Title of report	Assurance Report as of 30 September 2022
Summary/purpose of report	To provide performance, financial and risk information which: • assesses delivery of our strategy through the analysis of strategic performance indicators • highlights areas of concern • identifies corrective action required. 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.
Recommendations	The Audit and Assurance Committee is asked to: 1. endorse the direction of travel for the strategic measures 2. approve the risk register position.
Author	Laura Shepherd, Director of Strategy and Performance
Responsible	Maree Allison, Acting Chief Executive
Links to Strategic Plan	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.
Link to the Strategic Risk Register	Strategic Risk 4: We fail to provide value to our stakeholders and demonstrate our impact.
Documents attached	Full 2022/23 Strategic Risk Register.

ASSURANCE REPORT AS OF 30 SEPTEMBER 2022

AAC Meeting Version

1 November 2022

Agenda item: 05, Report no: 24/2022

Action: For Decision

EXECUTIVE SUMMARY

September 2022 SSSC PERFORMANCE SUMMARY

SPI	SPI Description	Outcome	Risk	Ambition	Current	V(+/-)	Movement	Proj. YE	Actions & Comments
Finance	Net expenditure (£000) (excluding grants)	1-4		3,680	3,082	-598	↑	Amber	If all risks were realised that are currently projected there would be an underspend of £135k.
Finance	Risk sensitivity (£000)	1-4		N/A	463	+463		Amber	
Finance	Reserves (%)	1-4		2 to 2.5	0.4	-1.6	↑	Red	Reserves projection is low and impacted by future under/overspends. Continue to monitor.
3.1 Reg	Reduce the time taken to being registered (weeks)	1	1	<18	24.5	-0.7	↑	Green	Although current performance is red it remains within the natural process limits.
3.2 Reg	Time taken to process a fitness to practise case is less than organisations we benchmark against (months)	1	1	6.8	4.8	+0.7	↓	Green	
3.3 Reg	Increase the percentage workforce who engage… in fitness to practise process (%)	1	1	80.0	81.0	+8.6	↑	Amber	
3.4 D&I	Increase the percentage of the registered workforce with the correct qualification (%)	2	2	50.0	49.8	+0.2	↑	Amber	
3.5 D&I	Increase the percentage of the workforce using learning resources to achieve CPL (%)	2	2	50.0	44.9	+1.1	↑	Red	The risk on this measure is dormant accounts. There are currently 5,874 dormant accounts which *could* be removed in the next few months. This *could* result in performance being reduced by 5%.
3.6 D&I	Percentage of those reporting positively that our development activity is delivering the support required by the workforce (%)	2	2	80.0	77.7	-7.0	↓	Green	
3.6 D&I	Cumulative performance (%)	2	2	80.0	78.7	-0.2	↓	Amber	
3.7 D&I	Percentage of those reporting positive awareness of workforce planning resources and report that resources are effective (#resources)	3	5	N/A	537	+5	↑		Target discussions to take place in November-22.
3.9 Reg	Deliver the Future Proofing Programme	1	1	N/A	-	-	-	N/A	Under development.
3.10 S&P	The work of the SSSC promotes the value of the social care workforce (% positivity)	4	5	N/A	-	-	-	N/A	
4.2 S&P	External stakeholder engagement (%)	1-4	5	41.0	44.0	-10.2	↓	Green	
4.3 S&P	SSSC complaint information for Stage 1 (%)	1-4	5	90.0	100	0	→	-	
4.3 S&P	SSSC complaint information for Stage 2 (%)	1-4	5	90.0	100	+100	↑	-	
4.4 HR	The overall percentage of staff who are absent from work (%)	1-4	6	<3.6	2.9	-0.6	↑	-	
4.5 HR	The overall staff turnover percentage (%)	1-4	6	<12.4	13.9	-0.1	↑	-	After benchmarking the target has been adjusted to 12.4%
4.7 L&CG	SAR requests are dealt with within timescales (%)	1-4	3	100	100	0	→	-	
4.7 L&CG	FOI requests are dealt with within timescales (%)	1-4	3	100	100	0	→	-	
4.8 L&CG	Number of data security incidents reported (#Red)	1-4	3	0	0	0	→	-	

September 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 provide value to our stakeholders and demonstrate our impact.	1, 4	12	9	➡	DoSP	
5	We fail to develop and support SSSC staff appropriately to ensure we have a motivated and skilled workforce to achieve our strategic outcomes.	1, 2, 3	20	16	➡	DoFR	
6	The SSSC fail to secure sufficient budget resources to fulfil the financial plans required to deliver the strategic plan.	1	20	16	➡	DoFR	Scottish Government has significant budget challenges that are likely to impact on our budget.
7	The current Business Continuity Plan (BCP) in place is not up to date for the SSSC.	1, 2, 3, 4	20	4	➡	CEO	
8	We fail to have the appropriate measures in place to protect against cyber security attacks	1, 2, 3, 4	20	12	➡	DoSP	

Current Full Strategic Risk Register

New, Emerging and Changed Strategic/Directorate Risks identified

- The ability to fill more specialist roles continues to be a challenge. Several posts remain vacant across the organisation due to several unsuccessful recruitment campaigns. A significant number of the posts are temporary contracts and salary is not as competitive in comparison. This is reflected in risk 5 on the October risk register.
- Scottish government has asked the SSSC to administer a waiver of fees for local government staff. We need significant changes to digital systems and re-allocation of staff to deal with this request. This has significant implications for the current programme of work for Future Proofing Programme and the ability to manage existing registration requirements. This is reflected in cause and consequences on the October risk register for risk 1. This potentially will impact on our reputation and is reflected on cause and consequence of risk 4.

- The Finance Team has had vacancies since March and currently there are two vacant posts in a team of five with several unsuccessful recruitment campaigns. With reduced capacity and increased pressure on the team there is more risk of error and inaccuracy in budget monitoring figures.
- Executive Management Team (EMT) added a strategic risk 9 to reflect the previous discussion around accommodation. The position of this has changed since discussion at Council and risk is now low. The accommodation plan is expected to be concluded early November.

SSSC – CORPORATE FINANCIAL POSITION

Financial summary

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

Budget by Strategic Outcome	2022/23 Revised Budget £000	2022/23 percentage %
SO1	15,884	79%
SO2	3,101	15%
SO3	1,004	5%
S04	125	1%
	20,114	
Disbursements/grants	7,403	
(all inc. o/heads)	**27,517**	

	Expenditure £000	Fees and other income £000	Grant in aid and disbursement income £000	Net expenditure £000
Budget for monitoring purposes	26,974	(6,359)	(16,935)	3,680
Actual	9,841	(5,847)	(1,485)	n/a
Committed	1,151	n/a	n/a	n/a
Year end projection	26,289	(6,272)	(16,935)	3,082
projected (under)/overspend	(685)	87	0	(598)

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

Overview

At 30 September 2022 there is a projected corporate underspend of £727k (excluding grants). We currently expect an underspend of £385k on our Futureproofing project, £341k of this relates to digital development. We will ask our Sponsor for approval to carry forward the full £385k into 2023/24. However, in order to have sufficient funds to carry forward for future proofing (£385k) as well as maintaining the minimum planned reserves target of 2% (target £500k but projections are £100k less at £400k), we would need to reduce expenditure by £485k in 2022/23.

We have broken down the underspend and movements since the beginning of the financial year as follows.

