



Social Workers
Registration Board

Kāhui Whakamana Tauwhiro

statement of intent
2007-2008

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This Statement of Intent has been prepared to meet the requirement of section 139(1) of the Crown Entities Act 2004.

It describes the three-year strategic direction set by the Social Workers Registration Board ("the Board"), as the Crown entity established to give effect to the Social Workers Registration Act 2003.

The purpose of the Statement of Intent is to promote the public accountability of the Board by:

- enabling the Crown to participate in the process of setting the Board's medium term intentions and undertakings
- setting out for the House of Representatives those intentions and undertakings
- providing a base against which the Board's actual performance can be assessed.

The Statement of Intent is supported by a Memorandum of Understanding with the Minister for Social Development and Employment.



Robyn Corrigan

Board Chair
29 June 2007



Ian Calder

Chair – Finance, Audit and Reporting Committee

overview from the board chair

Through the system of registration it has been responsible for putting in place since 2003, the Social Workers Registration Board (the Board) has achieved a series of milestones and has now reached an important cross-road.

The initial focus on providing a 'road to registration' saw a milestone of 1000 registered social workers passed in June 2006, just over 18 months after the first-ever registration certificates were presented in December 2004. This total number has been increasing steadily, with an expectation that it will exceed 2000 registered social workers during 2007-2008.

The number of social workers who are registered is one key indicator of progress. However, this is only part of the story. As outlined in the foreword to the 2006-2007 Statement of Intent the Board is in the process of building the wider role it has to play to promote the benefits of registration and to enhance the professionalism of social workers in New Zealand. These objectives are seen as important to ensure that the professionalism of social workers meets certain standards of service the public can expect, and to align with other related occupational groupings.

The Board considers that its work in 'raising the bar', by way of policies to support high standards of competence, professionalism and accountability, including a Code of Conduct, has proceeded successfully, and that changes such as the setting of an undergraduate degree as a new benchmark for full registration are now well established. However the Board has received feedback across all of its stakeholder sectors that there are barriers to registration likely to inhibit further significant uptake of registration in the medium term. A clear signal has been received that the Board's focus on 'raising the bar' for the profession has to be balanced with the need to make registration as accessible to as many social workers as possible under the existing voluntary system.

It is timely then, that having now completed its third year of operation the Board has been conducting a review of its operations under the Social Workers Registration Act 2003 as specifically provided for by the Act. A key aspect of the review process is to consider the extent to which the Act, and the system of voluntary registration it provides for, is achieving a framework for protecting public safety and enhancing the professionalism of social workers. The timing of this review, which is the subject of a separate report to the Minister for Employment and Social Development, has helped to identify a number of issues likely to influence the Board's future direction and focus.

Through its own policy setting work and with the collaborative support of the Ministry of Social Development and in consultation with its stakeholders, the Board is committed to further increasing registrations and making improvements to the registration process. The findings of the inaugural review process will help with this, as we continue to work toward achieving the purpose of the Act.

The next three years represent an important developmental phase for the Board and the social work profession. The Board does not and cannot work in isolation and will continue to consult with social workers, their employers, representative organisations, other government agencies and wider stakeholders as we seek an agreed way to achieve a significant and sustainable level of registration for the social work profession in New Zealand.



Robyn Corrigan
Board Chair

This part of the Statement of Intent (SOI) begins by reaffirming the foundation-setting functions of the Social Workers Registration Board (the Board) along with an outline of its operating context followed by what it is intending to achieve in the short to medium term. It covers a three year business planning period from 1 July 2007 to 30 June 2010. It reflects the Board's outcome-based strategic planning and how the Board contributes to the social development sector's broader strategies.

Functions of the Board

For the purposes of the Public Finance Act 1989 the is a Crown entity established by the Social Workers Registration Act 2003 (the Act). The major purpose of the Act is:

To protect the safety of members of the public, by prescribing or providing for mechanisms to ensure that social workers are:

- competent to practise; and
- accountable for the way in which they practise.

As well as any other functions conferred or imposed on it by or under the legislation or any other enactment, section 99 of the Act sets out a number of inter-related functions. These can be grouped as follows in direct alignment with Board outputs:

Managing the registration of social workers

- receiving and considering applications for registration, taking recognised educational qualifications and competence of social workers into account
- authorising the registration of social workers and maintaining a Public Register
- considering applications for, and issuing practising certificates

Considering complaints against registered social workers

- establishing a Complaints and Disciplinary Tribunal and providing administrative and related services for the Tribunal
- promoting the establishment by organisations that employ social workers, of accessible and efficient procedures for making, considering and determining complaints relating to social workers they employ

Enhancing the professionalism of social workers

- establishing and maintaining a code of conduct to apply to registered social workers and that should apply generally in the social work profession
- promoting and encouraging high standards of practice and professional conduct among registered social workers and the employers of social workers

Promoting the benefits of registration

- promoting the benefits of registration among people practising as social workers, to bodies and organisations that employ social workers, and to the New Zealand public

During 2006/2007 the Board has continued to exercise its powers in the fulfilment of these functions as well as advising and making recommendations to its Responsible Minister in respect of matters relating to the regulation of the social work profession.

Operating Context

The strategic operating intentions section of this SOI (page 11 to page 14) is based on the Board's pragmatic understanding of its operating context, as outlined here.

To date the Board has remained focused on operating a national registration system that is readily available to eligible social workers who meet the criteria for registration, and on the allied development of policies and standards to support the system. Its operating budget is tied to the numbers of registered social workers and the concomitant collection of fees.

