



**Social Workers
Registration Board**
Kāhui Whakamana Tauwhiro

Funding Review Report to the Board

Proposed fees and Disciplinary Levy for 2020/21
under the Social Workers Registration Board Act 2003

9 March 2020

Glossary and definitions

Act	Social Workers Registration Act 2003 (as amended by the Social Workers Registration Legislation Act 2019)
club good	Activities that a <i>specific group</i> of individuals and organisations either primarily benefit from or primarily cause the need for (whether or not the activities are used by them)
Crown funding	General taxation provided to meet the cost of public goods – an <i>area of activity</i> that primarily has <i>public</i> benefits or addresses <i>public</i> risks This is where <i>use by one person</i> does not detract from the <i>use by another</i> and <i>excluding people</i> from the benefits or risks <i>is difficult, costly or undesirable</i> Sometimes Crown funding only contributes to the aspects of the activity that are primarily public goods with the remainder cost-recovered from a levy as club goods
Disciplinary Levy	A levy authorised under section 108 SWR Act, which can be set and imposed by the Board (by a Notice in the Gazette) on every registered social worker for the <i>purpose of investigations and other proceedings concerning discipline</i> under the Act
DHBs	District Health Boards
fees	Charges imposed on a <i>specific individual or organisation</i> for a good, service or regulation provided <i>directly to that individual or organisation</i> Fee funded activities are called ‘private goods. ‘Feeable’ means an activity for which fees can be charged because the activity is a private good. ‘Non-feeable’ means an activity for which fees cannot be charged because the activity is a club good or public good.
Fees and Disciplinary Levy Notice	The notice Gazetted by the Board under sections 108 or 109 of the Act for fees and the Disciplinary Levy
levy	Charges imposed on a <i>group of individuals or organisations</i> (e.g. an industry or practitioners) as a <i>proxy</i> for the group that <i>primarily</i> benefits from, or <i>primarily</i> causes the need for, the activities or functions While others may benefit from the activity or function, such as the general public, this is considered a spill-over or secondary benefit Levies fund activities that are called ‘club goods’. Levies are commonly used to meet the cost of operating a regulatory and compliance system that applies to an industry or sector
MBIE	Ministry of Business, Innovation and Employment
MSD	Ministry of Social Development
private good	A service or activity provided <i>directly to an individual or organisation</i> where the individual or organisation <i>directly benefits from, or primarily causes the need for, the activity.</i>
public good	Activities provided for the wider benefit of, or risk to, the general public where <i>use by one person</i> does not detract from the <i>use by another</i> and <i>excluding people</i> from the benefits or risks <i>is difficult, costly or undesirable</i> General taxation is generally used to fund activities that have wider public benefits
SWRB	Social Workers Registration Board

SWRB 2020/21 funding review summary

About the 2020/21 funding review

SWRB's revenue comes from:

- one off fees for services to social workers and tertiary education institutions
- practising certificate fees for registered social workers (initially and then annually to continue practising)
- a Disciplinary Levy charged to practising social workers annually

As part of good regulatory practice and to ensure appropriate ongoing funding, the SWRB does an annual review of the fees and Disciplinary Levy

We are part way through implementing the changes to our operational policy, systems and processes for the regulatory changes to the Social Workers Registration Act 2003. These need to be completed by 27 February 2021

Reforecast revenue 2019/20 (February 2020) \$4.39m

- **\$0.55m** Fees for services (one-off)
- **\$2.16m** Practising Certificates (annual)
- **\$0.29m** Disciplinary Levy (annual)
- **\$0.045m** Non fee income (e.g. interest)
- **\$1.224m** Crown funding contribution to transition period implementation
- **\$0.119m** Crown funding contribution to Crown entity obligations

Proposed 2020/21 budget expenses

\$5.4 m
Operating expenses

\$1.1 m
Increase Reserves held to \$1.3 m
Government's standard 3-months' operating costs
Disciplinary Levy held separately

\$0.48 m
Contingency
8% of operating costs for higher expenses/ lower revenue than forecast

Crown funding under Vote Social Development contributes to implementing the regulatory change over 2-years (\$1.23 m in 2019/20 and \$0.677m in 2020/21). The Crown entity obligations contribution was \$0.113m in 2019/20, is \$0.111m in 2020/21 and is \$0.114m in 2020/22 & outyears

The fees and Disciplinary Levy are set by the Board and imposed under a Gazette Notice

The current Fees and Disciplinary Levy Notice applies from 1 May 2019 and is ongoing unless changed by the Board

Practising certificates are valid for one year from 1 July to 30 June, so registered social workers need a new one each year to continue practising

Forecast revenue 2020/21 \$6.898m (includes \$1.98m one-off revenue)

- **\$2.01m** Fees for services (one-off)
- **\$3.57m** Practising certificates (annual)
- **\$0.48m** Disciplinary Levy (annual)
- **\$0.050m** Non fee income (e.g. interest)
- **\$0.677m** Crown funding contribution to transition period implementation
- **\$0.111m** Crown funding contribution to Crown entity obligations

Sub-output classes and funding source for 2020/21

Sub-output class 1 Regulatory & Compliance

1.1 Professional Standards Advisory

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

1.2 Registration & Certification

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

1.3 Social Worker Audits

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

1.4 Complaints Assessment & Advisory

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

1.5 Education

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

Fees for services
Practising Certificate Fees
Disciplinary Levy

Sub-output class 2 Strategy & Policy

2.1 Active Partner with Māori

2.2 Policy

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

2.3 Research, Surveys & Data Analysis

2.4 Compliance Marketing

2.5 Strategy, Planning & Performance

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

2.6 Ministerial Services & Official Information Act requests

Practising Certificate Fees
Crown funding

Sub-output class 3 Corporate

3.1 Board Secretariat

3.2 Business Operations

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

3.3 Communications

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

Practising Certificate Fees

Purpose

This paper sets out the proposed fees and the Disciplinary Levy for 2020/21 for discussion and approval by the Board. The proposal relates to completing the implementation of the changes for year-two of the transition period, dealing with volume changes and continuing our move to the modern regulator approach.

Recommendations

We recommend that the Board:

- a) **note** the information in this 2019/20 Funding Review Report, including that the:
 - current fees and the Disciplinary Levy would not change
 - increase in transition period registrations has been conservatively estimated as 3,000 above the business-as-usual level
 - 2020/21 forecast revenue is \$6.98 million
 - 2020/21 budget is:
 - operating expenses of \$5.4 million
 - increase in Reserves held by \$1.1 million to \$1.3 million (the Government standard 3-months' operating costs), with the Disciplinary Levy held separately
 - \$0.48 million contingency (8% of operating costs) for higher expenses/ lower revenue than forecast
- b) **agree** to the additional and changed resources as set out in this Report
- c) **agree** to a Fees and Disciplinary Levy Notice being Gazetted on 1 April 2020 to change the names of fees as set out in Appendix 1
- d) **agree** to the Board undertaking strategic and budget planning in December 2020 (which is near the end of the implementation phase), for any changes from 1 May 2021.

Fees and Disciplinary Levy

No change

Fees and the Disciplinary Levy would not change as forecast revenue will cover costs for 2020/21. See Appendix 1: Current Fees and Disciplinary Levy continued for 2020/21 under existing Notice.

Programme recognition, re-recognition and accreditation mid-cycle review fees

We propose one annual fee be charged to education providers on a number of students per education provider basis, rather than on a 'per application' basis as currently. This has been discussed with education providers, which are supportive of the change, and can be done within the wording in the Fees and Disciplinary Levy Notice for programme recognition, re-recognition and accreditation mid-cycle review fees.

Note that the annually charged fee will be reviewed in the 2020/21 funding review once the Reform of Vocational Education (ROVE) and our education framework review have progressed, as these are likely to require changes to the fee.

New social worker workforce planning function


This funding is not included in the 2019/20 funding review because we anticipate that the function will be Crown funded through MSD as a 'public good' under the Treasury guidelines.

2020/21 revenue budget

Here is a comparison of the 2020/21 revenue budget with the 2019/20 revenue budget and February reforecast.

Financial Year	Revenue budget (\$ million)
2019/20 revenue budget	4.67
2019/20 revenue budget reforecast (February 2020)	4.39
2020/21 revenue budget	6.98
Increase in 2020/21 revenue budget from 2019/20 revenue budget reforecast	2.59
Forecast transition period one-off revenue based on 3,000 new registrations in 2020/21 (this will not be received in 2021/22)	1.967
Forecast ongoing increase in revenue from 2019/20 budget reforecast	0.97
Indicative forecast revenue for 2021/22	5.36

Government's contribution

Here is the Government's contribution to transition period implementation and Crown entity obligations costs.

Activity & funding contribution	2019/20	2020/21	2021/22
Part MSD funding - Communications Manager & Registration Officer	\$57,000	-	-
MSD rent holiday for new premises while previous premises rent paid	No rent charged for 8-months	-	-
Part Crown funding - new database & information campaign	\$1,230,000	\$677,000	-
Part Crown funding - Crown entity obligations	\$119,000	\$111,000	\$113,000
Total	\$1,406,000	\$788,000	\$113,000

Areas for continued and new resources

The 2020/21 work programme has been set in accordance with the Board's Outcomes Framework (see Strategic context section later in this paper). Below are the functions under the 2020/21 work programme for proposed continued and new resources by funding source.

- **'Continued'** are the fixed term FTEs continuing and requiring part funding for 2020/21.
- **'New'** are the additional FTEs and other resources to deal with volume increases or for new initiatives in 2020/21.

Areas for continued and new resources in 2020/21

<p>Practising certificate fees & Disciplinary Levy funding</p> <ul style="list-style-type: none"> Professional Standards/ Advisory (continued & new) Research, Surveys & Data Analysis (continued & new) Communications (continued) Information Management, IT & Finance (continued & new) Operations (continued) Increase in Reserves held (new) 	<p>Practising certificate fees funding</p> <ul style="list-style-type: none"> Active partner with Māori (continued & new) Strategic Policy Review (continued & new) Education Framework Review (continued & new)
<p>Disciplinary Levy funding</p> <ul style="list-style-type: none"> Complaints Assessment & Advisory (continued) 2 additional Disciplinary Tribunal cases (new) 	<p>Registration fees funding</p> <ul style="list-style-type: none"> Registration (continued)
<p>Practising certificate fees & Education programme recognition fees funding</p> <ul style="list-style-type: none"> Programme Recognition Standards operations review (new) 	

2020/21 budget expenses

Here are the 2020/21 budget expenses.

