



**Social Workers
Registration Board**
Kāhui Whakamana Tauwhiro

ANNUAL REPORT 2016–2017

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to section 150 of the Crown Entities Act 2004

New Zealand Government



CONTENTS

PART 1: INTRODUCTION TO THE SOCIAL WORKERS REGISTRATION BOARD	2
AN OVERVIEW OF OUR WORK	2
OUTCOMES FRAMEWORK	4
MEASURING SUCCESS	5
PRIORITIES AND GOALS	5
REGISTRATION	5
EDUCATION	6
ACCOUNTABILITY	7
PROFESSIONAL STANDARDS	9
INFORMATION AND PROMOTION	10
HOW HAVE WE ASSESSED PERFORMANCE?	11
PART 2: GOVERNANCE	13
SWRB BOARD MEMBERS 2016-17	13
BOARD MEETINGS	13
BOARD COMMITTEES	13
INSURANCE	13
PART 3: REPORT FROM THE CHAIR	14
2016-17 UPDATE ON THE SOCIAL WORKERS REGISTRATION BOARD DATA	15
MANAGING THE REGISTRATION OF SOCIAL WORKERS	15
SETTING STANDARDS FOR SOCIAL WORK EDUCATION AND TRAINING	18
CONSIDERING COMPLAINTS AGAINST REGISTERED SOCIAL WORKERS	19
ENHANCING THE PROFESSIONALISM OF SOCIAL WORKERS	19
PROMOTING THE BENEFITS OF REGISTRATION	20
EQUAL EMPLOYMENT OPPORTUNITIES (EEO)	21
PART 4: FINANCIAL STATEMENTS	23
STATEMENT OF RESPONSIBILITY FOR THE YEAR ENDED 30 JUNE 2017	23
AUDIT REPORT	24
INDEPENDENT AUDITOR'S REPORT	24
STATEMENT OF SERVICE PERFORMANCE 2016-2017	29
STATEMENT OF FINANCIAL PERFORMANCE	30
STATEMENT OF CHANGES IN EQUITY	30
STATEMENT OF FINANCIAL POSITION	31
STATEMENT OF CASH FLOWS	32
STATEMENT OF ACCOUNTING POLICIES	33
NOTES TO THE FINANCIAL STATEMENTS	36

PART 1: INTRODUCTION TO THE SOCIAL WORKERS REGISTRATION BOARD

The Social Workers Registration Board (SWRB) is a Crown entity established under the Social Workers Registration Act 2003.

The Act provides the regulatory framework for the registration of social workers, and is intended to protect the safety of the public by ensuring that social workers are competent to practise and accountable for the way in which they practice.

The SWRB is responsible for:

- Managing the registration of social workers
- considering complaints about Registered Social Workers
- enhancing the professionalism of social workers
- promoting the benefits of social worker registration
- setting the standards for social work education and training

The SWRB maintains a Code of Conduct for social workers and reinforces high practice standards by requiring Registered Social Workers to meet minimum criteria in order to hold an Annual Practising Certificate (APC).

The Social Workers Complaints and Disciplinary Tribunal provides the mechanism for making a complaint about a Registered Social Worker. Complaint Assessment Committees investigate conduct complaints and provide recommendations to the Tribunal.

An overview of our work

The Board's functions are set out in section 99 of the Act. They are prioritised below under the Board's agreed outputs.

Managing the registration of social workers

- receiving and considering registration applications, taking recognised educational qualifications and social worker competence into account
- authorising the registration of social workers and maintaining a Public Register
- considering applications for, and issuing, Annual Practising Certificates (APCs).

Considering complaints against Registered Social Workers

- maintaining a Complaints and Disciplinary Tribunal and providing support services to the Tribunal
- promoting to employers the development of procedures for making, considering and determining complaints related to social workers they employ.

Enhancing the professionalism of social workers

- maintaining a Code of Conduct for both Registered Social Workers and the general social work profession
- promoting and encouraging high standards of practice and professional conduct amongst Registered Social Workers and employers of social workers.

Promoting the benefits of registration

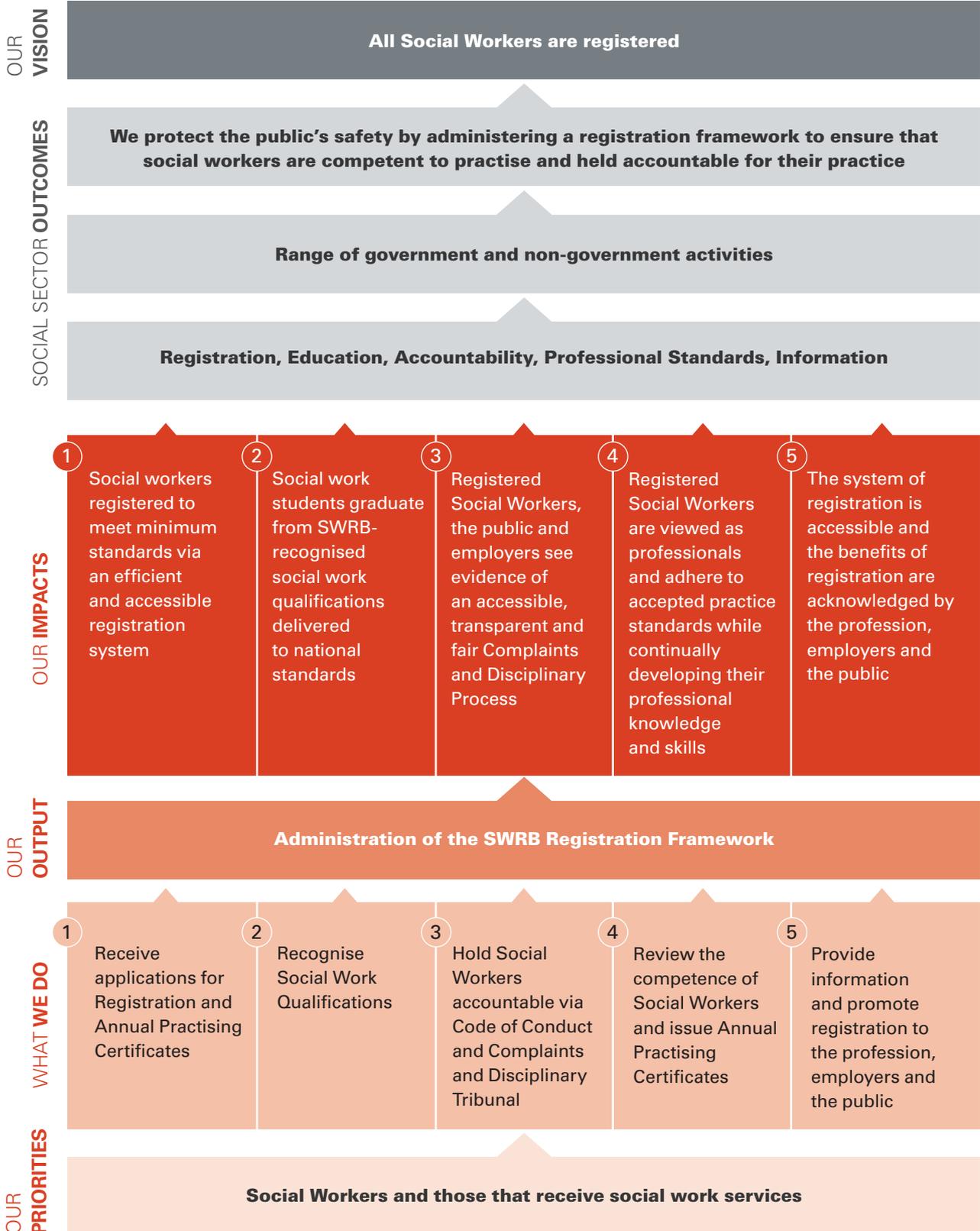
- promoting the benefits of registration amongst social workers, employers of social workers and the public
- acknowledging the status of Registered Social Workers as qualified, competent and regulated professionals
- reinforcing the place of Registered Social Workers as contributing members of multi-disciplinary teams working within many sectors.

Setting the standards for social work education and training

- ensuring that the delivery of social work qualifications in New Zealand adheres to the Social Workers Registration Board Programme Recognition Standards
- maintaining and reviewing the Programme Recognition Standards for recognised social work education providers
- reinforcing high standards of education so that social workers achieve minimum competencies before professionally practising.

OUTCOMES FRAMEWORK

The SWRB has adopted the following outcomes framework to guide our work:



MEASURING SUCCESS

Our vision is to see all social workers practising in New Zealand registered, and in 2016-17, the Board focused on measures related to our call for mandatory registration.

In 2015 the Minister for Social Development asked the Board to undertake a review of the Act and report back by December 2015. The review recommended that social worker registration be made mandatory and in 2016, based on this advice the Social Services Select Committee undertook an inquiry into the Social Workers Registration Act (2003).

This was at the request of the Minister to identify how social work standards could be lifted so that vulnerable people are protected from poor practice. The Committee released its inquiry report in December 2016 concluding that legislative reform was needed to:

- strengthen the regulatory framework for the social work sector
- increase the professionalism and competence of social workers, and
- provide greater protection for the public.

