



Social Workers
Registration Board

Kāhui Whakamana Tauwhiro

statement of intent
2006-2007

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FOREWORD

This Statement of Intent sets out the results that the Social Workers Registration Board will work towards over the next three years and its current position with respect to the office, its successes and operations, and outlines organisational improvements expected to be made over the period of this Memorandum.

This is our third Statement of Intent tabled in Parliament. It has been developed by the Board in consultation with a number of its stakeholders including the Ministry of Social Development, providers of Social Work qualifications, the professional body, employers and members of the social work profession.

We are clear about the directions and priorities of our organisation which are to protect the safety of the public by prescribing or providing mechanisms to ensure that New Zealand's professional social workers are competent and accountable for the way in which they practise.

While the focus of the Board will primarily be to complete the registration process for all social workers in New Zealand, the Board proposes to widen and consolidate its statutory roles by concentrating on the continued promotion of the benefits of registration and enhancing the professionalism of social workers.

The Board has identified five key areas of strategic focus:

- Increasing Registration
- Achieving public trust in social work practice and accountability.
- Development of a Stakeholder Management Plan to ensure the SWRB is working together with its partner organisations to promote professionalism in social work.
- The review of the Social Workers Registration Act 2003.
- Building the capability and sustainability of the Board, Secretariat and the Tribunal.

From 1 July 2006 the Social Workers Registration Board will no longer receive crown funding and is therefore required to fund future expenditure from the fees set for registration applications and annual practising certificates. While the SWRB will be required to be self funding the Board will still maintain an output agreement with the Minister for Social Development and Employment as well as maintaining its links with the Ministry of Social Development.

Before 10 April 2007 the SWRB is also required by the Social Workers Registration Act 2003 to review the operation of the Act, its own operations and consider the extent to which this Act, and the system of voluntary registration it provides for, are achieving the purposes of the Act and whether any amendments to the Act are necessary. The Board intends to appoint a steering committee, with representation from the profession, employers, the professional body and other major stakeholders to ensure all views are incorporated in this process. The outcome of the report is to be presented to the Minister.

Ms Robyn Corrigan
Chair
Social Workers Registration Board

PART 1: THREE YEAR OUTLOOK

Context

Three Year Strategic Overview

The Social Workers Registration Board (SWRB) is a Crown Agent as listed in the schedule to the Crown Entities Act 2004 but operates under the Social Workers Registration Act 2003 (the Act). It is required, under the Crown Entities Act 2004, to prepare a Statement of Intent (SOI) covering information about the Board, its intended impacts, objectives, outcomes and related issues, and the Board's three year financial forecasts.

This SOI therefore covers the years 2006/07, 2007/08 and 2008/09. It provides details of the Board's outcome-based strategic planning and how the SWRB contributes to the social development sector's broader strategy for an inclusive New Zealand where all people are able to participate in the social and economic life of their communities.

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

- operate efficiently and effectively
- meet its statutory mandate
- continue to develop its capability
- remain aligned to government and the social sector's broader social strategies.

The Board's objectives will also strengthen the profession of social workers generally which is expected to:

Promote social change, problem solving in human relationships and the empowerment and liberation of people to enhance well-being. Utilising theories of human behaviour and social systems, social work intervenes at the point where people interact with their environments. Principles of human rights and social justice are fundamental to social work.¹

Operating Environment

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.*

The government passed the Act in 2003 with the intention of providing a framework for the registration of social workers. It was seen as a way to strengthen the profession generally. Standardised criteria for registration will raise the qualifications benchmark for social workers and will enable their competence to be monitored.

¹ International Definition of Social Work

During 2005/06 the Board has continued to undertake the functions required of it under the Social Workers Registration Act 2003 and to further enhance the profession of social work in New Zealand.

The registration process has been adjusted to incorporate the changing environment for social workers with the implementation of statutory registration. Policies have been developed, extended and, in the area of education and practice standards, more thoroughly defined.

The Board has developed clear standards around social work programme recognition, has set a bachelor degree benchmark for registration for social workers new to the profession, has assessed the capacity of competence assessment providers, continued to further develop the Complaints and Disciplinary tribunal, developed criteria for the provision of Annual Practising Certificates, produced a quarterly newsletter *ON-Board*, and further developed the Social Workers Registration Board website and online register.

The above is a small sample of the ongoing work of the Social Workers Registration Board. As a small entity with limited resources, the Board is committed to creating a quality registration process that will give government and the public a high level of confidence in the standing of social workers.

Although the government has created the legislative mandate for registration of social workers, registration remains a voluntary process and employers are expected to determine whether or not they want, or need, to employ a registered social worker.

