



**Social Workers  
Registration Board**  
Kāhui Whakamana Tauwhiro

STATEMENT OF INTENT  
**2011–2014**

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



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# 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

20 May 2011



Paula Nes

Chair – Finance, Audit and Reporting Committee

# OVERVIEW FROM THE BOARD CHAIR

The purpose of the Social Workers Registration Board's Statement of Intent is to promote the public accountability of the SWRB as a Crown entity by publicising its medium-term intentions and undertakings, and to provide a base against which the Board's actual performance can later be assessed.

One of the most important accountability obligations identified in this document is the requirement for the Board to undertake the five-yearly review of the Social Workers Registration Act 2003 (the Act). Section 104 of the Act requires the Board to:

1. review the operation of the Act, and its own operations and
2. consider the extent to which the Act, and the system of voluntary registration it provides for –
  - a) protects the safety of members of the public by ensuring that social workers are competent to practise;
  - b) holds social workers accountable for the way in which they practise; and
  - c) enhances the professionalism of social workers.

The Board must consider whether any amendments to the Act are necessary or desirable and report its findings to the Minister.

As part of the review process the Board has released a discussion document on mandatory registration.

The Board is of the opinion that the time is right to discuss this serious issue and whether a move to mandatory registration is required in order to ensure that all social work practitioners are equally recognised and held to account for the way in which they practise.

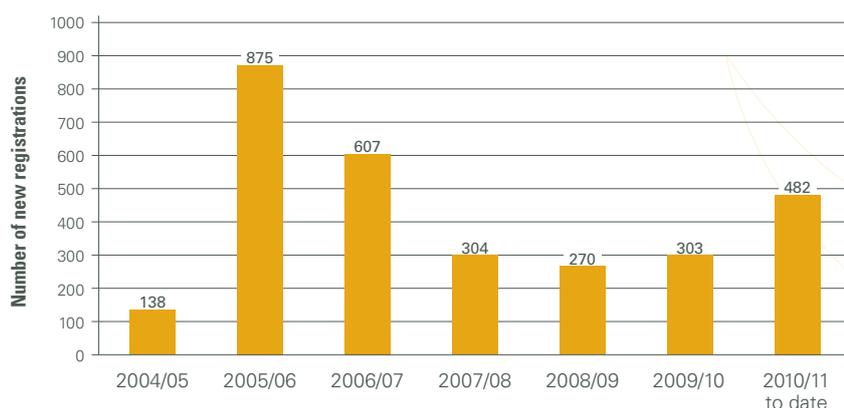
The main issues raised in the last review of the Act in 2006 focussed on the cost and perceived complexity of the registration process by many social workers and their employers.

The Board has actively worked to address the cost and complexity issues and implemented a number of substantial changes to ensure that the process is less onerous while still ensuring that the minimum standards set by the Act are maintained. The changes included:

- significantly reducing the paperwork required for an application for registration. This has reduced complexity for applicants and resulted in an average of 35 days between a complete application being received and an individual being registered
- introducing a pathway for new graduates to register on completion of their study
- introducing an alternative, affordable paper based competence assessment and recertification programme administered by the Board with a two week turn around for assessments
- reducing the costs associated with applying for and maintaining registration. Based on the economies of scale provided for by mandatory registration, costs are forecast to fall to approximately one half to one third of current costs.

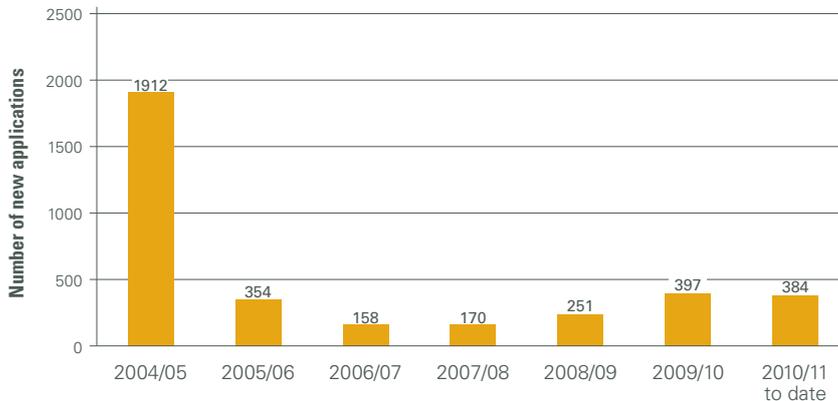
The number of social workers becoming registered and maintaining an Annual Practising Certificate has increased steadily as social workers and their employers recognise the benefits of registration.