Key movements since the beginning of the financial year 30 September 2022	Projected overspend or (underspend/ additional income) £000	Movement: increase/ (decrease) to projection since last report £000
Projected overspends		
Accommodation upgrade (NR)	300	300
Panel Member Allowances (P)	170	170
Registration fee income (projected underacheivment of 1.47%) (P)	87	87
Legal Fees (P)	81	81
Insights and Intelligence Project (NR)	65	13
Digital running costs (P)	29	29
FtP practicing certificates (P)	17	17
Advertising for new employees (P)	10	10
Digital developments - excluding Insights and Intelligence project (NR)	(0)	52
Total projected overspends	**759**	**759**
Projected underspends/additional income		
Futureproofing project including digital development (P)	(385)	(385)
Staff costs, including hired agency and secondments inwards (P)	(421)	(421)
Disbursements -postgraduate bursaries (P)	(230)	(230)
Disbursements - practice learning fees (P)	(148)	(148)
Communications publicity, printing, design and postage (P)	(82)	(82)
Secondees outwards (NR)	(34)	(34)
Stationery, postage, travel, storage and archiving (corporate) (P)	(29)	(29)
Staff training (saving £20k - Flexible Workforce Development Fund grant) (NR)	(24)	(24)
Other minor underspends across the organisation (P)	(5)	(5)
Total projected underspends	**(1,357)**	**(1,357)**
Net expenditure and movements	**(598)**	**(598)**

KEY:

R - Recurring - likely to happen in future years

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

P - Possible – Could happen in future years

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

Reserves

- Our general reserve position was £2.389m at 31 March 2022 (subject to audit). However, this is £272k less than the draft figure of £2.661m we included in the March 2022 budget paper, due to accruals. We budgeted for an overspend of £3.847m (including grants) and projections at 30 September 2022 meaning our projected outturn will be £3.249m (including grants).
- Although Scottish Government confirmed in the 2022/23 budget allocation letter of April 2022 that £1.638m spending pressure funding would be available there is a risk that it will reduce given Scottish Government's financial challenges. Assuming we receive £1.638m, we expect a general reserve balance of £778k at 31 March 2023.
- The general reserve balance of £778k includes £378k projected underspend on disbursements leaving £400k available.
- Our target reserves are 2% (£500k) to 2.5% (£625k). Our current projected outturn at 31 March 2023 of £400k (1.6%) is £100k less than our minimum target reserve of £500k (2%).

Budget changes

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

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

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

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

Income and expenditure

- Actual and committed spend, excluding disbursements is £10.99m (41%) at this point in the year.
- We have accounted for 39.5% of our expected fees and other income (£5.693m).

Registration fees

- We have written off £170k so far this year (budget £337k, projection £337k). The main reasons for removal from the register are that people have not paid their fees or no longer require to be on the register.

Specific Grants

- Scottish Government agreed that we could carry forward £32k underspend on staff costs in the 2021/22 cyber resilience grant for use in 2022/23. We expect to fully spend the cyber resilience grant at 30 September 2022.

- Scottish Government has also agreed we could carry forward £135k underspend for workforce development activity to 2022/23 so that we can fully deliver the outcomes. We expect an underspend of £45k on workforce development grant activity. This is from leadership and improvement learning £37k and workforce planning £8k. Scottish Government has asked us to return the underspent grant, so we will not draw down this funding.

Significant variances from budget & key risk

The key financial risks to the position at the end of March 2023 are shown in the table below with potential sensitivity of £463k overspend.

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

- Future funding – Scottish Government (SG) has an extremely challenging financial position they are trying to manage which is likely to impact on future funding and potentially current year.
- Pay remit – Unison has now submitted their pay claim. They have not asked for a specific percentage but rather a consolidated and inflation proofed pay increase for all grades. Inflation is currently around 10%.

- Reserves/ working capital – it is highly unlikely that SG will allow us to carry forward any working capital to next financial year. Areas we are particularly concerned about are:
  - o Digital development required for future proofing the register estimated at £300k to £600k over 2022/23 and 2023/24.
  - o Estimated costs of £300k to improve our office accommodation due to delays agreeing the lease. SG Government Property Team is currently working with SSSC and other occupants of Compass and Quadrant House (C&QH), SG core and other public bodies to prepare a business case by the end of October for Scottish Ministers to approve full occupancy of C&QH, with SSSC occupying around half of current space. We do not yet understand the full implications for our future budget.
- We are also concerned that we will not have sufficient funding in future for:
  - o Vacancy management adjustment of £192k for Fitness to Practise staff, which would allow us to recruit additional solicitor posts early in the financial year to enable training and development of staff before posts become vacant due to natural turnover.
  - o Temporary posts required to deliver outcomes in the Strategic Plan.
  - o Potential spend relating to the National Care Service and panel member remuneration decision.
- Rewards review – Council made a decision in August to pause the rewards review until next year so there will not be a financial impact this financial year, although it remains an issue for future years.
- Fees – Scottish Ministers decided to delay a consultation on fees until 2023 meaning we will have a higher budget deficit next year than we outlined in the budget paper to Council in March 2022.
- Efficiency savings – SG is likely to request efficiency savings of at least 3% next financial year.

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

Budget area	Current projection £'000	Projection reported to last audit and Assurance Committee £'000	Risk sensitivity	Likelihood (RAG status)	Reason for variance and reason for movement
Future proofing project – (outcome 1)	£385k underspend	N/a	£168k over	High	Of the £385k underspend, £341k relates to digital development. There is a risk that we may not get permission to carry forward this underspend or alternatively this may not be affordable. If we get Scottish Government approval for additional development work on the project, we may spend up to a further £168k in 2022/23. Timeline and ability to deliver has been significantly affected by prioritisation of the local government fee waiver.
Staff costs – (all outcomes)	£421k underspend	N/a	£75k under	Medium	Staff cost underspends (total £544k) are Regulation (including FPP) (£318k); Strategy and performance (£152k); Development and Improvement (£12k); Finance and resources (£62k). These underspends are partially offset by an overspend of £123k on hired agency costs across the organisation.
Staff costs – pay award	0	N/a	£450k over	High	We have budgeted for the current pay policy of approx. 2%. Unison has submitted a pay claim to reflect inflation (10%). Every 1% increase is approx. £150k. SG is currently saying they will not pay more than 5% in total but this may increase on negotiation with Unions.

Accommodation upgrade	£300k overspend	N/a	£20k over	Low	Based on the projected spend at the end of March 2022 we expected to pay this from working capital. However, actuals were less and this funding is no longer available at this point in 2022/23. Spend estimates may change when we know the outcome of tenders for works.
Panel Member Allowances - (outcome 1)	£170k overspend	N/a	£50k over	Medium	We reduced our budget because of opt in hearings, however, the number of days have not reduced in the same proportion as the number of overall hearings as hearings are taking longer.
Registration fee income - (outcome 1)	£87k less income	N/a	£75k over/(under)	Medium	Current projections suggest an underachievement of registration income of 1.47% of the total budget.
Communications publicity, printing, design and postage – (all outcomes)	£82k underspend	N/a	Possibly a further £20-25k reduction to come depending on activity for the rest of 22/23	Medium	Projections reduced across professional fees and printing due to no longer being required and activities not taking place e.g. less in person events than anticipated, no progress on stakeholder involvement and engagement due to not being able to recruit staff There was money allocated in the budget for ongoing costs due to the impact of the FPP work on corporate activity however, that work hasn't reached that stage yet so this will move into 2023/24.
Legal fees - (outcome 1)	£81k overspend	N/a	£25k under	Medium	Full legal fee budget is either committed or spent, projections based on current expectations.
Digital running costs - (all outcomes)	£29k overspend	N/a	0	Low	This overspend relates to SWAN connection charges from SEPA relating to the 2021/22 financial year. The charges were received in July 2022 because SEPA had difficulties ascertaining our charge amount due to their cyber-attack.

