



**Social Workers
Registration Board**
Kāhui Whakamana Tauwhiro

Aotearoa New Zealand's social worker regulator

ANNUAL REPORT
2020–2021

Presented to the House of Representatives
pursuant to section 150 of the Crown
Entities Act 2004

New Zealand Government

*He ara pūkenga, he ara tauwhiro,
hei whakamana mātā waka*

*The many pathways of knowledge,
the many pathways of social work,
upholding the dignity of all*

CONTENTS

01: He ara pūkenga, Our year in numbers 2020/21 **P. 2**

Our year in review
P. 4

Who we are
P. 6

Our mandate
P. 6

Our vision
P. 6

Our purpose
P. 6

What we do
P. 8

Outcomes framework
P. 9

Organisational structure
P. 10

02 : He ara tauwhiro **Overview of our results** **P. 11**

How we measure success
P. 11

How we did this year
P. 11

Our two-year change programme
P. 13

Our change programme – what we've done
P. 13

Impact of COVID-19 pandemic
P. 14

Our priorities and work programme
P. 15

Priority area 1
P. 15

Priority area 2: Continuing Change Programme
P. 18

Complaints and notifications
P. 27

Education
P. 29

Continuing Professional Development
P. 29

SWRB governance
P. 32

Our people
P. 36

We comply with the principles of being a good employer
P. 39

Our eeo practices
P. 40

03: Hei whakamana **mātā waka** **P. 41**

Priority area 3
P. 41

Our output class
P. 43

Statement of Performance
P. 45

Full measures and results
P. 45

Better understanding the stakeholder perspective
P. 49

Financial performance for appropriation funding
P. 49

Statement of responsibility
P. 51

04: Financial statements **P. 52**

Audit report
P. 52

Independent Auditor's Report
P. 52

Financial statements
P. 56

Statement of Comprehensive Revenue and Expenses
P. 56

Statement of Changes in Net Assets/Equity
P. 56

Statement of Financial Position
P. 57

Statement of Cash Flows
P. 58

Notes to the Financial Statements
P. 59

01

HE ARA PŪKENGA, OUR YEAR IN NUMBERS 2020/21

2020/21 was the final 12 months of a two-year change programme as the SWRB and New Zealand transitioned into the mandatory registration of social workers throughout the motu.

We have seen a surge in numbers for many of our processes, particularly for registration. There was also a significant increase in the number of complaints and notifications with mandatory reporting in place, and in our information campaign, we offered many digital Q&A sessions in the lead-up to the transition.

10,523

**Total registered
social workers**

8,642 (2019/20)
7,812 (2019/19)

1,943

New to register

895 (2019/20)
698 (2018/19)

7,453

**Practising Certificates
processed**

4,830 (2019/20)
5,108 (2018/19)

170

**Complaints and
notifications**

84 (2019/20)
42 (2018/19)

33

**Professional Conduct
Committee cases open**

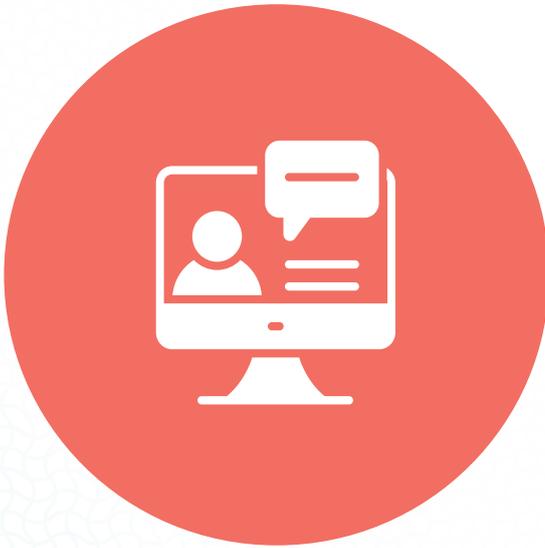
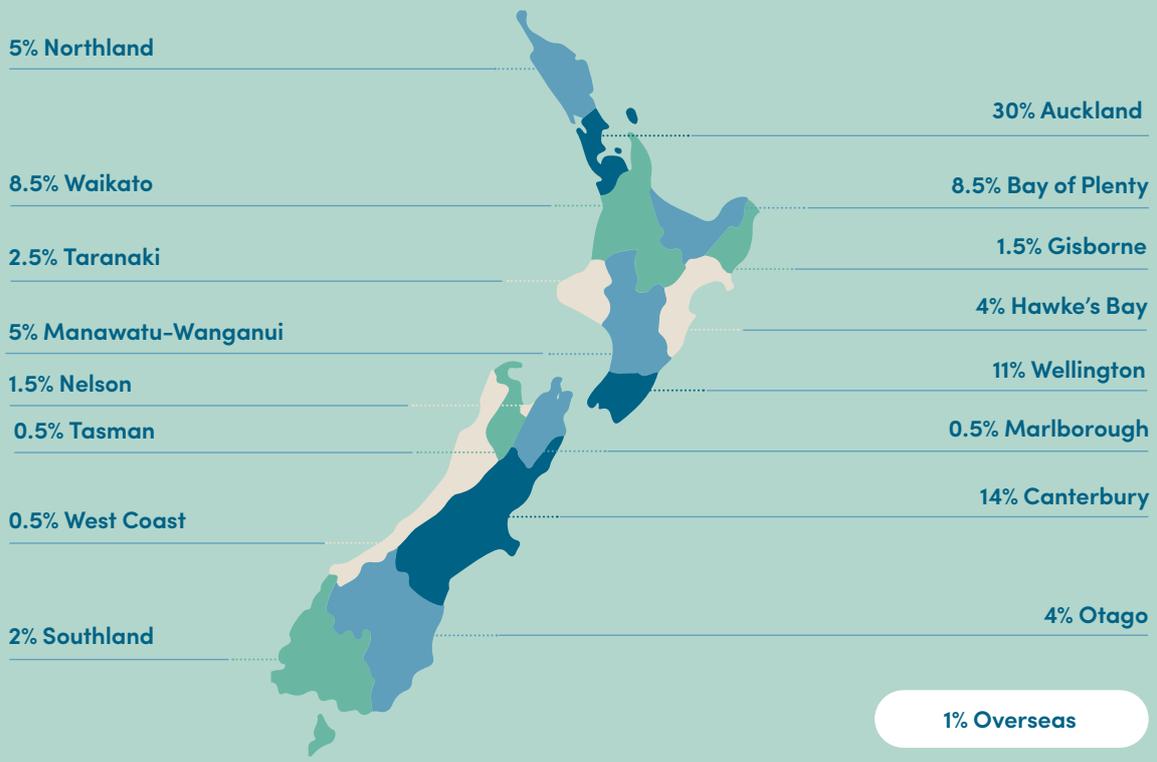
25 (2019/20)
14 (2018/19)

9

**Social worker Disciplinary
Tribunal hearings open**

3 (2019/20)
2 (2018/19)

Registered social workers by location:



100+
Digital Q&A
sessions

01

OUR YEAR IN REVIEW

Hei mokimoki, hei piripiri, kei ngā manu tukutuku, kei ngā tauwhiro o te whakaaro nui, Huri, huri noa, tēnā koutou katoa!

We greet our social workers who do such amazing work and to the many voices in our sector, welcome.

In what has been a difficult year to navigate, the Social Workers Registration Board (SWRB) has experienced challenges like many other organisations around the motu. Facing issues arising from the pandemic and in the midst of a change programme, the SWRB has nonetheless successfully implemented the shift to mandatory registration of social workers. There is still much work to do but in what is a significant step forward for the profession and the country, New Zealand moved to mandatory registration on 27 February 2021. It is a move long sought by the SWRB and the profession and includes title protection which means that for a social worker to practise legally and call themselves that, they must first be registered by the SWRB.

There are many in the sector who have worked long and hard to see this put in place, and we would like to extend our thanks for their extraordinary mahi to get us to this point. We would also like to acknowledge all the social workers who have stepped up to become part of a regulated profession and those employers who supported this by recognising the skills and knowledge of social workers and the unique value these professionals bring to their organisations.

We know that social workers have had to work harder than ever as the families, whānau, and communities they work alongside were put under stress or faced tough situations. Their mahi is appreciated by those they work alongside. Social workers are essential frontline professionals and part of a key workforce involved in supporting our communities and improving the wellbeing of New Zealanders.



Sarah Clark, Chief Executive (left) and Shannon Pakura, Chair

It is against this significant change that we present the SWRB Kahui Whakamana Tauwhiro Annual Report 2020–2021. The annual report reflects the changes that were needed to take place at the SWRB as it concluded a two-year programme to implement the shift to a mandatory environment.

The focus of the SWRB over this past year has been on getting social workers registered and building the infrastructure required to become a modern regulator. We undertook a structural re-organisation in 2020 bringing on extra registration staff and investing in a new database to streamline our operations, which came online in October 2020. It has also provided us with the platform to build our evidence base and the ability to develop our insights for the longer term.

We continued with our Information Campaign for the sector and saw an increase in the awareness and number of people applying to become registered social workers ahead of the deadline, with more than 10,520 social workers registered by 30 June, the end of our financial year.

The increased awareness was also apparent in the flow through of the number of complaints and notifications lodged with the SWRB. In the previous two years, the number of complaints nearly doubled while last year, this again more than doubled to 170 complaints and notifications. A record number of complaints also progressed to the Social Workers Disciplinary and Complaints Tribunal, a reflection of more social workers on the register and the sector newly into mandatory. Seeing these numbers, we will work actively to build our capacity and capability in the tools, resources, and guidance space in order to enhance professionalism.

After years of work, a Scope of Practice was gazetted in February 2021 which provides the profession with a high-level description of social work. We would like to acknowledge the Scope Working Group, made up of social work leaders from across the motu, who contributed to and developed the Scope. It is a foundational document for the sector.

Woven through all of this was our growing focus on our Crown-Te Tiriti relations and our relationship with Māori. These are interwoven strands that are creating not a new organisation, but a different organisation, and this relationship is across a breadth of fronts. It is in how we run our operations in a way that is mana protecting and it is about who we are as an organisation.

In 2020, the SWRB was assigned as the lead agency for workforce planning by the Minister for Social Development and Employment. We welcome the Minister's decision to value the importance of workforce planning. With so many social workers spread across a wide number of fields, it is important to understand the emerging workforce issues to provide an overview and strategic response. This will allow the SWRB to draw on insights we gain in the regulatory space and turn it into evidence useful for the sector.

We would like to express our appreciation for the time, effort, and hard work invested by the Board and secretariat. Our staff worked tirelessly to manage thousands of enquiries and applications and our Board members again stepped up to assist us to deal with the fast-paced changes required.

With the shift into a mandatory environment, there is still much for the SWRB to do. There remain social workers who are employed but work under different titles. If a social worker is employed in the social service sector, they are almost certainly using their social work training, skills, and expertise in their role, whatever its title, and they should be registered. We will continue working to persuade the sector that it is in everybody's interest for social workers to be registered and join a profession with a strong sense of professional identity. This ultimately protects the public who can be assured they are dealing with professionals who adhere to a Code of Conduct, are supervised, and undertake continuing professional development.

We see what's happening in the SWRB and our relationship with social workers and the sector as mirroring the developments within the profession itself. We are all coming to grips with being in a mandatory environment and operating as a fully professional workforce with all that entails, where expectations and standards have the ultimate goal of protecting the safety of the public.

For all the challenges ahead, we are optimistic for the future and the benefits a fully professional workforce brings for the wellbeing of all New Zealanders.



Shannon Pakura
SWRB Chair



Sarah Clark
SWRB Chief Executive



WHO WE ARE

Aotearoa New Zealand's social worker regulator under the Social Workers Registration Act 2003

Crown entity under the Crown Entities Act 2004

OUR MANDATE

Protect the safety of members of the public

Enhance the professionalism of social workers

Workforce planning lead agency

OUR VISION

Ka noho haepapa, ka whakamihia, ā, ka whakamaiohatia ngā tauwhiro o Aotearoa.

Social workers in Aotearoa are accountable, recognised and valued.

OUR PURPOSE

Te tautiaki i te iwi tūmatanui mā te whakarite, ka noho haepapa ngā tauwhiro, ka haumarū, ka whai pūkenga, ka tika hoki ki ngā mahi ināianei, ā, haere ake nei.

To protect the safety of members of the public by requiring social workers to be accountable, competent and safe to practise now and into the future. As lead workforce planning agency, we provide insights into the social worker workforce.

WHO WE ARE

The Social Workers Registration Board (SWRB) is Aotearoa New Zealand's national social worker regulator.

We are a Crown Agent under the Crown Entities Act 2004 and are governed by a seven-member Board appointed by the Minister for Social Development and Employment, under the Social Workers Registration Act 2003.

We are monitored by the Ministry of Social Development and accountable to the Minister for Social Development and Employment. The SWRB is the only Crown entity regulator in the social work sector.

We have approximately 30 staff located in our Wellington office, and increasingly operate by taking an intelligence-led, risk focused and evidence-based approach. We have three core roles:

Regulation

Registration, certification, scope of practice, conduct & competence standards, education programme recognition, complaints & notifications, and policy advice to Government that supports professional and accountable social work.

Compliance

Support, encourage, require compliance, and support Professional Conduct Committees and the Disciplinary Tribunal to ensure the safety of the public.

Workforce planning

Collect and analyse workforce data and information, and develop insight for others to use in workforce planning.

It is our role to protect the safety of members of the public by maintaining a register of social workers, by requiring social workers to be professional in their practice, and for social workers to be accountable for their practice. We also provide insight into the social worker workforce, through our lead agency role for social worker workforce planning (this role was assigned to us by Cabinet).

In addition to maintaining the social worker register and supporting the complaints and disciplinary function, we set and promote standards for social work education and recognise providers of education programmes for social work qualifications. We are increasingly providing insights and regulatory guidance, including lessons we can gain from our complaints process and sharing the outcomes from the independent Social Workers Disciplinary Tribunal.

We also contribute towards the Government's broader wellbeing priorities by supporting social workers to improve client physical and mental health outcomes, improving child, youth, and whānau wellbeing, and increasing access to support services that are culturally responsive.

Our mandate is similar to other regulatory authorities under the Health Practitioners Competence Assurance Act 2003. However, there are important differences in that the SWRB is a Crown Agent with additional accountability responsibilities. These responsibilities include enhancing social worker professionalism, and our mandate requires promotional and stakeholder engagement activities with the sector, employers, education providers, and the public.

As a fees and levy-funded organisation, we operate primarily on a cost recovery basis. We want to be transparent with the sector and other stakeholders on the nature of those costs. Therefore, in future we intend to undertake consultation prior to any proposals to raise fees or the Disciplinary Levy where required to recover our costs.

For the past two years, we have been focusing on the move from manual to digital processing, developing policy and processes for mandatory registration, and informing the sector of the legislative changes.

We have met the challenge of managing our operational change programme, including building the base infrastructure to support the organisation to become more efficient and effective. This implementation funding has now ended, with no ongoing support for our new mandatory business as usual. We are transforming our practices as a modern regulator by increasing our communication channels and proactively engaging with social workers, employers, and the public, but we continue to face funding challenges. In light of our funding constraints, we have revised down our expectations of what we can do to continue on the journey of becoming a modern regulator.

We will continue our work to maximise the contribution that the social sector makes to the wellbeing of all New Zealanders, within our reduced funding envelope.