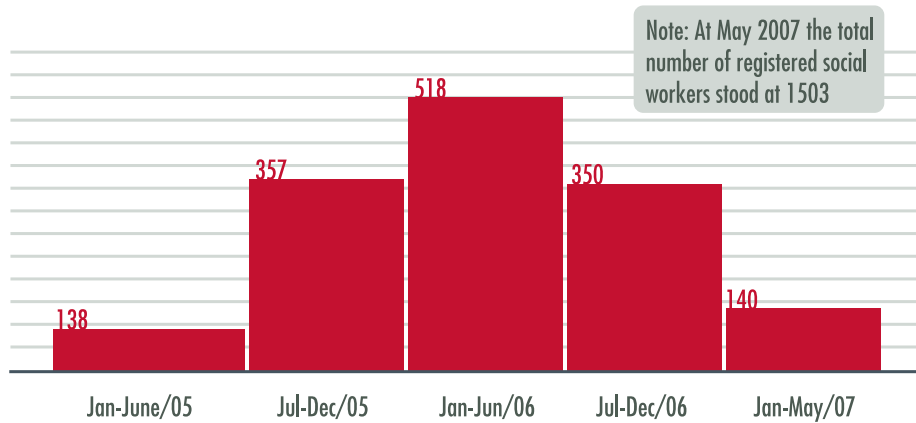
Under the prevailing voluntary regime, employers of social workers are free to determine whether or not they want, or need, to employ a registered social worker. Where employers do not require social workers to become registered, the decision is a matter of individual choice by individual social workers after they have weighed up the incentives and disincentives for achieving registration. In analysing its operating context the Board has taken particular account of three key points:

- factors affecting the variable uptake of registration and between the many different types of organisation that operate in relevant sectors;
- trends in registration levels; and
- optimal registration levels.

Variable uptake of registration

- Social work is carried out across multiple sectors and in many different types of organisations from statutory entities to community trusts.
- Three main groups of employing organisation are CYF (Child Youth and Family, a service of the Ministry of Social Development), District Health Boards (DHBs) and non-government organisations (NGOs).
- The uptake and employer support for social worker registration has been highest at CYF. (CYF is the single largest employer of frontline social workers).
- The uptake of registration by social workers at New Zealand's 21 DHBs is uneven, although DHBs generated the most new applications in 2006-2007.
- If the numbers of registered social workers were in direct proportion to numbers employed in the government and NGO sectors the Board is aware that the proportion of registered social workers from the NGO sector would be closer to 50% rather than the current estimate of 29%.
- Given Māori and Pasifika participation in NGOs is high it is also likely that the number of Māori and Pacific social workers who have achieved registration is lower than desirable.
- Because of the relatively small number of social workers, the cost of individual registrations is high relative to most other regulated professions, and this cost is both a perceived barrier and disincentive for unregistered social workers, most especially those who do not have all or part of their registration costs met by employers either across government organisations or NGOs (many of whom receive some government funding via funding contracts).
- The demand for social workers who are entitled by the Act to carry the title 'registered social worker' is expected to increase and to be regarded as a premium in a labour market where the demand for social workers is already high.

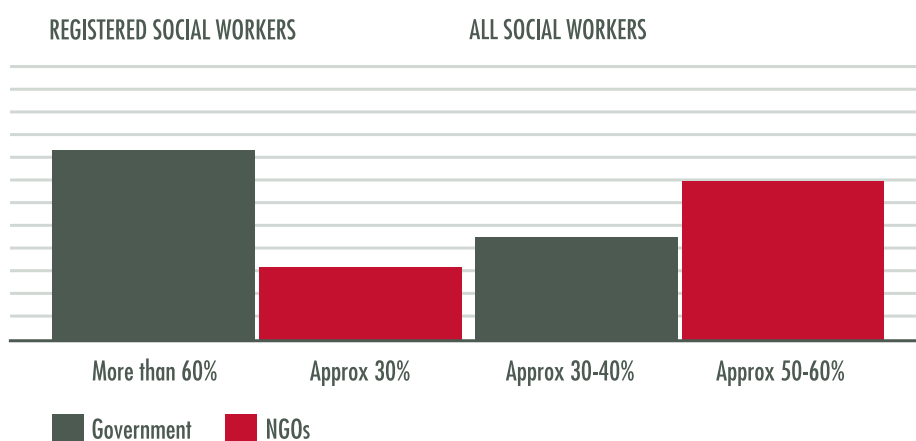
Actual registrations, from January 2005 to May 2007



Trends in registration levels

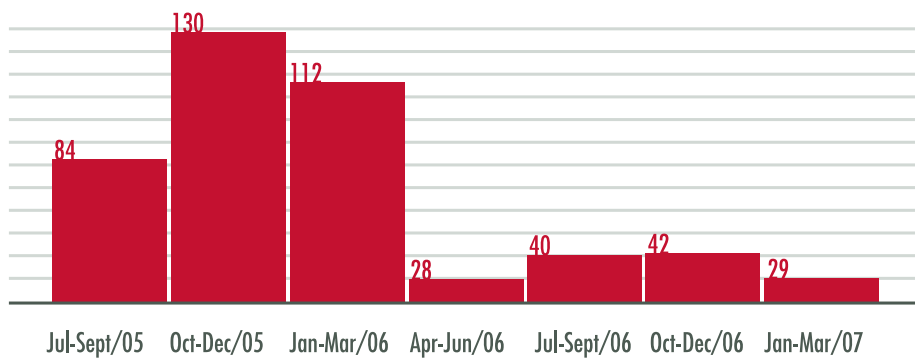
- Registrations reached 138 by June 2005, climbing to 1022 by June 2006 and, as at May 2007, the total number of registered social workers stood at 1503.
- The trend for registrations has seen a levelling off, with expected new registrations for the 2006-2007 year being less than half the total registered in 2005-2006.
- After receiving a large influx of almost 2000 initial applications in 2004-2005 a similar levelling off pattern is evident for new applications to become registered received since July 2005.

Estimated proportions of social workers in government and non-government sectors



Note: The majority of social workers in the government sector are employed by District Health Boards and CYF (Ministry of Social Development). Approximately 5-10% of social workers are self-employed and/ or in private practice. The estimate of overall proportions is based on 2001 Census data.

New applications for registration, from July 2005 to March 2007



Optimal registration levels

- For the purposes of future scoping the Board has estimated that the full-time equivalent workforce of social workers in New Zealand could reasonably be estimated to be up to 4,500 people in both government and NGO sectors.
- Another reference point for national numbers of social workers is the membership of the lead professional body, the Aotearoa New Zealand Association of Social Workers (ANZASW), which had 3,221 members at the beginning of 2007, across more than 70 different areas of social work practice.
- Full registration will remain dependent on achieving a recognised tertiary qualification and on demonstrating sufficient practical experience. Social workers in the current social work workforce who have not attained a recognised qualification but who undertake study towards such a qualification can achieve provisional registration, as can social workers who hold a recognised qualification but have not achieved sufficient practical experience.
- Achieving the purposes of the Act in areas such as the protection of the public and administration of a Complaints and Disciplinary Tribunal requires optimal registration levels.

