

Funding Review Report to the Board 18 March 2021

Proposed fees and Disciplinary Levy for 2021/22 under the Social Workers Registration Board Act 2003

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SWRB at a glance

- Aotearoa's social worker regulator under the Social Workers Registration Act 2003
- Designated lead agency for social worker workforce planning
- Crown entity under the Crown Entities Act 2004
- Monitoring agency - Ministry of Social Development
- 7 Board members appointed by the Minister of Social Development – four must be registered social workers
- 29.7 FTEs, 33 people in 2020/21
- \$4.821 million 2020/21 reforecast revenue from fees, Disciplinary Levy & Crown funding (February 2021)

Glossary and definitions

Act	Social Workers Registration Act 2003 (as amended by the Social Workers Registration Legislation Act 2019)
club good	Activities funded by a group of individuals or organisations that as a <i>specific group</i> either primarily benefit from or primarily cause the need for (whether or not the activities are used by them)
Crown funding	General taxation provided to meet the cost of public goods – an <i>area of activity</i> that primarily has <i>public</i> benefits or addresses <i>public</i> risks This is where <i>use by one person</i> does not detract from the <i>use by another</i> and <i>excluding people</i> from the benefits or risks is <i>difficult, costly, or undesirable</i> Sometimes Crown funding only contributes to the aspects of the activity that are primarily public goods with the remainder cost-recovered from a levy as club goods
Disciplinary Levy	A levy authorised under section 108 SWR Act, which can be set and imposed by the Board (by a Notice in the Gazette) on every registered social worker for the <i>purpose of investigations and other proceedings concerning discipline</i> under the Act
DHBs	District Health Boards
fees	Charges imposed on a <i>specific individual or organisation</i> for a good, service or regulation provided <i>directly to that individual or organisation</i> Fee funded activities are private goods.
Fees & Disciplinary Levy Notice	The notice Gazetted by the Board under sections 108 or 109 of the Act for fees and the Disciplinary Levy
levy	Charges imposed on a <i>group of individuals or organisations</i> (e.g. an industry or practitioners) as a <i>proxy</i> for the group that <i>primarily</i> benefits from, or <i>primarily</i> causes the need for, the activities or functions While others may benefit from the activity or function, such as the general public, this is considered a spill-over or secondary benefit Levies fund activities that are called 'club goods' Levies are commonly used to meet the cost of operating a regulatory and compliance system that applies to an industry or sector
private good	An activity funded by a fee and provided <i>directly to an individual or organisation</i> where the individual or organisation <i>directly</i> benefits from, or <i>primarily</i> causes the need for, the activity
public good	Activities funded by general taxation that are provided for the wider benefit of, or risk to, the general public where <i>use by one person</i> does not detract from the <i>use by another</i> and <i>excluding people</i> from the benefits or risks is <i>difficult, costly, or undesirable</i>
SWRB	Social Workers Registration Board

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1 Purpose

This report sets out two options for changes to fees and the Disciplinary Levy for 2021/22 (Option 1: Shrink and Option 2: Improve), and seeks the Board's agreement to **Option 2: Improve**. Both options:

- do not include workforce planning Crown funding or expenses
- [REDACTED]
- retain staff as set out in the 2020 restructure.

2 Overview

2.1 Implementation programme ends – we need to change

For the past two years we have focused the move from manual to digital, and developing policy and processes for mandatory registration.

With the implementation programme ending, and reduced Crown funding, SWRB's resources need to change to meet priorities.

For 2021/22, we move away from fixed term employees and contractors, and resources for high levels of registration, IT, process changes, and towards permanent roles and resources for:

- our two new platforms of activity - Māori development and strengthening social worker professionalism
- business operations to maintain digital infrastructure, e.g. IMIS database, use of improved and higher levels of data to inform our activities, added processes, and higher quality and timely activities.

Without new fees, and fees and the Disciplinary Levy increasing, revenue for 2021/22 is \$3.506 million. At that level SWRB:

- would struggle to meaningfully contribute to the Board's priorities and Government's expectations for social workers
- could not deliver our two new platforms of activity
- service delivery and engagement with the sector would decline.

Our costs are \$4.499 million, even after shrinking resources to meet priorities at a slow pace, and \$5.326 million to improve that position.

This presents a tough decision for the Board as under the two options presented – shrink or improve:

- both require priorities to take longer than the next 2 years
- both require the Crown funding **shortfall of \$205,000** for Crown entity obligations to be covered by the Practising Certificate fee
- to cost recover activities, both require new fees, increases in fees, and an increase in the Disciplinary Levy
- the only difference is adjusting resources to increase the Practising Certificate and Experience Pathway fees, or not.

If the Practising Certificate fee had been inflation adjusted since 2005 it would be **\$477** with revenue of \$3.444 million. This is **\$788,417 higher** than current revenue of \$2.656 million. If the Disciplinary Levy had remained at \$90 and inflation adjusted since 2005 it would be **\$122**.

Option 2: Improve is preferred as it allows SWRB to progress Māori development and strengthening social worker professionalism. However, increasing the Practising Certificate fee from May 2021 is after employers' budget setting for 2021/22, which would likely cause issues. For SWRB to continue to improve under Option 2, the Board could delay the Practising Certificate fees increase to 2022/23 by using **\$771,000** of the **\$1.008 million reserves** (see section 8.6 Reserves Policy). The sector could then be informed of the 2022/23 increase later this year.

2.2 Our fees and levy are lower than comparable regulators

Compared to...	<ul style="list-style-type: none"> Dental hygienists: Dental Council Physiotherapists: Physiotherapy Board 	<ul style="list-style-type: none"> Pharmacist (non-prescribers): Pharmacy Council Occupational therapists: Occupational Therapy Board
SWRB's Practising Certificate fee is: <ul style="list-style-type: none"> \$120 less than the lowest comparison regulator - occupational therapists \$667 less than the highest - dental hygienists 		Against those regulators with similar levels of disciplinary proceedings, SWRB's Disciplinary Levy is: <ul style="list-style-type: none"> \$43 less than the lowest comparison regulator - pharmacist (non-prescribers) \$85 less than the highest - physiotherapists

2.3 Two options: Shrink or Improve - indicative revenue & expenses

Excludes workforce planning ██████████	2018/19 \$M Actual	2019/2020 \$M Actual	2020/21 \$M Reforecast Feb 2021	2021/22 \$M Option 1: Shrink* Indicative March 2021	2021/22 \$M Option 2: Improve* Indicative March 2021
Revenue (fees, Disciplinary Levy, Crown funding, interest & sundry)	2.365	4.251	4.821	4.508 (\$867,000 less than Option 2: Improve)	5.375 (\$752,00 from the Practising Certificate fee increase)
Expenses (including FTE salaries)	2.464	3.637	4.756	4.499 (\$827,000 less than Option 2: Improve)	5.326 (includes adding 3.5 FTEs, plus coms & stakeholder engagement budget for Māori development & strengthening social worker professionalism, and organisational & Board costs)
Revenue less expenses	(0.099)	0.614	0.065	0.006	0.049
Reserves	0.480	0.500	1.008 (no implementation funding left)	1.008 (no implementation funding left)	1.008 (no implementation funding left)

2.3.1 Option 1: Shrink

Option 1: Shrink (Note '% WP' is the percentage of funding from workforce planning Crown funding)

- **New fees**, and **increased fees** and **Disciplinary Levy** to address cost under-recovery based on 2020 restructure FTEs and resources
- **No** Practising Certificate or Experience Pathway fees increase, **but no added resources**, including for Māori development & strengthening social worker professionalism
- **No increase** in **Experience Pathway fees**, but the **Practising Certificate fee** cross-subsidy continues

Funding \$4.508 m (\$312,000 less than current funding)	Increase (GST inclusive) Disciplinary Levy (annual) \$50 to \$135 Registration fee \$345 to \$360 Overseas qualification assessment application fee \$300 to \$540 Competence assessment application fee \$255.55 to \$260 (reduces confusion with fee) Certificate copies \$46 to \$70 New (GST inclusive) Practising Certificate (unpaid volunteers) (annual) \$268 (reduced from \$368) Registration application fee (overseas applicant) \$345 Overseas applicant competence assessment application fee (Full) \$345 Overseas applicant competence assessment application fee (Provisional) \$345 Practising certificate late non-declaration processing fee \$140 Return to practise application fee \$345 Provisional to full registration application fee \$60	
Resource	Retains 2020 restructure FTE positions Adds \$80,00 budget for coms & stakeholder engagement \$30,000 budget for Māori development Proposed fees increase for Disciplinary Tribunal (proposed): Chair \$540 to \$1,080 and members \$380 to \$688 (Cabinet Fees Framework – Minister considering) Fees increase \$80 to \$120 p/h for PCC members, and competence, overseas qualifications & experience pathway assessors CPI adjustment & KiwiSaver contribution added to staff salaries Rent increase	No increase In FTEs above the 2020 restructure In Board member fees In reserves (But a Budget 2022 bid for the Crown entity obligations shortfall of \$205,000, if approved, could be added to reserves) Not pay Education panel chair fee Reference and advisory group members fee Reduced Staff & Board training budgets Travel budget (no international travel) Consultancy budget for business analyst/process mapping, ██████████ ██████████ project management, information management

Option 1: Shrink – FTEs (Note ‘% WP’ is the percentage of funding from workforce planning Crown funding)

Chief Executive Permanent 1.0 FTE (20% WP)

Regulatory & Compliance Registrar Permanent 1.0 FTE	Registration & Complaints Manager Permanent 1.0 FTE (was Registrations Team Leader and Compliance & Complaints Team Leader funding – efficiency gain)	Registration Officer Permanent 3.0 FTE (<i>reduced volume & efficiency gain</i> - was 5.0 FTEs)	
		Complaints Assessor Permanent 1.0 FTE	
Māori Development Chief Advisor Māori Development Permanent 1.0 FTE (30% WP)	Advisor Māori Permanent 1.0 FTE		
Sector Support & Engagement Chief Advisor Social Work Permanent 1.0 FTE (20% WP)	Senior Advisor Social Work Permanent 1.0 FTE		
	Senior Advisor Social Work Practice Māori Permanent 1.0 FTE		
	Advisor Social Work Pacific Peoples Permanent 1.0 FTE (was OT funding)		
	Communications & Stakeholder Engagement Manager Permanent 1.0 FTE (20% WP)	Communications & Stakeholder Engagement Coordinator Fixed Term 1.0 FTE	
Policy & Workforce Planning Manager Policy & Workforce Planning Permanent 1.0 FTE (40% WP)	Workforce Planner Permanent 1.0 FTE (100% WP)		
	Research & Data Analyst Permanent 1.0 FTE (100% WP)		
	Team Leader, Policy Permanent 0.8 FTE	Senior Advisor Operational Policy Permanent 0.8 FTE (was Fixed Term implementation funding)	
		Policy Advisor Permanent 1.0 FTE	
Strategy, Planning & Performance	Chief Advisor Strategy, Planning & Performance Permanent 1.0 FTE (80% of \$114,000 Crown entity obligations Crown funding)		
Business Support Manager Business Operations Permanent 1.0 FTE (20% WP)	Senior Finance Advisor Permanent 1.0 FTE (10% WP)	Finance Advisor Permanent 1.0 FTE (10% WP)	
	Senior Legal Advisor Permanent 1.0 FTE	Legal Advisor (PCCs) Permanent 0.5 FTE	
	Digital Support Officer Permanent 1.0 FTE (10% WP)		
	Business Support Coordinator Permanent 1.0 FTE (was Office Admin funding)		
	Executives Manager / Board Secretariat Permanent 1.0 FTE	Regulatory Administrator Permanent 1.0 FTE (was Regulatory Team Admin funding)	
		Team Administrator (MD, P&WP, SS & E) Permanent 1.0 FTE (15% WP)	
Senior Leadership Team Coordinator Permanent 1.0 FTE (10% WP)			

2.3.2 Option 2: Improve

Option 2: Improve Minimum viable to meet our priorities, but over the medium-term

- **New fees**, and **increased fees** and **Disciplinary Levy** to address cost under-recovery for activities
- **Increased Practising Certificate fee** to cost-recover **added resources**, including for Māori development & strengthening social worker professionalism
- **Increased Experience Pathway fees** cost recover this activity

<p>Revenue</p> <p>\$5.375 m (\$867,000 higher than Option 1: Shrink)</p>	<p>The above and the following changes...</p> <p>Increase (GST inclusive)</p> <p>Practising Certificate fee (annual)</p> <p>Experience pathway: Stage 1 assessment application fee</p> <p>Experience pathway: Stage 2 assessment application fee</p> <p>Competence assessment application fee</p> <p>Competence assessment (face to face)</p> <p>New (GST inclusive)</p> <p>Practising Certificate (unpaid volunteers)</p>	<p>\$368 to \$470 (new graduate \$370)</p> <p>\$276 to \$460</p> <p>\$1,400 to \$3,588</p> <p>\$255.55 to \$540</p> <p>\$3,102.70 to \$3,330 with reasonable costs of travel, accommodation, and meals additional</p> <p>\$370 (reduced from \$470)</p>
<p>Resource</p>	<p>The above and the following changes...</p> <p>Adds</p> <p>3.5 FTE (5 people) above 2020 restructure</p> <p>\$133,000 budget for coms & stakeholder engagement (rather than \$80,000)</p> <p>\$59,000 budget for Māori development (rather than \$59,000)</p> <p>Proposed 10% increase in Board member fees</p> <p>Slightly higher travel budget (Aotearoa)</p> <p>Retains</p> <p>Education panel chair fee</p> <p>Reference and advisory group fees</p> <p>Staff & Board training budgets</p> <p>Consultancy budget for business analyst/process mapping, [REDACTED]</p> <p>[REDACTED] project management, information management</p>	<p>No increase</p> <p>In reserves [REDACTED]</p>