WHAT WE DO:

Registration and certification

Professional standards setting

Complaints and notifications assessment

PCC & Disciplinary Tribunal
administrative support

Regulatory and practice advice

Engagement with social work sector

Social work qualifications recognition

Workforce planning lead

Policy development and consultation

WE REQUIRE SOCIAL WORKERS TO:

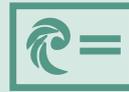


Be registered

(qualified, competent
and fit & proper)



Uphold the Board's
Code of Conduct and
meet the Board's Core
Competence Standards



Hold a current practising
certificate

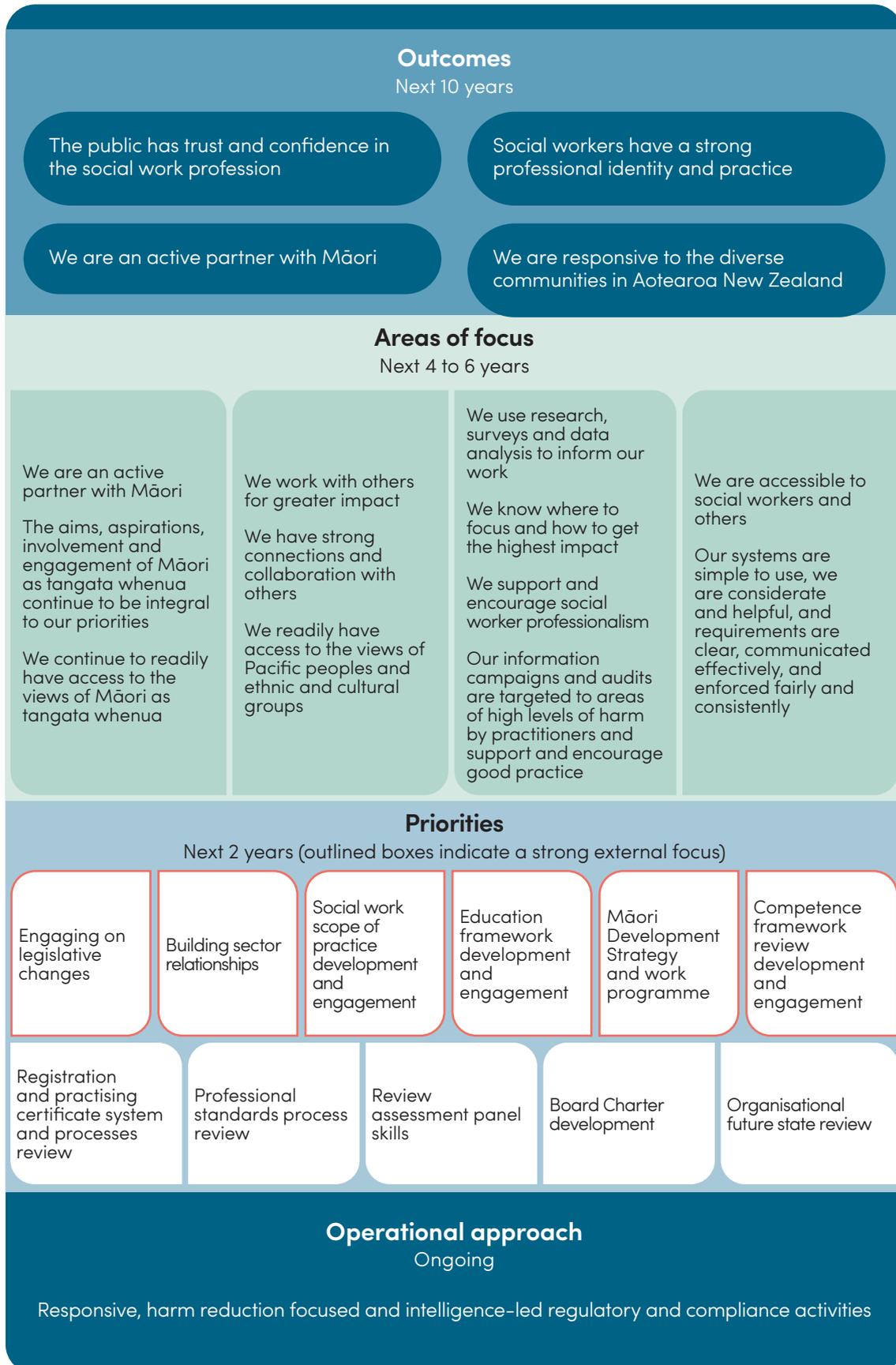
(maintain being
qualified, competent,
and fit & proper)



Undertake continuing
professional
development and
supervision to maintain
and enhance knowledge
and expertise

OUTCOMES FRAMEWORK

Our Outcomes Framework, developed in 2019, sets out our strategic intentions across our functions to maximise synergies for system-wide improvement.



ORGANISATIONAL STRUCTURE

Following our organisational restructure in September 2020 we reviewed our functional areas to ensure that we were fit for purpose and able to deliver effectively on our three core roles and annual priorities.

Our current organisational structure is as follows:



02

HE ARA TAUWHIRO OVERVIEW OF OUR RESULTS

HOW WE MEASURE SUCCESS

In 2020/21, we continued to focus on measures supporting the move towards mandatory registration and the timeliness of our responses.

Our performance was measured using a range of indicators reflecting our functions. The measures were set out in our Statement of Performance Expectations (SPE) 2020–2021 and Statement of Intent (SOI) 2017–2021, with an additional measure drawn from our Employers Survey.

The Minister for Social Development and Employment agreed to an extension to our SOI. This means our SOI 2017–2021 will be updated by the end of 2021. As a result, some of the current measures in the SPE and SOI are less applicable as we move forward and will be revised this year. It also means that we are in many cases reporting against old targets that have not been updated.

HOW WE DID THIS YEAR

The SWRB had 15 performance measures during the 2020/2021 financial year. Six targets were exceeded, five targets were not achieved while others were met or were on track towards target. The full measures and results are available in this Report on pages 45–49.

Results that have significantly exceeded their target relate to the timeliness of our operations, satisfaction with our online functionality, and our information campaign.

Six targets were significantly exceeded:

Percentage of overseas qualification non-binding assessments processed within one month of being received.	Target 80–85%	Actual 94%
Percentage of complaints received responded to within 20 working days (calculated on basis of complaints acknowledged).	Target 65–80%	Actual 95%
Percentage of applicants/registered social workers who require a refund receive one within 60 working days.	Target 75–80%	Actual 95%
Stakeholders are kept informed of changes to the regulatory framework resulting from the implementation of the changes to the Social Work Registration Act 2003.	Target 4 issues of the OnBoard Newsletter	Actual 12 issues published
Users who report satisfaction with our online functions provided by the Board	Target 80%	Actual 84%
Users who report identifiable benefits from using the online functions provided by the Board	Target 80%	Actual 92%

Two measures were on track towards target:

1. The percentage of eligible registered social workers who maintained their social worker registration and practising certificate renewal has recorded the highest level to date at 91% and trending upwards.
Target – No specific figure was listed in the SOI this year due to the document being extended. The existing target was 100%.
2. Ensure education providers were meeting minimum standards by completing 3 programme re-recognitions and 3 programme mid-cycle reviews.
Target was for three programme re-recognitions and three programme mid-cycle reviews. Actual was four re-recognitions and two mid-cycle reviews. So again, overall the total of visits was met but the split was different to anticipated, largely due to the impact of COVID-19 on the ability of the assessment teams to travel and institutes wanting their reviews put back due to work pressures.

Five measures were below target:

1. Percentage of applicants who report being satisfied with the registration process including timeliness.
2. Percentage of applicants who report being satisfied with the practising certificate renewal process including timeliness.

These measures were separated this year to consider the two separate processes of registering as a social worker and then the annual renewal of a registered practitioner's practising certificate. The original target of between 80 to 85% for both measures was retained. Actual performance was 75% and 77% respectively.

3. Percentage of registered social workers who report identifiable enhancement to their practice due to maintaining registration. The target for this measure was missed by just 3%, with the target set at 75% and actual being 72%.
4. Percentage of employers who report satisfaction with the advice they receive will be no less than 90%. The target for this measure was missed by 4%, with a target set at 90% and achieved was 86%.
5. 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. No specific figures were given in the SOI due to the extension but the target achieved was 71% and previous years were higher, recording between 85–90%.

The factors affecting performance included the impact of COVID-19 resulting in a build-up of applications that could not be processed with our previously paper-based process, which had a flow-on effect even once out of lockdowns. There was a much higher workload due to mandatory registration, and there were new business processes and a new database installed.

OUR TWO-YEAR CHANGE PROGRAMME

We have undergone significant developments over the last 12 months as the final part of a two-year change programme. This was as a result of amendments passed in 2019 to the Social Workers Registration Act (2003) which assigned the SWRB the mandate to implement the shift to mandatory registration of social workers in New Zealand.

This required us to undergo necessary operational changes and to develop strategies to assist us to:

- deliver our mandate under the amended legislation
- continue our moves to operate as a modern regulator
- align our processes to government accountability, planning, and reporting requirements.

Our Statement of Intent will be updated in 2021 after the end of the transition period, as agreed with the Minister for Social Development and Employment.

We have been:

Meeting our legislated requirements by:

- Becoming a more active partner with Māori including by bolstering our internal capacity
- Undergoing an organisational restructure to ensure the SWRB is ready for the mandatory environment
- Reviewing our fees and Disciplinary Levy
- Updating business processes and systems

Developing key strategic thinking:

- Our revised values Ngā Uara in 2019 and 2020
- Our Outcomes Framework in 2019
- Refreshed our vision in 2021
- Begun work on Workforce Planning as lead agency
- Business planning in 2020 and 2021

OUR CHANGE PROGRAMME – WHAT WE’VE DONE

Much has been achieved in the final 12 months of the two-year change programme. This year we focused on:

Being a more active partner with Māori	Appointing Chief Advisor Māori Development, reviewing values, whakataukī and development plan
Commissioning new database	For our register of social workers and business processes, with the database going live October 2020
Process changes	For registration, practising certification, competency assessment, and professional standards
Social Work Scope of Practice	Gazetting a General Scope of Practice after development and consultation with the social work sector

Information campaign	Updating of website, creating information collateral, holding digital Q&A sessions, developing video blogs, maintaining social media presence to increase our reach to engage the sector
Complaints information	Publishing findings to promote learning
Planning for our future	Undergoing restructure of organisation to achieve a 'stable state' for our ongoing operations

IMPACT OF COVID-19 PANDEMIC

Like many other organisations around New Zealand, the SWRB experienced a significant impact from the 2020 level 4 lockdown due to the COVID-19 pandemic. Although the lockdown occurred prior to our financial year, the impacts were ongoing, including a reduction in fee income which was recouped once back in alert level 3. We had already planned to commission a new database but our operations also changed as a result of the lockdowns and we shifted from paper-based systems to becoming an electronic/digital operation.

We acted in a responsive way to meet the COVID-19 challenges through:

Electronic registration process and declarations	<p>Shifted to electronic registration to support applicants to apply and the Registration Team could coordinate from home.</p> <p>Accepted declarations (required for registration) confirmed by audio-visual link or audio link with a JP or solicitor under the Epidemic Preparedness (Oaths and Declarations Act 1957) Immediate Modification Order 2020.</p>
Interim Practising Certificates granted	<p>IPCs were granted specifically for COVID-19 related work, at no cost to self-employed social workers or social workers employed by NGOs.</p>
Digital focus	<p>Switched to a digital focus for our information campaign so we could continue connecting with people, including Q&A sessions, webinars, presentations, and collaborative sector sessions.</p>
Offered digital interactions	<p>For registered social workers, employers, educators, and students. 100+ digital information sessions delivered by SWRB.</p>
Education review shift in emphasis	<p>There was a shift from the longer-term strategic work to more immediate pandemic-related issues for educators and social work students.</p> <p>Flexibilities in programme delivery were agreed to enable programmes to continue and students to graduate.</p>

The shift in staff having to work from home for an extended period and being unable to process paper-based applications resulted in a build-up of emails, phone calls, and applications which took some months to catch up on. This was addressed by recruiting a Registration Team Leader and additional staff for the registration team, which led to a concerted effort to get us back on track.

OUR PRIORITIES AND WORK PROGRAMME

Our work programme was set in line with our Statement of Performance Expectations 2020/21 and our Statement of Intent 2017-2021 as we prepared for implementing the shift to mandatory registration of all social workers and continuing on our journey to becoming a modern regulator.

We have committed to building our capacity and capability in becoming a more active partner with Māori by adding key people to the team, developing a Māori Development Strategy and an action plan, and investing in higher engagement with iwi social services and Māori social workers.

A crucial part of our work programme over the past year has been building the infrastructure to becoming a modern regulator by commissioning and setting up a new database to enable us to process the expected surge in applications and to have the necessary tools to develop an evidence-led, research-based organisation. In addition, we implemented a restructure to ensure the SWRB had the requisite skills and expertise for the mandatory environment.

Our three key priorities were as follows:

Building capability and capacity to be a more active partner with Māori by developing a Māori Development Strategy, creating an action plan alongside that, developing our te Tiriti o Waitangi policy statement, establishing Te Kāhui Māori to advise the Board, appointing a Chief Advisor Māori Development, and engaging more with iwi social services and Māori social workers.

Our continuing change programme for the mandatory regime including implementing a new database, developing and implementing more efficient and effective processes, developing and implementing a Scope of Practice, clarifying our future 'stable state', and implementing a restructure to support that.

Continuing our shift to be a modern regulator by supporting and encouraging high standards of practice and professional conduct among social worker and their employers. We have built the tool (a new database) to enable us to do research, surveys, and data analysis which will inform our activities directed at social worker professionalism.

PRIORITY AREA 1

We worked to become a more active partner with Māori in 2020/21

The aims, aspirations, involvement, and engagement of Māori as tangata whenua continued to be integral to our priorities, and over the past year, a range of initiatives were undertaken including:

- a Māori Development strategy and action plan
- progression of Te Kāhui Māori; group is gradually evolving with new membership
- establishment of te Tiriti o Waitangi statement - the formal expression for how we will work to honour and understand our obligations as a Tiriti partner
- creation of new whakataukī for SWRB
- development of SWRB values (ngā uara)
- strengthening of Te Ao Māori by embedding our values into core business functions and developing our staff's learning, application, and use of Māori cultural paradigms
- staff engagement survey, targeting specific Māori competency questions (98% participation)

To deliver on the above, the SWRB appointed a Senior Advisor Māori Social Work Practice who was an integral member of the Advisory Team & provided cultural advice internally to the SWRB and the Board, and support externally for social workers. The Senior Advisor Māori Social Work Practice was a driving force in the Information Campaign, often hosting digital Q&A sessions for the sector alongside another senior staff member. Overall, this led to higher engagement with Kaupapa Māori social services and Māori social workers.

The SWRB also appointed a Chief Advisor Māori Development to strengthen our internal capabilities and our relationships with key Māori stakeholders. Our Chief Advisor Māori Development, supported by others across the office, led the work on a number of fronts:



Ō mātou uara/Our values

As a regulator, the SWRB is committed to meeting our obligations of te Tiriti o Waitangi and to develop as a Treaty-led, values-based organisation. With this in mind, we revisited our values in 2020 in a way that recognises the work of those who laid the path, our current journey to mandatory registration, and our future goal of becoming a modern regulator.

Informed by the Board, the Chief Advisor Māori Development led conversations and workshops for staff on the values that would resonate at the SWRB. After much discussion, our values evolved which will become the foundations of everything we do:

Matatika

To do what is right and just, ethical, fair, equitable, honest, unbiased, impartial, moral, trustworthy

Manaaki

To look after the dignity of others, to support, to tend to, take care of, protect, look out for, show respect, generosity, and kindness towards others

Mahitahi

To work together as one, collaborate, cooperate, co-design, connect, interact, reciprocate, discuss, debate, work in unity with teamwork and synergy

Māia

To be bold, brave, capable, confident, courageous, and have endurance, strength, resilience

Our values were shared with Māori experts within the regulatory space. Their feedback was positive although they emphasised the challenges of embedding the accountability of these values into the organisation. We also need to embed our te ao Māori strategy framework and values into our regulatory activities and functions that will enrich our thinking and inform our transition into becoming a modern regulator.

Giving life to our values in a way that inspires staff, is inclusive of all, and influences our regulatory activities and functions will be a focus for additional effort and resource over the coming year.

Our whakataukī

In 2020, the SWRB developed a whakataukī for the organisation to ensure that social work was at the heart of what we do as a regulator. This whakataukī was developed through the support of pā Danny Makamaka of Ngāi Tūhoe, a prominent teacher and kaumātua of Te Wānanga O Aotearoa.

He ara pūkenga, he ara tauwhiro, hei whakamana mātā waka

The many pathways of knowledge, the many pathways of social work, upholding the dignity of all

The whakataukī played a fundamental role in the next step which was the creation of the Māori development strategy. It shapes and guides the development of the framework which after discussions and workshops, has been named 'He Arapaki'.

Ara = Pathways Paki = stories/narratives

He Arapaki framework symbolises the many pathways of discovery and transformation and represents the transfer of knowledge and sharing of those stories. The whakataukī is now a critical part of forming and shaping the key business functions of the SWRB.

Our tauwhiro/social workers help support people facing issues to move from the dark and into the light; and when they can, from a place of struggle and challenge to an improved quality of life; from a place of vulnerability to a place where they are determining their own pathways to success and achievement. In essence, as enablers of wellbeing, tauwhiro/social workers bring a sense of balance.

HE ARAPAKI FRAMEWORK

Ara = Pathways Paki = stories/narratives

He ara pūkenga

The many pathways of knowledge

The first part of the framework draws on ancient Māori knowledge and teachings. We acknowledge the past, confirm what we know, draw on lived experiences, and advance our continual search for new knowledge.

He ara tauwhiro

The many pathways of social work

Embedding Māori knowledge into our core business functions, weaves together two world views so the ancient with modern, past with present, Māori with Crown, and the SWRB with Māori and the sector. This part of the whakataukī is about 'practice' – we exist to protect the public by enhancing the social work profession. Through a Māori worldview, our collective subject matter expertise enriches our thinking to be creative and innovative when applying our chosen disciplines within the regulatory environment.

Hei whakamana mātā waka

Upholding the dignity of all

Becoming a modern regulator through being an active partner with Māori.

While there have been gains in the last year, the He Arapaki action plan has identified specific priorities over the next two years. The plan includes developing staff Māori capability, creating a Māori Speaker Series, and incorporating our values into our policy and processes.

PRIORITY AREA 2: CONTINUING CHANGE PROGRAMME

Implementing a new database

One of the leading priorities for the SWRB to get ready for the shift to mandatory registration of social workers was to implement a new database system. This was a major undertaking with a move from the manual paper-based Register, systems, and other processes to a cloud-based software as a service application.

