



**Social Workers  
Registration Board**  
Kāhui Whakamana Tauwhiro

Aotearoa's social worker regulator and lead agency  
for social worker workforce planning

## **Statement of Performance Expectations 2023/2024**

For the period ending 30 June 2024

June 2023

# Social Workers Registration Board (SWRB) – Kāhui Whakamana Tauwhiro

## Our kaupapa

Our kaupapa brings together our whakatauākī, our purpose, our foundational values and our outcomes into one place, showing how we make a difference for Aotearoa and shape our mahi through He Arapaki, our Māori Development Strategy and Action Plan.

## Our whakatauākī

Our whakatauākī embeds a Māori worldview and underpins our organisational purpose. It reflects the continuous improvement journey we are on as an organisation, draws on ancient Māori knowledge and teachings, embedding tikanga Māori into our core business functions. This supports the transformation of the organisation into a modern regulator and lead agency for workforce planning, through active partnership with Māori. In this context the word Tauwhiro (in our Māori name) and whakatauākī are about settling, resolving, and bringing balance through supporting the wellbeing and dignity of all: whānau, tamariki, mokopuna and communities.

**He ara pūkenga, he ara tauwhiro, hei whakamana mātā waka.<sup>1</sup>**

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

## Our purpose

Our purpose is to protect the safety of members of the public by ensuring social workers are competent and safe to practise and are accountable for the way in which they practise. We also enhance social workers' professional practice and provide insight into the opportunities and challenges facing the social worker workforce.

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<sup>1</sup> Gifted to the SWRB by Danny Makamaka of Ngāi Tūhoe, a prominent teacher and kaumatua for Te Wānanga o Aotearoa

We deliver on this purpose through our two core functions, as Aotearoa’s social worker regulator and lead agency for social worker workforce planning.

## Our values

Our **organisational values** are an acknowledgement of those who came before us and their tireless effort in establishing a tikanga Māori framework.

Our current values have inspired new thinking, in terms of our behaviours as a regulator and workforce planning lead for the social work profession.

Living our values helps us to bring to life our whakatauākī and our purpose.

<b>Matatika</b>	To do what is right and just, ethical, fair, equitable, honest, unbiased, impartial, moral, trustworthy
<b>Manaaki</b>	To look after the dignity of others, to support, to tend, to take care of, protect, look out for, show respect, generosity, and kindness towards others
<b>Mahitahi</b>	To work together as one, collaborate, cooperate, co-design, connect, interact, reciprocate, discuss, debate, work in unity with teamwork and synergy
<b>Māia</b>	To be bold, brave, capable, confident, courageous, and have endurance, strength, resilience

## Our te Tiriti O Waitangi statement

As the SWRB, we recognise the Crown–Māori commitment as Te Tiriti O Waitangi partners and are committed to improving services and outcomes for Māori, strengthening the Crown’s relationship with Māori, and developing our Māori capability.

## Our outcomes

Our **outcomes** help us to focus on the things that matter most for New Zealanders, and guide where we put our effort and resources. Our high-level outcomes are:

### 1. To be an active partner with Māori

SWRB will continue to recognise and support the Crown–Māori commitment as Te Tiriti O Waitangi partners. SWRB will ensure the views of Tangata Whenua are recognised in the work that we do.

### 2. To be responsive to the diverse communities of Aotearoa

We will continue to work closely with partner organisations both inside and outside government to better understand needs.

### **3. To promote public trust and confidence in the social work profession**

Social workers are safe and fit to practise, are held to account for meeting conduct, competence, and ethical standards, and are practising within the General Scope of Social Work Practice.

### **4. To enable social workers to demonstrate quality professional practice**

Social workers are qualified, experienced, skilled, culturally competent, maintain continuing professional development (CPD) and undertake professional supervision.

### **5. To enable sufficient numbers of social workers to meet the growing demand for social work services**

We provide information and insights into the social worker workforce based on data analysis, and a robust evidence base. We ensure this work is shared with Ministers, agencies, and stakeholders to support a joined up social work system, informing decisions and providing advice into the opportunities and challenges facing the social work profession.

## **Our relationships**

**Our relationships** are critical for improving regulatory performance and compliance across the social work sector and for supporting our understanding of what is needed to improve social worker workforce planning.

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# Foreword

The Social Workers Registration Board (SWRB) / Kāhui Whakamana Tauwhiro is a Crown Entity established under the Social Workers Registration Act 2003. The SWRB is Aotearoa's social worker regulator and lead agency for workforce planning for all social workers.

We are governed by a seven-member Board appointed by the Minister for Social Development and Employment, under the Social Workers Registration Act 2003. We are monitored by the Ministry of Social Development and accountable to the Minister for Social Development and Employment.

As a Crown Agent under the Crown Entities Act 2004, the SWRB is the only Crown Entity regulator in the social sector. We have around 40 staff, mostly located in Wellington.

Our role is to protect the safety of members of the public by ensuring social workers are **competent** and **safe** to practise and are **accountable** for the way in which they practise. We also enhance social workers **professional** practice and provide **insight** into the opportunities and challenges facing the social worker workforce.

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

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

Our mandate is similar to other regulatory authorities under the Health Practitioners Competence Assurance Act 2003, although many social workers work in non-health settings. There are also other important differences in that the SWRB is a Crown Agent which carries additional accountability responsibilities.

The SWRB has now been operating in a mandatory registration environment for over two years. With each passing year we are growing our understanding of what this means in practice, for example we are dealing with an increasing number of complaints and disciplinary matters which require our attention. This requires the organisation to be nimble and adaptable to the changing regulatory landscape.

The SWRB is pleased to see the Social Workers Registration Act continue to evolve, including a proposed extension to Section 13 of the Act, which is for registration through experience. In 2023/24 we will start our work to review the Act, which occurs on a regular basis.

This includes for how we fund our regulatory operations. As a fees and levy funded organisation, we operate on a cost recovery basis. We undertook our first major funding review in 2021, and in the 2023/24 we will be undertaking a further review. Through this we will continue to ensure financial stability and the ability to better meet our legislative obligations, in particular ensuring safety for members of the public, being responsive to the needs of Māori, and improving the professionalism of social workers in the regulatory system.

The SWRB, like many other organisations, is experiencing issues with increasing operational costs and staff retention in a context of continued high demand for our regulatory work and Crown funded activity. The cost pressures are not sustainable in the longer term, especially given the limited equity reserves available to offset any unexpected shocks. We are discussing potential short and longer term solutions to address this with our monitoring agency. We will continue to examine our systems and ways of working to ensure that they are as efficient as they can, so that we can deliver against the strategic outcomes for the organisation.

Outside of our core work we will continue to share our expertise and take a leadership role on building the capability of social workers in Oranga Tamariki and undertaking work to better understand 'social work-like' roles in the rollout of the pay equity agreement for social workers to the NGO sector.