## *New registrations per year*



The number of new applications for registration is also increasing as social workers adapt to the increasing number of employers requiring the social workers they employ to become registered.

### *New applications per year*



Through the release of the discussion document, the Board is seeking the views of the public, the profession and the employers of social workers on whether there should be a move from voluntary to mandatory social worker registration.

The Board has been concerned that up until now the public has been silent on the issue of mandatory registration. The Board is interested to know whether this is because the public do not view the issue as important or as some anecdotal reports indicate, that the public has been of the belief that all social workers were required to be registered and were not aware that registration was voluntary.

The discussion document provides points to consider and background information to help individuals provide feedback on this issue. The feedback will be included as part of the Act Review Report that the Board will present to the Minister for Social Development and Employment about whether changes to the current Act are required.

The Board is seeking feedback on the discussion document from as many sources as possible, including:

- the public and especially those who receive social work services
- social workers
- employers of social workers across the state sector, private sector and non-government organisations
- consumer organisations
- social work representative bodies and umbrella organisations.

The Board has presented information on social work registration to many organisations and will continue to do this.

The Board has received a substantial amount of anecdotal information from individuals and groups about the current voluntary registration process and the need to consider introducing mandatory registration.

To ensure that any recommendations made to the Minister are truly representative of the New Zealand population it is important that the Board opens the discussion up to as many people as possible. The review of the Act provides an appropriate time to do this. It is important that the Board gives people the opportunity make their views heard now as it will be another five years before the Board has an opportunity to review the Act and the voluntary system of registration it currently provides for.

We look forward to reporting on our findings in the coming year.

Toni Hocquard  
Board Chair

# MOVING FORWARD: THE NEXT THREE YEARS

## OUR ROLE

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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.

## OUR SERVICES

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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 registration 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 portfolios
- 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

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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 whanau 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

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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 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 frontline 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 Whanau 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 practice.

## 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 frontline 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

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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

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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 anticipates that submissions on the current discussion document regarding a move to mandatory registration, as part of the review of the Social Workers Registration Act 2003, will provide a clear direction from the public, the profession and employers of social workers on how to proceed. In the meantime the Board continues 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 2011/12 – 2013/14:

### 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 practice social work and are competent to work with Maori, 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 Whanau 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

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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) (l)] 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 is to occur during 2011/2012. The Board will also be taking into consideration 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 Board will complete the review of its operation and policies as per section 104 of the Act and provide the Minister with a report in the first quarter of 2012.

## ORGANISATIONAL CAPABILITY/HEALTH

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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 2945 social workers have been registered by the Board and another 276 applications are currently being processed for registration.

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 5 full time and 1 part 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 Boards 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.