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

3. STRATEGIC PERFORMANCE INDICATORS

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

Time taken from employment to registration was 24.5 weeks in September 2022. Employment to application decreased from 20.1 to 19.6 weeks and application to registration decreased from 5.1 to 4.9 weeks.
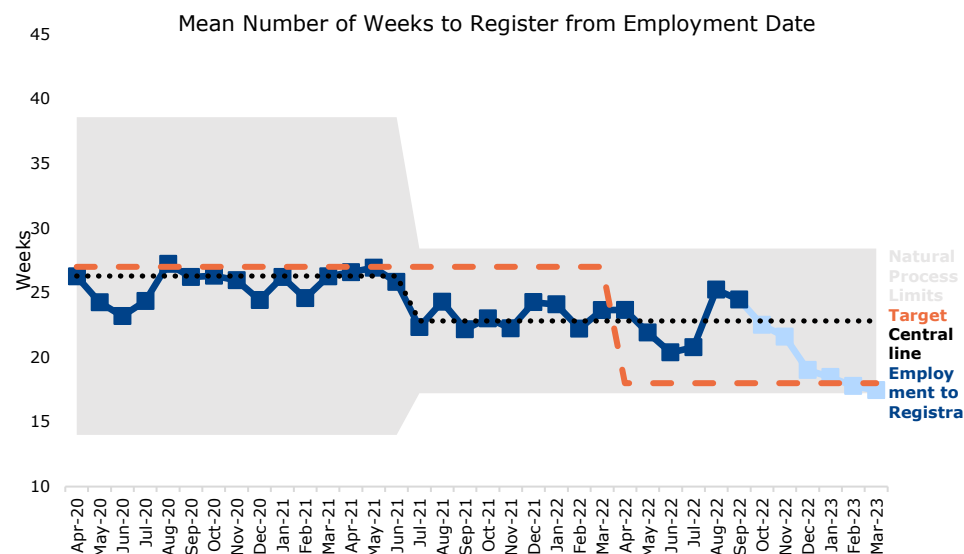
	RAG	
<18	18 to 22	>22

Target: 18 weeks

Actual and Reforecast		
Apr-22	23.7	31.4%
May-22	21.9	21.7%
Jun-22	20.4	13.2%
Jul-22	20.8	15.4%
Aug-22	25.2	40.1%
Sep-22	24.5	35.9%
Oct-22	22.5	25.0%
Nov-22	21.6	20.0%
Dec-22	19.0	5.6%
Jan-23	18.5	2.6%
Feb-23	17.8	-1.3%
Mar-23	17.5	-3.0%

Scottish Government's pilot for paying fees ended on 25 June 2022. However, the effects are still being felt, we had increased applications to process which increased the time between application to registration.

The profile of those applying for registration has also shifted. In August and September the number of those applying after one month or two months of being in a role reduced. This has had an impact on the time taken from employment to application.

We have revised our aim to register workers within 12 weeks of employment, 8 weeks to submit an application and 4 weeks

processing time. Recruitment and retention in the sector continues to be a significant challenge. With this in mind, we have set our target for 2022/23 at 18.0 weeks overall.

Mean Number of Weeks to Register from Employment Date

Management Action and Risk

- The August increase was as a result of the end of the waiver in June 2022. This led to a big increase in number of applications.
- We need to significantly change digital systems to accommodate fee waiver for local government staff. We have to re-allocate staff to accommodate.
- This is an urgent request and will have an impact on processing times as staff are re-allocated to administer this. This may also affect application patterns as workers in local authority roles await clarity before applying.

- The proposals for managing registration timescales in the Future Proofing Programme, if implemented, will make 16 weeks the minimum period time period between employment and registration. Until there is approval of that proposal it is unlikely that we can take steps to improve this figure. We will consider whether the target for this year needs revisited.

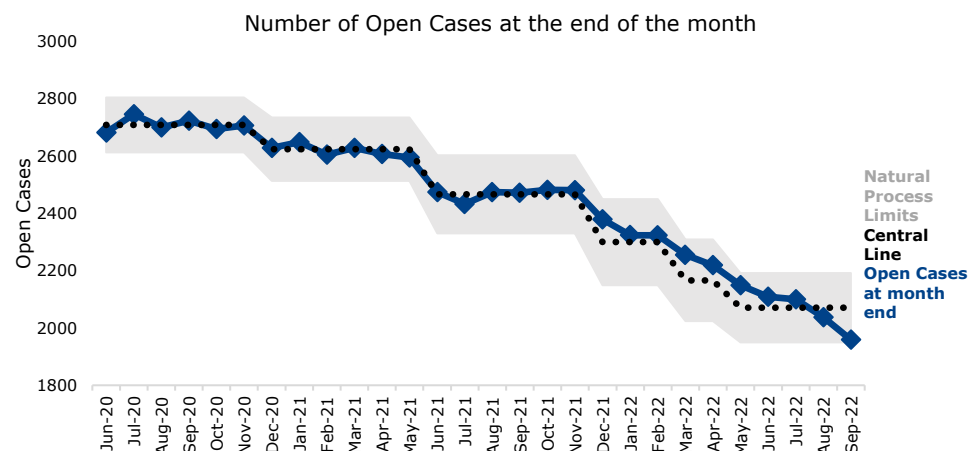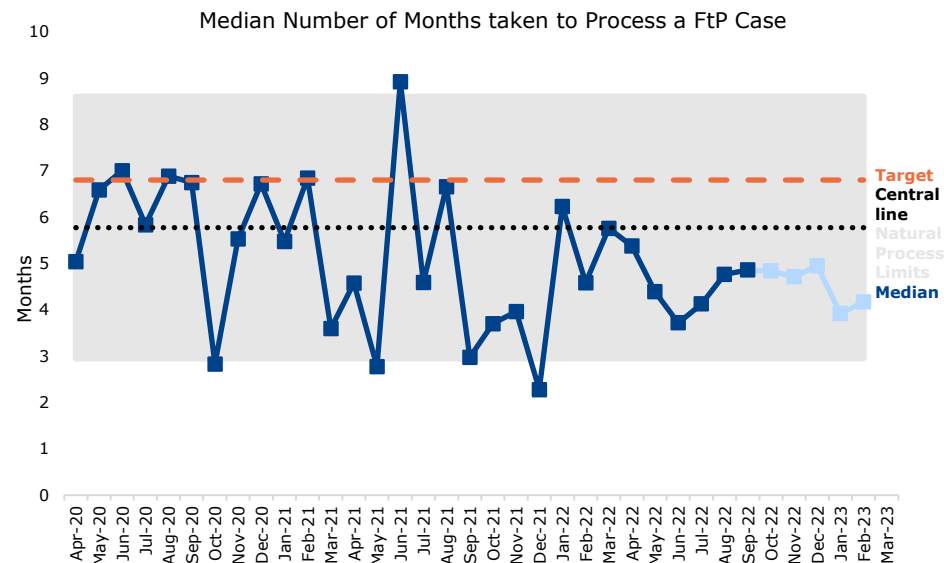## 3.2 Regulation: The average time taken to process a fitness to practise case is maintained at less time than organisations we benchmark against.

