

Date Issued: 16 January 2018

Members of the Scottish Social Services Council are advised that a meeting of the Council is to take place at 1.30 pm on Tuesday 23 January 2018, Compass House, Riverside Drive, Dundee.



**Professor James McGoldrick
Convener**

AGENDA

1. Apologies for absence
2. Declarations of interest
3. Minutes of the previous meeting – 31 October 2017
4. Matters arising

Items for decision

5. Involving people who use social services and carers in our work **Report 01/2018**
6. Budget monitoring report as at 31 October 2017 **Report 02/2018**

Items for information

7. Convener's report **Report 03/2018**
8. Chief Executive's report **Report 04/2018**
9. Corporate Governance report **Report 05/2018**
10. Budget 2018/19 (verbal update)
11. General Data Protection Regulation **Report 06/2018**
12. NES/SSSC partnership update **Report 07/2018**

13. Committee minutes – unconfirmed
 - a. Resources Committee 6 December 2017
 - b. Audit Committee 6 December 2017

Standing items

14. Identification of risks
15. AOCB
16. Date of next meeting – 23 March 2018

SCOTTISH SOCIAL SERVICES COUNCIL

**Unconfirmed minutes of the Scottish Social Services Council held on
Tuesday 31 October 2017 at 1:30 pm in Compass House, Dundee.**

- Present:** Professor James McGoldrick, Convener
Dame Anne Begg, Council Member
Audrey Cowie, Council Member
Paul Edie, Council Member
Professor Joyce Lishman, Council Member
Forbes Mitchell, Council Member
Andrew Rome, Council Member
Harry Stevenson, Council Member
- In attendance:** Anna Fowlie, Chief Executive
Maree Allison, Director of Fitness to Practise
Lorraine Gray, Director of Strategic Performance and Engagement
Kenny Dick, Head of Shared Services
Phillip Gillespie, Head of Learning and Development
Iona Colvin, Chief Social Work Adviser
Diane White, Office of the Chief Social Work Adviser
Audrey Wallace, minute taker
- Observing:** Linda Lennie, newly appointed Council Member
Munwar Hussain, NHS Tayside
7 members of staff

1 Apologies for absence

- 1.1 Apologies for absence were received from Paul Dumbleton.

2 Declaration of interest

- 2.1 There were no declarations of interest which were not included within the annual declarations.

3 Minutes of meeting of 20 June 2017

- 3.1 The minutes of the meeting held on 20 June 2017 were approved as a correct record.

4 Matters arising

- 4.1 There were no matters arising which were not addressed elsewhere on the agenda.

5 Consideration of the 2016/17 Annual Report and Accounts

5.1 Annual Report and Accounts

- 5.1.1 Kenny Dick presented the Annual Report and Accounts 2016/17, and

confirmed that the Audit Committee had considered these in detail as well as Council having considered a previous draft version.

- 5.1.2 Forbes Mitchell commended the management team and all other staff involved in the compilation of the report and accounts. He commented on the efforts made to ensure the report and accounts were succinct and reader-friendly.
- 5.1.3 Paul Edie commended Anna Fowlie and staff for bringing the budget in within £34k of the projected expenditure.
- 5.1.4 The Convener also congratulated staff on the work throughout the year and on the compilation and presentation of the Annual Report and Accounts.

5.2 Combined ISA 260 report to those charged with governance and Annual Report on the Audit

- 5.2.1 Forbes Mitchell commented favourably on the content and the style of the Annual Report to the Accountable Officers, by the external auditors, Grant Thornton.

5.3 Audit Committee Annual Report to the Council

- 5.3.1 Forbes Mitchell presented the Audit Committee's Annual Report to Council which provided a summary of the work carried out by the committee during the year 2016/17, which included scrutinising the internal auditors' reports throughout the year, and ensuring accounting systems are robust and fit for purpose.
- 5.3.2 He further complimented the Audit Committee for their close scrutiny and their willingness to challenge both SSSC staff and auditors on any matters which were not satisfactory or transparent.
- 5.3.3 The Council
 - 1. noted the work of the Audit Committee
 - 2. noted the Committee's assessment of its performance and the plans to address development areas
 - 3. approved the draft 2016/17 Annual Report and Accounts
 - 4. agreed that it is appropriate for the Chief Executive as Accountable Officer to sign the Performance Report, Accountability Report and Statement of the Financial Position.

6 Consultation on management and supervisory qualification requirements for adult services

- 6.1 Phillip Gillespie presented report 44/2017 which provided details on the consultation exercise carried out on possible increases to management and supervisory requirements for workers in the adult social care sector. The consultation was approved by Council in October 2016.

- 6.2 The Convener confirmed that the consultation results had been discussed at a meeting of the Policy Forum.
- 6.3 Members supported option two in the report which is not to increase supervisory requirements, stating that the current level was appropriate to the jobs and given the support in the sector, supported the option to increase the minimum management requirement.
- 6.4 During discussion on the outcome of the consultation, the following issues were discussed
- qualification requirements should be an accurate reflection of job being carried out
 - possible impact on employers' ability to recruit and retain staff
 - time pressures for workers
 - clear need for adequate support and supervision for workers
 - continuing support for career progression
 - recurring theme of consultation was the quality of supervision citing insufficient time or resources.
- 6.5 The Council commended Robert Kelman on his work on this.
- 6.6 The Council
1. agreed that the full consultation report be published
 2. approved the adoption of option 2 in the report, not to increase the qualification requirements for supervisors
 3. approved the change to the qualification requirements for managers in adult care services (as set out within the report).
- 7 Amendments to Scottish Social Services Council (Fitness to Practise) Rules 2016**
- 7.1 Maree Allison presented report 45/2017 which sought authority to amend the Fitness to Practise Rules to provide for Legally Qualified Chairs (LQCs) of fitness to practise panels. Maree advised that the LQCs were due to be in place from 1 December 2017, following a successful recruitment exercise.
- 7.2 There were a number of small changes required to enable this variation as well as a few minor changes to deal with anomalies in the current version of the rules. Maree highlighted that, if required, the lay member on the fitness to practise panel would have the casting vote.
- 7.3 The Council
1. agreed to the amendment of the Scottish Social Services Council (Fitness to Practise) Rules 2016
 2. delegated authority to the Convener to approve the final wording of the Rules once consent from Scottish Ministers was obtained
 3. requested that a report be submitted to Council in due course on the

implementation of the introduction on LQCs.

8 Corporate Governance report

- 8.1 Maree Allison presented report 46/2017 which addressed a number of Corporate Governance issues including the appointment of members to the fitness to practise panel as Legally Qualified Chairs (LQCs), the proposed new appointments to the Fitness to Practise Committee, the proposed reappointment of members of the Fitness to Practise Committee and proposals for reporting and review of operational policies.
- 8.2 Members heard that the interview process for LQCs was complete and due to the timing of the new rules coming into force, authority was being sought for appointments to be delegated to the appropriate Council Members and the Chief Executive.
- 8.3 The Council
1. delegated authority to the Convener, Chair of Resources Committee and Chief Executive for the appointment of new members to the Fitness to Practise Committee in the capacity of chair
 2. deferred consideration of the appointment of new members to the Fitness to Practise Committee to the confidential part of the meeting
 3. approved the reappointment of existing members to the Fitness to Practise Committee
 4. noted the process for reporting on the review of operational policies.

9 Budget monitoring report as at 31 July 2017

- 9.1 Kenny Dick presented the budget monitoring report as at 31 July 2017.
- 9.2 The main issues highlighted were
- projected planned overspend of £643k on base budget
 - award of transitional funds of £700k (practice learning fees £271k and additional working capital £429k) would result in a net underspend of £57k
 - main areas of risk are staffing and spend on the relet of Sequence
 - the projected reserve balance is £467k which is 2.3% of gross expenditure and is a healthy financial position.
- 9.3 The Council
1. considered and approved the budget monitoring report for submission to the sponsor.

10 Convener's report

- 10.1 The Convener presented report 48/2017 which summarised his appointments on behalf of the SSSC and the discussions which took place at the meeting of the Policy Forum on 20 September 2017.

10.2 The Council

1. noted the content of the report
2. agreed that papers relating to the joint NES/SSSC meetings be placed on basecamp.

11 Chief Executive's report

11.1 Anna Fowlie presented report 49/2017 which provided members with updates on key developments in the SSSC since the Council met in June 2017. She emphasised the greater focus on cross-organisation working which was emerging, as well as the big ticket items which included opening another part of the register and bringing in Legally Qualified Chairs to fitness to practise hearings.

11.2 During discussion of the work of the SSSC issues mentioned were

- the holistic and collaborative approach to work
- publication of the Workforce Skills report
- favourable comments on our approach by the Professional Standards Authority
- a number of other bodies are coming to the SSSC to learn from our processes.

11.3 The Council

1. considered and commented on the information in the report.

12 Resources Committee Annual Report to Council

12.1 The Convener introduced this item, which is part of a new procedure whereby the Resources Committee makes an annual report to Council on its work, to be consistent with the Audit Committee.

12.2 Audrey Cowie presented the report which summarised the work of the Resources Committee for the year 2016/17.

12.3 The Council

1. noted the content of the report the wide range of work covered by the committee.

13 Strategic and operational performance management arrangements

13.1 Lorraine Gray presented report 50/2017 which informed members of the arrangements being developed for the reporting of operational performance measures, she further advised on the proposals for future monitoring through the management teams and onward reporting to Council.

13.2 Issues discussed were

- new timetable for surveying registrants
- progressing EFQM and excellence model
- timetable for reporting to Council

- 13.3 • ongoing work on gathering feedback from people who use services.
The Council
1. noted the developing arrangements to manage operational performance and demonstrate progress delivering the SSSC Strategic Plan outcomes and priorities.

14 Stakeholder engagement report

- 14.1 Lorraine Gray presented report 52/2017 which summarised the SSSC's recorded stakeholder engagement from 1 April to 21 September 2017. It was noted that most of the engagement activities were in the central belt and there was some discussion surrounding what engagement activities would be held in other areas including Aberdeen and surrounding district and the highlands and islands.
- 14.2 The Council commented on the extensive and useful information gathered and it was noted that this information was now centrally collected.
- 14.3 The Council
1. noted the report.

15 Introduction of the fitness to practise model update

- 15.1 Maree Allison presented report 53/2017 which updated Council on the implementation of the fitness to practise model of regulation which was brought in on 1 November 2016. At that time assumptions were made on the number of referrals, the numbers of high risk cases and possible numbers of health related cases.
- 15.2 The Council heard that the predictions were largely accurate. It was noted that in future, reporting of these statistics would come to Council through the monitoring of the operational performance report (MOPR), therefore this would be the final dedicated report on the transition. A fuller report examining the impact of the transition in more detail was being planned.
- 15.3 The Council
1. noted the report.

16 Quarterly information governance report

- 16.1 Anna Fowlie presented report 54/2017 which provided statistics on data breaches, freedom of information requests and data protection training as well as workforce intelligence queries received.
- 16.2 The Council
1. noted the report
2. noted that the information reported was being reviewed to ensure relevant data was reported.

17 Committee minutes confirmed and unconfirmed

17.1.a Resources Committee 7 June 2017

17.1.a.1 Audrey Cowie, Chair of the Resources Committee presented the confirmed minutes of the Resources Committee meeting held on 7 June 2017. Particular mention was made of the course on 'Finance for non-finance managers' which was attended by three members of the Committee and the risk presented by the uncertainty over the funding for the Voluntary Sector Development Fund (VSDF). Lorraine Gray updated Council on the current position regarding the contract for the website and it was noted that discussions were ongoing with the new providers of Sequence, to combine this into the Sequence /MySSSC upgrade.

17.1.b Resources Committee 27 September 2017

17.1.b.1 Audrey Cowie also presented the unconfirmed minutes of the Resources Committee meeting of 27 September and highlighted that an update would be reported on the Salary Protection Policy following further discussions with Unison and also that Kenny Dick had given an assurance regarding the cyber resilience of the Council with an action plan to be published by Scottish Government.

17.2.a Audit Committee 7 June 2017

17.2.a.1 Forbes Mitchell, Chair of the Audit Committee presented the confirmed minutes from the meeting of 7 June 2017. Forbes mentioned that the meeting had been the trial of the paperless system which had not worked terribly well during the meeting and he confirmed that other systems were now being researched.

17.2.b Audit Committee 27 September 2017

17.2.b.2 Forbes Mitchell also presented the minutes of the meeting of the Audit Committee of 27 September and confirmed that there were no particular matters to highlight other than the Annual Accounts which had been approved earlier in the meeting.

18 Identification of risks

18.1 The risk identified during this meeting was

- introduction of Legally Qualified Chairs (LQCs) would be considered by EMT and recommended to be added to the Strategic Risk Register if thought appropriate.

18.2 Council noted that a development session on the Strategic Risk Register was being organised.

19 AOCB

19.1 Audrey Cowie advised that the Workforce Skills Report 2016/17 was published today.

20. Date of next meeting

20.1 The date of the next Council meeting is Tuesday 23 January 2018 at 1.30 pm.

21 Confidential items

21 Items 8.3.2, 21 and 22 were minuted separately.

Council 31 October 2017
Start time: 1.30pm
Finish time: 3.25pm

Title of report	Involving people who use social services and carers in our work
Public/confidential	Public
Action	For decision
Summary/purpose of report	This paper sets out our current approach to involving people using social services and carers in our work and a proposal to develop and improve.
Recommendations	<p>The Council is asked to:</p> <ol style="list-style-type: none"> 1. consider the Executive Management Team (EMT) proposal set out in section 2 of this report 2. consider the alternative option set out in section 3 of this report 3. agree the EMT proposal set out in section 2.
Link to Strategic Plan	The information in this report links to Outcome 4, our stakeholders value our work.
Link to the Risk Register	Risk 2: the SSSC is not able to demonstrate to our stakeholders (including SG) that its operational activity is fulfilling its strategic outcomes
Author	<p>Nicola Gilray</p> <p>Head of Strategic Communications</p> <p>Tel: 01382 207261</p>
Documents attached	Appendix 1: Policy forum discussion paper 20/9/17

1. INTRODUCTION

- 1.1 At the Policy Forum in September 2017, Council Members discussed involving people who use social services and carers in our work (see Appendix 1). Our overall purpose is the protection of the public and in particular people who use social services and carers through the regulation and development of the social service workforce. They and the people who care for them have a direct interest in the effectiveness of our work. It is important that their voices are heard, directly or indirectly.
- 1.2 The purpose of involving people using social services and carers in the work of the SSSC is to inform key areas of our business. To achieve this we have structured involvement where their input and views can have most impact. From our experience, we know that the issues of most importance to people using services and carers are about the human qualities of social service workers so this is the focus for our involvement.
- 1.3 We involve people using social services and carers in our work in a number of different ways including our main business processes as well as key projects, with examples set out below.
- Review and development of the Codes of Practice.
 - Developing our fitness to practise model of regulation review.
 - Developing the current strategic plan.
 - Developing the social service workforce, eg:
 - quality assurance and approval of qualifications
 - qualifications and National Occupational Standards development
 - Step into Leadership
 - Promoting Excellence
 - self-directed support
 - Equal Partners in Care (EPiC)
 - digital learning (eg supporting informal carers).
- 1.3 Our Stakeholder Engagement Strategy and Framework sets out our approach to engagement and involvement. Due to the size and role of the SSSC, our current engagement approach for this stakeholder group is to engage and involve through established groups and networks. We also set up short life groups with a particular remit for a project or business area. This means that we have access to people with the right experience, skills and expertise at the right time and allows us to manage engagement within existing resources.
- 1.4 People with lived experience of social services and caring are involved either as individuals, through these networks of relevant representative groups and through our qualification approval processes, for example, where we require providers to evidence how people are involved in developing social service qualifications including the degree in social work and the childhood practice awards. Examples of groups in our network include the Care Inspectorate Involving People Group, Enable, the Scottish Dementia Working Group, National Dementia Carers Action Group (NDCan), Scottish Consortium for Learning Difficulties (SCLD), ARC

(Association for Real Change) Scotland, Health and Social Care Alliance, Health and Social Care Academy, Equal partners in Care (EPiC).

- 1.5 We recognise that Council has not yet been persuaded that we are effectively engaging with people using social services and carers and that we have not demonstrated the impact of this engagement. This paper sets out a proposal to address this.

2. EXECUTIVE MANAGEMENT TEAM PROPOSAL

- 2.1 Our core business processes are relatively stable and where these are reviewed from time to time, we involve a range of stakeholders in these developments, including people with lived experience of social services and caring. For example, developing our strategic plan and the move to a fitness to practise model of regulation. This means that stakeholders are informing our development as an organisation.
- 2.2 Our workforce development function is where the majority of our service user involvement happens for example, developing the standards for qualifications, quality assurance of qualifications, skills and product development and national policy development.
- 2.3 The EMT believes we are involving people using social services and carers in our work and that current practice is proportionate. However, the EMT accepts there is scope to improve our current practice including providing more rigour in reporting on our activities, giving Council Members increased assurance that our involvement of people using social services and carers is relevant, proportionate and meaningful.
- 2.4 The EMT proposes to Council that we do this by:
- improving coordination across the organisation of our involving people work
 - increasing our involvement with the Care Inspectorate Involving People Group
 - seeking the views of Council Members on what good performance in this area would look like
 - regular reporting to Council on our performance.
- 2.5 We have explored the option of a shared service with the Care Inspectorate Involving People Group. This concluded that a shared service is not an option for now as it would formally change the remit of the group. This would be a challenging piece of work for the members of the group to undertake at this time. However, we have agreed the SSSC can access the group more regularly. We agreed that the SSSC would identify areas of work that we can bring to the group. For now, there will be no specific cost required by the Care Inspectorate to do this however if the work develops over time, we would need to revisit this. The Care

Inspectorate can also offer some support to the SSSC to help us develop our skills in this area.