## 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.

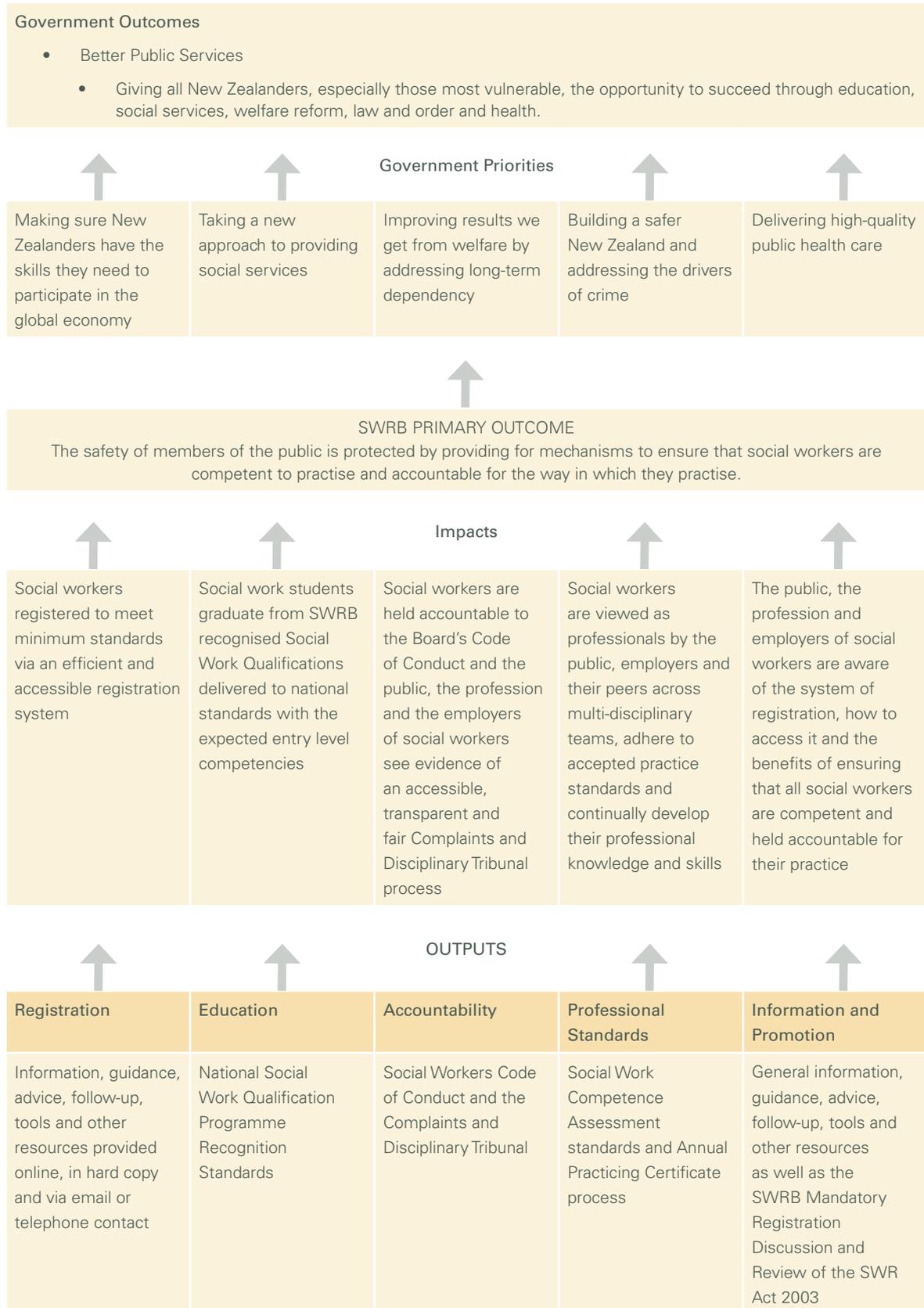
The Board employs 5 full time and 1 part time permanent staff, and, according to need, has engaged contract staff for such purposes as legal, accounting and information technology support.

Name		Date of original appointment	Expiry date of present term
Toni Hocquard	Registered	1 August 2008	31 July 2011
Mary Miles	Registered	1 September 2008	31 August 2011
Paula Nes	Registered	7 May 2007	30 September 2012
Lynne Briggs	Registered	1 October 2010	30 September 2013
Moana Eruera	Registered	1 October 2010	30 September 2013
Vacant	Registered		
Kitty Chiu	Non-Registered	1 August 2008	31 July 2011
Jim Heays	Non-Registered	1 October 2010	30 September 2013
Maaka Tibble*	Non-Registered	November 2007	14 November 2010
Vacant	Non-Registered		

\* Continuing on in office as per run on provisions as set out in the Crown Entities Act 2004

## 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.



## OUTCOMES FRAMEWORK

This framework outlines how the SWRB intends to monitor and measure the outcomes as a result of the implementing the Social Workers Registration Act 2003.

