



**Social Workers
Registration Board**
Kāhui Whakamana Tauwhiro

Briefing for the Incoming Minister of Social Development

September 2017

Contents

Contents	2
Introduction	3
About the SWRB.....	3
Social worker registration to date.....	6
SWRB goals for 2017–2021	8
SWRB priorities for 2017–2021	11
Managing notifications, complaints and the role of the Tribunal	12
Current Issues.....	13
The Bill’s proposed definition of social work	13
Budget and resourcing	15
Looking forward	15
Appendix 1 Summary of key SWRB information.....	17
Appendix 2 Memorandum of Understanding	19
Appendix 3 Scope of Practice.....	34
Appendix 4 SWRB Board member photos and profiles	37

Introduction

The Social Workers Registration Board (SWRB) was established as a Crown entity under the Social Workers Registration Act 2003. The Act brought in voluntary social worker registration after years of debate regarding social work regulation.

The SWRB's purpose as the regulator is to protect the public's safety by administering a registration framework to ensure that social workers are competent to practise and held accountable for their practice.

Under the legislation, the Board is required to review the operation of the Act at least every five years. The most recent review in 2015 was undertaken only three years after the last review, at the request of the Hon. Anne Tolley, Minister for Social Development. This was to allow for the review to be considered alongside the reviews of the then Child, Youth and Family and the Social Security Act.

The 2015 review, as did the 2012 review, concluded it was time to move to mandatory registration. This resulted in the former Minister of Social Development asking the Social Services Committee to undertake an inquiry. It reported back in December 2016 and recommended mandatory registration, as well as some other changes to the existing legislation.

The Social Workers Registration Legislation Bill was introduced into the last Parliament on 9 August 2017 and had its first reading on 17 August.

We look forward to participating in the Select Committee process as the Bill continues its passage through the House and once it has been enacted, working with the Ministry of Social Development to promote the changes to unregistered social workers and new social work graduates.

About the SWRB

The SWRB is a self-funded Crown entity created by the Social Workers Registration Act 2003. Under the Act, the Board can have up to 10 members, appointed by the responsible Minister under section 28(1) (a) of the Crown Entities Act 2004. The Social Workers Registration Legislation Bill amends that number to seven.

The current Board has 10 members and is chaired by Shayne Walker, who has been in the role since February 2013. The Board has a governance role and meets every two months to assess new applications for registration and consider other business.

The Chief Executive/Registrar has a management role. The SWRB employs 10.2 FTE staff and engages short-term contract staff for legal, accounting, communications, HR and information technology support when needed. Our founding Chief Executive/Registrar Sean McKinley left earlier this year, and in June Sarah Clark took over the reins.

More detail on SWRB operations is included in summary form as Appendix 1 but is also illustrated in the graphic below.

OUR VISION	All Social Workers are registered					
SOCIAL SECTOR OUTCOMES	We protect the public's safety by administering 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					
OUR IMPACTS	Social workers registered to meet minimum standards via an efficient and accessible registration system	Social work students graduate from SWRB-recognised social work qualifications delivered to national standards	Registered Social Workers, the public and employers see evidence of an accessible, transparent and fair Complaints and Disciplinary Process	Registered Social Workers are viewed as professionals and adhere to accepted practice standards while continually developing their professional knowledge and skills	The system of registration is accessible and the benefits of registration are acknowledged by the profession, employers and the public.	
OUR OUTPUT	ADMINISTRATION OF THE SWRB REGISTRATION FRAMEWORK					
WHAT WE DO	Receive applications for Registration and Annual Practising Certificates	Recognise Social Work Qualifications	Hold Social Workers accountable via Code of Conduct and Complaints and Disciplinary Tribunal	Review the competence of Social Workers and issue Annual Practising Certificates	Provide information and promote registration to the profession, employers and the public	
OUR PRIORITIES	Social Workers and those that receive social work services					

Memorandum of Understanding

The Board had a Memorandum of Understanding with the former Minister of Social Development setting out the way in which we consult and report on the Government's purchase and ownership interests. A copy of the 2016-17 MOU is attached as Appendix 2 for your information. It was rolled over, given the proximity of the election, and we will look to agree a new MOU with you as soon as possible.

In light of the new legislation, we will also discuss with you refreshing the performance measures detailed in our latest Statement of Performance Expectations. The Board is required by the Crown Entities Act (s150) to provide you with an Annual Report each year. As well as this formal reporting, the Board advises and makes recommendations to you on matters relating to the regulation of the social work profession as stated under section 99 (1) of the Act.

The Board Chair and the Chief Executive/Registrar are always happy to meet with you to update you on relevant issues.

Education

The SWRB aims to ensure that all social work students graduate from recognised social work qualifications delivered to national standards. Social work education in New Zealand is recognised internationally as professionally taught and consistently of high calibre.

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.

We currently recognise a range of undergraduate and postgraduate social work qualifications provided by 17 providers. We review programmes every five years.

After a 2015 review, the standards were changed to specify a four year degree so all providers have now moved to offering a four year degree. This change was to allow more material on critical reflection skills – a key aspect of social work practice – to be included to meet international best practice.

Professional standards

The SWRB ensures that only social workers are registered who are deemed competent to practise social work and to work with Māori, Pasifika, and other different ethnic and cultural groups in New Zealand. We work to ensure social workers are adaptable to new approaches to providing social services including those identified under Whānau Ora.

Enhancing the professionalism of social workers

We maintain a Code of Conduct for social workers and reinforce high practice standards by requiring Registered Social Workers to meet minimum criteria in order to hold an Annual Practising Certificate (APC). This minimum criteria involves maintaining a valid competence assessment certificate, being a fit and proper person to practise social work, and engaging in ongoing professional development. We actively follow up on Registered Social Workers who may be practising without a current APC, advising both the social worker and their employer of their obligations under the Act.

Accountability

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

Information and promotion

This is a significant area of focus for us as it is essential that all New Zealanders are aware of social worker registration to ensure the system achieves what is intended under the Act.

Social worker registration to date

A brief history

Before 2003, New Zealand had large numbers of people employed in 'social work' positions managing the needs of the most vulnerable members of society. But it was becoming increasingly obvious that many of them were social service workers, using the social worker title and without the knowledge and skills gained as a result of a social work qualification.

Estimates from the time were that more than 80 percent of these so-called social workers had no social work qualification on which to base their practice. Yet they were responsible for delivering professional social work services and were often the scapegoat when things went wrong.

