



**Social Workers
Registration Board**
Kāhui Whakamana Tauwhiro

STATEMENT OF INTENT
2009–2010

Presented to the House of Representatives Pursuant to
Section 149 of the Crown Entities Act 2004

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OPENING STATEMENT

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

27 June 2009



Stuart Macdonald

Chair – Finance, Audit and Reporting Committee

OVERVIEW FROM THE BOARD CHAIR

The Social Workers Registration Board (the Board) remains committed to ensuring that the registration of social workers in New Zealand continues to reflect the high standards established by the Social Workers Registration Act.

The Board has four key goals that remain prominent in both the governance and operational aspects of its direction, namely:

Registration – all social workers are registered to minimum standards

Accountability – all social workers are accountable for their standards of practice

Professionalism – all social workers adhere to the Board's practice standards

Promotion – all social workers, their employers and the public are aware of the benefits of registration.

To date there are approximately 2,200 Registered Social Workers. However the number of applications for registration under the current voluntary environment has slowed and there remain many social workers yet to register.

Feedback received by the Board from Social Workers, their employers and those who support the profession has been positive in terms of the impact registration has had on the profession but many have articulated or identified barriers to registration.

These barriers have related primarily to the cost, complexity and affordability of applying for and maintaining registration. There has also been concern expressed that the scope of registration is too narrow and does not reflect the extended social work profession.

Throughout 2008/2009 the Board has investigated options to address the issues raised and in response:

- will be introducing simpler, lower-cost competence options for applicants for registration
- will suggest an amendment to the Social Workers Registration Act to recognise those in the profession who do not meet the current criteria for registration the Board by allowing for the addition of new criteria or levels for registration
- will reduce the application fee for registration.

The Board's priorities for the coming year include:

- working to increase the number of Registered Social Workers, especially in the DHB and NGO sectors
- ensuring the alternative and affordable competence assessment options are available to as many social workers as possible while maintaining the high standards expected by the profession, employers and the public
- exploring other options to reduce the costs of registration in collaboration with the Ministry of Social Development
- continuing to streamline the process of applying for and maintaining registration
- developing the criteria and policies required to expand the options for registration to increase coverage and uptake.

Registration and the protection it affords the public and the profession will continue to progress in the current voluntary environment because of the commitment of individual social workers and their employers. By addressing the above issues the Board aims actively to encourage more social workers to join and support those already registered.

While registration remains voluntary the profession will always bear the greater burden of the costs but as the number of Registered Social Workers increases it is expected that the costs will decrease further.

In order to succeed and fully implement the stated purposes of the legislation the challenge is to gain the full support of all social workers, their employers and the public to ensure that those who receive social work services do so in accordance with stated aims of the Social Workers Registration Act.



Robyn Corrigan

Board Chair

PART 1: THREE YEAR OUTLOOK

This part of the Statement of Intent (SOI) begins by stating the legislative functions of the Social Workers Registration Board (the Board) along with an outline of its operating context. It covers a three year business planning period from 1 July 2009 to 30 June 2012. 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 Board 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

- maintaining 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

- maintaining a code of conduct to apply to Registered Social Workers and that will 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.

OPERATING CONTEXT

To date, when analysing its current and future operating context, the Board has taken particular account of three key points:

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

Registration for social workers in New Zealand has been available since October 2004 and to date over 2,000 social workers have voluntarily become registered. The Board is however of the view that it is increasingly difficult to expand the number of Registered Social Workers in the current voluntary registration environment, especially given the relatively high cost of registration.

The Board will continue to work with the Ministry of Social Development and key stakeholders on options to reduce the costs and complexity of registration for social workers, and to increase the numbers of Registered Social Workers.

Moving Forward

The number of applications for registration under the current voluntary environment has slowed and there remain many social workers in the DHB and NGO sectors yet to register.

The Board is committed to promoting incentives to register and to lessening perceived disincentives.

The Board has clearly identified the factors that need to be addressed to push through the current 'plateau' in the levels of registration. The major registration issues identified by the Board include:

- cost and affordability of registration;
- the complexity of the registration process, including requirements for competence certification; and
- broadening the coverage of registration (i.e., increasing the opportunity to recognise a range of qualification levels and roles in the profession).

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 across New Zealand's 21 DHBs is improving and DHBs are generating the most new applications.
- Cost remains a barrier for unregistered social workers who do not have all or part of their registration costs met by employers – mainly in the NGO sector.
- The demand for social workers who are entitled by the Act to carry the title 'Registered Social Worker' is increasing and registration is regarded as an asset in a labour market where the demand for social workers is already high.

