



Social Workers Registration Board

Kāhui Whakamana Tauwhiro

Aotearoa New Zealand's social worker regulator

Six-Monthly Report

For the period ending 31 December 2020

Q1-Q2 FY 2020/2021

February 2021

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The Social Worker's Registration Board (SWRB) At a Glance

Overview

The first six months of this financial year have been defined by the SWRB's response to COVID-19, the outcome from the organisations restructure, and the ongoing journey towards mandatory registration for social workers. Covid-19 saw a range of flexibilities negotiated with social work educators to ensure that social work students could still graduate at the end of their studies. This had a positive effect on the sector and should ensure a consistent supply of newly qualified social workers. The organisational restructure has seen a number of new team members join the SWRB. We welcomed our new Chief Advisor Māori Development, Hohepa Patea, on board. Hohepa has ushered in a range of positive changes at the SWRB, for example a weekly waiata practise which is enhancing our team spirit. Liz Jones also joined our Senior Leadership Team as Workforce Planning and Policy Manager and is working to develop a research proposal to explore unmet need for social work services. We look ahead to the recruitment of our final Senior Leadership Team member into the Chief Advisor: Social Work role. As we continue the journey towards mandatory registration our team has grown larger in other areas too, with two new registration officers starting in Quarter Two. As a result, combined with an impressive effort from the broader team, we are processing a larger number of applications and responding to calls and emails faster.

Statement of Performance Expectations

Quarter One

Exceeding Target: 3/7

On Track: 2/7

Below Target: 2/7

Quarter Two

Exceeding Target: 4/7

On Track: 1/7

Below Target: 2/7

Key Statistics



SWRB Focus Areas for the coming period

* Developing Active Partnering with Māori strategy * Mandatory Registration * Appointing the Chief Advisor: Social Work * Publishing the Scope of Practice * Complete implementation and refine functionality of iMIS * Addressing financial risks * Completing Fees Review * Completing 2021 Budget Bid work * Continuing Information Campaign * Confirming approach to SOI *

Highlights

Māori Development

The following whakatauki was developed and approved by the Board: *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.

Regulatory Compliance

We have registered a significant number of social workers over the past six months, while improving our response times to phone calls and emails. The Board's Professional Standards Subcommittee has also made decisions on a large number of complaints, with a significant number of Tribunal hearings also taking place in Quarter Two.

Sector Support and Engagement

Throughout the first six months of this financial year, we have held 67 information sessions for the sector. In the education space, we began discussions with Te Pūkenga (NZIST) concerning their Social Work degree programme, which will be their first submission to NZQA for approval and accreditation.

Workforce Planning and Policy

We are working collaboratively with employers and other sector-based workforce organisations (such as those in health and across the NGO sector) to scope an evidence-based piece of research into supply and demand for social work services. We continued our work on the Scope of Practice and reviewed a range of internal operational policies and procedures.

Business Operations

Business Operations have focused on the restructure of the SWRB to support the drive to mandatory registration and the future state of the organisation. Continued work has been done on the iMIS project, intranet development and SharePoint.

Overview/Organisational Health

The last six months have been characterised by increased volumes and ongoing change.

The last six month period has continued to be a busy time for the Social Workers Registration Board as we prepare for mandatory registration whilst also continuing our ongoing organisational change programme to reach our goal of becoming a modern regulator. To address this we have increased the size of our Registration Team and continue to process a larger number of applications than previously. We are responding to telephone calls and emails faster. We also respond through our social media platform (Facebook) and through our information campaign where we continue to hold weekly information sessions.

From 27 February 2021, the amendments to the Social Worker's Registration Act 2003 move social workers from a voluntary to mandatory regime where registration and certification is required for all those who: (1) call themselves a social worker, (2) are known as a social worker, or (3) are held out to be a social worker.

Given the significance of this change for the sector, our focus over this period has continued to be on our two-year change programme to modernise our operations, informing the sector of the changes, and developing the policies required to meet legislative change. Improved operations will also enable us to move to the modern regulator approach using a wider range of modern compliance tools.

We have continued the journey to becoming a modern compliance-based regulator.

We have continued to update our systems and processes during the last six months to reflect what is needed for responsive, public safety-focused and intelligence-led activities. The most significant of these is the new database (just gone live) for better operations, data collection and information analysis to provide insights for our activities.

We continue working towards being an active partner with Māori.

We have also strengthened our partnership approach with Māori. We have welcomed our Chief Advisor Māori Development to the SWRB. This key Leadership team appointment is enabling us to build on relationships held by our Māori Board members, staff, and Te Kāhui Māori members, and work more authentically with the social services sector and the community.

We are developing our new role as your designated agency for social worker workforce planning.

Government recently designated SWRB as the lead agency for social worker workforce planning. As a new function, this will inform the development of a wider workforce strategy for the social services sector. We are scoping what is needed to deliver this work and to inform a further Budget bid in 2022.

Overall we are satisfied with our progress, while maintaining a continuous improvement approach.