As a result, the Social Workers Registration Legislation Bill was introduced into Parliament on 9 August 2017. The final review was also published in August 2017.

PRIORITIES AND GOALS

In our 2016-17 Statement of Performance Expectations, we outlined the following priorities and goals as per our outcomes framework. Their status and/or progress are also noted below, along with those from the Statement of Intent 2014-2018.

Registration

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

1. Further develop our online presence to ensure an efficient, accessible and cost-effective registration process

In August 2016 we introduced an online application process via our website. This has been well-received and is operating well. Sixty-five percent of respondents in an online survey expressed extreme satisfaction with the new process. In May 2017, we refreshed our website, moving it on to a new platform and making some further refinements to make it more accessible and easier to use. This too has been well-received by Registered Social Workers and members of the public.

2. Extend the online APC renewal platform to include an online application process.

This was achieved and from the beginning of May all Registered Social Workers applying to renew their APC completed the online renewal process. During the APC Renewal Year for 2016/2017 – approximately 4580 registered social workers completed their APC through the online system.

3. Introduce further online enhancements that will allow registered social workers to update their details online, reprint certificates and receipts etc.

The SWRB has taken an active approach to expanding its online presence. Registered social workers are now able to access a number of functions and ensure their details remain current.

There have been some initial implementation issues of a technical nature (such as the interaction between the database and the website), however these are now resolved. Through this we have identified some future developments are required to enhance the database functionality.

Measure: Percentage of users who report satisfaction with the online functions provided by the Board				
Target 2015/16	Actual 2015/16	Target 2016/17	Actual 2016/17	Target 2017/18
80% of users report satisfaction with the functions provided and this figure increases	Not measured	Percentage of users who report satisfaction with the online functions provided by the Board	65% ¹	Percentage of users who report satisfaction with the online functions provided by the Board
Measure: Percentage of users who report identifiable benefits from using the online functions provided by the Board				
80% of users report satisfaction with the functions provided and this figure increases	Not measured	80% of users report satisfaction with the functions provided and this figure increases	65% ²	80% of users report satisfaction with the functions provided and this figure increases

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

1. Continue to support providers of recognised social work qualifications to meet the updated Programme Recognition Standards, including the move to a four year degree by 2017 for those currently providing a three year qualification.

In 2016-17, we visited eight recognised providers for programme re-recognition or mid-cycle reviews. When undertaking programme re-recognition we internationally benchmark the programmes by engaging an international social work senior academic as a member of the panel. We also consult with service users, stakeholders and students.

SWRB have had as a measure tracking the percentage of graduates who are rated by employers as meeting the graduate profile. However, having a way to identify the employers of new social work graduates is difficult in a non-mandatory environment and in the absence of any social service sector workforce data. In the future we intend to survey the employers of registered social workers who are newly qualified.

2. Consult with key employment and education organisations based on recommendations 3, 4 and 5 as set out in the Board's 2015 review of the Social Workers Registration Act.

Rec 3: Consideration be given to specific funding issues identified in this review document with regard to social work education and that they are addressed as part of the legislative requirements to make the registration of social workers mandatory.

Rec 4: Consideration be given to the specific funding issues identified in this review document with regard to entry to practice, supported by a post-qualification framework, and that they are addressed as part of the legislative requirements to make the registration of social workers mandatory.

Rec 5: Consideration be given to the support for scopes of practice identified in this review document and that they are addressed as part of the legislative requirements to make the registration of social workers mandatory.

- 1 The registration process went online in August 2016 and a survey of satisfaction with the online application process found 91% of respondents were moderately to extremely satisfied. However for the purposes of this measure we are using very or extremely satisfied.
- 2 As above

The 2015 Review was only made publicly available in August 2017 so these recommendations have not yet been achieved. However, these issues have been discussed with stakeholders in the context of the new legislation and are seen as an important work stream in the post-mandatory registration environment. The Board secretariat regularly meets with the Council for Social Work Education (CSWEANZ) to discuss social work education and has an ongoing relationship with the Tertiary Education Commission.

Measure: Percentage of employers who rate the quality of social work graduates in relation to the extent to which they meet the graduate profile as set out in the SWRB Programme Recognition Standards

Target 2015/16	Actual 2015/16	Target 2016/17	Actual 2016/17	Target 2017/18
A baseline of 75% and this figure trends upwards over the remaining years	Not assessed	A baseline of 75% and this figure trends upwards over the remaining years	Not measured ³	A baseline of 75% and this figure trends upwards over the remaining years

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.

1. The Board will have completed consultation on the revised Code of Conduct and the revised code will be operational.

The new Code is now operational and is used to provide guidance to Registered Social Workers, employers and the Complaints and Disciplinary Tribunal. Registered Social Workers are held to standards expressed in the Code when notifications of concern are received.

2. The Board will introduce an online complaint submission process as well as further information on the complaints process via the Board's website.

An online form has been available since May 2017. However we also continue to take initial notifications via email, letter and telephone. The revised website has information for both complainants and registered social workers on how the complaints process is managed.

3. Registered Social Workers, employer of social workers, the profession, and the public will be provided with information on the updated complaint processes, the revised Code of Conduct and information on the determinations of the Complaints and Disciplinary Tribunal.

We have promoted the complaint processes and Code of Conduct through our stakeholder networks, on our website and in information sessions with final year social work students. We publicise Tribunal decisions on our website and in our newsletter to Registered Social Workers.

- 3 SWRB has yet to introduce a system by which it can identify employers of social work graduates. The first full cohort graduates to complete their full qualification under the new standards will graduate in 2018.

Measure: Percentage of eligible registered social workers who maintain their registration through competence recertification and practising certificate renewal

Target 2015/16	Actual 2015/16	Target 2016/17	Actual 2016/17	Target 2017/18
A baseline of 95% and this figure trends upwards with a target of 100% over the remaining years	91%	A baseline of 95% and this figure trends upwards with a target of 100% over the remaining years	82% ⁴	A baseline of 95% and this figure trends upwards with a target of 100% over the remaining years

Measure: Percentage of employers who support the social workers they employ to maintain their registration through payment of competence recertification and practising certificate renewal costs

A baseline of 75% and this figure trends upwards over the remaining years	Was not assessed	A baseline of 75% and this figure trends upwards over the remaining years	Estimated 45% ⁵	A baseline of 75% and this figure trends upwards over the remaining years
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Measure: Percentage of registered social workers who report identifiable enhancement to the practice as a result of maintaining registration

A baseline of 75% and this figure trends upwards over the remaining years	Was not assessed	A baseline of 75% and this figure trends upwards over the remaining years	Not measured ⁶	A baseline of 75% and this figure trends upwards over the remaining years
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Measure: Percentage of employers who report identifiable enhancement to the professionalism and practice of their social workers as a result of maintaining registration costs

A baseline of 75% and this figure trends upwards over the remaining years	Was not assessed	A baseline of 75% and this figure trends upwards over the remaining years	Not measured ⁷	A baseline of 75% and this figure trends upwards over the remaining years
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4 Of 6,384 eligible social workers 1,142 were not practising as at 4 July 2017

5 The two biggest employer groups of registered social workers are DHBs and CYF/MVCOT at 23/22% each (as illustrated in Figure 3). Both these organisations support their frontline social workers staff through payment. Our employer survey (46 respondents) identified that 91% of respondents regarded registration as very or extremely important for their organisation

6 With the introduction of legislation to make registration of social work mandatory the emphasis has moved from the need to promote registration, to supporting the passage of the legislation. This was been the focus of much of the SWRB for the 2016/17 year, and has meant this measure has been superseded by events. It should be noted however that the number of social workers who have chosen to be registered in a voluntary environment has had a consistent upward trend, indicating that it is valued by the sector.

7 With the introduction of legislation to make registration of social work mandatory the emphasis has moved from the need to promote registration, to supporting the passage of the legislation. This was been the focus of much of the SWRB for the 2016/17 year, and has meant this measure has been superseded by events. A survey of employers (46 respondents) identified that 91% of respondents regarded registration as very or extremely important for their organisation

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.

1. The Board will have completed the review of the competencies required to work and practise social work with Māori, Pasifika and different ethnic and cultural groups in Aotearoa/New Zealand. This follows a 2014/15 review of the general competence standards to practise social work.

The Kaitiakitanga Framework has been developed to support Competence 1 (Competence to practise social work with Māori). Competence 2 (Competence to practise social work with different ethnic and cultural groups in Aotearoa New Zealand) along with the eight other standards were also updated.

2. The Board will implement the competence requirements in regard to different ethnic and cultural groups and provide information to Registered Social Workers, social work educators and the employers of social workers.

All social workers are now assessed against the revised competence standard. This is also embedded in all social work recognised programmes. In addition, overseas qualified social workers are required during their period of initial provisional registration to complete specified continuing professional development to meet this standard.

3. The Kaitiakitanga Framework, introducing updated competence requirements to work with Māori, will be completed and incorporated as part of the Board's competence policy.