Moving Forward

The Board does not believe that a ceiling has been reached on the number of social workers who are eligible to be registered from the total workforce, but it recognises that approaching a 'plateau' of registrations has implications for the strategic direction of the Board. The Board is committed to promoting incentives to register and to lessening perceived disincentives.

Having identified where participation in registration appears to be most variable the Board can take actions that will result in targeted activity such as building closer relationships with organisations that employ social workers and with social work educators. This work will be informed by projects that help to build the Board's knowledge of different sectors, such as the MSD's Social Services Workforce Development project undertaken by the Centre for Social Research and Evaluation.

The Board's Operational Review has clearly identified factors that need to be addressed to push through the current 'plateau' in the levels of registration, including: Costs and affordability of registration; Layers of compliance and complexity in the registration process, including requirements for competence certification; and variable employer support. In conducting the review, the Board sought views from more than 100 organisations involved directly in representing, employing or educating social workers as well as consulting agencies that have allied roles in promoting public confidence in the quality provision and delivery of social services, such as the Office of the Health and Disability Commissioner.

Amongst other matters, the review process found that registration is supported, and that the principle of a carefully managed transition from a voluntary to a more comprehensive or mandatory system is favoured by all key stakeholders. Interim actions that flow from the review are being integrated into the Board's operating intentions (see page 11). The Board's report of the review is being provided to the Responsible Minister, and subsequent to the Minister's consideration of the report the Board will consult further with its stakeholders.

Intended Results – outcomes, impacts, objectives

The government is the major purchaser of social work services and has a significant interest in the quality of social work practice and social worker professionalism. As a Crown entity with a national role the Board is a vehicle to ensuring that the quality of service and protection of the public is enhanced through the professionalism of social workers and the process of registration.

At a high level the work of the Board has a close relationship to outcomes, impacts and objectives sought by the Ministry of Social Development (MSD) and its work towards a strong, healthy, and safe society in which all vulnerable families, children and young people, in particular, are free from violence, abuse and neglect. Other relevant outcome areas include whole-of-government programmes such as care and protection, mental health, responses to an ageing population, as well as iwi, community and youth development initiatives.

Social workers typically work at a *kanohi-ki-te-kanohi* (face to face) level with individuals and families to protect vulnerable people and to enhance the conditions for social development. Given the Board cannot, in and of itself, directly determine high level whole-of-government outcomes the ultimate outcomes of the Board's work are likely to be best reflected in the annual MSD publication *The Social Report, te pūrongo oranga tangata* and such indicators of social wellbeing that might reflect the input of social workers, as well as by other similar longitudinal studies and data gathering that may be carried out by such agencies as the Families Commission.

Through fulfilling the statutory functions set out earlier, and continuously adjusting its strategic planning to its operating context, the Board seeks to create a:

- cohesive and accountable professional culture for social workers; that will
- contribute to public knowledge of the professional status of social workers; and
- enhance the levels of professionalism evident in social work practice as experienced by New Zealanders of all ages who receive social work services.

The impact that the Board can achieve is directly related to the proportion of all social workers that are registered and who meet basic criteria for ongoing registration. Growth in the percentage of the social worker workforce covered by registration will impact on growing the awareness of the benefits of registration and its intrinsic value. The complaints and disciplinary component of registration will have more impact, for instance, as the percentage of registered social workers increases, as public awareness of the accountability of social workers grows and as the Complaints and Disciplinary Tribunal's procedures are called into action.

The immediate and medium-term objectives for the Board are to:

- implement actions arising from the inaugural Operational Review, particularly to simplify the registration process, to improve coverage through limited registration and to work towards reducing the costs of registration
- better gear itself to maximising registration levels through opportunities for targeted promotion
- gain greater public recognition of the actions being taken to enhance the standing of social workers
- continue to develop its capability within carefully managed resources
- continue to meet its statutory responsibilities and to remain aligned to government and the social development sector's broader strategies

Outcomes Framework

Outcome	An effective registration system that ensures high standards of social work practice for all New Zealanders			
Our Vision	All Social Workers are registered, are accountable for they way in which they practise and are part of a profession perceived positively by all New Zealanders			
Intermediate Outcomes [OUR GOALS]	Protection All Social Workers are registered to ensure minimum standards	Accountability All Social Workers are accountable for their standards of practice, supported by a Code of Conduct	Professionalism All Social Workers practice within professional standards, supported by a Code of Conduct	Promotion All Social Workers, their employers and the public are aware of and supportive of registration and its benefits
Our Contribution [WHAT WE DO]	Registration process & policy for minimum requirements <ul style="list-style-type: none"> - Fit & Proper - Recognised qualifications - Practical Experience - Competence - Competence to work with Māori, Pacific, different cultural & ethnic groups 	Code of Conduct Complaints & Disciplinary processes (SWRB Employers) Tribunal established	Code of Conduct Information and education on professional standards of practice Ongoing promotion of professional development	Publicity and awareness activities Research and monitoring
Outputs [WHAT WE DELIVER]	Managing the registration of social workers	Considering complaints against registered social workers	Enhancing the professionalism of social workers	Promoting registration and its benefits
Who we work with	All Social Workers Employers of social workers Educators of social workers Social services sector, professional bodies and representative groups Members of the public and users/ consumers of social work services Other Government agencies			

Strategic operating intentions

The Board has established a sound foundation to base its operating activities on. Planning to this point has focused on successfully establishing the Board's capacity to carry out those activities, ensuring that registration processes were in place and assessing applicants for registration.

This base activity has now largely become 'business as usual' and the documentation to demonstrate that is publicly available on the Board website, including policies that define the criteria for registration and that list the New Zealand qualifications recognised by the Board and the recognition standards.

As the Board continues to move forward, key themes are:

- lessening perceived barriers to registration, where possible, by adjusting Board policy settings
- simplifying registration processes
- expanding the coverage of the registration system
- working towards reducing the costs of registration
- undertaking targeted promotion of registration and its benefits to social workers and their employers in segments of the workforce where there has been low uptake

The Board's medium-term operating intentions supplement business as usual activity with a mix of strategic and operational actions and tasks, as follows:

MANAGING THE REGISTRATION OF SOCIAL WORKERS

Maintaining and developing the systems and processes used to manage the registration of social workers is the Board's core activity. Based on the experience of handling more than 2000 applications the Board is confident that the core processes are operating efficiently and have been robust in ensuring that social workers who achieve registration have met all of the required criteria.