Prompt processing of Fitness to Practise (FtP) cases ensures concerns are addressed and the right people registered. We continue to outperform similar bodies (external target 17.4 months), so an internal target of 6.8 months was set.
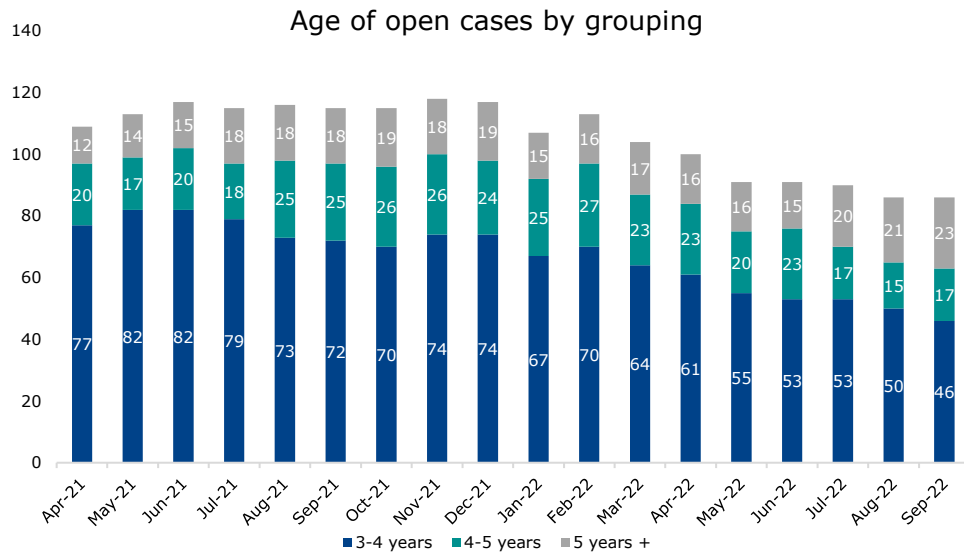
RAG		
<0%	0% to 10%	>10%

Internal Target: 6.8 months

Actual and Reforecast

Apr-22	5.8	-15.3%
May-22	5.4	-20.9%
Jun-22	4.4	-35.5%
Jul-22	3.7	-45.4%
Aug-22	4.1	-39.4%
Sep-22	4.8	-29.9%
Oct-22	4.9	-28.6%
Nov-22	4.8	-28.9%
Dec-22	4.7	-30.7%
Jan-23	4.9	-27.2%
Feb-23	3.9	-42.4%
Mar-23	4.2	-38.7%

September 2022's performance was 4.8 months to process a Fitness to Practise case. 54% (165 of 306) of cases were closed at screening stage, the same as in August 2022 (147 of 270).

At the end of September 2022, the number of open cases was 1,959. A decrease of 78 from the previous month and an overall reduction of 513 from September 2021. The median age of open cases at the end of September 2022 was 291 days, a decrease of 12 days from the previous month.

Median Number of Months taken to Process a FtP Case

Number of Open Cases at the end of the month

Age of open cases by grouping

	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22	Jul-22	Aug-22	Sep-22
5 years +	12	14	15	18	18	18	19	18	19	15	16	17	16	16	15	20	21	23
4-5 years	20	17	20	18	25	25	26	26	24	25	27	23	23	20	23	17	15	17
3-4 years	77	82	82	79	73	72	70	74	74	67	70	64	61	55	53	53	50	46

■ 3-4 years   ■ 4-5 years   ■ 5 years +

Management Action and Risk

Performance in FtP is steady and consistent due to the following actions:

1. Intensive induction for new staff.
2. Focus on staff achieving competencies quicker but not at the detriment of fair outcomes.
3. Restructure of screening and investigation teams.
4. Focus on older cases and proportionate investigation and decision making.
5. Introduction of Power BI to better monitor performance.
6. Better engagement with Police Scotland and recovery of evidence to progress cases.
7. Continued focus on resolving cases earlier in the process in screening.
8. Continued better engagement with the sector.

9. Focus on valuing our staff's development and training.
10. A stable register means we are better able to predict FtP referrals received.

The FtP workforce has been stable since 2020. Solicitor resignations are going up and they are at the same number that we overrecruited at the start of the year. Solicitors consistently tell us that they are leaving for better pay in the legal sector.
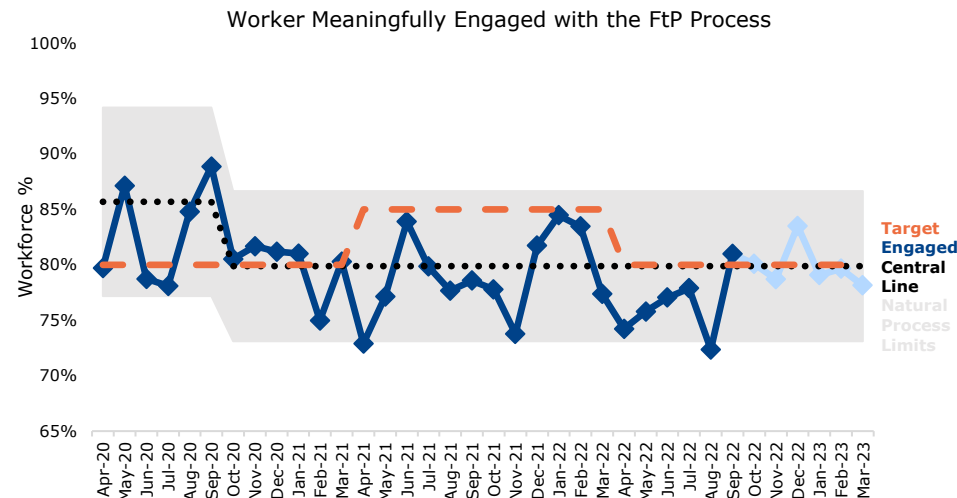
- There is a risk that performance could drop if we continue to lose experienced staff, especially in legal roles.
- We are continuing to ensure that we have the right people doing the right work for their role.
- We will promote the benefits of working for the SSSC including agile working and generous leave and pension provisions.
- We will focus on building resilience in staff and encouraging autonomy in their reasoning and decision making.

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

If a worker has provided a response to allegations, this is likely to amount to meaningful engagement. September 2022's performance was 81% engagement (115 of 142 cases).

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

Actual and Reforecast		
Apr-22	74.2%	-7.2%
May-22	75.8%	-5.3%
Jun-22	77.0%	-3.7%
Jul-22	77.9%	-2.7%
Aug-22	72.4%	-9.6%
Sep-22	81.0%	1.2%
Oct-22	80.1%	-0.1%
Nov-22	78.7%	-1.6%
Dec-22	83.5%	4.4%
Jan-23	79.1%	-1.1%
Feb-23	79.6%	-0.5%
Mar-23	78.1%	-2.3%

Worker Meaningfully Engaged with the FtP Process

Target
Engaged
Central Line
Natural Process Limits

Management Action and Risk

- We continue to work to improve access to representation and support services for workers, which helps them to meaningfully engage.
- We continue to work with employers to teach the workforce about how important it is for them to engage with us. We have produced a fact sheet for employers. This fact sheet includes the employer's role in our investigations and how to support workers. The telephone wellbeing support line for workers going through the fitness to practise process is operational.
- We encourage early contact with workers under investigation at the start of the case to improve engagement as well as supporting them to use the FtP portal to keep up to date with their case.

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

September 2022's performance was 49.8%.

	RAG	
>50%	47.5% to 50%	<47.5%

Target: 50%

Actual and Reforecast

Apr-22	49.8%	-0.4%
May-22	49.5%	-1.0%
Jun-22	49.4%	-1.2%
Jul-22	49.5%	-1.1%
Aug-22	49.6%	-0.8%
Sep-22	49.8%	-0.4%
Oct-22	49.8%	-2.0%
Nov-22	49.7%	-1.5%
Dec-22	49.7%	-1.1%
Jan-23	49.5%	-1.6%
Feb-23	49.3%	-1.6%
Mar-23	49.1%	-1.5%

As the trend has flatlined again the Business Intelligence team has commenced prioritised work looking into this trend and forecast.

Percentage of Registrations with a Qualification

Management Action and Risk

- The Register for the Future consultation proposals and intelligence from the responses will support development of an action plan to address the training supply and demand findings of the workforce skills report (WSR) including more flexibility in the qualifications we accept for registration and the timescales given to obtain the relevant qualification for registration. These proposed changes, if implemented, will help increase the qualified status of the workforce.

- In partnership with SQA we surveyed all training and learning providers who currently deliver the benchmark qualifications to gather further intelligence on capacity within the system to adapt and to address the supply and demand challenges highlighted within the WSR. The results showed there is sufficient capacity amongst the providers and this has therefore helped to further inform our FPP proposals.