In order to address the issues identified, the Board's strategic focus will encompass the following priorities:

Cost and affordability of registration

The Board's 2007 review showed that the cost of registration was a major impediment in the voluntary environment that we operate in. This is especially the case for NGOs employing social workers.

Occupation	Registration Fee	Annual Practising Fee
Social worker	\$450	\$360
Teacher	\$120	\$40
Nurse	\$485	\$96
Psychologist	\$375	\$595

The Board's major initiatives in the short term will be introducing simpler, lower cost competence options for applicants for registration (see below), and reducing the application fee. Now that the peak of applications has passed and the Board's income from Annual Practising Certificates (APCs) is more significant we expect to be able to reduce the application fee. Although these initiatives will reduce costs and simplify the process, overall costs will remain higher than desirable.

Since the introduction of registration for social workers in October 2004 the Board has largely been reliant on the application fees it receives in order to fund its work. During 2008/2009 the Board attained the significant milestone of 2,000-plus Registered Social Workers. In reaching this number the Board's main source of income has now shifted from being reliant on new applications to fees from APCs.

This shift in revenue reliance, along with alternative revenue generation options, allows for the Board to consider a review of the costs of applying for and maintaining registration.

Because the Board is self-funding (from fees) we expect that it will only be possible to reduce the costs of registration as the number of Registered Social Workers increases and economies of scale can apply.

Complexity of the registration process and competence certification

During the 2008/2009 year the Board introduced a streamlined registration process reducing the application forms from three to one, introduced new criteria for applying for registration under section 13 (recognising extensive practical experience as compensation for the lack of a recognised social work qualification) and provided for graduates of recognised social work programmes to be deemed to hold graduate competence for the purposes of meeting registration criteria.

In an effort to reduce costs and improve access to registration the Board will be introducing alternative competence assessment processes.

Trends in registration levels

- Registration became available in October 2004 with a considerable number of applications being received in the first three months.
- Registrations reached 138 by June 2005, climbing to 1,620 by June 2007 and 1,889 by May 2008. The total number of Registered Social Workers stood at 2,107 at 30 June 2009.
- The trend for registrations has seen a levelling off with new registrations for the 2007/2008 year being just over half the total registered in 2006/2007. The number of new registrations for the 2008/2009 year followed a similar trend.

The Board previously recognised two providers of competence assessment that met the Board's criteria – the Aotearoa New Zealand Association of Social Workers and Te Ara Aromatawai. The Board was advised in 2008/2009 that Te Ara Aromatawai would no longer be providing a competence assessment programme.

The Board will be launching an additional competence assessment and recertification process from 2009/2010 onwards for those previously assessed by Te Ara Aromatawai and for any other social worker.

The proposed new competence assessment process will complement that of the other recognised competence assessment provider and give social workers additional affordable options when choosing the competence assessment process that best suit their needs.

Broadening the coverage of registration

The provision of social work services is complex and occurs in many contexts. The Board is becoming increasingly aware that much social work activity, e.g., assessment and reporting, is undertaken by practitioners not immediately identifiable as social workers, e.g., whānau support workers, community development workers, iwi support workers, community support workers, needs assessment service coordinators, etc.

While the Board is still focused on registering those who meet the current registration criteria (we estimate there are around 6,000 social workers under this criteria) the Act requires the Board to protect the public by ensuring that all social workers are competent and held accountable for the way in which they practise. The Board therefore has a responsibility to provide registration options for all workers who engage in social work.

The Board believes the current criteria to recognise Registered Social Workers should remain but also believes there is a need to provide registration options for those workers in support roles carrying out significant social work tasks. As well, there should be broader flexibility in the registration system to encourage registration for new entrants and those who wish to continue to work in (social work) support roles only.

The Board is therefore suggesting an amendment to the Act that would allow for the addition of new criteria or levels for registration, in response to the above needs.

Broadening the entitlement to registration options provided for by the Act will allow the Board to increase the opportunities it has to meet further the purposes of the Act.

The suggested broadening of coverage by the Act not only provides a mechanism for ensuring the safety of the public but also presents the Board with the opportunity to enhance best practice and professionalism across all social work roles. We will continue to work with our various stakeholders on progressing the thinking around this issue.

