

2014—2018

Presented to the House of Representatives pursuant to section 149 of the Crown Entities Act 2004

New Zealand Government

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OPENING STATEMENT

This Statement of Intent has been prepared to meet the requirement of section 139(1) of the Crown Entities Act 2004.

It describes the four-year strategic direction set by the Social Workers Registration Board (the Board), as the Crown entity established to give effect to the Social Workers Registration Act 2003.

The purpose of the Statement of Intent is to promote the public accountability of the Board by:

- enabling the Crown to participate in the process of setting the Board's medium-term intentions and undertakings
- setting out for the House of Representatives those intentions and undertakings
- providing a base against which the Board's actual performance can be assessed.

The Statement of Intent is supported by a Memorandum of Understanding with the Minister for Social Development.

Shayne Walker

Board Chair

27 February 2015

Toni Millar

Chair – Finance Audit and Risk Management Committee

OVERVIEW FROM THE BOARD CHAIR

The legislative changes to the Crown Entities Act, in relation to the production of the Statement of Intent (SOI) and Statement of Performance Expectations (SPE), have been welcomed by the Social Workers Registration Board as an opportunity to more accurately record its strategic intentions and expectations as well as reiterate the need for the mandatory registration of social workers in New Zealand.

After 10 years of implementing the Social Workers Registration Act 2003 (the Act) it is time to redirect the legislative focus of the Act to ensure that it meets the needs of both the public and the profession.

The Social Workers Registration Board have committed to undertaking a complex review of the Act they are charged with implementing, so that it reflects the lessons learned over the last 10 years and, more importantly, that it delivers on it its stated intention to protect the public of Aotearoa New Zealand by providing for workable mechanisms to ensure that all social workers are competent to practise and accountable for the way in which they practise.

Operating in the current voluntary registration environment means it is challenging to identify useful, quantifiable and attributable outcome measures to judge the Board's performance by in relation to the protection of the public. The Board is adamant that measuring the Board's capacity to protect the public is problematic, if not impossible, within the voluntary registration environment provided by the SWR Act.

The current system of voluntary registration is viewed by many in the social work profession as an expensive exercise that does little to protect the safety of the public or to enhance their professional status because it is unfairly focused on those who choose to register and have the knowledge, skills and competencies required to practise social work rather than those who do not.

Ten years of implementing the SWR Act has given the Board a clear message that qualified, competent professional social workers are not the problem and we need to look honestly at the social service sector and identify the real issues that result in negative outcomes for the public.

It will require those with the ability to change the SWR Act to realise that the evidence for change cannot be identified by measuring the impacts and outcomes attributed to only those Registered Social Workers who voluntarily register under the current Act. Instead the safety of the public will only be enhanced if the Board is able to identify and hold accountable everyone who uses the title Social Worker and can provide an assurance that they meet the minimum criteria to do so.

Mandatory registration via protection of the title 'Social Worker' is the primary change to the SWR Act that is required to ensure the safety of the public.

Shayne Walker SWRB Board Chair

WHO WE ARE

The Social Workers Registration Board is a Crown Entity established to implement the Social Workers Registration Act 2003. The purpose of the Act as set out in section 3 is to protect the safety of members of the public, by prescribing or providing for mechanisms to ensure that anyone using the title 'Social Worker' is:

- competent to practise; and
- accountable for the way in which they practise.

OUR VISION

The vision of the Social Workers Registration Board is that all Social Workers in Aotearoa New Zealand are registered.

WHAT WE DO

Section 99 of the Act sets out the Board's functions and these are grouped below under the Board's agreed outputs:

Managing the registration of social workers

- by receiving and considering applications for registration, taking recognised educational qualifications and competence of social workers into account
- by authorising the registration of social workers and maintaining a Public Register
- by considering applications for, and issuing practising certificates.

Considering complaints against Registered Social Workers

- by maintaining a Complaints and Disciplinary Tribunal and providing administrative and related services for the Tribunal
- by promoting the establishment by organisations that employ social workers, of accessible and
 efficient procedures for making, considering and determining complaints relating to social workers
 they employ.

Enhancing the professionalism of social workers

- by maintaining a code of conduct to apply to Registered Social Workers and that will apply generally in the social work profession
- by promoting and encouraging high standards of practice and professional conduct among Registered Social Workers and employers of social workers.