The components within the framework have been incorporated into the Board's Core competence standard 1. The framework is complete but is not yet published as the decision to develop some accompanying resources has delayed this.

4. The Board will develop a process for providing information on the framework to Registered Social Workers, social work educators and employers of social workers.

We are working with Tāngata Whenua Voices in Social Work on additional resources and how best to promote the framework with the sector. The standards have also been circulated to educators to guide their assessment of this competence.

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.

1. The Board will inform and promote to Registered Social Workers, employers of social workers, the profession and the public the outcomes of those reviews and revisions of Board policy and procedures mentioned above.

We continue to promote policy and procedure changes through a variety of channels including our newsletter to Registered Social Workers, website, through our stakeholder networks and working directly with various agencies. An example is the cross sector Alliance that meets at least twice a year to promote and discuss issues relating to the social work sector.

2. A significant promotion process will focus on the recommendations resulting from the Review of the Social Workers Registration Act 2003.

The review was not publicly released until August 2017 and the Social Workers Registration Legislation Bill has now been introduced. Once the Bill is passed, we will work with the Ministry of Social Development on a promotional campaign.

Review of the Social Workers Registration Act

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

As discussed above, the review enabled wide discussion of issues confronting the profession, facilitated by the select committee enquiry process. Those documents are available on the parliamentary website.

How have we assessed performance?

PERFORMANCE MEASURE

The percentage of Social Work Qualifications due for re-recognition that are assessed by panels prior to their expiry date will be no less than

2015/2016		2016/2017		2017/2018
Target	Actual	Target	Actual	Target
100%	100%	100%	100%	100%

PERFORMANCE MEASURE

The percentage of completed applications for Registration that are assessed and presented to the Board for approval within 60 working days, will be no less than

2015/2016		2016/2017		2017/2018
Target	Actual	Target	Actual	Target
100%	100%	100%	100%	100%

PERFORMANCE MEASURE

The percentage of applicants who report being satisfied with the Registration and APC renewal process will be no less than

2015/2016		2016/2017		2017/2018
Target	Actual	Target	Actual	Target
90%	89%	90%	89% ⁸	95%

PERFORMANCE MEASURE

The percentage of competence assessments that are completed within 20 working days will be no less than

2015/2016		2016/2017		2017/2018
Target	Actual	Target	Actual	Target
100%	100%	100%	100%	100%

PERFORMANCE MEASURE

The percentage of competence re certification assessments that are completed within 20 working days will be no less than

2015/2016		2016/2017		2017/2018
Target	Actual	Target	Actual	Target
100%	100%	100%	100%	100%

⁸ This was assessed via an online survey. However that the wording of the survey did not distinguish clearly between the initial registration process and the annual practising certificate and reported as a combined result.

PERFORMANCE MEASURE

The percentage of applicants who report being satisfied with the Competence Assessments process will be no less than

2015/2016		2016/2017		2017/2018
Target	Actual	Target	Actual	Target
90%	85%	90%	80% ⁹	95%

PERFORMANCE MEASURE

The number of events that inform and promote the benefits of Registration to Social Workers, employers of Social Workers and the public, will be no less than

2015/2016		2016/2017		2017/2018
Target	Actual	Target	Actual	Target
40	66	50	39 ¹⁰ Not achieved	60

PERFORMANCE MEASURE

The percentage of people who report that they are satisfied with promotional material they receive will be no less than

2015/2016		2016/2017		2017/2018
Target	Actual	Target	Actual	Target
90%	86%	90%	Not measured ¹¹	Measure removed

PERFORMANCE MEASURE

The percentage of formal complaints received and referred to the Complaints and Disciplinary Tribunal to be processed within 20 working days will be no less than

2015/2016		2016/2017		2017/2018
Target	Actual	Target	Actual	Target
100%	100%	100%	100%	100%

There are two new measures that were introduced in the Statement of Performance Expectations 2017/18 which relate to the percentage of employers who report that they are satisfied with the advice they receive (with a target no less than 90%) and in anticipation of the progression of draft legislation, that the Select Committee is satisfied with the SWRB advice (with a target of 100%).

9 Note that 9% of respondents were 'slightly satisfied' so total of all 'slightly or greater' is 90%

10 Much of the focus for the 2016/2017 year was on supporting the select committee inquiry which limited the ability of the organisation to speak at external events. In addition, for the second half of the year, during the CE recruitment process the acting CE had a number of demands that limited her ability to engage as predicted.

11 SWRB has concentrated on the provision of information online, with no promotional material developed in the 2016/17 year. It is anticipated that for the 2017/18 year some promotional material will be produced.

PART 2: GOVERNANCE

SWRB Board members 2016-17

Shayne Walker	(Chair)
Turitea Bolstad	(Deputy Chair)
Michelle Derrett	
Dianne Wepa	
Lisa King	
Leisa Moorhouse	
Shirley Ikkala	
Sarah Georgeson	(term ended October 2016)
Toni Millar	(term ended October 2016)
Khoa Nguyen	(from October 2016)
Scott Thomson	(from October 2016)
Paula Rose	(from October 2016)

Board meetings

The Board met on:

- 12 August 2016
- 13 and 14 October 2016
- 2 December 2016
- 16 and 17 February 2017
- 7 April 2017
- 16 June 2017

Board committees

To facilitate its work, the Board reviewed and maintained several sub-committees for the 2016-17 year. They also constituted 2 new committees – Te Komiti Māori and The Remuneration Committee. The committees and their membership were:

Finance, Audit and Risk Management	Membership: Khoa Nguyen (Chair), Shayne Walker, Michelle Derrett, Lisa King, Paula Rose and Scott Thomson.
Policy Development and Review	Membership: Michelle Derrett (Chair), Shayne Walker, Leisa Moorhouse, Scott Thomson and Shirley Ikkala.
Te Komiti Māori	Membership: Lisa King (Chair), Shayne Walker, Turitea Bolstad, Leisa Moorhouse, Shirley Ikkala and Dianne Wepa.
Remuneration	Membership: Paula Rose (Chair), Shayne Walker, Turitea Bolstad, Dianne Wepa, and Khoa Nguyen.

Insurance

The SWRB has taken out insurance for Board members and staff to cover personal loss caused by wrongful acts in the course of their duties where indemnity is not available from the organisation. The SWRB has also taken out insurance to cover personal accident and travel risk for Board members and staff where injury or loss occurs while carrying out the organisation's business.

PART 3: REPORT FROM THE CHAIR

2016-17 was one of the busiest years the Board has had to date. As progress was made towards the change to mandatory registration, more social workers took steps to apply for registration.

In August 2016, we introduced an online application process for registration, making it easier for people to apply. This also will have contributed to the increase in applications.

At the end of 2016-17, there were 6472 Registered Social Workers in New Zealand.

We had a 144 percent increase in the number of registration applications we received and an 82 percent increase in the number of registrations we processed in 2016-17.

We exceeded our annual target of 500 applications for registration by 47 percent.

Full competence assessments undertaken increased 102 percent over the previous year, and the number of competence recertification assessments increased 104 percent. We processed 5242 applications for renewal of an Annual Practising Certificate, exceeding our annual target of 4500 by 16.5 percent.

Financially, we moved from forecasting a loss of \$99k in 2016-17 to achieving a surplus of \$20k.

I am very pleased with the way in which the Board has managed to continue to grow the number of social workers who are registered while the secretariat was also undergoing significant change. Our long standing CE/Registrar Sean McKinley departed for fresh challenges in February 2017. We were fortunate to have Jan Duke step into the acting CE/Registrar role while we recruited for his replacement. In late May 2017 our new CE/Registrar, Sarah Clark, took up the position, bringing with her experience from across the state sector. Her focus will be on supporting the organisation as it adapts to requirements of mandatory registration as proposed through the new legislation.

Social Workers Registration Legislation Bill

The highlight for the Board in 2016-17 was obviously the progress made in the drafting of the Social Workers Registration Legislation Bill.

The Board has wanted for some years to see registration made mandatory. Our vision has been to see all social workers in New Zealand registered. We recommended mandatory registration in our 2012 Review of the Act and again in 2015 so welcomed the Social Services Committee's inquiry report in December 2016 and the resulting Bill.

We believe mandatory registration is vital for the continued standing of the social work profession, and being able to provide the public with assurances around social work quality and accountability.

It is only once registration is mandatory that the Board can explore and progress specialised scopes of practice and a post-qualification framework for advanced practice.

One of the biggest challenges to ensuring the effective, efficient delivery of social work services is to ensure that we are clear about what formal social work is, and who can deliver it.

While we agree with the level of protection the Social Workers Registration Legislation Bill proposes for the title of 'social worker', we do hold concerns about the proposed mechanism for defining social work practice. We would like to see the definition of what constitutes social work practice specified under the regulations via a Scope of Practice, so that there is consistency and accountability across the profession regardless of title or employer.

We have already developed and consulted on a Scope of Practice and believe it provides a useful mechanism and is consistent with the approach taken by the Health Practitioners Competence Assurance Act (2003) and other regulatory bodies.