Optimising operating systems and providing a customer focus

The Board takes a strong customer focus to managing registrations. Since passing the milestone of 1000 registered social workers the Board Secretariat has focused on optimising the effectiveness of aspects of registration such as streamlining and simplifying application processes. A key operating intention is to ensure that the registration system is as simple as possible, that social workers understand the systems and processes involved in registration, and that the information provided to social workers about the steps they need to take to become registered is clear and easy to follow.

In the next three years the Board intends to make more use of data on the registration database to identify trends in registration and to extend its sector knowledge to allow it to routinely target organisations that are known to employ social workers. Such targeting would aim to increase the coverage of registration.

Competence assessment in the registration process

By implementing actions contained in its 2007 Operational Review, the Board could effect change to the ways that competence standards are met to:

- facilitate entry into registration; and
- reduce compliance costs for social workers and their employers

while maintaining confidence in competence assessment systems.

Recent social work graduates with recognised qualifications, for instance, could enter the registration process based on a beginning competence.

The Board also intends to explore ways to facilitate provisional registration for more unqualified social workers who are working towards qualifications, given that the Act already provides that pathway (with a requirement that study be completed within a period of eight years after commencement).

Registration fees

Under its current funding parameters and financial settings the Board is limited in what it can do to adjust registration fees. Factors such as economies of scale that apply to other professions such as teaching and nursing are not the same for social workers.

The Board's financial forecasts are also dependent on external factors such as the efficacy of targets that employer organisations set for registration for their social worker employees.

There is little doubt that a reduction in fees would provide a significant incentive for social workers on lower incomes and those who have to pay for registration from their own resources. Lower fees would also be a major incentive for NGOs to increase uptake by their social workers.

Operating Intentions

Specific operating intentions for managing the registration of social workers over the next three years include:

- streamlining and simplifying the current registration processes
- working towards reducing the costs of registration
- reviewing the competence assessment models and processes in consultation with employers, educators and professional bodies to provide new options
- reviewing criteria for limited registration (provisional and temporary) to increase coverage and uptake
- reviewing processes and policy for section 13 applications
- continue to explore funding mechanisms and options with its monitoring department, the Ministry of Social Development
- introducing portable plastic identity cards with Annual Practising Certificates
- conducting a 'customer satisfaction survey' to determine areas for improvement
- maintaining and developing registration information on the Board website
- developing the utility of the registration database, including analysis of baseline data to 'profile' the existing body of registered social workers – particularly those social workers not employed by CYF
- benchmarking the Board's registration management systems against systems operated by similar registration bodies

Current Registration Fees

For a new applicant to become registered		For a registered social worker to attain an annual practising certificate	
Application fee*	\$450	Practising certificate	\$360
Disciplinary levy	\$90	Disciplinary levy	\$90
Total	\$540	Total	\$450

* Fee for the issue of a practising certificate not applied.

CONSIDERING COMPLAINTS AGAINST REGISTERED SOCIAL WORKERS

In the first instance, and in line with section 99(k) of the Act, the Board has a role to encourage organisations that employ social workers to establish accessible and efficient procedures for making, considering and determining complaints relating to social workers they employ.

Where such procedures have been resorted to without success, Part 4 of the Act establishes a set of processes relating to disciplining registered social workers. By providing for a complaints mechanism the Act is seeking to have social workers accountable for the way they practise and to have public safety protected. Feedback received during the 2007 Operational Review supported the strong need for a fair, objective, legitimate and independent avenue for handling complaints.

The Board has established the Social Workers Complaints and Disciplinary Tribunal and conducted a training day for Tribunal members in November 2006.

The key steps in the process of making a complaint about the conduct of a registered social worker are available on the Board website. As at May 2007 no complaints had been delegated by the Tribunal to a Complaints Assessment Committee. As actual cases are brought to the Tribunal the Board will be able to gauge the level of activity and resource involved. Until then the Board will continue to build its 'state of preparedness'.

Operating Intentions

Specific operating intentions for considering complaints against registered social workers over the next three years include:

- establishing protocols with employers of social workers for making, considering and determining complaints relating to social workers they employ
- selecting and maintaining a pool of suitable candidates to be appointed to Complaints Assessment Committees when and if required
- providing annual training opportunities for Complaints and Disciplinary Tribunal members
- seeking to expand our work in promoting and supporting employer-based complaints systems

ENHANCING THE PROFESSIONALISM OF SOCIAL WORKERS

Operations associated with enhancing professionalism begin from the time a social worker becomes registered. This activity is supported by the setting of a publicly recognised set of professional standards. The Board issued a Code of Conduct in 2005 – as required in section 105 of the Act – and a supporting set of guidelines for social workers and employers in 2006. These documents have been published as booklets and have been distributed to all registered social workers.

Products and services

Information packs with this material, including the booklet titled Criteria for Annual Practising Certificates have also been distributed to tertiary schools of social work. Subject to organisational capability the Board intends to engage in more stakeholder relations work of this kind to promote these 'products'. The Board will also undertake workshops and presentations to social workers, their employers, social work educators and students.

Enhancing the professionalism of social workers generally goes hand in hand with the Board's intention to 'raise the bar' for the social work profession and this provides an underpinning rationale for the 'services' that the Board will provide. At the same time the Board intends to make registration as accessible to as many social workers as possible to increase the overall coverage of registration.

The Board will seek to collaborate in activities that enhance the professionalism of social workers with organisations such as the Aotearoa New Zealand Association of Social Workers (ANZASW), Te Kahui Atawhai O Te Motu (national body for Iwi and Māori Social Services providers) and government agencies. It also intends to identify areas where it could provide value not available elsewhere.

Operating Intentions

Specific operating intentions for enhancing the professionalism of social workers over the next three years include:

- developing closer stakeholder relations with social work educators and final year students
- conducting the first bi-annual audit of the Continuing Professional Development logs required to be kept by registered social workers
- promoting use of the Code of Conduct and its associated guidelines to registered (and unregistered) social workers to directly enhance their social work practice
- promoting awareness amongst registered social workers and their employers of the Board's process for handling complaints and disciplinary powers
- developing and distributing an annual registration information pack to employers of social workers

- recognising new social work qualifications
- presenting information on continuing professional development at events such as workshops and conferences
- consulting social workers and their employers about the effectiveness of the Code of Conduct

PROMOTING THE BENEFITS OF REGISTRATION

The Board's intention is to promote both its work generally and the benefits of registration as a means to achieving higher levels of registration and to increase stakeholder awareness of the professional standards being met by registered social workers.