<p>\$5.4 million Operating expenses</p>	<p>\$1.1 million Increase Reserves held to \$1.3 million Government's standard 3-months' operating costs Disciplinary Levy held separately</p>	<p>\$0.48 million Contingency 8% of operating costs for higher expenses/ lower revenue than forecast</p>
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Budget revenue by source

The table below shows forecast revenue by source:

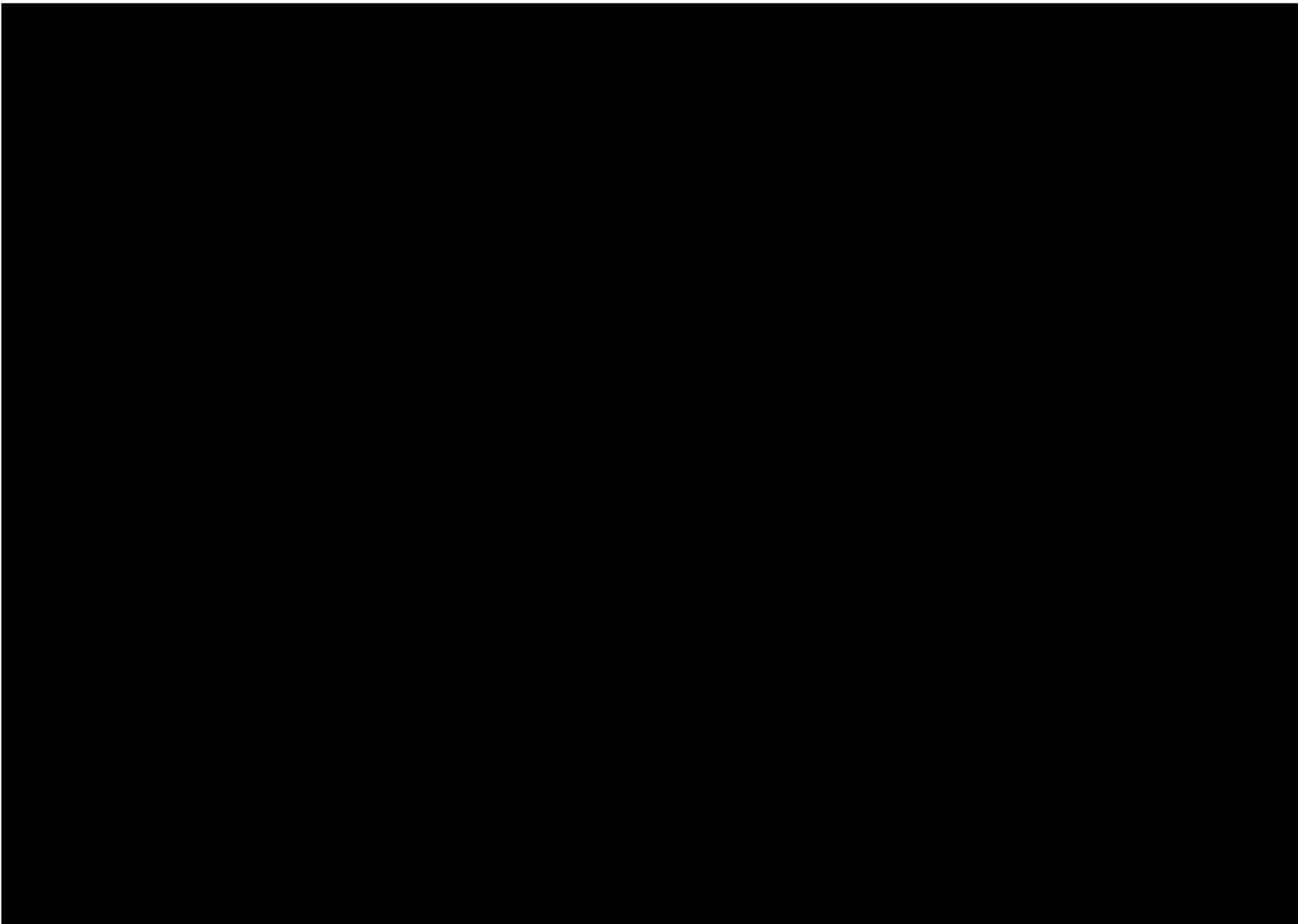
- Crown funding
- Fees
- Disciplinary levy
- Interest received
- Sundry revenue.

The 2020/21 forecast revenue increase from the 2019/20 budget reforecast (February 2020) is \$2.59 million. The indicative revenue for 2021/22 is an increase of \$0.97 million from the 2019/20 budget reforecast (February 2020).

2020/21 forecast revenue by source (\$ excluding GST)

Current revenue and forecast revenue based on forecast volume by source. We recommend a change to the fees names as set out below and in Appendix 1, which would require a Fees and Disciplinary Levy Notice to be Gazetted on 1 April 2020.

Revenue source	Budget 2019/20	2019/20 reforecast budget February 2020	Budget 2020/21	2020/21 change from 2019/20 reforecast
Crown funding implementation contribution	1,224,000	1,224,000	677,000	- 547,000
Crown funding Crown entity obligations contribution	119,000	119,000	111,000	- 8,000
Registration application fees	497,700	405,000	1,305,000	900,000
Competence assessment (face to face) application fees	10,792	2,698	2,689	-
Competence assessment application fees	13,333	27,428	31,111	3,683
Certificate copies application fees	2,160	2,160	2,160	-
Overseas qualifications section 7: Assessment application fees	39,131	38,087	39,131	1,044
Experience pathway section 13: Stage 1 assessment application fees	14,400	12,000	84,000	72,000
Experience pathway section 13: Stage 2 assessment application fees	48,696	43,826	365,217	321,391
Practising certificate application fees	2,160,640	2,133,440	3,525,440	1,392,000
Practising certificate (new graduate) application fees	34,956	27,965	34,956	6,991
Disciplinary Levy	293,577	289,881	479,019	189,138
Education programme recognition and re-recognition fees	130,000	15,000	270,000	255,000
Education programme accreditation mid-cycle fees	27,000	3,000	-	- 3,000
Sundry revenue	540	540	540	-
Interest received	53,094	45,000	50,000	5,000
Total	4,669,019	4,389,025	6,977,272	2,588,247
Forecast one-off revenue based on 3,000 transition period registrations in 2020/21 (this will not be received in 2021/22)			1,967,000	
Indicative forecast revenue for 2021/22			5,360,517	
Indicative ongoing increase in revenue against 2019/20 reforecast budget			971,492	



About the SWRB

Our structure

The **national regulatory and compliance agency of social workers** under the Social Workers Registration Act 2003

Crown entity under the Crown Entities Act 2004

The SWRB is the **only**:

- Crown entity public safety regulator **monitored** by the **Ministry of Social Development**
- health practitioner regulator that is a **Crown entity**

SWRB has:

- **7-member Board** (reduced from 10 in May 2019) appointed by the Minister of Social Development
- **10.4 permanent FTEs**, including the Chief Executive and the Registrar
- Around **8,400** social workers on the SWRB's register, estimated to increase to be **12,000** by 2021/22

What Parliament has mandated the SWRB to do

The **purpose of the Act** is to...

- **Protect the safety of members the public** by providing for mechanisms to ensure social workers are competent to practise and accountable for the way in which they practise
- Create a **framework for registration** of social workers
- Provide for the Board to **promote the benefits of registration** of social workers
- **Enhance the professionalism of social workers**

The **Board's mandate under the Act** is to...

- Exercise powers and functions that ensure:
 - social workers are **registered, competent, fit and safe to practise**
 - there are **recognised programmes** for current and future practice
- Maintain mechanisms to ensure the:
 - **aims and aspirations**, and **appropriate involvement of Māori as tangata whenua**, are integral and ongoing priorities for the Board
 - **views of Māori as tangata whenua, Pacific people and ethnic and cultural groups** in Aotearoa New Zealand, are readily accessible to the Board

Who pays for what we do?



In **2020/21**, **90%** of our **funding** will come from **social workers**. In **2021/22**, this will increase to **99.8%**



Ongoing **Crown funding** of around **\$113,000 per year** to assist with strategy, planning and performance for the Statement of Performance Expectations, Statement of Intent and monitoring and reporting under the Crown Entities Act 2004



What we do as a **modern regulator** needs to be what is **reasonable** for us to do to **support, encourage and require** compliance within our mandate, as the cost impacts significantly on social workers

