: 78% No: 22%	164 responses  Yes: 74% No: 26%	164 responses  A little or much more support: 70%  Neither more nor less support: 18%  A little or much less support: 12%	164 responses  A little or very helpful: 79%  Neither helpful nor unhelpful: 16%  A little or very unhelpful: 5%	166 responses  A little or much more attractive: 72%  Neither more nor less attractive: 20%  A little or much less attractive: 8%
Practitioners	387 responses  Yes: 79% No: 21%	385 responses  Yes: 74% No: 26%	376 responses  A little or much more support: 71%  Neither more nor less support: 22%  A little or much less support: 7%	378 responses  A little or very helpful: 80%  Neither helpful nor unhelpful: 16%  A little or very unhelpful: 4%	377 responses  A little or much more attractive: 78%  Neither more nor less attractive: 15%  A little or much less attractive: 7%



Group	Questions and responses				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?  [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings? [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention pressures in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
Support workers	<p>101 responses</p> <p>Yes: 95% No: 5%</p>	<p>100 responses</p> <p>Yes; 80% No: 20%</p>	<p>98 responses</p> <p>A little or much more support: 84%</p> <p>Neither more nor less support: 11%</p> <p>A little or much less support: 5%</p>	<p>99 responses</p> <p>A little or very helpful: 90%</p> <p>Neither helpful nor unhelpful: 7%</p> <p>A little or very unhelpful: 3%</p>	<p>101 responses</p> <p>A little or much more attractive: 92%</p> <p>Neither more nor less attractive: 6%</p> <p>A little or much less attractive: 2%</p>

## Residential Childcare

Group	Questions and responses				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?  [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings? [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention pressures in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
Managers	14 responses  Yes: 93% No: 7%	14 responses  Yes: 79% No: 21%	14 responses  A little or much more support: 71%  Neither more nor less support: 21%  A little or much less support: 8%	14 responses  A little or very helpful: 86%  Neither helpful nor unhelpful: 14%	14 responses  A little or much more attractive: 71%  Neither more nor less attractive: 21%  A little or much less attractive: 8%
Workers with supervisory responsibilities	22 responses  Yes: 91% No: 9%	22 responses  Yes: 82% No: 19%	22 responses  A little or much more support: 91%  Neither more nor less support: 5%  A little or much less support: 4%	22 responses  A little or very helpful: 91%  Neither helpful nor unhelpful: 5%  A little or very unhelpful: 4%	22 responses  A little or much more attractive: 91%  Neither more nor less attractive: 5%  A little or much less attractive: 4%

Group	Questions and responses				
	Q31: Should the SSSC be more flexible and accept SVQ units gained in adult or childcare settings for registration in other roles?  [Yes or No]	Q32: Should the SSSC develop a new SVQ qualification that would support individuals to work across different roles and settings? [Yes or No]	Q33: How much more or less would qualifications that are accepted for different roles support new models of care?	Q34: How helpful would qualifications that are accepted for different roles be to address recruitment and retention pressures in the sector, especially in remote and rural areas?	Q35: How much more or less attractive would a career in the sector be if qualifications were accepted for different roles?
Workers	53 responses  Yes: 94% No: 6%	53 responses  Yes: 74% No: 26%	51 responses  A little or much more support: 71%  Neither more nor less support: 29%	51 responses  A little or very helpful: 86%  Neither helpful nor unhelpful: 10%  A little or very unhelpful: 4%	51 responses  A little or much more attractive: 86%  Neither more nor less attractive: 12%  A little or much less attractive: 2%

## 6. Adult social care qualification level

'We are proposing wider acceptance of units within SVQs which are transferable across different sector areas so qualifications become more flexible and may be accepted for different roles without the need to do another qualification that covers similar core skills.

We propose to map SVQ units to job functions we register in order to set out the combination of units an individual can undertake to allow them to register with the SSSC and move roles with the same level of SVQ qualification requirement without having to gain additional qualifications. We also propose that we develop a new SVQ qualification for registration that would be accepted for different roles and settings.'

### Social Workers, students and SCSWIS Authorised Officers

Group	Questions and responses				
	Q40: Should the qualification requirements for support workers in housing support be at SCQF level 7?	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
	<b>[Yes or No]</b>	<b>[Yes or No]</b>	<b>[Yes or No]</b>		
Social workers	189 responses  Yes: 74% No: 26%	189 responses  Yes: 73% No: 27%	188 responses  Yes: 60% No: 40%	183 responses  A little or much easier: 33%	179 responses  A little or much more likely: 34%