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 6,000 people in both government and NGO sectors:
 - CYF – 1,250
 - DHBs – 1,000
 - NGOs – 3,750.
- Full registration will remain dependent on achieving a 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.
- Protection of the public is the main purpose of the Act and for practical purposes the Board would require all social workers to be registered in order to meet the aims of the complaints and disciplinary functions as set out in the Act.

INTENDED RESULTS – OUTCOMES, IMPACTS, OBJECTIVES

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

- increase registration levels through:
 - continuing targeted promotion in the DHB sector and increasing the promotion of registration in the NGO sector
 - implementing alternative and affordable competence assessment options
 - considering options to reduce registration costs where possible – including the planned reduction of the application for registration fee
 - improved coverage through expanded registration scopes of practice
- gain greater public recognition of the actions being taken to enhance the standing of social workers through the implementation of a cost effective promotional campaign in collaboration with the social work professional body, the industry training organisation and the social work educators association
- continue to develop our capability within carefully managed resources
- continue to meet our statutory responsibilities
- ensure our policies are consistent with government and social development sector strategies.

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 for ensuring that the quality of service and protection of the public is enhanced through the professionalism of social workers and the process of registration.

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 renew their APCs.

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.

Outcomes Framework

Outcome	An effective registration system that protects the public and ensures high standards of social work practice				
Our Vision	All social workers are registered				
Intermediate Outcomes (OUR GOALS)	Registration All social workers are registered to minimum standards	Accountability All social workers are accountable for their standards of practice	Professionalism All social workers adhere to the Board's practice standards	Promotion All social workers, their employers and the public are aware of the benefits of registration	
Our Contribution (WHAT WE DO)	Registration process and policy for minimum requirements to practise social work <ul style="list-style-type: none"> • Fit & Proper • Recognised qualifications • Practical Experience • Competence • Competence to work with Māori • Competence to work with different ethnic & cultural groups Practising Certificate process and policy	Board Code of Conduct Complaints and Disciplinary Tribunal Current APC	Board Code of Conduct Board Practice Standards Current APC Promote and provide professional development	Publicity and awareness activities Research 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

Registration has been available to social workers in New Zealand since October 2004 and the Board has established a sound foundation on which to base its operating activities.

Until relatively recently the Board's strategic focus has been on ensuring that registration processes were in place and on assessing and processing applicants for registration.

The 2008/2009 year marked the beginning of the Board moving beyond the day-to-day registration process and establishing a work plan that focused on increasing registrations and on enhancing the professionalism of social workers.

Operating intentions

As noted earlier the four key output areas of the Board are:

1. Managing the registration of social workers
2. Considering complaints against Registered Social Workers
3. Enhancing the professionalism of social workers
4. Promoting the benefits of registration.

While the Board has a firm grasp on the first and second output areas there is much work to be done on the third and fourth output areas. The Board's specific operating intentions over the next three years include:

Priority areas:

- support the review of the Social Workers Registration Act 2003 in collaboration with the Ministry of Social Development to be undertaken in early 2009/10
- working to increase the number of Registered Social Workers in the DHB and NGO sectors, via targeted promotion and developing relationships/agreements with employers
- take action that supports the Government's goal of a more focused, efficient and productive State sector that delivers services differently and more cost effectively
- implementing alternative and affordable competence assessment options
- looking at reducing the costs of registration and disciplinary processes in collaboration with the Ministry of Social Development
- continuing to streamline the current registration processes
- over time developing additional registration scopes for associate and assistant social workers to increase coverage and uptake

Other work and developments:

- continuing to develop the utility of the registration database, including analysis of baseline data to 'profile' the existing body of all Registered Social Workers
- maintaining established 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 training opportunities for Complaints and Disciplinary Tribunal members when and if required
- maintaining the working relationships the Board has with the professional organisations and bodies representing social workers
- maintaining the working relationships the Board has with social work educators and institutions and working to expand communication opportunities with social work students

- recognising new social work qualifications
- presenting information on continuing professional development at events such as workshops and conferences
- 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.

KEY ELEMENTS OF FUTURE PERFORMANCE

Over the medium term the Board will regularly review the content of this three year outlook as a means of 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 2,650 Registered Social Workers with 90% holding a current APC (2009/2010)
- achieving a registration level within the current voluntary registration environment of over 3,000 Registered Social Workers with 90% holding a current APC (2010/2011)
- achieving a level of registration, qualification recognition and capacity that signifies that the social work profession is ready for mandatory registration (2011/2012)



REPORTING TO THE RESPONSIBLE MINISTER

The Board has a Memorandum of Understanding with its Responsible Minister, setting out details on the way in which it will continue to consult and report to her on the government's purchase and ownership interests.