At the same time, there was increasing discussion on the need for certain occupations to be regulated. In 1999, a Policy Framework for Occupational Regulation was introduced and in 2000 the then Ministry of Social Policy released a Discussion Paper on the Registration of Social Workers.

Consultation was carried out and there was significant support for registration, resulting in the Social Workers Registration Bill being introduced in 2001 and passed in 2003.

The 2003 Act

The Act introduced a certification model of regulation. Under this model, the Board certifies that individuals are competent to practise social work and only people who have successfully met all the registration criteria and completed a competency assessment can use the title 'Registered Social Worker'. Under this current system, people can (and do) use the title 'Social Worker' without being registered.

Registration was made voluntary under the 2003 legislation to give social workers time to gain

the skills and qualifications they needed. It was thought it wouldn't be practical or realistic to introduce mandatory registration immediately because many practising social workers would not meet the criteria for registration or have the time and money to immediately do what was needed to qualify.

The SWRB has invested a lot to ensure we provide an accessible, efficient registration system that accurately assesses social workers as meeting, and hopefully exceeding, minimum standards and encourages them to register.

Since 2006, a social work degree has been the minimum qualification for registration but social work qualifications started before 2006 are still recognised, and a social worker with extensive experience may also qualify for registration under section 13 of the Act. From 2016, entry to a four year degree became the requirement.

We have also actively worked to reduce the costs of applying for and maintaining registration, and we will continue to investigate new opportunities to reduce costs.

Moving to mandatory registration

The number of registrations continues to grow each year and is obviously expected to increase under mandatory registration. We are confident that we have the operational processes in place to manage the increase in registrations once it becomes mandatory, but we will need to ensure we have enough resources as we transition.

We estimate there are around 8000 practising social workers in New Zealand. Almost 6500 of those are now registered so we have another 1500 still to register.

Once the new legislation is passed, it is expected that many of them will be eligible to register straight away. Those who do not meet any of the criteria will need to enrol in a recognised qualification if they want to continue to practise as a social worker in New Zealand.

The new legislation will bring in mandatory registration for all practising social workers under a licensing model. This will mean that to practise as a social worker, individuals will have to be registered. People will no longer be able to practise using the title 'Social Worker' without being registered.

2013 Census

The 2013 Census is often referenced for social worker statistics. The census showed that 18,327 people self-identified as a social worker. The majority – 74 percent – worked in the private non-government sector and 23 percent in central government.

Of the 18,327, 6132 met the minimum criteria for registration. The majority of the remaining 12,000 were not eligible for registration and most likely form a significant part of the unregulated social service sector.

Registration application numbers

As shown in the following graph, the number of new applications for registration received by the Board increased by around 10 percent in 2016/17. The publicity about the pending move to mandatory registration was no doubt a factor.

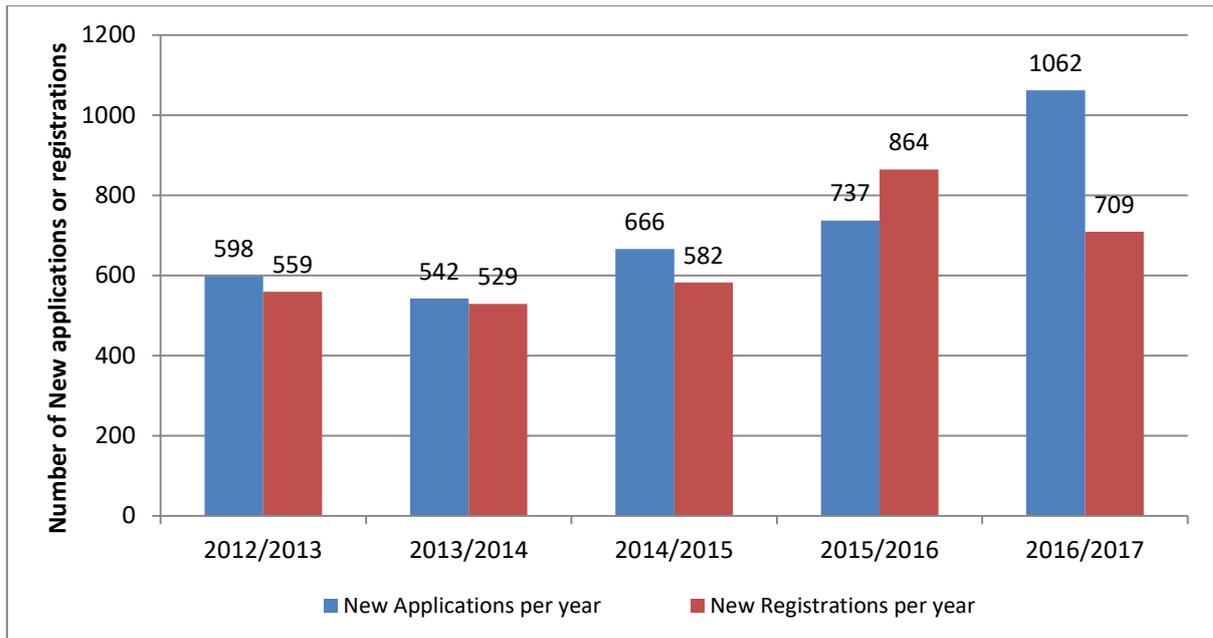
Figure 1 Number of registration applications and registrations

Figure 2 below sets out the number of registered social workers who identify as practising, not practising, who are ineligible to renew (because their Competence Assessment Certificate has expired) or who did not respond to the renewal notice sent to them.

