



**Social Workers
Registration Board**
Kāhui Whakamana Tauwhiro

STATEMENT OF INTENT 2013–2016

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

New Zealand Government



Contents

OPENING STATEMENT	2
OVERVIEW FROM THE BOARD CHAIR	3
MOVING FORWARD:	
THE NEXT THREE YEARS	5
OUR ROLE	5
OUR SERVICES	6
WHO WE SUPPORT	7
WHO WE WORK WITH	7
CONTRIBUTING TO GOVERNMENT PRIORITIES	7
THE BOARD'S CONTRIBUTION TO GOVERNMENT OUTCOMES	9
OUR STRATEGIC PRIORITIES	9
REPORTING TO THE RESPONSIBLE MINISTER	10
ORGANISATIONAL CAPABILITY/HEALTH	10
MEMBERS AND OPERATION OF THE BOARD	12
OPERATING FRAMEWORK	13
IMPACT 1	14
IMPACT 2	15
IMPACT 3	16
IMPACT 4	18
IMPACT 5	18
PROSPECTIVE STATEMENT OF SERVICE PERFORMANCE AND FORECAST FINANCIAL INFORMATION	20
STATEMENT OF RESPONSIBILITY	20
PROSPECTIVE STATEMENT OF SERVICE PERFORMANCE	21
OUTPUT 1: REGISTRATION	23
OUTPUT 2: EDUCATION	25
OUTPUT 3: ACCOUNTABILITY	27
OUTPUT 4: PROFESSIONAL STANDARDS	30
OUTPUT 5: INFORMATION AND PROMOTION	32
FORECAST FINANCIAL STATEMENTS FOR THE YEAR ENDED 30 JUNE 2014	36
STATEMENT OF COMPREHENSIVE INCOME	37
STATEMENT OF MOVEMENTS IN EQUITY	37
STATEMENT OF FINANCIAL POSITION	38
STATEMENT OF CASH FLOWS	39
STATEMENT OF ACCOUNTING POLICIES	40

OPENING STATEMENT

This Statement of Intent has been prepared to meet the requirement of section 139(1) of the Crown Entities Act 2004.

It describes the three-year strategic direction set by the Social Workers Registration Board (the Board), as the Crown entity established to give effect to the Social Workers Registration Act 2003.

The purpose of the Statement of Intent is to promote the public accountability of the Board by:

- enabling the Crown to participate in the process of setting the Board's medium-term intentions and undertakings
- setting out for the House of Representatives those intentions and undertakings
- providing a base against which the Board's actual performance can be assessed.

The Statement of Intent is supported by a Memorandum of Understanding with the Minister for Social Development and Employment.



Toni Hocquard
Board Chair

17 May 2013



Toni Millar
Chair – Finance Audit and
Risk Management Committee

OVERVIEW FROM THE BOARD CHAIR

The Social Workers Registration Board was established through the passing of the Social Workers Registration Act in 2003 and this year the Board will have been in operation for 10 years.

In 2011/2012 the Board focused on consulting with the social work profession, employers of social workers and the public on moving to Mandatory Registration as well as undertaking a review of the Social Workers Registration Act 2003.

The results of the consultation process indicated to the Board that there was overwhelming support for mandatory registration and the Board proposed a move to mandatory registration as a result of this and the review of the Act undertaken by the Board.

The Board had hoped that the White Paper for Vulnerable Children would have announced the move to mandatory Registration for Social Workers. Despite the unswerving support from our Minister this did not occur although there was a clear direction that registration in both the government and non-government sector was both supported and encouraged.

The Board's position on the need to move to mandatory registration remains the same and the Board will continue to call for this to happen.

The Board does not seek any direct Crown funding to support its regulatory functions but expects that, as with other registered professions, the entire profession should be responsible for funding the Board.

The entire profession should also have the opportunity to take advantage of the reduction in costs that mandatory registration would provide rather than have the costs of the regulatory function shouldered by those who voluntarily accept to be held accountable for their practice.

The Board believes that the economy of scale provided by mandatory registration would allow for a reduction in fees to approximately one half of the current cost. This would go a long way to reduce the current cost barrier that some in the non-government sector (NGO) have identified as well as saving the government a considerable amount of money that could be redirected to support registration in the NGO sector.

The Annual Practising Certificate cost for 2012/2013 for social workers employed in the state sector total were \$821,744.00

The first-time application costs for social workers employed in the state sector applying for registration in 2011/2012 were \$119,968.00

Competence Assessment and recertification costs would bring the total in one financial year to approximately \$1,000,000.00

Reducing these costs by half would free up approximately \$500,000.00 of currently allocated government spending that could be redirected to the NGO sector. This amount would enable more than 2,750 social workers to apply for registration if the current fee was halved.

The benefits associated with mandatory social worker registration will become more marked if more social workers can access registration by reducing the cost.

The lack of quantified benefits attributable to mandatory registration of social workers has been one of the few reasons given by those who question the need to move to mandatory registration.

Currently, there is a view that those social workers who have voluntarily registered are those we should focus on to illustrate the benefits of registration. That is, has their practice improved and are we now protecting the public?

The Board is placed in an unenviable position when trying to provide this evidence as there is no baseline data available prior to the introduction of registration and it is extremely difficult to assess the value of intervention by registered social workers when not all social workers are registered.

The Board is of the view, however, that the 3984 social workers who have VOLUNTARILY chosen to be registered are not the issue, and this is evident in the low number of complaints that have been upheld.

But regulation is often not about impacting on the behaviour of those already 'doing the right thing', it is about protecting the public from those who aren't.

The issue of protecting the public is core to the Social Workers Registration Act 2003 but we discovered through the Public Survey completed to inform the Mandatory Registration Discussion Document (see page 16 of SWRA Review Report October 2012) that:

- 81% of the public thought that social work registration was already a requirement
- 80% of the public thought that social workers were required to have a minimum qualification
- 92% thought they could make a complaint to at least one agency in the event of poor practice or behaviour
- 88% thought that a social worker could be struck off if a complaint was upheld.

Given the public misconception regarding social work registration, and whether or not the public are protected, we strongly believe that social work registration is necessary.

Since the passing of the Act in 2003, the Board has raised the bar in terms of the requirements to practise social work for registered social workers including raising the minimum qualification for registration from a two year Diploma to a four year Bachelor's degree. This recognises the knowledge base and skill level required to operate as a social worker responding to the multiple and complex needs of our vulnerable populations, particularly children.

Our regret at the moment is that given that the rest of the world is moving to registration for social workers we are being left behind.

We have yet to have the opportunity to have the issue of mandatory registration of social workers debated in Parliament but we will continue to advocate on behalf of the social work profession, employers of social workers, and more importantly, the public who receive social work services to ensure that this happens.



Toni Hocquard
Board Chair

MOVING FORWARD: THE NEXT THREE YEARS

OUR ROLE

For the purposes of the Public Finance Act 1989 the Board is a Crown entity established by the Social Workers Registration Act 2003 (the Act).

The major purpose of the Act is to protect the safety of members of the public, by prescribing or providing for mechanisms to ensure that social workers are:

- competent to practise; and
- accountable for the way in which they practise.

Section 99 of the Act sets out the Board's functions and these can be grouped as follows in direct alignment with Board outputs:

Managing the registration of social workers

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

Considering complaints against Registered Social Workers

- by maintaining a Complaints and Disciplinary Tribunal and providing administrative and related services for the Tribunal
- by promoting the establishment by organisations that employ social workers, of accessible and efficient procedures for making, considering and determining complaints relating to social workers they employ.

Enhancing the professionalism of social workers

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

Promoting the benefits of registration

- by promoting the benefits of registration among people practising as social workers, to bodies and organisations that employ social workers, and to the New Zealand public
- by acknowledging the status of Registered Social Workers as qualified, competent and regulated professionals
- by reinforcing the place of Registered Social Workers as contributing members of multi-disciplinary teams working within many sectors.