Given the range of activity and change for the SWRB, we are pleased with our performance. 71% (five out of seven) of our Statement of Performance Expectations (SPE)

measures are exceeding or meeting target. We remain concerned that two of our satisfaction measures are below target, for the percentage of applicants who report being satisfied with the registration process and practising certificate process, including timeliness. We are working to address this with increased staffing numbers and information sessions, clearer website information and a more customer-focused approach.

We received an unmodified External Audit Opinion during the period.

Our external auditors, Audit New Zealand (Audit NZ), issued an unmodified audit opinion on our Annual Report, which is a positive outcome at this time of transition and change. Audit NZ also identified a number of business risks and focus areas for the coming year. These included:

- (1) **The impact of Covid-19:** the SWRB prepared an assessment of the impact of Covid-19 on its operations including changes to internal controls, activities, and financial and performance results. Audit NZ reviewed this assessment and concluded that it was appropriate.
- (2) **Service performance reporting:** Audit NZ reviewed and provided feedback to the SWRB on the Statement of Performance Expectations 2019/20. Audit NZ concluded that the statement complied with legislative requirements and assessed the overall quality as good. Audit NZ supports the work currently underway to enhance existing measures and ensure there are sufficient measures to fully cover the objectives of the organisation under mandatory registration.

New schedule for the production of our Statement of Intent (SOI)

The SWRB is due to provide you with a new (draft) Statement of Intent by April 2021. The SWRB continues to be in a transition period, embedding the mandatory environment as a new current state, along with the potential for further change ahead including any responses to the review of the legislation presented to you in December 2020.

As a result, we would like to seek your feedback on postponing the development of the Statement of Intent for twelve months. We understand that MSD is comfortable with this proposal.

Despite the overall positive direction of travel, there will be tough decisions for the Board to make.


We are currently undertaking the Funding Review for 2021/22. This sets out the proposed fees and the Disciplinary Levy for the next practice year (2020/21) for discussion and approval by the Board. The context for the review is that the challenge of managing a significant operational change programme was met by SWRB, including building the base infrastructure to support the organisation to be more efficient and effective. We have also improved timeliness and the user experience for transactions, and the range and quality of engagement with social workers, the detail of which is set out in the last Annual Report and Briefing to the Incoming Minister.

There will be tough decisions for the Board to make in setting the fees and Disciplinary Levy for 2021/22. We will only have an additional \$400,000 in non-allocated revenue than

we had in 2019/20, to meet the wide-ranging priorities that the Board has discussed to date, as the costs of what we what we do (including the improved base infrastructure) and need to do, costs more. Key drivers are:

- Crown funding ends on 30 June 2021 for communications and stakeholder engagement;
- Crown funding for implementation overheads ends on 30 June 2021;
- Digital data & information and IT for delivery for our online applications and business activities and functions needs to be maintained and supported (including software licenses, data use and storage);
- We need staff and resources for work we did not do in 2019 including business and finance systems, policy development, operational policy development and stakeholder engagement;
- We need staff and resources we did not have in 2019 to deliver Māori development and strengthening social worker professionalism;
- The volume of complaints and notifications and Professional Conduct Committees hearings and Social Work Disciplinary Tribunal hearings have increased; and
- MSD's 'free rent' period for the SWRB has ended.

While the review is still being drafted, it is looking likely that it will not be possible to deliver a standard of performance required by the organisation without increasing fees and the Disciplinary Levy. We will provide you with the Funding Review once completed.



Sarah Clark
SWRB Chief Executive

Updates from each of the SWRB's functional areas Māori Development

Active Partnering with Māori Strategy and Action Plan

During the last six months, the Board reconfirmed its “[...] commitment as a Te Tiriti o Waitangi partner and [is] [...] committed to improving services and outcomes for Māori, strengthening the Crown’s relationships with Māori and developing our own Māori capability.” This reinforces section 100 of our legislation which specifically refers to the obligations of the SWRB in relation to Māori as tangata whenua.

This commitment is the foundation from which we are developing the SWRB’s Active Partnering with Māori Strategy and Action Plan. The Strategy and Action Plan are reflective of our aspirations and commitment to work differently by moving with and working alongside Māori. We have been building our collective knowledge of Crown-Māori partnerships, including with other regulators where we can glean good practice. We acknowledge the need for social workers to be accountable and competent to work with Māori, and we continue to explore innovative ways to do this.

We have been developing te ao Māori perspectives to shape, inform and support the transition of the social work profession into the mandatory environment. During this transition, we acknowledge the work that has been done in the past to get us to where we are now.

As part of our information campaign, we have engaged with Kaupapa Māori and Māori social work practitioners and are gaining insights into the challenges and opportunities they face.

Organisational Value Development

We are currently developing new organisational values that will help shape, inform and guide the organisation as we move into mandatory registration with the aspirations of being a modern regulator.

Risks and Mitigation

There is a perceived risk that the SWRB is not a culturally responsive and capable organisation.

We are mitigating this risk by developing and implementing an Active Partnering with Māori Strategy, with initial engagement at iwi level. Another component of our risk mitigation is the development of external communications that reflect te ao Māori perspectives as part of the SWRB narrative.

