

## Social Work England Board Meeting

**3 May 2019 – 10.30 a.m. to 1.00 p.m.**  
**Social Work England Offices, Sheffield**

### AGENDA

**Members:** Lord Patel of Bradford - Chair  
 Dr Andrew McCulloch – Non-Executive Director  
 Baroness Tyler of Enfield – Non-Executive Director  
 Dr Helen Phillips - Non-Executive Director  
 Jonathan Gorvin – Non-Executive Director  
 Mark Lam – Non-Executive Director  
 Colum Conway – Chief Executive, Social Work England  
 Adnan Bashir - Executive Director Finance, Social Work England

**Attendees:** Alison McKinna - Executive Director Corporate Services, Social Work England  
 Lucy Oliver - Interim Executive Director Finance, Social Work England  
 Philip Hallam - Executive Director, Registration and Quality Assurance, Social Work England  
 Amy Soar, Head of Policy  
 Liz Howard, Social Work Strategic Engagement Lead  
 Sherife Hasan – Head of Governance/Secretariat, Social Work England

|    | Item                                                                          | Board Action     | Presented by                 |
|----|-------------------------------------------------------------------------------|------------------|------------------------------|
| 1. | Chair's welcome and note of apologies                                         | To note          | Lord Patel                   |
| 2. | Declaration of Interests                                                      | To note          | Lord Patel                   |
| 3. | Minutes of previous meeting                                                   | For approval     | Lord Patel                   |
| 4. | Action Log - matters arising from minutes of previous meeting                 | To note progress | Lord Patel                   |
| 5. | <b>Reporting:</b>                                                             |                  |                              |
|    | 5.1 Finance report to year end                                                | To note          | Lucy Oliver/Adnan Bashir     |
|    | 5.2 Budget 19/20                                                              | For approval     | Lucy Oliver/Adnan Bashir     |
|    | 5.3 Project Implementation Report                                             | To note          | Alison McKinna               |
|    | 5.4 Innovation Groups Update                                                  | To note          | Alison McKinna/Sherife Hasan |
|    | 5.5 Presentation on Registration and Education and Training Quality Assurance | To note          | Philip Hallam                |
|    | 5.6 Standards and Rules Consultation Update                                   | To note          | Amy Soar/Liz Howard          |
| 6. | <b>Assurance:</b>                                                             |                  |                              |
|    | 6.1 High Level Risk Report                                                    | To note          | Alison McKinna               |
| 7. | <b>Governance:</b>                                                            |                  |                              |
|    | 7.1 Business Plan 19/20                                                       | For approval     | Alison McKinna               |

|            |                                                                        |              |                              |
|------------|------------------------------------------------------------------------|--------------|------------------------------|
|            | 7.2 Review of 18/19 Business Plan Performance                          | To note      | Alison McKinna               |
|            | 7.3 Board Code of Conduct and Ethics                                   | To note      | Alison McKinna/Sherife Hasan |
| <b>8.</b>  | Annual Board Work Plan                                                 | For approval | Alison McKinna               |
| <b>9.</b>  | AOB                                                                    |              | All                          |
| <b>10.</b> | Date of Next Meeting – 14 June 2019, 11.00 a.m. to 3.00 p.m. in London | To note      | Lord Patel                   |

|                                |                                                            |
|--------------------------------|------------------------------------------------------------|
| <b>Meeting</b>                 | <b>Social Work England Board Meeting</b>                   |
| <b>Agenda Item</b>             | <b>2</b>                                                   |
| <b>Date</b>                    | <b>3 May 2019</b>                                          |
| <b>Title</b>                   | <b>Declaration of Interests</b>                            |
| <b>Executive Director/Lead</b> | <b>Lord Patel, Chair</b>                                   |
| <b>Author</b>                  | <b>Sherife Hasan, Head of Governance/Board Secretariat</b> |
| <b>Contact Details</b>         | <b>Sherife.hasan@socialworkengland.org.uk</b>              |

## **SUMMARY**

**The Declaration of Interests are presented to the Board to be noted.**

## **SUPPORTING PAPERS**

**Declaration of Interests (see below attached)**

## **RECOMMENDED ACTION**

**To be noted by the Board.**

## **Key implications or risks for any of the following:**

|                             |          |
|-----------------------------|----------|
| <b>Financial</b>            |          |
| <b>Legal</b>                |          |
| <b>Workforce</b>            |          |
| <b>Governance</b>           | <b>X</b> |
| <b>Regulatory</b>           |          |
| <b>Service users/carers</b> |          |

## Social Work England Board – Register of Interests

**Name of Member:** Professor Lord Patel of Bradford OBE

**Appointment and length of term:** 19 March 2018 – 19 March 2021

| Organisation in which interest exists   | Nature of interest                |
|-----------------------------------------|-----------------------------------|
| England & Wales Cricket Board (the ECB) | Senior Independent Board Director |
| British Board of Film Classification    | Vice President                    |
| Royal Society for Public Health         | President                         |
| Indian Business Group                   | Chairman                          |
| Breaking Barriers Innovations           | Chairman                          |

**Name of Member:** Dr Helen Phillips

**Appointment and length of term:** 10 August 2018 – 10 August 2021

| Organisation in which interest exists            | Nature of interest    |
|--------------------------------------------------|-----------------------|
| Chesterfield Royal Hospital NHS Foundation Trust | Board Chair           |
| Legal Services                                   | Board Chair           |
| Mount St Mary's College, Spinkhill               | Chair of Governors    |
| Sheffield Business School                        | Advisory Board Member |

**Name of Member:** Baroness Tyler of Enfield

**Appointment and length of term:** 10 August 2018 – 10 August 2021

| Organisation in which interest exists | Nature of interest                                   |
|---------------------------------------|------------------------------------------------------|
| Making Every Adult Matter (MEAM)      | Chair                                                |
| British Board of Film Classification  | Member, Advisory Panel of Child's Viewing            |
| National Children's Bureau (NCB)      | President                                            |
| Relate                                | Vice President                                       |
| Step up to Serve Campaign             | Member of Advisory Council                           |
| Centerpoint                           | Ambassador                                           |
| Co-Chair                              | All Party Parliamentary Group on Social Mobility     |
| Vice Chair                            | All Party Parliamentary Group on Mental Health       |
| Vice Chair                            | All Party Parliamentary Group on Children            |
| Vice Chair                            | All Party Parliamentary Group on Wellbeing Economics |

**Name of Member:** Jonathan Gorvin

**Appointment and length of term:** 10 August 2018 - 10 August 2021

| Organisation in which interest exists    | Nature of interest                        |
|------------------------------------------|-------------------------------------------|
| Royal Institution of Chartered Surveyors | Head of Regulatory Policy and Development |
| Science Council                          | Trustee                                   |

**Name of Member:** Dr Andrew McCulloch

**Appointment and length of term:** 10 August 2018 - 10 August 2021

| Organisation in which interest exists | Nature of interest |
|---------------------------------------|--------------------|
| GMC Services International            | Chair              |
| Healthwatch England                   | Board Member       |
| McCulloch and Muijen Associates       | Principal          |

**Name of Member:** Mark Lam

**Appointment and length of term:** 11 January 2019 – 11 January 2022

| Organisation in which interest exists                          | Nature of interest                              |
|----------------------------------------------------------------|-------------------------------------------------|
| Barnet, Enfield and Haringey Mental Health NHS Trust           | Chair                                           |
| Airedale NHS Foundation Trust                                  | Non-Executive Director                          |
| Barking, Havering and Redbridge University Hospitals NHS Trust | Non-Executive Director                          |
| Openreach Limited, owned by BT Group plc                       | Former Chief Technology and Information Officer |

## Social Work England

### Board Meeting

8 March 2019

**Attendees:** Lord Patel of Bradford - Chair  
Baroness Tyler of Enfield - Non-Executive Director  
Dr Helen Phillips - Non-Executive Director  
Dr Andrew McCulloch - Non-Executive Director  
Mark Lam - Non-Executive Director  
Jonathan Gorvin – Non-Executive Director  
Colum Conway – Chief Executive, Social Work England  
Lucy Oliver – Interim Executive Director Finance, Social Work England

**In Attendance:** Alison McKinna - Executive Director Corporate Services, Social Work England  
Jonathan Dillon - Executive Director Fitness to Practise, Social Work England (in attendance for agenda item 5.4)  
Sherife Hasan – Head of Governance/Secretariat, Social Work England

#### 1. Welcome and introductions

1.1 Lord Patel welcomed attendees to the meeting and noted that there were no apologies.

#### 2. Declarations of interest

2.1 The declaration of interests of all Board members were present and noted.

#### 3. Minutes of previous meeting – 25/01/2019

3.1 The minutes were approved as an accurate record.

3.2 The status and progress of the action points were noted. The following matters were raised:

- **Social Work England 'go live' date** – agreement on a final date is still under discussion with DfE and DHSC.
- **Membership of Professional Expert Group** – it was noted that Think Ahead are not currently members of this group, but Colum Conway is due to meet with them shortly and will invite them to join the group.
- **Review of Travel Policy** – The review is underway and other similar policies are currently being reviewed. It was requested that a copy of the House of Lords travel policy should be forwarded onto Lucy Oliver.

**Action: Sherife Hasan**

- **Holding Board Meetings in Public** – Nadine Pemberton, Executive Director, Legal has advised that even though Social Work England has not yet gone live in terms of its functions as a regulator, the Board is not a ‘shadow’ Board and should meet in public - Colum Conway will send a copy of Nadine’s note to members of the Board. Therefore, it was agreed that the next Board meeting in Sheffield on 3<sup>rd</sup> May would be the first Board meeting held in public (see Item 17 below). The members of the public will have observer status at Board meetings.

**Action: Colum Conway**

**4. Finance Report January 2019**

- 4.1 The financial results for January 2019 and the full year forecast to 31 March 2019 were presented to the Board by Lucy Oliver, the interim Executive Director, Finance, to be noted.
- 4.2 The Board discussed and noted the finance report. An underspend is forecast on programme costs primarily due to slower recruitment than predicted and later phasing on spend for IT development. The Board noted the underspend projected for 18/19 and, while disappointed, Board members acknowledged the initial challenges presented for budget forecasting through the setup phase.
- 4.3 The new permanent Executive Director, Finance will commence in post in April. The Non-Executive Finance Director post has yet to be advertised by DfE and Lord Patel will contact them again about advertising this.

**Action: Lord Patel**

**5. Programme Implementation Status Report**

- 5.1 The programme status report was presented, and the Board were asked to note the current position in relation to the status of the Social Work England implementation programme.
- 5.2 The following areas were discussed:
  - **Rules and standards consultation** – the rules and standards development are on track. The consultation process has commenced and will be completed on the 1<sup>st</sup> May. On the 15<sup>th</sup> May a workshop will be held for the Board to review the results of the consultation process. It is planned to use the 14<sup>th</sup> June Board Meeting for a final review of the revised rules and standards following amendments arising from the outcome of the consultation process.
  - **Recruitment** – recruitment of both staff and panellists is on track (see section 6 for more details on recruitment).
  - **Internal audit** – the audit is due to commence in the second week in March and will be completed by the end of March.

- **Transfer of data** – the transfer programme remains under discussion with HCPC, in particular the legal underpinning of the programme. This will need to be resolved for the transfer of data from HCPC to Social Work England to take place for testing purposes. From a technical perspective, plans are in place for the transfer of data to progress from the 11<sup>th</sup> April onwards.
- **Working with the voluntary sector, users and carers** – specific plans are in place for the engagement of experts by experience in the consultation on rules and standards. The plans will be shared with the Board.

***Action: Colum Conway***

- 5.3 It was agreed that a one page spread sheet of all the 35 programmes will be sent out to Board members.

***Action: Alison McKinna***

## 6. Recruitment Update

- 6.1 The recruitment update report was presented, and the Board were asked to note the current position in relation to recruitment planning and progress to date.
- 6.2 Recruitment is on track and a recruitment framework is under development.
- 6.3 It was reported that recruiting to the corporate and technical skills requirements has proven to be more difficult than expected and some posts have had to be advertised on a number of occasions.
- 6.4 Diversity in recruitment is being monitored and will be presented to the Board at a later stage.

## 7. High-Level Risk Report

- 7.1 The High-Level Risk Report was presented to the Board. The report provided an update on progress since the last meeting and the Board were asked to note the current position in relation to the high-level risks.
- 7.2 It was reported that the data transfer from HCPC continues to be a key issue.
- 7.3 Reputational management was raised by the Board as an area that needs to be considered.
- 7.4 The Board also requested that a strategic plan and assurance framework is developed. A draft strategic plan is already under development and will be presented to the Board at a later date.

***Action: Alison McKinna***

## 8. CDS Visit Feedback

- 8.1 Mark Lam reported back to the Board on his and Lord Patel's visit to CDS with Alison McKinna and David Bates, Head of Information Technology and Data Management.

- 8.2 Mark Lam stated that there were good and positive staff teams at Social Work England and CDS. He also commented that CDS was a good choice of partner as the organisation has a good public service record and their methodological approach appeared to be fine.
- 8.3 Good progress has been made in this work programme and it is on track, but Mark Lam highlighted three issues that the Board needed to be aware of:
- **Scope** – the scope of the work programme is focused on the ‘minimal viable product’, as agreed with DfE. This means the focus is on establishing the registration system for social workers. There is a risk that Social Work England will go live with some other areas being underdeveloped, specifically Fitness to Practice and training/education, which could lead to reputational risks and a lack of joined up development. The ambition of the work programme should be increased so that all areas are more fully developed and the information and data that needs to be gathered from the system are more clearly outlined.
  - **Data Transfer** – at present, the quality and integrity of data from HCPC is unknown. This is a critical area and if the data quality and integrity is poor there may be a need to revisit plans.
  - **Software** – a decision was made to build the software from scratch rather than to buy ‘off the shelf’. There are advantages to building a tailor-made system, but there are also more risks and it is important that there are clear mitigation strategies in place.
- 8.4 The Board thanked Mark Lam for his feedback on the visit to CDS and for highlighting the key areas of risk. Following discussion, Lord Patel put forward his proposal of Task and Finish Groups (see below – section 9.)

## 9. Task and Finish Groups

- 9.1 Lord Patel proposed the establishment of three short-term Task and Finish Groups, which would focus on 3 areas: Rules and Standards, Engagement, and IT/Data. The groups would be chaired by Board members and consist of Board members and staff from across the organisation. They will provide an opportunity for Board members and staff to work together on these thematic areas and for Board members to provide a ‘strategic challenge’ on the development of these areas in both business and strategic planning.
- 9.2 The Board accepted the proposal and it was agreed that each group would have the following chairs: Standards - Dr Andrew McCulloch supported by Dr Helen Phillips, Engagement – Baroness Tyler supported by Lord Patel, IT/Data – Mark Lam support by Jonathan Gorvin, although any NED is free to attend any of the meetings. Alison McKinna will work with Sherife Hasan on preparing terms of reference, agreeing staff members, the logistics for the meetings and the preparation of reports.

- 9.3 The groups will meet 3 to 4 times over the next four-month period and a report on the themes, issues and outcomes from each group will be produced and presented to the Board in July.

**Action: Alison McKinna and Sherife Hasan**

## **10. Terms of Reference**

- 10.1 The Terms of Reference (ToR) for the Board, the Audit and Risk Committee and the Remuneration Committee were presented to the Board.
- 10.2 The Board approved the three ToRs.

## **11. Business Plan 2019/20**

- 11.1 A note relating to the Business Plan 2019/20 was presented to the Board as an update on its preparation.
- 11.2 The Board noted the progress that had been made on the development of the Business Plan.

## **12. Draft Budget 2019/20**

- 12.1 The updated draft budget 2019/20 was presented to the Board to be noted.
- 12.2 The Board discussed and noted the draft budget.

## **13. Work Plan**

- 13.1 The work plan was presented to the Board. The Board discussed and noted the work plan.

## **14. Presentation on Fitness to Practise**

- 14.1 Jonathan Dillon presented a paper to the Board that set out the opportunities and differences provided by the rules established by Social Work England for the delivery of its Fitness to Practise function.
- 14.2 The Board thanked him for the presentation and for a very well written and clearly laid out paper.
- 14.3 Following the presentation, the Board discussed a number of issues in relation to Fitness to Practise, including: addressing the needs of vulnerable service users, the need for appropriate safeguarding policies, engaging with families, risk assessment of cases, dealing with appeals against decisions, the skills and support required by the triage teams and case examiners, and the make-up of panels.

## **15. Any Other Business**

- 15.1 No further business was raised.