Figure 2: Total Registrations compared with Total APCs issued 2010 – 2017

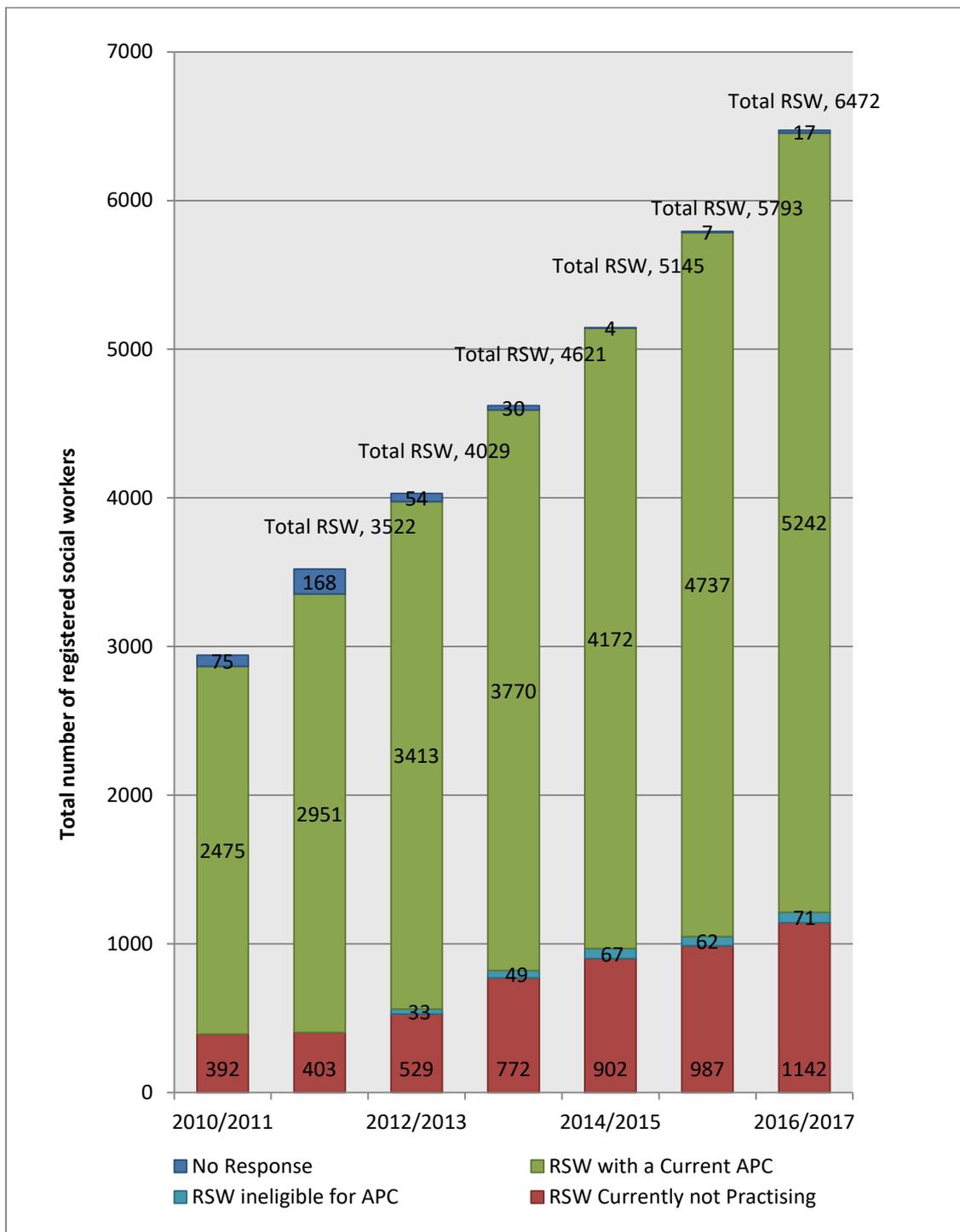
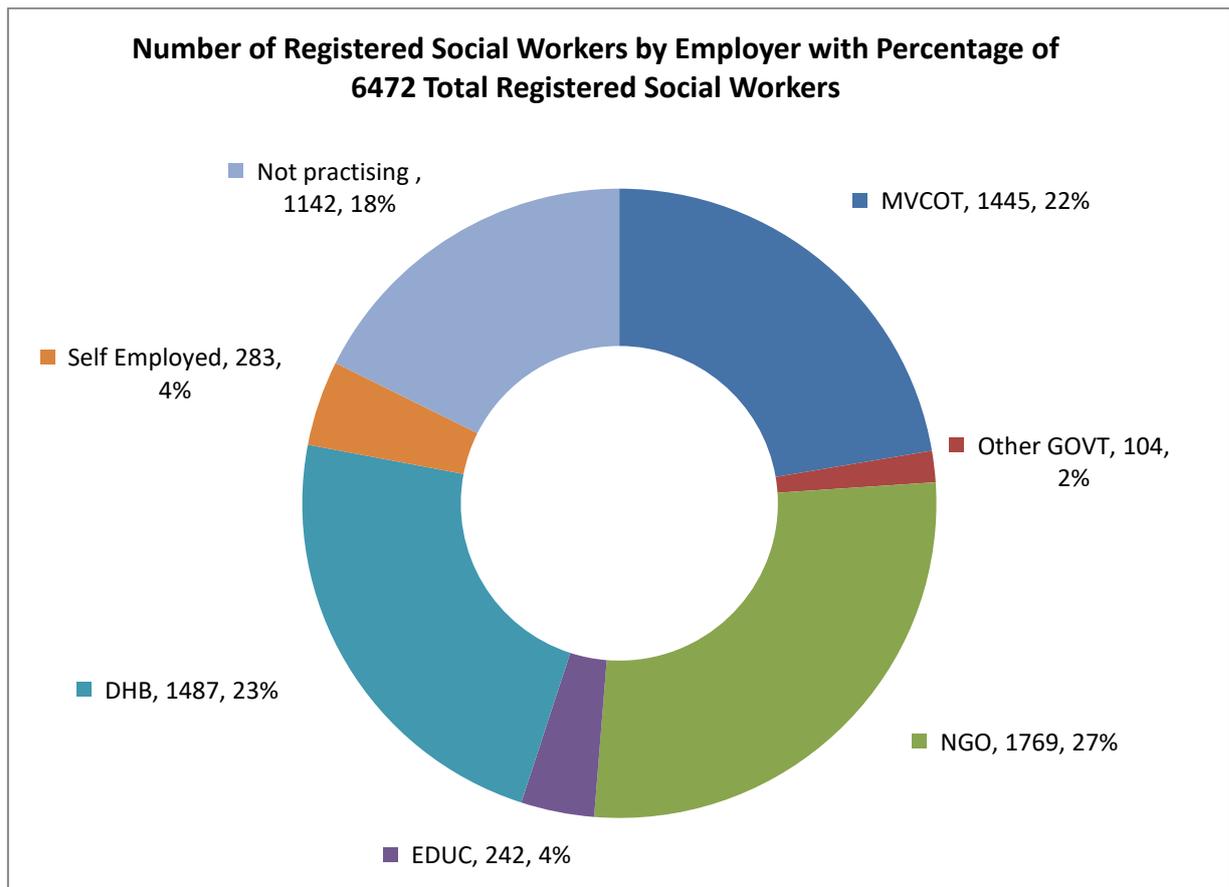


Figure 3 below shows where registered social workers have identified they are employed within or else are not practising.