Option 2: Improve – FTEs

Chief Executive Permanent 1.0 FTE (20% WP)

Regulatory & Compliance Registrar Permanent 1.0 FTE

Registration & Complaints Manager Permanent 1.0 FTE
(was Registrations Team Leader and Compliance & Complaints Team Leader funding – **efficiency gain**)

Registration Officer Permanent 3.0 FTE (*reduced volume & efficiency gain* - was 5.0 FTEs)

NEW Registration Officer Fixed Term 1.0 FTE (was OT funding)

Complaints Assessor Permanent 1.0 FTE

Māori Development Chief Advisor Māori Development Permanent 1.0 FTE (30% WP)

NEW Senior Advisor Māori Permanent 1.0 FTE

Advisor Māori Permanent 1.0 FTE

Sector Support & Engagement Chief Advisor Social Work Permanent 1.0 FTE (20% WP)

Senior Advisor Social Work Permanent 1.0 FTE

Senior Advisor Social Work Practice Māori Permanent 1.0 FTE

Advisor Social Work Pacific Peoples Permanent 1.0 FTE (was OT funding)

NEW Advisor Social Worker Fixed Term 0.5 FTE

Communications & Stakeholder Engagement Manager Permanent 1.0 FTE (20% WP)

Communications & Stakeholder Engagement Coordinator Fixed Term 1.0 FTE

Policy & Workforce Planning Manager Policy & Workforce Planning Permanent 1.0 FTE (40% WP)

Workforce Planner Permanent 1.0 FTE (100% workforce planning)

Research & Data Analyst Permanent 1.0 FTE (100% workforce planning)

Team Leader, Policy Permanent 0.8 FTE

Senior Advisor Operational Policy Permanent 0.8 FTE (was Fixed Term implementation funding)

Policy Advisor Permanent 1.0 FTE

Strategy, Planning & Performance

Chief Advisor Strategy, Planning & Performance Permanent 1.0 FTE (80% of \$114,000 Crown entity obligations Crown funding)

Business Support Manager Business Operations Permanent 1.0 FTE (20% WP)

Senior Finance Advisor Permanent 1.0 FTE (10% WP)

Finance Advisor Permanent 1.0 FTE (10% WP)

Senior Legal Advisor Permanent 1.0 FTE

Digital Support Officer Permanent 1.0 FTE (10% WP)

INCREASED Legal Advisor (PCCs) Permanent 1.0 FTE (moves 0.5 role to 1.0 role)

Business Support Coordinator Permanent 1.0 FTE (was Office Admin funding)

NEW Advisor HR Permanent 0.5 FTE

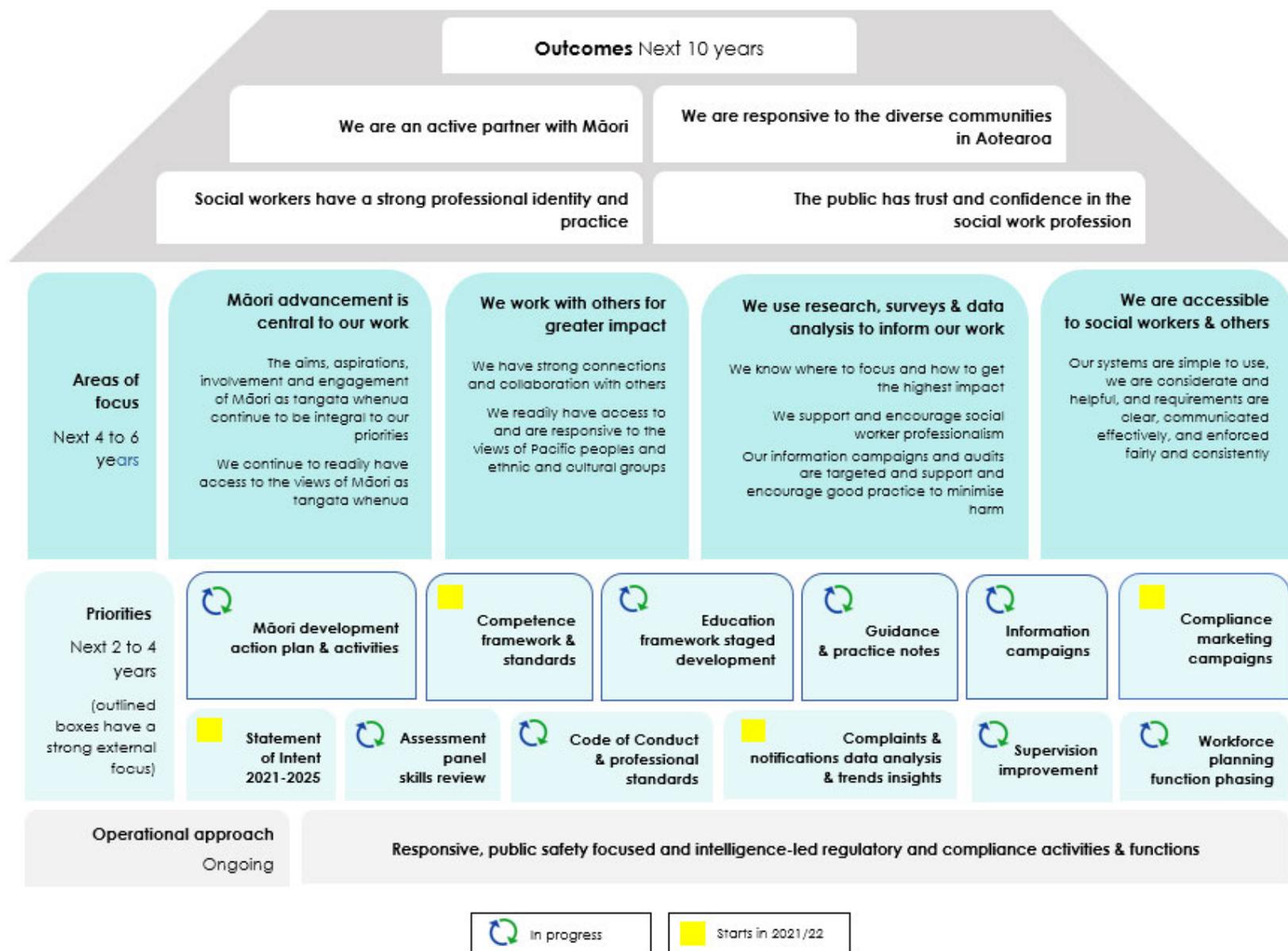
Executives Manager / Board Secretariat Permanent 1.0 FTE

Regulatory Administrator Permanent 1.0 FTE (was Regulatory Team Admin funding)

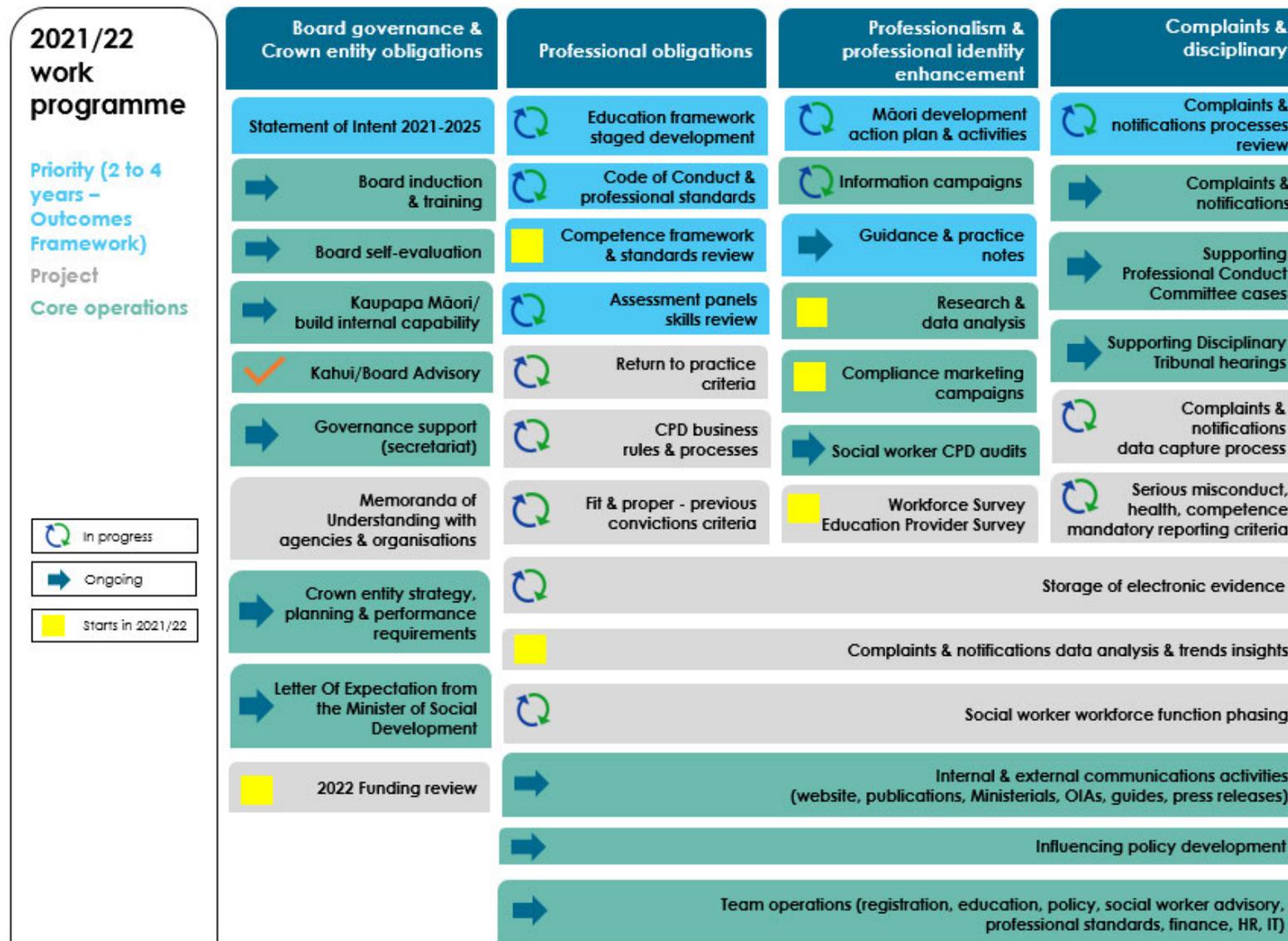
Team Administrator (MD, P&WP, SS & E) Permanent 1.0 FTE (15% WP)

Senior Leadership Team Coordinator Permanent 1.0 FTE (10% WP)

2.1 Proposed 2021/22 priorities for the next 2 to 4 years



2.1 Proposed draft 2021/22 work programme



3 Recommendations

We recommend that the Board:

- a) **note** the funding review excludes workforce planning Crown funding and expenses, [REDACTED]
- b) **note** the funding review does not provide a forecast budget for revenue and expenses, but indicative revenue and expenses assessed to set fees and the Disciplinary Levy by 1 April 2021, which is 4-months before the end of the financial year.
- c) **note** SWRB's budget for 2021/22 will be finalised once the 2020/21 financial year ends on 30 June 2021.
- d) **note** forecast **reserves** by 30 June 2021 is **\$1.008 million**. This was not reassessed as the Board is reviewing the reserves policy for 2021/22. Reserves do not increase under Option 1: Shrink or Option 2: Improve. Due to SWRB's increased size and revenue since 2019 (when reserves were first established), more specificity is needed rather than the general policy of 3-months' operating costs, which is often too high where the Crown entity's revenue increases (see section 8.6 Reserves policy).
- e) **note** if the Practising Certificate fee had been inflation adjusted since 2005 it would now be **\$477** with revenue of \$3.444 million based on 8,300 practising certificates. This is **\$788,417** higher than the current revenue of \$2.656 million at the current fee of \$368. If the Disciplinary Levy had remained at \$90 and inflation adjusted since 2005 it would be **\$122**.
- f) **note** to cost recover SWRB's current activities and functions and those proposed under Option 2: Improve requires:
 - New fees to be added to cost recover additional processes
 - The Practising Certificate fee increasing from \$368 to **\$470** (\$7 lower than if inflation adjusted since 2005), and for new graduates \$268 to **\$370**, and a new reduced Practising Certificate (unpaid volunteers) fee of **\$370**
 - The Disciplinary Levy increasing from \$50 to \$135
 - All other fees increasing.
- g) **note** we estimate that employers pay the Practising Certificate fee and Disciplinary Levy for at least 50% of social workers
- h) **note** the funding review assessment for Option 2: Improve is:
 - indicative revenue of \$5.375 million, based on new, increased fees, and an increased Disciplinary Levy
 - indicative expenses of \$5.326 million, based on higher operating expenses and increases of:
 - 3.5 FTEs and budget for communications & stakeholder engagement for Māori development and Strengthening social worker professionalism
 - proposed increase in fees of 10% in Board members and Disciplinary Tribunal (Chair \$540 to \$10,80 and members \$380 to \$688) and from \$80 to \$120 per hour for PCC members, and competence, overseas qualifications, and experience pathway assessors
- i) **agree** to Option 2: Improve and a Fees and Disciplinary Levy Notice being Gazetted on 1 April 2021 either:
 - as set out in section 9.3 of the report, OR
 - not increasing the Practising Certificate fee for 2021/22 by using **\$771,000** of the **\$1.008 million reserves** to cover the shortfall and inform the sector about the Practising Certificate fees increase for 2022/23 later this year.