Group	Questions and responses				
	Q40: Should the qualification requirements for support workers in housing support be at SCQF level 7?	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
	[Yes or No]	[Yes or No]	[Yes or No]		
				Neither easier nor more difficult: 31%  A little or much more difficult: 36%	Neither more nor less likely: 39%  A little or much less likely: 27%
Students	19 responses  Yes: 74% No: 26%	19 responses  Yes: 63% No: 37%	19 responses  Yes: 53% No: 47%	19 responses  A little or much easier: 32%  Neither easier nor more difficult: 21%  A little or much more difficult: 47%	19 responses  A little or much more likely: 37%  Neither more nor less likely: 32%  A little or much less likely: 31%
SCSWIS Authorised Officers	11 responses  Yes: 73% No: 27%	11 responses  Yes: 73% No: 27%	<10 responses  Data withheld to protect anonymity.	10 responses  A little or much easier: 20%  Neither easier nor more difficult: 20%  A little or much more difficult: 60%	10 responses  A little or much more likely: 20%  Neither more nor less likely: 40%  A little or much less likely: 40%

## Care Home Services for Adults

Group	Questions and responses				
	Q40: Should the qualification requirements for support workers in housing support be at SCQF level 7?	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
	<b>[Yes or No]</b>	<b>[Yes or No]</b>	<b>[Yes or No]</b>		
Managers	20 responses  Yes: 75% No: 25%	20 responses  Yes: 80% No: 20%	20 responses  Yes: 85% No: 15%	20 responses  A little or much easier: 50%  Neither easier nor more difficult: 25%  A little or much more difficult: 25%	20 responses  A little or much more likely: 55%  Neither more nor less likely: 30%  A little or much less likely: 15%
Supervisors	49 responses  Yes: 51% No: 49%	49 responses  Yes: 53% No: 47%	49 responses  Yes: 69% No: 31%	47 responses  A little or much easier: 36%  Neither easier nor more difficult: 26%  A little or much more difficult: 38%	48 responses  A little or much more likely: 40%  Neither more nor less likely: 27%  A little or much less likely: 33%

Group	Questions and responses				
	Q40: Should the qualification requirements for support workers in housing support be at SCQF level 7?	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
	[Yes or No]	[Yes or No]	[Yes or No]		
Practitioners	41 responses  Yes: 59% No: 41%	41 responses  Yes: 63% No: 37%	41 responses  Yes: 63% No: 37%	41 responses  A little or much easier: 51%  Neither easier nor more difficult: 22%  A little or much more difficult: 27%	41 responses  A little or much more likely: 44%  Neither more nor less likely: 27%  A little or much less likely: 29%
Support Workers	176 responses  Yes: 49% No: 51%	175 responses  Yes: 46% No: 54%	172 responses  Yes: 63% No: 37%	175 responses  A little or much easier: 43%  Neither easier nor more difficult: 24%  A little or much more difficult: 33%	175 responses  A little or much more likely: 45%  Neither more nor less likely: 23%  A little or much less likely: 32%

## Adult Day Care Services

Group	Questions and responses				
	Q40: Should the qualification requirements for support workers in housing support be at SCQF level 7?	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
	<b>[Yes or No]</b>	<b>[Yes or No]</b>	<b>[Yes or No]</b>		
Managers	11 responses  Yes: 36% No: 67%	11 responses  Yes: 36% No: 67%	<10 responses  Data withheld to protect anonymity.	10 responses  A little or much easier: 10%  Neither easier nor more difficult: 30%  A little or much more difficult: 60%	11 responses  A little or much more likely: 18%  Neither more nor less likely: 37%  A little or much less likely: 45%



## Care at home and housing support services

Group	Questions and responses				
	Q40: Should the qualification requirements for support workers in housing support be at SCQF level 7?	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
	<b>[Yes or No]</b>	<b>[Yes or No]</b>	<b>[Yes or No]</b>		
Managers of a housing support service	29 responses  Yes: 69% No: 31%	28 responses  Yes: 57% No: 43%	28 responses  Yes: 50% No: 50%	29 responses  A little or much easier: 24%  Neither easier nor more difficult: 28%  A little or much more difficult: 48%	29 responses  A little or much more likely: 31%  Neither more nor less likely: 24%  A little or much less likely: 45%
Managers of a care at home service	33 responses  Yes: 61% No: 39%	33 responses  Yes: 58% No: 42%	31 responses  Yes: 58% No: 42%	33 responses  A little or much easier: 24%  Neither easier nor more difficult: 36%  A little or much more difficult: 40%	33 responses  A little or much more likely: 24%  Neither more nor less likely: 42%  A little or much less likely: 34%

Group	Questions and responses				
	Q40: Should the qualification requirements for support workers in housing support be at SCQF level 7?	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
	[Yes or No]	[Yes or No]	[Yes or No]		
Supervisor in a housing support service	28 responses  Yes: 50% No: 50%	27 responses  Yes: 56% No: 44%	27 responses  Yes: 78% No: 22%	28 responses  A little or much easier: 29%  Neither easier nor more difficult: 32%  A little or much more difficult: 39%	28 responses  A little or much more likely: 29%  Neither more nor less likely: 32%  A little or much less likely: 39%
Supervisor in a care at home service	47 responses  Yes: 60% No: 40%	47 responses  Yes: 57% No: 43%	46 responses  Yes: 74% No: 26%	46 responses  A little or much easier: 52%  Neither easier nor more difficult: 15%  A little or much more difficult: 33%	45 responses  A little or much more likely: 47%  Neither more nor less likely: 20%  A little or much less likely: 33%