We have shared these concerns and the Draft Scope of Practice with the Ministry of Social Development and government ministers. We will also be making a submission to the Select Committee at the appropriate time. We look forward to the legislation progressing and the organisation moving into a new phase of its development.



Shayne Walker
Chair

2016-17 Update on the Social Workers Registration Board Data

The social work profession, and the employers of social workers, continue to support social work registration even though it is voluntary, as evidenced by the number of social workers applying for and maintaining registration.

The following graphs and tables provide a snapshot of data recorded by the Board in relation to registration applications, Annual Practising Certificate renewals, complaints received and the numbers of registered social workers across the various employers of social workers in New Zealand.

Managing the registration of social workers

In 2015/16 the number of new applications for registration increased by 48 percent. This upward trend continued, with a 144 percent increase in 2016-17.

Figure 1 provides information on the numbers of social workers applying for registration each year along with the number of applicants (from the current or previous years) who have been registered.

Tables 1 – 3 provide a month-by-month breakdown of the number of registration applications received and granted.

Figure 1: Applications for registration and new registrations per year 2012–2017

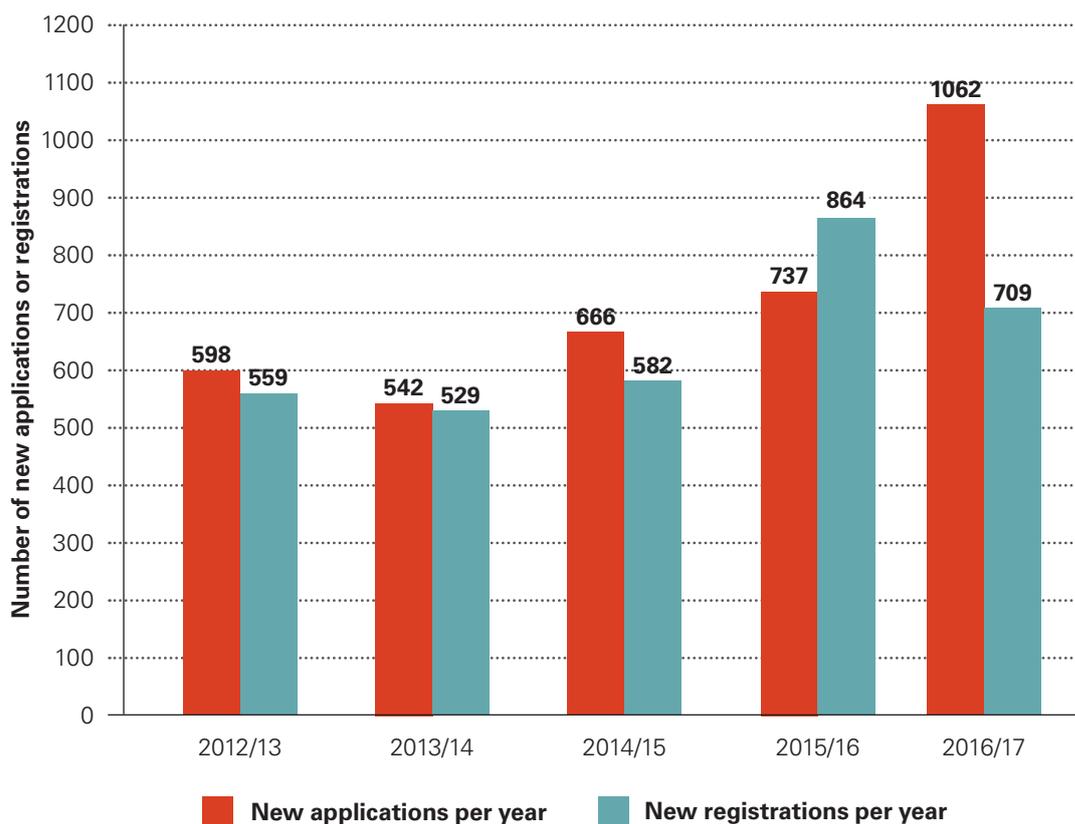


Table 1: Online applications for registration per month

MONTH/YEAR	NUMBER OF ONLINE APPLICATIONS PER MONTH
October 2016 ¹²	196
November 2016	114
December 2016	114
January 2017	95
February 2017	152
March 2017	108
April 2017	54
May 2017	121
June 2017	143

¹² Applications were online from August 2016, however data was not captured until October 2016.

Table 2: New registrations per month

MONTH/YEAR	NEW REGISTRATIONS PER MONTH
July 2016	47
August 2016	48
September 2016	66
October 2016	52
November 2016 ¹³	n/a
December 2016	145
January 2017	n/a
February 2017	110
March 2017	64
April 2017	63
May 2017	63
June 2017	84

Table 3: Total registered per month

MONTH/YEAR	TOTAL REGISTERED PER MONTH
July 2016	60
August 2016	54
September 2016	78
October 2016	56
November 2016 ¹⁴	n/a
December 2016	255
January 2017	n/a
February 2017	123
March 2017	73
April 2017	71
May 2017	78
June 2017	92

13 No registration meetings were held in November and January.

14 No registration meetings were held in November and January.

Setting standards for social work education and training

Since 1 January 2006, the entry level qualification for registration has been a degree level social work qualification. However, the Board continues to recognise historical social work qualifications started before that date.

The Board currently recognises a range of undergraduate and postgraduate social work qualifications provided by 17 providers. We review programmes every five years. At the undergraduate level, for entry in 2018 the Board recognises:

- Five four-year degrees at universities (three of these may be awarded with honours and two have an honours stream)
- One four-year degree at a private training establishment
- Nine four-year degrees in polytechnics or institutes of technology sector
- Two four-year degrees in the wānanga sector

At the postgraduate level, there are three university professional masters programmes, one of which may be awarded with honours.

Table 4: Current SWRB Recognised Social Work Qualifications

INSTITUTION	QUALIFICATION
Ara Institute of Technology	<ul style="list-style-type: none"> • Bachelor of Social Work
Bethlehem Tertiary Institute	<ul style="list-style-type: none"> • Bachelor of Social Work
Eastern Institute of Technology	<ul style="list-style-type: none"> • Bachelor of Social Work
Massey University	<ul style="list-style-type: none"> • Bachelor of Social Work (may be awarded with Honours) • Master of Applied Social Work
Manukau Institute of Technology	<ul style="list-style-type: none"> • Bachelor of Applied Social Work
NorthTec	<ul style="list-style-type: none"> • Bachelor of Applied Social Work
Open Polytechnic	<ul style="list-style-type: none"> • Bachelor of Social Work
Te Wānanga o Aotearoa	<ul style="list-style-type: none"> • Ngā Poutoko Whakarara Oranga – Bachelor of Bicultural Social Work
Te Wānanga o Raukawa	<ul style="list-style-type: none"> • Poutuārongo Toiora Whānau
The University of Auckland	<ul style="list-style-type: none"> • Bachelor of Social Work • Bachelor of Social Work (Honours) • Master of Social Work (Professional) (may be awarded with Honours)
Toi Ohomai Institute of Technology	<ul style="list-style-type: none"> • Bachelor of Social Work
Unitec New Zealand	<ul style="list-style-type: none"> • Bachelor of Social Practice
University of Canterbury	<ul style="list-style-type: none"> • Bachelor of Social Work (may be awarded with Honours) • Master of Social Work (Applied)
University of Otago	<ul style="list-style-type: none"> • Bachelor of Social Work • Bachelor of Social Work (Honours)
University of Waikato	<ul style="list-style-type: none"> • Bachelor of Social Work (may be awarded with Honours)
Whitireia New Zealand	<ul style="list-style-type: none"> • Bachelor of Social Work
Wintec	<ul style="list-style-type: none"> • Bachelor of Social Work

Considering complaints against Registered Social Workers

The Social Workers Registration Board Complaints and Disciplinary Tribunal can only investigate complaints about the practice of Registered Social Workers where there is an identified alleged breach of the Code of Conduct.

When a notification of concern does not reach the threshold of an identified Code of Conduct breach and relates to a social worker's competence, a Competence Review is usually undertaken by the Board. The social worker's competence to practice is reviewed and the social worker may be referred for a competence assessment. The Board will consider the outcome of that assessment and may impose conditions or restrictions on the social worker's practice.

If the complainant is a consumer of a health service, the complaint will be referred to the Health and Disability Commissioner.

The Board also receives a number of complaints it cannot act on; for instance these may be about social workers who are not registered or relate to procedure being handled with the Ministry for Vulnerable Children, Oranga Tamariki or the Family Court.

Identifying the exact number of these sorts of complaints is difficult as often complainants will call to ask if a particular social worker is registered and when told they are not, do not continue with the discussion.