Highlights from the period

Preparing for mandatory registration of social workers has provided the opportunity for us to develop a new whakataukī (proverb) for the SWRB. The aim was to create a whakataukī for the SWRB and our social work profession that would be relevant and fit for purpose. The following whakataukī was developed and approved by the Board in December:

*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*

Regulatory Compliance

Registration

Complex Applications

As we move closer towards the deadline for mandatory registration, the nature of the applications we are receiving is becoming more complex. There has been a sharp increase in applicants where there are concerns around their competency to practise, as well as an increase in applicants with Fit and Proper concerns.

Support for NGO social workers to register

We identified in previous reports that NGO employers were struggling financially to support their social work staff to become registered. Since then, Oranga Tamariki Partnering for Outcome, who contract for social work services from a range of NGO providers, have provided hardship support for NGO social workers to become registered.

Highlights from the period

We have registered a significant number of social workers, whilst also aiming to increase our responsiveness to social workers enquiries, with quicker phone and email response times (balanced against increased demand). The two measures where performance targets were not met relate to registration and practising certificate processes. This reflects the high volume of applications and queries (including emails and phone calls) ahead of mandatory registration coming into effect. It is anticipated that high volumes will continue into the third quarter, though increased staffing will be in place ahead of the mandatory deadline which we hope will mitigate the risk of underperformance.

Complaints and Notifications of Concern

Professional Standards Sub Committee

The Board's Professional Standards subcommittee continues to meet on a fortnightly basis to assess complaints and notifications of concern. The Subcommittee has made decisions on a large number of complaints (see figures below) during the period, and in general is seeing an increase in the numbers of complaints and notifications made. A higher number of cases referred to the Professional Conduct Committee are then being referred onto the Independent Social Workers Disciplinary Tribunal.

Independent Social Workers Disciplinary Tribunal

Three Tribunal determinations were received this period. These cases were related to social workers involved in the supply of drugs and cases of inappropriate relationships.

Risks and Mitigation

Some of the Tribunal hearings were postponed due to Tribunal members being unavailable to sit. As the Tribunal is generally busier than in previous years, it is vital that there is a sufficient pool of Tribunal Members, who can be called on to constitute a panel.



The SWRB is working with MSD to ensure that Tribunals can manage increasing numbers of hearings into the future. This work involves two key aspects. Firstly, work to review the fees for Tribunal members, which have not kept pace with other quasi-judicial bodies or been reviewed since 2003. Secondly, we are working with MSD to enable a small and technical adjustment to the Social Workers Registration Act to lift the cap on the pool of social workers who can be called to sit on a Tribunal hearing. This cap currently limits the pool of social workers to five, which means that it can be a challenge to secure enough social workers to constitute a panel. There is a danger that if hearings have to be postponed that public safety will be compromised.

Quarter One

34 notifications received (not including self-declarations)
5 notifications were referred to a Professional Conduct Committee
6 notifications were referred to the Tribunal

Quarter Two

39 notifications received (not including self-declarations)
4 notifications were referred to a Professional Conduct Committee
2 notifications were referred to the Tribunal

Sector Support and Engagement

Communications

Information Sessions

Across the first six months of this financial year 67 information sessions have been held. Through these sessions we have reached a range of stakeholders including social workers, students, employers and education providers to raise awareness of the purpose of registration and what it means to be registered.



'Stand Up' Advertising Campaign

In Quarter One we started phase one of our advertising campaign to both raise awareness regarding the SWRB generally and emphasise the importance of registration in the move towards the mandatory environment. With the Advertising Agency, we designed posters and graphics to promote the campaign. In Quarter Two, these posters were sent out as part of packs to our updated employer list. These packs also included information about how to register and about our s13/Experience Pathway.

Highlights from the period

- Sending out employer packs
- Setting up s13/Experience Pathway-focused information sessions
- Students from the Nelson Marlborough Institute of Technology visiting the SWRB office for a morning tea and information session (see photo above).

Over 2,000 followers on Facebook, averaging at 20,000 engagements per month.

Education

Programme Re-Recognition and Mid-Cycle Reviews

In Quarter Two, two Social Work programme re-recognition reviews took place, at NorthTec (Northland) and Toi Ohomai (Rotorua) as well as one mid-cycle review at Open Polytechnic. Both Northtec and Toi Ohomai were re-recognised. Open Polytechnic also had a positive review. For each, compliance with recommendations made by the panel and confirmed by the Board is a requirement (based on a review of the Social Work programme against the SWRB Programme Recognition Standards). The SWRB usually re-recognises Social Work programmes for up to five years. In the case of both Northtec and Toi Ohomai, their programmes were re-recognised until 2022 to allow the SWRB time to review the standards and the work underway with Te Pūkenga to align social work programmes across the Polytechnic sector.