Group	Questions and responses				
	Q40: Should the qualification requirements for support workers in housing support be at SCQF level 7?	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
	[Yes or No]	[Yes or No]	[Yes or No]		
Support worker in a housing support service	151 responses  Yes: 52% No: 48%	150 responses  Yes: 53% No: 47%	149 responses  Yes: 54% No: 46%	150 responses  A little or much easier: 35%  Neither easier nor more difficult: 24%  A little or much more difficult: 41%	150 responses  A little or much more likely: 35%  Neither more nor less likely: 26%  A little or much less likely: 39%
Support worker in a care at home service	238 responses  Yes: 47% No: 53%	238 responses  Yes: 52% No: 48%	236 responses  Yes: 69% No: 31%	239 responses  A little or much easier: 36%  Neither easier nor more difficult: 27%  A little or much more difficult: 37%	234 responses  A little or much more likely: 40%  Neither more nor less likely: 22%  A little or much less likely: 38%

## Day Care of Children Services

Group	Questions and responses				
	Q40: Should the qualification requirements for support workers in housing support be at SCQF level 7?	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
	<b>[Yes or No]</b>	<b>[Yes or No]</b>	<b>[Yes or No]</b>		
Managers	123 responses  Yes: 68% No: 32%	123 responses  Yes: 72% No: 28%	122 responses  Yes: 65% No: 35%	119 responses  A little or much easier: 33%  Neither easier nor more difficult: 31%  A little or much more difficult: 36%	120 responses  A little or much more likely: 36%  Neither more nor less likely: 34%  A little or much less likely: 30%
Practitioners	298 responses  Yes: 70% No: 30%	295 responses  Yes: 74% No: 26%	295 responses  Yes: 74% No: 26%	299 responses  A little or much easier: 36%  Neither easier nor more difficult: 34%  A little or much more difficult: 30%	296 responses  A little or much more likely: 35%  Neither more nor less likely: 36%  A little or much less likely: 29%

Group	Questions and responses				
	Q40: Should the qualification requirements for support workers in housing support be at SCQF level 7?	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
	[Yes or No]	[Yes or No]	[Yes or No]		
Support Workers	83 responses  Yes: 57% No: 43%	83 responses  Yes: 58% No: 42%	84 responses  Yes: 71% No: 29%	83 responses  A little or much easier: 51%  Neither easier nor more difficult: 17%  A little or much more difficult: 32%	83 responses  A little or much more likely: 52%  Neither more nor less likely: 22%  A little or much less likely: 26%

## Residential Childcare

Group	Questions and responses				
	Q40: Should the qualification requirements for support workers in housing support be at SCQF level 7?	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
	<b>[Yes or No]</b>	<b>[Yes or No]</b>	<b>[Yes or No]</b>		
Managers	11 responses  Yes: 91% No: 9%	11 responses  Yes: 91% No: 9%	10 responses  Yes: 60% No: 40%	12 responses  A little or much easier: 50%  Neither easier nor more difficult: 25%  A little or much more difficult: 25%	12 responses  A little or much more likely: 58%  Neither more nor less likely: 25%  A little or much less likely: 17%
Workers with supervisory responsibilities	16 responses  Yes: 88% No: 12%	16 responses  Yes: 88% No: 12%	16 responses  Yes: 63% No: 37%	16 responses  A little or much easier: 50%  Neither easier nor more difficult: 25%  A little or much more difficult: 25%	17 responses  A little or much more likely: 47%  Neither more nor less likely: 41%  A little or much less likely: 12%

Group	Questions and responses				
	Q40: Should the qualification requirements for support workers in housing support be at SCQF level 7?	Q41: Should the qualification requirement for support workers in care at home be at SCQF level 7?	Q42: Should we introduce an additional Register part for practitioners at SCQF level 7 to allow employers to decide what level is most appropriate?	Q43: How much easier or more difficult would recruiting to these roles be, if the qualification level was changed?	Q44: How much more or less likely would individuals be to join the workforce, if the qualification level was changed?
	<b>[Yes or No]</b>	<b>[Yes or No]</b>	<b>[Yes or No]</b>		
Workers	47 responses  Yes: 64% No: 36%	47 responses  Yes: 68% No: 32%	49 responses  Yes: 57% No: 43%	49 responses  A little or much easier: 33%  Neither easier nor more difficult: 37%  A little or much more difficult: 30%	49 responses  A little or much more likely: 43%  Neither more nor less likely: 29%  A little or much less likely: 28%

## 7. Timescale to gain qualifications for registration

‘We are proposing to reduce the timescale for individuals to gain the required qualification from five to three years.’