Setting the standards for social work education and training

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

OUR SERVICES

The Board provides a range of interlinked services to the public who engage with social workers, the social work profession, providers of social work education and to the employers of social workers in Aotearoa New Zealand.

Registration

The Board provides:

- the application forms and guidance notes for social workers wishing obtain competence assessment
- the application forms and guidance notes for social workers wishing to apply for registration
- web-based downloads of forms and online information requests relating to recognised social work qualifications, applications for competence, and information on maintaining registration
- contact with registration staff via phone and email for general information on the requirements for competence assessments and registration
- follow-up telephone calls, email and written correspondence advising of competence and registration progress as well as support to complete the registration process.

Qualification standards

The Board sets the standards for social work education and training in New Zealand by:

- consulting with providers and other bodies that set standards for social work education and training in New Zealand, to promote and set standards
- undertaking five yearly programme recognition panel visits to all Board-recognised social work qualification providers
- providing ongoing advice and guidance to social work qualification providers on maintaining a recognised qualification and any issues regarding changes to programme delivery
- providing updates on Board policies regarding the process for recognition/re-recognition of social work qualifications.

Complaints system

The Complaints and Disciplinary Tribunal provides:

- the mechanism for anyone to make a complaint, either verbally or in writing, regarding the provision of social work services by Registered Social Workers
- Complaint Assessment Committees whose role is to investigate complaints against Registered Social Workers and provide recommendations to the Tribunal on whether:
 - the Board should review the competence or fitness of the Registered Social Worker concerned to practise social work (or both); or
 - it should submit the complaint to conciliation; or
 - it should submit the complaint or conviction to the Tribunal for a hearing; or
 - no further steps should be taken under the Act in relation to the complaint or conviction for hearings of complaints based on recommendations from the Complaints Assessment Committees.

Professional development

The Board provides:

- guidelines for Registered Social Workers around continuing professional development to support them to maintain registration
- web-based downloads, forms and online information relating to continuing professional development and the ongoing maintenance of registration
- contact with registration staff via phone and email to provide general information on the requirements for continuing professional development and maintaining registration
- regular audit of Registered Social Workers, continuing professional development
- follow-up telephone calls, email and written correspondence advising of audit requirements as well as advice for completion of professional development logs and audit requirements.

Information and promotion

The Board provides information to the public, the profession and employers of social workers on:

- obtaining and maintaining registration
- Registered Social Workers and whether they hold current practising certificates and valid competence certificates
- the process for making complaints about the provision of social work services provided by Registered Social Workers.
- the rights of people receiving social work services
- the responsibilities of Registered Social Workers.

WHO WE SUPPORT

The Board provides services to a wide ranging audience both in New Zealand and overseas including:

- school students and school leavers seeking information on social work careers and social work qualification providers
- parents, families and whānau seeking information on social work services, service providers, complaint processes, and general guidance
- social workers, both in New Zealand and social workers overseas looking to immigrate to New Zealand, seeking information on applying for competence certificates, applications for registration, maintaining registration, professional advice and general guidance
- employers of social workers seeking information on registering staff, ensuring potential or current employees are eligible for registration, the requirements for staff to maintain registration and the obligations of employers with registered social workers on staff
- overseas regulatory authorities seeking information on New Zealand social workers regarding qualifications and registration status.

WHO WE WORK WITH

The Board works in partnership with government agencies, non-government organisations, tertiary education providers, organisations that provide social services and those who receive those social services. As a statutory regulation authority the Board operates in collaboration with a variety of other organisations and agencies in the education, employment and social development sectors. Social work is a varied and diverse profession employed across education, health, Corrections, child protection and a variety of non-government, community and iwi-based organisations.

CONTRIBUTING TO GOVERNMENT PRIORITIES

The Board contributes to the Government's priorities, with regard to providing better public services, across a number of areas as social workers play an ever increasing part in the delivery of education, social services, welfare reform, law and order and health.

Education

The Board is responsible for setting the standards for social work education and training in New Zealand and as such supports the Government's education priorities of ensuring New Zealanders have the skills they need to participate in the global economy and building a high-quality tertiary education system.

The standards set by the Board ensure consistent delivery of social work education across tertiary providers, and ensure that graduates possess competencies expected of entry-level social work practitioners both here in New Zealand and overseas.

Social services

Taking a new approach to providing social services and ensuring social service agencies deal with the needs of the family as a whole, and in particular the needs of children is a Government priority fully supported by the Board. Social workers are the backbone of social service delivery in New Zealand. Social worker registration is primarily about ensuring that the public is provided with professional and competent social work services and that the providers of those services are continually developing their skills and are held accountable for the services they provide. This is particularly important given that social workers are often dealing with our most vulnerable citizens at crisis points in their lives.

Welfare reform

The Government's priority with regard to welfare reform is to improve results by addressing long-term dependency and to focus on supporting sickness and invalid beneficiaries and beneficiaries with children back to work as well as ensuring young people have the skills and support needed to get work and keep it. Social workers are engaged across the welfare sector and work on a daily basis to reintegrate and support beneficiaries into the workforce. Likewise, social workers are also committed to ensuring young people have the opportunities, skills, and support to get work and keep it.

Law and order

Social workers are involved at the front line in providing for a safer New Zealand and addressing the drivers of crime. Social workers are active across New Zealand communities:

- providing maternity and early parenting support
- working with young people with behavioural problems
- implementing programmes to minimise alcohol-related harm
- providing support to those at most risk of offending
- supporting victims of offending.

Those providing these services are often given titles such as Whānau Support, Victim Support, Family Support, probation officer, case manager, etc., but are, more often than not, provided by professionally qualified social workers. In cases where the providers are not qualified social workers, the services provided utilise social work frameworks and adhere to social work codes of conduct and align with the social work profession. To ensure that the Government's priorities are met, the Board has a responsibility to ensure that those providing social work services meet the minimum criteria set by the Board and are held accountable for the services they deliver independent of the title under which they practise.

Health and ACC

Social workers represent the largest allied health profession working in the health sector and as such are involved in supporting the Government's priority of high-quality public health-care delivery.

As members of multi-disciplinary teams working across the health sector and ACC, social workers play an increasingly important role in front-line services. If health targets are to be met, the Board has a responsibility to ensure that those providing social work services in the Health and ACC sector also meet the minimum criteria set by the Board and are held accountable for the service they deliver.

THE BOARD'S CONTRIBUTION TO GOVERNMENT OUTCOMES

The Board will measure its contribution to the Government priorities listed above through:

- the number of social work graduates registering under the SWRB Graduate Competence Policy
- the number of Board-recognised providers of social work qualifications
- the evaluation results of services delivered to tertiary providers
- an increase in the number of social workers applying for and maintaining registration
- a decrease in the number of Registered Social Workers not maintaining valid competence certificates and Annual Practising Certificates
- the evaluation results of services delivered to the public, the profession and the employers of social workers.

OUR STRATEGIC PRIORITIES

The Board acknowledges that the current voluntary registration environment is the major challenge to ensuring that the public receives social work services from qualified and competent practitioners.

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

The Board will continue to focus on the following priorities for 2013–2016

1 Registration

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

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

2 Education

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

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

3 Accountability

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

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

4 Professional standards

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

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

5 Information and promotion

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

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

REPORTING TO THE RESPONSIBLE MINISTER

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

The Board is also required by the Crown Entities Act (s150) to provide the Minister with an Annual Report on its operations for each year. The Annual Report will provide certain financial information about the Board, Board members, and employees. As well as this formal reporting obligation, the Board is empowered by its Act [s99 (1) (I)] to advise and make recommendations to the Minister in respect of matters relating to the regulation of the social work profession.