## **16. Date of Next Meeting**

16.1 The next meeting will be held on 3 May 2019 in Sheffield. This would be the first meeting held in public and it was agreed that the meeting would be divided up as follows:

- 10.30 am to 11.00 am – Chair and NEDs session
- 11.00 am to 1.00 pm – Public meeting
- 1.00 pm to 2.00 pm – Closed session (if required)

## Social Work England

### Action Log – from Board Meeting 8 March 2019

|    | Date of Board Meeting: | Actions:                                                                                                                    | Owner:                           | Status/Due Date:                                                                        |
|----|------------------------|-----------------------------------------------------------------------------------------------------------------------------|----------------------------------|-----------------------------------------------------------------------------------------|
| a. | 08/03/19               | Review of Travel Policy – House of Lords Travel Policy to be forwarded to Lucy Oliver                                       | Sherife Hasan                    | Completed                                                                               |
| b. | 08/03/19               | Copy of Nadine Pemberton, Executive Director Legal's note re: holding Board Meetings in public, to be sent to Board members | Colum Conway                     | Completed                                                                               |
| c. | 08/03/19               | DfE to be contacted re: advertising post of Non-Executive Finance Director                                                  | Lord Patel                       | Completed                                                                               |
| d. | 08/03/19               | Plans for engagement of experts by experience in the consultation on rules and standard to be shared with Board members     | Colum Conway                     | To be covered in Standards presentation (agenda item 5.6)                               |
| e. | 08/03/19               | One page spread sheet of all 35 programmes to be send out to Board members                                                  | Alison McKinna                   | Completed                                                                               |
| f. | 08/03/19               | Draft strategic plan to be presented to the Board                                                                           | Alison McKinna                   | Following Innovation Groups the strategic plan will be presented to Board in the autumn |
| g. | 08/03/19               | Innovation Groups to be established and report to be presented in July                                                      | Alison McKinna/<br>Sherife Hasan | Dates for Innovation Groups have been set up                                            |

|                                |                                                       |
|--------------------------------|-------------------------------------------------------|
| <b>Meeting</b>                 | <b>Social Work England Board Meeting</b>              |
| <b>Agenda Item</b>             | <b>5.1</b>                                            |
| <b>Date</b>                    | <b>3 May 2019</b>                                     |
| <b>Title</b>                   | <b>Finance Report – Financial Year End March 2019</b> |
| <b>Executive Director/Lead</b> | <b>Adnan Bashir, Executive Director, Finance</b>      |
| <b>Author</b>                  | <b>Adnan Bashir, Executive Director, Finance</b>      |
| <b>Contact Details</b>         | <b>Adnan.Bashir@socialworkengland.org.uk</b>          |

| <b>SUMMARY</b>                                                                                                                                        |
|-------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Presentation of Social Work England’s management accounts for the financial year end March 2019 are presented to the Board to be noted.</b></p> |

| <b>SUPPORTING PAPERS</b>                           |
|----------------------------------------------------|
| <p><b>Attached - Finance Report March 2019</b></p> |

| <b>RECOMMENDED ACTION</b>                                                                                                                                                        |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>The Board is asked to note the financial position as at the financial year end, which will be subject to external audit and any subsequent post audit adjustments.</b></p> |

| <b>Key implications or risks for any of the following:</b> |          |
|------------------------------------------------------------|----------|
| <b>Financial</b>                                           | <b>x</b> |
| <b>Legal</b>                                               |          |
| <b>Workforce</b>                                           |          |
| <b>Governance</b>                                          | <b>x</b> |
| <b>Regulatory</b>                                          |          |
| <b>Service users/carers</b>                                |          |

## Social Work England

### Finance Report

#### Financial Year End March 2019

#### 1. Executive Summary

1.1 Social Work England's total expenditure for the financial year ended March 2019 was £4,090.

1.2 The forecast outturn for the year end and the original budget for financial year 2018-19 were £4,525k and £5,282k respectively, providing for a variance of £435k against the forecast outturn and £1,192k against the original budget.

#### 2. Financial Year End Outturn

2.1 The table below provides an overview of the March and YTD actual spends as well as the forecast for the year end position and the original 2018-2019 budget:

| Social Work England - Financial Year Ending March 2019 |                  |                  |                  |                 |                            |                                  |                                   |                                 |                                          |
|--------------------------------------------------------|------------------|------------------|------------------|-----------------|----------------------------|----------------------------------|-----------------------------------|---------------------------------|------------------------------------------|
| Expenditure Categories                                 | Feb YTD          | Mar Actual       | March Forecast   | Variance        | Mar YTD (Full Year) Actual | Mar YTD (Feb-Full Year) Forecast | Variance (YTD Actual vs Forecast) | Original 18/19 Full Year Budget | Variance (YTD Actual vs Original Budget) |
| Admin Sub Total                                        | 179,596          | 66,751           | 69,034           | -2,283          | 246,347                    | 248,630                          | -2,283                            | 964,532                         | 718,185                                  |
| Programme Total                                        | 1,331,459        | 471,738          | 874,999          | -403,261        | 1,803,197                  | 2,163,498                        | -360,301                          | 2,381,468                       | 578,271                                  |
| Total Admin and Programme                              | 1,511,056        | 538,489          | 944,033          | -405,544        | 2,049,544                  | 2,412,128                        | -362,583                          | 3,346,000                       | 1,296,456                                |
| Capital Programmes                                     |                  |                  |                  |                 |                            |                                  |                                   |                                 |                                          |
| Premises                                               | 897,522          | 247,221          | 302,478          | -55,257         | 1,144,743                  | 1,200,000                        | -55,257                           | 720,000                         | -424,743                                 |
| IT Infrastructure                                      | 173,477          | 161,728          | 176,691          | -14,963         | 335,204                    | 350,168                          | -14,964                           | 350,168                         | 14,964                                   |
| Digital                                                | 409,311          | 151,353          | 153,749          | -2,396          | 560,664                    | 563,060                          | -2,396                            | 866,060                         | 305,396                                  |
| Total Capital Programme                                | 1,480,310        | 560,302          | 632,918          | -72,616         | 2,040,612                  | 2,113,228                        | -72,616                           | 1,936,228                       | -104,384                                 |
| <b>TOTAL</b>                                           | <b>2,991,365</b> | <b>1,098,791</b> | <b>1,576,951</b> | <b>-478,160</b> | <b>4,090,156</b>           | <b>4,525,356</b>                 | <b>-435,200</b>                   | <b>5,282,228</b>                | <b>1,192,072</b>                         |

2.2 The year-end outturn variance of £435k is comprised as follows:

2.2.1 Administration £2k

2.2.2 Programme £360k

2.2.3 Capital £73k

2.3 The Programme variance has primary been driven as a result of lower than anticipated spend regarding substantive agency and secondee staff totalling £58k:

- 2.3.1 Substantive staffing underspends for the financial year end amount to £16k, primarily driven as a result of deferred recruitment within the FTP and Standards.
- 2.3.2 Agency costs have been effectively managed and are £5K below the outturn position for the year end.
- 2.3.3 Seconded expenditure is underspent against the outturn forecast by £37k allowing for accrued seconded costs up to the year end.
- 2.3.4 The programme strand variance is also inclusive of non-staff underspends totalling £302k comprised of the following contribution from each directorate area:
  - 2.3.4.1.1 Corporate £287K underspend; £25k of the corporate underspend is attributable to premises costs mainly regarding business rates and SDLT. The remaining balance of the variance can be attributed to administrative costs £6k, recruitment and staff training costs £56k, Software and ICT support costs £200k as a result of lower than anticipated costs, delayed implementation and the reallocation of costs into the 2019/20 financial year.
  - 2.3.4.2 Fitness to Practise £11k
  - 2.3.4.3 Registration (£5k)
  - 2.3.4.4 Standards £9k
- 2.4 The Capital programme variance is comprised of premises, IT infrastructure and digital expenditure categories. Premises as at the year-end is underspend by £55k as a result of a £62k capital contribution from the Landlord to premises refurbishment costs.
- 2.5 IT infrastructure costs are £15k underspent as a result of delayed recruitment activity. Digital costs are broadly in line with the forecast outturn positions providing for a modest underspend of £2k.
- 2.6 The original budget variance (YTD Actual vs Original 2018/19 budget) is £1,192k comprised as follows:
  - 2.6.1 Administration £718k
  - 2.6.2 Programme £578k
  - 2.6.3 Capital £104k

### **3. Staffing Update**

- 3.1 The permanent Executive Director (ED) Finance commenced in post on the 1<sup>st</sup> April 2019 on a part-time basis (.60 FTE). Unfortunately, due to ill health the interim ED Finance is unlikely to continue in the interim as originally envisaged and as such all outstanding areas of work and finance projects will transfer to the permanent appointment in the forthcoming weeks.

- 3.2 Recruitment for a permanent Finance Manager was commenced and then postponed awaiting the arrival of the permanent ED Finance. The role has been subsequently reviewed and is now in the active recruitment phase. The role is currently being delivered by a secondee from the Department of Education (DfE).
- 3.3 Recruitment activity will also begin for a replacement for the Head of Commercial however, it is envisaged that the volume of procurement activities will diminish materially over time and therefore the replacement role will be more financial management and reporting orientated.

|                                |                                                                                                         |
|--------------------------------|---------------------------------------------------------------------------------------------------------|
| <b>Meeting</b>                 | <b>Social Work England Board Meeting</b>                                                                |
| <b>Agenda Item</b>             | <b>5.2</b>                                                                                              |
| <b>Date</b>                    | <b>3 May 2019</b>                                                                                       |
| <b>Title</b>                   | <b>Finance Report – 2019-20 Annual Budget</b>                                                           |
| <b>Executive Director/Lead</b> | <b>Adnan Bashir, Executive Director, Finance</b>                                                        |
| <b>Author</b>                  | <b>Adnan Bashir, Executive Director, Finance</b>                                                        |
| <b>Contact Details</b>         | <b><a href="mailto:Adnan.Bashir@socialworkengland.org.uk">Adnan.Bashir@socialworkengland.org.uk</a></b> |

#### **SUMMARY**

**Presentation of Social Work England's Annual Budget 2019-20.**

#### **SUPPORTING PAPERS**

**Attached - 2019-20 Annual Budget and Financial Analysis Report**

#### **RECOMMENDED ACTION**

**The Board is asked to note the content of the 2019-20 Annual Budget and the forecast position income and capital programmes.**

#### **Key implications or risks for any of the following:**

|                             |          |
|-----------------------------|----------|
| <b>Financial</b>            | <b>X</b> |
| <b>Legal</b>                |          |
| <b>Workforce</b>            |          |
| <b>Governance</b>           | <b>X</b> |
| <b>Regulatory</b>           |          |
| <b>Service users/carers</b> |          |

## **Social Work England**

### **Finance Report**

#### **2019-20 Annual Budget and Financial Analysis Report**

##### **1. Executive Summary**

- 1.1 Social Work England's Annual Budget 2019-20 has been developed to reflect the part year transition by the entity to undertake full regulatory responsibility for the Social Work sector. The point of transition cannot be fully identified at this early stage of the financial year, conservative assumptions have been applied during the development of the 2019-20 budget.
- 1.2 The overall budget provides for a total revenue cost base of £11,715k and a capital commitment of £2,295k. Revenue forecasts have also been included within the annual budget reflecting the assumed point of transition and the subsequent receipt of subscription income.
- 1.3 The overall net costs for Social Work England for the financial year 2019-20 will be £11,160k.
- 1.4 The annual budget has already been submitted to our sponsorship team at the Department of Education and has been deemed to have been accepted. However, we will be seeking to secure formal confirmation of acceptance in due course.

## 2. 2019-20 Annual Budget

The table below provides a high-level view of the 2019-20 Annual Budget for Social Work England, detailed breakdowns for each directorate area should they be required.

| 2019-20 Annual Budget                  |                   |
|----------------------------------------|-------------------|
| <b>ADMIN</b>                           |                   |
| Corporate Services                     | 1,406,515         |
| Fitness to Practise                    | 533,018           |
| Registration                           | 82,395            |
| Legal                                  | 197,321           |
| Standards                              | 92,936            |
| <b>Total Admin Costs</b>               | <b>2,312,184</b>  |
| <b>PROGRAMME</b>                       |                   |
| Corporate Services                     | 2,832,397         |
| Fitness to Practise                    | 4,539,966         |
| Registration                           | 1,099,114         |
| Legal                                  | 482,997           |
| Standards                              | 448,353           |
| <b>Total Programme Cost</b>            | <b>9,402,826</b>  |
| <b>Total Admin and Programme Costs</b> | <b>11,715,010</b> |
| <b>CAPITAL</b>                         |                   |
| IT infrastructure                      | 530,000           |
| Digital                                | 1,300,000         |
| Premises                               | 465,000           |
| <b>Total Capital</b>                   | <b>2,295,000</b>  |
| <b>Total Costs</b>                     | <b>14,010,010</b> |
| <b>REVENUE</b>                         |                   |
| Registration Income                    | 2,850,000         |
| <b>NET COSTS</b>                       | <b>11,160,010</b> |

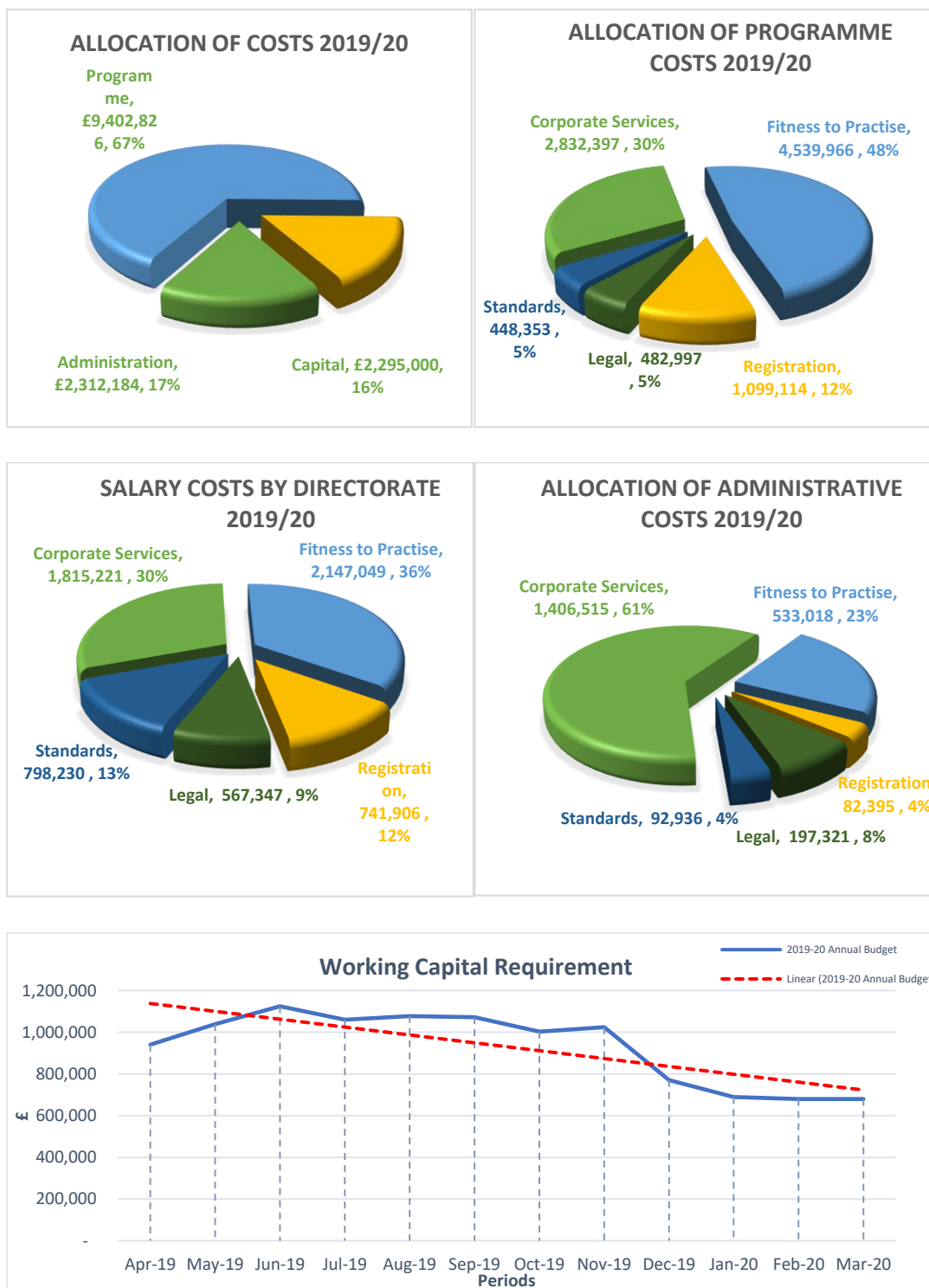
## 3. Financial Planning Assumption

3.1 The development of the 2019-20 annual budget has required a significant number of planning assumptions and estimates regarding costs and timings. The key assumptions are identified below:

- 3.1.1 Administration and programme cost allocations have been agreed with the DfE for the 2019-20 year and will be subject to a part year realignment.
- 3.1.2 Staff costs are predominately based upon bandings agreed with HM Treasury and are inclusive of a 1.5% inflationary uplift, 2% bonus (excluding executive) and employment costs. Staff costs have also been phased to reflect the recruitment profile of the various directorates within Social Work England.
- 3.1.3 The annual budget does not include any additional income or costs for any cases from HCPC above the estimated volume already provided for within the model.
- 3.1.4 Capital costs are a continuation of the capital business cases submitted in the prior year. The focus of expenditure for 2019-20 will be upon the implementation and continuing development of the Client Relationship Management (CRM) system.
- 3.1.5 All costs are assumed to be inclusive of VAT

## 4. Financial Analysis

4.1 A high-level analysis of the 2019-20 Annual budget is provided via the following charts and graphs and focuses on the identification and allocation of costs and cashflow for Social Work England. As we are still in the development phase, prior period comparisons are not appropriate and income analysis at this stage would not provide any meaningful management information.



|                                |                                                                 |
|--------------------------------|-----------------------------------------------------------------|
| <b>Meeting</b>                 | <b>Social Work England Board Meeting</b>                        |
| <b>Agenda Item</b>             | <b>5.3</b>                                                      |
| <b>Date</b>                    | <b>3 May 2019</b>                                               |
| <b>Title</b>                   | <b>Project Implementation Report</b>                            |
| <b>Executive Director/Lead</b> | <b>Alison McKinna, Executive Director, Corporate Services</b>   |
| <b>Author</b>                  | <b>Andy Leverton, Head of Business Planning and Improvement</b> |
| <b>Contact Details</b>         | <b>andy.leverton@socialworkengland.org.uk</b>                   |

## **SUMMARY**

**This paper is presented to the Board to be noted. The report provides Board members with an overview of progress towards delivery of the critical path projects in the Social Work England Implementation Programme.**

## **SUPPORTING PAPERS**

**Attached - Programme Status Report April 2019**

## **RECOMMENDED ACTION**

**The Board is asked to note the current position in relation to Social Work England Implementation Programme.**

## **Key implications or risks for any of the following:**

|                             |          |
|-----------------------------|----------|
| <b>Financial</b>            |          |
| <b>Legal</b>                | <b>x</b> |
| <b>Workforce</b>            | <b>x</b> |
| <b>Governance</b>           |          |
| <b>Regulatory</b>           | <b>x</b> |
| <b>Service users/carers</b> |          |



**Social Work England**  
**Programme Status Report**  
**April 2019**

**Purpose**

1. This paper provides the Social Work England Board with a summary of the status of the Social Work England Implementation Programme.