Outside of the social work profession the Board has a relatively low public profile. Consistently reinforcing and extending the identity and brand it has established is necessary to ensure that the Board continues to build a credible reputation amongst stakeholders for the work it is doing and its strategic direction. This is important for 'buy-in' and a longer-term endorsement of registration and the professionalisation of social work.

The Board acknowledges the importance of seeking views about the benefits of registration directly from registered social workers to ensure a 'bottom up' approach to defining benefits as experienced by social workers themselves at their workplaces and by extension, the profession as a whole.

To that end a small sample survey of newly registered social workers was conducted in 2006-2007 and over the next three years the Board intends to collect more information from workplaces and individual social workers on the benefits of registration that will inform planning for strategic communications and marketing.

Operating Intentions

Specific operating intentions for promoting the benefits of registration over the next three years include:

- undertaking targeted promotion of registration and its benefits to social workers and their employers in segments of the workforce where there has been low uptake by operating distinct promotional strategies and tactics for different types of employer, such as DHBs and NGOs, in direct response to the diversity of social work practice and the multi-sector nature of employers of social workers.
- ensuring that the registration database is able to provide statistically significant information to support cost-effective targeting of communications and both direct and generic marketing initiatives
- creating opportunities to publicise and promote the benefits of standards such as the Code of Conduct to social workers, employers, educators, wider stakeholders and members of the public
- publicising and promoting the Board's process for handling complaints to wider stakeholders and members of the public
- maximising distribution of Board publications and traffic to the Board website
- refining Board communications and marketing material for different audiences
- presenting information on the benefits of registration at events such as workshops and conferences
- undertaking a survey of perceived benefits of registration

Consultation and reporting to the Responsible Minister

The Board has agreed to and signed a Memorandum of Understanding with its Responsible Minister, setting out details on the way in which it will continue to consult and report to him on the Government's purchase and ownership interests in the entity. Reports will be on a quarterly basis and include an overview of the Board's activities with particular emphasis on: key developments, output delivery, organisational capability, financial management and upcoming events.

This reporting will also include a risk management perspective (potential risks are identified and strategies/actions taken to minimise the impact will be discussed). The Board Chair and the Chief Executive/ Registrar will also continue to meet with the Responsible Minister on a regular basis to ensure the continuation of an open dialogue.

The Board is required by the Crown Entities Act (s150) to provide the Minister with an Annual Report on its operations for each year. This report is separate from the quarterly reports already mentioned above. The Annual Report will provide certain financial information about the Board, Board members and employees. As well as this formal reporting obligation the Board is empowered by its Act [s99 (1) (l)] to advise, and make recommendations to, the Minister in respect of matters relating to the regulation of the social work profession.

Key elements of future performance

Over the medium-term the Board will regularly review the content of this three year outlook (SOI, Part 1) as a means for gauging its performance.

Over the three year period as a whole the key result measures to be judged will be the Board's efficiency and effectiveness in:

- achieving a base registration level of 2000 registered social workers (2007/2008)
- implementing actions/ recommendations of the Operational Review
- financially secure with increased resources for promotion (2008/2009)
- successful operation of complaints and disciplinary processes
- registration level approaching 4000 registered social workers (2009/2010)



For the purposes of this SOI the 2007 Operational Review report can be regarded as a companion document that has both financial and non-financial implications for the Board's intended level of performance within the next three years.

Organisational capability/health

The Social Workers Registration Board (Board) was appointed with the introduction of the Act in 2003 and began to build the policy requirements of the legislation in early 2004. By 1 October 2004 the Board had developed the key policy and registration documents required to support registration, set up a national office in Wellington, appointed staff and was ready to accept applications.

Members and operation of the Board

The Board has 10 members who have a strong understanding of the social work environment and cultural contexts of New Zealand society. Members of the Complaints and Disciplinary Tribunal also bring extremely valuable skills and experience to the organisation (see Appendix for list of Board and Tribunal members).

The Board is committed to a clear governance/management division of responsibility and supports the efforts of the Chief Executive and Registrar to ensure that all people working for the Board (in a permanent or contracted capacity) share the same vision of the way the Board and its people are to operate.

The Board operates a forward planning environment and has implemented a Board committee structure to enable this as well as operating a Risk Management Strategy. The following standing committees of the Board are tasked, along with the Chief Executive, with the strategic direction of the Board:

- Finance, Audit and Reporting Committee
- Education and Practice Standards Committee
- Māori, Pacific and Different Ethnic and Cultural Groups Committee.

The Board employs three permanent staff, and, according to need, has engaged contract staff for such purposes as legal, accounting and information technology support.

Future focus

The majority of the Board's workload and capability needs to date have been centred on putting systems in place for processing applications. After social workers are registered this then leads into an annual cycle for processing of Annual Practising Certificates with a greater focus on ongoing professional development.

Having established a sound organisational basis, the Board's future capability focus is progressively switching away from the initial registration function and application processing, to the outputs required for:

- enhancing the professionalism of social workers; and
- promoting registration and its benefits.

To achieve progress on these outputs the Board has engaged the services of a highly qualified Social Work Professional Advisor (on secondment from the Ministry of Social Development) and contracted a Senior Communications Advisor. These positions have enabled planning for specific operating intentions outlined earlier, and have expanded the Board's capability to take a project-driven approach to these outputs, operating within current budget constraints.

Key areas of future focus will be on improving the amount of stakeholder relations work undertaken by the Board, such as liaison with employers, and on building capability to carry out detailed policy analysis and research.

Finance and Infrastructure

The 2006-2007 year is the first financial year that the Board has been required to become substantially self-funding. Fee income provides the main source of revenue generated from fees for the assessment of applications, renewal of annual practicing certificates to registered social workers, and a disciplinary levy.

If the 'levelling off' trend in the level of registration and the variable uptake of registration continues the Board faces a risk that its strategic operating intentions will be under-funded.