There are a range of possible procedural steps once a notification or complaint has been made, depending on individual circumstances. They include an initial risk assessment, any preliminary inquiry, and a triage process to determine the next steps. The Triage meeting occurs fortnightly and is attended by the Registrar, senior professional social work staff, and members of the Professional Standards Team. Currently our legislation does not define what a 'complaint' is but directs all complaints to the Tribunal Chair. As this is impractical and unwieldy, we use the triage process to establish if a notification should proceed to a formal complaint about a social worker's conduct. If so, the matter is then given to the Tribunal Chair who will decide if it should be referred to a Complaints Assessment Committee (CAC). The introduction of the triage system in March 2017 has impacted on how we classify notifications and complaints. We are therefore unable to report on figures for the 2016/17 year, however have a system in place to introduce a new format report in 2017/18.

Enhancing the professionalism of social workers

The SWRB maintains a Code of Conduct and reinforces high standards of practice by requiring registered social workers to meet minimum criteria in order to hold an Annual Practising Certificate (APC).

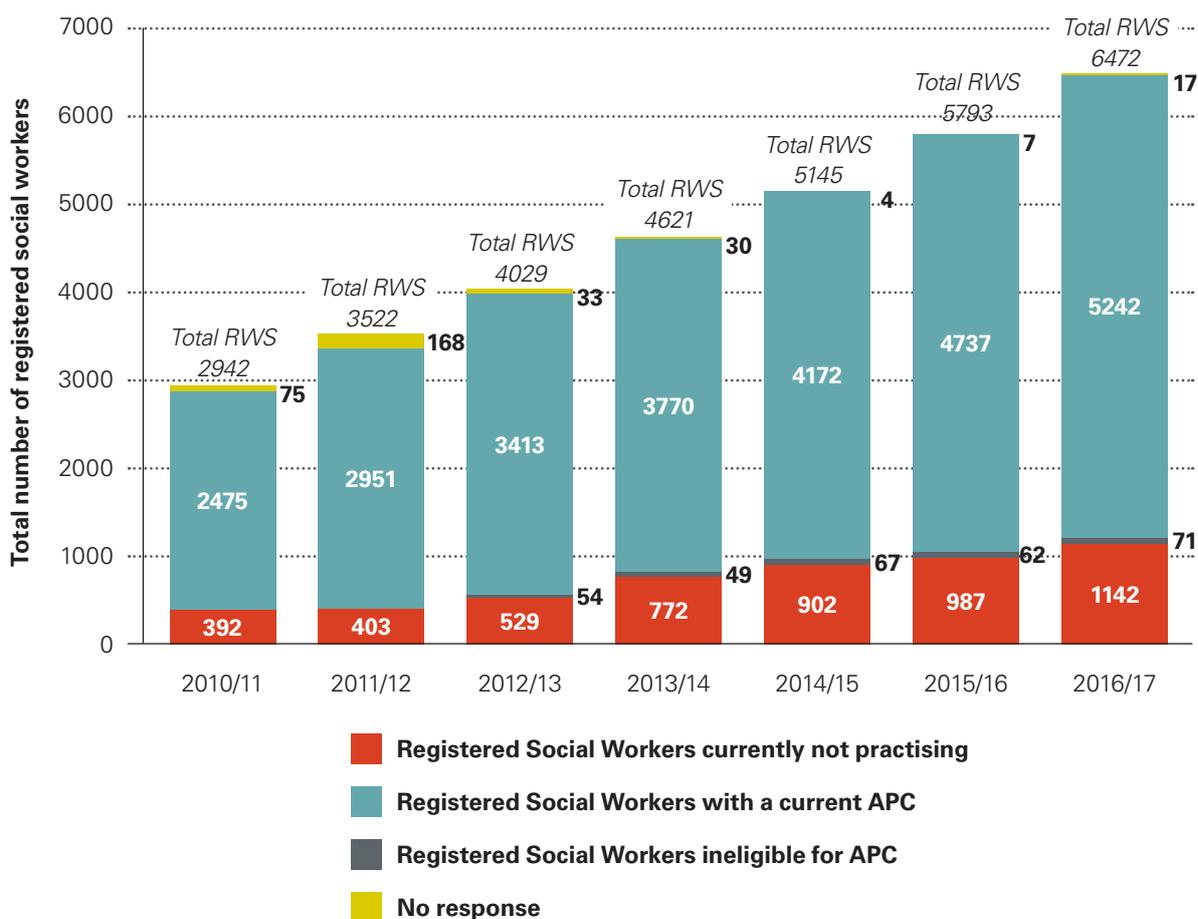
This minimum criteria includes maintaining a valid Competence Assessment Certificate, being a fit and proper person to practise social work, and engaging in ongoing professional development.

When a registered social worker is no longer practising, the Board requires confirmation of this to ensure that no social worker is practising without a valid APC.

The Board actively follows up on registered social workers who may be practising without a current APC, advising both them and their employer of their obligations under the SWR Act.

Figure 2 sets out the number of registered social workers who identify as practising, not practising, who are ineligible to renew (because their Competence Assessment Certificate has expired) or who did not respond to the renewal notice sent to them.

Figure 2: Total Registrations compared with Total APCs issued 2010 – 2017¹⁵



Promoting the benefits of registration

The benefits of registration are two-fold – it protects the public’s safety by providing a mechanism to ensure that social workers are competent to practise and are held accountable for the way in which they practise.

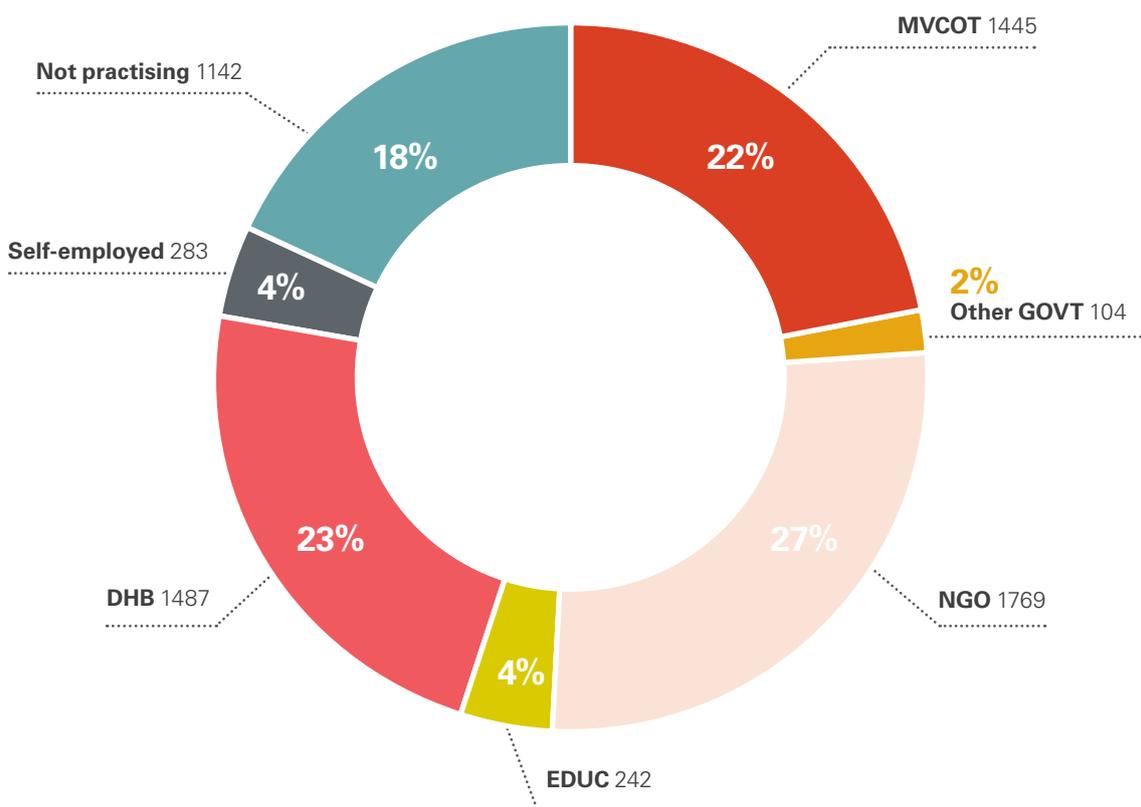
The registration framework also provides a process for social workers to have their competence and fitness to practise social work publicly acknowledged.

Figure 3 shows where registered social workers have identified they are employed within or else are not practising.

Non-government sector organisations are the largest single employer at 27 percent, followed by District Health Boards at 23 percent and the Ministry for Vulnerable Children Oranga Tamariki (MVCOT) at 22 percent. This has changed from last year which saw the former Child, Youth and Family and NGOs sharing the largest single employer position.

¹⁵ As at 4 July 2017

Figure 3: Number of Registered Social Workers by employer



Equal Employment Opportunities (EEO)

The Social Workers Registration Board is committed to being a good employer and to adopting policies and practices that ensure the fair and proper treatment of its employees in all aspects of their employment. This includes adhering to the Human Rights Commission EEO and Crown Entities Good Employer principles requiring: good and safe working conditions, an equal employment opportunities programme, and impartial selection of suitability-qualified people for appointment.

The Board also recognises

- the aims and aspirations of Māori
- the employment requirements of Māori, and
- the need for greater involvement of Māori in social work.