Our Key Outputs				
Registration	Education	Accountability	Professional Standards	Information and Promotion
Information, guidance, advice, follow-up, tools and other resources provided online, in hard copy and via email or telephone contact	National Social Work Qualification Programme Recognition Standards	Social Workers Code of Conduct and the Complaints and Disciplinary Tribunal	Social Work Competence Assessment standards and Annual Practising Certificate process	General information, guidance, advice, follow-up, tools and other resources as well as the SWRB Mandatory Registration Discussion and Review of the SWR Act 2003



How much did we do?				
Number of <ul style="list-style-type: none"> <li>– website hits</li> <li>– enquiries followed up</li> <li>– overseas based social workers undertaking non-binding qualification assessments</li> <li>– social workers undertaking competence assessments</li> <li>– social workers applying for registration</li> </ul>	Number of <ul style="list-style-type: none"> <li>– programme recognition visits undertaken</li> <li>– social work schools visited mid – recognition or at request</li> <li>– social work schools assisted</li> </ul>	Number of <ul style="list-style-type: none"> <li>– email or telephone enquiries regarding whether social workers are registered</li> <li>– complaints received</li> <li>– complaints accepted</li> <li>– complaints resolved</li> <li>– website hits on the Public Register</li> </ul>	Number of <ul style="list-style-type: none"> <li>– competence assessments re-certifications</li> <li>– new practising certificates issued</li> <li>– practising certificates renewed</li> </ul>	Number of <ul style="list-style-type: none"> <li>– promotional visits and presentations</li> <li>– enquiries responded to via email and telephone</li> <li>– enquiries regarding discussion document</li> <li>– submissions received and acknowledged</li> </ul>



How well did we do it?				
Percentage of <ul style="list-style-type: none"> <li>– users who found website content useful and easy to access</li> <li>– users who found the SWRB office helpful</li> <li>– overseas based social workers undertaking non-binding qualification assessments responding positively to process</li> <li>– competence assessment applicants responding positively to process</li> <li>– newly Registered Social Workers responding positively to process</li> </ul>	Percentage of <ul style="list-style-type: none"> <li>– programmes responding positively to panel visits</li> <li>– social work schools responding positively to mid-recognition or additional visits</li> <li>– social work schools who found SWRB assistance helpful</li> </ul>	Percentage of <ul style="list-style-type: none"> <li>– complainants responding positively to information provided</li> <li>– social workers responding positively to information provided</li> </ul>	Percentage of <ul style="list-style-type: none"> <li>– competence assessment re-certification applicants responding positively to process</li> <li>– registered social workers responding positively to the practising certificate process</li> </ul>	Percentage of <ul style="list-style-type: none"> <li>– positive feedback to visits and presentations</li> <li>– positive feedback to enquiries responded to</li> <li>– positive responses from submitters to the discussion document</li> </ul>

Cont. on next page



### What was the outcome?

<ul style="list-style-type: none"> <li>Percentage of overseas non-binding qualification assessments completed</li> <li>competence assessments completed</li> <li>new applications for registration completed</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of programme recognition and re-recognitions completed</li> <li>mid-recognition or additional visits</li> <li>schools of social work able to deliver improved social work qualifications</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of complainants reporting that complaint outcomes are fair, transparent and understandable</li> <li>social workers reporting that complaint outcomes are fair, transparent and understandable</li> <li>employers reporting that complaint outcomes are fair, transparent and understandable</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of competence assessment re-certifications completed</li> <li>practising certificates issued</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of attendees reporting improved understanding of the registration system</li> <li>enquirers reporting improved understanding of the registration system</li> <li>submitters reporting that the discussion document was clear and easy to respond to</li> </ul>
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### What was the quality of the outcome?

<ul style="list-style-type: none"> <li>Percentage of the public responding positively to registration and recognising the benefits</li> <li>social workers responding positively to registration and recognising the benefits</li> <li>employers of social workers responding positively to registration and recognising the benefits</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of Schools of social work responding positively to the National Social Work Qualification Programme Recognition Standards and recognising the benefits to educators and students</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of complainants acknowledging the benefits of an independent and effective complaints and disciplinary system for social workers</li> <li>social workers acknowledging the benefits of an independent and effective complaints and disciplinary system for social workers</li> <li>employers of social workers acknowledging the benefits of an independent and effective complaints and disciplinary system for social workers</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of social workers identifying the competence assessment and practising certificate process as enhancing their professionalism</li> <li>employers of social workers identifying the competence assessment and practising certificate process as enhancing social workers professionalism</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of the public responding positively to registration and recognising the benefits</li> <li>social workers responding positively to registration and recognising the benefits</li> <li>employers of social workers responding positively to registration and recognising the benefits</li> </ul>
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# PROSPECTIVE STATEMENT OF SERVICE PERFORMANCE AND FORECAST FINANCIAL INFORMATION

## STATEMENT OF RESPONSIBILITY

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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, 20 May 2011.