- 2.6 The EMT proposal would require allocating a specific resource ie staff time, to coordinate and report on our activity. We anticipate that we can do this within existing SSSC staff resources. We will need a budget to cover the costs of working with the Care Inspectorate group to cover facilitation and materials, for example, that our involvement would require.
- 2.7 It is proposed that Council agrees to trial this approach for two years, starting from 1 April 2018, tracking progress and then reviewing against our performance measure.

3. ALTERNATIVE OPTION

- 3.1 The EMT recognises that in considering this proposal, Council may wish to consider an alternative option for example, to increase this area of work. To take this forward it is recommended that the Council and the EMT meet to establish the purpose, remit and resources required. For example increasing resources by creating a new post and allocating a budget. If we were to recruit a new Involving People Adviser post, this would be at grade D7 £28.4-33.3k (pro rata for part time) for a skilled service user and carer involvement adviser. This would also require a specific budget along with the staffing cost to facilitate involving people using social services and carers in our work.

4. RESOURCE IMPLICATIONS

- 4.1 If agreed, the EMT proposal can be managed within existing staff resources through reallocating staff time. It will require a budget to support increased participation in the Care Inspectorate's Involving People Group, estimated at £10k. This budget will be required from 1 April 2018/19. As it is not included in the draft budget proposal for 2018/19, this will be added by EMT should the proposal be agreed.
- 4.2 We will also receive some support from the Care Inspectorate staff, which will be free, however, should that increase, we will need to renegotiate with the Care Inspectorate for this service.

5. EQUALITIES IMPLICATIONS

- 5.1 An Equality Impact Assessment has not been carried out. This work will have no negative impact on people with one or more protected characteristics and a full Equality Impact Assessment is not required.

6. LEGAL IMPLICATIONS

- 6.1 There are no specific legal implications.

7. STAKEHOLDER ENGAGEMENT

- 7.1 This report is about stakeholder engagement focusing specifically on involving people using social services and carers.

8. IMPACT ON USERS AND CARERS

- 8.1 As above, this work would involve people using social services and carers more directly in aspects of our business.

9. CONCLUSION

- 9.1 Council is asked to consider the EMT proposal set out in section 2 of this report and to agree to a trial period. The report also sets out an alternative option for Council to consider at section 3 of the report.

10. BACKGROUND PAPERS

- 10.1 Appendix 1.



Involving people who use social services and carers

Discussion paper

AUTHOR

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1. INTRODUCTION

- 1.1 Stakeholders are important for all organisations. Their involvement can make a real difference to our work. We recognise that our stakeholders often have substantial knowledge and understanding of both our work and other matters which we can learn from and which can inform our approach. Our Stakeholder Engagement Strategy and Framework 2016 sets out how we will all encourage, participate in and promote stakeholder engagement as a driver for improvement.
- 1.2 Our overall purpose is the protection of the public and in particular people who use social services and carers. They and the people who care for them have a direct interest in the effectiveness of our work. It is important that their voices are heard, directly or indirectly.
- 1.3 This discussion paper looks at our current practice for involving people who use social services and carers. It includes examples of practice in other similar bodies as well as the purpose of engaging and involving people who use services and carers. It also gives examples of different models of participation.

2. WHERE WE ARE NOW

- 2.1 Up to now, we have focused our engagement on social service providers, employers and people working in social services as we establish the Register. Because we don't directly provide social services we have focused on these groups as our direct customers. At the moment, we do not have a specific organisational mechanism or framework in place for involving people who use social services and carers. Our involvement to date happens largely on a project basis with the project lead organising the engagement.
- 2.2 Although we don't have a formal structure for involving people who use social services and carers, our Stakeholder Engagement Strategy and Framework sets out the principles for stakeholder engagement.
- 2.3 Our project work can involve people who use services and carers either as individuals, through relevant representative groups or through our qualification approval processes where we require providers to evidence how people are involved in developing courses. Examples of groups we work with include the Care Inspectorate Involving People group, Enable, Scottish Dementia Working Group. Examples of projects where we involve people using social services both directly and indirectly include:
 - Step into Leadership
 - Promoting Excellence
 - Self Directed Support
 - Equal Partners in Care (EPiC)
 - digital learning (supporting informal carers)
 - quality assurance and approval of qualifications (con't)

- qualifications and National Occupational Standards development
- Codes of Practice review
- the model of regulation review.

3. RESEARCH

Types of engagement

- 3.1 There are a number of ways of engaging with people including questionnaires, focus groups, consultation events and attending at external group meetings. Most organisations, including the SSSC, use some or all of these at some point. Some strengths and weaknesses of common approaches are set out below in Table 1.

Type of engagement	Strengths	Weaknesses
Engagement forum – large event for people who use services and carers	Opportunity for broad input on people's priorities to help guide our work Can involve wide range of people	Expensive People have to travel, which is difficult for some people
Consultation event on specific project	Focused and specific Allows in-depth work	Expensive People have to travel, which is difficult for some people Limited number of people engaged with May tend to be the same people attending
Taking questions to an existing group	Can reach a wider range of people Cheaper Good for asking a small number of questions	Need to work in partnership to arrange Need to negotiate sufficient time
Online questionnaires (NB: this relies on having a well maintained and up to date database)	Quick, easy and cheap Can reach a lot of people	Excludes some people – should not be used as sole means
Focus groups	Focused and specific Allows in-depth work Can select a range of participants eg urban/rural, or specific groups such as LGBT or BME Can tailor approach to each group	Need to rely on partners to help to arrange Limited number of people engaged with Time and capacity to organise

(extract: Mental Welfare Commission for Scotland's Engagement Strategy for individuals and carers 2016-18.)

- 3.2 We carried out research into how other bodies are involving people using services that have an organisational approach to this type of involvement. This included the Northern Ireland Social Care Council and interviews with the Mental Welfare Commission (the Commission) and the Care Inspectorate. Each of these organisations has well established involving people models that are helpful for us to look at when considering our future approach.

Purpose

- 3.3 What is clear from our own experience and from the research is that having a defined purpose for involving people using services and carers is essential. It has to be something that is clear and understandable and where there will be results so that people see they are making a difference. For some organisations, it is about making sure that their services meet the needs of this stakeholder group. For the Care Inspectorate, for example, their Involving People group has direct involvement in developing the business of the Care Inspectorate to meet their outcome of improving care services.

The CI also has a system of lay inspectors who are involved in carrying out care service inspections so people who use services are very much involved. Both groups were also involved in developing the inspection methodology, for example. The Involving People group has about 100 members and is also available to other bodies, including the SSSC.

- 3.3 For the Commission, they wanted to bring the experience of people with lived experience of mental health issues and those who care for people directly into the organisation.
- 3.4 While the NISCC has had a participation and co-production programme that includes people using services and carers since 2001, it is currently reviewing its programme and is about to carry out research into national and international best practice in this field. This is so that they can align this work with their new corporate plan outcomes. Their existing model is a partnership model of committees which provide advice and support to the Council.

Investment and resources

- 3.5 Each of these organisations has committed significant investment in this area of stakeholder engagement. The Care Inspectorate and the Commission have permanent staff and budget. The Care Inspectorate has invested in this work for more than 10 years. It now has four full time staff employed for this area - a senior officer and three coordinators as well as support from a senior manager. They also have a budget of about £30k to support the Involving People group.
- 3.6 The Commission has three staff for this work - one full time executive director and two part time engagement and participation officers with a budget for events.

- 3.7 People who use social services and their carers are a very large and diverse group and engagement can be complex. They may have difficulties with communication and travel and may lack resources to participate in traditional consultation and engagement activities. The staff working in involvement in these organisations have a background that is relevant and have developed specific skills and expertise in this field of engagement. In the Care Inspectorate, at least one of the coordinators, for example, is an experienced social service worker and they have an external support group, Moving On, to support their young people lay inspectors at an additional cost. In the Commission's case, both officers have lived experience of mental health issues, one personally and the other as a carer which has brought considerable insight to the organisation.
- 3.8 Both organisations said that having permanent staff to coordinate the involving people work is also important for the people on the groups and networks so that they have a reliable point of contact and with whom they build relationships and understanding of their needs.
- 3.9 Supporting people to be involved in their work also has a cost which can include translation services, support workers, accommodation and other services to facilitate meaningful participation.
- 3.10 Both organisations have a strategy for involving people who use services and carers agreed at board level.

Benefits and return on investment (RoI)

- 3.11 Both the Care Inspectorate and the Commission reported that involving people using social and mental health services and carers has a positive impact on developing their organisations, the work they do and their reputation. The Care Inspectorate said that this engagement also "helps to change the way we do things". The Commission's strategy states: "it's the right thing to do because people with lived experience and carers have perspectives which come directly from that experience, and it is essential that these perspectives are understood and help shape at every level the care, support, treatment, regulatory, scrutiny and safeguarding systems they use and rely on".
- 3.12 Both organisations reported that their involvement programme gives them access to a number of networks, increasing awareness of their work.
- 3.13 Both organisations emphasised that the commitment to this investment is what makes their people involvement successful, with both reporting a business return on investment.

4. MODELS FOR ENGAGEMENT

- 4.1 We researched different models for involving people who use services and carers. There are a number of models that we can consider, on their own or a combination. Table 2 includes examples.

Table 2

Options		Pros	Cons
1.	Establish an SSSC involvement panel/forum that meets regularly	<p>Builds up a body of knowledge and understanding of what we do.</p> <p>We can focus on our outcomes.</p> <p>We can involve a range of different people.</p>	<p>Significant investment required to set up and maintain a group eg support systems, travel.</p> <p>Do we have enough relevant business to engage people in a regular forum?</p> <p>Regular members may become too informed so membership would need to be limited.</p>
2.	Establish smaller groups for specific areas of the business, eg FTP and L&D	<p>This would build up a body of knowledge about this side of our work.</p> <p>Improved understanding of our role with the workforce.</p>	<p>We would still need to have access to other individuals and groups for specific projects.</p> <p>It takes time to build up the knowledge required</p> <p>Requires significant investment to coordinate and maintain the groups.</p>
3.	Establish short life groups for specific areas of interest	<p>This means we can bring in individuals and organisations with a fresh perspective each time</p>	<p>Takes time to explain our role</p> <p>The focus tends to be on the specific project rather than on</p>

			the SSSC's business as a whole, particularly for some of our L&D projects.
4.	Apply to work jointly with the CI Involving People group or consider a shared service option.	<p>We can tap into an existing, sustainable and well organised involvement programme.</p> <p>This has worked well when we have accessed the group in the past for specific consultations and projects.</p> <p>Less investment in resources – a part time SSSC post could be an option.</p>	<p>Would it be a challenge to focus the group and would it be asking too much?</p> <p>May not be an option as the CI programme is advanced.</p> <p>We would still need to invest in establishing groups for specific projects to make sure we get enough of the right representation.</p>
5.	Establish a system of service user involvement in our FTP/hearings work	Having service users on our FTP panel would bring a different perspective to the process.	This requires specific support and investment other than what we provide for all panel members.
6.	Establish an involving people committee	This would have a direct impact on the governance of the organisation.	This requires specific support and investment other than what we provide for all committee members.

5. SUMMARY

5.1 We are involving people using social services and carers in our work and there is scope for us to improve and better coordinate the way we do this. As highlighted above in section 3, whatever approach an organisation takes, successful service user involvement happens when there is:

- a clear purpose for the involvement – what is in it for them and for the organisation
- an organisational strategy/approach
- sustainable investment in resources and
- permanent, skilled staff to drive and coordinate the work.

5.2 There are a number of questions for us to consider

- Is what we do at the moment proportionate and relevant?
- Why involve people who use services and carers in our work – what is in it for them and for us?
- What difference could a different approach make?
- Can we commit to a long term, sustainable investment?
- What would be an appropriate model for the SSSC?

Title of report	Covering report for Budget Monitoring Report as at 31 October 2017 (attached)
Public/confidential	Public
Action	For approval
Summary/purpose of report	<ol style="list-style-type: none"> 1. To provide Council with information on the SSSC's projected budget monitoring position on the core operating budget and specific grant funded expenditure for the year to 31 March 2018. 2. The report was discussed at Resources Committee on 6 December 2017 and there are no updates to this report since that Committee. 3. Resources Committee noted the report and recommended the budget monitoring statement for submission to Council and the Sponsor.
Recommendations	<p>That the Council:</p> <ol style="list-style-type: none"> 1. considers and approves the attached budget monitoring report for submission to the Sponsor.
Link to Strategic Plan	<p>The information in this report links to:</p> <p>Strategic Outcome 4: Our stakeholders value our work and</p> <p>Strategic Priority 6: High standards of governance.</p>
Link to the Risk Register	<p>Regular monitoring of performance against the budget supports mitigation of the following risks:</p> <p>Strategic Risk 2: The SSSC's credibility as a well-run effective organisation is damaged if it cannot meet its strategic objectives in light of the funding allocated to it by Government.</p> <p>Strategic Risk 6: The public or employers do not have or lose confidence in the SSSC.</p>

Author	Nicky Anderson Head of Finance Tel: 01382 207206
Documents attached	Budget Monitoring Report as at 31 October 2017.

Title of report	Budget Monitoring Report as at 31 October 2017
Public/confidential	n/a
Action	For consideration and information
Summary/purpose of report	To provide Resources Committee with the budget monitoring position on the core operating budget and specific grant funding for the year to 31 March 2018
Recommendations	<p>That the Resources Committee:</p> <ol style="list-style-type: none"> 1. considers the core operating budget monitoring statement for the year to 31 March 2018 (Appendix A) 2. considers the position on projected expenditure against available specific grant funding for the year to 31 March 2018 (Appendix B) 3. notes the areas of specific attention in section 10 of this report which will be closely monitored by the Executive Management Team (EMT).
Link to Strategic Plan	The information in this report links to Strategic Outcome 4: Our stakeholders value our work and Strategic Priority 6: High standards of governance.
Link to the Risk Register	<p>Regular monitoring of performance against the budget supports mitigation of the following risks:</p> <p>Strategic Risk 2: The SSSC's credibility as a well-run effective organisation is damaged if it cannot meet its strategic objectives in light of the funding allocated to it by Government.</p> <p>Strategic Risk 6: The public or employers do not have or lose confidence in the SSSC.</p>
Author	Nicky Anderson Head of Finance Tel: 01382 207206
Documents attached	<p>Appendix A: Summary: core operating budget</p> <p>Appendix B: Summary: specific grant funding</p> <p>Appendix C: Summary: budget movements</p>

1. EXECUTIVE SUMMARY:

- 1.1 This is the second budget monitoring report of the 2017/18 financial year. This report is based on an agreed core operating budget of £19.7m and specific grant funded expenditure of £1.1m (total £20.8m) as approved by Council on 21 March 2017.
- 1.2 In July 2017 the SSSC took on responsibility for disbursing the Voluntary Sector Development Fund (VSDF), a budget of £0.9m. This increased the core operating budget to £20.6m. Specific grants totalling £1.0m have been awarded to the SSSC this financial year. The report is based on the revised budget of £21.6m for 2017/18.
- 1.3 This budget monitoring report provides separate analysis of the core operating budget position and specific grant funded expenditure. The projected outturn figures are based on the ledger to 31 October 2017.
- 1.4 It was agreed with the Sponsor after the budget was agreed by Council, that additional funding paid in 2016/17 would be used to fund £271k of practice learning fees. The revised budget reflects that £271k of practice learning fees are to be funded by the general reserve balance.
- 1.5 After the 2017/18 budget had been agreed by Council, the Sponsor supplied additional funding to provide working capital of £429k to the SSSC. This is intended to contribute to Sequence development (£229k) and fund customer services training and contribute to our digital transformation (£200k) during 2017/18. This additional funding was received by the SSSC in 2016/17 and is contained in the general reserve balance.
- 1.6 As at 31 October 2017, the projected outturn position on the core operating budget is an overspend of £260k. This consists of the planned budget deficit for practice learning fees of £271k, the additional £429k of working capital and an in-year underspend of £440k.
- 1.7 Specific grant funding of £1,008k has been awarded to the SSSC for 2017/18. In addition, £54k of grant underspends were carried forward from 2016/17 in the general reserve for use during 2017/18. At 31 October 2017 specific grant net expenditure is projected to be £16k less than planned.
- 1.8 A summary of the projected core operating budget position is attached at Appendix A. The specific grant funded position is summarised at Appendix B and summary of budget movements is detailed at Appendix C.

Summary of movements since last reported position:

The position last reported to Resources Committee on 19 September 2017 was a projected underspend of £57k. This was based on the ledger position at 31 July 2017.

The position based on the ledger as at 31 October 2017 is a projected underspend of £440k. This represents a movement of £383k against the previously reported position.

	£000	£000
Current projected net expenditure/(income)	(440)	
Last reported net expenditure/(income)	(57)	
Change to net expenditure position		(383)

Summary of changes:	Projection increase/ (decrease) £000
Expenditure:	
Staff costs	(261)
Accommodation costs	13
Administration costs	(160)
Travel costs	(31)
Supplies and services	(24)
Postgraduate bursaries	(20)
	(483)
Income:	
Registration fees	100
	100
Grand total:	(383)

The main reasons for these variances are detailed below:

Staff costs

The staff costs projection has reduced by £261k.

The staff costs projection has reduced by £243k due to delays in filling posts (slippage) across the following departments:

- Fitness to Practise £118k;
- Learning & Development £45k;
- Registration £22k;
- Executive Management Team (EMT) £20k;
- Performance & Improvement £16k;
- Communications £11k;
- Corporate Governance & Hearings £7k and
- Finance £4k.