The Social Workers Registration Act 2003 requires that the Board undertakes a five-yearly review of the Act and this review occurred during 2011/2012. The review was presented to the Minister in December 2012 and detailed the feedback received from the public, the profession, and employers of social workers on the issue of moving to mandatory registration as outlined in the Board discussion document released in early 2011. The majority of those responding to the discussion paper (95%) were in favour of moving to mandatory registration.

ORGANISATIONAL CAPABILITY/HEALTH

The Board was appointed with the introduction of the Act in 2003 and began to build the operational policy requirements for registration in early 2004. By 1 October 2004, the Board had developed the key policy and registration documents required to support registration, set up a national office in Wellington, appointed staff and was ready to accept applications.

Since that time over 4,000 social workers have been registered by the Board.

The Board is reliant on income generated by the application fees for registration and Annual Practising Certificates in order to maintain a small but efficient office with seven full-time staff.

The Board has reviewed its business continuity plans, especially relating to responding to a major natural disaster, and is assured that the Board secretariat could continue the operation activities required of it. Core staff would be able to operate away from the office. Electronic and hard copies of necessary files are stored off-site and the secretariat would be able to re-establish computer files on secure external servers if necessary.

The Board's information and communication systems, along with associated policies, will be reviewed and updated to ensure that they are compliant with the recently promulgated Directions and Priorities for Government ICT.

The Board is confident that the social work profession is ready to move to a mandatory registration environment, and in anticipation of this move, the Board will continue to work to increase the number of Registered Social Workers renewing their Annual Practising Certificates as well as increasing the number of social workers applying for registration.

A major concern is that currently the Board supports a regulatory framework for the whole social work profession but is financially supported by only those social workers who voluntarily register.

The cost of implementing and maintaining the registration process is, therefore, not carried by the whole profession and this could potentially have a negative effect on the continuing viability of the Board.

One example of this disparity is that the Board is required to promote and set standards for social work education and training in New Zealand. The Board operates a five-yearly social work qualification recognition process on a cost-recovery basis but is increasingly finding that resources are required to support social work education and training on a day-to-day basis.

The costs associated with this are covered by the application and Annual Practising Certificate fees of registered social workers the majority of whom already hold a social work qualification. They are, therefore, in effect financially supporting the education and training of other social workers who may choose not to register.

With the responsibility for currently managing the registration of over 4,000 Registered Social Workers the Board is confident of its ability to implement the regulatory function for the social work profession. The Board does recognise, however, that at some point there is a limit to how long it can continue to rely on a subset of the profession carrying the financial burden for the wider profession.

There is no expectation that the growth in applications for registration is expected to decrease and as such the Board is very aware of the need to maintain a regulatory framework to support the operations of the Board.

As part of the review of the Social Workers Registration Act, the Board has assessed its organisational capability with regard to its ability to sustain continued growth while registration remains voluntary or is in a transitional stage to mandatory registration, and will report on this to the Minister.

The Board is fully aware that any move to implementing mandatory registration would require a structured regulatory framework for registration for between 6,000–8,000 social workers. This is double what is currently provided for although the capacity to manage an increase has been allowed for in the Board's planning.

The Board is confident that the operational processes are in place to manage any increase but is cautious that any transitional arrangements would need to be backed up with the resources required to support the move to mandatory registration.

MEMBERS AND OPERATION OF THE BOARD

Under the Act, the Board has up to 10 members who have a strong understanding of the social work environment and cultural contexts of New Zealand society.

The Board is committed to a clear governance/management division of responsibility and supports the efforts of the Chief Executive and Registrar to ensure that all people working for the Board (in a permanent or contracted capacity) share the same vision of the way the Board and its people are to operate.

The Board operates a forward-planning environment and has implemented a Board committee structure to enable this, as well as operating a Risk Management Strategy.

The following standing committees of the Board are tasked, along with the Chief Executive, with the strategic direction of the Board:

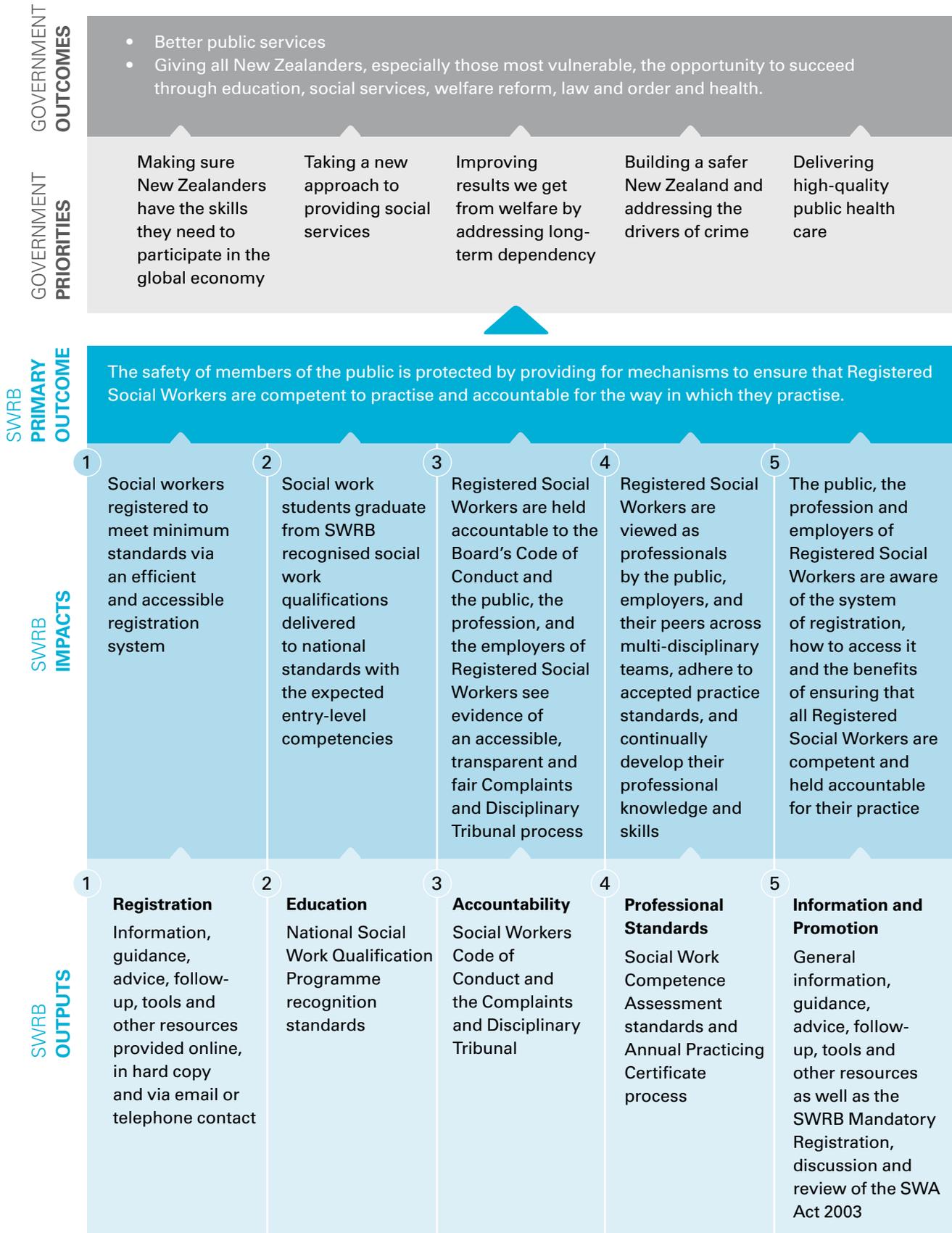
- Finance, Audit and Risk Management Committee
- Policy Development and Review Committee.

The Board employs seven full time permanent staff, and, according to need, has engaged contract staff for such purposes as legal, accounting and information technology support.