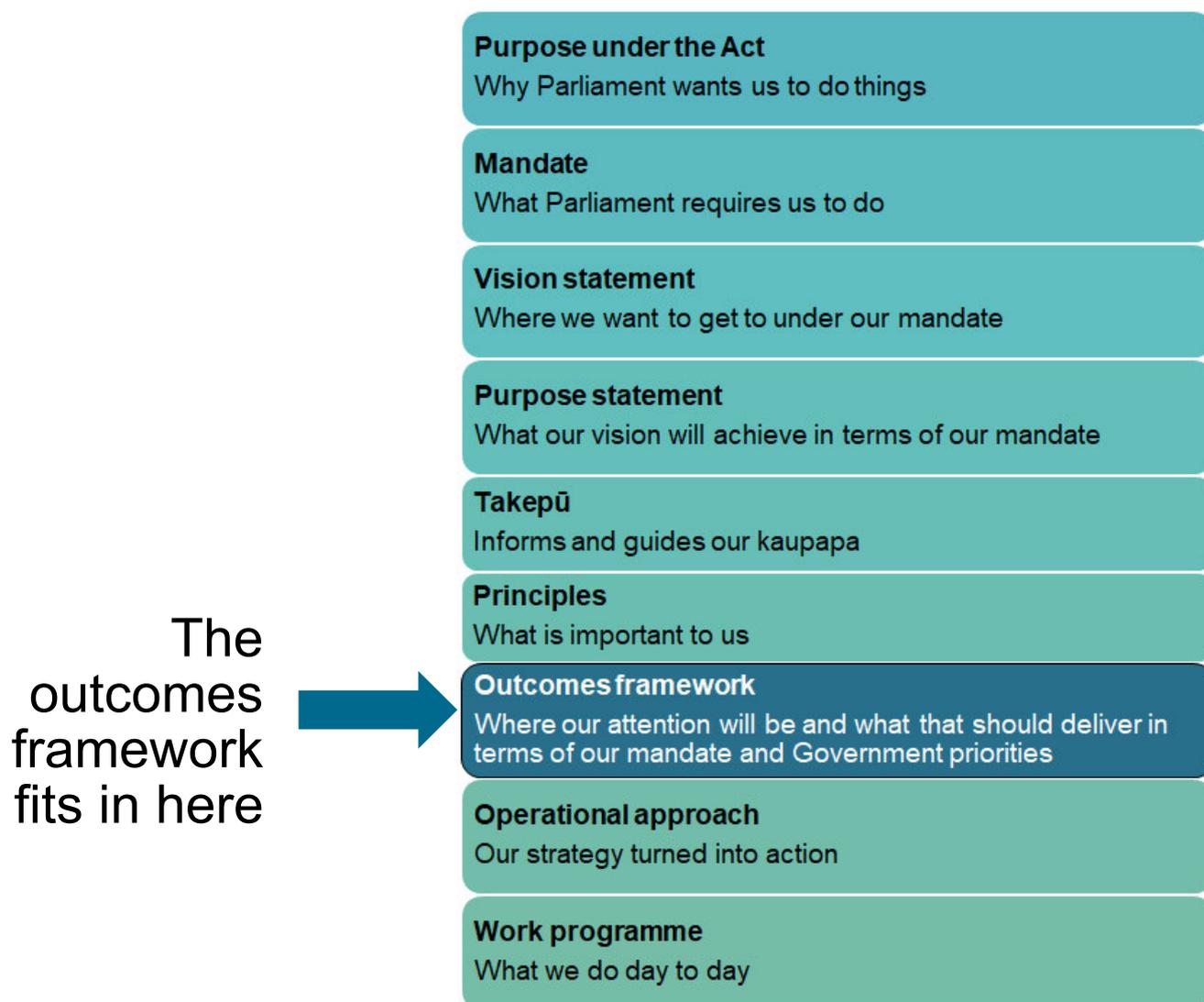
Strategic context

We are on a pathway to operate better to improve outcomes

In November 2019, the Board agreed an outcomes framework setting the SWRB's:

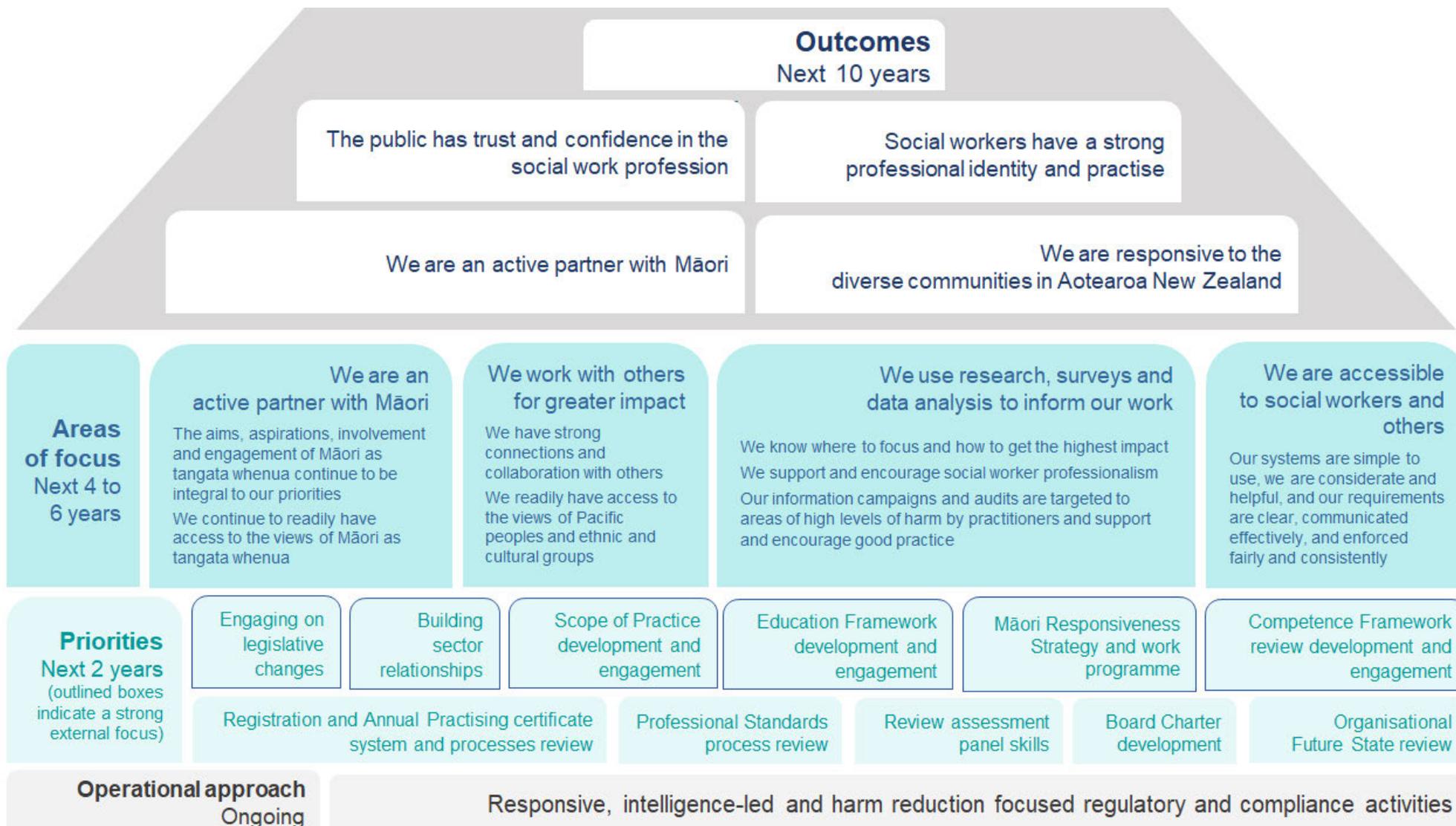
- Outcomes over the next 10 years
- Areas of Focus over the next 4 to 6 years
- Priorities over the next 2 years.

The Outcomes Framework supports the Board's mandate, vision, purpose, takepū and principles, and informs the operational framework and work programme.



Board's Outcomes Framework

The expected outcomes from our funding for the 2020/21 work programme relate to core operations, continuing the implementation of the changes under the Social Workers Registration Board Act 2003 and additional work under our Outcomes Framework as below.



Board's 2020/21 Work Programme

Here are the 2020/21 work programme initiatives and core operations in accordance with the Board's Outcomes Framework.

Operating framework	Crown entity obligations & Board governance	Obligations framework	Professionalism enhancement framework	Disciplinary framework
2020/21 work programme initiatives & core operations	Board Charter review	Register (database) system upgrade	Māori responsiveness - strategy & work programme	Professional standards review
	Board induction plan & training	Register processes review	Act changes information campaign	Complaints & notifications processes
	Board self-evaluation	Scope of Practice development	Consultation & engagement framework	Running Professional Conduct Committee cases
	Kaupapa Māori/ build internal capability	Education framework review	Research, surveys & data analysis	Running Disciplinary Tribunal cases
	Kahui/Board Advisory	Education reference group/committee	Compliance marketing campaigns	
	Governance support (secretariat)	Programme recognition standards review	Randomly selected social worker audits	
	Memoranda of Understanding with other agencies & organisations	Assessment panels skills review		
	Crown entity strategy, planning & performance requirements	Operational policy capability		
	2020 Funding review	Social worker workforce planning scoping		
		Internal & external communications activities (website, publications, Ministerials, guides, press releases)		
		Operational policy reference group		
		Influencing policy development		
		Team operations (registration, education, policy, social worker advisory, professional standards, finance, HR, IT)		
		2020 Review of SWRB Act		
		Organisational future state review & change		

Contribution to Government priorities

The work programme for 2020/21 contributes to the Government's priorities for 2020/21.

- **Māori and Pacific.** Lifting Māori and Pacific incomes, skills, and opportunities
- **Child Wellbeing.** Reducing child poverty and improving child wellbeing
- **Physical and Mental Wellbeing.** Supporting improved health outcomes for all New Zealanders.

The Board's Outcomes Framework is also intended to improve SWRB's sector connections and collaboration, and facilitator role for the cross-sector Social Work Alliance. This group includes:

- major employers (DHB social work leads, Oranga Tamariki, Social Service Providers Association, New Zealand Council of Christian Social Services)
- educators (Council of Social Work Educators Aotearoa New Zealand, Career Force)
- professional organisations (Tangata Whenua Social Worker Association, Aotearoa New Zealand Association of Social Workers)
- the sector union (Public Services Association (PSA)).

