



**Social Workers
Registration Board**
Kāhui Whakamana Tauwhiro

Aotearoa New Zealand's social worker regulator

SWRB Fees and Disciplinary Levy

Consultation on change proposals

3 November 2021

Corrections made to the consultation document on 9 November 2021.

- **The table on page 25:** The 2019/20 revenue figure is incorrectly stated as 5.471, whereas it is 4.251
- **Wording on page 3:** SWRB's most recent published Annual Report is **2019-20**, not 2020-21. The Annual Report 2020-21 publication date is expected to be mid-2022 due to government processes for external audit being deferred as a result of COVID-19.

Contents

| | |
|---|----|
| PART 1 | 4 |
| Our whakataukī, purpose, vision, outcomes & role | 4 |
| PART 2 | 5 |
| Where we were under the voluntary regime..... | 5 |
| Improvements made over the past two years | 6 |
| PART 3 | 6 |
| Mahi needed under the mandatory regime | 6 |
| PART 4 | 7 |
| Change proposals for the fees and disciplinary levy | 7 |
| What happens if the proposals do not proceed? | 17 |
| Table of proposed fees and disciplinary levy | 18 |
| PART 5 | 21 |
| Process for setting the fees and disciplinary levy | 21 |
| One-off issues this review considered | 21 |
| Part 6 | 23 |
| Comparison of fees and levies by occupation..... | 23 |
| PART 7 | 25 |
| Our funding since 2018/19 and indicative revenue based on the proposals..... | 25 |
| PART 8 | 26 |
| Our regulatory functions | 26 |
| The mahi required and funding source for each of SWRB’s regulatory functions | 27 |
| How we work with the Minister..... | 28 |
| Our work with MSD | 28 |
| Our sector leadership role and engagement..... | 28 |
| Government’s priorities for Aotearoa..... | 29 |
| The Living Standards Framework..... | 29 |
| PART 9 | 30 |
| Fee and levy sections under the Act | 30 |
| Setting charges in the public sector | 30 |
| Developing the change proposals..... | 32 |
| Our assessment of economic characteristics and funding source for our regulatory functions..... | 34 |

Consultation process

To protect the safety of members of the public, and to support and encourage the professionalism of social workers, we are committed to being fiscally responsible, continuously looking for efficiencies and making it easier for social workers to deal with us. We welcome your feedback on the proposals set out in this document. The proposals ensure we have the minimum viable resources to meet our obligations as Aotearoa's social worker regulator under the Social Workers Registration Act 2003.

To set the fees and levy, SWRB uses a cost recovery framework that is consistent with guidelines published by the New Zealand Treasury (2017), and the Office of the Controller and Auditor General (2021). Under the guidelines, we can only charge for the mahi we are required to do under the Act at the level and standard expected by Government, with the costs recovered from the right person or group. We are also required to be financially sustainable without Crown funding. More about this is in **Part 9** of this document.

Government funding for our social worker workforce planning function and Crown entity obligations under the Crown Entities Act 2004 are not included in this document as they are dealt with separately through the Government's Budget bid process

More information is available about our strategic direction, context, financial position, and wider Government priorities in our:

- Annual Report 2019-20 2020-2021
- Statement of Performance Expectations 2021-2022
- Statement of Intent 2018-2021

These documents are available on our website: <https://swrb.govt.nz/about-us/news-and-publications/publications/>

Live Zoom sessions

We are holding Q&A sessions on Zoom for you to hear about the proposals and ask any questions you have. The consultation sessions are:

- 11:30am Wednesday, 10 November 2021 – [Zoom Link](#)
- 3:00pm Monday, 15 November 2021 – [Zoom Link](#)

How to provide feedback

To provide us with feedback on the proposals in this document, you need to either:

- fill in the online submission form at www.swrb.govt.nz/funding
- email a written submission to submissions@swrb.govt.nz

The deadline for completing an online submissions form or making a written submission is 5.00pm Wednesday, 1 December 2021. No submissions can be accepted after this time.

What happens after the consultation period ends?

We will consider the feedback in the submissions made using the online form, and any written submissions, against the requirements in the Auditor General and Treasury guidelines and our Act, and then make recommendations to our Board. If the Board proceeds with the fees and levy proposals, the changes will apply from the dates set out in a new Fees and Disciplinary Levy Notice.

PART 1

Our whakataukī, purpose, vision, outcomes & role

Social Workers Registration Board Aotearoa's social worker regulator

Our whakataukī (proverb) is ...

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

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

Our purpose is to...

| | | | |
|---|---|--|--|
| Social Workers Registration Act 2003 | | | Designated lead agency (Crown funded) |
| Protect the safety of members of the public | Enhance social worker professionalism | Promote the benefits of registration | Social worker workforce planning |
| Competent <i>Qualified, experienced, knowledgeable, skilled, and maintain CPD & supervision</i> | Safe to practise <i>Communication effectiveness, character, reputation, convictions, mental and physical health</i> | Accountable <i>Held to account if not meeting conduct, competence, or health standards</i> | Insights into when and where are social workers needed most <i>Data, information, and insights for others to use in workforce planning</i> |

Our vision is “*Registered social workers in Aotearoa are accountable, recognised, and valued*”

Our four outcomes, which support our vision are...

| | | | |
|-------------------------------------|--|---|--|
| We are an active partner with Māori | We are responsive to the diverse communities of Aotearoa | Social workers demonstrate strong professional practice | There is public trust and confidence in the social worker profession |
|-------------------------------------|--|---|--|

...which we seek to achieve through our three core roles...

| | |
|---|--|
| Regulatory | Registration, certification, scope of practice, conduct & competence standards, education programme recognition, and policy advice to Government & other agencies |
| Compliance | <i>Support, encourage, require</i> - compliance information campaigns, guidance, CPD audits, complaints & notifications, and support Professional Conduct Committees & the Disciplinary Tribunal |
| Workforce planning (Crown funded) | Collect and analyse workforce data & information, and develop insights, for others to use in workforce planning |

PART 2

Where we were under the voluntary regime

From 2003 to February 2021 we operated under a voluntary regime where social workers who wanted to be registered and hold a practising certificate did so...

We concentrated on being a 'registration shop', with some education programme vetting, few complaints and notifications, and limited numbers of disciplinary proceedings.

By 2018 we were a narrowly focused organisation with limited resource to deliver all of our regulatory functions...

Our systems and processes were out-of-date and largely paper-based. We still have limited resource to perform all of our regulatory functions under the Social Workers Registration Act 2003. This includes our lack of capability to work on enhancing social worker professionalism, being an active partner with Māori as tangata whenua, and considering the views of Pacific peoples and cultural groups.

Our limited capability to meet all of our statutory obligations is largely due to not increasing, and in some cases reducing, our fees since 2005...

Our costs have increased since 2005, as they have for other organisations, but our fees have not. They have not kept pace with inflation (as measured by the Consumer Price Index (CPI)), so over time the funding has covered less and less.

Also, the disciplinary levy, having been removed in 2010 when it was \$90, was only reinstated at \$50 in 2019 and now sits at \$100, with disciplinary proceedings still increasing...

The levy recovers the cost of dealing with complaints and notifications, administrative support for Professional Conduct Committees (PCC) and the Disciplinary Tribunal, as well as the external costs of PCC and Tribunal member fees and advice from independent expert registered social workers and lawyers, which we have little control over.

Even with the levy increasing to \$100 in May 2021, costs are not being met. Last year we budgeted for 12 PCC cases and 8 Tribunal hearings, but there were 33 PCC cases, with 10 set for Disciplinary Tribunal hearings. Absorbing this cost is impacting our ability to deliver other regulatory functions, which is why the levy needs to increase.

The mandatory regime requires more of us as a regulator, and we are not able to risk regulatory failure by only delivering some of our statutory obligations...

Being a modern anticipatory regulator under a mandatory regime means we have to look outwards to support registered social workers get as many things right as possible. The past trade-offs made to avoid fee and levy increases are not sustainable without risking regulatory failure.

This is the first comprehensive review of all SWRB fees and the levy since 2005. Moving forward we propose doing inflation adjustments more regularly...

To be financially sustainable in a mandatory registration environment and reduce the need for large increases and consultation (the cost of which is met by registered social workers), we propose that in future we make annual CPI inflation adjustments to the fees and levy, with consultation only needed for significant change projects and much higher levels of mahi.

Improvements made over the past two years

With the help of short-term funding from Government, we've commissioned and implemented a new database for our register and ran an information campaign about mandatory registration. We also registered and certified 2,500 social workers ahead of the mandatory regime coming into effect, developed a Scope of Practice, and improved how we operate so it's easier for social workers to engage with us – things like our social media presence, MySWRB online portal, and improving invoicing and other processes.

An aspect of improving what we do under the mandatory regime is better compliance with our obligations as a government Crown entity under the Crown Entities Act 2004. To do this we've developed new financial systems, built a financial model, and improved our strategy, planning and performance reporting to the Minister of Social Development.

PART 3

Mahi needed under the mandatory regime

With all of the above now 'under our belt', and the short-term Government funding having ended, we need critical regulator capability to enable us to focus on areas we haven't previously. The capability needed, to be built over the next three years, is for areas that are cost-intensive to deliver, including:

Promoting and encouraging high standards of practice and professional conduct among registered social workers and employers of registered social workers to meet our obligations under section 99(1)(n) of the Act by:

- Updating the General Scope of Practice, exploring the development of future scopes, and maintaining the Code of Conduct, competence framework and standards, continuing professional development audits, supervision policy and processes, assessment panel skills, and education standards and frameworks for course recognition and approvals
- Developing regulatory guidance and practice notes to enable registered social workers to adjust to the conditions of their work in a complex, dynamic, and high-pressure setting
- Analysing trends in complaints and notifications to proactively anticipate and address, wherever possible, any risks or gaps
- Engaging with the sector on how things usually go right as a basis for explaining how things occasionally go wrong – understanding social work as it is actually done, and the interactions among people and other elements of the system to help registered social workers, employers and others create conditions where success is more likely
- Providing information, based on expert registered social workers' understanding of the conditions, to help other registered social workers be flexible and resilient, and apply their professional judgement with confidence for the wide range of circumstances clients face.

Being an active partner with Māori to meet our obligations under both Te Tiriti o Waitangi and section 100 of the Act. We have been making some progress recently in this area, however, there is far more we could do to better meet our obligations.

Seeking the views of Pacific peoples and cultural groups in Aotearoa to meet our obligations under section 101 of the Act.