The Board is also required by the Crown Entities Act (s150) to provide the Minister with an Annual Report on its operations for each year. 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.

ORGANISATIONAL CAPABILITY/HEALTH

The Board was appointed with the introduction of the Act in 2003 and began to build the operational policy requirements for registration 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

Under the Act 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 Risk Management Committee
- Policy Development and Review 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 APCs 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
- increasing the number of Registered Social Workers, especially in areas of low uptake, by promoting registration and its benefits.

Risk summary

A brief outline of possible risks faced by the Board over the next 2 – 3 years is as follows:

Description of risk	Mitigation
Not meeting the target number of Registered Social Workers while registration remains voluntary	<p>Increased promotion of registration and its benefits</p> <p>Reduced complexity of applying for registration, and for gaining competency</p> <p>Reduced costs of applying for registration</p> <p>Meeting with employers and representative groups to gain support</p>
Insufficient revenue from fees (particularly APC fees) to allow the Board to undertake essential activities	<p>Actions to reduce complexity and to remove unnecessary costs to maintain an APC</p> <p>Efficient follow-up administration in regard to late APC payment etc.</p>
Increase in the number of complaints, and the related cost of these	<p>Management of complaints including encouraging employer based complaint processes</p> <p>Maintaining a prudent level of reserves to meet possible complaints costs</p> <p>APC criteria compliance including continuing professional development, supervision, etc.</p>

Given the above the Board's financial forecasting is cautious.

Finance and infrastructure

Since the 2006/2007 year the Board has been solely self-funding.

Fee income provides the main source of revenue generated from fees for the assessment of applications, renewal of APCs for Registered Social Workers and a disciplinary levy.

With the 'levelling off' trend in registrations and the reducing number of new applications the Board faces a risk that its strategic operating intentions will be constrained through limited funds. Under this scenario, given requirements to maintain the registration system, it is more difficult for the Board to undertake the developmental work to meet strategic operating intentions.

It is the Board's intention however to increase its capacity to generate income, and therefore create more opportunities to contribute to the development of the social work profession, by introducing new initiatives.

The Board intends to introduce alternative competence assessment opportunities for social workers that will both reduce the costs to social workers but also enable the Board to generate income. In turn this income will be returned to the profession through promotional and professional development activities undertaken by the Board.

Expanding the scope of registration to include those in associate and assistant social work roles will ensure that the profession is much more widely represented and at the same time increase the resources available to the Board. It is anticipated that the increase in representation and the economy of scale this provides will, over time, allow the Board to reduce costs for social workers applying for and/or maintaining registration.

While the Board has created reserves through the disciplinary levy to underwrite disciplinary costs, information with regard to the possible number and complexity of disciplinary proceedings is limited as the complaints and disciplinary system has not yet been tested fully. It is expected that this will remain the case until such time as registration becomes mandatory and the Complaints and Disciplinary Tribunal will be responsible for receiving complaints against all social workers not just those who are have voluntarily registered.

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.

In the 2009/2010 year the Board intends to continue to focus resources on promotion of registration and its benefits to the social work profession, to employers and to consumers of social work services. This will involve continuing to target areas of the profession that have a low uptake in registration and providing additional resources to encourage and support social workers through the registration process.

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, 27 June 2009.



Robyn Corrigan
Board Chair
27 June 2009



Stuart Macdonald
Chair – Finance, Audit and Reporting Committee

PROSPECTIVE STATEMENT OF SERVICE PERFORMANCE

The performance standards related to the Board's outputs for 2009/2010 are set out below.

Expenditure on Outputs for 2009/2010 will be funded by payments received by the Board from social workers who apply for registration and from Registered Social Workers. The programmes for 2010/2011 and 2011/2012 are dependent on performance achievements in 2009/2010 and the Board will review out-year figures as more information becomes available.

Third Party revenue	Expenditure
\$966,500	\$948,240

NB All figures are GST exclusive.

This will be allocated to outputs as summarised here:

Output 1: Managing the registration of social workers	\$492,000
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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	\$145,000
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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	\$149,240
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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 come higher quality social work with improved outcomes for New Zealanders.

Output 4: Promoting the benefits of registration	\$162,000
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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 as follows.

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 APCs. Applications for registration and for APCs 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 eligible for an APC during 2009/2010 will increase to 2,650, including 300 new applications.

APCs 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 APCs.