Name		Date of original appointment	Expiry date of present term
Toni Hocquard – <i>Board Chair</i>	Registered	1 August 2008	28 February 2014
Mary Miles	Registered	1 September 2008	30 June 2014
Jim Heays	Registered	1 December 2012	30 November 2015
Michelle Derrett	Registered	11 February 2013	10 February 2016
Dianne Wepa-Belz	Registered	11 February 2013	10 February 2016
Shayne Walker	Registered	11 February 2013	10 February 2016
William Pua	Non-Registered	1 September 2011	31 August 2014
Sara Georgeson	Non-Registered	1 September 2011	31 August 2014
Toni Millar	Non-Registered	1 September 2011	31 August 2014
Turitea Bolstad	Non-Registered	11 February 2013	10 February 2016

OPERATING FRAMEWORK

This framework outlines the services the SWRB intends to deliver, the expected results, and how the work of the SWRB will contribute to government goals.



The Social Workers Registration Board primary outcome is to ensure the safety of the public when they receive social work services. Registration is, however, voluntary under the Social Workers Registration Act 2003 and therefore the Board only has oversight over individual social workers who choose to register. When registration is made mandatory, all Social Workers will be held accountable to the Board for their practice.

By utilising the mechanisms available to the Board under the Social Workers Registration Act 2003 the Board is able to ensure that Registered Social Workers are competent to practise and accountable for the way in which they practise. The following tables provide trend information of the Board's impacts as a result of its regulatory activities:

IMPACT 1

Social workers registered to meet minimum standards via an efficient and accessible registration system

Social Workers will value registration and the SWRB will implement an efficient system to ensure that applicants meet the minimum standards to practise as Registered Social Workers.

Indicator	2009/10 (actual)	2010/11 (actual)	2011/12 (actual)	2012/13 (to date)	2013/14 (estimate)	2014/15 (forecast)	2015/16 (forecast)
Number of social workers applying for registration	397	547	585	453	500	500	500
Number of social workers having registration approved.	303	445	603	465	500	500	500

Application packs are sent out to all individuals who intend to register. The application packs include guide notes and instructions on all that is required to meet the minimum criteria for registration. Applications are not accepted or recorded if the information provided does not meet the minimum criteria for assessment and the application is returned to the applicant.

Only complete applications that meet the minimum criteria are presented to the Board for approval. The Board are advised by the assessment staff if an application should be reviewed as a result of a specific issue. To date there is no evidence that any Social Worker registered by the Board has not met the minimum standards. Since 2005 only three applicants have appealed the decision of the Board not to register them and none of the three appeals were upheld.

IMPACT 2

Social work students graduate from SWRB-recognised social work qualifications delivered to national standards with the expected entry-level competencies

Potential social workers will see the value of a recognised social work qualification and providers will adhere to the national standards.

Indicator	2009/10 (actual)	2010/11 (actual)	2011/12 (actual)	2012/13 (to date)	2013/14 (estimate)	2014/15 (forecast)	2015/16 (forecast)
Qualification providers meeting programme recognition standards	15	15	16	17	17	17	17
Number of social work students graduating from recognised social work qualification providers	343	465	600	TBA	700	750	750

All Social Work qualifications at degree level or higher delivered by tertiary institutions have been assessed and recognised by the Board.

All students studying towards a social work qualification at degree level or higher will therefore be undertaking an SWRB Recognised Social Work qualification.

IMPACT 3

Registered Social Workers are held accountable to the Board's Code of Conduct and the public, the profession, and the employers of Registered Social Workers see evidence of an accessible, transparent and fair Complaints and Disciplinary Tribunal process.

The public and the profession will hold Registered Social Workers to account for their practice and the SWRB will act on complaints

Indicator	2009/10 (actual)	2010/11 (actual)	2011/12 (actual)	2012/13 (to date)	2013/14 (estimate)	2014/15 (forecast)	2015/16 (forecast)
Number of complaints received	14	22	26	28	35	40	45
Number of complaints received that are referred to Health and Disability Commission	1	0	0	0	2	3	4
Number of complaints received that are currently under investigation	8	17	16	14	25	30	35
Number of complaints received that are referred to Board for a competence review or supervision	1	0	0	1	4	5	6
Number of complaints received that are referred to a Tribunal Hearing	0	0	0	0	2	3	4
Number of complaints received that are Resolved or Decision to take No Further Action	4	5	10	3	15	18	25
Number of complaints upheld and action taken during the year to address the practise of the Registered Social Worker.	5	6	10	5	10	13	20

The SWRB records all complaints received but can only act on complaints about Registered Social Workers as per the Social Workers Registration Act 2003.

If a complaint does not meet the threshold of a breach of the SWRB Code of Conduct, the Chair of the Tribunal can still refer the Registered Social Worker to the Board for a review of the competence or fitness of the Registered Social Worker to practise.

If a complaint against a Registered Social Worker is accepted by the Chair of the Tribunal it is referred to a Complaints Assessment Committee (CAC).

Once an accepted complaint is assessed by the CAC there are four options available to resolve the complaint:

- 1 Make a determination that no further steps should be taken.
- 2 Refer the complaint to Conciliation to try to help the Registered Social Worker and the complainant concerned to resolve the complaint by agreement.
- 3 Refer the Registered Social Worker to the Board to review the competence or fitness of the Registered Social Worker to practise.
- 4 Refer to a hearing of the Tribunal

Only one complaint has been referred to the Tribunal for a hearing since the Tribunal was established. The Tribunal effectively utilises the conciliation process when dealing with complaints.

Many complaints remain open for some time as often the process of investigating a complaint on behalf of a complainant is lengthy and requires considerable work by the SWRB to extract information from the complainant and/or the organisation employing the Registered Social Worker.

IMPACT 4

Registered Social Workers are viewed as professionals by the public, employers, and their peers across multi-disciplinary teams, adhere to accepted practice standards and continually develop their professional knowledge and skills

Registered Social Workers and their employers will recognise the value of maintaining professional registration.

Indicator	2009/10 (actual)	2010/11 (actual)	2011/12 (actual)	2012/13 (to date)	2013/14 (estimate)	2014/15 (forecast)	2015/16 (forecast)
Number of Registered Social Workers eligible for the renewal of an Annual Practising Certificate	2485	2942	3522	3923	4425	4925	5425
Number of Registered Social Workers applying for the renewal of an Annual Practising Certificate	2078 (84% of total)	2475 (84% of total)	2951 (84% of total)	3321 (85% of total)	3761 (85% of total)	4186 (85% of total)	4611 (85% of total)
Number of Registered Social Workers indicating that they are no longer practising	255 (10% of total)	392 (13% of total)	403 (12% of total)	527 (13% of total)	443 (10% of total)	493 (10% of total)	543 (10% of total)
Number of Registered Social Workers not applying for the renewal of an Annual Practising Certificate	152 (6% of total)	75 (3% of total)	168 (5% of total)	75 (2% of total)	221 (5% of total)	246 (5% of total)	271 (5% of total)

Registration of social workers in New Zealand remains voluntary at this time.

The Board actively promotes registration of un-registered social workers. The Board also encourages Registered Social Workers to maintain their registration and employers to support the registration of the social workers they employ.

IMPACT 5

The public, the profession, and employers of Registered Social workers are aware of the system of registration, how to access it and the benefits of ensuring that all registered

Social Workers are competent and held accountable for their practice. Registered Social Workers and their Employers will recognise the value of applying for professional registration and the public will be assured of increased competent, accountable social work practice when they engage with social workers across the profession.