The projection for allowances for lay and due regard members has reduced by £68k due to a fall in the number of hearings expected to be held. The

allowances projection for external assessors for non-UK qualification work has reduced by £10k.

These underspends are offset by overspends from:

- extension to a secondment inward in Learning & Development £43k;
- training costs under Performance and Improvement £7k;
- a temporary acting up allowance in relation to ICT development work £5k; and
- relocation costs under Performance and Improvement £5k.

Accommodation costs

The projection for accommodation costs has increased by £13k as unplanned maintenance costs exceed budget assumptions

Administration costs

The projection for administration costs has decreased by £160k in total.

Legal adviser fees in relation to hearings are anticipated to be underspent by £174k. Hearing numbers have fallen by one third from the previous financial year due to the move to the Fitness to Practise model which encompasses a change to the thresholds for Fitness to Practise, resulting in fewer hearings being required than under the old model. In addition to this, there is the upcoming move to Legally Qualified Chairs (LQCs) from 1 December 2017 which will negate the need to employ legal advisers. Hearings under the new model are anticipated to commence in the last quarter of this financial year.

The projection for postage costs has reduced by £58k. The mailing of the new personal Registration card is now to be issued to a reduced audience (new Registrants and those renewing only). This reduces the postages projection by £48k. The projection for postage costs has reduced by £10k for Corporate Governance and Hearings in line with the anticipated reduction in hearings.

Bank charges have reduced by £5k due to the new contract charges for online and telephone payments. The projection for practising certificates for Fitness to Practise staff has reduced by £3k.

The above reductions are offset by projected increases for:

- fee write offs due to registrants lapsing or being removed from the register £30k;
- employing professionals to train Legally Qualified Chairs (LQCs) and new lay members £27k;
- legal advice relating to employment law £10k;
- print cost requirements £8k and
- unbudgeted due diligence work at a cost of £5k.

Travel costs

The projection for travel costs for lay and due regard members has reduced by £30k due to fewer hearings being held than originally expected in this financial year. A reduction of £1k travel is anticipated for Performance and Improvement.

Supplies and Services

The projection for pick and pack costs in relation to sending out Codes of Practice materials has reduced by £14k. The projection for charges for the shredding of confidential waste has reduced by £4k due to a new contract with a new supplier.

A review of printer lease costs has been undertaken and projected equipment lease costs have decreased by £6k.

Postgraduate Bursaries

The postgraduate bursaries expenditure projection has reduced by £20k. A total of 300 students are expected to be nominated out of a quota of 310 for 2017/18. Of these, 46 students have been assessed as tuition fee and travel only. Conservative estimates have been included for Stirling University students as their academic year runs from January to December. More accurate projections will be available once Stirling students have been assessed by January/February.

Registration fee income

The projection for Registration fee income has reduced by £100k. This is based on actual data to October and current projections from November to March. The main difference is due to the uptake for Support Workers for Care at Home Services and Support Workers for Housing Support Services. These new parts of the Register opened on 1 October 2017 and uptake is now expected to be 4,300 less than the 10,000 included in the budget for this financial year.

BUDGET MONITORING INFORMATION

2. INTRODUCTION

- 2.1 This is the second budget monitoring report of the 2017/18 financial year to be presented to the Resources Committee. The SSSC manages its resources and has in place formal processes for the accurate recording, reporting and effective managerial control of its funds.
- 2.2 The Scottish Social Services Council (SSSC) agreed a total core operating budget of £19.7m and a specific grant funded budget of £1.1m on 21 March 2017. There have been adjustments to the budget since it was agreed by Council; the detail of this is set out in section 3 below.
- 2.3 Attached as Appendix A and B respectively are the budget monitoring statements for the core operating and grant funded budgets. These statements are based on the revised budget position set out in section 3 below.

3. REVISED 2017/18 BUDGET

- 3.1 The revised core operating budget for 2017/18 is £20.6m. This is £0.9m more than the agreed budget because the SSSC agreed to take on the management of the Voluntary Sector Development Fund (VSDF) from Scottish Government on 1 July 2017. A total of £1.0m in specific grants has been awarded to the SSSC providing a total budget of £21.6m in 2017/18.
- 3.2 It was agreed with the Sponsor after the budget was agreed by Council, that additional funding paid in 2016/17 contained in the general reserve balance would be used to fund £271k of practice learning fees. The practice learning fees income budget has been reduced accordingly and the revised budget now shows a deficit.
- 3.3 After the Council agreed the 2017/18 budget, the Sponsor provided additional funding of £429k to contribute to non-recurring costs associated with sequence development of £229k and customer service staff training and digital transformation of £200k during the 2017/18 financial year. This additional funding was received in late 2016/17 and is contained within the general reserve balance.
- 3.4 Specific grant funding of £1,008k has been awarded to the SSSC for 2017/18. In addition, £54k of grant underspends were carried forward from 2016/17 in the general reserve for use during 2017/18.
- 3.5 The table below summarises the SSSC's 2017/18 budget position for core operating expenditure and specific grants awarded to the SSSC.

	Core Operating Budget 2017/18 £000	Specific Grant Funding 2017/18 £000	Total Budget 2017/18 £000
Gross expenditure agreed by Council (21 March 17)	19,738	1,042	20,780
Budget revisions:			
Voluntary Sector Development Funding (VSDF)	900		900
Reduction in W/force Dvt & Social Integration Grant		(34)	(34)
Revised gross expenditure	20,638	1,008	21,646
Budgeted Funding:			
Approved by Council (21 March 2017)	(19,738)	(1,042)	(20,780)
Voluntary Sector Development Fund (VSDF)	(900)		(900)
Practice Learning income reduction	271		271
Reduction in other grant funding		34	34
Revised funding	(20,367)	(1,008)	(21,375)
Council agreed budget deficit/(surplus)	0	0	0
Revised budget deficit/(surplus)	271	0	271

4.0 2017/18 – SUMMARY OF PROJECTED OUTTURN

- 4.1 This budget monitoring report provides separate analysis of the core operating budget position and specific grant funded expenditure. The report incorporates projected outturn figures based on the ledger to 31 October 2017. Attached at Appendix A is the 2017/18 core operating budget monitoring statement for the year to 31 March 2018. This includes a summary of the projected general reserve movement. Specific grant funding is detailed in Appendix B and a summary of budget movements is shown at Appendix C.
- 4.2 As at 31 October 2017, the projected outturn position on the core operating budget is an overspend of £260k. This consists of the planned budget deficit for practice learning fees of £271k, the additional £429k of working capital and an in-year underspend of £440k.
- 4.3 As at 31 October the projected outturn position on specific grants is an underspend of £16k. This is a variance of £70k to the planned position of a £54k overspend.
- 4.4 The core operating budget statement at Appendix A and the grant funded budget statement at Appendix B shows the 2017/18 budget for monitoring purposes after adjustments have been made to the budget agreed by Council on 21 March 2017. The actual expenditure/income and commitments are shown for the period to 31 October 2017. The projected year end expenditure column represents the anticipated expenditure or income position at the end of the financial year (31 March 2018). The projected annual variance column represents the variance between projected annual expenditure or income and the agreed budget.

5. OPERATING BUDGET - EXPENDITURE

5.1 Staff costs (£186k)

5.1.1 There is a projected underspend of £186k on staff costs.

5.1.2 This includes an underspend of £378k on salaries. This is mainly due to delays in filling vacant posts (slippage), staff working reduced hours and maternity leave.

5.1.3 The projection for allowances for lay and due regard members is expected to be underspent by £68k as expected hearing numbers have reduced by a third. Allowances for external assessors for non-UK qualification work are expected to be underspent by £10k.

5.1.4 These underspends are partially offset by a projected overspend of £183k on non-payroll staff costs for digital transformation and staff training in customer services. This expenditure is intended to be funded from the general reserve as detailed in section 3.3 of this report.

5.1.5 In addition, further overspends are expected from:

- secondment inward for Learning and Development £54k;
- bespoke training for Fitness to Practise £11k;
- EFQM re-accreditation training and various other training requirements for the Performance and Improvement team £8k;
- advertising for new employees £5k;
- relocation costs under Performance & Improvement £5k and
- secondment inward for Corporate Governance and Hearings £4k.

5.2 Accommodation £13k

5.2.1 Accommodation costs are projected to be £13k overspent due to unplanned maintenance costs being more than budgeted.

5.3 Administration costs (£17k)

5.3.1 Administration costs are expected to be underspent by £17k.

5.3.2 Legal adviser fees for hearings are anticipated to be underspent by £174k.

This is due to a few factors:

- the move to the new Fitness to Practise model which is forward looking and focusses on a person's current behaviour;
- a change in thresholds for Fitness to Practise meaning that fewer cases result in a hearing; and
- the upcoming move to Legally Qualified Chairs which will mean that legal advisers will no longer be required.

The current projection takes into account actual costs to 31 October and the projected number of hearings anticipated under the current rules and the new rules from November to March.

- 5.3.3 Postage costs are expected to be £58k underspent. The new personal Registration card is now to be issued to a reduced audience (new Registrants and those renewing only). This reduces postages costs by £48k. In addition, postage costs are expected to be underspent by £10k for Corporate Governance and Hearings in line with the anticipated reduction in hearings.
- 5.3.4 Bank charges are expected to be £5k less than budget due to the new Government framework contract for online and telephone payments.
- 5.3.5 There is an underspend of £3k on subscriptions due to fewer Fitness to Practise staff using the Linets service than originally anticipated.
- 5.3.6 The conference attendance budget is expected to be £2k underspent. The full conference attendance budget for Performance & Improvement is no longer required giving a projected underspend of £4k and attendance by Members at conferences, seminars and other events is expected to be £2k more than budget.
- 5.3.7 Professional fees are projected to be £146k overspent. This comprises:

	Budget Variance £000	Funded from General Reserve £000	Total Professional Fees Overspend £000
Expertise for Sequence relet		103	103
Institute of Customer Services (ICS) membership		12	12
EQUIP Advanced online service tool		5	5
Training Legally Qualified Chairs and new members	20		20
Professional advisers for the recruitment of LQCs	5		5
Due diligence assignment	5		5
Translation costs for hearings	3		3
Sponsorship SCQF Conference Feb 2018	2		2
EFQM accreditation - postponed	(6)		(6)
Practising certificates for Fitness to Practise	(3)		(3)
Total	26	120	146

- 5.3.8 Legal fees are projected to be £41k overspent in total. Unbudgeted legal advice relating to employment law is expected to cost £26k. Legal presenter fees are projected to be £15k overspent for Fitness to Practise cases.
- 5.3.9 Fee write offs are projected to be £30k more than budgeted. Fees are written off due to registrants lapsing or being removed from the register.
- 5.3.10 Photocopying charges are expected to be £8k more than budgeted.

5.4 Transport costs (€30k)

- 5.4.1 Travel and subsistence costs are projected to be underspent by £30k for lay and due regard members due to the anticipated reduction in hearings.

5.5 Supplies and services

£111k

5.5.1 Supplies and service costs are expected to be overspent by £111k.

5.5.2 ICT Development – Sequence - £126k. There is a budget of £820k for changing the provider of Sequence and development of the system during 2017/18. The general reserve contains working capital of £229k for additional unbudgeted Sequence development (see paragraph 3.3) giving total available funding of £1,049k for 2017/18. Of the £229k, £126k is supplies and services and £103k is a professional fee (see paragraph 5.3.7). The projections in this report assume this funding will be fully used. However, it should be noted that the timings of elements of the Sequence project are uncertain and expenditure may fall into next financial year. Discussions are in hand with the Sponsor to secure approval for carry forward of up to £0.5m into the 2018/19 financial year.

5.5.3 ICT Development – Performance Management System – There is a budget of £100k for the development of an operational performance management system. It is now anticipated that this development will be carried out as part of the overall Sequence development. The projections in this report assume this budget will be fully spent. Similar to the wider Sequence development, agreement with the Sponsor is being sought to carry forward working capital funding in the general reserve for any expenditure falling into 2018/19.

5.5.4 Other supplies and services costs are expected to be £3k overspent due to subscriptions for new ICT packages such as Snap Survey and records management software.

5.5.5 The above overspends will be offset by a projected underspend of £14k in respect of pick and pack costs associated with sending out Codes of Practice materials. A further underspend of £4k is expected from shredding of confidential waste charges due to a new contract and change of supplier.

5.6 Postgraduate bursaries

(£20k)

5.6.1 The budget for postgraduate bursaries is based on a total of 310 bursaries being awarded. The current number of student nominations from universities this year is 299. Of those assessed to date 46 are entitled to tuition fee and travel costs only. Costs for Stirling University students will not be known until January/February 2018 as Stirling operates a January to December academic year. Postgraduate bursary expenditure is currently projected to be £20k underspent. Once all assessments have been completed, expenditure projections will be reviewed.

5.7 Practice learning fees

5.7.1 The first payment of practice learning fees has been made to universities. This is based on the universities' 2016/17 charges. Expenditure projections in this report are currently at budget. Updated estimates are due from the

universities in January 2018 and this information will be used to provide a more accurate projection of the year end position.

5.8 Voluntary Sector Development Fund (VSDF)

- 5.8.1 In July 2017 the SSSC took on responsibility for administration of the Scottish Government's Voluntary Sector Development Fund. There is a budget of £900k for 2017/18 to provide contributions towards the cost associated with meeting the required registration qualification criteria set by the SSSC. In 2017/18 the priorities for eligibility are support workers in housing support and care at home services and contributions are a maximum of £1,200 per eligible student.
- 5.8.2 The closing date for applications for VSDF funding was 1 September 2017 and decisions regarding the allocation of the budget were made in October 2017. A report is now being submitted by Scottish Government to Scottish Ministers for final approval prior to any funding being awarded. It is anticipated that this budget will be fully spent.

6. OPERATING BUDGET - INCOME

6.1 Government grants - grant in aid

- 6.1.1 The projections within this report assume grant in aid will be fully drawn down for the year.

6.2 Practice learning fee income

- 6.2.1 The 2017/18 budget approved by Council on 21 March 2017 included provision for practice learning expenditure of £2,352k. The budget agreed by Council assumed this would be entirely funded by grant in aid. This position has been revised in agreement with the Sponsor and £2,081k will now be funded from grant in aid and £271k will be funded from the general reserve.

6.3 Voluntary Sector Development Fund (VSDF) Income

- 6.3.1 A budget of £900k has been allocated for the VSDF by the Scottish Government for 2017/18. Decisions on awards to voluntary organisations were made in October 2017. Scottish Government are now submitting a report to Scottish Ministers as ministerial approval is required prior to any funding being awarded. Following approval, funding will be drawn down in order to make payments to the successful organisations during December 2017 and January 2018. It is anticipated that the full £900k budget will be required.

6.4 Registration fee income £100k

- 6.4.1 Current projections suggest that registration fee income will be £100k less than budget. This is based on actual data to October and current projections from November to March. The main reason is due to the uptake for Support Workers for Care at Home Services and Support Workers for Housing Support Services, both of which opened on 1 October 2017. The number of new

applications relating to those parts of the Register is now expected to be 4,300 less than the 10,000 budgeted for in this financial year.

6.5 Other income £18k

- 6.5.1 Other income will be £18k less than budgeted as an outward secondment budgeted to end on 31 March 2018 will now end on 31 October 2017.

7. Additional expenditure from working capital

- 7.1 Additional funding was paid late in 2016/17 to provide working capital of £429k. This comprises £229k for Sequence development and £200k for customer services training and digital transformation.
- 7.2 **Sequence Development** – The additional £229k working capital is in addition to the £820k budget provision, detailed in paragraph 3.3 of this report, providing a total of £1,049k. The projections in this report assume this funding will be fully utilised.
- 7.3 **Staff training** – The working capital of £200k is one-off funding for SSSC staff to advance training in Customer Service and progress the SSSC's Digital Transformation Strategy. The projections in this report assume this funding will be fully utilised.

8.0 SPECIFIC GRANTS AWARDED TO THE SSSC

8.1 Workforce development grant

- 8.1.1 Workforce Development Grant (WDG) totalling £399k has been agreed with the Scottish Government for the 2017/18 financial year. In addition, the Scottish Government agreed that £6k of underspent funding from 2016/17 could be held in the general reserve to be used in 2017/18. Funding of £2k was repaid to SSSC, providing total available funding of £407k. It is projected that £35k of this funding will not be claimed due to issues regarding the procurement framework for the digital learning team.

8.2 Other specific grant funding

- 8.2.1 A total of £609k of other specific grants has been agreed for 2017/18. In addition, the Scottish Government agreed that £48k of underspend from 2016/17 Workforce Development and Social Care Integration funding could be held in the general reserve for use in 2017/18. Current projections indicate the total of £657k available will be fully spent.
- 8.2.2 Grant income totalling £70k has been received in 2017/18 for two grants relating to 2016/17. The income comprises: Enhanced learning and CPD within the childcare sector £50k and the development of a smartphone app on child development £20k. The expenditure relating to these grants was incurred during 2016/17.
- 8.2.3 The grant projected net expenditure position is summarised in the table below:

	Specific Grant funding 2017/18 £000	Projection/ Actual 2017/18 £000	Variance £000
In-year funding	(1,008)	(973)	35
Repaid grant for re-use	(2)	(2)	0
2016/17 grant receipts		(70)	(70)
Total in-year funding	(1,010)	(1,045)	(35)
Expenditure	1,064	1,029	(35)
From/(to) general reserve	54	(16)	(70)

8.2.4 As at 31 October 2017 38% of the available funding for Workforce Development Grant was spent or committed. A total of 86% of available funding for the other five specific grants has been spent or committed by 31 October 2017. Plans are in place for the remaining available grant funding.