Toni Hocquard  
Board Chair  
20 May 2011



Paula Nes  
Chair – Finance, Audit and Reporting Committee

## PROSPECTIVE STATEMENT OF SERVICE PERFORMANCE

The performance standards related to the Board's outputs for 2011/2012 are set out below.

Expenditure on outputs for 2011/2012 will be funded by payments received by the Board from social workers who apply for registration and from Registered Social Workers.

The programmes for 2012/2013 and 2013/2014 are dependent on performance achievements in 2011/2012 and the Board will review out-year figures as more information becomes available.

Third Party revenue	Expenditure
\$1,057,050	\$1,057,840

NB All figures are GST exclusive.

This will be allocated to outputs as summarised here:

<b>Output 1: REGISTRATION</b> Managing the registration of social workers	\$195,468
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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.

<b>Output 2: EDUCATION</b> Setting Standards for social work education and training	\$236,168
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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.

<b>Output 3: ACCOUNTABILITY</b> Considering complaints against Registered Social Workers	\$207,168
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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.

<b>Output 4: PROFESSIONAL STANDARDS</b> Enhancing the professionalism of social workers	\$192,368
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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.

<b>Output 5: INFORMATION AND PROMOTION</b> Promoting the benefits of registration	\$226,668
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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.

Results/Measures	Target 2011/12	Target 2013/14	How it will be measured
<b>Outcome</b>			
100% of non-binding overseas qualification assessments completed	within 20 working days	within 20 working days	In-house database results
100% competence assessments completed	within 20 working days	within 20 working days	In-house database results
100% new applications for registration completed and presented to the Board for approval	within 60 working days	within 60 working days	In-house database results
<b>Quantity</b>			
Website visits / hits	50,000 / 1,000,000	50,000 / 1,000,000	In-house website results
Non-binding overseas qualification assessments completed	50	50	In-house database results
Social workers undertaking competence assessments	150	150	In-house database results
Social workers applying for registration	400	400	In-house database results
<b>Quality</b>			
% users who found website content useful and easy to access	80%	90%	Independent annual evaluation
% users who found the SWRB office helpful	80%	90%	Independent annual evaluation
% of non-binding overseas qualification assessment applicants responding positively to process	80%	90%	Independent annual evaluation
% of competence assessment applicants responding positively to process	80%	90%	Independent annual evaluation
% of newly registered social worker responding positively to process	80%	90%	Independent annual evaluation

## 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 ongoing 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 ongoing 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.

Results/Measures	Target 2011/12	Target 2013/14	How it will be measured
<b>Outcome</b>			
Programme recognition visits undertaken for programmes due for re-recognition	100%	100%	In-house register of events
Mid-term programme recognition visits undertaken for programmes currently recognised	100%	100%	In-house register of events
Social work qualification providers seeking guidance are assisted by the SWRB	100%	100%	In-house register of events
<b>Quantity</b>			
Programme recognition visits undertaken for programmes due for re-recognition	5 panel visits	5 panel visits	In-house register of events
Mid-term programme recognition visits undertaken for programmes currently recognised	5 mid-term visits	5 mid-term visits	In-house register of events
Social work qualification providers seeking guidance are assisted by the SWRB	15	15	In-house register of events
<b>Quality</b>			
% of social work qualification Programme providers respond positively to the outcome of recognition visits and acknowledge the benefits to educators and students	80%	90%	Independent annual evaluation
% of social work qualification Programme providers respond positively to the outcome of mid-term recognition visits and acknowledge the benefits to educators and students	80%	90%	Independent annual evaluation
% of social work qualification providers seeking guidance respond positively to the assistance provided and acknowledge the benefits to educators and students	80%	90%	Independent annual evaluation