Highlights from the period

We began positive discussions with Te Pūkenga (New Zealand Institute of Skills and Technology) concerning their review of Social Work degree programmes. Te Pūkenga will be submitting an all-of institute degree application to NZQA for approval and

accreditation. Concurrently the degree proposal will be submitted to us for recognition as a prescribed qualification against our Programme Recognition Standards.

Workforce Planning and Policy

Workforce Planning

We have responded to the recommendations of the Organisational Review to establish a Policy Team within the SWRB, which includes a Workforce Planning component. We are currently working with MSD to develop appropriate progress measures for this space. In collaboration with employers and other sector-based workforce organisations (such as those in health and across the NGO sector) we are scoping an initial piece of evidence-based research into supply and demand for social work services. Over the next two years, we will be working towards a more substantive budget bid, once the scope and reach of the function is established.

Operational Policy Review and Development

In light of mandatory registration, we have a range of both internal and externally facing policies that need to be updated and revised. We have prioritised those that have the greatest impact on the sector and for social workers. Largely these sit within the registration space. Significant work is underway to have these revisions made by the end of February 2021. Serious misconduct and s13/Experience Pathway policies have been completed. The operational policy group continues to meet and be a sounding board to test policy changes.

Scope of Practice

Over the past six months the Scope of Practice has been developed, a process which included the following stages: Working Group reviewed sector feedback on content; draft developed; consultation with the sector on the draft and review of feedback received; and final Scope of Practice development and sign-off by the Board. The Scope will require gazetting and will be fully operational by the mandatory deadline.

Code of Conduct

In August/September we surveyed the sector and Professional Conduct Committee members on their satisfaction with the current Code of Conduct. We will be progressing a review of the Code in collaboration with the sector in the next period.

Integrated Performance Measurement and Reporting Approach

Over the past six months we have begun work to revise our external accountability and reporting methodology. Previously this was completed in a piecemeal manner. As a result of having a dedicated Policy team, we are now able to progress this work in an integrated fashion, moving towards the production of a suite of resources. The first of these resources is the Data Dictionary, a single source of truth for each performance measure we report against. This has been created as a tool to streamline processes and clearly communicate responsibilities, while providing an opportunity to reflect on our current measures and facilitate space for review. We are working on our Accountability Planning Cycle approach, which supports our ministerial reporting obligations. We have presented our Annual Report and our SPE. We are developing our first Letter of Expectation in conjunction with MSD, for your sign-off. This will position us to move forward positively

both as a Crown Entity and as the modern regulator of Registered Social Workers. As noted above we are seeking your agreement to defer the Statement of Intent for twelve months.

Review of the Social Work Registration Act 2003

Our Review of the Act has been completed and we are now working with MSD on some small, technical legislative adjustments that MSD will provide advice to you on in early 2021.

Business Operations

Functional Review and Restructure

In early 2020 the SWRB undertook a structure and systems review. This review identified that our structure was no longer fit for purpose and recommended a further functional restructure. This functional work was undertaken in mid-2020 and was consulted on by staff and stakeholders. As a result, the SWRB developed a new matrix management structure including the establishment of a senior leadership team and more clearly aligned functional groups. The final elements of this restructure are still being completed, including recruitment of key staff and the establishment of two new roles: Chief Advisor Social Work and Workforce Planning and Policy Manager.

IT database- iMIS development project

The development phase of the iMIS project has been completed during the period. The new database went live in November. As with all new IT systems there have been some teething problems, but overall iMIS is providing us with increased functionality, speed of information sourcing and better-quality reporting.

Developments Relating to the Board

Our new Board members are settling into their roles well, and their insights and contributions are making a positive difference to Board discussion and decision making. The Board agreed to an updated Governance Manual at a high level in December 2020. Details will be revisited by June 2021. The Board is in the process of refreshing the ngā uara (values) of the organisation with the support of the Secretariat, including the Chief Advisor Māori Development. There is more detail regarding this in the Māori Development section above.

The Board will finalise these values at the February meeting, along with a discussion to update the organisation's vision to better reflect the new mandatory environment and the workforce planning function.

Two Board members' terms come to an end in December 2021 and we are providing advice to MSD on the appointment process and timeline.

Highlights from the period

- (1) Restructure of the SWRB to support the drive to mandatory registration and the future state of the organisation.

- (2) Implementation of a new registration database and the efficiencies that this brings to our systems and processes.

Financial reporting

Finances Against Budget Expectations

Overall, the year to date is slightly behind budget, driven by a lower than forecast revenue with expenses on budget. There has been some delay in the volume of registration applications and practicing certificate revenue. In part this is due to teething issues with the implementation of a new registration database and the way invoices are issued. Processing of applications has been prioritised ahead of mandatory registration coming into effect in February 2021.

Reserves remain healthy although it is anticipated that by the end of the financial year the level will be less than budget. We will undertake a reforecast in February 2021 to better understand the results against budget. If registration applications (including experience pathway applications) continue to be at a lower volume there will be a flow on effect for revenue, including through the practicing certificate and Disciplinary Levy.

The funding review will begin in January 2021 to provide the Board with advice regarding the 2021/22 year.

The financial accounts for the period are attached as Appendix 1.