Non-government sector organisations are the largest single employer at 27 percent, followed by District Health Boards at 23 percent and the Ministry for Vulnerable Children Oranga Tamariki (MVCOT) at 22 percent. This has changed from the previous year, which saw the former Child, Youth and Family and NGOs sharing the largest single employer position.

Figure 3: Number of Registered Social Workers by employer



SWRB goals for 2017–2021

1. Social Workers Registration Legislation Bill

The legislative reform will be a major focus for us over the next few years. We look forward to working with you as well as the Ministry of Social Development and the Social Services Committee as the Bill progresses through the House. We will also be reviewing our vision, outcomes and priorities in light of the legislative changes. Once the Bill is enacted, we hope to work with MSD on a joint promotional campaign about the change to mandatory registration. We will also look to establish a set of baseline measures, such as public confidence in the social work profession, against which the impact of the reforms can be assessed.

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

We have started consulting key employer and education organisations with a view to improving outcomes at the point that new graduate social workers undertake entry level social work roles. We will provide a series of reports on our progress and recommendations as a result of this review.

3. Collaborate with social sector agencies to develop a sector workforce strategy

With all recognised social work qualifications now four years duration and meeting minimum criteria set by the Board, we want to initiate further work within the sector to identify pathways into the social work degree and progression, from beginning practice to specialised scopes of practice.

SWRB priorities for 2017–2021

1. **Registration – Social workers are registered to meet minimum standards through an efficient and accessible registration system.** In 2017/18, we will continue to upgrade our online registration application system so that it links to the online public register and makes it easier for employers and researchers to search the register.
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.** In 2017/18, we will work with social worker professional associations, employers and educators to develop an assessed and supported first year of practice for new graduates and a post-qualification framework for specialist practice. We will also continue to work with tertiary education providers to ensure they meet requirements for degree delivery.
3. **Accountability – Registered Social Workers are held accountable to the Board's Code of Conduct and the public, the profession and the employers of social workers see evidence of an accessible, transparent and fair system.** In 2017/18, we will train an additional 12 Complaints Assessment Committee members and undertake publicity related to professional standards processes.
4. **Professional Standards – Registered Social Workers are required to meet accepted practice standards and are expected to continually develop their professional knowledge and skills for them to be viewed as professionals by the public, employers and their peers across multi-disciplinary teams.** In 2017/18, we will work with the Tangata Whenua Voices in Social Work to develop a process for implementing the Kaitiakitanga Framework. The framework has been developed to provide a cultural approach to assessing a social worker's competence to work with Māori. The Board will provide information on this programme in particular with educators but also with the wider sector. We will also work with educators to ensure that the MVCOT Shared System Core Competency Framework is embedded in assessments of social work students before completing their degree.

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.

In 2017/18, we will continue to support the Government on the proposed legislative changes to the Act and implementation of the changes. We will also ensure the social work profession and employers of social workers remain aware of the legislation's progress and are advised of any new obligations arising from the legislative changes.

Managing notifications, complaints and the role of the Tribunal

Under the current legislation, the Board can only accept and investigate notifications or complaints about Registered Social Workers. While we receive a number of complaints about unregistered social workers, these are outside the scope of our responsibilities. Notifications of concern can raise questions about a social worker's conduct, competence or fitness to practise (health/reputation).

We have changed the way in which we classify notifications and complaints in the last year. This has meant that we do not have historical data recorded in a consistent manner, however we are developing a new reporting template that will enable us to inform you as part of our regular reporting.

There are a range of possible procedural steps once a notification or complaint has been made, depending on individual circumstances. They include an initial risk assessment, any preliminary inquiry, and a triage process to determine next steps. The Triage meeting occurs fortnightly and is attended by the Registrar, senior professional social work staff, and members of the Professional Standards Team. Currently our legislation does not define what a 'complaint' is but directs all complaints to the Tribunal Chair. As this is impractical and unwieldy, we use the triage process to establish if a notification should proceed to a formal complaint. If so, the matter is then given to the Tribunal Chair who will decide if it should be referred to a Complaints Assessment Committee (CAC).

A CAC will decide if:

- The social worker should undergo a competence or fitness to practice review or both
- The issue could be resolved through conciliation between the parties involved
- The complaint should be submitted as a charge to the Tribunal
- No further steps need to be taken.

Registered Social Workers who are convicted of offences punishable by three months or more imprisonment are required to be referred to the Chair of the Tribunal and the Chair is required to refer them for investigation by a CAC. These cases are not discussed by the triage team.

There are currently 22 cases which have been referred to a CAC, around half of these due to a conviction. This is a higher number than would normally be expected, and is the result of data matching with the Ministry of Justice for social workers who have received convictions over the last five years.

The role of the Social Workers Complaints and Disciplinary Tribunal

The independent Social Workers Complaints and Disciplinary Tribunal (the Tribunal) was also established under the 2003 Act. The Tribunal exercises disciplinary powers under the Act. However, a number of steps occur before a Tribunal hearing.

If the outcome of a CAC investigation is to submit a charge to the Tribunal, a hearing will be held and depending on its findings, the Tribunal may impose a penalty against the social worker. This is open to Appeal. If a CAC refers the matter back to the Board for a Competence Review, the Board may conduct a competence assessment and any necessary conditions or restrictions may be imposed.

There is one case currently before the Tribunal.

The SWRB secretariat provides administrative support to the Tribunal. Current Board members are not eligible to be members of the Tribunal.

Current Issues

The Bill's proposed definition of social work

The Board welcomed the first reading of the Social Workers Registration Legislation Bill in August. We have wanted to see mandatory registration for some time. We believe it is vital for the continued standing of the profession and to provide the public with assurances around social work quality and accountability.

However, while the Board agrees with the level of protection being suggested for the title of 'social worker', we have significant concerns with the proposed mechanism for defining social work practice.

As the legislation is currently written, it is the employer or those negotiating and managing contracts who will define if a social worker is practising social work. We are concerned that the social work profession will react strongly and unfavourably to this aspect of the Bill and will see it as undermining professional autonomy and identity. It will also present significant challenges for us as the regulatory body.