The SWRB is committed to providing

- opportunities for enhancing the abilities of individual employees
- recognition of the aims, aspirations and cultural differences of ethnic or minority groups
- recognition of the employment requirements of women, and
- recognition of the employment requirements of people with disabilities.

The SWRB continues to encourage and maintain

- even representation of men and women in its workplace and decision-making structures
- participation and representation of Māori as employees and Board members
- participation and representation of other ethnic groups as employees and Board members, and
- participation and representation of people with disabilities as employees and Board members.

SWRB policies are in place to ensure that all Board staff maintain standards of integrity, conduct and concern for protecting public safety and interests.

The following Good Employer elements are in place:

- **Leadership, accountability and culture**
The SWRB has 10.2 FTE staff and all actively engage in the development of policies and procedures that impact on their positions. The Board utilises the Public Service Code of Conduct, as well as operational staff and governance manuals.
- **Recruitment selection and induction**
The SWRB recruitment process is based on merit and we have a mix of full-time and part-time staff.
- **Employee development, promotion and exit**
All SWRB staff have access to professional development opportunities and receive ongoing support from senior members of staff. Annual performance appraisals are undertaken.
- **Flexibility and work design**
The SWRB works with staff to allow flexible working arrangements, where possible.
- **Remuneration recognition and conditions**
Staff salaries are reviewed on an annual basis, taking into account individual performance and relevant external factors.
- **Harassment and bullying prevention**
The SWRB operates a zero tolerance of bullying and harassment, and encourages staff to bring any issues immediately to the attention of the Chief Executive or Board.
- **Safe and healthy environment**
SWRB staff have access to an Employment Assistance Programme that provides confidential counselling and advice. All staff are provided with information on emergency procedures. Health and safety equipment, including emergency provisions, are available in the SWRB office for use in the event of a disaster.

In addition, as a Crown Entity the Social Workers Registration Board are required to report on the number of employees for whom during the financial year, remuneration exceeded \$100,000 per annum. The information is stated below:

	2017	2016
\$170,000 and \$179,999	-	1
\$160,000 and \$169,999	1	-
\$130,000 and \$139,999	1	-
\$110,000 and \$119,999		

PART 4: FINANCIAL STATEMENTS

STATEMENT OF RESPONSIBILITY

FOR THE YEAR ENDED 30 JUNE 2017

Under the Crown Entities Act 2004, the Board is responsible for preparation of the SWRB's financial statements and statement of service performance, and for the judgements made in them.

The Board of the SWRB has responsibility for establishing, and has established, a system of internal controls designed to provide reasonable assurance about the integrity and reliability of financial reporting.

In the Board's opinion, these financial statements and statement of service performance fairly reflect the financial position and operations of the SWRB for the year ended 30 June 2017.



Shayne Walker
SWRB Chair
31/10/2017



Khoa Nguyen
Chair Finance, Audit & Reporting Committee
31/10/2017

Independent Auditor's Report

AUDIT NEW ZEALAND
Mana Arotake Aotearoa

To the readers of the Social Workers Registration Board's financial statements and performance information for the year ended 30 June 2017.

The Auditor-General is the auditor of the Social Workers Registration Board (the Registration Board). The Auditor-General has appointed me, John Whittal, using the staff and resources of Audit New Zealand, to carry out the audit of the financial statements and the performance information of the Registration Board on his behalf.

Opinion

We have audited:

- the financial statements of the Registration Board on pages 30 to 41, that comprise the statement of financial position as at 30 June 2017, the statement of financial performance, statement of changes in equity and statement of cash flows for the year ended on that date and the notes to the financial statements including a summary of significant accounting policies and other explanatory information; and
- the performance information of the Registration Board on pages 4 to 12 and 29.

In our opinion:

- the financial statements of the Registration Board on pages 30 to 41:
 - present fairly, in all material respects:
 - its financial position as at 30 June 2017; and
 - its financial performance and cash flows for the year then ended; and
 - comply with generally accepted accounting practice in New Zealand in accordance with the Public Benefit Entity Simple Format Reporting – Accrual (Public Sector Standard).
- the performance information on pages 4 to 12 and 29:
 - presents fairly, in all material respects, the Registration Board's performance for the year ended 30 June 2017, including:
 - for each class of reportable outputs:
 - its standards of delivery performance achieved as compared with forecasts included in the statement of performance expectations for the financial year; and
 - its actual revenue and output expenses as compared with the forecasts included in the statement of performance expectations for the financial year.
 - complies with generally accepted accounting practice in New Zealand.

Our audit was completed on 31 October 2017. This is the date at which our opinion is expressed.

The basis for our opinion is explained below. In addition, we outline the responsibilities of the members of the Board and our responsibilities relating to the financial statements and the performance information, we comment on other information, and we explain our independence.

Basis for our opinion

We carried out our audit in accordance with the Auditor-General's Auditing Standards, which incorporate the Professional and Ethical Standards and the International Standards on Auditing (New Zealand) issued by the New Zealand Auditing and Assurance Standards Board. Our responsibilities under those standards are further described in the Responsibilities of the auditor section of our report.

We have fulfilled our responsibilities in accordance with the Auditor-General's Auditing Standards.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Responsibilities of the Members of the Board for the financial statements and the performance information

The Members of the Board are responsible on behalf of the Registration Board for preparing financial statements and performance information that are fairly presented and comply with generally accepted accounting practice in New Zealand. The Members of the Board are responsible for such internal control as they determine is necessary to enable them to prepare financial statements and performance information that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements and the performance information, the Members of the Board are responsible on behalf of the Registration Board for assessing the Registration Board's ability to continue as a going concern. The Members of the Board are also responsible for disclosing, as applicable, matters related to going concern and using the going concern basis of accounting, unless there is an intention to merge or to terminate the activities of the Registration Board, or there is no realistic alternative but to do so.

The Members of the Board's responsibilities arise from the Crown Entities Act 2004.

Responsibilities of the auditor for the audit of the financial statements and the performance information

Our objectives are to obtain reasonable assurance about whether the financial statements and the performance information, as a whole, are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion.

Reasonable assurance is a high level of assurance, but is not a guarantee that an audit carried out in accordance with the Auditor-General's Auditing Standards will always detect a material misstatement when it exists. Misstatements are differences or omissions of amounts or disclosures, and can arise from fraud or error. Misstatements are considered material if, individually or in the aggregate, they could reasonably be expected to influence the decisions of readers, taken on the basis of these financial statements and the performance information.

For the budget information reported in the financial statements and the performance information, our procedures were limited to checking that the information agreed to the Registration Board's statement of performance expectations.

We did not evaluate the security and controls over the electronic publication of the financial statements and the performance information.

As part of an audit in accordance with the Auditor-General's Auditing Standards, we exercise professional judgement and maintain professional scepticism throughout the audit. Also:

- We identify and assess the risks of material misstatement of the financial statements and the performance information, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control.
- We obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Registration Board's internal control.
- We evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by the Members of the Board.
- We evaluate the appropriateness of the reported performance information within the Registration Board's framework for reporting its performance.
- We conclude on the appropriateness of the use of the going concern basis of accounting by the Members of the Board and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the Registration Board's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in our auditor's report to the related disclosures in the financial statements and the performance information or, if such disclosures are inadequate, to modify our opinion. Our conclusions are based on the audit evidence obtained up to the date of our auditor's report. However, future events or conditions may cause the Registration Board to cease to continue as a going concern.
- We evaluate the overall presentation, structure and content of the financial statements and the performance information, including the disclosures, and whether the financial statements and the performance information represent the underlying transactions and events in a manner that achieves fair presentation.

We communicate with the Members of the Board regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that we identify during our audit.

Our responsibilities arise from the Public Audit Act 2001.

Other information

The Board is responsible for the other information. The other information comprises the information included on pages 2, 3, 13 to 22 and 28, but does not include the financial statements and the performance information, and our auditor's report thereon.

Our opinion on the financial statements and the performance information does not cover the other information and we do not express any form of audit opinion or assurance conclusion thereon.

In connection with our audit of the financial statements and the performance information, our responsibility is to read the other information. In doing so, we consider whether the other information is materially inconsistent with the financial statements and the performance information or our knowledge obtained in the audit, or otherwise appears to be materially misstated. If, based on our work, we conclude that there is a material misstatement of this other information, we are required to report that fact. We have nothing to report in this regard.

Independence

We are independent of the Registration Board in accordance with the independence requirements of the Auditor-General's Auditing Standards, which incorporate the independence requirements of Professional and Ethical Standard 1 (Revised): Code of Ethics for Assurance Practitioners issued by the New Zealand Auditing and Assurance Standards Board.

Other than in our capacity as auditor, we have no relationship with, or interests, in the Registration Board.