It required the procurement of a system and the expertise to configure it to our requirements which included scoping what was needed by staff, social workers, and other key stakeholders such as educational institutions and employers. Alongside that, it meant data migration from an existing system, cleaning and organising the data, data matching, and exporting into the new system.

COVID-19 had an ongoing impact on our operations and it was particularly challenging for the IT project. The lockdown prior to this financial year occurred just as the SWRB was beginning development and attempting to take an iterative approach to the project, working directly with the developers and staff. This became difficult to achieve with intermittent internet connections and slow demonstrations.

Despite the challenges, the new database was successfully launched in October 2020. It offers an online portal, MySWRB, by which staff can manage enquiries, applications for registration, and complaints. Externally, social workers and others find it an easy-to-use online system where they can lodge their applications to become registered, renew their Practising Certificate or update their CPD logs. The database provides us with a fundamental tool as we strive to be an evidence-led research-based organisation.

The project continues to be a work in progress and as social workers, staff, and others use the system, they find better ways to make it work, identify issues, and the SWRB works to resolve them.

Registration team takes on the challenge

Additional registration staff were added to the existing much smaller team to be able to respond to the expected surge in applications, as we worked towards the deadline of mandatory registration.



Over the last year, the team answered thousands of enquiries via phone and email from social workers and employers all wanting to know what to do to become registered by February 2021. Following the country's first lockdown in March 2020, there was a backlog in processing emails and applications but with the addition of a Team Leader and extra staff, this was targeted and brought under control, and processing times and call centre enquiries improved substantially (see below).

2020/21	Calls	Abandonment rate
Q1	3,365	44%
Q2	2,980	18%
Q3	3,788	9%
Q4	3,195	5%

The turn-around in being able to answer 95 per cent of calls by Q4 is a huge improvement on the earlier quarters. The team transitioned from a paper-based system to the new database in October 2020, and processing times again improved.

Members of the registration team also took part in the Information Campaign and added to the way they interacted with the sector by hosting a weekly digital Q&A session where social workers and employers could ask any questions about what they needed to do to get registered and be ready for the February 2021 deadline.

Across the year, the SWRB ran a number of surveys to ask social workers what areas could be improved upon and to get feedback. With the interruptions from the lockdowns, and the shift to a new database, we received feedback that was critical of processing times but across the year we also heard positive responses from social workers.

There were 1,634 responses from social workers to the survey during the renewal of their Practising Certificates and 281 who responded to the Newly Registered survey, with a variety of feedback, as below.

"I was very satisfied with the processing of my application once I submitted the application. It was helpful for me to have one person who I communicated with directly via email if I ran into any issues or had further information to ask about."

"Staff were helpful, clear in the process - I enjoyed the process well done."

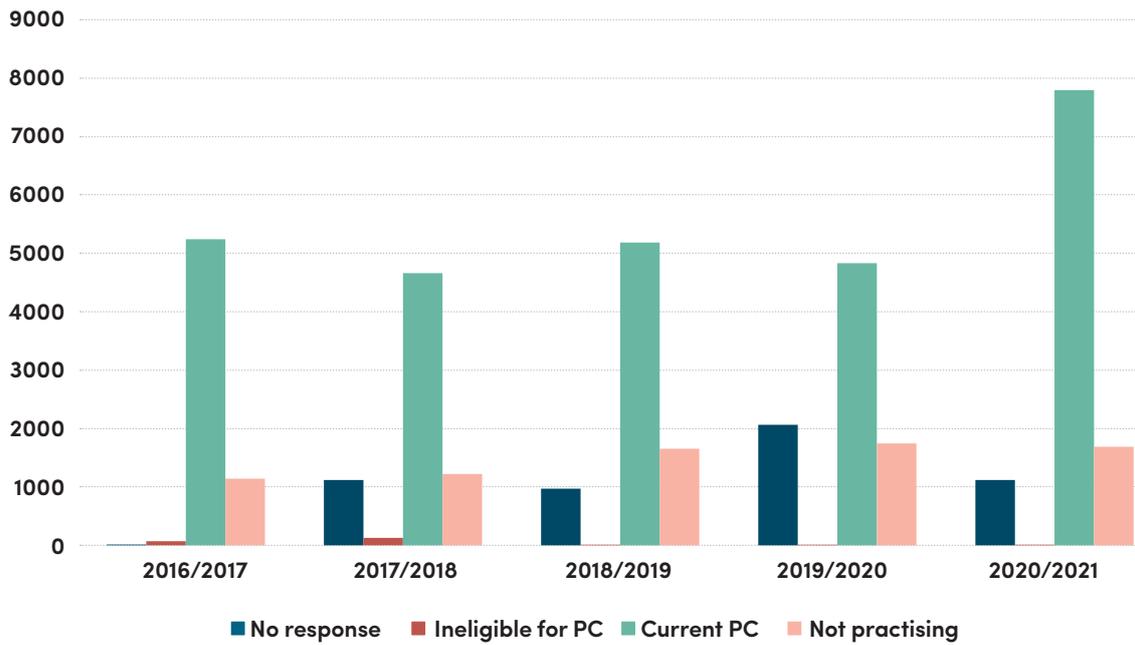
"I am registered for the first time and my experience on getting a Practising Certificate was quite positive."

"I had a hard time due to my own misunderstanding. I prefer speaking to people. I always like to question things. I hope to have a better experience next year. You did a fine job helping me. Thank you."

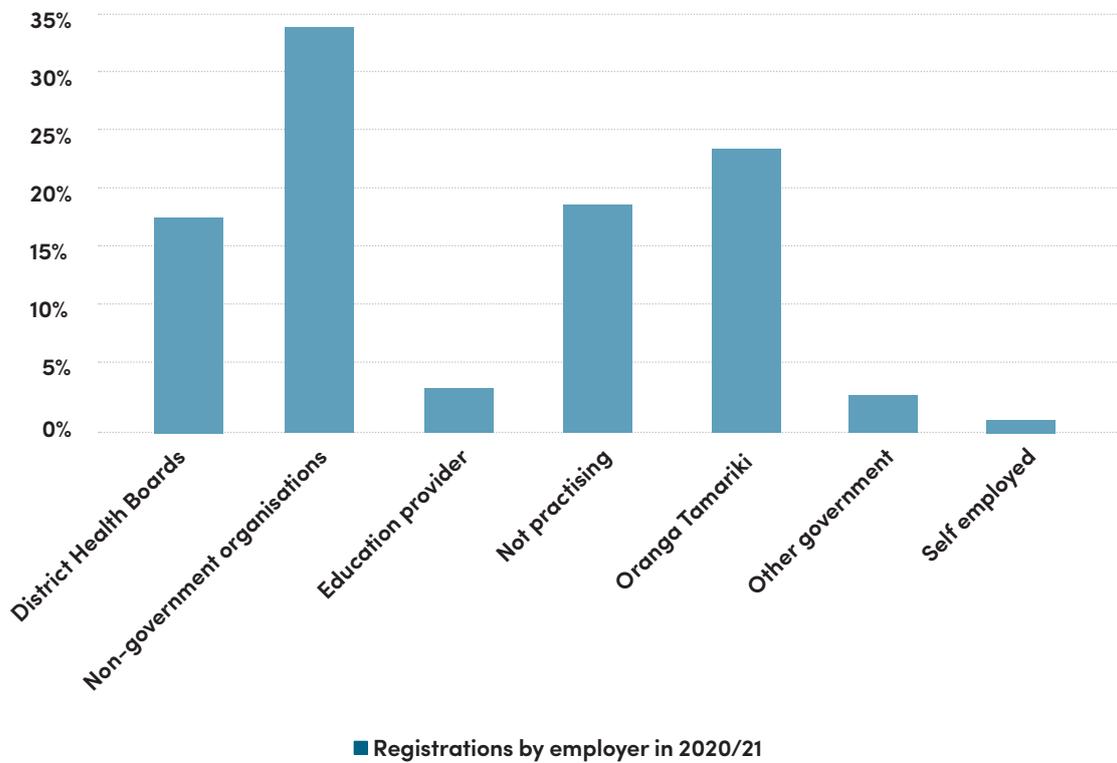
"Speed up but appreciate the phenomenal number of applications in 2020 and that my great difficulties in contacting staff were Covid related."

"I appreciated the assistance I was provided with. It was timely and the process was as quick as it could be. Allowed me to work through at my pace."

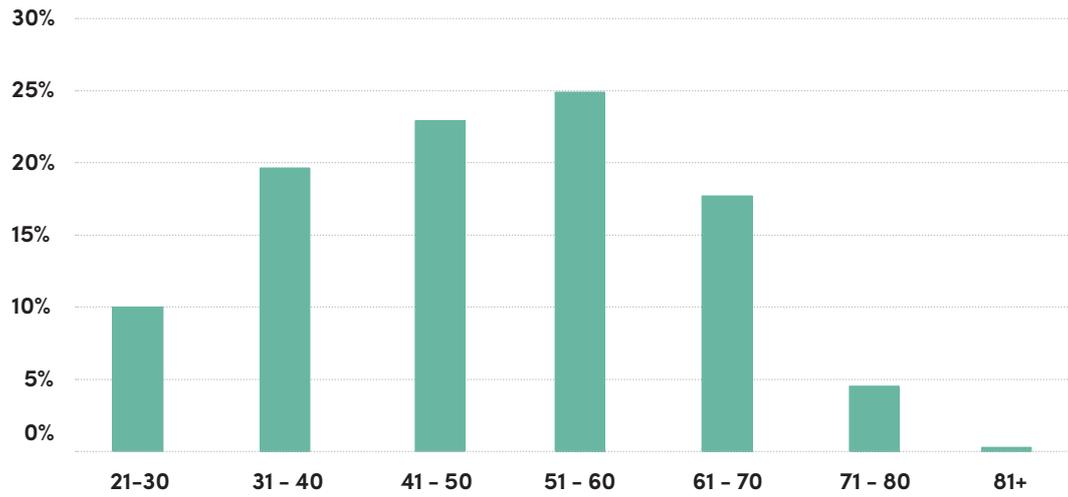
Registration and PC trends for previous 5 years to June 2021



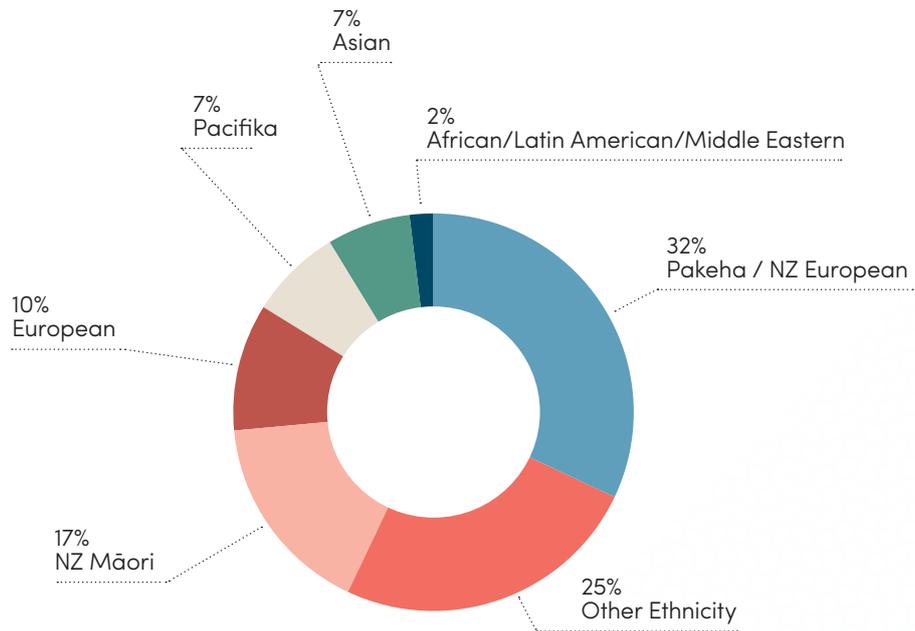
Registered social workers by employer for 2020/21



Registered social workers by age (in 10-year brackets)



Registered social workers by ethnicity



We had forecast that there would be an additional 2,000–3,000 newly registered social workers with the shift to mandatory registration on 27 February 2021. This was a three to fourfold estimated increase on usual yearly additions to the register. We ended up with a threefold increase in registration numbers which is a testament to the success of the information campaign and the hard work by the registration team. It was at the lower end of the forecast range at just under 2,000 new social workers added to the register.

We think COVID had something of an influence on that and we received feedback from social workers and employers, particularly from within the NGO sector, that the costs of registration and the ongoing professional obligations, including the costs to renew Practising Certificates on an annual basis, and continuing professional development were likely to have been barriers for some.

Under the legislation, if you are called a social worker, you must be registered but we know there is a pool of employed social workers whose job title is something other than that. It is the SWRB's belief that these social workers, who are using their social worker skills, knowledge, and expertise, are eligible to be registered, and we would advise them to become registered and take up their professional identity. We will continue our work to persuade social workers and their employers that being registered contributes to a strong professional workforce which ultimately protects the safety of the public as registered social workers adhere to a Code of Conduct, and undertake supervision and continuing professional development. Social work is becoming a truly professional workforce which can take its place alongside other regulated professionals.

Developing and implementing a Scope of Practice

Amendments made to the Social Workers Registration Act (2003) in 2019 required the development of a General Scope of Social Work Practice (the Scope) for the social work profession by February 2021. The Scope was developed as a high-level description of social work in Aotearoa New Zealand and was gazetted in February 2021. It provides the foundation for social work registration in the mandatory environment.

It was developed following consultation with the sector by the Scope of Practice working group which was drawn from leaders across the social work profession. He Ara Whiria, the Braided Rivers¹ developed by Angus Macfarlane, informed the approach taken by the working group. This considered the equal value of Tangata Whenua and Taiwi ways of knowing. The Negotiated Spaces model developed by the Te Kotahi Research Institute describes the negotiated space where the ways of knowing come together to form shared knowledge.

The General Scope of Practice has three component parts which together form the whole:

- The whakataukī and pepeha, which identify the essence and core of social work and acknowledge the wisdom of the past to inform the present.
- The Practice Lens which celebrates the diversity of cultural ways of knowing and experience that add richness to the profession.
- The Practice Statement which makes links to shared social work practice ethics, values, knowledge, and standards for the profession in Aotearoa New Zealand.

The General Scope of Practice applies to practitioners working in all fields of social work practice and across the breadth of social work roles. It supports a shared identity for social workers and establishes a common understanding of social work in Aotearoa New Zealand. Additional information, including the supporting narrative which provides context for the Scope's development can be found on the SWRB website: <https://swrb.govt.nz/practice/scope-of-practice/>.

1 <https://thehub.swa.govt.nz/assets/Uploads/Bridging-Cultural-Perspectives-FINAL-0.pdf>

Operational policies revised and updated

The SWRB prioritised key policy areas for development and review. Some were directly in response to amendments in 2019 to the Social Workers Registration Act and others were part of the ongoing SWRB work programme.

The priority areas were:

- Scope of practice
- Experience pathway: S13
- Competence assessment for overseas-qualified applicants
- Mandatory reporting of health concerns
- Fit and Proper.

The Scope of Practice was gazetted on 4 February 2021.

Work on the experience pathway: S13 policy and process is under review, with a focus on strengthening how we assess experience and apply natural justice principles. Applicants can continue to apply through the current experience pathway and will be assessed through a transitional process until the revised policy and process is fully implemented. A process has been developed and implemented to allow for temporary registration for eligible experience pathway applicants.

Assessment of competence in competencies 1 and 2 (competence to practise with Māori and different ethnic and cultural groups) is now required within six months of provisional registration.

A draft social media policy and guidance have been developed to meet Public Service Commission requirements. Our social media transparency statement has been published on the SWRB website.

The criteria for mandatory reporting of health concerns have been approved. A reference group has been formed from various parts of the sector. This group has provided feedback to inform our thinking on developing policy work.

The following operational policy work is ongoing:

- Development of a complaints and notifications framework. The full Fit and Proper policy review continues within this project. This work includes ongoing discussions with other regulatory bodies.
- Strengthening the requirements for overseas applicants to demonstrate some understanding of te Tiriti o Waitangi before becoming registered. This will lead to further development of assessing competence in competencies 1 and 2 for overseas applicants.
- Working with Aotearoa New Zealand Association of Social Workers (ANZASW) to develop a supervision policy that is fit for purpose.
- Reviewing how we assess enough practical experience to progress from provisional to full registration.

Information Campaign shifts to digital approach

The SWRB committed to investing in communications and undertook a two-year Information Campaign (from 2019–2021) to inform social workers and employers about the shift to mandatory registration. In the first year of the campaign, there was a refresh of the branding, the creation of collateral, and we undertook physical roadshows around the country. In the second year, the campaign needed to continue reaching out to as many people as possible within the social work sector, to expand its audiences, increase its channels of communication, engage Māori and Pasifika, and use innovative and interesting ways of communicating.