We believe there is potential for perceived or actual conflict of interest by employers if they are in the position of defining who is doing social work and what that work actually is. Employers may seek to avoid the additional costs associated with hiring a registered social worker by changing the role title and definition to allow them to hire a social services worker. We are concerned that this approach weakens the protections around public safety that are inherent with a regulated profession.

There will likely be inconsistency in the definitions used and how they are applied. Employers and contract managers may have differing opinions about what social work practice is both within the same organisation and between organisations. As you will be aware, social workers are employed throughout the social sector, in a variety of health, justice and education settings and across the life span.

A scenario to illustrate our concerns

As an example, there might be a registered social worker working with children and families on child cancer wards who has the title ‘Social Worker – Paediatric Oncology’. There might also be a registered social worker working at the Cancer Society in a role with the title of ‘Family Support Co-ordinator’ – who does not require an Annual Practising Certificate, as determined by that employer.

Both of these registered social workers, with similar qualifications, will be doing essentially the same work, working with very vulnerable children and families. Yet only one is required to be fit to practise, have continuing professional development, and have professional supervision. The clients of one of these social workers will have the protections and assurances which come with registration, but those of the other will not.

One consistent approach needed

We suggest there should be one consistent approach to what practising social work looks like, whether a social worker is working in a hospital, a school, a prison, the community or child protection, as well as those not in direct practice. Anything less will be confusing for members of the public, as well as make it difficult for social workers to move between employers.

There is also potential for an imbalance of power and lack of clarity around accountability. Who will be the adjudicator if the applicant for a role believes the role constitutes social work but the employer does not? How will the interpretation of individual employers be able to be challenged? Who will rule on any disputes or determine whose interpretation is correct?

The proposed mechanism is inconsistent with other professional regulatory legislation – both in New Zealand and internationally – and would put us out of step with other professions. It is usual for a profession to regulate itself. Allowing employers to decide who is practising social work will remove this ability from the profession.

Proposed mechanism for regulating and protecting the public

The key mechanism that professional regulators use to regulate and protect the public is an Annual Practising Certificate (APC). For a regulator to be effective, it needs to be able to determine when a professional requires an APC. We believe that removing this independence and power from the regulator will undermine the effectiveness of the regulatory regime. The public is also likely to be confused about the role of the employer and the role of the regulator when it comes to defining who is a social worker and what work they do.

It is unclear under the proposed legislation, what would happen in the case of sole practitioners and those who do not receive government funding. Who will be responsible for defining the work they do as social work or ensuring those people have APCs?

The Board is also concerned that social workers who have faced disciplinary charges may still be able to practise by taking on a role that has been defined as something other than social work. This puts the public at risk.

Scope of Practice

The Board would like to see the definition of what constitutes social work practice specified under the regulations via a Scope of Practice, so that there is consistency and accountability across the profession regardless of title or employer. We have developed and consulted on a Scope of Practice (attached as Appendix 3) and believe it provides a useful mechanism and is consistent with the approach taken by the Health Practitioners Competence Assurance Act (2003) (HPCA) and other regulatory bodies.

We will be making a submission to the Social Services Committee on these matters at the appropriate time. We would also be happy to meet with you at any time to discuss these issues further. We believe there are also opportunities for a more nuanced set of Scopes of Practice for specialist areas, such as child protection, alongside an assessed and supported first year of practice (ASFYP). This would be similar to those developed under the HPCA, and would involve consultation with the sector including employers.

Budget and resourcing

The Board is fully fee-funded. We do not receive any government funding. As we move into a mandatory registration environment, we need to make a step change in terms of the work that we do, and how we do it. We are confident we have the operational processes in place needed to manage the increased number of registrations but will need to consider the extra resources potentially needed for the transition to mandatory registration and how those can be funded.

We are likely to require additional capacity for processing applications, and further investment in the database to ensure it meets future requirements and for the website and database to interact appropriately.

We do not have the resources to be able to promote the change to mandatory registration on our own. We do not have a Communications Advisor but are intending to recruit a part-time resource in the near future and hope that person can work with their counterparts in MSD to develop and implement a promotional campaign.

Looking forward

Once the Social Workers Registration Legislation Bill passes into law and we start to operate in a mandatory registration environment and have the increased resources we need to manage those changes effectively, the Board wants to turn its attention to addressing some broader sector issues.

Broader social sector regulation

There are a number of other professionals and occupations within the social service sector that we believe should also work under some kind of regulation framework e.g. youth workers and counsellors. These groups also work with society's most vulnerable so also need to be held to a minimum level of standard and to be accountable when they do not meet it. The Board considers that its experience with registration of social workers means it is well placed to contribute to any future developments in this area.

Specialist social work practice

Now that the transition to a four year social work degree is nearly complete, the Board would also like to explore a post-graduate framework for those social workers who want to pursue specialist social work practice. This could see a supported year of practice developed across the sector. Again, the Board is keen to take a leadership role in considering how this might be achieved, alongside our education providers.

Appendix 1

Summary of key SWRB information

Established: 2003
Board members: 10
Staff: 10.2 FTE
Key functions:

Managing the registration of social workers

- receiving and considering registration applications
- authorising the registration of social workers and maintaining a Public Register
- considering applications for and issuing practising certificates

Setting standards for social work education and training

- recognising New Zealand educational qualifications
- promoting and setting standards for social work education and training in consultation with providers and other standard-setting bodies

Considering complaints against registered social workers

- establishing and providing administrative services to a Complaints and Disciplinary Tribunal
- encouraging social worker employers to provide accessible and efficient complaints procedures

Enhancing the professionalism of social workers

- establishing and maintaining a Code of Conduct
- promoting and encouraging high standards of practice and professional conduct amongst registered social workers and employers of social workers

Promoting the benefits of registration

- 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

Our vision: Our vision is that all social workers in Aotearoa New Zealand are registered.

Our strategic objective: Ensuring competent and accountable social work practice.

Financial information: The Board is self-funded from registration fees and levies. We receive fees from social workers who apply for registration, from Registered Social Workers who want to maintain their registration and from tertiary education organisations that require their social work qualifications to be recognised under the Act.

	2016/2017 Actual \$m	2017/2018 Budget \$m
Operating Revenue	2,061	2,010
Total Expenditure	2,042	2,039

Governance: The Board comprises 10 members (six registered social workers and four lay people) appointed by the responsible Minister. Terms are for generally for up to three years. Members are eligible for reappointment but cannot serve for more than six consecutive years. The Board has four standing committees: Finance, Audit and Risk Management, Policy Development and Review, Te Komiti Maori and Remuneration. The current Board membership is detailed below. See Appendix 4 for photos and a brief profile of each Board member.