Statement of Performance Expectations (SPE) 2020/2021 measures – Progress Reporting

| Measure and Target | Quarter One 20/21 Actuals | Quarter Two 20/21 Actuals |
|--|---|---|
| % of overseas qualification assessments (non-binding assessments) processed within one month of being received. Target 20/21: 80 – 85% | Exceeded target 92% | Exceeded target 94% |
| % of complaints ¹ received responded to within 20 working days. Target 20/21: 65 – 80% | Exceeded target 82% ² | Exceeded target 100% |
| % of applicants/RSWs who require a refund receive one within 60 working days. Target 20/21: 75 – 80% | Exceeded target 94% ³ | Exceeded target 85% |
| Stakeholders are kept informed of changes to the regulatory framework resulting from the implementation of the Social Work Registration Act 2003 Target 20/21: Stakeholders are kept informed through <ul style="list-style-type: none"> at least 4 issues of OnBoard newsletter the website is kept up to date and collateral is developed | On Track OnBoard newsletter issued: 13 July, 12 August, 23 September 2020. In August we started phase 1 of our advertising campaign. We designed posters/ graphics to help promote our 'stand up' campaign. 41 information sessions with a range of stakeholders including social workers, employers, and social work students. | Exceeded target (within first six months of the year) OnBoard newsletter Issued: 30 October, 30 November, 17 December 2020. On October 28 we mailed out Employer Packs to our updated employer list. These included a letter, a flyer regarding how to register, an s13/Experience Pathway flyer and 3 versions of our phase one campaign posters. 26 information sessions with a range of stakeholders including social workers, employers and social work students. |
| Ensure education providers are meeting minimum standards by completing. Target 20/21: 3 programme re-recognition reviews and 3 programme mid-cycle reviews | On Track <ul style="list-style-type: none"> 1 programme re-recognition 1 programme mid-cycle review | On Track <ul style="list-style-type: none"> 2 programme re-recognitions 1 programme mid-cycle review |
| % of applicants who report being satisfied with registration process, including timeliness. Target 20/21: 80 – 85% | 38% Below target | 57% Below target (69 responses to survey) |
| % of applicants who report being satisfied with practising certificate renewal process, including timeliness. Target 20/21: 80 – 85% | 77% Below target | 63% Below target (12 responses to survey) |

¹ This measure includes all forms of complaints and notifications received excluding self-declarations.

² This figure includes all types of notifications received by the SWRB excluding self-declarations.

³ This figure includes 4 refund requests relating to payments from the previous financial year that we were not notified of until Quarter this year.

SWRB Focus Areas for the coming period

- 1** **Māori Development:** Developing Active Partnering with Māori strategy and action plan. This will include finalising the SWRB values and organising and holding our first Kāhui meeting (to provide cultural advice to the Board).
- 2** **Regulatory Compliance:** In the Registration space we are prioritising registration applications as we move towards mandatory registration and following up on newly registered social workers obtaining practising certificates. In Complaints and Notifications, the focus is on transferring complaints information onto iMIS (our new database) and continuing with the implementation of our new team structure. We will begin work tracking complaints trends and volumes.
- 3** **Sector Support and Engagement:** Recruitment of the Chief Advisor: Social Work, providing ongoing digital Q&A registration sessions, offering sector information regarding registration costs and support, and monthly video blogs from the Chief Executive to keep the sector up to date.
- 4** **Workforce Planning and Policy:** Gazetting and publishing the Scope of Practice in preparation for mandatory registration on 27 February. We are also continuing work on the Code of Conduct and have ongoing work reviewing Operational Policies. Work to scope our initial piece of workforce planning research will continue.
- 5** **Business Operations:** Complete implementation and refine functionality of iMIS (new registration database). Continue to update IT systems to ensure services can be used for Flexible Working by Default requirements and in support of enhanced security for data and information. Creating and updating internal policies to meet current government and audit requirements (for example, Sensitive Expenditure Policy). We will continue to operationalise our new structure. Funding Review for the 2021/22 year.

Appendix One

BDO Accountants Compilation Financial Reports for the period

Compilation Report

Social Workers Registration Board
For the three months ended 30 September 2020

Compilation Report to the Board of Social Workers Registration Board

Scope

On the basis of information provided by the Board and in accordance with Service Engagement Standard 2 Compilation of Financial Information issued by Chartered Accountants Australia, New Zealand, we have compiled the financial statements of Social Workers Registration Board for the three months ended 30 September 2020.

These are special purpose financial statements that have been prepared for management reporting purposes only. Accordingly they may not contain all the disclosures necessary for a fair presentation in accordance with generally accepted accounting practice.

Responsibilities

The Board are solely responsible for the information contained in the financial statements and have determined that basis of accounting used is appropriate to meet their needs and for the purpose that the financial statements were prepared.

The financial statements were prepared exclusively for your benefit. We do not accept responsibility to any other person for the contents of the financial statements.