Promoting the benefits of registration

- by promoting the benefits of registration among people practising as social workers, to bodies and organisations that employ social workers, and to the New Zealand public
- by acknowledging the status of Registered Social Workers as qualified, competent and regulated professionals
- by reinforcing the place of Registered Social Workers as contributing members of multi-disciplinary teams working within many sectors.

Setting the standards for social work education and training

- by ensuring that the delivery of social work qualifications in New Zealand adheres to the Social Workers Registration Board Programme Recognition Standards
- by maintaining and reviewing the Programme Recognition Standards for recognised social work education providers
- by reinforcing high standards of education in order that social workers achieve minimum competencies prior to engaging in professional practice.

SOCIAL WORK REGULATION 2014–2018

WHAT WE CURRENTLY MEASURE AND REPORT ON

The Board has been tasked with providing evidence that there is a positive benefit to the New Zealand public as a result of the registration of social workers. As noted in the Overview from the Board Chair, however, in the absence of mandatory registration the ability to collect reliable and valid evidence has proven difficult.

In considering the safety of members of the public who receive social work services many factors outside the influence of the Board will determine the efficacy of those services and to suggest that the Board's activities alone have resulted in a particular outcome is not only misleading but also infers that the Board has responsibility for the outcome.

The Board can provide evidence of the positive impact of social worker registration on the accountability and competence of those who choose to be registered and the evidence to date supports the Board's view that registration improves social work practice and protects the public. Registration is currently voluntary and since not all social workers are registered there is no way to accurately record whether the public received social work services from a qualified, competent and registered social worker or from an individual without the qualifications, skills and knowledge required to provide professional social work services. Only mandatory registration would provide the Board with the ability to accurately measure the impact of registration across the entire social work profession.

In the current semi-regulated environment the public can, and regrettably in some cases do, receive social work services from anyone wanting to use the title social worker. In light of this, attempting to measure the positive benefit of social worker registration on the delivery of social work services is inherently flawed in that it fails to acknowledge the need to remove from the equation:

- 1 those social workers eligible for registration who are not registered;
- 2 those Registered Social Workers who believe the current voluntary registration process makes it optional as to whether they adhere to the standards set by the Board; and
- 3 those social carers claiming the title of social worker without the minimum qualification, knowledge, skills and competencies required to do so.

The most significant, and potentially dangerous, unknown quantity in this equation is the group of social care 'practitioners' who have not completed the education and assessment requirements that are a critical component to participation in the social work profession.

Recipients of social work services are often engaged with multiple agencies, multiple disciplines and in many cases multiple 'social workers' either in succession or at one time. Without being able to identify whether or not a recipient received social work services from a qualified, competent practitioner places the Board in an impossible position in relation to securing the evidence required.

The reality of the current voluntary social work registration environment is that there is no way to identify specific responsibility of individuals or agencies for the outcomes of social work intervention in New Zealand. This will not happen until such time as a clear indication is available to the recipients of social work intervention (the public) that the provider is actually a qualified and competent Social Worker using a protected title. It is at that point that measurable impacts and outcomes can be stated.

The responsibility and accountability for providing a measure of whether an individual recipient of social work intervention thrives and succeeds, or deteriorates and fails, will therefore continue to be outside of the Board's control until the registration of social workers is made mandatory.

HOW REPORTING WOULD IMPROVE UNDER MANDATORY REGISTRATION

The Board will continue to pursue its stated objective of mandatory registration that provides for all social workers to be registered through an effective registration system that protects the public and ensures high standards of social work practice.

This will ensure that the Board can provide measurable impacts and outputs to serve the needs of the public, the social work profession, the employers of the social workers and Government.