4 Context

4.1 We are better at what we do

SWRB has met the challenge of managing the operational change programme, including building the base infrastructure to support the organisation be more efficient and effective. We have also improved timeliness and the user experience for transactions, and the range and quality of communications and engagement with social workers, as set out in the Annual Report and Briefing to the Incoming Minister.

4.2 Our revenue was lower than we needed

Meeting our revenue budget in 2020/21 was hindered by:

Insufficient Crown funding	Insufficient Crown funding for the implementation programme [REDACTED] e.g. for 2020/21, it only funded the database and information campaign. Crown entity obligations cost around \$319,000 to deliver, but we only received \$111,000 Crown funding, [REDACTED]
High numbers of fixed term staff and contractors	There were high numbers of fixed term employees for the implementation programme, who cost more than permanent staff, and there were no HR staff to recruit and manage. Short-term expert consultancy and contractor advice was required for capability SWRB has not historically had, e.g. project management, IT, HR advice and recruitment, and strategy, planning, and performance reporting for Crown entity obligations.
COVID-19 impact on cashflow	In Alert Level 4 lockdown fee income reduced by 20%. This was largely recouped from Alert Level 3 by an increase in registration applications and certification renewal.
Volume forecasts for revenue were made in an environment of high uncertainty	Where the temporary increase in registrations had to be estimated without actual knowledge of the number of unregistered social workers, particularly in the NGO sector where there are over 900 organisations. COVID-19 conditions also impacted the timing of registrations where we are likely to reach 2,300 of the 2,500 forecast by the end of 2020/21, with a longer tail of registrations occurring through 2021/22 .
Employers not paying fees & Disciplinary Levy for social workers they employ	Some employers (particularly NGOs) do not pay registration, Practising Certificate fees, or the Disciplinary Levy, for their social workers, which is an inequality and a financial barrier to social workers becoming registered

4.3 What we do, and need to do, costs more

For 2021/22, **what we do** (including the improved base infrastructure), and **what we need to do, costs more** because:

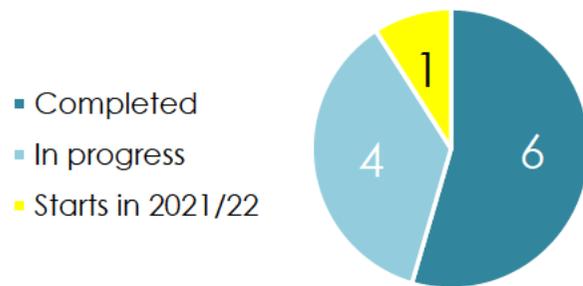
We rely more on digital	Digital data & information, and IT for delivery for our online applications and business activities, needs to be maintained (e.g. software licenses, and data collection, use, storage, retrieval, and disposal).
We have new business and finance systems	We need FTEs and resources for work we did not do in 2019.
Crown funding ends on 30 June 2021 for communications & stakeholder engagement	SWRB has historically not had roles for these activities. Significant work is needed to inform the sector about the newly released Scope of Practice, and given the scope's general nature, its impact on social workers applying for a Practising Certificate.
Crown funding ends on 30 June 2021 for implementation overheads	Overheads funding has reduced, but needs to be retained for FTEs delivering our higher quality and wider range of activities and functions. We have gone from 15 people in 2018/19 to 33 people in 2020/21, with a proposed 37 people in 2021/22 to meet our Outcomes Framework priorities over the next 2 to 4 years.
MSD's 'rent-free' period ended	MSD's 'rent-free' period for SWRB ended in 2020/21.
To complete remaining priorities for the next 2-years already set under our Outcomes Framework in 2019	We need FTEs, resources, and a budget for external providers of content and collateral, which we did not have in 2019, e.g. policy & operational policy development, and communications & stakeholder engagement.
Two new platforms of activity to meet the Board's new priorities	We need FTEs, resources, and a budget for external providers of content and collateral, which we did not have in 2019 to deliver Māori development and strengthening social worker professionalism .
New complaints & notifications processes	We need FTEs and resources for the improved timeliness and rigour, which we did not do or have in 2019.
Changes in PCC cases & Tribunal hearings	Volume has increased. A fee increase is needed (including under the Cabinet Fees Framework) for members of the Board, Disciplinary Tribunal, PCCs, competence assessor panel, and assessors of overseas qualifications and experience pathway.
Staff salary changes	CPI salary increases and the KiwiSaver employer contribution is to be added to base salaries.

5 What we did in 2020/21

We completed over half of the Outcomes Framework priorities for the next 2 years and nearly two-thirds of the 2020/21 work programme. We also completed 30 projects of the 38 added to the work programme.

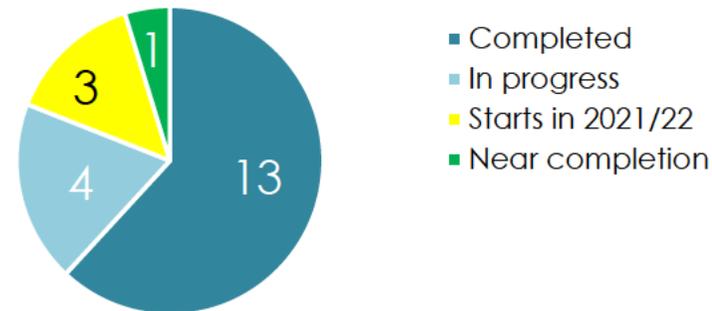
Outcomes framework 2- year priorities and projects completed

11 priorities set in February 2020 for the next 2 years. Over half (6) were completed, 4 are in progress and one starts in 2021/22.



2020/21 Work Programme

21 items outside of core operations (11 priorities over 2 years and 10 projects planned for 2020/21). Nearly two-thirds (13) were completed, one is near completion, 4 are in progress and 3 start in 2021/22.



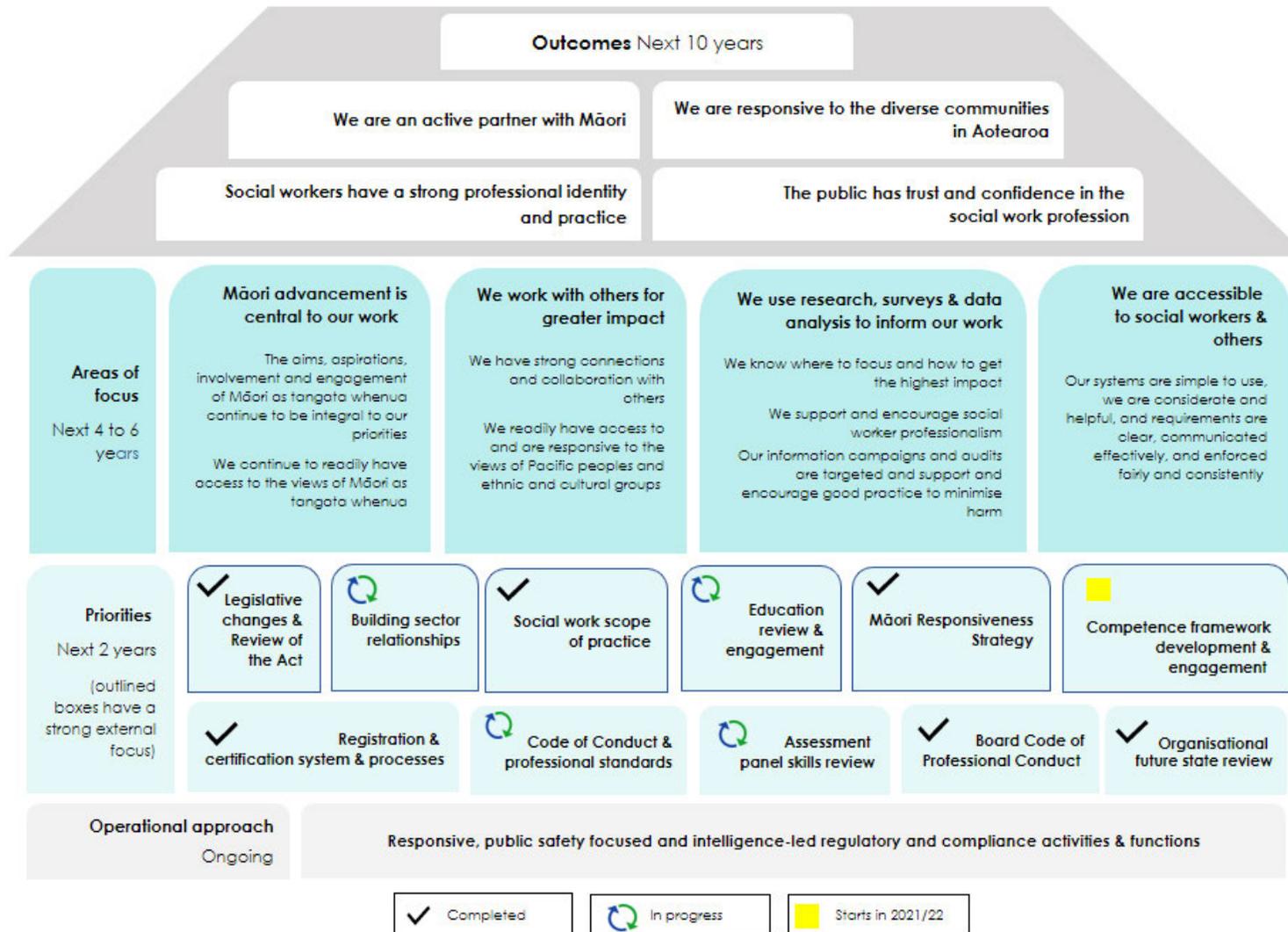
2020/21 additional projects

38 projects in addition to the work programme (12 for the implementation programme and 26 added during the year). Most (30) were completed and 8 are in progress.



5.1 Outcomes Framework: what we achieved in 2020/21

11 priorities 'next 2 years' set in February 2020. Over half (6) were completed, 4 are in progress and one starts in 2021/22. After discussions with the Chief Advisor Māori Development, areas of focus next 4 to 6 years "Active partner with Māori" has been renamed "Māori advancement is central to our work".



5.2 Work Programme: what we achieved in 2020/21

21 items outside of core operations (11 priorities over 2 years and 10 projects planned for 2020/21). Nearly two-third (13) have been completed, one is near completion, 4 are in progress and 3 start in 2021/22.

2020/21 work programme	Board governance & Crown entity obligations	Professional obligations	Professionalism & professional identity enhancement	Complaints & disciplinary
	<p>Priority (2 years – Outcomes Framework)</p> <p>Project</p> <p>Core operations</p>	<p>✓ Board Code of Professional Conduct</p> <p>➔ Board induction plan & training</p> <p>➔ Board self-evaluation</p> <p>➔ Kaupapa Māori/build internal capability</p> <p>✓ Kahui/Board Advisory</p> <p>➔ Governance support (secretariat)</p> <p>➔ Memoranda of Understanding with OT & other agencies & organisations</p> <p>✓ Crown entity strategy, planning & performance requirements (except SOI)</p> <p>➔ Memoranda of Understanding with the Minister of Social Development</p> <p>✓ 2021 Funding review</p>	<p>✓ Register database/system upgrade</p> <p>✓ Register processes</p> <p>✓ Scope of Practice</p> <p>➔ Education framework review</p> <p>■ Education working group/committee</p> <p>■ Competence framework review</p> <p>■ Programme recognition standards review</p> <p>➔ Assessment panels skills review</p> <p>✓</p> <p>➔</p> <p>➔</p> <p>➔</p> <p>➔</p>	<p>✓ Māori development strategy</p> <p>✓ Mandatory registration information campaign</p> <p>✓ Communications & engagement strategy</p> <p>■ Research & data analysis</p> <p>■ Compliance marketing campaigns</p> <p>✓ Randomly selected social worker CPD audits</p> <p>✓ Workforce Survey Education Provider Survey</p> <p>✓</p> <p>➔</p> <p>➔</p> <p>➔</p> <p>➔</p>

- ✓ Completed
- ✓ Near completion
- ➔ In progress
- ➔ Ongoing
- Starts in 2021/22

5.3 Additional projects: what we achieved in 2020/21

38 projects done in addition to the work programme (12 for the implementation programme; 26 added during the year). Most (30) were completed and 8 are in progress.