Key performance standards

Quantity and timeliness	Quality
<ul style="list-style-type: none">• All completed applications for registration will be processed within three months of receipt.• 300 applications for registration will have been processed.• 2,400 applications for the renewal or issue of an APC will have been processed.• Information on Registered Social Workers is able to be accessed by telephone during business hours. The Register is available online 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 of social workers and their employers for feedback about the process of registration and issuing of APCs 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 APCs. Survey costs will be incorporated under standard operating expenditure.

Output 2: Considering complaints against Registered Social Workers

Description: This output involves the Board providing administrative support to an independent Social Workers Complaints and Disciplinary Tribunal which can appoint Complaint Assessment Committees (CAC) to assess 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 remain 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. Sufficient funds 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 will be assessed by the Tribunal. Depending on the outcome of the assessment the complaints will be progressed as set out in the Act.The Registrar shall notify the Tribunal of complaints within 15 working days.	<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 to the satisfaction of the Social Workers Complaints and Disciplinary Tribunal.

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 APC audit of Registered Social Workers will be undertaken. 	<ul style="list-style-type: none"> 100% of the APC audit exercise is completed.
<ul style="list-style-type: none"> To maintain an annual information programme to ensure Registered Social Workers are informed about the 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 maintain a nationwide targeted Board promotion campaign.• To publish at least three electronic or hardcopy newsletters per year to publicise the work of the Board and to profile other activity relevant to wider social work sector networks.• To include a Complaints and Disciplinary site within the current Board website.• To consult or meet with the major employer groups (government and non government).• To consult or meet with the major social work professional bodies and representative organisations.	<ul style="list-style-type: none">• Annual targets for registration and new applications will be met.• Feedback from stakeholders will help to evaluate the effectiveness of promotional activity and to identify demonstrable shifts in perception.• The new section of the Board website is set up by the third quarter of 2009/2010.• Evidence indicates employers are increasingly employing Registered Social Workers.• At least annual consultation meetings are held.

FORECAST FINANCIAL STATEMENTS

Statement of Performance

Statement of Movements in Equity

Statement of Financial Position

Statement of Cash Flows

Statement of Accounting Policies

FORECAST STATEMENT OF FINANCIAL PERFORMANCE

FOR THE YEAR ENDED 30 JUNE 2010

Actual 2008 \$		Budget 2010 \$	Forecast 2009 \$
	Income		
–	Government Grant	–	–
581,340	Application & registration fees	776,500	733,236
132,900	Discipline levy	168,000	135,664
21,152	Expense recoveries & other income	2,000	39,968
50,951	Interest	20,000	47,657
786,343	Total Income	966,500	956,525
	Expenditure		
22,425	Audit fees	20,000	20,000
34,201	Depreciation & amortisation	60,000	60,287
2,366	Net loss on disposal of property, plant & equipment		
325,051	Personnel costs	475,000	379,238
44,672	Operating lease costs	94,140	94,114
10,889	Relocation costs	–	–
284,877	Other	299,100	431,546
724,481	Total Expenditure	948,240	985,185
\$ 61,862	Surplus	\$ 18,260	\$(28,660)

The accompanying accounting policies form part of these financial statements.

FORECAST STATEMENT OF MOVEMENTS IN EQUITY

FOR THE YEAR ENDED 30 JUNE 2010

Actual 2008 \$		Budget 2010 \$	Forecast 2009 \$
401,836	Total Crown Equity at the start of the year.	435,038	463,698
61,862	Operating surplus for the period	18,260	(28,660)
61,862	Total recognised revenue and expenses for the period	18,260	(28,660)
\$463,698	Total Crown Equity at the end of the year.	\$453,298	\$435,038

The accompanying notes and accounting policies form part of these financial statements.

FORECAST STATEMENT OF FINANCIAL POSITION

AS AT 30 JUNE 2010

Actual 2008 \$		Budget 2010 \$	Forecast 2009 \$
	Current Assets		
166,484	Cash & cash equivalents	504,233	159,807
8,467	Accounts receivable	1,450	12,688
288,602	Investments	–	–
24,189	Prepayments	4,000	12,525
487,742		509,683	425,475
	Non Current Assets		
132,638	Property, Plant & Equipment	73,987	110,937
42,300	Intangible assets	53,302	76,352
174,938		127,290	187,290
662,680	Total Assets	636,974	612,765
	Less:		
	Current Liabilities		
80,539	Accounts Payable & accruals	73,676	67,727
11,043	Employee entitlements	10,000	10,000
107,400	Income received in advance	100,000	100,000
198,982	Total Liabilities	183,676	177,727
\$463,698	Net Assets Employed	\$453,298	\$435,038
	Crown Equity		
401,836	Accumulated surplus	435,038	463,698
61,862	Current Year Surplus/(Deficit)	18,260	(28,660)
\$463,698	Total Crown Equity	\$453,298	\$435,038

The accompanying notes and accounting policies form part of these financial statements.