PART 4

Change proposals for the fees and disciplinary levy

To recover the costs of SWRB's regulatory functions, we propose changes in approach, new fees, increased fees, and an increased disciplinary levy, as set out below. Our online submission form contains questions for you to respond to, or you can choose to email us a written submission. The online submission form also has a section for general comments, and we welcome general comments in written submissions.

The **change proposals** are set out in four sections:

| | | |
|-----------|--------------------------------------|---------------------|
| Section 1 | Changes in approach | Proposals 1 to 3 |
| Section 2 | New fees | Proposals 4 to 8 |
| Section 3 | Fees and disciplinary levy increases | Proposals 9 to 15 |
| Section 4 | Education provider fees increases | Proposals 16 and 17 |

NOTE: The fees and disciplinary levy are shown as GST inclusive.

Section 1: Changes in approach - Proposals 1 and 2

Proposal 1: Annual CPI (inflation) adjustments to the fees and disciplinary levy

We propose to annually adjust fees and the disciplinary levy in line with the Consumer Price Index (CPI) – (i.e. annual inflation rate) under sections 108 and 109 of the Act, without undertaking consultation.

Policy rationale: The input costs for our regulatory functions have increased since 2005, as they have for other organisations, but fees and the levy have not kept pace. Doing annual CPI adjustments reduces the need for large increases all at once.

Since SWRB's costs in undertaking consultation are met by registered social workers, we would only consult if the increase to the fees and levy is for significant change projects or much higher levels of mahi. This approach is taken by other Crown entity regulators, where, like SWRB, their Act authorises the Board to set fees by a Gazetting a notice, and does not require them or their Minister to consult.

This approach cannot be taken by a Crown entity regulator where their Act requires fees and levies to be set in regulations (which can only be drafted by the Parliamentary Council Office and approved by their Minister). In some cases, their Act also requires the Crown entity or the Minister to consult.

The Auditor General and Treasury guidelines suggest that public consultation be done for significant changes to fees and levies unless it is difficult to do so. An example is where a transition period end date under an amended Act is close to the entity's annual fee or levy payment round, leaving insufficient time to properly consult, and volume and activity too uncertain to forecast costs and revenue before the transition period ends.

Impact on registered social workers: While the fees and levy are likely to increase annually, linking this to the CPI will provide certainty. We will consult on any proposed new fees, increases due to significant change projects, and if much higher levels of mahi are required that need significant funding.

Proposal 1 question: Do you agree SWRB should annually CPI (inflation) adjust the fees and levy to keep pace with inflation without doing public consultation? YES/NO – please tell us why.

Proposal 2: Pro rata practising certificate fee for a social worker who, before 1 July or after 30 September:

- is newly registered, or
- registered but returning to practise and has not been working as a social worker since their last certificate expired.

The full practising certificate fee applies for subsequent years

E.g. If registering and there's six months remaining before the next 1 July annual cycle, an individual who is newly registered or returns to practise would pay half the practising certificate fee, reflecting that they are only registered for six months of that annual cycle.

This change to introduce a pro rata fee can be undertaken under section 34 and set under section 108 of the Act. The proposed pro rata practising certificate fee will be a pro rata fee (based on quarterly periods), for the balance of the year before the next 1 July annual cycle.

| Registered or returns to practise between | Proposed pro rata of full fee | Proposed fee (based on the proposed increased practising certificate fee) |
|---|-------------------------------|--|
| 1 July – 30 September | Full (4/4) | \$470 |
| 1 October – 31 December | 3/4 | \$354 |
| 1 January – 31 March | 1/2 | \$236 |
| 1 April – 30 June | 1/4 | \$118 |

Policy rationale: Registration or return to practise before 1 July or after 30 September without the applicant having to pay the full practising certificate fee, in order to reduce barriers to entry.

Impact on registered social workers: Registered social workers paying the full practising certificate fee will be supporting social workers who are new to the register or returning to practise.

Proposal 2 question: Do you agree that social workers who, before 1 July or after 30 September, are new to the register, or registered and returning to practise and has not been working as a social worker since their last certificate expired, should pay a pro rata practising certificate fee with the fee divided into quarter periods? YES/NO – please tell us why.

Proposal 3: New graduate practising certificate fee is the same as other registered social workers

A new graduate is someone applying for their first practising certificate within 12 months of completing the requirements of a SWRB-recognised Aotearoa qualification

The new graduate practising certificate fee is currently \$100 lower than the full fee paid by already registered social workers. It recovers the cost of issuing a practising certificate, but only part of the cost of providing the regulatory system.

The fee is set under sections 108(1)(c) and (k) of the Act. Under the Auditor General and Treasury guidelines all registered social workers as a group should meet this cost.

New graduates will likely benefit from the pro rata fee (proposal 2), as they tend to register outside of the 1 July renewal round. Most new graduates enrol in the 6 months between graduation and 1 July.

Policy rationale: Under the mandatory regime, new graduates bring the same costs to the regulatory system as already registered social workers, so should be treated the same as them.

Alternative approach: Registered social workers paying the full practising certificate fee could cross-subsidise new graduates.

Proposal 3 question: Do you agree the fee should not be reduced for new graduates for their first year of practise, with other registered social workers paying the shortfall under the full practising certificate fee? YES/NO – please tell us why.

Section 2: New fees - Proposals 4 to 8

Proposal 4: Unpaid volunteer practising certificate fee (annual) \$370

An ‘unpaid volunteer’ is a registered social worker who does unpaid social work as a volunteer and has no paid work as a social worker or otherwise. Even if a registered social worker is doing social work as an unpaid volunteer only, they must hold a current practising certificate because the Social Workers Registration Act 2003 applies whether or not a registered social worker is paid for the social work they perform.

A new **lower** practising certificate fee for a registered social worker **doing unpaid voluntary social work and who have no other paid work as a social worker or otherwise, and a pro rata fee based on quarterly periods.** The fee is set under sections 108(1)(c) and (k) of the Act.

An unpaid volunteer has a proposed lower full practising certificate fee and can practise for less than 12 months and pay the proposed pro rata practising certificate fee as follows.

| Unpaid volunteer practising certificate fee | | | |
|---|---|----------------|--------------|
| | Certificate issued for a period of | Fee/ pro rata | Proposed fee |
| Full fee | 12 months (1 July – 30 June) | All 4 quarters | \$370 |
| Or pro rata fee | 9 months (any 3 of the quarters, e.g. 1 July – 30 September, 1 October - 31 December, and 1 January – 31 March) | Any 3 quarters | \$278 |
| | 6 months (any 2 of the quarters, e.g. 1 July – 30 September and 1 January – 31 March) | Any 2 quarters | \$185 |
| | 3 months (e.g. 1 April – 30 June) | Any 1 quarter | \$93 |

NOTE: If you have a practising certificate issued for a period (e.g. 1 quarter), then want to practise for longer in the 1 July annual cycle, you need to have your certificate issued again for a further period and pay the applicable fee

Policy rationale: Even if a registered social worker is doing unpaid social work as a volunteer, they must hold a current practising certificate as the Social Workers Registration Act 2003 applies whether or not a registered social worker is paid for undertaking social work.

The reduced and pro rata options are to recognise that unpaid volunteers who have no other paid work as a social worker or otherwise, mostly only do social worker volunteer mahi as part-time supervisors/mentors, are not often in client-facing roles, and may only practise for part of the year.

The number of unpaid volunteers is estimated to be low. **Because of the low numbers, the cross-subsidisation by those registered social workers paying the full practising certificate fee is minimal. This means that if this proposal does not proceed the practising certificate fee would not be reduced.**

We considered putting a limit on the hours worked per week, but that would:

- Be time consuming (and costly) to verify

- Result in boundary issues that leads to complaints, i.e. if set at 20 hours per week, those doing 21 hours might complain
- A disincentive to volunteers doing more hours than any limit.

Impact on registered social workers: Registered social workers paying the full practising certificate fee will be supporting registered social workers who do unpaid volunteer social work and who have no other paid work.

Proposal 4 questions: Do you agree registered social workers who do unpaid volunteer social work and have no other paid work as a social worker or otherwise, should pay a reduced practising certificate fee? YES/NO – please tell us why.

Proposal 5: Overseas applicant registration

- Overseas applicant provisional registration competence assessment application fee \$345
- Overseas applicant full registration competence assessment application fee \$345

The fees apply to a registration application by an applicant who has an overseas qualification, and does not have a SWRB-recognised Aotearoa qualification.

There are now two competence assessment application fees that only apply to overseas applicants and are set under section 108(1)(j) of the Act. The overseas qualifications assessment fee and registration application fee also applies. Under the Auditor General and Treasury guidelines the applicant should meet the cost.

The fees payable by overseas applicants are as follows. NOTE: If the applicant has been in Aotearoa for 6 months or more and has 2000 hours or more social work experience in Aotearoa they do not pay the provisional assessment fee.

| | | Overseas applicant type | | |
|----------------------------|---|---|---|---|
| | | Not in Aotearoa or in Aotearoa less than 6 months | In Aotearoa 6 months or more, and | |
| | | | Less than 2000 hours social work experience in Aotearoa | 2000 hours or more social work experience in Aotearoa |
| Application Fee (proposed) | Registration | \$360 | \$360 | \$360 |
| | Overseas qualifications assessment | \$540 | \$540 | \$540 |
| | Provisional registration competence assessment (per assessment) | \$345 | \$345 | Does not apply |
| | Full registration competence assessment (per assessment) | \$345 | \$345 | \$345 |
| | Total | \$1,590 | \$1,590 | \$1,245 |

Policy rationale: The fees recover the cost of overseas applicant's competence assessments.

Alternative approach: Registered social workers cross-subsidise this activity through a further increase in the practising certificate fee to support others in the profession.

Proposal 5 question: Do you agree the cost of competence assessments for overseas applicants should be met by the overseas applicant being assessed, and not be cross-subsidised by other registered social workers? YES/NO – please tell us why.

Proposal 6: Practising certificate late non-declaration processing fee \$140

Fee applies if declaration not received by SWRB within 60 days of the renewal first notification date

A new fee for processing late non-declarations set under section 108(1)(a) of the Act. Under the Auditor General and Treasury guidelines the social worker concerned should meet this cost.

Policy rationale: The fee recovers the cost of chasing up registered social workers who have not responded with a declaration of whether they are continuing to practise. We need to know if registered social workers are practising or not to ensure the register is accurate, and to ensure those practising hold a current practising certificate as required under the Act.

Chasing up continues for around 600 people from the recent practising certificate round and 400 more are noted on the register as 'no declaration received'.

Alternative approach: Other registered social workers could cross-subsidise this activity through a further increase in the practising certificate fee to support others in the profession.