- The Voluntary Sector Development Fund (VSDF) will prioritise applications from Care at Home and Housing Support as these remain the least qualified groups on the register. Funding is available for SVQ Social Services and Healthcare at SCQF level 6 and 7; given the increasing complexity of roles and changing models of care delivery, the SSSC/SG is encouraging level 7 applications. Applications are open and funding will be allocated in November 2022.

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

The indicator reflects the number of learners registered to use our learning resources and the number of SSSC open badges awarded. September 2022's performance was 44.9%. We track how many people have been actively using the MyLearning app in the last 30 days, which was 4,810 compared to last month's 5,053. We also monitor the number of learning logs created in the last 30 days which was 14,538 compared to last month's 15,515.

RAG		
>50%	45% to 50%	<45%
	Target: 50%	

Apr-22	46.5%	-6.9%
May-22	46.9%	-6.2%
Jun-22	46.0%	-7.9%
Jul-22	45.6%	-8.9%
Aug-22	43.8%	-12.5%
Sep-22	44.9%	-10.2%
Oct-22	40.0%	-20.1%
Nov-22	40.7%	-18.6%
Dec-22	41.4%	-17.1%
Jan-23	42.3%	-15.4%
Feb-23	43.0%	-14.0%
Mar-23	43.7%	-12.6%

The number of new learner accounts was 1,454 compared to last month's 1,213. The number of badges awarded was 551 compared to last month's 391.

The overall number of learner accounts and leadership feedback tool users was 47,799 this month an increase of 1,051 from last month. There are 5,874 accounts that currently fit the criteria of a dormant account and we are in the process of contacting these account holders to establish if the account should be closed.

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.

Percentage of Users and Badges awarded against Individuals Registered

Management Action and Risk

- The data shows a continued uptake of individuals using our learning resources to achieve their CPL requirements. The majority of dormant accounts are individuals who no longer work in social services. In order to understand the impact on performance we need to remove dormant accounts currently identified and monitor the trend data for dormant

accounts per month against new users. Key actions to increase those using our learning resources include:

- o Using functionality within MyLearning to encourage users to remain active.
- o Implementation of improvement plan to ensure continual targeted promotion of MyLearning and our learning resources in registrant newsletters and on social media taking account analysis of the feedback from the analysis of our learning resources survey issued to registrants and JRS research.
- o Launch of 23 Things ELC Leadership resource in August is increasing learners to use the related Open Badges.
- o Registrant events planned for January 2023, delivered by Development and Innovation that will focus on using SSSC resources to support CPL and highlight newly published resources.

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

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

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

RAG		
>80%	70% to 80%	<70%

Target: 80%

RAG		
>80%	70% to 80%	<70%

Target: 80%

Monthly Performance Actual and Reforecast		
Apr-22	80.1%	0.1%
May-22	78.0%	-2.5%
Jun-22	78.6%	-1.7%
Jul-22	73.8%	-7.7%
Aug-22	84.7%	5.9%
Sep-22	77.7%	-2.9%
Oct-22	77.9%	-2.7%
Nov-22	78.0%	-2.5%
Dec-22	78.9%	-1.4%
Jan-23	80.3%	0.4%
Feb-23	80.6%	0.8%
Mar-23	80.1%	0.1%

Cumulative Performance actual and Reforecast		
Apr-22	80.1%	0.1%
May-22	79.0%	-1.3%
Jun-22	78.8%	-1.5%
Jul-22	77.6%	-3.0%
Aug-22	78.9%	-1.3%
Sep-22	78.7%	-1.6%
Oct-22	79.2%	-0.9%
Nov-22	79.1%	-1.1%
Dec-22	79.1%	-1.1%
Jan-23	79.3%	-0.9%
Feb-23	79.4%	-0.8%
Mar-23	79.5%	-0.7%

From the above sources, the number of responses we received in September was 368 compared to last month's 320. In September 2022 we received a positive score of 77.7% which brought overall cumulative performance to 78.7%. Since April 2022 we have received 2044 responses.

Positive Score of Development Activity

Management Action and Risk

Although the cumulative performance is currently amber, our performance against this measure remains strong and is close to reaching our ambitious target. Development and Innovation are undertaking further work to measure stakeholder satisfaction with resources. This includes:
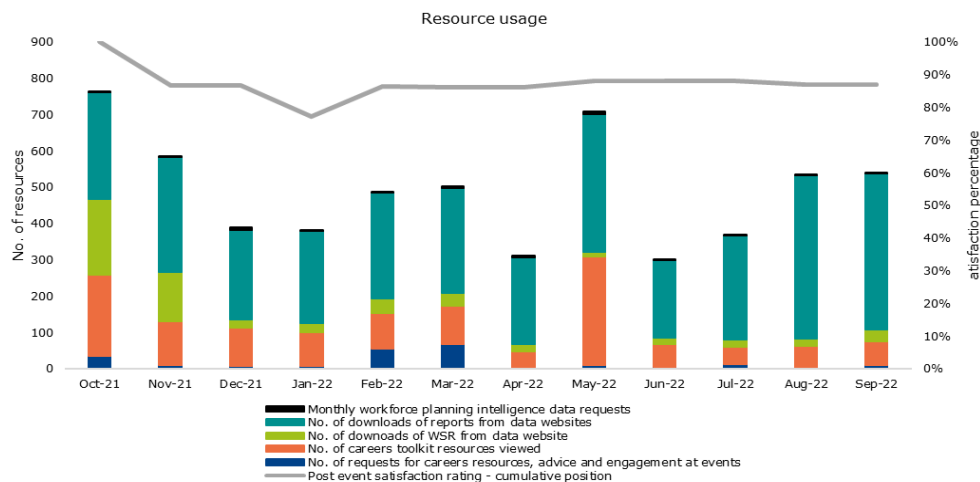
- Using the data from the MyLearning app to understand what resources registrants are consuming and how they are applying these to their Continuous Professional Development and registration conditions.
- Analysis of registrant usage of our digital learning resources, digital insights and the results of the learning resources registrant survey will inform development of an improvement action plan
- Targeted communication plan for promotion of resources.

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

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

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 collect post-event feedback which currently indicates an 87% satisfaction rating for events conducted by SSSC from 83 responses.

537 resources were used in September 2022, compared to 532 in August 2022. The number of careers toolkit unique views increased from 62 to 66. The number of downloads of reports from the data website decreased to 428 in September 2022 from 450 in August 2022.

Management Action and Risk

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.
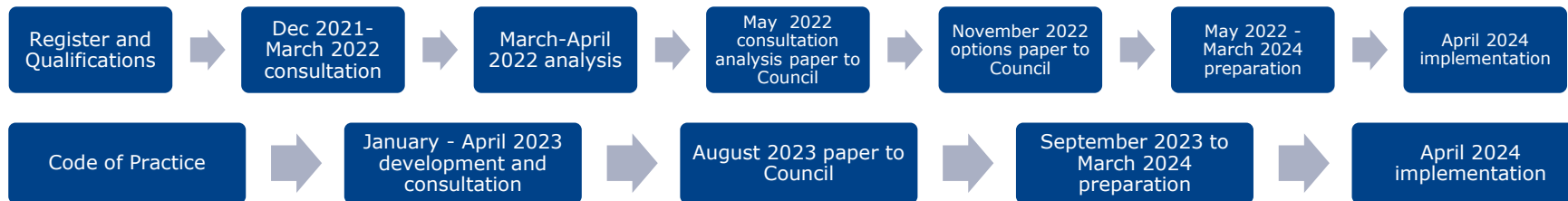
Actions to increase use of our resources we:

- We are developing four pre-employment resources which will be added to our suite of careers toolkit resources. These will be launched by December 2022.
- Our joint SSSC/Care Inspectorate vacancy report will be published in November 2022 which we expect to increase report downloads.
- We continue to engage with two new national workforce groups led by Scottish Government which will provide an opportunity for us to promote use of our workforce planning and workforce development resources.
- We will deliver stakeholder engagement events in October to support the mental health and wellbeing workforce strategy workforce planning activity, including an extra workforce planner network webinar.
- We continue to promote our resources at our quarterly workforce planner network webinars.
- We continue to promote our employability and careers resources to employers at refugee and asylum seeker

24

awareness sessions that we co-host with the Scottish Refugee Council.