2020/21 additional projects	Operational policy & process changes	Business changes	HR changes	Strategy & reporting changes
<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> Completed </div> <div style="border: 1px solid black; padding: 5px;"> In progress </div>	<p>Implementation change programme</p> <ul style="list-style-type: none"> Online registration business rules & processes Practising certificate application, invoicing, payments & bad debts recovery processes Experience pathway policy, & applications & assessment processes Experience pathway assessor panel vetting & contracts processes Fit & proper - previous convictions criteria Serious misconduct, health, competence mandatory reporting criteria Supervision improvement planning Policy status register & templates CPD business rules & processes Practising students registration pathway criteria & processes Return to practice criteria Use of names on register Input into MSD's regional social worker capability building programme 	<ul style="list-style-type: none"> New Register processes New financial model processes Information management framework development New business information system Xero for finance & business management Approval Max financial management system & processes Storage of electronic evidence Complaints & notifications data capture process Oranga Tamariki staff practising certificate fees negotiated to be paid directly to SWRB Budget bid invitation through MSD 	<ul style="list-style-type: none"> Remuneration policy and guidelines Staff performance management system Leave & payroll system Team management profiles Staff training processes Cost of additional 2.0 FTE Registration positions for 1 year negotiated to be met by Oranga Tamariki Restructure & other 11.0 FTE new permanent positions recruited Māori staff kaitiakitanga sessions 	<ul style="list-style-type: none"> Statement of Performance Expectations upgrade Annual Report upgrade Briefing to Incoming Minister Whakatauki (proverb) development Vision refresh Values refresh Treaty Statement development

5.4 Our new vision

In February 2021, the Board developed a **new draft vision** to guide our activities and functions – once finalised the vision will be added below.

Aotearoa's social worker regulator			
Our whakataukī (proverb) is ...			
He ara pūkenga, he ara tauwhiro, hei whakamana mātā waka The many pathways to knowledge, the many pathways of social work, upholding the dignity of all			
Our purpose is to...			
Legislative mandate			Designated lead agency
Protect the safety of members of the public	Enhance social worker professionalism	Promote the benefits of registration	Social worker workforce planning
Competent - <i>Qualified, experienced, knowledgeable, skilled and maintain CPD and supervision</i>	Safe to practise - <i>Fitness to practise - communication effectiveness, character/reputation, health (mental/physical), convictions</i>	Accountable - <i>Held to account if not meeting conduct, competence, or health standards</i>	When & where social workers are needed most - <i>Data, information, and insights for others to use in workforce planning</i>
Our draft vision is "Social workers in Aotearoa are accountable, recognised and valued" with draft key audiences being...			
Social workers	Iwi	Employers	Minister & Ministry
Our four outcomes , which support our vision are...			
Active partner with Māori	We are responsive to Aotearoa's diverse communities	Social workers have a strong professional identity and practice	There is public trust and confidence in the social worker profession
...which we seek to achieve through our three core roles ...			
Regulatory	Registration, certification, scope of practice, conduct & competence standards, education programme recognition, complaints & notifications, and policy advice to Government		
Compliance	Support, encourage, and require compliance, and support Professional Conduct Committees and the Disciplinary Tribunal		
Workforce planning	Collect and analyse workforce data and information, and develop insights, for others to use in workforce planning		

5.5 Our ngā uara (values)

5.5.1 He horopaki (context)

Our current values have inspired new thinking in terms of how we describe our behaviours and the way in which we express ourselves as a regulator of the social worker profession. Within an ever-changing environment (including the COVID pandemic), SWRB continues to evolve, learn, and shape itself to the current social and cultural landscape of Aotearoa.

As a regulator, we continue to evolve as circumstances and society require, and what we will look like as a Treaty-led, values-based organisation. This provided an opportunity to revisit our values, in a way that recognises the work of those who laid the path, our current journey to mandatory and our future goal of becoming a modern regulator.

Our ngā uara was shared with Māori experts within the regulatory space. Their feedback was very positive, although they emphasised the challenge of embedding the accountability of these values into the organisation, with staff, their teams and collectively as SWRB. We also need to bring the ngā uara into our regulator activities and functions to earn value and respect.

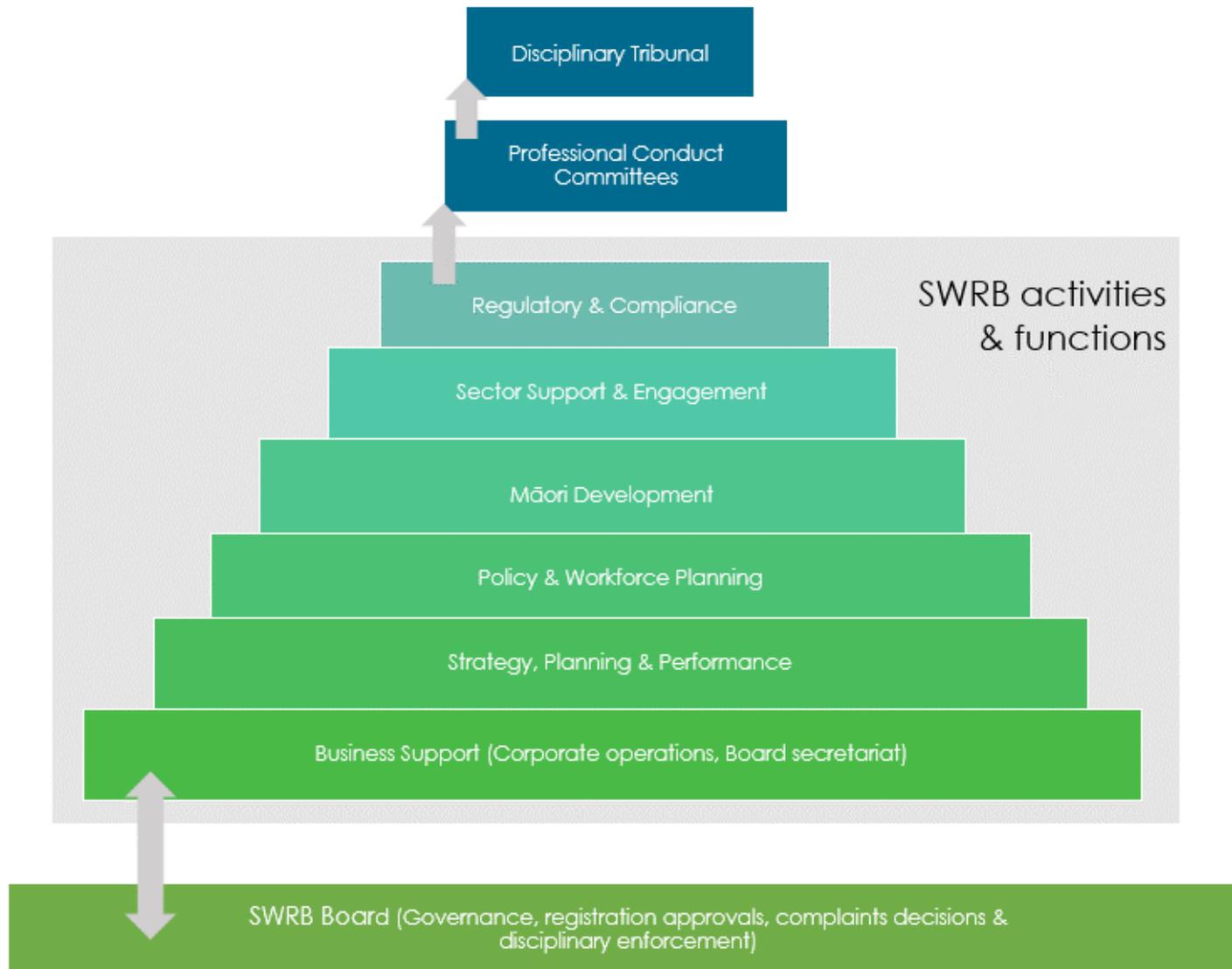
Giving life to the ngā uara in a way that inspires staff, is inclusive of all, and influences our regulator activities and functions, requires additional effort and resource.

5.5.2 New ngā uara

Matatika	To do what is right and just, ethical, fair, equitable, honest, unbiased, impartial, moral, trustworthy
Manaaki	To look after the dignity of others, to support, to tend to, take care of, protect, look out for, show respect, generosity, and kindness towards others
Mahitahi	To work together as one, collaborate, cooperate, co-design, connect, interact, reciprocate, discuss, debate, work in unity with teamwork and synergy
Māia	To be bold, brave, capable, confident, courageous, and have endurance, strength, resilience

5.6 Our new functional areas

As part of the restructure in September 2020 we reviewed the functional areas to achieve our new business-as-usual.



5.7 Our new functional areas in detail

Appropriation Output: Administration of the social worker registration regulatory framework

Delivered by SWRB's functional areas with the funding sources below



6 What's next?

6.1 Overall picture for 2021/22

With some 'clear air' ahead due to the implementation programme ending, we plan to focus more on our long-term outcomes.

We are an active partner with Māori

We are responsive to Aotearoa's diverse communities

Social workers have a strong professional identity and practice

The public has trust and confidence in the social work profession

6.2 Proposed priorities for the next 2 to 4 years

The proposed priorities for the next 2 to 4 years are based on the long-term outcomes. As these activities are funded by the Practising Certificate fee and any increase impacts social workers, to avoid a significant increase the priorities will take longer to complete.

Proposed priorities for the next 2-4 years	
Priorities started in 2020/21 or starting in 2021/22 To be completed 2021/22 or by 2023/24 - [REDACTED]	Our two new platforms of activity To be developed & embedded over 2-4 years, [REDACTED]
<ul style="list-style-type: none">▪ Update our Statement of Intent 2017–2021 (was to be updated in 2020, but the Minister agreed to this being done after the transition period under the Act ended)▪ Reviewing competence standards▪ Education framework staged development to improve consistency and quality of social work degrees. Includes working with Te Pūkenga (NZ Institute of Skills and Technology), which has signalled social work as a priority area▪ Update the Code of Conduct & professional standards▪ Assessment panel skills review	<ul style="list-style-type: none">▪ Māori development: Develop and embed our Māori development strategy, action plan, and activities now that we have strengthened our ability to deliver in this area▪ Strengthening social worker professionalism: Use of a wider range of modern regulator tools, such as guidance & practice notes, information & compliance marketing campaigns, assisted compliance, analysing trends in complaints & notifications for insights <p>The new activities are likely to take up to 5 years to embed and operationalise, which has been the experience of other Aotearoa regulators making this move</p>

7 Funding review process and scope

The fees and Disciplinary Levy are set by the Board and imposed by a Gazette Notice under sections 108 and 109 of the Social workers Registration Act 2003. The current Fees and Disciplinary Levy Notice 2020 is ongoing unless changed by the Board. See Appendix 1 Sections & setting charges in the public sector.

As part of good regulatory practice, and to ensure appropriate funding for volume changes, priority areas of work, and cost pressures, we reviewed the fees and Disciplinary Levy applying the Office of the Auditor-General (OAG) and Treasury guidelines on setting charges in the public sector. See Appendix 2 Assessment applying the OAG and Treasury guidelines.

In scope for the review

Fees funded transactions/activities, e.g. registration, education programme recognition.

Practising Certificate fee funded functions, e.g. Māori development, policy and operational policy development, CPD audits, professional standards & other advice, business operations.

Disciplinary Levy funded functions, e.g. complaints & notifications, Professional Conduct Committees and Disciplinary Tribunal administrative support, operations, and members' fees.

Crown funding for Crown entity reporting, ministerials, OIAs, Parliamentary and select committee questions [REDACTED]

Out of scope for the review

Reserves are not reassessed as the Board is reviewing the reserves policy for 2021/22 onwards. SWRB reserves were established in 2019. Forecast reserves by 30 June 2021 is **\$1.008 million**.

Mediation and conciliation for complaints is not included as the new function needs \$300,000-\$400,000 per year for FTEs, mediation specialists, communications & collateral, website & database changes, and overheads. [REDACTED]

Workforce planning function is funded by a current Crown appropriation. [REDACTED]

Changes to SWRB's education function as MSD's review of the Act is unlikely to be completed by March 2021. Changes may result in Crown funding and increases in education provider programme recognition fees.

8 Factors considered in options developed

8.1 Insufficient Crown funding for Crown entity obligations

As a Crown entity under the Crown entities Act 2004, we are required to do activities, which health practitioner regulators do not have, e.g. Nursing Council and Physiotherapy Board. This includes a Statement of Intent, annual Statement of Performance Expectations, annual Letter of Expectation with the Minister, appearing at Parliamentary Committees, responding to OIAs, & ministerials, and meeting performance monitoring & reporting requirements. The 2020/21 **\$111,000** Crown appropriation was insufficient, so the Practising Certificate fee cross-subsidises these activities

Crown funding 2021/22	Amount	Problem
Required	\$319,000	Estimated cost
Appropriation	\$114,000	\$3,000 increase is insufficient

8.2 Most fees & the Disciplinary Levy have reduced since 2005

Most fees and the Disciplinary Levy have reduced since 2005 (except for the GST increase to 15% in October 2010). Here is the position for our main revenue sources. The decreases from the fees in red below also contribute to the revenue gap.

Year (including GST)	Practising Certificate Fee	Disciplinary Levy	Registration fee (Aotearoa applicant)	Registration fee (overseas applicant)
2005 -2008	\$360	\$90	\$450	\$540
2009	\$360	\$90	\$360	\$360
2010 Jul -Sep	\$360	\$0	\$360	\$360
2010 Oct – Jun to 2015 (GST increase in 2010)	\$368	\$0	\$368	\$368
2016	\$368	\$0	\$345	\$345
2017 & currently	\$368	\$50	\$345	\$345

8.3 Current fees have not been inflation adjusted since 2010

Current fees have not been inflation adjusted since 2005. If they had kept pace with inflation, they would be significantly higher. This also explains SWRB's struggle to provide the resource needed for activities and functions.