Under a mandatory system of social worker registration the Board would be able to gather and analyse information on the Social Work Profession and ensure that the Board can –

- 1 Accurately identify **all** the social workers employed in the social service workforce and ensure that the resources provided are able to be accounted for, are reaching those who need them and are allocated based on need so as to avoid oversupply or duplication of resources.
- 2 Provide data on social work workforce capacity and capability by reporting on
 - a all individuals entering and graduating from social work education,
 - b all social work educated individuals entering employment,
 - c all individuals currently practising social work and in what sector,
 - **d** all the retention and attrition rates of social workers across the profession.
- 3 Provide the public with legislatively required information on **all** the social workers providing services to them.
- **4** Ensure that **all** social workers have access to supervision and professional development that is measurable, of value and positively enhances their status as professional social workers.
- **5** Provide the public with an independent Complaints and Disciplinary process that is accessible and holds **all** social workers accountable.
- 6 Provide the public, the profession and employers of **all** social workers with credible information that identifies any issues in relation to the provision of practice and how they are managed to ensure that all parties are protected and able to make informed decisions in relation to the delivery of social work services.

OUR STRATEGIC OBJECTIVE: ENSURING COMPETENT AND ACCOUNTABLE SOCIAL WORK PRACTICE

The Board set the following goals for the period 2014-2018

1 Review of the Social Workers Registration Act 2003

Section 104 of the Act requires that the Board reviews the operation of the Act and considers
whether any amendments are necessary or desirable. The Board's October 2012 review
suggested a number of amendments to the Act. The Board has since identified a number
of additional amendments that are needed to ensure a consistent and efficient registration
framework. The Board will provide a detailed report on the proposed changes.

2 Review of Competence 1 – Competence to practise social work with M\u00e4ori and Competence 2 – Competence to practise social work with different ethnic and cultural groups in New Zealand

- The Board will engage with Māori within the social work profession to: review the Competence
 to practise social work with Māori; and undertake a series of hui throughout Aotearoa
 New Zealand with key Māori stakeholders to consult on the framework and inform its
 co-construction.
- The Board has also established a working group to consult and review Competence 2 Competence to practise social work with different ethnic and cultural groups in Aotearoa New Zealand

3 Review of the preparation and support provided to student and new graduate social workers

The Board will continue with the consultation process with key employment and education
organisations with the aim to improve outcomes for employers, employees and clients at the
point that social workers with provisional registration undertake entry-level social work roles.
The Board will provide a series of reports on its progress and recommendations as a result of
this review.

4 Implementation of the revised programme recognition standards

All Recognised Social Work Qualifications will be of four years duration and will meet the
minimum criteria set by the Board, in consultation with the programme providers, as described
in programme recognition standards. The consumers of social work education, and those
that fund programmes, will be able to make choices based on consistent delivery and the
knowledge that providers are required to meet minimum standards.

5 Mandatory registration of social workers

 The Board will continue to work to ensure that the Board's stated position, that the current system of voluntary registration is not achieving the purposes of the Act, will be accepted and the Board's vision that all social workers are registered will be recognised by amending the Act to require all social workers to be registered.

OUR PRIORITIES

The Board will assess its performance in relation to its legislated functions and how it is working towards meeting its strategic objectives and goals by focusing on the following priorities for 2014 – 2018.

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

The Board provides access to a registration system for a large number of social workers that is continuing to grow each year. This priority contributes to delivering better public services across various sectors as well as providing value for money by ensuring the cost of registration does not increase as numbers increase. The Board has actively worked to reduce the costs of applying for and maintaining registration and continues to investigate new opportunities to reduce costs.

2 Education – Social work graduates enter the workforce with the expected entry-level competencies as a result of completing Board-recognised social work qualifications delivered to national standards supported by educators.

Social work education in New Zealand is recognised internationally as professionally taught and consistently of a high calibre. By maintaining programme delivery standards across tertiary providers, this priority contributes to ensuring that graduates have the skills they need to participate in the global economy as well as being prepared to deliver high-quality social services to New Zealanders, especially those most vulnerable.

3 Accountability – Registered Social workers are held accountable to the Board's Code of Conduct.

The Board ensures that all social workers are aware of the Code of Conduct expected of Registered Social Workers and provides access to a Complaints and Disciplinary system for anyone with concerns about a Registered Social Worker's practice.

4 Professional standards – Registered Social Workers are required to meet accepted practice standards and are expected to continually develop their professional knowledge.

The Board ensures that only social workers who are deemed competent to practise social work and are competent to work with Māori, Pasifika and other different ethnic and cultural groups in New Zealand are registered.

5 Information and promotion – The public, the profession and employers of social workers are aware of the system of registration, how to access it, and the benefits of ensuring that all Registered Social Workers are competent and held accountable for their practice.