With our 2022–26 Statement of Intent as our guiding document, we will be progressing our mahi towards meeting the outcomes we have set in this Statement of Performance Expectations (SPE). The priorities we outline here support our ongoing journey to becoming a modern regulator within Government. They also support the continuous improvement of our organisational policies and processes.



A handwritten signature in blue ink that reads "Shannon Pakura".

**Shannon Pakura, MNZM, RSW**  
Chair, SWRB



A handwritten signature in blue ink that reads "Sarah Clark".

**Sarah Clark**  
Chief Executive, SWRB

## Board Statement

This SPE reflects our proposed performance targets and forecast financial information for the financial year 1 July 2023 to 30 June 2024.

This SPE is produced in accordance with the requirements of section 149E of the Crown Entities Act 2004.

The forecast financial statements and underlying assumptions in this SPE have been authorised as appropriate for issue by the Board of the SWRB, in accordance with its role under the Crown Entities Act 2004.

The Board acknowledges responsibility for the information and prospective financial statements contained in this SPE.

*Signed on 23 June 2023*



**Shannon Pakura, MNZM, RSW**  
Chair, SWRB



**Adam Davy**  
Chair, Finance Audit and Risk  
Committee, SWRB

# Section One: He ara pūkenga

## Where we have come from

It has now been two years since it became mandatory for social workers to be registered in Aotearoa. During this period, we have been developing our understanding of what this means for the SWRB, the public and social workers in practice. This has led us to grow our organisation to meet our regulatory and legislative requirements. This requires the organisation to be nimble and adaptable to the changing regulatory landscape, while continuing our focus on our core objective of keeping members of the public safe.

Whilst we are transforming our practices as a modern regulator, moving towards supporting and encouraging compliance, increasing communication and proactively engaging with social workers, employers, and the public, we continue to be mindful of the costs of the regulatory functions on the sector.

As a primarily fees and levy funded organisation, we operate on a cost recovery basis. We undertook our first major funding review in 2021, which was implemented in 2022. We want to be transparent with the sector and other key government stakeholders on the nature of those costs, and what fees and the Disciplinary Levy cover. With significant cost pressures, especially in relation to disciplinary matters, we will look to review fees in 2023/24.

Through this we will continue to ensure financial stability and the ability to better meet our legislative obligations, in particular ensuring safety for members of the public, being responsive to the needs of Māori, and enhancing the professionalism of social workers. We will do this while continuing to examine our systems and ways of working, ensuring they are as efficient as they can be.

Our aspirational 2023/24 priorities support our journey as both Aotearoa's social worker regulator and as lead agency for social worker workforce planning. Our workforce planning role is funded directly by the Crown. It allows us to deliver added value to the sector in a unique way, as we draw on our insights as a regulator to identify opportunities, challenges, and trends to help join up the currently fractured system.

2022/23 was an exciting year for SWRB, sharing our expertise and taking a leadership role on two key pieces of work: building the capability of social workers in Oranga Tamariki, and undertaking work to better understand 'social work-like' roles as part of the extension of the pay equity settlement for social workers working in the NGO sector. This work will continue into 2023/24 and provides an opportunity for us to broaden our reach and understanding of social work and the wider social sector.

We are on a journey of continuous learning and improvement, ensuring we meet our legislative requirements for Māori, embedding He Arapaki, our Māori Development Strategy and Action Plan, throughout all that we do, revising our policies and updating our processes and reframing our thinking.

He Arapaki is used as a foundational frame of thinking, providing the patterns for weaving our narratives and progressing our mahi.

We will continue our mahi contributing to the wider social sector to improve the wellbeing of the public in New Zealand.

## Section Two: He ara tauwhiro

### Who we are: Crown Entity, Regulator, Lead Agency – Workforce Planning

#### Statutory Crown Agent under the Crown Entities Act 2004

The SWRB is a Statutory Crown Agent under the Crown Entities Act 2004.

Current Crown funding in support of this function is \$114,000 per annum.

The SWRB is governed by a seven-member Board appointed by the Minister for Social Development and Employment, under the Social Workers Registration Act 2003 (our establishment legislation).

Crown agents are those Crown entities most closely subject to ministerial control, as they must “give effect to” policy that relates to the entity’s functions and objectives if directed by the Minister. (Statutory Crown entities – A guide for ministers. The Public Service Commission)

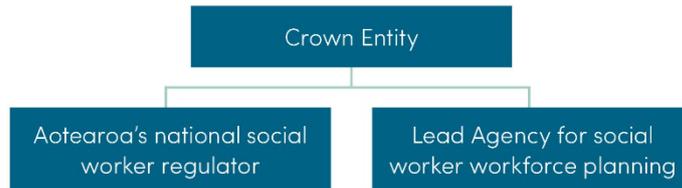
SWRB performance is monitored by the Ministry of Social Development on behalf of the Minister for Social Development and Employment. As part of the Crown, we must meet the requirements of the Crown Entities Act, the Public Service Act, and the Public Finance Act, as well as our own establishment legislation.

In addition to legislative requirements, the Enduring Letter of Expectations, issued jointly by the Ministers of Finance and the State Sector in 2019, sets out government’s expectations of the SWRB and of the Board.

Through its Enduring Letter of Expectations, as a Crown Entity we are expected to deliver on two key areas of focus for the government: supporting future-focused Māori-Crown relations and contributing to improving wellbeing.

Through the SWRB’s vision that social workers in Aotearoa are accountable, recognised and valued, and through anchoring all that we do in He Arapaki, we support the government’s areas of focus and overarching priorities.

SWRB has two core functions, we are both Aotearoa’s social worker regulator and lead agency for social worker workforce planning.



## WHO WE ARE



### Established

The SWRB is a Crown Entity **established** under the Social Workers Registration Act 2003 (SWRA 2003).



### Responsible

We are monitored by the Ministry of Social Development and **responsible** to the Minister for Social Development and Employment.



### Governed

As a Crown Agent under the Crown Entities Act 2004, we are **governed** by a seven-member Board appointed by the Minister for Social Development and Employment.



### Purpose (SWRA 2003, Section 3)

Our **purpose** is to protect the safety of members of the public and enhance the professionalism of social workers.

## WHAT WE DO



### Regulatory Functions (SWRA 2003, Section 99)

To exercise the right regulatory response, at the right time and use our enforcement function for the right impact as a modern regulator and support social workers to understand what they need to do to practise safely, and competently within a regulated profession.



#### Registration Framework



#### Complaints & Disciplinary Framework



#### Competence & Accountability Framework



#### Education & Training Framework



### Workforce Function (Cabinet Minute SWC-20-MIN-0111)

To support the system to have the right social workers, with the right skills, knowledge, and competencies in the right place at the right time to support and enhance the wellbeing of New Zealanders.