Section 104 of the Social Workers Registration Act 2003 requires that the Board review the operation of the Act before 10 April 2007. This Memorandum sets out the processes to be undertaken over the next year by the Board to develop and undertake a process through which a robust review is completed, comprehensively informed by its principal stakeholders. The Board will report its findings to the responsible Minister on the extent to which the voluntary registration regime is achieving its legislative purposes and how it might be improved.

Functions of the Board

In terms of its legislation, the Board's role over the term of this Memorandum will be to:

- *register social workers*
- *consider complaints about registered social workers*
- *promote the benefits of registering social workers*
- *enhance the professionalism of social workers.*

Under Section 99 of the Act the Board is, generally, also required to:

- promote the benefits of registration and maintain a register of social workers
- require, if it thinks fit, particular conditions on the practising certificates of registered social workers
- promote and encourage high standards of practice and professional conduct among registered social workers and the employers of social workers
- establish and maintain a code of conduct for registered social workers

- review the competence of social workers to adequately perform their professional functions
- set standards for the education and training of social workers in consultation with providers of social work education and training in New Zealand, and other bodies that set standards for social work education and training in New Zealand
- establish procedures for making, considering, and determining complaints relating to social workers
- advise, and make recommendations to, its Responsible Minister in respect of matters relating to the regulation of the social work profession
- disclose to employers or prospective employers of social workers, subject to the Act, information it has obtained relating to people who are or have been applicants for registration
- any other functions conferred or imposed on it by the Act or any other act.

Impacts, Outcomes and Objectives

The government is the major purchaser of social work services and has a significant interest in social worker quality and professionalism. In recognition of its status as a Crown agent and its national role, the Board has a stake in supporting the Government's social objectives to increase economic growth, reduce inequality and improve the social and economic wellbeing of New Zealanders.

Government Priorities

The government's overarching social policy theme for the next decade is "families – young and old". This is to ensure that "all families, young and old, have the support and choices they need to be secure and be able to reach their full potential within our knowledge based economy". This theme can be approached using the following sub-themes (ones relevant in this case):

- strong families
- healthy confident kids
- safe communities.
- better health for all
- positive aging²

Social workers contribute to these goals in several ways by:

- working on the symptoms of poor social development by promoting change in such areas as family protection, health, education and employment
- helping to tackle the root causes of poverty and alienation and by creating the conditions required for successful social development
- working to break down the barriers to better social outcomes.

² Cabinet decision – 6 March 2006: Government Priorities
Social Workers Registration Board – Statement of Intent – Year ending 30 June 2007

The Ministry of Social Development has identified five community groups that benefit through social development interventions, helping people through hard times by providing a social safety net (Social Protection) and investing in people now for better outcomes in the future (Social Investment). Social workers participate at a hands-on level with each of the identified groups assisting to achieve the Ministry of Social Developments following high level outcomes :

- *Children and Young People*
 - All children thrive in childhood, are respected and valued, have the opportunity to reach their full potential and participate positively in society now and in the future.
- *Working Age People*
 - People achieve economic independence throughout their working lives. They are able to participate in and contribute to society and have a sense of belonging.
- *Older People*
 - Older people are valued as important members of society and have the right to dignity and security in their senior years. They have opportunities to use their skills, knowledge and experience to contribute to society.
- *Family / Whānau*
 - Families and whānau are strong and richly interconnected with their communities. They are able to support their members' wellbeing, identity participation in society and interdependence.
- *Communities / Hapū / Iwi*
 - Communities, hapū and iwi are able to determine and achieve their vital and unique social, economic and cultural goals for the betterment of New Zealand.

Operating Intentions

Registration Process

Registration activities will comprise a major part of the Board's operations over the next three years.

Registration of social workers is voluntary. To achieve the purposes of the Act (as defined above) it is important that the large majority of practising social workers apply for, and are granted, registration. Registration brings with it:

- a set of recognised qualifications
- acceptance of a code of conduct for social workers
- standards for social worker education and training
- accountability for the way social workers practise

- public recognition of the social work profession and the actions the profession is taking to improve the quality of social work in New Zealand
- greater public confidence in the work being done by social workers.

Clearly, registration has public and private benefits. The SWRB will continue to meet with its stakeholders; employers in the private and public sectors; education and training providers; members of the public that have a stake in the work of social workers; and with the social workers themselves. The Board's intention is to promote both its work generally and the benefits of registration.