Proposal 6 question: Do you agree the cost of chasing up registered social workers who have not responded with a declaration of whether or not they are continuing to practice be met by the registered social worker concerned, and not cross-subsidised by other registered social workers? YES/NO – please tell us why.

Proposal 7: Return to practise application fee \$345

Applies if the application is received by SWRB three years or more after the applicant's previous practising certificate expiry date

A new fee for return to practise three years or more after the applicant's practising certificate expiry and is set under section 108(1)(k) of the Act. Under the Auditor General and Treasury guidelines the applicant should meet this cost.

Policy rationale: The fee recovers the cost of checking a registered social worker's health, competence, and fitness to practise where their practising certificate expired three years or more ago.

Alternative approach: Other registered social workers cross-subsidise this activity through a further increase in the practising certificate fee to support others in the profession.

Proposal 7 question: Do you agree the cost of checking health, competence, and fitness to practise of a registered social worker who has not held a practising certificate for three years or more be met by the registered social worker applying, and not cross-subsidised by other registered social workers? YES/NO – please tell us why.

Proposal 8: Provisional to full registration application fee \$60

Applies to an applicant who is a provisionally registered social worker and has completed 2000 hours of practise and met any conditions on the applicant's provisional registration

A new fee for provisional to full registration set under section 108(1)(a) of the Act. Under the Auditor General and Treasury guidelines the applicant should meet this cost.

Policy rationale: The fee recovers the cost of assessing whether a provisionally registered social worker should move to full registration.

Alternative approach: Registered social workers could cross-subsidise this activity through a further increase in the practising certificate fee to support others in the profession.

Proposal 8 question: Do you agree the cost of assessing whether a provisionally registered social worker should move to full registration should be met by the social worker applying, and not cross-subsidised by registered social workers? YES/NO – please tell us why.

Section 3: Fees & disciplinary levy increases - Proposals 9 to 15

Proposal 9: Practising certificate fee (full – annual) increase from \$368 to **\$470**

Applies to a practising registered social worker for a practising certificate issued for 12 months from 1 July to 30 June each year

This fee is our main source of annual funding, which recovers the cost of issuing around 8,400 practising certificates a year and providing the regulatory system (including things like enhancing the professionalism of social workers and meeting our obligations to Māori, Pacific peoples and the diverse communities of Aotearoa).

The fee is set under sections 108(1)(c) and (k) of the Act. Under the Auditor General and Treasury guidelines registered social workers as a group should meet this cost. However, most employers pay this fee for social workers employed by them.

Policy rationale: The increase recovers the cost of additional capability and business support to meet our obligations under the Act under a mandatory regime. This includes functions funded by Government in the short-term, which need to be ongoing, e.g. communications & stakeholder engagement, support for IT systems.

If the practising certificate fee had been inflation adjusted since 2005 it would now be \$508. The lower proposed fee of \$470 has been achieved by process efficiencies due to the new digital systems, and by the practising certificate fee not cross-subsidising other regulatory activities.

Impact on registered social workers: Employers pay for the majority of registered social workers, either directly to SWRB or by reimbursement. SWRB is working with other agencies to encourage this to be done by all employers.

Proposal 9 questions: Do you agree the practising certificate fee should increase to enable SWRB to do more for registered social workers and provide the capability needed to meet SWRB's obligations under the Act for the mandatory regime? YES/NO – please tell us why.

Proposal 10: Disciplinary levy (annual) increase from \$100 to **\$135**

The levy recovers the cost of investigations and other proceedings concerning discipline and is set under section 109 of the Act. Under the Auditor General and Treasury guidelines registered social workers as a group should meet this cost. However, most employers pay the levy for social workers employed by them.

Policy rationale: The increase is to recover the cost of the:

- Higher volume of complaints and notifications
- Increased administrative support for PCCs and the Disciplinary Tribunal
- External costs of PCC cases and Disciplinary Tribunal hearings, including increased fees for PCC and Tribunal members and independent expert advisers and lawyers, which are externally driven.

If the levy had been retained at the \$90 set in 2005 and adjusted for inflation it would now be \$124.

The proposed increase to \$135 reflects the increasing volume in this area.

PCCs and the Disciplinary Tribunal are external bodies, but they are funded by SWRB. With higher numbers of complaints & notifications resulting in more PCC cases and Disciplinary Tribunal hearings, we have to recover the costs. This includes recovering the cost of:

- The additional administration support SWRB provides
- Increased external PCC and Tribunal member fees (noting that under the Act the Tribunal Chair and Deputy Chair must be practising lawyers, and lay members must be registered social workers)
- Independent expert and legal advice to PCCs and the Tribunal.

The table below shows the 2020-2021 approximate number of registered social workers and complaints and notifications received by SWRB, by employer. Note that:

- Unemployed registered social workers have not been assigned to an employer group
- For registered social workers, a figure is included for non-practising
- For complaints and notifications, the 'other' category for employer type is included to ensure individuals are not able to be identified.

| 2020-2021 approximate number of registered social workers, and complaints & notifications received by SWRB, shown by employer | | | | | | |
|---|-------|-----------------|-------|-------|----------------|--------|
| Employer | NGO | Oranga Tamariki | DHB | Other | Non-practising | Total |
| Registered social workers | 3,190 | 2,369 | 1,636 | | 1,687 | 10,596 |
| Complaints & notifications received by SWRB | 32 | 107 | 16 | 16 | | 170 |

Impact on registered social workers: Registered social workers support the reputation of the profession by having other registered social workers held to account on disciplinary matters.

Proposal 10 question: Do you agree the practising certificate fee should not cross-subsidise disciplinary matters? YES/NO – please tell us why.

Proposal 11: Registration application fee increase from \$345 to **\$360**

Applies to an applicant seeking to be a registered social worker. A new registration application fee must be paid if registration documents are not received by SWRB within 6 months of the application being received by SWRB.

The fee recovers the cost of assessing registration applications and is set under section 108(1)(a) of the Act. Under the Auditor General and Treasury guidelines the applicant should meet this cost. Many employers pay the registration application fee for social workers employed by them.

Policy rationale: The increase is to recover the cost of assessing applicants for registration now that we can more accurately assess the costs due to our new digital system.

If the fee had been retained at the \$450 set in 2005 and adjusted for inflation it would now be \$620. The proposed lower fee of \$360 reflects the efficiencies gained from the new digital system.

Alternative approach: Registered social workers could cross-subsidise this activity through a further increase in the practising certificate fee to support others join the profession.

Proposal 11 question: Do you agree the cost of assessing whether an applicant should be registered be met by the applicant, and not cross-subsidised by registered social workers? YES/NO – please tell us why.

Proposal 12: One Experience Pathway registration application fee \$3,570 (includes the external panel assessment and registration application fee)

Replacing the experience pathway stage 1 and 2 assessment application fees and registration application fee with one fee recognises that the experience pathway is one process and recovers the cost of assessing applications under section 13 and registration. Assessment uses digital technology to minimise costs, including by using Zoom and Microsoft Teams. However, most of the cost relates to fees for the two external expert panel members required to do the assessment.

The fee is set under section 108(1)(a) and 108(1)(k) of the Act. Under the Auditor General and Treasury guidelines the applicant should meet this cost. However, SWRB encourages employers and their contract funders to meet this cost for applicants.

Policy rationale: Currently, there is a stage 1 fee of \$276, stage 2 fee of \$1,400, and registration fee of \$345. The total amount payable being \$2,021. This is not recovering the cost of the process, which is being cross-subsidised by other registered social workers. The fee is to recover the cost of the work required, which can now be more accurately assessed due to our new digital systems.

Alternative approach: Registered social workers could cross-subsidise this activity through a further increase in the practising certificate fee to support others to become registered.

Proposal 12 questions: Do you agree the cost of registration through the experience pathway should be one fee, including the panel assessment and registration application? YES/NO – please tell us why.

Proposal 13: Overseas qualification assessment application fee increase from \$300 to **\$540**

Applies to a registration application by an applicant who has an overseas qualification, and does not have a SWRB-recognised Aotearoa qualification.

The fee recovers the cost assessing overseas applicant qualifications. The fee is set under section 108(1)(a) of the Act and is in addition to the registration application fee. Under the Auditor General and Treasury guidelines the applicant should meet this cost.

Policy rationale: The increase recovers the cost of the work required, which can now be more accurately assessed due to the new digital systems. To date this has been cross-subsidised by the practising certificate fee.

If the fee had been retained at the **\$540** set in 2005 and adjusted for inflation it would now be **\$745**. The proposed lower fee of **\$540** reflects the efficiencies gained from the new digital system.

Alternative approach: Other registered social workers could meet the funding shortfall and cross-subsidise this activity through a further increase in the practising certificate fee to support bringing others into the profession.

Proposal 13 question: Do you agree the cost of assessing the overseas qualification held by an applicant should be met by the overseas applicant and not cross-subsidised by registered social workers? YES/NO – please tell us why.

Proposal 14:

- **Competence review fee** if required by SWRB due to a complaint or notification increase from \$255.55 to **\$540 per review**
- **In-person competence review fee** if required by SWRB due to a complaint or notification and the registered social worker requests an in-person assessment increase from \$3,102.70 to a **maximum of \$3,330 per review**

The fee charged depends on the competencies involved and the process applied

Reasonable costs of travel, accommodation & meals incurred by SWRB are additional

Applies where the applicant has Aotearoa qualifications and SWRB requires a competence review due to a complaint or notification – each fee applies per review

The fee recovers the cost of the competence review, which can be required by SWRB due to a complaint or notification and is set under section 108(1)(j) of the Act. Under the Auditor General and Treasury guidelines the registered social worker should meet this cost.

Policy rationale: The increase recovers the cost of the work required, which can now be more accurately assessed due to the new digital systems. To date this has been cross-subsidised by the practising certificate fee.

Alternative approach: Registered social workers could cross-subsidise this activity through a further increase in the practising certificate fee to support others in the profession.

Proposal 14 question: Do you agree the cost of a competence review required by SWRB due to a complaint or notification should be met by the registered social worker, and not cross-subsidised by other registered social workers? YES/NO – please tell us why.

Proposal 15: Certificate of Good Standing or replacement hard copy registration certificate fee increase from \$46 to **\$70**

Applies to a request for a Certificate of Good Standing for overseas registration purposes or a hard copy of a registration certificate

The fee recovers the cost of providing the certificate and is set under section 108(1)(e) of the Act. Under the Auditor General and Treasury guidelines the applicant should meet this cost.

There is no charge for digital copies of practising certificates or registration certificates.

Policy rationale: The increase recovers the cost of the work required, which can now be more accurately assessed due to the new digital systems.