**Process**

2. Every two weeks, project leads complete status updates which detail the progress that was made in the previous two weeks and the planned activity for the next two weeks.
3. In the status updates, project leads rate the likelihood of their project progressing as planned.
4. The project management office collates the project status update reports and produces a programme status report outlining the notable variations from planned activity.
5. In the programme status update, the project management office assigns an overall progress rating for the programme.
6. The Executive Leadership Team regularly reviews the programme status report alongside the overall programme plan.

**Progress**

7. The Social Work England Implementation Programme is on track to go-live as planned in 2019.
8. The date by which data from HCPC will be available to Social Work England for testing and training purposes has still not been confirmed, but it is anticipated that the legal and technical issues that need resolving prior to transfer of data will be resolved within the month.
9. There is dedicated resource directed at resolving the situation and significant progress has been made since the last update.
10. Included below are more detailed progress updates for the critical-path projects within the programme.

|              |                    |
|--------------|--------------------|
| Project Name | Transfer Programme |
|--------------|--------------------|

|                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Purpose                | <ul style="list-style-type: none"> <li>• Transfer of all relevant regulatory data from HCPC systems to Social Work England systems for the areas of Registration, Fitness to Practise and Education</li> <li>• Transfer live regulatory cases, applications and assessment</li> <li>• Manage the transfer of live FTP cases, Registration applications and Education programme provider assessments at their different stages of their respective regulatory process</li> </ul>                                                                                                                                                                                                  |
| Project Status         | Work is ongoing to resolve the legal and technical issues preventing data from being shared. The testing phase is due to start in May and signs are positive that this will commence as planned.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Project Progress       | <ul style="list-style-type: none"> <li>• Draft transfer scheme (the legal provision to share the data) and data sharing agreement (the detailed arrangements) awaiting final approval from HCPC and Social Work England legal representatives.</li> <li>• Productive engagement between the respective legal teams, anticipating that legal agreements will be in place within the month</li> <li>• Technical data sharing solution and access control policy in place to comply with GDPR.</li> <li>• GDPR training completed to all staff</li> <li>• Progress made by HCPC to extract the data from their systems in preparation to transfer to Social Work England</li> </ul> |
| Planned Key Activities | <ul style="list-style-type: none"> <li>• Complete a data protection impact assessment</li> <li>• Finalise data sharing process with HCPC</li> <li>• Recruit an internal testing support manager</li> <li>• Prepare and train staff for initial testing</li> <li>• Start to receive data from HCPC</li> </ul>                                                                                                                                                                                                                                                                                                                                                                     |

|                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Project Name     | <b>CRM – Customer Relationship Management</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Purpose          | Delivery of the website and IT systems required to register as a social worker, search the register of social workers, annotate the register of social workers, file a concern, and upload continual professional development evidence                                                                                                                                                                                                                                                            |
| Project Status   | Confidence remains high that the CRM project will be delivered on time and achieve all core deliverables required to function as a regulator as well as additional functionality to improve processes and reduce risk.                                                                                                                                                                                                                                                                            |
| Project Progress | <ul style="list-style-type: none"> <li>• The 8<sup>th</sup> development cycle has been completed which concluded the initial development phase.</li> <li>• An end of phase review was completed where a full system demonstration was delivered to stakeholders.</li> <li>• The system now delivers all core functionality as set out in the project definition.</li> <li>• Weekly project reviews continue, attended by representatives from multiple Social Work England departments</li> </ul> |

|                        |                                                                                                                                                                                                                                                                       |
|------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                        | <ul style="list-style-type: none"> <li>Website has been updated with new branding applied. A supporting project to manage the creation of web content is underway, coordinated by the communications team.</li> </ul>                                                 |
| Planned Key Activities | <ul style="list-style-type: none"> <li>Development will transition into the second phase, concentrating on improving functionality and adding additional content</li> <li>Continued user testing of system</li> <li>Testing the system with data from HCPC</li> </ul> |

| Project Name           | Rules Making and Standards Setting                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Purpose                | Setting the rules and standards that will dictate how we function as a regulator and developing the rules and standards transparently including multiple public consultations.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Project Status         | Confidence remains high that the Rules and Standards will be approved prior to the commencement of the Parliamentary summer recess.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Project Progress       | <ul style="list-style-type: none"> <li>The Appointment Rules were approved by the Secretary of State and were published on the Social Work England website on 31 January 2019.</li> <li>Consultation on our Rules and Standards commenced on 21 February 2019 and lasted for 10 weeks, concluding on 1 May 2019.</li> <li>Successful public consultation events held in London, Plymouth, Salford, Newcastle, Birmingham and Sheffield.</li> <li>Consultation events were supported by several online activities allowing those that cannot attend in person the opportunity to interact with Social Work England.</li> <li>The consultation survey was hosted on the Social Work England website for the duration of the consultation period with strong engagement.</li> </ul> |
| Planned Key Activities | <ul style="list-style-type: none"> <li>Analysis of the online consultation responses and feedback gathered from the consultation events.</li> <li>Incorporating findings as appropriate into revised Rules and Standards</li> <li>Work with the DfE to obtain approval for subsequent revisions</li> <li>Submit final version for approval by the Board at the meeting on 14 June 2019.</li> <li>Submission of the Rules and Standards for approval by the Secretary of State</li> </ul>                                                                                                                                                                                                                                                                                         |

| Project Name   | Recruitment                                                                                                                                      |
|----------------|--------------------------------------------------------------------------------------------------------------------------------------------------|
| Purpose        | Provide a full, end to end, efficient and effective recruitment process that is fully auditable and supports organisational strategy             |
| Project Status | Confidence remains high that recruitment has the systems and resources required to ensure vacant posts will be filled within planned timescales. |

|                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Project Progress       | <ul style="list-style-type: none"> <li>Recruitment continues as planned. Plans and associated contingency remain under regular review.</li> <li>Social Work England will have 59 employees (excluding seconded staff from DfE) in position as of 30 April 2019 with a further 4 offers accepted and due to start in the coming months.</li> <li>A small number of positions have experienced a lack of suitable candidates, recruitment agencies have been appointed to assist with sourcing candidates</li> <li>Recruitment of contracted decision makers for Registration and Education and Quality Assurance launched on 23 April 2019</li> <li>Recruitment of Fitness to Practise panel member roles launches on 29 April 2019</li> </ul> |
| Planned Key Activities | <ul style="list-style-type: none"> <li>Key roles in the Legal Directorate are due to be advertised imminently</li> <li>Ongoing recruitment activity in the Fitness to Practice and Registration and Education Quality Assurance directorates</li> <li>Further engagement through recruitment evenings, job fairs local universities, colleges, government apprenticeship schemes, job centres and other regulatory bodies including HCPC.</li> <li>Launch of new recruitment software to streamline the administration of recruitment activity.</li> </ul>                                                                                                                                                                                    |

#### Committee Action

- To note the current position in relation to progress made on the Social Work England Implementation Programme.

#### Andy Leverton

Head of Business Planning and Improvement

25 April 2019

|                                |                                                              |
|--------------------------------|--------------------------------------------------------------|
| <b>Meeting</b>                 | <b>Social Work England Board Meeting</b>                     |
| <b>Agenda Item</b>             | <b>5.4</b>                                                   |
| <b>Date</b>                    | <b>3 May 2019</b>                                            |
| <b>Title</b>                   | <b>Innovation Groups Update</b>                              |
| <b>Executive Director/Lead</b> | <b>Alison McKinna, Executive Director, Corporate Service</b> |
| <b>Author</b>                  | <b>Sherife Hasan, Head of Governance</b>                     |
| <b>Contact Details</b>         | <b>Sherife.hasan@socialworkengland.org.uk</b>                |

#### **SUMMARY**

**This paper provides an update to the Board on the progress of establishing the Innovation Groups**

#### **SUPPORTING PAPERS**

**Attached**

#### **RECOMMENDED ACTION**

**The Board is asked to note the current position in relation to the Innovation Groups and the progress to date.**

#### **Key implications or risks for any of the following:**

|                             |  |
|-----------------------------|--|
| <b>Financial</b>            |  |
| <b>Legal</b>                |  |
| <b>Workforce</b>            |  |
| <b>Governance</b>           |  |
| <b>Regulatory</b>           |  |
| <b>Service users/carers</b> |  |

## Innovations Group Update

The overall objectives of these Innovation Groups are to help Board members and Social Work England staff to work together in considering the strategic impact of each of these areas and to produce a brief report for the Board on these matters that will feed into the longer-term strategic vision for Social Work England.

Positive progress has been made in establishing these groups:

- Initial draft Terms of Reference for each of the three groups have been developed and are currently under discussion.
- The dates, times and locations for most of the groups have been established and are as follows:
  - 7<sup>th</sup> May, 10.00 – 1.00 Innovation Group Engagement at House of Lords (Residence Room 1)
  - 20<sup>th</sup> May, 1.30 – 4.30 Innovation Group IT & Data at Social Work England, Sheffield
  - 30<sup>th</sup> May, 10.30 – 1.30 Innovation Group Standards & Rules at Social Work England, Sheffield
  - 7<sup>th</sup> June, 10.30 – 1.30 Innovation Group Standards & Rules at Social Work England, Sheffield
  - 11<sup>th</sup> June, 10.00 – 1.00 Innovation Group Engagement at House of Lords (Residence Room 1)
  - 17<sup>th</sup> June, 11.00 – 2.00 Innovation Group IT & Data at House of Lords (Residence Room 1)
  - 2<sup>nd</sup> July, 11.00 – 2.00 Innovation Group IT & Data at House of Lords (Residence Room 1)

The third meeting for the Standards group is currently being agreed and finalised.

The next steps would be to agree the Terms of Reference and then for each group chair to agree an agenda for their first meeting in discussion with the lead Executive Director:

- Standards and Rules – Andrew McCulloch (Chair)/Sarah Blackmore (ED)
- IT & Data – Mark Lam (Chair)/Alison McKinna (ED)
- Engagement – Claire Tyler (Chair)/Colum Conway (CE)

|                                |                                                                              |
|--------------------------------|------------------------------------------------------------------------------|
| <b>Meeting</b>                 | <b>Social Work England Board Meeting</b>                                     |
| <b>Agenda Item</b>             | <b>5.5</b>                                                                   |
| <b>Date</b>                    | <b>3 May 2019</b>                                                            |
| <b>Title</b>                   | <b>Registration and Education Quality Assurance Update</b>                   |
| <b>Executive Director/Lead</b> | <b>Philip Hallam, Executive Director, Registration and Quality Assurance</b> |
| <b>Author</b>                  | <b>Philip Hallam, Executive Director, Registration and Quality Assurance</b> |
| <b>Contact Details</b>         | <b>Philip.Halam@socialworkengland.org.uk</b>                                 |

## SUMMARY

This paper sets out the current activity in relation to the development of Social Work England's education quality assurance and registration functions and describes some of the opportunities identified through this work.

## SUPPORTING PAPERS

See below

## RECOMMENDED ACTION

To note progress

## Key implications or risks for any of the following:

|                             |  |
|-----------------------------|--|
| <b>Financial</b>            |  |
| <b>Legal</b>                |  |
| <b>Workforce</b>            |  |
| <b>Governance</b>           |  |
| <b>Regulatory</b>           |  |
| <b>Service users/carers</b> |  |

## Education Quality Assurance and Registration

### Introduction

1. This paper sets out the current position in relation to the development of the Education Quality Assurance and Registration functions of Social Work England in order to be ready to operate effectively and efficiently from the point we become the regulator.
2. The paper briefly discusses some of the opportunities for innovation or improvement on the current regulatory regime identified from the Social Work England legislative framework, as well as further opportunities outside of the legislation for us to be innovative and high-performing when we become operational, and over the first few years of operation.
3. The Board are invited to note the ongoing development work in this area.

### Education quality assurance

4. Social Work England's education quality assurance function is responsible for approval, reapproval, and monitoring of;
  - 4.1. All courses that lead to registration with Social Work England;
  - 4.2. All qualifications relating to these courses;
  - 4.3. Courses for approved mental health professionals (AMHPs);
  - 4.4. Courses for best interest assessors (BIAs); and
  - 4.5. Tests of knowledge of English.
5. For AMHP and BIA courses, these courses can also be undertaken by individuals who will be registered with another regulatory body (for example nurses registered with the Nursing and Midwifery Council).
6. The courses at paragraph 4 above will be approved against the criteria defined in the Social Work England (Education and Training) Rules 2019 (the Education Rules), which are currently out for public consultation. The criteria are as follows;
  - 6.1. That a course can demonstrate how it meet Social Work England's Standards for Education and Training.
  - 6.2. That a course can demonstrate that a student who has completed the course can meet Social Work England's Professional Standards in order to join and remain on the Register.

- 
- 6.3. That for AMHPs, that the course enables a student completing it to meet the Key Competence Areas set out in Schedule 2 to the Mental Health (Approved Mental Health Professionals) (Approval) (England) Regulations 2008.
  - 6.4. For BIAs, that the course meets the training requirements set out in the draft Rules, and that a student completing a course can meet the learning outcomes that allow them to meet the statutory requirements of a BIA role.
  7. Alongside the Education Rules, we are consulting on two sets of Education and Training Standards. These Standards are designed to become operational in the following way;
    - 7.1. The 2019 Standards are closely aligned to the current Health and Care Professions Council (HCPC) standards and will be the Standards in place when Social Work England becomes the regulator. These Standards will ensure that there is minimum disruption to the education sector at the point that we become operational and will allow new courses to be reapproved from that point.
    - 7.2. The 2020 Standards will become operational in autumn 2020. These Standards have been designed to be significantly different from HCPC standards (and the 2019 Standards), reflecting our role as the specialist regulator for social workers in England, and our ambition to work constructively and effectively with education providers to raise standards in education and training
  8. Work is underway in several areas to ensure that Social Work England is ready to operate its education course approval responsibilities at the point we become the regulator.

### **Transition from HCPC**

9. Transitional arrangements have been agreed with HCPC in order to ensure as far as possible that course providers have a straightforward transition from one regulator to another.
10. Due to the long lead times for undertaking course approval (particularly in relation to the arrangement and undertaking of inspections), it has been agreed that from May 2019 we will work alongside HCPC's Education team where it is deemed to be appropriate, and we will engage with course providers in relation to new course approvals where any inspection would be likely to be scheduled to take place from the point at which we take over from HCPC.

## Legislative framework

11. As mentioned above, we are currently consulting on Draft Rules for education and training. These rules are required by part four of the Social Worker Regulations 2018 (the Regulations).
12. The requirement for rules to be set out in relation to the education approval processes is unusual amongst the current regulatory frameworks of health and care regulators across the UK. Other social work regulators in the UK, as well as the HCPC, set out their responsibility to approve courses in their primary legislation only, and do not describe in detail the way that this will be undertaken in rules. This is instead done through policy and guidance documents.
13. In addition to the requirement to set out processes in Rules, Social Work England's regulatory regime in relation to education quality assurance differs from that of the HCPC in the following ways.
  - 13.1. As mentioned above, Social Work England will approve BIA training.
  - 13.2. Social Work England is required to reapprove each course within a six-year period. HCPC does not do this, and courses remain approved indefinitely, subject to concerns being raised or a request by a provider for a major change to their course.
  - 13.3. Social Work England has a statutory responsibility to monitor courses.
  - 13.4. Social Work England, as the regulator, will make the decision in relation to course approval. In the current framework, the decision is made by a panel.

## The Quality Assurance approach

14. The Rules describe an approach to the approval of courses that operates in the following way:

| Pre-inspection work                                                                                                                                                                                                             | → Inspection                                                                                                                                                                                                                                                                                                                                                                       | → Report                                                                                                                                                                                                                                                                                                  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Education providers will submit a request for approval and will be asked to complete a self-assessment describing how they meet the Standards. This assessment will be reviewed, and where relevant, follow up questions asked. | <p>Pre-inspection documents will be sent to Inspectors, and inspection arranged. Inspection panel will be comprised of:</p> <ul style="list-style-type: none"> <li>• Registrant Inspector</li> <li>• Non-registrant Inspector</li> <li>• Education Quality Assurance Officer (not an Inspector).</li> </ul> <p>Inspectors undertake a range of activities and record findings.</p> | <p>Education Quality Assurance Officer drafts report based on findings from inspection. Inspectors review report and confirm recommendation relating to course approval. Draft report shared with provider for comment. Final recommendation considered by Social Work England, and report published.</p> |

### Development work

15. Work is underway to prepare to undertake education quality assurance activity from the point we become the regulator, with an expectation that we will begin pre-inspection work as early as May 2019. As mentioned above, we have planned to undertake this activity initially using our 2019 Standards, before moving to use the 2020 Standards from autumn that year. Education quality assurance activity is therefore described in three phases over the next two to three years.

16. **Phase one** runs until the point at which we become the regulator and take over responsibility for the approval of courses. As described above, this phase involves the transition of activity from HCPC, pre-inspection work for courses we may approve past that point, and the creation of the policies and processes necessary to support our education quality assurance activity. This phase will also include the development of the

evidence frameworks necessary to support inspections using the 2019 and 2020 Standards. This framework will be developed with our recruited education Inspectors, and we will ensure that the framework is shared widely before it becomes operational.

17. **Phase two** starts at the point at which we become the regulator. We will undertake approvals using our 2019 Standards, and our process will closely align with HCPC process in order to provide continuity for the education providers. During this phase, we will undertake activity to ensure that providers are fully aware of the changes to our education Standards, and our revised expectations and processes.
18. **Phase three** begins when we launch our 2020 education Standards. Whilst our approach to inspections will remain in line with our Rules, the revised Standards and framework will ensure an increasingly rigorous and outcomes-based approach to our quality assurance and approvals work. Phase three will also see us begin our programme of reapproval of all courses that were previously subject to HCPC approval.
19. As we work through these phases, we will also develop our IT functionality to support our work. It is our intention that by phase three, we will be able to allow education providers to upload evidence and interact with us through the online portal.

### **Recruitment**

20. The Head of Education Quality Assurance and Education Quality Assurance Operations Manager have now been recruited, and we are in the process of recruiting for Quality Assurance Officers.
21. We are also recruiting for a pool of 45 Inspectors, comprised of registrants and non-registrants, AHMPs and BIAs. Once recruited, these Inspectors will undertake training prior to beginning inspection work, and we will also work with Inspectors to help develop our evidence framework.

