



**Social Workers  
Registration Board**  

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**Kāhui Whakamana Tauwhiro**

## **STATEMENT OF PERFORMANCE EXPECTATIONS**

**2016 – 2017**

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# STATEMENT OF RESPONSIBILITY

The Social Workers Registration Board is responsible for the preparation of the Statement of Performance Expectations as well as prospective financial statements, including the assumptions on which the financial statements are based.

The prospective 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 prospective financial statements comply with NZ IFRS, and other applicable Financial Reporting Standards, as appropriate for public benefit entities.

The prospective financial statements have been developed for the purpose of presenting 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 prospective financial statements on this day, 8 May 2016.



Shayne Walker  
Board Chair  
8 May 2016



Toni Millar  
Chair – Finance Audit and Risk Management Committee  
8 May 2016

# REPORTABLE CLASS OF OUTPUTS

The Social Workers Registration Board is charged with protecting the public's safety by implementing a registration framework to ensure that social workers are competent to practise and held accountable for their practice.

The Board was established as a Crown agent as per 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 will continue to pursue its stated objective that all social workers are registered through an effective registration system that protects the public and ensures high standards of social work practice.

The Board acknowledges that the current voluntary registration environment is the major challenge to ensuring that the public receives social work services from qualified and competent practitioners and will continue to support a move to mandatory registration of social workers.

## Impacts and Priorities:

The impacts and priorities described below are a brief overview of the Board's programme for the next twelve months and should be viewed within the context of the Statement of Intent 2014-2018 which will provide the Board's strategic intentions for the next four years.

### **Registration**

*Social workers are registered to meet minimum standard through an efficient and accessible registration system.*

The Board provides access to a registration system for a large number of social workers that is continuing to grow each year. This priority contributes to delivering better public services across various sectors as well as providing value for money by ensuring the cost of registration does not increase as numbers increase. The Board has actively worked to reduce the costs of applying for and maintaining registration and continues to investigate new opportunities to reduce costs.

In 2016/17 the Board intends to continue to further develop its online presence to ensure an efficient registration process that is accessible and also cost effective. The Board is to extend the online APC renewal platform to include an online application process. During 2014/15 the Board developed the online application platform and this was introduced during 2015/2016. Further enhancements that will allow registered social workers to update their details online, reprint certificates and receipts, etc., will also be introduced.

### **Education**

*Social work graduates enter the workforce with the expected entry-level competencies as a result of completing Board recognised social work qualifications delivered to national standards supported by educators.*

Social work education in New Zealand is recognised internationally as professionally taught and consistently of a high calibre. By maintaining programme delivery standards across tertiary providers, this priority contributes to ensuring that graduates have the skills they need to deliver high-quality social services to New Zealanders, especially those most vulnerable.

In 2016/17 the Board will continue to support providers of recognised social work qualifications to meet the updated Programme Recognition Standards including the move to a four year degree by 2017 for those currently providing a three year qualification. The Board will consult with key employment and education organisations based on recommendations three, four and five as set out in the Board's review of the Social Workers Registration Act (2003).

#### **Recommendation Three:**

*That consideration be given to the specific funding issues identified in this review document with regard to social work education and that they are addressed as part of the legislative requirements to make the registration of social workers in New Zealand mandatory.*

**Recommendation Four:**

*That consideration be given to the specific funding issues identified in this review document with regard to entry to practise, supported by a post qualification framework, and that they are addressed as part of the legislative requirements to make the registration of social workers in New Zealand mandatory.*

**Recommendation Five:**

*That consideration be given to the support for scopes of practice identified in this review document and that they are addressed as part of the legislative requirements to make the registration of social workers in New Zealand mandatory.*

## **Accountability**

*Social workers are held accountable to the Board's Code of Conduct and the public, the profession and the employers of social workers see evidence of an accessible, transparent and fair process.*

The Board ensures that all social workers are aware of the revised Code of Conduct and the conduct expected of Registered Social Workers. The Board will provide access to a Complaints and Disciplinary system for anyone with concerns about a social worker's practice. This priority contributes to delivering better public services across various sectors as well as value for money by ensuring the public have access to an independent and fair process at no cost.

In 2016/17 the Board will have completed consultation on the revised Code of Conduct and the revised code will be operational. The Board will introduce an online complaint submission process as well as further information on the complaints process via the Board's website. Registered Social Workers, employers of Social Workers, the profession, and the public will be provided with information on the updated complaint processes, the revised Code of Conduct, and information on the determinations of the Complaints and Disciplinary Tribunal.

## **Professional standards**

*Social workers are required to meet accepted practice standards and are expected to continually develop their professional knowledge and skills for them to be viewed as professionals by the public, employers, and their peers across multi-disciplinary teams.*

The Board ensures that only social workers who are deemed competent to practise social work and are competent to work with Māori, Pasifika and other different ethnic and cultural groups in New Zealand are registered. This priority contributes by ensuring social workers are adaptable to new approaches to providing social services including those identified under Whānau Ora.