No Audit or Review Engagement Undertaken

Our procedures use accounting expertise to undertake the compilation of the financial statements from information you provided. Our procedures do not include verification or validation procedures. No audit or review engagement has been performed and accordingly no assurance is expressed.

Disclaimer

We have compiled these financial statements based on information provided which has not been subject to an audit or review engagement. Accordingly, we do not accept any responsibility for the reliability, accuracy or completeness of the compiled financial information contained in the financial statements. Nor do we accept any liability of any kind whatsoever, including liability by reason of negligence, to any person for losses incurred as a result of placing reliance on these financial statements.



BDO Wellington Limited
50 Customhouse Quay
Wellington 6011

Dated: 20 October 2020

Statement of Profit or Loss

Social Workers Registration Board
For the three months ended 30 June 2020

| Account | July - September 2020 | July - September 2020 Overall Budget | Variance | YTD Actual | YTD Budget | 30 June 2020 Actual Full Year |
|---|-----------------------|---|------------------|------------------|------------------|----------------------------------|
| | \$ | \$ | \$ | | | \$ |
| Income | | | | | | |
| Practising Fees | 494,999 | 669,560 | (174,561) | 494,999 | 669,560 | 2,096,353 |
| Registration Fees | 95,022 | 187,500 | (92,478) | 95,022 | 187,500 | 310,490 |
| Competence Fees | 5,111 | 7,779 | (2,668) | 5,111 | 7,779 | 26,535 |
| Interest Received | 7,057 | 12,501 | (5,444) | 7,057 | 12,501 | 44,115 |
| Implementation Funding | 206,650 | 169,250 | 39,400 | 208,650 | 169,250 | 1,224,000 |
| Crown Funding | 27,750 | 27,750 | 0 | 27,750 | 27,750 | 119,000 |
| Disciplinary Levy | 66,924 | 89,789 | (22,865) | 66,924 | 89,789 | 284,826 |
| Workforce planning income | 181,500 | 181,500 | 0 | 181,500 | 181,500 | 0 |
| Other Income | 72,266 | 145,626 | (73,360) | 72,266 | 145,626 | 145,547 |
| Total Trading Income | 1,159,278 | 1,491,255 | (331,977) | 1,159,278 | 1,491,255 | 4,250,866 |
| Expenses | | | | | | |
| Board | 24,061 | 28,425 | (4,364) | 24,061 | 28,425 | 113,184 |
| Complaints | 28,528 | 17,499 | 11,029 | 28,528 | 17,499 | 76,070 |
| Tribunal | 81,972 | 87,498 | (5,526) | 81,972 | 87,498 | 204,787 |
| Secretarial | 1,050,383 | 1,039,775 | 10,608 | 1,050,383 | 1,039,775 | 3,242,807 |
| Total Expenses | 1,184,943 | 1,173,197 | 11,746 | 1,184,943 | 1,173,197 | 3,636,847 |
| Net Profit (Loss) for the Period | (25,665) | 318,058 | (343,723) | (25,665) | 318,058 | 614,019 |

These financial statements have been prepared without conducting an audit or review engagement, and should be read in conjunction with the attached Comptroller Report.

Balance Sheet

Social Workers Registration Board As at 30 September 2020

| Account | 30-Sep-20 | 30 June 2021 budget | 30 June 2020 Actual Full Year |
|----------------------------------|------------------|---------------------|----------------------------------|
| | \$ | \$ | \$ |
| Current Assets | | | |
| Cash and Cash Equivalents | 901,037 | 679,499 | 1,222,752 |
| Trade and Other Receivables | 100,745 | 164,427 | 1,035,129 |
| GST Receivable | 0 | 0 | 0 |
| Investments | 1,911,098 | 3,813,832 | 1,311,098 |
| Prepayments | 91,424 | 70,160 | 83,330 |
| Total Current Assets | 3,004,304 | 4,727,918 | 3,652,309 |
| Non-Current Assets | | | |
| Property, Plant and Equipment | 100,925 | 94,282 | 90,580 |
| Intangibles | 325,539 | 395,417 | 202,263 |
| Total Non-Current Assets | 426,463 | 489,699 | 292,843 |
| Total Assets | 3,430,768 | 5,217,617 | 3,945,152 |
| Liabilities | | | |
| Current Liabilities | | | |
| Trade and Other Payables | 231,589 | 251,827 | 159,296 |
| GST Payable | 40,231 | 315,139 | 297,639 |
| Accrued Leave | 112,580 | 157,198 | 117,198 |
| Fees received in advance | 1,773,903 | 2,538,010 | 2,081,134 |
| Accrued Liabilities | 61,454 | 40,548 | 37,307 |
| Other Current Liabilities | 97,890 | 55,587 | 98,792 |
| Prepaid Fees - MVCOT | 45,000 | 60,000 | 60,000 |
| Total Current Liabilities | 2,362,646 | 3,418,309 | 2,851,365 |
| Total Liabilities | 2,362,646 | 3,418,309 | 2,851,365 |
| Net Assets | 1,068,121 | 1,799,308 | 1,093,787 |
| Equity | | | |
| Retained Earnings | 1,068,121 | 1,799,308 | 1,093,787 |
| Total Equity | 1,068,121 | 1,799,308 | 1,093,787 |

These financial statements have been prepared without conducting an audit or review engagement, and should be read in conjunction with the attached Compilation Report.