### **Engagement with providers**

22. Engagement with providers is crucial to ensure successful delivery of Social Work England's quality assurance activity. We have committed to engaging with providers throughout the approval process.
23. Feedback we have received from providers in relation to the current approval process is that often inspections take place without the provider being clear about its scope and focus. We intend to work with providers during the pre-inspection process to ensure that through the questions we ask about the self-assessment they have submitted, as

well as any further documents we request, they understand the scope and focus of the inspection. Where possible, where we can rely on other sources of information to avoid duplication of information, we will do so.

24. Similarly, through the planning of the inspection itself, we intend to give the provider enough information prior to the on-site activity so that they can ensure resources are available to make the inspection run as smoothly as possible.
25. Finally, we intend that there should be 'no surprises' when the provider receives the draft report and decision. Through the pre-inspection and inspection work, we hope to have clearly explained any areas of concern and provided opportunities for further information to be adduced to allow us to consider the level of risk. Therefore, when the draft report is shared, the provider should be able to clearly understand our reasoning, and how the evidence we have gathered relates to our judgements against each of the Standards.

### **Opportunities**

26. There are several opportunities arising from the legislative framework and operational process we are developing. These include;
  - 26.1. The requirement to reapprove courses over a six-year period will help to provide greater assurance to the public that the quality of social worker training remains closely aligned to the requirements of our Standards.
  - 26.2. Annual monitoring will also allow for greater understanding of the way in which providers are delivering courses and will help inform the continuing development of the education Standards and quality assurance activity. We will also use themes and learning from our fitness to practise work to inform monitoring activity.
  - 26.3. Social Work England's role in quality assuring BIA training will provide improved structure, oversight, and consistency to these courses.
  - 26.4. The phased approach described above means that education providers will be able to work with us to ensure that they are able to demonstrate how they meet the 2020 Standards.
  - 26.5. Increased and regular levels of engagement between Social Work England and education providers will ensure a straightforward inspection and approval process, as well as better opportunities for learning and improvement to be shared.

## **Registration and Advice**

27. The Registration and Advice function will be responsible for the registration and restoration of applicants to the Social Work England Register, as well as the renewal of registration each year. We anticipate that at the point we become the regulator approximately 94,000 social workers will be added to the Register. Each year, we expect that around 4,000 social workers will apply.
28. The team will also act as the primary contact point for the public as well as social workers and will deal with queries and direct these where appropriate to other parts of the organisation (for example the Fitness to Practise team).

## **Transition from HCPC**

29. Transitional arrangements have been agreed with HCPC in order to ensure as far as possible that registrants have a straightforward transition from one regulator to another.
30. From June 2019, we will hold regular meetings with HCPC to ensure that we have a clear understanding of what work is being undertaken in relation to registration applications, and from October 2019 we will look in detail at the work in progress that we anticipate not being completed at the point we become the regulator.

## **Legislative framework**

31. We are currently consulting on draft Rules for registration. These Rules are required by part three of the Regulations.
32. These Rules are set out in three documents;
- 32.1. The Social Work England (Registration) Rules 2019. These Rules describe how someone can demonstrate that they are eligible to become and remain registered, and the process for doing so. They also set out what information will be published on the Register and describe the process for sampling continuing professional development (CPD).
- 32.2. The Social Work England (Registration – removal from the Register and registration appeals) Rules 2019. These Rules describe the ways that Social Work England can remove a registrant from the Register and set out the process for the management of a registration appeal.

32.3. The Social Work England (Registration – fees) Rules 2019. These Rules set out the structure of our fees, as well as timescales for payment and how a fee may be varied or waived.

33. Important areas of differentiation from HCPC’s regulatory framework include;

33.1. An annual renewal period, as opposed to the biennial renewal operated by HCPC.

33.2. Registration with conditions. This power will allow us to set conditions upon registration at the point someone joins the Register. In the draft Rules, we have specified that this power can be used where we have concerns about CPD, where there may be health concerns, or where the applicant is subject to a current sanction from another regulatory body.

33.3. A requirement for applicants to demonstrate their English language proficiency.

33.4. An ability to annotate the Register for those registrants who are either AMHPs or BIAs.

33.5. A pro-rata fee for registration depending on the date at which someone applies to be registered.

33.6. The removal of the fifty per cent discount for newly qualified applicants, as well as the removal of the additional scrutiny fee for individuals who apply with a qualification gained in the United Kingdom.

### **Development work**

34. To support the Rules, work is continuing to develop processes to ensure an effective and efficient Registration function.

35. Significant work has been undertaken by CDS (our supplier) and the Registration team, and remains underway, to create the online searchable Register, the portal through which applicants and registrants will primarily interact with Social Work England, and the relational database that will be used by the Registration team to manage registrant and applicant data and activity.

36. We continue to explore the most appropriate and robust routes for identity verification and payment processing, both with GOV.UK, and where this might not be possible for some individuals, other channels.

37. Additionally, work is underway to map the various routes that people may use to contact us, as well as to identify the appropriate telephony and digital solutions to assist this.

## **Recruitment**

38. The Head of Registration, and the two Registration and Advice Operations Managers, have now been recruited and are in post.
39. Recruitment is underway for six of 13 Registration and Advice Officers. The remaining seven will be in post by September 2019. Assessment centres will be used as part of the recruitment process.
40. We will also shortly be recruiting for three Registration Advisers. These partner roles will undertake the assessment of applications from non-UK qualified applicants.

## **Engagement**

41. As mentioned above, the online portal will be the primary interface between applicants, registrants, and Social Work England. We will continue to develop our thinking about how the portal might be used to enhance engagement with these groups.
42. As we continue to work towards becoming the regulator, we will ensure that our communications are designed to clearly articulate what applicants and registrants need to be aware of during the transition period. We are developing plans with the HCPC to ensure clear communications about this.

## **CPD**

43. Once we become the regulator, registrants will be required at the point of renewal to demonstrate how they meet Social Work England's standards for CPD. In order to assist with this, registrants will be able to upload their CPD evidence via the online portal.
44. As under the HCPC's current regulatory framework, we will sample 2.5 per cent of registrant's CPD.
45. We continue to develop our thinking on our approach to CPD, and a separate paper on this will be shared with the Board at a future meeting.

## **Opportunities**

46. The online portal provides several opportunities to provide an efficient and effective registration function. These include;
- 46.1. For as large a group of applicants as possible, an efficient and totally online registration process;
- 46.2. For all registrants, an online renewal process that should take place completely online;

- 
- 46.3. Online verification, removing the need for many registrants to have to provide paper copies of identity documents; and
- 46.4. The ability to upload CPD on a regular basis, so that CPD records are up-to-date at the point of registration renewal.
47. The annual renewal process and regular upload of CPD will ensure that registrants are using the portal on a regular basis, which (as mentioned above) will mean that over time we will be able to use the portal for other activities and types of engagement.
48. Over time, regular uploading of CPD evidence will allow us to increase the sample size for review, as well as provide more structure and direction on the types and outcomes of CPD, if we consider this appropriate.
49. Annotation of the Register will help the public better understand the specialist role of some registrants. Over time, and in conjunction with education quality assurance activity for AMHP and BIA courses, we may decide to link maintenance of this annotation with targeted CPD activity.
- Information from the advice function, as well as accurate and up-to-date data about registrants, will help to inform all aspects of our work, particularly in relation to standards and policy development.

### **Next steps**

50. Work will continue across all the areas above to develop the Education Quality Assurance and Registration and Advice functions prior to the date that Social Work England becomes the regulator.
51. Additionally, work will also continue to plan for development activity in both these functions from that point into 2020, and beyond.
52. Further information on our proposed approach to CPD will be shared with the Board at a future meeting.

|                                |                                                       |
|--------------------------------|-------------------------------------------------------|
| <b>Meeting</b>                 | <b>Social Work England Board Meeting</b>              |
| <b>Agenda Item</b>             | <b>5.6</b>                                            |
| <b>Date</b>                    | <b>3 May 2019</b>                                     |
| <b>Title</b>                   | <b>Standards and Rules Consultation Update</b>        |
| <b>Executive Director/Lead</b> | <b>Sarah Blackmore, Executive Director, Standards</b> |
| <b>Author</b>                  |                                                       |
| <b>Contact Details</b>         | <b>Sarah.blackmore@socialworkengland.org.uk</b>       |

## **SUMMARY**

A presentation on the Standards and Rules Consultation update will be presented to the Board at the meeting by Amy Soar, Head of Policy and Liz Howard, Social Work Strategic Engagement Lead.

## **SUPPORTING PAPERS**

Presentation slides will be made available during the meeting.

## **RECOMMENDED ACTION**

To be noted by the Board.

## **Key implications or risks for any of the following:**

|                             |  |
|-----------------------------|--|
| <b>Financial</b>            |  |
| <b>Legal</b>                |  |
| <b>Workforce</b>            |  |
| <b>Governance</b>           |  |
| <b>Regulatory</b>           |  |
| <b>Service users/carers</b> |  |

|                                |                                                                 |
|--------------------------------|-----------------------------------------------------------------|
| <b>Meeting</b>                 | <b>Social Work England Board Meeting</b>                        |
| <b>Agenda Item</b>             | <b>6.1</b>                                                      |
| <b>Date</b>                    | <b>3 May 2019</b>                                               |
| <b>Title</b>                   | <b>High-level Risk Report</b>                                   |
| <b>Executive Director/Lead</b> | <b>Alison McKinna, Executive Director, Corporate Services</b>   |
| <b>Author</b>                  | <b>Andy Leverton, Head of Business Planning and Improvement</b> |
| <b>Contact Details</b>         | <b>andy.leverton@socialworkengland.org.uk</b>                   |

## **SUMMARY**

The high-level risk report is presented to the Board to be noted. The report provides Board members with an update on progress since the last meeting.

## **SUPPORTING PAPERS**

Attached - High-level Risk Report April 2019

## **RECOMMENDED ACTION**

The Board is asked to note the current position in relation to high-level risks

## **Key implications or risks for any of the following:**

|                             |   |
|-----------------------------|---|
| <b>Financial</b>            |   |
| <b>Legal</b>                | x |
| <b>Workforce</b>            |   |
| <b>Governance</b>           | x |
| <b>Regulatory</b>           | x |
| <b>Service users/carers</b> |   |

## Social Work England

### High-level Risk Report

April 2019

#### Purpose

1. This paper provides a summary of the higher-level risks, taken from the corporate risk register.

#### Process

2. Social Work England manages risks at all levels to ensure that risk management is considered, and that sufficient and proportionate scrutiny is given to the risks facing the organisation.
3. Risks escalated to the corporate risk register are reviewed by the Executive Leadership Team.
4. Risks on the corporate risk register with a residual risk score of 15 are escalated to the high-level risk report for review by the Board. Given the low number of risks with this score, as at 18<sup>th</sup> April 2019, some risks with a residual score of 12 or above have been selected for reporting.
5. For each risk, the risk owner is responsible for identifying, agreeing and implementing mitigating controls sufficient to reduce the risk.
6. Risks are scored according to impact and probability to assess the inherent risk prior to implementation of mitigating controls and the residual risk after the implementation of mitigating controls. The matrix used to score risks is included at Appendix 1.
7. Risks on the corporate risk register are also allocated a target risk score representing the level of risk the organisation is willing to tolerate.

#### Risks

8. The current high-level risks are brought to the attention of the Social Work England Board:

| ID      | Risk Title                  | Residual Risk Score Reported to the last Board Meeting | Current Residual Risk Score |
|---------|-----------------------------|--------------------------------------------------------|-----------------------------|
| SWE-008 | Complexity of data transfer | 16 - high                                              | 16 - high                   |
| SWE-012 | HCPC Transition             | 12 - medium                                            | 12 - medium                 |
| SWE-023 | Confused communications     | 12 - medium                                            | 12 - medium                 |

The next High-Level Risk Report will see the removal of the following risk due to the residual risk score being below 12:

| ID          | Risk Title           | Residual Risk Score Reported to the last Board Meeting | Current Residual Risk Score |
|-------------|----------------------|--------------------------------------------------------|-----------------------------|
| SWE-SRR-005 | Compliance with GDPR | 12 - medium                                            | 9 - medium                  |

## Higher Level Risks Reported to the Social Work England Board:

|                                                  |                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|--------------------------------------------------|-----------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ID                                               |                       | SWE-008                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Directorate                                      |                       | Corporate Services                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Function/ Project/ Area                          |                       | Transfer Programme                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Risk Title                                       |                       | Complexity of data transfer                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Risk Description                                 |                       | There is a risk that due to the complexity of transfer of data to the new regulator costs increase.<br><b>Cause:</b> Identification of further requirements for transition of data following on from the grant agreement. Changes in the amount/level of data to be transferred. GDPR agreement timescales limiting potential for testing data prior to formal transfer.<br><b>Effect:</b> Transfer of regulatory functions compromised. Costs increase.                                                                                                                                                                                                                                                                                                                         |
| Risk Owner                                       |                       | Alison McKinna                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Date raised                                      |                       | Apr-18                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Risk Type                                        |                       | Threat                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Impact                                           |                       | Operational, Reputational                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Proximity                                        |                       | Ongoing / constant risk                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Inherent Risk                                    |                       | Impact 4, Probability 4, Overall 16                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Risk response type                               |                       | Reduce                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Completed and ongoing risk mitigations           |                       | 1. Set up regular meetings with HCPC - ongoing<br>2. Share planning assumptions with HCPC confidentially - complete<br>3. Agree a costed plan (with advice from Finance and Commercial) - complete<br>4. Agree principles for transfer - complete<br>5. Regular progress reporting and escalation routes in place - complete<br>6. DP/GDPR Policies/Procedures are in draft and with ED Legal                                                                                                                                                                                                                                                                                                                                                                                    |
| Residual Risk                                    | Board Meeting – 25/01 | Impact 4, Probability 4, Overall 16                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|                                                  | Board Meeting – 08/03 | Impact 4, Probability 4, Overall 16                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|                                                  | at 23/04              | Impact 4, Probability 4, Overall 16                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Change in risk score from the last Board Meeting |                       | ↔                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Progress update since last meeting               |                       | 1. Continuing to work with HCPC to finalise the transitional arrangements, specifically, the transfer scheme and the data sharing agreement.<br>2. The first draft of the joint data sharing agreement with HCPC is complete and is under review by the respective legal teams.<br>3. Outline data structures for all functions have been provided by HCPC<br>4. The data sharing technical environment and access policies are now in place<br>5. HCPC will provide some of their data before the end of April, other datasets scheduled to be shared in July.<br>6. The first datasets from HCPC will be for test purposes but will provide significant insight into the quality and quantity of data, with full insight provided through dress-rehearsals planned for August. |
| Target Risk                                      | Overall               | Medium                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|                                                  |                       | 8                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Risk Status                                      |                       | Open                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Raised by                                        |                       | Social Work England Implementation Team                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

|                                                  |                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|--------------------------------------------------|-----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ID                                               |                       | SWE - 012                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Directorate                                      |                       | Executive Leadership Team                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Function/ Project/ Area                          |                       | External Relations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Risk Title                                       |                       | HCPC transition                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Risk Description                                 |                       | <p>There is a risk that prior to SWE becoming the new regulator, changes to HCPC operations creates knowledge gaps between the two organisations</p> <p><b>Cause:</b> Lack of recognition of the impact of changes to HCPC operations will have on delivering the new Regulator in 2019. Residual HCPC staff may not have knowledge of the work done to date to transfer the regulator.</p> <p><b>Effect:</b> Key knowledge of the operations of the current regulator is lost which impacts on the ability to transfer the regulatory function at the agreed time. Unable to maintain effective transition arrangements with HCPC and transfer activity is not delivered to time, cost or quality.</p>          |
| Risk Owner                                       |                       | Greg Ross-Sampson / Colum Conway                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Date raised                                      |                       | Apr-18                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Risk Type                                        |                       | Threat                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Impact                                           |                       | Reputational                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Proximity                                        |                       | 6-12 months                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Inherent Risk                                    |                       | Impact 4, Probability 4, Overall 16                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Risk response type                               |                       | Reduce                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Completed and ongoing risk mitigations           |                       | <ol style="list-style-type: none"><li>1. Manage key stakeholder in terms of knowledge, communication and impact on migration of data.</li><li>2. Put in place and agree a clear plan for the transfer of all data including data cleansing and testing time.</li><li>3. Identify operational risks and ensure regular monthly meetings are in place.</li></ol>                                                                                                                                                                                                                                                                                                                                                   |
| Residual Risk                                    | Board Meeting – 25/01 | Impact 4, Probability 3, Overall 12                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|                                                  | Board Meeting – 08/03 | Impact 4, Probability 3, Overall 12                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|                                                  | at 23/04              | Impact 4, Probability 3, Overall 12                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Change in risk score from the last Board Meeting |                       | ↔                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Progress update since last meeting               |                       | <ol style="list-style-type: none"><li>1. Internal planning in progress to assign resources to data transfer and testing activity.</li><li>2. Proposals are being finalised to Social Work England employees to view live case information to assist planning and preparation</li><li>3. Dialogue between the organisations is frequent and ongoing at several levels throughout each organisation</li><li>4. More people joining Social Work England in key roles and building their knowledge of HCPC and Social Work England operations increasingly mitigates this risk.</li><li>5. Additional project management resource now assigned to collate requirements and support transition arrangements</li></ol> |
| Target Risk                                      | Overall               | Low                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|                                                  |                       | 4                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Risk Status                                      |                       | Open                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Raised by                                        |                       | Social Work England Implementation Team                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