PERFORMANCE MEASUREMENT FRAMEWORK

All Social Workers are registered SOCIAL SECTOR OUTCOMES We protect the public's safety by implementing a registration framework to ensure that social workers are competent to practise and held accountable for their practice Range of government and non-government activities Registration, Education, Accountability, Professional Standards, Information (2)(3) 4 (5) Social workers Social work Registered Registered The system of registered to students graduate Social Workers, Social Workers registration is with SWRBthe public and are viewed as meet minimum accessible and standards via recognised employers see professionals the benefits of **DUR IMPACTS** an efficient social work evidence of and adhere to registration are and accessible qualifications an accessible, accepted practice acknowledged by registration delivered transparent and standards while the profession, to national continually employers and the system fair Complaints standards and Disciplinary developing their public **Process** professional knowledge and skills Implementation of the SWRB Registration Framework 2 3 5 4 Recognise **Hold Social** Receive Review the Provide WHAT WE DO applications for Social Work Workers competence of information Qualifications Registration and accountable via Social Workers and promote **Annual Practising** Code of Conduct and issue Annual registration to Certificates (APC) and Complaints Practising the profession, and Disciplinary Certificates employers and Tribunal the public OUR PRIORITIES Social Workers and those that receive social work services

HOW WE CAN MEASURE SUCCESS IN A VOLUNTARY REGISTRATION ENVIRONMENT

In the absence of mandatory registration for social workers in New Zealand the Social Workers Registration Board will focus on measures that support the Board's call that registration move from the current voluntary system to one that is compulsory and truly provides for the protection of the New Zealand public.

While the Board continues to promote a move to mandatory registration it will also continue to build on the many successes achieved through the support of the social work profession, social work educators and those employers who recognise the benefits that registration provides to their employees, their organisations and the clients that they serve.

Education

The SWRB Programme Recognition Standards, drafted in consultation with the providers of social work education, set the standard for social work qualifications in New Zealand. The Board aims to ensure that all social work students graduate from SWRB-recognised social work qualifications delivered to national standards.

With the introduction of the updated standards, including that a four-year degree is the standard length of the qualification, the Board will survey professional social work leaders to seek their level of satisfaction with the quality of social work graduates they employ from SWRB-recognised social work programmes delivered using the new standards.

The Board's intention is to develop a baseline of satisfaction with social work graduates, pre and post the introduction of the new standards, to measure the impact of the new programme recognition standards.

Measure	Target 2014/2015	Target 2015/2016 – 2017/2018
Percentage of employers who rate the quality of social work graduates in relation to the extent to which they meet the graduate profile as set out in the SWRB Programme Recognition Standards.	Baseline to be established.	A baseline of 75% of graduates are rated as meeting or exceeding the graduate profile and this figure trends upwards from when the first graduates, educated under the new standards, enter the workforce.

Registration

The Board has invested a significant proportion of the resources it has available to ensure that it provides an efficient and accessible registration system that accurately assesses social workers as meeting, and hopefully exceeding, the minimum standards expected of a competent social work practitioner.

The Board is currently developing a suite of online processes to support social workers attaining and maintaining registration as well as providing information and resources to the profession, the employers of social workers and the public.

The Board has provided an online register search so that Registered Social Workers can check their details are up to date, employers can check the status of current or future employees in relation to registration and the public can also check the registration status of social workers they are engaged with.

In 2014 the Board introduced an online annual practising certificate renewal process that improved on the previous manual process. Social Workers are now able to go online, update their personal information including contact details, employment, etc., and then proceed to renew and pay for their practising certificate. A receipt and proof of renewal is automatically emailed to social workers instantly. Building on this success, the Board will release an online application for registration process in 2015 which will allow applicants to provide registration information online, return to update any missing information, and will also provide instructions on the provision of certified copies of qualifications, completed police check forms, etc.

The Board will follow this up with another two online processes that will further enhance the Board's services.

The first process currently in development phase will allow Registered Social Workers to maintain their professional development logs and complete the requirements for the 5-yearly competence recertification online. Registered Social Workers will be able access their information at any time and continually update and refine the information provided.