FORECAST STATEMENT OF CASH FLOWS

FOR THE YEAR ENDED 30 JUNE 2010

Actual 2008 \$		Budget 2010 \$	Forecast 2009 \$
	Net Cash Flows from Operating Activities		
–	Receipts from Crown revenue	–	–
413,800	Registration fees, levies & APC fees	944,500	861,500
21,152	Other revenue	2,000	39,968
48,416	Interest received	43,300	31,374
(417,232)	Payments to Suppliers	(398,767)	(546,808)
(332,454)	Payments to Employees	(475,000)	(380,281)
(266,318)	Net Cash flows from Operating Activities	116,033	5,753
	Net Cash Flows from Investing Activities		
–	Sale of property, plant & equipment	–	–
122,633	Receipts on maturity of bank term deposits	–	288,602
(103,064)	Purchase of property, plant & equipment	–	(18,289)
(14,400)	Purchase of intangible assets	–	(54,350)
–	Investment in bank term deposits	–	–
5,169	Net Cash flows from Investing Activities	–	215,963
(261,149)	Net Increase/(Decrease) in Cash or cash equivalents	116,033	221,716
427,633	Cash or cash equivalents at beginning of the year	388,200	166,484
\$166,484	Cash or cash equivalents at end of the year	\$504,233	\$388,200

The accompanying notes and accounting policies form part of these financial statements.

STATEMENT OF ACCOUNTING POLICIES

For the year ending 30 June 2010

Reporting entity

The Social Workers Registration Board ("the Board") is a Crown entity as defined by the Crown Entities Act is domiciled in New Zealand. As such, the Board's ultimate parent is the New Zealand Crown.

The Board's primary objective is to provide public services to the NZ public, as opposed to that of making a financial return.

Accordingly, the Board has designated itself as a public benefit entity for the purposes of New Zealand Equivalents to International Financial Reporting Standards ("NZ IFRS").

The budget financial statements for the Board are for the year ending 30 June 2010.

Basis of preparation

Statement of compliance

The financial statements of the Board have been prepared in accordance with the requirements of the Crown Entities Act 2004, which includes the requirement to comply with New Zealand generally accepted accounting practice ("NZ GAAP").

The Board has applied the Framework for Differential Reporting for entities adopting the New Zealand equivalents to International Financial Reporting Standards (NZ IFRS) and its interpretations as appropriate to public benefit entities that qualify for and apply differential reporting concessions.

The Board qualifies for differential reporting exemptions as it has no public accountability and does not qualify as large under the criteria set out in the Framework for Differential Reporting.

Differential reporting exemptions as available under the Framework for Differential Reporting have been applied in relation to:

- NZ IAS 1 Disclosure of critical accounting estimates and assumptions
- NZ IAS 24 Related Party Disclosures
- NZ IFRS 7 Financial Instruments: Disclosure

Measurement base

The financial statements have been prepared on a historical cost basis.

Functional and presentation currency

The financial statements are presented in New Zealand dollars. The functional currency of the Board is New Zealand dollars.

Significant accounting policies

Revenue

Revenue is measured at the fair value of consideration received or receivable.

Revenue from the Crown

The Board receives no funding through revenue received from the Crown.

Interest

Interest income is recognised using the effective interest method.

Fees

Revenue from Annual Practising Certificate fees and discipline levies are recognised in the year to which the practising certificate or levy relates. Other fee revenue is recognised on receipt.

Leases

Operating leases

Leases that do not transfer substantially all the risks and rewards incidental to ownership of an asset to the Board are classified as operating leases. Lease payments under an operating lease are recognised as an expense on a straight-line basis over the term of the lease in the statement of financial performance.

Cash and cash equivalents

Cash and cash equivalents include cash on hand and deposits held with New Zealand registered banks with original maturities of three months or less.

Accounts receivable

Accounts receivable are initially measured at fair value and subsequently measured at amortised cost using the effective interest method, less any provision for impairment.

Investments

At each balance sheet date the Board assesses whether there is any objective evidence that an investment is impaired.

Bank deposits

Investments in bank deposits are initially measured at fair value. After initial recognition investments in bank deposits are measured at amortised cost using the effective interest method.