Note that volume increases do not provide a surplus under the cost recovery model because, e.g. for:

- Registrations, activity increases with each transaction, which is cost recovered for the cost of each transaction
- Practising certificates, application processing increases and higher levels of infrastructure, business operations, and communications & stakeholder engagement are needed to deal with increased volumes and numbers of registered social workers.

Current vs inflation (CPI) adjusted	Practising Certificate Fee	Disciplinary Levy	Registration fee (Aotearoa applicant)	Registration fee (Overseas applicant)
Current 2020	\$368	\$50 (reinstated in 2017)	\$345	\$345
Inflation (CPI) adjusted to 2020 Quarter 4*	\$435	\$60 (\$122 if retained at \$90)	\$408	\$408

*[Inflation calculator - Reserve Bank of NZ \(rbnz.govt.nz\)](https://www.rbnz.govt.nz/inflation-calculator)

8.3.1 Practising Certificate fee inflation adjusted since 2005

If the Practising Certificate fee (our largest source of revenue) had kept pace with inflation by being adjusted since 2005 and not just for the GST increase from 12.5% to 15% in October 2010, it would now be **\$477** bringing in revenue of **\$3.444 million** based on 8,300 practising certificates. This is **\$788,417 higher** than the current fee of \$368 (\$2.656 million)

Current Practising Certificate revenue if inflation (CPI) adjusted				
	Fee \$ excluding GST	Fee \$ including GST	\$ revenue excluding GST with 8,300 practising certificates	\$ revenue variance based on inflation
2005 fee	313.04	360	2,601,220	-
2010 fee if 2005 fee was inflation adjusted* (rather than just adjusted for the GST increase)	351.28	403.97	2,915,624	(314,404)
2020 fee if 2010 fee was inflation adjusted*	414.99	477.24	3,444,417	(788,417)

*[Inflation calculator - Reserve Bank of NZ \(rbnz.govt.nz\)](https://www.rbnz.govt.nz/inflation-calculator)

8.4 Practising Certificate fee potential ranges and revenue impact

The table below shows the impact on revenue received at different levels of Practising Certificate fee.

Practising certificate fee amount & revenue impact				
Increase amount from \$368 (including GST)	Fee \$ excluding GST	Fee \$ including GST	\$ revenue excluding GST with 8,300 practising certificates	\$ revenue shortfall if fee not increased to \$470
Increase by \$22	339.13	390	2,814,779	(577,431)
Increase by \$52	365.22	420	3,031,326	(360,884)
Increase by \$77	386.96	445	3,211,768	(180,442)
Increase by \$102	408.70	470	3,392,210	0

8.5 Disciplinary Tribunal and impact on revenue

The Disciplinary Levy needs to raise revenue of \$996,000 for 2021/22. If not changed, the revenue is \$369,000. Over half of cost attributable to the Disciplinary Levy are external fees and direct costs of PCC members and legal advisers, and the Disciplinary Tribunal members and administration. These costs are driven by the number of PCC cases and Tribunal hearings. The proposed Disciplinary Levy increase to \$135 is based on 15 PCC cases and 7 Disciplinary hearings in 2021/22 with the remainder of the cost for:

- dedicated and supporting FTEs and overheads for complaints & notifications, PCC cases and Tribunal hearings
- having a disciplinary proceedings reserve to try to cover costs if volumes are higher than forecast.

A Disciplinary Levy lower than \$135 means the cost has to be cross-subsidised by the Practising Certificate fee and a reduction in resources required for other functions.

Disciplinary Levy & revenue impact				
Increase amount from \$50 including GST	Levy \$ excluding GST	Levy \$ including GST	\$ revenue excluding GST with 8,482 applications	\$ revenue shortfall if fee not increased to \$135
Increase by \$50	86.96	100	737,595	(258,405)
Increase by \$70	104.35	120	885,096	(110,904)
Increase by \$85	117.39	135	995,702	0

8.6 Transactional work: volume changes

Overall, our transactional activity volume has increased since 2018/19 due to the transition to mandatory registration. We envisage some increased registration volume remaining in 2021/22 where social workers do not meet the February 2021 mandatory deadline and the likely increase in overseas applicants due to COVID conditions internationally.

SWRB transaction volumes				
Activity	2018/19 Actual	2019/20 Actual	2020/21 Reforecast (February 2021)	2021/22 Indicative (Feb 2021)
Registered social workers	7,812	8,642	10,199	10,800
New to register (not registration applications)	698	895	1,534*	600*
Practising certificates issued	4,108	6,295	8,086	8,482
Complaints & notifications open	42	84	90	120
PCC cases open	14	25	30	40
Disciplinary Tribunal hearings open	2	3	6	7

*Excludes provisional to full registration. Includes overseas, experience pathway, new graduate, which have different fees. Some choose not to get a practising certificate as they are not working as a social worker, or they are not working.

8.1 Changes in FTEs since 2017/18 and proposed for 2021/22

Change in FTE's since 2017/18 and under each option					
Year	Permanent	Fixed term	Contractor	Total FTEs	Total no. of people
2017/18	11.0	-	-	11.0	12
2018/19	14.5	-	-	14.5	15
2019/20	13.0	10.2	1.4	24.6	27
2020/21 (with workforce planning)	16.5	10.8	2.4	28.45	33
2021/22 Option 1: Shrink (with workforce planning)	29.6	2	-	31.6	32
2021/22 Option 2: Improve (with workforce planning)	32.6	3.5	-	36.1	37

8.2 Other resource changes needed

Additional costs due to...	Funding required for...
<p>Crown funding for communications & stakeholder engagement ends 30 June 2021</p> <p>Two new platforms of activity:</p> <ul style="list-style-type: none"> • Māori development • Strengthening social worker professionalism 	<p>External providers for:</p> <ul style="list-style-type: none"> • Content development • Collateral production • Ongoing website and database changes and maintenance • Sector and other government agency engagement, including venue hire, catering, travel & accommodation
<p>Review under the Cabinet Fees Framework for Board chair & members and Disciplinary Tribunal members</p> <p>Review of fees for PCC members, competence assessor panel members, overseas qualifications assessors and experience pathway assessors</p>	<p>Fee increases:</p> <ul style="list-style-type: none"> • Board Chair & members annual rate: proposed 10% increase • Disciplinary Tribunal daily rate: Chair proposed \$540 to \$1,080 and members \$380 to \$688 (Cabinet Fees Framework – Minister considering) • PCC hourly rate: \$80 to \$120 • Competence assessor hourly rate: \$80 to \$120 • Overseas qualifications assessor hourly rate: \$80 to \$120 • Experience pathway assessor hourly rate: \$80 to \$120
<p>Crown funding ends 30 June 2021 for implementation programme overheads, including for fixed term and contractor FTEs, but have proposed more FTEs than in 2020/21</p>	<p>Overheads:</p> <ul style="list-style-type: none"> • Software licenses: staff, database & other IT • Digital data use, management & storage • Desks, chairs, laptops, monitors, phones • Moving to larger premises • Rent for larger premises
<p>New and changed fees</p>	<p>Database & website changes</p> <p>Process & information updates for registered and unregistered social workers, and employers</p>

8.3 Reserves policy

A reserves policy was established in 2019. Forecast reserves by 30 June 2020¹ is **\$1.008 million**. This was not reassessed as the Board is reviewing the reserves policy for 2021/22 onwards. Reserves do not increase under Option 1: Shrink or Option 2: Improve

The Crown Entities Act 2004 requires SWRB to be financially responsible and prudently manage assets and liabilities to ensure long-term financial viability. Due to SWRB's increased size and revenue, a more specified reserves policy is needed rather than the general 3-months' operating costs. This includes:

- setting a minimum and maximum that is not burdensome on the sector
- avoiding taking large amounts of money off social workers merely to sit in SWRB's bank account
- using reserves to with-stand short-term economic shocks and to manage short-term imbalances in revenue or expenditure flows over the longer-term planning horizon
- that use of reserves reducing the amount to a set minimum is expected for Crown entities because if further shock occurs while the reserves are being rebuilt the Crown entity can seek Crown funding (as is the case for two of the transport sector regulators recently).

Issues to consider are below.

Three principles of prudent balance sheet management in the public sector fundamental to a reserves policy	Reserves should be held expressly to
<p>Liquidity: The balance of liquid assets should be greater than that of liquid liabilities, so regular expenditure commitments can be paid</p>	<ul style="list-style-type: none"> • Withstand short-term economic shocks
<p>Minimum Equity: Equity and funds should be held at a minimum level to maintain solvency and business continuity. Potential mechanisms to access external funds in the event of a significant unplanned event should be identified (e.g. Crown funding)</p>	<ul style="list-style-type: none"> • Manage short-term imbalances in revenue or expenditure flows over the longer-term planning horizon • Enable one off investments in organisational capability or non-discretionary unbudgeted activity
<p>Resilience: Enough funds should be accessible that a small external shock, or an unusual imbalance in business-as-usual cash flows, can be withstood</p>	<ul style="list-style-type: none"> • Enable investment in capital expenditure outside the constraints of the current year's depreciation expense • Fund any unplanned significant litigation events that may occur

8.4 Comparison with similar size regulators

8.4.1 Comparison of register size

SWRB's register is larger than those of the Dental Council, Physiotherapy Board, Pharmacy Council and Occupational Therapy Board.

Comparison of register size					
Regulator	SWRB March 2021	Physiotherapy Board 2019-20 Annual Report	Pharmacy Council 2019-20 Annual Report	Dental Council 2019-20 Annual Report	Occupational Therapy Board 2019-20 Annual Report
Registered	10,300	7,625	4,576	5,610	3,406
Practising certificates	7,583	5,702	3,906	4,691	3,013

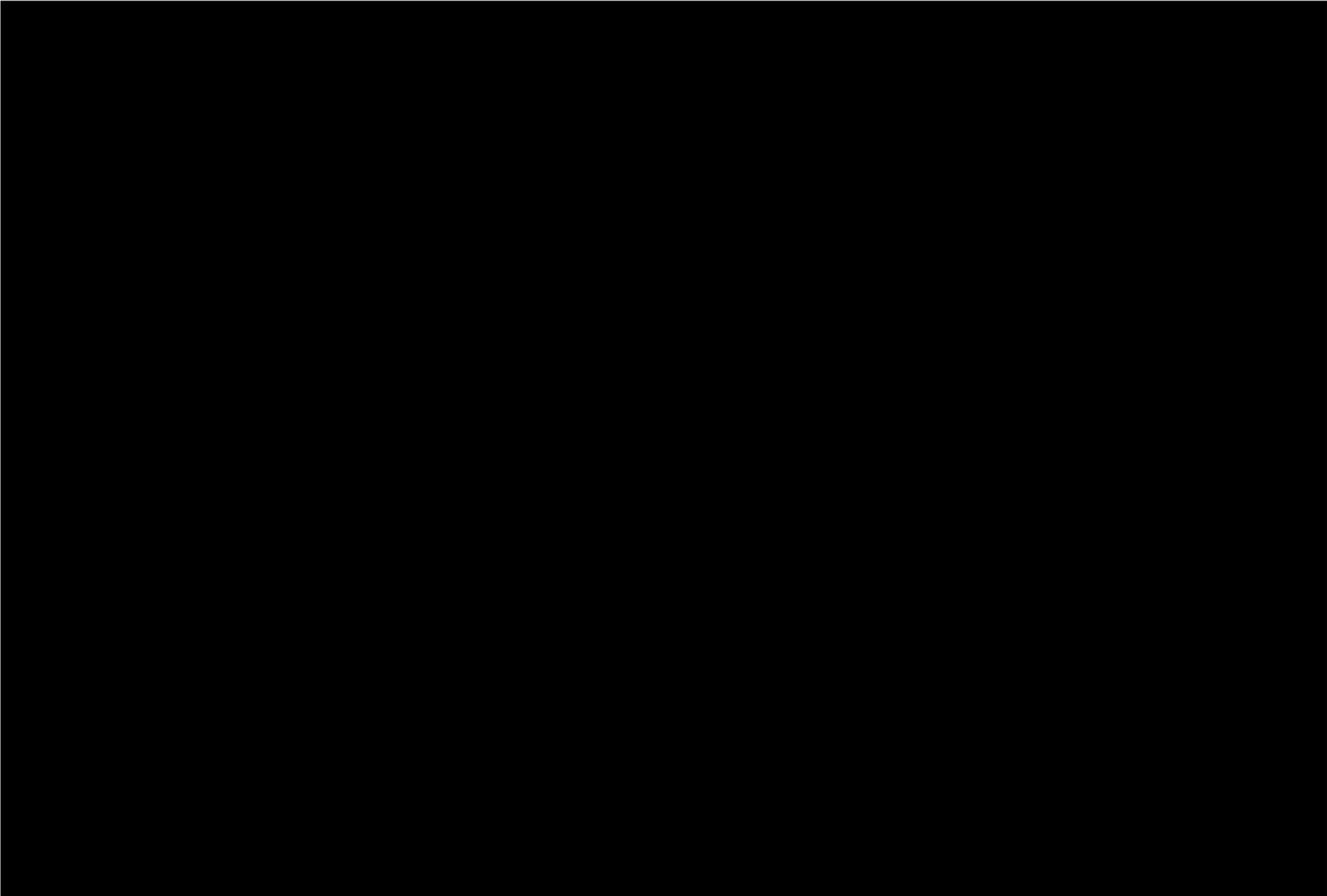
8.4.2 Comparison of fees and levies by occupation

SWRB's annual charge is the **lowest** of the regulated professions below, and the **Practising Certificate fee** is **\$120** less than the lowest.