### Social Workers, students and SCSWIS Authorised Officers

Group	Question and response
	Q48: How much easier or more difficult will this change make to ensuring individuals complete the required qualification on time?
Social Workers	201 responses  A little or much easier: 30%  Neither easier or more difficult: 30%  A little or much more difficult: 40%
Students	16 responses  A little or much easier: 25%  Neither easier or more difficult: 44%  A little or much more difficult: 31%
SCSWIS Authorised Officers	14 responses  A little or much easier: 14%  Neither easier or more difficult: 29%  A little or much more difficult: 57%



## Care Home Services for Adults

Group	Question and response
	<b>Q48: How much easier or more difficult will this change make to ensuring individuals complete the required qualification on time?</b>
Managers	<p>18 responses</p> <p>A little or much easier: 56%</p> <p>Neither easier or more difficult: 28%</p> <p>A little or much more difficult: 16%</p>
Supervisors	<p>47 responses</p> <p>A little or much easier: 23%</p> <p>Neither easier or more difficult: 32%</p> <p>A little or much more difficult: 45%</p>
Practitioners	<p>41 responses</p> <p>A little or much easier: 29%</p> <p>Neither easier or more difficult: 17%</p> <p>A little or much more difficult: 54%</p>

Group	Question and response
	Q48: How much easier or more difficult will this change make to ensuring individuals complete the required qualification on time?
Support workers	<p>175 responses</p> <p>A little or much easier: 33%</p> <p>Neither easier or more difficult: 23%</p> <p>A little or much more difficult: 44%</p>

## Adult Day Care Services

Group	Question and response
	Q48: How much easier or more difficult will this change make to ensuring individuals complete the required qualification on time?
Managers	<p>12 responses</p> <p>A little or much easier: 33%</p> <p>Neither easier or more difficult: 33%</p> <p>A little or much more difficult: 34%</p>

## Care at home and housing support services

Group	Question and response
	Q48: How much easier or more difficult will this change make to ensuring individuals complete the required qualification on time?
Managers of a housing support service	<p>29 responses</p> <p>A little or much easier: 17%</p> <p>Neither easier or more difficult: 34%</p> <p>A little or much more difficult: 49%</p>
Managers of a care at home service	<p>28 responses</p> <p>A little or much easier: 21%</p> <p>Neither easier or more difficult: 18%</p> <p>A little or much more difficult: 61%</p>
Supervisor in a housing support service	<p>27 responses</p> <p>A little or much easier: 19%</p> <p>Neither easier or more difficult: 19%</p> <p>A little or much more difficult: 62%</p>

Group	Question and response
	<b>Q48: How much easier or more difficult will this change make to ensuring individuals complete the required qualification on time?</b>
Supervisor in a care at home service	<p>49 responses</p> <p>A little or much easier: 33%</p> <p>Neither easier or more difficult: 24%</p> <p>A little or much more difficult: 43%</p>
Support worker in a housing support service	<p>146 responses</p> <p>A little or much easier: 27%</p> <p>Neither easier or more difficult: 17%</p> <p>A little or much more difficult: 56%</p>
Support worker in a care at home service	<p>243 responses</p> <p>A little or much easier: 24%</p> <p>Neither easier or more difficult: 27%</p> <p>A little or much more difficult: 49%</p>

## Day Care of Children Services

Group	Question and response
	<b>Q48: How much easier or more difficult will this change make to ensuring individuals complete the required qualification on time?</b>
Managers	<p>153 responses</p> <p>A little or much easier: 16%</p> <p>Neither easier or more difficult: 20%</p> <p>A little or much more difficult: 64%</p>
Practitioners	<p>339 responses</p> <p>A little or much easier: 29%</p> <p>Neither easier or more difficult: 27%</p> <p>A little or much more difficult: 44%</p>
Support workers	<p>93 responses</p> <p>A little or much easier: 26%</p> <p>Neither easier or more difficult: 22%</p> <p>A little or much more difficult: 52%</p>

## Residential Childcare

Group	Question and response
	Q48: How much easier or more difficult will this change make to ensuring individuals complete the required qualification on time?
Managers	<p>13 responses</p> <p>A little or much easier: 31%</p> <p>Neither easier or more difficult: 8%</p> <p>A little or much more difficult: 61%</p>
Workers with supervisory responsibilities	<p>18 responses</p> <p>A little or much easier: 56%</p> <p>A little or much more difficult: 44%</p>
Workers	<p>49 responses</p> <p>A little or much easier: 22%</p> <p>Neither easier or more difficult: 20%</p> <p>A little or much more difficult: 58%</p>

## 8. Return to practice

'We are proposing to develop return to practice standards for social workers who have come off the Register for over two years and want to re-join and for social workers who have not practised in Scotland within the last two years (or longer). Individuals will need to evidence that they have met the continuous professional learning (CPL) requirements and to demonstrate how they have updated their skills and knowledge.'