|                                                  |                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|--------------------------------------------------|-----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ID                                               |                       | SWE - 023                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Directorate                                      |                       | Executive Leadership Team                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Function/ Project/ Area                          |                       | Transfer Programme                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Risk Title                                       |                       | Confused communications                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Risk Description                                 |                       | There is a risk that the profession may become confused by messages going public from HCPC and from SWE simultaneously<br><b>Cause:</b> HCPC consulting on fees while SWE consult on standards and rules<br><b>Effect:</b> The social work profession becomes confused on the future on social work regulation (who they need to register with, who will be regulating them etc.)                                                                                  |
| Risk Owner                                       |                       | Greg Ross-Sampson                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Date raised                                      |                       | Dec-18                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Risk Type                                        |                       | Threat                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Impact                                           |                       | Reputational                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Proximity                                        |                       | 3-6 Months                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Inherent Risk                                    |                       | Impact 3, Probability 4, Overall 12                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Risk response type                               |                       | Reduce                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Completed and ongoing risk mitigations           |                       | <div>1. Manage key stakeholder in terms of knowledge, communication and impact on migration of data.</div> <div>2. Identify operational risks and ensure regular monthly meetings are in place.</div>                                                                                                                                                                                                                                                              |
| Residual Risk                                    | Board Meeting – 25/01 | Impact 3, Probability 4, Overall 12                                                                                                                                                                                                                                                                                                                                                                                                                                |
|                                                  | Board Meeting – 08/03 | Impact 3, Probability 4, Overall 12                                                                                                                                                                                                                                                                                                                                                                                                                                |
|                                                  | at 23/04              | Impact 3, Probability 4, Overall 12                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Change in risk score from the last Board Meeting |                       | <div>↔</div>                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Progress update since last meeting               |                       | <div>1. Work ongoing to ensure that the Social Work England Communications team remains fully sighted on plans and progress of projects during the set-up phase so they can work effectively with HCPC on recommendations for handling and mobilise quickly when needed.</div> <div>2. Delay to announcement of the go-live date limits conversation with education providers, the most-pressing audience in the short-term, about what this means for them.</div> |
| Target Risk                                      |                       | <div>Low</div> <div>3</div>                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Risk Status                                      |                       | Open                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Raised by                                        |                       | Social Work England Implementation Team                                                                                                                                                                                                                                                                                                                                                                                                                            |

|                                                  |                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|--------------------------------------------------|-----------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ID                                               |                       | SWE-SRR-005                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Directorate                                      |                       | Legal                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Function/ Project/ Area                          |                       | Information Compliance                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Risk Title                                       |                       | Compliance with GDPR                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Risk Description                                 |                       | There is a risk that SWE fails to comply with GDPR<br><b>Cause:</b> insufficiently qualified staff and inadequate processes<br><b>Effect:</b> potential fine from Information Commissioner and negative effect on individual privacy and safety                                                                                                                                                                                                                            |
| Risk Owner                                       |                       | Nadine Pemberton                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Date raised                                      |                       | Dec-18                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Risk Type                                        |                       | Threat                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Impact                                           |                       | Security, financial, reputational                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Proximity                                        |                       | Immediate                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Inherent Risk                                    |                       | Impact 4, Probability 4, Overall 16                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Risk response type                               |                       | Avoid                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Completed and ongoing risk mitigations           |                       | 1. Interim Data Protection Officer appointed, Nadine Pemberton, Director of Legal Services<br>2. Social Work England has registered with the Information Commissioners Office                                                                                                                                                                                                                                                                                              |
| Residual Risk                                    | Board Meeting – 25/01 | Impact 4, Probability 4, Overall 16                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|                                                  | Board Meeting – 08/03 | Impact 3, Probability 4, Overall 12                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|                                                  | at 23/04              | Impact 3, Probability 3, Overall 9                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Change in risk score from the last Board Meeting |                       |                                                                                                                                                                                                                                                                                                                                                                                         |
| Progress update since last meeting               |                       | 1. Residual likelihood reduced to 'feasible' following progress in developing policy, document retention schedule, privacy notices and staff training on GDPR<br>2. Job descriptions for key roles in legal function approved<br>3. Use of ICO checklist against internal and external processes to ensure full coverage<br>4. Internal audit completed.<br>5. Draft versions completed of data protection policy, privacy notices and FOI policy, awaiting final sign-off |
| Target Risk                                      |                       | Low                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|                                                  |                       | 4                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Risk Status                                      |                       | Open                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Raised by                                        |                       | Alison McKinna                                                                                                                                                                                                                                                                                                                                                                                                                                                             |

### **Rationale and Implications**

9. This report reflects the position of the Social Work England risk register as at 23 April 2019 following review at the Executive Leadership Team meeting.

### **Conclusion**

10. The corporate risk register will continue to be monitored monthly by the Executive Leadership Team.
11. The Social Work England Board will receive the high-level risk report at each meeting for noting.

### **Committee Action**

12. To note the current position in relation to the higher-level risks.

### **Andy Leverton**

Head of Business Planning and Improvement  
23 April 2019

## Appendix 1 -Risk Scoring Matrix

| Risk Scoring Matrix     |                                                                               | LIKELIHOOD (of consequence occurring)                         |                                                    |                                          |                                |                                  |
|-------------------------|-------------------------------------------------------------------------------|---------------------------------------------------------------|----------------------------------------------------|------------------------------------------|--------------------------------|----------------------------------|
|                         |                                                                               | 1 - Very unlikely                                             | 2 - Slight                                         | 3 - Feasible                             | 4 - Likely                     | 5 - Almost certain               |
|                         |                                                                               | Unlikely to occur except in rare or exceptional circumstances | Slight risk but could occur.                       | Possibility of occurring in near future. | More likely to occur than not. | Imminent or high probability     |
|                         |                                                                               | May not have happened before.                                 | Limited evidence of such risk occurring elsewhere. |                                          | May become frequent.           | Has happened before and recently |
|                         |                                                                               | 0-10%                                                         | 10-30%                                             | 30-60%                                   | 60-90%                         | 90%+                             |
| IMPACT (of consequence) | 5 – Critical                                                                  | 5 - Medium                                                    | 10 - Medium                                        | 15 - High                                | 20 - High                      | 25 - High                        |
|                         | Exposure to risk to safety of service users, carers and the public            |                                                               |                                                    |                                          |                                |                                  |
|                         | Threat to viability of major activity, process, or relationships              |                                                               |                                                    |                                          |                                |                                  |
|                         | Critical impact on long term organisational effectiveness and/ or reputation. |                                                               |                                                    |                                          |                                |                                  |
|                         | 4 – Major                                                                     | 4 - Low                                                       | 8 - Medium                                         | 12 - Medium                              | 16 - High                      | 20 - High                        |
|                         | Major threat to strategic aim or operational priority                         |                                                               |                                                    |                                          |                                |                                  |
|                         | Major activities or processes may struggle to deliver key milestones.         |                                                               |                                                    |                                          |                                |                                  |
|                         | Major impact on medium term organisational effectiveness.                     |                                                               |                                                    |                                          |                                |                                  |
|                         | 3 – Significant                                                               | 3 - Low                                                       | 6 - Medium                                         | 9 - Medium                               | 12 - Medium                    | 15 - High                        |
|                         | Significant threat to strategic aim or operational priority                   |                                                               |                                                    |                                          |                                |                                  |
|                         | Causes problems for activity or process but they are manageable.              |                                                               |                                                    |                                          |                                |                                  |
|                         | Short term impact on organisational effectiveness                             |                                                               |                                                    |                                          |                                |                                  |
|                         | Reputational damage if it persists.                                           |                                                               |                                                    |                                          |                                |                                  |
|                         | 2 – Minor                                                                     | 2 - Low                                                       | 4 - Low                                            | 6 - Medium                               | 8 - Medium                     | 10 - Medium                      |
|                         | Minor threat to strategic aim or operational priority                         |                                                               |                                                    |                                          |                                |                                  |
|                         | Limited delay or impact on activity or process                                |                                                               |                                                    |                                          |                                |                                  |
|                         | Short term impact on organisational effectiveness.                            |                                                               |                                                    |                                          |                                |                                  |
|                         | 1 – Negligible                                                                | 1 - Low                                                       | 2 - Low                                            | 3 - Low                                  | 4 - Low                        | 5 - Medium                       |
|                         | Negligible threat as long as regular monitoring shows no change.              |                                                               |                                                    |                                          |                                |                                  |
|                         | Limited delay or impact on activity or process                                |                                                               |                                                    |                                          |                                |                                  |
|                         | No significant impact.                                                        |                                                               |                                                    |                                          |                                |                                  |

# Business Plan

2019-20



## Reshaping Standards, Enabling Change

Every day, social workers support millions of people to improve their chances in life. Social Work England is a specialist body taking a new approach to regulating the profession. We believe in the power of collaboration and share a common goal with those we will regulate- to protect the public, enable positive change and ultimately improve people's lives.

Our journey to become the new specialist regulator of the profession is both exciting and challenging. Our ambition is to anchor everything we do in social work values, whilst at the same time welcoming new ways of working that empower professionals to be the very best for the benefit of those who need their support.

Social work is fundamentally about people. That's why dialogue remains at the heart of our approach during set-up phase and beyond. We've reached out to as many people as possible who share a connection with the profession, including critically those with lived experience. This year we'll continue to embed that engagement-led approach throughout our organisation to shape our work, find solutions and challenge assumptions.



Professor The Lord Patel of Bradford OBE

**Chair**

Our work to redefine professional standards remains at the forefront, and we'll continue to refine our day to day operations across registration, fitness to practise, and education and training. Many of your views shared during our spring 2019 consultation activity will drive this work forward, ensuring that when things go wrong quick, responsive and proportionate regulation allows us to be focused on the real-life impact of our decisions.

We recognise that social work is an ever-changing profession with competing demands and priorities. We're continuing to work closely with the Health and Care Professions Council (HCPC) to ensure an effective transition for all registrants to Social Work England as part of the hand-over of service.

As we prepare to launch, we're both excited and mindful that this is the very beginning of our journey. As we continue to grow in staff numbers and evolve into our specialist regulator role we are determined that Social Work England will make a positive and lasting contribution to the public, professionals and society.



Colum Conway

**Chief Executive**

## Our Purpose

Social work is about people. Our purpose is to regulate social workers in England so that people receive the best possible support whenever they might need it in life. We are committed to raising standards through collaboration with everyone involved in social work.

We are one national organisation for all social workers, offering proportionate regulation and effective collaboration to enable a diverse profession to find solutions and take charge of their own future. We are a specialist regulator focused on enabling positive change in social work.

- We will actively **collaborate** and partner with all those involved in social work to define and improve standards and protect the public.
- We will **redefine** the framework for regulation.
- We will offer **quick and responsive** regulation that is focused on the real-life impact of our decisions.
- We will use technology and data to improve our understanding of the social work landscape and to inform our decisions at every stage.
- We will be **transparent** in our processes, and open about how decisions are made.
- We will **constantly evolve**. Our new approach sets us on the right course, but our organisation will take time to grow and develop as we learn from our experience.

Our new approach to social work regulation will contribute to our overarching aim of public protection by:

- **Setting profession-specific standards** to clarify expectations about the knowledge, skills, values and behaviours required to become and remain registered as a social worker in England.
- **Introducing a new system of approving initial education and training** to help social workers to be better prepared for the challenges of direct practice.
- **Setting profession-specific standards for initial education and training** to ensure that newly qualified social workers are prepared for the challenges of direct practice.
- **Setting standards for and approving and recognising post-qualification specialisms** to help bring consistency to social work career pathways.
- **Implementing a proportionate fitness to practise system** which ensures public protection, reduces stress on social workers and supports practice improvement.
- **Setting out expectations for continuing professional development** to ensure that all social workers maintain their fitness to practise and that where this may not be the case, we take action to ensure our standards are met.

## Our Plans for April 2019 to March 2020

This business plan describes our delivery plans for the period from April 2019 to March 2020. We will also produce a strategic plan describing our long-term ambitions.

The design of our core regulatory functions means that from day one, we will be enabling positive change in social work on behalf of the public. Our legislation means that we can take a more proportionate approach to fitness to practise proceedings. Online registration will streamline the effort involved for new and renewing registrants. Our professional standards, created in collaboration with the profession, will strengthen the connection between social workers and their standards. Our education and training standards and approval processes will provide assurance of the quality of social workers entering the profession. Our continuous professional development process will provide assurance to the public that existing social workers continue to build their skills and experience.

At the same time as preparing the organisation to deliver the core regulatory functions set out above, we will develop our long-term strategy. We will take a collaborative approach to setting out our ambitions for the next three to five years, describing how we will build on our stable foundations to deliver effective and proportionate regulation to enable positive change in people's lives.

Throughout the year, we will continue to work towards delivery of the objectives set out in our 2018/19 business plan, building on the progress we have already made in preparation for becoming the regulator. We will remain focused on designing an organisation which will be effective at protecting the public from day one.

Social Work England comprises five directorates, each making a vital contribution to our overarching objective of protecting the public. The five directorates each have their own specialisms, but effective collaboration between all five is essential to achieving our objectives. We are building our fitness to practise, standards, and registration and quality assurance directorates to deliver our new approach to social work regulation. Supporting these three directorates are our legal and finance and procurement directorates, both of which play crucial roles supporting and enabling effective and efficient practices.

In addition to the directorates, we describe in this plan five cross-cutting thematic areas. These five areas - consultation, communications, people, information technology and data, and strategy and planning - are fundamental areas of work that support all aspects of the organisation and help shape our ongoing evolution.

For each theme and directorate, we set out in the next section what we plan to do, how we will do it, and how we will know if we have succeeded.

### What we plan to do:

- Ensure, through consultation, our rules and standards are optimised to support our overarching objective of protecting the public.

### How we will do it:

- Work collaboratively with social workers, regulation experts and people with lived experience of social work to develop suitable professional standards, registration rules, education and training rules and standards, and our fitness to practise rules.
- Complete our consultation with the public and all stakeholders associated with the social work profession to ensure our rules and standards are informed by people who have an interest in our work.
- Publish our professional standards, our standards for education and training and our rules for registration and fitness to practise.
- In early 2020, launch consultation on social worker registration fees to enable a revised fee structure to be implemented from September 2020.

### How we will know if we have succeeded:

- We can show how our rules and standards enable us to better protect the public.
- We receive positive feedback from consultation activities and we can show how consultation has influenced the design of our standards and rules.
- Our rules and standards are agreed by the Secretary of State and we receive positive feedback following consultation on key supporting policies.
- We have launched the consultation on registration fees.

### What we plan to do:

- Deliver meaningful, proportionate and timely communication activity to establish Social Work England as an engagement-led organisation leading up to launch and beyond.

### How we will do it:

- Continue to establish and grow our social media and digital channels to provide a relevant and timely and trusted space to interact with professionals, the public and those with lived experience.
- Develop a programme of proportionate and timely external engagement activity that routinely updates and engages audiences on the evolution of Social Work England.
- Support the directorates to deliver their objectives by creating bespoke communication plans and associated products.
- Bridging information gaps by working alongside HCPC and other partners to reassure social workers on what the transfer of regulatory functions to Social Work England means for them.
- Establishing our media relations function and managing our media output to support emerging business objectives.
- Developing our internal communication channels to ensure our brand values are realised and embedded throughout the organisation.

### How we will know if we have succeeded:

- Continued growth of social media channels and successful launch of new corporate website.
- Positive sentiment, coverage and feedback from our external engagement activity.
- Meaningful and accurate messaging developed for fitness to practise, education, registration and standards – right moment, right content, right channel.
- Consistent messaging from both HCPC and Social Work England on the transfer of registrants.
- Relationships with trade press established and positive media mentions.
- Staff understand our role and have a positive connection to our brand, values and language.
- Increased awareness of Social Work England and its core values amongst professionals.

### What we plan to do:

- Have the right people, structure, culture and working practices to enable delivery of our objectives.
- Deliver a suitably qualified and fully trained workforce by the time we go live, including professional advisers, investigators, case examiners and a full team of independent adjudicators.

### How we will do it:

- Continue to implement our recruitment plan to increase our overall capacity.
- Implement our learning and development programme, including our training provision and occupational health offer, to ensure our people are supported to perform well in their roles.
- Conduct an employee satisfaction survey to identify good practice and areas for improvement.
- Continue to develop our human resources and recruitment policies, ensuring they remain fit for purpose.
- Continue to review and refine the structure of the organisation to ensure we are effectively managed and appropriately structured.

### How we will know if we have succeeded:

- We attract the right number of high-quality applicants to fill our vacancies.
- Our employee satisfaction survey indicates that our people feel well-trained, able to fulfil their duties, and are supported and engaged in their roles.
- We have the right skills, knowledge and expertise to deliver our objectives.

### What we plan to do:

- Design and deliver digital solutions that enable us to deliver our regulatory functions and which make it easy for social workers, people who use social work services and the public to interact with us.
- Ensure a smooth, safe and seamless transfer of data and functions from HCPC to Social Work England.

### How we will do it:

- Complete the development and delivery of our digital services to support efficient and effective regulatory functions.
- By May 2019, deliver a test version of the full digital services.
- Closely monitor progress to ensure we remain on track to deliver an operationally-ready digital service well in advance of December 2019 to allow for a significant testing phase.
- By July 2019, develop in partnership with HCPC detailed transition plans for each functional area to ensure we are ready to become the regulator.
- Ensure the transfer and test of data is managed safely in line with the General Data Protection Regulation legislation.
- Ensure the safe and effective transfer of fitness to practise casework from HCPC.
- Ensure that any issues relating to transition are escalated to the sponsoring department.

### How we will know we have succeeded:

- Our digital services are fully tested and ready to be launched when we go live.
- The system facilitates increased efficiency and reliability in managing registrations, education approvals and fitness to practise cases compared to current regulatory arrangements.
- Our system reduces the amount of time and effort it takes for a social worker to register and the time and effort it takes for us to process the registration.
- Data is imported into our IT systems in accordance with GDPR.
- Data transferred from HCPC is fully integrated with and accessible from our systems.
- We have securely transferred all active cases from the HCPC whilst maintaining statutory deadlines, without loss of information and without delays to casework progression.

### What we plan to do:

- Ensure effective governance, strategy and planning structures are in place to support the Chief Executive, Chair and Board delivering our strategic objectives.
- Provide appropriate infrastructure to facilitate effective operations.

### How we will do it:

- Ensure appropriate governance structures and information flows are available to the Board, Audit and Risk Committee and Remuneration Committee to allow them to provide effective oversight.
- Develop a three-year strategic plan supported by an annual business planning cycle.
- Monitor and report on our performance against our project and business plans to ensure successful delivery.
- Continue to develop our approach to risk management, generating effective mitigations to support successful delivery of projects, operations and strategy.
- Agree with the sponsoring department a final version of the framework document.
- Continue to work closely with our contractors through to completion to ensure that the ongoing changes to our infrastructure meet our needs.