Alternative approach: Registered social workers could cross-subsidise this activity through a further increase in the practising certificate fee to support others in the profession.

Proposal 15 question: Do you agree the cost of certificate copies should be met by the applicant, and not cross-subsidised by other registered social workers? YES/NO – please tell us why.

Section 4: Education provider fees increases - Proposals 16 and 17

Proposal 16: Education programme recognition application fee (one-off fee paid by education provider) increase from up to \$29,900 to **up to \$35,000**

Fee paid by education providers applying to have a new education programme recognised by SWRB

The fee recovers the cost of recognising or prescribing New Zealand education programmes (which are new) under section 99(1)(f). The fee is set under section 108(1)(k) of the Act and paid by the education provider. Under the Auditor General and Treasury guidelines the education provider should meet this cost.

Policy rationale: The name of the fee changes from “education programme recognition and re-recognition fee” to “education programme recognition application fee” to reflect what it is for.

The increase recovers the cost of the mahi required. New education programmes occur infrequently.

The fee will be reassessed once the programme recognition standards and education framework review is complete. Any proposed changes to the standards, framework, or fee, will be included a future consultation process.

Alternative approach: Registered social workers could cross-subsidise this activity through a further increase in the practising certificate fee to support education providers.

Proposal 16 questions: Do you agree the:

1. Fee name should change? YES/NO – please tell us why.
2. Increased costs should be met by education providers? YES/NO – please tell us why.

Proposal 17: Education programme annual fee (paid by education providers) increased cap from up to \$10,350 to **up to \$15,000**

Annual fee paid by education providers charged on a sliding scale of three bands, which are based on the number of equivalent full-time students (EFTS) graduating with social work degrees in the previous year. The fee recovers the cost of SWRB’s education programme function, e.g. programme re-recognitions, mid-cycle reviews, programme change consultation, education survey, guidance, research, stakeholder and cross-agency engagement, and overheads

The fee recovers the cost of re-recognising Aotearoa educational qualifications under section 99((1)(f) and consultation with providers of social work education and training in Aotearoa and bodies that set those standards and training under section 99(1)(i).

The fee is charged on a sliding scale of three bands, which are based on the number of equivalent full-time students (EFTS) graduating with social work degrees in the previous year. This was consulted on with education providers in 2019.

The fee is set under section 108(1)(k) of the Act. Under the Auditor General and Treasury guidelines education providers as a group should meet this cost.

The proposal is that:

- The name of this fee changes from “education programme accreditation mid-cycle fee” to “education programme annual fee” to reflect what it is for. It moves the mid-cycle and re-recognition fee to an annual levy to recover that cost and the cost of our engagement and other mahi with education providers.
- The fee cap is raised to allow for the annual fee to increase only if student numbers rise.

Policy rationale: The name change reflects what the fee is for, and the increased cap recovers the cost of the work required, e.g. programme re-recognitions, mid-cycle reviews, consultation on programme changes, education survey, problem solving, advice, engagement.

The fee will be reassessed once the programme recognition standards and education framework review is completed. The review will include consultation with education providers and others. Any proposed changes to the standards, framework, or fee, will be included a future consultation process.

Alternative approach: Registered social workers could cross-subsidise this activity through a further increase in the practising certificate fee to support education providers.

Proposal 17 questions: Do you agree the:

1. Fee name should change? YES/NO – please tell us why.
2. Increased costs should be met by education providers? YES/NO – please tell us why.

What happens if the proposals do not proceed?

Reduced SWRB regulatory functions

If the proposals above do not proceed, due to the cost-recovery model under the Auditor General and Treasury guidelines and the requirements in our Act for setting fees and the levy, it is likely that SWRB would not be able to meet its all of its obligations under the Act.

The above approach is inconsistent with promoting and encouraging social worker professionalism, which is intended by the move to the mandatory regime.

It also increases regulatory failure risk. Lessons from regulatory failures like Pike River, leaky buildings, and Waka Kotahi's third-party oversight practices have prompted a growing focus on a risk based, adaptive approach to regulation and oversight, and has increased regulatory stewardship expectations placed on regulators, including SWRB.

Reduced SWRB regulatory functions impacts registered social workers

If the proposals above do not proceed, SWRB's reduced regulatory functions will likely the impact registered social workers as follows.

Registered social workers paying the practising certificate fee continue to cross-subsidise activities provided to individual registered social workers, such as registration of overseas and experience pathway applicants, who under the Treasury and Auditor General guidelines should meet the cost.

Registered social workers who are notified to SWRB, or who a complaint is made about, may not be held accountable and continue to practise, negatively impacting the profession's reputation.

Dealing with us is more time consuming, we are less responsive, and there are few opportunities to enhance social worker professionalism due to:

- Reduced use of digital channels as the current level cannot be supported and no communications and stakeholder engagement resources.
- Limited resource to be an active partner with Māori to meet SWRB's obligations under Te Tiriti o Waitangi and section 100 of the Act and to seek the views of Pacific peoples and cultural groups in Aotearoa to meet SWRB's obligations under section 101 of the Act.
- Reduced resource to promote and encourage high standards of practice and professional conduct among registered social workers and the employers of registered social workers to meet SWRB's obligations under section 99 of the Act.

Table of proposed fees and disciplinary levy

| Fees and the disciplinary levy (\$ incl GST) | Proposal number | Current | Proposed |
|--|-----------------|---------|---------------------|
| Registration application fee <i>Applies to an applicant seeking to be a registered social worker. A new registration application fee must be paid if registration documents are not received by SWRB within six months of the application being received by SWRB.</i> | 11 | \$345 | \$360 Increase |
| Experience Pathway registration application fee <i>Applies to an application by an applicant who does not have a SWRB-recognised Aotearoa qualification or an overseas qualification, and includes the panel assessment and registration application fee.</i> | 12 | \$2,021 | \$3,570 Increase |
| Overseas applicant: qualification assessment fee <i>Applies to an application by an applicant who has an overseas qualification and does not have a SWRB-recognised Aotearoa qualification.</i> | 13 | 300 | \$540 Increase |
| Overseas applicant: provisional registration competence assessment application fee <i>Applies to an application by an applicant who has an overseas qualification and does not have a SWRB recognised Aotearoa qualification. This fee does not apply to an applicant who has been in Aotearoa six months or more and has 2000 hours or more social work experience in Aotearoa.</i> | 5 | - | \$345 New |
| Overseas applicant: full registration competence assessment application fee <i>Applies to an application by an applicant who has an overseas qualification and does not have a SWRB recognised Aotearoa qualification.</i> | 5 | - | \$345 New |
| Provisional to full registration application fee <i>Applies to an applicant who is a provisionally registered social worker and has completed 2000 hours of practise and met any conditions on the applicant's provisional registration.</i> | 8 | - | \$60 New |
| Practising certificate fee (annual) <i>Applies to a practising registered social worker for a practising certificate issued for 12 months from 1 July to 30 June each year.</i> | 9 | \$368 | \$470 Increase |

| Fees and the disciplinary levy (\$ incl GST) | Proposal number | Current | Proposed | | | | | | | | | | | | | |
|--|--|-----------------------------------|-------------------------|---|--|-------|--|--|-------|--|---|---|------|---|-------|--|
| <p>Pro rata practising certificate fee <i>Applies to a social worker who, before 1 July or after 30 September:</i></p> <ul style="list-style-type: none"> • <i>is newly registered, or</i> • <i>registered but returning to practise and has not been working as a social worker since their last certificate expired.</i> <p><i>The full practising certificate fee applies for subsequent years.</i></p> <table border="1" data-bbox="147 413 925 571"> <thead> <tr> <th>Registered or returns to practise between</th> <th>Pro rata</th> </tr> </thead> <tbody> <tr> <td>1 October – 31 December</td> <td>\$354</td> </tr> <tr> <td>1 January – 31 March</td> <td>\$236</td> </tr> <tr> <td>1 April – 30 June</td> <td>\$118</td> </tr> </tbody> </table> | Registered or returns to practise between | Pro rata | 1 October – 31 December | \$354 | 1 January – 31 March | \$236 | 1 April – 30 June | \$118 | 2 | \$368 | <p>Pro rata fee as quarterly periods (based on the proposed increased practising certificate fee), for the balance of the year before the next 1 July annual cycle</p> <p>Change in approach</p> | | | | | |
| Registered or returns to practise between | Pro rata | | | | | | | | | | | | | | | |
| 1 October – 31 December | \$354 | | | | | | | | | | | | | | | |
| 1 January – 31 March | \$236 | | | | | | | | | | | | | | | |
| 1 April – 30 June | \$118 | | | | | | | | | | | | | | | |
| <p>Unpaid volunteer practising certificate fee (annual) <i>An 'unpaid volunteer' is a registered social worker who does unpaid social work as a volunteer and has no paid work as a social worker or otherwise. Even if a registered social worker is only doing social work as an unpaid volunteer, they must hold a current practising certificate because the Social Workers Registration Act 2003 applies whether or not a registered social worker is paid for the social work they perform.</i></p> <table border="1" data-bbox="147 812 1357 1230"> <thead> <tr> <th></th> <th>Practising certificate issued for</th> <th>Proposed fee</th> </tr> </thead> <tbody> <tr> <td>Unpaid volunteer practising certificate full fee</td> <td>12 months (full 4 quarters, i.e. 1 July – 30 June)</td> <td>\$370</td> </tr> <tr> <td rowspan="3">Or pro rata unpaid volunteer practising certificate fee Certificate issued for a period of</td> <td>9 months (any 3 quarters, e.g. 1 July – 30 September, 1 October - 31 December, and 1 January – 31 March)</td> <td>\$278</td> </tr> <tr> <td>6 months (any 2 quarters, e.g. 1 July – 30 September and 1 January – 31 March)</td> <td>\$185</td> </tr> <tr> <td>3 months (any one quarter e.g. 1 April – 30 June)</td> <td>\$93</td> </tr> </tbody> </table> <p>NOTE: If you have a practising certificate issued for a pro rata period (e.g. 1 quarter), then want to practise for longer within the 1 July annual cycle, you need to have your certificate issued again for that further period and pay the applicable fee.</p> | | Practising certificate issued for | Proposed fee | Unpaid volunteer practising certificate full fee | 12 months (full 4 quarters, i.e. 1 July – 30 June) | \$370 | Or pro rata unpaid volunteer practising certificate fee Certificate issued for a period of | 9 months (any 3 quarters, e.g. 1 July – 30 September, 1 October - 31 December, and 1 January – 31 March) | \$278 | 6 months (any 2 quarters, e.g. 1 July – 30 September and 1 January – 31 March) | \$185 | 3 months (any one quarter e.g. 1 April – 30 June) | \$93 | 4 | \$368 | <p>Reduced full fee of \$370 or pro rata fee as quarterly periods</p> <p>Change in approach</p> |
| | Practising certificate issued for | Proposed fee | | | | | | | | | | | | | | |
| Unpaid volunteer practising certificate full fee | 12 months (full 4 quarters, i.e. 1 July – 30 June) | \$370 | | | | | | | | | | | | | | |
| Or pro rata unpaid volunteer practising certificate fee Certificate issued for a period of | 9 months (any 3 quarters, e.g. 1 July – 30 September, 1 October - 31 December, and 1 January – 31 March) | \$278 | | | | | | | | | | | | | | |
| | 6 months (any 2 quarters, e.g. 1 July – 30 September and 1 January – 31 March) | \$185 | | | | | | | | | | | | | | |
| | 3 months (any one quarter e.g. 1 April – 30 June) | \$93 | | | | | | | | | | | | | | |