In 2016/17 the Board will have completed the review of the competencies required to work and practise social work with Māori, Pasifika and different ethnic and cultural groups in Aotearoa / New Zealand. This followed the review in 2014/2015 of the general competence standards to practise social work. The Board will implement the competence requirements in regard to different ethnic and

cultural groups and provide information to Registered Social Workers, Social Work Educators and the employers of social workers. The Board anticipates that the Kaitiakitanga Framework, introducing the updated competence requirements to work with Māori, will be completed and incorporated as part of the Board's competence policy. The Board will also develop a process for providing information to Registered Social Workers, Social Work Educators, and employers of social workers on the framework.

### ***Information and promotion***

*The public, the profession, and employers of social workers are aware of the system of registration, how to access it, and the benefits of ensuring that all Registered Social Workers are competent and held accountable for their practice.*



This is a significant area of focus for the Board as it is necessary for all New Zealanders to be aware of social worker registration to ensure that the system provides for the purposes as set out in the Act. Protection of the public, by providing for mechanisms to ensure that social workers are competent to practise and accountable for the way in which they practise, contributes to better public services.

In 2016/17 the Board will inform and promote to Registered Social Workers, the employers of Social Workers, the profession and the public the outcomes of those reviews and revisions of Board policy and procedures mentioned above. A significant promotion process will focus on the recommendations resulting from the Review of the Social Workers Registration Act (2003).

### ***Review of the Social Workers Registration Act***

In 2016/17 the Board will deliver the report to the Minister on the full review of the Social Workers Registration Act 2003, as per Section 104 of the Act. Section 104 of the SWR Act requires that the Board reviews the operation of the Act, its own operations and considers the extent to which the system of voluntary registration it provides for are achieving the purposes of the Act. The full review report will provide an overview of the history of social work regulation in New Zealand, a stocktake of the social work and social service workforce, define the difference between social work and social services, provide examples of scopes of practice, identify issues and options with regard to the funding and delivery of social work education, compare the current certification system of registration with the required licensing system required and introduce the required amendments to the Social Workers Registration Act (2003).

# THE DIFFERENCE WE WANT TO MAKE AND HOW WE WILL MAKE IT

<b>OUR VISION</b>	<b>All Social Workers are registered</b>				
<b>SOCIAL SECTOR OUTCOMES</b>	<b>We protect the public's safety by administering a registration framework to ensure that social workers are competent to practise and held accountable for their practice.</b>				
					
	<b>RANGE OF GOVERNMENT AND NON-GOVERNMENT ACTIVITIES</b>				
					
	<b>Registration, Education, Accountability, Professional Standards, Information</b>				
<b>OUR IMPACTS</b>	Social workers registered to meet minimum standards via an efficient and accessible registration system	Social work students graduate from SWRB-recognised social work qualifications delivered to national standards	Registered Social Workers, the public and employers see evidence of an accessible, transparent and fair Complaints and Disciplinary Process	Registered Social Workers are viewed as professionals and adhere to accepted practice standards while continually developing their professional knowledge and skills	The system of registration is accessible and the benefits of registration are acknowledged by the profession, employers and the public.
<b>OUR OUTPUT</b>	<b>ADMINISTRATION OF THE SWRB REGISTRATION FRAMEWORK</b>				
<b>WHAT WE DO</b>	Receive applications for Registration and Annual Practising Certificates	Recognise Social Work Qualifications	Hold Social Workers accountable via Code of Conduct and Complaints and Disciplinary Tribunal	Review the competence of Social Workers and issue Annual Practising Certificates	Provide information and promote registration to the profession, employers and the public
<b>OUR PRIORITIES</b>	<b>Social Workers and those that receive social work services</b>				



## **OUTPUT: ADMINISTRATION OF THE SWRB REGISTRATION FRAMEWORK**

### **What is intended to be achieved?**

We protect the public's safety by administering a registration framework to ensure that social workers are competent to practise and held accountable for their practice.

### **The processes undertaken to achieve this are:**

#### ***Management of the registration of social workers***

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

#### ***Consideration of complaints against Registered Social Workers***

- by maintaining a Complaints and Disciplinary Tribunal and providing administrative and related services for the Tribunal
- by 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.

#### ***Enhancement of the professionalism of social workers***

- by maintaining a code of conduct to apply to Registered Social Workers and that will apply generally in the social work profession
- by promoting and encouraging high standards of practice and professional conduct among Registered Social Workers and the employers of social workers.

#### ***Promotion of the benefits of registration***

- by 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 by acknowledging the status of Registered Social Workers as qualified, competent and regulated professionals
- by reinforcing the place of Registered Social Workers as contributing members of multi-disciplinary teams working within many sectors.