### How we will know if we have succeeded:

- We publish our business plan for 2019-20 by June 2019 and our corporate strategy for 2020-22 in early 2020.
- Our approach to risk management actively contributes to successful delivery of projects, operations and strategy.
- The framework document is agreed and published on our website by January 2020.
- Our infrastructure is fit for purpose, accommodates our Sheffield-based staff and has the capacity to host the expected number of hearings.

### What we plan to do:

- Ensure our registration rules are fair and proportionate, deliver an efficient and effective registration process and meet our statutory obligations.

### How we will do it:

- Deliver an online space that will allow applicants and registrants to apply, renew, restore and update their personal details.
- Deliver a front-facing registration and advice customer helpdesk that will deal with all Social Work England initial enquiries by telephone and email.
- Develop the process and policy for recording and audit of continuous professional development.
- Develop the right policies and processes to deliver an effective registration function.
- Draft and consult on guidance to support applicants and registrants.

### How we will know if we have succeeded:

- All registrations and renewals will be completed online.
- Applications for registration are processed within 10 working days, in line with rules.
- All registrants will have created online accounts.
- Our internal quality assurance activity confirms that the registration process is effective and efficient, and that we are working within our statutory framework and internal targets.
- We have sought and received feedback at the end of the first quarter of operation, and this feedback is used to refine and improve the registration process.

### What we plan to do:

- Provide assurance that the quality of training for social workers, best interests assessors and approved mental health professionals is sufficient to produce people who are capable of meeting our professional standards.

### How we will do it:

- Engage widely and proactively with education establishments and course providers to develop an effective approach to the inspection, approval and monitoring of social work education and training courses in England.
- Begin scheduling course inspections and conduct pre-approval assessment for courses requiring approval for academic delivery in 2020.
- Develop a quality assurance evidence framework that ensures that our quality assurance function is informed by the expertise of the profession and stakeholders.
- Appoint and train associate inspectors who will be actively conducting a programme of course approval inspections and course monitoring.

### How we will know if we have succeeded:

- Feedback from course providers indicates positive and effective engagement throughout the quality assurance process.
- The amount of time it takes to complete the approval of new courses, reapproval processes and course monitoring is proportionate and efficient.

### What we plan to do:

- Design and deliver in collaboration with key stakeholders a fitness to practise process that is robust, proportionate and efficient.

### How we will do it:

- Work collaboratively with HCPC to better understand its ongoing casework and to ensure that casework progression is not adversely affected by the transfer of responsibility.
- Establish effective standard operating procedures, which realise the full potential of the new powers available to Social Work England under the rules and regulations.
- Deliver our initial findings about fitness to practise to the profession at a local level through our regional engagement strategy.
- Design a quality assurance framework, electronic case management system and modern reporting capabilities that enable us to identify key trends and intelligence from fitness to practise activity.

### How we will know if we have succeeded:

- We will be able to receive and investigate new concerns and schedule hearings from the day we go live.
- Our new rules and procedures deliver robust risk assessments at case reception and the full range of consensual disposal options at the case examiner stage.
- Our findings from engagement activity and improved data intelligence allow us to adapt our rules, policies and guidance.
- Our electronic case management system is modern, secure and capable of delivering intelligent operational and management reports.

## What we plan to do:

- Embed the Professional and Education and Training Qualifying standards and begin to build on them to ensure they are meaningful for the profession.
- Lead on the Regional Engagement Strategy.
- Establish a systematic means of continuing our dialogue and collaboration with social workers.
- Provide the organisation with information and advice on key policy and legislative issues, changes and developments, the potential impact on social work and regulation, and what our position should be in response.

## How we will do it

- Create a series of drivers that will deliver our strategic ambition for what specialist social work regulation means and how it can make a positive contribution to social work.
- Publish our professional standards, our standards for education and training and our rules for registration and fitness to practise and publish guidance on the professional standards.
- By September 2019, have in place the team of people and the support infrastructure required to take forward our regional engagement strategy.
- Ensure that people with lived experience of social work are actively engaged and working with us across all aspects of our work.
- Ensure that the social work profession, in all of its contexts, is actively engaged with us.
- By May 2019, have commenced a rolling programme of workplace shadowing, ensuring we remain close to practice, and are seen as an open and transparent regulator.
- Have established a system of informing and advising the organisation on policy and legislative changes and developments, and our position in response.
- Before the end of the year, we have commissioned research into a key area affecting social work or regulatory practice.

## How we will know if we have succeeded:

- Our Regional Engagement Team is in place and actively building relationships and networks at a local and regional level.
- People with lived experience of social work are actively engaged in our work and providing challenge and assistance across all aspects of what we do.

- Social workers see us as a responsive regulator and engage with us regularly through the various aspects of our work.
- We are contributing to discussions and decisions in the sector on policy and legislative changes/developments, the potential impact on social work and/or regulation.
- We have commissioned research into an area of practice where additional, specialist analysis is required to shape our approach and position.

### What we plan to do:

- Ensure that all core finance and procurement systems and processes are fully integrated into the day-to-day operations of Social Work England.
- Develop a 3-year strategic financial forecast to support Social Work England's strategic, business and project objectives.

### How we will do it:

- Provide timely, accurate and insightful management information to support organisational decision making.
- Fully develop and test all our systems, processes and controls prior to full implementation.
- Develop opportunities for user feedback to improve and refine systems and processes.
- Identify examples of best practice within the Non-Departmental Public Body (NDPB) sector as well as externally to drive process improvements and ensure value for money.
- Engage proactively with organisational leaders as business partners to identify information/data requirements and devise Key Performance Indicators (KPIs).
- Continually seek to review strategic, business and operational assumptions throughout the financial period and assess their impact of future period forecasts.
- Provide financial management training and support to all individuals with financial or decision-making responsibilities.

### How we will know if we have succeeded:

- All system users are fully trained and able to freely access finance and procurement systems and have access to a fully documented support framework.
- System implementation leads to an improved level of reliability, efficiency and accuracy of management information.
- Delivery of timely and accurate management information packs (inclusive of monthly and quarterly forecasts) to directors and the Executive Leadership Team (ELT).
- Timely submission of management returns to Department for Education (DfE) and the Department of Health and Social Care (DHSC).
- Preparation of a 3-year strategic financial forecast by December 2019.

### What we plan to do:

- Ensure that Social Work England operates in accordance with relevant legislation and that that our decision-making is legally robust.

### How we will do it:

- Recruit a team of legal, data protection and information, and internal quality and improvement specialist.
- Fully integrate the legal function into day-to-day operations.
- Deliver and manage a contracted bespoke external legal service for fitness to practise investigations, hearings and advocacy.
- Raise legal awareness across our directorates and provide updates on key legislative developments that affect our regulation or our business activities.
- Design and implement policies and procedures to ensure compliance with relevant legislation, particularly in relation to data protection and information governance.
- Establish a programme of internal quality and improvement work in readiness for becoming the regulator.

### How we will know if we have succeeded:

- Recruitment to the legal directorate functions is complete by summer 2019.
- The external legal service for fitness to practise investigations, hearings and advocacy is in place and performance adheres to service level agreements.
- We have produced our information governance strategy and we can demonstrate compliance with the General Data Protection Regulation and other relevant legislation, in accordance with the Information Commissioner's Office guidance.
- A regular schedule of legal training and legal updates for Social Work England employees is in place.
- Our internal quality and improvement work is underway and we are report internally on our findings and improvements from the first three months of operation.

## Resources

In order to deliver our plans, we need to be able to fund our people, equipment, premises and services. The table below summarises our budget requirement for 2019-20. Our budget requirement is subject to quarterly review and reforecasting.

### Annual Resource Budget - 1 April 2019 to 31 March 2020

| Item                               | £               |
|------------------------------------|-----------------|
| Administration (exc. depreciation) | £nil            |
| Programme                          | £8.865m         |
| Capital                            | £1.706m         |
| Depreciation (Admin)               | £0.703m         |
| <b>Total</b>                       | <b>£11.301m</b> |

## Growing Success

As a new organisation, we are continually evolving and remain firmly focused on becoming an effective specialist regulator for the social work profession. We're mindful of course, that this is only the very start of our journey. The qualitative success criteria we have identified in this plan underpin each of our five thematic areas and five directorates to reflect the essential foundations we will build to support our ambition to enable positive change for the public, professionals and everyone who has an interest in social work. But we are also looking forward to the future. Our corporate strategy will guide our operational goals longer term across the first three years, including quantitative performance indicators that will measure success, create benchmarks and drive forward organisational improvement.

Through the year, we will collate evidence to help us understand whether we have succeeded in delivering this plan and to provide a robust evidence-base to help guide our ongoing evolution. We will produce a regular report on our success criteria to allow our leadership team and board to monitor progress and guide our development effectively.



| Thematic Area         | Success Criteria                                                                                                                                         |
|-----------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Consultation</b>   | We can show how our rules and standards enable us to better protect the public.                                                                          |
|                       | We receive positive feedback from consultation activities and we can show how consultation has influenced the design of our standards and rules.         |
|                       | Our rules and standards are agreed by the Secretary of State and we receive positive feedback following consultation on key supporting policies.         |
|                       | We have launched the consultation on registration fees.                                                                                                  |
| <b>Communications</b> | Continued growth of social media channels and successful launch of new corporate website.                                                                |
|                       | Positive sentiment, coverage and feedback from our external engagement activity.                                                                         |
|                       | Meaningful and accurate messaging developed for fitness to practise, education, registration and standards – right moment, right content, right channel. |
|                       | Consistent messaging from both HCPC and Social Work England on the transfer of registrants.                                                              |
|                       | Relationships with trade press established and positive media mentions.                                                                                  |
|                       | Staff understand our role and have a positive connection to our brand, values and language.                                                              |
|                       | Increased awareness of Social Work England and its core values amongst professionals.                                                                    |

|                                                         | Success Criteria                                                                                                                                                                      |
|---------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>People</b>                                           | We attract the right number of high-quality applicants to fill our vacancies.                                                                                                         |
|                                                         | Our employee satisfaction survey indicates that our people feel well-trained, able to fulfil their duties, and are supported and engaged in their roles.                              |
|                                                         | We have the right skills, knowledge and expertise to deliver our objectives.                                                                                                          |
| <b>Information<br/>Technology and Data<br/>Transfer</b> | Our digital services are fully tested and ready to be launched when we go live.                                                                                                       |
|                                                         | The system facilitates increased efficiency and reliability in managing registrations, education approvals and fitness to practise cases compared to current regulatory arrangements. |
|                                                         | Our system reduces the amount of time and effort it takes for a social worker to register and the time and effort it takes for us to process the registration.                        |
|                                                         | Data is imported into our IT systems in accordance with GDPR.                                                                                                                         |
|                                                         | Data transferred from HCPC is fully integrated with and accessible from our systems.                                                                                                  |
|                                                         | We have securely transferred all active cases from the HCPC whilst maintaining statutory deadlines, without loss of information and without delays to casework progression.           |
| <b>Strategy and<br/>Planning</b>                        | We publish our business plan for 2019-20 by June 2019 and our corporate strategy for 2020-22 by early 2020.                                                                           |
|                                                         | Our approach to risk management actively contributes to successful delivery of projects, operations and strategy.                                                                     |
|                                                         | The framework document is agreed and published on our website by January 2020.                                                                                                        |
|                                                         | Our infrastructure is fit for purpose, accommodates our Sheffield-based staff and has the capacity to host the expected number of hearings                                            |

| Directorate                               | Success Criteria                                                                                                                                                                        |
|-------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Registration and Quality Assurance</b> | All registrations and renewals will be completed online.                                                                                                                                |
|                                           | Applications for registration are processed within 10 working days, in line with rules.                                                                                                 |
|                                           | All registrants will have created online accounts.                                                                                                                                      |
|                                           | Our internal quality assurance activity confirms that the registration process is effective and efficient, and that we are working within our statutory framework and internal targets. |
|                                           | We have sought and received feedback at the end of the first quarter of operation, and this feedback is used to refine and improve the registration process.                            |
|                                           | Feedback from course providers indicates positive and effective engagement throughout the quality assurance process.                                                                    |
|                                           | The amount of time it takes to complete the approval of new courses, reapproval processes and course monitoring is proportionate and efficient.                                         |
| <b>Fitness to Practise</b>                | We will be able to receive and investigate new concerns and schedule hearings from the day we go live.                                                                                  |
|                                           | Our new rules and procedures deliver robust risk assessments at case reception and the full range of consensual disposal options at the case examiner stage.                            |
|                                           | Our findings from engagement activity and improved data intelligence allow us to adapt our rules, policies and guidance.                                                                |
|                                           | Our electronic case management system is modern, secure and capable of delivering intelligent operational and management reports.                                                       |
| <b>Standards</b>                          | Our Regional Engagement Team is in place and actively building relationships and networks at a local and regional level.                                                                |
|                                           | People with lived experience of social work are actively engaged in our work and providing challenge and assistance across all aspects of what we do.                                   |
|                                           | Social workers see us as a responsive regulator and engage with us regularly through the various aspects of our work.                                                                   |
|                                           | We are contributing to discussions and decisions in the sector on policy and legislative changes and developments and the potential impact on social work and regulation.               |
|                                           | We have commissioned research into an area of practice where additional, specialist analysis is required to shape our approach and position.                                            |

| Directorate                    | Success Criteria                                                                                                                                                                                                                      |
|--------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Finance and Procurement</b> | All system users are fully trained and able to freely access finance and procurement systems and have access to a fully documented support framework.                                                                                 |
|                                | System implementation leads to an improved level of reliability, efficiency and accuracy of management information.                                                                                                                   |
|                                | Delivery of timely and accurate management information packs (inclusive of monthly and quarterly forecasts) to directors and the Executive Leadership Team.                                                                           |
|                                | Timely submission of management returns to Department for Education (DfE) and the Department of Health and Social Care (DHSC).                                                                                                        |
|                                | Preparation of a 3-year strategic financial forecast by December 2019.                                                                                                                                                                |
| <b>Legal</b>                   | Recruitment to the legal directorate functions is complete by summer 2019.                                                                                                                                                            |
|                                | The external legal service for fitness to practise investigations, hearings and advocacy is in place and performance adheres to service level agreements.                                                                             |
|                                | We have produced our information governance strategy and we can demonstrate compliance with the General Data Protection Regulation and other relevant legislation, in accordance with the Information Commissioner's Office guidance. |
|                                | A regular schedule of legal training and legal updates for Social Work England employees is in place.                                                                                                                                 |
|                                | Our internal quality and improvement work is underway and we are report internally on our findings and improvements from the first three months of operation.                                                                         |

|                                |                                                                 |
|--------------------------------|-----------------------------------------------------------------|
| <b>Meeting</b>                 | <b>Social Work England Board Meeting</b>                        |
| <b>Agenda Item</b>             | <b>7.2</b>                                                      |
| <b>Date</b>                    | <b>3 May 2019</b>                                               |
| <b>Title</b>                   | <b>Review of 2018-19 Business Plan Objectives</b>               |
| <b>Executive Director/Lead</b> | <b>Alison McKinna, Executive Director, Corporate Services</b>   |
| <b>Author</b>                  | <b>Andy Leverton, Head of Business Planning and Improvement</b> |
| <b>Contact Details</b>         | <b>andy.leverton@socialworkengland.org.uk</b>                   |

## SUMMARY

This paper is presented to the Board to be noted. The report provides Board members with an end of financial year 18/19 review of achievements against the objectives set out in the 2018-19 Business Plan.

## SUPPORTING PAPERS

Attached - Review of 2018-19 Business Plan Objectives

## RECOMMENDED ACTION

The Board is asked to note the current position in relation to achievement of the 2018-19 Business Plan Objectives

## Key implications or risks for any of the following:

|                             |   |
|-----------------------------|---|
| <b>Financial</b>            |   |
| <b>Legal</b>                | x |
| <b>Workforce</b>            | x |
| <b>Governance</b>           | x |
| <b>Regulatory</b>           | x |
| <b>Service users/carers</b> |   |

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## **Social Work England**

### **Review of 2018-19 Business Plan Objectives**

#### **April 2019**

#### **Purpose**

1. This paper provides the Social Work England Board with an end of financial year 18/19 review of achievements against the objectives set out in the 2018-19 business plan.

#### **Process**

2. The 2018-19 business plan covers the period from December 2018 to end March 2019 and was agreed with the Board at the January 2019 meeting.
3. The objectives in the 2018-19 business plan focus primarily on the set-up activity required to ensure Social Work England remains on track to assume regulatory responsibilities as planned.
4. Work to establish Social Work England continues into the 2019-20 financial year, so continuing activities and deliverables in the 2018-19 business plan will be carried over to the 2019-20 business plan.
5. This review of objectives is derived from the regular internal reporting mechanisms that support the Social Work England implementation programme
6. The 2018-19 business plan makes reference to high-level strategic objectives, supported by a series of deliverables designed to support progress towards achievement of these objectives.
7. During 2018-19, the plans focused on delivering the foundations of the organisation to enable the future delivery of the high-level strategic objective. This review therefore focuses on the achievement of these deliverables.

#### **Objectives**

8. The following table sets out the deliverables agreed in the 2018-19 business plan, along with our planned activity and a progress update for each.