3.9 Regulation: Deliver the Future Proofing Programme.

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

| Register and Qualifications | ➡ | Dec 2021-March 2022 consultation | ➡ | March-April 2022 analysis | ➡ | May 2022 consultation analysis paper to Council | ➡ | November 2022 options paper to Council | ➡ | May 2022 - March 2024 preparation | ➡ | April 2024 implementation |

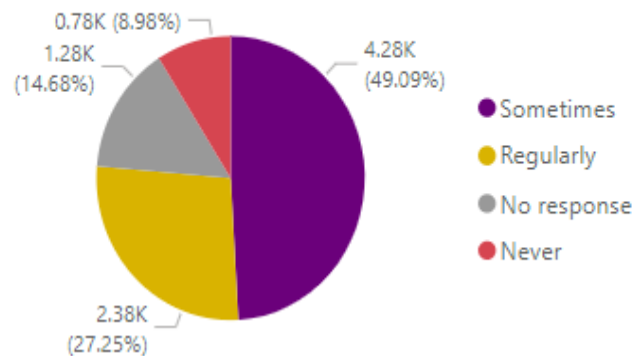| Code of Practice | ➡ | January - April 2023 development and consultation | ➡ | August 2023 paper to Council | ➡ | September 2023 to March 2024 preparation | ➡ | April 2024 implementation |

Management Action and Risk

- There are two significant risks to this programme. Firstly securing legislative change and secondly securing funding for this and future years to do the work necessary to change the structure of the register. Sponsor team is working on this with the Scottish Government Legal Department but it is now unlikely we will have legislative change in time for an implementation date of April 2023. We are now working towards implementation in 2024. We are continuing to speak positively with government about securing the funding that we need to complete this programme.
- The next phase of the analysis of the consultation on the Register and qualifications is now complete and was presented to Council in May. Focus groups took place in mid-August with Stakeholder Advisory Group members and those who previously engaged with the consultation earlier in the year. These sessions were very helpful and will feed into the detailed proposals for presenting to the Council in November. Drafting of these proposals has started and will be reviewed by Sponsor Group in late October before onward review by EMT and then Council.
- The Minister took away approval to consult on fees in light of the difficult financial situation and we will look again at this next year.
- Scottish Government's Centre of Excellence carried out an independent assurance review of the Programme in late July 2022. We completed an action plan and received a positive audit report about those actions.
- Scottish Government's fee waiver for local government staff means we will have to re-prioritise digital work relating to this programme. We are working with external partners to understand the cost and risk to programme timeline.

3.10 Strategy and Performance: The work of the SSSC promotes the value of the social care workforce.
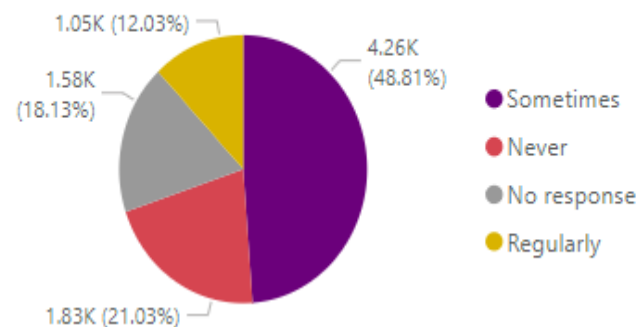
This measure focuses on feedback that our work promotes the value of the social care workforce through engagement activity, and the impact of this workforce being qualified and registered, professional and regulated. By surveying registrants throughout the year as well as some of our key stakeholders.

The first of our 2021/22 impact measurement surveys was the main registrant survey which was live in June 2022 for three weeks. This survey asked questions about registrants' satisfaction with the SSSC across several areas. To demonstrate performance towards this SPI, one of the questions was structured to understand if registrants were familiar with articles we publish to promote the sector. Registrants were asked 'We regularly promote the work of the sector through articles in the SSSC Newsletter, our website and through social media channels. Do you regularly, sometimes or never read the articles on the following channels?'
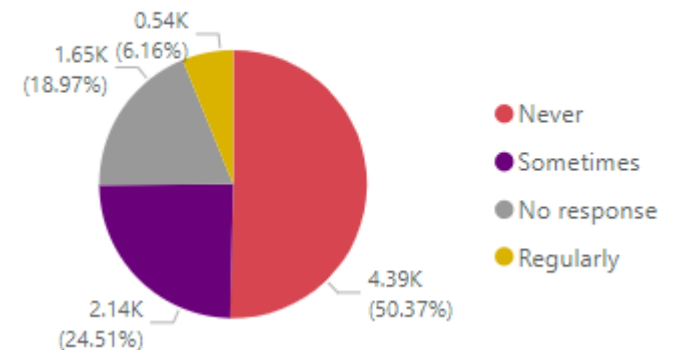

Registrants commented why they had not made use of our 'articles'. The most common reason was time.

Management Action and Risk

A learning resources survey will go live soon and our stakeholder survey will in January 2023. This will consider how the work of the SSSC promotes the value of the sector. A workforce planning survey will also be published later in this year. Once these are completed the full data will be analysed and actions developed as part of departments work to support the new outcomes in 2023 – 2026 strategic plan.

4. ORGANISATION INFORMATION

4.1 Programme Management Office

Overall Summary: Programmes

Programme	Project Sponsor	Phase	Budget RAG	Risk/ Issues RAG	Stakeho lder Buy In RAG	Overall RAG	Approval and Monitoring	Key Milestone	Comment
Digital Programme	Director of Strategy and Performance	Implement	Green	Green	Green	Green	All digital projects approved and monitored at by Digital Development Sponsor Group and Digital Development Programme Board. Updates with PMO	Key milestones: Learning Hub – went live 24th August 2022 Duplicate detection improvements – project completed SMS plug in improvements – project completed	MatterSphere software upgrade Amber: the reliance on other technological changes not wholly in the control of the SSSC could create risks to achievement of the upgrade within this financial year
Insight and Intelligence Project (part of Digital Programme)	Director of Strategy and Performance	Implement	Amber	Amber	Green	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	Phases 1 and 2 of the project were achieved previously.	Risks and issues tracking Amber: Data warehouse costs still be fully defined. Risk to timescale still remain due to reliance on single points of failure. Availability of shared services Finance data will not be ready for go live. Existing project manager leaves SSSC on 31st October 2022. Internal project manager in place and handover in progress. A request to extend the timescales to January 2023 is going to Digital Sponsor Group on 24th October.