Indicator	2009/10 (actual)	2010/11 (actual)	2011/12 (actual)	2012/13 (to date)	2013/14 (estimate)	2014/15 (forecast)	2015/16 (forecast)
The number of Registered Social Workers employed by government departments	964 (40%)	1024 (35%)	1080 (32%)	1164 (30%)	1305 (30%)	1453 (30%)	1628 (30%)
The number of Registered Social Workers employed by district health boards	552 (23%)	710 (24%)	894 (26%)	1070 (28%)	1239 (28%)	1379 (28%)	1519 (28%)
The number of Registered Social Workers employed by the NGO sector	492 (21%)	566 (19%)	695 (20%)	835 (21%)	996 (23%)	1108 (23%)	1248 (23%)
The number of Registered Social Workers self-employed or with multiple employers	76 (3%)	142 (5%)	211 (6%)	160 (4%)	266 (6%)	296 (6%)	326 (6%)
The number of Registered Social Workers employed by recognised social work education providers	48 (2%)	108 (4%)	142 (4%)	167 (4%)	177 (4%)	197 (4%)	217 (4%)
The number of Registered Social Workers not currently practising	255 (11% of total)	392 (13% of total)	403 (12% of total)	527 (13% of total)	443 (10% of total)	493 (10% of total)	543 (10%)

The above table indicates where Registered Social Workers are employed and the percentage of Registered Social Workers employed in the different sectors.

Currently over 4000 social workers are registered in the current voluntary registration environment. The Board will actively work to increase this number in order to ensure that the public are protected when they engage with a Registered Social Worker and that Registered Social Workers are held accountable for their practise.

The registration of all social workers in New Zealand is the Board's goal. The Board will continue to work to achieve this under the current voluntary registration environment and will also continue to advocate for mandatory registration. By protecting the title 'Social Worker' under the Social Workers Registration Act 2003 the public will be better served by ensuring that only those recognised by the SWRB as qualified and competent to use the title can.

PROSPECTIVE STATEMENT OF SERVICE PERFORMANCE AND FORECAST FINANCIAL INFORMATION

STATEMENT OF RESPONSIBILITY

The Social Workers Registration Board is a Crown agent under the Crown Entities Act 2004 with its role established under the Social Workers Registration Act 2003 to:

- (a) protect the safety of members of the public, by prescribing or providing for mechanisms to ensure that social workers are —
 - (i) competent to practise; and
 - (ii) accountable for the way in which they practise; and
- (b) for the purposes of paragraph (a), to create a framework for the registration of social workers in New Zealand, and —
 - (i) establish a Board to register social workers, and provide for its powers; and
 - (ii) establish a tribunal to consider complaints about Registered Social Workers; and
- (c) to provide for the Board to promote the benefits of registration of social workers —
 - (i) to departments of State, other instruments of the Crown, other bodies and organisations that employ social workers, and the public; and
 - (ii) among people practising social work; and
- (d) to enhance the professionalism of social workers.

The Social Workers Registration Board is responsible for the preparation of the Statement of Intent and prospective financial statements, including the assumptions on which the financial statements are based. The prospective financial statements have been prepared in accordance with NZ IFRS.

The Social Workers Registration Board does not intend to update and republish the prospective financial statements. This departure from FRS-42 is necessary to allow the impacts of the transition to NZ IFRS to be identified and quantified.

The prospective financial statements have been developed for the purpose of presenting the Social Workers Registration Board's intentions in Parliament, and should not be relied upon by any other party for any alternative purpose without the express written permission of the Social Workers Registration Board.

Actual results are likely to be different from the prospective financial statements and the variation may be material.

We have authorised the issue of the financial statements on this day, 17 May 2013.



Toni Hocquard
Board Chair

17 May 2013



Toni Millar
Chair – Finance Audit and
Risk Management Committee

PROSPECTIVE STATEMENT OF SERVICE PERFORMANCE

The performance standards related to the Board's outputs for 2013/2014 are set out below.

Expenditure on outputs for 2013/2014 will be funded by payments received by the Board from social workers who apply for registration and from Registered Social Workers.

The programmes for 2014/2015 and 2015/2016 are dependent on performance achievements in 2013/2014 and the Board will review out-year figures as more information becomes available.

Third Party revenue expenditure	Income	Expenditure
Application and registration fees	1,296,650	
Programme recognition and other income	60,500	
Interest	25,000	
Total	1,382,150	1,358,500

Note: All figures are GST exclusive.

This will be allocated to outputs as summarised here:

OUTPUT 1 REGISTRATION	Income	Expenditure
Managing the registration of social workers		
Application and registration fees	220,700	
Programme recognition and other income	125	
Interest	2,500	
Total	223,325	274,500

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

OUTPUT 2 EDUCATION	Income	Expenditure
Setting standards for social work education and training		
Application and registration fees	-	
Programme recognition and other income	10,125	
Interest	1,250	
Total	11,375	273,900

The standards for social work education and training in New Zealand are maintained and the Board ensures that the delivery of social work qualifications in New Zealand adhere to the Social Workers Registration Board Programme Recognition Standards.

OUTPUT 3 ACCOUNTABILITY	Income	Expenditure
Considering complaints against Registered Social Workers		
Application and registration fees	–	
Programme recognition and other income	–	
Interest	–	
Total	–	251,900

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

OUTPUT 4 PROFESSIONAL STANDARDS	Income	Expenditure
Enhancing the professionalism of social workers		
Application and registration fees	1,075,950	
Programme recognition and other income	25,125	
Interest	21,250	
Total	1,122,325	269,300

The reputation of the social work profession is enhanced and recognised by the public and key stakeholders. Professional standards improve and with higher standards come higher-quality social work with improved outcomes for New Zealanders.

OUTPUT 5 INFORMATION AND PROMOTION	Income	Expenditure
Promoting the benefits of registration		
Application and registration fees	–	
Programme recognition and other income	25,125	
Interest	–	
Total	25,125	288,900

All key stakeholders, including social workers, are aware of the benefits of registration. The number of Registered Social Workers continues to grow and employers are increasingly employing Registered Social Workers.

Details of the performance standards and measures for these five outputs, including assumptions affecting them, are set out as follows.

OUTPUT 1 REGISTRATION

Managing the registration of social workers

Description: This output involves the operation of a Register of Social Workers, and the issuing of competence and registration certificates, as provided for in the Social Workers Registration Act 2003.

As part of this process the Board will process applications for competence and registration. Applications for competence and registration are to be checked to ensure they comply with the criteria in the Act and with the policies of the Board.

OUTPUT

Results/ Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
Non-binding overseas qualification assessments completed	Within 20 working days	100%	Within 20 working days	100% to date	Within 20 working days	Within 20 working days	Within 20 working days	Annual evaluation
Competence assessments completed	Within 20 working days	100%	Within 20 working days	100% to date	Within 20 working days	Within 20 working days	Within 20 working days	SWRB Database Competence Assessment Summary Reports
New applications for registration completed and presented to the Board for approval	Within 60 working days	100%	Within 60 working days	100% to date	Within 60 working days	Within 60 working days	Within 60 working days	SWRB Database Application Assessment Summary Reports

QUANTITY

Results/ Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
Non-binding overseas qualification assessments completed	50	88	50	47 to date	50	50	50	Annual evaluation
Social workers undertaking competence assessments	150	485	400	386 to date	400	400	400	SWRB Financial Summary Reports
Social workers applying for registration	400	585	500	453 to date	500	500	500	SWRB Financial Summary Reports

QUALITY

Results/ Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
Percentage of applicants for non-binding overseas qualification assessments reporting satisfaction with process	–	–	80%	TBA	90%	90%	90%	Annual evaluation will be undertaken via a survey of applicants
Percentage of applicants for competence assessments reporting satisfaction with process	–	–	80%	TBA	90%	90%	90%	Annual evaluation will be undertaken via a survey of applicants
Percentage of applicants for registration reporting satisfaction with process	–	–	80%	TBA	90%	90%	90%	Annual evaluation will be undertaken via a survey of applicants
Percentage of employers of applicants for registration reporting satisfaction with process	–	–	80%	TBA	90%	90%	90%	Annual evaluation will be undertaken via a survey of employers of applicants

Applications for non-binding assessments, competence assessments and registration are not accepted or recorded if the information provided does not meet the minimum criteria for assessment. Incomplete applications are returned to the applicant.