Andy Leverton

Head of Business Planning and Improvement

24 April 2019

| Deliverable                             |                                                                                                                                                           | Our plan                                                                                                                                                                                                                                                                                                                                                                                              | Progress update                                                                                                                                                                                                                                                                       |
|-----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Develop our 18/19 business plan</b>  | Ensure that by November 2018 Social Work England has agreed with the DfE and published an interim business/corporate plan for 2018-19 financial year.     | This business plan will be agreed with the DfE by December 2018.                                                                                                                                                                                                                                                                                                                                      | <b>Achieved:</b> Dates were revised according to the final version of the framework document. The plan was approved at the January board meeting and a branded version was published in March after the launch of our corporate brand identity                                        |
| <b>Conduct consultation and reviews</b> | Through the business planning process, set out plans for consultations on: regulatory rules, professional and education and training standards, and fees. | <p>Complete the consultation on appointment rules by the end of January 2019 so that we can launch recruitment for decision makers shortly after, aiming to have people in post from April 2019 onwards.</p> <p>In early 2019, we will launch our consultation on professional standards and standards for education and training, along with the rules for registration and fitness to practice.</p> | <b>Achieved:</b> We launched both our consultation exercises on time. The consultation on appointment rules was completed December 2019 and the rules came into force in January 2019. The consultation on rules and standards is ongoing into 2019-20 and is progressing as planned. |

|                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                         |
|---------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Develop our governance and organisational design</b> | <p>Ensure we are a well-managed and appropriately structured organisation that supports and develops its people to enable delivery of its objectives.</p> <p>Ensure that Social Work England has the right people, structure, culture and working practices to deliver its objectives.</p>                                                                                                                                                                     | <p>We will continue to design and build the organisation structure. By March 2019, we are aiming to have up to 60 people in post. A learning and development programme will be in place to support developing business processes and working practices. A clear leadership and management structure will be in place, headed by an Executive Leadership Team and supported by a project management, planning and reporting process.</p> | <p><b>Achieved:</b> by March 2019 we had 55 people in post. The leadership team is in place, along with the project management, planning and reporting team. Work will continue into 2019-20 to shape the culture and working practices and to fill the planned organisation structure</p>                                                                                                                              |
|                                                         | <p>Ensure we have the right governance structures/systems in place to support the CEO, Chair and Board in the discharge of their duties and delivery of Social Work England's objectives. This includes establishing a Board compliant with the principles of good governance for non-departmental public bodies in line with Cabinet Office guidance, and ensuring that Social Work England has appropriate systems of risk management and audit in place</p> | <p>By March 2019, the governance structures and systems to support the CEO, Chair and Board as outlined in the Cabinet Office guidance will be in place</p>                                                                                                                                                                                                                                                                             | <p><b>Achieved:</b> By March 2019, we had conducted formal Board meetings and meetings of Audit and Risk Committee and Remuneration Committee. One of the non-executive director posts remains unfilled but we expect to have appointed to the post in 2019-20. Our risk management system and reporting is in place. Our internal and external auditors are in place and both have completed their initial audits.</p> |

|                              |                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                      |
|------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Develop our workforce</b> | <p>Build sufficient capacity in Social Work England to enable it to set up its regulatory functions, ensuring that key posts are filled across Social Work England function areas to enable it to work effectively with the Health and Care Professions Council (HCPC) during the 'readiness for regulation' phase</p> | <p>The Executive Leadership Team will be established in December 2018 and the recruitment of the Heads of Functions roles will be completed in early February 2019. A detailed project timeline is in place to ensure momentum is maintained towards the recruitment of people through 2019.</p> <p>Social Work England teams in each key functional area will be in place by early December 2018 to ensure effective working structures are established with HCPC to support a safe, efficient and smooth transition programme.</p>                                                               | <p><b>Achieved:</b> The majority of the leadership team and heads of functions began in post by December 2018 as planned. Further recruitment continued after December 2018 to fill the Executive Director of Finance post on a permanent basis. Recruitment plans continue to fulfil the organisational design throughout 2019.</p> |
|                              | <p>Ensure that appropriate HR and recruitment policies are in place to support recruitment activity and our people (review to be undertaken early January 2019)</p>                                                                                                                                                    | <p>HR and recruitment policies will be in place for sign off by the executive in January 2019.</p> <p>By the end of December 2018, we will have completed the procurement of an automated recruitment system to help ensure our ongoing recruitment processes are efficient and effective, particularly as we start to recruit in greater numbers during 2019.</p> <p>We are continuing to build a learning and development catalogue and e-learning system, along with developing our occupational health offer, to ensure our people and panel members, are well-trained and well-supported.</p> | <p><b>Ongoing:</b> our HR and recruitment policies are well developed and actively guide our activity. Final review and formal sign-off by the executive is expected in early 2019-20. Our automated recruitment system, and e-learning tool are close to implementation. Our occupational health offer is in development.</p>       |

|                                        |                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                           |
|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Establish our IT infrastructure</b> | Ensure that Social Work England has operational premises, with appropriate facilities management, IT infrastructure, equipment, telephony and support systems for staff in DfE offices (initially) and then in Social Work England's headquarters building (from early 2019) | <p>Social Work England will move into new headquarters in central Sheffield at the end of December 2018. All key office infrastructure to support ongoing day to day operational activities will be in place.</p> <p>Fit-out work on hearings facilities will continue through to May 2019.</p>                                                                                                                                               | <b>Achieved:</b> We moved into our premises in December 2018 with all necessary infrastructure in place. Work continues as planned to complete fit-out of the hearings facilities by May 2019                                                                                                                                                             |
| <b>Establish our digital services</b>  | Manage the preferred digital supplier, to deliver the suite of digital services required to enable Social Work England to carry out its regulatory role.                                                                                                                     | <p>From November 2018, a detailed digital solution delivery plan will be in place to support the completion of the initial build phase by April 2019. This includes the completion of a series of detailed process planning workshops to ensure the digital build is underpinned by the needs of the organisation. Completion of the first phase by April 2019 allows for a significant period of testing and business process alignment.</p> | <b>Achieved:</b> The digital delivery plan was initiated, along with completion of the development phase in November 2019. The initial build phase is completed and the build of the digital solution has progressed ahead of schedule. Additional functionality beyond original scope has been added and will continue to be developed prior to go live. |

|                                        |                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                              |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                        | Ensure that by April 2019 Social Work England has a product that allows Social Work England staff to work on live or shadow data, and is on track to deliver an operationally ready digital service by the time it takes over responsibility for the register. | We will deliver an early functional test version of our digital service by April 2019. This will ensure we can start to shadow HCPC operations shortly after, leaving a sufficient handover period to resolve any issues.                                                                                                                      | <b>Ongoing:</b> Arrangements are being finalised to allow Social Work England staff to review test data prior to go live. The digital service is on track to be ready by go-live and progress remains under constant scrutiny.                                                                               |
| <b>Manage the transition from HCPC</b> | Agree and deliver transition plans (plan in place by end-December 2018 to implement from January 2019) with HCPC to ensure a smooth, safe and seamless transfer of data and functions to Social Work England.                                                  | We have appointed a project board and members of staff to manage the transition plan, taking responsibility for timelines and all associated delivery requirements. The principles for the transition work between Social Work England and HCPC will be signed off in January 2019 including, detailed plans relating to each functional area. | <b>Achieved:</b> The transition plan was complete by late 2018 and implementation began in January 2019. Additional project resources have since been assigned to support the transition. The transition plan and the detailed plans for each functional area are frequently reviewed and refined as needed. |
|                                        | Ensure that issues relating to transition are escalated to the department as soon as possible, so that these can be addressed through DfE-HCPC grant management processes.                                                                                     | Work is ongoing with HCPC to ensure key milestones for the transfer and test of data is safely managed in line with the General Data Protection Regulation (GDPR) legislation.                                                                                                                                                                 | <b>Achieved:</b> We remain in regular contact with HCPC to ensure a successful, GDPR-compliant transfer of data. Test phases will commence in spring 2019 in preparation for the final transfer when we go-live. Throughout this process, we have maintained regular contact with the                        |

|  |                                                                                                                                                                                                               |                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                  |
|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|  |                                                                                                                                                                                                               |                                                                                                                                                                                                                                 | department to resolve issues. The data transfer process will be governed by the transfer scheme being developed in collaboration with HCPC and the department                                                                                                    |
|  | Engage widely and proactively with the sector to promote Social Work England's vision and objectives, and to ensure the profession is clear on what the move from HCPC to Social Work England means for them. | The opening of our new headquarters, ongoing recruitment campaigns, the planned consultation on rules and standards and identifying key events that will allow Social Work England to talk with and listen to its stakeholders. | <b>Achieved:</b> We have completed the series of consultation events across the country and we have launched our formal consultation on our rules and standards. Ongoing collaboration and engagement with stakeholders will remain fundamental to our approach. |
|  | Work in partnership with the DfE and DHSC, as appropriate, to co-ordinate and maximise the impact of communications activity.                                                                                 | A central part of our communications strategy focuses on the need to work closely with all of our external stakeholders. We will ensure that we identify and bridge any information gaps, using joint messages as needed.       | <b>Achieved:</b> Our communications team was established during the latter part of 2018 and continues to work closely with the departments to align communications activity                                                                                      |

|                                |                                                              |
|--------------------------------|--------------------------------------------------------------|
| <b>Meeting</b>                 | <b>Social Work England Board Meeting</b>                     |
| <b>Agenda Item</b>             | <b>7.3</b>                                                   |
| <b>Date</b>                    | <b>3 May 2019</b>                                            |
| <b>Title</b>                   | <b>Social Work England Board Code of Conduct and Ethics</b>  |
| <b>Executive Director/Lead</b> | <b>Alison McKinna, Executive Director, Corporate Service</b> |
| <b>Author</b>                  | <b>Sherife Hasan, Head of Governance</b>                     |
| <b>Contact Details</b>         | <b>Sherife.hasan@socialworkengland.org.uk</b>                |

### **SUMMARY**

**Draft policy paper for the Social Work England Board on the Code of Conduct and Ethics**

### **SUPPORTING PAPERS**

**Attached**

### **RECOMMENDED ACTION**

**The Board is asked to note the attached paper**

### **Key implications or risks for any of the following:**

|                             |  |
|-----------------------------|--|
| <b>Financial</b>            |  |
| <b>Legal</b>                |  |
| <b>Workforce</b>            |  |
| <b>Governance</b>           |  |
| <b>Regulatory</b>           |  |
| <b>Service users/carers</b> |  |

# Social Work England

## Code of Conduct and Ethics for Social Work England Board Members

|                        |                                                                                                                                                                                                                                                                                                                                                                                                          |
|------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Summary</b>         | The Code of Conduct and Ethics for Social Work England Board members provides guidance on the responsibilities and standards of conduct expected of all Board members, including those that sit on the Board's sub-committees – Audit and Risk Committee and Remuneration Committee. Board members are expected to subscribe to this Code of Conduct and comply with it while carrying out their duties. |
| <b>Target audience</b> | Social Work England Board members                                                                                                                                                                                                                                                                                                                                                                        |

|                       |            |                      |            |
|-----------------------|------------|----------------------|------------|
| <b>Effective Date</b> | April 2019 | <b>Last reviewed</b> | April 2019 |
| <b>Date authored</b>  | 09/04/2019 | <b>Next review</b>   | April 2020 |

|                         |                                                                                                                                       |
|-------------------------|---------------------------------------------------------------------------------------------------------------------------------------|
| <b>Policy Owner</b>     | Sherife Hasan, Head of Governance                                                                                                     |
| <b>Policy Contact</b>   | Sherife Hasan, Head of Governance, <a href="mailto:sherife.hasan@socialworkengland.org.uk">sherife.hasan@socialworkengland.org.uk</a> |
| <b>Approvals</b>        | Alison McKinna, Executive Director, Corporate Services                                                                                |
| <b>Delegated Powers</b> |                                                                                                                                       |

## 1. Purpose of this Policy

- 1.1 Social Work England was established under the Children and Social Work Act (2017) (referred to as the Act) as a body corporate. The Act states<sup>1</sup> that the over-arching objective of the regulator in exercising its functions is the protection of the public. The pursuit by the regulator of its over-arching objective involves the pursuit of the following objectives:
  - (a) to protect, promote and maintain the health, safety and well-being of the public;
  - (b) to promote and maintain public confidence in social workers in England; and
  - (c) to promote and maintain proper professional standards for social workers in England.
- 1.2 Social Work England is the new single-profession regulator for social workers in England. It is a separate legal entity in the form of a non-departmental public body (NDPB). It operates at arm's length from government and will comply with all of the requirements for an NDPB and the principles of good governance for public bodies.
- 1.3 The Code of Conduct and Ethics for Social Work England Board members provides guidance on the responsibilities and standards of conduct expected of all Board members, including those that sit on the Board's sub-committees – Audit and Risk Committee and Remuneration Committee. Board members are expected to subscribe to this Code of Conduct and Ethics and comply with it while carrying out their duties.

## 2. Policy Statement

- 2.1 Social Work England Board members are committed to observing and promoting the highest standards of ethical conduct in the performance of their responsibilities. Board members must follow the Seven Principles of Public Life set out by the Committee on Standards in Public Life<sup>2</sup>. The Standards impose several duties on Board Members, which are outlined in Annex A.
- 2.2 This code set out the ethical principles that will govern all actions by Board members and which they undertake to observe in their capacity as members of the Board. Accordingly, Social Work England Board members will:

### Accountability

- a) Comply with all prevailing and applicable laws, regulations and standards of government agencies and authorities.
- b) Exercise reasonable care and due diligence in all organisational matters.

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<sup>1</sup> <http://www.legislation.gov.uk/ukpga/2017/16/part/2/enacted>

<sup>2</sup> Extract from First Report of the Committee on Standards of Public Life, UK May 1995

- c) Fully disclose, at the earliest opportunity, information that may result in a perceived or actual conflict of interest.
- d) Fully disclose, at the earliest opportunity, information that will have significance in Board decision-making.
- e) Ensure prudent fiscal management and oversight of Social Work England.

#### **Professional Excellence and Integrity**

- f) Act, and be seen to act, with honesty, integrity and openness whenever they represent the organisation.
- g) Maintain a professional level of courtesy, respect, and objectivity in all activities.
- h) Strive to uphold the highest standards of conduct (see Social Work England's Board members Code of Conduct).

#### **Personal Gain**

- i) Exercise the powers of the Board for the good of all Social Work England staff members rather than for his or her personal benefit.

#### **Equal Opportunity**

- j) Ensure the right of all Social Work England staff members to work safely and without prejudice and discrimination in respect to gender, sexual orientation, national origin, race, religion, age, political affiliation or disability, in accordance with all applicable legal and regulatory requirements.

#### **Collaboration and Cooperation**

- k) Respect the diversity of opinions expressed or acted upon by other Board members and/or Social Work England staff members, and promote collaboration, cooperation, and partnership working amongst Social Work England staff members and with external organisations.

#### **Confidential Information**

- l) Respect the confidentiality of sensitive information and knowledge gained due to serving on the Social Work England Board.

### **3. Scope**

- 3.1 This policy applies to Social Work England Board members and governance arrangements.

### **4. Roles and responsibilities**

#### **Responsibilities of Social Work England Chair**

- 4.1 The Chair is responsible for overseeing the Board's Code of Conduct and Ethics specifically:

- encouraging and promoting high standards of propriety;
- ensuring that in reaching decisions, the Board takes proper account of guidance provided by Ministers and the sponsor department (Department for Education) and the Board's sub-committees; and
- representing the views of the Board to the general public.

4.2 The Chair will ensure that the Board meets at regular intervals throughout the year and that the minutes of meetings accurately record the decisions taken. The Chair should ensure that all Board members feel able to contribute to the Board's discussions.

### **Responsibilities of Social Work England Board members**

4.3 The responsibilities of Board Members in relation to the Code of Conduct and Ethics include:

- ensuring that high standards of corporate governance are observed by the Board at all times;
- ensuring that Social Work England operates within the limits of its statutory authority and any delegated authority agreed with Ministers and the Department for Education (sponsor Department), and in accordance with any other conditions relating to the use of public funds; and
- ensuring that Social Work England complies with any duties imposed on public bodies by statute, including obligations under health and safety legislation, the Human Rights Act 1998, the Disability Discrimination Act 2005, the Race Relations (Amendment) Act 2000, the Data Protection Act 2018, the Freedom of Information Act 2000 and the General Data Protection Regulation (GDPR) (2018).

4.4 Board members have a collective duty to ensure that their decision-making processes are transparent. When a decision is made in private, there must still be transparency around the process, which resulted in a decision being made. Each Board member has a personal responsibility to ensure that they have sufficient understanding and information to participate in the decisions that are made by the Board.

4.5 Board members' engagement with the public should be based on the core principles of integrity, competence and confidentiality. Any public statements should accurately reflect Social Work England's policies and practices and not compromise or threaten Social Work England's reputation as the independent social work regulator.

## **Conducting Social Work England Board meetings**

4.6 Social Work England’s Board meetings must be well-conducted, and the decisions taken should be well-informed. Therefore, Board members should:

- take account of the views of others, but should reach their own conclusions on the issues before them and act in accordance with those conclusions;
- be as open as possible about their actions and decisions, being prepared to give reasons for their actions and willing for their decisions and actions to be scrutinised and challenged in a constructive way;
- allow everyone to take part without interruption or intimidation, respecting the contribution of other members and not interrupt when someone is speaking; and
- respect the impartiality and integrity of other Board members, never being derogatory in their speech or manner. Members should not use language which could be construed as discriminatory or offensive to others.

## **Responsibilities of Board members as individuals**

### ***Duty to act in the public interest***

- 4.7 Board members must act in good faith and in the best interests of Social Work England. They should not use their position to promote their personal interests or those of any connected person, firm or organisation.
- 4.8 Board members should not make political statements or engage in political activity related to Social Work England’s role or activity.

### ***Duty to avoid conflicts of interest and to register interests***

- 4.9 Board members must avoid being influenced by others or placing themselves under obligation to any individual or organisation which might affect, or be perceived to affect, their ability to act impartially and objectively.
- 4.10 Board members must ensure that conflicts do not arise, or appear to arise, between their public duties and their private interests, whether these are financial or otherwise. It is the personal responsibility of all Board members to declare any personal or business interests which may or may reasonably appear to conflict with their responsibilities.
- 4.11 Board Members are expected to declare an interest at the start of a meeting or at the very latest the start of the agenda item to which the interest arises.

- 4.12 Board members may be asked by the Chair to remove themselves from the discussion or determination of matters in which they have a financial interest. In matters in which they have a non-financial interest, Board members should not participate in the discussion or decision on a matter where the interest might suggest that the Board was biased.
- 4.13 Board members interests will be published on the Social Work England website.

***Duty to preserve confidentiality***

- 4.14 Board members may receive information which is not in the public domain. It is the responsibility of each individual member to ensure that this information remains confidential to the meeting, unless prior authorisation has been given by the Chair for this to be discussed elsewhere. This duty of confidentiality continues to apply after members have left the Board.
- 4.15 Board members must never use confidential information for their personal advantage or the advantage or disadvantage of anyone known to them or to disadvantage or discredit the Board.