### Social Workers, students and SCSWIS Authorised Officers

Group	Questions and responses	
	Q53: Should there be a return to practice process for social workers? [Yes or No]	Q54: Should there be a return to practice process for other Register group? [Yes or No]
Social Workers	202 responses  Yes: 81% No: 19%	197 responses  Yes: 74% No: 26%
Students	16 responses  Yes: 75% No: 25%	15 responses  Yes: 67% No: 33%
SCSWIS AOs	12 responses  Yes: 92% No: 8%	12 responses  Yes: 92% No: 8%

## Care Home Services for Adults

Group	Questions and responses	
	Q53: Should there be a return to practice process for social workers? [Yes or No]	Q54: Should there be a return to practice process for other Register group? [Yes or No]
Managers	17 responses  Yes: 76% No: 24%	17 responses  Yes: 71% No: 29%
Supervisors	44 responses  Yes: 95% No: 5%	44 responses  Yes: 80% No: 20%
Practitioners	38 responses  Yes: 89% No: 11%	39 responses  Yes: 79% No: 21%
Support workers	159 responses  Yes: 82% No: 18%	158 responses  Yes: 75% No: 25%

## Adult Day Care Services

Group	Questions and responses	
	Q53: Should there be a return to practice process for social workers? [Yes or No]	Q54: Should there be a return to practice process for other Register group? [Yes or No]
Managers	12 responses  Yes: 83% No: 17%	12 responses  Yes: 67% No: 33%



## Care at home and housing support services

Group	Questions and responses	
	Q53: Should there be a return to practice process for social workers? [Yes or No]	Q54: Should there be a return to practice process for other Register group? [Yes or No]
Managers of a housing support service	27 responses  Yes: 89% No: 11%	27 responses  Yes: 81% No: 19%
Managers of a care at home service	26 responses  Yes: 100%	26 responses  Yes: 85% No: 15%
Supervisor in a housing support service	26 responses  Yes: 100%	25 responses  Yes: 85% No: 15%
Supervisor in a care at home service	45 responses  Yes: 84% No: 16%	44 responses  Yes: 75% No: 25%
Support worker in a housing support service	139 responses  Yes: 82% No: 18%	138 responses  Yes: 73% No: 27%
Support worker in a care at home service	233 responses  Yes: 82% No: 18%	232 responses  Yes: 78% No: 22%

## Day Care of Children Services

Group	Questions and responses	
	Q53: Should there be a return to practice process for social workers? [Yes or No]	Q54: Should there be a return to practice process for other Register group? [Yes or No]
Managers	134 responses  Yes: 87% No: 13%	139 responses  Yes: 82% No: 18%
Practitioners	315 responses  Yes: 86% No: 14%	312 responses  Yes: 83% No: 17%
Support workers	87 responses  Yes: 89% No: 11%	87 responses  Yes: 79% No: 21%

## Residential Childcare

Group	Questions and responses	
	Q53: Should there be a return to practice process for social workers? [Yes or No]	Q54: Should there be a return to practice process for other Register group? [Yes or No]
Managers	10 responses  Yes: 80% No: 20%	10 responses  Yes: 70% No: 30%
Workers with supervisory responsibilities	18 responses  Yes: 94% No: 6%	18 responses  Yes: 94% No: 6%
Workers	49 responses  Yes: 86% No: 14%	48 responses  Yes: 75% No: 25%

## 9. Continuous professional learning (CPL) requirements

'To make sure the workforce has the right skills and knowledge at the right time to support their professional development and equip them to be a confident, skilled workforce, the SSSC is considering introducing mandatory requirements to CPL. For example, this could include mandatory requirements for workers new into roles that will need to be achieved as part of their induction. This would allow us to support the workforce and respond to emerging skills more quickly when required for example, the infection control skills and knowledge required at the start of the pandemic.'

### Social Workers, students and SCSWIS Authorised Officers

Group	Questions and responses		
	Q58: Should the SSSC be able to set mandatory training for CPL requirements? [Yes or No]	Q59: Should there be mandatory CPL requirements for those new into role? [Yes or No]	Q60: Should there be annual CPL requirements? [Yes or No]
Social Workers	197 responses  Yes: 58% No: 42%	195 responses  Yes: 69% No: 31%	195 responses  Yes: 49% No: 51%
Students	15 responses  Yes: 80% No: 20%	15 responses  Yes: 80% No: 20%	15 responses  Yes: 87% No: 13%
SCSWIS AOs	13 responses  Yes: 85% No: 15%	13 responses  Yes: 85% No: 15%	13 responses  Yes: 69% No: 31%

## Care Home Services for Adults

Group	Questions and responses		
	Q58: Should the SSSC be able to set mandatory training for CPL requirements?  [Yes or No]	Q59: Should there be mandatory CPL requirements for those new into role?  [Yes or No]	Q60: Should there be annual CPL requirements?  [Yes or No]
Managers	16 responses  Yes: 44% No: 56%	16 responses  Yes: 63% No: 37%	16 responses  Yes: 44% No: 56%
Supervisors	46 responses  Yes: 78% No: 22%	45 responses  Yes: 82% No: 18%	45 responses  Yes: 64% No: 36%
Practitioners	37 responses  Yes: 73% No: 27%	37 responses  Yes: 78% No: 22%	37 responses  Yes: 54% No: 46%
Support workers	160 responses  Yes: 66% No: 34%	160 responses  Yes: 72% No: 28%	159 responses  Yes: 57% No: 43%