NOTE: Mandatory registration for these other professions is well-established, unlike social workers where mandatory registration came into effect on 27 February 2021. Also, there are low numbers of disciplinary proceedings for occupational therapists and dental hygienists.

Comparison of fees and levies by occupation (\$ incl. GST)						
Professional occupation	Current date (on website)	Registration fee (one off)	Practising Certificate fee (Annual)	Non-practising fee (Annual)	Disciplinary Levy (Annual)	Total charge (PC & Disciplinary Levy)
Social Worker	May 2020	\$345	\$368	-**	\$50	\$418
Dental Hygienist	From April 2021	\$579.59	\$1,047.68	\$134.45	\$12.48*	\$1,047.68
Physiotherapist	April 2020	\$354	\$555.50* Late renewal fee \$782.20*	\$60	\$135*	\$555.50
Pharmacist (non-prescriber)	Feb 2020	\$550	\$800.62	\$91.34	\$93.61*	\$800.62
Occupational Therapist	Sept 2020	\$230	\$500*	\$57	\$20*	\$500

*Disciplinary Levy is included in the Practising Certificate fee ** Around 25% of people on SWRB's register are non-practising



9 Indicative revenue

9.1 Revenue by category (\$ excluding GST)

TABLE 1 shows 2020/21 reforecast and 2021/22 Options 1 and 2 indicative revenue by category (fees, Practising Certificate fee and Disciplinary Levy).

Revenue type (\$ excluding GST)	2020/21 \$M Rereforecast Feb 2021	2021/22 \$M Option 1: Shrink Indicative March 2021	2021/22 \$M Option 2: Improve Indicative March 2021
Fees (one-off) for direct activities provided to individual social workers & education providers Paid by social worker applicants (or by their employers), and education providers	1.087	0.595	0.695
Practising Certificate fee (annual) for SWRB functions Paid by registered social workers (or by their employers) Note: new graduates' fee is a reduced fee	2.568	2.752	3.518
Disciplinary Levy (annual) for: <ul style="list-style-type: none"> ▪ Complaints & notifications processes ▪ Professional Conduct Committee investigations and cases ▪ Disciplinary Tribunal hearings Paid by registered social workers (or by their employers)	0.350	0.996	0.996
Total	4.005	4.342	5.209

TABLE 2 shows the approved appropriation from the Crown through Vote Social Development (excluding workforce planning).

Revenue type	2020/21 appropriation	2021/22 appropriation
Crown funding <ul style="list-style-type: none"> ▪ Contribution to transition period implementation 	0.677	-
Through Vote Social Development <ul style="list-style-type: none"> ▪ Contribution to Crown entity obligations 	0.111	0.114
Total	0.788	0.114

9.2 Fee and Levy increases needed to cover increased costs under both options

To cost recover the increases attributable to existing and new activities and functions, we recommend new fees and increased fees and Disciplinary Levy in both options as below.

Increase \$ including GST	Rationale for change
<p>Practising Certificate fee (annual)</p> <p>Improve option:</p> <p>Full - \$368 to \$470</p> <p>New graduate - \$268 to \$370 (first year)</p>	<p>Shrink: No change in fee.</p> <p>Improve: To cost recover additional resources for the wider legislative requirements under the mandatory regime, including for activities and functions funded by the Crown under the implementation funding that need to be ongoing, e.g. communications & stakeholder engagement, policy & registration.</p> <p>Fee under-recovered in 2020/21 due to Crown funding not cost recovering implementation or Crown entity obligations, and the fee not being inflation adjusted over the past 15 years.</p> <p>NOTE: SWRB's Practising Certificate fee is \$120 less than the lowest charged for comparable regulated roles by the Dental Council, Physiotherapy Board, Pharmacy Council and Occupational Therapy Board.</p>
<p>Disciplinary Levy (annual)</p> <p>Shrink & improve options: \$50 to \$135</p>	<p>Increased fee to cost recover increased volume of complaints & notifications, PCC cases and Disciplinary Tribunal hearings, including increased fees for Tribunal members, Panel assessors and Committee members.</p>
<p>Registration application fee (one off)</p> <p>Shrink & Improve options: \$345 to \$360</p>	<p>To cost recover additional resources for the wider legislative requirements under the mandatory regime.</p>
<p>Experience pathway: Stage 1 assessment application fee (one off)</p> <p>Improve option: \$276 to \$460</p>	<p>Shrink: No increase in fee. Practising Certificate fee cross-subsidy continues.</p> <p>Improve: To cost recover the work required, which is under-recovering.</p>
<p>Experience pathway: Stage 2 assessment application fee (one off)</p> <p>Improve option: \$1,400 to \$3,588</p>	<p>Shrink: No increase in fee. Practising Certificate fee cross-subsidy continues.</p> <p>Improve: To cost recover the work required, which is under-recovering.</p>
<p>Overseas qualification assessment application fee (one off)</p> <p>Shrink & Improve options: \$300 to \$540</p>	<p>To cost recover the work required, which is under-recovering.</p>
<p>Competence assessment application fee (one off)</p>	<p>Shrink: Fee increased slightly to reduce confusion around the fee amount. Practising Certificate cross subsidy for increased assessor fees.</p>

Increase \$ including GST	Rationale for change
<p><i>Applies where the applicant has Aotearoa qualifications and SWRB requires a competence assessment</i></p> <p>Shrink option: \$255.55 to \$260 Improve option: \$255.55 to \$540</p>	<p>Improve: To recover the increase in external assessor increase fees.</p>
<p>Competence assessment (face to face) fee (one off)</p> <p>Shrink & Improve options: \$3,102.70 to \$3,330 (with reasonable costs of travel, accommodation & meals additional)</p>	<p>Increased fee to cost recover the effort involved, which we can now be more accurately assessed with the new database.</p>
<p>Certificate copies fee (one off)</p> <p>Shrink & Improve options: \$46 to \$70</p>	<p>Increased fee to cost recover the effort involved, which we can now be more accurately assessed with the new database.</p>

Replace/remove \$ including GST	Rationale for change
<p>Education programme recognition and re-recognition fee (one-off) Replace up to \$29,000</p>	<p>A one-off fee paid by education providers for vetting a new education programme for SWRB recognition and re-recognition.</p> <p>Replace with a one-off fee to cost recover vetting a new education programme.</p>
<p>Education programme accreditation mid-cycle fee (one-off) Replace up to \$10,350 (every 5 years)</p>	<p>Remove mid-cycle review fee paid by education provider (as a private good)</p> <p>Replace to cost recover the education programme function (as a club good), e.g. guidance, research, stakeholder and cross-agency engagement, process maintenance and overheads.</p>
<p>Replacement Practising Certificate identification cards fee (one off) Remove \$20</p>	<p>Remove as now electronic.</p>

Replacement \$ including GST	Rationale for change
<p>Education programme recognition vetting fee (one off) up to \$35,000</p>	<p>Fee paid by education providers for vetting a new education programme for SWRB recognition.</p>
<p>Education programme fee (annual) up to \$15,000</p>	<p>Annual fee paid by education providers allocated on a per student basis to cost recover the education programme function, e.g. re-recognition, advice, guidance, research, stakeholder and cross-agency engagement, process maintenance and overheads.</p>

New \$ including GST	Rationale for change
<p>Practising Certificate (unpaid volunteer) fee (annual) <i>An unpaid volunteer is an unpaid social worker who has no paid work as a social worker or otherwise</i> Shrink & Improve: \$370</p>	<p>Reduced Practising Certificate fee for unpaid volunteers in recognition that unpaid volunteers only doing unpaid work as a social worker are mostly part-time supervisors/mentors and are not in client-facing positions. Estimated as low volume. We considered capping the group to an hour limit per week, but it would be:</p> <ul style="list-style-type: none"> • time consuming to verify • result in boundary issues that lead to complaints, i.e. if set at 20 hours per week, those doing 21 hours complain • a disincentive to volunteers doing more hours than with a cap. <p>May be extended to others, e.g. social workers working part-time, once we have data and have done policy work to understand the impact on funding, as social workers paying the full fee cross-subsidise those paying the reduced fee.</p>
<p>Provisional to full registration application fee (one off) <i>Applies if the applicant is Aotearoa qualified</i> Shrink & Improve: \$60</p>	<p>Fee to cost recover assessing whether a social worker with provisional registration should move to full registration.</p>
<p>Practising Certificate late non-declaration processing fee (one off) <i>Fee applies if declaration not received by SWRB within 60 days of the renewal first notification date</i> Shrink & Improve: \$140</p>	<p>Fee to cost recover chasing up registered social workers who have not responded with a declaration of whether they are continuing to practice or not. Done to ensure the register is accurate. Chasing up continues for around 600 people from the last practising certificate round and 400 more are noted on the register as 'no declaration received'.</p>
<p>Return to practise application fee (one off) <i>Applies where the application is received by SWRB more than 3 years after applicant's practising certificate expiry</i> Shrink & Improve: \$345</p>	<p>Fee for an applicant who has not held a practising certificate for more than 3 years to cost recover checking health, competence, and fitness to practice.</p>
<p>Overseas applicant competence assessment application fee (Provisional registration) (one off) Shrink & Improve: \$345</p>	<p>To cost recover new processes for overseas applicants where there are now two competence assessments for those outside of Aotearoa (one provisional and one full), and one for those based in Aotearoa for 6 months or more.</p>
<p>Overseas applicant competence assessment application fee (Full registration) (one off) Shrink & Improve: \$345</p>	<p>As above.</p>

9.3 Proposed 2021/22 fees and Disciplinary Levy

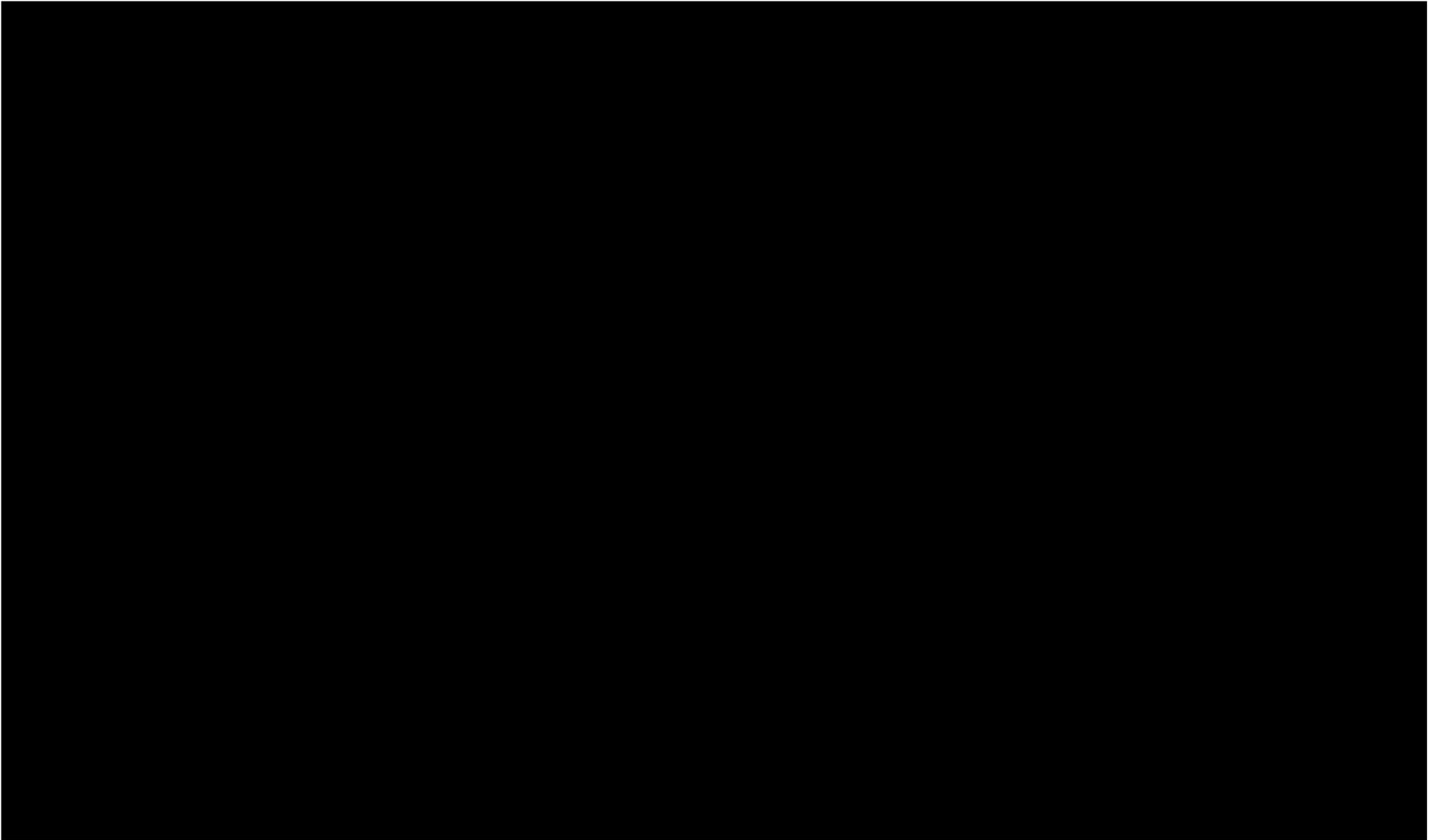
Charge \$ incl. GST	2020/21	2021/22 Option 1: Shrink	2021/22 Option 2: Improve
Registration application fee <i>A new registration application fee must be paid if registration documents are not received by SWRB within 6 months of the application being received by SWRB</i>	345	360 Increase	360 Increase
Experience pathway section 13 : Stage 1 assessment application fee	276	No change	460 Increase
Experience pathway section 13 : Stage 2 assessment application fee	1,400	No change	3,588 Increase
Overseas qualification section 7 : assessment application fee <i>An overseas applicant is someone with an overseas qualification</i>	300	540 Increase	540 Increase
Overseas applicant competence assessment application fee (Provisional registration) <i>Applies where an overseas applicant is someone with an overseas qualification</i>	-	345 New	345 New
Overseas applicant competence assessment application fee (Full registration) <i>Applies for applications for an overseas applicant to move from provisional registration to full registration, or an overseas applicant who has resided in Aotearoa for 6 months or more</i>	-	345 New	345 New
Competence assessment application fee <i>Applies if an applicant has Aotearoa qualifications and SWRB requires a competence assessment</i>	255.55	260 Increase	540 Increase
Competence assessment (face to face) fee <i>With reasonable cost of travel, accommodation, and meals additional</i>	3,102.70	3,330 Increase	3,330 Increase
Provisional to full registration application fee <i>Applies if the applicant is Aotearoa qualified</i>	-	60 New	60 New
Replacement practising certificate identification cards fee	20.00	Remove	Remove
Practising certificate application fee (annual)	368	No change	470 Increase