8.2.5 No further grants are expected to be awarded to the SSSC for the 2017/18 financial year.

9.0 GRANTS PAID TO OTHER BODIES

9.1 The following grants have been awarded to other bodies during 2017/18 from the Workforce Development Grant (paragraph 6.1.1).

2017/18 Third Party Grants	£000
Scottish Care	80
Coalition of Care Providers Scotland (CCPS)	70
Skills for Care	12
Total grants awarded to other bodies	162

9.2 No further grants are expected to be awarded to other bodies for the 2017/18 financial year.

10.0 BUDGET MONITORING AREAS FOR SPECIFIC ATTENTION

10.1 There are areas of the budget where there is uncertainty. The table below details the budget headings identified and the EMT Member who is taking an active role in monitoring these budget headings as the year progresses.

Budget area	Budget issue	Potential over/ (under) spend £000	Responsible EMT Member

Staff costs	Projected staff costs are based on staff in post as at 31 October 2017 and known future changes at this date. EMT will monitor changes in staffing closely throughout the year.	+/-	All
Sequence procurement & development	<p>There is a budget of £820k for sequence change of provider and development. In addition the Sponsor provided £229k of working capital in 2016/17 for sequence development giving total available funding of £1,049k for 2017/18.</p> <p>There is uncertainty around the timing and nature of the development work on Sequence and the Fitness to Practise case management development. At 31 October 2017 £507k (48%) of the available funding was spent or committed.</p>	Up to (£542k)	Director of Strategic Performance and Engagement
Operational Performance Management System	There is uncertainty over the timing and nature of this development which will now be incorporated into the Sequence development. This area will continue to be closely monitored. No expenditure has been committed on this project as at 31 October 2017.	Up to (£100k)	Director of Strategic Performance and Engagement
Customer service training & digital transformation	The Sponsor provided £200k of working capital in 2016/17 to support the SSSC's programme of customer service training for staff and digital transformation. As at 31 October £73k (37%) of this funding has been committed.	Up to (£127k)	Director of Strategic Performance and Engagement
Legal advice (CGH)	There is uncertainty over this budget due to the move to Legally Qualified Chairs (LQCs) from 1 December 2017. During the transitional period legal advisers and LQCs will both be used. The projection for this has been reduced by £174k based on actual data to October and the projected number of hearings expected under the current rules and the new rules from November to March.	+/-	Chief Executive
Legal advice (HR)	Current expenditure patterns suggest an overspend of £26k on external legal advice for employment law. This area will continue to be closely monitored.	+	Chief Executive
Legal presenter fees (FtP)	Current expenditure patterns suggest an overspend of £15k on legal presenter fees. This area will continue to be closely monitored.	+	Director of Fitness to Practise
Hearings	There are a number of budget reductions due to the anticipated number of hearings.	-	Chief Executive

11. FINANCIAL IMPLICATIONS

11.1 FINANCIAL IMPLICATIONS – GENERAL RESERVE

11.1.1 The 2016/17 outturn position is a general reserve balance of £1,094k. A total of £754k is planned to be funded from the general reserve in 2017/18. This comprises:

2017/18 Expenditure to be funded from general reserve	Planned outturn £000	Projected outturn £000	Variance £000
Contribution to practice learning fees	271	271	0
Sequence development	229	229	0
Cust. services training/ digital transformation	200	200	0
Net over/(under)spend on specific grants	54	(16)	(70)
In-year underspend		(440)	(440)
Total to be funded from general reserve	754	244	(510)

11.1.2 As at 31 October the projected outturn position on the core operating budget is an overspend of £260k. Specific grant funding is projected to be £16k underspent giving projected net expenditure of £244k to be funded from the general reserve at 31 March 2018. This is £510k less than was expected to be required to be funded from the general reserve. This is shown in the table above. The table below summarises the projected general reserve balance position expected as at 31 March 2018.

Projected general reserve position:	Revenue element of Reserve 2017/18 £000	Grant element of Reserve 2017/18 £000	Total General Reserve £000
General reserve opening balance at 1 April 2017 (subject to audit)	(1,040)	(54)	(1,094)
Projected overspend on core operating budget	260		260
Projected underspend on specific grants		(16)	(16)
Projected general reserve at 31 March 2018	(780)	(70)	(850)

11.1.3 Should the final outturn be as currently projected there would be a general reserve balance of £850k as at 31 March 2018. £850k is 4.1% of gross expenditure. This is greater than the target general reserve balance range which is 2% (£413k) to 2.5% (£516k) of gross expenditure. We will monitor the position and, later in the year, agree the implication for grant in aid drawdown with the Sponsor.

12. HUMAN RESOURCE IMPLICATIONS

12.1 There are no human resource implications arising from this report.

13. EQUAL OPPORTUNITIES

- 13.1 Budget monitoring helps to support the SSSC's commitment to equal opportunities and working towards equality and diversity.

14. LEGAL IMPLICATIONS

- 14.1 Budget monitoring reports are compiled in accordance with guidance issued by the Scottish Government and in line with requirements of the Scottish Government Executive Framework Agreement and the Council's Standing Orders and Financial Regulations.

15. STAKEHOLDER ENGAGEMENT

- 15.1 There are no immediate implications for stakeholder engagement, but continued budget monitoring is part of a robust financial management framework which is required to ensure that the service we provide to our stakeholders is as good as it can be.

16. IMPACT ON USERS AND CARERS

- 16.1 The budget is developed in line with corporate planning priorities and monitored regularly to assist the Council in meeting its objectives of improving services and raising standards. This will support improved services to users and carers in the longer term.

17. CONCLUSION

- 17.1 The Resources Committee is requested to consider and approve the attached Budget Monitoring Statement for the year to 31 March 2018 in accordance with corporate governance requirements.

18. BACKGROUND PAPERS

- 18.1 Appendix A: Summary: core operating budget
Appendix B: Summary: specific grant funding
Appendix C: Summary of budget movement

SSSC Budget Monitoring 2017/18 as at 31 October 2017

Summary: Core Operating Budget	Revised budget for monitoring purposes £'000	Actual Expenditure/Income as at 31 October 2017 £'000	Commitments as at 31 October 2017 £'000	Projected year end Expenditure/Income as at 31 October 2017 £'000	Projected Annual Variance £'000
Staff Costs	9,854	5,425	22	9,668	(186)
Accommodation Costs	767	587	190	780	13
Administration Costs	1,477	605	557	1,460	(17)
Travel Costs	221	88	0	191	(30)
Supplies & Services	2,412	1,370	186	2,523	111
Postgraduate Bursaries	2,655	2,234	326	2,635	(20)
Practice Learning Costs	2,352	1,014	0	2,352	0
Voluntary Sector Development Fund (VSDF)	900	0	0	900	0
Gross Expenditure - core operating budget	20,638	11,323	1,281	20,509	(129)
Government Grants	(14,348)	(5,608)	0	(14,348)	0
Practice Learning Fee Income	(2,081)	(773)	0	(2,081)	0
Voluntary Sector Development Fund (VSDF)	(900)	(0)	0	(900)	0
Registration Fees	(2,743)	(2,917)	0	(2,643)	100
Protection of Vulnerable Groups (PVG) Fees	(13)	(6)	0	(13)	0
IRS Equivalency Fee	(10)	(4)	0	(10)	0
Modern Apprenticeship Income	(133)	(72)	0	(133)	0
Other Income	(139)	(44)	0	(121)	18
Total Income	(20,367)	(9,424)	0	(20,249)	118
Net Expenditure - core operating budget	271	1,899	1,281	260	(11)

Projected general reserve movement:	Core operating budget £'000	Specific Grants £'000	Total £'000
General reserve opening balance at 1 April 2017 (subject to audit)	(1,040)	(54)	(1,094)
Projected overspend on core operating budget	260	0	260
Projected underspend on specific grants	0	(16)	(16)
Projected general reserve at 31 March 2018	(780)	(70)	(850)

4.12 % of gross core operating budget
target range: 2% (£413k) to 2.5% (£516k)

SSSC Budget Monitoring 2017/18 as at 31 October 2017

Summary: Specific Grant Funding	Budget 2017/18 £'000	Approved Grant offer 2017/18 £'000	Actual to 31-Oct-17 £'000	Commitments as at 31-Oct-17 £'000	Projected outturn as at 31-Oct-17 £'000	Projected Annual Variance £'000
Expenditure						
Workforce Development	399	399	93	49	372	(27)
Total: Workforce Development	399	399	93	49	372	(27)
Leadership for Integration	28	28	16	12	28	0
Workforce development and social care integration	447	413	200	181	461	48
Promoting Excellence: Dementia strategy	168	168	90	69	168	0
Enhanced Learning and CPD within childcare sector	0	0	0	0	0	0
Development of smartphone app on child development	0	0	0	0	0	0
Total: Other specific grants	643	609	306	262	657	48
Total Expenditure	1,042	1,008	399	311	1,029	21
Income						
Workforce Development	(399)	(399)	(125)	0	(366)	33
Total: Workforce Development	(399)	(399)	(125)	0	(366)	33
Leadership for Integration	(28)	(28)	0	0	(28)	0
Workforce development and social care integration	(447)	(413)	(103)	0	(413)	0
Promoting Excellence: Dementia strategy	(168)	(168)	(168)	0	(168)	0
Enhanced learning and CPD within childcare sector	0	0	(50)	0	(50)	(50)
Development of smartphone app on child development	0	0	(20)	0	(20)	(20)
Total: Other specific grants	(643)	(609)	(341)	0	(679)	(70)
Total Income	(1,042)	(1,008)	(466)	0	(1,045)	(37)
Net Expenditure	0	0	(67)	311	(16)	(16)

General Reserve funding available: Workforce Development

(6)

General Reserve funding available: Workforce development and social care integration

(48)

Total General Reserve funding available for specific grants

(54)

Projected 2017/18 over/(under) spend

(70)

Scottish Social Services Council

Summary of Budget Movements

	2017/18 Approved Budget £'000	2017/18 Reallocated / Additional Budget £'000	2017/18 Revised Budget £'000
Expenditure			
Staff costs	9,854		9,854
Accommodation costs	767		767
Administration costs	1,477		1,477
Transport costs	221		221
Supplies & services	2,412		2,412
Postgraduate bursaries	2,655		2,655
Practice learning fees	2,352		2,352
Voluntary Sector Development Fund (VSDF)		900	900
	19,738	900	20,638
Income			
Practice Learning fee income	(2,352)	271	(2,081)
Registration income	(2,743)		(2,743)
Other Income	(295)		(295)
Voluntary Sector Development Fund (VSDF)	0	(900)	(900)
	(5,390)	(629)	(6,019)
Net Expenditure funded by:			
Grant in aid	(14,348)		(14,348)
Net Expenditure	0	271	271

Note:

- a. On 1 July 2017 the SSSC took on administration of the Voluntary Sector Development Fund (VSDF) on behalf of Scottish Government. Ministers agreed a budget of £900k for the 2017/18 financial year.

Title of report	Convener's report
Public/confidential	Public
Action	For information
Summary/purpose of report	This report provides Council Members with an update on engagements carried out by the Convener on behalf of the Scottish Social Services Council (SSSC). The report usually summarises discussion at the Policy Forum but Members will be aware the Policy Forum on 13 December 2017 was cancelled. The report however provides an update on discussion at the Council Member's Away days on 7 and 8 December 2017.
Recommendations	The Council is asked to note the information contained in this report.
Link to Strategic Plan	The information in this report links to Outcome 4 of the Strategic Plan, that our stakeholders value our work.
Link to the Risk Register	This report links to the Strategic Risk Register in that it aims to contribute to open, transparent and informed governance arrangements.
Author	Professor James McGoldrick
Documents attached	None

1. INTRODUCTION

- 1.1 This report sets out the stakeholder engagement which has been carried out by the Convener on the SSSC's behalf and also summaries the discussion at the recent Council Members' away-days.

2. STAKEHOLDER ENGAGEMENT

Date	Meeting
26 October 2017	Social Security Committee, Scottish Parliament
30 October 2017	10 th Annual Regulation Conference
6 November 2017	SSSC Apprenticeship Research Steering Group
16 November 2017	Scottish Government Board Mentoring Project
17 November 2017	Transitional Oversight Group (Iriss)
20 November 2017	Disability and Carers Benefits Expert Group Scrutiny Workshop
22 November	Workforce Planning in Health & Social Care Seminar, Holyrood Events
30 November 2017	Disability and Carers Benefits Expert Group Scrutiny Workshop
4 December 2017	SCRA Chair shortlist meeting, Public Appointments
5 December 2017	NHS Education for Scotland Board Member shortlist meeting, Public Appointments
13 December 2017	Ministerial Strategic Group for Health and Community Care
14 December 2017	Transitional Oversight Group (Iriss)
18 December 2017	SCRA Chair interviews, Public Appointments
9 and 10 January 2018	NHS Education for Scotland Board Member appointment interviews, Public Appointments

3. DISCUSSION AT THE COUNCIL MEMBER'S AWAY DAYS (7 AND 8 DECEMBER 2017)

- 3.1 Previous reports have referred to discussions at the Policy Forum. On this occasion, the Policy Forum was replaced by away-days on 7 and 8 December 2017. The following is a summary of those discussions.
- 3.2 Council Members discussed how the SSSC could support the social service workforce to build capacity to engage in and drive improvement and innovation, supporting the workforce to develop skills and understanding of improvement methodologies. We will submit a proposal to the Chief Social Work Adviser, and officers are in discussion with the Care Inspectorate about opportunities to work together on aspects of this agenda.

- 3.3 Council Members discussed the proposal to create a new Education Workforce Council contained in the Scottish Government's Empowering Schools Consultation. That is covered elsewhere on this agenda.
- 3.4 Council Members discussed the potential for an organisational re-structure. A formal proposal will be considered at a future meeting of the Resources Committee.
- 3.5 The Chief Social Work Adviser attended for part of the first day and set out her vision for the future of social services and the SSSC's role in supporting that.
- 3.6 Council Members asked the Chief Executive to remind SSSC staff of the whistle-blowing procedure and of Andy Rome's availability as the point of contact on Council.

4. RESOURCE IMPLICATIONS

- 4.1 There are no resource implications arising from this report.

5. EQUALITIES IMPLICATIONS

- 5.1 There are no equalities implications arising from this report.

6. LEGAL IMPLICATIONS

- 6.1 There are no legal implications arising from this report.

7. STAKEHOLDER ENGAGEMENT

- 7.1 Internal stakeholders have contributed to this report and the report aims to include a regular update on the Convener's engagement activities with our external stakeholders.

8. IMPACT ON USERS AND CARERS

- 8.1 There is no direct impact on people who use services or their carers.

9. CONCLUSION

- 9.1 This report summarises recent engagements undertaken by the Convener on behalf of the SSSC. It also sets out the items which were discussed at the recent Policy Forum and will now be considered by Council.

10. BACKGROUND PAPERS

- 10.1 None.

Title of report	Chief Executive's report
Public/confidential	Public
Action	For information
Summary/purpose of report	This report provides Council Members with an update on key developments since the last Council meeting on 31 October 2017.
Recommendations	The Council is asked to: 1. note the information contained in this report 2. offer comment on the content.
Link to Strategic Plan	The information in this report links to Outcome 4 of the Strategic Plan, that our stakeholders value our work.
Link to the Risk Register	This report links to the Strategic Risk Register in that it aims to contribute to open, transparent and informed governance arrangements.
Author	Anna Fowlie Chief Executive Tel: 01382 207250
Documents attached	Appendix 1: Registration statistics

1. INTRODUCTION

- 1.1 This report sets out the highlights across the organisation since the last Council Meeting in October.
- 1.2 I have included highlights from each function, as well as some examples of things that are significant from my own perspective. I have also included examples of collaborative working and examples of the values in practice.

2. DEPARTMENTAL HIGHLIGHTS

Registration

- 2.1 The enquiries dealt with by the MySSSC enquiries team are often quite lengthy. This is because people sometimes need support through the whole application process. In the period from July to December 2016 the average call time was 8 minutes 24 seconds; this improved significantly in the same period in 2017 with call times reducing to an average of 5 minutes 54 seconds. The main reason for this is the improvements we have made to MySSSC, making the system more intuitive. We find callers are now more confident to continue the process by themselves.
- 2.2 The Registration team has been working on developing pathways for staff looking to develop beyond their current role at the SSSC. Over the next couple of months, Registration Assistants will be offered the opportunity to work through the development pathway for Senior Registration Assistants. Through a mixture of practical experience and scenario-based learning, the pathway gives staff the opportunity to learn new skills and gain experience in the senior role which will support their career progression.

Fitness to Practise

- 2.3 We closed 369 more cases than we opened in the 2017-18 calendar year. We opened 2,619 cases and closed 2,988.
- 2.4 The most significant on-going work will continue to be implementing the new case management system.

Corporate Governance and Hearings

- 2.5 Over the last quarter we have recruited and trained 18 new panel members (7 lay and 11 social service members) and 18 new legally qualified chairs. There were 83 and 109 applicants respectively so this was a massive undertaking.
- 2.6 Over the coming quarter the team will be focusing on taking forward the paperless hearings part of our digital transformation, which is closely linked to implementing our new case management system.