#### Lead Agency for Social Worker Workforce Planning

Collecting and analysing workforce data and information, and developing insights, to support system wide social worker workforce planning.



### The aims of tangata whenua are priorities

Obligations in relation to Māori (SWRA 2003, Section 100). Obtaining the views of ethnic and cultural groups (SWRA 2003, Section 101).

## Aotearoa's social worker regulator

Our role as the regulator of social workers is set out in our establishment legislation, the Social Workers Registration Act 2003 (administered by the Ministry of Social Development).

Our regulatory functions are funded on a cost recovery basis, through the fees and Disciplinary Levy paid for by social workers and/or employers.

The Act states its purpose is to:

- protect the safety of members of the public, by prescribing or providing for mechanisms to ensure that social workers are competent to practise and accountable for the way in which they practise
- for the purposes of ensuring public safety, social worker competence and accountability create a framework for the registration of social workers in New Zealand and determine their scopes of practice
- establish a board to register social workers, and provide for its powers
- establish a tribunal to consider complaints about social workers
- enhance the professionalism of social workers.

From this legislative purpose, we have developed our organisational purpose statement:

To protect the safety of members of the public by ensuring social workers are **competent** and **safe** to practise and are **accountable** for the way in which they practise. We also enhance social workers' **professional** practice and provide **insight** into the opportunities and challenges facing the social worker workforce.

In addition to maintaining the social worker register and supporting the complaints and disciplinary function, we set and promote standards for social work education and recognise providers of education programmes for social work qualifications.

We provide insights and regulatory guidance, including lessons learnt from our complaints process and sharing the outcomes from the independent Social Workers Disciplinary Tribunal with the sector.

As a modern regulator the SWRB's regulatory approach is underpinned by the principles of 'support, encourage, require', working with social workers, employers, and educators to help them comply with their regulatory obligations. This approach is at the heart of modern regulation, with an emphasis on non-regulatory interventions that change behaviour before moving towards the more traditional regulatory interventions.

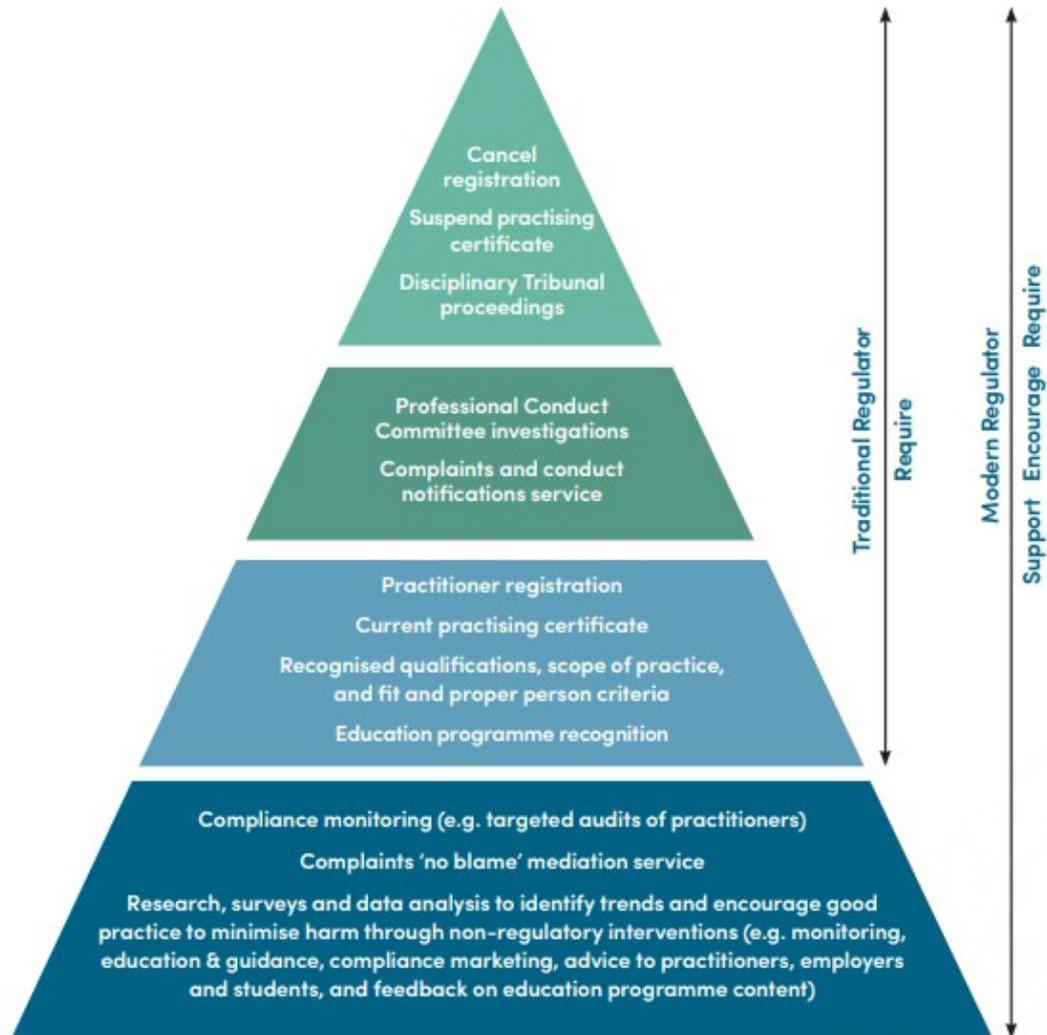
This emphasis can be seen in the diagram below, which suggests an increasing focus on those activities at the bottom of the regulatory triangle.

It is through this approach that the SWRB aims to enhance social worker professionalism and will increasingly see the SWRB operating as an evidence-based, intelligence-led and risk-focused regulator.

The shift towards becoming a modern regulator is an ongoing journey which we began in 2018 and are still working towards. We anticipate it will take a number of years to fully embed this approach.

### Using modern regulator tools

In 2018/19 we looked at what tools we could use to 'support and encourage' rather than focusing on 'requiring' good social work practice as set out in the diagram below.<sup>1</sup>



This ongoing journey is shaped and informed by He Arapaki, as it is interwoven throughout our regulatory functions. He Arapaki is an integral part of our aspiration to becoming a modern regulator and developing a Regulatory Strategy this financial year, will help us achieve that.

## Aotearoa's lead agency for social worker workforce planning

It is through our establishment legislation, the Social Workers Registration Act (2003) and our stated purpose, to enhance the professionalism of social workers, that we have been designated as Aotearoa's lead agency for social worker workforce planning.

The workforce planning lead agency role was assigned to us by Cabinet and was publicly announced in March 2021. This role is fully funded by the Crown on an establishment basis and not by the fees and disciplinary levy paid by social workers and employers.