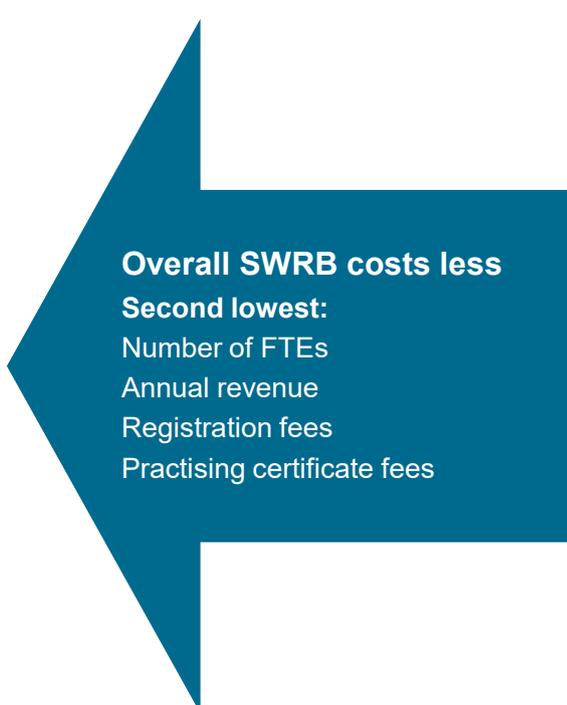
Comparison with similar size regulators

Overall SWRB costs less but does more than similar sized regulators

We have compared the SWRB's register size, applications volume, total FTEs, fees, disciplinary levy and annual revenue to those of the:

- Dental Council
- Physiotherapy Board
- Pharmacy Council
- Occupational Therapy Board

By comparison to these organisations, **overall SWRB costs less and does more.** See the tables below.



Comparison with similar size regulators

Register size, volume and total FTEs comparison

SWRB's number of permanent staff remains the same as 2018, which is **10.4 FTEs** (including the Chief Executive and the Registrar). Compared to the Dental Council, Physiotherapy Board and Pharmacy Council, our number of FTEs is lower, but our business-as-usual work is higher. Note the Occupational Therapy Board have lower costs due to having very few complaints & notifications, Professional Conduct Committee cases and Disciplinary Tribunal cases.

Comparison of register size, volume and total FTEs							
Regulator (Annual Report)	People on the register	Practising certificates	Complaints and notifications	Professional Conduct Committee cases (new)	Disciplinary Tribunal cases	Total FTEs	Total annual revenue ¹
SWRB (Forecast 2019/20)	8,400	6,750	164	23	3	10.4²	\$2.42m³
Physiotherapy Board (March 2019)	7,094	5,422	96	16	3	18	\$2.64m
Pharmacy Council (30 June 2019)	5,208	3,832	174	12	2	12.5	\$3.21m
Dental Council (March 2019)	4,855	4,079	198	7	2	18	\$4.67m
Occupational Therapy Board (31 March 2019)	3,327	2,969	15	1	0	7	\$1.67m

Notes:

1. Excluding GST
2. Excluding fixed term FTEs for the transition period implementation resources and work
3. Excluding the transition period implementation Crown funding contribution and fixed term FTEs

Fees and levies comparison

A comparison of our registration fee, practising certificate fee and Disciplinary Levy for social workers with those for dental hygienists, physiotherapists, pharmacists and occupational therapists shows our fees and levy are generally lower; noting that mandatory registration for these other professions is well-established, unlike social workers where mandatory registration comes into force from 27 February 2021.

The occupational therapists pay fees marginally lower social workers.

Comparison of registration fee, Practising Certificate Fee and Disciplinary Levy 2019 (\$ incl. GST)					
Regulator	Registration fee (one off)	Practising certificate fee (annual)	Non-practising fee (annual)	Disciplinary Levy (annual)	Total initial charge
Social Worker (Proposed Notice: May 2020)	\$345	\$368	-	\$50	\$758
Dental Hygienist (Notice: April 2020)	\$494.11	Initial \$737.12 Ongoing \$778.64	-	\$10.85	\$1,242.08
Physiotherapist (Notice: January 2018)	\$354	\$555.50	\$60	\$125.50	\$1,035
Pharmacist (Notice: February 2019)	\$345	\$690	\$91.34	\$93.61 in practising certificate fee	\$1,035
Occupational Therapist (Notice: January 2019)	\$280	\$477	\$57	\$20 in practising certificate fee	\$757

Back-office percentage of costs

SWRB's 'frontline' operations make up most of the costs at 71%.

'Back office' operations (senior management, Finance, IT, Policy, Legal, Strategy, Planning & Performance, Crown Entity Reporting, Business Operations, Administration and Board secretariat) make up 29%. This is lower than the standard split for small government agencies of around 40%.¹

SWRB Category	Cost	Percentage of SWRB total cost (\$5.18m in 2020/21) (excludes Reserves increase and 10% contingency)
Frontline operations	3.7m	71%
Back-office operations	1.5m	29%

¹ Figure for small cohort agencies of less than 500 FTEs. Benchmarking Administration and Support Services (BASS) – cost, efficiency and effectiveness exercise, 2018 New Zealand Treasury <https://treasury.govt.nz/information-and-services/state-sector-leadership/cross-agency-initiatives/benchmarking-administrative-and-support-services>

Strategic shift – Moving to operate as a modern regulator

Being a modern regulator

We are on the pathway to becoming a modern regulator² in line with the approach taken by other New Zealand regulators.³



All New Zealanders benefit when social workers practise in a **knowledgeable, skillful and ethical** way and claim their professional space by speaking out courageously – **mātātoa**



The foundation for this is a modern regulator operating on a **support, encourage and require** basis



Well-informed social workers, who are influenced (i.e. **supported and encouraged**) to understand the intent and requirements of regulations are more likely to comply – and adopt better practices



Where information and influence doesn't work, some form of **enforcement action** can be necessary (i.e. **require**) to ensure **good practice is adopted**

Changing how we operate

Being a modern regulator means we need to continue to change the way we operate to be responsive, harm reduction focused and intelligence-led.

This means we need to be...

Responsive

Our activities are based on a problem-solving approach

We acknowledge sector behaviour drivers, but are not dictated by them

We provide consistent and reliable engagement, without unnecessary transaction costs

Harm reduction focused

Our activities are targeted and proportionate to reduce harm by practitioners

We exercise sound judgment in applying the right regulatory and non-regulatory tools at the right time

We put emphasis on protecting the safety of members of the public and enhancing the professionalism of social workers

Intelligence-led

We use research, surveys and data analysis to inform our work

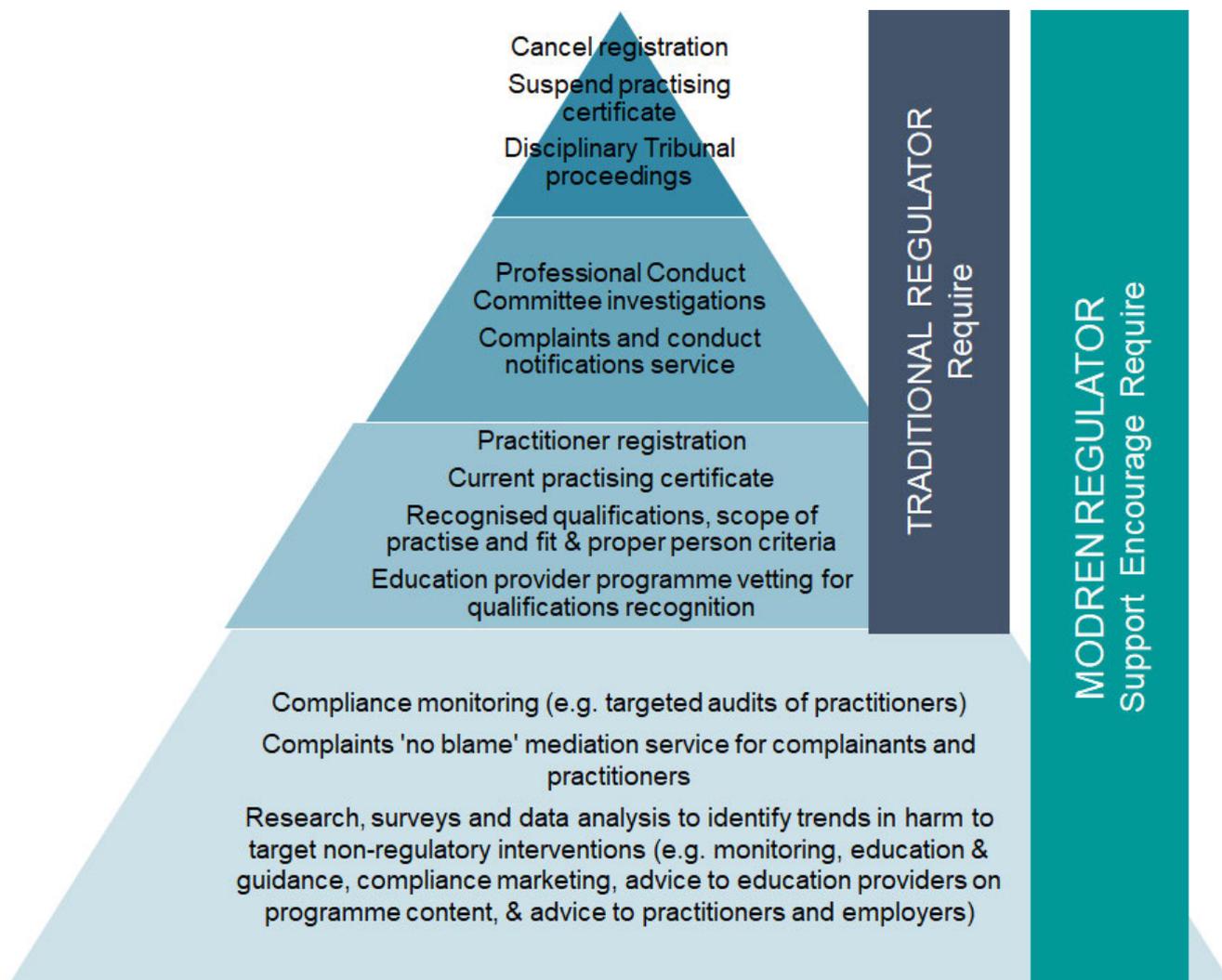
² See *Regulatory institutions and practices*, New Zealand Productivity Commission, June 2014, <https://www.productivity.govt.nz/sites/default/files/regulatory-institutions-and-practices-final-report.pdf>; and *What Does Good Regulatory Decision Making Look Like?*, Keith Manch, Policy Quarterly – Volume 13, Issue 2 – May 2017 https://www.victoria.ac.nz/_data/assets/pdf_file/0006/1175091/Manch.pdf

³ See *Government Expectations for Good Regulatory Practice*, New Zealand Treasury April 2017, <https://treasury.govt.nz/information-and-services/regulation/regulatory-stewardship/good-regulatory-practice>

Using modern regulator tools

The modern regulator approach uses regulatory and non-regulatory interventions to 'support, encourage and require' good practice as shown in the diagram below.⁴

Practitioner Regulator Interventions Pyramid



Taking a system approach to harm reduction

The modern regulator approach focuses on reducing harm across the 'system'. This is a macro view as a modern regulator, rather than a micro view as a traditional regulator.