| Fees and the disciplinary levy (\$ incl GST) | Proposal number | Current | Proposed |
|---|-----------------|----------------|----------------------------|
| Practising certificate late non-declaration processing fee <i>Applies if the declaration is not received by SWRB within 60 days of SWRB's renewal first notification date.</i> | 7 | - | \$140 New |
| Return to practise application fee <i>Applies if the application is received by SWRB 3 years or more after the applicant's previous practising certificate expiry date.</i> | 7 | - | \$345 New |
| Disciplinary levy (annual) <i>Applies to a practising registered social worker.</i> | 10 | \$100 | \$135 Increase |
| Education programme recognition vetting fee <i>Applies to education providers seeking SWRB recognition of an Aotearoa education programme.</i> | 16 | Up to \$29,900 | Up to \$35,000 Increase |
| Education programme annual fee <i>Applies to education providers of a SWRB-recognised Aotearoa qualification.</i> | 17 | Up to \$10,350 | Up to \$15,000 Increase |
| Competence review fee if SWRB requires due to a complaint or notification <i>Applies where the applicant has Aotearoa qualifications and SWRB requires a competence review due to a complaint or notification – fee applies per review.</i> | 14 | \$255.55 | \$540 Increase |
| In-person competence review fee if required by SWRB due to a complaint or notification and the registered social worker requests an in-person assessment. Fee charged depends on competencies involved and process applied. Reasonable costs of travel, accommodation & meals incurred by SWRB are additional. <i>Applies where the applicant has Aotearoa qualifications and SWRB requires a competence review due to a complaint or notification – fee applies per review.</i> | 14 | \$3,102.70 | Up to \$3,330 Increase |
| Certificate of Good Standing or hard copy registration certificate fee <i>Applies to a request for a Certificate of Good Standing for overseas registration purposes or a hard copy of a registration certificate. There is no charge for digital copies of practising certificates and registration certificates.</i> | 15 | \$46 | \$70 Increase |

PART 5

Process for setting the fees and disciplinary levy

The fees and disciplinary levy are set by the Board and imposed by a Gazette Notice under sections 108 and 109 of the Social Workers Registration Act 2003.

The current Fees and Disciplinary Levy Notice 2021 is ongoing unless changed by the Board.

Here is a summary of what a charge can be set for and who pays:

| Type of fee or levy set |
|--|
| Fees: Recover the cost of an activity SWRB provides directly to an individual registered social worker or education provider. Paid by the individual registered social worker (or their employer on their behalf) or an education provider, as applicable. |
| Practising Certificate fee: Is paid by a registered social worker (or their employer on their behalf) who wishes to practise, and annually to continue to practise. Recovers the cost of processing the application, and the balance recovers the cost of SWRB's functions. |
| Education provider fee: Paid by education providers annually to recover the cost of SWRB's functions attributable to them. |
| Disciplinary levy: Paid annually by registered social workers. Recovers the cost of complaints & notifications and disciplinary proceedings. |

To ensure appropriate funding for volume changes, priority areas of work, and cost pressures, we reviewed the fees and disciplinary levy applying the Auditor General and Treasury guidelines on setting charges in the public sector.

See [Part 9](#) for fee and levy sections of the Act, setting charges in the public sector, developing the proposals, our assessment applying the Auditor General and Treasury guidelines, and SWRB's functional areas and funding sources.

One-off issues this review considered

The one-off issues set out below need to be addressed in accordance with the Auditor General¹ and Treasury² guidelines. These issues relate to setting the fees and levy to **recover costs from the right source, at the right level, and at the right time**, so they are appropriate and the assumptions on which they are based are valid and relevant (e.g. volume, demand, and cost increases).

¹ Auditor General Setting and administering fees and levies for cost recovery: Good practice guide August 2021 <https://oag.parliament.nz/2021/fees-and-levies>

² Treasury Guidelines for setting charges in the public sector April 2017 <http://www.treasury.govt.nz/publications/guidance/planning/charges>

Many charges have reduced since 2005

Many fees and the disciplinary levy have reduced since 2005 (except for the GST increase from 12.5% to 15% in October 2010).

Below is the position for our main revenue sources. The decrease in the fees in **red** below has also contributed to the revenue gap.

| Year (including GST) | Practising Certificate Fee | Disciplinary Levy | Registration fee (Aotearoa applicant) | Registration fee (overseas applicant) |
|--|----------------------------|-------------------|---------------------------------------|---------------------------------------|
| 2005 -2008 | \$360 | \$90 | \$450 | \$540 |
| 2009 | \$360 | \$90 | \$360 | \$360 |
| 2010 Jul -Sep | \$360 | \$0 | \$360 | \$360 |
| 2010 Oct – Jun to 2015 (GST change in 2010 from 12.5% to 15%) | \$368 | \$0 | \$368 | \$368 |
| 2016 to 2018 | \$368 | \$0 | \$345 | \$345 |
| 2019 & 2020 | \$368 | \$50 | \$345 | \$345 |
| 2021 | \$368 | \$100 | \$345 | \$345 |
| Proposed 2022 | \$470 | \$135 | \$360 | \$540 |

Current charges have not been inflation adjusted since 2005

If the fees and levy had kept pace with inflation since 2005, they would be significantly higher. This also explains SWRB's struggle to provide the resource needed for regulatory functions.

| Examples of what the amount would be if the fee or levy had been inflation adjusted since 2005 | | | | |
|--|----------------------------|--|---|---|
| Current vs inflation (CPI) adjusted | Practising Certificate Fee | Disciplinary Levy | Registration fee (Aotearoa applicant) | Registration fee (Overseas applicant) |
| Current 2020 | \$368 | \$50 (reinstated in 2019, then increased to \$100 in 2021) | \$345 (was \$450 in 2005) | \$345 (was \$540 in 2005) |
| Inflation (CPI) adjusted to 2021 Quarter 2* | \$508 | \$124 (if retained at the 2005 \$90) | \$620 (if retained at the 2005 \$450) | \$745 (if retained at the 2005 \$540) |

*[Inflation calculator - Reserve Bank of NZ \(rbnz.govt.nz\)](https://www.rbnz.govt.nz/inflation-calculator)

The increase in registered social workers does not provide a surplus because under Government's cost recovery model there is no profit margin, and the increase does not provide the scale to deliver economic efficiencies for fixed costs. This is because, for instance:

- Registration activity increases with each transaction, which is cost recovered for the cost of each transaction
- Practising certificate application processing is only part of the cost. As our operations levy, the rest recovers the cost of the regulatory system for example: providing regulatory and practice advice, answering queries, developing policy with the sector, and the higher levels of infrastructure, business operations, and communications & stakeholder engagement to deal with increased numbers of registered social workers.

Addressing cross-subsidisation

We propose that the practising certificate fee (as our operations levy) no longer cross-subsidises activities.

Under the Auditor General and Treasury guidelines the costs of an activity provided directly to an individual registered social worker should be recovered by a fee for that activity, not the practising certificate fee as our operating levy. This means fees for some activities need to be established and others need to increase, e.g. fees for overseas and experience pathway registration applications.

The cross-subsidisation of these activities by the practising certificate fee has contributed to constrained capability in other regulatory functions, which is limiting our ability to meet our obligations under the Act.

See [Part 9](#) for our assessment of economic characteristics and funding sources for regulatory functions applying the Auditor General and Treasury guidelines.

Recovering the cost of our business operations functions

Greater use of digital systems, doing additional work under the mandatory regime, and providing higher quality and timely interactions, means our business operations costs have increased.

This cost relates to software licences, database support and maintenance, use of improved and higher levels of data to inform our activities, support for our finance and invoicing system and processes, updating our financial model, social media content development, and coordination of sector engagement.

Part 6

Comparison of fees and levies by occupation

Our practising certificate fee and disciplinary levy combined is currently the lowest annual fee charged for the regulated professions below.

Even after the proposed increase, SWRB would have the third lowest annual combined practising certificate fee and disciplinary levy of the seven other regulators looked at, that have a register size of between 3,500 and 10,000 people.

If the practising certificate fee and disciplinary levy set in 2005 had been inflation adjusted each year as many other regulators do, the combined annual amount would now be **\$632**. In this sense, at **\$605** the combined annual total is less than the increase in inflation since 2005. Also, the mandatory regime

for the other professions is well-established, unlike for social workers where it came into effect from February 2021.

We have not included the Nursing Council (60,000+ register) and Teaching Council (100,000+ register) in the comparison table because:

- Such large registers provide some scale efficiencies that are not possible for SWRB
- SWRB has additional obligations under its Act than those required of the Nursing and Teaching Councils.