Member	First Appointed	Term expiry
Shayne Walker (Chair) *	February 2013	October 2018
Turitea Bolstad (Deputy)	February 2013	October 2018
Michelle Derrett *	February 2013	October 2018
Dianne Wepa *	February 2013	October 2018
Lisa-Marie King *	May 2015	May 2018
Leisa Moorhouse *	May 2015	May 2018
Shirley Ikkala *	May 2015	May 2018
Khoa Nguyen	October 2016	October 2019
Scott Thomson	October 2016	October 2019
Paula Rose	October 2016	October 2019

* Registered Social Workers

Complaints and Disciplinary Tribunal: The Tribunal comprises a Chairperson and one or more Deputy Chairs, at least one High Court barrister or solicitor with no less than seven years practice and five other members – all appointed by the Board. As the responsible Minister, you also appoint at least one layperson to the Tribunal. Terms are for generally for up to three years. The Chair of the Tribunal is eligible for reappointment but cannot serve for more than six consecutive years. Current Board members are not eligible to be on the Tribunal. The current Tribunal membership is:

Member	Appointed	Term expiry
Appointed by the Board		
Jo Hughson (Chair)	August 2015	August 2018
Catherine Garvey (Deputy)	August 2015	August 2018
Kim Fry	October 2015	October 2020
Toni Hocquard	August 2014	August 2019
Lareen Cooper	October 2015	October 2020
Peter McGurk	February 2016	February 2021
Sue Jarvis	February 2016	February 2021
Johanna Drayton (lawyer)	February 2013	February 2018
Philip Comber	October 2015	October 2020
Appointed by the Minister		
Tim O'Donovan	October 2015	October 2020
Bernard Marra	October 2015	October 2020
Darryn Russell	April 2013	April 2018

Appendix 2
Memorandum of Understanding



**Social Workers
Registration Board**

Kāhui Whakamana Tauwhiro

Memorandum of Understanding

Between

The Minister for Social Development

and

The Social Workers Registration Board

2016/17

Content

Memorandum of Understanding

Schedule One: Statement of Performance Expectations – Funding

Schedule Two: Statement of Performance Expectations – Output and Performance Measures

Schedule Three: Quarterly Reporting

Schedule Four: Other Legislative Compliance Reporting

Schedule Five: Revenue

Purpose of Agreement

The purpose of this Memorandum of Understanding (Memorandum) is to record, in a way that is not legally binding, the outputs to be requested by the responsible Minister from the Social Workers Registration Board (the Board) during the 2016 - 2017 financial year, the basis for that request, and to set the performance, financial management and reporting standards with which the Board is required to comply.

The Memorandum sets out how the relationship between the Board and the responsible Minister will be managed over the 2016/2017 financial year. This should be seen as additional to, and complementary with, the Board's 2016/2017 Statement of Performance Expectations.

Term of Agreement

The term of this Memorandum will be from 1 July 2016 to 30 June 2017. If, for any reason a new Memorandum is not completed before the commencement of the next financial year, the parties will continue to operate under the terms of this Memorandum.

Amending and Updating the Memorandum of Understanding

The terms of this Memorandum can be amended during the year, including the financial and non-financial measures attached to this agreement, but only if both parties agree to that variation in writing.

Responsibilities of the Board

The Board will fulfil the functions and requirements of the Social Workers Registration Act 2003, and comply with the relevant provisions of the Public Finance Act 1989, the Crown Entities Act 2004 and any other relevant legislation, including any Ministerial Directives and Whole of Government Directives.

Role of the Responsible Minister

The role of the responsible Minister is to oversee and manage the Crown's interest in, and relationship with, the Board and to exercise any particular statutory responsibilities. This includes participating in the process of setting and monitoring the Board's strategic direction and

to give directions under the terms of the Crown Entities Act 2004 (s27). The Minister will, however, consult with the Board prior to any such direction.

Funding

The Board acknowledges that the budgeted expenditure for carrying out the work included in its Statement of Performance Expectations will be provided from the fees and levies gazetted as set out in the Social Workers Registration Act 2003. The Statement of Performance Expectations - Funding, is set out in Schedule One.

Outputs and Performance Targets

A summary of the outputs, functions, responsibilities, and strategic objectives to be produced by the Board, are included in its Statement of Performance Expectations. Statement of Performance Expectations – Output and Performance Measures, is set out in Schedule Two.

Ministerial Priorities for 2016/2017

Review of the Social Workers Registration Act.

The Board will complete the full review of the Social Workers Registration Act 2003 that began in 2015/16, as per Section 104 of the Act, and report back to the Minister by December 2016. The review process will include providing advice to the Social Services Select Committee Inquiry into the operation of the Social Workers Registration Act 2003, and providing additional information to support recommendations 3, 4, and 5 from its draft report. These include:

- **Rec 3:** social work education funding issues
- **Rec 4:** entry to practise and the qualification framework issues
- **Rec 5:** scopes of practice.

The Board will provide regular updates to the Minister on this work on a bi-monthly basis.

Financial Management

The Board's forecast financial statements are included in the Board's 2016/2017 Statement of Service Expectations.

The Board will use its best endeavours to ensure that the total actual expenditure for the outputs produced by it is within the agreed budget.

Reporting

The Board will provide quarterly reports to the Minister on its performance and related issues as provided for in Schedule Three.

Note on Other Income

The Board will receive third party funding from sponsorship, donation or other sources during the year. Any such income will be applied to the provision of the outputs specified in Schedule Two appended to this document.

Dated this _____ day of _____ 2016

Shayne Walker

Chair

On Behalf of the Social Workers Registration Board

Hon Anne Tolley

Minister for Social Development

Statement of Forecast Service Performance - Funding

Crown Funding

The Board is not expected to receive any direct Crown funding for the 2016/2017 year.

Expenditure on the output for 2016/2017 will be funded by payments received by the Board from social workers who apply for registration, from registered social workers who wish to maintain their registration and from Tertiary Education Organisations that require their social work qualifications to be recognised for the purposes of the Social Workers Registration Act 2003.

Output	Income	Expenditure
Implement the SWRB Registration framework	\$ 1,756,160	\$ 1,855,400

NB All figures are GST Exclusive

Statement of Performance Expectations – Output and Performance Measures

OUTPUT: ADMINISTRATION OF THE SWRB REGISTRATION FRAMEWORK

What is intended to be achieved?