A social worker with a recognised New Zealand qualification is entitled to be registered if the Board is satisfied that:

- His or her competence to practise social work has been found satisfactory at the time of registration by undertaking a paper based and face to face competence assessment. Recertification of competence is then required every five years.
- He or she is a fit and proper person to practise social work based on a police check undertaken by the New Zealand Police Licensing and Vetting Service Centre as well as confidential references.
- He or she is competent to practise social work with Maori and with different ethnic and cultural groups in New Zealand at the time of registration. This is based on the inclusion of an appropriate component as part of the their qualification, and/or as a result of his or her satisfactory completion of a separate course or courses of training, and/or an attestation provided as part of the application process. This competency is also assessed as part of the general competence assessment to practise social work. Competence to practise social work with Maori and with different ethnic and cultural groups in New Zealand is required as part of the ongoing Annual Practising Certificate requirements.
- He or she has enough practical experience in practising social work based on the applicant having practiced for two years at more than 15 hours per week, or has completed 2000 hours supervised practice, whichever is the sooner.

The Board has defined the conditions covering each of these registration criteria and codified the New Zealand qualifications offered by educational institutions and training providers. It has published a schedule of recognised New Zealand qualifications for the purposes of registration.

Registration Fees

The Board sets fees for registration and the granting of annual practising certificates. It is intended that the SWRB will, in 2006/2007 become substantially self-funding and that fee income will be its main source of revenue. Registration, as set out in the Act, remains voluntary and, therefore, the Board is not able to accurately determine the number of social workers wanting to register beyond those applications already received. This introduces some uncertainty into the analysis of fee levels and therefore the Board has taken a conservative approach to setting the fees. Recognising also that social workers do not, typically, earn high incomes the Board has endeavoured to set fees that will not discourage social workers from seeking registration.

The fees set for the 2006/2007 financial year are as follows:

Fees Payable (incl.GST)	\$
Application for registration with a New Zealand qualification	450.00
Application for registration with an overseas qualification and practising in New Zealand	450.00
Re-processing of applications to 30 June 2007	360.00
Issue of practising certificate to 30 June 2007	360.00
Disciplinary levy to 30 June 2007	90.00
Applications for copies of certificates or entries, or for supplying documents for overseas registration purposes	45.00

Exemption:

Applicants who apply for registration during the year to 30 June 2007, or have paid for the re-processing of applications made prior to 1 July 2005 will be exempt in the 2006 / 07 year from fees for the issue of a practising certificate (but not for the disciplinary levy which will be payable on registration).

The Application and Annual Practising Certificate fees are expected to fund the ongoing application and assessment process while the disciplinary levy should, over the medium term, provide sufficient funding for the complaints and disciplinary process. Until more information about the number and complexity of disciplinary hearings likely to be heard is available, the Board's financial forecasting will need to be cautious.

The Board is committed to working in a consultative fashion with all major stakeholders and to that end will be seeking feedback from stakeholders about the Board's performance in 2006/07.

Matters Impacting on the Registration Process

The Board has retained the two organisations contracted to date to provide competence assessments based on the Board's definition of competence. Additional competence assessors and programmes will be considered as part of the ongoing development of the registration process.

A large number of social workers had applied for registration by June 2006. An analysis of the applications received to date has identified that a significant percentage of applicants do not hold a recognised competence assessment certificate. It is clear to the Board that the Act requires every person who applies for registration to undertake a competence assessment and therefore it is important that applicants ensure that they begin this process as soon as possible. The recognised providers have proven to the Board that they are able to meet the demand for assessments and both providers are currently involved in providing assessments for applicants as and when required.

It is the Board's view that over the medium term, the system will settle into a steady state and competency will need to be assessed for only a relatively small number of new applicants. Recertification of competence will be required for a proportion of the registrants whose competency is up for reassessment (the Act provides for a five year reassessment cycle). The Board may also request that a registered social worker undertakes a new competence assessment if their competence has, for one reason or another, been questioned and the Board decides to review the social workers' competence to practise.

Considering Complaints Against Registered Social Workers

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.

The Board has established the Social Workers Complaints and Disciplinary Tribunal and associated Complaints Assessment Committees (CACs). Complaints Assessment Committees will be appointed by the Chair of the Tribunal in relation to a particular case or cases of a particular class. The Board, as part of its responsibility to provide services for the Tribunal and Committees, will prepare to assist in the establishment of the Complaints Assessment Committees but will be able to achieve relatively little (apart from considering process requirements and locating potential members) until the nature of the specific complaints is known.