The Cabinet Paper that assigns the lead agency role sets out the Government's expectations for how the SWRB is to provide and support workforce planning for all social workers, within existing statutory mandates and available resources.

The Cabinet Paper states that the SWRB will provide and support workforce planning for all social workers, as a lead agency, as opposed to acting as a delivery agency by:

- taking a cross-sectoral, strategic, and collaborative approach, which balances national consistency with being responsive to regional and local situations
- recognising Te Tiriti o Waitangi and partnering with Māori
- working together and in consultation with employers, sector organisations, government agencies, funders, education and training providers, and social workers
- reflecting the diversity of Aotearoa's population, so that the social worker workforce is responsive to Pacific people, and other diverse communities and evolves to reflect the changing needs of the people it supports
- reflecting the changing demographic of Aotearoa's population, particularly the increase in proportion of older people
- ensuring connections and whanaungatanga with health and social sector workforces, particularly where workforce planning exists for allied professionals and other workers.

Through this role the SWRB will use evidence and sector intelligence to:

- develop a workforce strategy that describes the outcomes to be achieved to ensure sustainability in meeting supply and demand for social workers, and that promotes social workers' wellbeing and ethical practice, which is refreshed from time to time
- develop, promote, and refresh at least every five years a cross-sectoral action plan to implement the workforce strategy

- develop, monitor, and report on indicators and measures of progress to implement the workforce strategy
- make the workforce strategy, action plan, monitoring reports, and other workforce planning information publicly accessible
- provide advice on implementation of the workforce strategy
- report through its existing accountability relationship with the Minister for Social Development and the Ministry of Social Development.

To reflect this, we have developed a high-level and aspirational vision for our lead agency mahi, and the high-level aspirational outcome we are seeking to achieve.

Our vision as lead agent for social worker workforce planning is to:

- ensure a **safe, professional**, knowledgeable, competent, and **accountable** social worker workforce, based on **insight** into where and when social workers are required to meet demand for services, to support wellbeing outcomes for New Zealanders.

Our high-level outcome is to:

- ensure we have capable and confident social workers, with diverse skills, knowledge, and experiences to support and enhance the wellbeing of others.

To further develop a workforce strategy and action plan, mahi alongside the sector is planned for the coming year.

To date we have been undertaking data analysis, providing information and insights into the opportunities and challenges facing the social worker workforce - for example, through our Annual Social Worker Workforce Survey, Demand for Social Work Services Survey, and Education Providers Survey - and ensuring these are shared with Ministers, agencies, and stakeholders to support a social work system.

## How we do our mahi

As an organisation we are guided in our mahi by He Arapaki, our Māori Development Strategy and Action Plan and foundational values.

As Aotearoa's social worker regulator and through our firm but fair stance, we are working towards applying the right regulatory response, at the right time as a modern regulator. We will lift our engagement, continue our education and promotional activities to support compliance so that social workers understand what they need to do to practise safely, and exercise our enforcement function for the right impact.

As Aotearoa's lead agency for workforce planning, we will undertake data collection, research, data analysis, providing information and insights to support the system to have the right social workers, with the right skills, knowledge, and competencies in the right place at the right time to support and enhance the oranga of New Zealanders.

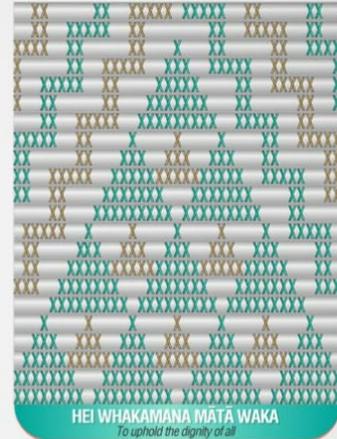
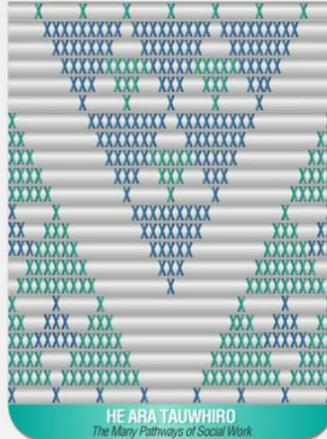
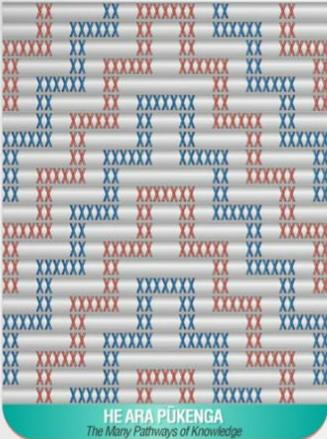
On our journey towards being a modern regulator, we are increasingly taking an intelligence-led, risk focused and evidence-based approach, shaping all that we do through He Arapaki, our whakatauākī and organisational values.

He ara pūkenga, he ara tauwhiro, hei whakamana mātā waka  
The many pathways of knowledge, the many pathways of social  
work, upholding the dignity of all

Giving life to our values in a way that inspires our kaimahi and our partners, is inclusive of all, and influences our regulator and lead agency functions will be an ongoing focus for additional effort and resource over the coming year. This overall approach is expressed through our Outcomes Framework, in Section Three, 'Hei whakamana mātā waka', that also includes our organisational structure, our operational focus and key areas of our work programme for the coming year.

# He Arapaki

transference of knowledge, pathways of stories and discovery  
The SWRB Māori development strategy and action plan