We pivoted to a digital format for communications when COVID-19 struck and lockdowns ensued. It was a period of rapid adjustment and intense communication about what the SWRB was doing to make it easier for social workers to register electronically.

It also created the opportunity for the SWRB to offer digital Q&A sessions. People were quickly at ease using Zoom and this allowed us to offer multiple sessions per week for

- individual organisations
- general open to all Q&A sessions on Thursday, plus
- specific sessions for the biggest single employer of social workers, Oranga Tamariki.



The SWRB had senior social workers, registration team members, and the Team Leader (see photos) hosting the Q&A sessions.



There have been more than **100 Q&A sessions** hosted by the SWRB which were well received by those attending. Comments included:

“For so long the Registration Board has been this mythical thing that we’re not quite sure of and don’t know who is who. It is great that we got to put faces to the organisation and have these kinds of conversations.”

“Really informative as well as supportive. Mauri Ora!”

“For some, it’s quite an anxious time and it’s really reassuring to be able to ask these questions and get some answers from actual humans so that’s really cool.”

“The meetings that have been and continue to be offered throughout lockdown such as these by the Board have been great. Thank you for being more accessible and supportive. I just have to say, it really is good to see the SWRB coming alive, being transparent, available in different ways, and really actively working to make things easier for all. Keep up the great work and thank you.”

“Both the digital session recording and Powerpoint have been posted to our students and I can see that it is reaching a large number of students...Thanks again team, it was good to meet you all and I look forward to contact again in the future.”

Facebook reaches new audiences

In order to ramp up our communication channels, the SWRB Facebook page was launched on 27 February 2020, a year out from the mandatory registration deadline.

It attracted increasing numbers and by June 2021, there were **2,400 plus followers**.

It increased the SWRB connection with social workers, reaching some who had not interacted with the organisation previously.

Facebook stats:

- **1,500+ page views** per month
- **197,500 video views** per month
- **295,800 post reach** per month
- **16,500 post engagements** per month
- **70+ followers** per month



Monthly video blog updates introduced



We introduced monthly video blogs from the Chief Executive as another way of reaching out to audiences and covered updates on the new database MySWRB, what to do to become registered, information about CPD logs, and Tribunal learnings.

They reached thousands of people:

April 2020 – Working remotely: **19,700 views/5 comments/31 likes**

May 2020 – Registration in lockdown: **19,400 views/43 comments/101 likes**

Nov 2020 – Stand with your profession: **39,700 views/3 comments/40 likes**

Aug 2020 – Ngā mihi, stand up be registered: **258,900 views/11 likes**

Digital advertising campaign commissioned

We commissioned a digital advertising campaign to maximise reach and find those social workers we were yet to connect with. The Chief Advisor Māori Development and the Senior Advisor Social Work Practice Māori were involved in the commissioning, development of key messaging, and the campaign itself as we sought to connect with Māori and Pacific social workers, in particular, and social workers generally. It rolled out primarily on Facebook and Google Search and Display.



The campaign, which was designed to drive up awareness about mandatory registration:

- had a reach of more than **2.5 million**
- “Ngā mihi, stand up, be registered” prompted **86,000+** visits to the SWRB website
- it generated more than **9,000 clicks** on Apply to Register, and **13,200 plus clicks** on the new database MySWRB, from mid-Oct 2020.

We did not forget traditional methods of reaching the sector, and continued updating our website, and increasing the frequency of our newsletters from four times a year to once a month. From **6,954 readers**, we took that to **11,242 readers**.

“I think your newsletter is great, very helpful and gives good information. It also allows me to discuss this with all our social work team – so very helpful as an organization who employs social workers to be able to access this.”
Family Works

“Your newsletter is very informative.” Social worker

“This newsletter is absolutely amazing. Thank you for keeping me in the loop.” Social worker

COMPLAINTS AND NOTIFICATIONS

Social workers are required to adhere to the SWRB's Code of Conduct and our Core Competence Standards and, if there are concerns over standards of professional behaviour, they can be reported to the SWRB.

Under the Act, employers and social workers are required to report to the SWRB if they believe (on reasonable grounds) that a social worker is unable to practise safely because of serious misconduct, a health condition, or competence issues.

There has been an increase in the number of complaints and notifications, which is unsurprising in a profession newly into a mandatory environment. They doubled from one year to the next, from 42 to 84 (2018/19 to 2019/20), and have doubled again in the last year to a total of 170.

All complaints and notifications were assessed by the SWRB and the SWRB Board complaints sub-committee with some complaints then sent to a Professional Conduct Committee, an external body. A PCC can refer its most serious cases to the Social Workers Complaints and Disciplinary Tribunal (external body), which has similar powers, processes, and costs to a District Court.

The following table is the number of new complaints received in the financial year and the number of cases that were referred to a PCC or Tribunal in that year. Several cases run across years with a total of 33 PCC cases being worked on in the 2020/21 year.

Year	Complaints & Notifications	PCCs	Disciplinary Tribunal
2018/19	42	14	2
2019/20	84	25	3
2020/21	170	33	9

Complaints and notifications are paid for by the Disciplinary Levy. Even with the levy moving to \$100 in May 2021, we were not recovering costs which include:

- internal costs of assessments,
- external costs of advice from expert social workers and lawyers, and
- hearing costs of Professional Conduct Committees and Disciplinary Tribunal.

Over the year, the Professional Conduct Committees worked through 33 cases identified for investigation. Of these, eight determinations were referred back to the SWRB for follow-up to support and monitor a range of competence assurance activities. The majority of these cases were mandatory reports by employers following a complaint to them about the conduct of social workers in their employ. Issues were a mix of blurred professional boundaries, inappropriate relationships with clients, poor communication with clients and failure to advise clients of supports available to them, inaccuracies and absence of client records by social workers, alcohol-related health concerns impacting work, and leaving employment in the middle of an employer-initiated performance improvement plan.

As stated, in the most serious matters, the PCC refers cases to the Disciplinary Tribunal. There were nine Tribunal hearings (noting that some of these related to PCCs from the previous financial year). The majority of these were issues relating to fraudulent activity, some of which involved clients and others their employers. The SWRB has initiated sharing insights from completed Tribunal cases to provide real-life examples of Code of Conduct breaches for social workers. It is anticipated that these case examples will be used by social work teams as part of their ongoing social work ethics and Code of Conduct training.

We will develop our understanding of the complaints trends over time, including undertaking work to assess trends on those mandatory reports that do not progress, which we will use to inform our work with the sector, including employers and educators. We are also undertaking a wider review of the Complaints Framework to ensure it is fit for purpose in the mandatory environment.

Complaints and notifications

Complaint or notification	Number received 2020/21
Total	170
Public	124
Employer	34
Self-disclosed	12
Health and Disability Commissioner	0

Professional Conduct Committee cases - PCCs are established to investigate allegations about the conduct or competence of a social worker and determine whether to refer the matter to the independent Social Workers Disciplinary Tribunal.

PCC determinations	Number closed in 2020/21
Total	17
Breach of professional boundaries	3
Breach of privacy	0
Practising without a practising certificate	0
Convictions	3
Other professional misconduct	11

Disciplinary Tribunal hearings - The Social Workers Disciplinary Tribunal hears charges laid by a PCC and exercises the disciplinary powers over social workers conferred by the Act.

Tribunal decisions	Number open in 2020/21
Total	9
Breach of professional boundaries	1
Practising without a practising certificate	1
Other	7

EDUCATION

Social work graduates enter the workforce with expected entry-level competencies having completed recognised social work qualifications. These qualifications are delivered to our programme recognition standards (PRS) and New Zealand Qualifications Authority (NZQA) requirements.

As a result of COVID-19 and the impact it had on students being able to undertake field education placements and skills groups, the SWRB moved swiftly to discuss with tertiary institutions what action needed to be taken. There were adjustments made to the processes around managing the placements and ongoing learning, at the same time as the SWRB encouraged institutes delivering social work programmes to safeguard students to the greatest extent possible.

As part of addressing issues raised by the sector, the SWRB amended its programme recognition standards for field work placement for students/taura. This still requires students/taura to undertake a minimum of 120 days of fieldwork education in the final two years of the programme but fieldwork specific tasks can be embedded into that total.

There were also adjustments made to the timing of programme re-recognition and mid-cycle reviews. Our target was for three programme re-recognitions and three programme mid-cycle reviews. We achieved four programme re-recognitions and two mid-cycle reviews. The changes were largely due to institutes wanting their reviews put back due to work pressures amid the COVID-19 pandemic.

The flexibilities applied by the SWRB during COVID-19 levels three and four still ensured a consistent and rigorous regulatory approach.

Additional work undertaken during the year included broadening the definition of a social work academic staff member. This was done in recognition of Section 100 (Obligations of the SWRB Board in relation to Māori) and 101 (Obtaining views of ethnic and cultural groups) of the SWRA and in alignment with NZQA guidelines. A social work academic staff member can now be a fully registered social worker with a current annual practising certificate who holds a Master's level qualification or a social work bachelor degree and has demonstrable, relevant, and suitable professional experience, in consideration of Section 100 and 101 of the SWRA. It has been very difficult for education providers to secure Māori lecturers who met the previously restrictive SWRB definition of a social work academic staff member. The broader definition also opens the door for Pacific and other ethnic and diverse communities to teach into social work programmes and bring their specific social work practice experience into the education environment.

An education working group, which is made up of stakeholders from across the sector, including social work educators, statutory and non-statutory, iwi-based organisations, students, and our professional body, alongside the SWRB, is currently being formed to review the Programme Recognition Standards.

We continue to collaborate with other education sector agencies, such as NZQA, Tertiary Education Commission (TEC), Committee on University Academic Programmes (CUAP), Te Pūkenga, and the Ministry of Education, as the staged Education Review is established.

CONTINUING PROFESSIONAL DEVELOPMENT

One of the functions legislated by the Social Workers Registration Act (2003) is for the SWRB to enhance professionalism of social workers.

In collaboration with a number of other social service organisations, the SWRB offered some Continuing Professional Development (CPD) opportunities and promoted others during this year.

The SWRB, Barnardos, and Aotearoa New Zealand Association of Social Workers (ANZASW) set up a live-streamed event in June 2020 that was a symposia on Māori and Pasifika research and

practice knowledge. 'Mō tātou ā mō kā uri ā muri ake nei' – For us, and our children after us' was held online to be able to address any varying alert levels or COVID restrictions. The event featured six influential and dynamic speakers who provided broad and challenging perspectives.

The live-streaming model is accessible and of significant benefit for those who live and work outside the main cities. More than 400 people participated, including a large number from rural or smaller towns. Of those taking part, 89% rated the event as an 8 out of 10 or higher.

Evaluations included:

"Courageous speaker sharing personal journeys, insights. Challenging in that in order to move forward to address the issues highlighted, we need to look within at ourselves as well as the service we deliver – to ask ourselves how can we help the healing and change needed. Inspiring and motivating! Ngā mihi nui!"

"I was challenged, I reflected, I felt vulnerable, I am blessed...The calibre of speakers, the mahi each are doing, and the passion with which they delivered showed only a small snippet of their knowledge. The speakers were well placed, providing insight to differing aspects of ahau (self) and where I fit in lifting the wairua of tamariki and mokopuna moving forward. Kia Ora for such an inspirational symposium."

"I honestly was a bit dubious about attending this symposium online but it worked fantastically. I would love to come in person one year, the speakers were truly inspirational! THANK YOU."

Another CPD opportunity was presented when close to 200 social workers gathered in Wellington to celebrate mandatory registration at an event held on World Social Work Day, 16 March 2021.



The Minister for Social Development and Employment, Hon Carmel Sepuloni, was the keynote speaker and noted the resilience, ongoing mahi, and compassion shown by social workers over this last year. The SWRB Chair Shannon Pakura, ANZASW President Sharyn Roberts, TWSWA Kahui representative Robyn Corrigan, National MP Louise Upston, and former Minister Steve Maharey all spoke about what it meant for New Zealand to mark the milestone of mandatory registration.

All had perspectives on what a mandatory environment would bring and what is needed for the profession to succeed in a professional environment. For those who were unable to attend the live event, it was both live-streamed and recorded so social workers across the country had an opportunity to listen to the speakers and log the activity as part of their CPD. Find out more here: <https://swrb.govt.nz/about-us/legislation/mandatory-the-next-step/mandatory-registration-event/>.

The SWRB CPD audit was re-scheduled as we transitioned to the new database.

SWRB GOVERNANCE

Board's Work Programme

With the shift to mandatory registration, the SWRB Board's work increased significantly. The threefold increase in the number of social workers applying for registration meant that the volume had to be managed by the Board and resulted in more frequent meetings, including electronic, to be able to assess and approve the applications.

The Board is pleased to see the SWRB shift from a paper-based organisation to the implementation of a new database and electronic and cloud-based operations, which will provide the basis for an evidence-led agency.

The Board was also newly into the effect of legislative changes for complaints and notifications, and its Professional Conduct sub-committee met every two weeks in order to assess complaints. The sub-committee members determine what action is appropriate for the complaints that come before them, and whether they need referring to a Professional Conduct Committee (external body).

The Board held a strategy day in February 2021 to determine whether the SWRB's vision and values were appropriate for a mandatory environment. The vision 'Social workers in Aotearoa are accountable, recognised and valued' took a new direction to provide a focus on our regulatory practice and the profession, along with the SWRB's new role as lead agency for workforce planning. The Board was also part of reviewing the organisational values, which had been renewed to better reflect what the SWRB based its actions on.

The Board has also been closely involved in working towards meeting our obligations under sections 100 and 101 of the Act to be responsive to Māori, Pacific people, and other ethnic and cultural groups in New Zealand. A Māori development and action plan is now in place.

Board member terms

Board Member	Term / Position	First Appointed	Expiry of Term
Shannon Pakura	Full Term – Chair, RSW	01/01/2019 11/02/2019 appointed Chair	31/12/2021
Andrea Nicholls	Full Term – RSW	01/01/2019	31/12/2021
Rose Henderson	Full Term – RSW	08/07/2019	07/07/2022
Hori Ahomiro	Full Term – RSW	11/06/2020	10/06/2023
Jeff Sanders	Lay person	11/06/2020	10/06/2023
Paula Rose	Lay person	11/06/2020 (reappointed)	10/06/2023
Adam Davy	Lay person	11/06/2020	10/06/2023

SWRB Board sub-committee membership, as at September 2021

FAR Committee	REM Committee	Complaints & Notifications Committee
Adam Davy (Chair)	Paula Rose (Chair)	Andrea Nichols (Chair)
Paula Rose	Adam Davy	Rose Henderson
Jeff Sanders	Shannon Pakura	Hori Ahomiro
Shannon Pakura		Jeff Sanders

Board members

The amended SWRA requires that four out of the seven members be registered social workers, ensuring the majority of the governing body is made up of social workers. Board members are appointed by the Minister for Social Development. Two new members were welcomed onto the SWRB Board in the past year; Hori Ahomiro (registered social worker) and lay person Jeff Sanders.



Shannon Pakura MNZM (Chair)

Ko Aotea te waka
Ko Ruapehu te māunga
Ko Whanganui te awa
Ko Te Atihaunui-a-Paparangi te iwi
Ko Ngā Paerangi te hapu
Ko Kaiwhaiki te marae
Ko Shannon Pakura ahau.

Shannon Pakura is passionate in her advocacy and support for the social work profession and was the first social worker to be registered in Aotearoa.

Shannon has served as SWRB Chair since 2019. She has worked extensively in both the Statutory Child Protection and the Youth Justice social work sector, and was a Chief Social Worker for the Department of Child, Youth and Family, and was the Māori Service Development Manager for Barnardos. She is a life member of the Aotearoa New Zealand Association of Social Workers having previously been their President.

Shannon holds a number of advisory and advocacy roles, including membership of the Oranga Tamariki Ministerial Advisory Board. In recognition of her services to social work, Shannon was awarded a Member of the New Zealand Order of Merit in 2022.



Hori Ahomiro

Ko Rangiuru tōku Maunga
Ko Kaituna tōku Awa
Ko Ngāti Moko tōku Hapū
Ko Tapuika, Tūhourangi, Ngāti Awa me Ngāi Tūhoe ōku Iwi
Ko Te Arawa me Mataatua ōku Waka
Ko Hori Ahomiro tōku ingoa.

Hori is a registered social worker with clinical experience who has completed his Masters in Indigenous Studies at Te Whare Wānanga o Awanuiārangi. He holds a bachelor's degree in Social Work, a diploma in Adult Education with a qualification in Kaupapa Māori and clinical supervision.

Hori has special interests in Te Reo Māori me ōna Tikanga, mental health and addictions, social justice, equity for indigenous peoples and whānau, hapū, iwi engagement and development. Hori has varied corporate and iwi knowledge, leadership, and governance experience which he brings to the SWRB and is currently employed part time by the Te Whare Whakaruruhau o Tauranga Moana.



Andrea Nichols

Andrea Nichols is a registered social worker with over 25 years of experience working with children, young people, and their whānau within both NGO and statutory settings. Until recently she worked in the Office of the Chief Social Worker where she led professional social work practice at a national level.