Enhancing the Professionalism of Social Workers

In 2006/2007 and beyond the Board will contribute to strengthening the profession by:

- disciplining social workers who breach acceptable standards of behaviour and care
- working towards raising the bar on qualifications and competence to practise by setting a Bachelor Degree as the entry level to registration for new social workers, providing Programme Recognition Standards for both undergraduate and post-graduate social work qualifications and providing a process for undertaking programme recognition of university based social work qualifications
- ensuring that the Code of Conduct and Guidelines to the Code of Conduct remain relevant and are updated as required
- maintaining standards for all social workers to adhere to
- vetting overseas qualified social workers for registration in New Zealand
- advising the Minister in respect of matters relating to the regulation of the social work profession
- working with the Aotearoa New Zealand Association of Social Workers on matters relating to professional quality and regulation
- promoting and encouraging high standards of practice and professional conduct among registered social workers and employers of social workers.

Recognition of New Social Work Programmes in New Zealand Universities

The Social Workers Registration Board adopted the following process for the recognition of new social work programmes in New Zealand universities:

1) Desk Audit

Providers will be asked to supply full programme documentation to enable a desk audit of the programme to be conducted against the Board's programme Standards:

Programme Recognition Standards (Bachelor degree in social work)

Programme Recognition Standards (Postgraduate qualifications in social work)

Such documentation to be provided to the Board will include:

- Programme proposal and Curriculum Statements
- Information about student selection
- Information about field work arrangements and support
- Appointment policies, Staff Curriculum Vitae

2) Site Visit

The Board will undertake a one to two day site visit to enable meetings with university management and staff, students, advisory committee members and student supervisors.

The site visit to be carried out by two representatives of the Board. The panel members may be board members, staff from the secretariat and/or or other suitable persons approved for the role by the Education and Practice Standards committee.

3) Fees and costs

A fee of \$6000 plus GST will be charged for the desk audit and a single site visit in New Zealand. Additional visits may be required if the programme is delivered at more than one site. Actual and reasonable costs will be charged for any additional site visits or concurrent programme approvals.

Background

In 2004 the Board published a schedule of current qualifications, and those retired or superseded, that were deemed recognised qualifications for the purpose of establishing one of the criteria for registration. All those holding or enrolled in the programme of study leading to those qualifications, as at 31 December 2005, will meet these criteria and are not obliged to gain another qualification.

The Board has established a list of the qualifications it will recognise from 2006 onwards.

The Board has determined that this will be a Bachelors degree in social work or a postgraduate qualification in social work.

Our policy on the recognition of new programmes was circulated in August 2005 along with the Programme Recognition Checklist (for Bachelors degrees in social work). This document has been successfully used in the process to consider social work degrees in polytechnics in accordance with the Memorandum of Understanding with the New Zealand Qualifications Authority.

In developing this policy in respect of university social work qualifications the Board has used as a model the processes utilized by comparable professional regulatory bodies.

The fees set for the Recognition of New Social Work Programmes in New Zealand Universities in the 2006/2007 financial year are as follows:

Fees Payable (incl.GST)	\$
Fee for the desk audit and a single site visit in New Zealand. Additional visits may be required if the programme is delivered at more than one site. Actual and reasonable costs will be charged for any additional site visits or concurrent programme approvals	6750.00

Organisational Capability/Health

The Social Workers Registration 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. The Board has received in excess of 2500 applications, all of which have been assessed and registered or assessed and held pending further information.

The SWRB operates with a small permanent staff of three. However, the human resources available to carry out the Board's work go well beyond this number. The Board consists of people with a strong understanding of the social work environment and cultural influences on New Zealand society.

Members of the Tribunal and complaints committees, whilst not full-time, also bring extremely valuable skills and experience to the organisation. Other contract staff cover the legal, accounting and information technology areas, and provide coverage during periods of extreme work pressure.

The Board is committed to a clear governance/management division of responsibility and supports the Chief Executive and Registrar in his efforts 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.

Organisational Development

The Board recognises that current structures, systems and processes will continue to be kept under review as the SWRB becomes a more mature organisation and moves from the initiation phase of its activities to "business as usual". Ongoing review, incorporating stakeholder consultation and feedback, will remain a feature of the Board's ongoing work.

A major initiative in 2006/2007 will be the implementation of a strategic plan for the SWRB. The SWRB held a planning workshop as part of its regular meeting schedule and identified five key areas of focus as the basis for developing the 2006/2007 Statement of Intent.

- Increasing the number of registered social workers to 4 – 4,500 in three years time.
- Achieving public trust in Social Work practice and accountability.
- Developing the Stakeholder Management Plan – "Working together to promote professionalism".
- Reviewing of the Social Workers Registration Act 2003.
- Building the capability and sustainability of the Board, Secretariat and the Tribunal.

The SWRB also identified the following as key issues to address in the very short-term.