MATATIKA



MANAAKI



MAHITAKI



MĀIA

## Section Three: Hei whakamana mātā waka

### Upholding the dignity of all – Where are we going?

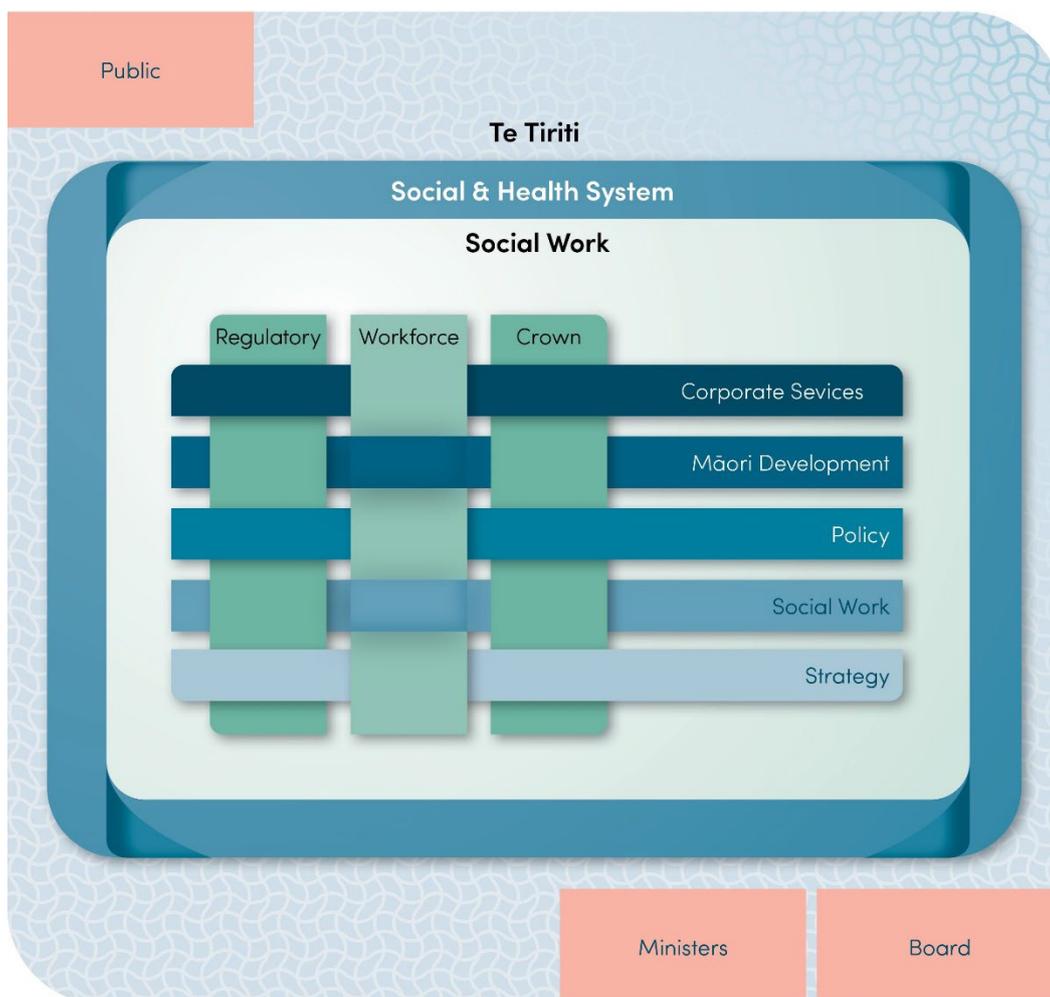
#### Operational focus for 2023/2024

Our journey to being an intelligence-led, risk focused, and evidence-based regulator is supporting our core roles of regulation and compliance, and workforce planning, and enabling us to deliver on the expectations set by the Minister for Social Development and Employment.

#### Operating model

In the 2022/23 year, we refreshed our operating model and organisational structure. As part of this refresh, we reviewed our functional areas to ensure that we were fit for purpose, particularly as we are now two years into a mandatory environment.

Our current operating model is shown below. We will continue to refine and reshape this model as our regulatory understanding develops, but we feel it presents an improved representation of our current standing in a mandatory registration environment.



## Outcomes Framework

### Purpose of an Outcomes Framework

An Outcomes Framework provides a “line of sight” that connects what we do on a day-to-day basis to the bigger longer-term picture for Aotearoa.

- It connects the Board’s purpose, vision, and the impacts the Board wants to make to the longer-term outcomes we are aspiring to achieve for New Zealanders.
- It connects the interventions that we make to our day-to-day work programmes.
- An Outcomes Framework signals the SWRB’s high level priorities both internally and externally, so that everyone knows what the SWRB is trying to achieve and why.

- An Outcomes Framework provides a tool for teams to assess and prioritise their work programmes against, to better align our mahi with the things that matter most for our key audiences: the Minister and the Ministry; the public; social workers; employers and communities.
- An Outcomes Framework provides the external basis for measuring the Board's performance and setting performance measures and provides the platform to subsequently develop additional management information to run the business.

### Where outcomes fit in

Our outcomes are not the only things that determine the SWRB's mahi. They sit alongside three other key drivers:

- Government or Ministerial priorities (expressed in the Enduring Letter of Expectations, and our Performance and Reporting Schedule, with the Ministry of Social Development, for example)
- our statutory obligations under our establishment legislation (the Social Workers Registration Act 2003), the Crown Entities Act and the Public Finance Act
- our Board's annual priorities.

Our work programme must deliver on our statutory obligations as a Crown Entity and within our own legislation, agreed Government/Ministerial priorities and those of our Board. Whilst we can choose to some extent *how* we deliver on them, we cannot choose whether we deliver them.

Our resources and funding will then dictate how much we do and how fast we do it.

In addition, as a public agency, there will be things we may also consider delivering, or be instructed to deliver because they are important for Aotearoa, or the system we are part of. An example of this is the delivery of our mahi on social worker workforce planning, where as a part of the Crown we are required to deliver a function at the instruction of our Minister.

## Our five high-level outcomes

Our outcomes identify where we think the SWRB can add most value for Aotearoa and for New Zealanders, consistent with our SOI and expressed on an annual basis through our SPE.

Our outcomes span what we can directly contribute to, and where we can work with others to contribute.

The outcomes are aspirational statements about where the SWRB can add most value over the medium to longer term.

### 1. To be an active partner with Māori

The SWRB will continue to recognise and support the Crown-Māori commitment as Te Tiriti O Waitangi partners. The SWRB will ensure the views of tangata whenua are recognised in the work that we do.

### 2. To be responsive to the diverse communities of Aotearoa

We will continue to work closely with partner organisations both inside and outside government to better understand needs.

### 3. To promote public trust and confidence in the social work profession

Social workers are safe and fit to practise, are held to account for meeting conduct, competence, and ethical standards, and are practising within the General Scope of Social Work Practice.

### 4. To enable social workers to demonstrate quality professional practice

Social workers are qualified, experienced, skilled, culturally competent, maintain continuing professional development (CPD) and undertake professional supervision.

### 5. To enable sufficient numbers of social workers to meet the growing demand for social work services

Based on data analysis, and a robust evidence base, we provide information and insights into the social worker workforce. We ensure this mahi is shared with Ministers, agencies and stakeholders to support a joined up social work system, informing decisions and providing advice into the opportunities and challenges facing the social work profession.