We protect the public's safety by administering a registration framework to ensure that social workers are competent to practise and held accountable for their practice.

The processes undertaken to achieve this are:

Management of 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.

Consideration of 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.

Enhancement of 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 the employers of social workers.

Promotion of 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.

Set 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.

DRAFT

How will we assess performance?

Performance Measure	Target 2014/15	Actual 2014/2015	Target 2015/2016	Estimated Actual 2015/2016	Target 2016/2017
The percentage of Social Work Qualifications due for re-recognition that are assessed by panels prior to their expiry date will be no less than	100%	100%	100%	100%	100%
The percentage of completed applications for Registration that are assessed and presented to the Board for approval within 60 working days, will be no less than	100%	100%	100%	100%	100%
The percentage of applicants who report being satisfied with the Registration and Annual Practicing Certificates renewal process will be no less than	90%	77%	90%	TBA*	90%*
The percentage of competence assessments that are completed within 20 working days will be no less than	100%	100%	100%	100%	100%
The percentage of competence re certification assessments that are completed within 20 working days will be no less than	100%	100%	100%	100%	100%
The percentage of applicants who report being satisfied with the Competence Assessments process will be no less than	90%	78%	90%	TBA*	90%*
The number of events that inform and promote the benefits of Registration to Social Workers, employers of Social Workers and the public, will be no less than	40	66	40	50	50

Performance Measure	Target 2014/15	Actual 2014/2015	Target 2015/2016	Estimated Actual 2015/2016	Target 2016/2017
The percentage of people who report that they are satisfied with promotional material they receive will be no less than	90%	84%	90%	TBA%*	90%*
The percentage of formal complaints received and referred to the Complaints and Disciplinary Tribunal to be processed within 20 working days will be no less than	100%	100%	100%	100%	100%

* This is/will be evaluated via an annual survey

DRAFT

Schedule Three

Quarterly Reporting

The Social Workers Registration Board agrees to provide the responsible Minister with quarterly reports, containing both financial and non-financial performance information as set out below.

Content

Each quarterly report should be as concise as possible, and provide an update on progress/performance in the following areas:

Section A: Overview

- Progress against Minister's priorities and any others agreed
- Summary of financial performance
- Summary of performance against output targets
- Value for money activity
- Organisational capability, including staff numbers
- Upcoming events
- Other significant activity.

Section B: Output Delivery Performance

- A full schedule of results against performance measures with variance comments explaining under, and significantly over achievement.

Section C: Financial Performance

- A comprehensive set of year-to-date reports, including a Statement of Financial Performance and Statement of Financial Position with comparative figures for the previous year. Where appropriate, explanations for the variances between forecast and actual are to be included.

Exceptions Reporting

From time to time issues may arise outside of the normal quarterly reporting and meeting cycle. When this happens, both parties agree to inform each other of the nature of the issue(s) as soon as possible.

Reporting and Risks

From time to time, issues may arise outside the normal quarterly reporting and meeting cycle. When this happens, both parties agree to inform each other of the nature of the issues as soon as possible.

If an issue poses a major risk to the operation of the Board (e.g. a major financial risk, or potential risk to its reputation), the Board will ensure that its advice to the Minister outlines the nature of the issue; any assistance/advice it may have sought on how to manage this, and any action taken to manage the issue, including whether this is consistent with any assistance/advice the Board may have received.

Where advice is provided verbally, steps will be taken to ensure that the advice is documented.

Timing

Quarterly reports will be provided on the following dates:

- (i) by 25 October 2016 relating to the period 1 July 2016 to 30 September 2016;
- (ii) by 23 January 2017 relating to the period 1 October 2016 to 31 December 2016;
- (iii) by 24 April 2017 relating to the period 1 January 2017 to 31 March 2017;
- (iv) by 24 July 2017 relating to the full 2016/2017 financial year

NB: The final quarterly report to cover the full year to date, due in July 2017 (the 12-Month Report), is distinct from the entity's Annual Report to be presented to Parliament. Further, it is recognised that the information provided in the 12-Month Report may change in the Annual Report as a result of the end of year audit report.

Schedule Four

Other Legislative Compliance Reports

Key Deliverables	Dates
Chief Executive Expenditure Disclosure	July 2016
Annual Report	Draft early November 2016 Final November / December 2016
Statement of Intent	Draft early November 2016 Final November / December 2016
Statement of Performance Expectations	Draft May 2017 Final June 2017
Memorandum of Understanding	Draft and final May / June 2017

Revenue

The Social Workers Registration Board acknowledges that the budgeted expenditure for carrying out the work included in its Statement of Forecast Service Performance will be provided from the fees and levies gazetted as set out in the Social Workers Registration Act 2003 as well as interest received and additional Sundry Income as noted below. The Board is not expected to receive any direct Crown funding for the 2016/2017 year.

	2016 / 2017
	Budget (GST excl.)
	\$
Income	
Application and Registration fees	1,670,660
Government Grants	0
Programme Recognition and other income	55,500
Interest	30,000
Total Income	1,756,160

Appendix 3

Scope of Practice

1. Social Work – General Scope of Practice

Social workers are employed in various positions. Some of these positions are not titled 'social worker'.

General Scope of Practice:

Social workers are registered professionals who are educated to work collaboratively with clients and communities to assess, manage and evaluate individual and interpersonal situations incorporating analysis of environmental, cultural, structural, societal and economic issues. Social work seeks to enable and empower people and their communities to address life challenges, enhance well-being and challenge societal barriers. Across a variety of practice settings, social workers use indigenous, social sciences and humanities knowledge, social work theories, skills, strategies and interventions. Principles of social justice, human rights, collective responsibility and respect for diversities are central to social work practice.

Social workers assess and manage risk, trauma and safety and apply critical thinking and professional judgment.

Social workers create and review social policy, undertake socio-political research, community development, community organising, networking and advocacy in relation to social justice, poverty and inequality.

Social workers use their expertise in professional and/or team leadership, social work management, supervision, coaching, mentoring, teaching and tutoring social work, consultancy and advisory roles.

Such practice is undertaken in accordance with Te Tiriti o Waitangi based practice, the IFSW IASSW joint definition of social work, the Social Work Registration Board's Code of Conduct and 10 core competencies, the ANZASW's Code of Ethics and within the generally accepted standards relevant to the individual social worker's area of practice and level of expertise.