## Adult Day Care Services

Group	Questions and responses		
	Q58: Should the SSSC be able to set mandatory training for CPL requirements?  [Yes or No]	Q59: Should there be mandatory CPL requirements for those new into role?  [Yes or No]	Q60: Should there be annual CPL requirements?  [Yes or No]
Managers	<10 responses  Data withheld to protect anonymity.	10 responses  Yes: 60% No: 40%	10 responses  Yes: 40% No: 60%

## Care at home and housing support services

Group	Questions and responses		
	Q58: Should the SSSC be able to set mandatory training for CPL requirements?  [Yes or No]	Q59: Should there be mandatory CPL requirements for those new into role?  [Yes or No]	Q60: Should there be annual CPL requirements?  [Yes or No]
Managers of a housing support service	28 responses  Yes: 75% No: 25%	28 responses  Yes: 82% No: 18%	28 responses  Yes: 82% No: 18%
Managers of a care at home service	25 responses  Yes: 84% No: 16%	25 responses  Yes: 88% No: 12%	25 responses  Yes: 64% No: 36%
Supervisor in a housing support service	27 responses  Yes: 78% No: 22%	27 responses  Yes: 81% No: 19%	27 responses  Yes: 78% No: 22%
Supervisor in a care at home service	45 responses  Yes: 76% No: 24%	46 responses  Yes: 74% No: 26%	46 responses  Yes: 70% No: 30%
Support worker in a housing support service	140 responses  Yes: 63% No: 37%	138 responses  Yes: 70% No: 30%	140 responses  Yes: 51% No: 49%
Support worker in a care at home service	234 responses  Yes: 69% No: 31%	234 responses  Yes: 78% No: 22%	233 responses  Yes: 57% No: 43%

## Day Care of Children Services

Group	Questions and responses		
	Q58: Should the SSSC be able to set mandatory training for CPL requirements?  [Yes or No]	Q59: Should there be mandatory CPL requirements for those new into role?  [Yes or No]	Q60: Should there be annual CPL requirements?  [Yes or No]
Managers	146 responses  Yes: 72% No: 28%	146 responses  Yes: 79% No: 21%	144 responses  Yes: 75% No: 25%
Practitioners	323 responses  Yes: 70% No: 30%	322 responses  Yes: 78% No: 22%	321 responses  Yes: 64% No: 36%
Support workers	91 responses  Yes: 71% No: 29%	91 responses  Yes: 75% No: 25%	89 responses  Yes: 57% No: 43%

## Residential Childcare

Group	Questions and responses		
	Q58: Should the SSSC be able to set mandatory training for CPL requirements?  [Yes or No]	Q59: Should there be mandatory CPL requirements for those new into role?  [Yes or No]	Q60: Should there be annual CPL requirements?  [Yes or No]
Managers	12 responses  Yes: 75% No: 25%	12 responses  Yes: 83% No: 17%	12 responses  Yes: 75% No: 25%
Workers with supervisory responsibilities	17 responses  Yes: 82% No: 18%	17 responses  Yes: 94% No: 6%	16 responses  Yes: 94% No: 6%
Workers	49 responses  Yes: 67% No: 33%	49 responses  Yes: 80% No: 20%	49 responses  Yes: 69% No: 31%