Andrea is currently Director, Safety of Children in Care at Oranga Tamariki, a unit that is responsible for reviewing and reporting on harm caused to children in care. Andrea has a strong interest in supervision and professional development for social workers.



Rose Henderson

Rose Henderson has a long history in the social work profession. She began as a social worker in Invercargill in the late 1970's and found time, amidst a busy family life, to establish and co-ordinate the Invercargill Women's Refuge. Rose then made the shift north to Christchurch and into the mental health area, becoming a Director of Allied Health.

Rose was also a President of the ANZASW, from 2003 to 2009, and is currently the President of the Asia-Pacific region of the International Federation of Social Workers (IFSW).

Rose is a registered social worker and has a depth of knowledge in employer relations and experience of representing social workers at a national and international level.



Paula Rose QSO

Paula is a Canterbury-based director who enjoys working in safety and regulatory organisations. She joined the Board in 2016. Her experience crosses many sectors including criminal justice, health and safety, welfare, community, and media standards. Her current roles include Deputy Commissioner, Te Kāhui Tātari Turi | Criminal Cases Review Commission; Commissioner Te Kōmihana Tirotiro Aituā | Transport Accident Investigation Commission; and a Member of the NZ Parole Board.

Community is important to Paula and she is a Hato Hone | St John Volunteer and an Officer of the Order of St John.



Jeff Sanders QSO

Jeff Sanders has experience as a senior manager and chief executive in the NGO sector, working in organisations focused on providing services that make a positive difference to people's lives. These included IHC NZ, the Methodist Church, Relationships Aotearoa, and Barnardos NZ, from which he retired as Chief Executive in early 2019.

Jeff's career has allowed him to be connected to local community needs which has given him a desire and ability to seek out systemic change and ensure excellent provision of services. He has strong relationships across the NGO and government sector and has built effective leadership teams in the organisations that he has led.

Jeff has experience and understanding of how governance structures operate and what is required when considering and governing strategic implementation of programmes of work. Jeff understands and is committed to the principles of the Treaty of Waitangi.



Adam Davy

Adam Davy is experienced in the area of governance, both in the business and social space.

A fellow of Chartered Accountants Australia and New Zealand, and a chartered member of the Institute of Directors, Adam consults to accounting and advisory firm BDO and was previously its National Head of Advisory and Director of Innovation.

Adam is Virtual CFO of Veterinary Professional Insurance Society and on the board and audit committee of Emerge Aotearoa Housing Trust. He is also Chair and Director of the health and safety consultancy HazardCo Ltd.

As well as governance, Adam's expertise includes strategic and business planning, business growth facilitation, and management, merger, and acquisition negotiations.

OUR PEOPLE

Our success as an organisation is underpinned by our people.

Number of permanent and fixed term employees

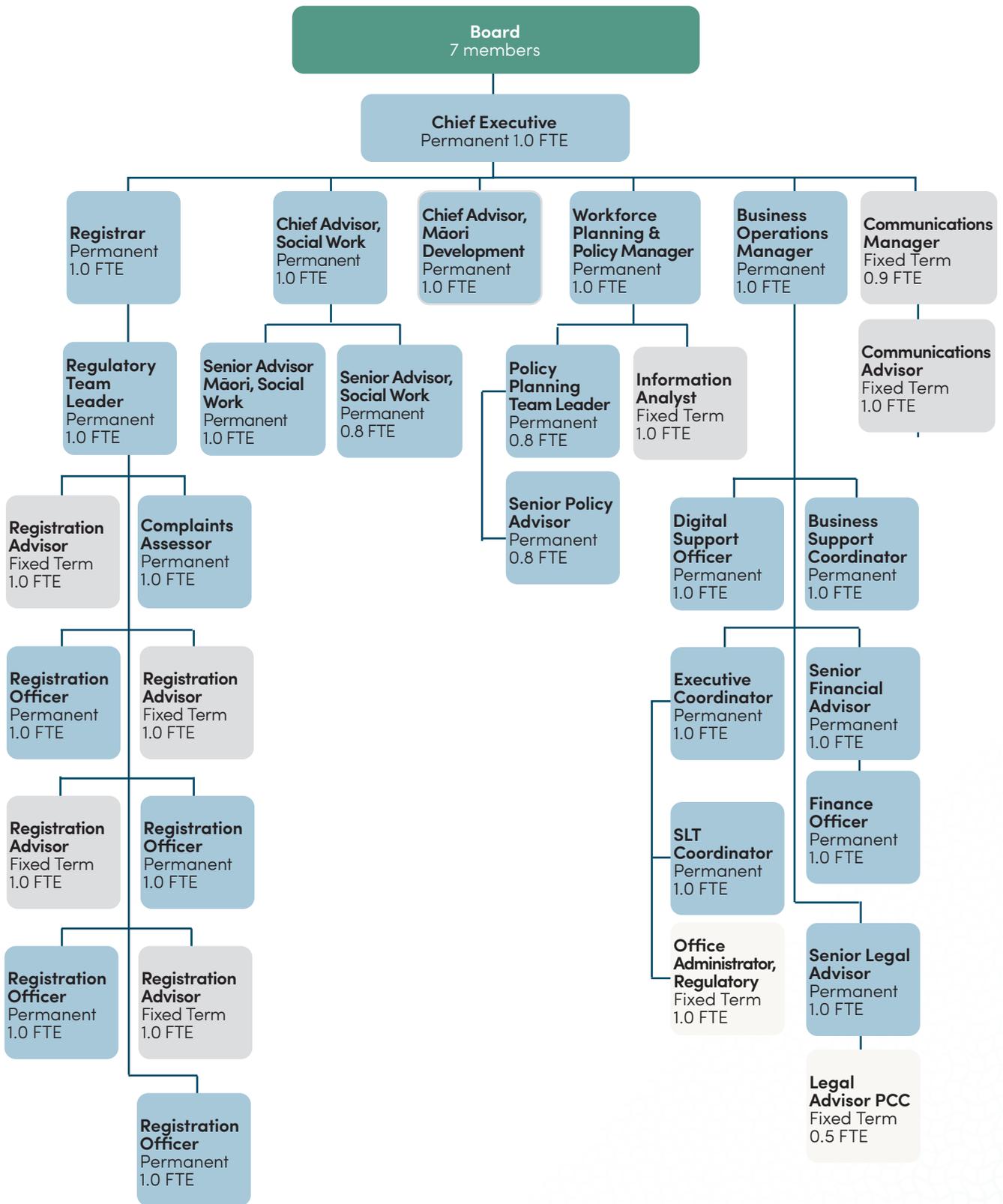
Staffing was focused on the capacity to deliver the changes required under the amended legislation as well as the shift into a mandatory registration environment, and once that occurred, what a stable state would look like.

At the end of 2020/21, we had 27.4 full-time equivalent employees (FTEs) across 30 people, including the Chief Executive and the Registrar.

These were made up of 10 fixed term employees and two casual staff. The fixed term staff were assisting with the change programme which ended in June 2021.

In late 2020, SWRB undertook a Future State review of staffing requirements to support a business-as-usual organisation. The results of this review were implemented for the beginning of the 2021/22 financial year.





- Permanent employee
- Fixed term employee for change programme up to June 2021

Demonstrating our commitment to Māori

We are committed to supporting our staff to a greater understanding of a Te Ao Māori world view and broadening their perspective with:

- staff having participated in Te Reo courses
- Team meetings were held with a Te Ao Māori perspective
- regular waiata sessions that included the meaning and language of the waiata
- embedding of Te Ao Māori principles and Te Tiriti o Waitangi in human-resources related policies and procedures.

Treating staff well

In 2020/21 further initiatives were developed and enhanced to support the development and wellbeing of staff. These included:

- Job descriptions reviewed and jobs sized
- Additional staff development opportunities provided including staff participating in Government Regulatory Practice qualifications (G-Reg)
- Staff wellness programme of activities
- Support for working at home during COVID-19 lockdown (including evaluation of health and safety requirements).

Diversity

We are committed to ensuring diversity is represented and respected in our recruitment process. For professional development, staff members were encouraged to identify training courses they believe will lift their capabilities, including their understanding of diversity.

Of the 30 staff, nine (30%) were male and 21 were female (70%).

There were three Māori, (10%), one Pacific (3%), two Chinese (6%), one South African (3%) and 23 New Zealand European.

WE COMPLY WITH THE PRINCIPLES OF BEING A GOOD EMPLOYER

We are committed to being a good employer and to adopting policies and practices that ensure fair and proper treatment of our employees in all aspects of their employment.

This includes operating in a way that is consistent with the standards released by the State Services Commission in June 2018 and adhering to the Human Rights Commission equal employment opportunities (EEO) and Crown Entities Good Employer principles.

These require...

- good and safe working conditions
 - an Equal Employment Opportunity programme
 - the impartial selection of suitably qualified people for appointment.
-

We also recognise...

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

We are committed to providing...

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

We continue to develop and maintain the...

- even representation of men and women in our 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
 - participation and representation of people with disabilities as employees and Board members.
-

We are following....

- the government gender pay gap and pay equity guidance and processes.

OUR EEO PRACTICES INCLUDE

Leadership, accountability and culture

- we utilise the Public Service Code of Conduct, as well as operational staff and governance manuals
 - actively engage all staff in the development of policies and procedures that affect their positions
 - support the development of effective leadership skills
 - promotion of good health and safety practices.
-

Recruitment, selection, and induction

- use recruitment processes based on merit
 - ensure diversity is represented and respected as part of our recruitment process
 - have a mix of full-time and part-time staff.
-

Employee development, promotion, and exit

- ensure all staff have access to professional development opportunities
 - receive ongoing support from senior members of staff
 - undertake annual performance appraisals.
-

Flexibility and work design

- work with all staff to allow flexible working arrangements where business needs can enable this.
-

Remuneration, recognition, and conditions

- staff salaries are reviewed on an annual basis, ensuring that relevant external factors are also considered
 - maintain a remuneration system that is market aligned.
-

Harassment and bullying prevention

- we operate a zero tolerance of bullying and harassment
 - encourage all staff to bring any issues immediately to the attention of the Chief Executive or Board.
-

Safe and healthy environment

- all staff have access to an Employee Assistance Programme that provides confidential counselling and advice
- all staff are provided with emergency procedures, which are up to date
- health and safety equipment is available in the SWRB office for use in the event of a disaster
- all staff are provided with emergency provisions to keep at their desks.

03

HEI WHAKAMANA MĀTĀ WAKA

PRIORITY AREA 3

Continuing our shift to become a modern regulator

The SWRB is building towards becoming a modern regulator where we support and encourage high standards of practice and professional conduct among social workers and their employers.

We have now built the tool (new database) which will enable the SWRB to conduct research, surveys, and data analysis, including of complaints and notifications received. The implementation of the database provides us with one of our key data sources and is a necessity for a modern regulator to assist us with sourcing information.

This is particularly useful for the following:

1. The [Workforce Planning](#) survey was this year attached to the database's Practising Certificate renewal round in order to increase the response rate. This provides evidence of what fields social workers were across, who they were working for, and what issues they found themselves facing. This was valuable information which is used by government officials and others in the sector to inform their understanding and planning.
2. The [Satisfaction survey](#) is also undertaken by social workers who have become registered. It is another key survey for the SWRB which provides us with the information needed to improve systems and processes.

The SWRB is developing its capacity to encourage high standards of professional conduct among social workers. For example, we appointed a Chief Advisor Social Work in the past year to strengthen the voice of social work within the SWRB. Chief Advisor Social Work has been assessing the learnings from [Tribunal Hearings](#) and these learnings have been incorporated into the monthly Onboard newsletters for dissemination to social workers and employers so they can see what type of behaviour is not up to the standards of a professional workforce, and acts as a reminder that the Code of Conduct must be followed at all times.

The database will assist the SWRB and inform our activities directed at social worker professionalism, such as information and compliance marketing campaigns for social workers, social work students, employers, and education providers.

SWRB assigned as lead agency for workforce planning

Cabinet assigned a lead agency role to the SWRB for social work workforce planning. The Minister for Social Development and Employment, Hon Carmel Sepuloni announced the decision on World Social Work Day, 16 March 2021

The Minister stated that appointing the SWRB as the lead agency for workforce planning would strengthen the profession, *"With so many social workers spread across a wide number of fields (health, child statutory protection and on to the community and voluntary sector), it's important to understand the emerging workforce issues. The workforce planning role will provide an overview and strategic response to these challenges and is a key component of the profession moving forward in a mandatory environment."* The vision of the SWRB is that social workers in Aotearoa

New Zealand are accountable, recognised and valued. A competent and capable workforce is critical to achieving this vision and to improving the wellbeing of New Zealanders.

The World Health Organisation describes the goal of workforce planning and development as to have “the right people, with the right skills, in the right place, at the right time, with the right attitude, doing the right work, at the right cost, and with the right work output.”

The SWRB has identified that there are some challenges in meeting that goal. The social worker workforce is ageing and there is a reliance on overseas-trained workers. Added to this, recruitment and retention of skilled and qualified staff in some regions is particularly difficult, such as in Te Tai Tokerau, the East Coast, and Wellington. Pay and pay equity are significant issues across the social work sector, and targeted training and development is required to enable social workers to respond to emerging risks, and to better support people to manage their own challenges.

This new role for the SWRB is not part of the regulatory function of the Board. It is funded directly by government, not by the fees and disciplinary levy paid by social workers. It enables a planned, rather than reactive approach to these sector-wide workforce challenges that has not been possible before and will eventually provide government with an overall picture of this essential workforce.

The work to build the workforce planning function is at an early stage, and the SWRB is taking a cautious approach, informed by the sector and working closely with the SWRB Chief Advisor Māori Development. Taking this approach is enabling SWRB to intentionally build from the three strands of He Arapaki, the SWRB Māori Development Strategy, to purposefully weave together Māori world concepts with western approaches. He Arapaki talks about:

- **He ara pūkenga** – the many pathways of knowledge, from where we have come
- **He ara tauwhiro** – the many pathways of social work, that weave the past together with the present
- **Hei whakamana mātā waka** – upholding the dignity of all, as we move forward together.

The early draft of the workforce strategy intentionally builds on this framework to:

- **Know** – where we have come from
- **Grow** – our current workforce
- **Develop** – the social work workforce of the future.

This will build from the existing knowledge and approach of employers and other organisations to systematically identify and analyse the current workforce, the unmet need for social work services, and model future workforce requirements based on the demand for social work services.

Following this analysis, we see the development of a range of action plans to address the gaps between the known current workforce, the ideal workforce, (if all identified unmet need was addressed) and the workforce required to deliver services in the future.

OUR OUTPUT CLASS

We have one output class: administration of the registration framework, which we intend to achieve through three sub-outputs as set out on this page.

Most of our funding comes from social workers, with some funding from education providers and Government.

Fees – paid by social workers and education providers for regulatory activities

Practising certificate fees – paid by registered social workers wishing to practise, and annually to continue to practise

Disciplinary Levy – paid by registered social workers to cover the costs of investigations and other proceedings concerning discipline

Crown funding – the Government’s contribution to our Crown entity obligations, and for 2020/21, a contribution to changes due to the amended legislation

Sub-output 1 Regulatory and Compliance

1.1 Professional Standards Advisory

- Assessments of social worker health, competence (NZ, overseas, Māori), fit and proper person, practical experience
- Advice to social workers and employers

1.2 Registration and Certification

- Applications for registration
- Assessments of social worker health, competence (NZ, overseas, Māori), fit and proper person, practical experience
- Issuing practising certificates
- Advice to social workers and employers

1.3 Social Worker Audits

- Targeted audits of social workers
- Assisted compliance
- Guidance for social workers and employers

1.4 Complaints Assessment and Advisory

- Complaints and notifications assessments
- Professional Conduct Committee advice and administration
- Secretariat for the Board committee
- Disciplinary Tribunal (outsourced)

1.5 Education

- Programme recognitions and reviews
- Advice to social workers, employers and education providers

Fees for services
Practising Certificate fees
Disciplinary Levy

Sub-output 2 Strategy and Policy

2.1 Active Partner with Māori

2.2 Policy

- Advice to Ministers
- Strategic policy development
- Operational policy
- Reviews of the Act

2.3 Research, Surveys & Data Analysis

2.4 Compliance Marketing

2.5 Strategy, Planning & Performance

- Advice to the Board
- Crown entity obligations:
 - Statement of Intent
 - Statement of Performance Expectations
 - Responding to Parliamentary Committees
 - Performance monitoring and reporting requirements
- Annual Report
- Memorandum of Understanding with Minister
- Funding reviews

2.6 Ministerial Services and Official Information Act requests

Practising Certificate fees
Crown funding

Sub-output 3 Corporate

3.1 Board Secretariat

3.2 Business Operations

- Finance
- Human Resources
- Legal
- Procurement
- IT, database and information management
- Work programme and project management
- Property management

3.3 Communications

- Stakeholder engagement
- Relationship management
- External and internal comms
- Website content development and maintenance
- Publications

Practising Certificate fees

STATEMENT OF PERFORMANCE

FULL MEASURES AND RESULTS

Our performance is assessed through the 14 timeliness, quantity, and quality measures in our Statement of Performance Expectations 2020–2021 and our Statement of Intent 2017–2021.