John Whittal

Audit New Zealand
On behalf of the Auditor-General
Wellington, New Zealand

ENTITY INFORMATION

FOR THE YEAR ENDED 30 JUNE 2017

Legal Name of Entity:	Social Workers Registration Board
Type of Entity:	The Social Workers Registration Board (“the Board”) is a Crown entity as defined by the Crown Entities Act 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.
Legal Basis:	The Board was established as a Crown agent as per the Crown Entities Act 2004 with its role established under the Social Workers Registration Act 2003.
Mission:	To ensure that all Social Workers are registered.
Structure:	The entity comprise a board who oversee governance, a complaints and disciplinary tribunal who report to the Board, a Chief Executive who is responsible for the day-to-day operations and reports to the Board, and nine other full-time and one part-time staff who support the Chief Executive in delivering against the Board’s objectives. The Secretariat operates from a single office.
Main sources of the Entity’s Cash and Resources:	Fees for annual practicing certificates, on application for registration, on application for competence assessment, from fines and costs awards determined by the tribunal, from tertiary institution course accreditation and interest on investments.

Contact details

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Email: info@swrb.govt.nz

STATEMENT OF SERVICE PERFORMANCE 2016–2017

FOR THE YEAR ENDED 30 JUNE 2017

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

The Board has one output class:

Implementation of the Social Workers Registration Board Registration Framework

	Actual 2017 \$'000	Budget 2017 \$'000	Actual 2016 \$'000
Revenue	2,061	1,756	1,804
Expenses	2,042	1,855	2,013

This is implemented via the following processes:

- Management of the registration of social workers
- Consideration of complaints against Registered Social Workers
- Enhancement of the professionalism of social workers
- Promotion the benefits of registration
- Set standards for social work education and training

STATEMENT OF FINANCIAL PERFORMANCE

FOR THE YEAR ENDED 30 JUNE 2017

	NOTE	Actual 2017 \$	Budget 2017 \$	Actual 2016 \$
REVENUE				
Application, registration, and practicing fees		1,985,145	1,670,660	1,724,952
Expense recoveries & other revenue		49,124	55,500	49,721
Interest		27,049	30,000	29,714
Total Revenue		2,061,318	1,756,160	1,804,387
EXPENSES				
Employee related costs	1	940,014	865,500	910,090
Board costs		150,241	96,000	133,390
Complaints & Tribunal costs		182,124	179,000	201,868
Costs of providing services		114,222	205,000	97,647
Depreciation	4	50,309	39,120	48,172
Amortisation	4	64,644	56,880	72,127
Administration and overhead costs		540,079	413,900	549,871
Total Expenses		2,041,633	1,855,400	2,013,165
Net Surplus/(Deficit) after tax		\$ 19,685	\$ (99,240)	\$ (208,778)

STATEMENT OF CHANGES IN EQUITY

FOR THE YEAR ENDED 30 JUNE 2017

	NOTE	Actual 2017 \$	Budget 2017 \$	Actual 2016 \$
Balance at 1 July		421,091	623,534	629,869
Net Surplus/(Deficit)		\$ 19,685	\$ (99,240)	\$ (208,778)
Balance at 30 June	8	\$ 440,776	\$ 524,294	\$ 421,091

Explanations of major variances against budget are provided in note 15.

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

STATEMENT OF FINANCIAL POSITION

AS AT 30 JUNE 2017

	NOTE	Actual 2017 \$	Budget 2017 \$	Actual 2016 \$
CURRENT ASSETS				
Cash and cash equivalents	2	748,693	352,210	1,927,791
Investments	3	1,350,000	950,000	–
Accounts receivable		23,875	7,400	8,647
Prepayments		16,679	12,025	30,475
Total current assets		2,139,247	1,321,635	1,966,913
NON-CURRENT ASSETS				
Property, Plant and Equipment	4	133,273	97,603	144,104
Intangible Assets	4	123,665	193,025	154,316
		256,938	290,628	298,420
Total assets		2,396,185	1,612,263	2,265,333
Less:				
CURRENT LIABILITIES				
Accounts payable and accruals	5	404,246	221,214	369,570
Employee entitlement	6	45,959	35,000	62,361
Income received in advance	7	1,488,449	815,000	1,389,280
Deferred lease liability		6,276	6,276	6,276
Total current liabilities		1,944,930	1,077,490	1,827,487
NON-CURRENT LIABILITIES				
Deferred lease liability		10,479	10,479	16,755
Total liabilities		1,955,409	1,087,969	1,844,242
Net assets		\$ 440,776	\$ 524,294	\$ 421,091
EQUITY				
General funds		440,776	524,294	421,091
Total equity	8	\$ 440,776	\$ 524,294	\$ 421,091

Explanations of major variances against budget are provided in note 15.

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

STATEMENT OF CASH FLOWS

FOR THE YEAR ENDED 30 JUNE 2017

	Actual 2017 \$	Budget 2017 \$	Actual 2016 \$
CASH FLOWS FROM OPERATING ACTIVITIES			
Fees for registration, practicing certificates and competence assessment	2,084,314	1,677,660	2,370,233
Other revenue	37,237	55,500	41,074
Interest received	23,708	28,910	36,507
Payments to Suppliers	(944,467)	(895,886)	(872,503)
Payments to Personnel	(956,416)	(865,500)	(909,160)
Net Cash flows from Operating Activities	244,376	684	666,151
CASH FLOWS FROM INVESTING ACTIVITIES			
Movement in bank term deposits	(1,350,000)	50,000	500,000
Sale of property, plant & equipment	600	-	-
Purchase of property, plant & equipment	(40,812)	(14,000)	(45,682)
Purchase of intangible assets	(33,262)	(90,000)	(20,029)
Net Cash flows from Investing Activities	(1,423,474)	(54,000)	434,289
Net Increase/(Decrease) in Cash or cash equivalents	(1,179,098)	(53,316)	1,100,440
Cash or cash equivalents at beginning of the year	1,927,791	405,526	827,351
Cash or cash equivalents at end of the year	\$ 748,693	\$ 352,210	\$ 1,927,791

The GST (net) component of cash flows from operating activities reflects the net GST paid to and received from the Inland Revenue Department. The GST (net) component has been presented on a net basis, as the gross amounts do not provide meaningful information for financial statement purposes and to be consistent with the presentation basis of the other primary financial statements.

The cash flows relating to the Board's investing activities have been netted off in the Statement of Cash Flows because the amounts involved are held in short deposits which are rolled over frequently during the year.

Explanations of major variances against budget are provided in note 15.

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

Statement of accounting policies

FOR THE YEAR ENDED 30 JUNE 2017

Reporting entity

The Social Workers Registration Board is a Crown entity as defined by the Crown Entities Act 2004 and is domiciled and operates in New Zealand. The relevant legislation governing the Board's operations includes the Crown Entities Act 2004 and the Social Workers Registration Act 2003. The Board's ultimate parent is the New Zealand Crown.

The Board's primary objective is to provide services to the New Zealand public and does not operate to make a financial return. The Board has designated itself as a public benefit entity (PBE) for financial reporting purposes.

The financial statements for the Board are for the year ending 30 June 2017 and were approved by the Board on 13 October 2017.

Basis of preparation

The financial statements of the Social Workers Registration Board have been prepared in accordance with Tier 3 PBE SFR-A (PB) Standards on the basis that it does not have public accountability and is in the transition period between tiers 3 and 2 based on total annual expenditure. All transactions in the Performance Report are reported using the accrual basis of accounting. The Performance Report is prepared under the assumption that the entity will continue to operate in the foreseeable future.

These financial statements comply with PBE Standards.

Changes in Accounting Policies

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

Functional and presentation currency

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

Summary of significant accounting policies

Revenue

Revenue is measured at the fair value of consideration received or receivable.

Revenue from the Crown

The Board receives no funding through revenue received from the Crown.

Interest

Interest income is recognised when earned.

Fees

Revenue from annual practicing certificate (APC) fees are recognised in the year to which the practicing certificate relates. Other fee revenue is recognised on receipt.

Leases

Operating leases

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

Cash and cash equivalents

Cash and cash equivalents includes cash on hand, deposits held on call with banks, and other short-term, highly liquid investments with maturities of three months or less.

Accounts receivable

Short term receivables are recorded at the amount due, less any provision for uncollectability.

Investments

At each balance sheet date the Board assesses whether there is any objective evidence that an investment is impaired.

Bank deposits

Investments in bank deposits are measured at the amount invested.

Property, plant and equipment, and intangible assets

Property, plant and equipment asset classes consist of leasehold improvements, furniture, office and computer equipment which are shown at cost less any accumulated depreciation and impairment losses. Intangible assets consist of developed software and website which are shown at cost less any accumulated amortisation and impairment losses.

Additions

The cost of an item 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.

Subsequent costs

Costs incurred subsequent to initial acquisition are capitalized 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, and intangible assets are recognized in the statement of financial performance as they are incurred.

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.

Depreciation

Leasehold improvements are depreciated over the unexpired period of the lease or the estimated remaining useful lives of the improvements, whichever is the shorter.

Depreciation of furniture, office and computer equipment is provided on a diminishing value basis at rates provided under the Income Tax Act 2007.

Leasehold improvements (16.7% SL)

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

Computer equipment (48% DV)

Amortisation

Intangible assets are amortised on a straight line basis over the estimated remaining useful life of asset using the following rates.