- Developing a position on mandatory registration & future education standards.
- Reviewing the Competence Assessment models and processes.
- Obtaining baseline data to further the development the SWRB knowledge base.

These short-term issues will then provide the basis for the ongoing:

- Development of a SWRB Knowledge Base including the
 - o Evaluation of the implementation of registration
 - o Evaluation - Internal (Boards process) and External (outside perception)
- Development of independent income generating activities.

Planning to this point has been devoted to establishing the capacity to carry out the Board's functions, ensuring that registration processes were in place and assessing applicants for registration. The Board is committed to building a strategic planning environment and has implemented a Board committee structure to enable this. The following standing committees of the Board are tasked, along with the Chief Executive, with the strategic direction of the SWRB:

- Registration Committee
- Education and Practice Standards Committee
- Promotion and Consultation Committee
- Finance, Audit and Reporting Committee
- Maori, Pacific and Different Ethnic and Cultural Groups Committee.

Finance and Infrastructure

In forecasting the level of financial resources at its disposal the Board has worked with limited information. The voluntary registration environment has resulted in the Board having to estimate how many social workers would want to apply for registration (a figure of between 1500 and 2500 applicants was used for planning purposes). This estimated figure proved to be reasonably accurate. Over the 2005/2006 financial year those applicants were expected to move through the registration process and become registered social workers but as many were yet to complete the competence assessment requirement of their application by April 2006 only 809 of the 2195 assessable applications received had been registered.

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

- the cost of disciplinary proceedings
- the cost of any appeals related to disciplinary proceedings
- the cost of any appeals related to decisions by the board not to register applicants.

The Board will be creating reserves to help fund disciplinary costs through the imposition of a disciplinary levy. At this stage information is limited with regard to the number and complexity of disciplinary proceedings it is required to institute.

The Board is also aware that it needs to budget for potential legal costs related to decisions not to register applicants under the Social Workers Registration Act 2003.

While the Board will continue to carry out its business in a cost-effective manner and will be planning to make its baseline sustainable over the longer term it will be well into this planning period before more robust revenue and cost data is available.

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

As the Board switches its emphasis away from the registration function (after the bulk of social workers have been registered) and towards the promotion and enhancement work required under the legislation there will be a need for future staffing at a level beyond application processing and directed more at meeting strategic outcomes.

The secretarial and general service needs of the Complaints and Disciplinary Tribunal will also impact on the staffing needs of the Board, including ongoing financial resources.

From 1 July 2006 the Social Workers Registration Board will not receive crown funding and will be required to meet expenditure through the income generated from fees for the assessment of applications, from issuing annual practising certificates to registered social workers as well as a disciplinary levy. These fees are to cover the expenditure required to fulfil the following three stated purposes of the SWR Act 2003; to register social workers, to enhance the professionalism of social workers and to consider complaints about registered social workers.

The fourth and final purpose required of the SWRB is to promote the benefits of registering social workers to the profession, employers and the general public.

The capacity of the SWRB to fund the promotion of registration from the fees generated by registered social workers is an issue that the SWRB will need to address prior to committing to any long term promotional plan.

Financial and Non-Financial Measures

The SWRB will deliver a range of outputs contributing to the following outputs.

Output 1 – Registration

The majority of social workers are registered by the Social Workers Registration Board. Competency and educational standards of social workers are improved and only those people who are assessed as fit to practise social work are registered.

Outputs	Description	Key Tasks
1.1	Maintain the registration database	<ul style="list-style-type: none"> - maintain and update database software as required - load and test all new software or updates - ensure that the database is able to provide statistically significant information to support registration
1.2	Maintain and update the detailed policies and criteria for registration	<ul style="list-style-type: none"> - prepare updates on policy papers as required - gain stakeholder feedback - regularly update and publish information on registration criteria
1.3	Process registration applications and approve the registration of suitably qualified applicants	<ul style="list-style-type: none"> - prepare briefing for Board on individual applicants - maintain and update the SW Register
1.4	Manage the processes for Annual Practising Certificates	<ul style="list-style-type: none"> - manage the processing system - prepare APC application forms - prepare and dispatch APC - audit APC applicants as required - ensure the APC criteria is updated and published - ensure that APC professional development logs are maintained
1.5	Maintain and update recognised New Zealand social worker qualifications	<ul style="list-style-type: none"> - assess suitability of new qualifications
1.6	Monitor the provision of competency assessments	<ul style="list-style-type: none"> - Monitor and audit current providers of competence assessments - select and contract additional provider(s) as required
1.7	Establish each applicant's 'fit and proper status' including gaining information about an applicant's criminal record from NZ Police	<ul style="list-style-type: none"> - maintain approval for SWRB to gain information from Police
1.8	Set the fee structure for registration and Annual Practising Certificates.	<ul style="list-style-type: none"> - assess medium term revenue requirements - gazette fees and notify social workers and employers

Output 2 – Complaints

The general public and key stakeholders are aware of the Social Workers Registration Board's complaints resolution processes and complaints made against social workers are dealt with without undue delay. If needed, social workers are disciplined appropriately and transparently.