Under this scenario the Board will be constrained to largely carrying out activity that maintains business as usual, and carrying out necessary developmental work to meet strategic operating intentions will be more difficult.

The Board has created reserves through the disciplinary levy to underwrite disciplinary costs. Information with regard to the number and complexity of disciplinary proceedings is limited as the complaints and disciplinary system has not yet been called into action. Accordingly the Board's financial forecasting for this is cautious.

The Board has identified a number of risks that will need to be managed carefully including:

- the cost of disciplinary proceedings
- the cost of any appeals related to disciplinary proceedings (including secretarial and general service needs of the Complaints and Disciplinary Tribunal insofar as they impact on staffing resource of the Board)
- the cost of any appeals related to decisions by the Board not to register applicants

Business systems have been implemented to meet the Board's projected needs with a computerised database at the heart of the registration system. The internet has been used to facilitate communication and publicity work including development of a website providing all available information with regard to registration, including the Register of Registered Social Workers.

part 2: prospective statement of service performance and forecast financial information

Statement Of Responsibility

The Social Workers Registration Board is a Crown agent under the Crown Entities Act 2004 with its role established under the Social Workers Registration Act to:

- (a) protect the safety of members of the public, by prescribing or providing for mechanisms to ensure that social workers are -
 - (i) competent to practise; and
 - (ii) accountable for the way in which they practise; and
- (b) for the purposes of paragraph (a), to create a framework for the registration of social workers in New Zealand, and -
 - (i) establish a Board to register social workers, and provide for its powers; and
 - (ii) establish a tribunal to consider complaints about registered social workers; and
- (c) to provide for the Board to promote the benefits of registration of social workers —
 - (i) to departments of State, other instruments of the Crown, other bodies and organisations that employ social workers, and the public; and
 - (ii) among people practising social work; and
- (d) to enhance the professionalism of social workers.

The Social Workers Registration Board is responsible for the preparation of the Statement of Intent and prospective financial statements, including the assumptions on which the financial statements are based.

The prospective financial statements have been prepared in accordance with NZ IFRS. The Social Workers Registration Board does not intend to update and republish the prospective financial statements. This departure from FRS-42 is necessary to allow the impacts of the transition to NZ IFRS to be identified and quantified.

The prospective financial statements have been developed for the purpose of tabling the Social Workers Registration Board's intentions in Parliament, and should not be relied upon by any other party for any alternative purpose without the express written permission of the Social Workers Registration Board. Actual results are likely to be different from the prospective financial statements and the variation may be material.

We have authorised the issue of the financial statements on this day, 29 June 2007.



Robyn Corrigan

Board Chair
29 June 2007



Ian Calder

Chair – Finance, Audit and Reporting Committee

Prospective Statement of Service Performance

The performance standards related to the Board's outputs for 2007/2008 are set out below. Expenditure on Outputs for 2007/08 will be funded by payments received by the Board from social workers who apply for registration and from registered social workers. The programmes for 2008/09 and 2009/10 are dependent on performance achievements in 2007/08 and the Board will review out-year figures as more information becomes available.

Third Party revenue	Expenditure
\$ 891,000	\$ 887,000

NB All figures are GST Exclusive

This will be allocated to outputs as summarised here:

Output 1: Managing the registration of social workers	\$ 334,125
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The majority of social workers are registered by the Social Workers Registration Board. Competence and educational standards of social workers are improved and only those people who are assessed as fit to practise social work are registered.

Output 2: Considering complaints against registered social workers	\$ 111,375
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The general public and key stakeholders are aware of the Social Worker Registration Board's complaints processes and complaints made against registered social workers are dealt with without undue delay. If needed, social workers are disciplined appropriately and transparently.

Output 3: Enhancing the professionalism of social workers	\$ 222,750
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The reputation of the social work profession is enhanced and recognised by the public and key stakeholders. Professional standards improve and with higher standards comes higher quality social work with improved outcomes for New Zealanders.

Output 4: Promoting the benefits of registration	\$ 222,750
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All key stakeholders, including social workers are aware of the benefits of registration. The number of registered social workers continues to grow and employers are increasingly employing registered social workers.

Details of the performance standards and measures for these four outputs, including assumptions affecting them, are set out below.

Output 1: Managing the registration of social workers

Description: This output involves the operation of a register of social workers and the issuing of practising certificates as provided for in the Social Workers Registration Act 2003. As part of this process the Board will process applications for registration and for annual practising certificates. Applications for registration and for annual practising certificates are to be checked to ensure they comply with the criteria in the Act and with the policies of the Board.

Operating within the constraints of the current system it is estimated that the number of applicants undergoing assessment for registration and being granted annual practising certificates during 2007/2008 will reach a milestone of 2000, including 200 new applications.

Annual practising certificates will be issued each year. Fees from them will be ongoing, and will provide the bulk of the income to support this activity.

The Board proposes to raise sufficient fees to meet the costs of processing Registrations and annual practising certificates.

Key Performance Standards

Quantity and timeliness	Quality
<ul style="list-style-type: none">• All completed applications for registration will be processed within six months of receipt.• 200 new applications for registration will have been received by 30 June 2008.• 1500-2000 applications for renewal of an annual practising certificate will have been processed by 30 June 2008.• Information on registered social workers will be accessed by telephone during business hours. The Register will be available on-line 24 hours per day.	<ul style="list-style-type: none">• All registration related processes will comply with the provisions of the Social Workers Registration Act and the Board's agreed policies and procedures.
<ul style="list-style-type: none">• The Board will survey a sample percentage of social workers and their employers about their satisfaction in the process of registration and issuing of annual practising certificates at the time that applications and certificates are processed.	<ul style="list-style-type: none">• Survey results will indicate a high level of satisfaction in the process of registration and issuing of annual practising certificates. Survey costs will be incorporated under standard operating expenditure.

Output 2: Considering complaints against registered social workers

Description: This output involves the Board establishing and providing administrative support to an independent Social Workers Complaints and Disciplinary Tribunal which can appoint Complaint Assessment Committees (CAC) to hear complaints against registered social workers.

There will be an ongoing cost of training members of the Social Workers Complaints and Disciplinary Tribunal as well as establishing and providing training for CAC. The Board secretariat will also provide ongoing administrative support to both the Complaints and Disciplinary Tribunal and the CAC. The number of complaints and the complexity of complaints expected remains unknown but there is likely to be an increase in complaints over the next few years as public awareness increases.