Learning and Development Team

- 2.7 A new online resource will be available by March 2018 which will help social service workers develop their communication skills (reading, writing, listening and speaking). This resource will be useful to people who need support to develop these skills as well as those who want to start their career. There will be a directory of local, national and online support. The directory and case studies will include guidance for people who speak English as a second language and people who have additional learning needs.
- 2.8 The Scottish Government and COSLA have published part two of the National Health and Social Care Workforce Plan. It sets out how they, along with social care partners, will work together on new ways of recruiting and workforce planning to make sure people get the right support to enable them to live as independently as possible. We were involved in developing the plan and will continue to make a significant contribution to its development and implementation. For example, our workforce data and Workforce Skills Report provide reliable underpinning information and we will be developing tools and resources to support the workforce and employers. Our work to promote social care as a positive career choice, including developing the Ambassadors for Careers in Care network will be enhanced, as will the work we are doing on career pathways and the implementation of the recommendations of the Review of Social Work Education.
- 2.9 We are working with Police Scotland and Social Work Scotland in partnership with Scottish Government to take forward the recommendations of the [Evidence and Procedure Review](#) to improve the quality and consistency of Joint Investigative Interviews (JIIs) of children. The Scottish Government is putting in place strategic governance arrangements that will report to the Justice Board. Our contribution to this work is:
- supporting the research and best practice piece (literature review)
 - providing workforce data and intelligence on the profile of the workforce and target audience
 - advising on the alignment to the Standards in Social Work Education (SiSWE) and mapping of the qualification/award to the National Occupational Standards (NOS)
 - advising on appropriate SCQF Levels and proportionate credit (Police Scotland is a credit rating body).
 - ensuring the award meets post-registration training and learning requirements for social workers (PRTL)
 - ensuring the qualification/award meets the SSSC's registration requirements
 - advising on SSSC and SQA approval and quality assurance process for learning programmes
 - advising on work-based learning models such as PDAs, apprenticeship routes and distance learning for remote and rural areas.

- leading on the development of learning resources that support the delivery of the learning programme (digital learning).
- 2.10 The Care Inspectorate's report about the care of people with dementia in care homes and the impact of the Promoting Excellence Framework, 'My Life, my care home' used the Standards of Care for Dementia in Scotland. Standard 4.5 states "I have the right to carers who are well supported and educated about dementia." Inspectors found that in 73% of care homes, staff roles and responsibilities were aligned with the [Promoting Excellence](#) framework and that generally care homes using the framework, particularly when staff had engaged in associated learning opportunities, provided better quality care than those that didn't. Of the care homes with grades of Good or above, 47% aligned staff roles to the framework compared with just 9% of care homes with grades of Adequate or lower. They also found that care homes where staff received regular planned supervision were more likely to be a better performing service with better outcomes for people. Of the care homes inspected 60% provided this. There was a Dementia Ambassador in 46% of the care homes. In 53% of care homes with grades of Good or above there was a Dementia Ambassador compared with 33% of care homes with grades of Adequate or lower.
- 2.11 The new National Health and Care Standards set out what people should expect when using health, social care or social work services in Scotland. They seek to provide better outcomes for everyone; to ensure that individuals are treated with respect and dignity, and that human rights are upheld. They are intended to drive improvement, promote flexibility and encourage innovation. All services and support organisations, whether registered or not, should use the Standards as a guideline for how to achieve high quality care. From 1 April 2018, the Standards will be taken into account by the Care Inspectorate, Healthcare Improvement Scotland and other scrutiny bodies in relation to inspections and registration of health and care services. To support the implementation of the standards the SSSC is leading the workforce strand. This work will focus on the following areas:
- ensuring that the Standards are embedded in the workforce and link to professional codes of practice
 - working with the relevant inspectorates to support the development of improvement methodology as it relates to workforce
 - assisting the workforce to evidence how the Standards will be applied in what they do (reflective and evidence-based practice).
 - developing learning and development and educational resources that support the workforce to evidence the Standards in action in their everyday practice.
 - facilitating and co-ordinating opportunities for health and social care partnerships to further increase capacity and sustainability by sharing expertise, knowledge and resources where this is practicable.
 - identifying opportunities for the use of digital technology to promote and embed the Standards in practice.

Human Resources

- 2.12 In the next quarter, the HR team will be seeking customer feedback to review and improve the services they currently offer to colleagues. This work is aligned with implementing our Investors in People action plan.
- 2.13 A significant piece of work over the last few months has been taking the information from the Work Positive staff survey and working with managers and with Unison to develop action plans for teams and for the organisation as a whole.
- 2.14 There were some very encouraging findings in the survey results, for example the vast majority of staff at the SSSC feel supported by their colleagues.
- 2.15 The HR team is hosting three interns from the University of Dundee and Glasgow Caledonian University. These placements are an opportunity for the postgraduate students to observe and participate in day to day HR activities and also to conduct research involving theory, good practice, data collection and analysis on an HR topic identified by the SSSC and the Care Inspectorate to add value to what we do.
- 2.16 In preparation for moving to an e-recruitment portal, the HR team is working on digital recruitment campaigns and transactions. This will greatly improve our customer service to applicants as well as to managers.

Communications

- 2.17 We have produced the Codes of Practice in Easy Read and British Sign Language and there is a new animation explaining what the Codes mean for social service workers.
- 2.18 Between 1 October 2017 and 1 January 2018, the main Codes of Practice pdf has been viewed 18,563 times and the new Codes animation has had 2,290 views and 30 shares on YouTube.
- 2.19 We are carrying out a review of the website content with colleagues across the organisation to prepare for developing the new MySSSC/public website venture in the next phase of our digital transformation programme.

Performance and Improvement

- 2.20 The first stage of our EFQM (European Foundation for Quality Management) journey is to assess the teams that make up the SSSC. During the last three months, four new assessors have been accredited by Quality Scotland and we have just completed the evidence gathering stage of the first self-assessment with the Communications team. The concluding stage of this first assessment will happen in mid-January. We will use the lessons from that self-assessment to plan a programme of self-assessment for the entire organisation over the next three years.

- 2.21 We published the Workforce Skills Report (WSR) 2016-17 in October. We published the report, an extended version and an animated summary. We are starting to see evidence of the WSR informing other work, for example the second part of the National Health and Social Care Workforce Plan contains references to the WSR. Our findings also appear in a recent submission to the Health and Sport Committee and plans for a national social care workforce conference.
- 2.22 We recently launched the first regular Customer Satisfaction Survey, which will form a key part of the new Strategic Performance Report. There were 906 survey responses to Practitioners part of the register (approx. 20,000 contacts) in 48 hours and initial results are positive. The findings will be reported in the first Strategic Performance Report, which will also include updates on the work to deliver our Strategic Plan in February.
- 2.23 We recently participated in the annual IPSOs Mori survey of MSPs. Approximately 60% of MSPs say they know a great deal or fair amount about the SSSC's registration role—in 2015, that figure was 50%. In early 2018, we will publish a briefing paper on the survey results.

Finance

- 2.24 We have received an unqualified audit report and the auditor complimented our new annual accounts working papers package.
- 2.25 We have dealt with almost 15,000 calls in the incomes team since 1 October 2017.
- 2.26 We will continue to develop the Voluntary Sector Development Fund application system and it will be integrated into the new digital platform.

3. CROSS-SSSC/COLLABORATIVE WORK

- 3.1 Colleagues from the Strategic Performance and Engagement and Learning and Development supported the Corporate Governance and Hearings team to train new fitness to practise panel members and chairs. We have had positive feedback on the training.
- 3.2 Over the next few months, Corporate Governance and Hearings will be working with Fitness to Practise to try to improve registrants' attendance at hearings. This is a priority for the SSSC in the interests of ensuring the process is as fair and accessible as possible.
- 3.3 We have recently set up a Health and Safety Committee. The Human Resources and Facilities teams have been working together to look at what information would be useful for the committee to consider. We are also recruiting a new post to support this work and take forward the recommendations from the independent audit of health and safety.

- 3.4 We have launched our internal Leadership and Management Competency Framework, including a revised performance appraisal system. Feedback from introductory sessions with reviewers and reviewees has been positive and recognises that the new approach should facilitate genuine, open and supportive conversations. In line with the People Strategy, it is underpinned by our values and embeds the Leadership and Management Competency Framework across our work.
- 3.5 As part of our work on building our relationship with registrants, the Registration and Communications teams have been working together to introduce a new registration card. The intention of the card is to help support workers to understand and value their registration with the SSSC. It will be a plastic credit card-sized card which will have key information relating to the person's registration so they can have it to hand whenever they need it. We intend to start issuing the cards from the beginning of February 2018. This responds to feedback from our stakeholder survey last year and will include all new care at home and housing support workers.
- 3.6 The Registration, Communications and Learning and Development teams have worked together to produce our new Registration App. It provides users with useful information about registration, gives them direct access to MySSSC from mobile phones and tablets and contains useful videos on how to use MySSSC. It also has a dynamic section on the Codes of Practice which means that when they have downloaded the app, users can access the Codes very quickly from their mobile device. Since its launch at the beginning of December, there have been almost 1,500 downloads.
- 3.7 We are developing the digital welcome pack for new registrants with input from every department. It will welcome new registrants to the SSSC and promote key, relevant learning resources, the Codes of Practice, how to keep your registration up to date and our various news bulletins. Again, this responds to customer feedback.
- 3.8 The Registration and Performance and Improvement teams are considering whether the SSSC Register could be more customer-focused (in line with the Strategic Objectives for 2017-2020). So far we have interviewed staff members who use the register and carried out a workshop with representatives from all SSSC departments and the Care Inspectorate. The exploration phase will continue in 2018, when we will present options for improvement to the EMT.
- 3.9 The Performance and Improvement team is working with colleagues, in particular those in HR, to develop a document that presents the SSSC Way. The SSSC Way will be a reference tool and practical guide for new starts and current employees. As a code of conduct for employees, the document will pull together key policies and guides that explain how we do things as an organisation and what we expect of employees. For example, it will include reference to our vision and values as well as explaining our approaches to governance and performance management. The document may also be helpful for council members as well as providing an evidence base and reference tool for our EFQM work.

- 3.10 The Finance team has worked with Learning and Development, the Sponsor and external voluntary sector colleagues to allocate VSDF funding and Finance will issue grant agreements and make payments to the successful VSDF applicants during January 2018.
- 3.11 The Fitness to Practise team has worked closely with ICT, Corporate Governance and Hearings and the Sequence team to select a new case management system. Now that the system has been purchased, there is a lot of work to be done to design and implement the system to suit our purpose.
- 3.12 In partnership with Skills Development Scotland, we have created new career pathway resources, available at www.learn.sssc.uk.com/careers. The resources explain the qualifications required for registration with the SSSC and highlight progression routes and opportunities to move across careers. There are pathways for children and young people's services, adult social care and social work. This work will support the commitments in the sector improvement plan for early years and part two of the National Workforce Plan for Health and Social Care.

4. SSSC VALUES IN ACTION

- 4.1 The HR team is working on improving how we articulate our values and recognise them when we see them in action.
- 4.2 Creativity and learning - Jo Grant in Corporate Governance and Hearings has worked with colleagues from Fitness to Practise to improve use of encrypted emails and significantly streamlined the processes.
- 4.3 Creativity and Learning - Cheryl Campbell, our Registration Manager, is currently studying for a professional HR qualification and has used her project to develop a new approach to performance and development across the SSSC. She has worked closely with managers and staff to test options, eg a new approach to development discussions is being piloted just now.
- 4.4 Commitment – Through quality assuring calls, the Registration team has gathered some of the positive comments from callers. Here are some examples:
- "It's quite unusual to get such helpful people nowadays."
 - "Your training must be very good. I'm impressed."
 - "If there's a problem, it's always dealt with. It's very impressive."
 - "Thank you very much, you are very knowledgeable, you are great."
 - "The support we have received from everyone at the SSSC has been fantastic. I'm a bit of a dinosaur when it comes to computers but the online support has been great."
 - "You are absolutely the loveliest, nicest person I ever met in customer service."

This is a powerful confirmation of our commitment to providing good customer service.

- 4.5 Creativity and Learning – the Fitness to Practise department ran an in-house training programme about good presentation at hearings. Presenting staff were asked to present a mock case in front of their colleagues, with others playing various roles typically seen at a hearing. This was so we could learn from each other's approaches to presentation and provide feedback.

5. CHIEF EXECUTIVE'S HIGHLIGHTS

- 5.1 As Council Members are aware, we are embarking on a significant programme of digital transformation. Our approach has been informed by our digital lead, Ged Bell's experience of performing the same role at Registers of Scotland and we had a visit to their Glasgow offices to see what it was like in reality. This was such an inspiring visit where we saw the possibilities opened up by technology and a conducive physical working environment.
- 5.2 On the same theme, Lorraine Gray, Ged Bell and I attended an excellent conference organised by Scottish Government's Digital Directorate with Ernst and Young aimed at people from the private, voluntary and public sectors. It opened our eyes to the possibilities of artificial intelligence, the internet of things, new ways of working, new types of worker and much more. Never let it be said that digital is the future - it is very much the here and now.
- 5.3 By contrast, the importance of human relationships was the focus of my visit to Burnside Primary School in Carnoustie with the Chief Executive of the GTCS. The head teacher is at the forefront of thinking and practice to embed the theory and research on adverse childhood experiences (ACEs) in the ethos of his school. ACEs theory is increasingly influential on policy developments in Scotland and it's vital that professional learning keeps up with that thinking. At Burnside, I spoke to early years practitioners who had firmly embedded it into how they work with children and parents.
- 5.4 At the other end of the age spectrum, I also visited Erskine Care in Renfrewshire. Erskine provides care for veterans and others in the form of care homes and is known for a person-centered approach and high levels of staff engagement. It was very impressive and I enjoyed a grilling from a group of staff about the SSSC, amongst other topics.
- 5.5 Council Members will be aware of the Care Review commissioned by the First Minister, chaired by Fiona Duncan. Fiona came to meet with the EMT to update us on the discovery phase of the review and discuss what we can contribute from our work. Fiona also appeared at the annual Kilbrandon Lecture at Strathclyde University when she responded to the First Minister's speech.

- 5.6 Another highlight for me was the launch of the Dundee and Angus Service Design Academy. This is the first of its kind in the world and is attracting international interest. It's a partnership between Dundee and Angus College, the Council and Open Change and I've been asked to be on the advisory board.
- 5.7 Finally, I was very pleased to see the launch of our registration app, referred to at 1.31 above. This is a new way for registrants and employers to manage their registration and access the codes of practice via their smart phones or tablets. It demonstrates our commitment to improving customer care as it means registrants can engage with their SSSC registration anytime, anywhere - signal permitting.

6. RESOURCE IMPLICATIONS

- 6.1 There are no resources implications arising from this report.

7. EQUALITIES IMPLICATIONS

- 7.1 There are no equalities implications arising from this report.

8. LEGAL IMPLICATIONS

- 8.1 There are no equalities implications arising from this report.

9. STAKEHOLDER ENGAGEMENT

- 9.1 Internal stakeholders have contributed to this report.

10. IMPACT ON USERS AND CARERS

- 10.1 There is no direct impact on people who use services or their carers.

11. CONCLUSION

- 11.1 This report contains a broad range of information about the organisation as a whole which may not be covered in other ways. However, it is a "highlights" report and is not intended to replace the reporting mechanisms in place for our Strategic and Operational Plans.

12. BACKGROUND PAPERS

- 12.1 None.

Registration Statistics

PART OF THE REGISTER (Number of Active Care Inspectorate Services as at 16 October 2017)	DATE REQUIRED REGISTRATION COMMENCED	BEST AVAILABLE DATA RE NUMBERS IN THE WORKFORCE	REGISTERED WITH ANOTHER REGULATORY BODY	SSSC REGISTRANTS TO DATE	SSSC APPLICATIONS IN PROGRESS	SSSC TOTAL	SHORTFALL	SHORTFALL PERCENTAGE (%)	REGISTRANTS WITH A QUALIFICATION CONDITION	PERCENTAGE WITH A QUALIFICATION CONDITION (%)
Students	May-2004	1900	0	1844	56	1900	0	0.00	0	0.00
Social Workers	Sep-2005	10904	0	10862	42	10904	0	0.00	0	0.00
Managers of Residential Child Care Services (320 Services)	Sep-2009	478	53	390	5	395	30	6.28	117	30.00
Residential Child Care Workers with Supervisory responsibility (320 Services)	Sep-2009	815	0	805	10	815	0	0.00	254	31.55
All other Residential Child Care Workers (320 Services)	Sep-2009	6500	0	6341	159	6500	0	0.00	2677	42.22
Managers of Adult Day Care Services (479 Services)	Nov-2009	591	138	398	5	403	50	8.46	106	26.63
Managers of Care home Services for Adults (1124 Services)	Nov-2009	1550	791	667	16	683	76	4.90	235	35.23
SCSWIS Authorised Officers	Mar-2010	280	0	276	4	280	0	0.00	68	24.64
Managers of Day Care of Children Services (3682 Services)	Nov-2010	4651	1788	2608	43	2651	212	4.56	1746	66.95
Practitioners in Day Care of Children Services (3682 Services)	Sep-2011	26453	1447	24695	311	25006	0	0.00	4219	17.08
Supervisors of Care Home Service for Adults (1124 Services)	Mar-2012	6905	3134	3686	85	3771	0	0.00	2080	56.43
Managers of a Residential School Care Accommodation (34 Services)	Nov-2012	39	18	16	0	16	5	12.82	4	25.00
Practitioners of Care Home Service for Adults (1124 Services)	Mar-2013	6208	0	6100	108	6208	0	0.00	2581	42.31
Supervisors of a Residential School Care Accommodation (34 Services)	Apr-2013	66	2	30	1	31	33	50.00	10	33.33
Workers of a Residential School Care Accommodation (34 Services)	Nov-2013	824	0	407	16	423	401	48.67	190	46.68
Managers of a Housing Support Service (1064 Services)	Jan-2014	1872	276	1464	32	1496	100	5.34	610	41.67
Managers of a Care at Home Service (993 Services)	Jan-2014	1690	250	1270	41	1311	129	7.63	606	47.72
Support workers of Day Care of Children Services (3682 Services)	Jun-2014	7350	0	7048	172	7220	130	1.77	4120	58.46
Support Workers of Care Home Service for Adults (1124 Services)	Sep-2015	31749	0	30964	785	31749	0	0.00	20853	67.35
Supervisors of a Housing Support Service (1064 Services)	Jun-2017	3959	42	3589	89	3678	239	6.04	2110	58.79
Supervisors of a Care at Home Service (993 Services)	Jun-2017	3860	41	3477	96	3573	246	6.37	2103	60.48
Workers in a Housing Support Service (1064 Services)	Sep-2020	47071	233	1974	1040	3014	43824	93.10	950	48.13
Workers of a Care at Home Service (993 Services)	Sep-2020	53758	363	2193	1201	3394	50001	93.01	1141	52.03
Total Figures (7696 Services)		219473	8576	111104	4317	115421	95476	43.50	46780	42.10

Number of unique individuals on register: 102,369

Title of report	Corporate Governance
Public/confidential	Public
Action	For information
Summary/purpose of report	This report provides an update about the dates for the meeting cycle 2020/21 and on the review of the SSSC's corporate governance arrangements.
Recommendations	The Council is asked to note the updates on: <ol style="list-style-type: none"> 1. the dates for the meeting cycle 2019/20 2. the review of the SSSC's corporate governance arrangements.
Link to Strategic Plan	The information in this report links to Outcome 4: our stakeholder value our work. Strategic Priority 6: high standards of governance.
Link to the Risk Register	The information in this report does not link directly to existing risks identified in the strategic risk register.
Author	Susan Peart Head of Corporate Governance and Hearings Tel: 01382 207152
Documents attached	none

1. PROPOSED SCHEDULE OF MEETING DATES FOR 2020/21

- 1.1 Dates for Council, Committee and Policy Forum are set three years in advance. Proposed dates for the year 2020/21 would ordinarily come to this meeting. Officers are currently considering how to better co-ordinate these dates and those of the operational meetings of the SSSC and the proposed dates will therefore be brought to the March meeting of Council.