# Our Outcomes Framework

Our whakatauākī	<p>He ara pūkenga, he ara tauwhiro, hei whakamana mātā waka          The many pathways of knowledge, the many pathways of social work, upholding the dignity of all</p>				
Our purpose	<p>We protect the safety of members of the public by ensuring social workers are competent and safe to practise and are accountable for the way in which they practise. We also enhance social workers’ professional practice and provide insight into the opportunities and challenges facing the social worker workforce</p>				
Our vision	<p>Social workers in Aotearoa are accountable, recognised and valued</p>				
High level outcomes	<p>To be an active partner with Māori</p>	<p>To be responsive to the diverse communities of Aotearoa</p>	<p>To promote public trust and confidence in the social worker profession</p>	<p>To enable social workers to demonstrate quality professional practice</p>	<p>To enable sufficient numbers of social workers to meet the growing demand for social work services</p>
Impacts	<p><b>PROFESSIONAL PRACTICE</b>          Social workers are qualified, experienced, knowledgeable, skilled, culturally competent, maintain CPD and supervision</p>	<p><b>COMPETENCE &amp; SAFE PRACTISE</b>          Social workers are competent and fit to practise,</p>	<p><b>ACCOUNTABLE PRACTICE</b>          Social workers are held to account to meet conduct, competence, and health standards and for practising within the general scope of practice</p>	<p><b>INSIGHT INTO THE DEMAND FOR SOCIAL WORKERS</b>          Provide data, information, and insight into where social workers are needed most and the opportunities and challenges facing the social worker workforce</p>	
Interventions	<p><b>REGULATION</b>          To exercise the right regulatory response, at the right time and use our enforcement function for the right impact as a modern regulator and support social workers to understand what they need to do to practise safely and competently within a regulated profession.          Through: registration, practising certification, conduct &amp; competence, social work education functions, CPD Audits, complaints and notifications, regulatory and practise advice, information and compliance marketing campaigns, competence standards, codes of conduct and ethics</p> <p><b>WORKFORCE PLANNING</b>          To ensure the system has the right social workers, with the right skills, knowledge, and competencies in the right place at the right time to support and enhance the oranga of New Zealanders.          Through: collecting and analysing workforce data and information, and developing insights, for use in workforce planning, sector leadership and engagement, policy development and consultation</p>				

# Key areas of focus for our work programme for the year ahead

For the coming year we will continue to strengthen our business-as-usual operations, as well as expanding into new areas for our organisation. We will focus on our continuous improvement approach to better understand our regulatory environment, build on the work we have done through our workforce planning role, and progress with two key strategic projects: building the capability of Oranga Tamariki Social Workers and providing policy advice on social work-like workforce.

## 1. Active partnership with Māori and responsive to the diverse needs of Aotearoa

We have made progress with the development and continued embedding of He Arapaki through our mahi. Our emerging understanding of our role as a regulator, and a Crown Entity has led to us making a minor change to our Te Tiriti Statement, better reflecting our role as a Crown Entity, and also section 100 of the Social Workers Registration Act.

We see the year ahead as a year of continued development: strengthening our partnership with Māori through living our values and embedding He Arapaki throughout all that we do, developing baseline measures of success for our work with Māori, enhancing social workers' professional practice, building public trust and confidence in the social work profession, and continuing to develop the lead role for sector-wide social worker workforce planning.

**Strengthening our partnership with Māori by ensuring that He Arapaki and our values are central to our mahi**

The aims, aspirations, involvement, and engagement with Māori as tangata whenua continue to be integral to our priorities in 2023/24 by:

- working alongside our partners, and continuing to develop and refine our mahi in the te ao Māori/indigenous regulatory space
- establishing baseline measures of success for our work with Māori
- further embedding He Arapaki, our Māori Development Strategy, across the mahi of the organisation

- supporting our relationship with the Kāhui Māori who advise the Board
- continuing to grow our internal capability and knowledge
- building on our engagement with Kaupapa Māori social service providers, educators, and Māori social workers
- utilising te ao Māori perspectives to shape and inform key business functions and operations.

While the above actions support our progress towards the centring of Māori development in the SWRB, there is more to do to get to where we can genuinely meet our obligations under the Act to –

*Ensure the aims and aspirations of Māori as tangata whenua and appropriate involvement of Māori as tangata whenua are integral and ongoing priorities, and*

*Maintain mechanisms to ensure the views of Māori as tangata whenua are readily accessible to us at all times.*

## 2. Promoting public trust and confidence in the social work profession, and enabling social workers to demonstrate quality professional practice

### Strengthening social workers' professional practice and building public trust and confidence in the social work profession

The introduction of a mandatory environment is itself a significant step forward in the professionalisation of social work in Aotearoa, where we 'support and encourage' high standards of practice and professional conduct among social workers and the employers of social workers. We will continue to embed this work in 2023/24. Key areas of activity will include:

- continuing to develop and share learning from complaints and disciplinary procedures to inform practice
- Using the findings of our 2022/23 baseline research on public trust and confidence in the social work profession to inform our work
- Development of a regulatory strategy/framework

- Initiating the review of the Social Workers Registration Act (undertaken every three to five years)
- Continuing to connect and bring groups (including iwi organisations) together from across the social sector to share and strengthen connections with other occupations related to social work
- providing practice guidance to support quality professional practice
- working with key partners to develop tools and information to promote quality professional practice
- Building off the work on social work-like roles, undertake initial work to develop a framework of how other scopes of practice could be developed alongside revisiting our existing general scope of practice
- Continuing our work to support the capability development of Oranga Tamariki social workers (provided for in Budget 2022), which will also help to inform our understanding of the regulation of social work training
- better integrating our data to get a better understanding of our risk.
- continuing to promote the value of registration and the regulatory framework to the sector
- support and encourage quality professional practice through regular promotion and engagement with social workers, social work students, employers, education providers and the public, with a particular focus on Oranga Tamariki.
- continue to update the Education Standards (previously known as Programme Recognition Standards) and develop a monitoring framework to ensure the delivery of quality social work education.
- continue to undertake visits with Education providers to support quality social work graduates.

### 3. To support sufficient social workers to meet the growing demand for social work services

#### Continuing to develop the lead role for sector wide social worker workforce planning

Through our workforce planning role, we provide insight into the opportunities and challenges facing the social worker workforce. We undertake data analysis, provide information and insights into the opportunities and challenges facing the social worker workforce and share this across the sector and with Ministers, agencies and stakeholders to support a joined up social services system, informing decisions and advice. Activities include:

- conducting our annual social worker workforce survey
- provide advice on the proposal to extend the experience pathway
- further developing our workforce reporting capability working with other technical experts
- continuing to build our relationships with the social services/social work sector to build a joined-up view to address the fragmentation of the system
- delivering advice to Cabinet on the social work like roles, as part of the pay equity rollout to the non-government sector
- Building and strengthening our links with other agencies that have a workforce function including the Ministries of Health, Education, Oranga Tamariki and the Ministry of Business, Innovation and Employment

## Section Four

### Statement of Performance Expectations 2023/2024

#### Output Class: delivery of mandatory registration and workforce planning for all social workers

The following Statement of Performance Expectations (SPE) sets out the outputs the SWRB is funded to provide and the standards against which we will assess our performance.

Our SPE outlines the performance expectations of the SWRB for the year ended 30 June 2024, covering both service performance and the prospective financial statements that are agreed with the Minister for Social Development and Employment.