Cashflow Statement

Social Workers Registration Board
For the three months ended 30 September 2020

| | 30/09/2020 \$ | Full Year Budget | 30 June 2020 Actual Full Year \$ |
|--|------------------|--------------------|-------------------------------------|
| Cash Flow from Operating Activities | | | |
| Revenue Received | 1,769,922 | 8,183,517 | 3,327,547 |
| Interest received | 1,509 | 57,504 | 47,146 |
| Payments to Personnel | (617,404) | (2,680,106) | (1,921,168) |
| Payments to Suppliers | (729,959) | (3,277,607) | (1,554,011) |
| Net Cash Inflow/(Outflow) from Operating Activities | 424,068 | 2,283,308 | (100,487) |
| Cash Flow from Investing Activities | | | |
| Receipts from sale of property, plant and equipment | 0 | 0 | 1,693 |
| Receipts from sale or maturity of investments | 100,000 | 1,600,000 | 1,852,145 |
| Purchase of property, plant and equipment | (22,508) | (65,000) | (48,125) |
| Purchase of intangible assets | (123,276) | (255,416) | (202,263) |
| Acquisition of investments | (700,000) | (3,900,000) | (1,311,098) |
| Net Cash Inflow/(Outflow) from Investing Activities | (745,784) | (2,620,416) | 292,352 |
| Net Increase/(Decrease) in Cash and Cash Equivalents | (321,715) | (337,108) | 191,866 |
| Cash and Cash Equivalents at the Beginning for the year/period | 1,222,752 | 1,016,475 | 1,030,887 |
| Cash and Cash Equivalents at the end of the year/period | 901,037 | 679,367 | 1,222,753 |

These financial statements have been prepared without conducting an audit or review engagement, and should be read in conjunction with the attached Compilation Report.

Compilation Report

Social Workers Registration Board For the three months ended 31 December 2020

Compilation Report to the Board of Social Workers Registration Board

Scope

On the basis of information provided by the Board and in accordance with Service Engagement Standard 2 Compilation of Financial Information issued by Chartered Accountants Australia, New Zealand, we have compiled the financial statements of Social Workers Registration Board for the three months ended 31 December 2020.

These are special purpose financial statements that have been prepared for management reporting purposes only. Accordingly they may not contain all the disclosures necessary for a fair presentation in accordance with generally accepted accounting practice.

Responsibilities

The Board are solely responsible for the information contained in the financial statements and have determined that basis of accounting used is appropriate to meet their needs and for the purpose that the financial statements were prepared.

The financial statements were prepared exclusively for your benefit. We do not accept responsibility to any other person for the contents of the financial statements.

No Audit or Review Engagement Undertaken

Our procedures use accounting expertise to undertake the compilation of the financial statements from information you provided. Our procedures do not include verification or validation procedures. No audit or review engagement has been performed and accordingly no assurance is expressed.

Disclaimer

We have compiled these financial statements based on information provided which has not been subject to an audit or review engagement. Accordingly, we do not accept any responsibility for the reliability, accuracy or completeness of the compiled financial information contained in the financial statements. Nor do we accept any liability of any kind whatsoever, including liability by reason of negligence, to any person for losses incurred as a result of placing reliance on these financial statements.

BDO Wellington Limited
50 Customhouse Quay
Wellington 6011

Dated:

Statement of Profit or Loss

Social Workers Registration Board

For the three months ended 31 December 2020

| Account | October - December 2020 | October - December 2020 Overall Budget | Variance | YTD Actual | YTD Budget | 30 June 2020 Actual Full Year |
|---|-------------------------|---|------------------|------------------|------------------|----------------------------------|
| | \$ | \$ | \$ | \$ | \$ | \$ |
| Income | | | | | | |
| Practising Fees | 548,231 | 692,356 | (144,125) | 1,043,224 | 1,361,916 | 2,096,353 |
| Registration Fees | 169,267 | 187,500 | (18,233) | 264,289 | 375,000 | 310,490 |
| Competence Fees | 6,009 | 7,779 | (1,770) | 11,120 | 15,558 | 26,535 |
| Interest Received | 5,232 | 12,501 | (7,269) | 12,289 | 25,002 | 44,115 |
| Implementation Funding | 208,650 | 169,250 | 39,400 | 417,300 | 338,500 | 1,224,000 |
| Crown Funding | 27,750 | 27,750 | 0 | 55,500 | 55,500 | 119,000 |
| Disciplinary Levy | 79,575 | 92,887 | (13,312) | 146,499 | 182,676 | 284,826 |
| Workforce planning income | 181,500 | 181,500 | 0 | 363,000 | 363,000 | 0 |
| Other Income | 111,017 | 145,626 | (34,609) | 170,782 | 291,252 | 145,547 |
| Total Trading Income | 1,337,232 | 1,517,149 | (179,917) | 2,484,003 | 3,008,404 | 4,250,866 |
| Expenses | | | | | | |
| Board | 25,357 | 28,425 | (3,068) | 48,584 | 56,850 | 113,184 |
| Complaints | 22,929 | 19,998 | 2,931 | 56,392 | 39,996 | 93,415 |
| Tribunal | 69,185 | 84,999 | (15,814) | 136,244 | 169,998 | 204,787 |
| Secretariat | 1,209,858 | 1,198,861 | 10,997 | 2,270,219 | 2,238,636 | 3,225,461 |
| Total Expenses | 1,327,328 | 1,332,283 | (4,955) | 2,511,439 | 2,505,480 | 3,636,847 |
| Net Profit (Loss) for the Period | 9,903 | 184,866 | (174,963) | (27,436) | 502,924 | 614,019 |