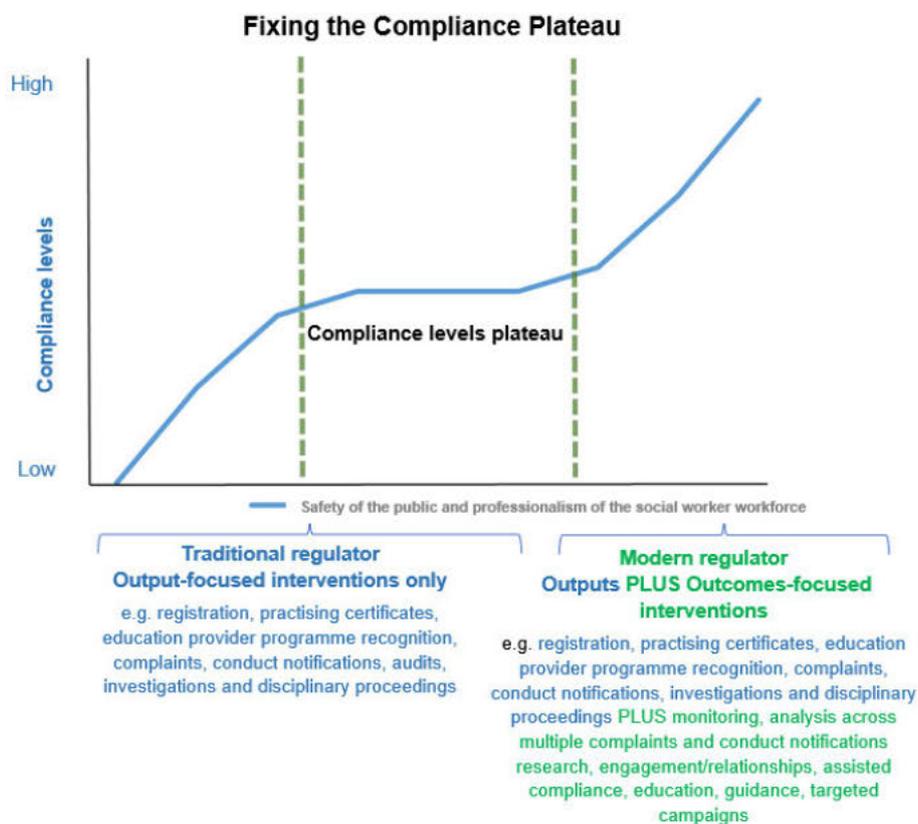
The problem this system approach is intended to address is that 'transactional' interventions like registration, investigations and disciplinary proceedings that **require** compliance with good practice can only reduce harm to a certain point, then the response to the intervention plateaus.

The safety of members of the public and professionalism of social workers cannot be improved further by only using transactional interventions.

⁴ Developed by Sarah Mehrtens in 2019 based on John Braithwaite's Regulatory Pyramid see <http://johnbraithwaite.com/responsive-regulation/>

Under the system approach, we need to also use modern interventions that **support** and **encourage** social worker good practice.

This is illustrated in the Fixing the Compliance Plateau diagram⁵ below.



Setting the proposed charges for 2020/21

Setting fees and the Disciplinary Levy

The Board is authorised to set and impose fees and the Disciplinary Levy within the terms of the fees and Disciplinary Levy sections in the Act.

See Appendix 2: Fees and Disciplinary Levy sections. A summary of these sections is below.

Type of fee or levy set	Set by the Board under
Fees to recover the costs of services paid by social workers and tertiary education institutions for the services provided directly to them	Section 108(1)(a) and (c) to (j)
Annual practising certificate fee Paid by a registered social worker who wishes to practise, and annually to continue to practise This fee also recovers the costs of <i>“anything the Board is required to do in order to carry out its functions”</i>	Section 108(1)(c) Section 108(1)(k)
Disciplinary Levy Can be imposed on registered social workers to recover the costs of investigations and other proceedings concerning discipline	Section 109

⁵ Developed by Sarah Mehrtens for the SWRB in 2019 based on the Fixing the Compliance Plateau diagram developed by Sarah Mehrtens and Lois Hutchinson in 2018

We've followed the rules for setting charges in the public sector

We are a **Crown entity**, so we are part of government. This means we must apply current government policy settings under the Office of the Auditor General (OAG) and the Treasury guidelines for setting charges in the public sector.⁶ We have applied these guidelines for the 2019/20 funding review in the same way we did for the 2018/19 funding review. See Appendix 3: Assessment of activities applying the OAG and Treasury guidelines.

Under those guidelines, fees and levies need to be reviewed regularly to ensure they remain appropriate, and the assumptions on which they are based (e.g. volume, demand and cost increases), remain valid and relevant. Both guidelines broadly instruct that fees and levies should:

- be no more than the amount necessary to recover costs
- not be used to cross-subsidise other services or functions (unless the government agency is expressly authorised to do so by the Government)
- be based on the principles of authority, efficiency, and accountability.

We have applied Government's user-pays cost-recovery model

The proposed fees and Disciplinary Levy for 2020/21 have been developed applying the Government's user-pays cost-recovery model.⁷ This work has included:

- assessing resources required to reduce current pressures and to operate as an effective modern regulator
- assessing the balance of the implementation resources required and costs not met by Crown funding (including the changes to the professional framework, competence assessment, complaints procedures, the quasi-judicial disciplinary tribunal procedures, and accrediting and standards setting for social work education and training)
- investigating possible process efficiency gains in developing the new database, which will continue for 2020/21
- updating the financial model
- checking our 2018/19 assessment of the economic characteristics of our services and functions for categorisation as private good (fees funding), club goods (levy funding) and public goods (Crown funding) under the OAG and Treasury guidelines.⁸

Note that under the OAG guidelines, setting a fee that recovers more than the costs of providing the service 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.⁹ Accordingly, any authority given to the SWRB to charge a fee is implicitly capped at the level of cost recovery.

For example, specific authority is required to charge a fee that would recover more than the cost of providing a service – to generate additional revenue, impose a penalty, limit access to or demand for a service, or meet social objectives.

⁶ Treasury Guidelines for Setting Charges in the Public Sector April 2017, which covers fees and levies <http://www.treasury.govt.nz/publications/guidance/planning/charges>; and the Office of the Auditor-General (OAG) Good practice guide: Charging fees for public sector goods and services June 2008, which covers fees but not levies <https://www.oag.govt.nz/2008/charging-fees>

⁷ Using the Cost Recovery Impact Statement Stage 2 template under the Treasury guidelines and by applying the OAG guidelines

⁸ See Appendix 4: Assessment of activities applying the OAG and Treasury guidelines

⁹ See section 22(a) of the Constitution Act 1986

Also, the SWRB cannot recover a 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 service they receive, or in a lack of equity between current and future registered social workers – which is outside the SWRB’s legal authority.

Our costs continue to be impacted by the changes to our Act

Impacting on our costs are the Government’s changes to the Social Workers Registration Board Act 2003. The mandatory aspect requires that, by 27 February 2021, a person practising as a social worker must be registered and hold a current practising certificate.

As we are part way through the implementation of the changes, the issues identified in the 2018/19 funding review continue. These are that to ensure we are an effective modern regulator we need to change what we do and how we operate, so we can:

- deliver quality and timely services and functions
- make robust decisions about social workers’ registration, practising certificates, conduct & competence because our decisions affect social workers’ ability to work
- meet the performance targets set by the Minister and deal with higher scrutiny of our work under the mandatory regime
- work more with the sector for greater impact
- meet our reporting and other obligations as a Crown entity.¹⁰

Lower year one transition period new registrations than expected

A significant issue impacting our 2019/20 revenue is the lower than expected year-one transition period registrations. Lower volume means lower revenue.

While we forecast an additional 500 registrations for 2019/20 (on top of the business-as-usual number per year), actual transition period registrations are difficult to distinguish. Around 860 total registrations have been approved (February 2020), of the total 1,600 estimated for the year. The information campaign for the mandatory regime road shows started in February 2020 but this may assist us reach the forecast 500 registrations in 2019/20.

However, this might not occur because many new registrants may:

- wish to avoid paying the practising certificate fee and Disciplinary Levy for the next 3 months, then again in May/June 2020, or
- delay until they must be registered, which is by 27 February 2021.

Estimating transition period new registrations

The 2018 forecast of 4,000 total transition period registrations was based on:

- 2013 Census data, which indicated around 18,000 people identified with a wider definition of social work that covered occupations such as community, family support, youth workers and health promotion and disabilities services officers
- around 2,900 social work graduates since 2013 and ongoing numbers of social work graduates of 700 per year.

In the 2018/19 funding review we stated that the transition period registrations volume, and when it occurs, is **very uncertain** because:

¹⁰ See *It Takes Three: Operating Expectations Framework for Statutory Crown Entities*, State Services Commission July 2014. <http://www.ssc.govt.nz/it-takes-three-operating-expectations-framework>

- of the timing of government contract reviews for organisations to pay the fees and the Disciplinary Levy for their staff
- government funded organisations might wait until the end of the two-year transition period, unless Government makes registration a condition under their government contract

There is also a risk that organisations will redefine roles to take them outside of the Act, which would reduce the number of transition period registrations and the level of revenue. Therefore, we have conservatively estimated 3,000 transition period registrations for 2020/21 as the basis for forecast revenue from registration fees and the Disciplinary Levy.