2. 2017 CORPORATE GOVERNANCE REVIEW

- 2.1 Council Members were invited to complete the annual evaluation exercise regarding the current governance arrangements in November 2017 and the matter was discussed at the Members' away day in December 2017. Further work will be carried out at a Policy Forum meeting to conclude the review.

3. RESOURCE IMPLICATIONS

- 3.1 There are no resource implications arising from this report.

4. EQUALITIES IMPLICATIONS

- 4.1 I confirm that this policy will have no negative impact on people with one or more protected characteristics and a full Equality Impact Assessment is not required.

5. LEGAL IMPLICATIONS

- 5.1 There are no direct legal implications arising from this report. However Council must ensure that its governance practices and documents are fit for purpose and accurately reflect the practices in place.

6. STAKEHOLDER ENGAGEMENT

- 6.1 There are no stakeholder engagement issues relating to this report. Council meetings are held in public and the dates of meetings are publicised in advance so the members of the public can arrange to attend.

7. IMPACT ON USERS AND CARERS

- 7.1 The matters in this report relate to internal governance of the SSSC and do not have direct impact on service users and carers.

8. CONCLUSION

- 8.1 This report sets dates of the meeting schedule for 2020/21 and provides an update about the corporate governance review.

9. BACKGROUND PAPERS

9.1 None

Title of report	General Data Protection Regulation
Public/confidential	Public
Action	For information
Summary/purpose of report	To update Members on progress towards compliance with the General Data Protection Regulation.
Recommendations	The Council is asked to: 1. note the content of the report.
Link to Strategic Plan	The information in this report links to Outcome 4: Our stakeholders value our work.
Link to the Risk Register	Risk 6 The SSSC experiences disruption or loss of reputation/damage from a failure in its ICT systems, physical security or information governance arrangements.
Author	Maree Allison Director of Fitness to Practise Tel: 01382 207183
Documents attached	Appendices: Appendix 1 – Overview of changes Appendix 2 – Preparing for the GDPR 12 steps to take now Appendix 3 – 12 Steps Assessment Appendix 4 – Timeline overview

1. INTRODUCTION

- 1.1 The General Data Protection Regulation (GDPR) is an EU Directive which will be directly applicable in the UK on 25 May 2018. In conjunction with the coming into force of the GDPR, the Data Protection Act 1998 is being repealed and replaced with a new Data Protection Act.
- 1.2 The GDPR and the new Act make changes to the law that affect organisations that process data. This report sets out the main implications for the SSSC and the work planned to ensure compliance by 25 May 2018.

2. IMPLICATIONS

- 2.1 Appendix 1 provides an overview of the key changes identified by the UK Government alongside the implications of those changes for the SSSC.
- 2.2 Generally, the SSSC has good processes in place for managing and handling data along with identifying and reporting on breaches. The GDPR will require us to review the data we are holding and the management processes. Some changes will be necessary but the implementation of the majority of those changes will be straightforward.
- 2.3 There are two main areas that we anticipate will require focus.

- Retention and deletion of data

Our current retention schedule sets out lengthy retention periods for the data we hold about registered workers. We will need to review those time periods and, where necessary, implement a process for deletion from our systems. This coincides with work that will take place transferring data from our old Sequence system to our new Sequence and case management system.

- Data we pass to third parties

We are also responsible for identifying other organisations that we pass personal data to, or who process data on our behalf, and ensuring that those third parties are GDPR compliant.

3. PLANNED WORK

- 3.1 Appendix 2 sets out the 12 step plan that the Information Commissioner (ICO) issued to help organisations plan for GDPR. This sets out recommended steps that organisations should take to meet their obligations.
- 3.2 Appendix 3 sets out a review of our progress against the 12 step plan. This shows that we have plans in place to undertake the key areas of work that need to be completed. Appendix 4 provides an overview of the timeline for those key areas of work.

4. RESOURCE IMPLICATIONS

- 4.1 At present there are no resource implications. Discrete pieces of work may develop during the project that requires resources, such as designing online training, which will be managed through existing grant-in-aid.

5. EQUALITIES IMPLICATIONS

- 5.1 We will carry out an EIA by 25 May 2018 as part of our implementation of the GDPR.

6. LEGAL IMPLICATIONS

- 6.1 Failure to meet our statutory obligations would leave the SSSC exposed to sanction by the ICO. The sanctions available to the ICO are being expanded to include increased level of fines (from £500,000 to £17,700,000)

7. STAKEHOLDER ENGAGEMENT

- 7.1 Engagement has taken place internally and we are planning general staff training as part of the project. We are also part of a professional regulator group sharing experience and tools. We will carry out engagement with contractors and those that process data on our behalf as part of the project.

8. IMPACT ON USERS AND CARERS

- 8.1 The new legislation will not affect the fulfilment of our statutory public protection function.

9. CONCLUSION

- 9.1 We are on track to achieve compliance by 25 May 2018. There are some areas that will be challenging but all achievable.

10. BACKGROUND PAPERS

- 10.1 Appendix 1 – Overview of changes
Appendix 2 – Preparing for the GDPR 12 steps to take now
Appendix 3 – 12 Steps Assessment
Appendix 4 – Timeline overview

GDPR: Overview of Changes		
	Change	Does the change require action by the SSSC?
1	Data Protection Impact Assessments (DPIA) Introduces a requirement that DPIAs are undertaken when data processing presents a high risk.	Yes The current system provides for the optional completion of privacy impact assessments out where appropriate. This is not something that the SSSC regularly undertakes. We will require a new process for officers to ensure they are considering the need for a DPIA at appropriate times.
2	Data Protection Officers (DPOs) Introduces a requirement that data controllers must designate a DPO if they are a public authority or their core activities relate to processing of certain types or scale of data. The DPO must report to the most senior level of management.	No The Head of Corporate Governance and Hearings role has responsibility for data protection and reports to the Chief Executive.
3	Demonstrating administrative compliance Introduces a general obligation to maintain documentation and demonstrate compliance with the legislation. <ul style="list-style-type: none"> Records of data breaches and remedial action taken Undertaking DPIAs Implementing data security requirements. 	Yes We already have an embedded system of procedures, compliance checks, training and data breach recording. This system will need reviewed in light of other changes.
4	Abolishing Notifications Abolishes the current system of	No There is other legislation which

	registration with the ICO to reduce the administrative burden, particularly on organisations operating cross-border.	requires those processing data to pay the ICO a fee, so there will still be a form of registration and payment to the ICO.
5	Subject Access Requests (SAR) Abolishes the power to charge a subject for a copy of their data and reduces the time to respond from 40 days to a month. Also introduces a requirement to provide additional information when responding to SARs.	Yes We will need to refresh our procedures. We will consider the resource implications of responding within a shorter time-period.
6	Data Portability Introduces a new right for data subjects to receive their personal data in a structured, commonly used and machine-readable format and for one data controller to transmit that data to another data controller.	No The focus of this provision is to enable people to change service provider more easily by requiring, for example, one utility company to pass data directly (in electronic fashion) to another utility company. It will not be hugely relevant for us. However we can already provide data in a way that meets the legislation if required.
7	Right to Erasure Expands the right to be forgotten. Currently the law focusses on whether the existence of the data is likely to cause substantial damage or distress. That will change to require data controllers to erase data when consent is withdrawn.	Yes This will not affect data held in fulfilment of our core regulatory function, as our reason for retaining the data will not be based on the consent of the individual. We will review whether we need to improve our erasure process for other personal data that we hold.
8	Data Breach Notification Introduces a requirement to inform the ICO within 72 hours (where feasible) of all personal data	Yes We already have a process of recording data breaches and notifying

	breaches that are likely to result in a risk to the rights and freedoms of natural person.	<p>the ICO when necessary.</p> <p>We will review the process to ensure we can meet the new timescale.</p>
9	<p>Administrative Sanctions</p> <p>New sanctions available to the ICO including increased powers to inspect and increased fines of up to £17.7 million.</p>	No

Preparing for the General Data Protection Regulation (GDPR)

12 steps to take now

Preparing for the General Data Protection Regulation (GDPR)

12 steps to take now

1

Awareness

You should make sure that decision makers and key people in your organisation are aware that the law is changing to the GDPR. They need to appreciate the impact this is likely to have.

2

Information you hold

You should document what personal data you hold, where it came from and who you share it with. You may need to organise an information audit.

3

Communicating privacy information

You should review your current privacy notices and put a plan in place for making any necessary changes in time for GDPR implementation.

4

Individuals' rights

You should check your procedures to ensure they cover all the rights individuals have, including how you would delete personal data or provide data electronically and in a commonly used format.



5

Subject access requests

You should update your procedures and plan how you will handle requests within the new timescales and provide any additional information.

6

Lawful basis for processing personal data

You should identify the lawful basis for your processing activity in the GDPR, document it and update your privacy notice to explain it.

7

Consent

You should review how you seek, record and manage consent and whether you need to make any changes. Refresh existing consents now if they don't meet the GDPR standard.

8

Children

You should start thinking now about whether you need to put systems in place to verify individuals' ages and to obtain parental or guardian consent for any data processing activity.

9

Data breaches

You should make sure you have the right procedures in place to detect, report and investigate a personal data breach.

10

Data Protection by Design and Data Protection Impact Assessments

You should familiarise yourself now with the ICO's code of practice on Privacy Impact Assessments as well as the latest guidance from the Article 29 Working Party, and work out how and when to implement them in your organisation.

11

Data Protection Officers

You should designate someone to take responsibility for data protection compliance and assess where this role will sit within your organisation's structure and governance arrangements. You should consider whether you are required to formally designate a Data Protection Officer.

12

International

If your organisation operates in more than one EU member state (ie you carry out cross-border processing), you should determine your lead data protection supervisory authority. Article 29 Working Party guidelines will help you do this.

Introduction

This checklist highlights 12 steps you can take now to prepare for the General Data Protection Regulation (GDPR) which will apply from 25 May 2018.

Many of the GDPR's main concepts and principles are much the same as those in the current Data Protection Act (DPA), so if you are complying properly with the current law then most of your approach to compliance will remain valid under the GDPR and can be the starting point to build from. However, there are new elements and significant enhancements, so you will have to do some things for the first time and some things differently.

It is important to use this checklist and other Information Commissioner's Office (ICO) resources to work out the main differences between the current law and the GDPR. The ICO is producing new guidance and other tools to assist you, as well as contributing to guidance that the Article 29 Working Party is producing at the European level. These are all available via the ICO's [Overview of the General Data Protection Regulation](#). The ICO is also working closely with trade associations and bodies representing the various sectors – you should also work closely with these bodies to share knowledge about implementation in your sector.

It is essential to plan your approach to GDPR compliance now and to gain 'buy in' from key people in your organisation. You may need, for example, to put new procedures in place to deal with the GDPR's new transparency and individuals' rights provisions. In a large or complex business this could have significant budgetary, IT, personnel, governance and communications implications.

The GDPR places greater emphasis on the documentation that data controllers must keep to demonstrate their accountability. Compliance with all the areas listed in this document will require organisations to review their approach to governance and how they manage data protection as a corporate issue. One aspect of this might be to review the contracts and other arrangements you have in place when sharing data with other organisations.

Some parts of the GDPR will have more of an impact on some organisations than on others (for example, the provisions relating to profiling or children's data), so it would be useful to map out which parts of the GDPR will have the greatest impact on your business model and give those areas due prominence in your planning process.

1

Awareness

You should make sure that decision makers and key people in your organisation are aware that the law is changing to the GDPR. They need to appreciate the impact this is likely to have and identify areas that could cause compliance problems under the GDPR. It would be useful to start by looking at your organisation's risk register, if you have one.

Implementing the GDPR could have significant resource implications, especially for larger and more complex organisations. You may find compliance difficult if you leave your preparations until the last minute.

2

Information you hold

You should document what personal data you hold, where it came from and who you share it with. You may need to organise an information audit across the organisation or within particular business areas.

The GDPR requires you to maintain records of your processing activities. It updates rights for a networked world. For example, if you have inaccurate personal data and have shared this with another organisation, you will have to tell the other organisation about the inaccuracy so it can correct its own records. You won't be able to do this unless you know what personal data you hold, where it came from and who you share it with. You should document this. Doing this will also help you to comply with the GDPR's accountability principle, which requires organisations to be able to show how they comply with the data protection principles, for example by having effective policies and procedures in place.

3

Communicating privacy information

You should review your current privacy notices and put a plan in place for making any necessary changes in time for GDPR implementation.

When you collect personal data you currently have to give people certain information, such as your identity and how you intend to use their information. This is usually done through a privacy notice. Under the GDPR there are some additional things you will have to tell people. For example, you will need to explain your lawful basis for processing the data, your data retention periods and that individuals have a right to

complain to the ICO if they think there is a problem with the way you are handling their data. The GDPR requires the information to be provided in concise, easy to understand and clear language.

The ICO's [Privacy notices code of practice](#) reflects the new requirements of the GDPR.

4

Individuals' rights

You should check your procedures to ensure they cover all the rights individuals have, including how you would delete personal data or provide data electronically and in a commonly used format.

The GDPR includes the following rights for individuals:

- the right to be informed;
- the right of access;
- the right to rectification;
- the right to erasure;
- the right to restrict processing;
- the right to data portability;
- the right to object; and
- the right not to be subject to automated decision-making including profiling.

On the whole, the rights individuals will enjoy under the GDPR are the same as those under the DPA but with some significant enhancements. If you are geared up to give individuals their rights now, then the transition to the GDPR should be relatively easy. This is a good time to check your procedures and to work out how you would react if someone asks to have their personal data deleted, for example. Would your systems help you to locate and delete the data? Who will make the decisions about deletion?

The right to data portability is new. It only applies:

- to personal data an individual has provided to a controller;
- where the processing is based on the individual's consent or for the performance of a contract; and
- when processing is carried out by automated means.

You should consider whether you need to revise your procedures and make any changes. You will need to provide the personal data in a structured commonly used and machine readable form and provide the

information free of charge.

5

Subject access requests

You should update your procedures and plan how you will handle requests to take account of the new rules:

- In most cases you will not be able to charge for complying with a request.
- You will have a month to comply, rather than the current 40 days.
- You can refuse or charge for requests that are manifestly unfounded or excessive.
- If you refuse a request, you must tell the individual why and that they have the right to complain to the supervisory authority and to a judicial remedy. You must do this without undue delay and at the latest, within one month.

If your organisation handles a large number of access requests, consider the logistical implications of having to deal with requests more quickly. You could consider whether it is feasible or desirable to develop systems that allow individuals to access their information easily online.

6

Lawful basis for processing personal data

You should identify the lawful basis for your processing activity in the GDPR, document it and update your privacy notice to explain it.

Many organisations will not have thought about their lawful basis for processing personal data. Under the current law this does not have many practical implications. However, this will be different under the GDPR because some individuals' rights will be modified depending on your lawful basis for processing their personal data. The most obvious example is that people will have a stronger right to have their data deleted where you use consent as your lawful basis for processing.

You will also have to explain your lawful basis for processing personal data in your privacy notice and when you answer a subject access request. The lawful bases in the GDPR are broadly the same as the conditions for processing in the DPA. It should be possible to review the types of processing activities you carry out and to identify your lawful basis for doing so. You should document your lawful bases in order to

help you comply with the GDPR's 'accountability' requirements.

7

Consent

You should review how you seek, record and manage consent and whether you need to make any changes. Refresh existing consents now if they don't meet the GDPR standard.