The second process will be an online complaint management process that will allow complainants to lodge complaints online and track the progress and outcome of their complaint. Depending on how the complaint proceeds information can then be provided to Complaints Assessment Committee members, Complaints Investigators, and the Complaints and Disciplinary Tribunal as well as the Registered Social Worker. This process will take time to develop to ensure security and privacy issues are addressed.

The Board will survey users who report satisfaction with, and acknowledge the benefits of, the online registration and information systems available to the profession, employers and the public. The survey will expand over time to reflect the introduction and implementation of new processes and will initially focus on the online register search function and the online annual practising certificate renewal function.

Measure	Target 2014/2015	Target 2015/2016 - 2017/2018
Percentage of users who report satisfaction with the online functions provided by the Board.	Baseline to be established for the online register search function and the annual practising certificate renewal function.	80% of users report satisfaction with the functions provided and this figure increases.
Percentage of users who report identifiable benefits from using the online functions provided by the Board.	Baseline to be established for the online register search function and the annual practising certificate renewal function.	80% of users report identifiable benefits from the functions provided and this figure increases.

Practice

The Board recognises that the current voluntary registration system provides for only a semi-regulated social work workforce and therefore the Board is unable to assess the impact of registration across the whole profession when it is not a requirement for all practitioners to be registered.

As noted previously, when considering the safety of members of the public who receive social work services in the current semi-regulated environment, many factors outside the influence of the Board will determine the efficacy of those services. To suggest that the Board's activities alone have resulted in a particular outcome is not only misleading, but also infers that the Board has responsibility for the outcome.

The Board can however, measure the value of registration to Registered Social Workers committed to providing competent, innovative and pioneering social work services. The Board can also measure the value employers gain from recruiting Registered Social Workers and supporting their Registered Social Workers to maintain registration through practising certificate renewal, competence recertification and continuing professional development.

The Board's aim is that Registered Social Workers are viewed as professionals and adhere to accepted practice standards while continually developing their professional knowledge and skills. The Board will continue to measure the value accorded registration by both social workers and their employers to ensure that the Board remains an efficient and effective regulator.

The Board will survey Registered Social Workers and employers of Registered Social Workers to measure their support for registration and acknowledgment of the benefits of social workers maintaining registration.

Measure	Target 2014/2015	Target 2015/2016 – 2017/2018
Percentage of eligible Registered Social Workers who maintain their social worker registration through competence recertification and practising certificate renewal.	Baseline to be established.	A baseline of 95% and this figure trends upwards with a target of 100% over the remaining years.
Percentage of employers who support the social workers they employ to maintain their registration through payment of competence recertification and practising certificate renewal costs.	Baseline to be established.	A baseline of 75% and this figure trends upwards over the remaining years.
Percentage of Registered Social Workers who report identifiable enhancement to their practice as a result of maintaining registration.	Baseline to be established.	A baseline of 75% and this figure trends upwards over the remaining years.
Percentage of employers who report identifiable enhancement to the professionalism and practise of their social workers as a result of maintaining registration.	Baseline to be established.	A baseline of 75% and this figure trends upwards over the remaining years.

ORGANISATIONAL CAPABILITY/HEALTH

The Board was appointed with the introduction of the Act in 2003 and began to build the operational policy requirements for registration in early 2004. By 1 October 2004, the Board had developed the key policy and registration documents required to support registration, set up an office in Wellington, appointed staff and was ready to accept applications.

The Board is reliant on income generated by the application fees for registration and Annual Practising Certificates in order to maintain a small but efficient office with 7.5 full-time staff.

The Board has reviewed its business continuity plans, especially relating to responding to a major natural disaster, and is assured that the Board secretariat could continue the operation activities required of it. Core staff would be able to operate away from the office. Electronic and hard copies of necessary files are stored off-site and the secretariat would be able to re-establish computer files on secure external servers if necessary.

The Board's information and communication systems, along with associated policies, will be reviewed and updated to ensure that they are compliant with the recently promulgated Directions and Priorities for Government ICT.

The Board is confident that the social work profession is ready to move to a mandatory registration environment, and in anticipation of this move, the Board will continue to work to increase the number of Registered Social Workers renewing their Annual Practising Certificates as well as increasing the number of social workers applying for registration.