Developed computer software (20% SL)

Developed website (33% SL)

Impairment of property, plant and equipment, and intangible assets

If an asset's value to the Board in using the asset falls below the carrying amount of the asset it is impaired and the carrying amount is written down to the recoverable amount and recognised in the statement of financial performance.

Creditors and other payables

Creditors and other payables are measured at cost.

Employee entitlements

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)

Items in the financial statement are presented exclusive of Goods & Services Tax (GST), except for receivables and payables that are stated inclusive of GST.

The amount of GST recoverable from, or payable to, the IRD is included as part of receivables or payables in the statement of financial position.

Income tax

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

Budget figures

The budget figures are derived from the statement of performance expectations as approved by the Board at the beginning of the financial year. The budget figures have been prepared in accordance with Tier 3 standards, using accounting policies that are consistent with those adopted by the Board in preparing these financial statements.

NOTES TO THE FINANCIAL STATEMENTS

FOR THE YEAR ENDED 30 JUNE 2017

	2017 \$	2016 \$
1. EMPLOYEE RELATED COSTS		
Salaries	849,445	831,720
Defined contribution plan employer contribution	37,143	34,253
Training and development	14,683	18,270
Recruitment	51,292	3,134
Other	2,387	5,478
Increase/(Decrease) in employee entitlements	(14,936)	17,235
	940,014	910,090
2. CASH AND CASH EQUIVALENTS		
Cash on hand and at bank	729,189	1,758,665
Cash equivalents – bank call deposits	19,504	169,126
<i>The carrying value of short term deposits with maturity dates of 3 months or less approximates their fair value.</i>	748,693	1,927,791
3. INVESTMENTS		
Current investments are represented by:		
Bank term deposit	1,350,000	–
<i>The carrying value of short term deposits with maturity dates of 12 months or less approximates their fair value. The weighted average effective interest rate for term deposits in 2017 was 3.4%. (2016 4.054%)</i>		

4. PROPERTY, PLANT & EQUIPMENT, AND INTANGIBLE ASSETS

	Property, Plant & Equipment				Intangible Assets
	Furniture and office equipment	Computers equipment	Leasehold alterations	Total	Database & Website
	\$	\$	\$	\$	\$
COSTS					
Balance 1 July 2015	109,131	81,451	81,364	271,946	527,223
Additions	33,079	12,603	–	45,682	20,029
Disposals	–	–	–	–	–
Balance 30 June 2016/ 1 July 2016	142,210	94,054	81,364	317,628	547,252
Balance 30 June 2016/ 1 July 2016	142,210	94,054	81,364	317,628	547,252
Additions	17,016	23,796	–	40,812	33,993
Disposals	(1,119)	(1,807)	–	(2,926)	–
Balance 30 June 2017	158,107	116,043	81,364	355,514	581,245
Accumulated depreciation and amortisation					
Balance 1 July 2015	51,513	59,350	14,489	125,352	320,809
Depreciation/Amortisation expense	19,781	13,824	14,567	48,172	72,127
Elimination on disposal	–	–	–	–	–
Balance 30 June 2016/ 1 July 2016	71,294	73,174	29,056	173,524	392,936
Depreciation/Amortisation expense	17,413	18,329	14,567	50,309	64,644
Elimination on disposal	(832)	(760)	–	(1,592)	–
Balance 30 June 2017	87,875	90,743	43,623	222,241	457,580
Carrying value					
Balance 1 July 2015	57,618	22,101	66,875	146,594	206,414
Balance 30 June 2016/ 1 July 2016	70,916	20,880	52,308	144,104	154,316
Balance 30 June 2017	70,232	25,300	37,741	133,273	123,665

The total amount of property, plant, and equipment in the course of construction is \$nil (2016 \$nil).

There are no restrictions over the title of the Board's assets, nor are any assets pledged as security for liabilities.

	2017 \$	2016 \$
5. ACCOUNTS PAYABLE AND ACCRUALS		
Creditors	377,971	340,946
Accrued expenses	26,275	28,624
	404,246	369,570
6. EMPLOYEE ENTITLEMENTS		
Accrued salaries	–	80
Annual leave	45,195	60,131
Other employee entitlements	764	2,150
	45,959	62,361
7. FEES RECEIVED IN ADVANCE		
Annual Practising Certificate	1,428,449	1,329,280
Prepaid registration application fees	60,000	60,000
	1,488,449	1,389,280

The Board's annual practicing certificate year commences on 1 July. Fees received prior to balance date for the subsequent year are recorded at fees received in advance. Registration fees and fees for competence assessment, competence recertification and non-binding assessment are recognised when all application data has been received.

8. EQUITY		
General funds		
Balance at 1 July	421,091	629,869
Surplus/(deficit)	19,685	(208,778)
Balance at 30 June	440,776	421,091

9. CAPITAL COMMITMENTS AND OPERATING LEASES

Capital commitments

The Board has made no commitments for capital expenditure at year end. (2016 Nil)

Operating leases as lessee

The future aggregate minimum lease payments to be made under non-cancellable operating leases are as follows:

Not later than one year	90,148	84,141
Later than one year and not later than five years	150,247	224,376
Later than five years	–	–
	240,395	308,517

The Board leases Level 6, 11 Chews Lane, 45-55 Willis Street, Wellington for a term of 6 years commencing 1 March 2014 and expiring on 28 February 2020. There is a right of renewal for two further periods of 3 years with a final expiry date of 28 February 2026.

There are no restrictions placed on the Board by the leasing arrangement.

10. CONTINGENCIES

Contingent liabilities

The Board has no contingent liabilities at year end. (2016 Nil)

Contingent assets

The Board has no contingent assets at year end. (2016 Nil)

11. RELATED-PARTY TRANSACTIONS

The Social Workers Registration Board is controlled by the Crown.

Related-party disclosures have not been made for transactions with related parties that are within a normal supplier or client/recipient relationship on terms and conditions no more or less favourable than those that it is reasonable to expect the Board would have adopted in dealing with the party at arm's length in the same circumstances.

12. EMPLOYEE REMUNERATION

During the year ended 30 June 2017 one employee received compensation and other benefits in relation to cessation amounting to \$35,464 (2016 Nil).

13. BOARD MEMBER REMUNERATION

The total value of remuneration paid or payable to each Board member during the year was:

	2017	2016
	\$	\$
Bolstad, Turitea	8,520	9,010
Derrett, Michelle	7,305	7,005
Georgeson, Sara	1,545	6,090
Ikkala, Shirley	4,410	5,460
King, Lisa-Marie	6,270	5,625
Millar, Toni	1,785	7,500
Moorhouse, Leisa	6,015	6,150
Nguyen, Khoa	7,575	–
Pua, William	–	2,745
Rose, Paula	5,760	–
Thomson, Scott	3,645	–
Walker, Shayne (Board Chair)	13,439	9,763
Wepa, Dianne	5,895	7,230
	72,164	66,578

There have been no payments made to committee members appointed by the Board who are not Board members during the financial year.

The Board has effected Directors and Officers Liability and Professional Indemnity insurance cover during the financial year in respect of the liability or costs of Board members and employees.

The prior year comparative has been increased by the inclusion of payments made to a Board member previously omitted.

No Board member received compensation or other benefits in relation to cessation (2016 Nil)

14. EVENTS AFTER BALANCE SHEET DATE

There were no significant events after the balance sheet date.

15. EXPLANATION OF SIGNIFICANT VARIANCES AGAINST BUDGET

Statement of financial performance

Application, registration, and practicing fees

Applications for registration and competence assessment are outside the control of the Board but may have been influenced by the likelihood of the move to mandatory registration.

Expense recoveries & other revenue

Course accreditation fees & expense recoveries from accreditation and discipline hearings are determined by external organisations who are not able to be influenced by the Board.

Employee related costs

Secretariat staff numbers increased to handle volume of applications for competence assessment, assist in specific projects including review of the Social Workers Registration Board Act, and deal with increased activity to ensure all those registered under the Act have a valid practicing certificate. Additional cost incurred with change of Chief Executive.

Board costs

Board expenses exceeded budget as the number of Board meetings was increased from 4 to 6 following the review of the SWRB Act and the likelihood of mandatory registration being implemented.

Costs of providing services

Classification of expenditure has been changed to more accurately reflect the Board's activities. In other respects expenditure is consistent with budgeted levels.

Depreciation and Amortisation

Additional furniture and computer equipment required for additional staff and timing of additional database additions resulting in higher amortisation.

Administration and overhead costs

Additional cost percentage is below those incurred for other activities.

Statement of financial position

Cash, cash equivalents and investments

Fees receipts for 2017-18 year budgeted to be received after 30 June but received prior to that date.

Accounts Payable & accruals

Payables to suppliers not anticipated in budget and increase resulting from additional GST content of fees received in advance.

Fees in advance

Fees received prior to year end relating to the subsequent year were ahead of budgeted levels as a result of major employers choosing to pay for renewal of Annual Practising Certificates prior to 30 June 2017.





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