These financial statements have been prepared without conducting an audit or review engagement, and should be read in conjunction with the attached Compilation Report.

Balance Sheet

Social Workers Registration Board As at 31 December 2020

| Account | 31-Dec-20 | 30 June 2021 budget | 30 June 2020 Actual Full Year |
|----------------------------------|------------------|---------------------|----------------------------------|
| | \$ | \$ | \$ |
| Current Assets | | | |
| Cash and Cash Equivalents | 1,027,866 | 679,499 | 1,222,752 |
| Trade and Other Receivables | 186,908 | 164,427 | 1,035,129 |
| GST Receivable | 0 | 0 | 0 |
| Investments | 1,400,000 | 3,813,832 | 1,311,098 |
| Prepayments | 46,245 | 70,160 | 83,330 |
| Total Current Assets | 2,661,019 | 4,727,918 | 3,652,309 |
| Non-Current Assets | | | |
| Property, Plant and Equipment | 97,887 | 94,282 | 90,580 |
| Intangibles | 397,810 | 395,417 | 202,263 |
| Total Non-Current Assets | 495,697 | 489,699 | 292,843 |
| Total Assets | 3,156,716 | 5,217,617 | 3,945,152 |
| Liabilities | | | |
| Current Liabilities | | | |
| Trade and Other Payables | 165,760 | 251,827 | 159,296 |
| GST Payable | 46,166 | 315,139 | 297,639 |
| Accrued Leave | 119,840 | 157,198 | 117,198 |
| Fees received in advance | 1,524,095 | 2,538,010 | 2,081,134 |
| Accrued Liabilities | 72,421 | 40,548 | 37,307 |
| Other Current Liabilities | 74,083 | 55,587 | 98,792 |
| Prepaid Fees - MVCOT | 88,000 | 60,000 | 60,000 |
| Total Current Liabilities | 2,090,365 | 3,418,309 | 2,851,365 |
| Total Liabilities | 2,090,365 | 3,418,309 | 2,851,365 |
| Net Assets | 1,066,351 | 1,799,308 | 1,093,787 |
| Equity | | | |
| Retained Earnings | 1,066,351 | 1,799,308 | 1,093,787 |
| Total Equity | 1,066,351 | 1,799,308 | 1,093,787 |

These financial statements have been prepared without conducting an audit or review engagement, and should be read in conjunction with the attached Compilation Report.

Cashflow Statement

Social Workers Registration Board For the three months ended 31 December 2020

| | 31/12/2020 | Full Year Budget | 30 June 2020 Actual Full Year |
|---|------------------|--------------------|-------------------------------|
| | \$ | | \$ |
| Cash Flow from Operating Activities | | | |
| Revenue Received | 1,020,738 | 8,183,517 | 3,327,547 |
| Interest received | 11,086 | 57,504 | 47,146 |
| Payments to Personnel | (579,380) | (2,680,106) | (1,921,286) |
| Payments to Suppliers | (733,833) | (3,277,607) | (1,553,893) |
| Net Cash Inflow/(Outflow) from Operating Activities | (281,389) | 2,283,308 | (100,487) |
| Cash Flow from Investing Activities | | | |
| Receipts from sale of property, plant and equipment | 0 | 0 | 1,693 |
| Receipts from sale or maturity of investments | 1,211,098 | 1,600,000 | 1,852,145 |
| Purchase of property, plant and equipment | (10,325) | (65,000) | (48,125) |
| Purchase of intangible assets | (92,554) | (255,416) | (202,263) |
| Acquisition of investments | (700,000) | (3,900,000) | (1,311,098) |
| Net Cash Inflow/(Outflow) from Investing Activities | 408,218 | (2,620,416) | 292,352 |
| Net Increase/(Decrease) in Cash and Cash Equivalents | 126,829 | (337,108) | 191,866 |
| Cash and Cash Equivalents at the Beginning for the year/period | 901,037 | 1,016,475 | 1,030,887 |
| Cash and Cash Equivalents at the end of the year/period | 1,027,866 | 679,367 | 1,222,753 |

These financial statements have been prepared without conducting an audit or review engagement, and should be read in conjunction with the attached Compilation Report.