Outputs	Description	Key Tasks
2.1	Provide administrative support for the Social Workers Complaints and Disciplinary Tribunal and Complaints Assessment Committees	<ul style="list-style-type: none">- Select and appoint new members of the SW Complaints and Disciplinary Tribunal as required- Discuss future membership with key stakeholders- Select and maintain a pool of suitable candidates to be appointed to Complaints Assessment Committees when and if required

Output 3 – Enhancement of Professionalism

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.

Outputs	Description	Key Tasks
3.1	Promote the Code of Conduct	<ul style="list-style-type: none">- Publicise the Code of Conduct and the Guidelines to the Code of Conduct- Maintain and update the Code of Conduct as required- Maintain and update the Guidelines to the Code of Conduct as required
3.2	Maintain and update the campaign aimed at enhancing professionalism	<ul style="list-style-type: none">- Maintain and update suitable material on SWRB website- Continue to implement the Plan to promote and enhance the profession- Continue to seek opportunities (Conferences etc) to deliver papers about SWRB
3.3	Maintain and update the promotional material about standards and professionalism	<ul style="list-style-type: none">- Maintain and update documents promoting standards and professionalism

Output 4 – Promotion of Registration

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.

Outputs	Description	Key Tasks
4.1	Continue to implement the publicity campaign about registration	<ul style="list-style-type: none">- Maintain and update suitable material on SWRB website- Continue to implement the registration promotion plan
4.2	Maintain and update promotional material about the benefits of registration	<ul style="list-style-type: none">- Maintain and update policy document- Maintain and update print and electronic documents promoting benefits of registration

Consultation and Reporting to the Responsible Minister

The following describes how the Board will formally consult with and report to its responsible Minister.

In addition to the reporting described below the Board will meet with its Minister on a regular basis to ensure the continuation of an open dialogue.

Reporting will reflect a risk management perspective (potential risks are identified and strategies/actions taken to minimise the impact will be discussed).

Reporting will focus on:

1. **Delivery of outputs** – a more detailed year to date report against the deliverables specified in the purchase agreement (cross referenced to relevant schedules)
2. **Financial Statements**– a comprehensive set of year-to-date reports and (where required) commentary against the forecast financial reports specified in the purchase agreement (cross referenced to relevant schedules).

Quarterly Reporting

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** – such as progress towards strategic goals, results of any relevant research (especially any relating to the organisation's effectiveness and/or related outcomes), any issues/developments that had a particularly public high profile, examples of inter-agency co-operation and related values/behaviours.

- *Output delivery* – a brief statement on year to date performance and trends (i.e. on track, behind schedule, etc), explanation of any sizeable variances, the implications of these, where applicable corrective action to be taken, expected out turn by year end.
- *Organisational capability* – a brief discussion of any developments impacting upon the organisation’s capability such as: updates on planning processes; production of accountability documents; major staffing issues (key appointments, industrial negotiations, etc) major IT projects.
- *Financial management* – a summary of the organisation’s year to date financial performance, and position compared to budget, together with an explanation of any sizeable variances, the implications of these, and expected out turn by year end
- *Upcoming events* – an opportunity to advise the Minister and Ministry of any major developments coming up over the next quarter.

Particular elements of the process will be based only on variance reporting.

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.

PART TWO – PROSPECTIVE STATEMENT OF SERVICE PERFORMANCE AND FINANCIAL INFORMATION

STATEMENT OF RESPONSIBILITY

The Social Workers Registration Board is an agent of the Crown under the Crown Entities Act 2004, with its role established under the Social Workers Registration Act 2003 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 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 GAAP. However, from 1 July 2007 a new set of financial reporting standards (NZ IFRS) will be used, and the retrospective financial statements at the end of the financial years 2007/08 and 2008/09 will be prepared using NZ IFRS. 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 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 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, 16 June 2006.



Robyn Corrigan
Chair

Social Workers Registration Board – Statement of Intent – Year ending 30 June 2007



Arthur (Buster) Curson
Deputy Chair

Prospective Statement of Service Performance

- Output One: Managing the registration of social workers
- Output Two: Considering complaints against registered social workers.
- Output Three: Enhancing the professionalism of social workers.
- Output Four: Promoting the benefits of registration of social workers.