## 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.

Results/Measures	Target 2011/12	Target 2013/14	How it will be measured
<b>Outcome</b>			
% of complainants reporting that complaint outcomes are fair, transparent and understandable	80%	90%	Independent annual evaluation
% of social workers reporting that complaint outcomes fair, transparent and understandable	80%	90%	Independent annual evaluation
% of employers reporting that complaint outcomes fair, transparent and understandable	80%	90%	Independent annual evaluation
<b>Quantity</b>			
Number of Email or telephone enquiries regarding whether social workers are registered	100	120	In-house register of events
Number of complaints received	20	25	In-house database results
Number of complaints accepted	10	15	In-house database results
Number of complaints resolved	10	15	In-house database results
<b>Quality</b>			
% of complainants acknowledging the benefits of an independent and effective complaints and disciplinary system for social workers	80%	90%	Independent annual evaluation
% of social workers acknowledging the benefits of an independent and effective complaints and disciplinary system for social workers	80%	90%	Independent annual evaluation
% of employers of social workers acknowledging the benefits of an independent and effective complaints and disciplinary system for social workers	80%	90%	Independent annual evaluation

## 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 ongoing issuing of practising certificates for all Registered Social Workers.

Results/Measures	Target 2011/12	Target 2013/14	How it will be measured
<b>Outcome</b>			
% of competence assessment re-certifications completed	90%	90%	In-house database results
% of practising certificates issued	90%	90%	In-house database results
<b>Quantity</b>			
Competence assessments re-certifications	650	400	In-house database results
New practising certificates issued	350	400	In-house database results
Practising certificates renewed	2500	2850	In-house database results
<b>Quality</b>			
% competence assessment re-certification applicants responding positively to process	80%	90%	Independent annual evaluation
% Registered Social Workers responding positively to the practising certificate process	80%	90%	Independent annual evaluation

## 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 in a year and will also be issuing regular newsletters and updates to the sector.

Results/Measures	Target 2011/12	Target 2013/14	How it will be measured
<b>Outcome</b>			
% of attendees at visits and presentations reporting improved understanding of the registration system	90%	95%	Independent annual evaluation
% of enquirers via email or telephone reporting improved understanding of the registration system	90%	95%	Independent annual evaluation
% of submitters to the Mandatory Registration Discussion document reporting that the discussion document was clear and easy to respond to	90%	–	Independent annual evaluation
<b>Quantity</b>			
Promotional visits and presentations	10	15	In-house register of events
Enquiries responded to via email and telephone	400	500	In-house register of events
Enquiries regarding discussion document	100	–	In-house register of events
Submissions received and acknowledged	100	–	In-house register of events
<b>Quality</b>			
% of the public responding positively to registration and recognising the benefits	80%	90%	Independent annual evaluation
% of social workers responding positively to registration and recognising the benefits	80%	90%	Independent annual evaluation
% of employers of social workers responding positively to registration and recognising the benefits	80%	90%	Independent annual evaluation

## FORECAST FINANCIAL STATEMENTS FOR THE YEAR ENDED 30 JUNE 2012

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### STATEMENT OF DISCLAIMER OF LIABILITY

The attached statements have been compiled from information and instructions furnished to me by my client. A compilation is limited primarily to the collection, classification and summarisation of financial information supplied, and does not involve the verification of that that information. I have neither audited these statements nor reviewed them in terms of the Institute of Chartered Accountants' Statement of Review Engagement Standards, and therefore do not accept any responsibility for the accuracy of the materials from which the financial statements have been prepared.

Further, the statements have been prepared at the request of and for the purposes of my client only. My responsibility in connection with the statements is to my client alone, and I do not accept any responsibility on any grounds whatever, including liability in negligence, to any other person

SPENCER J F SMITH, CA

19 APRIL 2011

## FORECAST STATEMENT OF FINANCIAL PERFORMANCE

### FOR THE YEAR ENDED 30 JUNE 2012

Actual 2010 \$		Budget 2012 \$	Forecast 2011 \$
	<b>INCOME</b>		
773,572	Application & registration fees	979,050	871,902
161,240	Discipline levy	–	–
12,692	Programme recognition & other income	53,000	32,401
24,470	Interest	25,000	33,500
971,974	<b>Total Income</b>	<b>1,057,050</b>	<b>937,803</b>
	<b>EXPENDITURE</b>		
20,000	Audit fees	20,000	20,000
38,659	Board & Tribunal costs	49,000	54,492
5,776	Course recognition	50,000	7,000
58,812	Depreciation & amortisation	70,600	64,682
18	Net loss on disposal of property, plant & equipment	–	–
427,307	Personnel costs	512,500	458,392
60,602	Promotion & publications	40,500	65,208
–	SWRB Act review	17,000	–
94,109	Operating lease costs	94,140	94,117
192,764	Other	204,100	176,190
898,047	<b>Total Expenditure</b>	<b>1,057,840</b>	<b>940,081</b>
<b>\$73,927</b>	<b>Surplus/(Deficit)</b>	<b>\$ (790)</b>	<b>\$ (2,278)</b>