Revenue timing issue

If most transition period registrations delay until 27 February 2021, a significant portion of our revenue will not be received until then, whereas most of the resources need to put in place from 1 July 2020. Our budget will need to be closely managed with some activities put on hold (where possible) to deal with delayed registrations, if that occurs.

SWRB volumes for regulatory & compliance transactions

Overall, the volume of our transactional regulatory and compliance work is increasing. We have forecast the level of this work for 2020/21 based on a comparison with figures from last year and some activities significantly increasing as a 'one-off' due to transition period registrations.

SWRB volumes			
Activity	2018/19 Annual report	2019/20 Forecast	2020/21 Forecast
People on the register	7,812	8,412 ¹¹	12,000
Registration applications	1,013	1,291	4,376
Annual practising certificates	5,094	6,750	11,043
Competence assessments	60	123	140
Complaints & notifications	164	165	170
Professional Conduct Committee cases (new)	15	25	31
Disciplinary Tribunal cases	2	3	4

Proposed new fee for 2021/22

We have considered adding one new fee: **Practising certificate late application processing fee of \$30**. This is for social workers whose practising certificate applications are late, which require work to chase up and deal with. We process around 675 per year. Providing a grace period of one month, the estimated number that could be charged would be 225.

To date no fees have been charged for this work because the Fees and Disciplinary Levy Notice does not include a fee for it. The cost of this work is currently being met from the practising certificate fee, whereas under the Treasury guidelines it should be a fee for the service.

This fee may be negatively received by social workers through the transition period where delays may also be caused by the SWRB due to higher registration volume than usual. We recommend reconsidering this fee as part of the 2020/21 funding review, once the transition period has ended.

¹¹ As at January 2020. By July 2020 estimated as 9,412

Proposed continued and new resources for 2020/21

New permanent FTEs from 2020/21

We propose increasing the permanent FTEs from **10.4 FTEs** to **16.9 FTEs** to deal with higher volume and to support the organisation size. Of these new permanent roles in 2020/21:

- 1.0 FTE Chief Advisor Māori role is part reallocated consultancy budget and requires part additional funding
- 3.0 FTE roles only require part additional funding, as they are reallocated fixed term contracts
- 3.5 FTE roles are new so require full additional funding.

6.5 FTEs continued or new roles proposed as permanent from 2020/21	
Area	Permanent Role
<p>Active partner with Māori Fixed term consultant reallocated to permanent FTE</p>	<p>1.0 FTE Chief Advisor Māori (continued role) 0.4 FTE reallocated consultancy budget 0.6 FTE to be funded in 2020/21 budget</p>
<p>Research, Surveys & Data Analysis</p> <ul style="list-style-type: none"> ▪ New activity under the Outcomes Framework and 2020/21 work programme ▪ Know where to focus and how to get the highest impact to: <ul style="list-style-type: none"> ○ Support and encourage social worker professionalism ○ Support and encourage good practice through information campaigns ○ Reduce harm by practitioners through targeted audits 	<p>1.0 FTE Data & Research Principal Advisor (new role)</p> <p>1.0 FTE Senior Data Analyst (new role)</p>
<p>Professional Standards/Advisory Lift professionalism, improve systems & processes including for new database, and be more responsive to social workers, complainants and active relationships with Māori</p>	<p>1.0 FTE Chief Advisor Social Work (new role)</p> <p>0.5 FTE Professional Standards Administrator (new)</p>
<p>Operations</p> <ul style="list-style-type: none"> ▪ Business operations management fixed term FTE needs to be permanent due to organisation size ▪ Continued processes and procedures development 	<p>1.0 FTE Business Operations Manager (continued role) 4-months to be funded in 2020/21 budget</p> <p>1.0 FTE Database Administrator & Information Management Reallocation of 0.8 FTE fixed term Office Administrator role 4-months to be funded in 2020/21 budget</p>

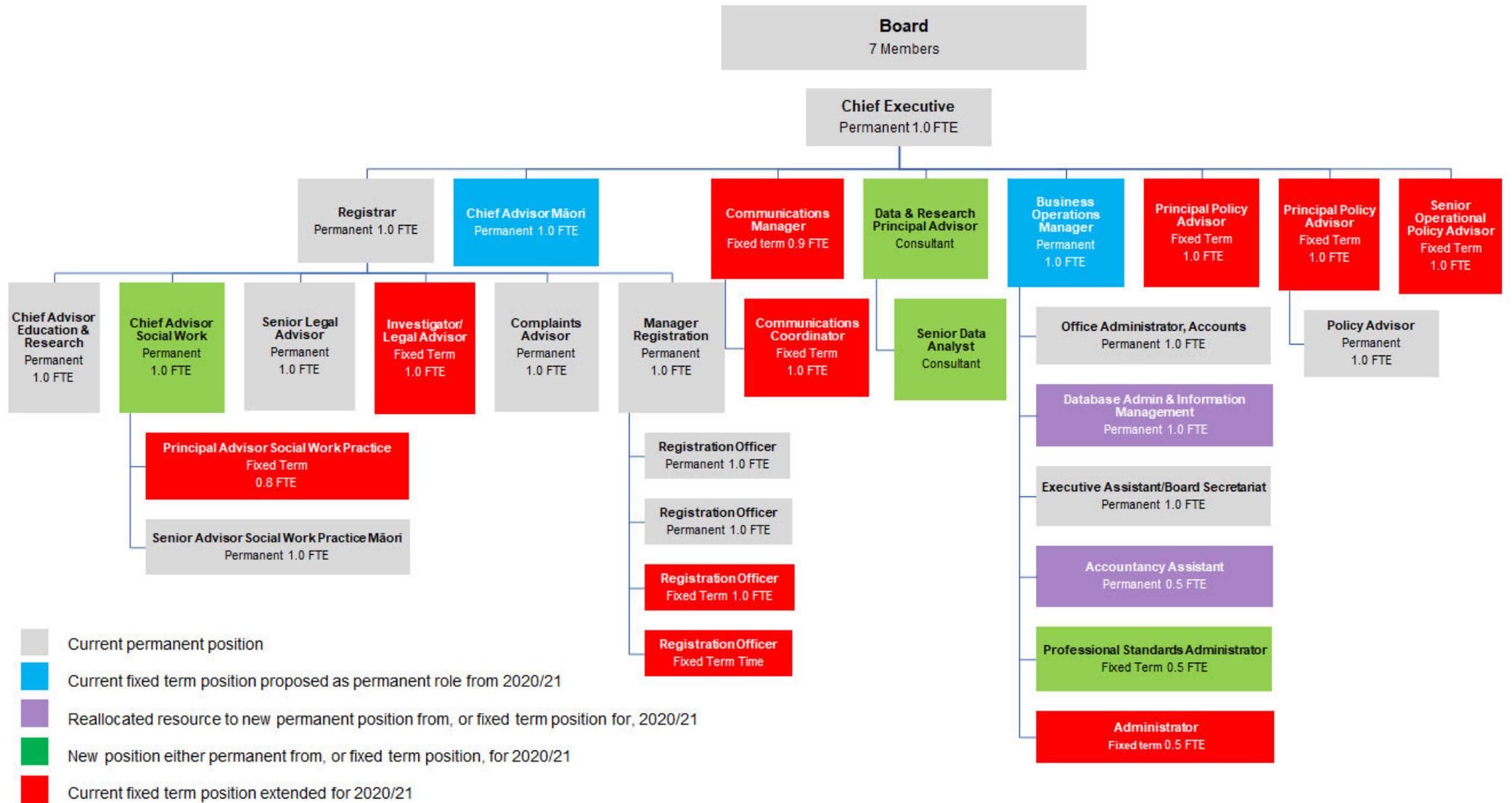
Fixed term FTEs to continue for year two of the transition period

We have **9.5 FTEs on fixed term contracts** for the implementation of changes, whose contracts end late in 2020 or early 2021. We have assessed the need for these FTEs in 2020/21 and recommend the contracts be renewed for the balance of the 2020/21 financial year.

The ongoing need for these roles will be reassessed in the next funding review for 2021/22 as the transition period will have ended by March 2021.

Continued or new fixed term FTEs for 2020/21 budget			
Activity & funding source	Resource	End date	Variance to fund in 2020/21 budget
Complaints Assessment & Advisory Disciplinary Levy	1.0 FTE Senior Legal Investigator	9 March 2021	4 months from 10 March 2021
	0.5 FTE Administrator	New fixed term role	12 months from 1 July 2020
Professional Standards/ Advisory Practising certificate fees & Disciplinary Levy	1.0 FTE Social Work Practice Senior Advisor	30 July 2020	11 months from 1 August 2020
Registration Practising certificate fees	2.0 FTE Registration Officers	28 Feb 2021	4 months from 1 March 2021
Operations Practising certificate fees & Disciplinary Levy	1.0 FTE Accountancy Assistant (includes reallocation of 1.0 FTE fixed term Registration Officer/Accounts role)	28 Feb 2020	10 months from 1 March 2020
	1.0 FTE Senior Operational Policy Advisor	31 March 2021	3 months from 1 April 2021
Communications Crown funding	1.0 FTE Communications Manager	5 March 2021	4 months from 6 March 2021
	1.0 FTE Communications Coordinator	9 March 2021	4 months from 10 March 2021
Education Framework Review Practising certificate fees	0.5 FTE Principal Policy Advisor	6 Nov 2020	8 months from 7 November 2021
Strategic Policy Review Practising certificate fees	1.0 FTE Principal Policy Advisor	31 March 2021	3 months from 1 April 2021

SWRB organisation chart with the current, changed and new roles for 2020/21



Combined view of proposed continued and new resources for 2020/21 budget

Here are the proposed resources under the Board's outcomes framework for the increased activities and continued or new initiatives for 2020/21.