Task Name	Meeting Action Generated	Progress	Assigned To	Due Date	Description	Checklist Items
C101 Private report	Council 28 February 2022	Completed	Acting Director of Finance and Resources	05/05/2022	Min 17: Further report to meeting on 25 March. Add to forward planner (AW).	
C100 Action record	Council 28 February 2022	Completed	Corporate Governance Co-ordinator		Min 14: Update action record.	
C99 Code of Conduct for Members	Council 28 February 2022	Completed	Head of Legal and Corporate Governance	03/28/2022	Min 12: Finalise, publish and circulate to Members the revised Code of Conduct. Update RoI forms. Add to BAU planner to issue these twice yearly/added to workplan/Code of Conduct sent to Scot Gov for approval. 31.03.22: SG approval. 04.04.2022: Code of Conduct uploaded to website and circulated to Members.	
C98 Annual Report and Accounts	Council 28 February 2022	Completed	Corporate Governance Co-ordinator	03/28/2022	Min 11: Advise S&P of revised dates to update gantt charts/processes etc. Arrange additional meetings in Sept and Oct.	
C97 Corporate Governance Framework	Council 28 February 2022	Completed	Head of Legal and Corporate Governance	03/21/2022	Min 10.3: CEO to finalise Executive Framework with Scot Gov and to confirm to Head of LCG; amendments to Code of Corp Gov and publish ; amend calendar of business/forward planners with revised reporting dates; publish SoD for staff . 16.03.2022: Executive Framework doc on intranet and in process for publishing on website. Scheme of Delegation published. Done 21.03.2022	
C96 Budget report for March 2022	Council 28 February 2022	Completed	Acting Director of Finance and Resources	03/18/2022	Min 9: (9.2, 9.4, 9.5) report to Budget setting meeting 25 March 2022 with additional information and scenarios.	
C95 Risk Register and Appetite Statement	Council 28 February 2022	Completed	Corporate Governance Co-ordinator	04/01/2022	Min 8.5.3: upload to intranet and internet. Update risks on report template for any meetings on or after 1 April. 14.03.2022: Docs to be uploaded on 01 April. Reports template updated. 04.04.2022: Risk Appetite Statement uploaded to Policy Library. Await clean copy of Risk Register for upload to website.	
C94 Investors in People results	Council 28 February 2022	Completed	Corporate Governance Co-ordinator	03/15/2022	Min 7.2: Added to agenda for May 2022 Council meeting.	Covered in CEO report.
C93 Discussion session on external engagement	Council 28 February 2022	Completed	Corporate Governance Co-ordinator	03/28/2022	Min 7.2: Make arrangements possible date in May? Arranged sessions for June and October 2022.	
C92 Hybrid meetings	Council 28 February 2022	In progress	Corporate Governance Co-ordinator	05/26/2022	Min 6.5: Make arrangements for hybrid meeting to commence from May 2022 cycle, including log of who attends in person and online. Had meetings and discussion with IT to prep for 26 May meeting	
C91 Sign and upload minutes	Council 28 February 2022	Completed	Corporate Governance Co-ordinator		Min 4.1: Have Nov 21 minutes signed and uploaded to internet.	
C86 People Management Policies	Council 25 November 2021	Not started	Interim Director of Finance and Resources		Min 9.1: Discuss with the Programme Governance Group the creation of a separate policy to deal with redundancy and severance matters not covered in the Redundancy and Severance policy.	This will be discussed at the Programme Governance Group in June.

C77 Arrange date for dev session on Fitness to Practise      Council 26 August 2021      In progress      Director of Regulation

Min 72: AW and MA to discuss proposed date for Members dev FtP session to be held on 13 October session and AW to arrange thereafter. 2022.  
11.11.21: To be discussed with Members at away day in January 2022.

### Council Calendar of Business 2022/23

Report/meeting dates	26 May 2022	25 Aug 2022	Oct 2022	24 Nov 2022	27 Feb 2023	March 2023
<b>Quarterly reports</b>						
Convener's Report	✓	✓		✓	✓	
Chief Executive's Report	✓	✓		✓	✓	
Audit and Assurance Committee Report (inc assurance report and minutes)	✓	✓		✓	✓	
Action Record	✓	✓		✓	✓	
Rewards Review Programme	✓	✓		✓	✓	
<b>Annual reports</b>						
Audit and Assurance Committee Annual Report (part of annual report and Accounts process)	✓					
Risk Register and Risk Appetite Statement (included in quarterly A & A committee report to Council)					✓	
People Strategy Report (includes HR Annual Report and agile working updates)					✓	
Complaints Annual Report	✓					
Digital Development Annual Report		✓				
Information Governance Annual Report		✓				
Partnership Agreement Annual Report				✓		
Shared Services Annual Report		✓				
Effectiveness of Council Annual Report					✓	
Corporate Governance Annual Report					✓	
HR Interim Annual Report (see Feb meeting for annual report)		✓				

Annual Report and Accounts			√			
Draft Annual Report and Accounts		√				
Chief Executive Appraisal (Private Report)	√					
Draft Budget 2023/24					√	
Budget Setting 2023/24						√
<b>Policies timetable – see appendix for any policies for Council</b>						
<b>All other items (<i>ad hoc or requested matters</i>)</b>						
Fees review		√				
Consultation on Future Proofing Programme	√					
Review of opt in hearings				√		
Future Proofing Programme				√		
People Strategy Delivery Plan		√				
6-month update on agile working				√		