A major concern is that currently the Board supports a regulatory framework for the whole social work profession but is financially supported by only those social workers who voluntarily register. The cost of implementing and maintaining the registration process is, therefore, not carried by the whole profession and this could potentially have a negative effect on the continuing viability of the Board. One example of this disparity is that the Board is required to promote and set standards for social work education and training in New Zealand. The Board operates a five-yearly social work qualification recognition process on a cost-recovery basis but is increasingly finding that resources are required to support social work education and training on a day-to-day basis.

The costs associated with this are covered by the application and Annual Practising Certificate fees of Registered Social Workers, the majority of whom already hold a social work qualification. They are, therefore, in effect financially supporting the education and training of other social workers who may choose not to register.

With the responsibility for currently managing the registration of over 4,000 Registered Social Workers the Board is confident of its ability to implement the regulatory function for the social work profession. The Board does recognise, however, that at some point there is a limit to how long it can continue to rely on a subset of the profession carrying the financial burden for the wider profession.

There is no expectation that the growth in applications for registration is expected to decrease and as such the Board is very aware of the need to maintain a regulatory framework to support the operations of the Board.

As part of the review of the Social Workers Registration Act, the Board has assessed its organisational capability with regard to its ability to sustain continued growth while registration remains voluntary or is in a transitional stage to mandatory registration, and will report on this to the Minister.

The Board is fully aware that any move to implementing mandatory registration would require a structured regulatory framework for registration for between 6,000–8,000 social workers. This is double what is currently provided for although the capacity to manage an increase has been allowed for in the Board's planning.

The Board is confident that the operational processes are in place to manage any increase but is cautious that any transitional arrangements would need to be backed up with the resources required to support the move to mandatory registration.

MEMBERS AND OPERATION OF THE BOARD

Under the Act, the Board has up to 10 members who have a strong understanding of the social work environment and cultural contexts of New Zealand society. The Board is committed to a clear governance/management division of responsibility and supports the efforts of the Chief Executive and Registrar to ensure that all people working for the Board (in a permanent or contracted capacity) share the same vision of the way the Board and its people are to operate.

Name	Status	Date of original appointment	Expiry date of present term
Shayne Walker (Board Chair)	Registered Member	11 February 2013	31 January 2016
Jim Heays	Registered Member	1 December 2012	30 November 2015
William Pua	Lay Member	1 September 2011	31 August 2014
Sara Georgeson	Lay Member	1 September 2011	31 August 2014
Toni Millar	Lay Member	1 September 2011	31 August 2014
Turitea Bolstad	Lay Member	11 February 2013	31 January 2016
Michelle Derrett	Registered Member	11 February 2013	31 January 2016
Dianne Wepa-Belz	Registered Member	11 February 2013	31 January 2016

The Board operates a forward-planning environment and has implemented a Board committee structure to enable this, as well as operating a Risk Management Strategy.

The following standing committees of the Board are tasked, along with the Chief Executive, with the strategic direction of the Board:

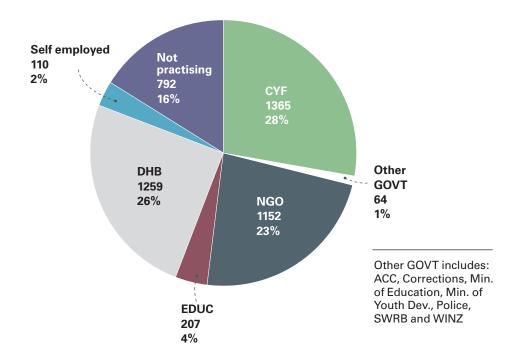
- Finance, Audit and Risk Management Committee
- Policy Development and Review Committee.

The Board employs 7.5 full time permanent staff, and, according to need, has engaged contract staff for such purposes as legal, accounting and information technology support.

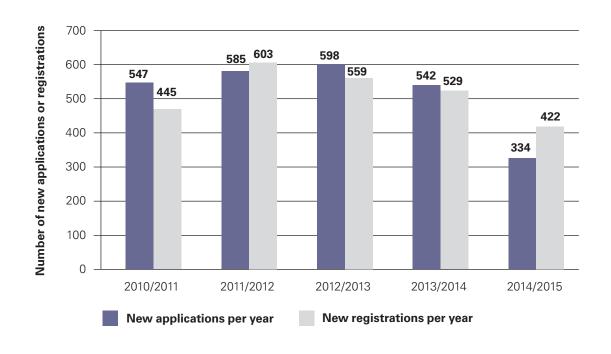
TREND INFORMATION

The following tables provide trend information of the Board's impacts as a result of its regulatory activities.