We also have an additional measure of satisfaction taken from our annual survey of employers, which is reported below for completeness.

Timeliness					
2018/19 Target	2018/19 Actual	2019/20 Target	2019/20 Actual	2020/21 Target	2020/21 Actual
1. Performance measure (T1): Percentage of overseas qualification non-binding assessments processed within one month of being received Source: Register database Reporting document: SPE					
No measure	No measure	85–90%	85%	80 – 85%	94% Exceeded target
2. Performance measure (T2): Percentage of complaints received responded to within 20 working days Source: Notifications tracking Reporting document: SPE					
No measure	No measure	70–85%	100%	65–80%	91% Exceeded target
3. Performance measure (T3): Percentage of applicants/registered social workers who require a refund receive one within 60 working days Source: Financial management system Reporting document: SPE					
No measure	No measure	80–85%	99%	75–80%	95% Exceeded target

Quantity					
2018/19 Target	2018/19 Actual	2019/20 Target	2019/20 Actual	2020/21 Target	2020/21 Actual
4. Performance measure (QT1): Stakeholders are kept informed of changes to the regulatory framework resulting from the implementation of the Social Work Registration Act 2003					
Source: Actual publications (including website)					
Reporting document: SPE					
At least 4 issues of OnBoard newsletter		At least 4 issues of OnBoard newsletter		At least 4 issues of OnBoard newsletter	Exceeded target
Website up to date	Achieved	Website up to date	Achieved	Website up to date	
Collateral developed		Collateral developed		Collateral developed	
5. Performance measure (QT2): Percentage of eligible registered social workers who maintain their social worker registration through competence recertification and practising certificate renewal					
Source: Register database					
Reporting document: SOI					
Baseline of 95% and this figure trends upwards with a target of 100% over the remaining years	84%	Target of 100%	63%	No specific figure given in the SOI for 2020-2021 due to extension	91% trending upwards
6. Performance measure (QT3): Percentage of surveyed employers who support the social workers they employ to maintain their registration through payment of competence recertification and practising certificate renewal costs					
Source: Employers Survey					
Reporting document: SOI					
Baseline of 75% and this figure trends upwards over the remaining years	95%	Baseline of 75% and this figure trends upwards over the remaining years	97%	No specific figure given in the SOI for 2020-2021 due to extension	96%
7. Performance measure (QT4): Ensure education providers are meeting minimum standards by completing 3 programme re-recognitions and 3 programme mid-cycle reviews					
Source: Education recognitions and reviews schedule					
Reporting document: SPE					
No measure	No measure	4 programme re-recognitions	4	3 programme re-recognitions	Exceeded target 4
		4 programme mid-cycle reviews	2	3 programme mid-cycle reviews	Below target 2

Quality					
2018/19 Target	2018/19 Actual	2019/20 Target	2019/20 Actual	2020/21 Target	2020/21 Actual
8. Performance measure (QL1): Percentage of applicants who report being satisfied with the registration process including timeliness					
Source: Survey					
Reporting document: SPE					
90%	87%	90-95%	89%	80 – 85%	Below target 75%
9. Performance measure (QL2): Percentage of applicants who report being satisfied with the practising certificate renewal process including timeliness					
Source: Survey					
Reporting document: SPE					
In the SPE 2020- 2021, measure 8 above was split into two measures (SPE QL1 and SPE QL2) to account for the two separate processes being measured, namely registration and practising certificate renewal.					
				80 – 85%	Below target 77%
10. Performance 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					
Source: Employers Survey					
Reporting document: SOI					
Baseline of 75% and this figure trends upwards over the remaining years	85%	Baseline of 75% and this figure trends upwards over the remaining years	91%	No specific figure given in the SOI for 2020-2021 due to extension	71%
11. Performance measure: Percentage of users who report satisfaction with the online functions provided by the Board					
Source: Survey					
Reporting document: SOI					
At least 80% of users report satisfaction with the functions provided and this figure increases	82%	At least 80% of users report satisfaction with the functions provided and this figure increases	95%	No specific figure given in the SOI for 2020-2021 due SOI extension	84%

12. Performance measure: Percentage of users who report identifiable benefits from using the online functions provided by the Board

Source: Survey

Reporting document: SOI

At least 80% of users report satisfaction with the functions provided and this figure increases	88%	At least 80% of users report satisfaction with the functions provided and this figure increases	95%	No specific figure given in the SOI for 2020-2021 due to extension	92%
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13. Performance measure: Percentage of registered social workers who report identifiable enhancement to their practice due to maintaining registration

Source: Survey

Reporting document: SOI

Baseline of 75% and this figure trends upwards over the remaining years	74%	Baseline of 75% and this figure trends upwards over the remaining years	75%	No specific figure given in the SOI for 2020-2021 due to extension	72%
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14. Performance measure: Percentage of employers who report identifiable enhancement to the professionalism and practice of their social workers as a result of maintaining registration

Source: Employers Survey

Reporting document: SOI

Baseline of 75% and this figure trends upwards over the remaining years	80%	Baseline of 75% and this figure trends upwards over the remaining years	75%	No specific figure given in the SOI for 2020-2021 due to extension	88%
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15. Performance measure: Percentage of employers who report satisfaction with the advice they receive will be no less than 90%

Source: Employers Survey

Reporting document: Non SPE or SOI measure

90%	82%	90%	88%	90%	86%
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Notes:

1. 'Programme re-recognition' is a review of a recognised education programme completed every 5 years by a panel of experts. The review ensures the programme delivers to the SWRB required standard, is using current theory and is internationally benchmarked.
2. 'Mid-cycle review' is a process where SWRB maintains an overview of the education programme with a follow-up on implementation of recommendations made under the re-recognition review.

It also allows tertiary education institutions to discuss proposed future developments in their programme delivery.

3. Due to the COVID-19 pandemic, fewer mid-cycle reviews took place than originally planned. However, the total target number of reviews for programme re-recognition and mid-cycle reviews combined was six, and six reviews were achieved.
4. For the purpose of these measures, we are using the response from the 2021 employers survey. However, due to the low response rate (24 employers) we do not have confidence that this data is an accurate reflection of the sector as a whole.

BETTER UNDERSTANDING THE STAKEHOLDER PERSPECTIVE

We are starting to focus on better understanding the stakeholder perspective on our performance, including our contribution and leadership within the regulatory and social work sectors. As a first step, this year we sought feedback from some of our key stakeholders on what we have identified as areas of achievement for SWRB over the year including:

- the developing of the IMIS database
- the information campaign to publicise mandatory registration
- the establishment of the workforce planning
- an increased focus on our responsiveness to working with Māori
- better understanding our stakeholders and building our relationships.

Initial feedback from stakeholders has broadly been positive, although it has identified some areas for improvement. It was acknowledged that much of what was delivered in 2020/21 was supported by government investment, especially in the development of the database and the information campaign.

In 2021/22 we will be developing this measure more fully, to enable us to report on our understanding of the stakeholder perspective on our work with an expectation that the percentage of stakeholders surveyed who rated the leadership provided by the SWRB on social worker registration and work force planning as effective will be no less than 75%.

FINANCIAL PERFORMANCE FOR APPROPRIATION FUNDING

The tables below show the funding made available by the Crown through Vote Social Development compared with that recognised by the Social Worker Registration Board.

	Appropriated funding \$	Actual \$	Difference actual vs appropriated \$
FINANCIAL PERFORMANCE FOR SOCIAL DEVELOPMENT			
<i>Workforce Planning funding (Multi-year appropriation)</i>			
Crown Revenue - earlier years	-	-	-
Crown Revenue - year ended 30 June 2021	605,000	605,000	-
Total Crown appropriation	605,000	605,000	-
Total Crown funding expenditure	605,000	605,000	-
Remaining appropriation	0	0	-

	Appropriated funding \$	Actual \$	Difference actual vs appropriated \$
FINANCIAL PERFORMANCE FOR SOCIAL DEVELOPMENT			
Implementation and operation of the mandatory registration on social worker (Two years appropriation)			
Crown Revenue – earlier years	1,343,000	1,343,000	-
Crown Revenue – year ended 30 June 2021	788,000	788,000	-
Total Crown appropriation	2,131,000	2,131,000	-
Total Crown funding expenditure	2,131,000	2,131,000	-
Remaining appropriation	0	0	-

How the Crown funding was spent

In 2020/21, we received \$1.393 million funding from Crown through vote Social Development, which was spent on the following activities

Workforce Planning funding

\$605,000 contributed to the cost of Lead Agency Role for Social Worker Workforce planning. This funding contributed to developing an evidence base on the social worker workforce across Aotearoa.

This included:

- Building internal Data and Insights capability
- Building internal workforce Advisory
- Undertaking research activities
- Developing, administering and analysing an online Social Worker Workforce Survey in concert with our Social Worker's Practising Certificate round.

Implementation and operation of the mandatory registration on social worker

\$115,000 contributed to the cost of meeting our Crown entity obligations such as:

- Statement of Intent
- Statement of Performance Expectations
- Responding to Parliamentary committees
- Performance monitoring and reporting requirements as a result of moving to a mandatory registration regime.

\$673,000 contributed to the cost of:

- our information campaign on the move from voluntary to mandatory registration and certification
- the development of a new database for our register and business processes, with the database going live on 14 October 2020

STATEMENT OF RESPONSIBILITY

The Board is responsible for the preparation of the Social Workers Registration Board's financial statements and statement of performance, and the judgements made in them.

The Board is also responsible for any end-of-year performance information provided by the Social Workers Registration Board under section 19A of the Public Finance Act 1989.

The Board has responsibility for establishing and maintaining a system of internal control designed to provide reasonable assurance as to the integrity and reliability of financial reporting.

In the Board's opinion, these financial statements and statement of performance fairly reflect the financial position and operation of the Social Workers Registration Board for the year ended 30 June 2021.

Signed on behalf of the Board:



Shannon Pakura
Chair



Adam Davy
Board Member (Chair of Finance, Audit and
Risk Committee)

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 2021

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

Opinion

We have audited:

- the financial statements of the Registration Board on pages 56 to 80, that comprise the statement of financial position as at 30 June 2021, the statement of comprehensive revenue and expenses, 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 11, 12 and 45 to 50.

In our opinion:

- the financial statements of the Registration Board on pages 56 to 80:
 - present fairly, in all material respects:
 - its financial position as at 30 June 2021; 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 Public Benefit Entity Standards Reduced Disclosure Regime; and
- the performance information on pages 11, 12 and 45 to 50:
 - presents fairly, in all material respects, the Registration Board's performance for the year ended 30 June 2021, 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; and
 - what has been achieved with the appropriation; and
 - the actual expenses or capital expenditure incurred compared with the appropriated or forecast expenses or capital expenditure.
 - complies with generally accepted accounting practice in New Zealand.

Our audit was completed late

Our audit was completed on 6 October 2022. This is the date at which our opinion is expressed. We acknowledge that our audit was completed later than required by the Crown Entities Act 2004, section 156(3)(a). This was due to an auditor shortage in New Zealand and the consequential effects of Covid-19, including lockdowns.

The basis for our opinion is explained below. In addition, we outline the responsibilities 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 Board for the financial statements and the performance information

The Board is 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 Board is 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 Board is responsible on behalf of the Registration Board for assessing the Registration Board's ability to continue as a going concern. The Board is 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 Board's responsibilities arise from the Crown Entities Act 2004 and the Public Finance Act 1989.

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 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 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 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 to 80, 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: International 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.



Jacques Du Toit

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

04

FINANCIAL STATEMENTS

STATEMENT OF COMPREHENSIVE REVENUE AND EXPENSES FOR THE YEAR ENDED 30 JUNE 2021

	Notes	2021 Actual \$	2021 Budget \$	2020 Restated Actual \$
REVENUE	2	5,211,170	5,715,120	4,206,751
EXPENSES				
Administration and Overhead costs		118,164	100,941	107,492
Complaints and Tribunal Fees		304,033	410,000	211,522
Publications		193,500	348,704	49,007
Depreciation & Amortisation expense		71,068	75,108	48,362
Personnel costs	3	3,200,379	2,690,379	2,310,448
Other expenses	4	1,543,915	1,697,403	1,112,160
Total Expenses		5,431,060	5,322,535	3,838,992
Surplus/(deficit) before finance income		(219,890)	392,585	367,759
Finance Income	5	15,555	50,000	43,997
Surplus/(deficit) for the year		(204,335)	442,585	411,756
Total Comprehensive Revenue and Expense		(204,335)	442,585	411,756

The above Statement of Comprehensive Revenue and Expenses should be read in conjunction with the accompanying notes.

STATEMENT OF CHANGES IN NET ASSETS/EQUITY FOR THE YEAR ENDED 30 JUNE 2021

	Total \$
Balance as at 1 July 2019	479,768
Restated Total comprehensive revenue and expense for the year	411,756
Restated Net Assets/Equity at 30 June 2020	891,524
Restated Balance as at 1 July 2020	891,524
Total comprehensive revenue and expense for the year	(204,335)
Net Assets/Equity at 30 June 2021	687,189

SWRB ANNUAL REPORT 2020 – 2021

The above Statement of Changes in Net Assets should be read in conjunction with the accompanying notes.

STATEMENT OF FINANCIAL POSITION

AS AT 30 JUNE 2021

	Notes	2021 Actual \$	2021 Budget \$	2020 Restated Actual \$
CURRENT ASSETS				
Cash and Cash Equivalents	6	1,954,856	587,395	1,222,752
Investments	7	200,000	4,250,000	1,311,098
Receivables	8	2,210,048	32,873	1,035,129
Prepayments		80,477	26,511	83,330
Total Current Assets		4,445,382	4,896,779	3,652,309
NON-CURRENT ASSETS				
Property, plant and equipment	9	58,878	56,086	76,059
Intangible assets	10	-	-	14,521
Total Non-Current Assets		58,878	56,086	90,580
TOTAL ASSETS		4,504,260	4,952,865	3,742,889
CURRENT LIABILITIES				
Payables	11	715,761	439,540	500,386
Deferred revenue	12	2,861,393	3,261,478	2,141,134
Lease liability	13	110,710	37,059	92,647
Employee entitlements	14	129,208	62,426	117,198
Total Current Liabilities		3,817,072	3,800,503	2,851,365
NON-CURRENT LIABILITIES				
Lease liability	13	-	18,529	-
TOTAL LIABILITIES		3,817,072	3,819,032	2,851,365
NET ASSETS		687,189	1,133,833	891,524
EQUITY				
Accumulated surplus / (deficit)		687,189	1,133,833	891,524
TOTAL EQUITY		687,189	1,133,833	891,524

The above Statement of Financial Position should be read in conjunction with the accompanying notes

STATEMENT OF CASH FLOWS FOR THE YEAR ENDED 30 JUNE 2021

	Note	2021 Actual \$	2021 Budget \$	2020 Restated Actual \$
CASH FLOW FROM OPERATING ACTIVITIES				
Revenue receipts		4,760,118	6,376,088	3,327,547
Interest received		17,011	57,504	47,146
Payments to employees		(2,815,060)	(2,638,646)	(1,921,286)
Payments for goods and services		(2,301,697)	(2,959,555)	(1,756,156)
Net Cash Inflow/(Outflow) from Operating Activities		(339,627)	835,391	(302,750)
CASH FLOW FROM INVESTING ACTIVITIES				
Receipts from sale of property, plant and equipment		-	-	1,693
Receipts from sale or maturity of investments		1,311,098	-	1,852,145
Purchase of property, plant and equipment		(39,367)	(65,000)	(48,125)
Purchase of intangible asset		-	-	-
Purchase of investments		(200,000)	(1,150,000)	(1,311,098)
Net Cash Inflow/(Outflow) from Investing Activities		1,071,732	(1,215,000)	494,615
Net Increase/(Decrease) in Cash and Cash Equivalents		732,105	(379,409)	191,866
Cash and Cash Equivalents at the Beginning of the year		1,222,752	966,804	1,030,886
Cash and Cash Equivalents at the end of the year	6	1,954,856	587,395	1,222,752

The above Cashflow statement should be read in conjunction with the accompanying notes.

NOTES TO THE FINANCIAL STATEMENTS FOR THE YEAR ENDED 30 JUNE 2021

1. STATEMENT OF ACCOUNTING POLICIES

Reporting Entity

The Social Workers Registration Board (SWRB) is a Crown entity registered under the Crown Entities Act 2004 and is domiciled and operates in New Zealand. The relevant legislation governing SWRB's operations includes the Crown Entities Act 2004, the Crown Service Enterprise Act 2002 and the Social Workers Registration Act 2003. SWRB's ultimate parent is the New Zealand Crown.

SWRB's main purpose is to provide services to the New Zealand public and does not operate to make a financial return. For the purposes of complying with generally accepted accounting practice in New Zealand ("NZ GAAP"), SWRB is a public sector public benefit entity.

Basis of Preparation

Statement of compliance

The financial statements have been prepared on a going concern basis, and the accounting policies have been applied consistently throughout the year.