Only complete applications that meet the minimum criteria are presented to the Board for approval. The Board are advised by the assessment staff if an application should be reviewed as a result of a specific issue. To date there is no evidence that any Social Worker registered by the Board has not met the minimum standards. Since 2005 only three applicants have appealed the decision of the Board not to register them and none of the three appeals were upheld.

OUTPUT 2 EDUCATION

Setting standards for social work education and training

Description: This output involves the Board setting the standards for social work education and training in New Zealand and ensuring that the delivery of social work qualifications in New Zealand adheres to the Social Workers Registration Board Programme Recognition Standards. The Board will maintain and review the Programme Recognition Standards for recognised social work education providers and reinforce high standards of education in order that social workers achieve minimum competencies prior to engaging in professional practice.

There is an on-going cost of training members of the Programme Recognition Panels as well as ensuring international moderation through engaging an international social work education member for each panel. The Board secretariat also provides on-going advice and assistance to recognised tertiary education organisations providing social work programmes as well as assisting potential providers to meet recognition standards. The Board secretariat also undertakes assessments of the overseas social work qualifications of applicants for registration to ensure that they are equivalent to recognised New Zealand social work qualifications.

OUTPUT

Results/ Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
Programme recognition visits undertaken for programmes due for recognition or re-recognition	100%	100%	100%	100%	100%	100%	100%	Review of the SWRB Secretariat calendar of events and schedule of current recognised New Zealand social work qualifications
A review of the Programme Recognition Standards will be undertaken and the outcomes reported to the Board in order for the standards to be revised.	Review process to begin in 2011/12	100%	Review process to be completed in November 2012	100%	–	–	–	An evaluation of the review document presented to the Social Workers Registration Board

QUANTITY

Results/ Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
The number of programme recognition visits undertaken for programmes due for recognition or re-recognition	5	5	3	5*	3	4	4	Review of the SWRB Secretariat Calendar of Events
A review of the Programme Recognition Standards will be undertaken and the outcomes reported to the Board in order for the standards to be revised.	–	1	–	1**	–	–	–	An evaluation of the review document presented to the Social Workers Registration Board

* Changes to the Programme Recognition Standards have resulted in the Board allowing some institutions to defer full re-recognition panel assessments but have resulted in institution requesting visits to assist them to develop programmes to meet the new standards. This has meant that the SWRB has made more visits that initially planned.

** The outcome of the reviewed Programme Recognition Standards can be found on the SWRB policy website page www.swrb.govt.nz/policy under the title "Process for Recognition/ Re-recognition of Social Work" Qualifications in New Zealand

QUALITY

Results/ Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
Percentage of social work qualification providers responding positively to the role of the Board and the quality of the programme recognition standards and process	80%	83%	85%	TBA	90%	90%	90%	Annual evaluation will be undertaken via a survey of recognised social work education providers
Percentage of participants responding positively to the review of the Programme Recognition Standards and the revised standards.	80%	90%	85%	TBA	90%	90%	90%	Annual evaluation will be undertaken via a survey of the participants involved in the review process

As part of the standards set for SWRB Recognised Social Work programmes institutions are required to demonstrate that their graduates will meet the following SWRB core social work competencies, at a beginning practitioner level, on completion of their academic programme.

These competencies will be assessed before the completion of the final student placement.

- Competence to practice social work with Maori.
- Competence to practice social work with different ethnic and cultural groups in NZ.
- Competence to promote the principles of human rights and social justice.
- Competence to promote social change.
- Competence to promote empowerment and liberation of people.
- Competence to utilise social work practice approaches.
- Competence to utilise theories of human behaviour and social systems.
- Competence to promote problem solving in human relationships.
- Competence to ensure systems of accountability are in place for their work.
- Adherence to professional social work ethics.

These competencies are assessed again after two years full time practice and then again on a five yearly basis.

OUTPUT 3 ACCOUNTABILITY

Considering complaints against Registered Social Workers

Description: This output involves the Board providing administrative support to an independent Social Workers Complaints and Disciplinary Tribunal which can appoint Complaint Assessment Committees (CACs) to assess complaints against Registered Social Workers.

There will be an ongoing cost of training members of the Social Workers Complaints and Disciplinary Tribunal as well as establishing and providing training for CACs. The Board secretariat will also provide ongoing administrative support to both the Complaints and Disciplinary Tribunal and CACs. The number of complaints and the complexity of complaints expected remain unknown but there is likely to be an increase in complaints over the next few years as public awareness increases. A disciplinary reserve has been established to meet the costs of complaints.

OUTPUT

Results/ Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
Complaints received are responded to	Within 20 working days	100%	Within 20 working days	100% to date	Within 20 working days	Within 20 working days	Within 20 working days	SWRB Database Complaint Summary Reports
Complaints received are referred to Complaints and Disciplinary Tribunal	Within 20 working days	100%	Within 20 working days	100% to date	Within 20 working days	Within 20 working days	Within 20 working days	SWRB Database Complaint Summary Reports
Registered Social Workers who are the subject of accepted complaints are advised	Within 20 working days	100%	Within 20 working days	100% to date	Within 20 working days	Within 20 working days	Within 20 working days	SWRB Database Complaint Summary Reports

QUANTITY

Results/ Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
Percentage of complaints received are responded to	100%	100%	100%	100% to date	100%	100%	100%	SWRB Database Complaint Summary Reports
Percentage of complaints received are referred to Complaints and Disciplinary Tribunal	100%	100%	100%	100% to date	100%	100%	100%	SWRB Database Complaint Summary Reports
Percentage of Registered Social Workers who are the subject of an accepted complaint are advised	100%	100%	100%	100% to date	100%	100%	100%	SWRB Database Complaint Summary Reports

QUALITY

Results/ Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
Percentage of positive feedback from the Chair of the Complaints and Disciplinary Tribunal regarding information and support provided by the Board secretariat	100%	100%	100%	100% to date	100%	100%	100%	Annual evaluation will be undertaken via a survey of the Chair of the Complaints and Disciplinary Tribunal
Percentage of positive feedback from the Complaint Assessment Committees regarding information and support provided by the Board secretariat	100%	100%	100%	100% to date	100%	100%	100%	Annual evaluation will be undertaken via a survey of the Complaint Assessment Committee members

* Complaint numbers are demand driven measures and are included only to provide useful context as the SWRB has no control over the number of complaints received.

The SWRB can only act on complaints about Registered Social Workers as per the Social Workers Registration Act 2003.

If a complaint against a Registered Social Worker is accepted by the Chair of the Tribunal it is referred to a Complaints Assessment Committee (CAC).

Once an accepted complaint is assessed by the CAC there are four options available to resolve the complaint:

- 1 Make a determination that no further steps should be taken.
- 2 Refer the complaint to Conciliation to try to help the Registered Social Worker and the complainant concerned to resolve the complaint by agreement.
- 3 Refer the Registered Social Worker to the Board to review the competence or fitness of the Registered Social Worker to practise.
- 4 Refer to a hearing of the Tribunal

Decisions of the Tribunal can be appealed in the District Court. Since the Tribunal was established in 2005 no decisions of the Tribunal have been appealed. As per section 88(2) of the Social Workers Registration Act 2003 decisions of a Complaints Assessment Committee cannot be appealed.

OUTPUT 4 PROFESSIONAL STANDARDS

Enhancing the professionalism of social workers

Description: The Board will maintain and review the code of conduct for social workers and reinforce high standards of practice in order that Registered Social Workers are accountable for their ongoing professional development. The Board will continue to promote the code of conduct to social workers and their employers as well as the on-going issuing of practising certificates for all Registered Social Workers.