It is intended that a Disciplinary Levy will meet the costs of complaints. A high level of equity will be required to ensure that the costs of complex complaints can be met.

Key Performance Standards

Quantity and timeliness	Quality
<ul style="list-style-type: none">• Administrative support will be provided to enable the Tribunal to deal with all complaints against registered social workers. It is expected that up to 15 complaints may be dealt with by 30 June 2008.• The Registrar shall notify the Tribunal of complaints within 15 working days.• A pool of CAC candidates has been selected by December 2007.	<ul style="list-style-type: none">• The Complaints and Disciplinary process will operate in a transparent, robust and fair manner.• All services provided will comply with the provisions of the Social Workers Registration Act 2003, and be to the satisfaction of the Social Workers Complaints and Disciplinary Tribunal.• The risk of judicial review or similar appeal of the complaints process and/ or decisions will be limited.
<ul style="list-style-type: none">• To establish a complaints protocol with a major employer of social workers by December 2007.	<ul style="list-style-type: none">• Employers are familiar with the concept of complaints protocols.
<ul style="list-style-type: none">• To launch material to promote awareness of the complaints system by December 2007.	<ul style="list-style-type: none">• Key stakeholders are informed and briefed about the complaints system and available material.

Output 3: Enhancing the professionalism of social workers

Description: The Board will maintain and review the Code of Conduct for social workers and reinforce high standards of practice in order that registered social workers are accountable for their ongoing professional development.

The Board will continue to promote the Code of Conduct to social workers and their employers as well as the ongoing professional development criteria and other standards for all registered social workers.

Key Performance Standards

Quantity and timeliness	Quality
<ul style="list-style-type: none">To consult or meet with tertiary education providers at least once during the year.To consult or meet with social work education programme approval organisations (ITPQ, CUAP) at least once during the year.	<ul style="list-style-type: none">The Board will maintain and update an agreed set of minimum social work education criteria to a high standard in consultation with the profession, employers and education providers.
<ul style="list-style-type: none">A random audit of a sample of the continuing professional development logs required to be kept by registered social workers will be conducted by December 2007.	<ul style="list-style-type: none">100% of the sample audit is completed.
<ul style="list-style-type: none">To maintain an annual information programme to ensure registered social workers are informed about professional standards they are expected to uphold.	<ul style="list-style-type: none">100% of registered social workers on the registration database receive notice of information about professional standards.

Output 4: Promoting the benefits of registration

Description: This output recognises that the registration of social workers is voluntary. The Board, therefore, will promote registration and its benefits to social workers and their employers.

The Board intends to continue meeting with social workers, their employers and other stakeholders at least once in a year and will also be issuing regular newsletters and updates to the sector.

Key Performance Standards

Quantity and timeliness	Quality
<ul style="list-style-type: none">• To develop and implement a communications and marketing plan by December 2007.• To publish at least three newsletters per year to publicise the work of the Board and to profile other activity relevant to wider social work sector networks.• To plan for an upgrade of the Board website for the third quarter of 2007/2008.• To consult or meet with the major employer groups (government and non government) at least once during the year.• To consult or meet with the major social work professional bodies and representative organisations at least once each quarter.	<ul style="list-style-type: none">• Intended results will be satisfied by meeting annual targets for registration and new applications.• Feedback from stakeholders will be sought to help to evaluate the effectiveness of promotional activity and to identify demonstrable shifts in perception.• Employers are increasingly employing registered social workers.

forecast financial statements

- Forecast financial performance for the year ended 30 June 2008
- Forecast financial position as at year ended 30 June 2008
- Forecast equity for the year ended 30 June 2008
- Forecast cash flows for the year ending 30 June 2008
- Reconciliation of cash flows for the year ending 30 June 2008

forecast financial performance

FOR THE YEAR ENDED 30 JUNE 2008

	2006/07 Forecast Actual \$	2007/08 Budget \$
Income ¹		
Registration and APC Fees	562,000	700,000
Disciplinary Levy	102,000	168,000
Government Grants	-	-
Interest	35,000	20,000
Sundry Income	62,000	3,000
Total Income	761,000	891,000
Expenditure ²		
Audit	20,000	20,000
Depreciation & Amortisation	34,000	30,000
Disciplinary	42,000	72,000
Governance	101,000	100,000
Secretariat	497,000	665,000
Total Expenditure	694,000	887,000
Surplus for year	67,000	4,000
Transfer to Discipline Reserve	60,000	96,000
Operating Surplus	7,000	(92,000)

¹ Registration, APC Fees and Disciplinary Levy based on the following projected numbers:
 New Registration applications 350 @ \$400
 APC Renewal/ New 1750 @ \$320
 Disciplinary Levy 2100 @ \$80

² The SWRB Registration activities and staffing levels are expected to remain constant with no anticipated changes.

forecast financial position

FOR THE YEAR ENDED 30 JUNE 2008

	2006/07 Forecast Actual \$	2007/08 Budget \$
Equity	440,000	444,000
Assets:		
Current Assets		
Cash, Bank & Bank Deposits	609,000	803,556
Accounts Receivable	4,000	4,000
Total Current Assets	613,000	807,556
Non-Current Assets		
Property, plant & equipment	53,000	32,300
Intangible assets	40,000	30,700
Total Non-Current Assets	93,000	63,000
Total Assets	706,000	870,556
Liabilities:		
Accounts payable and accruals	61,000	92,556
Fees received in advance	205,000	334,000
Total Liabilities:	266,000	426,556
Net Assets	440,000	444,000

forecast equity

FOR THE YEAR ENDED 30 JUNE 2008

	2006/07 Forecast Actual \$	2007/08 Budget \$
Equity at Beginning of period		
Operating Reserve	253,000	260,000
Discipline Reserve	120,000	180,000
	373,000	440,000
Surplus for year	67,000	4,000
Equity at end of period		
Operating Reserve	260,000	168,000
Discipline Reserve	180,000	276,000
	440,000	444,000

forecast cash flows

FOR THE YEAR ENDED 30 JUNE 2008

	2006/07 Forecast Actual \$	2007/08 Budget \$
Cash flows from Operating Activities		
Cash was provided from:		
Registration fees, levies & APC fees	687,600	997,000
Government Grant & Other Sources	-	-
Expense recoveries & sundry income	62,000	3,000
Interest	35,000	20,000
<hr/>		
Cash was applied to:		
Payments to Suppliers, Board & Employees	708,788	825,444
<hr/>		
Net Cash Flows from Operating Activities	75,812	194,556
Cash flows from Investing Activities		
Cash was provided from:		
Sale of Fixed Assets	4,500	-
Cash was applied to:		
Purchase of Fixed Assets	35,385	-
<hr/>		
Net Cash Flows from Investing Activities	(30,885)	-
Net Increase/(Decrease) in Cash Held	44,927	194,556
Add Opening Cash Brought Forward	564,073	609,000
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Ending Cash Carried Forward	609,000	803,556
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reconciliation of cash flows