Charge \$ incl. GST	2020/21	2021/22 Option 1: Shrink	2021/22 Option 2: Improve
Practising certificate (new graduate ¹) application fee <i>A new graduate is someone applying for their first practising certificate within 12 months of completing the requirements of a SWRB recognised Aotearoa qualification</i>	268	No change	370 Increase
Practising certificate (unpaid volunteer) fee (annual) <i>An unpaid volunteer is an unpaid social worker who has no paid work as a social worker or otherwise</i>	-	268 New	370 New
Practising certificate late non-declaration processing fee <i>Applies if declaration not received by SWRB within 60 days of the renewal first notification date</i>	-	140 New	140 New
Return to practise application fee <i>Applies where the application is received by SWRB more than 3 years after applicant's practising certificate expiry date</i>	-	345 New	345 New
Disciplinary Levy (annual)	50	135 Increase	135 Increase
Education programme recognition vetting fee	-	Up to 35,000 Replacement	Up to 35,000 Replacement
Education programme fee (annual)	-	Up to 15,000 Replacement	Up to 15,000 Replacement
Education programme recognition and re-recognition fee	Up to 29,900	Replace	Replace
Education programme accreditation mid-cycle fee	Up to 10,350	Replace	Replace
Certificate copies application fee <i>Copies of certificates or entries, or for supplying documents for overseas registration purposes (Certificate of Good Standing)</i>	46	70.00 Increase	70.00 Increase

9.4 Indicative volume and revenue by fee, Disciplinary Levy and Crown funding

Revenue source (excluding workforce planning)	2019/20 \$ Actual	2020/21 \$ Reforecast	2021/22 Volume Indicative	2021/22 \$ Option 1: Shrink Indicative	2021/22 \$ Option 2: Improve Indicative
Crown funding Crown entity obligations	119,000	111,000	N/A	114,000	114,000
Registration application fee	497,700	585,289	610	190,954	190,954
Experience pathway: Stage 1 assessment application fee	14,400	60,000	60	14,400	24,000
Experience pathway: Stage 2 assessment application fee	48,696	182,608	40	48,680	124,800
Overseas qualifications assessment application fee	39,131	64,705	150	70,436	70,436
Overseas applicant competence assessment application fee (provisional registration)	-	-	150	45,000	45,000
Overseas applicant competence assessment application fee (full registration)	-	-	30	9,000	9,000
Competence assessment (face to face) application fee	10,792	1,345	1	2,698	2,896
Competence assessment fee	13,333	31,111	60	13,565	28,200
Provisional to full registration application fee	-	-	260	13,564	13,564
Return to practice	-	-	26	7,800	7,800
Practising certificate fee	2,160,640	2,526,659	8482	2,714,352	3,466,736
Practising certificate (new graduate) fee	34,956	41,700	150	34,956	48,261
Practising certificate (unpaid volunteer) fee	-	-	10	2,330	3,217
Practising certificate late non-declaration processing fee	-	-	60	7,304	7,304
Disciplinary Levy	293,577	349,723	8482	995,743	995,743
Education programme recognition vetting fee	-	-	0	-	-
Education programme fee (annual) <i>Allocated across 18 institutions per student</i>	-	164,990	1	170,000	170,000
Certificate copies fee	2,160	1,600	20	1,217	1,217
Total	4,669,019	5,426,319		4,455,999	5,323,128





11 Contribution to Government priorities

11.1 Wellbeing domains

SWRB's work contributes to the following wellbeing domains.

Domain	Impact contributed to
 Safety. People's safety and security (both real and perceived) and their freedom from risk of harm, and lack of fear	Decreased experience of family and sexual violence
 Health. Our mental and physical health	Improved mental wellbeing for children and youth, and whānau
 Cultural identity. Having a strong sense of identity, belonging and ability to be oneself and the existence value of cultural taonga	Increased access to support that is culturally responsive, particularly to Māori
 Subjective wellbeing. Overall life satisfaction and sense of meaning and self	

11.2 Labour Party Manifesto

SWRB's work links to commitments for better services for children, Māori, and family violence in the manifesto.

Key impacted commitments – text extracts https://www.labour.org.nz/children ; https://www.labour.org.nz/maori
“Better supporting children and young people via Oranga Tamariki, and tackling family and sexual violence by increasing the support for 14,000 caregivers looking after more than 22,000 children. Plus, we’re boosting support for agencies that make women, children, and everyone affected by violence safer in their homes”
“Labour will continue to improve outcomes for Māori within the Oranga Tamariki system by building strong relationships with whānau, hapū and iwi, and exploring options to place any child or young person of interest with wider family first (rather than into state care)”
“Better supporting children and young people with higher needs, with an initial focus on learning support and mental wellbeing, by putting more than 600 new learning support coordinators in schools, to work alongside teachers and whānau and make sure young people receive the support they need. Plus we’re piloting mental health and wellbeing support in primary and intermediate schools through Mana Ake, as well as extending Nurses in Schools to decile five secondary schools”
“Boosting Whānau Ora to continue to deliver the support whānau need on the ground and in the communities who need it most”

NOTE: The Mana Ake service (<https://manaake.health.nz/what-we-do/>) includes social workers in its delivery, as part of the diverse workforce, with other professionals and skilled workers. Also, with many social workers being employed by NGOs, SWRB's support of the employers' capability and workforce contributes to the commitment to “work toward a more effective social service sector by improving how government commissions and works with social service providers”.

11.3 Speech from the Throne

SWRB work with social workers, students, education providers and employers contributes to the areas in the Speech from the Throne.

Text extracts https://www.beehive.govt.nz/speech/speech-throne-3	SWRB contributes
"The Government will also complete the reform of the vocational education system. As the country rebuilds and more people are looking to retrain, it's now more important than ever that we have a vocational education system that's responsive to the needs of industry and learners."	While social work is not vocational and requires a degree-level qualification, there is a direct link to the work that SWRB does with education providers and students
"History shows that significant economic events have a disproportionate impact on women, Māori and Pacific communities, and our focus will ensure our recovery responds to that."	There is a high proportion of women and Māori in the social worker workforce
"It will roll out mental health support to all primary and intermediate school age students"	Social workers are a key workforce in mental health services and in promoting mental wellbeing
"As part of this focus on wellbeing and creating a fairer Aotearoa we will continue to strengthen social inclusion in Aotearoa. This is about supporting our diversity and creating a Aotearoa where all people feel safe, have equal access to opportunities and do not experience discrimination."	Many social workers are an integral part of communities, particularly those employed by NGOs. They are naturally an influential workforce that can contribute to increasing social cohesion
"The Government will ensure Oranga Tamariki partners with iwi, hapū, and Māori organisations to find appropriate solutions for children in need."	Social workers are a significant part of the Oranga Tamariki workforce

NOTE: SWRB Outcomes Framework areas of focus for the next 4 to 6 years are also intended to improve SWRB's sector connections and collaboration, and facilitator role for the cross-sector Social Work Alliance, which includes:

- **Major employers.** DHB social work leads, Oranga Tamariki, Social Service Providers Association, Aotearoa Council of Christian Social Services
- **Education providers.** Council of Social Work Educators Aotearoa, Career Force
- **Professional organisations.** Tangata Whenua Social Worker Association, Aotearoa Association of Social Workers
- **The sector union.** Public Services Association (PSA).

12 Consultation

The OAG and Treasury guidelines suggest that fee and levy changes be publicly consulted on unless difficult to do so before they are implemented.

As alerted in the last funding review, we have not publicly consulted on the proposed fees and the Disciplinary Levy for 2020/21. The fees and Disciplinary Levy must be Gazetted by 1 April 2020 to allow for invoicing Practising Certificate fees on 1 May 2020. There is not enough time to provide the usual 6-8 weeks consultation period and time to analyse and report on the submissions, where the implementation programme and funding for it does not end until 30 June 2021.

We may be able consult for our 2023/24 funding review if we are operating as business-as-usual by then.

13 Monitoring, evaluation, and review

13.1 Current performance

Regular monitoring of SWRB's performance is undertaken by MSD as SWRB's monitoring agency. This includes whether SWRB is meeting performance targets set by the Minister.

SWRB's Quarter 2 Work Programme Report 2019/20 shows an overall rating of green with activities on track or re-baselined due to the restructure.

13.2 Evaluation of funding review changes

The funding review changes will be evaluated as part of the funding review for 2021/22. The changes will be successful if SWRB's performance is assessed as meeting SWRB's Statements of Performance Expectations for 2021/22.

13.3 Next funding review

The next review is planned for December 2021 to March in 2022 for the financial year 2022/23.

Appendix 1: Sections & setting charges in the public sector

Social Workers Registration Act 2003

(amended from 28 February 2019 under the Social Workers Registration Legislation Act 2019)

Section 108 Board may set fees

- (1) The Board may from time to time, by notice in the Gazette, set fees payable in respect of the following matters:
 - (a) applications for registration:
 - (b) additions or alterations to the Register:
 - (c) the issue of practising certificates:
 - (d) the issue of other certificates:
 - (e) the issue of copies of certificates:
 - (f) the supply of a copy of an entry in the Register:
 - (g) inspecting the Register, or any other document kept by the Board that is open for inspection:
 - (h) supplying to any registered social worker any document, other than a certificate of registration, required by him or her for the purpose of seeking registration overseas:
 - (i) sitting any examination set or assessment recognised by the Board:
 - (j) the setting and conduct of competence assessments:
 - (k) any other matter relating to anything the Board is required to do in order to carry out its functions.
- (2) The notice may exempt people of any kind or description from liability to pay any fee, and may provide for the waiver or refund of any fee.

Section 109 Disciplinary Levy

- (1) The Board may from time to time, by notice in the Gazette, impose on every registered social worker a levy of any amount it thinks fit for the purpose of investigations and other proceedings concerning discipline under this Act.
- (2) The notice may exempt people of any kind or description from liability to pay the levy, and may provide for the waiver or refund of the levy.

Setting the proposed charges for 2020/21

The Board is authorised to set and impose fees and the Disciplinary Levy within the terms of the fees and Disciplinary Levy sections in the Act. Here is a summary of what the sections can be used for.

Type of fee or levy set	Set by the Board under
Fees cost recover activities provided directly to social workers and tertiary education institutions	Section 108(1)(a) and (c) to (j)
Practising Certificate fee paid by a registered social worker who wishes to practise, and annually to continue to practise and cost recovers SWRB's functions	Section 108(1)(c) Section 108(1)(k)
Disciplinary Levy cost recovers complaints, notifications, and disciplinary proceedings	Section 109

We've applied the OAG & Treasury guidelines

We are a **Crown entity**, so we are part of government. This means we must apply current government policy settings under the Office of the Auditor General (OAG) and the Treasury guidelines for setting charges in the public sector.¹ We have applied these guidelines for the 2019/20 funding review in the same way we did for the 2018/19 funding review. See Appendix 2: Assessment of activities applying the OAG and Treasury guidelines.

Under those guidelines, fees and levies need to be reviewed regularly to ensure they remain appropriate, and the assumptions on which they are based (e.g. volume, demand, and cost increases), remain valid and relevant. Both guidelines broadly instruct that fees and levies should:

- be no more than the amount necessary to recover costs
- not be used to cross-subsidise other services or functions (unless the government agency is expressly authorised to do so by the Government)
- be based on the principles of authority, efficiency, and accountability.