While registered nurses and teachers currently have lower fees, their regulators are needing to increase them too. The comparison of the most common fees and the Disciplinary levy (including GST) by occupation is set out below.

| Comparison of most common fees and Disciplinary Levy (\$ incl. GST) by occupation | | | | | | |
|--|---------------------------|----------------------------|--|-----------------------------|----------------------------|--------------------------|
| Professional occupation | Current date (on website) | Registration fee (one off) | Practising certificate fee (annual) | Non-practising fee (annual) | Disciplinary Levy (annual) | Total annual (PC & Levy) |
| Registered social worker | May 2021 | \$345 | \$368 | -** | \$100 | \$468 |
| | Proposed | \$360 | \$470 | -** | \$135 | \$605 |
| Physiotherapist | April 2020 | \$354 | \$555.50* Late renewal \$782.20* | \$60 | \$135* | \$555.50 |
| Occupational Therapist | Sept 2020 | \$230 | \$500* | \$57 | \$20* | \$500 |
| Dietitian | 2020/21 | \$300 | \$625 Late renewal \$825 | \$90 | - | \$625 |
| Chiropractor | 2020 | \$153 | \$1,244.80* | \$150 | \$241.55* | \$1,244.80 |
| Optometrist (dispensing) | 2020 | \$265 | \$747* | \$100 | \$37* | \$747 |
| Pharmacist (non-prescriber) | Feb 2020 | \$550 | \$800.62 | \$91.34 | \$93.61* | \$800.62 |
| Dental Hygienist | April 2021 | \$579.59 | \$1,047.68 | \$134.45 | \$12.48* | \$1,047.68 |

* Disciplinary levy is included in the practising certificate fee

** Around 25% of people on SWRB's register are non-practising

PART 7

Our funding since 2018/19 and indicative revenue based on the proposals

Short-term Government funding was provided (\$1.22m in 2019/20 and \$677,000 in 2020/21) to help with our new database and an information campaign for mandatory registration. This funding has ended. We also had \$605,000 in Government funding in 2020/21 and have \$705,000 in 2021/22 to undertake our staged approach to delivering social worker workforce planning. In addition, we have continuing Government funding of \$114,000 to assist with meeting our Crown entity obligations.

If the proposals for the fees and disciplinary levy proceed, indicative revenue from fees, the disciplinary levy, Crown funding, and interest & sundry to recover our costs from 2022/23 is \$5.860m. This is an increase from 2021/22 revenue of \$801,000 from fees and the disciplinary levy, and of \$100,000 from Crown funding for workforce planning.

| SWRB revenue \$ Million | | | | | |
|--|----------------|------------------|---|------------------|--------------------|
| * Figure includes workforce planning Government funding and expenses | 2018/19 Actual | 2019/2020 Actual | 2020/21 Forecast revenue as at March 2021 | 2021/22 Forecast | 2022/23 Indicative |
| Revenue (GST exclusive) From fees, Disciplinary Levy, Crown funding, and interest & sundry | 2.365 | 5.471* 4.251* | 5.146* | 4.950* | 5.860* |
| Expenses (including staff salaries) | 2.464 | 3.637* | 5.286* | 5.191* | 5.726* |
| Revenue less expenses | (0.099) | 0.614 | (0.140) | (0.242) | 0.134 |
| Reserves (To cover short-term variations in revenue and economic shocks) | 0.480 | 0.500 | 0.953 | 0.712 | 0.846 |

NOTE: 2018/19 to 2020/21 revenue figures also include the short-term Government funding, which helped us with our new database and information campaign for mandatory registration.

PART 8

Our regulatory functions

We've reviewed our regulatory functions for our new business-as-usual under the mandatory regime. The **boxes and words in orange** are where capability is constrained.



The mahi required and funding source for each of SWRB's regulatory functions

| | | | | | |
|--|--|--|----------------------------|---|--|
| Regulation & Compliance | Fees for transactional activities Practising Certificate fee Disciplinary Levy | Sector Support & Engagement | Practising Certificate fee | Strategy, Planning & Performance | Practising Certificate fee Crown funding supports some Crown entity obligations |
| <p>Professional standards advisory Assessments of social worker health, competence (Aotearoa, overseas, Māori), fit & proper person, practical experience Advice to social workers & employers</p> <p>Registration & certification Applications for registration Assessments of social worker health, competence (Aotearoa, overseas, Māori), fit & proper person, practical experience Assessing & issuing Practising Certificates Advice to social workers & employers</p> <p>Complaints assessment and advisory Complaints & notifications assessments Professional Conduct Committee advice & administration Support for the Board complaints sub-committee Disciplinary Tribunal support (administration outsourced)</p> | | <p>Communications Stakeholder engagement Relationship management External and internal comms Website content development & maintenance Publications</p> <p>Information & compliance marketing campaigns</p> <p>Education Programme recognitions & reviews Advice to students, social workers, employers, & education providers</p> <p>Social worker audits Targeted audits of social workers Assisted compliance Guidance for social workers & employers</p> | | <p>Advice to the Board Annual Report Funding reviews Crown entity obligations:</p> <ul style="list-style-type: none"> ▪ Statement of Intent ▪ Statement of Performance Expectations ▪ Letter of Expectations with Minister ▪ Ministerial reporting ▪ Performance monitoring & reporting requirements with MSD ▪ Appearing before Parliamentary Committees ▪ Responding to OIAs & ministerials | |
| Māori Development | Practising Certificate fee | Business Support | Practising Certificate fee | Policy & Workforce Planning | Practising Certificate fee Crown funding for workforce planning |
| <p>Active Partner with Māori Advice to Ministers Strategy & policy development Sector & stakeholder engagement Support & mechanisms for competence to work with Māori</p> | | <p>Board secretariat</p> <p>Business operations Finance Legal Procurement IT, database, & information management Work programme & project management Property management HR recruitment, contracts, payroll & training</p> | | <p>Policy Advice to Ministers & MSD Strategic policy development Education framework Operational policy Reviews of the Act</p> <p>Research, surveys & data analysis</p> <p>Workforce planning (designated lead agency)</p> | |

How we work with the Minister

We provide advice to assist the Minister of Social Development (who is also directly supported by officials at the Ministry of Social Development (MSD) on:

- Board member appointments
- Independent Social Worker Disciplinary and Complaints Tribunal Chair and Deputy Chair (must be practising lawyers), social worker members, and lay members appointments
- Monitoring of our operations, performance and managing associated risks
- Setting our priorities in the annual Ministerial Letter of Expectations
- Reviewing and approving our Statement of Performance Expectations and Statement of Intent (drafted by us)
- Feedback on our Annual Report (drafted by us)
- Presenting the above Crown entity documents to the House of Representatives
- Presenting the Board's Fees Notice to the House of Representatives for Gazetting

Our Board Chair and Chief Executive typically meet with the Minister quarterly, and provide the Minister's office with:

- [Quarterly reports](#) – on progress against priorities and operational activities, including financial information
- [Briefings](#) – on events, issues management, and key operational policy decisions

From time to time we have meetings with other Ministers such as the Minister for Children.

Our work with MSD

MSD is our Crown entity monitoring agency and works with us on policy advice to the Minister and others. We meet regularly with MSD and work closely with MSD's:

- [Strategy and Performance team](#) – on our accountability reporting and other obligations under the Crown Entities Act 2004
- [Policy team](#) – for input to policy on social work and wider social services sector, legislative settings, and workforce planning

Our sector leadership role and engagement

Social Work Alliance leadership role

We have a sector leadership role to support the Social Work Alliance.

The Alliance worked closely with MSD in 2018 and 2019 on the amendments to the Act

Cross-sector representative body of social workers and peak bodies
Connects the sector and provides opportunities for feedback on significant policy development
Members include major social work employers, education providers, professional organisations, and the Public Service Association

Organisations we engage with

- Aotearoa New Zealand Association of Social Work
- Tangata Whenua Social Workers Association
- Ministry of Education
- Oranga Tamariki
- District Health Boards
- NGOs

- Ministry of Health
- New Zealand Qualifications Authority
- Tertiary Education Commission
- Committee on University Academic Programmes
- Office of the Children’s Commissioner
- Council of Social Work Educators

Government’s priorities for Aotearoa

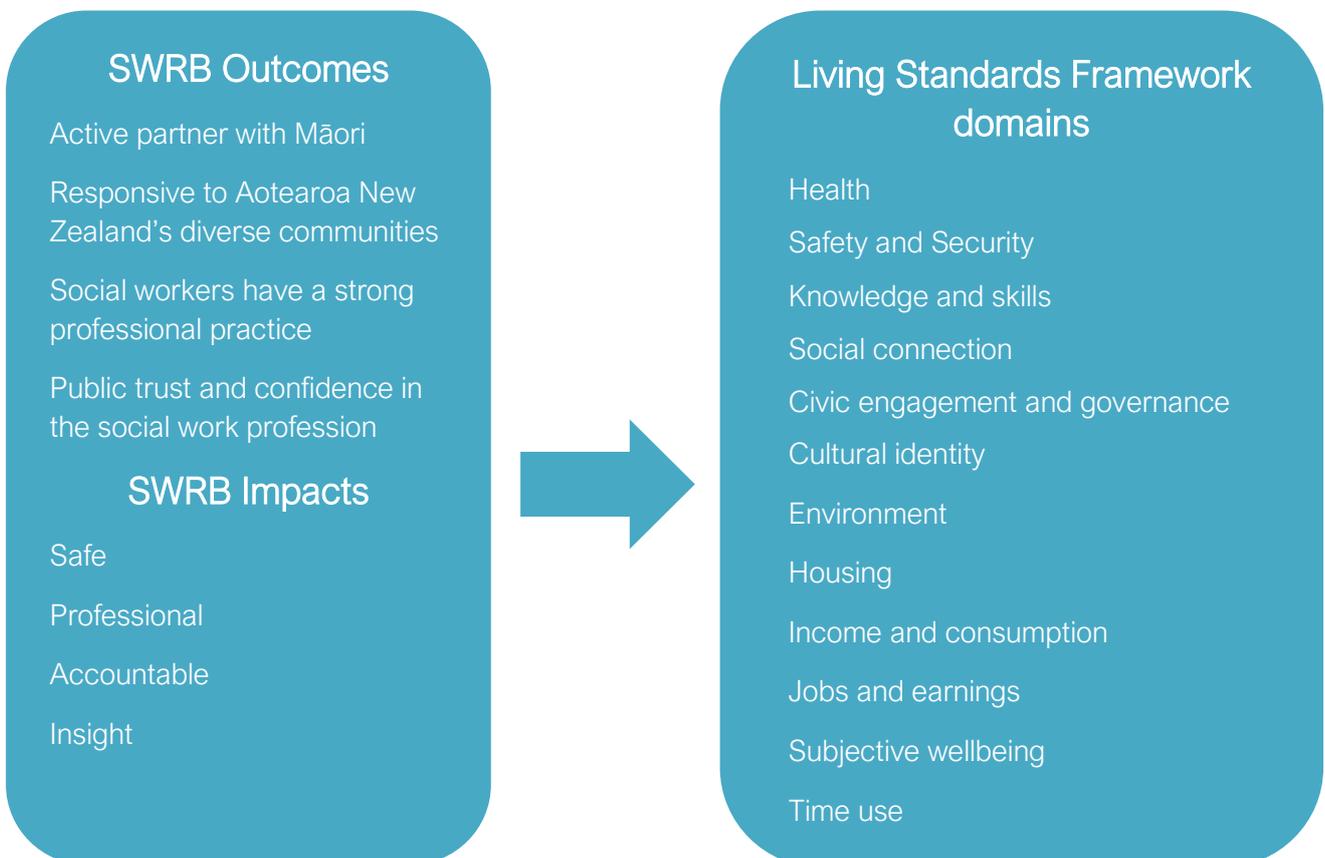
The Government has three overarching priorities for Aotearoa:

- To keep New Zealanders safe from COVID-19
- To accelerate our recovery and rebuild
- To tackle our foundational challenges, in particular, housing affordability, climate change and child wellbeing.