***Duty to safeguard public funds***

- 4.16 Board members have a duty to ensure the safeguarding of public funds, including all receipts from fees and other sources.
- 4.17 Board members must take appropriate measures to ensure that Social Work England conducts its operations as economically, efficiently and effectively as possible, with full regard to the relevant statutory provisions and to relevant guidance.
- 4.18 Board members must not misuse official resources for personal gain or for political purposes.

***Duty not to accept benefits from third parties***

- 4.19 Board members must not accept any gifts or hospitality which might appear to compromise their personal judgement or integrity or place them under an improper obligation.
- 4.20 No inducement of any amount or value may be accepted under any circumstance. Any overt or covert offer of any inducement (of whatever value) for some action pertaining to a contract with an external third-party individual or organisation, or concerning a future decision of the Board must be referred to the Chair and/or the Chief Executive.

***Duty to promote equality, diversity and human rights***

- 4.21 The Equality Act 2010 created a 'public sector equality duty' covering all forms of discrimination, and which requires public bodies to have due regard to the need to eliminate discrimination, advance equality of opportunity and foster good relation between different people when carrying out their activities.
- 4.22 Therefore, Board members have a duty to promote equality, diversity and human rights and not discriminate unlawfully against any person, treating all people with respect, regardless of their race, age, religion, gender, sexual orientation or disability.

**Raising concerns**

- 4.23 If Board member wishes to express a concern about the behaviour of another Board member, they should in the first instance raise the issue with the Chair. If the concern involves the Chair, the Board member should raise the matter with the Chief Executive.
- 4.24 Where a Board member has reason to believe that a very serious wrong-doing has taken or is taking place, (e.g. a criminal offence or a staff member is failing to comply with a legal obligation) they should raise this immediately with the Chair and/or the Chief Executive.

**5. Arrangements to deliver the policy**

- 5.1 This policy is linked and delivered in accordance with the Social Work England Board Terms of Reference.

**6. Compliance**

- 6.1 If any Board member fails to perform the duties required of them or display the standards of conduct expected of them, they may be judged as failing to carry out the duties of their office. This could lead to them being removed from the Board.
- 6.2 Failure at any time by a Board member to disclose information about their personal or professional history or conduct, which could cause embarrassment or bring Social Work England into disrepute, would constitute a serious breach of this Code.

**7. Training requirements**

- 7.1 This policy should be brought to the attention of all new Board members during their induction process.

## 8. Resource requirements

8.1 There are no additional resources required to deliver this policy.

## 9. Policy review and version control

9.1 This is a new policy and will be reviewed after 12-months from the date of implementation; otherwise, it will be reviewed every two years unless otherwise directed by the Executive Leadership or there is a change in legislation.

### Change Record

| Date         | Author         | Version  | Page(s) changed  | Reason for Change          |
|--------------|----------------|----------|------------------|----------------------------|
| [DD/MM/YYYY] | [insert names] | [insert] | [insert numbers] | [insert brief description] |

### Reviewers/contributors

*As a minimum, all policies must be reviewed and approved by the owning Executive Director, the Executive Director for Legal and the Head of Business Planning and Improvement.*

| Name          | Position                                  | Version Reviewed | Date          |
|---------------|-------------------------------------------|------------------|---------------|
| [insert]      | Executive Director, [insert directorate]  |                  |               |
| [insert name] | Executive Director Legal                  |                  |               |
| [insert name] | Head of Business Planning and Improvement |                  |               |
| [insert name] | [insert position]                         | [insert version] | [insert date] |

## Annex A:

### **The Seven Principles of Public Life** **Extract from First Report of the Committee on Standards of Public Life,** **UK May 1995**

|                        |                                                                                                                                                                                                                                       |
|------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Selflessness:</b>   | Holders of public office should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family or their friends.                     |
| <b>Integrity:</b>      | Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in the performance of their official duties.                           |
| <b>Objectivity:</b>    | In carrying out public business, including making public appointments, awarding contracts or recommending individuals for rewards and benefits, holders of public office should make choices on merit.                                |
| <b>Accountability:</b> | Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.                                                                |
| <b>Openness:</b>       | Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands. |
| <b>Honesty:</b>        | Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.                                  |
| <b>Leadership:</b>     | Holders of public office should promote and support these principles by leadership and example.                                                                                                                                       |

## Annex B: Equality Impact Assessment

The Equality Impact Assessment is a written record that demonstrates that you have shown due regard to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations with respect to the characteristics protected by the Equality Act 2010 and as defined in the descriptions provided the Equality and Human Rights Commission<sup>3</sup>.

The following screening tool is a mandatory component in the creation of this policy to ensure there has been consideration to avoid discrimination against any individual or groups identified by the following protected characteristics.

### Stage 1: Screening

Review each of the characteristics in the table below and specify whether implementation of this policy may have an adverse impact.

| Protected characteristic       | Description of characteristic                                                                                                                                                                                                                                                                    | Adverse impact (yes/no) |
|--------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------|
| Age                            | A person belonging to a particular age (for example 32-year olds) or range of ages (for example 18 to 30-year olds).                                                                                                                                                                             | NO                      |
| Disability                     | A person has a disability if she or he has a physical or mental impairment which has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.                                                                                              | NO                      |
| Gender reassignment            | A person in the process of transitioning from one gender to another.                                                                                                                                                                                                                             | NO                      |
| Marriage and civil partnership | Marriage is a union between a man and a woman or between a same-sex couple. Same-sex couples can also have their relationships legally recognised as 'civil partnerships'. Civil partners must not be treated less favourably than married couples (except where permitted by the Equality Act). | NO                      |
| Pregnancy and maternity        | Pregnancy is the condition of being pregnant or expecting a baby. Maternity refers to the period after the birth and is linked to maternity leave in the employment context. In the non-work context, protection                                                                                 | NO                      |

<sup>3</sup> <https://www.equalityhumanrights.com/en/equality-act/protected-characteristics>

|                    |                                                                                                                                                      |           |
|--------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
|                    | against maternity discrimination is for 26 weeks after giving birth, and this includes treating a woman unfavourably because she is breastfeeding.   |           |
| Race               | Refers to a person or group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.             | <b>NO</b> |
| Religion or belief | Religion refers to any religion, including a lack of religion. Belief refers to any religious or philosophical belief and includes a lack of belief. | <b>NO</b> |
| Sex                | Whether a person is a man or a woman                                                                                                                 | <b>NO</b> |
| Sexual orientation | Whether a person's sexual attraction is towards their own sex, the opposite sex or to both sexes.                                                    | <b>NO</b> |

## Annex C: Data Protection Impact Assessment

### Stage 1: Screening

These questions are intended to help Social Work England policy authors decide whether a full data protection impact assessment (DPIA) is necessary. Answer 'yes' or 'no' to each of the following questions:

| <b>Will implementing this policy:</b>                                                                                                                                                                                                                      | <b>Response (yes/no)</b> |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| Involve the collection of new information about individuals?                                                                                                                                                                                               | <b>NO</b>                |
| Compel individuals to provide information about themselves?                                                                                                                                                                                                | <b>NO</b>                |
| Lead to information about individuals being disclosed to organisations or people who have not previously had routine access to the information?                                                                                                            | <b>NO</b>                |
| Lead to the use of information about individuals for a purpose it is not currently used for, or in a way it is not currently used?                                                                                                                         | <b>NO</b>                |
| Involve the use of new technology which might be perceived as being privacy intrusive? For example, the use of biometrics or facial recognition.                                                                                                           | <b>NO</b>                |
| Result in you making decisions or taking action against individuals in ways which can have a significant impact on them?                                                                                                                                   | <b>NO</b>                |
| Lead to the collection of information about individuals of a kind particularly likely to raise privacy concerns or expectations? For example, health records, criminal records or other information that people would consider to be particularly private. | <b>NO</b>                |
| Require you to contact individuals in ways which they may find intrusive?                                                                                                                                                                                  | <b>NO</b>                |

Answering 'yes' to any of these questions is an indication that a full DPIA would be a useful exercise. Policy authors are responsible for completing the full DPIA if required.

|                                |                                                                 |
|--------------------------------|-----------------------------------------------------------------|
| <b>Meeting</b>                 | <b>Social Work England Board</b>                                |
| <b>Agenda Item</b>             | <b>8</b>                                                        |
| <b>Date</b>                    | <b>03 May 2019</b>                                              |
| <b>Title</b>                   | <b>Work Plan</b>                                                |
| <b>Executive Director/Lead</b> | <b>Alison McKinna, Executive Director, Corporate Services</b>   |
| <b>Author</b>                  | <b>Andy Leverton, Head of Business Planning and Improvement</b> |
| <b>Contact Details</b>         | <b>andy.leverton@socialworkengland.org.uk</b>                   |

### **SUMMARY**

The work plan is presented to the Board for noting.

### **SUPPORTING PAPERS**

Attached - Board Work Plan April 2019

### **RECOMMENDED ACTION**

To be noted by the Board.

### **Key implications or risks for any of the following:**

|                             |          |
|-----------------------------|----------|
| <b>Financial</b>            | <b>x</b> |
| <b>Legal</b>                |          |
| <b>Workforce</b>            |          |
| <b>Governance</b>           | <b>x</b> |
| <b>Regulatory</b>           |          |
| <b>Service users/carers</b> |          |

## **Social Work England**

### **Board Work Plan**

**April 2019**

#### **Purpose**

1. This paper provides the Social Work England Board with an updated work plan for 2019.
2. Items scheduled for the May meeting are agreed and correspond to the Board meeting agenda. Items for future meetings may change.
3. Where appropriate, items listed in the work plan correspond to the Social Work England Scheme of Delegation.

#### **Process**

4. When the schedule for future meetings is amended, the work plan will be updated accordingly and recirculated to the Board.
5. Items discussed at each meeting will be recorded on the work plan. Any variation from the planned agenda will also be recorded on the work plan.

**Andy Leverton**

Head of Business Planning and Improvement

23 April 2019

# Social Work England Board

## Work Plan 2019

| Item                                                          | Frequency | Presented by | Purpose            | 25-Jan    | 08-Mar | 03-May    | 14-Jun | 26-Jul    | 06-Sep | 25-Oct    | 13-Dec    |
|---------------------------------------------------------------|-----------|--------------|--------------------|-----------|--------|-----------|--------|-----------|--------|-----------|-----------|
|                                                               |           |              |                    | Sheffield | London | Sheffield | London | Sheffield | London | Sheffield | Sheffield |
| PART A - Board Business                                       |           |              |                    |           |        |           |        |           |        |           |           |
| Apologies for Absence                                         | All       | Chair        | Noting             | ✓         | ✓      | ✓         | ✓      | ✓         | ✓      | ✓         | ✓         |
| Declarations of interest                                      | All       | Chair        | Noting             | ✓         | ✓      | ✓         | ✓      | ✓         | ✓      | ✓         | ✓         |
| Minutes of Previous Meeting                                   | All       | Chair        | Approval           | ✓         | ✓      | ✓         | ✓      | ✓         | ✓      | ✓         | ✓         |
| Matters arising                                               | All       | Chair        | Noting of progress | ✓         | ✓      | ✓         | ✓      | ✓         | ✓      | ✓         | ✓         |
| PART B - Board Assurance Framework and High Level Risk Report |           |              |                    |           |        |           |        |           |        |           |           |
| Board Assurance Framework                                     | All       | A McKinna    | Noting             |           |        |           |        |           |        | ✓         | ✓         |
| High-level risk report                                        | All       | A McKinna    | Noting             | ✓         | ✓      | ✓         | ✓      | ✓         | ✓      | ✓         | ✓         |
| Risk management policy and strategy                           | Annually  | A McKinna    | Noting             |           |        |           | ✓      |           |        |           |           |
| Review of strategic risks                                     | tbc       | A McKinna    | Noting             |           |        |           |        |           | ✓      |           |           |
| Set risk appetite                                             | Annually  | A McKinna    | Noting             |           |        |           |        |           | ✓      |           |           |
| Management Assurance Strategy                                 | Annually  | A McKinna    | Noting             |           |        |           |        |           |        | ✓         |           |
| Part C - Financial Matters                                    |           |              |                    |           |        |           |        |           |        |           |           |
| Monthly finance report                                        | All       | L Oliver     | Noting             | ✓         | ✓      | ✓         | ✓      | ✓         | ✓      | ✓         | ✓         |
| Draft budget (2019/20)                                        | Annually  | L Oliver     | Noting             | ✓         | ✓      |           |        |           |        |           |           |
| Budget (2019/20)                                              | Annually  | L Oliver     | Approval           |           |        | ✓         |        |           |        |           |           |
| Timescales for prepration of ARA                              | Annually  | L Oliver     | Noting             | ✓         |        |           |        |           |        |           |           |
| Receipt and adoption of ARA                                   | Annually  | tbc          | Approval           |           |        |           | ✓      |           |        |           |           |
| Part D - Strategy and Planning                                |           |              |                    |           |        |           |        |           |        |           |           |
| Business plan (2018/19)                                       | Annually  | A McKinna    | Approval           | ✓         |        |           |        |           |        |           |           |
| Business plan - review of objectives (18/19)                  | Annually  | AMcKinna     | Noting             |           |        | ✓         |        |           |        |           |           |
| Business planning strategy (2019/20)                          | Annually  | A McKinna    | Noting             | ✓         |        |           |        |           |        |           |           |
| Business plan (2019/20) (draft)                               | Annually  | A McKinna    | Noting             |           | ✓      |           |        |           |        |           |           |
| Business plan (2019/20) (final)                               | Annually  | A McKinna    | Approval           |           |        | ✓         |        |           |        |           |           |
| Review of business plan objectives                            | Quarterly | A McKinna    | Noting of progress |           |        |           |        | ✓         |        | ✓         |           |
| Progress of implementation project                            | All       | A McKinna    | Noting             | ✓         | ✓      | ✓         | ✓      | ✓         | ✓      | ✓         | ✓         |
| Strategy innovation groups - arrangements                     | Annually  | AMcKinna     | Noting             |           |        | ✓         |        |           |        |           |           |
| Corporate strategy (3-5 year plan)                            | Annually  | A McKinna    | Noting             |           |        |           |        |           | ✓      |           |           |
| Corporate strategy (3-5 year plan)                            | Annually  | A McKinna    | Approval           |           |        |           |        |           |        | ✓         |           |
| Presentations                                                 | ad-hoc    | various      | Noting             | ✓         | ✓      | ✓         | ✓      | ✓         | ✓      |           |           |
| Consultation update - appointment rules                       | ad-hoc    | T Watterson  | Noting             | ✓         |        |           |        |           |        |           |           |
| Consultation update - standards and rules                     | ad-hoc    | S Blackmore  | Noting             |           |        | ✓         |        |           |        |           |           |
| Consultation approval                                         | ad-hoc    | S Blackmore  | Approval           |           |        |           | ✓      |           |        |           |           |
| Branding and communications update                            | ad-hoc    | K Florence   | Noting             | ✓         |        |           |        |           |        |           |           |
| Overview of financial structures                              | ad-hoc    | L Oliver     | Noting             | ✓         |        |           |        |           |        |           |           |
| FtP opportunities in legal framework                          | ad-hoc    | J Dillon     | Noting             |           | ✓      |           |        |           |        |           |           |
| Recruitment                                                   | ad-hoc    | A McKinna    | Noting             |           | ✓      |           |        |           |        |           |           |
| Visit to CDS (IT system developers)                           | ad-hoc    | M Lam        | Noting             |           | ✓      |           |        |           |        |           |           |
| Registration and Education QA                                 | ad-hoc    | P Hallam     | Noting             |           |        | ✓         |        |           |        |           |           |
| Equality and Diversity                                        | ad-hoc    | A McKinna    | Noting             |           |        |           |        |           | ✓      |           |           |
| Information Governance and Compliance                         | ad-hoc    | N Pemberton  | Noting             |           |        |           |        | ✓         |        |           |           |
| Part E - Performance                                          |           |              |                    |           |        |           |        |           |        |           |           |
| Integrated Performance Report                                 | All       | tbc          | Noting             |           |        |           |        |           |        | ✓         | ✓         |
| Part F - Update from Supporting Groups                        |           |              |                    |           |        |           |        |           |        |           |           |
| Reports from RemCo                                            | Annually  | tbc          | Noting             |           |        |           |        | ✓         |        |           |           |
| Assurance reports from ARC                                    | ad-hoc    | A McCulloch  | Noting             | ✓         |        |           | ✓      |           |        |           |           |
| Part G - Governance                                           |           |              |                    |           |        |           |        |           |        |           |           |
| Terms of Reference for Board                                  | Annually  | A McKinna    | Approval           | ✓         | ✓      |           |        |           |        |           |           |
| Board Work Plan                                               | All       | A McKinna    | Approval           | ✓         | ✓      | ✓         | ✓      | ✓         | ✓      | ✓         | ✓         |
| Terms of Reference for ARC and RemCo                          | Annually  | A McKinna    | Approval           | ✓         | ✓      |           |        |           |        |           |           |
| Scheme of Delegation                                          | Annually  | A McKinna    | Noting             |           |        |           | ✓      |           |        |           |           |
| Scheme of Delegation                                          | Annually  | A McKinna    | Approval           |           |        |           |        | ✓         |        |           |           |
| Health and safety report                                      | Annually  | A McKinna    | Noting             |           |        |           |        |           |        | ✓         |           |
| Board evaluation process                                      | Annually  | Chair        | Approval           |           |        |           |        |           |        | ✓         |           |
| Board effectiveness evaluation report                         | Annually  | Chair        | Noting             |           |        |           |        |           |        |           | ✓         |
| AOB                                                           | All       | Chair        | Noting             | ✓         | ✓      | ✓         | ✓      | ✓         | ✓      | ✓         | ✓         |
| Review of the meeting                                         | All       | Chair        | Noting             | ✓         | ✓      | ✓         | ✓      | ✓         | ✓      | ✓         | ✓         |
| Arrangements for the next meeting                             | All       | Chair        | Noting             | ✓         | ✓      | ✓         | ✓      | ✓         | ✓      | ✓         | ✓         |
| Meeting dates for the following year                          | Annually  | Chair        | Approval           |           |        |           |        |           | ✓      |           |           |