2. What is the Practice of Social Work?

To assist interpretation, especially for persons in non-traditional or role-emergent practice contexts, the SWRB developed a definition of the practice of social work. The *Definition of the Practice of Social Work* is set out below:

The Practice of Social Work – what do social workers do?

The Social Workers Registration Board defines the practice of social work as the following:

1. *Where ever possible, establishing collaborative relationships with clients and their communities to overcome barriers and obtain support, based on an understanding of their history and the personal, spiritual, whānau, social, and cultural meanings of who they are and what they want to achieve. ‘Client’ includes but is not limited to individuals, family, whānau, hapū, iwi, groups, organisations, communities, staff, supervisees and students.*
2. *The assessment and evaluation of client situations and needs incorporating analysis of structural, cultural, social and economic issues using indigenous, social sciences and humanities knowledge, social work theories, skills, strategies and interventions.*
3. *Across a wide range of practice settings work collaboratively with clients to:*
 - a. *Identify, explore and assess strengths, needs, situations, and support networks and understand the client’s perspective in order to determine and prioritise goals;*
 - b. *Analyse micro, meso and macro influences on clients and the client’s social system;*
 - c. *Develop plans to enhance client well-being;*
 - d. *Enhance their well-being, resilience and ability to cope with major life stresses such as grief, loss, trauma and other major events and challenges. The focus of this work may be at personal and/or systemic levels;*
 - e. *Research, assess and refer clients to community resources.*

This includes working with clients to develop their capacity and confidence to advocate for themselves or providing or arranging advocacy for people who do not have a voice, as well as negotiating and challenging institutional barriers.

- f. Review and reflect on goals, plans, situations and modify these if required.*
- 4. Apply critical thinking and professional judgement to assess and manage risk where there is potential or actual abuse, neglect or harm to self and others. Interventions may include the use of statutory power.*
- 5. Direct practice with clients in the context of a 'front line' role which may include counselling and case management. This could be as a sole practitioner or in a team or roopu.*
- 6. Professional and/or team leadership, social work management, supervision, coaching, mentoring, consultancy and advisory roles where the person influences the practice of social work. 'Practice' is wider than 'front line' social work and may be paid or voluntary.*
- 7. Teaching and tutoring social work practice, theory and skills.*
- 8. Social policy analysis, policy creation and review and practice development, as well as socio-political research.*
- 9. International, social and community development; community organising, networking and advocacy in relation to social justice, poverty and inequality. Maximizing strengths or assets already existing in communities; developing and supporting groups or organisations to build resilience and enhance social well-being and functioning.*
- 10. Engaging in processes to ensure competence in the above.*

Appendix 4

SWRB Board member photos and profiles



Shayne Walker (Chair)

Shayne is of Ngāti Kahungunu descent. He is a registered social worker whose interest in social work stems from his background as a 'child in care', a youth worker and fostering 192 mainly Māori and Pacific Island young men with his wife Helen. He is a researcher and senior lecturer in social work at the University of Otago, with a focus on the nature of Māori knowledge, ako Māori, and Māori social work practice models.



Turitea Bolstad (Deputy Chair)

Turitea has a background in law providing advocacy services in the Taranaki Region. As a Criminal Lawyer and Youth Advocate, she works closely with social service organisations and agencies. She has previously served on the Taranaki District Law Society, Taranaki Community Law Centre and Taranaki Lotteries Distribution Committee and is currently a Mahia Mai A Whai Tara board member.



Dianne Wepa

Dianne is of Ngāti Kahungunu descent. She is a registered social worker with a background in mental health, clinical/cultural supervision and nursing/social work education. As an associate lecturer at Auckland University of Technology, Dianne has developed expert knowledge in the field of cultural safety education, Māori health and research ethics. Dianne completed her PhD in 2016 with a focus on cultural safety within hospital and community settings.



Leisa Moorhouse

Leisa is of Ngāpuhi descent. She is a registered social worker with experience in both community and statutory social work in both New Zealand and England. She currently works in private practice and is a strong advocate for Māori models of practice and growing practitioners' understanding and use of tikanga in practice.



Lisa-Marie King

Lisa is of Ngāti Kahu ki Whangaroa and Ngāti Kōhua whakapapa. She is a registered social worker with more than 20 years experience. She is currently a social work lecturer (part-time) at the Open Polytechnic. Lisa has a strong interest in indigenous, kaupapa Māori and bicultural social work, supervision and education.



Shirley Ikkala

Shirley is of Ngāti Whātua Ōrākei descent. She is a registered social worker with more than 20 years' experience working mostly in the government sector. She is currently the Kaiārahi, National Curriculum Manager for the social work degree programme at Te Wānanga o Aotearoa. Shirley has a keen interest in the need for accountability and responsibility in the social work sector.



Khoa Nguyen

Khoa is a Vietnamese New Zealander. He is a certified Chartered Accountant and Managing Director of Viet River Holdings Ltd, a niche consultancy company providing executive lease, governance and commercial connections to the ASEAN market. He has held various directorships and is an avid volunteer. He is currently a member of the New Zealand Lottery Grants Board and Rangitāne Tū Mai Rā Trust.



Paula Rose

Paula has a wide range of experience across the policing, welfare, community and media standards sectors. She is a former National Manager Road Policing and was involved in implementing MSD's action plan for vulnerable children. She sits on the boards of WorkSafe NZ and the Broadcasting Standards Authority, is a Commissioner on the Transport Accident Investigation Commission, a member of the Parole Board, and on the South Island Trust Board for St John. In 2013 she was awarded a QSO for her contribution to policing and the community.



Scott Thomson

Scott is a physiotherapist from Christchurch and co-owns the Merivale Hand Clinic. He is a past Chair of the New Zealand Private Physiotherapy Association and the International Private Physical Therapist Association. He has been closely involved with the development of physiotherapy standards through the New Zealand Physiotherapy Accreditation Scheme and as a member of the Standards New Zealand Technical Committee developing the Allied Health Services Sector Standards. Scott is currently a member of the Physiotherapy Board of New Zealand.



Michelle Derrett

Michelle hails from Dunedin and is a registered social worker. She came to social work following a career in the sciences and has a strong interest in social work practice from a scientific analytical standpoint and using critical reflective practice theories. Michelle is currently the Social Work Professional Leader for the Southern District Health, a role that includes clinical practice in Women's and Children's Health.

DRAFT