#### ***Set standards for social work education and training***

- by ensuring that the delivery of social work qualifications in New Zealand adheres to the Social Workers Registration Board Programme Recognition Standards
- by maintaining and reviewing the Programme Recognition Standards for recognised social work education providers
- by reinforcing high standards of education in order that social workers achieve minimum competencies prior to engaging in professional practice.

## How will we assess performance?

Performance Measure	Target 2014/15	Actual 2014/2015	Target 2015/2016	Estimated Actual 2015/2016	Target 2016/2017
The percentage of Social Work Qualifications due for re-recognition that are assessed by panels prior to their expiry date will be no less than	100%	100%	100%	100%	100%
The percentage of completed applications for Registration that are assessed and presented to the Board for approval within 60 working days, will be no less than	100%	100%	100%	100%	100%
The percentage of applicants who report being satisfied with the Registration and APC renewal process will be no less than	90%	77%	90%	TBA*	90%*
The percentage of competence assessments that are completed within 20 working days will be no less than	100%	100%	100%	100%	100%
The percentage of competence re certification assessments that are completed within 20 working days will be no less than	100%	100%	100%	100%	100%
The percentage of applicants who report being satisfied with the Competence Assessments process will be no less than	90%	78%	90%	TBA*	90%*
The number of events that inform and promote the benefits of Registration to Social Workers, employers of Social Workers and the public, will be no less than	40	66	40	50	50
The percentage of people who report that they are satisfied with promotional material they receive will be no less than	90%	84%	90%	TBA%*	90%*
The percentage of formal complaints received and referred to the Complaints and Disciplinary Tribunal to be processed within 20 working days will be no less than	100%	100%	100%	100%	100%

**\* This is/will be evaluated via an annual survey**

## Forecast Revenue and Expenditure

Expenditure on the output for 2016/2017 will be funded by payments received by the Board from social workers who apply for registration, from Registered Social Workers who wish to maintain their registration and from Tertiary Education Organisations that require their social work qualifications to be recognised for the purposes of the Social Workers Registration Act 2003.

Output
Administration of the Social Workers Registration Board Registration Framework

Actual 2014/2015 \$'000		Budget 2016/2017 \$'000	Forecast 2015/2016 \$'000
1,571	Revenue	1,756	1,758
1,522	Expenditure	1,855	1,765

# PROSPECTIVE STATEMENT OF FINANCIAL PERFORMANCE

For the year ended 30 June 2017

Actual 2014/2015 \$		Budget 2016/2017 \$	Forecast 2015/2016 \$
	<b>INCOME</b>		
1,498,462	Application & registration fees	1,670,660	1,655,316
35,357	Programme recognition & other income	55,500	63,474
-	SWRB Conference	-	-
36,798	Interest	30,000	39,479
<b>1,570,617</b>	<b>Total Income</b>	<b>1,756,160</b>	<b>1,758,269</b>
	<b>EXPENDITURE</b>		
654,010	Employee related costs	865,500	812,689
112,557	Board costs	96,000	100,841
190,186	Costs of providing services	384,000	328,938
109,247	Depreciation & amortisation	96,000	115,425
5,469	Loss on disposal of property, plant & equipment	-	-
-	SWRB Conference	-	-
450,961	Administration and overhead costs	413,900	406,711
<b>1,522,430</b>	<b>Total Expenditure</b>	<b>1,855,400</b>	<b>1,764,604</b>
<b>\$ 48,187</b>	<b>Surplus/(Deficit)</b>	<b>\$ (99,240)</b>	<b>\$ (6,336)</b>

The accompanying notes and accounting policies form part of these financial statements.  
These statements have not been audited

## Prospective Statement of Movements in Equity

For the year ended 30 June 2017

Actual 2014/2015 \$		Budget 2016/2017 \$	Forecast 2015/2016 \$
581,682	Total Crown Equity at the start of the year.	623,534	629,869
48,187	Operating surplus/(Deficit) for the period	(99,240)	(6,336)
<b>\$ 629,869</b>	Total Crown Equity at the end of the year.	<b>\$ 524,294</b>	<b>\$ 623,534</b>

The accompanying notes and accounting policies form part of these financial statements.  
These statements have not been audited