FOR THE YEAR ENDED 30 JUNE 2008

	2006/07 Forecast Actual \$	2007/08 Budget \$
Surplus from Statement of Financial Performance	67,000 4,000	
Add Depreciation	34,000	30,000
Movement in Receivable & Payables		
Decrease/(Increase) in accounts receivable & prepayments	26,027	-
(Decrease)/Increase in accounts payable & accruals	(51,215)	160,556
Net Cash Flows from Operating Activities	75,812	194,556

Reporting Framework

The Social Workers Registration Board is a body corporate established by the Social Workers Registration Act 2003. The Board is a Crown entity for the purposes of the Public Finance Act 1989 and the forecast financial statements comply with that Act.

The reporting entity is the Social Workers Registration Board. The reporting entity consists of those activities represented by outputs supplied by the Board and related assets, liabilities and Crown equity.

Actual results for 2007/08 are likely to vary from the information presented and the variations could be material. These variations would be mainly attributed to changes in the level of demand for services produced by the Board.

These forecast financial statements comply with generally accepted accounting practice. The measurement base applied is historical cost. Accrual accounting has been used to prepare these financial statements. These statements have been prepared on an ongoing basis for the period 1 July 2007 to 30 June 2008.

Specific Accounting Policies

The following specific accounting policies which materially affect the measurement of financial position have been applied:

- **Accounts Receivable**
Accounts receivable are stated at their estimated net realisable value.
- **Property, Plant & Equipment**
Property, Plant & Equipment are initially stated at cost and depreciated as outlined below. Initial cost includes the purchase consideration plus any costs directly attributable to bringing the asset to the location and condition required for its intended use. Property, Plant & Equipment is written down immediately if any impairment in the value of the asset causes its recoverable amount to fall below its carrying value.
- **Depreciation**
The Board has two classes of fixed assets which have been depreciated as follows:

Office Equipment, furniture & fittings	18% - 60%
Computer Equipment	48%

Depreciation is provided on a diminishing value basis on all tangible fixed assets at rates calculated to allocate the assets' cost over their estimated useful lives.
- **Intangible Assets**
Intangible assets comprise non-physical assets which have a benefit for periods extending beyond the year the costs are incurred. Initial cost includes the purchase consideration plus any costs directly attributable to bringing the asset to the location and condition required for its intended use.
- **Amortisation**
The Board has one intangible asset class which has been amortised as follows:

Registration database software	20%
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Amortisation is provided on a straight line basis at a rate calculated to allocate the assets' cost over its estimated useful life.

- **Investments**
Investments are stated at the lower of cost and net realisable value.
- **Goods and Services Tax (GST)**
The financial statements are prepared on a GST exclusive basis, with the exception of accounts receivable and accounts payable which are stated with GST included.
- **Employee entitlements**
Provision is made in respect of the Board's liability for annual leave at balance date. Annual leave has been calculated on an actual entitlement basis at current rates of pay.
- **Operating leases**
Operating lease payments, where the lessor effectively retains substantially all the risks and benefits of ownership of the leased items, are charged as expenses in the periods in which they are incurred.
- **Financial Instruments**
There are no financial instruments that expose the Board to foreign exchange risk or off balance sheet risks.

All financial instruments including bank accounts, short term investments, accounts receivable and accounts payable are disclosed at their fair value. The fair value of short term investments is the lower of cost or market value.

Revenue and expenses in relation to the financial instruments are recognised in the Statement of Financial Performance.
- **Income Tax**
The Board is exempt from income tax as it is classified as a public authority in terms of the Income Tax Act 1994.

Changes in Accounting Policies

There have been no changes to the accounting policies except the impact of NZ IFRS which is not considered to be significant.

Social Workers Registration Board

The Board has had stable leadership since 2003 and the Board Chair, Robyn Corrigan, has agreed to serve an extended term. Three new members were appointed in the 2006-2007 year and have participated in a structured induction to the Board. During this time four Board members who served on the inaugural Board have finished or are finishing their terms.

The Board comprises:

- 6 registered social workers; and
- 4 other people.

Board Members:

Robyn Corrigan – Chair*

Arthur (Buster) Curson – Deputy Chair*

Ian Calder

Yvonne Crichton-Hill *

Paul Curry

Jan Duke

Sonya Hunt *

Shona Kapea-Maslin *

Stuart Macdonald

Paula Nes *

(* Registered Social Workers)

Secretariat Staff:

Sean McKinley – Chief Executive / Registrar

Shannon Pakura – Social Work Professional Advisor

Suzanne Thurlow – Office Manager

Solicitors:

Luke Cunningham and Clere

Morrison Kent House

105 The Terrace

Wellington

Bankers:

The National Bank of New Zealand

170 – 186 Featherston Street

Wellington

Social Workers Complaints and Disciplinary Tribunal

The Social Workers Registration Act 2003 established a set of processes relating to disciplining registered social workers. The Board has established a Disciplinary Tribunal that meets the requirements of the Act as set out below:

- a Chairperson and 1 or more deputy chairpersons
- at least 1 barrister or solicitor of the High Court of not less than 7 years' practice
- 5 other members.
- at least 1 lay person appointed by the Minister.

The Social Workers Registration Board Complaints and Disciplinary Tribunal is comprised of the following members:

Vaughan Milner	Chairperson
Darryn Russell	Ministerial Appointee
Tavake Afeaki	
Arihia Bennett	
Stephanie Dyhrberg	
Vicki Hirst	
Tureiti Moxon	
Jackie Pearse	
Jenny Prentice	
Feiloaiga Taule'ale'ausumai	

Social Workers Registration Board Contact Details

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