Forecast Financial Statements

- A forecast statement of financial performance
- A forecast statement of financial position
- A forecast statement of cash-flows
- Any other forecast financial required by generally accepted accounting practice (GAAP)
- Any other forecast financial statement required by any regulations made or instruction issues under this or any other Act.
- Assumptions underlying the forecast financial statements
- Any additional information and explanations needed to fairly reflect the entity's forecast financial operations and financial position.

Prospective Statement of Service Performance

Prospective Statement of Service Performance

The performance standards related to the Board's outputs for 2006/2007 are set out below. They are consistent with the Board's Purchase Agreement. Outputs for 2006/07 will be provided by fees received by the Board from social workers when they register. The programmes for 2007/08 and 2008/09 are dependent on the achievements of 2006/07 and the Board will review out-year figures as more information becomes available.

Third Party revenue	Expenditure
\$897,000	\$810,450

NB All figures are GST Exclusive

This will be allocated to outputs as follows:

• Output One: Managing the registration of social workers	\$486,270
• Output Two: Considering complaints against registered social workers.	\$81,045
• Output Three: Enhancing the professionalism of social workers.	\$121,567
• Output Four: Promoting the benefits of registration of social workers.	\$121,568

Details of the performance standards and measures for these four outputs are set out below.

Output One: 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.

Key Performance Standards

Quantity and Timeliness

- 1000 applications for renewal of an annual practising certificate will have been processed by 30 June 2007.
- 800 remaining applications for registration and applications for annual practising certificates will have been processed by 30 June 2007.
- 300 new applications for registration and applications for annual practising certificates will have been received by 30 June 2007.
- All completed applications for registration will be processed within six months of receipt.
- Information on registered social workers will be accessed by telephone during business hours. The Register will be available on-line 24 hours per day. .

Quality

- All registration related processes will comply with the provisions of the Social Workers Registration Act and the Board's agreed policies and procedures.
- The Board will during the year regularly assess the satisfaction of social workers and their employers in the process of registration and in issuing annual practising certificates

Output Two: 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 to hear complaints against registered social workers.

Key Performance Standards

Quantity and Timeliness

- Administrative support will be provided to enable the Tribunal to deal with all complaints against registered social workers. It is expected that between up to 15 complaints may be dealt with by 30 June 2007.
- The Registrar shall notify the Tribunal of complaints within 15 working days.

Quality

- 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.

Output Three: Enhancing the professionalism of social workers.

Description: The Board will maintain a 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.

Key Performance Standards

Quantity and Timeliness

- 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 at least once during the year.
- To develop and implement a programme to ensure registered social workers enhance and maintain standards of professionalism.

Quality

- The Board will maintain and update the minimum social work education criteria in consultation with the profession, employers and education providers.

Output Four: Promoting the benefits of registration.

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

Key Performance Standards

Quantity and Timeliness

- To develop and implement a registration information programme to encourage social workers to register.
- 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 during the year.

Quality

- The Board will during the year establish annual targets for registration and for annual practising certificates.

Forecast Financial Statements

Forecast Financial Statements

The Social Workers Registration Board's aim is to be largely self-sufficient financially in the longer term.

The Output Classes and the assumptions affecting them are as follows:

Output One: Managing the Registration of Social Workers

It is estimated that the number of applicants undergoing assessment for registration and being granted Annual Practising Certificates during 2006/2007 will be 2100.

It is expected that the above number will include 300 new applications received during this year.

Annual Practising Certificates will be issued each year. Fees from them will be ongoing, and will need to provide for 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.

Output Two: Considering 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 Complaints Assessment Committees. The SWRB secretariat will also provide ongoing administrative support to both the Complaints and Disciplinary Tribunal and the Complaints Assessment Committees. 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 hoped 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.

Output Three: Enhancing the Professionalism of Social Workers.

The Board will implement the Code of Conduct for social workers as well as the ongoing professional development criteria and other standards for all registered social workers.

Output Three: Promoting the Benefits of Registration.

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.