The SPE is a key element of public and government accountability and enables the Crown to be part of setting annual expectations for the entities that it directly funds.

The SWRB currently delivers services under a single Output Class: delivery of mandatory registration and workforce planning for all social workers. This Output Class is set to:

- protect the safety of members of the public by ensuring social workers are competent and safe to practise, accountable for the way in which they practise, as well as enhancing social workers' professional practice.
- provide insight into the opportunities and challenges facing the social worker workforce.

There is further mahi over the coming year to consider reporting under sub output classes, for which Crown funding (appropriated funding) is received.

As part of our ongoing transformational journey, we regularly review our performance measures in collaboration with the Ministry of Social Development. This review ensures that our measures remain relevant, fit for purpose, and provides a full picture of our organisational performance, across our core roles.

## How will we measure our performance?

Output Class: Delivery of mandatory registration and workforce planning for all social workers				
Output measure description and type	Source	2022/23 Target	2022/23 Estimated Result	2023/24 Target
<b>Timeliness measures (T)</b>				
<b>SPE(T)1:</b> Number and percentage of Aotearoa qualified registration applicants who are notified of the outcome of their application within 40 working days	Application tracking through iMIS	85%		85%
<b>SPE(T)2:</b> Number and percentage of complaints and notifications that initial decisions are made on (that they inform the social worker or complainant of) within 40 working days	Notification tracking	80%		80%
<b>SPE(T)3:</b> Number of valid Section 13 Experience Pathway applications that are assessed within 60 working days of being assigned	Section 13 Tracking sheet	80%		80%
<b>Quantitative measures (QT)</b>				
<b>SPE(QT)1:</b> Assist education providers to ensure that they are meeting education standards through programme reviews	Education programme reviews, Consultation Log	2 reviews 1 mid-cycle	As per programme	4 engagements <sup>2</sup>
<b>Qualitative measures (QL)</b>				
<b>SPE(QL)1:</b> Percentage of applicants who report being satisfied with the registration process	Survey	80%		80%
<b>SPE(QL)2:</b> Percentage of applicants who report being satisfied with the practising certificate renewal process	Survey	80%		80%

<sup>2</sup> We are in the process of revising the Education Standards and Monitoring Framework and changes to our legislation mean that recognition and mid cycle reviews are no longer reflective of the process. However, education visits are still undertaken.

<b>SPE(QL)3:</b> Percentage of staff and other attendees who report that a planned Māori event improved their understanding of te ao Māori within the regulatory context	Survey	85%		85%
<b>SPE(QL)4:</b> Feedback is sought from the sector on key policy and programme changes	Consultation with the operational policy reference group Ad hoc working groups Stakeholder surveys	Baseline		Consultation/engagement surveys
<b>SPE(QL)5:</b> Percentage of stakeholders surveyed who rated the leadership provided by the SWRB on social worker registration as effective would be no less than:	Survey	75%		75%
<b>SPE(QL)6:</b> Percentage of stakeholders surveyed who rated the leadership provided by the SWRB on workforce planning as effective would be no less than:	Survey	75%		75%
<b>SPE (QL)7:</b> Active engagement with social workers and other relevant stakeholders is undertaken	Online and/or in person presentations and wānanga.  Stakeholder engagement and whanaungatanga activities	Baseline  Baseline		At least 3 per year  Consultation/engagement surveys

Operational Performance				
Operational performance measure description and type	Source	2021/22 Target	2021/22 Estimated Result	2022/23 Target
<b>Timeliness measures (T)</b>				
SPE(T)3: Percentage of invoices paid within 10 working days	Financial management system	75%		75%
SPE(QT)2: Percentage of suppliers that are Māori businesses	Masterfile of suppliers	5%		5%

## Section Five

### Prospective financial statements

For the year ending 30 June 2024

#### Prospective revenue and expense for 2023–24 for the SWRB

Expense on the output for 2023/2024 will be funded by payments received by the Board from social workers who apply for registration, from Registered Social Workers who apply for Practising Certificates, from the Disciplinary Levy and from Tertiary Education Organisations that deliver prescribed social work qualifications.

Actual 2021/22 \$000	Estimate 2022/23 \$000		Budget 2023/24 \$000
5,104	7,798	Revenue	6,778
5,225	6,765	Expense	7,610
(121)	1,033	Total surplus/(deficit)	(832)

## Statement of prospective comprehensive revenue and expense for the SWRB for the year ending 30 June 2024

Actual 2021/22 \$	Estimate 2022/23 \$		Budget 2023/24 \$
		<b>Revenue</b>	
3,747,137	4,899,104	Registration & practising fees and levy	4,994,951
1,168,000	2,592,000	Revenue from the Crown Program recognition & other revenue	1,554,000
175,110	224,256	Interest	202,932
13,448	83,063		26,004
<hr/>	<hr/>	<b>Total Income</b>	<hr/>
5,103,695	7,798,423		6,777,887
		<b>Expense</b>	
108,717	212,398	Administration and overhead costs	218,869
320,683	434,691	Complaints and tribunal fees	355,656
134,058	53,055	Publications & Promotions	85,620
28,233	27,352	Depreciation & amortisation	32,664
3,692,050	4,107,269	Personnel costs	4,882,042
940,950	1,930,369	Other expenses	2,034,780
<hr/>	<hr/>	<b>Total Expense</b>	<hr/>
5,224,691	6,765,133		7,609,631
0	0	Other Comprehensive revenue	0
<hr/>	<hr/>	<b>Net Surplus/(deficit)</b>	<hr/>
(120,996)	1,033,290		(831,744)

The accompanying notes and accounting policies form part of these financial statements. These statements have not been audited.

Statement of prospective changes in equity for the SWRB for the year ended 30 June 2024

Actual 2021/22 \$	Estimate 2022/23 \$		Budget 2023/24 \$
687,190	566,193	Total Crown Equity at start of year	1,599,483
(120,997)	1,033,290	Net surplus/(deficit)	(831,744)
<u>566,193</u>	<u>1,599,483</u>	Total Crown Equity at end of year	<u>767,739</u>

The accompanying notes and accounting policies form part of these financial statements. These statements have not been audited.