Property, plant and equipment

Property, plant and equipment asset classes consist of leasehold improvements, furniture and office equipment which are shown at cost less any accumulated depreciation and impairment losses.

Additions

The cost of an item of property, plant and equipment is recognised as an asset only when it is probable that future economic benefits or service potential associated with the item will flow to the Board and the cost of the item can be measured reliably.

Disposals

Gains and losses on disposals are determined by comparing the proceeds with the carrying amount of the asset. Gains and losses on disposals are included in the statement of financial performance.

Subsequent costs

Costs incurred subsequent to initial acquisition are capitalised only when it is probable that future economic benefits or service potential associated with the item will flow to the Board and the cost of the item can be measured reliably.

The costs of day-to-day servicing of property, plant and equipment are recognised in the statement of financial performance as they are incurred.

Depreciation

Leasehold improvements are depreciated over the unexpired period of the lease or the estimated remaining useful lives of the improvements, whichever is the shorter.

Depreciation of furniture and office equipment is provided on a diminishing value basis at rates provided under the Income Tax Act 2007.

The depreciation rates of major classes of assets have been estimated as follows:

- Leasehold improvements 6 years
- Furniture and office equipment (18% – 48%)

Intangible assets

Software acquisition and development

Acquired computer software licenses are capitalised on the basis of the costs incurred to acquire and bring to use the specific software.

Costs that are directly associated with the development of software for internal use by the Board are recognised as an intangible asset. Direct costs include the software development.

Costs associated with maintaining computer software are recognised as an expense when incurred.

Costs associated with the development and maintenance of the Board's website are recognised as an expense when incurred.

Amortisation

The carrying value of an intangible asset with a finite life is amortised on a straight-line basis over its useful life. Amortisation begins when the asset is available for use and ceases at the date that the asset is derecognised. The amortisation charge for each period is recognised in statement of financial performance.

The useful lives and associated amortisation rates of major classes of intangible assets have been estimated as follows:

Developed computer software	5 years	20%
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Impairment of non-financial assets

Property, plant and equipment and intangible assets that have a finite useful life are reviewed for impairment whenever events or changes in circumstances indicate that the carrying amount may not be recoverable. An impairment loss is recognised for the amount by which the asset's carrying amount exceeds its recoverable amount. The recoverable amount is the higher of an asset's fair value less costs to sell and value in use.

Value in use is depreciated replacement cost for an asset where the future economic benefits or service potential of the asset are not primarily dependent on the asset's ability to generate net cash inflows and where the Board would, if deprived of the asset, replace its remaining future economic benefits or service potential.

If an asset's carrying amount exceeds its recoverable amount, the asset is impaired and the carrying amount is written down to the recoverable amount and recognised in the statement of financial performance.

Creditors and other payables

Creditors and other payables are initially measured at fair value and subsequently measured at amortised cost using the effective interest method.

Employee entitlements

Short-term employee entitlements

Employee entitlements that the Board expects to be settled within 12 months of balance date are measured at undiscounted nominal values based on accrued entitlements at current rates of pay.

These include salaries and wages accrued up to balance date and annual leave earned but not yet taken at balance date.

The Board recognises a liability and an expense for bonuses where it is contractually obliged to pay them, or where there is a past practice that has created a constructive obligation.

Good and Service Tax (GST)

All items in the financial statements are presented exclusive of GST, except for receivables and payables, which are presented on a GST inclusive basis. Where GST is not recoverable as input tax then it is recognised as part of the related asset or expense.

The net amount of GST recoverable from, or payable to, the Inland Revenue Department (IRD) is included as part of receivables or payables in the statement of financial position.

The net GST paid to, or received from the IRD, including the GST relating to investing and financing activities, is classified as an operating cash flow in the statement of cash flows.

Commitments and contingencies are disclosed exclusive of GST.

Income Tax

The Board is a public authority and consequently is exempt from the payment of income tax. Accordingly, no charge for income tax has been provided for.

Cost allocation

The Board has determined the cost of outputs using the cost allocation system outlined below.

Direct costs are those costs directly attributed to an output. Indirect costs are those costs that cannot be identified in an economically feasible manner, with a specific output.

Direct costs are charged directly to outputs. Indirect costs are charged to outputs based on cost drivers and related activity information. Secretariat costs including personnel, occupancy and other indirect costs are charged on the basis of estimated time involvement of personnel on each output class.

There have been no changes to the cost allocation methodology since the date of the last audited financial statements.