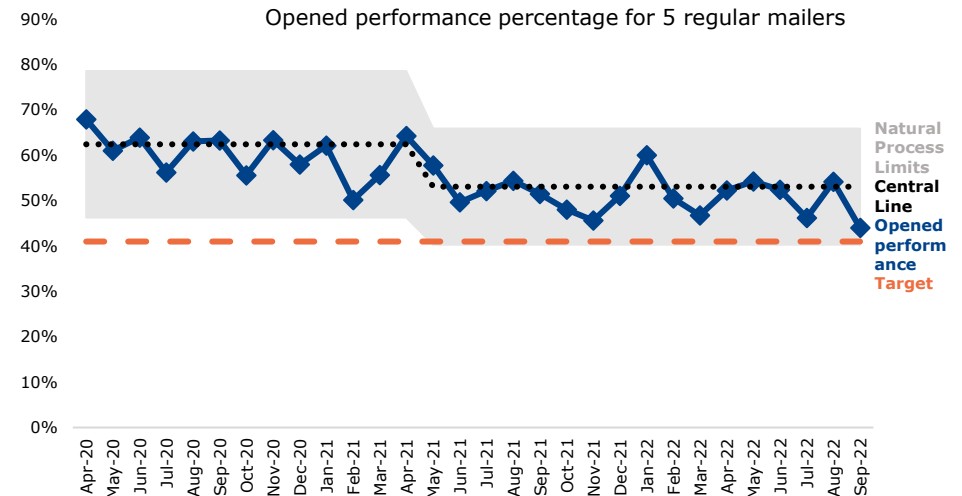| Programme	Project Sponsor	Phase	Cost vs Budget RAG	Risks/Issues RAG	Stakeholder Buy In RAG	Overall RAG	Approval and Monitoring	Key Milestone	Comment
Future-Proofing Programme	Director of Registration	Deployment	Red	Amber	Green	Amber	Programme approved and monitored by the Future-Proofing Programme Board. Updates with PMO	Key milestones: Agreed scope and timescales for mini audit Refined timeline for Codes of Practice consultation and associated work to develop new Codes	Risk and issues tracking Amber: Currently there is no agreed SG funding beyond 2022/23 for FPP Timetable may be impacted due to pace of SG legislative changes We have been unable to recruit to temporary posts due a buoyant labour market and this will create future resource issues Planned future systems work is at risk of delay due to re-prioritisation of changes to support local government fee waiver
Rewards Review Programme	Director of Finance and Resources		Amber	Red	Red	Red	Programme approved and monitored by the Rewards Review Programme Governance Group monthly. Updates with PMO	Key Milestones: Council agreed in August 2022 to pause the programme	Risks and issues tracking Red: Council agreed in August 2022 to pause the programme

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		Green	Amber	Green	Green	Approved by EMT. Implementation group meet on monthly basis	Key milestones: Indicative implementation date for autumn 2024 for full roll out agreed with SG and statement issued to sector highlighting this.	Support to the early implementation sites will continue and be extended in preparation for roll out. Additional activity to refine the proposed model and understand/ build an infrastructure for roll out with key partners including OCSWA and SWEP will run from October 2022 to September 2024. Risks and issues tracking Amber: The risks and issues level will remain at amber until there is clarity from OCSWA on infrastructure and funding going forward.

4.2 External Stakeholder Engagement

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

Septembers 2022's performance was 44.0% a decrease of 10.2% from last month. This performance was still within the natural process limits.

RAG		
>5%	-5% to 5%	<-5%

Target: 41%

	% Opened	
Apr-22	52.3%	27.4%
May-22	54.3%	32.3%
Jun-22	52.4%	27.8%
Jul-22	46.2%	12.8%
Aug-22	54.2%	32.2%
Sep-22	44.0%	7.4%
Oct-22		
Nov-22		
Dec-22		
Jan-23		
Feb-23		
Mar-23		

Opened performance percentage for 5 regular mailers

Management Action and Risk

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

SEPTEMBER IMPACT REPORT

Article

Scotland's care workforce lower than in 2020

(to launch and promote the latest SSSC Workforce Data Report with registrants and employers)

Communications objective: Increase in downloads from previous year.

Client objective: Communicate the report's publication to all Chief Social Work Officers and Health and Social Care Partnerships.

Communications outcome met – 2021 report-97 downloads. 56.7% increase.

Client outcome: objective met.

Article

New 23 Things Early Learning and Childcare Leadership resource

Communications objective: Promote the new resource with early years workers and employers.

Client objective: Workers and employers use the resource and to gain Open Badges.

Communications outcome: 1,537 clicked to read the article.

Client outcome: We have had 2,641 visits to the resource homepage and 43 Open Badge applications.

Article

Scottish social care workforce planning webinar

Communications objective: Promote the webinar to employers to register and attend webinar.

Client objective: 60-70 people attend webinar.

Communications outcome: met – 133 people registered and 64 attended the event.

Client outcome: met.

Article
Join our Codes review events
(To promote in person and online events to gather views about the Codes of Practice)

Communications objective: Promote the events to registrants and employers to register.

Client objective: Around 15 people attend in person events and 20/25 attend online events.

Communications outcome:
Two in person events - 28 people registered for each. Six and nine attended.

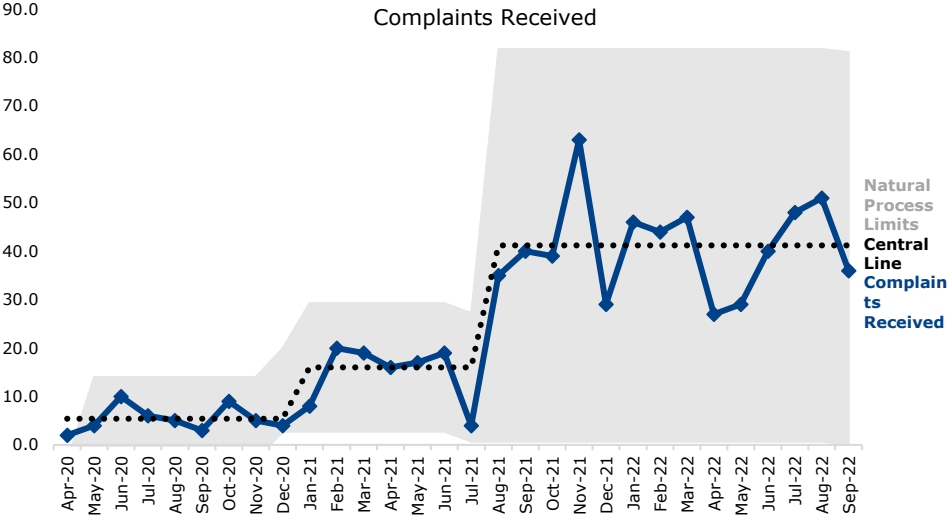Two online events – 24 and 31 registered. Eight and 15 attended.

Client outcome: Numbers attending were less than desired for three events.

4.3 Strategy and Performance: SSSC complaint information.

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

RAG		
>90%	80% to 90%	<80%

Target: 90%

Percentage of stage one complaints resolved on time

Apr-22	96.2%	6.8%
May-22	96.4%	7.1%
Jun-22	100%	11.1%
Jul-22	97.9%	8.7%
Aug-22	100%	11.1%
Sep-22	100%	11.1%
Oct-22		
Nov-22		
Dec-22		
Jan-23		
Feb-23		
Mar-23		

RAG		
>90%	80% to 90%	<80%

Target: 90%

Percentage of stage two complaints resolved on time

Apr-22	-	-
May-22	-	-
Jun-22	100%	11.1%
Jul-22	100%	11.1%
Aug-22	-	-
Sep-22	100%	11.1%
Oct-22		
Nov-22		
Dec-22		
Jan-23		
Feb-23		
Mar-23		

Complaints Received

We resolved 37 stage one complaints in September 2022, all met timescales.

We resolved three stage two complaints in September 2022.