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

The financial statements have been prepared in accordance with Tier 2 PBE accounting standards and applied disclosure concessions.

The criteria under which the SWRB is eligible to report in accordance with Tier 2 standards are:

- SWRB has expenditure less than \$30million; and it is not publicly accountable.

These financial statements for SWRB are for the year ended 30 June 2021 and were authorised for issue by the Board on 8 September 2022. These financial statements comply with the PBE accounting standards reduced disclosure regime.

SWRB was required under section 156 (3)(a) of the Crown Entities Act 2004 to complete the audited financial statements and performance information by 31 December 2021. The audit could not be completed by this date due to the ongoing impacts of COVID-19 and the resultant auditor shortage.

Presentation currency and rounding

The financial statements are presented in New Zealand dollars (\$) which is SWRB's functional and presentation currency. All financial information presented in New Zealand dollars has been rounded to the nearest dollar.

Changes in accounting policies

The accounting policies detailed in the following notes have been applied consistently to all periods presented in these financial statements, except as explained below, which addresses changes in accounting policies.

During the year, SWRB revised its accounting policy in relation to upfront configuration and customisation costs incurred in implementing SaaS arrangements in response to the IFRIC agenda decision clarifying its interpretation of how current accounting standards apply to these types of arrangements. The new accounting policy is presented below. Historical financial information has been restated to account for the impact of the change. – refer to critical judgements in applying accounting policies and note 19.

Software-as-a-Service (SaaS) arrangements are service contracts providing SWRB with the right to access the cloud provider's application software over the contract period. Costs incurred to configure or customise, and the ongoing fees to obtain access to the cloud provider's application software, are recognised as operating expenses when the services are received.

Some of these costs incurred may be for the development of software code that enhances or modifies, or creates additional capability to, existing on-premise systems and meet the definition of and recognition criteria for an intangible asset. These costs are recognised as intangible software assets and amortised over the useful life of the software on a straight-line basis. The useful lives of these assets are reviewed at least at the end of each financial year, and any change accounted for prospectively as a change in accounting estimate.

Critical accounting estimates and assumptions

In preparing these financial statements, SWRB has made estimates and assumptions concerning the future. These estimates and assumptions may differ from the subsequent actual results. Estimates and assumptions are continually evaluated and are based on historical experience and other factors, including expectations of future events and are believed to be reasonable under the circumstances.

The estimates and assumptions that have a significant risk of causing material adjustment to the carrying amounts of assets and liabilities within the next financial year are:

- Useful lives and residual values of property, plant and equipment (refer to note 9)
- Useful lives of software assets (refer to note 10)

Critical judgements in applying accounting policies

Practising fees revenue non-exchange classification (refer to note 2).

Notes 10 & 18 describe the entity's accounting policy in respect of customisation and configuration costs incurred in implementing SaaS arrangements. In applying the entity's accounting policy, the Board made the following key judgements that may have the most significant effect on the amounts recognised in financial statements.

Determination whether configuration and customisation services are distinct from the SaaS access: Costs incurred to configure or customise the cloud provider's application software are recognised as operating expenses when the services are received. In a contract where the cloud provider provides both the SaaS configuration and customisation, and the SaaS access over the contract term, management will apply judgement to determine whether these services are distinct from each other or not, and therefore, whether the configuration and customisation costs incurred are expensed as the software is configured or customised (i.e. upfront), or over the SaaS contract term. Specifically, where the configuration and customisation activities significantly modify or customise the cloud software, these activities will not be distinct from the access to the cloud software over the contract term. Judgement has been applied in determining whether the degree of customisation and modification of the cloud-based software that would be deemed significant. During the year, SWRB did not recognise any expenditure as a prepayment in respect of customisation and configuration activities undertaken in implementing SaaS arrangements as it was deemed that the configuration services are relatively straight forward and could be provided by other parties contracted by SWRB.

Summary of accounting policies

Significant accounting policies are included in the notes to which they relate.

Significant accounting policies that do not relate to a specific note are outlined below.

Goods and Services Tax

The financial statements are stated exclusive of Goods and Services Tax (GST), with the exception of receivables and payables, which are stated on a GST inclusive basis. Where GST is not recoverable as input tax, it is recognised as part of the related asset or expense. The net amount of GST recoverable from, or payable to, the 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 activities, is classified as a net operating cash flow in the statement of cash flows.

Commitments and contingencies are disclosed exclusive of GST.

Income Tax

SWRB is a public authority under the Income Tax Act 2007 and consequently is exempt under s CW 38 from the payment of income tax. Accordingly no provision has been made for income tax.

Budget figures

The budget figures are derived from the Statement of performance expectations as approved by the Board on 28 June 2020. The budget figures have been prepared in accordance with NZ GAAP, using accounting policies that are consistent with those adopted by the Board in preparing these financial statements.

Financial Instruments

Financial Assets

Financial assets and financial liabilities are recognised when SWRB becomes a party to the contractual provisions of the financial instrument.

SWRB derecognises a financial asset or, where applicable a part of a financial asset or part of a group of similar financial assets when the rights to receive cash flows from the asset have expired or are waived, or SWRB has transferred its right to receive cash flows from the asset or has assumed an obligation to pay the received cash flows in full without material delay to a third party; and either:

SWRB has transferred all the risks and rewards of the asset; or

SWRB has neither transferred nor retained all the risks and rewards of the asset, but has transferred control of the asset.

At the reporting date all of SWRB's financial assets are classified as loans and receivables. SWRB determines the classification of its investments at initial recognition and re-evaluates this designation at every reporting date.

Loans and receivables

Loans and receivables are non-derivative financial assets with fixed or determinable payments that are not quoted in an active market.

At initial recognition, they are recognised at fair value and subsequently measured at amortised cost using the effective interest rate method, less any allowance for impairment.

SWRB's loans and receivables comprise cash and cash equivalents, investments and receivables.

Impairment of financial assets

SWRB assesses at the end of the reporting date whether there is objective evidence that a financial asset or group of financial assets is impaired. A financial asset or a group of financial assets is impaired and impairment losses are incurred if there is objective evidence of impairment as a result of one or more events that occurred after the initial recognition of the asset (a 'loss event') and that a loss event has an impact on the estimated future cash flows through the use of the financial asset or the group of financial assets that can be reliably estimated.

For financial assets carried at amortised cost, if there is objective evidence that an impairment loss on loans and receivables carried at amortised cost has been incurred, the amount of the loss is measured as the difference between the asset's carrying amount and the present value of the

estimated future cash flows discounted at the financial assets original effective interest rate. The carrying amount of the asset is reduced through the use of an allowance account. The amount of the loss is recognised in the surplus or deficit for the reporting period.

In determining whether there is any objective evidence of impairment, SWRB first assesses whether there is objective evidence of impairment of financial assets that are individually significant. If SWRB determines that there is no objective evidence of impairment for an individually assessed financial asset, it includes the asset in a group of financial assets with similar credit risk characteristics and collectively assesses them for impairment. Assets that are individually assessed for impairment and for which an impairment loss is or continues to be recognised are not included in a collective assessment for impairment.

If in a subsequent period, the amount of the impairment loss decreases and the decrease can be related objectively to an event occurring after the impairment was recognised, the previously recognised impairment loss is reversed by adjusting the allowance account. If the reversal results in the carrying amount exceeding its amortised cost, the amount of the reversal is recognised in surplus or deficit.

Financial liabilities

SWRB's financial liabilities include trade and other creditors. All financial liabilities are initially recognised at fair value (less directly attributable transaction cost) and are measured subsequently at amortised cost using the effective interest method.

Provisions

Onerous contracts

A provision for onerous contracts is recognised when the expected benefits to be derived by the SWRB from a contract are lower than the unavoidable cost of meeting its obligations under the contract. The provision is measured at the present value of the lower of the expected cost of terminating the contract and the expected net cost of continuing with the contract. Before a provision is established, SWRB recognises any impairment loss on the assets associated with that contract.

2. REVENUE

Accounting policy

Revenue is recognised when the amount of revenue can be measured reliably and it is probable that economic benefits will flow to SWRB and measured at the fair value of consideration received or receivable.

The following specific recognition criteria in relation to SWRB's revenue streams must also be met before revenue is recognised.

Revenue transactions

Exchange transactions are transactions in which one entity receives assets or services, or has liabilities extinguished, and directly gives approximately equal value (primarily in the form of cash, goods, services or use of assets) to another entity in exchange.

Non-exchange transactions arise where an entity receives value from another entity without giving approximately equal value in exchange.

Revenue from non-exchange transactions

Revenue from the Crown

An amount of \$673,000 of other revenue was received from MSD to fund implementation costs, (2020: \$1.22m to fund implementation costs).

An amount of \$605,000 of other revenue was received from MSD to fund Workforce planning (2020: Nil)

Practising Fees

SWRB's annual recertification cycle runs from 1 July to 30 June. Fees received in advance of the commencement of the recertification cycle are recognised on the first day of the recertification year, that is 1 July. Fees received within the recertification year to which they relate are recognised in full upon receipt.

Other Revenue from non-exchange transactions

Application fees and fees for competence assessment, competence recertification and non-binding assessment are recognised when all application data has been received.

Disciplinary Levy

In the 2020 year SWRB have had to restore a disciplinary levy to reflect the costs of managing complaints and disciplinary processes. The disciplinary levy income is recognised as income upon receipt of \$50 (GST inclusive) per applicant.

	2021 Actual \$	2020 Actual \$
REVENUE FROM NON-EXCHANGE REVENUE TRANSACTIONS:		
Practising fees	2,457,590	2,096,353
Application fees	586,097	310,490
Competence fees	434,006	166,978
Crown Funding	115,000	119,000
Disciplinary Levy	337,618	284,826
Implementation Funding	673,000	1,224,000
Workforce planning income	605,000	-
Other revenue	2,860	5,103
TOTAL NON-EXCHANGE REVENUE	5,211,170	4,206,751
TOTAL REVENUE	5,211,170	4,206,751

3. PERSONNEL COSTS

i. Short-term employee benefits

Short-term employee benefit liabilities are recognised when SWRB has a legal or constructive obligation to remunerate employees for services provided with 12 months of reporting date, and is measured at the amounts expected to be paid when the liabilities are settled on an undiscounted basis.

ii. Superannuation schemes

Employer contributions to KiwiSaver, the Government Superannuation Fund, and the State Sector Retirement Savings Scheme are accounted for as defined contribution superannuation schemes and are expensed in the surplus or deficit as incurred.

Breakdown of personnel costs and further information	2021 Actual \$	2020 Actual \$
Salaries	2,754,148	1,981,280
Other Fees	354,027	266,251
Superannuation employer contributions	72,921	54,681
Other personnel costs	19,284	8,237
Total personnel costs	3,200,379	2,310,448

Employee remuneration	2021 Actual	2020 Actual
TOTAL REMUNERATION PAID OR PAYABLE:		
\$100,000 - \$109,999	2	3
\$110,000 - \$119,999	1	2
\$120,000 - \$129,999	1	0
\$130,000 - \$139,999	3	0
\$140,000 - \$149,999	0	0
\$150,000 - \$159,999	1	0
\$160,000 - \$169,999	0	1
\$170,000 - \$179,999	1	0
\$180,000 - \$189,999	0	0
\$190,000 - \$199,999	1	0
\$199,999 - \$209,999	0	0
\$209,999 - \$219,999	0	1
\$219,999 - \$229,999	0	0
Total employees	10	7

During the year ended 30 June 2021 there were no employees who received any compensation or other benefits in relation to their termination (2020: Nil).

The salary of the Chief Executive of the Social Workers Registration Board has not decreased from the 2020 year to the 2021 year.

The difference in total remuneration reflects the timing of payment of the performance component of the total remuneration.

Board member remuneration:

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

	2021 Actual \$	2020 Actual \$
Ahomiro, Hori	10,000	-
Davy, Adam	10,000	833
Henderson, Rosemary	10,000	8,333
Ikkala, Shirley	-	10,000
King, Lisa-Marie	-	1,858
Nguyen, Khoa	-	10,000
Pakura, Shannon (Board Chair)	22,000	22,000
Rose, Paula	10,000	10,000
Sanders, Jeff	10,000	833
Thomson, Scott	-	9,996
Total Board member remuneration	72,000	73,854

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

SWRB has provided a deed of indemnity to Directors for certain activities undertaken in the performance of SWRB's functions. SWRB has taken out 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.

There is a board member who performs the duties of a board member but is not paid a board remuneration from SWRB and is therefore not included in the table above. There is an agreement that in this instance it is appropriate no board payment is made, reflecting that the board member works within the core public service. Other Board members, as listed, attendance fees are paid directly to their wider public sector employer who releases them to attend the meetings

4. EXPENSES

	2021 Actual \$	2020 Actual \$
OTHER EXPENSES		
Audit fees	25,698	25,615
Bad debts	2,600	5,186
Database - implementation fee	284,982	157,263
Doubtful debts	57,391	-
Legal fees	269,407	149,027
Insurance	8,572	7,644
Computer expenses	68,716	87,898
Professional fees	97,021	78,782
Training and development	45,769	46,025
Staff expenses	9,065	7,350
Other expenses	674,694	547,370
TOTAL OTHER EXPENSES	1,543,915	1,112,160

5. NET FINANCE INCOME

Interest revenue is recognised using the effective interest method by accruing on a time proportion basis the interest due for the investment.

	2021 Actual \$	2020 Actual \$
FINANCE INCOME		
Loans and receivables - Interest received	15,555	44,115
Loans and payables - Interest Paid	-	(118)
NET FINANCE INCOME	15,555	43,997

6. 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 original maturities of three months or less.

	2021 Actual \$	2020 Actual \$
Cash on hand and at bank	1,689,911	960,318
Cash equivalents - bank call deposits	264,945	262,434
Total cash and cash equivalents	1,954,856	1,222,752
NET CASH AND CASH EQUIVALENTS IN THE STATEMENT OF CASH FLOWS	1,954,856	1,222,752

Interest rates	2021	2020
Cheque Account	0.00%	0.00%
Call deposits	0.00%	0.00%

Rates are percent per annum and subject to change at any time. The cheque account is a non interest bearing account.

Term Deposit 1042

Interest rate:	0.35%
Maturity date:	06/07/21
Amount:	\$250,000

7. SHORT TERM INVESTMENTS

Short term investments comprise term deposits which have a maturity greater than three months and therefore do not fall into the category of cash and cash equivalents.

Bank term deposits are initially measured at the amount invested. Interest is subsequently accrued and added to the investment balance.

	2021 Actual \$	2020 Actual \$
SHORT TERM INVESTMENTS		
ANZ Term Deposits	200,000	1,311,098
TOTAL SHORT TERM INVESTMENTS	200,000	1,311,098

Term Deposit 1039

Interest rate:	0.85%
Maturity date:	10/11/2021
Amount:	\$200,000

8. TRADE RECEIVABLES

Short term receivables are recognised at fair value and subsequently measured at amortised cost using the effective interest rate method, less any allowance for impairment.

A receivable is considered uncollectable when there is evidence the amount due will not be fully collected. Impairment is the difference between the amount due and the present value of the amount expected to be collected.

	2021 Actual \$	2020 Actual \$
RECEIVABLES UNDER EXCHANGE TRANSACTIONS		
Interest receivable	1,277	2,734
Total receivables under exchange transactions	1,277	2,734

	2021 Actual \$	2020 Actual \$
RECEIVABLES UNDER NON-EXCHANGE TRANSACTIONS		
Accounts receivable	2,274,771	1,045,263
less: provision for impairment	(66,000)	(12,868)
Total receivables under non-exchange transactions	2,208,771	1,032,396
Total Receivables	2,210,048	1,035,129

All receivables greater than 30 days in age are considered past due.

Receivables are normally assessed for collectability on an individual basis.

Movements in the provision for uncollectability of receivables are as follows:

	2021 Actual \$	2020 Actual \$
Balance at 1 July	12,868	12,868
Write off of provision during the year	(12,868)	
Additional provisions made during the year	66,000	-
Balance at 30 June	66,000	12,868

9. PROPERTY, PLANT AND EQUIPMENT

i. Recognition and measurement

Items of property plant and equipment are initially measured at cost and subsequently measured at cost less accumulated depreciation and impairment losses. Cost includes expenditure that is directly attributable to the acquisition of the asset. Where an asset is acquired through a non-exchange transaction its cost is measured at its fair value at the date of acquisition.

ii. Subsequent expenditure

Subsequent expenditure is capitalised only when it is probable that the future economic benefits associated with the expenditure will flow to SWRB. Ongoing repairs and maintenance are expensed as incurred.

iii. Disposals

Gains and losses on disposals are determined by comparing the proceeds with the carrying amount of the asset. Gains and losses on disposal are reported net in the surplus or deficit.

iv. Depreciation

Depreciation is based on the cost of an asset less its residual value. Significant components of individual assets that have a useful life that is different from the remainder of those assets, those components are depreciated separately.

Depreciation is recognised in surplus or deficit on a straight line or diminishing value basis over the estimated useful lives of each component of an item of property, plant and equipment.