You should read the [detailed guidance](#) the ICO has published on consent under the GDPR, and use our consent checklist to review your practices. Consent must be freely given, specific, informed and unambiguous. There must be a positive opt-in – consent cannot be inferred from silence, pre-ticked boxes or inactivity. It must also be separate from other terms and conditions, and you will need to have simple ways for people to withdraw consent. Public authorities and employers will need to take particular care. Consent has to be verifiable and individuals generally have more rights where you rely on consent to process their data.

You are not required to automatically 'repaper' or refresh all existing DPA consents in preparation for the GDPR. But if you rely on individuals' consent to process their data, make sure it will meet the GDPR standard on being specific, granular, clear, prominent, opt-in, properly documented and easily withdrawn. If not, alter your consent mechanisms and seek fresh GDPR-compliant consent, or find an alternative to consent.

8

Children

You should start thinking now about whether you need to put systems in place to verify individuals' ages and to obtain parental or guardian consent for any data processing activity.

For the first time, the GDPR will bring in special protection for children's personal data, particularly in the context of commercial internet services such as social networking. If your organisation offers online services ('information society services') to children and relies on consent to collect information about them, then you may need a parent or guardian's consent in order to process their personal data lawfully. The GDPR sets the age when a child can give their own consent to this processing at 16 (although this may be lowered to a minimum of 13 in the UK). If a child is younger then you will need to get consent from a person holding 'parental responsibility'.

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This could have significant implications if your organisation offers online services to children and collects their personal data. Remember that consent has to be verifiable and that when collecting children's data your privacy notice must be written in language that children will understand.

9

Data breaches

You should make sure you have the right procedures in place to detect, report and investigate a personal data breach.

Some organisations are already required to notify the ICO (and possibly some other bodies) when they suffer a personal data breach. The GDPR introduces a duty on all organisations to report certain types of data breach to the ICO, and in some cases, to individuals. You only have to notify the ICO of a breach where it is likely to result in a risk to the rights and freedoms of individuals – if, for example, it could result in discrimination, damage to reputation, financial loss, loss of confidentiality or any other significant economic or social disadvantage.

Where a breach is likely to result in a high risk to the rights and freedoms of individuals, you will also have to notify those concerned directly in most cases.

You should put procedures in place to effectively detect, report and investigate a personal data breach. You may wish to assess the types of personal data you hold and document where you would be required to notify the ICO or affected individuals if a breach occurred. Larger organisations will need to develop policies and procedures for managing data breaches. Failure to report a breach when required to do so could result in a fine, as well as a fine for the breach itself.

10

Data Protection by Design and Data Protection Impact Assessments

It has always been good practice to adopt a privacy by design approach and to carry out a Privacy Impact Assessment (PIA) as part of this. However, the GDPR makes privacy by design an express legal requirement, under the term 'data protection by design and by default'. It also makes PIAs – referred to as 'Data Protection Impact Assessments' or DPIAs – mandatory in certain circumstances.

A DPIA is required in situations where data processing is likely to result in high risk to individuals, for example:

- where a new technology is being deployed;
- where a profiling operation is likely to significantly affect individuals; or
- where there is processing on a large scale of the special categories of data.

If a DPIA indicates that the data processing is high risk, and you cannot sufficiently address those risks, you will be required to consult the ICO to seek its opinion as to whether the processing operation complies with the GDPR.

You should therefore start to assess the situations where it will be necessary to conduct a DPIA. Who will do it? Who else needs to be involved? Will the process be run centrally or locally?

You should also familiarise yourself now with the [guidance the ICO has produced on PIAs](#) as well as [guidance from the Article 29 Working Party](#), and work out how to implement them in your organisation. This guidance shows how PIAs can link to other organisational processes such as risk management and project management.

11

Data Protection Officers

You should designate someone to take responsibility for data protection compliance and assess where this role will sit within your organisation's structure and governance arrangements.

You should consider whether you are required to formally designate a Data Protection Officer (DPO). You must designate a DPO if you are:

- a public authority (except for courts acting in their judicial capacity);
- an organisation that carries out the regular and systematic monitoring of individuals on a large scale; or
- an organisation that carries out the large scale processing of special categories of data, such as health records, or information about criminal convictions. The Article 29 Working Party has [produced guidance for organisations on the designation, position and tasks of DPOs](#).

It is most important that someone in your organisation, or an external data protection advisor, takes proper responsibility for your data protection compliance and has the knowledge, support and authority to carry out their role effectively.

12

International

If your organisation operates in more than one EU member state, you should determine your lead data protection supervisory authority and document this.

The lead authority is the supervisory authority in the state where your main establishment is. Your main establishment is the location where your central administration in the EU is or else the location where decisions about the purposes and means of processing are taken and implemented.

This is only relevant where you carry out cross-border processing – ie you have establishments in more than one EU member state or you have a single establishment in the EU that carries out processing which substantially affects individuals in other EU states.

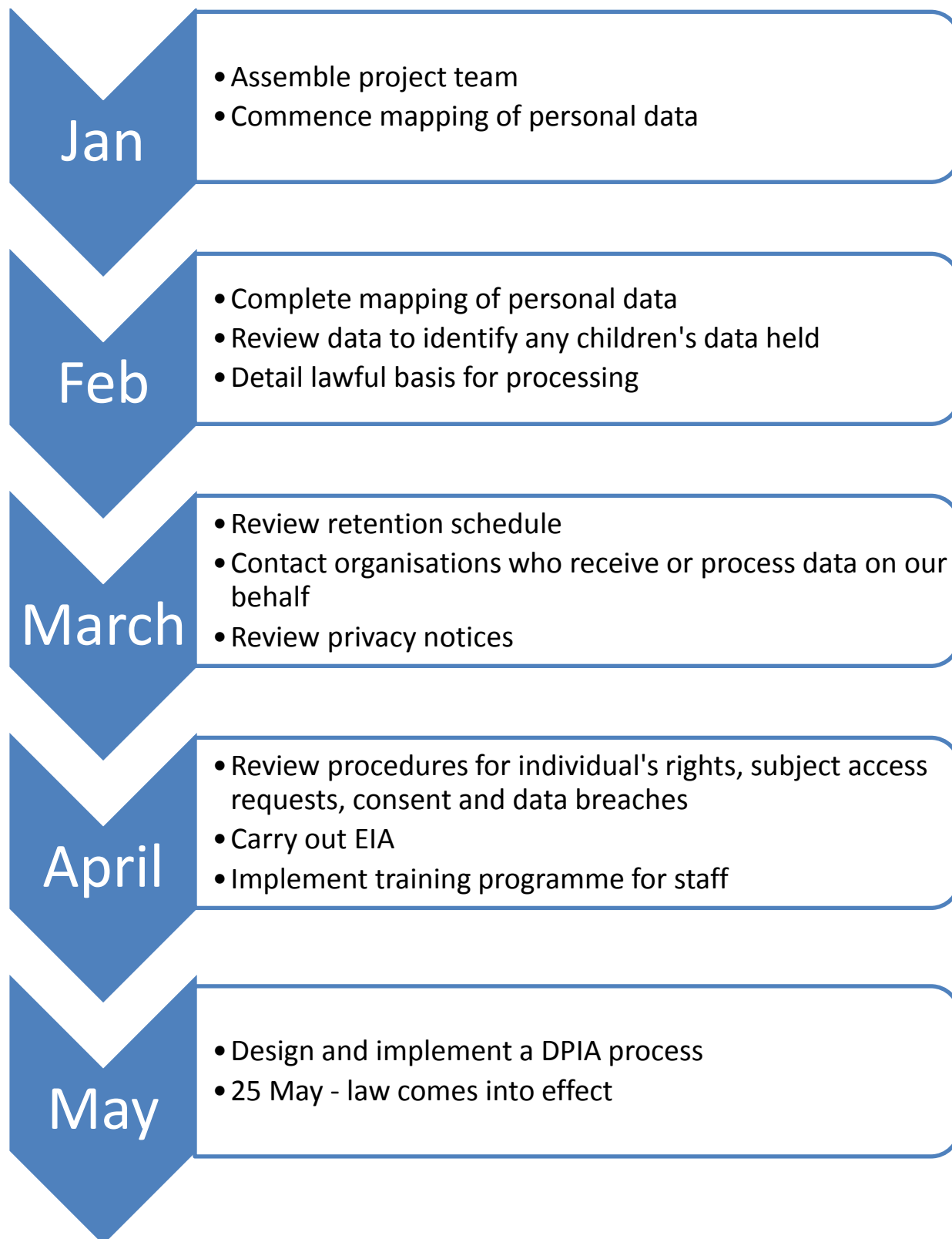
If this applies to your organisation, you should map out where your organisation makes its most significant decisions about its processing activities. This will help to determine your 'main establishment' and therefore your lead supervisory authority.

The Article 29 Working party has produced [guidance on identifying a controller or processor's lead supervisory authority](#).

GDPR 12 Steps Assessment				
	Red	Not met and no plan to meet in place	RAG	
	Amber	Plan to meet in place		
	Green	Met		
1	Awareness Ensure decision makers and key people are aware the law is changing.		Council Members, EMT and OMT aware. Project group established with representatives from all teams.	G
2	Information you hold Document the personal data you hold and with whom you share it.		We already have a Records Management Policy and an Information Asset Register Each team has started a detailed personal data mapping process.	A
3	Communicating Privacy Information Review privacy notices and plan for making changes prior to implementation.		Plan in place to review privacy notices once data is mapped and lawful basis for processing identified.	A
4	Individuals’ Rights Review procedures to ensure they cover the rights individuals have such as the rights to be informed, have access, rectification, erasure, to restrict processing, data portability, to object and not to be subject to automated decision-making.		Review of procedures planned once all data is mapped and lawful basis for processing identified.	A
5	Subject Access Requests Review procedures to meet new timescales and provide more detailed information		Plan in place to review process and assess capacity to meet new timescale.	A
6	Lawful Basis for Processing Data Identify the lawful basis and		Plan in place to identify lawful basis once mapping of data is complete. Will need to consider	A

	update your privacy notice to explain it	length of time we retain the data for and the need to ensure that organisations we share the data with are GDPR compliant.	
7	Consent Review how you seek, record and manage consent. Refresh existing consents now if they don't meet the GDPR standard	Plan in place for reviewing consents once all data is mapped.	A
8	Children Ensure you have a system in place to verify ages and obtain consent if necessary.	Plan in place to review the applicability of these provisions to the SSSC's work.	A
9	Data Breaches Ensure you have procedures in place to detect, report and investigate a personal data breach	Plan in place for reviewing and refreshing procedures and training.	A
10	Data Protection by Design and Data Protection Impact Assessments Start assessing the situations where it will be necessary to conduct a DPIA.	Applies at the deployment of new technologies and therefore will likely be relevant to the implementation of new systems such as case management. Plan in place for creating templates and training staff.	A
11	Data Protection Officers (DPO) Designate someone to take responsibility for data protection compliance.	Head of Corporate Governance and Hearings	G
12	International Applies when an organisation operates in more than one EU member state.	N/A	N/A

GDPR – Timeline Overview



Title of report	NES/SSSC partnership update
Public/confidential	Public
Action	For information
Summary/purpose of report	<p>This report provides Council with an update of the partnership work between NES Education for Scotland (NES) and the Scottish Social Services Council. The report provides a summary of the existing programme of work between NES/SSSC that supports the education and learning and development needs of the health and social services workforce in Scotland.</p> <p>The report also updates Council on the SSSC/NES development session held in August 2017. The purpose of the development session was to review the Memorandum of Understanding and agree priorities for the partnership for the period 2017-2020. During this period a central focus for the partnership will be supporting the recommendations of the national workforce plan for health and social care integration.</p>
Recommendations	<p>Council is asked to:</p> <ol style="list-style-type: none"> 1. note the agreed actions that emerged from the development session held in August 2017 2. note the updates in relation to the SSSC/NES projects undertaken during 2017/18.
Link to Strategic Plan	The information in this report links to Outcome 3: Our resources support the professional development of the social service workforce.
Link to the Risk Register	Risk 3 Ineffective working relationships.
Author	<p>Phillip Gillespie Head of Learning and Development Tel: 01382 367967</p>
Documents attached	None

1. INTRODUCTION

- 1.1 This report provides a summary of the NES/SSSC partnership programme of work that has been undertaken during 2017/18. The partnership held a development session in August 2017 to review the Memorandum of Understanding between the SSSC and NES and agree the priorities for the partnership for the period 2017-2020 in light of the publication of the national workforce plan for health and social care.

2. NATIONAL HEALTH AND SOCIAL CARE WORKFORCE PLAN

- 2.1 The Scottish Government and the Convention of Scottish Local Authorities (COSLA) have published part two of the National Health and Social Care Workforce Plan. This follows the publication of part one of the national workforce plan for health.
- 2.2 It sets out how they, along with social care partners, will work together on new ways of recruiting and workforce planning to make sure people get the right support to enable them to live as independently as possible.
- 2.3 A number of the recommendations will have a direct impact on our future work with NES going forward.
- Integrated workforce data to support national and local workforce planning drawing on the work of the SSSC and the Care Inspectorate. This will align with work led by NHS Education for Scotland (NES) on the NHS Scotland workforce.
 - National and local labour market and workforce analysis to develop understanding and provide evidence of the challenges of the social care workforce.
 - Workforce planning guidance for Integration Joint Boards and their commissioning partners in local authorities and NHS board that supports partnership working in creating workforce plans.
 - Social care and multidisciplinary workforce planning tools to support high quality care should be progressed and co-produced, including a new online resource SSSC will publish next year.
 - Promoting social care and social care settings as a positive career choice. The SSSC ambassadors work will contribute to this.
 - Development of proposals for enhanced career pathways in social care recognising the context of the developing multidisciplinary, integrated workforce environment.
 - Develop training and education proposals to enable a flexible confident and competent workforce with relevant and appropriate qualifications.
 - Develop a professional framework for social care and social work practice; this will take the recent review of social work education into account.
- 2.4 In addition to supporting the recommendations of the national workforce plan the SSSC/NES partnership will develop a set of joint learning outcomes linked to SSSC learning strategy and the 20.20 vision for health

and social care, with an emphasis on sustainability and quality. These learning outcomes will support the health and social care workforce.

- The development of a local area learning partnership model to support integration authorities.
- Further alignment of technology and digital based learning and a commitment to integrate the capabilities and resources of the SSSC/NES in this area.
- Developing an integrated approach to the formal evaluation of the impact of the work of the SSSC/NES on the workforce and how we report on this.

3. UPDATE ON EXISTING PROGRAMMES OF WORK

3.1 During 2017/18 the SSSC/NES partnership has delivered a number of projects that continue to support the education and learning and development of the health and social care workforce.

3.2 Palliative and end of life care framework

3.2.1 Reference is made to the report that was presented to Council in June 2017 which provided an update on the Palliative and End of Life Care: Knowledge and Skills Framework.

3.2.2 The implementation of the Palliative and End of Life Care Knowledge and Skills Framework is being used to support the CPD requirements of the social services workforce, and is being promoted through formal learning namely SVQ's to support registration requirements.

- A digital learning resource for all health and social care workers is being developed.
- Assessor's guidance and case studies are being developed to signpost workers and employers to how the framework can support achievement of qualifications for registration.
- Delivery of Action Learning sets for partnership test sites working with Healthcare Improvement Scotland and the Care Inspectorate as key stakeholders.
- A national learning and networking conference is planned for 1 February 2018 for learning and development leads for palliative and end of life care.

3.3 Carers' (Scotland) Act 2016

3.3.1 The Carers' (Scotland) Act 2016 comes into force in April 2018. Both NES and SSSC have been commissioned by the Scottish Government to develop learning and development materials that support the workforce to deliver the duties and responsibilities of the legislation. A particular focus will be on upskilling the social services workforce to develop carers

support plans and supporting carers' needs in relation with hospital discharge planning. Activity in this area has included

- updating of the existing digital resources that supports carers -Equal Partners in Care (EPiC)- to reflect the new legislation
- development of an online resource that supports carer planning and links with self-directed support and anticipatory care planning.

3.4 Personal outcomes

3.4.1 Personal outcomes approaches aim to ensure that people using services and their family or unpaid carers are supported to live the best lives possible, building on their own capabilities. That organisations focus resources on the impact they have as well as the activities undertaken.

3.4.2 The NES/SSSC partnership co-ordinates the Personal Outcomes Network (PON). The network promotes personal outcomes approaches, and evidence based practice in social services, health and housing workforce. Key activities in this area have included:

- developing learning resources to support workers and organisations to develop and embed personal outcomes approaches in practice
- working in partnership with IRISS to evaluate the impact of the personal outcomes network and promote good practice.

3.5 Models of Neighbourhood Care

3.5.1 Healthcare Improvement Scotland (HIS) is leading a three-year project (2016-2019) to test models of neighbourhood care based on the principles of Buurtzorg. Buurtzorg is a Dutch model of community nursing however in Scotland the approach is wider and focused on health and social care integration.

3.5.2 Both NES and SSSC support the national team overseeing this project. Activity in this area includes the following.

- Working with HIS to support collective learning from test sites through facilitation of shared learning events and by helping identify and spread key insights likely to enable further implementation of neighbourhood care.
- SSSC is working with Cornerstone test site (social care provider) to facilitate action learning sets with their leadership team to test new models of service delivery and staffing relating to registered managers. Registration and fitness to practise are contributing to this learning in relation to the implications for the registration of the workforce.