Management Action and Risk

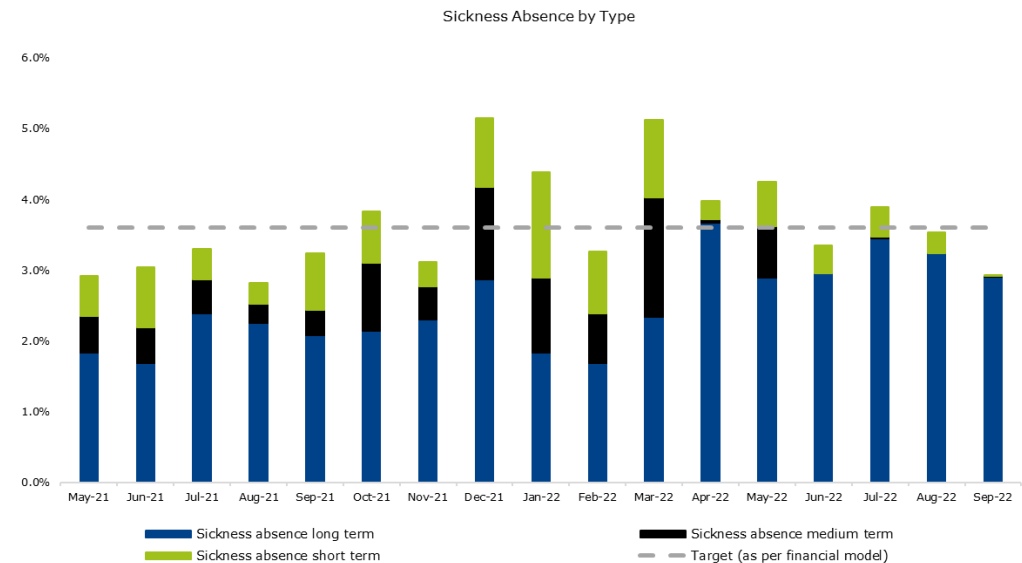No action needed.

HUMAN RESOURCES PERFORMANCE

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

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

RAG		
<3.6%	3.6% to 4.6%	>4.6%

Target: 3.6%

Apr-22	4.0%	10.3%
May-22	4.2%	18.0%
Jun-22	3.3%	-7.0%
Jul-22	3.9%	8.1%
Aug-22	3.5%	-1.9%
Sep-22	2.9%	-18.6%
Oct-22		
Nov-22		
Dec-22		
Jan-23		
Feb-23		
Mar-23		

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

Five employees were absent due to long term sickness in September. This was a reduction from August where there were 11 employees absent – five of these have returned to work and one is now on maternity leave.

Sickness Absence by Type

Management Action and Risk

HR has been working closely with managers to manage absence, resulting in a return to work for five members of staff this month.
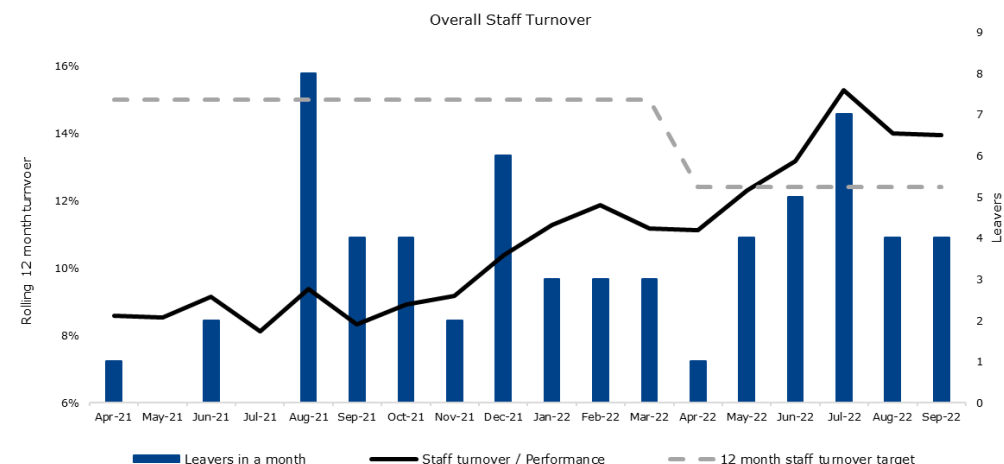
HR has been reviewing absence targets and benchmarking against other organisations. The median benchmark figure for 2021-2022 is 3.6%. Given this HR recommends that the current HR assurance target is reduced from 4% to 3.6%.

4.5 HR: The overall staff turnover percentage.

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.

RAG		
<12.4%	12.4% to 13.4%	>13.4%
	Target: 12.4%	

Apr-22	11.1%	-10.3%
May-22	12.3%	-0.8%
Jun-22	13.2%	6.3.%
Jul-22	15.3%	23.1%
Aug-22	14.0%	12.8%
Sep-22	13.9%	12.5%
Oct-22		
Nov-22		
Dec-22		
Jan-23		
Feb-23		
Mar-23		

We had four leavers in September 2022, three in Regulation and one in Finance and Resources. These were all resignations.

Overall Staff Turnover

Leavers in a month — Staff turnover / Performance - - 12 month staff turnover target

Management Action and Risk

HR has been reviewing the leavers' process and seeing whether we can encourage the take up of exit interviews to give us insight into employees' reasons for leaving the organisation. We plan for the Business Partnering team to contact staff earlier in the process and engage them in interviews.

As with absence, HR has been reviewing turnover targets and benchmarking against other organisations. The median benchmark figure for the public sector for 2021 was 12.4%. Based on this benchmarking we have adjusted the target from 15% to 12.4%.

We are also reviewing the quality of HR data to make sure we have accurate information.

LEGAL AND CORPORATE GOVERNANCE

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

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

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

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

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

Percentage of SAR completed on time		
Apr-22	100%	0%
May-22	100%	0%
Jun-22	100%	0%
Jul-22	100%	0%
Aug-22	100%	0%
Sep-22	100%	0%
Oct-22		
Nov-22		
Dec-22		
Jan-23		
Feb-23		
Mar-23		

Percentage of FOI requests completed on time		
Apr-22	100%	0%
May-22	100%	0%
Jun-22	100%	0%
Jul-22	100%	0%
Aug-22	100%	0%
Sep-22	100%	0%
Oct-22		
Nov-22		
Dec-22		
Jan-23		
Feb-23		
Mar-23		

SAR and FOI responses

Responses sent on time   Responses not sent on time
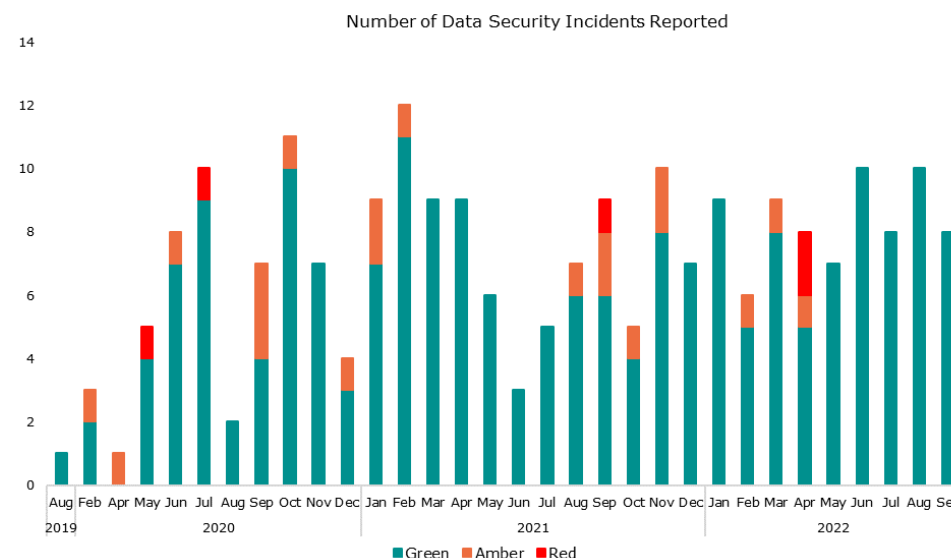
Management Action and Risk

No actions currently required.

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

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

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 six data security incidents in September 2022 and categorised all as low/green.

Number of Data Security Incidents Reported

Management Action and Risk

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 Data Protection Officer follows up recommendations for an amber or red categorised incident.

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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.