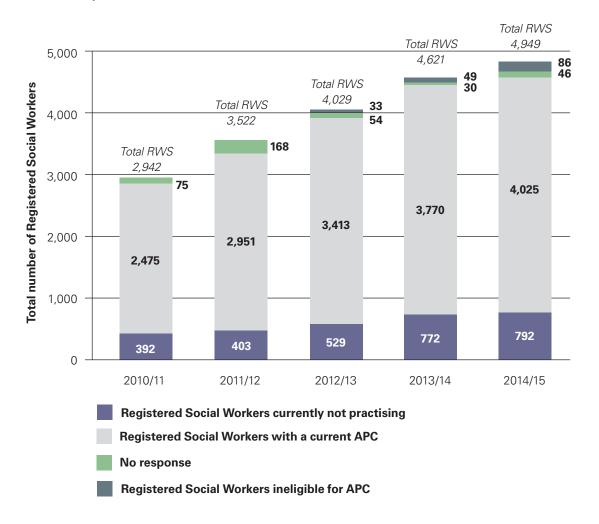
Registered Social Workers by Employer to 27 February 2015 (with Percentage of 4,784 total Registered Social Workers)



Registration and Application Trends for previous five years to 27 February 2015



Registration and Annual Practising Certificate Trends for previous five years to 27 February 2015



RISK MANAGEMENT

The SWRB maintains a risk register and management plan. The following represents a Risk Overview:

Identified Risk

Countermeasure

Financial	
Reduction in numbers of social workers voluntarily registering resulting in loss of income.	Increased promotion of registration and its benefits as well as ongoing support, contact and consultation with currently Registered Social Workers.
Increase in disciplinary hearings resulting in increased expenditure of disciplinary levy.	 Management of complaints including encouraging employer-based complaint processes. Ensuring Registered Social Workers maintain Annual Practising Certificate criteria compliance including continuing professional development, supervision, etc., to moderate the likelihood of complaints.
Reputation/Credibility	
Breaching the SWRB Code of Conduct or Public Service Code of Conduct by a registered Board member or registered employee of the SWRB.	 Maintain accurate documentation in relation to the Conflicts Register. Promote adherence to the Public Service Code of Conduct. Manage withdrawal from office in the event of a breach. Ensure knowledge of the Complaints and Disciplinary Tribunal functions.
SWRB not delivering on legislative duties ie providing APC renewals/Disciplinary hearing.	Office processes, audit procedures, quarterly reports to Minister on outputs, Registrar reporting and Board oversight through Finance, Audit and Reporting Committee.
Compliance/Legal	
SWRB not meeting legislative compliance of the SWRB Act; Crown Entities Act, Public Finance Act, etc.	 Annual Report, Statement of Intent and Statement of Performance Expectation auditing. Engaging with MSD governance oversight procedures. SWRB Finance, Audit and Reporting committee oversight.

Identified Risk

Countermeasure

Operational Capacity and Capability	
Inadequate HR resources to meet unforeseeable increase in applications to register, the move from voluntary to mandatory.	 Maintaining current staffing and experience level as well as planning for managing increase of applications. Database and records management procedures in place to support processing of applications.
Not enough specialist staff to deal with legislative/compliance/professional issues – one person has most of the institutional knowledge.	 Staff planning and management including written procedure manuals. Ensuring availability of part-time and/or contract staff.

REPORTING TO THE RESPONSIBLE MINISTER

The Board has a Memorandum of Understanding with its Responsible Minister, setting out details on the way in which it will continue to consult and report to her on the Government's purchase and ownership interests.

The Board is also required by the Crown Entities Act (s150) to provide the Minister with an Annual Report on its operations for each year. The Annual Report will provide certain financial information about the Board, Board members, and employees. As well as this formal reporting obligation, the Board is empowered by its Act [s99 (1) (I)] to advise and make recommendations to the Minister in respect of matters relating to the regulation of the social work profession.