APPENDIX ONE

STATISTICS

Table 1: Registration trends from October 2004 to February 2009

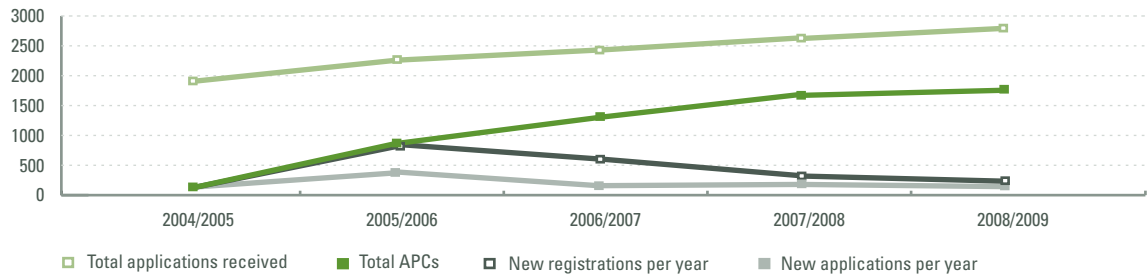
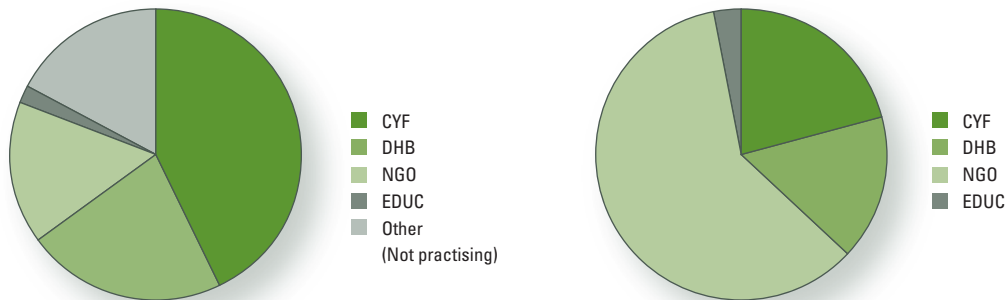


Table 2: Estimated proportions of social workers in government and non-government sectors

Registered Social Workers

All social workers



APPENDIX TWO

SOCIAL WORKERS REGISTRATION BOARD INFORMATION

Social Workers Registration Board

The Board comprises:

- 6 Registered Social Workers; and
- 4 other people.

Board members:

Robyn Corrigan – Chair*	(Appointment term expires 31 October 2009)
Shona Kapea-Maslin*	(Appointment term expires 28 March 2010)
Stuart Macdonald	(Appointment term expires 28 March 2010)
Paula Nes*	(Appointment term expires 07 May 2010)
Maaka Tibble	(Appointment term expires 30 June 2010)
Mary Miles*	(Appointment term expires 1 September 2011)
Toni Hocquard*	(Appointment term expires 1 August 2011)
Kitty Chiu	(Appointment term expires 1 August 2011)
Vacant Position*	
Vacant Position	

(*Registered Social Workers)

Secretariat staff:

Sean McKinley – Chief Executive / Registrar
Jan Duke – Deputy Registrar
Shannon Pakura – Social Work Professional Advisor
Suzanne Thurlow – Office Manager
Vacant – Office Administrator

Solicitors:

Luke Cunningham and Clere
Level 10
89 The Terrace
PO Box 10-357
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 Complaints and 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	(Appointment term expires 30 June 2010)
Darryn Russell Ministerial Appointee	(Appointment term expires 31 August 2011)
Rachel Selby Ministerial Appointee	(Appointment term expires 31 August 2011)
Tavake Afeaki	(Appointment term expires 30 June 2009)
Arihia Bennett	(Appointment term expires 30 June 2010)
Stephanie Dyhrberg	(Appointment term expires 30 June 2009)
Vicki Hirst	(Appointment term expires 30 June 2010)
Tureiti Moxon	(Appointment term expires 30 June 2009)
Jackie Pearse	(Appointment term expires 30 June 2009)
Jenny Prentice	(Appointment term expires 30 June 2010)
Feiloaiga Taule'ale'ausumai	(Appointment term expires 30 June 2010)

SOCIAL WORKERS REGISTRATION BOARD CONTACT DETAILS

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111 – 115 Customhouse Quay
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E-mail: info@swrb.org.nz

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**Social Workers
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Kāhui Whakamana Tauwhiro

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