## Prospective Statement of Financial Position

For the year ended 30 June 2017

Actual 2014/2015 \$		Budget 2016/2017 \$	Forecast 2015/2016 \$
	<b>CURRENT ASSETS</b>		
827,351	Cash and cash equivalents	352,210	405,526
7,220	Accounts receivable	7,400	6,310
500,000	Investments	950,000	1,000,000
23,246	Prepayments	12,025	8,825
<b>1,357,817</b>		<b>1,321,635</b>	<b>1,420,661</b>
	<b>NON CURRENT ASSETS</b>		
353,008	Property, Plant & Equipment	290,628	282,628
<b>1,710,825</b>	<b>TOTAL ASSETS</b>	<b>1,612,263</b>	<b>1,703,289</b>
	Less:		
	<b>CURRENT LIABILITIES</b>		
246,219	Accounts Payable & Accruals	221,214	213,724
61,431	Employee costs payable	35,000	35,000
743,999	Income received in advance	815,000	808,000
6,276	Deferred lease liability	6,276	6,276
<b>1,057,925</b>	<b>TOTAL LIABILITIES</b>	<b>1,077,490</b>	<b>1,063,000</b>
	<b>NON-CURRENT LIABILITIES</b>		
23,031	Deferred lease liability	10,479	16,755
<b>1,080,956</b>	<b>TOTAL LIABILITIES</b>	<b>1,087,969</b>	<b>1,079,755</b>
<b>\$ 629,869</b>	<b>NET ASSETS EMPLOYED</b>	<b>\$ 524,294</b>	<b>\$ 623,534</b>
	<b>CROWN EQUITY</b>		
581,628	Accumulated surplus	623,534	629,869
48,187	Current Year Surplus/(Deficit)	(99,240)	(6,336)
<b>\$ 629,869</b>	<b>TOTAL CROWN EQUITY</b>	<b>\$ 524,294</b>	<b>\$ 623,534</b>

The accompanying notes and accounting policies form part of these financial statements.  
These statements have not been audited

Prospective Statement of Cash Flows  
For the year ended 30 June 2017

Actual 2014/2015 \$		Budget 2016/2017 \$	Forecast 2015/2016 \$
	<b>Cash Flows from Operating Activities</b>		
1,671,741	Registration fees, levies & APC fees	1,677,660	1,719,317
34,930	Other revenue	55,500	63,897
30,005	Interest received	28,910	39,962
(626,510)	Payments to Suppliers	(895,886)	(860,840)
(661,263)	Payments to Employees	(865,500)	(839,120)
<b>448,903</b>	<b>Net Cash flows from Operating Activities</b>	<b>684</b>	<b>123,216</b>
	<b>Cash Flows from Investing Activities</b>		
(500,000)	Net movement in bank term deposits held	50,000	(500,000)
(213,013)	Purchase of property, plant & equipment	(104,000)	(45,041)
<b>713,013</b>	<b>Net Cash flows from Investing Activities</b>	<b>(54,000)</b>	<b>(545,041)</b>
	<b>Net Increase/(Decrease) in Cash or cash equivalents</b>		
<b>(264,110)</b>		<b>(53,316)</b>	<b>(421,825)</b>
1,091,461	Cash or cash equivalents at beginning of the year	405,526	827,351
<b>\$827,351</b>	Cash or cash equivalents at end of the year	<b>\$ 352,210</b>	<b>\$405,526</b>

The accompanying notes and accounting policies form part of these financial statements.  
These statements have not been audited

## Prospective Statement of Accounting Policies

For the year ended 30 June 2017

### **BASIS OF PREPARATION**

The Social Workers Registration Board has elected to apply PBE SFR-A (PS) Public Benefit Entity Simple Format Reporting - Accrual (Public Sector) on the basis that it does not have public accountability and has total annual expenses of equal to or less than \$2,000,000. All transactions in the Performance Report are reported using the accrual basis of accounting. The Performance Report is prepared under the assumption that the entity will continue to operate in the foreseeable future.

### **CHANGES IN ACCOUNTING POLICIES**

There have been no changes in accounting policies during the financial year.

### **FUNCTIONAL AND PRESENTATION CURRENCY**

The financial statements are presented in New Zealand dollars. Transactions not in New Zealand dollars are translated at the exchange rate at the date of the transaction, Monetary asset and liability balances are to be translated using the exchange rate at balance date.

### **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 when earned.

#### **Fees**

Revenue from Annual practicing certificate fees are recognised in the year to which the practicing certificate 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 measured at fair value.

#### **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 measured at cost.

**Property, plant and equipment**

Property, plant and equipment asset classes consist of leasehold improvements, furniture, office equipment, computer equipment and software which are shown at cost less any accumulated depreciation or amortisation 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, office and computer equipment is provided on a diminishing value basis at rates provided under the Income Tax Act 2007.

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

Leasehold improvements (16.7% SL)

Furniture and office equipment (18% - 60% DV)

Computer equipment (48% DV)

Developed computer software (20% SL)

Developed website (33% SL)

**Impairment of Property, plant and equipment**

If an asset's value to the Board in using the asset falls below the carrying amount of the asset it 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 cost.

**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.

**Income Tax**

The Board is wholly exempt from New Zealand income tax having fully complied with all statutory conditions for these exemptions.