SWRB’s vision that *Registered social workers in Aotearoa are accountable, recognised, and valued* supports the governments priorities. The Minister for Social Development and Employment also provides SWRB with an annual letter of expectations.

The Living Standards Framework

Treasury’s Living Standards Framework is a model for measuring the wellbeing of Aotearoa and the people living in it. We contribute primarily through two domains: Health and Safety and Security, with secondary contributions to Knowledge and Skills, Social Connection, and Civic Engagement and governance.



PART 9

Fee and levy sections under the Act

Social Workers Registration Act 2003

Section 108 Board may set fees

- (1) The Board may from time to time, by notice in the Gazette, set fees payable in respect of the following matters:
 - (a) applications for registration:
 - (b) additions or alterations to the Register:
 - (c) the issue of practising certificates:
 - (d) the issue of other certificates:
 - (e) the issue of copies of certificates:
 - (f) the supply of a copy of an entry in the Register:
 - (g) inspecting the Register, or any other document kept by the Board that is open for inspection:
 - (h) supplying to any registered social worker any document, other than a certificate of registration, required by him or her for the purpose of seeking registration overseas:
 - (i) sitting any examination set or assessment recognised by the Board:
 - (j) the setting and conduct of competence assessments:
 - (k) any other matter relating to anything the Board is required to do in order to carry out its functions.
- (2) The notice may exempt people of any kind or description from liability to pay any fee, and may provide for the waiver or refund of any fee.

Section 109 Disciplinary Levy

- (1) The Board may from time to time, by notice in the Gazette, impose on every registered social worker a levy of any amount it thinks fit for the purpose of investigations and other proceedings concerning discipline under this Act.
- (2) The notice may exempt people of any kind or description from liability to pay the levy, and may provide for the waiver or refund of the levy.

Setting charges in the public sector

We've applied the Auditor General and Treasury guidelines

We are a **Crown entity**, so we are part of government. This means we must apply current government policy settings under the Auditor General³ and Treasury guidelines.⁴

We have applied these guidelines to the proposals. Under those guidelines, fees and levies need to be reviewed regularly to ensure they remain appropriate, and the assumptions on which they are based remain valid and relevant (e.g. to volume, demand, and cost increases).

³ Auditor General Setting and administering fees and levies for cost recovery: Good practice guide August 2021 <https://oag.parliament.nz/2021/fees-and-levies>

⁴ Treasury Guidelines for Setting Charges in the Public Sector April 2017 <http://www.treasury.govt.nz/publications/guidance/planning/charges>

Both guidelines broadly instruct that fees and levies should:

- Be no more than the amount necessary to recover costs
- Be authorised under legislation
- Not be used to cross-subsidise other activities or functions
- Be based on the principles of equity, efficiency, justifiability and transparency.

Note that under the Auditor General guidelines, setting a fee or levy that recovers more than the costs of providing the activity or function could be viewed as a tax.

Unless expressly authorised by statute, this would breach the constitutional principle that Parliament's explicit approval is needed to impose a tax.⁵ Accordingly, any authority given to SWRB under the Social Workers Registration Act 2003 to charge a fee or levy is implicitly capped at the level of cost recovery. For example, specific Government direction or legislative authority is required to set a fee that recovers more than the cost of providing the activity over the short to medium term – to generate additional revenue, impose a penalty, limit access to or demand for a service, or meet social objectives.

Also, SWRB should not recover a significant deficit from a previous period of under-recovery. To do so would result in current registered social workers being charged more than the costs of providing the activity or function in the short to medium term, or in a lack of equity between current and future registered social workers.

Four principles under the Auditor General and Treasury guidelines

We determine who should fund costs in accordance with the four principles under the Auditor General and Treasury guidelines and consider the following questions.

Equity – SWRB's regulatory functions are funded by those who use them or cause the need for them, and the fees and levy are administered and managed in a way that is administratively fair.

- What is the purpose of the activity or function? Are they designed to deliver benefits or manage risks? What are these benefits and risks?
- If the activity or function is designed to deliver benefits or reduce risks, which individuals or groups primarily benefit or causes the risk?
- Is the activity or function best characterised as a private, club or public good?
- Is it administratively efficient to charge the individuals or group identified?

Efficiency – SWRB delivers to high standards at a sustainable cost

- Are as many regulatory functions delivered to the required level of quality as possible from a given quantity of resources that achieves value for money?
- Are the fees and levy structured in a way that closely reflects the costs needed to deliver the regulatory functions?
- How much effort needs to be put into determining the costs? Sometimes the most accurate costing is more effort and generates more costs than the cost of the regulatory functions.

Justifiability – SWRB only recovers the costs (including a portion of overheads) of delivering the activity or function, and where possible, eliminates cross-subsidisation

⁵ See section 22(a) of the Constitution Act 1986

Transparency – SWRB has information about funding decisions, costs and charges as part of its Crown entity reporting, and more detail is available on request

Private, club and public goods in the context of SWRB's as a regulator

Mechanisms generally used to fund regulatory functions include:

- **Private goods:** Where fees can be imposed on a specific individual or organisation for a good, activity or regulation directly provided to or directly benefiting that individual or organisation. These types of fees must be set at no more than the amount necessary to recover the cost attributable to providing the private good.
- **Club goods:** Most funding of the regulatory system occurs through levies that are spread across groups of people who are the primary risk exacerbators and who underpin the need for the regulation, and as the primary beneficiaries of an effectively functioning regulatory system. The cost recovery model also applies to club goods. These charges can be called a levy or a fee.
- **Public goods:** Crown funding is generally used for public goods. Some regulatory functions have a range of broad benefits (including reputational, general economic, or environmental protection benefits) that are wider than the social worker sector system and are not directly or indirectly attributable to the participants or primary beneficiaries.

Note that the **public and users of social worker services** are **secondary beneficiaries** of the social worker regulatory system. They are not the primary beneficiaries and do not primarily cause the need for the regulatory system. However, they receive **spill-over benefits** of 'safety of members of the public is protected' and 'professionalism of social workers is enhanced'. Spill-over benefits do not usually result in Crown funding or in the secondary beneficiaries being charged fees or levies.

Developing the change proposals

The proposals for the fees and disciplinary levy have been assessed applying the Government's cost-recovery model, which includes:

- Assessing resources required to reduce current pressures and to operate as an effective modern regulator
- Investigating possible process efficiency gains from developing the new database and new digital systems and processes
- Updating our financial model based on volume and activity forecasts and estimates of future costs
- Assessing the economic characteristics of our regulatory functions for categorisation as private good (fees funding), club goods (levy funding) and public goods (Crown funding) under the Auditor General and Treasury guidelines.

We use a cost allocation methodology for our regulatory functions and funding sources, which involves a multi-step process under our financial model, including:

- Assessing staff and external assessors' effort for the tasks involved in each activity and assessing cost based on salary or external assessor fees at an hourly rate, plus an overhead component, for example, registration.

- Assessing the mahi required and cost of policy development and advice, and sector engagement. For example, developing and maintaining the scope of practice, code of conduct and competence standard; input into MSD advice to the Minister
- Allocating our business support costs to all regulatory functions, such as supporting our Board and Board members fees and travel; Chief Executive and senior management; payroll, training, finance, legal , IT, procurement, premises, equipment
- Assessing the cost of mahi that does not directly contribute to delivering regulatory functions but is necessary for SWRB's continuity. This is recovered from the practising certificate fee and Crown funding. For example:
 - o Statutory reporting, which organisations are required to do, e.g. Annual Report
 - o Crown entity obligations under the Crown Entities Act 2004 such as:
 - Our Statement of Performance Expectations
 - Our Statement of Intent
 - Official Information Act requests
 - Compliance with the Public Records Act 2005
 - Responding to Ministerials and Parliamentary questions
 - Appearing before Parliamentary Select Committees
 - Government requirements for government agencies such as being part of, e.g. MBIE's property portal, reduction in carbon emissions, procurement standards, and using GETS and the All of Government Consultancy Service Provider Panel.

Our assessment of economic characteristics and funding source for our regulatory functions

Here is our assessment of SWRB’s regulatory functions applying the Auditor General and Treasury guidelines.

| Assessment of SWRB’s activities applying the Auditor General and Treasury guidelines | | | | | |
|--|--|--|---|-------------------------|---|
| Activity | Rationale | Activity funded by | Economic characteristics | Full/part cost recovery | Outcome sought |
| Registration | SWRB assessment of an applicant for assurance they are qualified, competent, and safe to practice as a registered social worker | Registration application fee – an applicant who seeks to be a registered social worker <i>One off</i> | Private good – user funded – the applicant is the primary beneficiary or primarily causes the need for the activity, which is provided directly to the individual | Full | Safety of members of the public is protected Social worker professionalism is enhanced Correct use of ‘social worker’ title |
| Provisional to full registration assessment | SWRB assessment of a provisionally registered social worker to move to full registration for assurance they are qualified, competent, and safe to practice as a registered social worker | Provisional to full registration fee – a provisionally registered social worker who has completed 2000 hours of practise and met any conditions on the applicant’s provisional registration <i>One off</i> | Private good – user funded – the provisionally registered social worker is the beneficiary or primarily causes the need for the activity, which is provided directly to the individual | Full | Safety of members of the public is protected Social worker professionalism is enhanced Registration standards are met Correct use of ‘social worker’ title |
| Practising certification | SWRB checks the applicant has not been removed from the register SWRB checks applicant’s declaration that they remain a fit and proper person to practice (Also recovers SWRB regulatory system costs) | Practising certificate fee (but operates as a levy) – registered social workers to be able to practise - as a group, annually <i>Annual</i> | Club good – participant group funded – registered social workers as a group are the primary beneficiaries or primarily cause the need for the regulatory system | Full | Safety of members of the public is protected Correct use of ‘social worker’ title |