OUTPUT

Results/ Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
Competence assessment recertifications due for renewal completed	New Target	–	85%	81% to date	90%	90%	90%	SWRB Database Registered Social Worker Summary Reports
Annual Practising Certificates due for renewal received and issued	80%	95%	90%	98% to date	95%	95%	95%	SWRB Database Registered Social Worker Summary Reports
Continuing Professional Development Audits due are received and assessed	80%	93%	85%	86% to date	90%	90%	90%	Annual evaluation

QUANTITY

Results/ Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
Competence assessments recertifications issued for existing Registered Social Workers	New target	688 to date (515 via ANZASW and 173 via SWRB) *	355 due to be completed	464 to date	492 due to be completed	470 due to be completed	832 due to be completed	SWRB Database Registered Social Worker Summary Reports
Annual Practising Certificates issued to new applicants for registration	400	603	500	465 to date	500	500	500	SWRB Database Registered Social Worker Summary Reports
Annual Practising Certificates renewed for existing Registered Social Workers	2541	2348	3000	2856	3000	3250	3500	SWRB Database Registered Social Worker Summary Reports
Continuing Professional Development Audits received and assessed	26	26	5% random audit of Competence Re-certifications undertaken quarterly	14 due in total to date 12 received to date	5% random audit of competence recertifications undertaken quarterly	5% random audit of competence recertifications undertaken quarterly	5% random audit of competence recertifications undertaken quarterly	Annual evaluation

* The SWRB recognises the competence assessment process of the ANZASW (Aotearoa New Zealand Association of Social Workers) for the purposes of gaining and maintaining social work registration with the Board.

QUALITY

Results/Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
Competence assessment recertification applications are processed in accordance with sections 38-46 of the Social Workers Registration Act 2003	100%	100%	100%	100%	100%	100%	100%	SWRB Database Competence Assessment Summary Reports
Annual Practising Certificate applications processed in accordance with sections 25-37 of the Social Workers Registration Act 2003	100%	100%	100%	100%	100%	100%	100%	Annual evaluation
Continuing Professional Development (CPD) Audit of Registered Social Workers is undertaken for the year and the CPD logs of those randomly selected social workers are assessed against Board policy	80%	81% to date	85%	81% to date	90%	90%	90%	Annual evaluation

Applications for competence assessments and annual practising certificates are not accepted or recorded if the information provided does not meet the minimum criteria. Incomplete applications are returned to the applicant.

To date there is no evidence that any Registered Social Worker issued with a practising certificate by the Board has not met the minimum standards in relation to competence or professional development. Since registration was established in 2004 there have been no appeals of decisions of the Board not to issue a practising certificate.

OUTPUT 5 INFORMATION AND PROMOTION

Promoting the benefits of registration

Description: This output recognises that the registration of social workers is voluntary. The Board, therefore, will promote registration and its benefits to social workers and their employers. The Board intends to continue meeting with social workers, their employers and other stakeholders at least once a year and will also be issuing regular newsletters and updates to the sector.

OUTPUT

Results/Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
Promotional material developed and updated for social workers on the benefits of registration	Updated promotional material available	100%	Updated promotional material available	100%	Updated promotional material available	Updated promotional material available	Updated promotional material available	Annual evaluation of promotional material available for social workers
Promotional material developed and updated for employers of social workers on the benefits of employing Registered Social Workers	Updated promotional material available	100%	Updated promotional material available	100%	Updated promotional material available	Updated promotional material available	Updated promotional material available	Annual evaluation of promotional material available for employers of social workers
Promotional material developed for the public on the registration system for social workers	New target	-	Public Advertising Campaign developed	Under development *	Public advertising campaign developed	Public advertising campaign maintained and updated	Public advertising campaign maintained and updated	Annual evaluation of public advertising material

* The focus of the draft public advertising campaign was on mandatory registration of social workers and this is being reviewed in light of the decision not to move forward with mandatory registration at this time. The advertising campaign will be redrafted to reflect this decision.

QUANTITY

Results/Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
Information packs on registration provided to all social workers who request them	100%	100%	100%	100%	100%	100%	100%	Annual evaluation of registration information requests and number of application packs printed and despatched
Meetings held with social workers and employers of social worker to provide information on the benefits of registration	10	19	15	43 to date	20	20	20	Review of the SWRB secretariat calendar of events
Information provided to the public on the benefits of registration via a public advertising campaign	New target	-	2 public advertising campaigns	Under development *	2 public advertising campaigns	2 public advertising campaigns	2 public advertising campaigns	Review of the SWRB secretariat calendar of events

* The focus of the draft public advertising campaign was on mandatory registration of social workers and this is being reviewed in light of the decision not to move forward with mandatory registration at this time. The advertising campaign will be redrafted to reflect this decision.

QUALITY

Results/Measures	Target 2011/12	Actual 2011/12	Target 2012/13	Actual 2012/13	Target 2013/14	Target 2014/15	Target 2015/16	How it will be measured
Percentage of applicants for registration reporting satisfaction with the information supplied	New target	-	80%	TBA	90%	90%	90%	Annual survey
Percentage of employers of applicants for registration reporting satisfaction with the information supplied	New target	-	80%	TBA	90%	90%	90%	Annual survey
Percentage of the public surveyed reporting satisfaction with the information supplied	New target	-	85%	TBA	90%	90%	90%	Annual survey

This is a new measure and the Board will adjust the information provided to applicants for registration, employers of social workers and the public based on the feedback received as part of the survey.

FORECAST FINANCIAL STATEMENTS FOR THE YEAR ENDED 30 JUNE 2014

Index

STATEMENT OF COMPREHENSIVE INCOME	37
STATEMENT OF MOVEMENTS IN EQUITY	37
STATEMENT OF FINANCIAL POSITION	38
STATEMENT OF CASH FLOWS	39
STATEMENT OF ACCOUNTING POLICIES	40

COMPILATION REPORT

SCOPE

On the basis of information provided by the Board I have compiled, in accordance with Service Engagements Standard No 2: Compilation of Financial Information, the budgeted financial statements of the Social Workers Registration Board for the year ending 30 June 2014 and the forecast financial statements for the year ending 30 June 2013 as set out on the following pages. These have been prepared in accordance with the basis of accounting as described in the Statement of Accounting Policies.

RESPONSIBILITIES

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

The financial statements were prepared exclusively for the benefit of the Board. I accept no responsibility to any other person for the contents of these financial statements.

NO AUDIT OR REVIEW ENGAGEMENT UNDERTAKEN

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

Spencer J F Smith

Chartered Accountant

17 May 2013

FORECAST STATEMENT OF COMPREHENSIVE INCOME

FOR THE YEAR ENDED 30 JUNE 2014

Actual 2012		Budget 2014	Forecast 2013
	INCOME		
1,067,787	Application and registration fees	1,296,650	1,209,585
–	Conference 2013	50,000	–
42,785	Programme recognition and other income	10,500	20,394
31,319	Interest	25,000	35,000
1,141,891	Total Income	1,382,150	1,264,979
	EXPENDITURE		
21,720	Audit fees	20,000	20,429
36,465	Board and Tribunal costs	60,000	61,712
–	Conference 2013	50,000	–
19,258	Course recognition	50,000	31,234
77,609	Depreciation and amortisation	102,000	99,030
874	Net loss on disposal of property, plant and equipment	–	–
514,324	Personnel costs	665,500	541,758
46,878	Promotion and publications	40,000	38,458
24,433	SWRB Act review	–	21,029
94,175	Operating lease costs	95,000	94,296
238,365	Other	276,000	277,676
1,074,101	Total expenditure	1,358,500	1,185,622
\$67,790	Surplus/(deficit)	\$ 23,650	\$ 79,357