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

## FORECAST STATEMENT OF MOVEMENTS IN EQUITY

### FOR THE YEAR ENDED 30 JUNE 2012

Actual 2010 \$		Budget 2012 \$	Forecast 2011 \$
430,580	Total Crown Equity at the start of the year.	502,229	504,507
73,927	Operating surplus/(Deficit) for the period	(790)	(2,278)
73,927	<b>Total recognised revenue and expenses for the period</b>	(790)	(2,278)
<b>\$504,507</b>	<b>Total Crown Equity at the end of the year.</b>	<b>\$ 501,439</b>	<b>\$ 502,229</b>

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

## FORECAST STATEMENT OF FINANCIAL POSITION

AS AT 30 JUNE 2012

Actual 2010 \$		Budget 2012 \$	Forecast 2011 \$
	<b>CURRENT ASSETS</b>		
305,340	Cash & cash equivalents	98,912	96,200
29,639	Accounts receivable	4,400	4,400
273,003	Investments	470,000	520,000
4,110	Prepayments	4,000	4,000
612,092		577,312	624,600
	<b>NON CURRENT ASSETS</b>		
87,970	Property, Plant & Equipment	70,973	74,672
86,300	Intangible assets	165,390	108,299
174,270		236,363	182,971
786,362	<b>TOTAL ASSETS</b>	813,676	807,571
	Less:		
	<b>CURRENT LIABILITIES</b>		
80,151	Accounts Payable & accruals	79,236	72,342
32,264	Employee entitlements	17,000	17,000
169,440	Income received in advance	216,000	216,000
281,855	<b>TOTAL LIABILITIES</b>	312,236	305,342
<b>\$ 504,506</b>	<b>NET ASSETS EMPLOYED</b>	<b>\$ 501,439</b>	<b>\$ 502,229</b>
	<b>CROWN EQUITY</b>		
430,580	Accumulated surplus	502,229	504,507
73,927	Current Year Surplus/(Deficit)	(790)	(2,278)
<b>\$ 504,507</b>	<b>TOTAL CROWN EQUITY</b>	<b>\$ 501,439</b>	<b>\$ 502,229</b>

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

## FORECAST STATEMENT OF CASH FLOWS

### FOR THE YEAR ENDED 30 JUNE 2012

Actual 2010 \$		Budget 2012 \$	Forecast 2011 \$
	<b>Net Cash Flows from Operating Activities</b>		
993,802	Registration fees, levies & APC fees	979,050	918,462
12,692	Other revenue	53,000	32,401
34,403	Interest received	25,000	42,330
(403,808)	Payments to Suppliers	(467,847)	(408,297)
(413,878)	Payments to Employees	(512,500)	(473,656)
<b>223,211</b>	<b>Net Cash flows from Operating Activities</b>	<b>76,703</b>	<b>111,240</b>
	<b>Net Cash Flows from Investing Activities</b>		
461	Sale of property, plant & equipment	–	–
(23,003)	Net movement in bank term deposits held	50,000	(246,997)
(8,428)	Purchase of property, plant & equipment	(23,992)	(14,561)
(35,137)	Purchase of intangible assets	(100,000)	(58,823)
<b>(66,107)</b>	<b>Net Cash flows from Investing Activities</b>	<b>(73,992)</b>	<b>(320,381)</b>
<b>157,104</b>	<b>Net Increase/(Decrease) in Cash or cash equivalents</b>	<b>2,711</b>	<b>(209,141)</b>
148,236	Cash or cash equivalents at beginning of the year	96,201	305,342
<b>\$305,340</b>	<b>Cash or cash equivalents at end of the year</b>	<b>\$98,912</b>	<b>\$96,201</b>

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

## STATEMENT OF ACCOUNTING POLICIES

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### For the year ending 30 June 2012

#### 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 NZ 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 2012.

#### 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 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 APC fees and discipline levies are recognised in the year to which the APC or levy 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 6 years
- furniture and office equipment (18% – 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%
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### **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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Registration Board**  
**Kāhui Whakamana Tauwhiro**

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