## Appendix 1 Policy Timetable

Policy/Strategy etc name	Department	Owner	Hyperlink to Document	Date of Next Review	Approval by
Capability Policy and Procedure	HR	Director of Finance and Resources	<a href="#">Capability Policy and Procedure</a>	2023 November	Council
Code of Conduct (Employees)	HR	Director of Finance and Resources	<a href="#">Code of Conduct (Employees)</a>	2024 May	Council
Code of Corporate Governance Policy	Legal and Corporate Governance	Director of Finance and Resources	<a href="#">Code of Corporate Governance</a>	2024 February	Council
Codes of Practice for Social Service Workers and Employers	Development and Innovation	Director of Development and Innovation	<a href="#">Codes of Practice for Social Service Workers and Employers</a>	As required	Council
Communications Strategy	Strategic Communications	Director of Strategy and Performance	<a href="#">Communications Strategy</a>	2024 May	Council
Corporate Health and Safety Policy	Estates	Head of Shared Services	<a href="#">Corporate Health and Safety Policy</a>	2022 February	Council
Criteria and Principles for Assessing Qualifications Sector Guidance	Development and Innovation	Director of Development and Innovation	<a href="#">Criteria and Principles for Assessing Qualifications Guidance</a>	As required	Council
Data Protection Policy	Legal and Corporate Governance	Director of Finance and Resources	<a href="#">Data Protection Policy</a>	2024 November	Council
Digital Strategy	Digital	Director of Strategy and Performance	<a href="#">Digital Strategy 2021-2024</a>	2024 May	Council
Dignity at Work Policy and Procedure	HR	Director of Finance and Resources	<a href="#">Dignity at Work Policy</a>	2022 July	Council
Disciplinary Policy	HR	Director of Finance and Resources	<a href="#">Disciplinary Policy</a>	2024 February	Council
Equality, Diversity and Inclusion Policy	Performance and Improvement	Director of Strategy and Performance	<a href="#">Equality, Diversity and Inclusion Policy 2020</a>	2023 August	Council
Grievance Policy and Procedure	HR	Director of Finance and Resources	<a href="#">Grievance Policy</a>	2024 August	Council
Health, Safety and Wellbeing Strategy	Estates	Director of Finance and Resources	NEW	2022 February	Council
People Strategy	HR	Director of Finance and Resources	<a href="#">People Strategy</a>	2024 August	Council
Procurement Strategy	Finance	Director of Finance and Resources	<a href="#">Procurement Strategy 2020-2023</a>	2023 March	Council
Records Management Policy	Legal and Corporate Governance	Director of Finance and Resources	<a href="#">Records Management Policy</a>	2024 August	Council
Redeployment Policy	HR	Director of Finance and Resources	<a href="#">Redeployment Policy</a>	2024 August	Council

Retirement and Redundancy/Retirement and Early Severance Policy	HR	Director of Finance and Resources	<a href="#">Retirement and Severance Policy</a>	2024 November	Council
Risk Appetite Statement	Strategy and Performance	Director of Strategy and Performance	<a href="#">Risk Appetite Statement</a>	2022 February	Council
Risk Policy	Strategy and Performance	Director of Strategy and Performance	<a href="#">Risk Policy</a>	2023 January	Council
Rules - Combined Fitness to Practice Rules 2017	Fitness to Practise	Director of Regulation	<a href="#">The Combined Fitness to Practice Rules 2017</a>	As required	Council
Rules - Combined Registration Rules 2017	Fitness to Practise	Director of Regulation	<a href="#">The Combined Registration Rules 2017</a>	As required	Council
Rules - Fitness to practise (Amendment) Rules 2021	Fitness to Practise	Director of Regulation	<a href="#">Fitness to Practise (Amendment) Rules 2021</a>	As required	Council
Rules - Registration (Amendment) Rules 2021	Fitness to Practise	Director of Regulation	<a href="#">Registration (Amendment) Rules 2021</a>	As required	Council
Rules - Social Work Training Rules 2003	Development and Innovation	Director of Development and Innovation	<a href="#">Social Work Training Rules 2003</a>	2021 January	Council (Approved January 2019)
Rules and Requirements for Awards Developed from the Standard for Childhood Practice 2008	Development and Innovation	Director of Development and Innovation	<a href="#">Rules and Requirements for Awards Developed from the Standard for Childhood Practice 2008</a>	Currently under review - with Scot Gov for approval.	Council (Approved January 2019)
Rules and Requirements for Specialist Training for Social Service Workers in Scotland 2005	Development and Innovation	Director of Development and Innovation	<a href="#">Rules and Requirements for Specialist Training for Social Service Workers in Scotland 2005</a>	Currently under review - with Scot Gov for approval.	Council (Approved January 2019)
SSSC Decision Guidance Policy	Fitness to Practise	Director of Regulation	<a href="#">Decisions Guidance</a>	As required	Council
SSSC Fitness to Practise Public Information Policy	Strategic Communications	Director of Strategy and Performance	<a href="#">Fitness to Practise Public Information Policy</a>	2021 September	Council
Thresholds Policy	Fitness to Practise	Director of Regulation	<a href="#">Fitness to Practise Thresholds Policy</a>	As required	Council
Whistleblowing Policy	HR	Director of Finance and Resources	<a href="#">Whistleblowing Policy</a>	2024 February	Council
Workforce Change	HR	Director of Finance and Resources	<a href="#">Workforce Change Policy</a>	2024 August	Council
Counter Fraud and Corruption Framework Policy	Finance	Director of Finance and Resources	<a href="#">Counter Fraud and Corruption Framework</a>	2024 May	Audit and Assurance Committee
Debt Management Policy	Finance	Director of Finance and Resources	<a href="#">Debt Management Policy</a>	2022 February	Audit and Assurance Committee
Financial Regulations Policy	Finance	Director of Finance and Resources	<a href="#">Financial Regulations Policy</a>	2022 February	Audit and Assurance Committee