FORECAST STATEMENT OF MOVEMENTS IN EQUITY

FOR THE YEAR ENDED 30 JUNE 2014

Actual 2012		Budget 2014	Forecast 2013
516,434	Total Crown equity at the start of the year.	663,581	\$584,224
67,790	Operating surplus/(deficit) for the period	23,650	79,357
67,790	Total recognised revenue and expenses for the period	23,650	79,357
\$584,224	Total Crown equity at the end of the year.	\$ 687,231	\$ 663,581

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

FORECAST STATEMENT OF FINANCIAL POSITION

AS AT 30 JUNE 2014

Actual 2012		Budget 2014	Forecast 2013
	CURRENT ASSETS		
934,797	Cash and cash equivalents	43,995	56,652
6,622	Accounts receivable	1,926	4,400
413,407	Investments	1,550,000	1,400,000
33,907	Prepayments	4,000	8,000
1,388,733		1,599,922	1,469,052
	NON-CURRENT ASSETS		
80,254	Property, plant and equipment	56,148	70,376
144,300	Intangible assets	207,284	181,057
224,554		263,433	251,433
1,613,287	Total assets	1,863,354	1,720,485
	Less:		
	CURRENT LIABILITIES		
190,136	Accounts payable and accruals	230,124	113,377
34,810	Employee entitlements	22,000	22,000
804,117	Income received in advance	924,000	921,526
1,029,063	Total liabilities	1,176,124	1,056,903
\$ 584,224	Net assets employed	\$ 687,231	\$ 663,581
	CROWN EQUITY		
\$ 516,434	Accumulated surplus	663,581	584,224
67,790	Current year surplus/(deficit)	23,650	79,357
\$ 584,224	Total Crown equity	\$ 687,231	\$ 663,581

FORECAST STATEMENT OF CASH FLOWS

FOR THE YEAR ENDING 30 JUNE 2014

Actual 2012		Budget 2014	Forecast 2013
1,186,783	Registration fees, levies and APC fees	1,349,124	1,326,995
42,785	Other revenue	10,500	20,394
30,071	Interest received	27,474	35,727
(480,440)	Payments to suppliers	(448,254)	(594,191)
(504,934)	Payments to employees	(687,500)	(554,569)
274,265	Net cash flows from operating activities	251,343	234,356
	NET CASH FLOWS FROM INVESTING ACTIVITIES		
(63,407)	Net movement in bank term deposits held	(150,000)	(986,593)
(31,767)	Purchase of property, plant and equipment	(24,000)	(35,907)
(71,533)	Purchase of intangible assets	(90,000)	(90,000)
(166,707)	Net cash flows from investing activities	(264,000)	(1,112,500)
107,558	Net increase/(decrease) in cash or cash equivalents	(12,657)	(878,144)
827,239	Cash or cash equivalents at beginning of the year	56,652	934,796
\$934,797	Cash or cash equivalents at end of the year	\$43,995	\$56,652

STATEMENT OF ACCOUNTING POLICIES FOR THE YEAR ENDING 30 JUNE 2014

Reporting entity

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

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

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

The budget financial statements for the Board are for the year ending 30 June 2014.

Basis of preparation

Statement of Compliance

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

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

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

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

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

Measurement base

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

Functional and presentation currency

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

Significant accounting policies

Revenue

- Revenue is measured at the fair value of consideration received or receivable.
- Revenue from the Crown – The Board receives no funding through revenue received from the Crown.
- Interest – Interest income is recognised using the effective interest method.
- Fees – Revenue from Annual Practising Certificate fees are recognised in the year to which the Annual Practising Certificate relates. Other fee revenue is recognised on receipt.

Leases

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

Cash and cash equivalents

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

Accounts receivable

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

Investments

- At each balance sheet date the Board assesses whether there is any objective evidence that an investment is impaired.
- Bank deposits – Investments in bank deposits are initially measured at fair value. After initial recognition, investments in bank deposits are measured at amortised cost using the effective interest method.

Property, plant and equipment

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

Additions

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

Disposals

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

Subsequent costs

- Costs incurred subsequent to initial acquisition are capitalised only when it is probable that future economic benefits or service potential associated with the item will flow to the Board and the cost of the item can be measured reliably.
- The costs of day-to-day servicing of property, plant and equipment are recognised in the statement of financial performance as they are incurred.

Depreciation

- Leasehold improvements are depreciated over the unexpired period of the lease or the estimated remaining useful lives of the improvements, whichever is the shorter.
- Depreciation of furniture and office equipment is provided on a diminishing value basis at rates provided under the Income Tax Act 2007.
- The depreciation rates of major classes of assets have been estimated as follows:
 - leasehold improvements (16.7%)
 - furniture and office equipment (18% – 60%)
 - computer equipment (48%).

Intangible assets

Software acquisition and development

- Acquired computer software licenses are capitalised on the basis of the costs incurred to acquire and bring to use the specific software.
- Costs that are directly associated with the development of software for internal use by the Board, are recognised as an intangible asset. Direct costs include the software development.
- Costs associated with maintaining computer software are recognised as an expense when incurred.
- Costs associated with the development and maintenance of the Board's website is recognised as an expense when incurred.

Amortisation

- The carrying value of an intangible asset with a finite life is amortised on a straight-line basis over its useful life. Amortisation begins when the asset is available for use and ceases at the date that the asset is derecognised. The amortisation charge for each period is recognised in statement of financial performance.
- The useful lives and associated amortisation rates of major classes of intangible assets have been estimated as follows:
 - Developed computer software 5 years 20%
 - Developed website 3 years 33%

Impairment of non-financial assets

- Property, plant and equipment and intangible assets that have a finite useful life are reviewed for impairment whenever events or changes in circumstances indicate that the carrying amount may not be recoverable. An impairment loss is recognised for the amount by which the asset's carrying amount exceeds its recoverable amount. The recoverable amount is the higher of an asset's fair value less costs to sell and value in use.
- Value in use is depreciated replacement cost for an asset where the future economic benefits or service potential of the asset are not primarily dependent on the asset's ability to generate net cash inflows and where the Board would, if deprived of the asset, replace its remaining future economic benefits or service potential.
- If an asset's carrying amount exceeds its recoverable amount, the asset is impaired and the carrying amount is written down to the recoverable amount and recognised in the statement of financial performance.

Creditors and other payables

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

Employee entitlements

Short-term employee entitlements

- Employee entitlements that the Board expects to be settled within 12 months of balance date are measured at undiscounted nominal values based on accrued entitlements at current rates of pay.
- These include salaries and wages accrued up to balance date and annual leave earned but not yet taken at balance date.
- The Board recognises a liability and an expense for bonuses where it is contractually obliged to pay them, or where there is a past practice that has created a constructive obligation.

Good and service tax (GST)

- All items in the financial statements are presented exclusive of GST, except for receivables and payables, which are presented on a GST inclusive basis. Where GST is not recoverable as input tax then it is recognised as part of the related asset or expense.
- The net amount of GST recoverable from, or payable to, the Inland Revenue Department (IRD) is included as part of receivables or payables in the statement of financial position.
- The net GST paid to, or received from the IRD, including the GST relating to investing and financing activities, is classified as an operating cash flow in the statement of cash flows.
- Commitments and contingencies are disclosed exclusive of GST.

Income tax

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

Cost allocation

- The Board has determined the cost of outputs using the cost allocation system outlined below.
- Direct costs are those costs directly attributed to an output. Indirect costs are those costs that cannot be identified in an economically feasible manner, with a specific output.
- Direct costs are charged directly to outputs. Indirect costs are charged to outputs based on cost drivers and related activity information. Secretariat costs, including personnel, occupancy and other indirect costs, are charged on the basis of estimated time involvement of personnel on each output class.
- There have been no changes to the cost allocation methodology since the date of the last audited financial statements.



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