1. Forecast Financial Performance for the years ended 30 June

	2005/06	2006/07
	Forecast	Budget
	Actual	
	\$	\$
Income		
Registration and APC Fees	409,861	696,000
Disciplinary Levy	79,812	168,000
Government Grants	466,667	-
Interest	15,301	30,000
Sundry Income	1,220	3,000
<i>Total Income</i>	972,861	897,000
Expenditure		
Audit	18,000	18,000
Depreciation & Amortisation	26,997	30,000
Disciplinary	36,256	34,000
Governance	152,479	101,700
Secretariat	478,164	626,750
<i>Total Expenditure</i>	711,896	810,450
Surplus for year	260,965	86,550
Transfer to Discipline Reserve	43,556	79,400
Operating Surplus	217,409	7,150

2. Forecast Financial Position as at years ended 30 June

	2005/06	2006/07
	Forecast	Budget
	Actual	
	\$	\$
Equity	476,044	562,594
Assets:		
<i>Current Assets</i>		
Cash, Bank & Bank Deposits	373,777	534,360
Accounts Receivable	46,000	1,518
<i>Total Current Assets</i>	419,777	535,877
<i>Non-Current Assets</i>		
Property, plant & equipment	49,567	33,367
Intangible assets	62,250	48,450
<i>Total Non-Current Assets</i>	111,817	81,817
Total Assets	531,594	617,694
Liabilities:		
Accounts payable and accruals	55,550	55,100
Total Liabilities:	55,550	55,100
Net Assets:	476,044	562,594

3. Forecast Equity for the years ended 30 June

	2005/06	2006/07
	Forecast Actual	Budget
	\$	\$
<i>Equity at Beginning of period</i>		
Operating Reserve	142,406	359,815
Discipline Reserve	72,673	116,229
	215,079	476,044
Surplus for year	260,965	86,550
<i>Equity at end of period</i>		
Operating Reserve	359,815	366,965
Discipline Reserve	116,229	195,629
	476,044	562,594

4. Forecast Cash Flows for the year ending 30 June

	2005/06	2006/07
	Forecast Actual	Budget
	\$	\$
<i>Cash flows from Operating Activities</i>		
Cash was provided from:		
Registration fees, levies & APC fees	489,673	864,000
Government Grant & Other Sources	466,667	-
Expense recoveries & sundry income	1,220	3,000
Interest	15,301	30,000
	972,861	897,000
Cash was applied to:		
Payments to Suppliers, Board & Employees	723,502	736,418
Net Cash Flows from Operating Activities	249,359	160,583
<i>Cash flows from Investing Activities</i>		
Cash was provided from:		
Sale of Fixed Assets	-	-
Cash was applied to:		
Purchase of Fixed Assets	58,758	-
Net Cash Flows from Investing Activities	(58,758)	-
Net Increase/(Decrease) in Cash Held	190,601	160,583
Add Opening Cash Brought Forward	183,176	373,777
Ending Cash Carried Forward	373,777	534,360

5. Reconciliation of Cash Flows for the year ending 30 June

	2005/06	2006/07
	Forecast	Budget
	Actual	
	\$	\$
Surplus from Statement of Financial Performance	260,965	86,550
Add Depreciation	26,997	30,000
<i>Movement in Receivable & Payables</i>		
Decrease/(Increase) in accounts receivable & prepayments	(27,003)	44,483
(Decrease)/Increase in accounts payable & accruals	(11,600)	(450)
Net Cash Flows from Operating Activities	249,359	160,583

Statement of Accounting Policy

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 2006/07 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 2006 to 30 June 2007.

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 in accounting policies from those adopted in the preparation of financial statements in prior periods.

Appendices

Contact Details

Board Members:

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Arthur (Buster) Curson – Deputy Chair
Ian Calder
Paul Curry
Yvonne Crichton-Hill
Jan Duke
John Dunlop
Sonya Hunt

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Vacant – Deputy Registrar
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 establishes a set of processes relating to disciplining registered social workers. The Board has established a Disciplinary Tribunal that meets the requirements of the Social Workers Registration Act 2003 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.

The SWRB Complaints and Disciplinary Tribunal is required to also have

- at least 1 lay person appointed by the Minister.

The Minister is currently in the process of appointing a lay person to the SWRB Complaints and Disciplinary Tribunal.

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

Chairperson:

Mr. Vaughan Milner

Chief Executive, Presbyterian Support Upper South Island

Tribunal Members:

Mr. Tavake Afeaki

Barrister and Solicitor – Auckland

Ms. Arihia Bennett

Senior Social Work Trainer – Christchurch

Ms. Stephanie Dyhrberg

Barrister and Solicitor – Wellington

Ms. Vicki Hirst

Social Worker - Auckland

Ms. Tureiti Moxon

Health Service Manager – Hamilton

Ms. Jackie Pearse

Barrister and Solicitor / Health Professional - Waiouru

Ms. Jenny Prentice

Social Worker – Wairarapa

Rev. Feiloaiga Taule'ale'ausumai

Presbyterian Minister – Auckland