¹ Treasury Guidelines for Setting Charges in the Public Sector April 2017, which covers fees and levies <http://www.treasury.govt.nz/publications/guidance/planning/charges>; and the Office of the Auditor-General (OAG) Good practice guide: Charging fees for public sector goods and services June 2008, which covers fees but not levies <https://www.oag.govt.nz/2008/charging-fees>

Government's user-pays cost-recovery model

The proposed fees and Disciplinary Levy for 2021/22 have been assessed applying the Government's user-pays cost-recovery model², which includes:

- assessing resources required to reduce current pressures and to operate as an effective modern regulator
- assessing the balance of the implementation resources required and costs not met by Crown funding (including the changes to the professional framework, competence assessment, complaints procedures, the quasi-judicial disciplinary tribunal procedures, and accrediting and standards setting for social work education and training)
- investigating possible process efficiency gains in developing the new database, which will continue for 2020/21
- updating the financial model
- checking our 2020/21 assessment of the economic characteristics of our services and functions for categorisation as private good (fees funding), club goods (levy funding) and public goods (Crown funding) under the OAG and Treasury guidelines.³

Note that under the OAG guidelines, setting a fee that recovers more than the costs of providing the activity could be viewed as a tax. Unless expressly authorised by statute, this would breach the constitutional principle that Parliament's explicit approval is needed to impose a tax.⁴ Accordingly, any authority given to SWRB to charge a fee is implicitly capped at the level of cost recovery. For example, specific Government direction or legislative authority is required to set a fee recovers more than the cost of providing an activity – to generate additional revenue, impose a penalty, limit access to or demand for a service, or meet social objectives.

Also, SWRB cannot recover a deficit from a previous period of under-recovery. To do so would result in current registered social workers being charged more than the costs of providing the activity, or in a lack of equity between current and future registered social workers – which is outside SWRB's legal authority.

² Using the Cost Recovery Impact Statement Stage 2 template under the Treasury guidelines and by applying the OAG guidelines

³ See Appendix 4: Assessment of activities applying the OAG and Treasury guidelines

⁴ See section 22(a) of the Constitution Act 1986

Appendix 2: Assessment of economic characteristics and funding source

Mechanisms generally used to fund public sector agency activities include:

- **Private goods.** Where fees can be imposed on a specific individual or organisation for a good, activity or regulation directly provided to (or directly benefiting) that individual or organisation. These types of fees must be set at no more than the amount necessary to recover the cost attributable to providing the private good. The Treasury Guidelines apply to cost recovery of private goods but the OAG Guidelines *only* apply to cost recovery for private goods.
- **Club goods.** Most funding of the regulatory system occurs through levies that are spread across groups of people who are the primary risk exacerbators and who underpin the need for the regulation and as the primary beneficiaries of an effectively functioning regulatory system. The Treasury Guidelines apply to cost recovery for club goods, as well as private goods.
- **Public goods.** Crown funding is generally used for public goods. Some regulatory functions have a range of broad benefits (including reputational, general economic, or environmental protection benefits) that are wider than the social worker sector system and are not directly or indirectly attributable to the participants or primary beneficiaries; these can be considered as activities with a public good. Crown funding can be used in these cases.

Note that the **public and users of social worker services** are **secondary beneficiaries** of the social worker regulatory system. They are not the primary beneficiaries and do not primarily cause the need for the regulatory system. However, they receive **spill-over benefits** of 'safety of members of the public is protected' and 'professionalism of social workers is enhanced'. Spill-over benefits do not usually result in Crown funding.

Here is our assessment of SWRB's activities and functions applying the OAG and Treasury guidelines.

Assessment of SWRB's activities applying the OAG and Treasury guidelines					
Activity	Rationale	Activity funded by	Economic characteristics	Full/part cost recovery	Outcome sought
Registration	Assessment of an individual for assurance they are qualified, competent, and safe to practice as a social worker	Registration Fee – an individual who wants to practise as a social worker <i>One off</i>	Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the activity, which is provided directly to the individual	Full	Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title

Assessment of SWRB's activities applying the OAG and Treasury guidelines

Activity	Rationale	Activity funded by	Economic characteristics	Full/part cost recovery	Outcome sought
Provisional to full registration assessment	Assessment of an individual moving from provisional registration to full registration for assurance they are qualified, competent, and safe to practice as a social worker	Provisional to full registration fee – an individual who wants to practise as a social worker <i>One off</i>	Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the activity, which is provided directly to the individual	Full	Safety of members of the public is protected Social worker professionalism is enhanced Registration standards are met Correct use of 'social worker' title
Practising certification	Checks the social worker has not been removed from the register Declaration from them that they remain a fit and proper person to practice	Practising Certificate fee (but operates as a levy) – social workers with a practising certificate - as a group, annually <i>Annual</i>	Club good – participant group funded – social workers with a practising certificate, as a group, are the primary beneficiaries or primarily cause the need for the regulatory system	Full	Safety of members of the public is protected Correct use of 'social worker' title
Practising certification (new graduate) fee	A new graduate applying for their first practising certificate within 12 months of completing the requirements of a SWRB recognised Aotearoa qualification	Practising certificate (new graduate) fee (but operates as a levy) – social workers with a practising certificate <i>One off</i>	Club good – participant group funded – social workers with a practising certificate, as a group, are the primary beneficiaries or primarily cause the need for the regulatory system	Part <i>(Cross-subsidised by paid social workers paying the Practising Certificate fee)</i>	Safety of members of the public is protected Correct use of 'social worker' title Reduced fee so they hold a practising certificate where they do not have a job
Practising certification (unpaid volunteer)	Reduced practising certificate fee for unpaid volunteers Checks social worker has not been removed from register Declaration from them that they remain a fit and proper person to practice	Practising certificate (unpaid volunteer) fee (but operates as a levy) – social workers with a practising certificate <i>Annual</i>	Club good – participant group funded – social workers with a practicing certificate, as a group, are the primary beneficiaries or primarily cause the need for the regulatory system	Part <i>(Cross-subsidised by paid social workers paying the Practising Certificate fee)</i>	Safety of members of the public is protected Correct use of 'social worker' title Reduced fee as mostly part-time supervisors / mentors rather than client-facing

Assessment of SWRB's activities applying the OAG and Treasury guidelines

Activity	Rationale	Activity funded by	Economic characteristics	Full/part cost recovery	Outcome sought
Practising certification late non-declaration processing	Work in chasing up declarations of continuing practising or not 	Practising certificate late non-declaration processing fee – an individual notifies SWRB of their intention to continue practising or not after 31 July One off	Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the activity, which is provided directly to the individual	Full	Safety of members of the public is protected Correct use of 'social worker' title Register is accurate
Experience pathway (applies to 27 February 2024)	Assessment of an individual's experience to be registered in Aotearoa, where no SWRB recognised qualification is held	Experience pathway: Stages 1 & 2 assessment application fees – an individual who does not have a SWRB recognised qualification wants to practise as a social worker One off	Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the activity, which is provided directly to the individual	Full	Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title
Overseas qualification assessment application	Assessment of an individual's international qualification where no SWRB recognised qualification is held	Overseas qualification assessment application fee – an individual who does not have a SWRB recognised qualification wants to practice as a social worker One off	Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the activity, which is provided directly to the individual	Full	Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title
Competence assessment (overseas and Aotearoa applicants)	Assessment of an overseas individual's competence to practice in Aotearoa	Competence assessment (overseas applicant) fee – an individual who has overseas qualifications wants to practise as a social worker in Aotearoa One off	Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the activity, which is provided directly to the individual	Full	Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title
Copies of certificates or entries, or for supplying documents for overseas registration purposes (Certificate of Good Standing)	Usual activity in operating a practitioner Register	Copies of certificates fee – an individual who was/is registered and holds/ held a practising certificate and wants a copy One off	Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the activity, which is provided directly to the individual	Full	Proof of authorisation as a registered and practising social worker

Assessment of SWRB's activities applying the OAG and Treasury guidelines

Activity	Rationale	Activity funded by	Economic characteristics	Full/part cost recovery	Outcome sought
Education programme vetting for recognition by SWRB	Vetting Aotearoa education providers' education programmes to be recognised by SWRB for registration of social workers For programme quality assurance	Education programme recognition vetting fee – a Aotearoa education provider wants its programme recognised by SWRB One off	Private good – user funded – the organisation is the primary beneficiary or primarily causes the need for the activity, which is provided directly to them	Full	Quality education programmes Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title
Education programme function	Advice, guidance, research, stakeholder and cross-agency engagement, process maintenance and overheads for education programmes	Education programme fee (but operates as a levy) paid by Aotearoa education providers Annual	Club good – participant group funded – education providers, as a group, are the primary beneficiaries or primarily cause the need for the education programme function, whether they use it or not	Full	Quality education programmes Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title
Social worker CPD audits	Audits of Continuing Practice Development logs of randomly selected or a target group of registered social workers with practising certificates Provides incentives to comply with CPD requirements	Practising Certificate fee (but operates as a levy) – social workers with a practising certificate - as a group, annually Annual	Club good – participant group funded – social workers with a practicing certificate, as a group, are the primary beneficiaries or primarily cause the need for the social worker regulatory system, whether they are audited or not	Full	Social worker compliance with CPD requirements
Enquiries	Enquires from students, social workers, employers, education providers, and the public Enquiries system provides assisted compliance for social workers and information to the public and others	Practising Certificate fee (but operates as a levy) – social workers with a practising certificate - as a group, annually Annual	Club good – participant group funded – social workers with a practicing certificate, as a group, are the primary beneficiaries or primarily cause the need for the social worker enquiries system, whether they use it or not	Full	Social workers comply with the Act and regulatory framework Social worker professionalism is enhanced Public and others access to information

Assessment of SWRB's activities applying the OAG and Treasury guidelines

Activity	Rationale	Activity funded by	Economic characteristics	Full/part cost recovery	Outcome sought
Complaints & notifications	Complaints & notifications about a social worker's health, competence, or conduct, by another social worker, an employer, the public, or a government agency The complaints system supports social worker compliance	Disciplinary Levy – social workers with a practising certificate Annual	Club good – participant group funded – social workers with a practicing certificate, as a group, are the primary beneficiaries or primarily cause the need for the complaints system, whether a complaint is received about them or not	Full	Access to redress for those who deal with non-compliant social workers Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title
Professional Conduct Committee (PCC) and Disciplinary Tribunal support	PCC cases and Disciplinary Tribunal hearings Provides incentives for regulatory compliance by social workers and to protect the public	Disciplinary Levy – social workers with a practising certificate Annual	Club good – participant group funded – social workers with a practicing certificate, as a group, are the primary beneficiaries or primarily cause the need for the disciplinary system, whether they have a case before a PCC or a hearing before the Disciplinary Tribunal or not	Full	Access to redress for those who deal with non-compliant social workers Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title
Secretariat for the Board Advice to the Board on social worker regulatory and compliance issues	As part of the legal structure under the Crown Entities Act 2004	Practising Certificate fee (but operates as a levy) – registered social workers who hold a current practising certificate - as a group Annual	Club good – participant group funded – social workers with a practicing certificate, as a group, are the primary beneficiaries or primarily cause the need for the Board	Full	Assist Board governance under Crown Entities Act 2004 and Government guidelines and policy settings Safety of members of the public is protected Social worker professionalism is enhanced
Technical advice, policy development and provision social worker regulatory framework and system reviews Operational policy development	Reviews and updates of regulation, policy, criteria, and processes to deliver on SWRB's legislative mandate	Practising Certificate fee (but operates as a levy) – social workers with a current practising certificate - as a group Annual	Club good – participant group funded – social workers with a practicing certificate, as a group, are the primary beneficiaries of an effectively functioning regulatory system or primarily cause the need for the regulatory system primary beneficiaries	Full	Effective, and efficient delivery of SWRB's legislative mandate Trust in government institutions Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title

Assessment of SWRB's activities applying the OAG and Treasury guidelines

Activity	Rationale	Activity funded by	Economic characteristics	Full/part cost recovery	Outcome sought
Ministerial servicing, OIAs, technical advice to the Minister, responding to Parliamentary Committees	Crown entity obligation as a government agency	Crown funding – from general taxation Annual	Public good – wider public benefits to the public for the proper administration of government and trust in government institutions	Part (Government decision that balance funded by Practising Certificate fee)	Assist Ministers and the Government Trust in government institutions
Strategy, planning, and data and intelligence analysis and advice	Usual business strategy and planning and reporting Risk trends identification for interventions to enhance social worker professionalism SWRB is an evidence based, intelligence-led, risk focused regulator	Practising Certificate fee (but operates as a levy) – social workers with a practising certificate - as a group Annual (currently funded by the Practising Certificate fee)	Club good – participant group funded – social workers with a practising certificate, as a group, are the primary beneficiaries of an effectively functioning regulatory system or primarily cause the need for the regulatory system	Part (Government decision that balance funded by Practising Certificate fee)	SWRB is an effective regulator using the modern regulator approach applied by other Aotearoa safety regulators
Crown entity performance, reporting and other obligations under the Crown Entities Act 2004	Part of the Crown entity obligations as a government agency under the Crown Entities Act 2004	Crown funding – from general taxation Annual (currently funded by the Practising Certificate fee)	Public good – wider public benefits to the public of compliance with the Crown Entities Act 2004 for the proper administration of government and trust in government institutions	Part (Government decision that balance funded by Practising Certificate fee)	SWRB meets Government performance and policy objectives Trust in government institutions
Sector, cross-agency, education provider and international engagement	Part of the being a government agency	Crown funding – from general taxation Annual (currently funded by the Practising Certificate fee)	Public good – wider public benefits of government agency collaboration	Full	Government policy objectives are met Consistency across agencies Stay up to date with international good practice
Workforce planning function	Data, information & insights to help others identify where and when social workers are needed most	Crown funding – from general taxation Annual (through Vote Social Development)	Public good – wider benefits of workforce planning to identify where and when social workers are needed most	Full	Government policy objectives are met