Activity/ initiative/ funding source

Proposed resource

Active partner with Māori

Practising certificate fees & Disciplinary Levy

We need to meet our obligations under the Act to:

- Ensure the aims, aspirations, involvement and engagement of Māori as tangata whenua continue to be integral to our priorities
- Continue to readily have access to the views of Māori as tangata whenua

- 1.0 FTE Chief Advisor Māori **permanent not consultancy role**
- Sector liaison (travel and venue costs)

Strategic Policy Review

Practising certificate fees

Continue work on the competence framework and scope of practice policy

- 1.0 FTE Principal Policy Advisor (3 months from 1 April 2021) **fixed term continued**
- Sector liaison (travel and venue costs)
- Expert advice/ Social Worker Advisory group (consultancy/ consultation budget)

Education Framework Review

Practising certificate fees

Continue work on the education framework

- 0.5 FTE Principal Policy Advisor (8 months from 7 November 2021) **fixed term continued**
- 1.0 FTE Senior Policy Advisor 12 months **fixed term new**
- Sector liaison (travel and venue costs)
- Expert advice/ Social Worker Advisory Group (consultancy/ consultation budget)

Programme Recognition Standards

Practising certificate fees and Programme recognition standards fees

Structure, processes and procedures review required prior to the programme recognition standards review

Increased level of work in this area

- 0.5 FTE Principal Policy Advisor 12 months **fixed term new**
- Sector liaison (travel and venue costs)
- Expert advice/ Social Worker Advisory Group (consultancy/ consultation budget)

Communications

Crown funding

Continue transition period information campaign

- 1.0 FTE Communications Manager (4 months from 6 March 2021) **fixed term continued**
- 1.0 FTE Communications Coordinator (4 months from 10 March 2021) **fixed term continued**

Registration

Registration fees

Transition period additional registrations

- 2.0 FTE Registration Officers (4 months from 1 March 2021) **fixed term continued**

Activity/ initiative/ funding source

Research, Surveys & Data Analysis

Practising certificate fees & Disciplinary Levy

Know where to focus and how to get the highest impact to:

- Support and encourage social worker professionalism
- Support and encourage good practice through information campaigns
- Reduce harm by practitioners through targeted audits

Information Management, IT & Finance

Practising certificate fees & Disciplinary Levy

Database & IT support and implement and maintain information strategy (Public Records Act 2005)

Finance processes and procedures development and alignment
Increased office administration due increased organisation size

Professional Standards/Advisory

Practising certificate fees & Disciplinary Levy

Lift professionalism, improve systems & processes including for new database, and be more responsive to social workers, complainants and active relationships with Māori

Complaints Assessment & Advisory

Disciplinary Levy

Increased volume of complaints and referrals to Professional Conduct Committee

Operations

Practising certificate fees & Disciplinary Levy

Increased organisation size and continued process and procedures development

Disciplinary Tribunal cases

Disciplinary Levy

Reassessed due to higher volume in 2019/20

Reserves

Practising certificate fees & Disciplinary Levy

Continue to build our reserves held to government agency 3-months operating costs for a major shock event

Proposed resource

- 1.0 FTE Senior Data Analyst **permanent new**
- 1.0 FTE Data & Research Principal Advisor **permanent new**
- Sector liaison (travel and venue costs)
- \$80,000 for survey external provider costs

- 1.0 FTE Database Administrator & Information Management (4 months from 1 March 2020) **permanent new** (includes **reallocation** of 0.8 FTE fixed term Administrator role)
- 0.5 FTE Accountancy Assistant (10 months from 1 March 2020) **fixed term new** (**reallocation** of 1.0 FTE fixed term Registration Officer/Accounts role)

- 1.0 FTE Chief Advisor Social Work **permanent new**
- 1.0 FTE Social Work Practice Senior Advisor (11 months from 1 August 2020) **fixed term continued**
- 0.5 FTE Professional Standards Administrator **permanent new**

- 1.0 FTE Senior Legal Investigator (4 months from 10 March 2021) **fixed term continued**

- 1.0 FTE Business Operations Manager (HR /Finance /IT / Procurement/ Property) (4 months 1 February 2021) **permanent not fixed term**
- 1.0 FTE Senior Operational Policy Advisor (3 months from 1 April 2021) **fixed term continued**
- 0.5 FTE Administrator **fixed term new**
- **Increase** from 2 to 4 Disciplinary Tribunal cases @ \$75,000 each to be held in resources until required

Our current reserves for 3-months operating costs are around \$200,000 (Disciplinary Levy held separately), whereas the minimum forecast for 2020/21 is \$1.3 million. We need to build our reserves by \$1.1 million

Consultation

The OAG and Treasury guidelines expect that changes to fees and levies are publicly consulted on unless it is difficult to do so before they are implemented.

We have not publicly consulted on the proposed fees and the Disciplinary Levy for 2020/21. In this instance, the fees and levy could not be set until closer to the end of the first year of the transition period implementation. As the fees and Disciplinary Levy must be Gazetted by 1 April 2020 to allow for invoicing of the practising certificate fees on 1 May 2020, there is not enough time to provide the usual 6-8 weeks consultation period and time to analyse and report on the submissions.

We are planning to undertake consultation for our 2021/22 funding review, if possible. If most of the transition period new registrations are delayed until February 2021, then we will not be able to assess the 2021/22 budget based on normal ongoing activities and volumes. If most transition period new registrations are delayed until February 2021, we plan to consult on the 2022/23 funding review instead.

Implementation plan

We have updated the implementation plan for 2020/21. Oversight of the plan is by the Chief Executive, with implementation led by a Change Manager and SWRB staff. Progress will continue be reported to the Board at the Board's two-monthly meetings.

Monitoring, evaluation and review

Current performance

Regular monitoring of the SWRB's performance is undertaken by MSD as the monitoring agency for the SWRB. This includes whether the SWRB is meeting performance targets set by the Minister.

Our Quarter 2 Work Programme Report 2019 shows an overall rating of green with all activities on track.

Evaluation of funding review changes

The funding review changes will be evaluated as part of the funding review for 2021/22. The changes will be successful if the SWRB's performance is assessed as meeting the SWRB's Statements of Performance Expectations each year to 2022/23.

Next funding review

The next review will occur in 2020/21 for the financial year for the financial year 2021/22.

Appendix 1: Current Fees and Disciplinary Levy continued for 2020/21

Charge	2019/20 \$ incl. GST	Proposed 2020/21 \$ incl. GST	Change
Registration application fee	345	345	No change
Practising certificate application fee	368	368	No change
Practising certificate (new graduate ¹) application fee	268	268	No change
Experience pathway section 13: Stage 1 assessment application fee	276	276	No change
Experience pathway section 13: Stage 2 assessment application fee	1,400	1,400	No change
Overseas qualifications section 7: Assessment application fee	300	300	No change
Competence assessment fee	255.55	255.55	No change
Competence assessment (face to face) fee	3,102.70	3,102.70	No change
Certificate copies application fee (copies of certificates or entries, or for supplying documents for overseas registration purposes (Certificate of Good Standing))	46.00	46.00	No change
Replacement practising certificate identification cards fee	20.00	20.00	No change
Education programme recognition and re-recognition fee	Up to 29,900	Up to 29,900	No change
Education programme accreditation mid-cycle fee	Up to 10,350	Up to 10,350	No change
Disciplinary Levy	50	50	No change

Notes:

1. For the purpose of this fee, a new graduate is someone applying for their first practicing certificate within 12 months of completing the requirements of a Board recognised New Zealand qualification.

Appendix 2: Fees and Disciplinary Levy sections

Social Workers Registration Act 2003

(amended from 28 February 2019 under the Social Workers Registration Legislation Act 2019)

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.

Appendix 3: Assessment of activities applying the OAG and Treasury guidelines

Mechanisms generally used to fund public sector agency activities include:

- **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, as well as (often) the primary beneficiaries of an effectively functioning regulatory system. The Treasury Guidelines apply to cost recovery for club goods, as well as private goods.
- **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; these can be considered as activities with a public good. Crown funding can be used in these cases.
- **Private goods.** Where charges can be imposed on a specific individual or organisation for a good or service or regulation directly provided to (or directly benefiting) that individual or organisation. These types of charges must be set at no more than the amount necessary to recover the cost attributable to providing the private good. The OAG Guidelines apply to cost recovery for private goods.

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. The public and users of social worker services are and do. However, they receive the spill-over benefit of 'safety of members of the public' and 'enhanced professionalism of social workers'. Spill-over benefits do not usually result in Crown funding for activities relating to a specific profession such as such as certification, monitoring, education and guidance, complaints, conduct notifications, investigations and disciplinary proceedings.

Here is our assessment of the SWRB's activities applying the OAG and Treasury guidelines.

Assessment of the SWRB's activities applying the OAG and Treasury guidelines (excludes implementation activities directly relating to recent changes to the Act)					
Activity	Rationale	What type of charge applies and how often	Economic characteristics of the activity to identify the funding source	Full or part cost recovery	Outcome sought
Registration	Assessment of an individual for assurance they are qualified, competent and a fit and proper person to be a social worker	Fee – an individual who wants to practise as a social worker (One off)	Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the services and the services are provided directly to the individual	Full	Safety of members of the public Enhance the professionalism of social workers Monitor the appropriate use of the title 'social worker'

Assessment of the SWRB's activities applying the OAG and Treasury guidelines

(excludes implementation activities directly relating to recent changes to the Act)