| Assessment of SWRB's activities applying the Auditor General and Treasury guidelines | | | | | |
|--|--|---|--|---|--|
| Activity | Rationale | Activity funded by | Economic characteristics | Full/part cost recovery | Outcome sought |
| <p>New graduate practising certification <i>A new graduate applying for their first practising certificate within 12 months of completing the requirements of a SWRB recognised Aotearoa qualification</i></p> | <p>SWRB checks new graduate has been registered SWRB checks applicant's declaration that they are a fit and proper person to practice (Also recovers SWRB regulatory system costs)</p> | <p>New graduate practising certificate fee (but operates as a levy) – a new graduates registered as a social worker to be able to practise One off</p> | <p>Club good – participant group funded – registered social workers as a group are the primary beneficiaries or primarily cause the need for the regulatory system</p> | <p>Part (Cross-subsidised by paid registered social workers paying the practising certificate fee)</p> | <p>Safety of members of the public is protected Correct use of 'social worker' title Reduced fee so they hold a practising certificate where they do not have a job</p> |
| <p>Unpaid volunteer practising certification</p> | <p>Reduced practising certificate fee for unpaid volunteers SWRB checks applicant has not been removed from register SWRB checks declaration from the applicant that they remain a fit and proper person to practice (Also recovers SWRB regulatory system costs)</p> | <p>Unpaid volunteer practising certificate fee (but operates as a levy) – a registered social worker who has no paid work as a social worker or otherwise Annual</p> | <p>Club good – participant group funded – registered social workers as a group are the primary beneficiaries or primarily cause the need for the regulatory system</p> | <p>Part (Cross-subsidised by paid registered social workers paying the practising certificate fee)</p> | <p>Safety of members of the public is protected Correct use of 'social worker' title Reduced fee as mostly part-time supervisors / mentors rather than client-facing</p> |
| <p>Practising certification late non-declaration processing</p> | <p>SWRB's mahi on chasing up declarations of continuing practising or not (Fee applies if declaration not received <i>within 60 days from issue of invoice</i>)</p> | <p>Practising certificate late non-declaration processing fee – the registered social worker notifies SWRB of their intention to continue practising or not after 31 July One off</p> | <p>Private good – user funded – the registered social worker is the primary beneficiary or primarily causes the need for the activity, which is provided directly to the individual</p> | <p>Full</p> | <p>Safety of members of the public is protected Correct use of 'social worker' title Register is accurate</p> |
| <p>Experience pathway (applies to February 2024)</p> | <p>SWRB assessment of an overseas applicant's experience to be registered as a social worker, where no SWRB recognised qualification is held</p> | <p>Experience pathway: assessment application fees – an applicant does not have a SWRB recognised qualification wants to practise as a registered social worker One off</p> | <p>Private good – user funded – the applicant is the primary beneficiary or primarily causes the need for the activity, which is provided directly to the individual</p> | <p>Full</p> | <p>Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title</p> |

| Assessment of SWRB's activities applying the Auditor General and Treasury guidelines | | | | | |
|---|---|--|--|-------------------------|---|
| Activity | Rationale | Activity funded by | Economic characteristics | Full/part cost recovery | Outcome sought |
| Overseas qualification assessment application | SWRB assessment of an overseas applicant's international qualification where no SWRB recognised qualification is held | Overseas qualification assessment application fee – an applicant who does not have a SWRB recognised qualification wants to practice as a registered social worker One off | Private good – user funded – the applicant is the primary beneficiary or primarily causes the need for the activity, which is provided directly to the individual | Full | Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title |
| Overseas applicant competence assessment | SWRB assessment of an overseas applicant's competence to practise in Aotearoa | Competence review fee – an applicant who has overseas qualifications wants to practise as a registered social worker in Aotearoa One off | Private good – user funded – the applicant is the primary beneficiary or primarily causes the need for the activity, which is provided directly to the individual | Full | Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title |
| Certificate of Gooding Standing or hard copy registration certificate | SWRB provides a Certificate of Good Standing for overseas registration purposes or a hard copy of a registration certificate <i>There is no charge for digital copies of practising certificates and registration certificates</i> | Certificate of Gooding Standing or hard copy registration certificate fee – a registered social worker requests a Certificate of Good Standing or a hard copy of their registration certificate One off | Private good – user funded – the registered social worker requesting the certificate is the primary beneficiary or primarily causes the need for the activity, which is provided directly to the individual | Full | Proof of authorisation as a registered and practising social worker |
| Education programme vetting for recognition by SWRB | SWRB vetting Aotearoa education programmes to be recognised by SWRB For programme quality assurance | Education programme recognition vetting fee – an Aotearoa education provider wants a programme recognised by SWRB One off | Private good – user funded – the applicant is the primary beneficiary or primarily causes the need for the activity, which is provided directly to them | Full | Quality education programmes Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title |

Assessment of SWRB's activities applying the Auditor General and Treasury guidelines

| Activity | Rationale | Activity funded by | Economic characteristics | Full/part cost recovery | Outcome sought |
|-------------------------------------|---|---|---|-------------------------|--|
| Education programme function | SWRB's mahi on programme change consultation, guidance, research, stakeholder and cross-agency engagement, and overheads | Education programme annual fee (but operates as a levy) paid by Aotearoa education providers (Allocated on a per equivalent full-time students (EFTS) graduating with social work degrees in the previous year) | Club good – participant group funded – education providers as a group are the primary beneficiaries or primarily cause the need for the education programme function, whether they use it or not | Full | Quality education programmes Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title |
| Registered social worker CPD audits | SWRB audits of Continuing Practice Development logs of randomly selected or a target group of registered social workers with practising certificates Provides incentives to comply with CPD requirements | Practising certificate fee (but operates as a levy) – registered social workers Annual | Club good – participant group funded – registered social workers as a group are the primary beneficiaries or primarily cause the need for the social worker regulatory system, whether they are audited or not | Full | Registered social worker compliance with CPD requirements |
| Enquiries | SWRB mahi on enquires from students, social workers, employers, education providers, and the public Enquiries system provides assisted compliance for registered social workers and information to the public and others | Practising certificate fee (but operates as a levy) – registered social workers Annual | Club good – participant group funded – registered social workers as a group are the primary beneficiaries or primarily cause the need for the social worker enquiries system, whether they use it or not | Full | Registered social workers comply with the Act and regulatory framework Social worker professionalism is enhanced Public and others access to information |
| Complaints & notifications | SWRB mahi on complaints & notifications about a registered social worker's health, competence, or conduct, by another registered social worker, an employer, the public, or a government agency The complaints system supports registered social worker compliance | Disciplinary Levy – registered social workers Annual | Club good – participant group funded – registered social workers as a group are the primary beneficiaries or primarily cause the need for the complaints system, whether a complaint is received about them or not | Full | Access to redress for those who deal with non-compliant registered social workers Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title |

| Assessment of SWRB's activities applying the Auditor General and Treasury guidelines | | | | | |
|---|--|--|--|--|--|
| Activity | Rationale | Activity funded by | Economic characteristics | Full/part cost recovery | Outcome sought |
| Professional Conduct Committee (PCC) and Disciplinary Tribunal support | PCC cases and Disciplinary Tribunal hearings Provides incentives for regulatory compliance by registered social workers and to protect the public (External to SWRB but funded by SWRB) | Disciplinary Levy – registered social workers Annual | Club good – participant group funded – registered social workers as a group are the primary beneficiaries or primarily cause the need for the disciplinary system, whether they have a case before a PCC or a hearing before the Disciplinary Tribunal or not | Full | Access to redress for those who deal with non-compliant registered social workers Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title |
| Secretariat for the Board Advice to the Board on social worker regulatory and compliance issues | SWRB mahi as part of the legal structure under the Crown Entities Act 2004 | Practising certificate fee (but operates as a levy) – registered social workers Annual | Club good – participant group funded – registered social workers with a practising certificate, as a group, are the primary beneficiaries or primarily cause the need for the Board | Full | Assist Board governance under Crown Entities Act 2004 and Government guidelines and policy settings Safety of members of the public is protected Social worker professionalism is enhanced |
| Technical advice, policy development and provision social worker regulatory framework and system reviews Operational policy development | SWRN reviews and updates of regulation, policy, criteria, and processes to deliver on SWRB's legislative mandate | Practising certificate fee (but operates as a levy) – registered social workers Annual | Club good – participant group funded – registered social workers as a group are the primary beneficiaries of an effectively functioning regulatory system or primarily cause the need for the regulatory system primary beneficiaries | Full | Effective, and efficient delivery of SWRB's legislative mandate Trust in government institutions Safety of members of the public is protected Social worker professionalism is enhanced Correct use of 'social worker' title |
| Ministerial servicing, OIAs, technical advice to the Minister, responding to Parliamentary Committees | SWRB mahi to meet SWRB's obligations as a Crown entity under the Crown Entities Act 2004 | Crown funding – from general taxation Annual | Public good – wider public benefits to the public for the proper administration of government and trust in government institutions | Full (Government decision that cost funded by Practising Certificate fee) | Assist Ministers and the Government Trust in government institutions |

| Assessment of SWRB's activities applying the Auditor General and Treasury guidelines | | | | | |
|---|--|---|--|--|---|
| Activity | Rationale | Activity funded by | Economic characteristics | Full/part cost recovery | Outcome sought |
| Strategy, planning, and data and intelligence analysis and advice | SWRB mahi on business strategy, planning and reporting, risk trends identification for interventions to enhance social worker professionalism SWRB is an evidence based, intelligence-led, risk focused regulator | Practising Certificate fee (but operates as a levy) – registered social workers with a practising certificate - as a group Annual | Club good – participant group funded – registered social workers with a practising certificate, as a group, are the primary beneficiaries of an effectively functioning regulatory system or primarily cause the need for the regulatory system | Full | SWRB is an effective regulator using the modern regulator approach applied by other Aotearoa safety regulators |
| Crown entity performance, reporting and other obligations under the Crown Entities Act 2004 | SWRB mahi to meet SWRB's obligations as a Crown entity under the Crown Entities Act 2004 | Crown funding – from general taxation Annual (Currently funded by the Practising Certificate fee) | Public good – wider public benefits to the public of compliance with the Crown Entities Act 2004 for the proper administration of government and trust in government institutions | Part (Government decision that balance of cost funded by Practising Certificate fee) | SWRB meets Government performance and policy objectives Trust in government institutions |
| Sector, cross-agency, education provider and international engagement | SWRB's mahi as part of the being a government agency | Crown funding – from general taxation Annual (Currently funded by the Practising Certificate fee) | Public good – wider public benefits of government agency collaboration | Full (Government decision that cost funded by Practising Certificate fee) | Government policy objectives are met Consistency across agencies Stay up to date with international good practice |
| Workforce planning function | SWRB mahi on workforce planning data, information & insights to help others identify where and when social workers are needed most | Crown funding – from general taxation Annual (Vote Social Development) | Public good – wider benefits of workforce planning to identify where and when social workers are needed most | None – Crown funded | Government policy objectives are met |