3.6 NES/SSSC Promoting Excellence Dementia programme

- 3.6.1 Cohort 8 of the dementia champions' programme completed in August 2017 and will graduate in March 2018, alongside 40 participants from Cohort 2 of the Dementia Specialist Leads programme.
- 3.6.2 'Essentials in Psychological care' for people with dementia training has commenced for the care homes sector, and there has also been further dissemination of cognitive stimulation therapy training. Master classes have been delivered in technology enabled care for people with dementia, and training in palliative care for people with dementia targeted at front line care home and care at home staff delivered, and very well evaluated. We have published an Assessor's Guidance resource to signpost for workers and employers how Dementia Skilled Learning can support achievement of qualifications for registration.
- 3.6.3 NES continues to work in partnership with HIS to support the testing of post diagnostic support in primary care and the Specialist Dementia Units improvement programme. Support to two further GP clusters has been offered through the Collaborative Leadership in Practice (CLIP) programme.
- 3.6.4 Building on the findings of the Dementia Ambassador review, the SSSC is working with NES and Scottish Care, CCPS and Alzheimer Scotland to establish a national standard and provision of learning support for Dementia Ambassadors. This will be set against National Occupational Standards, Care Standards and the SSSC Codes of Practice.

3.7 The Impact of the Promoting Excellence Framework

- 3.7.1 The report, [My life, my care home](#) is the result of a year of dedicated inspection work on the care of people living with dementia in 145 care homes for older people.
- 3.7.2 The promoting excellence framework outlines the essential knowledge and skills needed to support people living with dementia. As a minimum all staff working in care homes should attain the 'skilled' level of practice outlined in the framework, and should also be aspiring to develop some staff at the 'enhanced' and expertise level.
- 3.7.3 Care Inspectors used the Standards of Care for Dementia in Scotland to carry out their review. Standards 4.5 states: I have the right to carers who are well supported and educated about dementia.
- 3.7.4 Inspectors found that in 73% of care homes staff roles and responsibilities were aligned with the promoting excellence framework and that generally care homes using the framework, and when staff had engaged in associated learning opportunities, provided better quality care than those that didn't. Of the care homes with grades of Good or above, 47% aligned staff roles to the framework compared with just 9% of care homes with grades of Adequate or lower.

3.7.5 They also found that care homes where staff received regular planned supervision were more likely to be a better performing service with better outcomes for people. Of the care homes inspected 60% provided this.

3.7.6 There was a Dementia Ambassador in 46% of the care homes. In 53% of care homes with grades of Good or above there was a Dementia Ambassador compared with 33% of care homes with grades of Adequate or lower.

3.8 Leadership for Integration Programme

3.8.1 The Leadership for integration programme is now into its final year. As the fifth and final cohort of You as a Collaborative Leader (YACL) is delivered, the remaining Collaborative Leadership in Practice (CLIP) sites are supported to completion, and as we work with locality OD leads to roll out the package of resilience learning for 200 learners, an exit strategy is being developed. This includes communication activity to illustrate the learning that has emerged, the achievement of outcomes and evidence of impact to date, and emerging integration themes including implications for collaborative leadership. Several learning events are being delivered between now and the end of March to provide participants with an opportunity to share how they have applied their learning.

3.8.2 GPs in particular have expressed a need for further collaborative leadership development and the project team is in the process of exploring how to maintain the momentum of the development activity. Options being explored include aligning the work of the project with other established development activities such as the Workforce Scotland Pioneering Collaborative Leadership Programme or the Burtzorg projects, or seeking additional funding from the Scottish Government to extend programme delivery into the next two years and increase the capacity of the workforce to support this kind of development activity itself in the future.

4. RESOURCE IMPLICATIONS

4.1 To support this work SSSC received £609k from Scottish Government as part of its grant funding during 2017/18. This funding has been used to employ staff on a project basis to work with NES to deliver the joint programmes of work.

5. EQUALITIES IMPLICATIONS

5.1 This policy will have no negative impact on people with one or more protected characteristics and a full Equality Impact Assessment is not required.

6. LEGAL IMPLICATIONS

- 6.1 The SSSC has a general duty to promote high standards in the education and training of social services workers. The rules and requirements for specialist training for social service workers in Scotland 2005 allow for the SSSC to carry out this duty.

7. STAKEHOLDER ENGAGEMENT

- 7.1 The development of the palliative care framework was overseen by the Education Advisory Group and includes representation from the Coalition of Carers in Scotland, Marie Curie expert voices group and the Scottish Children and Young People Palliative Care Executive Group.
- 7.2 The work of the Promoting Excellence project is overseen by a programme board chaired by the Chief Executive of Alzheimer Scotland. The programme board includes members of the Scottish Dementia working group who represent the views of users and carers, Scottish Care and CCPS. The carers' legislation and guidance has been developed in partnership with a range of carers organisations, COSLA, CCPS, Scottish Care and Social Work Scotland.

8. IMPACT ON USERS AND CARERS

- 8.1 Each project has a separate evaluation plan which evaluates the impact of the work on users and carers. A SSSC/NES implementation plan for priorities for 2017-2020 is being developed and will include proposals to develop an integrated approach to evaluating the overall impact of our work on the users and carers and how we jointly report on this. The evaluation will be carried out jointly by NES and SSSC. The evaluation will also consider the impact that the workforce has on service users' experience of health and social care services.

9. CONCLUSION

- 9.1 This report updates Council on the joint programme of work being undertaken by the SSSC and NES during 2017/18. It also summaries the review of the partnership work and MOU that was undertaken in August 2017.
- 9.2 The next iteration of this work will see the development of an implementation plan by 31 March 2018 that will outline the priorities of the partnership for the period 2017-2020. The recommendations of the national workforce plan for health and social care and the development of a local area learning partnership model to support integration authorities will be central. A key enabler of the work will be on enhancing our approach to digital based learning by integrating the capabilities and resources of the SSSC/NES.

- 9.3 The implementation plan will promote the work of the SSSC/NES through NHS Boards, Integrated Boards, and the independent and voluntary sector to support health and social care integration at a local level to support workforce plans.

10. BACKGROUND PAPERS

None.

SCOTTISH SOCIAL SERVICES COUNCIL

**Unconfirmed minutes of the Resources Committee
held on 6 December 2017 at 10.30 am
Room 4, Compass House, Dundee**

Present: Audrey Cowie, Council Member (Chair)
Paul Dumbleton, Council Member
Harry Stevenson, Council Member

In Attendance: Anna Fowlie, Chief Executive
Lorraine Gray, Director of Strategic Performance and Engagement
Kenny Dick, Head of Shared Services
Nicky Anderson, Head of Finance
Deirdre Joy, Head of Human Resources
Ged Bell, Digital Transformation Lead Officer
Scott Reid, Senior Human Resources Adviser
Audrey Wallace (minute taker)

- | | | ACTIONS |
|------------|--|----------------|
| 1 | Welcome | |
| 1.1 | Audrey Cowie welcomed everyone to the meeting including Mark Hornshaw, from the finance team, who was observing. | |
| 2 | Apologies for absence | |
| 2.1 | Forbes Mitchell, Council Member had given apologies for absence. | |
| 3 | Declaration of interest | |
| 3.1 | There was no declaration of interest. | |
| 4 | Minutes of previous meeting – 27 September 2017 | |
| 4.1 | The minutes of the meeting held on 27 September 2017 were approved as a correct record subject to correction of one typo. | Ctte Sppt |
| 5 | Matters arising | |
| 5.1 | There were no matters arising which were not dealt with later in the meeting. | |
| 6 | Action record | |
| 6.1 | Salary Protection Policy | |
| 6.1.1 | Deirdre Joy advised that the union was taking further advice on this and the HR department were looking into historical actions. | |

She confirmed that the policy would be further discussed at the next meeting of the Partnership Forum and a report submitted to the next available Committee. H of HR

6.2 Procurement update and performance report 2016/17

- 6.2.1 Kenny Dick confirmed that the annual procurement report for 2016/17 had been published on the website.

6.3 Request for authorisation to participate in a conference outside the UK

- 6.3.1 The Head of Learning and Development was not available to respond to this today. H of L & D

6.4 Lessons learned – Special Appeals Committee and Employment Appeals Sub-committee

- 6.4.1 This would be addressed later in the meeting.

7 Budget monitoring report

- 7.1 Nicky Anderson presented report 33/2017 which provided the Committee with the budget monitoring position on the core operating budget and specific grant funding for the year to 31 March 2018.
- 7.2 The main areas highlighted were
- a projected underspend of £440k as at 31 October 2017
 - staff costs projected underspend of £243 due to delays in filling vacant posts
 - request to the sponsor to delay the spend on Sequence into 2018/19.
- 7.3 Clarification was asked for and given on some matters including secondment costs and underspend of budget related to the staff conference.
- 7.4 The Committee:
1. considered the core operating budget monitoring statement of the year to 31 March 2018, at appendix A to the report
 2. considered the position on projected expenditure against available specific grant funding for the year to 31 March 2018, at appendix B
 3. noted the areas of specific attention, in section 10 of the report, which are closely monitored by EMT
 4. approved the content of the report and that it be forwarded to the Council for approval. H of Finance

8 HR Policy Review Timetable

- 8.1 Deirdre Joy presented report 34/2017 which set out the proposed

revised timetable for review of HR policies. There was some discussion on the optimum timescales for review of policies and it was noted that as a matter of course, policies would be reviewed regularly to take account of any new regulations or legislation, but that the timescales given in the report were the maximum number of years between reviews. Deirdre also advised that the work on reviews could be distributed throughout the HR team in order to meet the timescales given.

8.2 Audrey Cowie asked for additional dates to be completed where possible. H of HR

8.3 The Committee:
 1. approved the timetable attached to the report, for the review of the HR policies, subject to the comments above
 2. noted that the review of each policy would be reported to the Committee and the timetable will be reviewed annually and reported to Committee. H of HR

9 Annual Review of Financial Regulations

9.1 Nicky Anderson presented report 35/2017 with proposed changes to the Financial Regulations attached. Nicky advised on some of the main changes which were

- to tidy up the language so that it corresponded to and was consistent with Scottish Government documents
- to ensure that references to approval limits were consistent across all documentation
- proposed changes to the process for approving grants awarded to the SSSC in order to make the process flow better; this would mean including more information on grant bids into the budget monitoring report, which would result in fewer ad hoc requests being considered.

9.2 There was some discussion around the practical arrangements for approving grants and Anna Fowlie clarified that any matter which appeared to be out of the ordinary would be reported to Committee and it was noted that Council have final approval.

9.3 The Committee:
 1. reviewed the draft Financial Regulations
 2. agreed the suggested amendments
 3. approved the draft Regulations to be submitted to Council for approval
 4. noted that the current Regulations would remain in force until Council considers and approves the revised version in January 2018. H of Finance

10 HR Analytics

10.1 Scott Reid presented report 36/2017 which provided the Committee with an analysis of absence, turnover and headcount at

the SSSC, as well as vacancy levels and information on discipline and grievance.

10.2 There was some discussion around the absence figures particularly noted was

- there is a year on year fall in absence rate
- there is a reduction in stress and mental health occurrences
- there are no active grievances.

10.3 The Committee:

1. noted the content of appendices 1-7 of the report
2. noted the content of the report and provided feedback.

11 Draft Budget 2018/19

11.1 Nicky Anderson reported at the 2018/19 budget had been submitted to the sponsor in September, much earlier than had been achievable in the past.

11.2 Nicky further confirmed that the next meeting of the EMT would consider the budget in further detail and a report would be submitted to the next meeting of the Resources Committee in February 2018.

H of
Finance

11.3 The Committee:

1. noted the position.

12 ICT investment and future support

12.1 Lorraine Gray introduced report 37/2017 which provided information on the background to and the planned review and need to invest in the ICT services and hardware currently in operation within the organisation.

12.2 Ged Bell, the Digital Transformation Lead attended and gave a short presentation on the ICT proposals, including

- office 365
- desktop equipment replacement
- staff consultation on the proposals
- projected costs of the proposals
- future arrangements for support.

12.3 The proposals were fully discussed and questions answered. Some of the issues raised and discussed were

- timetable for implementation
- Sequence update, MySSSC update
- linking to current sequence to CMS system and paperless meetings
- will benefits to staff be clear
- will there be test pilots at each phase
- floor walkers to assist with user support
- recycling of obsolete hardware

- ongoing licensing and support costs.

12.3 The Committee:

1. agreed the proposals set out in the report in principle, but recognised that the detail may change as work progresses
2. provided authority for the Chief Executive to sign a contract or contracts to the value of £600k, excluding VAT, in connection with this work stream C Ex
3. noted the content of the report and thanked Ged Bell for his presentation.

13 Payroll/HR Management Information System service procurement

13.1 Kenny Dick presented report 38/2017 which advised the Committee on the current contract to provide the payroll and HR management system, with the contract ending by 30 September 2018.

13.2 The Committee noted that there was a joint procurement exercise underway with the CI to source a suitable system which would be procured under a Crown Commercial Services Framework.

13.3 The Committee:

1. gave authority to the Chief Executive to sign a contract for an HRMIS and payroll service to a value of up to £250k, excluding VAT. C Ex

14 Schedule of Committee Business

14.1 The committee reviewed the Schedule of Business for 2018 and noted that changes would be made to the timetable. Ctte Sppt

15 Risk identification

15.1 Risks identified were at item 12 above and it was noted that this would be the discussed by EMT and added to the Strategic Risk Review.

16 AOCB

16.1 Content of confidential items

16.1.1 The Committee asked for some guidance to be provided on matters or report content which should be considered as confidential.

16.1.2 Kenny Dick agreed to discuss this with appropriate officers and submit a report to the next meeting. H of SS

16.2 Lessons learned

16.2.1 It was agreed to take this item at a future meeting.

17 Proposed dates of meetings in 2018

- 17.1 Following consultation with Members and officers on proposed changes, the following dates for meetings in 2018 were agreed 28 February, 30 May, 29 August (only meet if required for budget update), 26 September and 5 December. Ctte Sppt

18 Confidential item

This is a confidential item and is minuted separately.

19 Confidential item

This is a confidential item and is minuted separately.

Committee started: 10.30am
Committee finished: 12.15pm

Signed
Audrey Cowie
Chair of the Resources Committee

Date

SCOTTISH SOCIAL SERVICES COUNCIL

**Unconfirmed minutes of the Audit Committee
held on 6 December 2017 at 1.30 pm
in Compass House, Dundee**

Present: Andrew Rome, Council Member (Chair)
Dame Anne Begg, Council Member

In Attendance: Anna Fowlie, Chief Executive
Lorraine Gray, Director of Strategic Performance and Engagement
Kenny Dick, Head of Shared Services
Nicky Anderson, Head of Finance
Audrey Wallace, minute taker

- | | | ACTIONS |
|------------|--|----------------|
| 1 | Welcome | |
| 1.1 | The Chair welcomed everyone to the meeting. | |
| 2 | Apologies for absence | |
| 2.1 | Apologies for absence were received from Professor Joyce Lishman, Council Member and Forbes Mitchell, Chair and Council Member. It was noted that this meant that the Committee was inquorate and that no decisions could therefore be made today. | |
| 3 | Declaration of interest | |
| 3.1 | There was no declaration of interest. | |
| 4 | Minutes of previous meetings | |
| 4.1 | Minutes of meeting of 27 September 2017 | |
| 4.1 | The minutes of the meeting held on 27 September 2017 were approved as a correct record. | |
| 5 | Matters arising | |
| 5.1 | Paperless meetings | |
| 5.1.1 | Anna Fowlie updated the Committee on the position with the digital transformation project and its impact on the timetable for moving to paperless meetings. Members noted the timescale. | |
| 5.2 | Workforce planning | |
| 5.2.1 | Deirdre Joy updated the Committee on the good progress with the auditors recommendations, advising that she only required the deadline to be extended in one area in order to complete the work. | H of HR |

5.3 Accountable Officer feedback on Audit Committee performance

- 5.3.1 Anna Fowlie commented that she had only positive comments to make on the work of the Audit Committee and that should there be concerns she would report them to the Committee.

6 Audit Committee rolling action sheet

- 6.1 The Committee noted the Audit Committee rolling action record.

7 2017/18 Internal Audit Plan progress report

- 7.1 Cathie Wyllie presented report 16/2017 which informed the Committee that the auditor's report on digital strategy would be submitted to the June 2018 meeting and that the reports on expendables and treasury and cash management would be submitted to the meeting in February 2018.

- 7.2 The Committee:

1. noted the report
2. noted that revised dates for submission of the audit reports.

8 Internal Audit Plan follow up report

- 8.1 Cathie Wyllie presented report 17/2017 and confirmed that there were no matters of concern and nothing outstanding.

- 8.2 The Committee:

1. noted the report.

9 Timetable for production of Annual Accounts

- 9.1 Kenny Dick advised that for the next year, there would be no change to the timetable in submission of Annual Accounts. He would be meeting with the external auditors to discuss future years, but for now, the current timetable suits the SSSC processes.

H of SS

10 Horizon scanning

- 10.1 The main potential issues on the horizon noted were
- Brexit and its implications
 - the introduction of GDPR in May 2018
 - consultation by the Scottish Government on empowering Schools and whether this will affect the early years workers; if appropriate, this will be included within the Strategic Risk Register for 2018/19.

EMT

11 Calendar of business

11.1 The calendar of business was noted.

12 Extracts on risk from committee minutes

12.1 The risks raised at the Resources Committee in September and Council in October were noted.

13 AOCB

13.1 There was no other business.

14 Proposed dates of meetings in 2018

14.1 Following consultation with members and officers on proposed changes, the following dates of meetings for 2018 were agreed: 28 February, 30 May, 29 August (to consider Annual Accounts only), 26 September and 5 December.

Ctte
Sppt

15 Date of next meeting

15.1 The next meeting will be held on 28 February 2018 at 1.30 pm.

Committee started: 1.30pm
Committee finished: 2.35pm

Signed _____
Andy Rome
Vice-Chair of the Audit Committee

Date_____