Activity	Rationale	What type of charge applies and how often	Economic characteristics of the activity to identify the funding source	Full or part cost recovery	Outcome sought
Practising Certification	<p>A check that the social worker has not been removed from the register</p> <p>Declaration from them that they remain a fit and proper person to practice as a social worker</p>	<p>Fee – an individual who wants to practise as a social worker</p> <p>(Annual)</p>	<p>Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the services and the services are provided directly to the individual</p>	Full	<p>Safety of members of the public</p> <p>Assurance that the registration standards are still met</p> <p>Monitor the appropriate use of the title 'social worker'</p>
New graduate Practising Certification	<p>A check that the new graduate social worker has been registered</p> <p>Declaration from them that they are a fit and proper person to practice as a social worker</p>	<p>Fee – an individual who is a new graduate wants to practise as a social worker</p> <p>(One off)</p>	<p>Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the services and the services are provided directly to the individual</p>	Full	<p>Safety of members of the public</p> <p>Improve social worker professionalism</p> <p>Monitor the appropriate use of the title 'social worker'</p>
Initial non-binding assessments -section 13 (applies until 28 February 2023)	<p>An assessment of an individual's experience to be registered in New Zealand, where no SWRB recognised qualifications are held</p>	<p>Fee – an individual who does not have a SWRB recognised qualification wants to practise as a social worker</p> <p>(One off)</p>	<p>Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the services and the services are provided directly to the individual</p>	Full	<p>Safety of members of the public</p> <p>Enhance the professionalism of social workers</p> <p>Monitor the appropriate use of the title 'social worker'</p>
Initial non-binding assessments -overseas applicant	<p>An assessment of an individual's international qualification where no SWRB recognised qualifications are held</p>	<p>Fee – an individual who does not have a SWRB recognised qualification wants to practise as a social worker</p> <p>(One off)</p>	<p>Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the services and the services are provided directly to the individual</p>	Full	<p>Safety of members of the public</p> <p>Enhance the professionalism of social workers</p> <p>Monitor the appropriate use of the title 'social worker'</p>

Assessment of the SWRB's activities applying the OAG and Treasury guidelines

(excludes implementation activities directly relating to recent changes to the Act)

Activity	Rationale	What type of charge applies and how often	Economic characteristics of the activity to identify the funding source	Full or part cost recovery	Outcome sought
Competence assessments (Overseas applicant)	An assessment of an individual's overseas competence to practice in New Zealand	Fee – an individual who has overseas qualifications wants to practise as a social worker in New Zealand (One off)	Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the services and the services are provided directly to the individual	Full	Safety of members of the public Enhance the professionalism of social workers Monitor the appropriate use of the title 'social worker'
Copies of certificates or entries, or for supplying documents for overseas registration purposes (Certificate of Good Standing)	Usual activity in operating a practitioner Register	Fee – an individual who was/is registered and holds/ held a current practising certificate wants to register as a social worker overseas (One off)	Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the services and the services are provided directly to the individual	Full	Ensure access to information on the register by those who have authority to access that information
Replacement practising certificate identification cards	Usual activity in operating a practitioner Register	Fee – an individual who holds a current practising certificate (One off)	Private good – user funded – an individual is the primary beneficiary or primarily causes the need for the services and the services are provided directly to the individual	Full	Provide proof of authorisation for a person practising as a social worker
Recognition and Re-recognition of Social Work Programmes	Assessing New Zealand tertiary education providers' programmes and qualifications provided to be recognised by the SWRB for registration of social workers Provides assurance as to programme quality and standard of delivery	Fee – a New Zealand education provider wants its programme and qualification recognised, or continue to be recognised, by the SWRB (Initial and at least every 5 years)	Private good – user funded – the organisation is the primary beneficiary or primarily causes the need for the services and the services are provided directly to the New Zealand education provider	Full	Programmes and qualifications are appropriate Safety of members of the public Enhance the professionalism of social workers Monitor the appropriate use of the title 'social worker'

Assessment of the SWRB's activities applying the OAG and Treasury guidelines

(excludes implementation activities directly relating to recent changes to the Act)

Activity	Rationale	What type of charge applies and how often	Economic characteristics of the activity to identify the funding source	Full or part cost recovery	Outcome sought
<p>Social worker audits (New activity - replaces competence assessment & competence recertification of New Zealand qualified applicants)</p>	<p>Audits of randomly selected or a target group of registered social workers who hold a current practising certificate</p> <p>Provides incentives for social workers to comply with the social worker regulatory system for the safety of the public</p>	<p>Social Worker Levy – registered social workers who hold a current practising certificate - as a group, annually</p> <p>(Annual - currently through the Practising Certificate Fee)</p>	<p>Club good – participant group funded – registered social workers holding a current practising certificate, as a group, are the primary beneficiaries or primarily cause the need for the social worker regulatory system, whether or not they are audited</p>	Full	Robust monitoring of social worker compliance with the Act and regulatory framework
<p>Enquiries</p>	<p>Enquires from social workers, employers and the public</p> <p>The enquiries system provides 'assisted compliance' for social and information to the public and others, for the safety of the public</p>	<p>Social Worker Levy – registered social workers who hold a current practising certificate - as a group, annually</p> <p>(Annual - currently through the Practising Certificate Fee)</p>	<p>Club good – participant group funded – registered social workers holding a current practising certificate, as a group, are the primary beneficiaries or primarily cause the need for the social worker enquiries system, whether or not they use it</p>	Full	<p>Assist social workers comply with the Act and regulatory framework</p> <p>Provide information to the public and employers about social worker the regulatory system</p>
<p>Complaints</p>	<p>Complaints about a social worker from another social worker, an employer, the public or a government agency</p> <p>The complaints system supports social worker compliance for the safety of members of the public</p>	<p>Disciplinary Levy – registered social workers who hold a current practising certificate</p> <p>(Annual - currently through the Practising Certificate Fee)</p>	<p>Club good – participant group funded – registered social workers holding a current practising certificate, as a group, are the primary beneficiaries or primarily cause the need for the social worker complaints system, whether or not a complaint is received about them</p>	Full	<p>Provide access to redress those who deal with social workers for non-compliance by social workers</p> <p>Safety of members of the public</p> <p>Enhance the professionalism of social workers</p>

Assessment of the SWRB's activities applying the OAG and Treasury guidelines

(excludes implementation activities directly relating to recent changes to the Act)

Activity	Rationale	What type of charge applies and how often	Economic characteristics of the activity to identify the funding source	Full or part cost recovery	Outcome sought
Investigations, Professional Conduct Committee support and Disciplinary Tribunal support	Investigations, Professional Conduct Committee assessments and Disciplinary Tribunal hearings Provides incentives for regulatory compliance by social workers and to protect the public	Disciplinary Levy – registered social workers who hold a current practising certificate (Annual - currently through the Practising Certificate Fee)	Club good – participant group funded – registered social workers holding a current practicing certificate, as a group, are the primary beneficiaries or primarily cause the need for the social worker disciplinary system, whether or not they are investigated, assessed by the Professional Conduct Committee or have a case before the Disciplinary Tribunal	Full	Provide access to redress those who deal with social workers for non-compliance by social workers Safety of members of the public Enhance the professionalism of social workers
Secretariat for the Board Advice to the Board on social worker regulatory and compliance issues	As part of the legal structure under the Crown Entities Act 2004	Social Worker Levy – registered social workers who hold a current practising certificate - as a group (Annual - currently through the Practising Certificate Fee)	Club good – participant group funded – registered social workers holding a current practicing certificate, as a group, are the primary beneficiaries or primarily cause the need for the Board	Full	Assist the Board with governance in accordance with the Crown Entities Act 2004 and Government guidelines and policy settings
Technical advice development and provision Social worker regulatory framework and system reviews Operational policy development	Business-as-usual reviews and updates of regulation, policy, criteria and processes to deliver on the SWRB's legislative mandate	Social Worker Levy – registered social workers who hold a current practising certificate - as a group (Annual - currently through the Practising Certificate Fee)	Club good – participant group funded – registered social workers holding a current practicing certificate, as a group, are the primary beneficiaries of an effectively functioning regulatory system or primarily cause the need for the social worker regulatory system primary beneficiaries	Full	Ensure up-to-date, effective and efficient delivery of SWRB's legislative mandate Ensure trust in government institutions Safety of members of the public Enhance the professionalism of social workers

Assessment of the SWRB's activities applying the OAG and Treasury guidelines

(excludes implementation activities directly relating to recent changes to the Act)

Activity	Rationale	What type of charge applies and how often	Economic characteristics of the activity to identify the funding source	Full or part cost recovery	Outcome sought
Ministerial servicing, OIAs, technical advice to the Minister, responding to Parliamentary Committees	As part of the Crown entity obligations as a government agency	Crown funding – from general taxation (Annual - currently through the Practising Certificate fee)	Public good – wider public benefits to the public for the proper administration of government and trust in government institutions	Partial (Government decision that the balance is to be from the practicing certificate fee)	Assist Ministers and the Government Ensure trust in government institutions
Strategy, planning, and data and intelligence analysis and advice	Usual business strategy and planning and reporting Identify trends in risk and apply regulatory interventions that best change behaviour to improve the social worker workforce professionalism Ensure the SWRB is an evidence based, intelligence-led, risk focused regulator	Social Worker Levy – registered social workers who hold a current practising certificate - as a group (Annual - currently through the Practising Certificate Fee)	Club good – participant group funded – registered social workers holding a current practicing certificate, as a group, are the primary beneficiaries of an effectively functioning regulatory system or primarily cause the need for the social worker regulatory system	Partial (Government decision that the balance is to be from the practicing certificate fee)	Ensure the SWRB an effective regulator using the good practice modern regulator approach applied by other New Zealand safety regulators
Crown entity performance and budget reporting, development of Statements of Intent and Statements Performance Expectations	Part of the Crown entity obligations as a government agency under the Crown Entities Act 2004	Crown funding – from general taxation (Annual - currently through 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	Partial (Government decision that the balance is to be from the practicing certificate fee)	Ensure the SWRB delivers appropriate performance and to meets Government's policy objectives for social workers and the wider sector Ensure trust in government institutions

Assessment of the SWRB's activities applying the OAG and Treasury guidelines

(excludes implementation activities directly relating to recent changes to the Act)

Activity	Rationale	What type of charge applies and how often	Economic characteristics of the activity to identify the funding source	Full or part cost recovery	Outcome sought
Sector, cross-agency, education provider and international engagement	Part of the being an effective modern regulator and a government agency	<p>Social Worker Levy – registered social workers who hold a current practising certificate - as a group</p> <p>(Annual - currently through the Practising Certificate Fee)</p>	<p>Club good – participant group funded – registered social workers holding a current practicing certificate, as a group, are the primary beneficiaries of an effectively functioning regulatory system or primarily cause the need for the social worker regulatory system</p>	Full	<p>Collaboration to assist Government meet wider sector policy objectives</p> <p>Ensure constancy across agencies</p> <p>Stay up-to-date with social sector international good practice</p>