The depreciation rates for the prior period:

Leasehold Improvements	16.7% SL
Computer Equipment	48% DV
Furniture & Fittings	18% - 39.6% DV

The depreciation rates for the current period:

Leasehold improvements	16.7% SL
Computer Equipment	48% DV
Furniture & Fittings	18% - 40% DV

Depreciation methods, useful lives, and residual values are reviewed at reporting date and adjusted if appropriate. Leasehold improvements are depreciated over the unexpired period of the lease or the estimated remaining useful lives of the improvements, whichever is the shorter.

v. Impairment of property, plant and equipment

SWRB does not hold any cash-generating assets. Assets are considered cash generating where their primary objective is to generate a commercial return.

Non cash-generating assets

Property, plant and equipment are reviewed for indicators of impairment annually and recoverable service amount is estimated if such indicators are identified. An impairment loss is recognised for the amount by which the asset's carrying amount exceeds its recoverable service amount. The recoverable service amount is the higher of an asset's fair value, less costs to sell, and value in use.

Value in use is the present value of an asset's remaining service potential. It is determined using an approach based on either a depreciated replacement cost approach, or a service units

approach. The most appropriate approach used to measure value in use depends on the nature of the impairment and availability of information.

If an assets carrying amount exceeds its recoverable service amount, the asset is regarded as impaired and the carrying amount is written down to the recoverable amount. The total impairment loss is recognised in the surplus or deficit.

The reversal of an impairment loss is recognised in the surplus or deficit.

Breakdown of property, plant and equipment and further information

Movements for each class of property, plant, and equipment is as follows:

	Furniture & office equipment \$	Computer equipment \$	Leasehold alterations \$	Total \$
COST				
Balance at 1 July 2019	134,197	115,642	-	249,839
Additions	8,563	41,750	-	50,313
Disposals	(11,907)	(667)	-	(12,574)
Restated Balance at 30 June 2020 / 1 July 2020	130,853	156,725	-	287,578
Additions	6,555	34,356	-	40,911
Disposals	(69,995)	(31,187)	-	(101,182)
Balance at 30 June 2021	67,413	159,893	-	227,306

	Furniture & office equipment \$	Computer equipment \$	Leasehold alterations \$	Total \$
ACCUMULATED DEPRECIATION AND IMPAIRMENT LOSSES				
Balance at 1 July 2019	91,929	103,140	-	195,069
Depreciation expense	10,597	14,547	-	25,143
Elimination on disposal	(8,066)	(627)	-	(8,694)
Restated Balance at 30 June 2020 / 1 July 2020	94,460	117,059	-	211,519
Depreciation expense	6,169	32,094	-	38,263
Elimination on disposal	(51,832)	(29,522)	-	(81,354)
Transfer to assets held for sale	-	-	-	-
Impairment losses	-	-	-	-
Reversal of impairment losses	-	-	-	-
Balance at 30 June 2021	48,796	119,632	-	168,428
Carrying amounts				
As at 1 July 2019	42,268	12,502	-	54,770
Balance at 30 June 2020 / 1 July 2020	36,394	39,665	-	76,060
Balance at 30 June 2021	18,617	40,261	-	58,878

Restrictions

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

Capital commitments

The amount of contractual commitments for the acquisition of property, plant, and equipment is \$ Nil (2020: \$nil)

Prior year restatement

During preparation of the 2021 year financial statements a gross up error was discovered relating to cost and accumulated depreciation amounts for property, plant & equipment.

The error had no impact on the carrying value of property, plant & equipment.

The prior year amounts have been updated.

10. INTANGIBLE ASSETS

i. Recognition and measurement

Intangible assets 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 are recognised as an intangible asset.

Staff training costs are recognised as an expense when incurred.

ii. Subsequent Expenditure

Subsequent expenditure is capitalised only when it increases the future economic benefits embodied in the specific asset to which it relates. All other expenditure, including expenditure on internally generated goodwill, is recognised in surplus or deficit as incurred.

Costs associated with maintaining computer software are expensed when incurred.

Costs associated with development and maintenance of SWRB's website are expensed when incurred.

iii. Amortisation

Amortisation is recognised in surplus or deficit on a straight line basis over the estimated useful lives of each amortisable intangible asset. The amortisation charge for each financial year is expensed in the surplus or deficit.

The useful lives and associated amortisation rates of major classes of intangible assets have been estimated as follows:

Website and database 5 years 20% SL

iv. Impairment of intangible assets

Refer to the policy for impairment of property, plant and equipment in Note 9. The same approach applies to the impairment of intangible assets.

v. Critical accounting estimates and assumptions

Estimating useful lives of software assets

SWRB's internally generated software largely comprises an interactive database provided to the public as part of SWRB's regulatory functions. Internally generated software has a finite life, which requires SWRB to estimate the useful life of the software assets.

In assessing the useful lives of software assets, a number of factors are considered, including:

- the period of time the software is intended to be in use;
- the effect of technological change on systems and platforms; and
- the expected timeframe for the development and replacement systems and platforms.

An incorrect estimate of the useful lives of software assets will affect the amortisation expense recognised in the surplus or deficit, and the carrying amount of the software assets in the statement of financial position.

SWRB has estimated a useful life of 5 years for its regulatory platform. This useful life is still considered reasonable based on the current performance and use of the software. There are currently no indicators the period of use of the software will be materially different.

Software-as-a-Service (SaaS) arrangements are service contracts providing SWRB with the right to access the cloud provider's application software over the contract period. Costs

incurred to configure or customise, and the ongoing fees to obtain access to the cloud provider's application software, are recognised as operating expenses when the services are received.

Some of these costs incurred may be for the development of software code that enhances or modifies, or creates additional capability to, existing on-premise systems and meet the definition of and recognition criteria for an intangible asset. These costs are recognised as intangible software assets and amortised over the useful life of the software on a straight-line basis. The useful lives of these assets are reviewed at least at the end of each financial year, and any change accounted for prospectively as a change in accounting estimate.

During the 2021 financial year, SWRB's new database went live and management have determined that it is correct to treat it as a SaaS arrangement.

Breakdown of intangible assets and further information

Movements for each class of intangible asset are as follows:

	Database & Website \$	Work in Progress \$	Total \$
COST			
Balance at 1 July 2019	591,220	-	591,220
Additions	-	-	-
Disposals	-	-	-
Balance at 30 June 2020 / 1 July 2020	591,220	-	591,221
Additions	-	-	-
Disposals	(588,276)	-	(588,276)
Balance at 30 June 2021	2,944	-	2,944

	Database & Website \$	Work in Progress \$	Total \$
ACCUMULATED DEPRECIATION AND IMPAIRMENT LOSSES			
Balance at 1 July 2019	553,976		553,976
Amortisation expense	22,725		22,725
Elimination on disposal	-		-
Balance at 30 June 2020 / 1 July 2020	576,701	-	576,701
Amortisation expense	-		-
Elimination on disposal	(573,757)		(573,757)
Impairment losses	-		-
Reversal of impairment losses	-		-
Balance at 30 June 2021	2,944	-	2,944
CARRYING AMOUNTS			
Balance at 1 July 2019	37,244	-	37,244
Balance at 30 June 2020 / 1 July 2020	14,521	-	14,521
Balance at 30 June 2021	-	-	-

Restrictions

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

Capital commitments

The amount of contractual commitments for the acquisition of intangible assets is \$Nil (2020: \$167,737)

11. PAYABLES

Short term payables are recorded at the amount payable.

	2021 Actual \$	2020 Actual \$
PAYABLES UNDER EXCHANGE TRANSACTIONS		
Accounts payable	268,811	165,441
Accruals	66,183	37,307
Total payables under exchange transactions	334,994	202,748

	2021 Actual \$	2020 Actual \$
PAYABLES UNDER NON-EXCHANGE TRANSACTIONS		
Taxes payable (GST & PAYE)	380,767	297,638
Total payables under non-exchange transactions	380,767	297,638
Total Payables	715,761	500,386

12. DEFERRED REVENUE

	2021 Actual \$	2020 Actual \$
DEFERRED REVENUE UNDER NON-EXCHANGE TRANSACTIONS		
Income in advance (practising fees)	2,861,393	2,081,134
Prepaid application fees	-	60,000
Total deferred revenue under non-exchange transactions	2,861,393	2,141,134

SWRB's practising certificate year commences on 1 July. Fees invoiced prior to balance date for the subsequent year are recorded as fees received in advance.

13. OPERATING LEASE

i. Operating leases

Leases that do not transfer substantially all the risks and rewards incidental to ownership of the leased assets are classified as operating leases.

Payments made under operating leases are recognised in surplus or deficit on a straight-line basis over the term of the lease. Lease incentives received are recognised as an integral part of the total lease expense, over the term of the lease.

(i) Leases as lessee

	2021 \$ < 1 year	2021 \$ 2-5 years	2020 \$ < 1 year	2020 \$ 2-5 years
RENTAL LEASE				
Level 7, 110 Featherston St, Wellington				
Operating lease	175,242	76,315	126,000	189,000
Total rental lease commitments	175,242	76,315	126,000	189,000

The lease commenced on 14 June 2019 and expires on 31 December 2022. There is a right of renewal for further period of 4 years with a final expiry date of 31 December 2026. As at 30 June 2021 a lease incentive of \$110,710 has been recognised in the financial statements and \$92,647 in the 2020 year.

SWRB has no lease commitments for the period five years or later (2020:Nil)

14. EMPLOYEE ENTITLEMENTS

Short term employee entitlements

Employee benefits that are to be settled within 12 months after the end of the year in which the employee provides the related service are measured based on accrued entitlements at current rates of pay. These include salaries and wages accrued up to balance date, annual leave earned but not yet taken at balance date.

A liability and an expense are recognised for bonuses where there is a contractual obligation or where there is past practice that has created a constructive obligation and a reliable estimate of the obligation can be made.

Long term employee entitlements

Employee benefits that are due to be settled beyond 12 months after the end of the year in which the employee provides the related service, such as long service leave and retirement gratuities, have been calculated on an actuarial basis. The calculations are based on:

- likely future entitlements accruing to employees, based on years of service, years to entitlement, the likelihood that employees will reach the point of entitlement, and contractual entitlement information; and
- the present value of the estimated future cash flows.

Presentation of employee entitlements

Annual leave and vested long service leave are classified as a current liability. Non-vested long service leave and retirement gratuities expected to be settled within 12 months of balance date are classified as a current liability. All other employee entitlements are classified as a non-current liability.

Critical accounting estimates and assumptions

Measuring retirement and long service leave obligations

Long service leave is calculated using the the Projected unit credit (PUC) method.

The present value of long service leave obligations depend on a number of factors that are determined on an actuarial basis. The two key assumptions used in calculating this liability include the discount rate and the salary inflation factor. Any changes in these assumptions will affect the carrying amount of the liability.

The salary inflation factor of 2.5% has been determined after considering historical salary inflation patterns. Actual entitlement owing has been used in 2020 due to the long service leave vesting.

Breakdown of employee entitlements

	2021 Actual \$	2020 Actual \$
CURRENT PORTION		
Annual leave	100,540	100,460
Salaries payable	28,668	16,738
	129,208	117,198

15. CONTINGENCIES

There are no contingent liabilities and no contingent assets as at 30 June 2021 (Contingent liabilities and assets at 30 June 2020: nil).

16. RELATED PARTY TRANSACTIONS

SWRB is a wholly owned entity of the Crown.

Related party disclosures have not been made for transactions with related parties that are:

- within a normal supplier or client / recipient relationship; and
- on terms and conditions no more or less favourable than those that it is reasonable to expect SWRB would have adopted in dealing with the party at an arm's length in the same circumstances.

Rent Free period

SWRB's current premise is a co-loaction agreement with Ministry of Social Development (MSD). As part of the agreement and to ensure

SWRB did not have to bear the costs of two leases, MSD granted SWRB with a rent free period from June 2019 to February 2020.

This was then extended to 30 June 2020 due to the COVID-19 pandemic. Furthermore, the rent free period was extended to 31 December to assist SWRB with office fitout costs.

Key management personnel compensation

	2021 Actual	2020 Actual
BOARD MEMBERS		
Remuneration	\$ 72,000	\$ 73,854
Full time equivalent members	0.64	0.54
LEADERSHIP TEAM		
Remuneration	\$ 831,715	\$ 801,501
Full time equivalent members	5.02	5.75
Total key management personnel remuneration	\$ 903,715	\$ 875,355
Total full-time equivalent personnel	5.66	6.29

The full time equivalent for Board members has been determined based on the frequency and length of meetings and the estimated time frame for Board members to prepare for meetings. An analysis of Board member remuneration is provided in Note 3.

A direct family members of a key management personnel is employed by Social Workers Registration Board on normal employment terms.

The total aggregate remuneration paid to the family member during the 2021 financial year is \$17,042.13 (LY: \$816.50).

17. FINANCIAL INSTRUMENTS

The carrying amounts of financial assets and liabilities in each of the financial instrument categories are as follows:

	Note	2021 Actual \$	2020 Actual \$
FINANCIAL LIABILITIES MEASURED AT AMORTISED COST			
Payables (excluding deferred revenue and taxes payable)		334,994	202,748
Employee entitlements		129,208	117,198
Lease liability	13	110,710	92,647
Total financial liabilities measured at amortised cost		574,911	412,593
LOANS AND RECEIVABLES AT AMORTISED COST			
Cash and cash equivalents	6	1,954,856	1,222,752
Receivables	8	2,210,048	1,035,129
Short term investments	7	200,000	1,311,098
Total loans and receivables at amortised cost		4,364,904	3,568,979

18. RETROSPECTIVE RESTATEMENT

As disclosed in the accounting policies, SWRB revised its accounting policy in relation to SaaS arrangements during the year resulting from the implementation of agenda decisions issued by the IFRIC. Historical financial information has been restated to account for the impact of the change in accounting policy, as follows:

Financial statement item	30 June 2020 DR/(CR)
STATEMENT OF FINANCIAL POSITION	
Intangible assets	(202,263)
Total assets / Net assets	(202,263)
Retained earnings	202,263
Total equity	202,263
STATEMENT OF COMPREHENSIVE REVENUE AND EXPENSES	
Database - Implementation fee	157,263
Consultants	45,000
Surplus / (deficit) for the year	(202,263)

STATEMENT OF CASHFLOWS

Payments for goods and services	(202,263)
Net Cash Inflow/(Outflow) from Operating Activities	(202,263)
Purchase of intangible asset	202,263
Net Cash Inflow/(Outflow) from Investing Activities	202,263

19. EXPLANATION OF MAJOR VARIANCES AGAINST BUDGET

Explanations of major variances from SWRB's budgeted figures in the statement of performance expectations are as follows:

Statement of comprehensive revenue and expense

Total revenue (not including interest) is \$504k below budget, primarily driven by the fact that the revenue forecast was based on the total registration numbers which did not translate to income as it included provisional registration moving to full registration. It is likely that volumes were lower than anticipated due to the COVID-19 lockdown.

Total expenses is \$108k over budget with increases and decreases across various categories.

Personnel cost (over budget \$0.510m)

- The cost of staff salaries was over budget due to the first year of mandatory registration requiring fixed term staff to ensure applications were processed by the final registration date

Other expense (under budget \$0.155m)

- The operating cost were under budget by 0.153m. The SWRB continued to manage costs through working more effectively through the development of a new registration database.

Complaints and Tribunal cost (under budget \$0.106m)

- Legal fees were lower than budgeted by \$0.106m. Disciplinary complaints were lower due to the COVID-19 pandemic resulting in less legal costs.

Publications cost (under budget \$0.155m)

- Publication costs were directly impacted by COVID-19 pandemic, and this resulted in the marketing campaign for mandatory registration moving to being delivered online instead of face-to-face.

20. EVENTS DURING THE YEAR

COVID 19 Pandemic

In mid-August 2020, community transmission of COVID-19 was detected in Auckland, and the New Zealand Government again placed restrictions on businesses, organisations and individuals within New Zealand. Auckland went into COVID-19 Level 3, with non-essential businesses not allowed to open their premises to customers and to operate only if they could do so in a contactless manner. Those restrictions were fully lifted by early October 2020.

In mid-February 2021, community transmission of COVID-19 was detected in Auckland, and the New Zealand Government again placed restrictions on businesses, organisations and individuals within New Zealand. Those restrictions were fully lifted by mid-March 2021.

In Wellington in late June 2021, size restrictions were placed on public gatherings and non-essential businesses were allowed to open their premises to customers only if they could maintain social distancing. These restrictions were fully removed after one week.

In mid-February 2021, New Zealand commenced a COVID-19 vaccination program. It is intended that the vaccination program will be completed by the end of 2021.

In mid-April 2021, quarantine-free travel commenced between New Zealand and Australia. However, that arrangement has since been amended or suspended on a number of occasions.

21. EVENTS AFTER REPORTING DATE

In mid-August 2021, following the detection of COVID-19 in the community, the New Zealand Government ordered an economy-wide lockdown, during which all non-essential businesses and organisations would not be permitted to operate.

SWRB was able to operate remotely to provide services, with registration processes to be submitted electronically.

Social Workers Registration Board

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