## Statement of prospective financial position for the SWRB as at 30 June 2024

Actual 2021/22 \$	Estimate 2022/23 \$		Budget 2023/24 \$
		<b>Current Assets</b>	
3,392,409	4,169,359	Cash & cash equivalents	3,332,030
837,679	841,961	Account receivable	906,033
133,620	129,769	Prepayments	133,662
<u>4,363,708</u>	<u>5,141,089</u>		<u>4,371,725</u>
		<b>Non-current assets</b>	
57,799	52,622	Property plant & equipment	51,958
<u>4,421,507</u>	<u>5,193,711</u>	Total Assets	<u>4,423,683</u>
		<b>Less</b>	
		<b>Current Liabilities</b>	
1,429,705	1,165,657	Accounts payable & accruals	1,169,154
243,329	182,865	Employee costs payable	207,479
2,152,915	2,245,706	Income received in advance	2,279,311
29,366	-	Deferred lease liability	-
<u>3,855,315</u>	<u>3,594,228</u>		<u>3,655,944</u>
		<b>Non-Current Liabilities</b>	
-	-	Deferred lease liability	-
<u>3,855,315</u>	<u>3,594,228</u>	Total Liabilities	<u>3,655,944</u>
<u>566,193</u>	<u>1,599,483</u>	Net Assets employed	<u>767,739</u>
		<b>Crown Equity</b>	
687,189	566,193	Accumulated surplus	1,599,483
(120,996)	1,033,290	Current year surplus/(deficit)	(831,744)
<u>566,193</u>	<u>1,599,483</u>	Total Crown Equity	<u>767,739</u>

The accompanying notes and accounting policies form part of these financial statements. These statements have not been audited.

Statement of prospective cash flows for the SWRB for the year ended 30 June 2024

Actual 2021/22 \$	Estimate 2022/23 \$		Budget 2023/24 \$
		<b>Cash Flows from Operating Activities</b>	
4,585,334	4,895,360	Revenue received	5,047,883
1,168,000	2,592,000	Revenue from the Crown	1,554,000
14,251	83,063	Interest received	26,004
(931,689)	(2,808,668)	Payment to suppliers	(2,551,174)
(3,571,189)	(3,961,804)	Payment to employees	(4,882,042)
<hr/>	<hr/>	Net Cash flows from operating activities	<hr/>
1,264,707	799,951		(805,329)
		<b>Cash Flows from Investing Activities</b>	
200,000	-	Net movement in bank term deposits held	-
-	-	Sale of property, plant & equipment	-
(27,154)	(23,001)	Purchase of property, plant & equipment	(32,000)
-	-	Purchase of intangible assets	-
<hr/>	<hr/>	Net Cash flows from investing activities	<hr/>
172,846	(23,001)		(32,000)
1,437,553	776,950	Net increase (decrease) in cash or cash equivalents	(837,329)
1,954,856	3,392,409	Cash or cash equivalents at beginning of year	4,169,359
<hr/>	<hr/>	Cash or cash equivalents at end of year	<hr/>
<u>3,392,409</u>	<u>4,169,359</u>		<u>3,332,030</u>

The accompanying notes and accounting policies form part of these financial statements. These statements have not been audited.

# Notes to the prospective financial statements

For the year ending 30 June 2024

## Basis of preparation

The forecast financial statements of the Social Workers Registration Board have been prepared in accordance with the requirements of the Crown Entities Act 2004, which includes the requirement to comply with generally accepted accounting practice.

These forecast financial statements comply with public benefit entity (PBE) financial reporting standard (FRS) 42 - Prospective Financial Statements. They have been prepared in accordance with Tier 2 PBE Accounting Standards. We are required to prepare a Statement of Performance Expectations including prospective financial statements at or before the start of each financial year to promote public accountability by providing a base against which entity's actual performance can later be assessed. The forecast financial statements may not be appropriate for any other purposes.

All transactions in the Performance Report are reported using the accrual basis of accounting. The Performance Report is prepared under the assumption that the entity will continue to operate in the foreseeable future.

## Assumptions

The forecast financial statements provide information on the future financial performance, position and cash flows of SWRB. They provide information about the future operating intentions and financial position of SWRB, against which it must report and be formally audited at the end of the financial year. Actual results for the forecast periods may vary from the information presented.

The information in these financial statements may not be appropriate for purposes other than those described above.

## Functional and presentation currency

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

## Significant accounting policies

### Revenue

Revenue is recognised to be extent that it is probable that economic benefit will flow to the Board and revenue can be reliably measured. Revenue is measured at the fair value of the consideration received or receivable.

## *Revenue from the Crown*

The fair value of revenue from the Crown has been determined to be equivalent to the amounts due in the funding arrangements. This funding is restricted in its use for the purpose of the Board meeting the objectives specified in its founding legislation and the scope of the relevant appropriations of the funder. Crown funding is recognised in the year the cash is received.

## *Revenue from exchange transaction*

### Interest income

Interest revenue is recognised as it accrues, using the effective interest method.

## *Revenue from non-exchange transaction*

### Practising Fees

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

### Other Revenue from non-exchange transactions

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

### Disciplinary Levy

The disciplinary levy is to reflect the costs of managing complaints and disciplinary processes. The disciplinary levy income is recognised as income upon receipt by the applicant.

## Leases

### *Operating leases*

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

## Cash and cash equivalents

Cash and cash equivalents include cash on hand and deposits held with New Zealand registered banks with original maturities of three months or less.

## Accounts receivable

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

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

## Investments

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

### *Short-term investments*

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

## Property, plant, and equipment

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

### *Additions*

The cost of an item of property, plant and equipment is recognised as an asset only when it is probable that future economic benefits or service potential associated with the item will flow to the Board and the cost of the item can be measured reliably, and the total value of the item exceeds \$2,000.

### *Disposals*

Gains and losses on disposals are determined by comparing the proceeds with the carrying amount of the asset.

Gains and losses on disposals are included in the statement of financial performance.

### *Subsequent costs*

Costs incurred subsequent to initial acquisition are capitalised only when it is probable that future economic benefits or service potential associated with the item will flow to the Board and the cost of the item can be measured reliably.

The costs of day-to-day servicing of property, plant and equipment are recognised in the statement of financial performance as they are incurred.

### *Depreciation*

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

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

### *Impairment of property, plant, and equipment*

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

## Intangible Assets

Intangible assets acquired separately are measured on initial recognition at cost. The cost of intangible assets acquired in a non-exchange transaction is their fair value at the date of the exchange. The cost of intangible assets acquired in a business combination is their fair value at the date of acquisition.

The useful lives of intangible assets are assessed as either finite or indefinite. Intangible assets with finite lives are amortised over the useful economic life and assessed for impairment whenever there is an indication that the intangible asset may be impaired.

The Board does not hold any intangible assets that have an indefinite life.

The amortisation periods for the Board's assets are as follows:

Developed website and computer software (20% SL)

## Creditors and other payables

Creditors and other payables are initially measured at cost.

## Employee benefits

Wages, salaries, and annual leave

Payments for wages, salaries and annual leave are recognised in surplus or deficit during the period in which the employee provided the related services. Liabilities for the associated benefits are measured at the amounts expected to be paid when the liabilities are settled.

## Goods and Services Tax (GST)

All items in the financial statements are presented exclusive of GST, except for receivables and payables, which are presented on a GST inclusive basis.

## Income tax

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

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